

# **3 Optimal and Adaptive Filtering**

## **3.2: Linear Prediction**

# Optimal and Adaptive Filtering

3.2

## 1. Wiener-Hopf filter

- Minimum Mean Square Error Estimation
- The Wiener-Hopf solution

## 2. Linear prediction

- The Wiener-Hopf filter as a predictor
- Linear prediction for signal coding

## 3. Adaptive filtering

- Steepest descend
- Least Mean Square approach

## 4. Applications of optimal and adaptive filtering

- ...

# Linear Prediction

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## 1. Introduction

- Modelling of a prediction problem

## 2. The Wiener-Hopf filter as a predictor

- Problem specification

## 3. Linear prediction for signal coding

- Coder/Decoder structure
- Quantization of the prediction error

## 4. Linear prediction coding of speech signals

- Speech signal characteristics
- Short term and long term prediction

## 5. Conclusions

# Introduction to signal prediction

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**Signal prediction:** We estimate the value of a random signal at a given time instance ( $x[n_0]$ ), based on other time instance values (e.g.:  $x[n_0 - 1], x[n_0 - 2], \dots$ ).

**Design:** We compare the current signal value ( $x[n_0]$ ) with its estimation ( $y[n_0]$ )

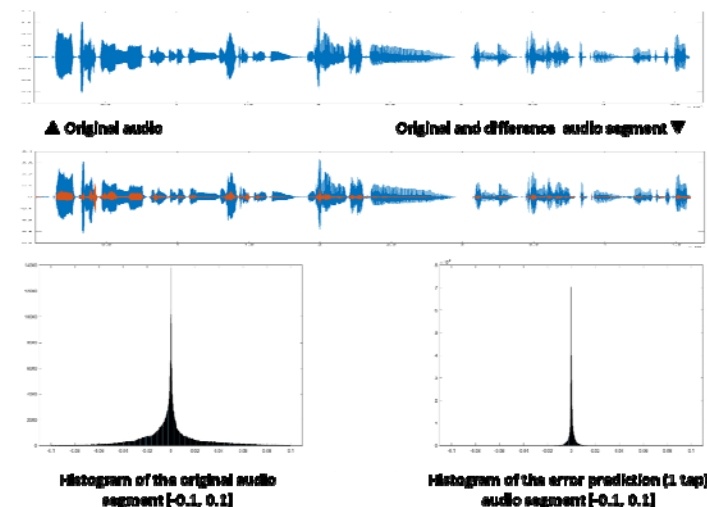
**Use:** The current signal value ( $x[n_0]$ ) may not be available and we produce an estimation. If  $x[n_0]$  is available, we produce the prediction error ( $e[n_0]$ )

The application assumes:

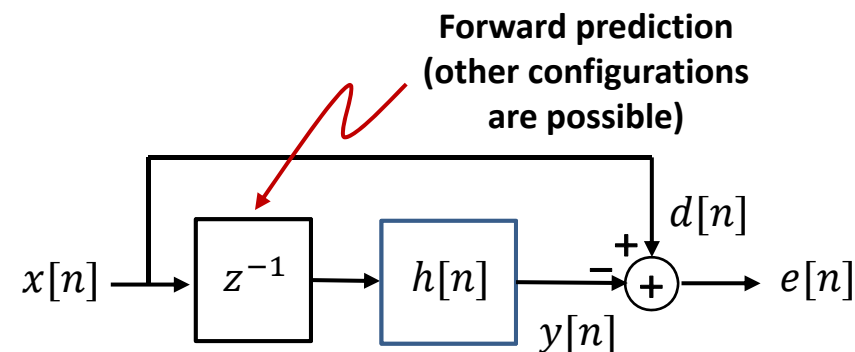
- Observations and reference belong to the same noisy process

Example of application:

- Speech coding and synthesis



The prediction error has a lower dynamic range and its quantization decreases the quantization noise power

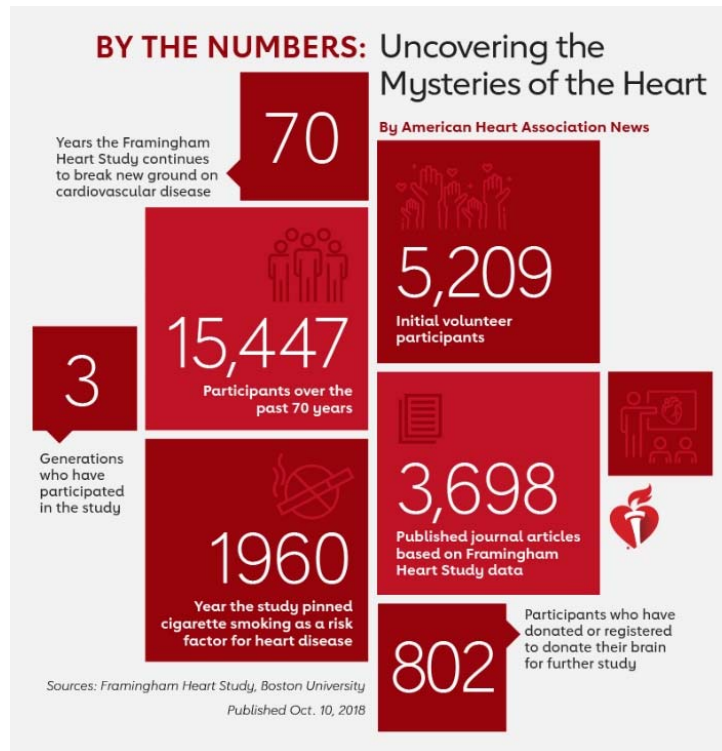


# Introduction to signal prediction

3.2

However, these concepts can be extended to other scenarios and situations:

- **Framingham:** Cardiovascular disease study since 1948
- **Pasqual Maragall Foundation:** Alzheimer study since 2008



**Major findings from the Framingham Heart Study,** according to the researchers themselves:

**1960s:**

- Cigarette smoking increases risk of heart disease.
- Increased cholesterol and elevated blood pressure increase risk of heart disease.

**1970s:**

- Elevated blood pressure increases risk of stroke.
- Psychosocial factors affect risk of heart disease.

**1980s:**

- High levels of HDL cholesterol reduce risk of heart disease.

**1990s:**

- Having an enlarged left ventricle of the heart increases risk of stroke.

<https://framinghamheartstudy.org/>

<https://fpmaragall.org/en/>

# Different prediction configurations

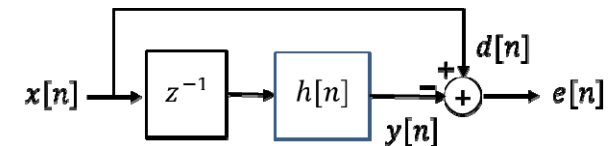
## 3.2

In the context of **linear prediction**, we can define three possible scenarios:

- **Forward prediction**: The current sample is estimated using only previous samples:
  - Forecasting a given parameter value
- **Backward prediction**: The current sample is estimated using only future samples:
  - “Remembering” a given value. Implies delay.
- **Linear smoothing** (or interpolation): The current sample is estimated combining past and future samples:
  - Recovering a damaged signal

**Note:** Commonly, in signal processing applications, what it is important is **the ability to obtain a good estimation** of a sample, pretending that is known, rather than forecasting it:

- Coding applications



The delay denotes that previous samples are used; that is, we perform a **forward prediction**



Table Tennis frames #40, #41 and #42

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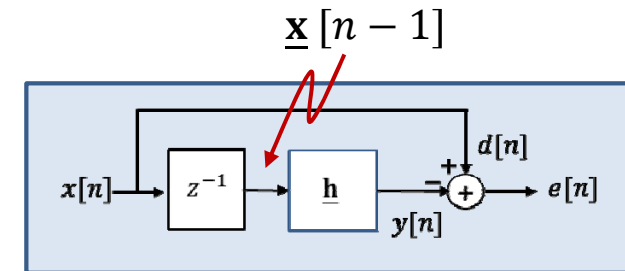
## 5. Conclusions

# The Wiener-Hopf filter as a predictor

3.2

Let us analyze the FIR Wiener-Hopf filter in the context of **forward prediction**. Let us assume that we want to predict a given stationary process ( $s[n]$ ). In that case:

- **Reference:**  $d[n] = s[n]$
- **Observations:**  $\underline{x}[n] = \underline{s}[n - 1]$



Previous samples of the observation signal have been **buffered** to be used in the prediction

