## 5GNR 系统 Polar 码设计详解以及 CA SCL 译码实现

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# 1 前言

Polar 码在 2009 由土耳其教授 Erdal Arıkan 发明,由于具有性能优越,理论可达香农限,并且编译码算法简单等优点迅速成为编码界的研究热点。我查到的 3GPP 提案里 2016 年 3GPP 就开始讨论把 Polar 码引入 5G 标准,最终选择 Polar 码替代传统的卷积码,用于 DCI,UCI,BCH 等控制信道的短码信道编码,业务信道 PDSCH 和 PUSCH 选择了 LDPC 码。

5G 标准中的 Polar 码相比 Erdal Arıkan 发明的 Polar 码不完全相同,增加了一些新的特性。

本文第一部分详细描述 5G polar 编码的新特性,比如分布 CRC(Distributed CRC)用于提前判决并且终止 Polar 译码, Polar 速率匹配中的 channel interleaver 等。

第二部分详细描述 5G polar decoder,包括:

- 1. N = 8 的 Polar SC decoder 例子详解。
- 2. 两个 SC decoder 实现
  - a. 第一个 SC decoder follow "List decoding of polar codes"中的描述
  - b. 第二个 SC decoder 完全 follow N =8 的 Polar SC decoder 例子里的过程

两个SC实现的结果相同,只不过逻辑上有些区别。

- 3. 两个 SC decoder memory 优化,节约 LLR 和 B 存储大小从 N\*log2(N)到 N
- 4. 5G NR LLR-based SCL decoder
  - a. 支持 Distributed CRC based 提前终止
  - b. 支持 parity bit check based 提前终止
  - c. 支持 CRC-aided

本文不涉及 Polar 码的原理和性能分析.

我已经完成了 Polar 编码以及 SC, SCL 译码 Python 实现和测试,代码在:

https://github.com/hahaliu2001/python 5gtoolbox.git: py5gphy/polar

## 1.1 参考资料

【1】 polar 码基本原理 v1:

### https://github.com/luxinjin/polar-

code/blob/master/polar%E7%A0%81%E5%9F%BA%E6%9C%AC%E5%8E%9F%E7%90%8 6v1.docx

- 【2】 Valerio Bioglio; Carlo Condo; Ingmar Land "Design of Polar Codes in 5G New Radio" IEEE Communications Surveys & Tutorials (Volume: 23, Issue: 1, Firstquarter 2021)
- [3] I. Tal and A. Vardy, "List decoding of polar codes," in Proceedings of 2011 IEEE International Symposium on Information Theory (ISIT), Jul. 2011, pp. 1–5.
- [4] A. Balatsoukas-Stimming, M. Bastani Parizi and A. Burg, "LLR-based successive cancellation list decoding of polar codes,"arXiv:1401.3753v3
  - 【5】 Kai Niu1,3,\*, Ping Zhang2, Jincheng Dai1, Zhongwei Si1, Chao Dong "A Golden Decade of Polar Codes: From Basic Principle to 5G Applications" https://arxiv.org/abs/2303.14614
  - [6] 3GPP R1-1708833, "Design details of Distributed CRC", Nokia, Alcatel-Lucent
  - [7] R1-164039, Huawei, HiSilicon, "Polar codes encoding and decoding," 3GPP TSG RAN WG1 #85, Nanjing, China, 23-27 May 2016.
  - 【8】 R1-1611254, Huawei, HiSilicon, "Details of the polar code design," 3GPP TSG RAN WG1 #87, Reno, NV, 14-18 Nov. 2016.
  - [9] R1-1705861, "Design details of distributed CRC," Nokia, Alcatel-Lucent Shanghai Bell.
  - 【10】 R1-1700979 "Discussion on CA-Polar and PC-Polar Codes", Samsung
  - 【11】 R1-1708047 "Early Termination of Polar Decoding" Samsung
- 【12】 E. Arıkan, "Channel Polarization: A Method for Constructing Capacity-Achieving Codes for Symmetric Binary-Input Memoryless Channels", IEEE Transactions on Information Theory, vol. 55, no. 7, July 2009

## 2 5G NR Polar 码设计

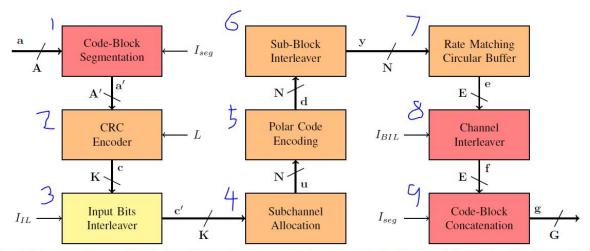


Fig. 6: 5G polar codes encoding chain; yellow, red and orange blocks are implemented in downlink, uplink and both respectively.

