

# 7 Transform Coding

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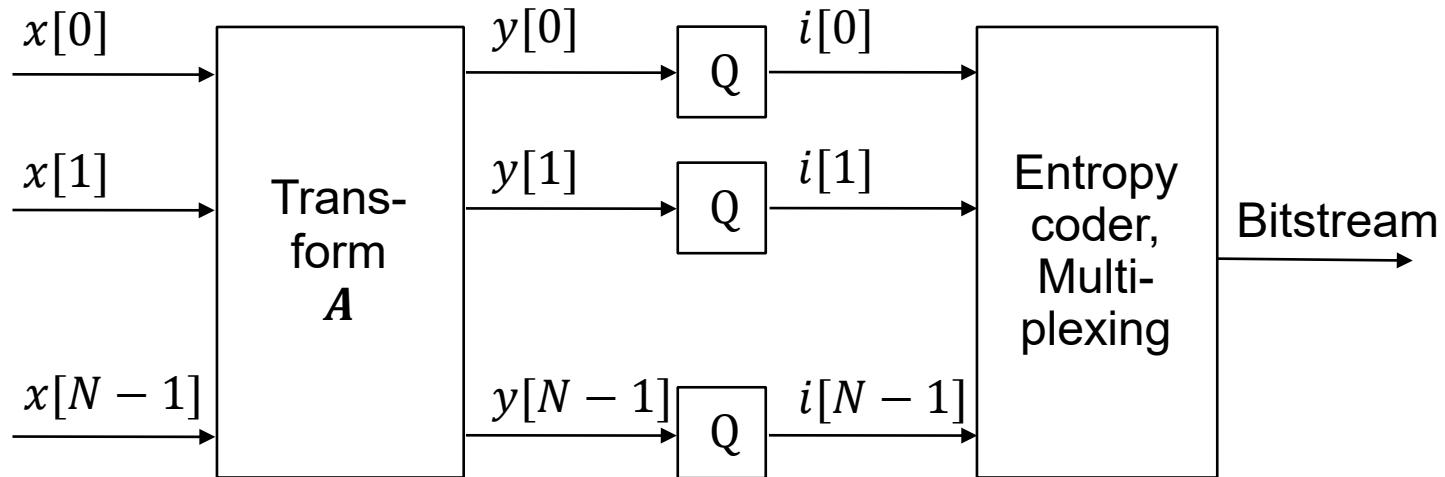
- 7.1 Principle of Transform Coding
- 7.2 Orthonormal Transforms
- 7.3 Karhunen Loève Transform
- 7.4 Discrete Cosine Transform
- 7.5 Bit Allocation
- 7.6 Compression Artifacts

# 7.1 Principle of Transform Coding

**Goal:** transform input signal such that the output signal has following properties

- Reduced statistical dependencies between its samples
- Energy is packed into only a few transform coefficients

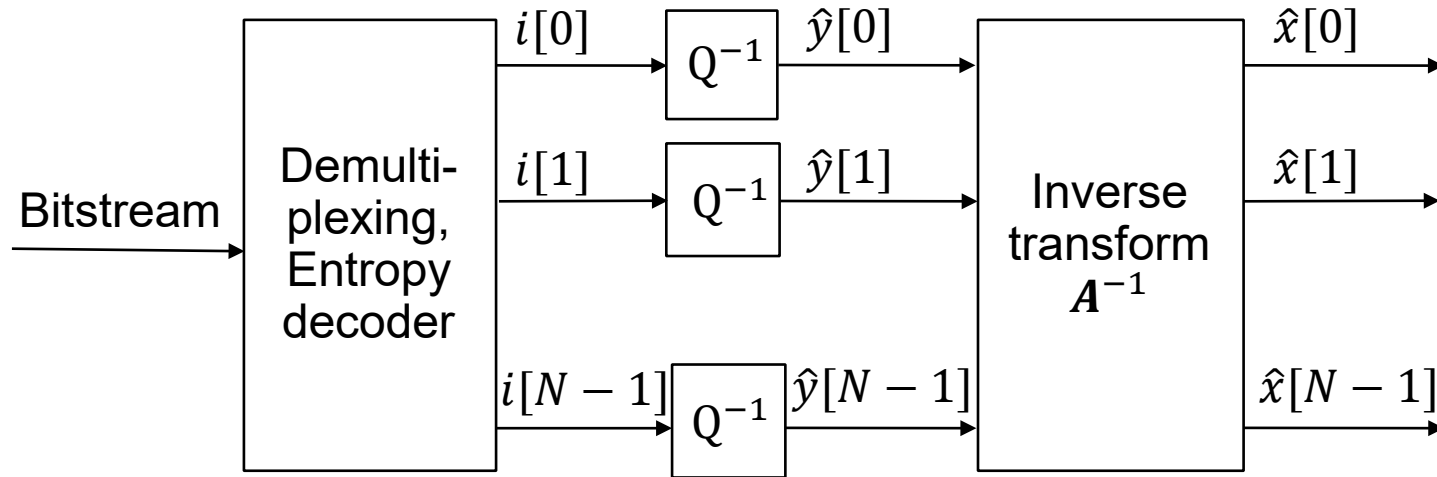
**Block diagram** of transform coder



- Decompose signal  $x[n]$  into vectors or blocks of  $N$  input samples
- Transform each block individually into transform coefficients  $y[n]$
- Quantize transform coefficients individually
- Code indices  $i[n]$  by fixed length or entropy code

# Transform Decoder

**Block diagram** of transform decoder: invert steps of coding process



- Reconvert incoming bitstream and decode quantization indices
- Replace indices for transform coefficient by representative value of quantization interval
- Apply inverse transform to calculate reconstructed signal

⇒ Lossy compression technique due to quantization, i.e.  $\hat{x}[n] \neq x[n]$  in general

## 7.2 Orthonormal Transforms

### Forward transform

- Reorder signal samples  $x[n]$  as a column vector  $\mathbf{x}$  of length  $N$
- Apply transform matrix  $\mathbf{A} = (\mathbf{a}_0, \mathbf{a}_1, \dots, \mathbf{a}_{N-1})^T$  with size  $N \times N$

$$\mathbf{y} = \mathbf{A}\mathbf{x} \quad \Leftrightarrow \quad y[k] = \sum_{n=0}^{N-1} a_k[n]x[n], \quad 0 \leq k \leq N-1$$

- $y[k]$  are called **transform coefficients**

### Orthonormal (unitary) transform

- any two different rows of transform matrix  $\mathbf{A}$  are orthogonal to each other

$$\sum_{n=0}^{N-1} a_k[n]a_l[n] = \delta[k-l] = \begin{cases} 1 & \text{for } k=l \\ 0 & \text{for } k \neq l \end{cases} \Rightarrow \mathbf{A}^{-1} = \mathbf{A}^T$$

**Inverse transform** simplifies to

$$\mathbf{x} = \mathbf{A}^{-1}\mathbf{y} = \mathbf{A}^T\mathbf{y} \quad \Rightarrow \quad x[n] = \sum_{k=0}^{N-1} y[k]a_k[n], \quad 0 \leq n \leq N-1$$

