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### ALF APS CONSTRAINTS IN VIDEO CODING

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#### Abstract

A video coding mechanism is disclosed. The mechanism includes receiving a bitstream comprising an adaptive loop filter (ALF) adaptation parameter set (APS) including an ALF luma filter signal flag (alf\_luma\_filter\_signal\_flag) and a ALF chroma filter signal flag (alf\_chroma\_filter\_signal\_flag), wherein at least one of the alf\_luma\_filter\_signal\_flag or the alf\_chroma\_filter\_signal\_flag is equal to one. A slice is decoded based on ALF parameters in the ALF APS. The slice is forwarded for display as part of a decoded video sequence.

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## Background/Summary

CROSS-REFERENCE TO RELATED APPLICATIONS [0001] This patent application is a continuation of U.S. patent application Ser. No. 17/666,307 filed Feb. 7, 2022 by Jianle Chen, et. al., and titled “ALF APS Constraints In Video Coding,” which is a continuation of International Application No. PCT/US2020/041666, filed Jul. 10, 2020 by Jianle Chen, et. al., and titled “ALF APS Constraints In Video Coding,” which claims the benefit of U.S. Provisional Patent Application No. 62/888,267, filed Aug. 16, 2019 by Jianle Chen, et al., and titled “Constraints For ALF APS,” which are hereby incorporated by reference.

### TECHNICAL FIELD

[0002] The present disclosure is generally related to video coding, and is specifically related to efficient signaling of coding tool parameters used to compress video data in video coding.

### BACKGROUND

[0003] The amount of video data needed to depict even a relatively short video can be substantial, which may result in difficulties when the data is to be streamed or otherwise communicated across a communications network with limited bandwidth capacity. Thus, video data is generally compressed before being communicated across modern day telecommunications networks. The size of a video could also be an issue when the video is stored on a storage device because memory resources may be limited. Video compression devices often use software and/or hardware at the source to code the video data prior to transmission or storage, thereby decreasing the quantity of data needed to represent digital video images. The compressed data is then received at the destination by a video decompression device that decodes the video data. With limited network resources and ever increasing demands of higher video quality, improved compression and decompression techniques that improve compression ratio with little to no sacrifice in image quality are desirable.

### SUMMARY

[0004] In an embodiment, the disclosure includes a method implemented in a decoder, the method comprising: receiving, by a receiver of the decoder, a bitstream comprising an adaptive loop filter (ALF) adaptation parameter set (APS) including an ALF luma filter signal flag (alf\_luma\_filter\_signal\_flag) and a ALF chroma filter signal flag (alf\_chroma\_filter\_signal\_flag), wherein at least one of the alf\_luma\_filter\_signal\_flag or the alf\_chroma\_filter\_signal\_flag is equal to one; and decoding, by a processor of the decoder, a slice based on ALF parameters in the ALF APS.

[0005] An APS may be used to maintain data that relates to multiple slices, but not to an entire picture. An APS may contain ALF parameters. The ALF parameters may control the application of an ALF process to only luma components in a slice, only chroma components in the slice, or both luma components and chroma components in the slice. An ALF APS may contain flags indicating the type of data contained in the APS. However, the flag based signaling related to the ALF APS is inefficient in some video coding systems. For example, the flags can be set to indicate that ALF APS contains only a luma filter set, only a chroma filter set, both a luma filter set and a chroma set, or neither a luma filter set nor a chroma filter set. An ALF APS that contains neither luma nor chroma filter sets is not useful. However, a standardized codec should be built to support any option allowed by the standard. As such, allowing an ALF APS that contains neither luma nor chroma filter sets results in an inefficient codec design that should support an option that should not occur. The present examples apply constraints to increase the efficiency of ALF APS signaling and

resulting codec designs. For example, the ALF APS is constrained so that one or both of an ALF luma filter signal flag and an ALF chroma filter signal flag in the ALF APS is set to one. This ensures the ALF APS includes at least a luma filter set or chroma filter set, and is hence not empty. As another example, a slice header associated with a slice may contain a luma component ALF APS ID that indicates an ALF APS contains a relevant luma filter set. When this occurs, a constraint may be employed that the ALF luma filter signal flag in the ALF APS is set to one. This ensures that the ALF APS contains luma data when a slice header refers to the ALF APS in relation to luma data. As another example, a slice header associated with a slice may contain a chroma component ALF APS ID that indicates an ALF APS contains a relevant chroma filter set. When this occurs, a constraint may be employed that the ALF chroma filter signal flag in the ALF APS is set to one. This ensures that the ALF APS contains chroma data when a slice header refers to the ALF APS in relation to chroma data. These constraints may ensure that needless ALF APS signaling is avoided and that the ALF APS contains data as needed to filter decoded slices. Such constraints may be checked by a hypothetical reference decoder (HRD) at an encoder. The HRD can check an encoded bitstream for standards conformance to ensure that these problem cases do not occur. Hence, these constraints allow a decoder to presume such problem cases have not occurred in the bitstream. Therefore, the decoder can be simplified to avoid supporting such problem cases. Accordingly, the present constraints prevent errors, increase coding efficiency, and/or reduce complexity of the encoder and/or decoder. As such, the present examples may increase video coding system functionality while reducing the usage of network resources, memory resources, and/or processing resources at the encoder and/or the decoder.

[0006] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein the `alf_luma_filter_signal_flag` specifies whether a luma filter set is signaled in the ALF APS.

[0007] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein a value of the `alf_luma_filter_signal_flag` of the ALF APS is constrained to be equal to one when a luma component ALF APS identifier (ID) in a slice header (`slice_alf_aps_id_luma[i]`) associated with the slice is equal to an APS ID of the ALF APS.

[0008] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein `slice_alf_aps_id_luma[i]` specifies an APS ID (`adaptation_parameter_set_id`) of an i-th ALF APS referred to by a luma component of the slice.

[0009] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein the `alf_chroma_filter_signal_flag` specifies whether a chroma filter set is signaled in the ALF APS.

[0010] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein a value of the `alf_chroma_filter_signal_flag` of the ALF APS is constrained to be equal to one when a chroma component ALF APS ID in a slice header associated with the slice (`slice_alf_aps_id_chroma`) is equal to the APS ID of the ALF APS.

[0011] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein the `slice_alf_aps_id_chroma` specifies an `adaptation_parameter_set_id` of the ALF APS referred to by a chroma component of the slice.

[0012] In an embodiment, the disclosure includes a method implemented in an encoder, the method comprising: encoding, by a processor of the encoder, a slice into a bitstream as part of an encoded video sequence; determining, by the processor, ALF parameters for application to the slice; encoding, by the processor, the ALF parameters into an ALF adaptation parameter set (APS) in the bitstream, the ALF APS including an ALF luma filter signal flag (`alf_luma_filter_signal_flag`) and a ALF chroma filter signal flag (`alf_chroma_filter_signal_flag`), wherein at least one of the `alf_luma_filter_signal_flag` or the `alf_chroma_filter_signal_flag` is equal to one; and storing, by a memory coupled to the processor, the bitstream for communication toward a decoder.

[0013] An APS may be used to maintain data that relates to multiple slices, but not to an entire

picture. An APS may contain ALF parameters. The ALF parameters may control the application of an ALF process to only luma components in a slice, only chroma components in the slice, or both luma components and chroma components in the slice. An ALF APS may contain flags indicating the type of data contained in the APS. However, the flag based signaling related to the ALF APS is inefficient in some video coding systems. For example, the flags can be set to indicate that ALF APS contains only a luma filter set, only a chroma filter set, both a luma filter set and a chroma set, or neither a luma filter set nor a chroma filter set. An ALF APS that contains neither luma nor chroma filter sets is not useful. However, a standardized codec should be built to support any option allowed by the standard. As such, allowing an ALF APS that contains neither luma nor chroma filter sets results in an inefficient codec design that should support an option that should not occur. The present examples apply constraints to increase the efficiency of ALF APS signaling and resulting codec designs. For example, the ALF APS is constrained so that one or both of an ALF luma filter signal flag and an ALF chroma filter signal flag in the ALF APS is set to one. This ensures the ALF APS includes at least a luma filter set or chroma filter set, and is hence not empty. As another example, a slice header associated with a slice may contain a luma component ALF APS ID that indicates an ALF APS contains a relevant luma filter set. When this occurs, a constraint may be employed that the ALF luma filter signal flag in the ALF APS is set to one. This ensures that the ALF APS contains luma data when a slice header refers to the ALF APS in relation to luma data. As another example, a slice header associated with a slice may contain a chroma component ALF APS ID that indicates an ALF APS contains a relevant chroma filter set. When this occurs, a constraint may be employed that the ALF chroma filter signal flag in the ALF APS is set to one. This ensures that the ALF APS contains chroma data when a slice header refers to the ALF APS in relation to chroma data. These constraints may ensure that needless ALF APS signaling is avoided and that the ALF APS contains data as needed to filter decoded slices. Such constraints may be checked by a hypothetical reference decoder (HRD) at an encoder. The HRD can check an encoded bitstream for standards conformance to ensure that these problem cases do not occur. Hence, these constraints allow a decoder to presume such problem cases have not occurred in the bitstream. Therefore, the decoder can be simplified to avoid supporting such problem cases. Accordingly, the present constraints prevent errors, increase coding efficiency, and/or reduce complexity of the encoder and/or decoder. As such, the present examples may increase video coding system functionality while reducing the usage of network resources, memory resources, and/or processing resources at the encoder and/or the decoder.

[0014] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein the `alf_luma_filter_signal_flag` specifies whether a luma filter set is signaled in the ALF APS.

[0015] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein a value of the `alf_luma_filter_signal_flag` of the ALF APS is constrained to be equal to one when a luma component ALF APS ID in a slice header (`slice_alf_aps_id_luma[i]`) associated with the slice is equal to an APS ID of the ALF APS.

[0016] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein the `slice_alf_aps_id_luma[i]` specifies an `adaptation_parameter_set_id` of an *i*-th ALF APS referred to by a luma component of the slice.

[0017] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein the `alf_chroma_filter_signal_flag` specifies whether a chroma filter set is signaled in the ALF APS.

[0018] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein a value of the `alf_chroma_filter_signal_flag` of the ALF APS is constrained to be equal to one when a chroma component ALF APS ID in a slice header associated with the slice (`slice_alf_aps_id_chroma`) is equal to the APS ID of the ALF APS.

[0019] Optionally, in any of the preceding aspects, another implementation of the aspect provides,

wherein the slice\_alf\_aps\_id\_chroma specifies an adaptation\_parameter\_set\_id of the ALF APS referred to by a chroma component of the slice.

[0020] In an embodiment, the disclosure includes a video coding device comprising: a processor, a receiver coupled to the processor, a memory coupled to the processor, and a transmitter coupled to the processor, wherein the processor, receiver, memory, and transmitter are configured to perform the method of any of the preceding aspects.

[0021] In an embodiment, the disclosure includes a non-transitory computer readable medium comprising a computer program product for use by a video coding device, the computer program product comprising computer executable instructions stored on the non-transitory computer readable medium such that when executed by a processor cause the video coding device to perform the method of any of the preceding aspects.

[0022] In an embodiment, the disclosure includes a decoder comprising: a receiving means for receiving a bitstream comprising an adaptive loop filter (ALF) adaptation parameter set (APS) including an ALF luma filter signal flag (alf\_luma\_filter\_signal\_flag) and a ALF chroma filter signal flag (alf\_chroma\_filter\_signal\_flag), wherein at least one of the alf\_luma\_filter\_signal\_flag or the alf\_chroma\_filter\_signal\_flag is equal to one; and a forwarding means for forwarding the slice for display as part of a decoded video sequence.

[0023] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein the decoder is further configured to perform the method of any of the preceding aspects.

