

# Spatially-Coupled Codes for Optical Communications: State-of-the-Art and Open Problems

Alexandre Graell i Amat, Christian Häger,  
Fredrik Brännström, and Erik Agrell

Department of Signals and Systems, Chalmers University of Technology, Gothenburg, Sweden

20th OptoElectronics and Communications Conference (OECC)  
Shanghai, China, July 2, 2015

**FORCE**  
FIBER-OPTIC COMMUNICATIONS  
RESEARCH CENTER



**CHALMERS**

# Motivation

- FEC is essential in modern fiber-optical communication systems: spectrally efficient systems that operate close to the capacity limits.

# Motivation

- FEC is essential in modern fiber-optical communication systems: spectrally efficient systems that operate close to the capacity limits.

1993

2000

2003

---

 Coding scheme

---

 NCG ( $10^{-13}$ )
 

---

# Motivation

- FEC is essential in modern fiber-optical communication systems: spectrally efficient systems that operate close to the capacity limits.

	1993	2000	2003
Coding scheme	algebraic codes RS (255, 239) hard		
NCG ( $10^{-13}$ )	$\sim 5.8$ dB		

## Motivation

- FEC is essential in modern fiber-optical communication systems: spectrally efficient systems that operate close to the capacity limits.

	1993	2000	2003
Coding scheme	algebraic codes RS (255, 239) hard	concatenated codes RS+BCH, RS+RS hard	
NCG ( $10^{-13}$ )	~ 5.8 dB	7 – 9 dB	

# Motivation

- FEC is essential in modern fiber-optical communication systems: spectrally efficient systems that operate close to the capacity limits.

	1993	2000	2003
Coding scheme	algebraic codes RS (255, 239) hard	concatenated codes RS+BCH, RS+RS hard	iteratively decodable codes block turbo codes & LDPC codes soft
NCG ( $10^{-13}$ )	~ 5.8 dB	7 – 9 dB	~ 10 dB

# LDPC codes: Powerful codes with low complexity SDD

## Requirements

# LDPC codes: Powerful codes with low complexity SDD

## Requirements

- (a) Very high throughputs (100 Gbps or higher)



# LDPC codes: Powerful codes with low complexity SDD

## Requirements

- (a) Very high throughputs (100 Gbps or higher)
- (b) Very high net coding gains (close-to-capacity performance)

# LDPC codes: Powerful codes with low complexity SDD

## Requirements

- (a) Very high throughputs (100 Gbps or higher)
- (b) Very high net coding gains (close-to-capacity performance)
- (c) Very low error rates ( $\sim 10^{-15}$ )

# LDPC codes: Powerful codes with low complexity SDD

## Requirements

- (a) Very high throughputs (100 Gbps or higher)
- (b) Very high net coding gains (close-to-capacity performance)
- (c) Very low error rates ( $\sim 10^{-15}$ )

- Regular LDPC Codes

# LDPC codes: Powerful codes with low complexity SDD

## Requirements

- (a) Very high throughputs (100 Gbps or higher)
  - (b) Very high net coding gains (close-to-capacity performance)
  - (c) Very low error rates ( $\sim 10^{-15}$ )
- 
- Regular LDPC Codes
    - Minimum distance grows linearly with block length  $\rightarrow$  low error rates! (c)

# LDPC codes: Powerful codes with low complexity SDD

## Requirements

- (a) Very high throughputs (100 Gbps or higher)
  - (b) Very high net coding gains (close-to-capacity performance)
  - (c) Very low error rates ( $\sim 10^{-15}$ )
- 
- Regular LDPC Codes
    - Minimum distance grows linearly with block length  $\rightarrow$  low error rates! (c)
    - Drawback: **non capacity-approaching** under low-complexity BP decoding.

**Belief propagation (BP)**: suboptimal (iterative) soft decision decoding algorithm.

# LDPC codes: Powerful codes with low complexity SDD

## Requirements

- (a) Very high throughputs (100 Gbps or higher)
  - (b) Very high net coding gains (close-to-capacity performance)
  - (c) Very low error rates ( $\sim 10^{-15}$ )
- 
- Regular LDPC Codes
    - Minimum distance grows linearly with block length  $\rightarrow$  low error rates! (c)
    - Drawback: **non capacity-approaching** under low-complexity BP decoding.
  - Irregular LDPC Codes

**Belief propagation (BP)**: suboptimal (iterative) soft decision decoding algorithm.

# LDPC codes: Powerful codes with low complexity SDD

## Requirements

- (a) Very high throughputs (100 Gbps or higher)
  - (b) Very high net coding gains (close-to-capacity performance)
  - (c) Very low error rates ( $\sim 10^{-15}$ )
- 
- Regular LDPC Codes
    - Minimum distance grows linearly with block length  $\rightarrow$  low error rates! (c)
    - Drawback: **non capacity-approaching** under low-complexity BP decoding.
  - Irregular LDPC Codes
    - **Capacity approaching** with BP decoding. (b)

**Belief propagation (BP)**: suboptimal (iterative) soft decision decoding algorithm.

# LDPC codes: Powerful codes with low complexity SDD

## Requirements

- (a) Very high throughputs (100 Gbps or higher)
- (b) Very high net coding gains (close-to-capacity performance)
- (c) Very low error rates ( $\sim 10^{-15}$ )

- Regular LDPC Codes

- Minimum distance grows linearly with block length  $\rightarrow$  low error rates! (c)
- Drawback: **non capacity-approaching** under low-complexity BP decoding.

- Irregular LDPC Codes

- **Capacity approaching** with BP decoding. (b)
- Drawbacks: **error floor, non-universal**.

**Belief propagation (BP)**: suboptimal (iterative) soft decision decoding algorithm.



# A new coding paradigm: Spatially-coupled LDPC codes

The best of regular and irregular LDPC codes

# A new coding paradigm: Spatially-coupled LDPC codes

## The best of regular and irregular LDPC codes

- **Capacity achieving** with low-complexity BP decoding.

# A new coding paradigm: Spatially-coupled LDPC codes

## The best of regular and irregular LDPC codes

- **Capacity achieving** with low-complexity BP decoding.
- **Linear distance growth rate** (low error rates!).

# A new coding paradigm: Spatially-coupled LDPC codes

## The best of regular and irregular LDPC codes

- **Capacity achieving** with low-complexity BP decoding.
- **Linear distance growth rate** (low error rates!).
- **Universal property.**

# A new coding paradigm: Spatially-coupled LDPC codes

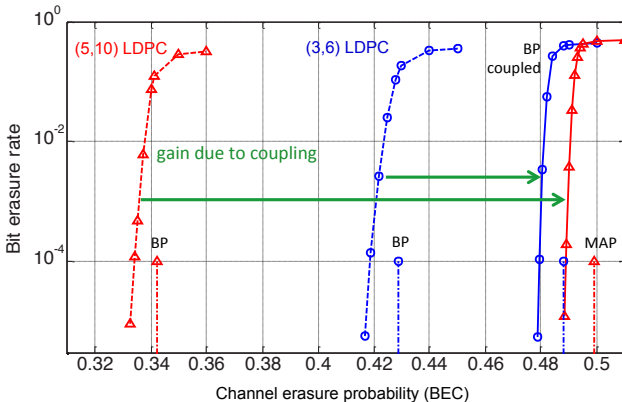
## The best of regular and irregular LDPC codes

- **Capacity achieving** with low-complexity BP decoding.
- **Linear distance growth rate** (low error rates!).
- **Universal property.**

## Main principle

The BP threshold **saturates to the optimal MAP threshold** of the underlying LDPC block code ensemble.

## Spatial coupling gain



- The BP threshold saturates to the MAP threshold.

## In this talk

**Spatially-coupled codes:** promising candidates for future fiber-optical systems

## In this talk

**Spatially-coupled codes:** promising candidates for future fiber-optical systems

### Outline:

1. Basics of SC-LDPC Codes
2. SC-LDPC Codes and high-order modulation (SDD).
3. Spatially-coupled codes for HDD (staircase codes and extended staircase codes)



# Spatially-coupled LDPC codes

## Spatially-coupled LDPC codes

- A SC-LDPC code is constructed from an (regular) LDPC code applying a **copy & coupling** procedure.

## Spatial coupling: Code construction

$M = 10$  code bits

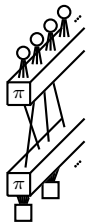
$$\begin{pmatrix} 1 & 1 & 0 & 0 & 0 & 0 & 1 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 & 0 & 0 & 0 & 0 & 1 & 1 \\ 1 & 1 & 1 & 1 & 1 & 1 & 0 & 0 & 0 & 0 \\ 0 & 0 & 1 & 1 & 1 & 1 & 1 & 1 & 0 & 0 \\ 0 & 0 & 0 & 0 & 1 & 1 & 1 & 1 & 1 & 1 \end{pmatrix}$$

# Spatial coupling: Code construction

$M = 10$  code bits

$$\begin{pmatrix} 1 & 1 & 0 & 0 & 0 & 0 & 1 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 & 0 & 0 & 0 & 0 & 1 & 1 \\ 1 & 1 & 1 & 1 & 1 & 1 & 0 & 0 & 0 & 0 \\ 0 & 0 & 1 & 1 & 1 & 1 & 1 & 1 & 0 & 0 \\ 0 & 0 & 0 & 0 & 1 & 1 & 1 & 1 & 1 & 1 \end{pmatrix}$$

$M$  code bits



parity-checks

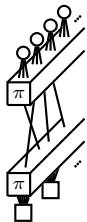
(Tanner graph)