- Inverse transform can be regarded as series expansion of input signal
- Rows of  $\mathbf{A}$  are called **basis vectors**  $\mathbf{a}_k$

# Two-Dimensional Orthonormal Transforms

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**Image processing:** generalize 1D transform to two dimensions

- Define  $N \times N$  image  $x[m, n]$  over a square block with  $m, n = 0, \dots, N - 1$
- Replace basis vectors by *basis images*  $a_{kl}$

$$y[k, l] = \sum_{m=0}^{N-1} \sum_{n=0}^{N-1} x[m, n] a_{kl}[m, n] \quad 0 \leq k, l \leq N - 1$$

- Elements  $y[k, l]$  are called transform coefficients
- Matrix  $Y = \{y[k, l]\}$   $0 \leq k, l \leq N - 1$  is the transformed image

**Orthogonality:** two-dimensional basis images satisfy

$$\sum_{m=0}^{N-1} \sum_{n=0}^{N-1} a_{kl}[m, n] a_{k'l'}[m, n] = \delta[k - k', l - l']$$

**Inverse transform** given by  $x[m, n] = \sum_{k=0}^{N-1} \sum_{l=0}^{N-1} y[k, l] a_{kl}[m, n] \quad 0 \leq m, n \leq N - 1$

- Series expansion of an image  $x[m, n]$  into real valued basis images  $a_{kl}$

# Separable Two-Dimensional Orthonormal Transforms

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**Problem:** two-dimensional transform requires huge computation time

- $N \times N$  multiplications for each 2D transform coefficient  $\Rightarrow O(N^4)$

## Separable orthonormal transform

- Restrict basis images to be separable

$$a_{kl}[m, n] = a_k[m]a_l[n] \quad 0 \leq k, l \leq N - 1$$

- Forward and inverse transform simplify to

$$y[k, l] = \sum_{m=0}^{N-1} \sum_{n=0}^{N-1} a_k[m]x[m, n]a_l[n] \quad \Leftrightarrow \quad \mathbf{Y} = \mathbf{A}\mathbf{X}\mathbf{A}^T$$
$$x[m, n] = \sum_{k=0}^{N-1} \sum_{l=0}^{N-1} a_k[m]y[k, l]a_l[n] \quad \Leftrightarrow \quad \mathbf{X} = \mathbf{A}^T\mathbf{Y}\mathbf{A}$$

- Two matrix multiplications with  $(N \times N)$  elements and  $N$  multiplications for calculating each element

$\Rightarrow$  Computational complexity reduces to  $O(2N^3)$

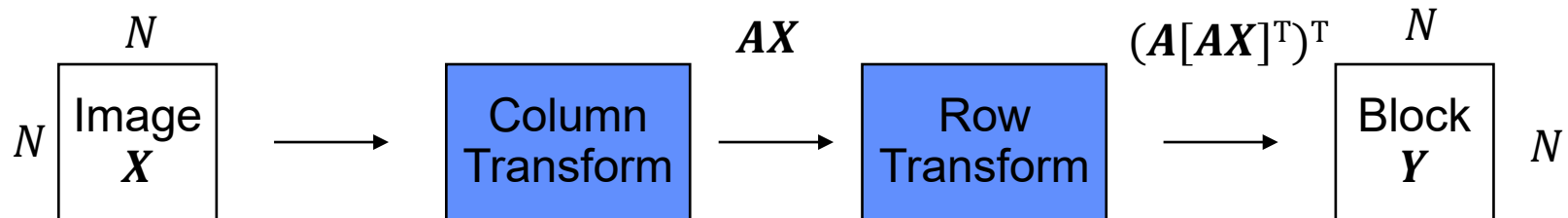
# Implementation of Separable 2D Transforms

**Realization:** consecutive transform of image columns and rows

$$Y = AXA^T \Rightarrow Y^T = A[AX]^T$$

- First transform each column of  $X$ , then transform each row of the result

**Block diagram**



**Inverse transform**

$$X = A^T Y A \Rightarrow X^T = A^T [A^T Y]^T$$

- First inverse transform each column of  $Y$ , then inverse transform each row of the result

# Tensor Notation for 2D Transforms

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- Order samples of image  $X = \{x[m, n]\}$  into a column vector of length  $N^2$  by scanning the image row by row

$$\mathbf{x} = \{x[0,0], x[0,1], \dots, x[0, N-1], x[1,0], \dots, x[N-1, N-1]\}^T$$

- Entries of basis images  $\mathbf{a}_{kl}$  are ordered accordingly into  $N^2 \times N^2$  matrix  $\mathbf{B}$
- Two-dimensional transform can be expressed as

$$\mathbf{y} = \mathbf{B}\mathbf{x}$$

- If transform is separable, then transform  $\mathbf{B}$  can be constructed from  $\mathbf{A}$  via

$$\mathbf{B} = \mathbf{A} \otimes \mathbf{A} = \begin{bmatrix} a_{0,0}\mathbf{A} & a_{0,1}\mathbf{A} & \cdots & a_{0,N-1}\mathbf{A} \\ \vdots & \vdots & \ddots & \vdots \\ a_{N-1,0}\mathbf{A} & a_{N-1,1}\mathbf{A} & \cdots & a_{N-1,N-1}\mathbf{A} \end{bmatrix}$$

**Generalization:** any arbitrary one-dimensional transform is called separable if it can be decomposed into a Kronecker product of two transforms



# Properties of Orthonormal Transforms

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## Energy conservation

- Orthonormal transforms conserve signal energy, i.e. the length of the input vector in the  $N$ -dimensional space does not change by transform

$$\begin{aligned}\|\mathbf{y}\|_2^2 &= \sum_{k=0}^{N-1} |y[k]|^2 = \mathbf{y}^T \mathbf{y} = (\mathbf{A}\mathbf{x})^T \mathbf{A}\mathbf{x} \\ &= \mathbf{x}^T \underbrace{\mathbf{A}^T \mathbf{A}}_{=\mathbf{I}} \mathbf{x} = \mathbf{x}^T \mathbf{x} = \sum_{n=0}^{N-1} |x[n]|^2 = \|\mathbf{x}\|_2^2\end{aligned}$$

- For two-dimensional image transforms we have

$$\sum_{m=0}^{N-1} \sum_{n=0}^{N-1} |x[m, n]|^2 = \sum_{k=0}^{N-1} \sum_{l=0}^{N-1} |y[k, l]|^2$$

## Rotation

- Orthonormal transforms can be regarded as rotation of input vector  $\mathbf{x}$  in an  $N$ -dimensional space
- Equivalently, the transform is a rotation of the basis coordinates and the components of  $\mathbf{y}$  are the projections of  $\mathbf{x}$  on the new basis vectors

## 7.3 Karhunen Loève Transform (KLT)

**Optimum transform** introduced as series expansion for continuous random processes by Karhunen and Loeve

- Discrete equivalent for random sequences, also called *method of principal components*, developed by Hotelling