With this scenario, the Wiener-Hopf solution implies:

$$\underline{\mathbf{h}}_{opt} = \underline{\mathbf{R}}_x^{-1} \underline{\mathbf{r}}_{xd}$$

$$\underline{\mathbf{r}}_{xd} = E\{\underline{\mathbf{s}}[n - 1]s[n]\} = \begin{bmatrix} E\{s[n - 1] s[n]\} \\ E\{s[n - 2] s[n]\} \\ \dots \\ E\{s[n - N] s[n]\} \end{bmatrix} = \begin{bmatrix} r_s[-1] \\ r_s[-2] \\ \dots \\ r_s[-N] \end{bmatrix} = \underline{\mathbf{r}}_s[-1]$$

◀ **Cross-correlation vector**

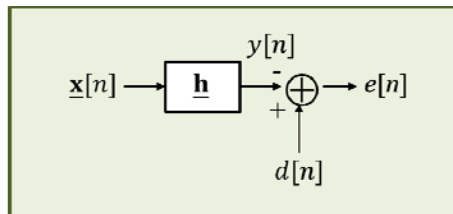
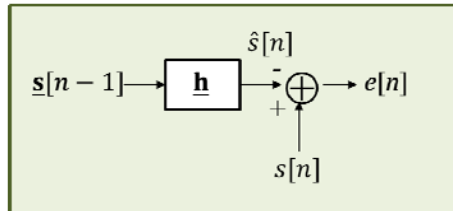
$$\underline{\mathbf{R}}_x = E\{\underline{\mathbf{s}}[n - 1] \underline{\mathbf{s}}^T[n - 1]\} = \begin{bmatrix} r_s[0] & r_s[1] & \dots & r_s[N - 1] \\ r_s[-1] & r_s[0] & \dots & r_s[N - 2] \\ \dots & \dots & \dots & \dots \\ r_s[-N + 1] & r_s[-N + 2] & \dots & r_s[0] \end{bmatrix} = \underline{\mathbf{R}}_s$$

◀ **Correlation matrix**



# The Wiener-Hopf filter as a predictor

3.2



Relation between variables in both schemes:

$d[n] \Rightarrow s[n]$ :	reference signal	$\Rightarrow$	current sample
$\underline{x}[n] \Rightarrow \underline{s}[n - 1]$ :	$N$ data samples	$\Rightarrow$	$N$ previous samples
$\underline{h} \Rightarrow \underline{h}$ :	filter ( $N$ taps)	$\Rightarrow$	predictor filter ( $N$ taps)
$y[n] \Rightarrow \hat{s}[n]$ :	filtered signal	$\Rightarrow$	current predicted sample
$e[n] \Rightarrow e[n]$ :	prediction error	$\Rightarrow$	prediction error

- When the optimal filter is used:
  - Error is “orthogonal” to data:
  - The power of the error is lower than the power of the reference signal:
  - The minimum error power is
- The expression for the optimal filter is
- The power of the error, for any filter ( $\underline{h}$ ) is

$$E\{\underline{s}[n - 1]e[n]\} = 0$$

$$E\{s^2[n]\} \geq E\{e^2[n]\}$$

$$\varepsilon = r_s[0] - \underline{h}_{opt}^T \underline{r}_s$$

$$\underline{R}_s \cdot \underline{h}_{opt} = \underline{r}_s$$

$$E\{e^2[n]\} = \varepsilon + (\underline{h} - \underline{h}_{opt})^T \underline{R}_s (\underline{h} - \underline{h}_{opt})$$

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# Linear Prediction Coding (LPC)

3.2

- Assuming **stationarity**, the Wiener-Hopf filter minimizes the MSE between the process and its estimation (MMSE: **minimum error power**):
  - Signals are processed by (close to) stationary segments: **frames** (in speech coding, typically 20 ms)
- The power of the error is lower than the power of the reference signal. That allows defining a **coding gain** ( $G_c$ ):

$$\sigma_s^2 = E\{s^2[n]\} \geq E\{e^2[n]\} = \sigma_e^2 \quad \Rightarrow$$

$$G_c = \frac{\sigma_s^2}{\sigma_e^2}$$

- Given a filter different from the optimal one (e.g.: the **quantized filter** ( $\underline{\mathbf{h}}_q$ )), the obtained error power and actual coding gain can be computed:

$$E\{e^2[n]\} = \varepsilon + (\underline{\mathbf{h}}_q - \underline{\mathbf{h}}_{opt})^T \underline{\mathbf{R}}_s (\underline{\mathbf{h}}_q - \underline{\mathbf{h}}_{opt})$$

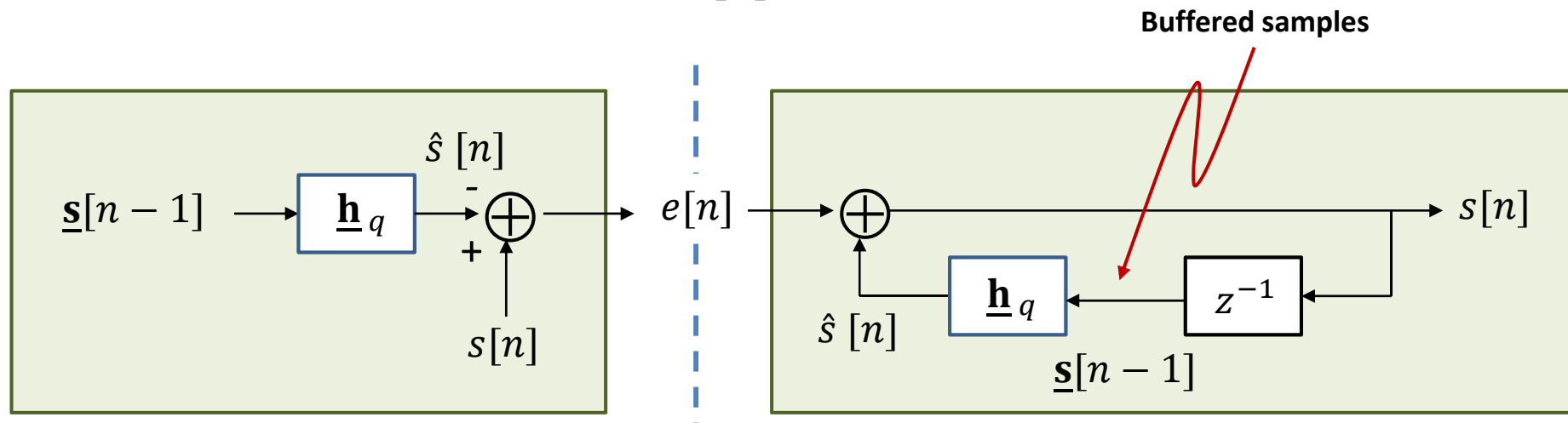
# LPC: Coder / Decoder structure

3.2

For each frame (assumed to be a stationary signal), the decoder receives **the filter** that has been used for predicting the signal and **the prediction error**.

$s[n]$ : current sample  
 $\underline{s}[n-1]$ :  $N$  previous samples  
 $\underline{h}$ : predictor filter ( $N$  taps)  
 $\hat{s}[n]$ : current predicted sample  
 $e[n]$ : prediction error

- Assuming **amplitude-discrete signals** ( $s[n], \hat{s}[n], e[n] \in \mathbb{Z}$ ), the receiver can reconstruct the original signal ( $s[n]$ ) without loss.



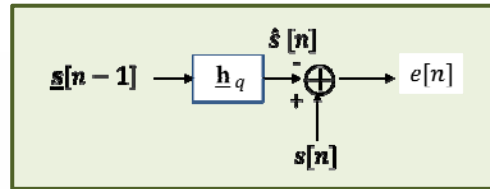
- Internal variables are kept** when starting processing a new frame.