上图来自【2】"Design of Polar Codes in 5G New Radio",描述了 5G polar 从 CRC 到速率匹配的处理流程。

本节主要描述 5G polar 中一些新的特性。

## 2.1 5G Polar interleaver 和 Distributed CRC 设计

第 3 步 Polar interleaver(38.211 5.3.1)是针对 Distributed CRC 的设计,只用于下行 DCI 和 BCH,目的是 UE 搜索 PDCCH 和可以在完成 Polar 译码就判决 CRC,如果 CRC 错就提前终止 Polar 译码

## 2.1.1 了解 CRC

CRC 可以简单认为是多项式除法,满足加法律,

也就是说如果 C=C+C2+...CN, CRC=CRC+CRC2+...+CRCN,

还有就是如果 C 为全零, CRC 结果也是全 0

$$\frac{c}{poly} = \frac{c1 + c2 + \dots + cN}{poly} = CRC1 + CRC2 + \dots + CRCN = CRC_{\circ} \quad (1.1.1)$$

$$\frac{all\ zero\ bits}{poly} = [0,0,...0] \ (1.1.2)$$

## 2.1.2 Distributed CRC 例子: 4 bit CRC polynomial Distributed CRC

以 4bit CRC [0, 1, 0, 1]多项式为例,如果输入 8 bits 信息位,CRC 编码后输出为 8bits 信息位+4bit CRC, CRC 生成矩阵为:

$$P_{1X12} = U_{1X8}(I_{8x8}|G_{8x4})$$

 $U_{1X8}$ 为输入 8 bit 行向量,

 $P_{1X12}$ 为输出 12bit 行向量

 $I_{8x8}$ 为 8X8 对角矩阵,

$$G_{8x4}$$
为 CRC 生成矩阵:  $G_{8X4} = \begin{bmatrix} 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 1 \\ 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \\ 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 1 \end{bmatrix}$ 

其中每一行代表一个 bit 是否参与到 CRC 计算, 1 代表参与, 0 代表不参与。 比如第一行[1 0 1 0],表示[a,0,0,0,0,0,0]向量做 CRC,

如果 a=1, CRC bit0 and bit2 =1

如果 a=0, CRC bit0 and bit2 =0

CRC bit 1 and 3 不管 a 值如何, 结果都是 0

把 $G_{8x4}$ 中'1'改为信息位索引,把'0'改为-1,表示无效,得到:

$$Gindex_{8X4} = \begin{bmatrix} 0 & -1 & 0 & -1 \\ -1 & 1 & -1 & 1 \\ 2 & -1 & -1 & -1 \\ -1 & 3 & -1 & -1 \\ -1 & -1 & 4 & -1 \\ -1 & -1 & -1 & 5 \\ 6 & -1 & 6 & -1 \\ -1 & 7 & -1 & 7 \end{bmatrix}$$

其中每一列中非'-1'值表示哪些信息位用于这个 CRC bit 的计算。 比如,第一列[0, -1,2,-1,-1,-1,6,-1]表示信息位[0,2,6]用于计算 CRC bit0 同理可以得到,

对 CRCbit1,输入 bit [1,3,7]参与到 CRC 计算

对 CRCbit2,输入 bit [0,4,6]参与到 CRC 计算

对 CRCbit3,输入 bit [1,5,7]参与到 CRC 计算

也就是说,如果输入到 polar encoder 的序列为[0,2,6,CRC0,1,3,7,CRC1,4,CRC2,5,CRC3], polar 译码时译码出前四个 bit,就可以计算 CRC0 来判决 CRC 校验是否成功,如果失败就提前终止 polar 译码。