**Given:** random vector  $\mathbf{x}$  and its covariance matrix  $\Psi_{xx}$  with

$$\Psi_{xx} = E\{(\mathbf{x} - \boldsymbol{\mu}_x)(\mathbf{x} - \boldsymbol{\mu}_x)^T\} = \begin{bmatrix} \sigma_x^2 & \psi_{xx}[1] & \cdots & \psi_{xx}[N-1] \\ \psi_{xx}[1] & \sigma_x^2 & \cdots & \psi_{xx}[N-2] \\ \vdots & \vdots & \ddots & \vdots \\ \psi_{xx}[N-1] & \psi_{xx}[N-2] & \cdots & \sigma_x^2 \end{bmatrix}$$

- Basis vectors of KLT are given by the orthonormalized eigenvectors of  $\Psi_{xx}$

$$\Psi_{xx} \mathbf{v}_k = \lambda_k \mathbf{v}_k, \quad 0 \leq k \leq N-1$$

- KLT of  $\mathbf{x}$  is defined as

$$\mathbf{y} = \mathbf{V}\mathbf{x}, \quad \text{with} \quad \mathbf{V} = [\mathbf{v}_0, \mathbf{v}_1, \dots, \mathbf{v}_{N-1}]^T$$

# Properties of KL Transform

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## Orthogonality

- Covariance matrix  $\Psi_{xx}$  is symmetric and positive semidefinite
- Eigenvalues  $\lambda_k$  are real and non-negative, eigenvectors are orthogonal

**Inverse KLT:** due to orthogonality we have

$$\mathbf{x} = \mathbf{V}^T \mathbf{y} = \sum_{k=0}^{N-1} y[k] \mathbf{v}_k$$

**Decorrelation:** since  $\Psi_{xx}$  is Hermitian (complex symmetric) we have

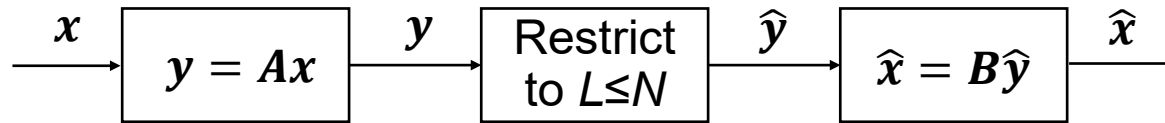
$$\Psi_{yy} = E\{(\mathbf{y} - \boldsymbol{\mu}_y)(\mathbf{y} - \boldsymbol{\mu}_y)^T\} = \mathbf{V} \Psi_{xx} \mathbf{V}^T = \boldsymbol{\Lambda} = \text{Diag}\{\lambda_k\}$$

- Off-diagonal elements of  $\Psi_{yy}$  are zero, the diagonal elements represent the coefficient variances

$$\Psi_{yy} = \boldsymbol{\Lambda} = \text{Diag}\{\sigma_{y[0]}^2, \sigma_{y[1]}^2, \dots, \sigma_{y[N-1]}^2\}$$

- KLT coefficients  $\{y[k], k = 0, \dots, N - 1\}$  are uncorrelated

# Basis Restriction Error of KL Transform



**Restriction:** vector  $x$  is transformed to  $y$ , elements of  $\hat{y}$  are chosen to be the first  $L$  elements of  $y[k]$  and zeros elsewhere

$$\hat{y}[k] = \begin{cases} y[k], & 0 \leq k \leq L - 1 \\ 0, & \text{else} \end{cases}$$

**Mean square error** between  $x$  and  $\hat{x}$  is called *basis restriction error*

$$J_L = \frac{1}{N} \sum_{n=0}^{N-1} |x[n] - \hat{x}[n]|^2 = \frac{1}{N} \text{Tr}\{(x - \hat{x})(x - \hat{x})^T\}$$

**KL transform:** expected value of error  $J_L$  is minimum for every value of  $L \in [1, N]$  when the transform is selected to

$$A = V, \quad B = V^T$$

where rows of  $V$  are arranged in decreasing order of the eigenvalues of  $\Psi_{xx}$

**Equivalence:** KLT packs the maximum average energy in any  $L \leq N$  samples of  $y$

## 7.4 Discrete Cosine Transform (DCT)

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**Definition of DCT Type II** for block of  $N \times N$  pixels

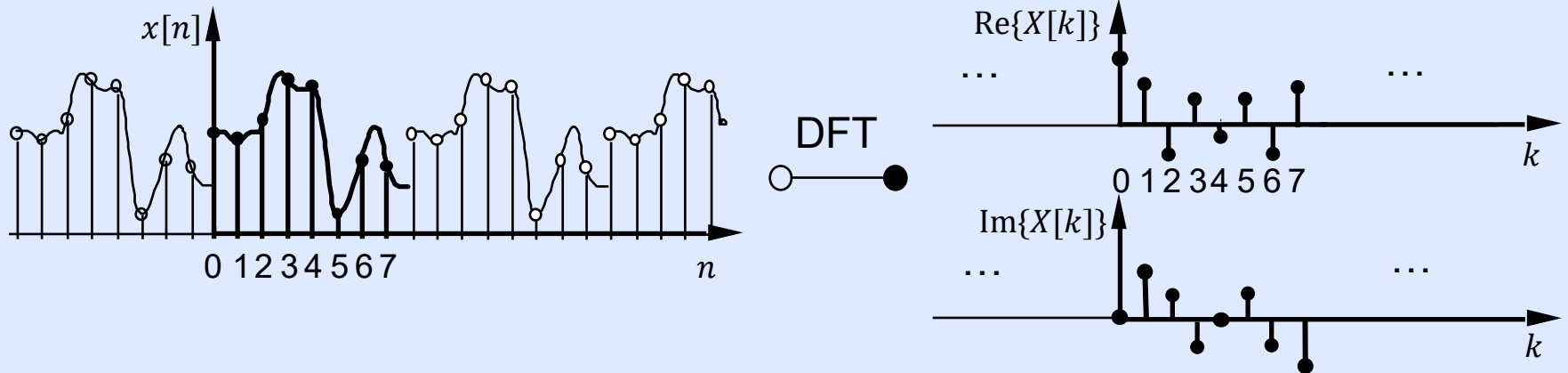
Transform matrix  $\mathbf{A} = (\mathbf{a}_0, \dots, \mathbf{a}_{N-1})^T$  with  $a_k[n] = \gamma_k \cos \frac{\pi(2n+1)k}{2N}$

$$n, k = 0, \dots, N - 1$$

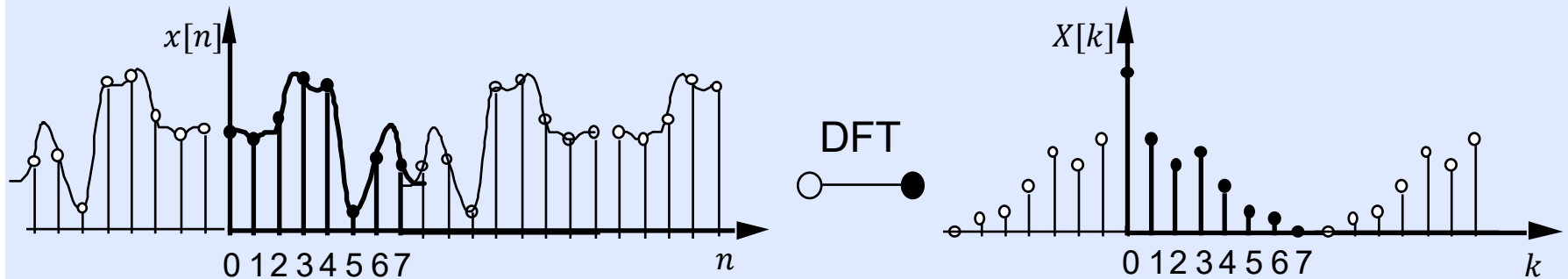
$$\text{Scale factor } \gamma_i = \begin{cases} \sqrt{\frac{1}{N}} & \text{for } k = 0 \\ \sqrt{\frac{2}{N}} & \text{for } k \neq 0 \end{cases}$$