[0024] In an embodiment, the disclosure includes an encoder comprising: a slice encoding means for encoding a slice into a bitstream as part of an encoded video sequence; a determining means for determining ALF parameters for application to the slice; an ALF encoding means for encoding the ALF parameters into an a ALF adaptation parameter set (APS) in the bitstream, the ALF APS including an ALF luma filter signal flag (alf\_luma\_filter\_signal\_flag) and a ALF chroma filter signal flag (alf\_chroma\_filter\_signal\_flag), wherein at least one of the alf\_luma\_filter\_signal\_flag or the alf\_chroma\_filter\_signal\_flag is equal to one; and a storing means for storing the bitstream for communication toward a decoder.

[0025] Optionally, in any of the preceding aspects, another implementation of the aspect provides, wherein the encoder is further configured to perform the method of any of the preceding aspects.

[0026] For the purpose of clarity, any one of the foregoing embodiments may be combined with any one or more of the other foregoing embodiments to create a new embodiment within the scope of the present disclosure.

[0027] These and other features will be more clearly understood from the following detailed description taken in conjunction with the accompanying drawings and claims.

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## Description

### BRIEF DESCRIPTION OF THE DRAWINGS

[0028] For a more complete understanding of this disclosure, reference is now made to the following brief description, taken in connection with the accompanying drawings and detailed description, wherein like reference numerals represent like parts.

[0029] FIG. 1 is a flowchart of an example method of coding a video signal.

[0030] FIG. 2 is a schematic diagram of an example coding and decoding (codec) system for video coding.

[0031] FIG. 3 is a schematic diagram illustrating an example video encoder.

[0032] FIG. 4 is a schematic diagram illustrating an example video decoder.

[0033] FIG. 5 is a schematic diagram illustrating an example bitstream containing an Adaptive Loop Filter (ALF) adaptation parameter sets (APSs) with parameter constraints.

[0034] FIG. 6 is a schematic diagram of an example video coding device.

[0035] FIG. 7 is a flowchart of an example method of encoding a video sequence into a bitstream by employing an ALF APS with constraints.

[0036] FIG. 8 is a flowchart of an example method of decoding a video sequence from a bitstream by employing an ALF APS with constraints.

[0037] FIG. 9 is a schematic diagram of an example system for coding a video sequence of images in a bitstream by employing an ALF APS with constraints.

#### DETAILED DESCRIPTION

[0038] It should be understood at the outset that although an illustrative implementation of one or more embodiments are provided below, the disclosed systems and/or methods may be implemented using any number of techniques, whether currently known or in existence. The disclosure should in no way be limited to the illustrative implementations, drawings, and techniques illustrated below, including the exemplary designs and implementations illustrated and described herein, but may be modified within the scope of the appended claims along with their full scope of equivalents.

[0039] The following terms are defined as follows unless used in a contrary context herein.

Specifically, the following definitions are intended to provide additional clarity to the present disclosure. However, terms may be described differently in different contexts. Accordingly, the following definitions should be considered as a supplement and should not be considered to limit any other definitions of descriptions provided for such terms herein.

[0040] A bitstream is a sequence of bits including video data that is compressed for transmission between an encoder and a decoder. An encoder is a device that is configured to employ encoding processes to compress video data into a bitstream. An encoded video sequence is a sequence of coded access units (AUs) and supporting syntax/parameters. An AU is a data unit that contains a complete set of video data relating to a single time instance (e.g., a single picture) in a video sequence. A decoder is a device that is configured to employ decoding processes to reconstruct video data from a bitstream for display. A decoded video sequence is a sequence of pictures that have been reconstructed by a decoder in preparation for display to a user. A picture is an array of luma samples and/or an array of chroma samples that create a frame or a field thereof. A picture that is being encoded or decoded can be referred to as a current picture for clarity of discussion. A slice is an integer number of complete tiles or an integer number of consecutive complete coding tree unit (CTU) rows within a tile of a picture that are exclusively contained in a single network abstraction layer (NAL) unit. A luma component, sometimes denoted as Y, is a portion of video data that depicts light. A chroma component is a portion of video data that depicts color and may be denoted as blue difference chroma (Cb) and red difference chroma (Cr). An adaptation parameter set (APS) is syntax structure containing syntax elements/parameters that apply to one or more slices in one or more pictures. An APS identifier (ID) is a value (e.g., an integer) that uniquely identifies an APS. An adaptive loop filter (ALF) is a filtering process applied as part of the decoding. For example, an ALF may employ a linear filter with a transfer function controlled by variable parameters and an optimization algorithm configured to adjust the variable parameters. An ALF APS is an APS that contains ALF parameters and controls the application of an ALF process to a corresponding slice. An ALF parameter is a syntax element that contains data related to control of an ALF process. An ALF luma filter signal flag is an ALF parameter that indicates a corresponding ALF APS contains a luma filter set. An ALF chroma filter signal flag is an ALF parameter that indicates a corresponding ALF APS contains a chroma filter set. A luma filter set is a set of filter parameters for controlling the application of an ALF to luma components in a slice. A chroma filter set is a set of filter parameters for controlling the application of an ALF to chroma components in a slice. A slice header is a part of a coded slice containing data elements pertaining to all video data in the slice. A luma component ALF APS ID is a syntax element in a slice header that identifies an ALF APS that contains a luma filter set related to a slice associated with the slice header. A chroma component ALF APS ID is a syntax element in a slice header that identifies an ALF APS that contains a chroma filter set related to a slice associated with the slice header.

[0041] The following acronyms are used herein, Adaptive Loop Filter (ALF), Adaptation Parameter Set (APS), Coding Tree Block (CTB), Coding Tree Unit (CTU), Coding Unit (CU), Coded Video Sequence (CVS), Decoded Picture Buffer (DPB), External Decoding Refresh (EDR), Group Of Pictures (GOP), Joint Video Experts Team (JVET), Motion-Constrained Tile Set (MCTS), Maximum Transfer Unit (MTU), Network Abstraction Layer (NAL), Picture Order Count (POC), Random Access Point (RAP), Raw Byte Sequence Payload (RBSP), Sample Adaptive Offset (SAO), Supplemental Enhancement Information (SEI), Sequence Parameter Set (SPS), Temporal Motion Vector Prediction (TMVP), Versatile Video Coding (VVC), and Working Draft (WD).

[0042] Many video compression techniques can be employed to reduce the size of video files with minimal loss of data. For example, video compression techniques can include performing spatial (e.g., intra-picture) prediction and/or temporal (e.g., inter-picture) prediction to reduce or remove data redundancy in video sequences. For block-based video coding, a video slice (e.g., a video picture or a portion of a video picture) may be partitioned into video blocks, which may also be referred to as treeblocks, coding tree blocks (CTBs), coding tree units (CTUs), coding units (CUs), and/or coding nodes. Video blocks in an intra-coded (I) slice of a picture are coded using spatial prediction with respect to reference samples in neighboring blocks in the same picture. Video blocks in an inter-coded unidirectional prediction (P) or bidirectional prediction (B) slice of a picture may be coded by employing spatial prediction with respect to reference samples in neighboring blocks in the same picture or temporal prediction with respect to reference samples in other reference pictures. Pictures may be referred to as frames and/or images, and reference pictures may be referred to as reference frames and/or reference images. Spatial or temporal prediction results in a predictive block representing an image block. Residual data represents pixel differences between the original image block and the predictive block. Accordingly, an inter-coded block is encoded according to a motion vector that points to a block of reference samples forming the predictive block and the residual data indicating the difference between the coded block and the predictive block. An intra-coded block is encoded according to an intra-coding mode and the residual data. For further compression, the residual data may be transformed from the pixel domain to a transform domain. These result in residual transform coefficients, which may be quantized. The quantized transform coefficients may initially be arranged in a two-dimensional array. The quantized transform coefficients may be scanned in order to produce a one-dimensional vector of transform coefficients. Entropy coding may be applied to achieve even more compression. Such video compression techniques are discussed in greater detail below.

[0043] To ensure an encoded video can be accurately decoded, video is encoded and decoded according to corresponding video coding standards. Video coding standards include International Telecommunication Union (ITU) Standardization Sector (ITU-T) H.261, International Organization for Standardization/International Electrotechnical Commission (ISO/IEC) Motion Picture Experts Group (MPEG)-1 Part 2, ITU-T H.262 or ISO/IEC MPEG-2 Part 2, , ITU-T H.263, ISO/IEC MPEG-4 Part 2, Advanced Video Coding (AVC), also known as ITU-T H.264 or ISO/IEC MPEG-4 Part 10, and High Efficiency Video Coding (HEVC), also known as ITU-T H.265 or MPEG-H Part 2. AVC includes extensions such as Scalable Video Coding (SVC), Multiview Video Coding (MVC) and Multiview Video Coding plus Depth (MVC+D), and three dimensional (3D) AVC (3D-AVC). HEVC includes extensions such as Scalable HEVC (SHVC), Multiview HEVC (MV-HEVC), and 3D HEVC (3D-HEVC). The joint video experts team (JVET) of ITU-T and ISO/IEC has begun developing a video coding standard referred to as Versatile Video Coding (VVC). VVC is included in a Working Draft (WD), which includes JVET-02001-v14.

[0044] An APS may be used to maintain data that relates to multiple slices, but not to an entire picture. In some examples, the same APS may contain data related to slices spread across multiple pictures (e.g., portions of multiple pictures). An APS may contain ALF parameters. The ALF parameters may control the application of an ALF process to only luma components in a slice, only chroma components in the slice, or both luma components and chroma components in the slice. An

ALF APS may contain flags indicating the type of data contained in the APS. However, the flag based signaling related to the ALF APS may be inefficient in some video coding systems. For example, the flags can be set to indicate that ALF APS contains only a luma filter set, only a chroma filter set, both a luma filter set and a chroma set, or neither a luma filter set nor a chroma filter set. An ALF APS that contains neither luma nor chroma filter sets is not useful. However, a standardized codec should be built to support any option allowed by the standard. As such, allowing an ALF APS that contains neither luma nor chroma filter sets results in an inefficient codec design that should support an option that should not occur.

[0045] Disclosed herein are various mechanisms that apply constraints to increase the efficiency of ALF APS signaling and resulting codec designs. For example, the ALF APS may be constrained so that one or both of an ALF luma filter signal flag and an ALF chroma filter signal flag in the ALF APS is set to one. This ensures the ALF APS includes at least a luma filter set or chroma filter set, and is hence not empty. As another example, a slice header associated with a slice may contain a luma component ALF APS ID that indicates an ALF APS contains a relevant luma filter set. When this occurs, a constraint may be employed that the ALF luma filter signal flag in the ALF APS is set to one. This ensures that the ALF APS contains luma data when a slice header refers to the ALF APS in relation to luma data. As another example, a slice header associated with a slice may contain a chroma component ALF APS ID that indicates an ALF APS contains a relevant chroma filter set. When this occurs, a constraint may be employed that the ALF chroma filter signal flag in the ALF APS is set to one. This ensures that the ALF APS contains chroma data when a slice header refers to the ALF APS in relation to chroma data. These constraints may ensure that needless ALF APS signaling is avoided and that the ALF APS contains data as needed to filter decoded slices. Such constraints may be included in a hypothetical reference decoder (HRD) at an encoder. The HRD can check an encoded bitstream for standards conformance to ensure that these problem cases do not occur. Hence, these constraints allow a decoder to presume such problem cases have not occurred in the bitstream. Therefore, the decoder can be simplified to avoid supporting such problem cases. Accordingly, the present constraints prevent errors, increase coding efficiency, and/or reduce complexity of the encoder and/or decoder. As such, the present examples may increase video coding system functionality while reducing the usage of network resources, memory resources, and/or processing resources at the encoder and/or the decoder.

[0046] FIG. 1 is a flowchart of an example operating method **100** of coding a video signal. Specifically, a video signal is encoded at an encoder. The encoding process compresses the video signal by employing various mechanisms to reduce the video file size. A smaller file size allows the compressed video file to be transmitted toward a user, while reducing associated bandwidth overhead. The decoder then decodes the compressed video file to reconstruct the original video signal for display to an end user. The decoding process generally mirrors the encoding process to allow the decoder to consistently reconstruct the video signal.