# Spatial coupling: Code construction

$M = 10$  code bits

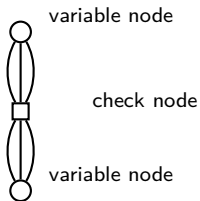
$$\begin{pmatrix} 1 & 1 & 0 & 0 & 0 & 0 & 1 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 & 0 & 0 & 0 & 0 & 1 & 1 \\ 1 & 1 & 1 & 1 & 1 & 1 & 0 & 0 & 0 & 0 \\ 0 & 0 & 1 & 1 & 1 & 1 & 1 & 1 & 0 & 0 \\ 0 & 0 & 0 & 0 & 1 & 1 & 1 & 1 & 1 & 1 \end{pmatrix}$$

$M$  code bits



parity-checks

(Tanner graph)



protograph rate-1/2  
(3,6)-regular LDPC code

# Spatial coupling: Code construction

$M = 10$  code bits

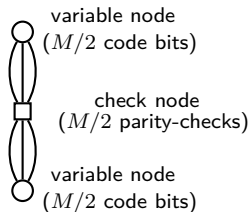
$$\begin{pmatrix} 1 & 1 & 0 & 0 & 0 & 0 & 1 & 1 & 1 & 1 \\ 1 & 1 & 1 & 1 & 0 & 0 & 0 & 0 & 1 & 1 \\ 1 & 1 & 1 & 1 & 1 & 1 & 0 & 0 & 0 & 0 \\ 0 & 0 & 1 & 1 & 1 & 1 & 1 & 1 & 0 & 0 \\ 0 & 0 & 0 & 0 & 1 & 1 & 1 & 1 & 1 & 1 \end{pmatrix}$$

$M$  code bits



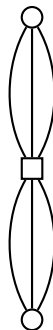
parity-checks

(Tanner graph)



protograph rate-1/2  
(3,6)-regular LDPC code  
(length  $M$  bits)

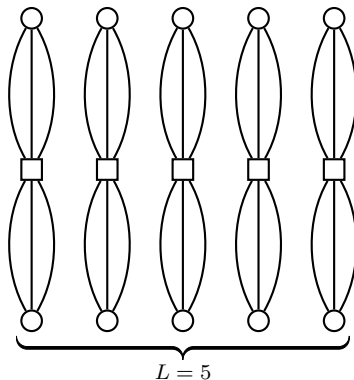
## Spatial coupling: Code construction



protograph rate-1/2 (3,6)-regular LDPC code

## Spatial coupling: Code construction

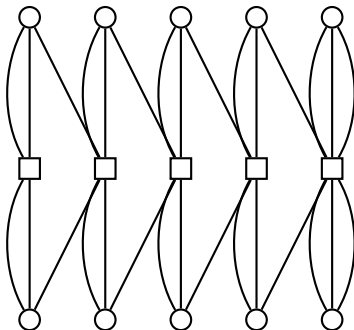
copy the protograph  $L$  times





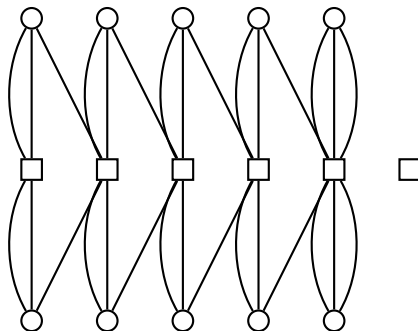
## Spatial coupling: Code construction

connect (couple) the protographs



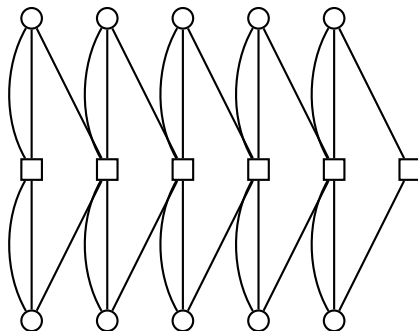
## Spatial coupling: Code construction

connect (couple) the protographs



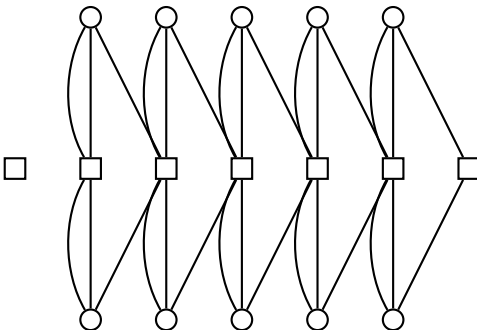
## Spatial coupling: Code construction

connect (couple) the protographs



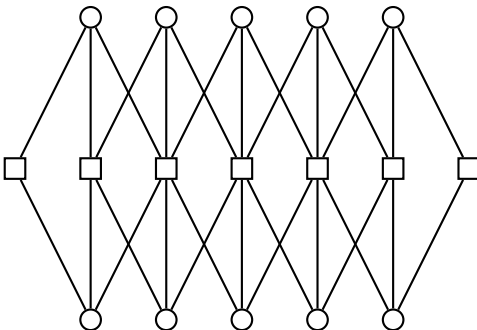
## Spatial coupling: Code construction

connect (couple) the protographs

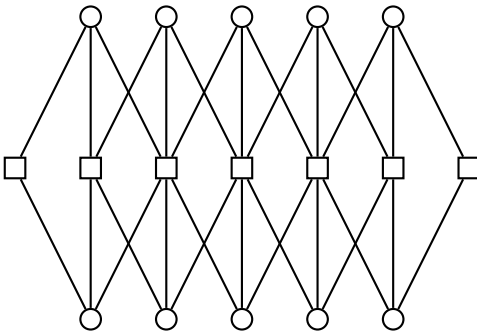


## Spatial coupling: Code construction

connect (couple) the protographs

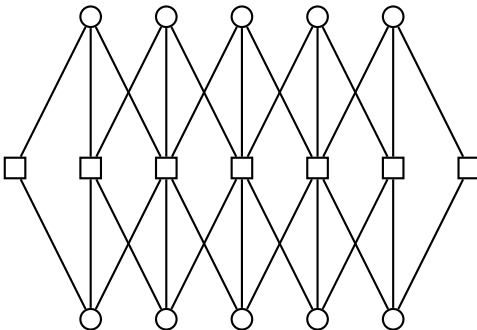


## Spatial coupling: Code construction

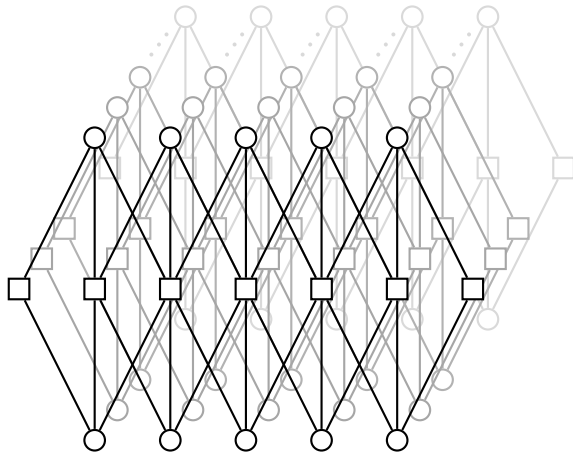


(terminated) coupled chain of  $L = 5$  LDPC codes

## Spatial coupling: Code construction



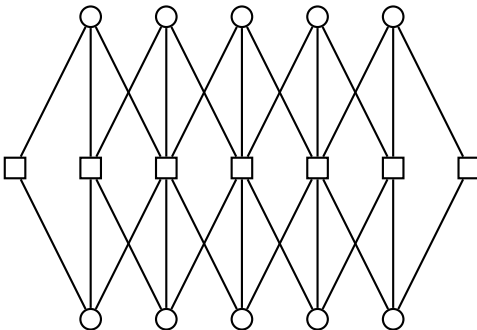
## Spatial coupling: Code construction



Tanner graph  $(3, 6, L = 5)$  terminated SC-LDPC code

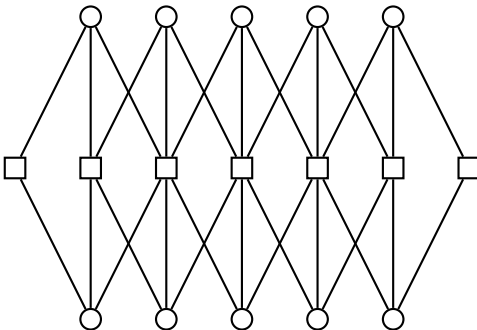


## Spatial coupling: Code construction



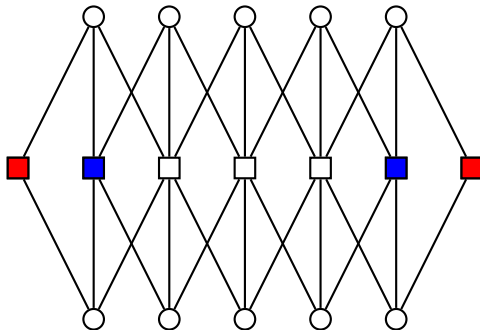
regular graph...except at the boundaries