# LPC: Coder / Decoder structure

3.2

CODER

$n=0$



$$\underline{s}[n-1]^T \rightarrow \underline{s}[-1]^T = \underline{0}^T$$

$$\hat{s}[n] \rightarrow \hat{s}[0] = \underline{h}^T \underline{s}[-1] = 0$$

$$e[n] \rightarrow e[0] = s[0] - \hat{s}[0]$$

$$e[0] = s[0]$$

$n=1$

$$\underline{s}[n-1]^T \rightarrow \underline{s}[0]^T = (s[0], 0 \dots 0)$$

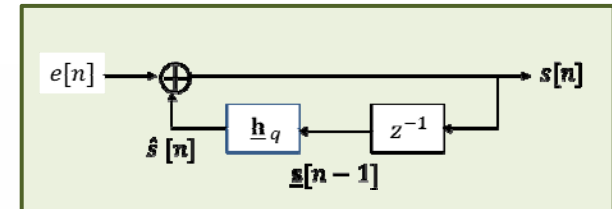
$$\hat{s}[n] \rightarrow \hat{s}[1] = \underline{h}^T \underline{s}[0] = h_1 \cdot s[0]$$

$$e[n] \rightarrow e[1] = s[1] - \hat{s}[1] =$$

$$e[1] = s[1] - h_1 s[0]$$

DECODER

$n=0$



$$e[n] \rightarrow e[0] = s[0]$$

$$\underline{s}[n-1] \rightarrow \underline{s}[-1] = \underline{0}$$

$$\hat{s}[n] \rightarrow \hat{s}[0] = \underline{h}^T \underline{s}[-1] = 0$$

$$s[n] \rightarrow e[0] + \hat{s}[0] = s[0]$$

$n=1$

$$e[n] \rightarrow e[1] = s[1] - h_1 s[0]$$

$$\underline{s}[n-1]^T \rightarrow \underline{s}[0]^T = (s[0], 0 \dots 0)$$

$$\hat{s}[n] \rightarrow \hat{s}[1] = \underline{h}^T \underline{s}[0] = h_1 \cdot s[0]$$

$$s[n] \rightarrow s[1] = e[1] + \hat{s}[1] =$$

$$s[1] = s[1] - h_1 s[0] + h_1 s[0] = s[1]$$

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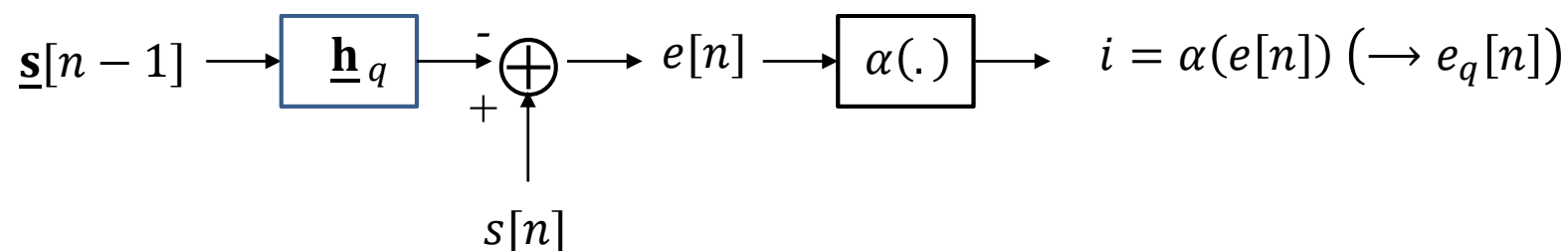
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# Quantization of the prediction error

3.2

- So far, we have concentrated on the **quantization** of values that come directly from a **signal** (voice, audio, image) or are **model coefficients** (filter coefficients).
- Should the same strategy be used in the case of **quantizing prediction error samples**?
- The **coding scheme** in that case can be the following:



In this situation, how does the decoder work?

# Quantization of the prediction error

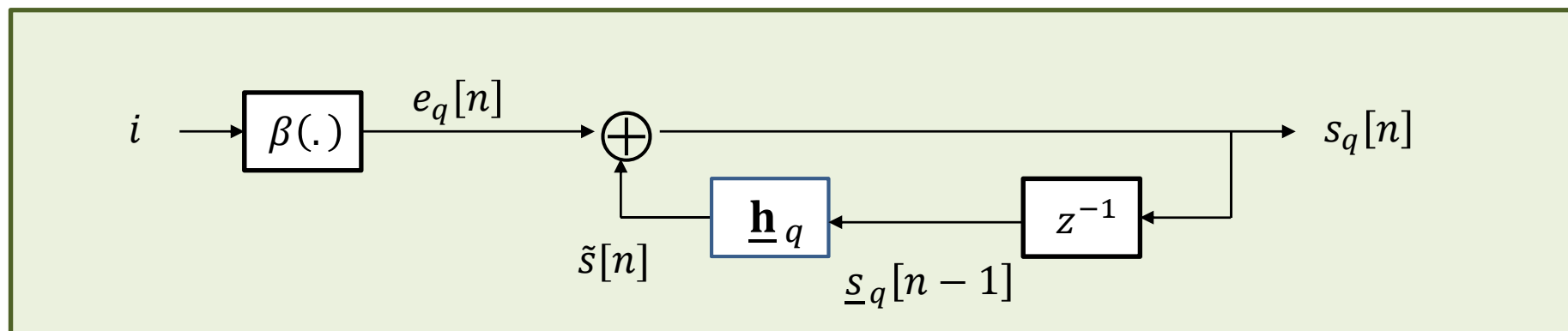
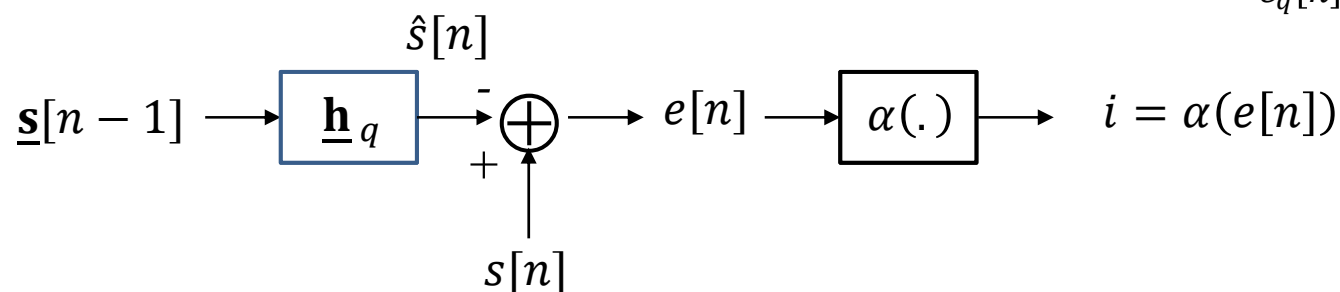
3.2

Predictive coding/decoding systems:  $e[n] = e_q[n] + \varepsilon_q[n]$

$e[n]$ : prediction error

$e_q[n]$ : quantized error

$\varepsilon_q[n]$ : quantization error



- For simplicity, let us assume that the exact values of the  $N$  filter coefficients are available at the receiver side ( $\underline{h}$ ) and so are the first  $N$  samples of the signal ( $\underline{s}[N-1]$ ).



# Quantization of the prediction error

3.2

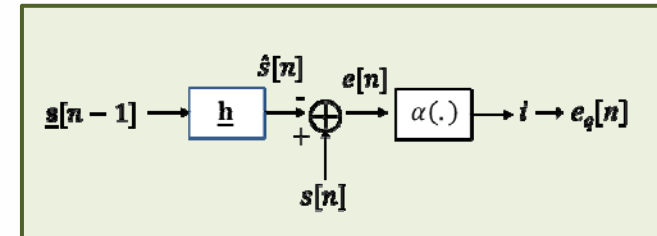
CODER  $n = N$

$$\underline{s}[n-1]^T \rightarrow \underline{s}[N-1]^T = (s[N-1], \dots, s[\phi])$$

$$\hat{s}[n] \rightarrow \hat{s}[N] = \underline{h}^T \underline{s}[N-1]$$

$$e[n] \rightarrow e[N] = s[N] - \hat{s}[N] = s[N] - \underline{h}^T \underline{s}[N-1]$$

$$e_q[n] \rightarrow e_q[N] = e[N] - \varepsilon_q[N]$$



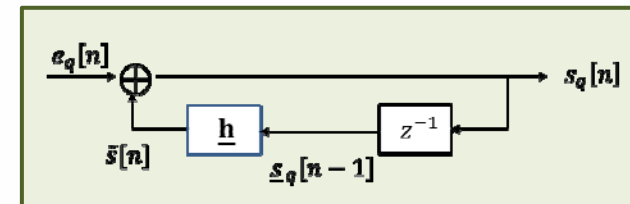
DECODER  $n = N$

$$\tilde{s}[n] \rightarrow \tilde{s}[N] = \underline{h}^T \underline{s}_q[N-1] = [\underline{s}_q[N-1] = \underline{s}[N-1]] = \underline{h}^T \underline{s}[N-1] = \hat{s}[N]$$

$$s_q[n] \rightarrow s_q[N] = e_q[N] + \tilde{s}[N] = [e_q[N] = e[N] - \varepsilon_q[N]] =$$

$$s_q[N] = e[N] - \varepsilon_q[N] + \hat{s}[N] = [e[N] = s[N] - \hat{s}[N]] =$$

$$s_q[N] = s[N] - \hat{s}[N] - \varepsilon_q[N] + \hat{s}[N] = s[N] - \varepsilon_q[N]$$