这就是 polar interleaver 的目的,通过分散传送信息 bit 和 CRC bit 实现 Distributed CRC. polar interleaver table 用来描述如何生成类似[0,2,6,CRC0,1,3,7,CRC1,4,CRC2,5,CRC3]序列。

上面的例子是针对 8 bit 信息位,如果输入 7bit 信息位,矩阵的最后 7 行可以用于计算 CRC,8 bit 输入到 polar encoder 的序列[0,2,6,CRC0,1,3,7,CRC1,4,CRC2,5,CRC3]去掉 0,其余 index-1 就得到 7bit 序列[1,5,CRC0,0,2,6,CRC1,3,CRC2,4,CRC3]。同理可以得到 所有小于 8bit 输入的 polar encoder 的序列。

也就是说只要提供一个 8 比特的交织序列表,就可以计算出来所有小于 8 bit 的交织序列。这就是为什么 5G 协议只提供最到 164 的交织序列表。5G 协议最大支持的 DCI 和 BCH bit 长度为 KIL\_max=164 - 24 CRC bit = 140

下面 Python code 用于生成上面两个矩阵

```
def gen crc interleaver table(K,crcpoly):
  """ gen interleave table
    crcidx matrix: CRC index matrix, -1 means not involved
       each column show that CRC input data indexs that are involed for this bit CRC calculation
  L = crcpoly.size # CRC size
  crcmatrix = np.zeros((K,L),'i2')
  crcidx matrix = np.zeros((K,L),'i2')
  for n in range(K):
    inbits = np.zeros(K,'i1')
    inbits[n] = 1
    blkandere = ere encode(inbits, erepoly)
    crc bits = blkanderc[-L:]
    crematrix[n,:] = cre bits
     crcidx matrix[n,:] = crc_bits*(n+1)
  crcidx_matrix = crcidx matrix -1
  return crematrix, creidx matrix
```

## 2.1.3 5G polar interleaver 设计

5G 38.212 Table 5.3.1.1-1: Interleaving pattern 表是基于 CRC24C 和最大长度 140 的信息 位产生的。

$$g_{CRC24C}(D) = [D^{24} + D^{23} + D^{21} + D^{20} + D^{17} + D^{15} + D^{13} + D^{12} + D^{8} + D^{4} + D^{2} + D + 1]$$

#### 下面的 python 函数用于生成 Interleaving pattern

```
def gen_polar_pitable(K, crcidx_matrix):
    """ K is data size, K=140 for 38.212 Table 5.3.1.1-1: Interleaving pattern

    CRC_size = crcidx_matrix.shape[1]
    pitable = -1*np.ones(CRC_size+K,'i2')
    pos = 0
    for n in range(CRC_size):
        #find crc input bit index that is used to calculate CRC bit n
    d1 = crcidx_matrix[:,n]
    d2 = d1[d1 >= 0] #

    #exclude all values that exist in pitabe
    d3=[v for v in d2 if v not in pitable]
    pitable[pos:pos+len(d3)] = d3 #
    pitable[pos+len(d3)] = n + K #crc index
    pos = pos + len(d3) + 1

return pitable
```

运行下面 code 可以生成 38.212 Table 5.3.1.1-1: Interleaving pattern

```
crcmatrix, crcidx_matrix = gen_crc_interleaver_table(140,np.array([1, 0, 1, 1, 0, 0, 1, 0, 1, 0, 1, 1, 0, 0, 0, 1, 0, 0, 1, 0, 1, 1],'i1'))
pitable = gen_polar_pitable(140, crcidx_matrix)
```

#### 2.2 Subchannel Allocation

参考 38.212 5.3.1.2 Polar encoding。

对于长度 N 的 Polar 码比特序列,每个 bit 的可靠性不同,Subchannel Allocation 的作用就是把信息比特放到可靠性高的位置,可靠性低的比特为 Frozen bit,放 0。

对下行信道 N 取值范围为 2^[5,6,7,8,9], 对上行信道 N 取值范围为 2^[5,6,7,8,9,10]

38.212 Table 5.3.1.2-1: Polar sequence  $\mathbf{Q}_0^{N_{\max}-1}$  and its corresponding reliability  $W(Q_i^{N_{\max}})$ 