## Spatial coupling: Code construction



regular graph...except at the boundaries

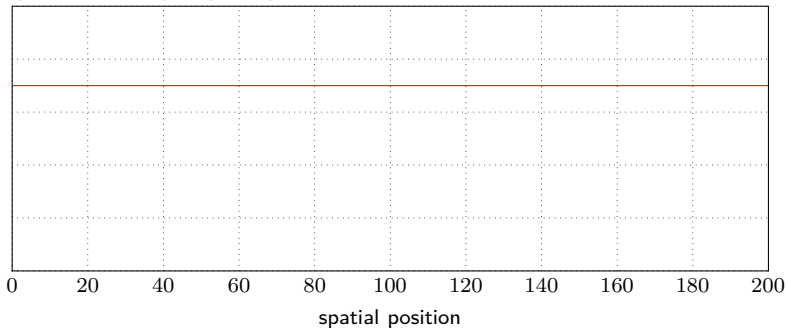
## Spatial coupling: Code construction



regular graph...except at the boundaries

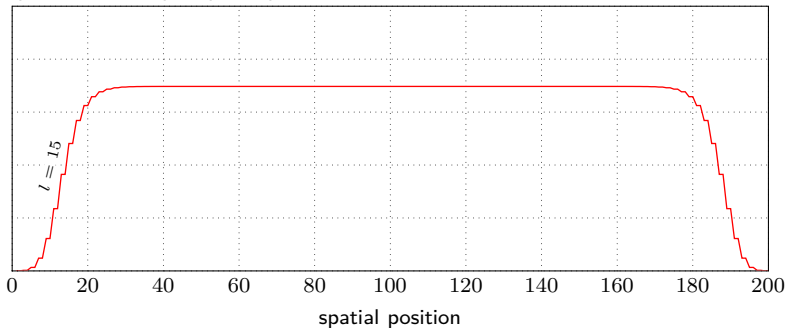
## Decoding Wave (terminated SC-LDPC code)

predicted BER per spatial position



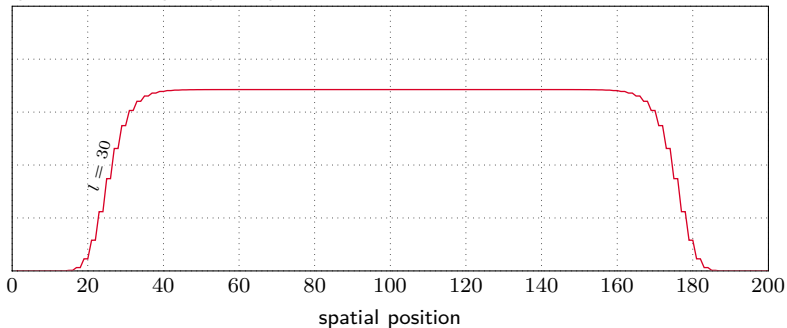
## Decoding Wave (terminated SC-LDPC code)

predicted BER per spatial position



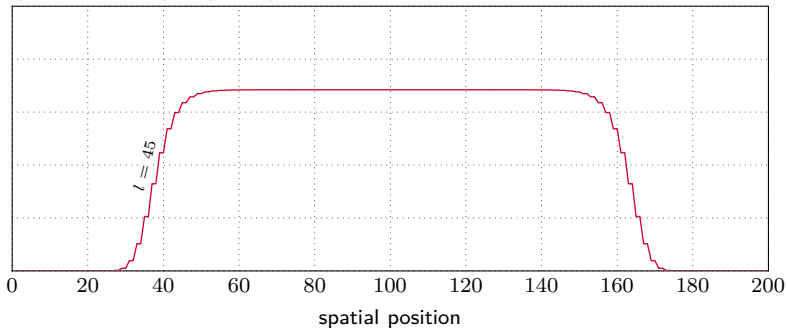
# Decoding Wave (terminated SC-LDPC code)

predicted BER per spatial position



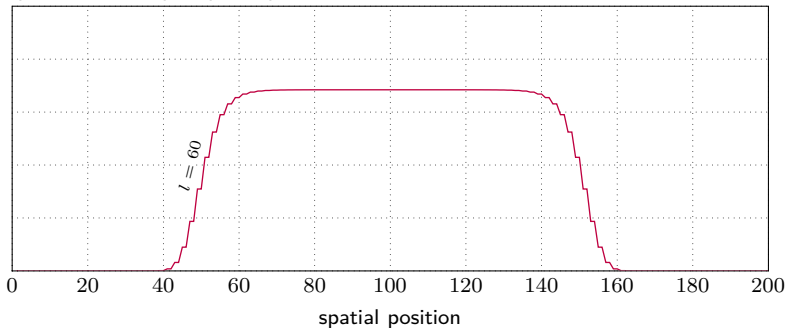
## Decoding Wave (terminated SC-LDPC code)

predicted BER per spatial position



# Decoding Wave (terminated SC-LDPC code)

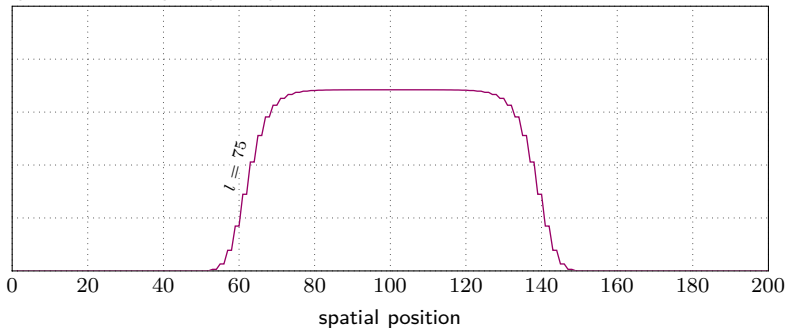
predicted BER per spatial position





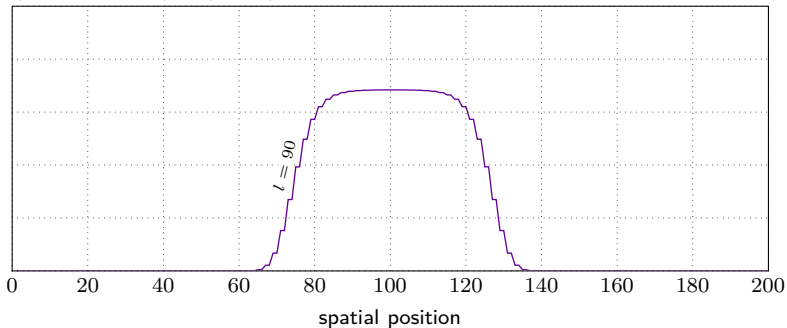
# Decoding Wave (terminated SC-LDPC code)

predicted BER per spatial position



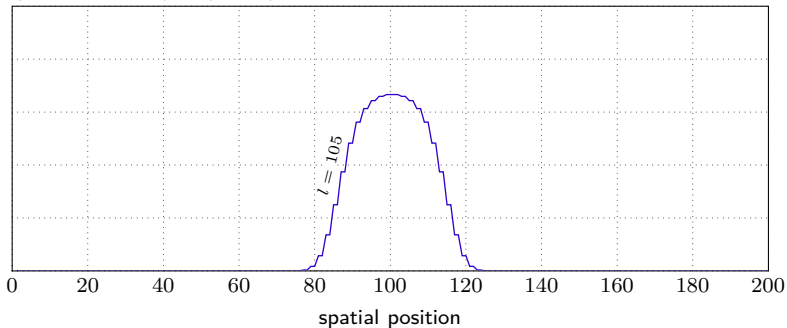
# Decoding Wave (terminated SC-LDPC code)

predicted BER per spatial position



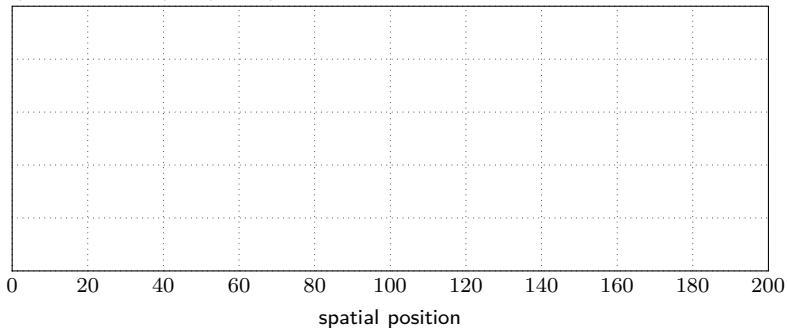
# Decoding Wave (terminated SC-LDPC code)

predicted BER per spatial position



## Decoding Wave (terminated SC-LDPC code)

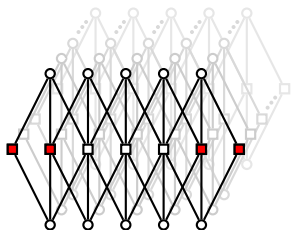
predicted BER per spatial position



Successful decoding!

Example:

Terminated



check node degrees

slightly irregular

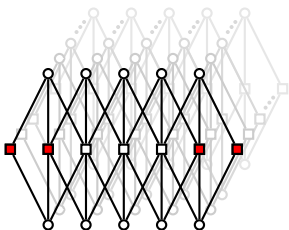
performance

capacity-approaching  
(wave effect)

linear distance growth

Example:

Terminated



check node degrees

slightly irregular

performance

capacity-approaching  
(wave effect)

linear distance growth

rate

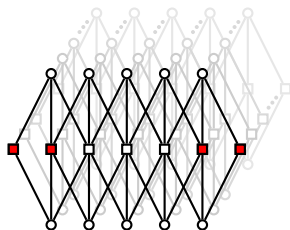
$$R(L) = R - R_{\text{loss}}(L)$$

(larger OH)

Example:

Terminated

Tailbiting



check node degrees

slightly irregular

performance

capacity-approaching  
(wave effect)

linear distance growth

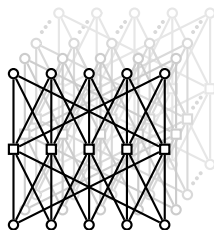
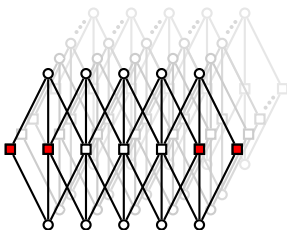
rate

$$R(L) = R - R_{\text{loss}}(L)$$
 (larger OH)

Example:

Terminated

Tailbiting



check node degrees

slightly irregular

performance

capacity-approaching  
(wave effect)

linear distance growth

rate

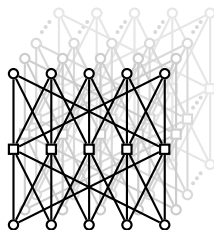
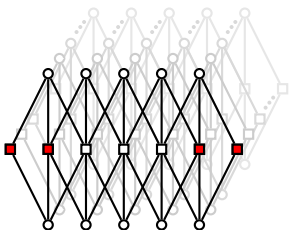
$R(L) = R - R_{\text{loss}}(L)$   
(larger OH)



