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# MULTI-LEVEL TRELLIS CODED MODULATION AND MULTI-STAGE DECODING\*

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## Outline of Paper

- Introduction
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- $90^\circ$  rotationally invariant multi-level trellis codes
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## Introduction

- The goal in designing a coded modulation system is to achieve a good trade-off between coding gain, decoding complexity, and decoding delay.
- Multi-level coding is a powerful technique for constructing bandwidth efficient coded modulation codes. Good multi-level coding schemes can be designed by using previously known codes as component codes.
- Multi-stage decoding provides a simple decoder implementation for multi-level codes with a small loss in coding gain.
- For coded QAM, the total power gain over uncoded QAM is composed of two parts: the coding gain ( $\gamma(C)$ ) and the shaping gain ( $\gamma(S)$ ).

- At a bit error rate of  $10^{-5} \sim 10^{-6}$ , the maximum coding gain is about 7.5 dB, and the maximum shaping gain is about 1.5 dB.
- Because these gains can be achieved independently, for coded QAM we focus on coding gain only and choose the signal set to be  $Z^N$  ( $N$  dimensional integer lattice).
- For coded MPSK, we also focus only on coding gain, since no shaping gain is possible.
- The phase invariant property (or phase symmetry) is useful in resolving carrier-phase ambiguity and ensuring rapid carrier-phase resynchronization after a temporary loss of synchronization. It is desirable for a coded modulation system to have as much phase symmetry as possible.
- We present necessary and sufficient conditions for a QAM code to be  $90^\circ$  rotationally invariant, and some  $90^\circ$  rotationally invariant multi-level codes are constructed.

## Multi-level Trellis Coding Based on Set Partitioning

- Figure 1 shows a multi-level trellis coding scheme based on set partitioning.  $\Lambda_0$  is a signal set,  $\Lambda_i$  is a subset of  $\Lambda_{i-1}$ , and  $\Lambda_m$  is the all-zero vector.  $C_1, C_2, \dots, C_m$  represent the different component codes, and the overall multi-level code is denoted by  $C$ .

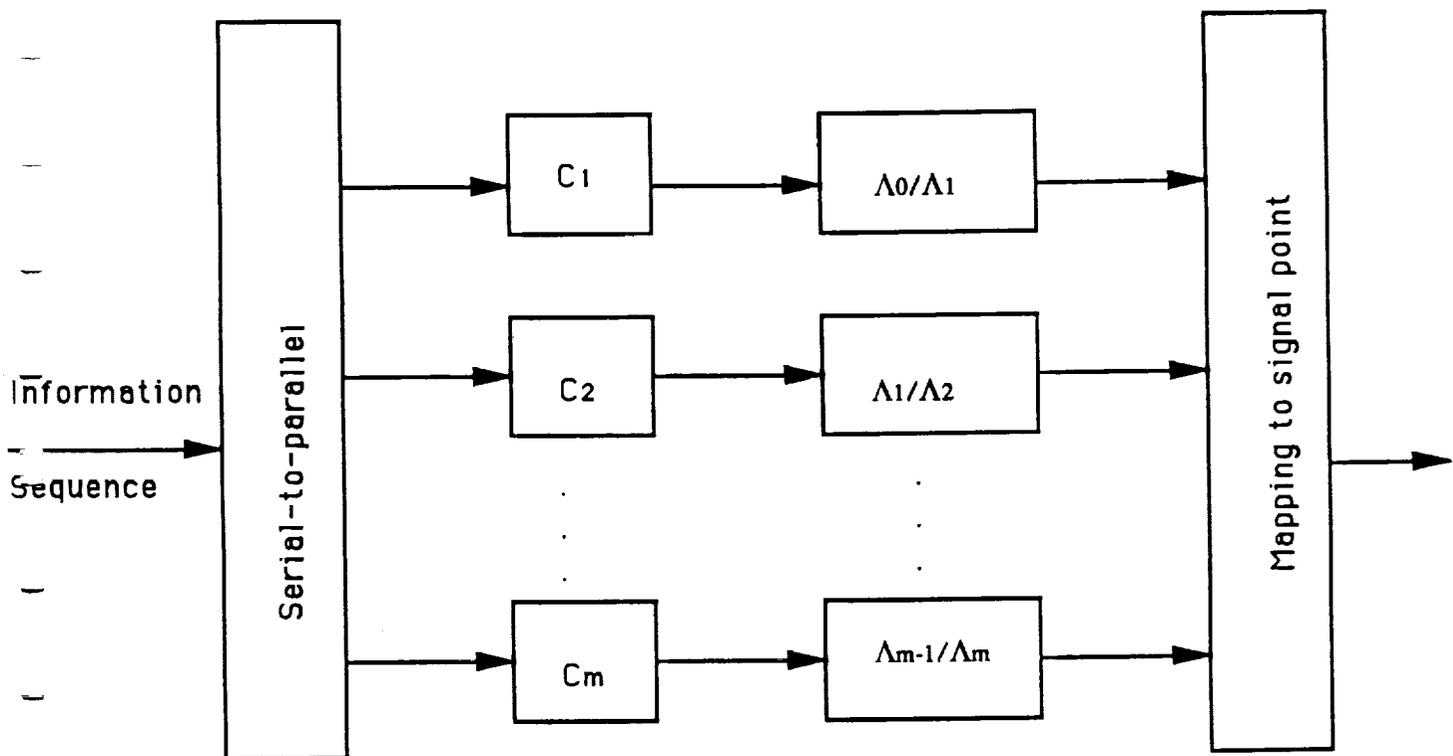


Fig.1 Multi-level trellis coding based on set partitioning

## Related previous work

- Leech (1964) and Leech and Sloane (1971) used a multi-level structure to construct lattices.
- Multi-level codes using “proper indexing”, which is the same as Ungerboeck’s “set partitioning”, of two dimensional signal sets was proposed by Imai and Hirakawa (1977). They also presented a multi-stage decoding method using a posteriori probabilities based on channel statistics.
- Ginzburg (1984) designed multi-level multi-phase codes for a continuous channel by using set partitioning and algebraic block codes.
- Sayegh (1986) showed how Imai and Hirakawa’s method can be combined with set partitioning to create multi-level block coded modulation systems.
- Pottie and Taylor (1989) proposed a hierarchy of codes to match the partitioning of signal sets by generalizing Imai and Hirakawa’s and Ginzburg’s coding schemes.

- Calderbank (1989) investigated the path multiplicity for a variety of multi-level codes.
- Tanner (1990?) studied linking subspaces of vector spaces to guarantee a large minimum separation between signals in the resulting signal set so that good multi-level codes can be designed.

### Basic multi-level trellis codes

- This construction is based on two-way partition chains, where all component codes are binary codes (block or convolutional).
- Let  $\Delta_i$  be the minimum squared Euclidean distance (MSED) of  $\Lambda_i$  for  $i = 0, 1, \dots, m$ .
- Let  $d_i$  be the minimum Hamming distance of binary code  $C_i$  for  $i = 1, 2, \dots, m$ .
- Then the MSED of the multi-level code is (Leech & Sloane, Ginzburg, Sayegh, etc.)

$$D(C) = \min\{d_i \Delta_{i-1}, 1 \leq i \leq m\}$$

- The normalized redundancy  $\rho(C)$  is defined as (Forney) the number of redundant bits per two dimensional signal (symbol).
- The spectral efficiency  $\eta(C)$  is defined as (Ungerboeck) the number of information bits per two dimensional signal (symbol).
- Basic multi-level codes with normalized redundancy  $\rho(C) = 1$  bit/symbol were presented by Yamaguchi and Imai (1987).
- Basic multi-level codes with smaller normalized redundancies can be constructed by using two-way partition chains with multi-dimensional signal sets and binary convolutional or block codes. Some four and eight dimensional basic multi-level codes were constructed by Wu and Zhu (1990?).
- We present some new basic multi-level codes based on set partitioning of one and two dimensional signal sets. Some of these new codes have non-integer normalized redundancies  $\rho(C)$ .

- Example 1. A three-level trellis code using an 8-PSK signal set with mapping by set partitioning is shown in Figure 2.