- The equation gives the ideal functional definition of the DCT
- For practical implementations accuracy requirements are specified
- Compression standards don't specify any special DCT algorithm

# Discrete Cosine Transform Versus DFT



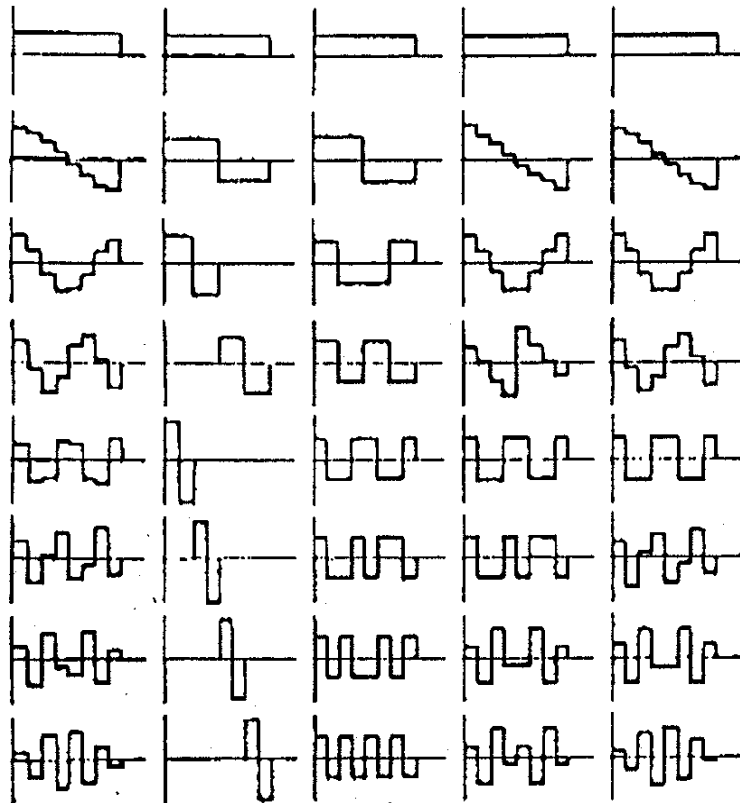
**Discrete Fourier Transform:** Repeat sampled data infinitely and perform Fourier Transform



**Discrete Cosine Transform:** Repeat *mirrored* data to force an even image function and perform Fourier Transform: imaginary coefficients (sine) disappear.

# Basis Functions of Various 1D Transforms

**One-dimensional basis functions** for block size  $N = 8$



A

B

C

D

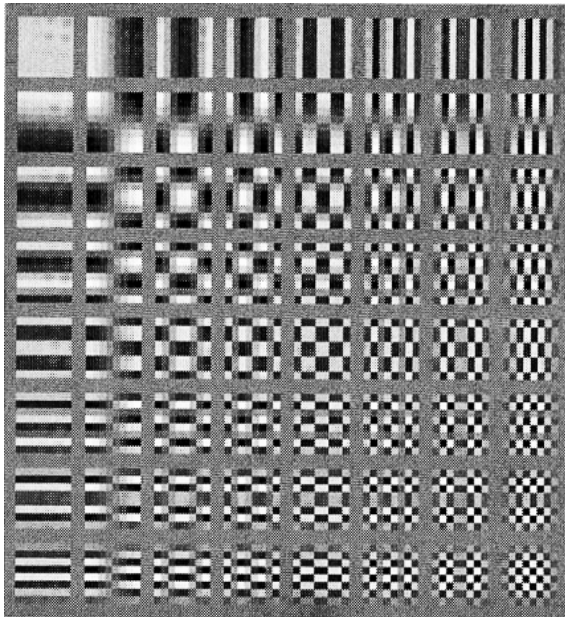
E

- A - Karhunen Loève Transform (KLT)
- B - Haar Transform (HT)
- C - Walsh Hadamard Transform (WHT)
- D - Slant Transform
- E - Discrete Cosine Transform (DCT)

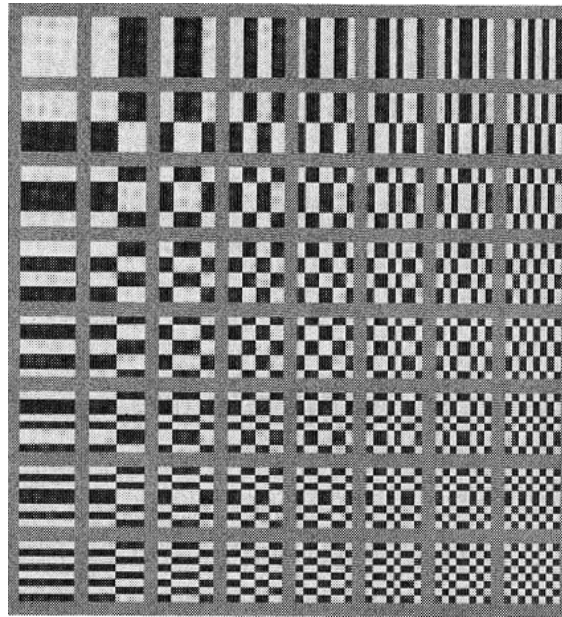


# Basis Functions of Various 2D Transforms

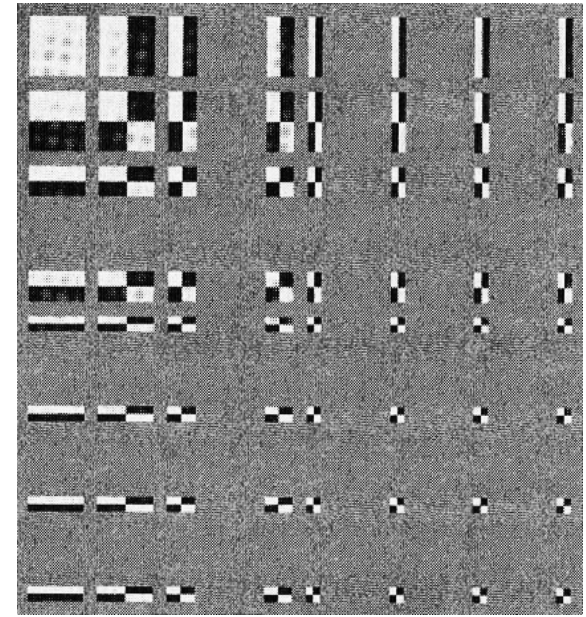
**Two-dimensional basis functions** for block size of  $8 \times 8$  pixels