给出了 1024 长度的码序列每个 bit 的可靠性。

 $\mathbf{Q}_{l}^{N}$ 是信息比特在 polar 码中放置位置列表,38.212 5.4.1.1 速率匹配部分介绍了如何产生这个列表。针对速率匹配的打孔(Puncturing)、缩短(Shortening)和重复(Repetition),产生 $\mathbf{Q}_{l}^{N}$ 的方式不同。

## 2.3 5G Polar code Encoder 采用 natural order encoder

参见"A Golden Decade of Polar Codes: From Basic Principle to 5G Applications" 2.2,有两种 Polar 编码 order,

一种是位反序(bit-reversal) order encoder,

$$x_1^N = u_1^N \mathbf{G}_N = u_1^N \mathbf{B}_N \mathbf{F}_2^{\otimes n},$$

一种是自然顺序(natural) order encoder,

$$x_1^N = u_1^N \mathbf{G}_N = u_1^N \mathbf{F}_2^{\otimes n}.$$

 $F_2^{\otimes n}$  is n -th Kronecker power of matrix of  $F_2^{\square}$  , where  $F_2=\begin{bmatrix}1&0\\1&1\end{bmatrix}$ 

 $B_N$ 是位反序矩阵(bit-reversal matrix), $B_N=B_N^T=B_N^{-1}$ 

并且 
$$B_N F_2^{\otimes n} = F_2^{\otimes n} B_N$$

参见

"Channel Polarization: A Method for Constructing Capacity-Achieving Codes for Symmetric Binary-Input Memoryless Channels" Proposition 16

Proposition 16: For any  $N=2^n$ ,  $n\geq 1$ , the generator matrix  $G_N$  is given by  $G_N=B_NF^{\otimes n}$  and  $G_N=F^{\otimes n}B_N$  where  $B_N$  is the bit-reversal permutation.  $G_N$  is a bit-reversal invariant matrix with

$$(G_N)_{b_1 \cdots b_n, b'_1 \cdots b'_n} = \prod_{i=1}^n (1 \oplus b'_i \oplus b_{n-i}b'_i). \tag{72}$$

*Proof:*  $F^{\otimes n}$  commutes with  $B_N$  because it is invariant under bit-reversal, which is immediate from (71). The statement  $G_N = B_N F^{\otimes n}$  was established before; by proving that  $F^{\otimes n}$  commutes with  $B_N$ , we have established the other statement:  $G_N = F^{\otimes n} B_N$ . The bit-indexed form (72) follows by applying bit-reversal to (71).

5G 采用的是自然顺序(natural)order encoder,而 SC Polar decoder 算法针对的是位反序(bit-reversal) order encoder。

由公式 1.3.2,1,3,3 得到: 
$$x_1^N B_N = u_1^N F_2^{\otimes n} B_N = u_1^N B_N F_2^{\otimes n}$$

也就是说 SC 译码前输入的 LLR 数据需要做位反序(bit-reversal),然后可以使用标准的 polar SC decoder.

## 2.4 Polar 速率匹配打孔(Puncturing)和缩短(Shortening)的区别

```
if K/E \le 7/16 -- puncturing for k=0 to E-1 e_k = y_{k+N-E}; end for else -- shortening for k=0 to E-1 e_k = y_k; end for end if
```

上面是 38.212 5.4.1.2 速率匹配打孔和缩短的实现。

打孔和缩短区别:

- 打孔是去掉前 N-E 个 bit, 里面包含有效信息。
- 缩短是去掉后面 N-E 个 bit, 里面的 bit 信息是全零。
- 解速率匹配时要补全 N 个 LL R 信息,因为打孔 bit 值未知,LLR=0.
- 缩短 bit 值为 0, LLR 需要取极大值

下面一组 polar 数据经过 polar encoding 和速率匹配 Sub-block interleaving 的输出结果。 其中 K=51, E= 216, N=256,K/E < 7/16,需要打孔前 40 个 bit,里面 '0', '1'混杂

```
[1, 1, 0, 1, 0, 1, 1, 1, 0, 1, 0, 0, 0, 1, 1, 1, 0, 1, 0, 1, 0, 0,
1, 1, 0, 1, 0, 1, 1, 1, 0, 0, 0, 1, 0, 1, 0, 1, 0, 1, 0, 0, 1, 1,
0, 0, 1, 1, 1, 1, 0, 1, 1, 0, 0, 0, 0, 0, 1, 0,.....]
```

下面是 polar 数据经过 polar encoding 和速率匹配 Sub-block interleaving 的输出结果.