[0047] At step **101**, the video signal is input into the encoder. For example, the video signal may be an uncompressed video file stored in memory. As another example, the video file may be captured by a video capture device, such as a video camera, and encoded to support live streaming of the video. The video file may include both an audio component and a video component. The video component contains a series of image frames that, when viewed in a sequence, gives the visual impression of motion. The frames contain pixels that are expressed in terms of light, referred to herein as luma components (or luma samples), and color, which is referred to as chroma components (or color samples). In some examples, the frames may also contain depth values to support three dimensional viewing.

[0048] At step **103**, the video is partitioned into blocks. Partitioning includes subdividing the pixels in each frame into square and/or rectangular blocks for compression. For example, in High Efficiency Video Coding (HEVC) (also known as H.265 and MPEG-H Part 2) the frame can first be divided into coding tree units (CTUs), which are blocks of a predefined size (e.g., sixty-four



pixels by sixty-four pixels). The CTUs contain both luma and chroma samples. Coding trees may be employed to divide the CTUs into blocks and then recursively subdivide the blocks until configurations are achieved that support further encoding. For example, luma components of a frame may be subdivided until the individual blocks contain relatively homogenous lighting values. Further, chroma components of a frame may be subdivided until the individual blocks contain relatively homogenous color values. Accordingly, partitioning mechanisms vary depending on the content of the video frames.

[0049] At step **105**, various compression mechanisms are employed to compress the image blocks partitioned at step **103**. For example, inter-prediction and/or intra-prediction may be employed. Inter-prediction is designed to take advantage of the fact that objects in a common scene tend to appear in successive frames. Accordingly, a block depicting an object in a reference frame need not be repeatedly described in adjacent frames. Specifically, an object, such as a table, may remain in a constant position over multiple frames. Hence the table is described once and adjacent frames can refer back to the reference frame. Pattern matching mechanisms may be employed to match objects over multiple frames. Further, moving objects may be represented across multiple frames, for example due to object movement or camera movement. As a particular example, a video may show an automobile that moves across the screen over multiple frames. Motion vectors can be employed to describe such movement. A motion vector is a two-dimensional vector that provides an offset from the coordinates of an object in a frame to the coordinates of the object in a reference frame. As such, inter-prediction can encode an image block in a current frame as a set of motion vectors indicating an offset from a corresponding block in a reference frame.

[0050] Intra-prediction encodes blocks in a common frame. Intra-prediction takes advantage of the fact that luma and chroma components tend to cluster in a frame. For example, a patch of green in a portion of a tree tends to be positioned adjacent to similar patches of green. Intra-prediction employs multiple directional prediction modes (e.g., thirty-three in HEVC), a planar mode, and a direct current (DC) mode. The directional modes indicate that a current block is similar/the same as samples of a neighbor block in a corresponding direction. Planar mode indicates that a series of blocks along a row/column (e.g., a plane) can be interpolated based on neighbor blocks at the edges of the row. Planar mode, in effect, indicates a smooth transition of light/color across a row/column by employing a relatively constant slope in changing values. DC mode is employed for boundary smoothing and indicates that a block is similar/the same as an average value associated with samples of all the neighbor blocks associated with the angular directions of the directional prediction modes. Accordingly, intra-prediction blocks can represent image blocks as various relational prediction mode values instead of the actual values. Further, inter-prediction blocks can represent image blocks as motion vector values instead of the actual values. In either case, the prediction blocks may not exactly represent the image blocks in some cases. Any differences are stored in residual blocks. Transforms may be applied to the residual blocks to further compress the file.

[0051] At step **107**, various filtering techniques may be applied. In HEVC, the filters are applied according to an in-loop filtering scheme. The block based prediction discussed above may result in the creation of blocky images at the decoder. Further, the block based prediction scheme may encode a block and then reconstruct the encoded block for later use as a reference block. The in-loop filtering scheme iteratively applies noise suppression filters, de-blocking filters, adaptive loop filters, and sample adaptive offset (SAO) filters to the blocks/frames. These filters mitigate such blocking artifacts so that the encoded file can be accurately reconstructed. Further, these filters mitigate artifacts in the reconstructed reference blocks so that artifacts are less likely to create additional artifacts in subsequent blocks that are encoded based on the reconstructed reference blocks.

[0052] Once the video signal has been partitioned, compressed, and filtered, the resulting data is encoded in a bitstream at step **109**. The bitstream includes the data discussed above as well as any

signaling data desired to support proper video signal reconstruction at the decoder. For example, such data may include partition data, prediction data, residual blocks, and various flags providing coding instructions to the decoder. The bitstream may be stored in memory for transmission toward a decoder upon request. The bitstream may also be broadcast and/or multicast toward a plurality of decoders. The creation of the bitstream is an iterative process. Accordingly, steps **101**, **103**, **105**, **107**, and **109** may occur continuously and/or simultaneously over many frames and blocks. The order shown in FIG. **1** is presented for clarity and ease of discussion, and is not intended to limit the video coding process to a particular order.

[0053] The decoder receives the bitstream and begins the decoding process at step **111**.

Specifically, the decoder employs an entropy decoding scheme to convert the bitstream into corresponding syntax and video data. The decoder employs the syntax data from the bitstream to determine the partitions for the frames at step **111**. The partitioning should match the results of block partitioning at step **103**. Entropy encoding/decoding as employed in step **111** is now described. The encoder makes many choices during the compression process, such as selecting block partitioning schemes from several possible choices based on the spatial positioning of values in the input image(s). Signaling the exact choices may employ a large number of bins. As used herein, a bin is a binary value that is treated as a variable (e.g., a bit value that may vary depending on context). Entropy coding allows the encoder to discard any options that are clearly not viable for a particular case, leaving a set of allowable options. Each allowable option is then assigned a code word. The length of the code words is based on the number of allowable options (e.g., one bin for two options, two bins for three to four options, etc.) The encoder then encodes the code word for the selected option. This scheme reduces the size of the code words as the code words are as big as desired to uniquely indicate a selection from a small sub-set of allowable options as opposed to uniquely indicating the selection from a potentially large set of all possible options. The decoder then decodes the selection by determining the set of allowable options in a similar manner to the encoder. By determining the set of allowable options, the decoder can read the code word and determine the selection made by the encoder.

[0054] At step **113**, the decoder performs block decoding. Specifically, the decoder employs reverse transforms to generate residual blocks. Then the decoder employs the residual blocks and corresponding prediction blocks to reconstruct the image blocks according to the partitioning. The prediction blocks may include both intra-prediction blocks and inter-prediction blocks as generated at the encoder at step **105**. The reconstructed image blocks are then positioned into frames of a reconstructed video signal according to the partitioning data determined at step **111**. Syntax for step **113** may also be signaled in the bitstream via entropy coding as discussed above.

[0055] At step **115**, filtering is performed on the frames of the reconstructed video signal in a manner similar to step **107** at the encoder. For example, noise suppression filters, de-blocking filters, adaptive loop filters, and SAO filters may be applied to the frames to remove blocking artifacts. Once the frames are filtered, the video signal can be output to a display at step **117** for viewing by an end user.

[0056] FIG. **2** is a schematic diagram of an example coding and decoding (codec) system **200** for video coding. Specifically, codec system **200** provides functionality to support the implementation of operating method **100**. Codec system **200** is generalized to depict components employed in both an encoder and a decoder. Codec system **200** receives and partitions a video signal as discussed with respect to steps **101** and **103** in operating method **100**, which results in a partitioned video signal **201**. Codec system **200** then compresses the partitioned video signal **201** into a coded bitstream when acting as an encoder as discussed with respect to steps **105**, **107**, and **109** in method **100**. When acting as a decoder, codec system **200** generates an output video signal from the bitstream as discussed with respect to steps **111**, **113**, **115**, and **117** in operating method **100**. The codec system **200** includes a general coder control component **211**, a transform scaling and quantization component **213**, an intra-picture estimation component **215**, an intra-picture prediction

component **217**, a motion compensation component **219**, a motion estimation component **221**, a scaling and inverse transform component **229**, a filter control analysis component **227**, an in-loop filters component **225**, a decoded picture buffer component **223**, and a header formatting and context adaptive binary arithmetic coding (CABAC) component **231**. Such components are coupled as shown. In FIG. 2, black lines indicate movement of data to be encoded/decoded while dashed lines indicate movement of control data that controls the operation of other components. The components of codec system **200** may all be present in the encoder. The decoder may include a subset of the components of codec system **200**. For example, the decoder may include the intra-picture prediction component **217**, the motion compensation component **219**, the scaling and inverse transform component **229**, the in-loop filters component **225**, and the decoded picture buffer component **223**. These components are now described.

[0057] The partitioned video signal **201** is a captured video sequence that has been partitioned into blocks of pixels by a coding tree. A coding tree employs various split modes to subdivide a block of pixels into smaller blocks of pixels. These blocks can then be further subdivided into smaller blocks. The blocks may be referred to as nodes on the coding tree. Larger parent nodes are split into smaller child nodes. The number of times a node is subdivided is referred to as the depth of the node/coding tree. The divided blocks can be included in coding units (CUs) in some cases. For example, a CU can be a sub-portion of a CTU that contains a luma block, red difference chroma (Cr) block(s), and a blue difference chroma (Cb) block(s) along with corresponding syntax instructions for the CU. The split modes may include a binary tree (BT), triple tree (TT), and a quad tree (QT) employed to partition a node into two, three, or four child nodes, respectively, of varying shapes depending on the split modes employed. The partitioned video signal **201** is forwarded to the general coder control component **211**, the transform scaling and quantization component **213**, the intra-picture estimation component **215**, the filter control analysis component **227**, and the motion estimation component **221** for compression.

[0058] The general coder control component **211** is configured to make decisions related to coding of the images of the video sequence into the bitstream according to application constraints. For example, the general coder control component **211** manages optimization of bitrate/bitstream size versus reconstruction quality. Such decisions may be made based on storage space/bandwidth availability and image resolution requests. The general coder control component **211** also manages buffer utilization in light of transmission speed to mitigate buffer underrun and overrun issues. To manage these issues, the general coder control component **211** manages partitioning, prediction, and filtering by the other components. For example, the general coder control component **211** may dynamically increase compression complexity to increase resolution and increase bandwidth usage or decrease compression complexity to decrease resolution and bandwidth usage. Hence, the general coder control component **211** controls the other components of codec system **200** to balance video signal reconstruction quality with bit rate concerns. The general coder control component **211** creates control data, which controls the operation of the other components. The control data is also forwarded to the header formatting and CABAC component **231** to be encoded in the bitstream to signal parameters for decoding at the decoder.

[0059] The partitioned video signal **201** is also sent to the motion estimation component **221** and the motion compensation component **219** for inter-prediction. A frame or slice of the partitioned video signal **201** may be divided into multiple video blocks. Motion estimation component **221** and the motion compensation component **219** perform inter-predictive coding of the received video block relative to one or more blocks in one or more reference frames to provide temporal prediction. Codec system **200** may perform multiple coding passes, e.g., to select an appropriate coding mode for each block of video data.

[0060] Motion estimation component **221** and motion compensation component **219** may be highly integrated, but are illustrated separately for conceptual purposes. Motion estimation, performed by motion estimation component **221**, is the process of generating motion vectors, which estimate

motion for video blocks. A motion vector, for example, may indicate the displacement of a coded object relative to a predictive block. A predictive block is a block that is found to closely match the block to be coded, in terms of pixel difference. A predictive block may also be referred to as a reference block. Such pixel difference may be determined by sum of absolute difference (SAD), sum of square difference (SSD), or other difference metrics. HEVC employs several coded objects including a CTU, coding tree blocks (CTBs), and CUs. For example, a CTU can be divided into CTBs, which can then be divided into CBs for inclusion in CUS. A CU can be encoded as a prediction unit (PU) containing prediction data and/or a transform unit (TU) containing transformed residual data for the CU. The motion estimation component **221** generates motion vectors, PUs, and TUs by using a rate-distortion analysis as part of a rate distortion optimization process. For example, the motion estimation component **221** may determine multiple reference blocks, multiple motion vectors, etc. for a current block/frame, and may select the reference blocks, motion vectors, etc. having the best rate-distortion characteristics. The best rate-distortion characteristics balance both quality of video reconstruction (e.g., amount of data loss by compression) with coding efficiency (e.g., size of the final encoding).