# Quantization of the prediction error

3.2

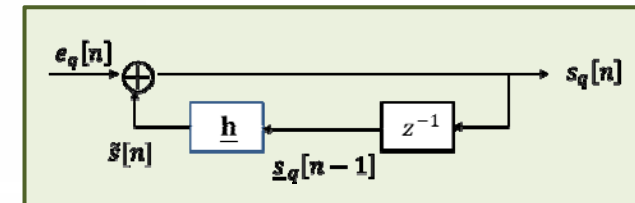
CODER  $n = N+1$

$$\underline{s}[n-1]^T \rightarrow \underline{s}[N]^T = (s[N], \dots, s[1])$$

$$\hat{s}[n] \rightarrow \hat{s}[N+1] = \underline{h}^T \underline{s}[N]$$

$$e[n] \rightarrow e[N+1] = s[N+1] - \hat{s}[N+1] = s[N+1] - \underline{h}^T \underline{s}[N]$$

$$e_q[n] \rightarrow e_q[N+1] = e[N+1] - \varepsilon_q[N+1]$$



DECODER  $n = N+1$

$$\tilde{s}[n] \rightarrow \tilde{s}[N+1] = \underline{h}^T \cdot \underline{s}_q[N] = [\underline{s}_q^T[N] = (s[N] - \varepsilon_q[N], s[N-1], \dots, s[1])]$$

$$\tilde{s}[N+1] = \underline{h}^T \cdot \underline{s}[N] - h_0 \cdot \varepsilon_q[N] = \hat{s}[N+1] - h_0 \varepsilon_q[N]$$

$$s_q[n] \rightarrow s_q[N+1] = e_q[N+1] + \tilde{s}[N+1] = [e_q[N+1] = e[N+1] - \varepsilon_q[N+1]] =$$

$$s_q[N+1] = e[N+1] - \varepsilon_q[N+1] + \hat{s}[N+1] - h_0 \varepsilon_q[N]$$

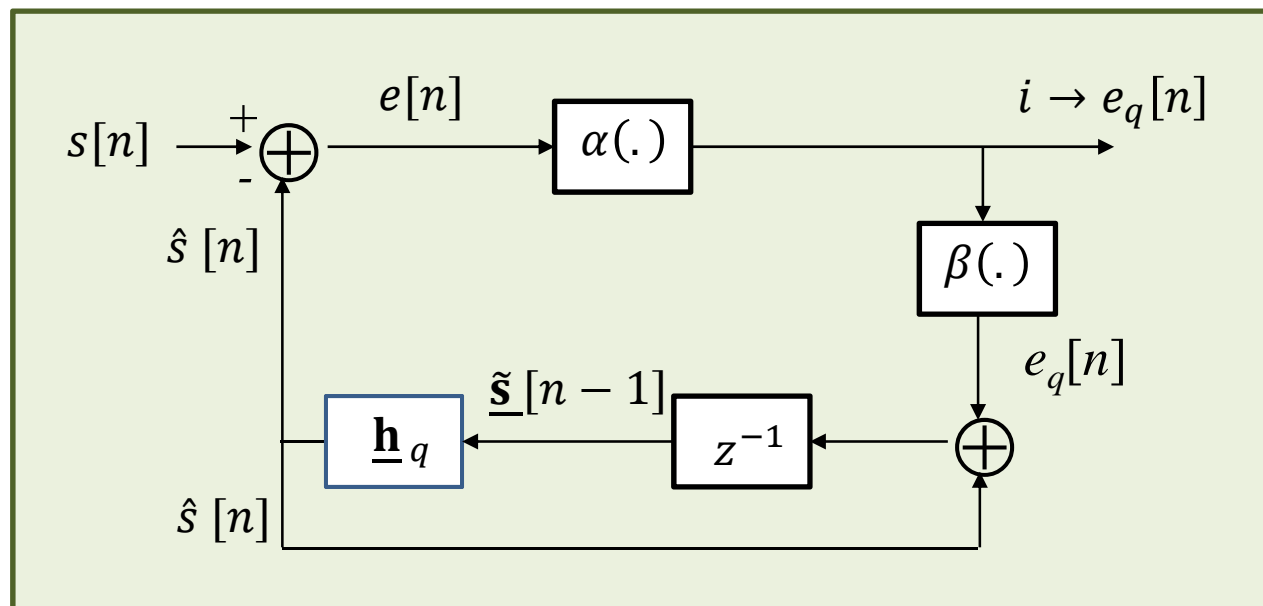
$$s_q[N+1] = s[N+1] - \hat{s}[N+1] - \varepsilon_q[N+1] + \hat{s}[N+1] - h_0 \varepsilon_q[N]$$

$$s_q[N+1] = s[N+1] - \varepsilon_q[N+1] - h_0 \varepsilon_q[N]$$

# Encoder with an embedded decoder

3.2

At the encoder, the current sample is predicted using the previous samples as they are available at the decoder side; that is, that have been computed taking into account **the prediction error**.



In a predictive coder, the encoder and the decoder have to work with the same samples (**decoded samples**), to control the **propagation of the quantization error**.

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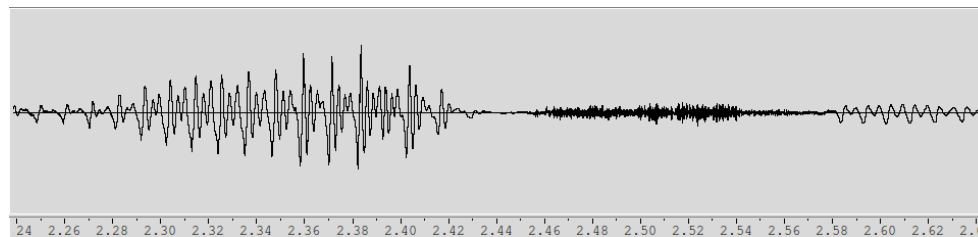
- Speech signal characteristics
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## 5. Conclusions

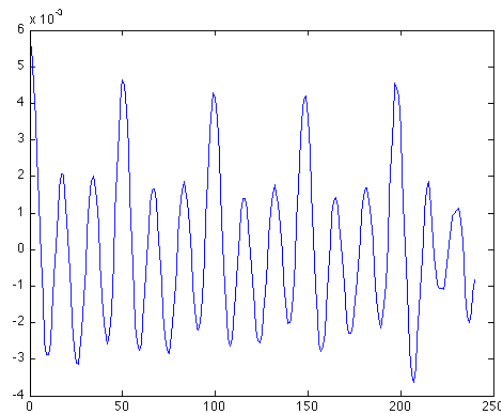
# Temporal redundancy in speech signals

3.2

In speech signals, there is usually a **high temporal correlation** (similarity) **between consecutive (or close) samples** that can be appreciated in the signal itself, its (estimated) autocorrelation or its (estimated) spectral density.

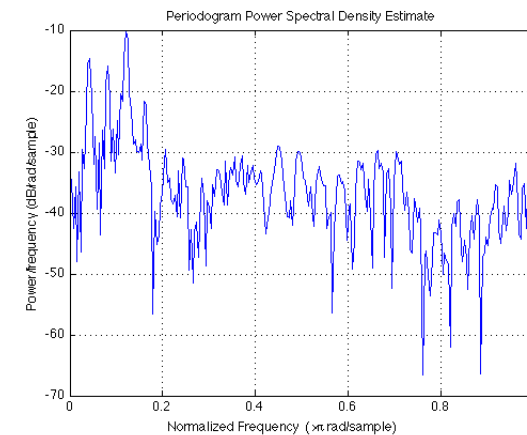


Speech signal: Voiced and Unvoiced parts



◀ Autocorrelation of a frame of voiced signal

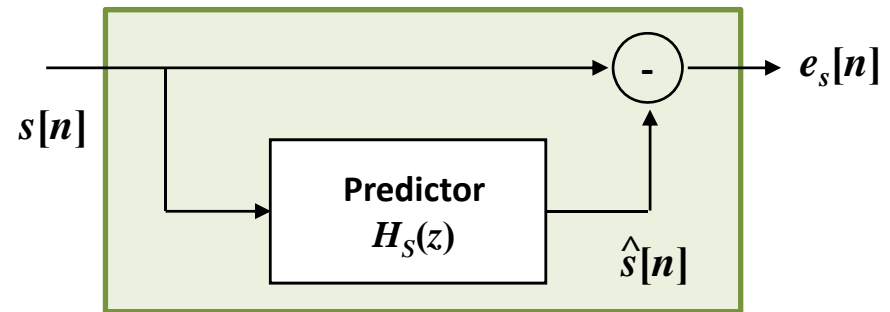
Spectral density of a frame of voiced signal ▶