其中 K=59,E=108, N=128, K/E>7/16, 需要缩短去掉后 20 bit, 这些 bit 全零。

## 2.5 5G polar 速率匹配后 Channel interleaver

38.212 5.4.1.3 Interleaving of coded bits 定义了 Triangle interleaver,用于 Polar rate matching repetition/puncturing/shortening 后的 channel interleaving.

我查到的最早的关于 Polar channel interleaver 的 3GPP 提案是"3GPP R1-1612656, Interleaver for Polar codes, Interdigital, RAN1#87, Reno, USA, Nov. 2016",证明了对于高阶调制(16QAM, 64QAM),交织后的性能比没有交织性能好大概 0.5dB。

我理解的原因是 polar 解码是根据 bit 的可靠性从高到低进行,先 decode 可靠性高的比特,然后 decode 可靠性低的 bit。高阶调制比如 16QAM/64QAM 破坏了 bit 的可靠性。比如接收 16QAM 的 4 个 bit [a0,a1,a2,a3], SNR\_a0 = SNR\_a1 > SNR\_a2=SNR\_a3,不同比特 SNR 不同破坏了 Polar bit 的可靠性排序。

Polar channel interleaver 只在高阶调制有效,低阶无效。

下行 DCI 和 BCH 使用 QPSK,所以协议跳过了 Polar channel interleaver。

上行 UCI 支持在 PUSCH 传输,而 PUSCH 支持高阶调制,所以用到 Polar channel interleaver

## 2.5.1 3GPP 关于 Polar channel interleaver 的研究

多家公司提出了不同的 channel interleaver 方案,其中 Qualcomm 的 Triangle interleaver 和华为的 row-column interleaver 性能最好,最后的结果选择了 Qualcomm 的 Triangle interleaver。

详细的 3GPP 讨论可以参考:

"R1-1708649, Interleaver design for Polar codes, Qualcomm, RAN1#89, Hangzhou, China, May 2017"

"R1-1713474 Design and evaluation of interleaver for Polar codes, Qualcomm, 3GPP TSG-RAN RAN1#90 August 21th – 25th, 2017"

"R1- 1712649 Channel Interleaver for Polar Codes, Ericsson, 3GPP TSG RAN WG1 Meeting #90 21th – 25th August 2017"

Quancomm 在 "Efficient interleaver design for polar codes" 专利中已经保护了这个 Triangle interleaver,link

(<a href="https://patents.google.com/patent/US12081333B2/en?q=(Channel+interleaver+design+polar+coding)&assignee=qualcomm&oq=Channel+interleaver+design+for+polar+coding+qualcomm">https://patents.google.com/patent/US12081333B2/en?q=(Channel+interleaver+design+for+polar+coding+polar+coding+polar+coding+qualcomm</a>)

## 2.6 5G polar 配置汇总

|              | UL DCI                              | UL DCI                         | DL DCI                    | ВСН                              |
|--------------|-------------------------------------|--------------------------------|---------------------------|----------------------------------|
|              | CRC payload                         | CRC payload                    |                           |                                  |
|              | size <=11                           | size >=12                      |                           |                                  |
| CRC          | CRC6                                | CRC11                          | CRC24C                    | CRC24C                           |
|              |                                     |                                | 24 '1'                    |                                  |
|              |                                     |                                | CRCpadding,               |                                  |
|              |                                     |                                | RNTI mask                 |                                  |
| Polar code   | no                                  | If ( $A \ge 360$ and           | no                        | no                               |
| block        |                                     | $E \ge 1088$ ) or if           |                           |                                  |
| segmentation |                                     | $A \ge 1013$ , $I_{seg} = 1$ ; |                           |                                  |
| Polar config | $n_{ m max}=10$ , $I_{I\!L}=0$ ,    | $n_{ m max}=10$ , $I_{IL}=0$ , | $n_{ m max}=9$ ,          | $n_{ m max}=9$ , $I_{ m IL}=1$ , |
|              | $n_{PC} = 3$ , $n_{PC}^{wm} = 1$ if | $n_{PC}=0$ , and               | $I_{IL}=1$ , $n_{PC}=0$ , | $n_{PC}=0$ , and                 |
|              | $E_r - K_r + 3 > 192$               | $n_{PC}^{wm}=0$                | and $n_{PC}^{wm}=0$ .     | $n_{PC}^{wm}=0.$                 |
|              | and $n_{PC}^{wm} = 0$ if            |                                |                           |                                  |
|              | $E_r - K_r + 3 \le 192$             |                                |                           |                                  |
| Rate match   | $I_{BIL} = 1$                       | $I_{BIL} = 1$                  | $I_{BIL} = 0$ .           | $I_{BIL} = 0$ .                  |
| channel      |                                     |                                |                           |                                  |
| interleaver  |                                     |                                |                           |                                  |