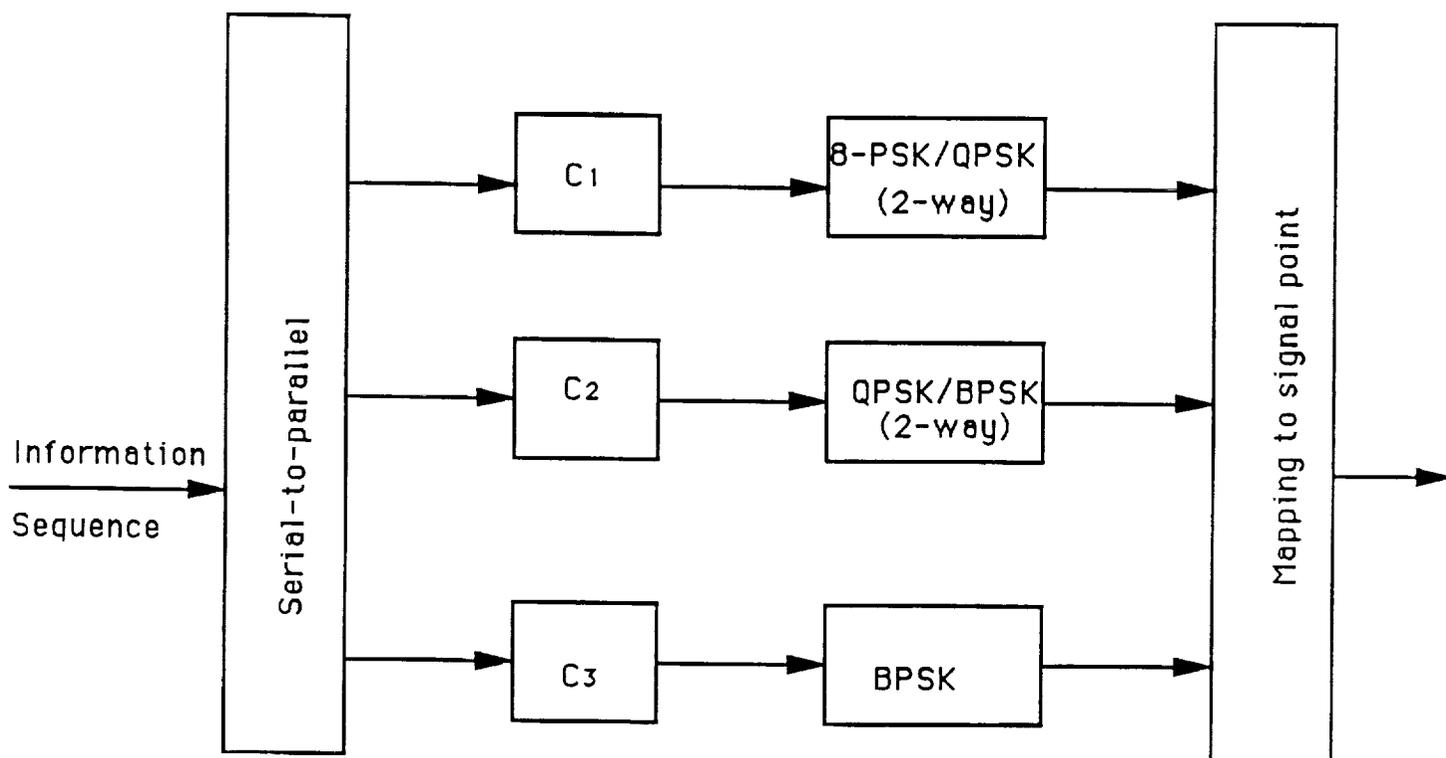


Fig.2 Multi-level code of Example 1

- Let  $C_1$  be a 16-state rate-1/4 convolutional code with minimum free Hamming distance 16,

$C_2$  an 8-state rate-3/4 convolutional code with free distance 4;

$C_3 = P_n$ , the  $(n, n - 1)$  single parity check code.

- The spectral efficiency of this multi-level code is

$$\eta(C) = 1 + (n - 1)/n \text{ bits/symbol}$$

- The minimum free squared Euclidean distance is

$$\begin{aligned} D(C) &= \min\{0.586 \times 16, 2 \times 4, 4 \times 2\} \\ &= 8 \end{aligned}$$

- The nominal coding gain (Ungerboeck) over uncoded QPSK is

$$\gamma(C) = 10 \log_{10} \left( \frac{D(C)}{D(QPSK)} \right) = 6.02 \text{ dB.}$$

- The 256-state, rate-2/3,  $\eta(C) = 2$  bits/symbol Ungerboeck code has  $D(C) = 7.515$  and  $\gamma(C) = 5.75$  dB.

## Multi-Stage Decoding of Example 1

- A three-level multi-stage decoder for Example 1 is shown in Figure 3.

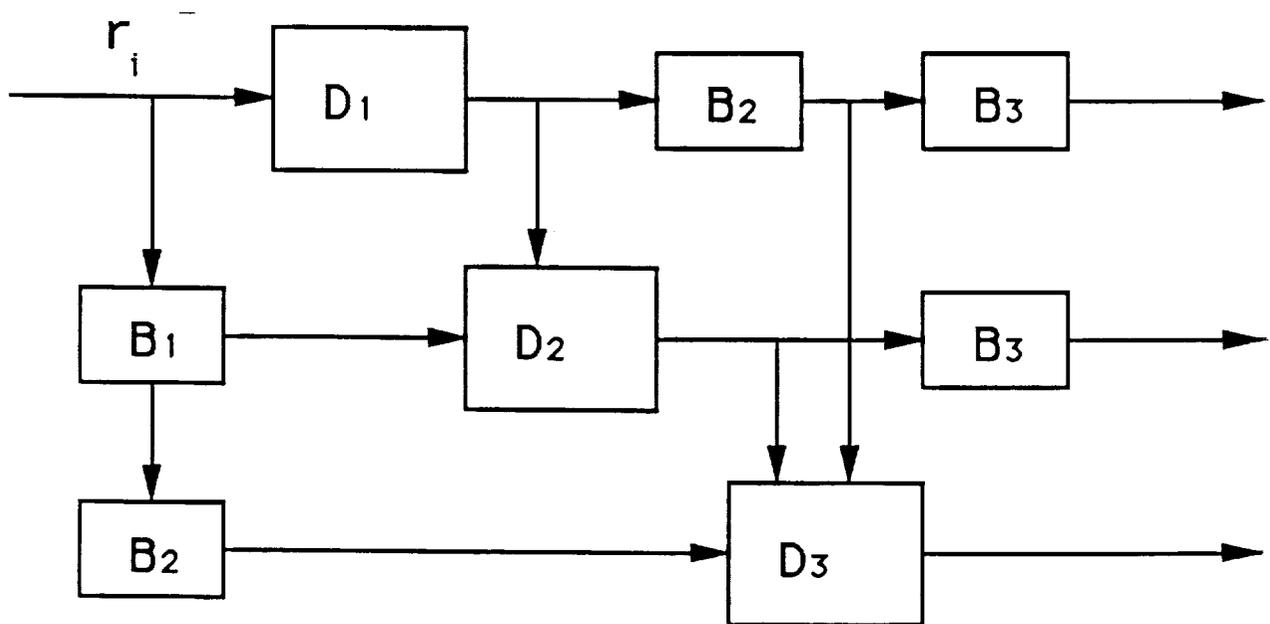


Fig. 3 Multi-stage decoding for Example 1

- The normalized complexity  $N_D$  of multi-stage decoding is the number of required binary operations (additions and comparisons) per 2 dimensional symbol.
- For a  $2^\nu$ -state,  $k$  input bit,  $n$  output bit convolutional (trellis) code, the Add-Compare-Select (ACS) operation of the Viterbi algorithm requires  $2^k$  additions and a comparison of  $2^k$  numbers, or  $2^k - 1$  binary comparisons, for each of the  $2^\nu$  states, so its complexity is  $2^{k+\nu+1} - 2^\nu$ . (This number should be normalized to the complexity per 2 dimensional symbol.)

## First-stage of Decoding

- For each state transition period, the symbol metrics of both QPSK subsets (see Figure 4) must be computed.