Example:

Terminated

Tailbiting



check node degrees

slightly irregular

regular

performance

capacity-approaching  
(wave effect)

linear distance growth

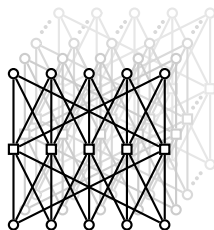
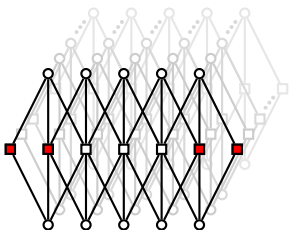
rate

$R(L) = R - R_{\text{loss}}(L)$   
(larger OH)

Example:

Terminated

Tailbiting



check node degrees

slightly irregular

regular

performance

capacity-approaching  
(wave effect)

linear distance growth

rate

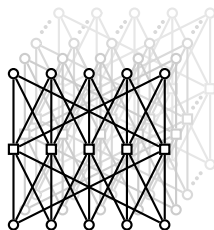
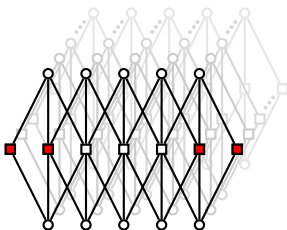
$R(L) = R - R_{\text{loss}}(L)$   
(larger OH)

$R$  (no rate loss)

Example:

Terminated

Tailbiting



check node degrees

slightly irregular

regular

performance

capacity-approaching  
(wave effect)

linear distance growth

linear distance growth

rate

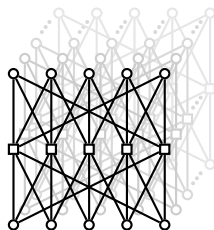
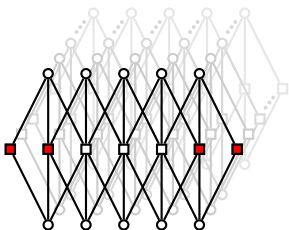
$R(L) = R - R_{\text{loss}}(L)$   
(larger OH)

$R$  (no rate loss)

Example:

Terminated

Tailbiting



check node degrees

slightly irregular

regular

performance

capacity-approaching  
(wave effect)

comparable to regular LDPC  
(no wave effect)

linear distance growth

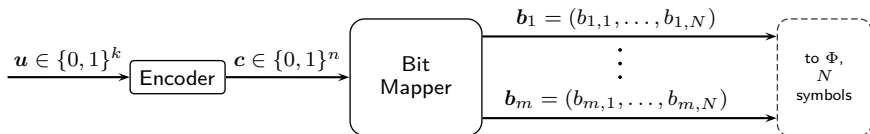
linear distance growth

rate

$R(L) = R - R_{\text{loss}}(L)$   
(larger OH)

$R$  (no rate loss)

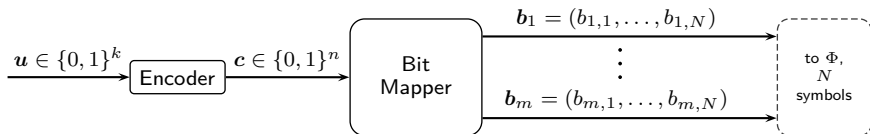
## Coded Modulation: Bit Mapper



- Bit mapper determines **allocation of the coded bits to the modulation bits**.

[1] C. Häger, A. Graell i Amat, F. Brännström, A. Alvarado, E. Agrell, "Terminated and Tailbiting Spatially-Coupled Codes with Optimized Bit Mappings for Spectrally Efficient Fiber-Optical Systems," *IEEE/OSA J. Lightwave Technology*, April 2015.

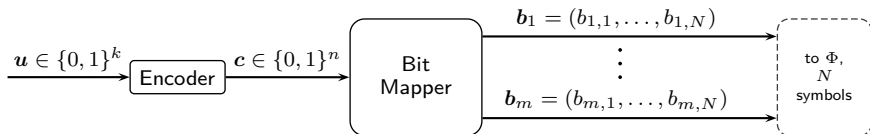
## Coded Modulation: Bit Mapper



- Bit mapper determines **allocation of the coded bits to the modulation bits**.
- **Baseline bit mapper**: sequential or random.

[1] C. Häger, A. Graell i Amat, F. Brännström, A. Alvarado, E. Agrell, "Terminated and Tailbiting Spatially-Coupled Codes with Optimized Bit Mappings for Spectrally Efficient Fiber-Optical Systems," *IEEE/OSA J. Lightwave Technology*, April 2015.

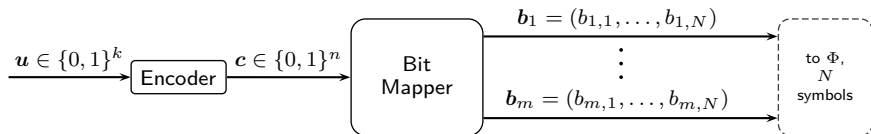
## Coded Modulation: Bit Mapper



- Bit mapper determines **allocation of the coded bits to the modulation bits**.
- **Baseline bit mapper**: sequential or random.
- In a high-order modulation, the different modulation bits have **different protection levels**.

[1] C. Häger, A. Graell i Amat, F. Brännström, A. Alvarado, E. Agrell, "Terminated and Tailbiting Spatially-Coupled Codes with Optimized Bit Mappings for Spectrally Efficient Fiber-Optical Systems," *IEEE/OSA J. Lightwave Technology*, April 2015.

## Coded Modulation: Bit Mapper

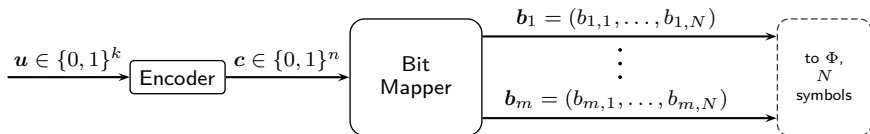


- Bit mapper determines **allocation of the coded bits to the modulation bits**.
- **Baseline bit mapper**: sequential or random.
- In a high-order modulation, the different modulation bits have **different protection levels**.
- Unequal error protection can be exploited to initiate a **wave effect** for tailbiting SC-LDPC codes!

[1] C. Häger, A. Graell i Amat, F. Brännström, A. Alvarado, E. Agrell, "Terminated and Tailbiting Spatially-Coupled Codes with Optimized Bit Mappings for Spectrally Efficient Fiber-Optical Systems," *IEEE/OSA J. Lightwave Technology*, April 2015.

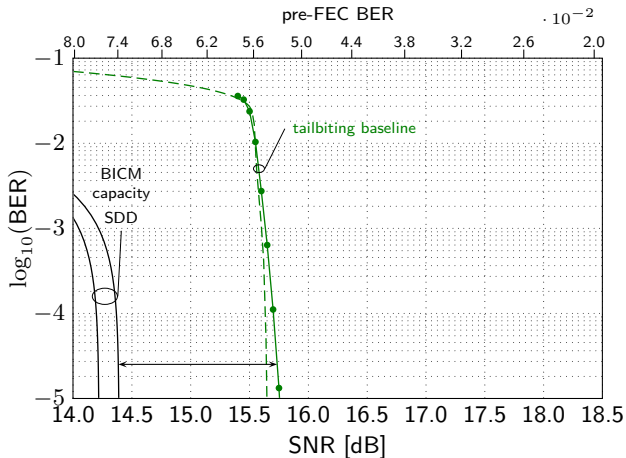


## Coded Modulation: Bit Mapper

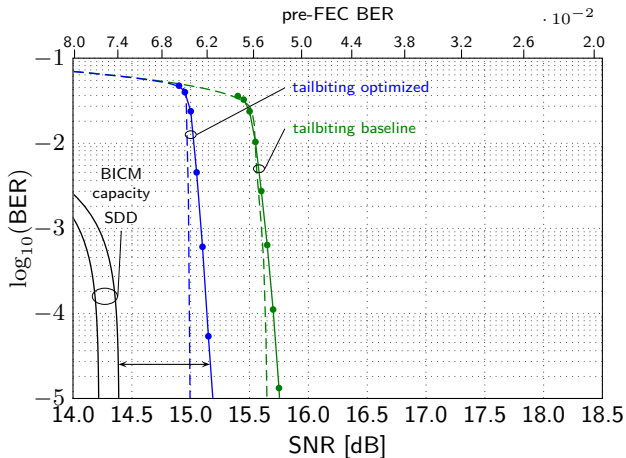


- Bit mapper determines **allocation of the coded bits to the modulation bits**.
- **Baseline bit mapper**: sequential or random.
- In a high-order modulation, the different modulation bits have **different protection levels**.
- Unequal error protection can be exploited to initiate a **wave effect** for tailbiting SC-LDPC codes!
- Bit mapper is **optimized** to optimize the **decoding threshold**.

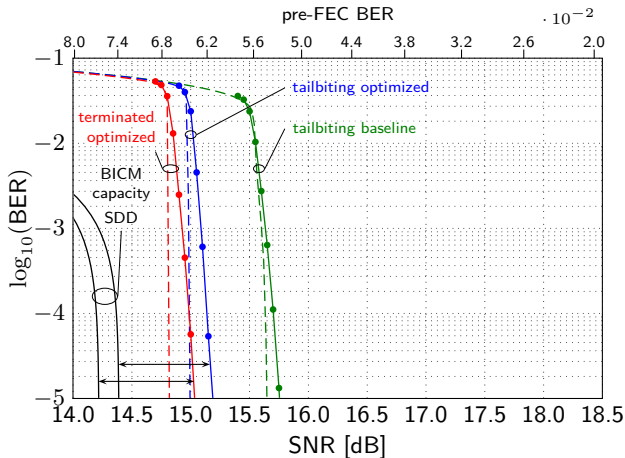
[1] C. Häger, A. Graell i Amat, F. Brännström, A. Alvarado, E. Agrell, "Terminated and Tailbiting Spatially-Coupled Codes with Optimized Bit Mappings for Spectrally Efficient Fiber-Optical Systems," *IEEE/OSA J. Lightwave Technology*, April 2015.