## 3 5G NR Polar decoder

大部分关于 Polar 译码的文章就基于两个 paper:

- "List decoding of polar codes"
   介绍了两种 Polar 译码算法: Successive cancellation (SC) decoding 和 SC list (SCL) decoding。SC 可以认为是 List size =1 的 SC L 实现.
- 2. "LLR-based successive cancellation list decoding of polar codes" 给出简化的适合产品实现的 LLR 的计算公式 以及路径权重(path metric)的计算公式

5G 采用的 Polar 译码算法是 LLR based CRC-aided + distributed CRC-aided + Parity-check-aided SCL

- CRC-aided: L 个 path 估计结束后,每个 path 做 CRC check,用于 DL DCI, BCH, UL DCI
- distributed CRC-aided: SCL 译码过程中计算 check CRC bit, 用于 DL DCI 和 BCH
- Parity-check-aided: SCL 译码过程中做 Parity bit check,用于 UL DCI small payload size

我自己的学习体会,理解 SC L 必须首先理解 SC,理解 SC 最好从一个 N=8 的例子开始学习。

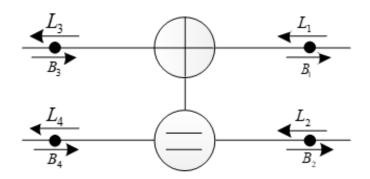
#### 本章包括如下部分:

- 1. 一个 N=8 的 Polar SC decoder 例子,详细描述 SC decoding 过程
- 2. 两个 SC decoder 算法实现
  - a. 第一个采用 "List decoding of polar codes"中的实现,每次 LLR 和 B 递归, 会计算当前 layer 所有 branch 的值
  - b. 第二个采用 N=8 的 Polar SC decoder 例子中介绍的流程,每次 LLR 和 B 递归,只会计算相关的 branch。

更详细的区别可以参考附录 A 1 和 A2 中给出的两个 SC 算法针对 N=8 输出的 log

- 3. 两个 SC decoder memory 优化的方法 LLR 和 B memory 大小从 N\*log2(N)优化到 N
- 4. 5G NR LLR-based SCL decoder

## 3.1 单位因子图概率传递公式



上面是 polar 码的单位因子图,在该因子图上有 8 个值,分别是 代表向左传递的 LLR 值, 代表向右传递的硬比特信息。

已知 $L_1$ ,  $L_2$ , 接顺序计算 $L_3 \rightarrow B_3 \rightarrow L_4 \rightarrow B_4 \rightarrow B_1$  and  $B_2$ 的流程:

Step 1:  $L_3 = sign(L_1)sign(L_2)min(|L_1|, |L_2|)$ 

Step 2:
$$B_3 = \begin{cases} 0 & L_3 > 0 \\ 1 & L_3 < 0 \end{cases}$$

Step 3: 
$$L_4 = (-1)^{B_3} L_1 + L_2$$

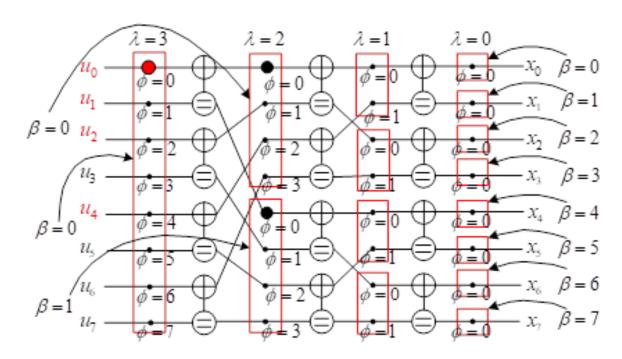
Step 4:B<sub>4</sub> = 
$$\begin{cases} 0 & L_4 > 0 \\ 1 & L_4 < 0 \end{cases}$$