Complexity = 2 binary operations/symbol

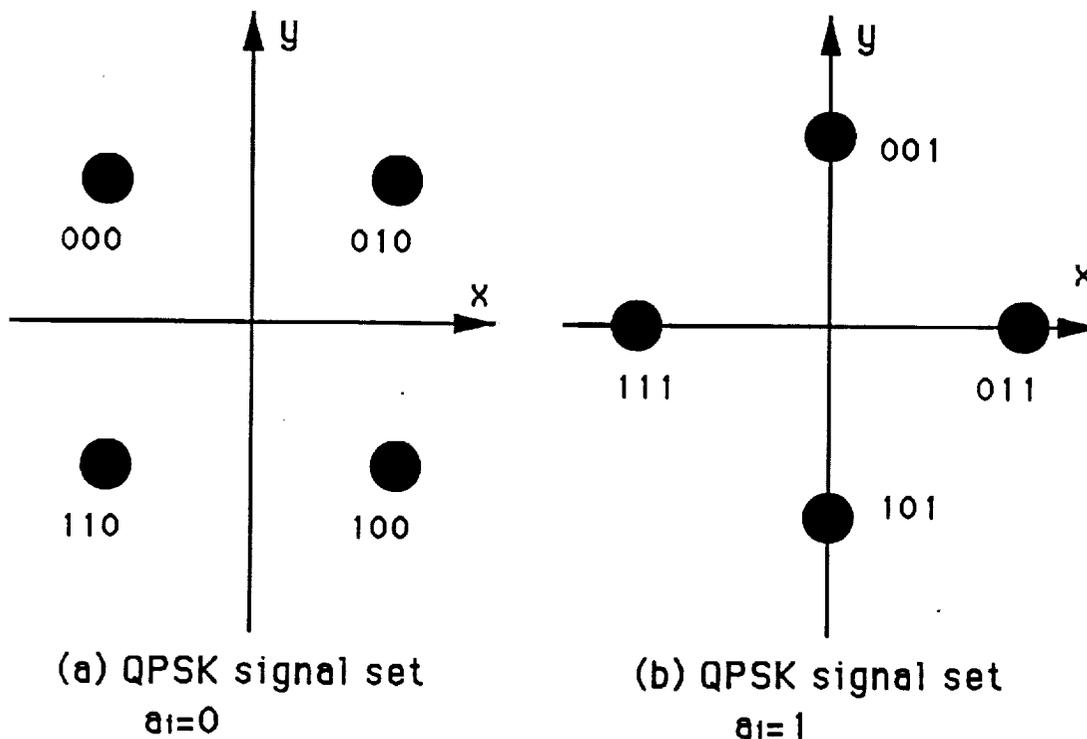


Fig.4

- Then the branch metrics within each state transition period must be computed by adding the four symbol metrics on each branch.

Complexity = 6 binary operations/symbol

- The ACS operation of the Viterbi algorithm is then used to determine the surviving path at each state.

Complexity = 12 binary operations/symbol

## Second-stage of Decoding

- The decoded information from the first stage is passed on to the second-stage.
- For each state transition period, the symbol metrics of both BPSK subsets (see Figure 5) must be computed.  
Complexity = 2 binary operations/symbol

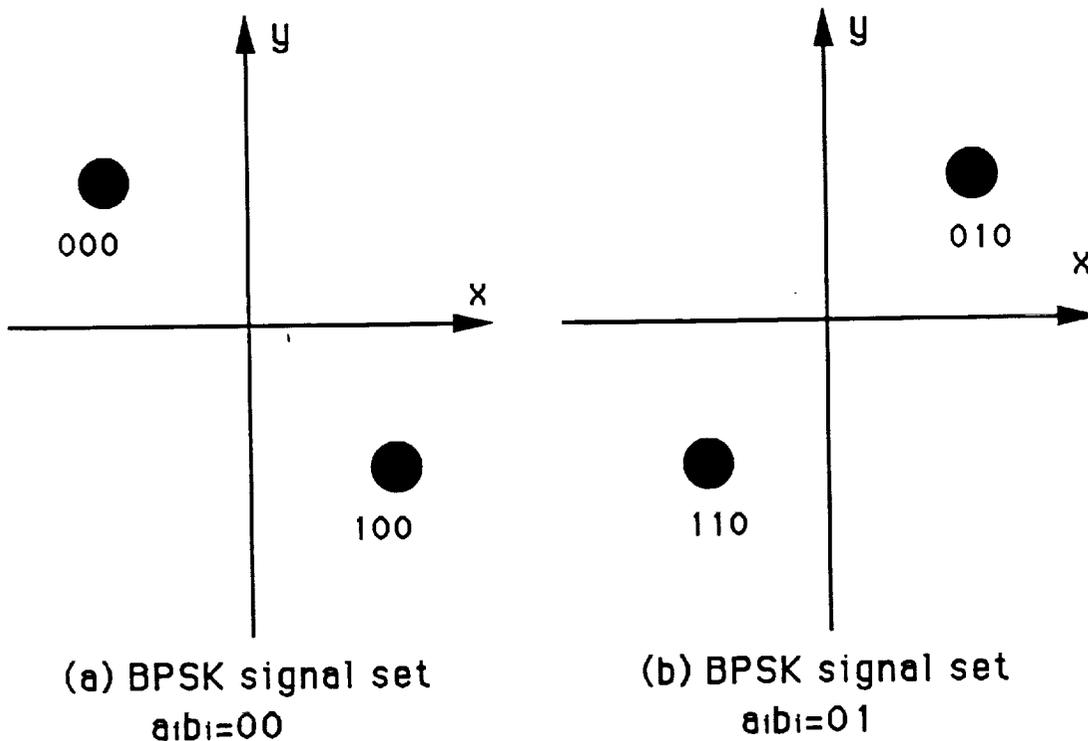


Fig.5

- Then the branch metrics within each state transition period must be computed by adding the four symbol metrics on each branch.

Complexity = 6 binary operations/symbol

- The ACS operation of the Viterbi algorithm is then used to determine the surviving path at each state.

Complexity = 30 binary operations/symbol

- If the parallel transitions in the trellis are resolved by table-look-up, the complexity reduces to 14 binary operations/symbol.

### Third-stage of Decoding (assume $n = 32$ )

- The decoded information from the first and second stages is made available to the third stage.
- For each state transition period, the metrics of both the 0 and 1 symbols must be computed.  
Complexity = 2 binary operations/symbol
- In this case, the branch metrics are the symbol metrics computed above (one symbol per trellis branch).
- After 8 branches (32 symbols) in the first and second trellis are decoded, the Viterbi algorithm is used to make a decoding decision for the block code  $C_3 = P_{32}$ .  
Complexity = 6 binary operations/symbol
- The total decoding complexity is  $N_D = 66$  binary operations per 2 dimensional symbol, or  $N_D = 50$  not counting the parallel transitions.

- If we take  $C_3$  to be  $P_n$ , where  $n \rightarrow \infty$  (i.e., a 2-state, non-redundant, catastrophic trellis code), the multi-level code has  $1 + 3 + 4 = 8$  input bits and  $4 + 4 + 4 = 12$  output bits for every four 8-PSK transmitted symbols. Overall, this can be viewed as a  $16 \times 8 \times 2 = 256$ -state 8-dimensional trellis code.
- Without considering the computation of the symbol and branch metrics, the ACS complexity of maximum likelihood decoding of the overall trellis code is

$$(2^{8+8+1} - 2^8)/4 = 2^{15} - 2^6 > 3 \times 10^4$$

binary operations/2 dimensional symbol.

- Note that the complexity of the multi-stage decoder in this example is only about 0.2% of the complexity of the overall maximum likelihood decoder.
- However, the performance of the multi-stage decoder is close to that of the maximum likelihood decoder.
- For the 256-state Ungerboeck code, the ACS complexity alone is 1792 binary operations/symbol.

- Example 2. The one dimensional partition chain  $Z/2Z/4Z/\dots$  has MSED  $1/4/16/\dots$  (see Figure 6).