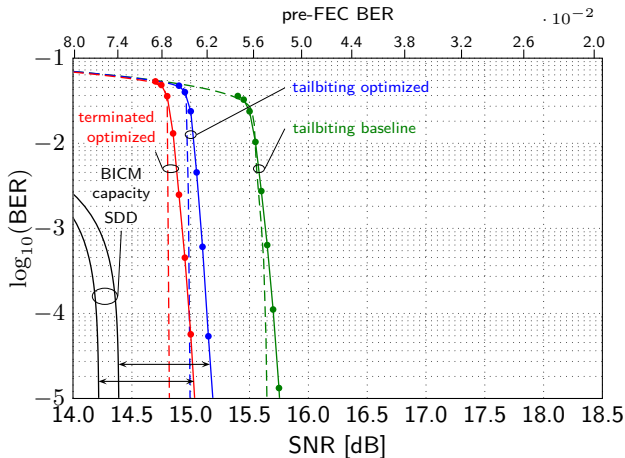
- Gaussian channel, 64-QAM, rate terminated = 0.741 (OH= 35%), rate tailbiting = 0.75 (OH= 33%), 60000 decoding delay.



- Gaussian channel, 64-QAM, rate terminated = 0.741 (OH= 35%), rate tailbiting = 0.75 (OH= 33%), 60000 decoding delay.
- **Gain of  $\approx 0.55$  dB** at a BER of  $10^{-5}$ .



- Gaussian channel, 64-QAM, rate terminated = 0.741 (OH= 35%), rate tailbiting = 0.75 (OH= 33%), 60000 decoding delay.
- **Gain of  $\approx 0.55$  dB** at a BER of  $10^{-5}$ .



- Gaussian channel, 64-QAM, rate terminated = 0.741 (OH= 35%), rate tailbiting = 0.75 (OH= 33%), 60000 decoding delay.
- **Gain of  $\approx 0.55$  dB** at a BER of  $10^{-5}$ .
- Approximately the **same gap to capacity** for both optimized systems.

## Spatial coupling for HDD

Spatial coupling is a **very general** concept!

- Spatially-coupled codes for HDD (e.g., staircase codes).

# Staircase Codes (and Product Codes)

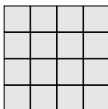
## Staircase Codes (and Product Codes)

- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a **“building block”**



## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]

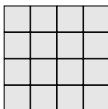


Example:  $n = 4$

- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



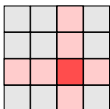
Example:  $n = 4$

each row/column is a codeword in  $\mathcal{C}$   
 ( $2n$  code constraints in total)

- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



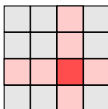
Example:  $n = 4$

each row/column is a codeword in  $\mathcal{C}$   
( $2n$  code constraints in total)

- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a **“building block”**

## Staircase Codes (and Product Codes)

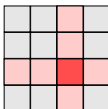
rectangular array [Elias 1954]



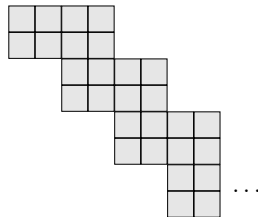
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



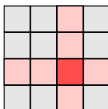
staircase array [Kschischang *et al.*]



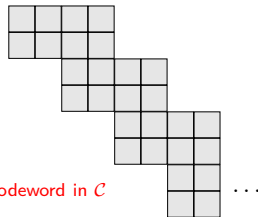
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a **“building block”**

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



staircase array [Kschischang *et al.*]

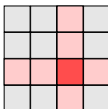


each row/column is a codeword in  $\mathcal{C}$

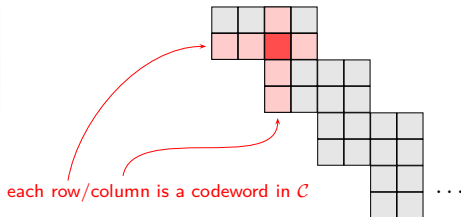
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



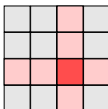
staircase array [Kschischang *et al.*]



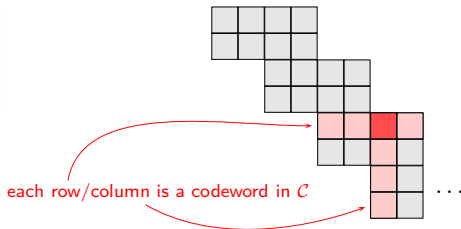
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



staircase array [Kschischang *et al.*]

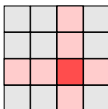


- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”

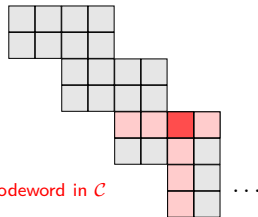


## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



staircase array [Kschischang *et al.*]

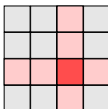


each row/column is a codeword in  $\mathcal{C}$

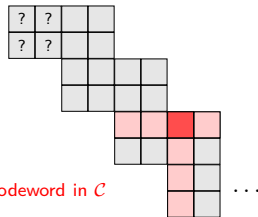
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



staircase array [Kschischang *et al.*]

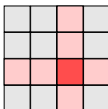


each row/column is a codeword in  $\mathcal{C}$

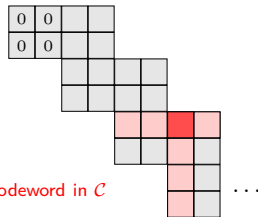
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



staircase array [Kschischang *et al.*]

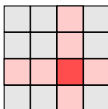


each row/column is a codeword in  $\mathcal{C}$

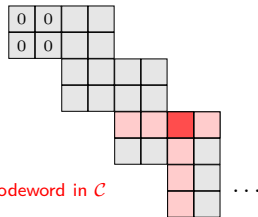
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



staircase array [Kschischang *et al.*]

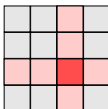


each row/column is a codeword in  $\mathcal{C}$

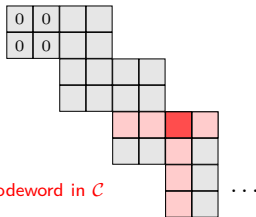
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”
- $\mathcal{C}$ : **BCH code** defined by  $(\nu, t, s)$ , where
  - $\nu$ : Galois-field extension degree
  - $t$ : error-correction capability
  - $s$ : shortening parameter

# Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



staircase array [Kschischang *et al.*]

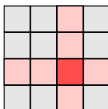


each row/column is a codeword in  $\mathcal{C}$

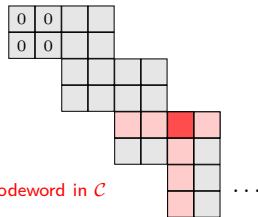
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”
- $\mathcal{C}$ : **BCH code** defined by  $(\nu, t, s)$ , where
  - $\nu$ : Galois-field extension degree
  - $t$ : error-correction capability
  - $s$ : shortening parameter
- $\Rightarrow$  length  $n = 2^\nu - 1 - s$ , dimension  $k = 2^\nu - \nu t - 1 - s$

## Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



staircase array [Kschischang et al.]

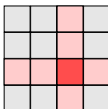


each row/column is a codeword in  $\mathcal{C}$

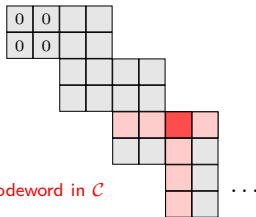
- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”
- $\mathcal{C}$ : **BCH code** defined by  $(\nu, t, s)$ , where
  - $\nu$ : Galois-field extension degree
  - $t$ : error-correction capability
  - $s$ : shortening parameter
- $\Rightarrow$  length  $n = 2^\nu - 1 - s$ , dimension  $k = 2^\nu - \nu t - 1 - s$
- Staircase code rate  $R = 2k/n - 1$  and **FEC overhead**  $\text{OH} = 1/R - 1$

# Staircase Codes (and Product Codes)

rectangular array [Elias 1954]



staircase array [Kschischang et al.]



each row/column is a codeword in  $\mathcal{C}$

- Start with a **binary linear code**  $\mathcal{C}(n, k, d_{\min})$  as a “**building block**”
- $\mathcal{C}$ : **BCH code** defined by  $(\nu, t, s)$ , where
  - $\nu$ : Galois-field extension degree
  - $t$ : error-correction capability
  - $s$ : shortening parameter
- $\Rightarrow$  length  $n = 2^\nu - 1 - s$ , dimension  $k = 2^\nu - \nu t - 1 - s$
- Staircase code rate  $R = 2k/n - 1$  and **FEC overhead**  $\text{OH} = 1/R - 1$

## Problem Formulation

For fixed OH, find a “good” triple  $(\nu, t, s)$ .

# Decoding Algorithm and Previous Work



## Decoding Algorithm and Previous Work

- Iterate between BCH decoders for all rows/columns in a sliding window.

## Decoding Algorithm and Previous Work

- Iterate between BCH decoders for all rows/columns in a sliding window.
- Iterative intrinsic message-passing (IMP) with “hard” (binary) messages.

## Decoding Algorithm and Previous Work

- Iterate between BCH decoders for all rows/columns in a sliding window.
- Iterative intrinsic message-passing (IMP) with “hard” (binary) messages.
- Significant decoder data flow reduction compared to LDPC codes → very high-speed optical communications.

## Decoding Algorithm and Previous Work

- Iterate between BCH decoders for all rows/columns in a sliding window.
- Iterative intrinsic message-passing (IMP) with “hard” (binary) messages.
- Significant decoder data flow reduction compared to LDPC codes → very high-speed optical communications.