[0061] In some examples, codec system **200** may calculate values for sub-integer pixel positions of reference pictures stored in decoded picture buffer component **223**. For example, video codec system **200** may interpolate values of one-quarter pixel positions, one-eighth pixel positions, or other fractional pixel positions of the reference picture. Therefore, motion estimation component **221** may perform a motion search relative to the full pixel positions and fractional pixel positions and output a motion vector with fractional pixel precision. The motion estimation component **221** calculates a motion vector for a PU of a video block in an inter-coded slice by comparing the position of the PU to the position of a predictive block of a reference picture. Motion estimation component **221** outputs the calculated motion vector as motion data to header formatting and CABAC component **231** for encoding and motion to the motion compensation component **219**.

[0062] Motion compensation, performed by motion compensation component **219**, may involve fetching or generating the predictive block based on the motion vector determined by motion estimation component **221**. Again, motion estimation component **221** and motion compensation component **219** may be functionally integrated, in some examples. Upon receiving the motion vector for the PU of the current video block, motion compensation component **219** may locate the predictive block to which the motion vector points. A residual video block is then formed by subtracting pixel values of the predictive block from the pixel values of the current video block being coded, forming pixel difference values. In general, motion estimation component **221** performs motion estimation relative to luma components, and motion compensation component **219** uses motion vectors calculated based on the luma components for both chroma components and luma components. The predictive block and residual block are forwarded to transform scaling and quantization component **213**.

[0063] The partitioned video signal **201** is also sent to intra-picture estimation component **215** and intra-picture prediction component **217**. As with motion estimation component **221** and motion compensation component **219**, intra-picture estimation component **215** and intra-picture prediction component **217** may be highly integrated, but are illustrated separately for conceptual purposes. The intra-picture estimation component **215** and intra-picture prediction component **217** intra-predict a current block relative to blocks in a current frame, as an alternative to the inter-prediction performed by motion estimation component **221** and motion compensation component **219** between frames, as described above. In particular, the intra-picture estimation component **215** determines an intra-prediction mode to use to encode a current block. In some examples, intra-picture estimation component **215** selects an appropriate intra-prediction mode to encode a current block from multiple tested intra-prediction modes. The selected intra-prediction modes are then forwarded to the header formatting and CABAC component **231** for encoding.

[0064] For example, the intra-picture estimation component **215** calculates rate-distortion values

using a rate-distortion analysis for the various tested intra-prediction modes, and selects the intra-prediction mode having the best rate-distortion characteristics among the tested modes. Rate-distortion analysis generally determines an amount of distortion (or error) between an encoded block and an original unencoded block that was encoded to produce the encoded block, as well as a bitrate (e.g., a number of bits) used to produce the encoded block. The intra-picture estimation component **215** calculates ratios from the distortions and rates for the various encoded blocks to determine which intra-prediction mode exhibits the best rate-distortion value for the block. In addition, intra-picture estimation component **215** may be configured to code depth blocks of a depth map using a depth modeling mode (DMM) based on rate-distortion optimization (RDO). [0065] The intra-picture prediction component **217** may generate a residual block from the predictive block based on the selected intra-prediction modes determined by intra-picture estimation component **215** when implemented on an encoder or read the residual block from the bitstream when implemented on a decoder. The residual block includes the difference in values between the predictive block and the original block, represented as a matrix. The residual block is then forwarded to the transform scaling and quantization component **213**. The intra-picture estimation component **215** and the intra-picture prediction component **217** may operate on both luma and chroma components.

[0066] The transform scaling and quantization component **213** is configured to further compress the residual block. The transform scaling and quantization component **213** applies a transform, such as a discrete cosine transform (DCT), a discrete sine transform (DST), or a conceptually similar transform, to the residual block, producing a video block comprising residual transform coefficient values. Wavelet transforms, integer transforms, sub-band transforms or other types of transforms could also be used. The transform may convert the residual information from a pixel value domain to a transform domain, such as a frequency domain. The transform scaling and quantization component **213** is also configured to scale the transformed residual information, for example based on frequency. Such scaling involves applying a scale factor to the residual information so that different frequency information is quantized at different granularities, which may affect final visual quality of the reconstructed video. The transform scaling and quantization component **213** is also configured to quantize the transform coefficients to further reduce bit rate. The quantization process may reduce the bit depth associated with some or all of the coefficients. The degree of quantization may be modified by adjusting a quantization parameter. In some examples, the transform scaling and quantization component **213** may then perform a scan of the matrix including the quantized transform coefficients. The quantized transform coefficients are forwarded to the header formatting and CABAC component **231** to be encoded in the bitstream.

[0067] The scaling and inverse transform component **229** applies a reverse operation of the transform scaling and quantization component **213** to support motion estimation. The scaling and inverse transform component **229** applies inverse scaling, transformation, and/or quantization to reconstruct the residual block in the pixel domain, e.g., for later use as a reference block which may become a predictive block for another current block. The motion estimation component **221** and/or motion compensation component **219** may calculate a reference block by adding the residual block back to a corresponding predictive block for use in motion estimation of a later block/frame. Filters are applied to the reconstructed reference blocks to mitigate artifacts created during scaling, quantization, and transform. Such artifacts could otherwise cause inaccurate prediction (and create additional artifacts) when subsequent blocks are predicted.

[0068] The filter control analysis component **227** and the in-loop filters component **225** apply the filters to the residual blocks and/or to reconstructed image blocks. For example, the transformed residual block from the scaling and inverse transform component **229** may be combined with a corresponding prediction block from intra-picture prediction component **217** and/or motion compensation component **219** to reconstruct the original image block. The filters may then be applied to the reconstructed image block. In some examples, the filters may instead be applied to

the residual blocks. As with other components in FIG. 2, the filter control analysis component **227** and the in-loop filters component **225** are highly integrated and may be implemented together, but are depicted separately for conceptual purposes. Filters applied to the reconstructed reference blocks are applied to particular spatial regions and include multiple parameters to adjust how such filters are applied. The filter control analysis component **227** analyzes the reconstructed reference blocks to determine where such filters should be applied and sets corresponding parameters. Such data is forwarded to the header formatting and CABAC component **231** as filter control data for encoding. The in-loop filters component **225** applies such filters based on the filter control data. The filters may include a deblocking filter, a noise suppression filter, a SAO filter, and an adaptive loop filter. Such filters may be applied in the spatial/pixel domain (e.g., on a reconstructed pixel block) or in the frequency domain, depending on the example.

[0069] When operating as an encoder, the filtered reconstructed image block, residual block, and/or prediction block are stored in the decoded picture buffer component **223** for later use in motion estimation as discussed above. When operating as a decoder, the decoded picture buffer component **223** stores and forwards the reconstructed and filtered blocks toward a display as part of an output video signal. The decoded picture buffer component **223** may be any memory device capable of storing prediction blocks, residual blocks, and/or reconstructed image blocks.

[0070] The header formatting and CABAC component **231** receives the data from the various components of codec system **200** and encodes such data into a coded bitstream for transmission toward a decoder. Specifically, the header formatting and CABAC component **231** generates various headers to encode control data, such as general control data and filter control data. Further, prediction data, including intra-prediction and motion data, as well as residual data in the form of quantized transform coefficient data are all encoded in the bitstream. The final bitstream includes all information desired by the decoder to reconstruct the original partitioned video signal **201**. Such information may also include intra-prediction mode index tables (also referred to as codeword mapping tables), definitions of encoding contexts for various blocks, indications of most probable intra-prediction modes, an indication of partition information, etc. Such data may be encoded by employing entropy coding. For example, the information may be encoded by employing context adaptive variable length coding (CAVLC), CABAC, syntax-based context-adaptive binary arithmetic coding (SBAC), probability interval partitioning entropy (PIPE) coding, or another entropy coding technique. Following the entropy coding, the coded bitstream may be transmitted to another device (e.g., a video decoder) or archived for later transmission or retrieval.

[0071] FIG. 3 is a block diagram illustrating an example video encoder **300**. Video encoder **300** may be employed to implement the encoding functions of codec system **200** and/or implement steps **101**, **103**, **105**, **107**, and/or **109** of operating method **100**. Encoder **300** partitions an input video signal, resulting in a partitioned video signal **301**, which is substantially similar to the partitioned video signal **201**. The partitioned video signal **301** is then compressed and encoded into a bitstream by components of encoder **300**.

[0072] Specifically, the partitioned video signal **301** is forwarded to an intra-picture prediction component **317** for intra-prediction. The intra-picture prediction component **317** may be substantially similar to intra-picture estimation component **215** and intra-picture prediction component **217**. The partitioned video signal **301** is also forwarded to a motion compensation component **321** for inter-prediction based on reference blocks in a decoded picture buffer component **323**. The motion compensation component **321** may be substantially similar to motion estimation component **221** and motion compensation component **219**. The prediction blocks and residual blocks from the intra-picture prediction component **317** and the motion compensation component **321** are forwarded to a transform and quantization component **313** for transform and quantization of the residual blocks. The transform and quantization component **313** may be substantially similar to the transform scaling and quantization component **213**. The transformed and quantized residual blocks and the corresponding prediction blocks (along with associated

control data) are forwarded to an entropy coding component **331** for coding into a bitstream. The entropy coding component **331** may be substantially similar to the header formatting and CABAC component **231**.

[0073] The transformed and quantized residual blocks and/or the corresponding prediction blocks are also forwarded from the transform and quantization component **313** to an inverse transform and quantization component **329** for reconstruction into reference blocks for use by the motion compensation component **321**. The inverse transform and quantization component **329** may be substantially similar to the scaling and inverse transform component **229**. In-loop filters in an in-loop filters component **325** are also applied to the residual blocks and/or reconstructed reference blocks, depending on the example. The in-loop filters component **325** may be substantially similar to the filter control analysis component **227** and the in-loop filters component **225**. The in-loop filters component **325** may include multiple filters as discussed with respect to in-loop filters component **225**. The filtered blocks are then stored in a decoded picture buffer component **323** for use as reference blocks by the motion compensation component **321**. The decoded picture buffer component **323** may be substantially similar to the decoded picture buffer component **223**.

[0074] FIG. **4** is a block diagram illustrating an example video decoder **400**. Video decoder **400** may be employed to implement the decoding functions of codec system **200** and/or implement steps **111**, **113**, **115**, and/or **117** of operating method **100**. Decoder **400** receives a bitstream, for example from an encoder **300**, and generates a reconstructed output video signal based on the bitstream for display to an end user.

[0075] The bitstream is received by an entropy decoding component **433**. The entropy decoding component **433** is configured to implement an entropy decoding scheme, such as CAVLC, CABAC, SBAC, PIPE coding, or other entropy coding techniques. For example, the entropy decoding component **433** may employ header information to provide a context to interpret additional data encoded as codewords in the bitstream. The decoded information includes any desired information to decode the video signal, such as general control data, filter control data, partition information, motion data, prediction data, and quantized transform coefficients from residual blocks. The quantized transform coefficients are forwarded to an inverse transform and quantization component **429** for reconstruction into residual blocks. The inverse transform and quantization component **429** may be similar to inverse transform and quantization component **329**.