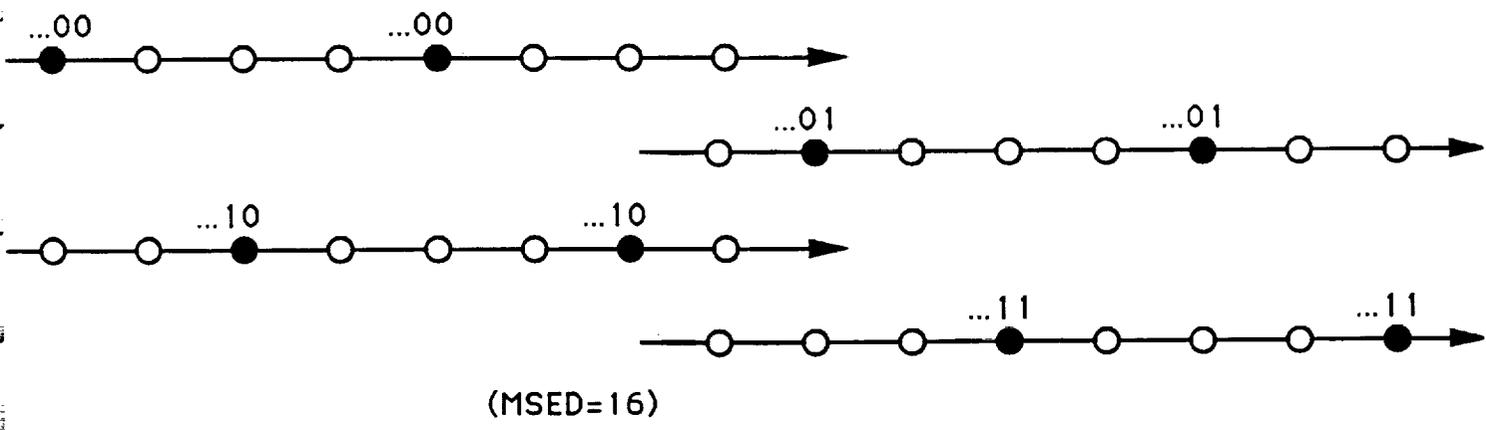
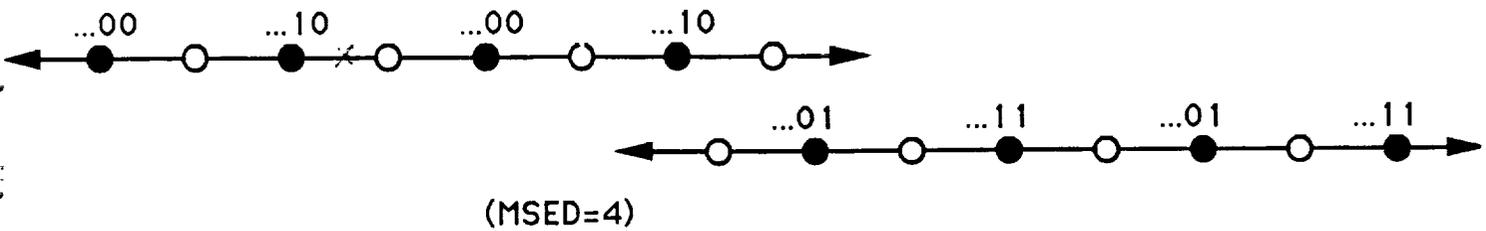
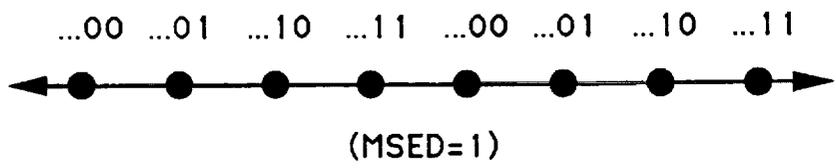


Fig.6 Set partitioning of Z

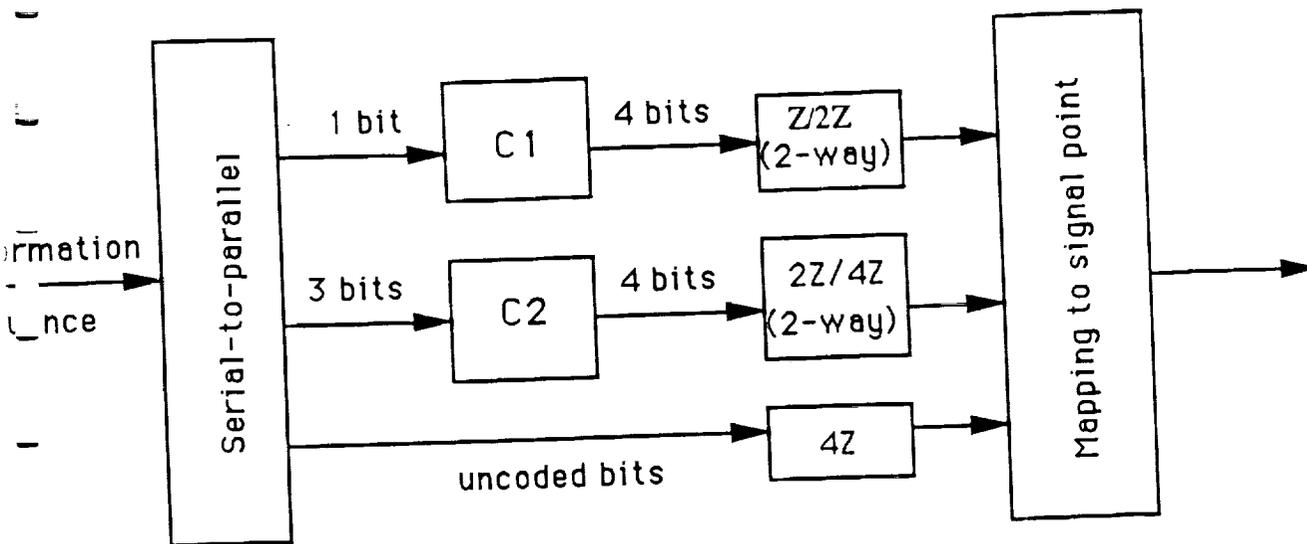


Fig.7 Multi-level code of Example 2.

- Let  $C_1$  be a 16-state rate-1/4 convolutional code with minimum free Hamming distance 16,
- $C_2$  be an 8-state rate-3/4 convolutional code with free distance 4,
- and  $C_3, C_4, \dots$  be rate-1 codes (no coding).
- Since there are two levels of coding, this is a two-level code (see Figure 7).
- The normalized redundancy  $\rho(C)$  is 2 bits per symbol.
- The MSED is

$$D(C) = \min\{1 \times 16, 4 \times 4, 16\} = 16$$

- The nominal coding gain (Forney) is

$$\gamma(C) = 10 \log_{10} \frac{D(C)}{2^{\rho(C)}} = 6.02(\text{dB})$$

- This code has the same nominal coding gain and normalized redundancy as the 24-dimensional Leech lattice  $\Lambda_{24}$  but much less decoding complexity.
- Due to a large path multiplicity, the effective coding gain of this two-level code is less than the nominal coding gain. To reduce the path multiplicity, we can choose longer convolutional codes (with larger constraint lengths and free distances).
- For example, if  $C_1$  is a 32-state rate-1/4 convolutional code with free distance 18 and  $C_2$  is a 32-state rate-3/4 convolutional code with free distance 5, the path multiplicity is reduced and the effective coding gain is closer to 6.02 dB.

Using multi-stage decoding, an additional loss of coding gain occurs, but the decoding complexity is less than a 64-state Ungerboeck code and much less than the trellis lattice  $\Lambda_{24}$ .

Table 1. Comparison of multi-level trellis codes with other codes (spectral efficiency  $\eta(C) = 4$  bit/symbol) using 8-PAM modulation

Codes	#S	$R_i$	$\gamma(C)$	$N_D$	D
2-level	16 & 8	1/4 & 3/4	5.81	116	14
3-level	32 & 8	1/4 & 3/4	5.81	130	16
4-level	32 & 32	1/4 & 3/4	5.81	350	20
	256		5.81	$\sim 1264$	
Ungerboeck	32	2/3	4.77	232	5
Ungerboeck	64	2/3	5.44	456	6

The decoding delay of a multi-level trellis code is proportional to

$$D \triangleq \frac{1}{2} \sum N_i K_i,$$

where  $N_i$  is the dimensionality of the signals (cosets) associated with a branch transition of the  $i$ th component code and  $K_i$  is the constraint length of the  $i$ th component code.