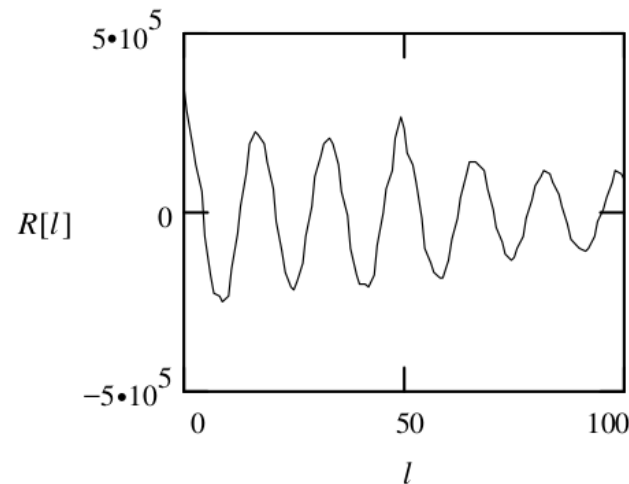
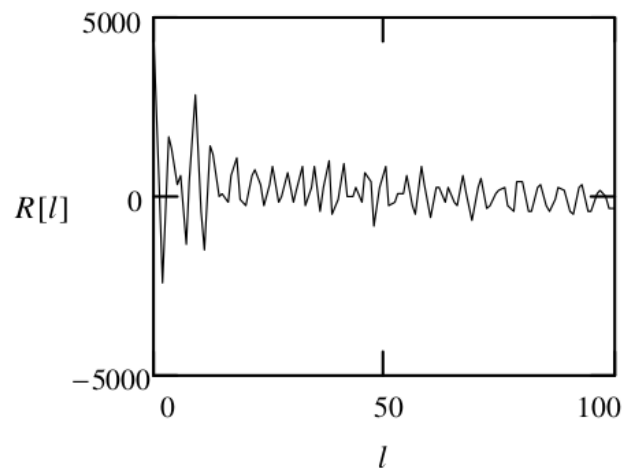
# Temporal redundancy in speech signals

3.2

Linear prediction leads to **higher prediction gains** in the case of voiced signals than unvoiced signals.



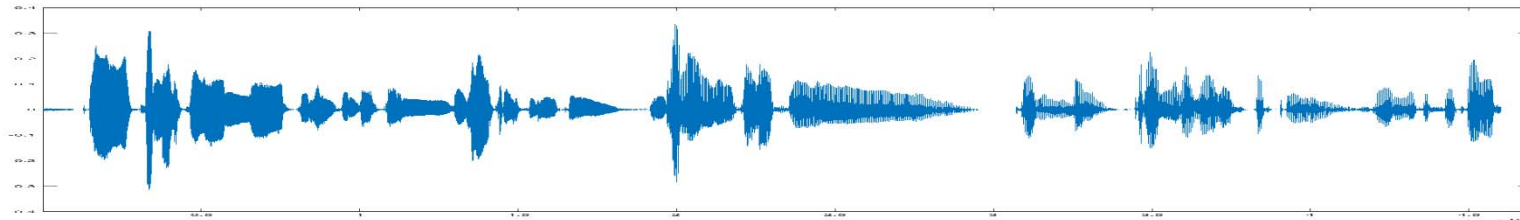
$$H_s(z) = \sum_{i=1}^N a_i z^{-i}$$



Correlation of an unvoiced and a voiced signal

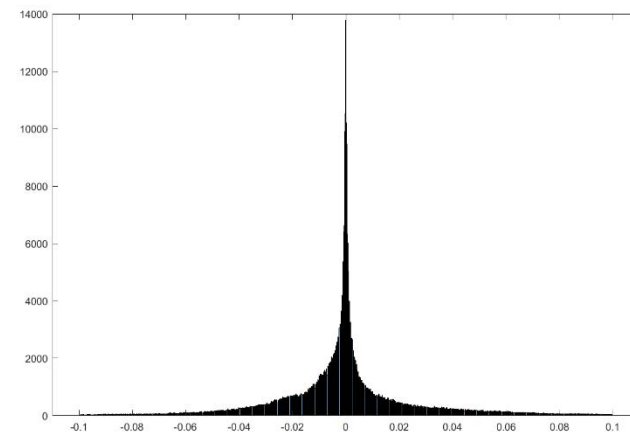
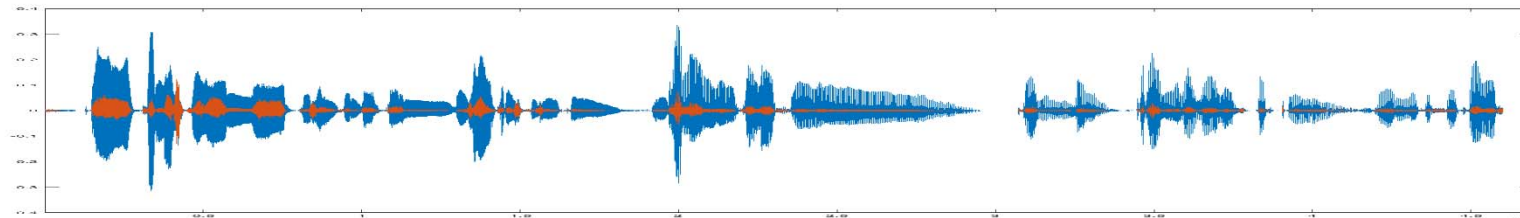
# Temporal redundancy in speech signals

3.2

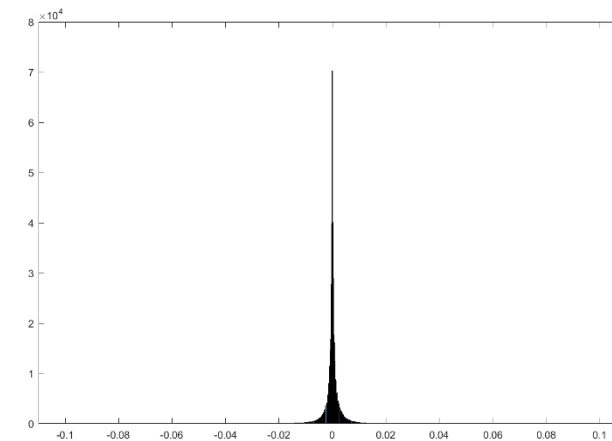


▲ Original audio

Original and difference audio segment ▼



Histogram of the original audio segment [-0.1, 0.1]



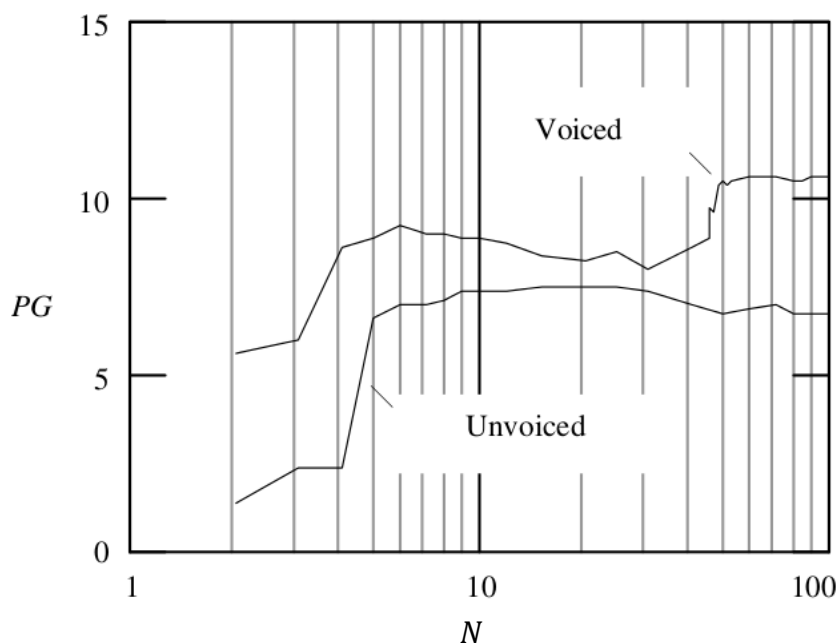
Histogram of the error prediction (1 tap) audio segment [-0.1, 0.1]

# Temporal redundancy in speech signals

## 3.2

A large increase in the performance comes from the fact of including in the predictor **nearby samples** ( $N = 8 - 10$ ) as well as samples that are near to **one pitch period apart** ( $T$ ).