Discrete Cosine  
Transform



Walsh Hadamard  
Transform



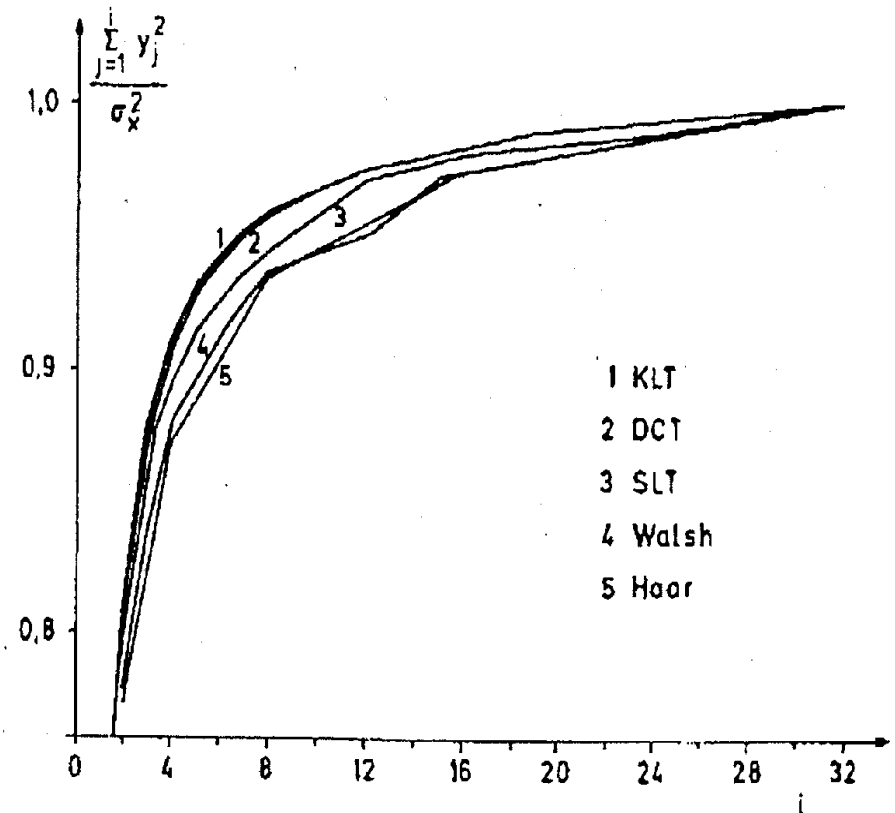
Haar  
Transform



# Energy Compaction of Various Transforms

**Criteria** for selecting a particular transform:

- decorrelation, energy concentration
- perceptual pleasant basis functions
- low computational complexity



**Energy concentration** for typical natural images (block size 1×32 pixels)

- KLT is optimum
- DCT performs slightly worse than KLT

# Properties of Some Image Transforms

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**Karhunen Loève Transform (KLT):** yields decorrelated coefficients by

- decomposition of signal into eigenvectors of covariance matrix
- has optimum energy concentration
- is dependent on signal statistics, computationally complex

**Discrete Cosine Transform (DCT):** achieves decorrelation close to KLT

- DCT is symmetrical extended DFT, has only real coefficients
- fast algorithms and special hardware available

**Walsh Hadamard Transform (WHT):** basis functions have form of squares

- low computational complexity as only additions are used

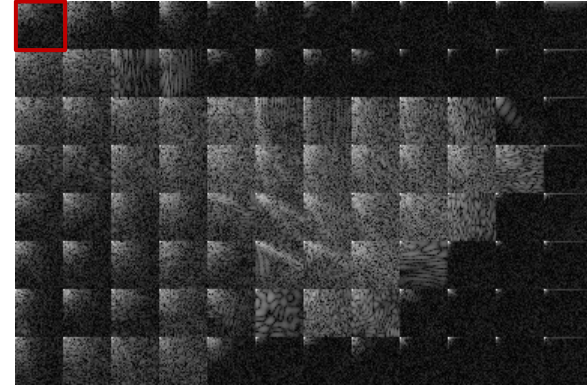
**Haar Transform (HT):** frequency bands have unequal width and spacing

- simple version of wavelet transform

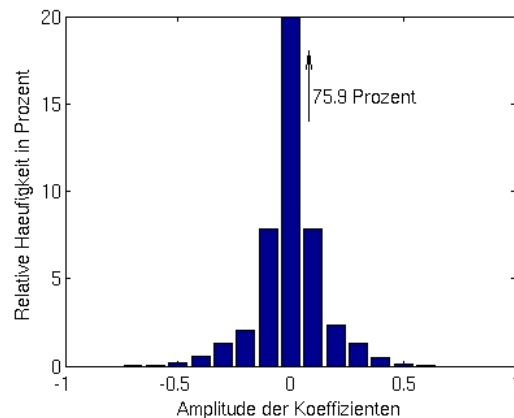
# DCT Example



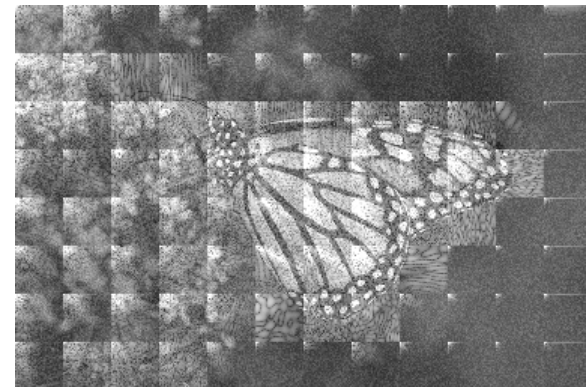
Original



DCT coefficients



Histogram of DCT coefficients



Coefficients overlaid on original

# Fast Implementation of the DCT

$$\underline{y} = \underline{S} \underline{P} \underline{M}_1 \underline{M}_2 \underline{M}_3 \underline{M}_4 \underline{M}_5 \underline{M}_6 \underline{x}$$

$$\underline{S} = \begin{bmatrix} s_0 & s_1 & s_2 & s_3 & s_4 & s_5 & s_6 & s_7 \\ & & & & & & & \\ & & & & & & & \\ & & & & & & & \\ & & & & & & & \\ & & & & & & & \\ & & & & & & & \\ & & & & & & & \end{bmatrix}$$

$$\underline{P} = \begin{bmatrix} 1 & & & & & & & \\ & 1 & & & & & & \\ & & 1 & & & & & \\ & & & 1 & & & & \\ & & & & 1 & & & \\ & & & & & 1 & & \\ & & & & & & 1 & \\ & & & & & & & 1 \end{bmatrix}$$

$$\underline{M}_1 = \begin{bmatrix} 1 & & & & & & & \\ & 1 & & & & & & \\ & & 1 & & & & & \\ & & & 1 & & & & \\ & & & & 1 & & & \\ & & & & & 1 & & \\ & & & & & & 1 & \\ & & & & & & & 1 \end{bmatrix}$$