## Multi-level trellis codes based on a set partition chain with strictly increasing distances

- Multi-level trellis codes using multi-dimensional signal sets can achieve higher spectral efficiencies (lower normalized redundancies) than multi-level codes based on two dimensional signal sets.
- For two-way partitioning of multi-dimensional signal sets, the MSED at successive partition levels may be equal. For example, the partition chain  $Z^4/D_4/RZ^4/RD_4/2Z^4/2D_4/\dots$  of the four dimensional integer lattice  $Z^4$  has distances  $1/2/2/4/4/8/\dots$ , where  $R$  represents the rotation operation,  $R^2 = 2$ , and  $D_4$  is the densest known four dimensional lattice.
- Reducing the number of component codes can reduce the decoding delay and the path multiplicity.

- Some partition levels can be joined to form a new multi-way partition chain with strictly increasing distances. For example, the partition chain  $Z^4/D_4/RD_4/2D_4/\dots$  has distances  $1/2/4/8/\dots$ . Since  $|Z^4/D_4| = 2$  and  $|R^i D_4/R^{i+1} D_4| = 4$  for  $i = 0, 1, 2, \dots$ , the first component code can be a binary code, and other component codes can be binary input, 4-ary output codes or codes over  $GF(4)$ .
- The lower bound on the MSED of these multi-level codes is given by

$$D(C) \geq \min\{d_i \Delta_{i-1}, 1 \leq i \leq m\}$$

where  $d_i$  is now the minimum free Hamming distance of code  $C_i$  (binary or 4-ary).

**Example 3.** This code is based on the partition chain  $Z^4/D_4/RD_4/\dots$  and includes two component codes (see Figure 8):

$C_1$  is an 8 state rate-3/4 convolutional code with free distance 4 and  $C_2$  is an  $(N, N-1)$  block code over  $GF(4)$  with minimum distance 2 (4 states).

- The normalized redundancy is  $\rho(C) = \frac{1}{8} + \frac{1}{N}$ , the MSED is 4, and the nominal coding gain is

$$\gamma(C) = 5.64 - \frac{3.01}{N} \text{ (dB)} = 5.48 \text{ dB } (N = 19)$$

- The decoding complexity is  $N_D = 37$ , and the decoding delay is  $D = 24$  (excluding the decoding delay of the block code).

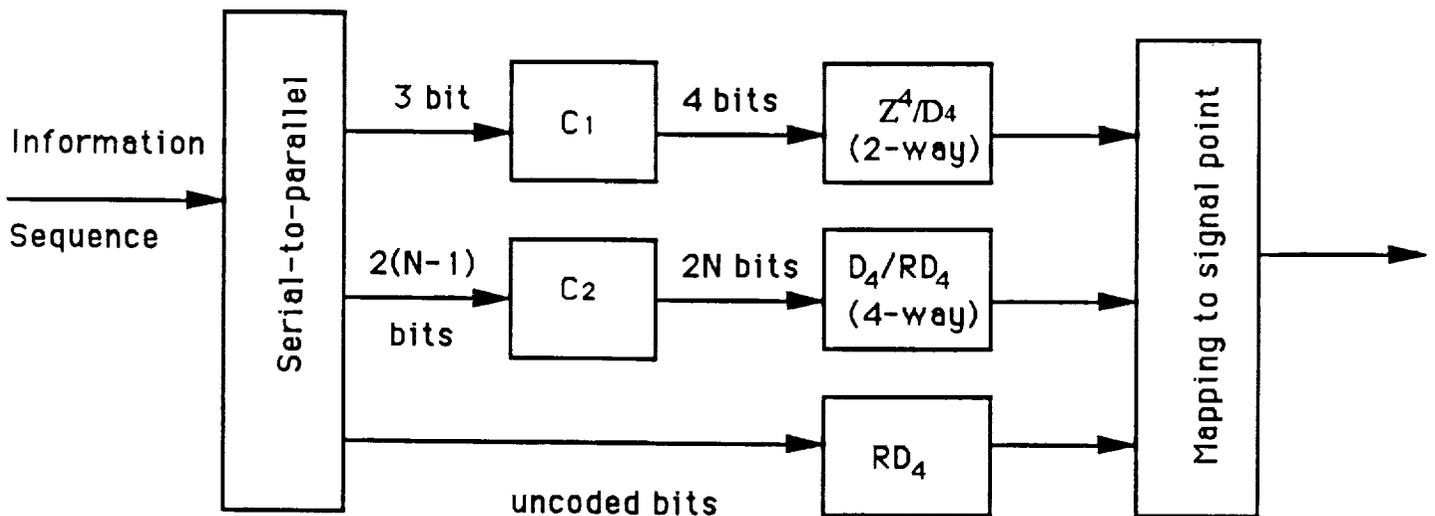


Fig.8 Multi-level code of Example 3.

- The 64-state, rate-4/5 Ungerboeck code for  $Z^4$  has  $\gamma(C) = 5.48 \text{ dB}$ ,  $N_D \approx 496$ , and  $D = 12$ .

## Combined Ungerboeck-type and multi-level trellis codes

- For the above two classes of multi-level codes, each output symbol of a component encoder corresponds to a single coset of a subset of a signal constellation (two dimensional or multi-dimensional). For Ungerboeck-type codes, all the encoder output symbols associated with a single trellis branch correspond to a single coset of a subset of a signal constellation. Ungerboeck-type codes can be used as component codes at some levels in conjunction with a multi-way partition chain.
- Instead of using several high rate codes at higher levels of partitioning, we use an Ungerboeck-type code to reduce the decoding delay and path multiplicity.
- The usual lower bound on the MSED cannot be applied to this construction. A more general lower bound on the MSED of these multi-level codes (Kasami & Lin) is given by

$$D(C) \geq \min\{D(C_i), 1 \leq i \leq m\}$$

where  $D(C_i)$  is the MSED of code  $C_i$ .

**Example 4.** The encoding structure is shown in Figure 9.

- Let  $C_1$  be a 16-state rate-1/4 convolutional code with minimum free Hamming distance 16,
- $C_2$  a 16-state rate-7/8 trellis code with MSED 8 (Pietrobon, Deng, et.al., 1990).

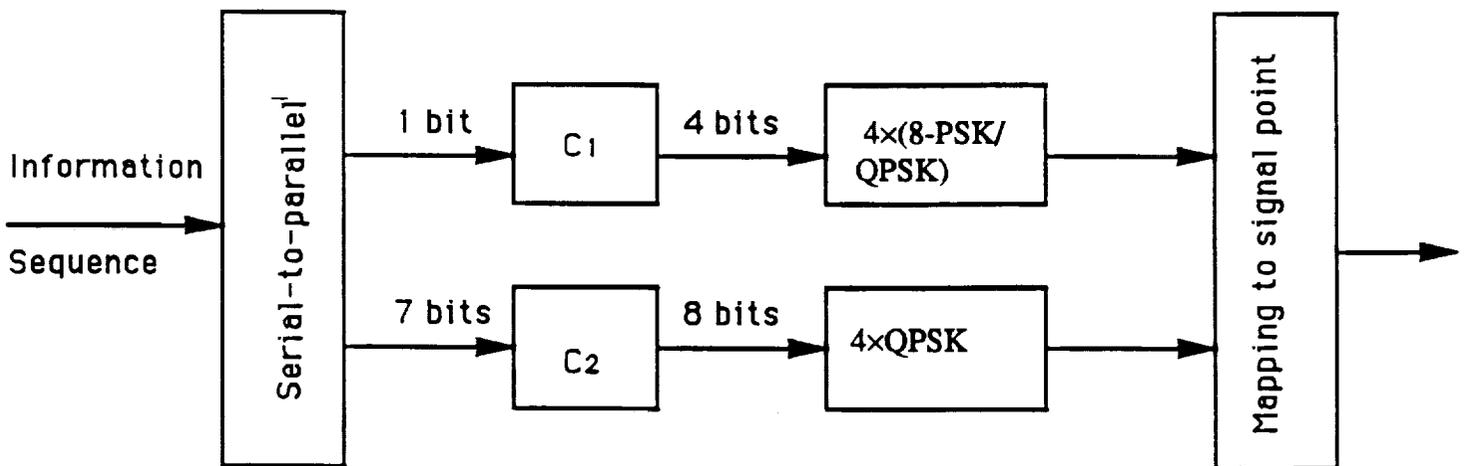


Fig.9 Multi-level code of example 4.

- The 64-state, rate-4/5,  $\eta(C) = 2$ ,  $4 \times 8$ -PSK code constructed by Pietrobon, Deng, et.al. (1990) has  $D(C) = 7.029$ ,  $\gamma(C) = 5.46$  dB,  $N_D \approx 496$ , and  $D = 12$ .