- However, samples in the **middle of this range** do not substantially improve the prediction gain.



◀ Prediction gain (PG) when increasing the predictor order ( $N$ ) for two given realizations (voiced/unvoiced)



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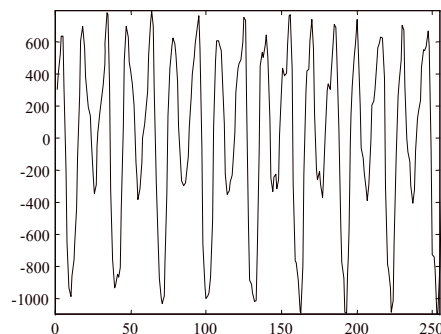
## 5. Conclusions

# The prediction error

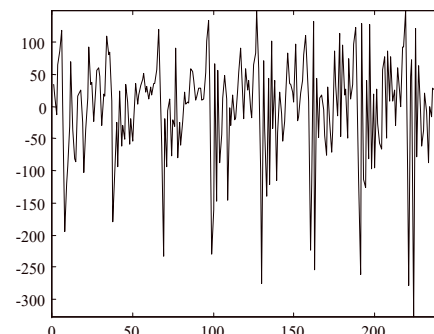
## 3.2

When using a filter predictor that takes into account the closest samples to the current one (**short term prediction**), the information about the periodicity of the signal is not exploited.

- In voiced speech signals, the (short term) prediction error presents a periodicity at one period pitch distance



Voiced speech signal



Short term prediction error

In order to improve the prediction, a **long term predictor** is concatenated to the previous short term predictor:

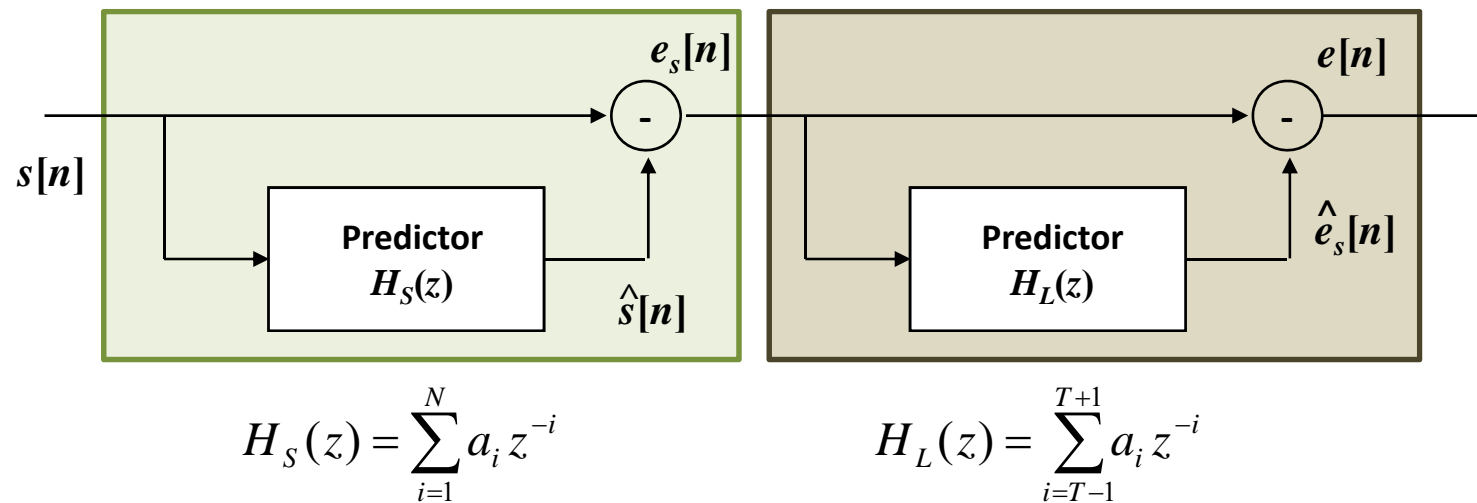
- The power of the error decreases and the error spectrum is closer to a white one.

# Short term and long term prediction

## 3.2

The redundancy present in voiced signals due to their close-to-periodical nature can be exploited using a **long term predictor** in cascade with the previous short term one.

- The **intermediate samples** are not used in the prediction

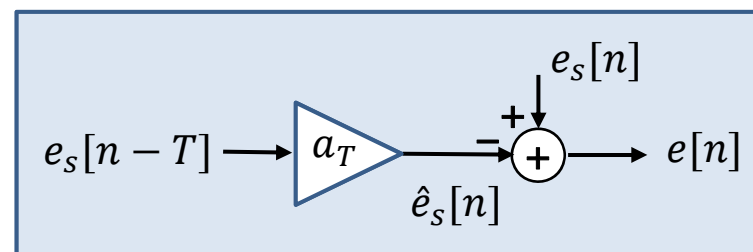


- The long term predictor usually has **1 – 3 coefficients**.

# Long term prediction: Pitch estimation

3.2

When **only one sample is used**, the algorithm to find the parameters of the long term predictor ( $T, a_T$ ) implies a (simple) Wiener-Hopf like optimization.



$$e[n] = e_s[n] - \hat{e}_s[n] = e_s[n] - a_T e_s[n - T]$$

- Obtain the value of the single-tap long term predictor parameters ( $T, a_T$ ) as a minimization of the MSE over the available data (one frame of speech signal or, actually, one fourth of a frame)

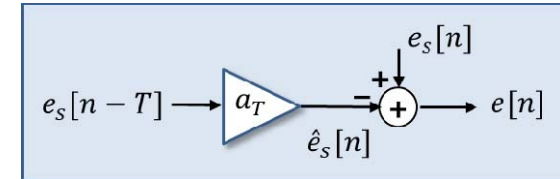
$$J(a_T, T) = \sum_n e^2[n] = \sum_n (e_s[n] - \hat{e}_s[n])^2 = \sum_n (e_s[n] - a_T e_s[n - T])^2$$

$$\frac{\partial}{\partial a_T} J(a_T, T) = -2 \sum_n (e_s[n] - a_T e_s[n - T]) e_s[n - T] = 0$$

# Long term prediction: Pitch estimation

3.2

$$\frac{\partial}{\partial a_T} J(a_T, T) = \sum_n (e_s[n] - a_T e_s[n - T]) e_s[n - T] = 0$$



$$\sum_n e_s[n] e_s[n - T] - a_T \sum_n e_s^2[n - T] = 0$$

$$a_{T_{opt}} = \frac{\sum_n e_s[n] e_s[n - T]}{\sum_n e_s^2[n - T]}$$

- The previous expression implies estimating two autocorrelation values
- The optimal value of  $a_T$  depends on the pitch value ( $T$ ), and there is no close form to obtain the optimum  $T$  value.
- An **exhaustive search** of the pitch period ( $T$ ) value leading to the minimum sum of squared error provides with the best pair of parameters