Previous work [Kschischang *et al.*]

## Decoding Algorithm and Previous Work

- Iterate between BCH decoders for all rows/columns in a sliding window.
- Iterative intrinsic message-passing (IMP) with “hard” (binary) messages.
- Significant decoder data flow reduction compared to LDPC codes → very high-speed optical communications.

Previous work [Kschischang *et al.*]

- Parameter space based on practical consideration: product set of  $\text{OH} \in \{1/i : i = 3, 4, \dots, 16\}$ ,  $\nu \in \{8, 9, 10, 11, 12\}$ ,  $t \in \{2, 3, 4, 5, 6\}$ .

## Decoding Algorithm and Previous Work

- Iterate between BCH decoders for all rows/columns in a sliding window.
- Iterative intrinsic message-passing (IMP) with “hard” (binary) messages.
- Significant decoder data flow reduction compared to LDPC codes → very high-speed optical communications.

Previous work [Kschischang *et al.*]

- Parameter space based on practical consideration: product set of  $\text{OH} \in \{1/i : i = 3, 4, \dots, 16\}$ ,  $\nu \in \{8, 9, 10, 11, 12\}$ ,  $t \in \{2, 3, 4, 5, 6\}$ .
- Software simulations to predict staircase code performance.

## Decoding Algorithm and Previous Work

- Iterate between BCH decoders for all rows/columns in a sliding window.
- Iterative intrinsic message-passing (IMP) with “hard” (binary) messages.
- Significant decoder data flow reduction compared to LDPC codes → very high-speed optical communications.

Previous work [Kschischang *et al.*]

- Parameter space based on practical consideration: product set of  $\text{OH} \in \{1/i : i = 3, 4, \dots, 16\}$ ,  $\nu \in \{8, 9, 10, 11, 12\}$ ,  $t \in \{2, 3, 4, 5, 6\}$ .
- Software simulations to predict staircase code performance.
- Computationally intensive: use simplified BCH decoders, which do not account for miscorrections.

## Staircase codes as SC-GLDPC codes

### Observation

Staircase codes can be seen as a class of **spatially-coupled generalized LDPC (SC-GLDPC) codes!**

[2] C. Häger, A. Graell i Amat, H. Pfister, F. Brännström, A. Alvarado, E. Agrell, "On Parameter Optimization for Staircase Codes," *OFC 2015*.



## Staircase codes as SC-GLDPC codes

### Observation

Staircase codes can be seen as a class of **spatially-coupled generalized LDPC (SC-GLDPC) codes!**

- Use **density evolution** and **ensemble thresholds** to optimize parameters, can account for miscorrections assuming **extrinsic message passing (EMP)**.

[2] C. Häger, A. Graell i Amat, H. Pfister, F. Brännström, A. Alvarado, E. Agrell, "On Parameter Optimization for Staircase Codes," *OFC 2015*.

## Staircase codes as SC-GLDPC codes

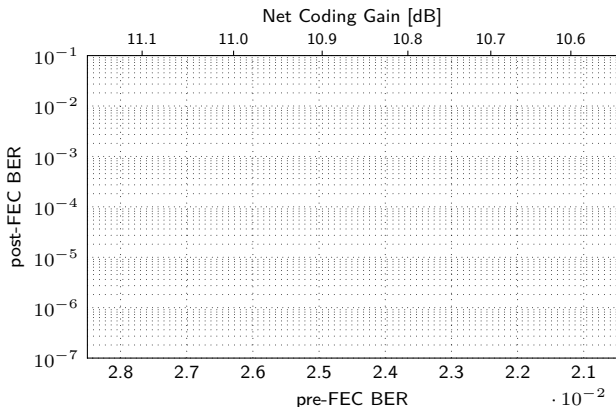
### Observation

Staircase codes can be seen as a class of **spatially-coupled generalized LDPC (SC-GLDPC) codes!**

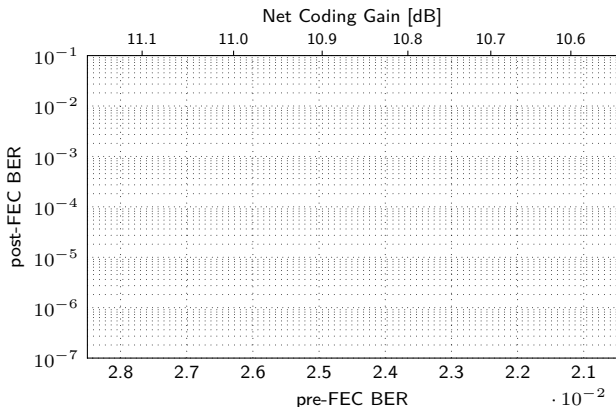
- Use **density evolution** and **ensemble thresholds** to optimize parameters, can account for miscorrections assuming **extrinsic message passing (EMP)**.
- Extended construction.

[2] C. Häger, A. Graell i Amat, H. Pfister, F. Brännström, A. Alvarado, E. Agrell, "On Parameter Optimization for Staircase Codes," *OFC 2015*.

## Example (OH = 33.33%): Density Evolution and Thresholds

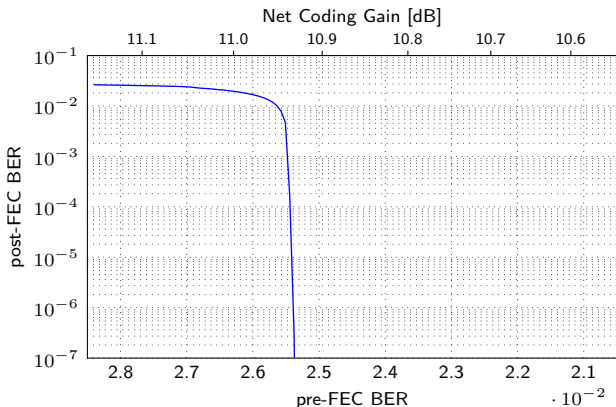


## Example (OH = 33.33%): Density Evolution and Thresholds



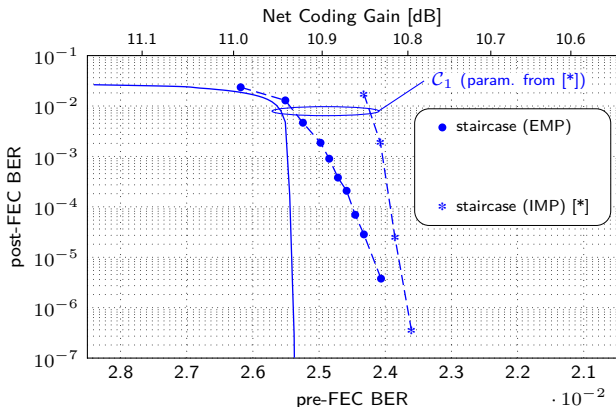
- $\mathcal{C}_1$  with  $(\nu, t, s) = (9, 5, 151)$  \* [Zhang and Kschischang, JLT, 2014]

## Example (OH = 33.33%): Density Evolution and Thresholds



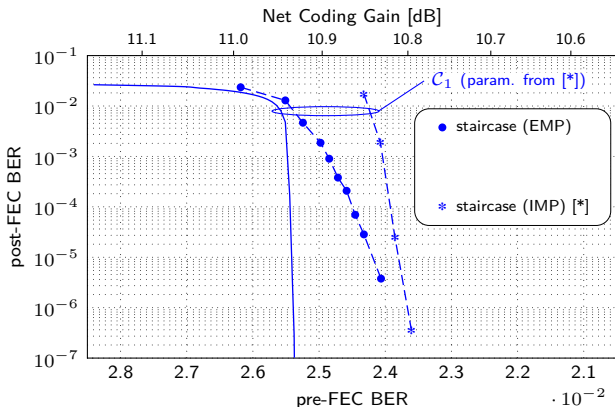
- $\mathcal{C}_1$  with  $(\nu, t, s) = (9, 5, 151)$  \* [Zhang and Kschischang, JLT, 2014]
- DE for  $(\mathcal{C}_1, \infty, 30, 2)$  SC-GLDPC, adapted to **sliding-window decoding**

# Example (OH = 33.33%): Density Evolution and Thresholds



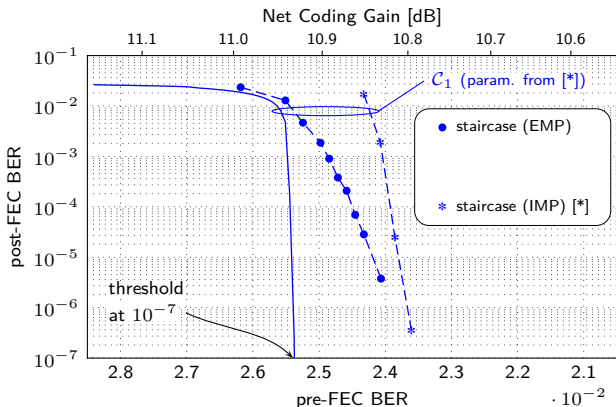
- $C_1$  with  $(\nu, t, s) = (9, 5, 151)$  \* [Zhang and Kschischang, JLT, 2014]
- DE for  $(C_1, \infty, 30, 2)$  SC-GLDPC, adapted to **sliding-window decoding**

## Example (OH = 33.33%): Density Evolution and Thresholds



- $C_1$  with  $(\nu, t, s) = (9, 5, 151)$  \* [Zhang and Kschischang, JLT, 2014]
- DE for  $(C_1, \infty, 30, 2)$  SC-GLDPC, adapted to **sliding-window decoding**
- DE accurately predicts pre-FEC BER region where staircase performance curve “bends” into **waterfall behavior**