- Encoding procedure:

The information sequence is divided into blocks of 8 bits each:

the first bit in each block enters encoder  $C_1$ , and the 4 output bits specify 4 consecutive cosets of  $4 \times (8\text{-PSK/QPSK})$ ,

the other 7 bits of the block enter encoder  $C_2$  and the 8 output bits specify a  $4 \times \text{QPSK}$  signal.

- The spectral efficiency of this multi-level code is

$$\eta(C) = 8/4 = 2 \text{ bits/symbol}$$

- The MSED is

$$D(C) = \min\{16 \times 0.586, 8\} = 8$$

where  $D(C_1) = 16 \times 0.586$ .

- The nominal coding gain over uncoded QPSK is  $\gamma(C) = 6.02 \text{ dB}$ .
- The decoding complexity for multi-stage decoding is  $N_D \approx 100$  binary operations per symbol.
- The decoding delay is only  $D = 16$ , which is less than a multi-level code with more stages.

## Generalized multi-level trellis codes

- The previous examples were all based on Ungerboeck's set partitioning. A modified set partitioning method can be used to construct generalized multi-level trellis codes.
- **Example 5.** The four dimensional 8-state code  $C(Z^4/RD_4)$  constructed by Wei (1987) has MSED 4. Mapping the same binary code to  $RZ^4/2D_4$  rather than  $Z^4/RD_4$ , we obtain a trellis code, denoted by  $C_2(RZ^4/2D_4)$ , with MSED 8. Using an 8-state rate-1/3 convolutional code as the first component code  $C_1(Z^2/RZ^2)$  and  $C_2(RZ^4/2D_4)$  as the second component code gives the two-level trellis code shown in Figure 10.

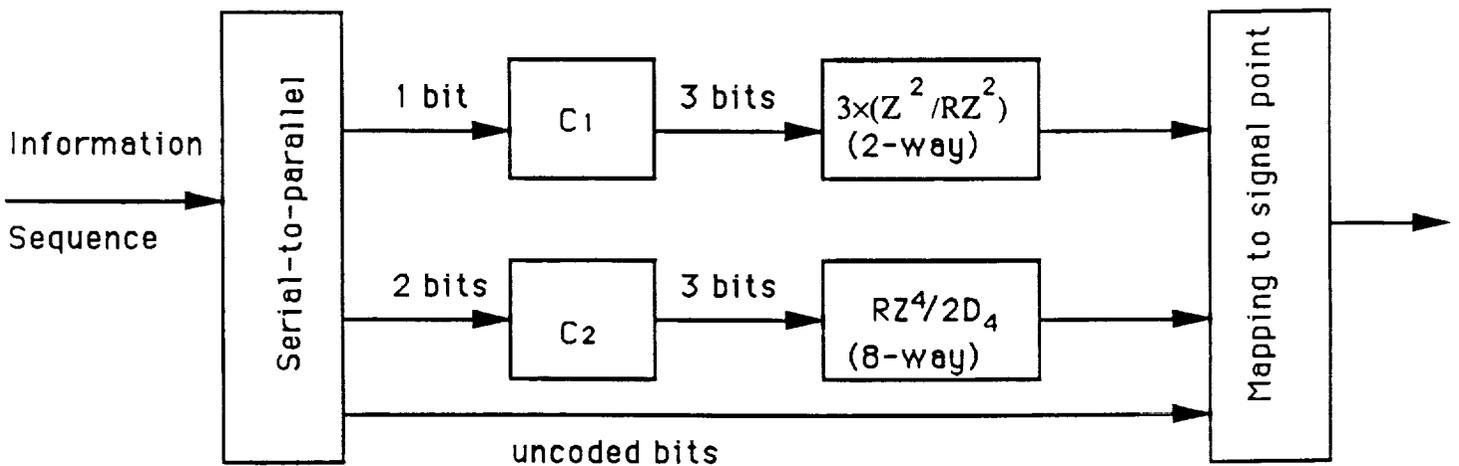


Fig.10 Multi-level code of Example 5.

- **Encoding procedure:**

The information sequence is divided into blocks of a specified number of bits according to the desired spectral efficiency:

the first 2 bits in each block enter encoder  $C_1$ , and the 6 output bits specify 6 consecutive cosets of  $Z^2/RZ^2$ , i.e., 3 consecutive cosets of  $Z^4/RZ^4$ ,

the next 6 bits of the block enter encoder  $C_2$ , and the 9 output bits specify 3 consecutive cosets of  $RZ^4/2D_4$ .

Together with uncoded bits, each coded block determines 3 consecutive four dimensional signals, i.e., 6 two dimensional signals.

- Note that the first coding level partitions a six dimensional signal set whereas the second coding level partitions a four dimensional signal set.
- The nominal coding gain is  $\gamma(C) = 5.52$  dB, which is 1.00 dB greater than Wei's code.
- The decoding delay of this two-level code is  $D = 15$ , whereas the delay of Wei's code is  $D = 6$ .
- The decoding complexity of this two-level code is  $N_D = 56$ , whereas the complexity of Wei's code is  $N_D = 44$ .

**Example 6.** Consider the generalized multi-level trellis code shown in Figure 11.

The first component code, associated with the partition  $Z/2Z$ , is a 32 state rate-1/2 convolutional code with free distance 8.

The second component code, associated with the partition  $2Z^8/2D_8$ , is a single parity check block code of length N.

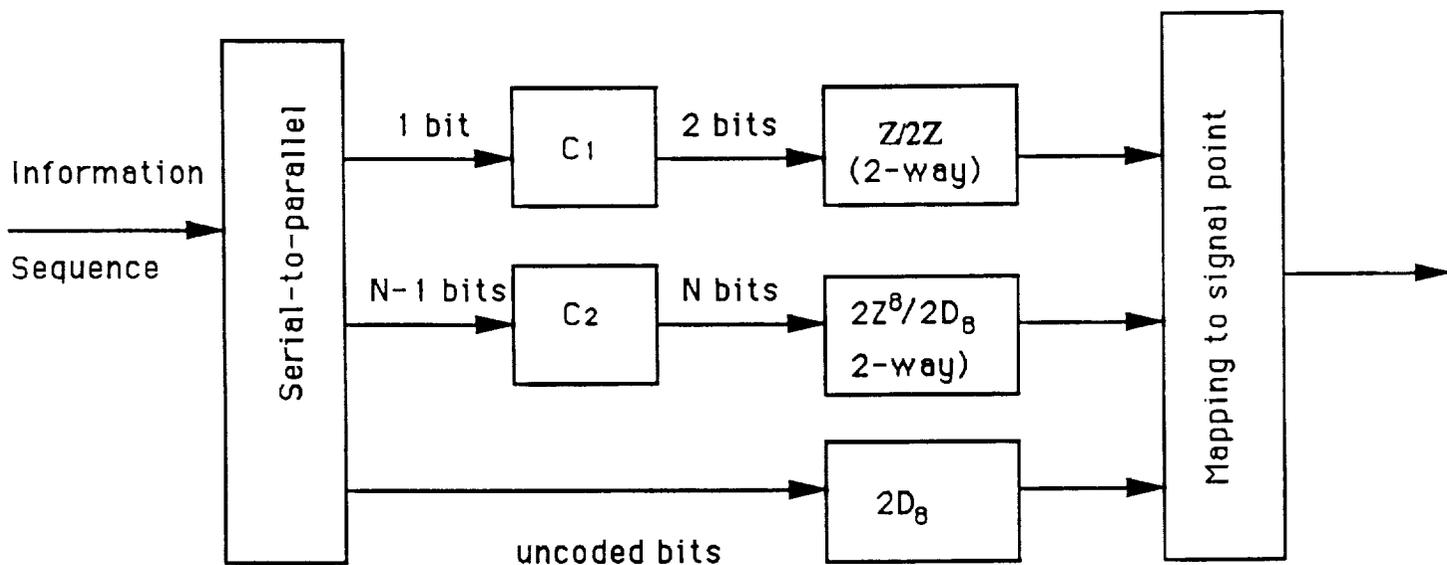


Fig.11 Multi-level code of Example 6.