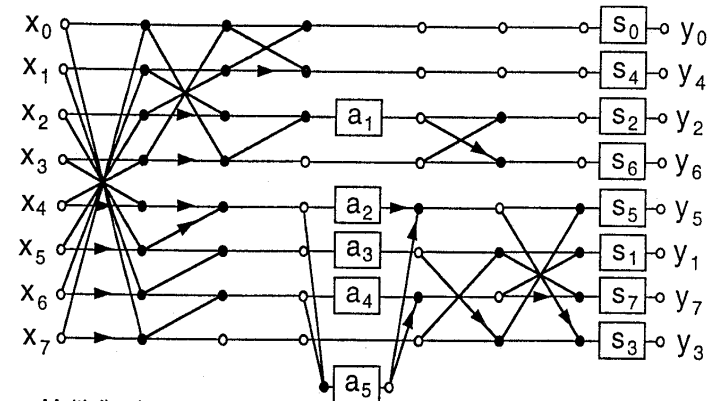
$$\underline{M}_2 = \begin{bmatrix} 1 & & & & & & & \\ & 1 & & & & & & \\ & & 1 & & & & & \\ & & & 1 & & & & \\ & & & & 1 & & & \\ & & & & & 1 & & \\ & & & & & & 1 & \\ & & & & & & & 1 \end{bmatrix}$$

$$\underline{M}_3 = \begin{bmatrix} 1 & & & & & & & \\ & 1 & & & & & & \\ & & 1 & & & & & \\ & & & 1 & & & & \\ & & & & 1 & & & \\ & & & & & 1 & & \\ & & & & & & 1 & \\ & & & & & & & 1 \end{bmatrix}$$

$$\underline{M}_4 = \begin{bmatrix} 1 & & & & & & & \\ & 1 & & & & & & \\ & & 1 & & & & & \\ & & & 1 & & & & \\ & & & & 1 & & & \\ & & & & & 1 & & \\ & & & & & & 1 & \\ & & & & & & & 1 \end{bmatrix}$$

$$\underline{M}_5 = \begin{bmatrix} 1 & & & & & & & \\ & 1 & & & & & & \\ & & 1 & & & & & \\ & & & 1 & & & & \\ & & & & 1 & & & \\ & & & & & 1 & & \\ & & & & & & 1 & \\ & & & & & & & 1 \end{bmatrix}$$

$$\underline{M}_6 = \begin{bmatrix} 1 & & & & & & & \\ & 1 & & & & & & \\ & & 1 & & & & & \\ & & & 1 & & & & \\ & & & & 1 & & & \\ & & & & & 1 & & \\ & & & & & & 1 & \\ & & & & & & & 1 \end{bmatrix}$$



Multiplication:

$$u \circ \boxed{m} \circ m \cdot u$$

Addition:

$$u \circ \rightarrow u+v$$

$$u \circ \rightarrow u-v$$

$$a_1 = C_4$$

$$a_2 = C_2 - C_6$$

$$a_3 = C_4$$

$$a_4 = C_6 + C_2$$

$$a_5 = C_6$$

$$s_0 = \frac{1}{2\sqrt{2}}$$

$$s_k = \frac{1}{4 C_k} ; k = 1 \dots 7$$

$$C_k = \cos(k\pi/16)$$

✗ Number of multiplications:

Fast algorithm:

Direct matrix multiplication:

$$5 + 8$$

$$64$$

Scaling

Factorization of DCT into sparse matrices    Signal flow graph for fast DCT  
[Arai, Agui, Nakajima, 1988]

## 7.5 Bit Allocation for Transform Coding

**Coding problem:** Distribute a limited number of bits among  $N$  transform coefficients such that the resulting distortion  $d$  is minimized

**High-rate distortion-rate function** for image pixels  $x$

$$d(R) \cong \varepsilon^2 \sigma_X^2 2^{-2R}$$

- Distortion-rate function for coding transform coefficients:

$$d_{\text{XFORM}}(R) = \frac{1}{N} \sum_{n=0}^{N-1} d_n(R_n) \cong \frac{1}{N} \sum_{n=0}^{N-1} \varepsilon^2 \sigma_{Y_n}^2 2^{-2R_n}$$

$\Rightarrow$  Minimize  $d_{\text{XFORM}}(R)$  subject to rate constraint  $R = \frac{1}{N} \sum_{n=0}^{N-1} R_n$

**Optimum bit allocation** can be found using Lagrangian formulation

$$\underset{R_0, R_1, \dots, R_{N-1}}{\operatorname{argmin}} (J) \quad \text{with} \quad J = d_{\text{XFORM}}(R) + \lambda R$$

and setting the partial derivatives equal to zero:

$$\frac{\partial J}{\partial R_n} = 0 \quad \forall n$$

# Transform Coding Gain

**Optimum bit allocation** is achieved as result of equating  $dJ/dR_n = 0$  if

- distortion is equal for all transform coefficients

$$d_n(R_n) = d_{\text{XFORM}}(R) \quad \forall n$$

- rate per coefficient is proportional to coefficient variance

$$R_n = \frac{1}{2} \log_2 \frac{\varepsilon^2 \sigma_{Y_n}^2}{d_{\text{XFORM}}} \quad \forall n$$

**Transform coding gain** defined as

$$G_{\text{XFORM}} = \frac{d(R)}{d_{\text{XFORM}}(R)} = \frac{\sigma_X^2}{\sqrt[N]{\prod_{n=0}^{N-1} \sigma_{Y_n}^2}} = \frac{\frac{1}{N} \sum_{n=0}^{N-1} \sigma_{Y_n}^2}{\sqrt[N]{\prod_{n=0}^{N-1} \sigma_{Y_n}^2}}$$

- Coding gain increases if variances of transform coefficients are unequally distributed
- No gain in case all transform coefficient variances are (almost) equal
- Same value  $\varepsilon$  assumed for all distortion functions

# Zonal Coding

- Fixed assignment of bits for each transform coefficient
- Discard predefined subset of coefficients by allocating zero bits

**Example:** fixed bit allocation for 8×8 DCT transformed image block

- 8 bit quantizer for DC coefficient
- Decreasing number of quantization levels (7 bit or less) for higher frequency AC coefficients

8	7	6	5	4	3	2	1
7	6	5	4	3	2	1	0
6	5	4	3	2	1	0	0
5	4	3	2	1	0	0	0
4	3	2	1	0	0	0	0
3	2	1	0	0	0	0	0
2	1	0	0	0	0	0	0
1	0	0	0	0	0	0	0