[0076] The reconstructed residual blocks and/or prediction blocks are forwarded to intra-picture prediction component **417** for reconstruction into image blocks based on intra-prediction operations. The intra-picture prediction component **417** may be similar to intra-picture estimation component **215** and an intra-picture prediction component **217**. Specifically, the intra-picture prediction component **417** employs prediction modes to locate a reference block in the frame and applies a residual block to the result to reconstruct intra-predicted image blocks. The reconstructed intra-predicted image blocks and/or the residual blocks and corresponding inter-prediction data are forwarded to a decoded picture buffer component **423** via an in-loop filters component **425**, which may be substantially similar to decoded picture buffer component **223** and in-loop filters component **225**, respectively. The in-loop filters component **425** filters the reconstructed image blocks, residual blocks and/or prediction blocks, and such information is stored in the decoded picture buffer component **423**. Reconstructed image blocks from decoded picture buffer component **423** are forwarded to a motion compensation component **421** for inter-prediction. The motion compensation component **421** may be substantially similar to motion estimation component **221** and/or motion compensation component **219**. Specifically, the motion compensation component **421** employs motion vectors from a reference block to generate a prediction block and applies a residual block to the result to reconstruct an image block. The resulting reconstructed blocks may also be forwarded via the in-loop filters component **425** to the decoded picture buffer component **423**. The decoded picture buffer component **423** continues to store additional reconstructed image blocks, which can be reconstructed into frames via the partition information. Such frames may also

be placed in a sequence. The sequence is output toward a display as a reconstructed output video signal.

[0077] FIG. 5 is a schematic diagram illustrating an example bitstream **500** containing an ALF APSs with parameter constraints. For example, the bitstream **500** can be generated by a codec system **200** and/or an encoder **300** for decoding by a codec system **200** and/or a decoder **400**. As another example, the bitstream **500** may be generated by an encoder at step **109** of method **100** for use by a decoder at step **111**.

[0078] The bitstream **500** includes a sequence parameter set (SPS) **510**, an ALF APS **513**, a plurality of picture parameter sets (PPSs) **511**, a plurality of slice headers **515**, and image data **520**. An SPS **510** contains sequence data common to all the pictures **521** in the video sequence contained in the bitstream **500**. Such data can include picture sizing, bit depth, coding tool parameters, bit rate restrictions, etc. The PPS **511** contains parameters that apply to an entire picture **521**. Hence, each picture **521** in the video sequence may refer to a PPS **511**. It should be noted that, while each picture **521** refers to a PPS **511**, a single PPS **511** can contain data for multiple pictures **521** in some examples. For example, multiple similar pictures **521** may be coded according to similar parameters. In such a case, a single PPS **511** may contain data for such similar pictures **521**. The PPS **511** can indicate coding tools available for slices **523** in corresponding pictures **521**, quantization parameters, offsets, etc. The slice header **515** contains parameters that are specific to each slice **523** in a picture **521**. Hence, there may be one slice header **515** per slice **523** in the video sequence. The slice header **515** may contain slice type information, picture order counts (POCs), reference picture lists, prediction weights, tile entry points, deblocking parameters, etc. It should be noted that a slice header **515** may also be referred to as a tile group header in some contexts. Further, a slice header **515** may reference a SPS **510**, PPS **511**, and/or ALF APS **513** for parameters that are used to code a corresponding slice **523**.

[0079] The image data **520** contains video data encoded according to inter-prediction and/or intra-prediction as well as corresponding transformed and quantized residual data. For example, a video sequence includes a plurality of pictures **521** coded as image data. A picture **521** may be defined as an array of luma samples and/or an array of chroma samples that create a frame or a field thereof. A picture **521** is generally a single frame of a video sequence and hence is generally displayed as a single unit when displaying the video sequence. However, partial pictures **521** may be displayed to implement certain technologies such as virtual reality, picture in picture, etc. Further, some technologies may employ multiple layers of coded pictures **521**, in which case a single picture **521** selected from one of a plurality of layers is displayed at a time instance. The pictures **521** may be identified by a corresponding POC. Further, the pictures **521** each reference a PPS **511**.

[0080] The pictures **521** are divided into slices **523**. In some systems the slices **523** are sub-divided into tiles. In other systems, the slices **523** are referred to as tile groups containing the tiles. The slices **523** and/or tiles are further divided into coding tree units (CTUs). The CTUs are further divided into coding blocks based on coding trees. The coding blocks can then be encoded/decoded according to prediction mechanisms. A slice **523** may be a raster slice or a rectangular slice. For example, the picture **521** may be divided into columns and rows of CTUs. A raster slice **523** includes a group of CTUs of a picture **521**, where the CTUs increase in raster scan order. A raster scan order increases from left to right along a row of CTUs and increases from top to bottom along columns of CTUs. A rectangular slice **523** may include any rectangular group of CTUs from the picture **521**. As such, a slice **523** may be defined as integer number of complete tiles or an integer number of consecutive complete CTU rows within a tile of a picture that are exclusively contained in a single NAL unit. A NAL unit is data unit that is sized to be transmitted in a packet and that contains a type and data of the indicated type. The slices **523** and/or tile groups of tiles reference a slice header **515**.

[0081] An APS is syntax structure containing syntax elements/parameters that apply to one or more slices **523** in one or more pictures **521**. For example, an APS may apply to at least one, but less



than all, slices **523** in a first picture **521**, to at least one, but less than all, slices **523** in a second picture **521**, etc. An APS can be separated into multiple types based on the parameters contained in the APS. An ALF APS **513** is an APS of type ALF that includes ALF parameters. An ALF is an adaptive block based filter that includes a transfer function controlled by variable parameters and employs feedback from a feedback loop to refine the transfer function. Further, the ALF is employed to correct coding artifacts (e.g., errors) that occur as a result of block based coding. The feedback loop may include an optimization algorithm, such as the RDO process operating at the encoder. As such, ALF parameters included in an ALF APS **513** may include variable parameters selected by the encoder to cause the filter to remove block based coding artifacts during decoding at the decoder.

[0082] Each APS, such as ALF APS **513**, includes an APS ID **542**. An APS ID **542** is any value, such as an integer, that uniquely identifies a corresponding APS. The APS ID **542** may be denoted as an `adaptation_parameter_set_id` in some examples. As noted above, an ALF APS **513** also contains ALF parameters. An ALF parameter is a syntax element that contains data related to control of an ALF process. ALF parameters may include an ALF luma filter signal flag **541**, an ALF chroma filter signal flag **543**, a luma filter set **545**, and/or a chroma filter set **547**.

[0083] Specifically, a slice **523** contains luma samples that display as light values and chroma samples that display as color values. A luma filter set **545** is a set of filter parameters for controlling the application of an ALF to luma components in a slice **523**. A chroma filter set **547** is a set of filter parameters for controlling the application of an ALF to chroma components in a slice **523**. An ALF APS **513** may contain a luma filter set **545**, a chroma filter set **547**, or both. For example, a first ALF APS **513** may contain both a luma filter set **545** and a chroma filter set **547**. The luma components in the video may change, in which case a second ALF APS **513** may contain only an updated luma filter set **545**. The chroma components in the video may then change, in which case a third ALF APS **513** may contain only an updated chroma filter set **547**. Flags can be used to indicate the type of filter components contained in an ALF APS **513**. An ALF luma filter signal flag **541** is an ALF parameter that indicates a corresponding ALF APS **513** contains a luma filter set **545**. The ALF luma filter signal flag **541** may be denoted as an `alf_luma_filter_signal_flag` in some examples. An ALF chroma filter signal flag **543** is an ALF parameter that indicates a corresponding ALF APS **513** contains a chroma filter set **547**. The ALF chroma filter signal flag **543** may be denoted as a `alf_chroma_filter_signal_flag` in some examples.

[0084] The slice header **515** may reference the ALF APS(s) **513** that contain the ALF parameters for a corresponding slice **523**. For example, the slice header **515** may contain a luma component ALF APS ID **549** and a chroma component ALF APS ID **548**. A luma component ALF APS ID **549** is a syntax element in a slice header **515** that identifies an ALF APS **513** that contains a luma filter set **545** related to a slice **523** associated with the slice header **515**. The luma component ALF APS ID **549** may be denoted as `slice_alf_aps_id_luma[i]` in some examples, where *i* indicates an *i*th ALF APS **513** and *i* is any positive integer. A chroma component ALF APS ID **548** is a syntax element in a slice header **515** that identifies an ALF APS **513** that contains a chroma filter set **547** related to a slice **523** associated with the slice header **515**. A chroma component ALF APS ID **548** may be denoted as `slice_alf_aps_id_chroma` in some examples. For example, the luma component ALF APS ID **549** and the chroma component ALF APS ID **548** may reference the ALF APS **513** by employing the APS ID **542**.

[0085] Bitstream **500** includes certain constraints to increase coding efficiency, reduce errors, and/or support equipment simplification. For example, the ALF APS **513** may contain a luma filter set **545**, a chroma filter set **547**, or both. However, the ALF APS **513** should contain at least one filter set. Accordingly, the bitstream **500** includes a constraint that at least one of the ALF luma filter signal flag **541** and the ALF chroma filter signal flag **543** in a single ALF APS **513** is set to one. This constraint ensures that no ALF APS **513** is transmitted to a decoder without at least one filter set. Further, this allows the decoder to ignore the possibility that the ALF APS **513** contains

no filter sets. Hence, the decoder design can be simplified and hardware resources can instead be allocated to other tasks.

[0086] As another example, the ALF APS **513** can be constrained so that when a luma component ALF APS ID **549** indicates the APS ID **542**, the corresponding ALF APS **513** contains a luma filter set **545**. Further, when this occurs, the ALF luma filter signal flag **541** in the indicated ALF APS **513** is set to one. This ensures that the ALF APS **513** contains the luma filter parameters used to decode the slice **523** associated with the slice header **515**. As such, a decoder can be simplified by ignoring the possibility that luma filter parameters are improperly referenced by the slice header **515**.

[0087] As another example, the ALF APS **513** can be constrained so that when a chroma component ALF APS ID **548** indicates the APS ID **542**, the corresponding ALF APS **513** contains a chroma filter set **547**. Further, when this occurs, the ALF chroma filter signal flag **543** in the indicated ALF APS **513** is set to one. This ensures that the ALF APS **513** contains the chroma filter parameters used to decode the slice **523** associated with the slice header **515**. As such, a decoder can be simplified by ignoring the possibility that chroma filter parameters are improperly referenced by the slice header **515**.

[0088] These constraints may ensure that needless ALF APS **513** signaling is avoided and that the ALF APS **513** contains data as needed to filter decoded slices **523**. Such constraints may be implemented in a HRD at an encoder. The HRD can check the bitstream **500** for standards conformance to ensure that the ALF APS **513** contains at least one filter set and never contains the wrong filter set to decode a corresponding slice **523**. Hence, these constraints allow a decoder to presume such problems have not occurred in the bitstream **500**. Therefore, the decoder can be simplified to avoid the need to check for, and intelligently respond to, such issues. Accordingly, the present constraints prevent errors, increase coding efficiency, and/or reduce complexity of the encoder and/or decoder. As such, the present examples may increase video coding system functionality while reducing the usage of network resources, memory resources, and/or processing resources at the encoder and/or the decoder.

[0089] The preceding information is now described in more detail herein below. In HEVC, instantaneous decoding refresh (IDR), Broken Link Access (BLA), and Clean Random Access (CRA) pictures are intra random access point (IRAP) pictures. VVC employs IDR and CRA pictures as IRAP pictures. An IRAP picture is coded according to intra-prediction, and hence is not coded in reference to another picture. An IRAP picture provides the following functionalities/benefits. The presence of an IRAP picture indicates that a decoding process can start from that picture. This functionality supports a random access feature that allows a decoding process to start at a position in a bitstream as long as an IRAP picture is present at that position. The position may not be at the beginning of a bitstream. The presence of an IRAP picture may also refresh the decoding process such that coded pictures after IRAP picture, excluding random access skipped leading (RASL) pictures, are coded without any reference to pictures preceding the IRAP picture. Hence, an IRAP picture prevents errors occurring prior to the IRAP picture from propagating to pictures that follow the IRAP picture in decoding order.