- Encoding procedure (spectral efficiency =  $m$  bits/symbol):
- The information sequence is divided into blocks of  $4Nm$  bits each, with three subsequences of length  $4N$ ,  $N - 1$ , and  $4Nm - 4N - (N - 1)$  corresponding to  $C_1$ ,  $C_2$ , and uncoded bits, respectively.
- Each output bit of encoder  $C_1$  specifies a coset of partition  $Z/2Z$ , i.e.,  $8N$  output bits specify  $N$  cosets of  $Z^8/2Z^8$ .
- Each output bit of encoder  $C_2$  specifies a coset of  $2Z^8/2D_8$ , i.e.,  $N$  output bits specify  $N$  cosets of  $2Z^8/2D_8$ .
- Together with the  $4Nm - 4N - (N - 1)$  uncoded bits, each coded block of  $N$  eight dimensional signals, i.e.,  $4N$  two dimensional signals contains  $4Nm$  bits of information and the spectral efficiency in  $m$  bits/symbol.

- The normalized redundancy is  $\rho(C) = 1 + \frac{1}{4N}$  and the MSED is 8. Therefore the nominal coding gain is

$$\gamma(C) = 6.02 - \frac{3.01}{4N} \text{ (dB)}.$$

- The decoding complexity is  $N_D = 140$  and the decoding delay (excluding the block code) is  $D = 5$ .
- The 128-state, rate-4/5 Ungerboeck code for  $Z^8$  has  $\gamma(C) = 5.27$  dB, number of nearest neighbors  $N_{free} = 112$ ,  $N_D \approx 992$ , and  $D = 28$ .

- In general, let  $\Lambda_0$  be a signal set and  $\Lambda_0^{(1)}$  be a set such that  $\underbrace{\Lambda_0 \times \cdots \times \Lambda_0}_{j_0} = \underbrace{\Lambda_0^{(1)} \times \cdots \times \Lambda_0^{(1)}}_{k_0}$ , for some integers  $j_0, k_0 \geq 1$ .

- If there are  $2m$  sets  $\Lambda_{i-1}^{(i)}$  and  $\Lambda_i^{(i)}$ , for  $i = 1, 2, \dots, m$ , where  $\Lambda_m^{(m)}$  is the empty set, satisfying the following conditions:

$$(1) \underbrace{\Lambda_{i-1}^{(i-1)} \times \cdots \times \Lambda_{i-1}^{(i-1)}}_{j_i} = \underbrace{\Lambda_{i-1}^{(i)} \times \cdots \times \Lambda_{i-1}^{(i)}}_{k_i},$$

for  $i = 2, 3, \dots, m$ , and for some  $j_i, k_i \geq 1$ ;

$$(2) \Lambda_{i-1}^{(i)} \supseteq \Lambda_i^{(i)}, \text{ for } i = 1, 2, \dots, m;$$

then we can construct a multi-level code having the form shown in Figure 12:

$$C = C_1 \left( \Lambda_0^{(1)} / \Lambda_1^{(1)} \right) + C_2 \left( \Lambda_1^{(2)} / \Lambda_2^{(2)} \right) + \dots \\ + C_m \left( \Lambda_{m-1}^{(m)} / \Lambda_m^{(m)} \right)$$

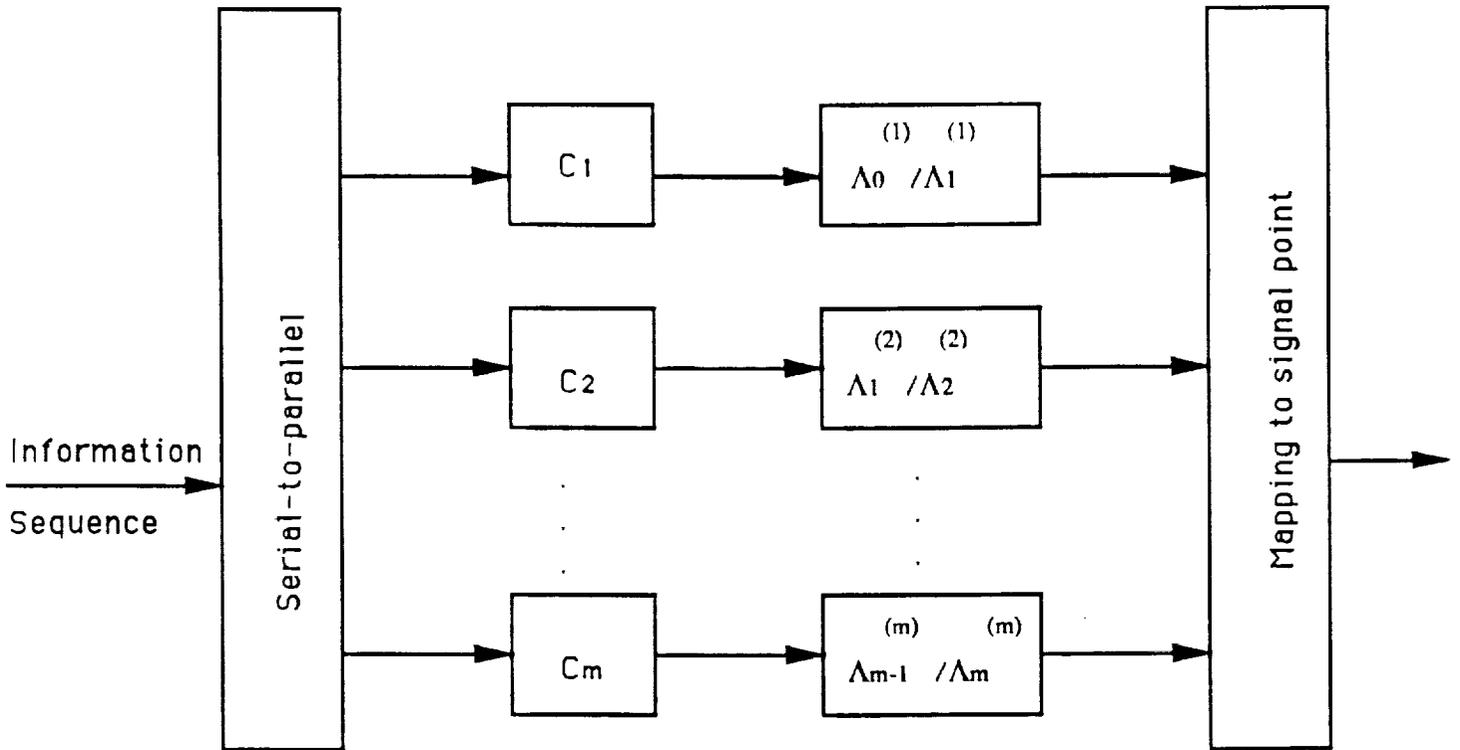


Fig.12 The generalized multi-level coding scheme

- The MSED of this multi-level code is lower bounded by

$$D(C) \geq \min\{D[C_i(\Lambda_{i-1}^{(i)}/\Lambda_i^{(i)})], 1 \leq i \leq m\}$$

where  $D[C_i(\Lambda_{i-1}^{(i)}/\Lambda_i^{(i)})]$  is MSED of the  $i$ th component code.

## Level spanning multi-level trellis codes

- Level spanning provides an approach to constructing rotationally invariant multi-level trellis codes.
- However, the lower bound on MSED of generalized multi-level codes may not hold for this class of codes.

Example 7. Consider the multi-level coding scheme shown in Figure 13.