**Average bit rate** for this quantization table: 1.875 bit/pixel

**Disadvantage:** zonal coding is not adaptive to image data, high frequencies will always be discarded

 Demo 7 „Zonal DCT Coding“

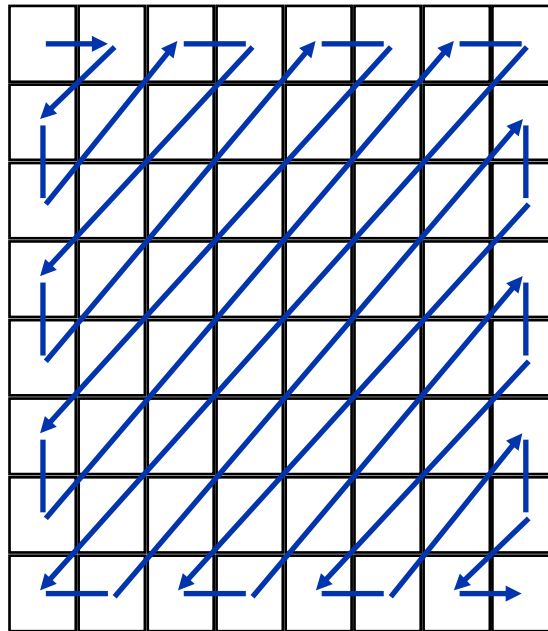
# Threshold Coding

## Uniform deadzone quantizer

- Transform Coefficients that fall below a threshold are discarded

## Run-level coefficient coding

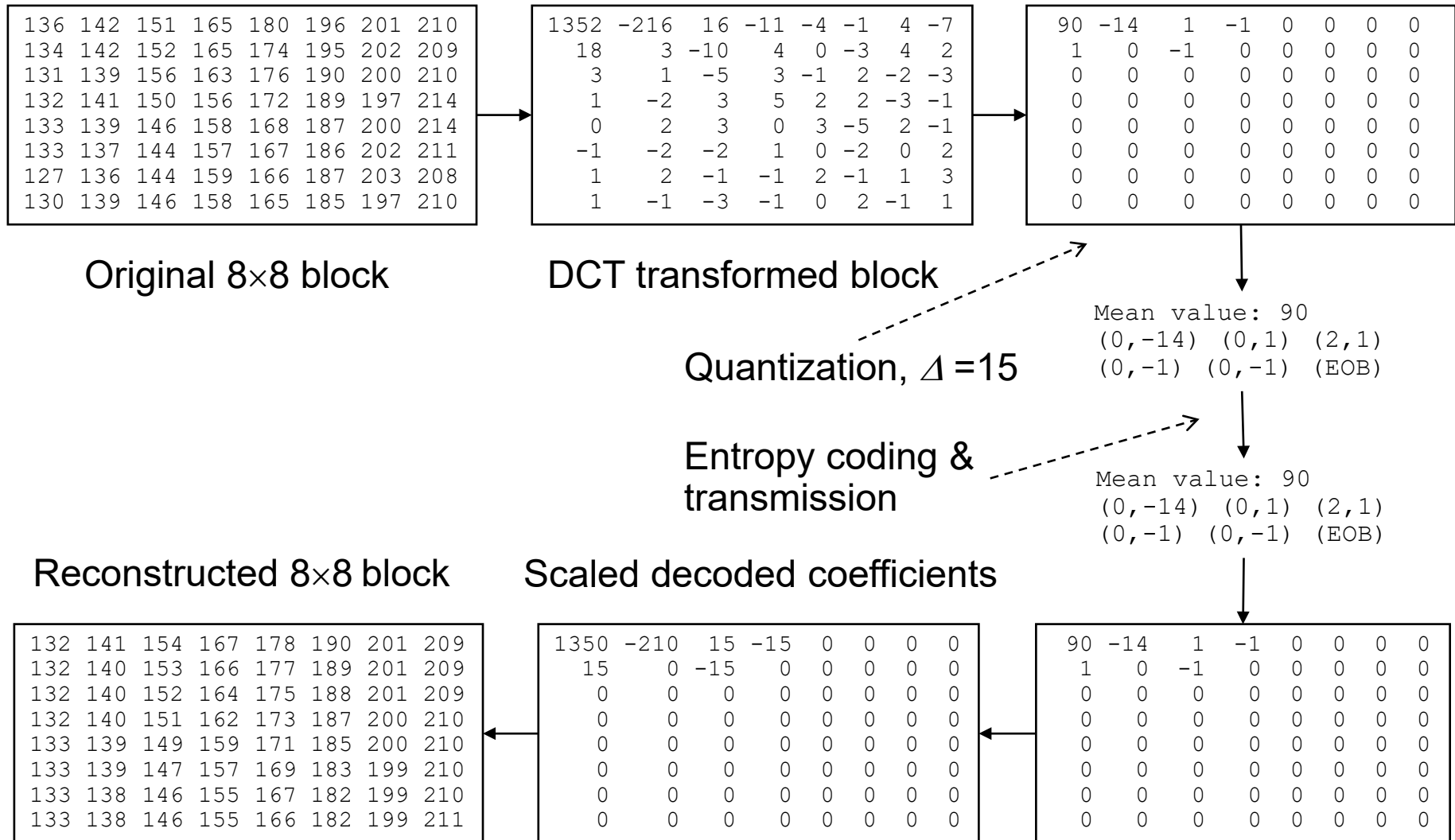
- Positions of non-zero transform coefficients are coded together with amplitude values using zigzag scan order



Zigzag scan ordering  
of coefficients

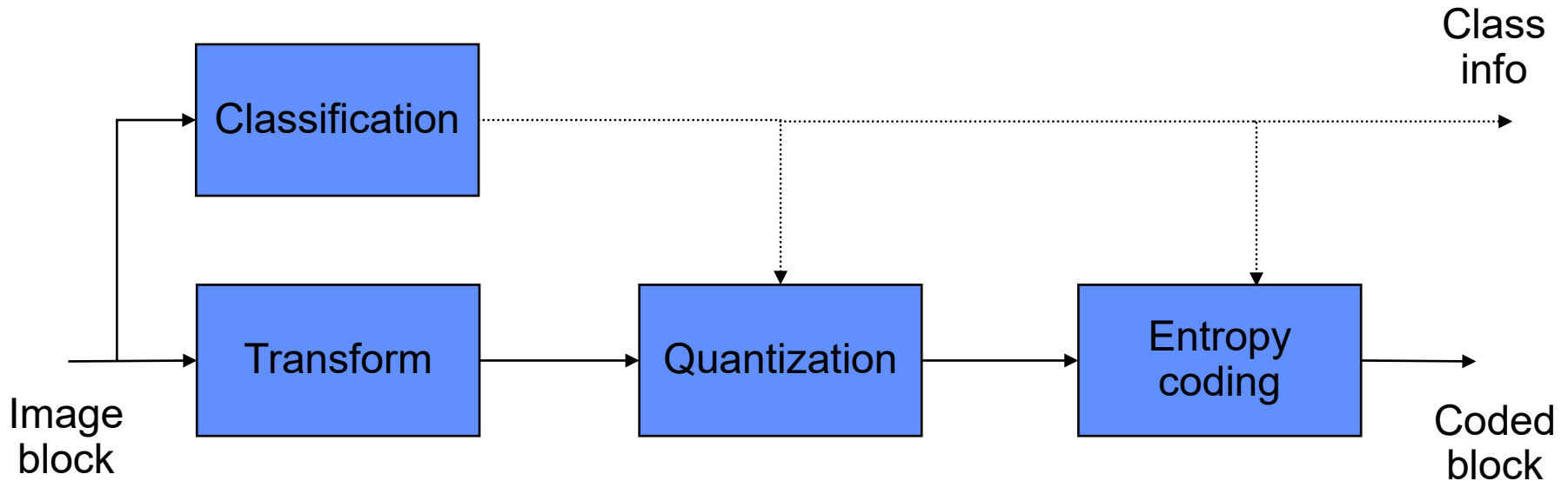


# Example for Threshold Coding



# Adaptive Transform Coding

**Idea:** switch between different quantizers and corresponding variable length code tables depending on characteristics of image signal