[0090] IRAP pictures provide the above-mentioned functionalities, but result in a penalty to compression efficiency. The presence of an IRAP picture also causes a surge in bit-rate. This penalty to the compression efficiency has two causes. First, as an IRAP picture is an intra-predicted picture, and hence the IRAP picture is represented by more bits than inter-predicted pictures. Second, the presence of an IRAP picture may break temporal prediction by refreshing the decoding process when reference pictures are removed from the DPB. This may result in less efficient coding of pictures that follow the IRAP picture as fewer reference pictures are available for inter-prediction.

[0091] IDR pictures in HEVC may be derived and signaled differently from other picture types. Some of the differences are as follows. When signaling and deriving a POC value of an IDR

picture, the most significant bit (MSB) of the POC may be set equal to zero instead of being derived from a previous key picture. Further, a slice header of an IDR picture may not contain information to assist in reference picture management. For other picture types, such as CRA and trailing, reference picture sets (RPSs) or reference picture lists may be employed for a reference pictures marking process. This process is employed to determine the status of reference pictures in the DPB as either used for reference or unused for reference. For IDR pictures such information may not be signaled because the presence of IDR indicates that the decoding process should mark all reference pictures in the DPB as unused for reference.

[0092] Leading pictures, when present, are associated with an IRAP picture. Leading pictures are pictures that follow an associated IRAP picture in decoding order but precede the IRAP picture in presentation/output order. Depending on the coding configuration and picture referencing structure, leading pictures are further identified into two types. The first type is the leading pictures that may not be decoded correctly when the decoding process starts at an associated IRAP picture. Such pictures are known as RASL pictures. RASL pictures may not be decodable in this case because RASL pictures are coded with reference to pictures that precede the IRAP picture in decoding order. The second type is a leading picture that can be decoded correctly even when the decoding process starts at an associated IRAP picture. These pictures are known as random access decodable leading (RADL) pictures. RADL pictures can be decoded because RADL pictures are coded without referencing, directly or indirectly, pictures that precede the IRAP picture in decoding order. HEVC systems employ constraints such that RASL pictures should precede RADL pictures in output order when the RASL and RADL pictures are associated with the same IRAP picture.

[0093] IRAP pictures and leading pictures are assigned different NAL unit types to support identification by system level applications. For example, a video splicer may be configured to determine coded picture types without reviewing detailed syntax elements in the coded bitstream. For example, a video splicer may identify IRAP pictures from non-IRAP pictures and identify leading pictures, including determining RASL and RADL pictures, from trailing pictures. Trailing pictures are pictures that are associated with an IRAP picture and follow the IRAP picture in output order. A picture is associated with a particular IRAP picture when the picture follows the particular IRAP picture in decoding order and precedes any other IRAP picture in decoding order. Accordingly, assigning IRAP and leading pictures distinct NAL unit types support such applications.

[0094] VVC systems may employ an APS. An APS is a syntax element that contains parameters and/or data that may be referred to by one or more slices. Parameters that are contained in an APS may be shared among slices in one or more pictures. APS parameters may be updated more frequently than PPS parameters and/or SPS parameters.

[0095] The following table describes example APS syntax. APS may contain parameters for ALF, luma mapping with chroma scaling (LMCS), and scaling list. Each APS may contain only one type of parameter, which is specified by `aps_params_type`. An APS that contains one or more ALF parameters, LMCS parameters, or scaling list parameters may be referred to as an ALF APS, LMCS APS, or Scaling APS, respectively.

TABLE-US-00001 Descriptor `adaptation_parameter_set_rbsp()` {    `adaptation_parameter_set_id` u(5)    `aps_params_type` u(3)    if( `aps_params_type` == ALF\_APS )       `alf_data()`    else if( `aps_params_type` == LMCS\_APS )       `lmcs_data()`    else if( `aps_params_type` == SCALING\_APS )       `scaling_list_data()`    `aps_extension_flag` u(1)    if( `aps_extension_flag` )       while( `more_rbsp_data()` )          `aps_extension_data_flag` u(1)       `rbp_trailing_bits()` }

[0096] The following table describes example ALF parameter syntax as `alf_data()`. The ALF parameters may be parameters used for luma components only, chroma components only, or both luma and chroma components, depending on the example. The presence of parameters for luma and chroma components is specified by an `alf_luma_filter_signal_flag` and a `alf_chroma_filter_signal_flag`.

```

TABLE-US-00002 Descriptor alf_data( ) {    alf_luma_filter_signal_flag u(1)
alf_chroma_filter_signal_flag u(1)    if( alf_luma_filter_signal_flag ) {    alf_luma_clip_flag
u(1)    alf_luma_num_filters_signalled_minus1 ue(v)    if(
alf_luma_num_filters_signalled_minus1 > 0 ) {    for( filtIdx = 0; filtIdx < NumAlfFilters;
filtIdx++ )    alf_luma_coeff_delta_idx[ filtIdx ] u(v)    }
alf_luma_coeff_signalled_flag u(1)    if( alf_luma_coeff_signalled_flag ) {    for( sfIdx =
0; sfIdx <= alf_luma_num_filters_signalled_minus1; sfIdx++ )    alf_luma_coeff_flag[
sfIdx ] u(1)    }    for( sfIdx = 0; sfIdx <= alf_luma_num_filters_signalled_minus1; sfIdx++
) {    if( alf_luma_coeff_flag[ sfIdx ] ) {    for( j = 0; j < 12; j++ ) {
alf_luma_coeff_abs[ sfIdx ][ j ] uek(v)    if( alf_luma_coeff_abs[ sfIdx ][ j ] )
alf_luma_coeff_sign[ sfIdx ][ j ] u(1)    }    }    }    if(
alf_luma_clip_flag ) {    for( sfIdx = 0; sfIdx <= alf_luma_num_filters_signalled_minus1;
sfIdx++ ) {    if( alf_luma_coeff_flag[ sfIdx ] ) {    for( j = 0; j < 12; j++ )
alf_luma_clip_idx[ sfIdx ][ j ] u(2)    }    }    }    }    if(
alf_chroma_filter_signal_flag ) {    alf_chroma_num_alt_filters_minus1 ue(v)    for(
altIdx = 0; altIdx <= alf_chroma_num_alt_filters_minus1; altIdx++ ) {
alf_chroma_clip_flag[ altIdx ] u(1)    for( j = 0; j < 6; j++ ) {
alf_chroma_coeff_abs[ altIdx ][ j ] uek(v)    if( alf_chroma_coeff_abs[ altIdx ][ j ] > 0 )
alf_chroma_coeff_sign[ altIdx ][ j ] u(1)    }    if( alf_chroma_clip_flag[
altIdx ] ) {    for( j = 0; j < 6; j++ )    alf_chroma_clip_idx[ altIdx ][ j ] u(2)
}    }    }    }

```

[0097] When ALF is enabled for a slice, the slice refers to one or more APSs that contain the ALF parameters used for application of the ALF to the slice. A slice may refer to one or more ALF APSs for luma components and up to one ALF APS for chroma components. The following table includes an example slice header syntax describing the signaling of references to ALF APSs.

```

TABLE-US-00003 Descriptor slice_header( ) {    ...    slice_alf_enabled_flag u(1)    if(
slice_alf_enabled_flag ) {    slice_num_alf_aps_ids_luma u(3)    for( i = 0; i <
slice_num_alf_aps_ids_luma; i++ )    slice_alf_aps_id_luma[ i ] u(3)    if(
ChromaArrayType != 0 )    slice_alf_chroma_idc u(2)    if( slice_alf_chroma_idc )
slice_alf_aps_id_chroma u(3)    }    ... }

```

[0098] In an example, a slice\_alf\_enabled\_flag may be set equal to one to specify that an adaptive loop filter is enabled and may be applied to luma (Y), blue difference chroma (Cb), or red difference chroma (Cr) color component in a slice. A slice\_alf\_enabled\_flag may be set equal to zero to specify that adaptive loop filter is disabled for all color components in a slice. A slice\_num\_alf\_aps\_ids\_luma may specify the number of ALF APSs that the slice refers to. The value of slice\_num\_alf\_aps\_ids\_luma may be in the range of zero to seven, inclusive. A slice\_alf\_aps\_id\_luma[i] may specify the adaptation\_parameter\_set\_id of the i-th ALF APS that the luma component of the slice refers to. The TemporalId of the APS NAL unit having aps\_params\_type equal to ALF\_APS and adaptation\_parameter\_set\_id equal to slice\_alf\_aps\_id\_luma[i] should be less than or equal to the TemporalId of the coded slice NAL unit. For intra slices and slices in an IRAP picture, slice\_alf\_aps\_id\_luma[i] may not refer to an ALF APS associated with other pictures rather than the picture containing the intra slices or the IRAP picture. A slice\_alf\_chroma\_idc may be set equal to zero to specify that the adaptive loop filter is not applied to Cb and Cr color components. A slice\_alf\_chroma\_idc may be set equal to one to indicate that the adaptive loop filter is applied to the Cb color component. The slice\_alf\_chroma\_idc may be set equal to two to indicate that the adaptive loop filter is applied to the Cr color component. The slice\_alf\_chroma\_idc may be set equal to three to indicate that the adaptive loop filter is applied to Cb and Cr color components. The slice\_alf\_chroma\_idc may be inferred to be equal to zero when not present. A slice\_alf\_aps\_id\_chroma specifies the adaptation\_parameter\_set\_id of the ALF APS that the chroma component of the slice refers to. The

TemporalId of the APS NAL unit having `aps_params_type` equal to `ALF_APS` and `adaptation_parameter_set_id` equal to `slice_alf_aps_id_chroma` should be less than or equal to the TemporalId of the coded slice NAL unit. For intra slices and slices in an IRAP picture, `slice_alf_aps_id_chroma` should not refer to an ALF APS associated with other pictures rather than the picture containing the intra slices or the IRAP picture.

[0099] The preceding example implementation has certain problems. For example, the type of ALF parameters signaled in an APS is specified by two flags, denoted as the `alf_luma_filter_signal_flag` and the `alf_chroma_filter_signal_flag`. The values of these two flags may result in four possibilities as follows: both flags have a zero value; `alf_luma_filter_signal_flag` is equal to one and `alf_chroma_filter_signal_flag` is equal to zero; `alf_luma_filter_signal_flag` is equal to zero and `alf_chroma_filter_signal_flag` is equal to one; and both flags have a one value. Out of these four possibilities, the signaling of an ALF APS is redundant when values of both of the flags are equal to zero. Further, an ALF APS can be referred to by a slice for parameters related to luma components, for example by using a syntax element `slice_alf_aps_id_luma[i]`. However, the ALF APS is not required to contain ALF parameters for luma components, for example when the value of `alf_luma_filter_signal_flag` is equal to zero. The same issue can occur for chroma components as.

[0100] In general, this disclosure describes some constraints to methods of signaling ALF parameters in an APS. The ALF parameters may include parameters for luma components and/or chroma components. The description of the techniques used herein is based on the VVC standard, but may also apply to other video codec specifications. An example mechanism to address the problems listed above is as follows. A constraint can be employed such that ALF APS should contain an ALF parameter for at least one type of color component (e.g., luma or chroma). Further, a constraint may be applied such that when an ALF APS is referred to by a slice for ALF parameters related to a luma component, the ALF APS should contain an ALF parameter for the luma component. In addition, a constraint may be applied such that when an ALF APS is referred to by a slice for ALF parameters related to a chroma component, the ALF APS should contain an ALF parameter for the chroma component.

[0101] The following is an example implementation. An example ALF data semantics are as follows. An `alf_luma_filter_signal_flag` may be set equal to one to specify that a luma filter set is signaled. The `alf_luma_filter_signal_flag` may be set equal to zero to specify that a luma filter set is not signaled. An `alf_chroma_filter_signal_flag` may be set equal to one to specify that a chroma filter is signaled. The `alf_chroma_filter_signal_flag` may be set equal to zero to specify that a chroma filter is not signaled. When `ChromaArrayType` is equal to zero, `alf_chroma_filter_signal_flag` should also be equal to zero. Bitstream conformance may require that the values of `alf_luma_filter_signal_flag` and `alf_chroma_filter_signal_flag` should not both be equal to zero. The variable `NumAIfFilters` specifying the number of different adaptive loop filters may be set equal to twenty five.