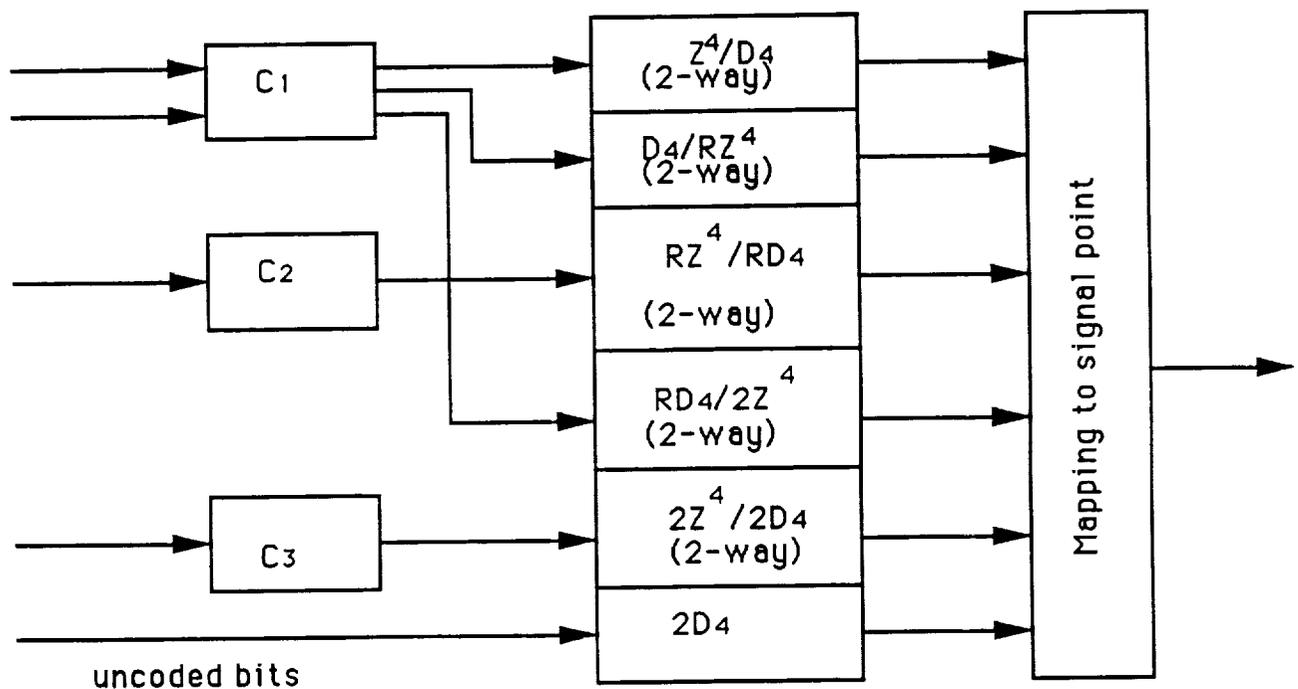


Fig. 13 Four dimensional multi-level trellis code with level spanning of Example 7

- $C_1$  is a 16-state rate-2/3 Ungerboeck code, which has MSED 6 when used with the partition  $Z^2/RZ^2/2Z^2$ .
- $C_2$  is an 8-state rate-7/8 binary convolutional code with free distance 3.
- $C_3$  is a 2-state (8, 7) block code with minimum distance 2.
- Encoding procedure (spectral efficiency =  $m$  bits/symbol):
- The information sequence is divided into blocks of  $16m$  bits each, with four subsequences of length 16, 7, 7, and  $16m - 30$  corresponding to  $C_1, C_2, C_3$ , and uncoded bits, respectively.
- Each state transition period of encoder  $C_1$  outputs three bits which specify cosets of the partitions  $Z^4/D_4, D_4/RZ^4$ , and  $RD_4/2Z^4$ , respectively, i.e., 24 output bits specify 8 cosets of each partition.

- Each output bit of encoder  $C_2$  specifies a coset of  $RZ^4/RD_4$ , i.e., 8 output bits specify 8 cosets of  $RZ^4/RD_4$ .
- Each output bit of encoder  $C_3$  specifies a coset of  $2Z^4/2D_4$ , i.e., 8 output bits specify 8 cosets of  $2Z^4/2D_4$ .
- Together with  $16m - 30$  uncoded bits, each coded block of 8 four dimensional signals, i.e., 16 two dimensional signals, contains  $16m$  bits of information and the spectral efficiency is  $m$  bits/symbol.
- Since the MSED's of  $Z^4$ ,  $D_4$ , and  $RZ^4$  are the same as  $Z^2$ ,  $RZ^2$ , and  $2Z^2$ , respectively, the MSED of  $C_1$  is the same as the corresponding Ungerboeck code, i.e.,  $D(C_1) = 6$ . Therefore, assuming the lower bound on MSED holds in this case,  $D(C) = \min\{6, 3 \times 2, 2 \times 4, 8\} = 6$ .
- The normalized redundancy is  $\rho(C) = 5/8$ , the nominal coding gain is  $\gamma(C) = 5.90$  dB, the decoding complexity of multi-stage decoding is  $N_D = 108$ , and the decoding delay is  $D = 56$ .
- However, due to the uncertainty regarding the bound, the actual values of  $D(C)$  and  $\gamma(C)$  may be less than stated above.

- It can be shown that the two bits corresponding to the partition levels  $D_4/RZ^4$  and  $RD_4/2Z^4$  are the only ones affected by a  $90^\circ$  phase rotation. So this code can be combined with a differential encoder to achieve  $90^\circ$  rotational invariance as shown in Figure 14.

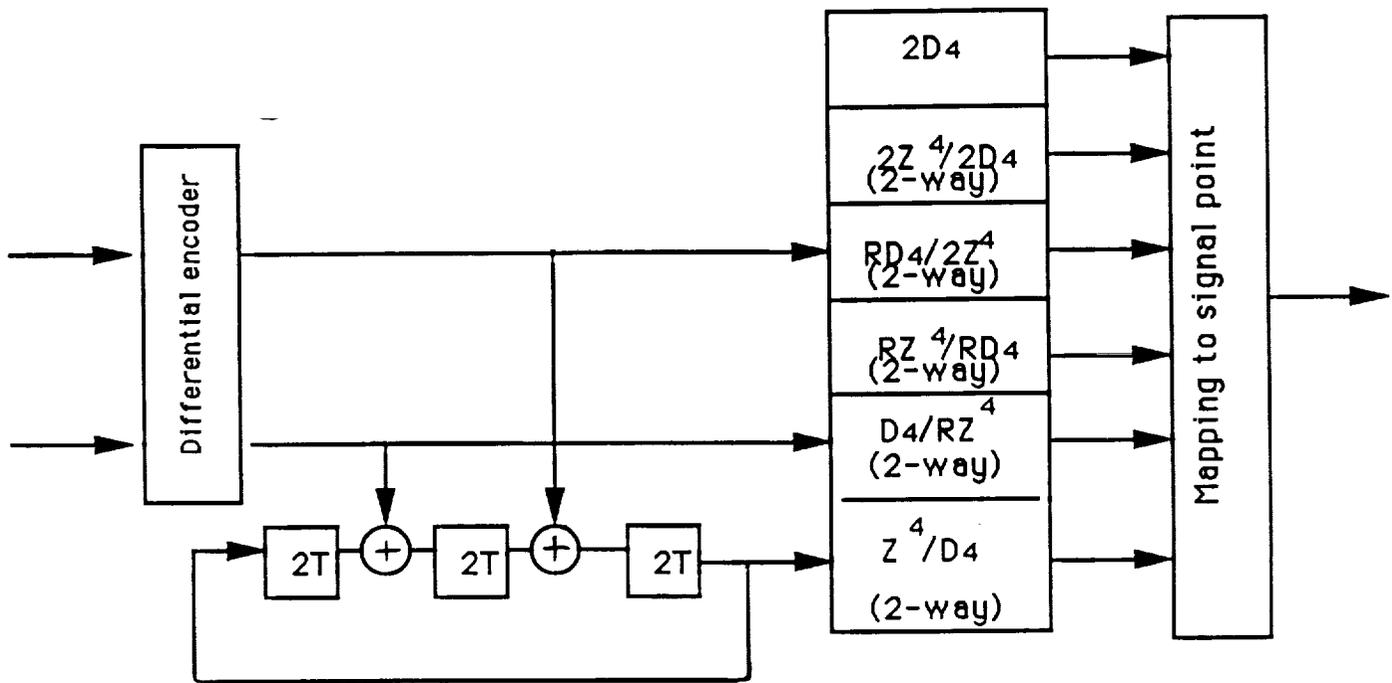


Fig. 14 Diagram of four dimensional 90 rotationally invariant encoder with a differential encoder

## Conclusions

- Several constructions for multi-level trellis codes are presented and many codes with better performance than previously known codes are found. These codes provide a flexible trade-off between coding gain, decoding complexity, and decoding delay.
- New multi-level trellis coded modulation schemes using generalized set partitioning methods are developed for QAM and PSK signal sets.
- New rotationally invariant multi-level trellis codes which can be combined with differential encoding to resolve phase ambiguity are presented.

**Appendix B**  
**New Multi-Level Codes over  $GF(q)$**