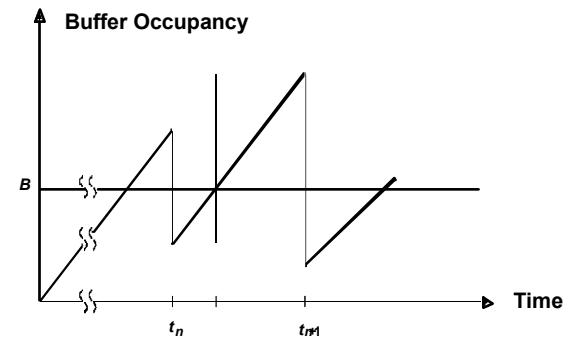
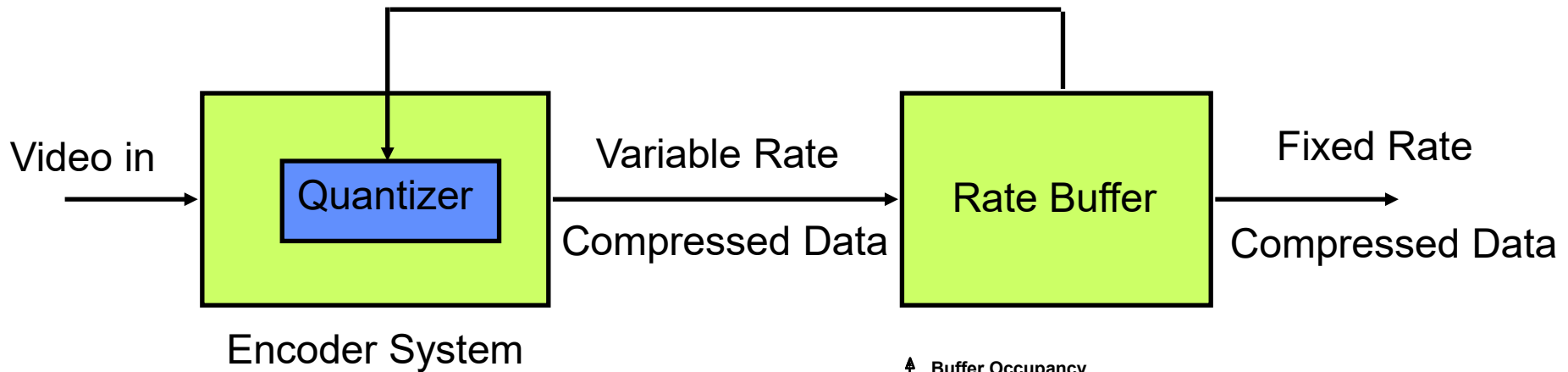


**Classification** considers instationarity of image signal by assigning blocks as

- little detail
- horizontal structures
- vertical structures
- highly textured areas

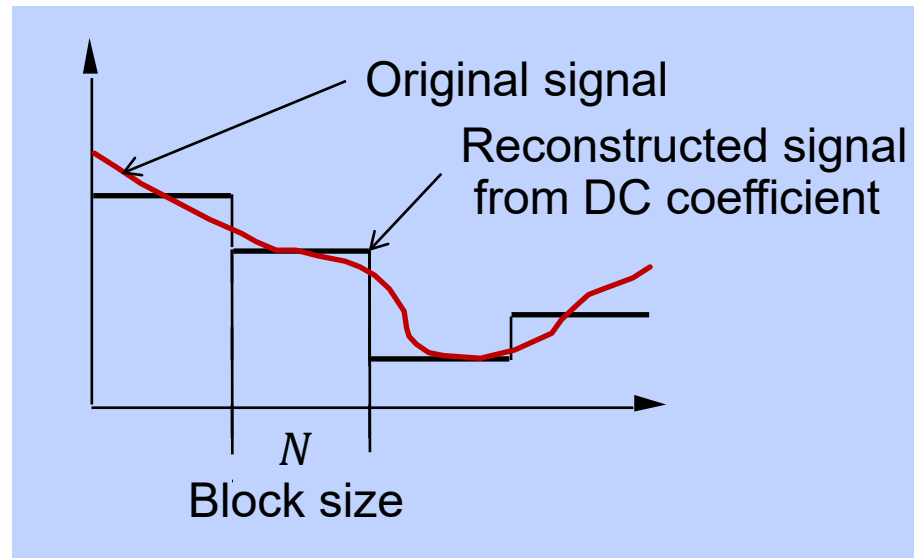
# Rate Control at Encoder

Quantizer step size controlled by buffer fullness



## 7.6 Compression Artifacts

**Blocking:** visibility of the borders of coding blocks caused by coarse quantization of low detail regions, most common artifact of transform coding



**Blurring:** loss of spatial detail (sharpness) in structured image areas if high frequency components are coarsely quantized

**Ringing:** periodic structures (basis functions) visible at edges on flat background if only small number of frequencies are coded

# Examples for Compression Artifacts

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Blocking



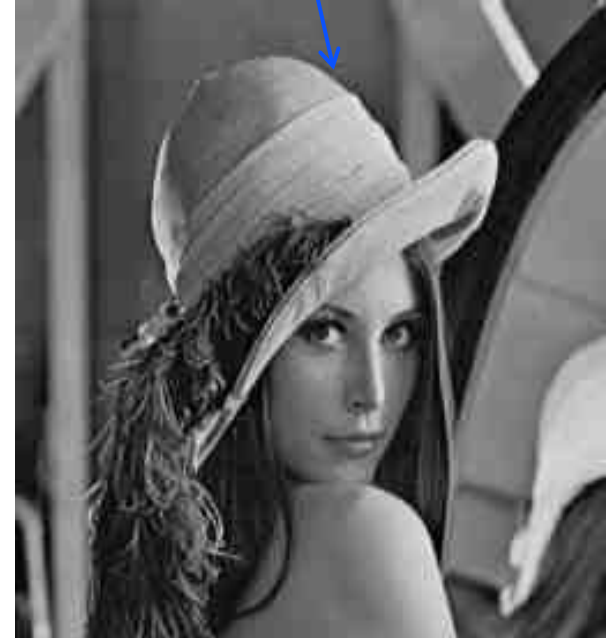
1:40

Blurring



1:20

Ringing



1:12

# Transform Coding - Summary

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- Transform gives spectral decomposition of image signal
- Transform coefficients are weighting factors for basis functions
- Orthonormal transform corresponds to rotation of coordinate system
- Transform causes energy concentration on few coefficients
- KLT is optimum transform but signal dependent
- DCT performs close to KLT and has fast implementation
- Typical block sizes for image transforms are from  $8 \times 8$  to  $32 \times 32$  pixels
- Bit allocation proportional to logarithm of variance
- Threshold coding and zigzag scanning widely used
- Quantization of coefficients use psychovisual properties