[0102] An example slice header semantics are as follows. A `slice_alf_enabled_flag` may be set equal to one to specify that an adaptive loop filter is enabled and may be applied to Y, Cb, or Cr color components in a slice. The `slice_alf_enabled_flag` may be set equal to zero to specify that the adaptive loop filter is disabled for all color components in a slice. The `slice_num_alf_aps_ids_luma` may specify the number of ALF APSs referred to by the slice. The value of `slice_num_alf_aps_ids_luma` may be in the range of zero to seven, inclusive. The `slice_alf_aps_id_luma[i]` may specify the `adaptation_parameter_set_id` of the i-th ALF APS referred to by the luma component of the slice. The TemporalId of the APS NAL unit having `aps_params_type` equal to `ALF_APS` and `adaptation_parameter_set_id` equal to `slice_alf_aps_id_luma[i]` should be less than or equal to the TemporalId of the coded slice NAL unit. For intra slices and slices in an IRAP picture, `slice_alf_aps_id_luma[i]` should not refer to an ALF APS associated with any other picture that is not the picture containing the intra slices or the

IRAP picture. The value of `alf_luma_filter_signal_flag` of the APS NAL unit having `aps_params_type` equal to `ALF_APS` and `adaptation_parameter_set_id` equal to `slice_alf_aps_id_luma[i]` should be equal to one.

[0103] A `slice_alf_chroma_idc` may be set equal to zero to specify that the adaptive loop filter is not applied to Cb and Cr color components. The `slice_alf_chroma_idc` may be set equal to one to indicate that the adaptive loop filter is applied to the Cb color component. The `slice_alf_chroma_idc` may be set equal to two to indicate that the adaptive loop filter is applied to the Cr color component. The `slice_alf_chroma_idc` may be set equal to three to indicate that the adaptive loop filter is applied to Cb and Cr color components. The `slice_alf_chroma_idc` can be inferred to be equal to zero when not present. The `slice_alf_aps_id_chroma` specifies the `adaptation_parameter_set_id` of the ALF APS referred to by the chroma component of the slice. The TemporalId of the APS NAL unit having `aps_params_type` equal to `ALF_APS` and `adaptation_parameter_set_id` equal to `slice_alf_aps_id_chroma` shall be less than or equal to the TemporalId of the coded slice NAL unit. For intra slices and slices in an IRAP picture, `slice_alf_aps_id_chroma` should not refer to an ALF APS associated with any other picture that is not the picture containing the intra slices or the IRAP picture. The value of the `alf_chroma_filter_signal_flag` of the APS NAL unit having `aps_params_type` equal to `ALF_APS` and the `adaptation_parameter_set_id` equal to `slice_alf_aps_id_chroma` should be equal to one.

[0104] FIG. 6 is a schematic diagram of an example video coding device 600. The video coding device 600 is suitable for implementing the disclosed examples/embodiments as described herein. The video coding device 600 comprises downstream ports 620, upstream ports 650, and/or transceiver units (Tx/Rx) 610, including transmitters and/or receivers for communicating data upstream and/or downstream over a network. The video coding device 600 also includes a processor 630 including a logic unit and/or central processing unit (CPU) to process the data and a memory 632 for storing the data. The video coding device 600 may also comprise electrical, optical-to-electrical (OE) components, electrical-to-optical (EO) components, and/or wireless communication components coupled to the upstream ports 650 and/or downstream ports 620 for communication of data via electrical, optical, or wireless communication networks. The video coding device 600 may also include input and/or output (I/O) devices 660 for communicating data to and from a user. The I/O devices 660 may include output devices such as a display for displaying video data, speakers for outputting audio data, etc. The I/O devices 660 may also include input devices, such as a keyboard, mouse, trackball, etc., and/or corresponding interfaces for interacting with such output devices.

[0105] The processor 630 is implemented by hardware and software. The processor 630 may be implemented as one or more CPU chips, cores (e.g., as a multi-core processor), field-programmable gate arrays (FPGAs), application specific integrated circuits (ASICs), and digital signal processors (DSPs). The processor 630 is in communication with the downstream ports 620, Tx/Rx 610, upstream ports 650, and memory 632. The processor 630 comprises a coding module 614. The coding module 614 implements the disclosed embodiments described herein, such as methods 100, 700, and 800, which may employ a bitstream 500. The coding module 614 may also implement any other method/mechanism described herein. Further, the coding module 614 may implement a codec system 200, an encoder 300, and/or a decoder 400. For example, the coding module 614 can encode slices of pictures into a bitstream. Further, the coding module 614 can determine ALF parameters to apply when filtering the slices. The coding module 614 can encode the ALF parameters into one or more ALF APSs. The coding module 614 can apply constraints to the ALF APS. For example, the coding module 614 can ensure that each ALF APS contains a luma filter set, a chroma filter set, or both. Further, the coding module 614 can set an ALF luma filter signal flag and an ALF chroma filter signal flag for each ALF APS. Specifically, the coding module 614 can ensure that at least one of the ALF luma filter signal flag and the ALF chroma filter signal flag are equal to one in order to ensure that each ALF APS contains at least one luma or chroma filter set.

Further, the coding module **614** can ensure that the ALF APS sets the ALF luma filter signal flag and/or the ALF chroma filter signal flag when a corresponding slice header points to an ALF APS for a luma filter set and/or a chroma filter set, respectively. Hence, coding module **614** causes the video coding device **600** to provide additional functionality and/or coding efficiency when coding video data. As such, the coding module **614** improves the functionality of the video coding device **600** as well as addresses problems that are specific to the video coding arts. Further, the coding module **614** effects a transformation of the video coding device **600** to a different state.

Alternatively, the coding module **614** can be implemented as instructions stored in the memory **632** and executed by the processor **630** (e.g., as a computer program product stored on a non-transitory medium).

[0106] The memory **632** comprises one or more memory types such as disks, tape drives, solid-state drives, read only memory (ROM), random access memory (RAM), flash memory, ternary content-addressable memory (TCAM), static random-access memory (SRAM), etc. The memory **632** may be used as an over-flow data storage device, to store programs when such programs are selected for execution, and to store instructions and data that are read during program execution.

[0107] FIG. 7 is a flowchart of an example method **700** of encoding a video sequence into a bitstream, such as bitstream **500**, by employing an ALF APS with constraints. Method **700** may be employed by an encoder, such as a codec system **200**, an encoder **300**, and/or a video coding device **600** when performing method **100**.

[0108] Method **700** may begin when an encoder receives a video sequence including a plurality of pictures and determines to encode that video sequence into a bitstream, for example based on user input. At step **701**, a slice of a picture is encoded into a bitstream as part of an encoded video sequence. The slice may contain coded luma components, coded chroma components, or combinations thereof.

[0109] At step **703**, the decoder determines ALF parameters for application to the slice. For example, the decoder can decode the encoded slice and apply the ALF parameters to the decoded slice. The encoder can then iteratively adjust the ALF parameters in order to create the highest quality decoded slice while balancing for coding efficiency constraints. This can be performed as part of the RDO process. The ALF parameters that result in the highest quality decoded slice can then be stored for encoding into the bitstream. The ALF parameters may include a luma filter set for application to decoded luma samples, a chroma filter set for application to decoded chroma samples, or both.

[0110] At step **705**, the ALF parameters are encoded into an ALF APS in the bitstream. The ALF APS is encoded to contain an ALF luma filter signal flag and a ALF chroma filter signal flag. In some examples, the ALF luma filter signal flag is denoted as `alf_luma_filter_signal_flag`. Further, the `alf_luma_filter_signal_flag` specifies whether a luma filter set is signaled in the ALF APS. In some examples, the ALF chroma filter signal flag is denoted as `alf_chroma_filter_signal_flag`. Further, the `alf_chroma_filter_signal` flag specifies whether a chroma filter set is signaled in the ALF APS. The ALF APS is constrained such that at least one of the ALF luma filter signal flag the ALF chroma filter signal flag is set equal to one. This ensures that the ALF APS contains at least one filter set.

[0111] At step **707**, a luma component ALF APS ID may be encoded in a slice header associated with the slice. The luma component ALF APS ID indicates the APS ID of the ALF APS that contains the luma filter set for the slice corresponding to the slice header. Accordingly, the value of the ALF luma filter signal flag in the ALF APS of step **705** is constrained to be equal to one when the luma component ALF APS ID in the slice header is equal to the APS ID of the ALF APS. In some examples, the luma component ALF APS ID is denoted as `slice_alf_aps_id_luma[i]`. For example, the `slice_alf_aps_id_luma[i]` may specify an APS ID (`adaptation_parameter_set_id`) of an *i*-th ALF APS referred to by a luma component of the slice.

[0112] At step **709**, a chroma component ALF APS ID may be encoded in a slice header associated

with the slice. The chroma component ALF APS ID indicates the APS ID of the ALF APS that contains the chroma filter set for the slice corresponding to the slice header. Accordingly, the value of the ALF chroma filter signal flag in the ALF APS of step **705** is constrained to be equal to one when the chroma component ALF APS ID in the slice header is equal to the APS ID of the ALF APS. In some examples, the chroma component ALF APS ID is denoted as `slice_alf_aps_id_chroma`. For example, the `slice_alf_aps_id_chroma` may specify an `adaptation_parameter_set_id` of an ALF APS referred to by a chroma component of the slice. [0113] At step **711**, the bitstream may be stored at the encoder for communication toward a decoder.

[0114] FIG. **8** is a flowchart of an example method **800** of decoding a video sequence from a bitstream, such as bitstream **500**, by employing an ALF APS with constraints. Method **800** may be employed by a decoder such as a codec system **200**, a decoder **400**, and/or a video coding device **600** when performing method **100**.

[0115] Method **800** may begin when a decoder begins receiving a bitstream of coded data representing a video sequence, for example as a result of method **700**. At step **801**, the decoder can receive a bitstream. The bitstream comprises a coded slice and an associated slice header. The slice may contain coded luma components, coded chroma components, or combinations thereof. The bitstream also comprises an ALF APS. The ALF APS contains ALF parameters. The ALF parameters may include a luma filter set for application to decoded luma samples, a chroma filter set for application to decoded chroma samples, or both. The ALF APS contains an ALF luma filter signal flag and a ALF chroma filter signal flag. In some examples, the ALF luma filter signal flag is denoted as `alf_luma_filter_signal_flag`. Further, the `alf_luma_filter_signal_flag` specifies whether a luma filter set is signaled in the ALF APS. In some examples, the ALF chroma filter signal flag is denoted as `alf_chroma_filter_signal_flag`. Further, the `alf_chroma_filter_signal_flag` specifies whether a chroma filter set is signaled in the ALF APS. The ALF APS is constrained such that at least one of the ALF luma filter signal flag or the ALF chroma filter signal flag is set equal to one. This ensures that the ALF APS contains at least one filter set.

[0116] At step **803**, the decoder can obtain a luma component ALF APS ID from a slice header associated with a slice. The luma component ALF APS ID indicates the APS ID of the ALF APS that contains the luma filter set for the slice corresponding to the slice header. Accordingly, the value of the ALF luma filter signal flag in the ALF APS of step **801** is constrained to be equal to one when the luma component ALF APS ID in the slice header is equal to the APS ID of the ALF APS. In some examples, the luma component ALF APS ID is denoted as `slice_alf_aps_id_luma[i]`. For example, the `slice_alf_aps_id_luma[i]` may specify an `adaptation_parameter_set_id` of an *i*-th ALF APS referred to by a luma component of the slice. Therefore, the decoder can obtain the luma filter set for the slice from the ALF APS based on the luma component ALF APS ID in the slice header.