$$J(a_T, T) = \sum_n (e_s[n] - a_T e_s[n - T])^2$$

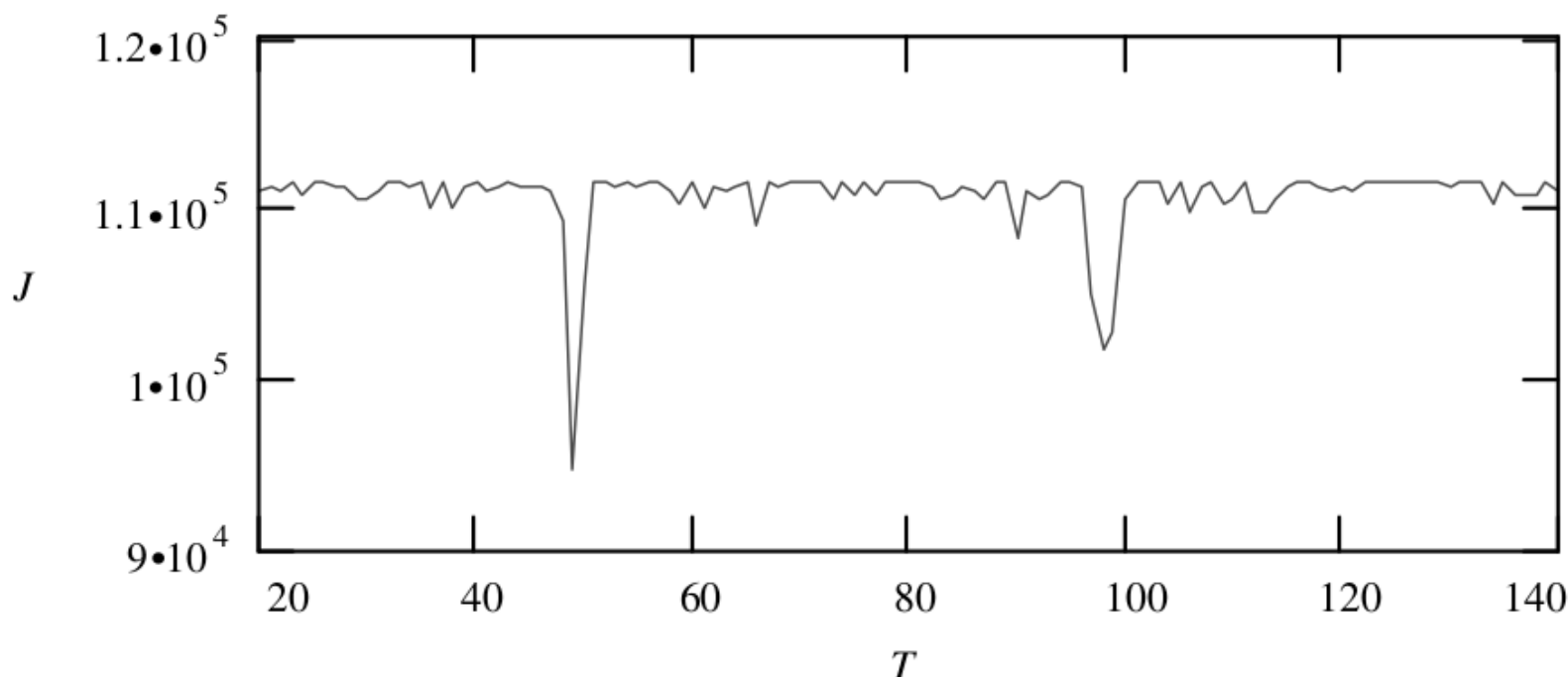
$$J(a_T, T) = \sum_n e_s^2[n] - \frac{(\sum_n e_s[n] e_s[n - T])^2}{\sum_n e_s^2[n - T]}$$

# Long term prediction: Pitch estimation

3.2

An example of the evolution of the sum of squared error ( $J$ ) as a function of the pitch period ( $T$ ):

- **Typical values** for the pitch period ( $T$ ) are  $20 \leq T \leq 140$

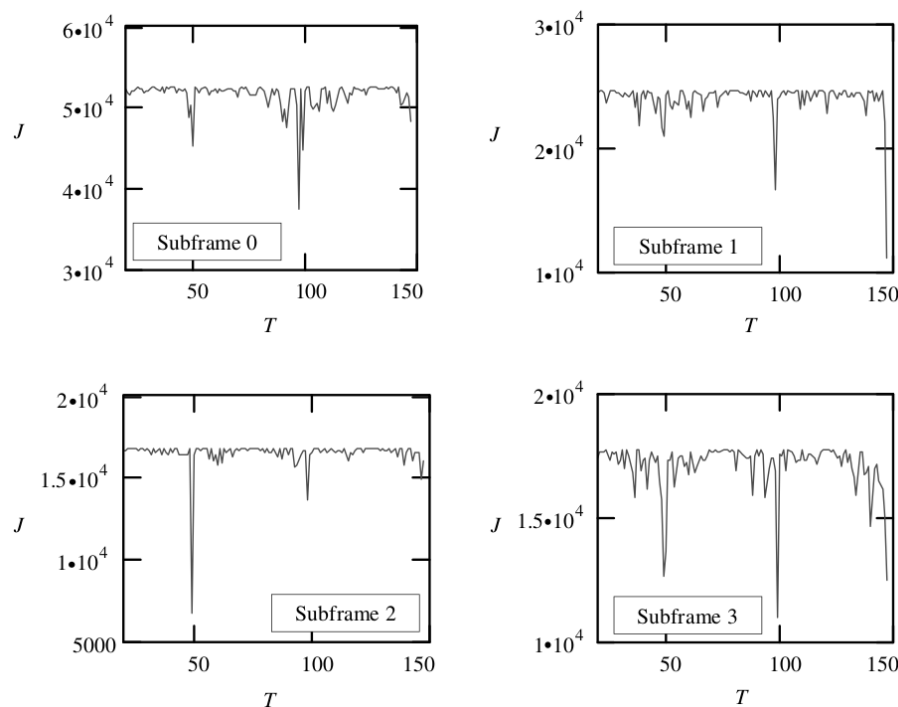


Wai C. Chu, *Speech Coding Algorithms*, John Wiley & Sons 2003.

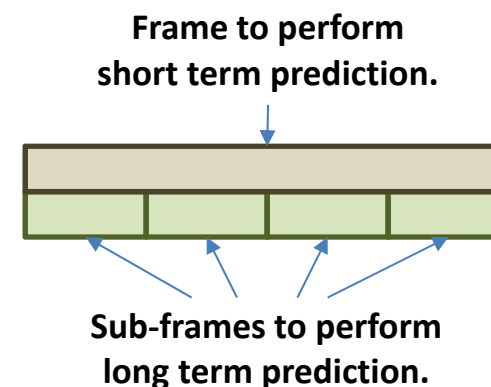
# Long term prediction: Pitch estimation

## 3.2

- The pitch period **varies much faster** than the coefficients of the filter. Therefore, the computation of the pitch period over a whole frame does not provide a good estimation.
- Frames are subdivided into **sub-frames** and the pitch period is independently estimated in each sub-frame.



Result of estimating the pitch period in four consecutive sub-frames.

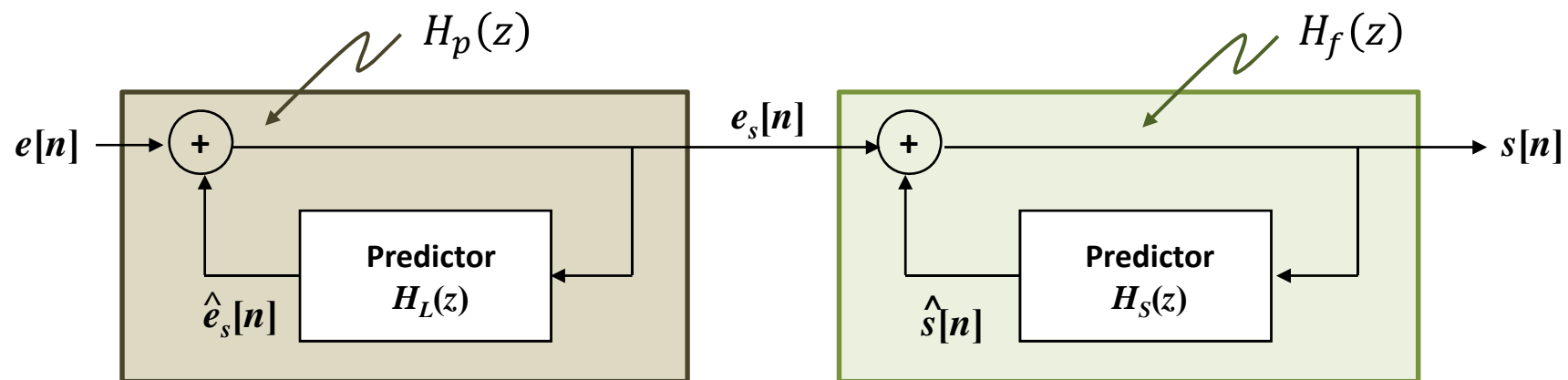


Wai C. Chu, *Speech Coding Algorithms*, John Wiley & Sons 2003.