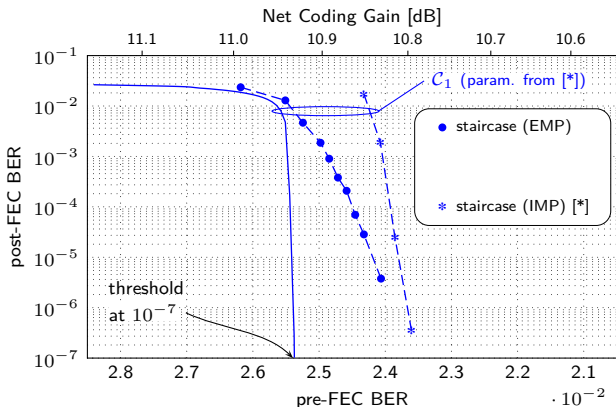
## Example (OH = 33.33%): Density Evolution and Thresholds



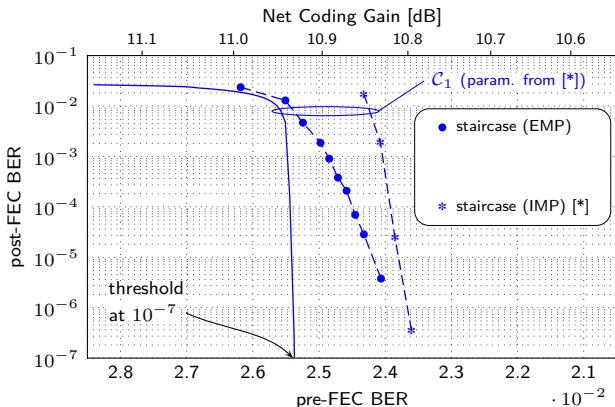
- $C_1$  with  $(\nu, t, s) = (9, 5, 151)$  \* [Zhang and Kschischang, JLT, 2014]
- DE for  $(C_1, \infty, 30, 2)$  SC-GLDPC, adapted to **sliding-window decoding**
- DE accurately predicts pre-FEC BER region where staircase performance curve “bends” into **waterfall behavior**
- Use **decoding thresholds** for parameter optimization



# Example (OH = 33.33%): Density Evolution and Thresholds

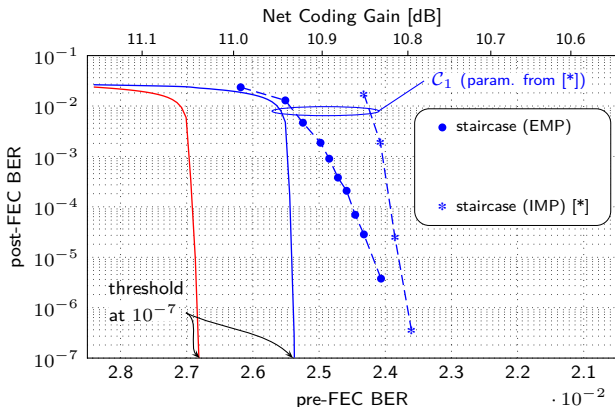


## Example (OH = 33.33%): Density Evolution and Thresholds



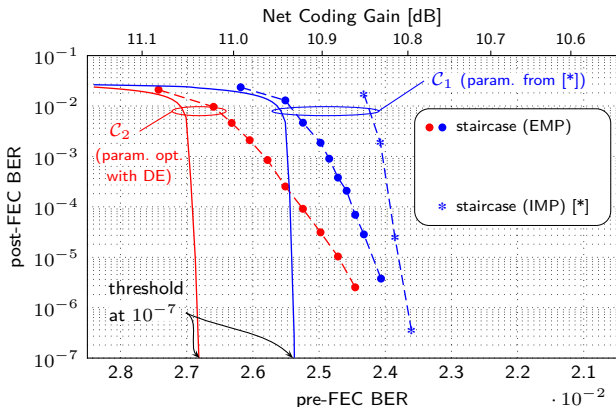
- Same parameter space as [Zhang and Kschischang, JLT, 2014] → full table for all OHs in our OFC paper.

## Example (OH = 33.33%): Density Evolution and Thresholds



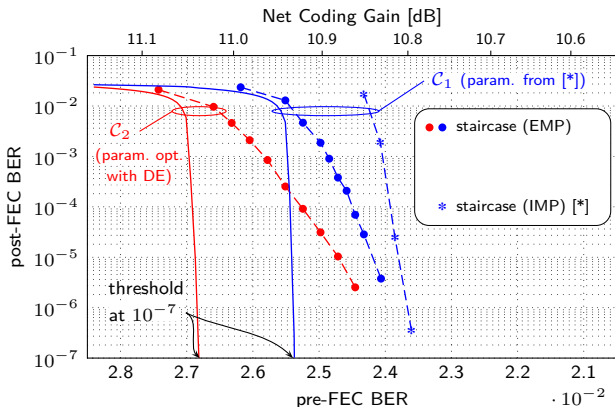
- Same parameter space as [Zhang and Kschischang, JLT, 2014]  $\rightarrow$  full table for all OHs in our OFC paper.
- Result for OH = 33.33%:  $C_2$  defined by  $(\nu, t, s) = (8, 3, 63)$ .

# Example (OH = 33.33%): Density Evolution and Thresholds



- Same parameter space as [Zhang and Kschischang, JLT, 2014] → full table for all OHs in our OFC paper.
- Result for OH = 33.33%:  $C_2$  defined by  $(\nu, t, s) = (8, 3, 63)$ .

# Example (OH = 33.33%): Density Evolution and Thresholds



- Same parameter space as [Zhang and Kschischang, JLT, 2014] → full table for all OHs in our OFC paper.
- Result for OH = 33.33%:  $C_2$  defined by  $(\nu, t, s) = (8, 3, 63)$ .
- Staircase codes with  $C_1$  and  $C_2$  have different slopes ⇒ DE gain prediction not preserved

# Staircase Array with Multiple Row/Column Constraints

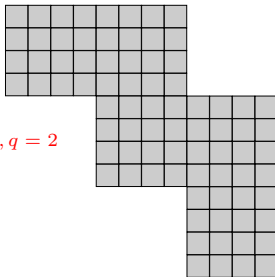
- Allow for  $q > 1$  code constraints in each row/column of the staircase array

## Staircase Array with Multiple Row/Column Constraints

- Allow for  $q > 1$  code constraints in each row/column of the staircase array  
→ improves steepness of BER curve.

# Staircase Array with Multiple Row/Column Constraints

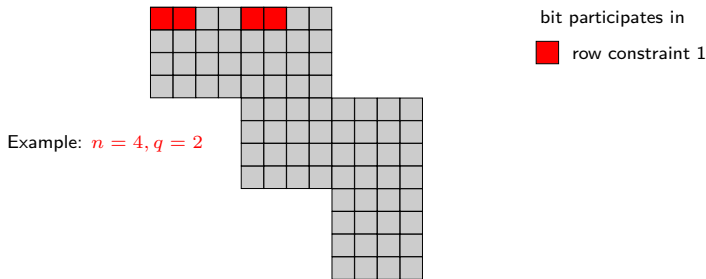
Example:  $n = 4, q = 2$



- Allow for  $q > 1$  code constraints in each row/column of the staircase array  
 → improves steepness of BER curve.

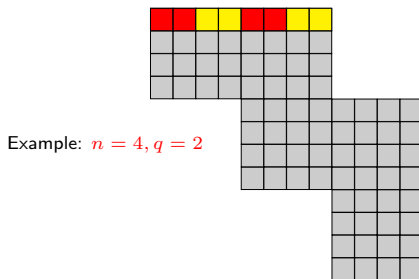


# Staircase Array with Multiple Row/Column Constraints



- Allow for  $q > 1$  code constraints in each row/column of the staircase array  
 → improves steepness of BER curve.

# Staircase Array with Multiple Row/Column Constraints



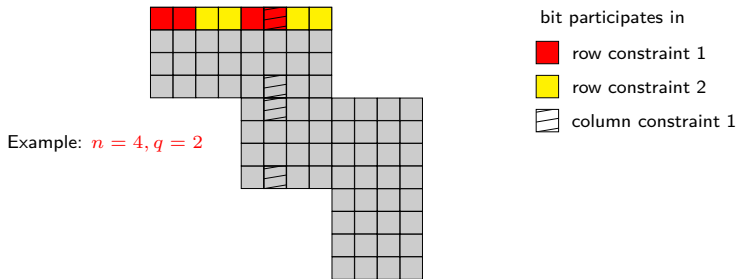
bit participates in

■ row constraint 1

■ row constraint 2

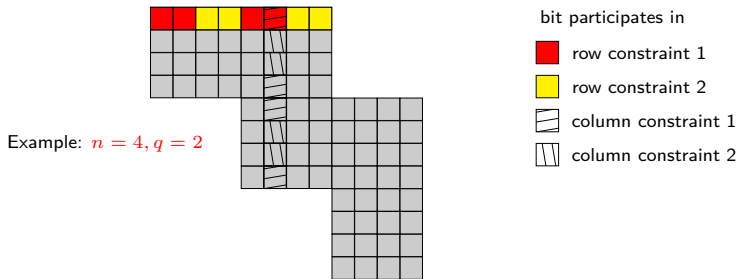
- Allow for  $q > 1$  code constraints in each row/column of the staircase array  
 → improves steepness of BER curve.

# Staircase Array with Multiple Row/Column Constraints



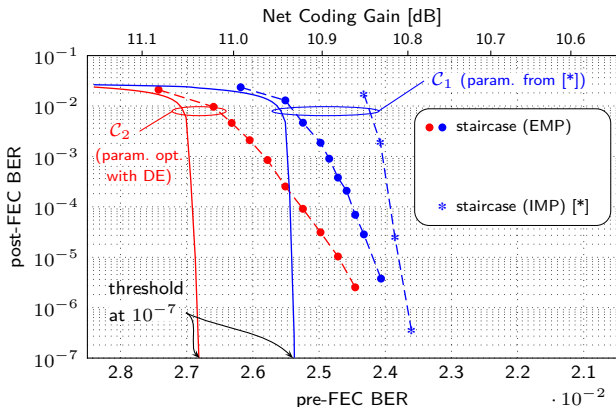
- Allow for  $q > 1$  code constraints in each row/column of the staircase array  
 → improves steepness of BER curve.