[0117] At step **805**, the decoder can obtain a chroma component ALF APS ID from a slice header associated with the slice. The chroma component ALF APS ID indicates the APS ID of the ALF APS that contains the chroma filter set for the slice corresponding to the slice header. Accordingly, the value of the ALF chroma filter signal flag in the ALF APS of step **801** is constrained to be equal to one when the chroma component ALF APS ID in the slice header is equal to the APS ID of the ALF APS. In some examples, the chroma component ALF APS ID is denoted as `slice_alf_aps_id_chroma`. For example, the `slice_alf_aps_id_chroma` may specify an `adaptation_parameter_set_id` of an ALF APS referred to by a chroma component of the slice.

[0118] At step **807**, the decoder can decode the slice based on ALF parameters in the ALF APS. For example, the decoder can obtain the luma filter set and/or the chroma filter set based on the flags in the slice header and/or in the ALF APS. The decoder can then configure the ALF based on the luma filter set and/or the chroma filter set. Further, the decoder can decode the slice and apply the ALF parameters to the decoded slice to create a reconstructed slice as part of a reconstructed picture.



[0119] At step **809**, the decoder can forward the slice for display as part of a decoded video sequence. For example, the decoder can include the slice with other slices to reconstruct a picture. The picture can then be ordered with other pictures to create the decoded video sequence. The pictures can be forwarded for display in order to display the decoded video sequence to a user.

[0120] FIG. **9** is a schematic diagram of an example system **900** for coding a video sequence of images in a bitstream, such as bitstream **500**, by employing an ALF APS with constraints. System **900** may be implemented by an encoder and a decoder such as a codec system **200**, an encoder **300**, a decoder **400**, and/or a video coding device **600**. Further, system **900** may be employed when implementing method **100**, **700**, and/or **800**.

[0121] The system **900** includes a video encoder **902**. The video encoder **902** comprises a slice encoding module **901** for encoding a slice into a bitstream as part of an encoded video sequence. The video encoder **902** further comprises a determining module **903** for determining ALF parameters for application to the slice. The video encoder **902** further comprises an ALF encoding module **905** for encoding the ALF parameters in an ALF APS in the bitstream, the ALF APS containing an ALF luma filter signal flag and a ALF chroma filter signal flag and constrained such that at least one of the ALF luma filter signal flag and the ALF chroma filter signal flag are equal to one. The video encoder **902** further comprises a storing module **907** for storing the bitstream for communication toward a decoder. The video encoder **902** further comprises a transmitting module **909** for transmitting the bitstream to support decoding the slice at a decoder as part of a decoded video sequence. The video encoder **902** may be further configured to perform any of the steps of method **700**.

[0122] The system **900** also includes a video decoder **910**. The video decoder **910** comprises a receiving module **911** for receiving a bitstream comprising an ALF APS containing an ALF luma filter signal flag and a ALF chroma filter signal flag and constrained such that at least one of the ALF luma filter signal flag and the ALF chroma filter signal flag are equal to one. The video decoder **910** further comprises a decoding module **913** for decoding a slice based on ALF parameters in the ALF APS. The video decoder **910** further comprises a forwarding module **915** for forwarding the slice for display as part of a decoded video sequence. The video decoder **910** may be further configured to perform any of the steps of method **800**.

[0123] A first component is directly coupled to a second component when there are no intervening components, except for a line, a trace, or another medium between the first component and the second component. The first component is indirectly coupled to the second component when there are intervening components other than a line, a trace, or another medium between the first component and the second component. The term “coupled” and its variants include both directly coupled and indirectly coupled. The use of the term “about” means a range including +10% of the subsequent number unless otherwise stated.

[0124] It should also be understood that the steps of the exemplary methods set forth herein are not necessarily required to be performed in the order described, and the order of the steps of such methods should be understood to be merely exemplary. Likewise, additional steps may be included in such methods, and certain steps may be omitted or combined, in methods consistent with various embodiments of the present disclosure.

[0125] While several embodiments have been provided in the present disclosure, it may be understood that the disclosed systems and methods might be embodied in many other specific forms without departing from the spirit or scope of the present disclosure. The present examples are to be considered as illustrative and not restrictive, and the intention is not to be limited to the details given herein. For example, the various elements or components may be combined or integrated in another system or certain features may be omitted, or not implemented.

[0126] In addition, techniques, systems, subsystems, and methods described and illustrated in the various embodiments as discrete or separate may be combined or integrated with other systems, components, techniques, or methods without departing from the scope of the present disclosure.

Other examples of changes, substitutions, and alterations are ascertainable by one skilled in the art and may be made without departing from the spirit and scope disclosed herein.

## Claims

1. A non-transitory computer-readable storage medium storing instructions that, when executed by one or more processors, cause a video processing apparatus to: receive the bitstream comprising encoded video data for a slice and an adaptation parameter set (APS), wherein the APS comprises an APS identifier (adaptation\_parameter\_set\_id) and an APS parameters type (aps\_params\_type), wherein the adaptation\_parameter\_set\_id specifies an identifier for the APS, the aps\_params\_type specifies a type of parameter that is contained in the APS, wherein when the aps\_params\_type is equal to adaptive loop filter (ALF) APS (ALF\_APS), the APS comprises an ALF and is an ALF APS, wherein the ALF APS comprises an ALF luma filter signal flag (alf\_luma\_filter\_signal\_flag) and an ALF chroma filter signal flag (alf\_chroma\_filter\_signal\_flag), wherein a value of the alf\_luma\_filter\_signal flag of an APS network abstraction layer (NAL) unit having the aps\_params\_type equal to ALF\_APS and the adaptation\_parameter\_set\_id equal to slice ALF APS identifier luma (slice\_alf\_aps\_id\_luma[i]) is constrained to be equal to one, wherein a value of the alf\_chroma\_filter\_signal\_flag of the APS NAL unit having the aps\_params\_type equal to ALF\_APS and the adaptation\_parameter\_set\_id equal to slice ALF APS identifier chroma (slice\_alf\_aps\_id\_chroma) is constrained to be equal to one, wherein slice\_alf\_aps\_id\_luma[i] specifies an adaptation\_parameter\_set\_id of an i-th ALF APS referred to by a luma component of the slice, and wherein slice\_alf\_aps\_id\_chroma specifies the adaptation\_parameter\_set\_id of the ALF APS referred to by a chroma component of the slice; decode a luma filter set when the alf\_luma\_filter\_signal\_flag specifies the luma filter set is signaled in the ALF APS; decode a chroma filter set when the alf\_chroma\_filter\_signal\_flag specifies the chroma filter set is signaled in the ALF APS; and decode the slice based on ALF parameters in the ALF APS, wherein the ALF parameters comprise the luma filter set or the chroma filter set.
2. The non-transitory computer readable medium of claim 1, wherein the alf\_luma\_filter\_signal\_flag specifies whether the luma filter set is signaled.
3. The non-transitory computer readable medium of claim 1, wherein the alf\_chroma\_filter\_signal\_flag specifies whether the chroma filter is signaled.
4. The non-transitory computer readable medium of claim 1, wherein the slice\_alf\_aps\_id\_luma[i] and the slice\_alf\_aps\_id\_chroma are contained in a slice header of the slice.
5. An encoder comprising: one or more processors configured to: encode a slice into a bitstream as part of an encoded video sequence; encode an adaptation parameter set (APS) into the bitstream, wherein the APS comprises an APS identifier (adaptation\_parameter\_set\_id) and an APS parameters type (aps\_params\_type), wherein the adaptation\_parameter\_set\_id specifies an identifier for the APS, the aps\_params\_type specifies a type of parameter that is contained in the APS, wherein when the aps\_params\_type is equal to adaptive loop filter (ALF) APS (ALF\_APS), the APS comprises an ALF and is an ALF APS; determine ALF parameters for application to the slice, wherein the ALF parameters comprise a luma filter set or a chroma filter set; and encode the ALF parameters into the ALF APS in the bitstream, the ALF APS comprising an ALF luma filter signal flag (alf\_luma\_filter\_signal\_flag) and an ALF chroma filter signal flag (alf\_chroma\_filter\_signal\_flag), wherein a value of the alf\_luma\_filter\_signal\_flag of an APS network abstraction layer (NAL) unit having the aps\_params\_type equal to ALF\_APS and the adaptation\_parameter\_set\_id equal to slice ALF APS identifier luma (slice\_alf\_aps\_id\_luma[i]) is constrained to be equal to one, wherein a value of the alf\_chroma\_filter\_signal\_flag of the APS NAL unit having the aps\_params\_type equal to ALF\_APS and the adaptation\_parameter\_set\_id equal to slice ALF APS identifier chroma (slice\_alf\_aps\_id\_chroma) is constrained to be equal to one, wherein slice\_alf\_aps\_id\_luma[i] specifies an adaptation\_parameter\_set\_id of an i-th ALF

APS referred to by a luma component of the slice, and wherein slice\_alf\_aps\_id\_chroma specifies the adaptation\_parameter\_set\_id of the ALF APS referred to by a chroma component of the slice.

**6.** The encoder of claim 5, wherein the alf\_luma\_filter\_signal\_flag specifies whether the luma filter set is signaled in the ALF APS.

**7.** The encoder of claim 5, wherein the alf\_chroma\_filter\_signal\_flag specifies whether the chroma filter is signaled in the ALF APS.

**8.** The encoder of claim 5, wherein the slice\_alf\_aps\_id\_luma[i] and the slice\_alf\_aps\_id\_chroma are contained in a slice header of the slice.

**9.** A non-transitory computer-readable storage medium storing a bitstream that, when parsed by a coding device, is used by the coding device to generate a video, the bitstream comprising: a slice that is part of an encoded video sequence; an adaptation parameter set (APS), wherein the APS comprises an APS identifier (adaptation\_parameter\_set\_id) and an APS parameters type (aps\_params\_type), wherein the adaptation\_parameter\_set\_id specifies an identifier for the APS, the aps\_params\_type specifies a type of parameter that is contained in the APS, wherein when the aps\_params\_type is equal to adaptive loop filter (ALF) APS (ALF\_APS), the APS comprises an ALF and is an ALF APS; and ALF parameters for application to the slice, wherein the ALF parameters comprise a luma filter set or a chroma filter set, the ALF APS comprising an ALF luma filter signal flag (alf\_luma\_filter\_signal\_flag) and an chroma ALF filter signal flag (alf\_chroma\_filter\_signal\_flag), wherein a value of the alf\_luma\_filter\_signal\_flag of an APS network abstraction layer (NAL) unit having the aps\_params\_type equal to ALF\_APS and the adaptation\_parameter\_set\_id equal to slice ALF APS identifier luma (slice\_alf\_aps\_id\_luma[i]) is constrained to be equal to one, wherein a value of the alf\_chroma\_filter\_signal\_flag of the APS NAL unit having the aps\_params\_type equal to ALF\_APS and the adaptation\_parameter\_set\_id equal to slice ALF APS identifier chroma (slice\_alf\_aps\_id\_chroma) is constrained to be equal to one, wherein slice\_alf\_aps\_id\_luma[i] specifies an adaptation\_parameter\_set\_id of an i-th ALF APS referred to by a luma component of the slice, and wherein slice\_alf\_aps\_id\_chroma specifies the adaptation\_parameter\_set\_id of the ALF APS referred to by a chroma component of the slice.

**10.** The non-transitory computer-readable storage medium of claim 9, wherein the alf\_luma\_filter\_signal\_flag specifies whether the luma filter set is signaled in the ALF APS.

**11.** The non-transitory computer-readable storage medium of claim 10, wherein the alf\_chroma\_filter\_signal\_flag specifies whether the chroma filter is signaled in the ALF APS.

**12.** The non-transitory computer-readable storage medium of claim 10, wherein the slice\_alf\_aps\_id\_luma[i] and the slice\_alf\_aps\_id\_chroma are contained in a slice header of the slice.

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