# Analysis of the decoder side

3.2

- The synthesis of the speech signal at the receiver side implies the implementation of the **inverse filters**.
- Quantization of the **short term and long term filter coefficients** has to ensure **filter stability** and **transparent quantization**.



$$H_p(z) = \frac{e_s(z)}{e(z)} = \frac{1}{1 - \sum_{i=T-1}^{T+1} a_i z^{-i}}$$

Pitch synthesis

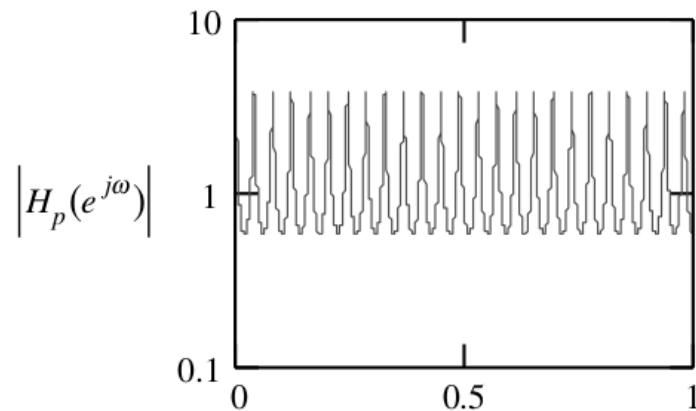
$$H_f(z) = \frac{s(z)}{e_s(z)} = \frac{1}{1 - \sum_{i=1}^N a_i z^{-i}}$$

Formant synthesis

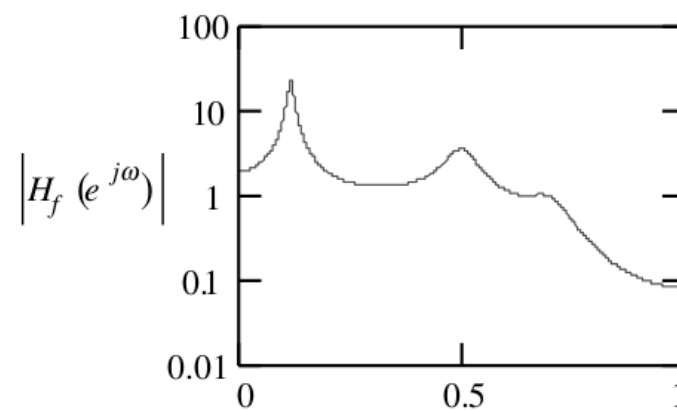


# Analysis of the decoder side

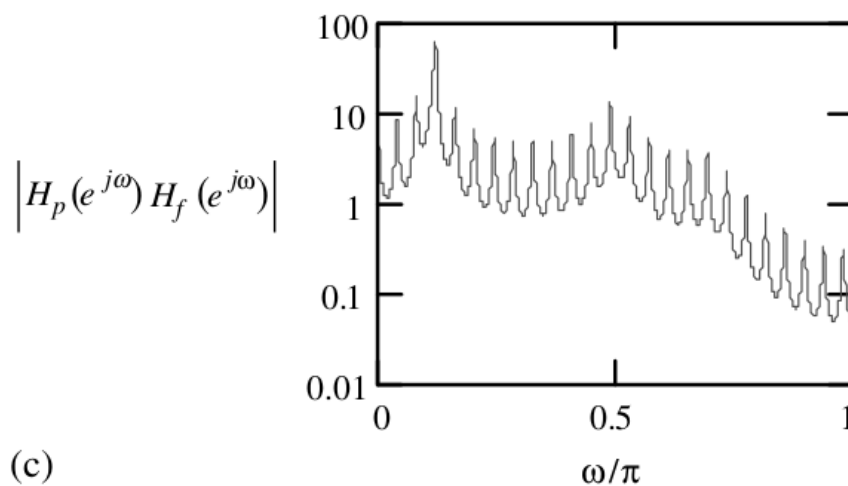
3.2



(a)



(b)



(c)

Combination of a short term and a long term pair of **synthesis filters**. The result is a cascade connection of a pitch synthesis filter and a formant synthesis filter that reproduces the power spectrum of a voiced signal.

Wai C. Chu, *Speech Coding Algorithms*, John Wiley & Sons 2003.

# The GSM 6-10 speech coding standard

3.2

## GSM 6.10 Full-Rate

13 Kbit/s Regular-Pulse Excitation

Published (1991) as an ETSI standard (ETS 300 961)

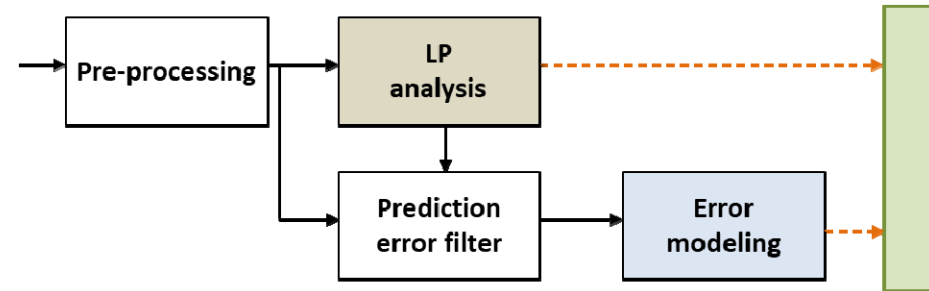
- **Sampling frequency:** 8 Khz
- **Bitrate:** 13 Kbit/s
- **Frame length:** 20 ms (160 samples)
- **Typical algorithmic delay:** 25 ms
- **PSQM testing under ideal conditions:** MOS of 4.1
- **Main use:** First digital speech coding standard used in the GSM digital mobile phone system. Still widely used around the world.
- **Other characteristics:**
  - Vocal tract modeled using a **8<sup>th</sup> order** (short-term) predictor.
  - Excitation estimated on sub-frames of **5 ms**

# The GSM 6-10 speech coding standard

3.2

## Pre-processing:

- Apply pre-emphasis filters on 20 ms frames



## Short term prediction:

- Compute **short-term 8-order LPC**.
  - Transform reflection coefficients in log-area (**LAR**) before quantization
    - **Shorter** than current ones: Lower quality
- Quantize using uniform quantizers, with **specific range for each coefficient**.
  - #Bits per frame =  $6 + 6 + 5 + 5 + 4 + 4 + 3 + 3 = 36$  bits
- Generate 4-sets of linearly interpolated LAR to be applied in different parts of the frame.
  - Better adaptation to **non-stationary signals**

# The GSM 6-10 speech coding standard

## 3.2

**Long term prediction:** 5 ms sub-frame

- Compute **delay (pitch)** using autocorrelation method.
  - Pitch range: 40 - 120 samples → **7 bits**.
- Compute and quantize **prediction gain**: **2 bits**.

**Quantization of residual signal (excitation):** 5ms sub-frames

- **Regular-Pulse Excitation:** 40 samples **decimated** into 3 down-sampled subsequences of 14, 13 and 13 samples.
  - The first one is split into 2 ones of 13 samples each.
- **4 possible** decimated **sequences**:
  - Select the one with **higher energy (2 bits)**
- **APCM quantization** of the 13 values:
  - Maximum value: **6-bits log-quantizer**.
  - Normalized samples: **3 bits uniform** mid-rise quantizer.

# The GSM 6-10 speech coding standard

## 3.2

### Computing the bit rate:

- #Bits per frame for the **short-term 8-order LPC**:
  - $6 + 6 + 5 + 5 + 4 + 4 + 3 + 3 = \mathbf{36 \text{ bits}}$
- #Bits per sub-frame for the **Pitch range**:
  - 40 - 120 samples  $\rightarrow \mathbf{7 \text{ bits}}$ .
- #Bits per sub-frame for the **Prediction gain**:
  - $\mathbf{2 \text{ bits}}$ .
- #Bits per sub-frame for the **Residual signal**:
  - 4 possible decimated sequences  $\rightarrow \mathbf{2 \text{ bits}}$ .
- #Bits per sub-frame for the **APCM quantization**:
  - Maximum value  $\rightarrow \mathbf{6 \text{ bits}}$ .
  - Normalized 13 samples  $\rightarrow \mathbf{3 \text{ bits}}$ .

Total amount per frame:  $36 + 4*(7+2) + 4*(2 + 6 + 3*13) = 260 \text{ bits}$

**Total Bitrate (frame length: 20 ms):  $260 \text{ bits/frame} * 50 \text{ frame/s} = 13\text{Kbits/s}$**

# Linear Prediction

3.2

## 1. Introduction

- Modelling of a prediction problem

## 2. The Wiener-Hopf filter as a predictor

- Problem specification

## 3. Linear prediction for signal coding

- Coder/Decoder structure
- Quantization of the prediction error

## 4. Linear prediction coding of speech signals

- Speech signal characteristics
- Short term and long term prediction

## 5. Conclusions