# Staircase Array with Multiple Row/Column Constraints

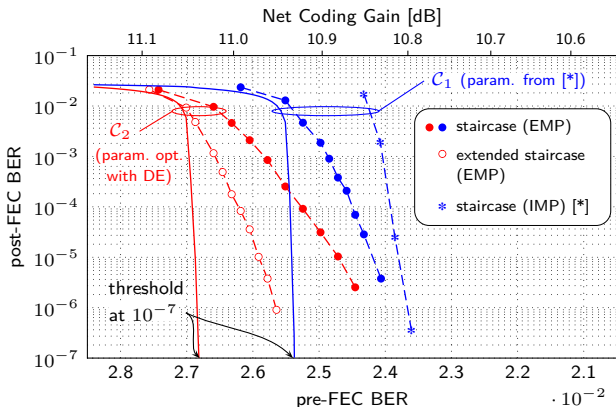


- Allow for  $q > 1$  code constraints in each row/column of the staircase array  
 → improves steepness of BER curve.

# Example (OH = 33.33%): Extended Code Construction

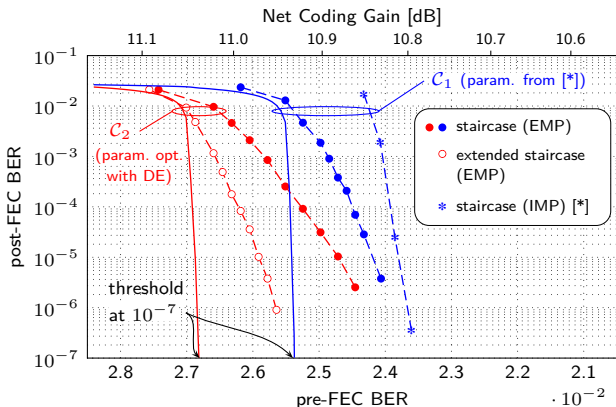


# Example (OH = 33.33%): Extended Code Construction



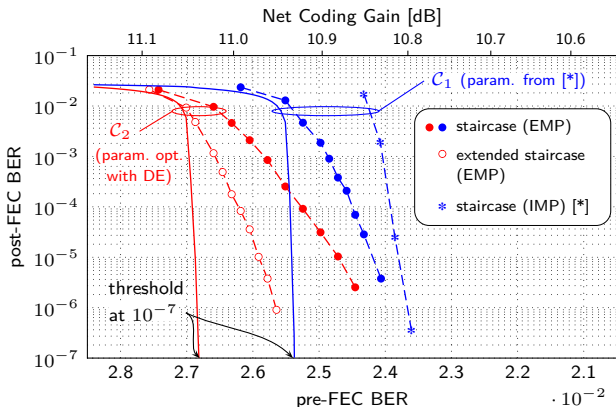
- Extended staircase code based on  $C_2$  for  $q = 2$

## Example (OH = 33.33%): Extended Code Construction



- **Extended staircase code** based on  $C_2$  for  $q = 2$
- **Steeper waterfall performance** (staircase block size  $2 \cdot n/2 = 192$ )

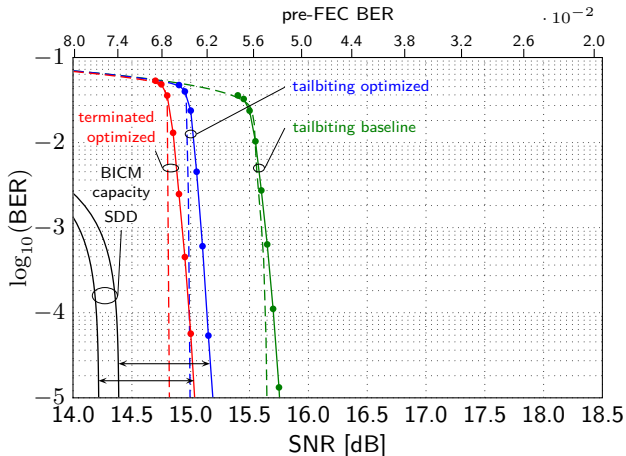
## Example (OH = 33.33%): Extended Code Construction



- **Extended staircase code** based on  $C_2$  for  $q = 2$
- **Steeper waterfall performance** (staircase block size  $2 \cdot n/2 = 192$ )
- Staircase code with  $C_1$  has block size  $n/2 = 180$

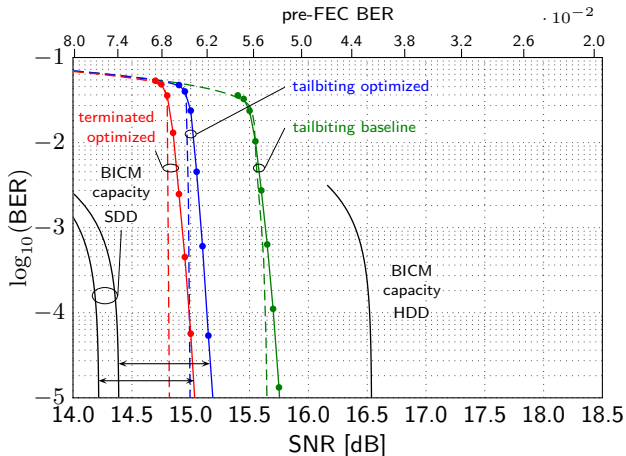


# Performance for soft and hard decision decoding



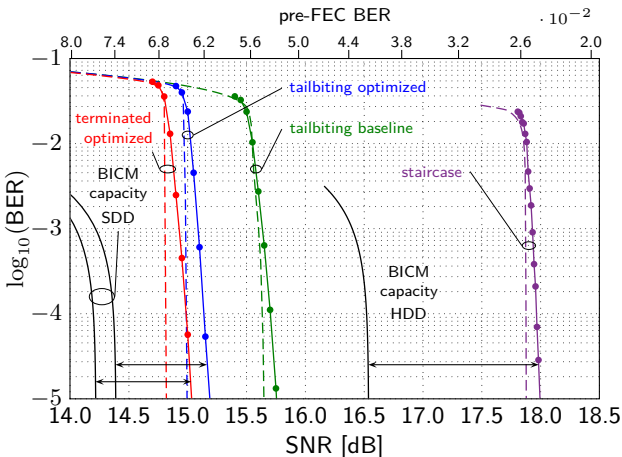
- Gaussian channel, 64-QAM, OH=33%.

## Performance for soft and hard decision decoding



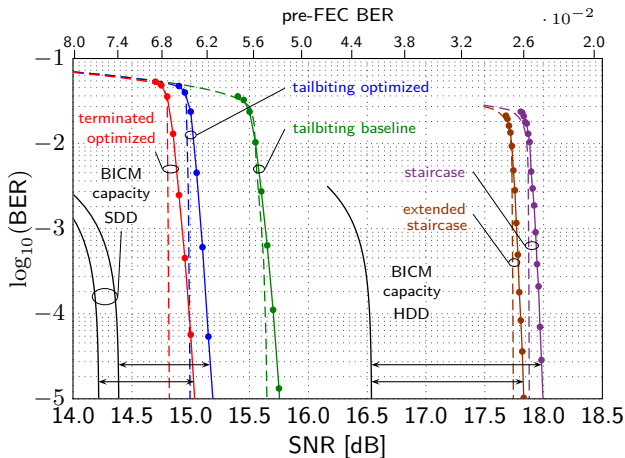
- Gaussian channel, 64-QAM, OH=33%.

# Performance for soft and hard decision decoding



- Gaussian channel, 64-QAM, OH=33%.

# Performance for soft and hard decision decoding



- Gaussian channel, 64-QAM, OH=33%.

# Conclusions

## Conclusions

- Spatial coupling is a **very general and powerful concept**.

## Conclusions

- Spatial coupling is a **very general and powerful concept**.
- **Close-to-capacity performance** for both HDD and SDD (with low complexity).

## Conclusions

- Spatial coupling is a **very general and powerful concept**.
- **Close-to-capacity performance** for both HDD and SDD (with low complexity).

### Open problems

- **Error floor** for SC-LDPC codes (SDD) still an open problem.



## Conclusions

- Spatial coupling is a **very general and powerful concept**.
- **Close-to-capacity performance** for both HDD and SDD (with low complexity).

### Open problems

- **Error floor** for SC-LDPC codes (SDD) still an open problem.
- SC-LDPC codes (SDD) with **finite-precision BP**.

## Conclusions

- Spatial coupling is a **very general and powerful concept**.
- **Close-to-capacity performance** for both HDD and SDD (with low complexity).

### Open problems

- **Error floor** for SC-LDPC codes (SDD) still an open problem.
- SC-LDPC codes (SDD) with **finite-precision BP**.
- SC-LDPC codes perform well in the presence of nonlinearities,

## Conclusions

- Spatial coupling is a **very general and powerful concept**.
- **Close-to-capacity performance** for both HDD and SDD (with low complexity).

### Open problems

- **Error floor** for SC-LDPC codes (SDD) still an open problem.
- SC-LDPC codes (SDD) with **finite-precision BP**.
- SC-LDPC codes perform well in the presence of nonlinearities, but...joint design of SC-LDPC code and modulation **tailored to the nonlinear regime?**

## Conclusions

- Spatial coupling is a **very general and powerful concept**.
- **Close-to-capacity performance** for both HDD and SDD (with low complexity).

### Open problems

- **Error floor** for SC-LDPC codes (SDD) still an open problem.
- SC-LDPC codes (SDD) with **finite-precision BP**.
- SC-LDPC codes perform well in the presence of nonlinearities, but...joint design of SC-LDPC code and modulation **tailored to the nonlinear regime?**

Thank you!



FIBER-OPTIC COMMUNICATIONS  
RESEARCH CENTER