Step 5: 
$$B_1 = B_3 \oplus B_4$$

Step 6: 
$$B_2 = B_4$$

上面公式来自"LLR-based successive cancellation list decoding of polar codes"

## 3.2 N=8 SC decoder 递归顺序例子



上图 $\lambda$ 代表 layer, $\beta$ 代表 branch, $\phi$ 代表 branch 中的 phase

总 layer 数=log2(N) + 1= 4, 上图从左到右为 layer 3-2-1-0

对 layer=s, 有 $2^{3-s}$  个 branch,每个 branch 有 $2^s$  个 phase 值

对 layer [3,2,1,0], branch 个数为[1,2,4,8], 每个 branch 内 phase 值个数[8,4,2,1]

上图中每个点的位置可以用(layer, branch, phase)表示。

每个点的 LLR 值用 LLR[layer, branch, phase)]表示

每个点的 bit 值用 B[layer, branch, phase)]表示。

上图红色四个点 $u_0$ ,  $u_1$ ,  $u_2$ ,  $u_4$ 对应着 B[3,0,0], B[3,0,1], B[3,0,2], B[3,0,4]为 frozen bit 在 polar decoder 中已知的是 layer=0 的 LLR 值(通过信道均衡得到)

### SC decoder 译码递归顺序为

```
S1 cal LLR[3,0,0] which need LLR[2,0,0], LLR[2,1,0]
```

S1.1 cal LLR[2,0,0] which need LLR[1,0,0], LLR[1,1,0]

S1.1.1 set LLR[1,0,0] using LLR[0,0,0],LLR[0,1,0]

S1.1.2 set LLR[1,1,0] using LLR[0,2,0],LLR[0,3,0]

S1.1.3 set LLR[2,0,0] using LLR[1,0,0],LLR[1,1,0]

S1.2 cal LLR[2,1,0] which need LLR[1,2,0], LLR[1,3,0]

S1.1.1 set LLR[1,2,0] using LLR[0,4,0],LLR[0,5,0]

S1.1.2 set LLR[1,3,0] using LLR[0,6,0],LLR[0,7,0]

S1.1.3 set LLR[2,1,0] using LLR[1,2,0],LLR[1,3,0]

S1.3 set LLR[3,0,0] using LLR[2,0,0], LLR[2,1,0]

S2 set B[3,0,0] to zero for this is frozen bit

S3 set LLR[3,0,1] using LLR[2,0,0], LLR[2,1,0],B[3,0,0]

S4 set B[3,0,1] to zero for this is frozen bit,

S4.1 set B[2,0,0] using B[3,0,0], B[3,0,1]

S4.2 set B[2,1,0] using B[3,0,1]

S5 cal LLR[3,0,2] which need LLR[2,0,1], LLR[2,1,1]

S5.1 set LLR[2,0,1] using LLR[1,0,0],LLR[1,1,0],B[2,0,0]

S5.2 set LLR[2,1,1] using LLR[1,2,0],LLR[1,3,0],B[2,1,0]

S5.3 set LLR[3,0,2] using LLR[2,0,1],LLR[2,1,1]

S6 set B[3,0,2] to zero for this is frozen bit

S7 set LLR[3,0,3] using LLR[2,0,1], LLR[2,1,1],B[3,0,2]

S8 set B[3,0,3] using LLR[3,0,3]

```
S8.1 set B[2,0,1] using B[3,0,2], B[3,0,3]
      S8.1.1 set B[1,0,0] using B[2,0,0],B[2,0,1]
      S8.1.2 set B[1,1,0] using B[2,0,1]
  S8.2 set B[2,1,1] using B[3,0,3]
      S8.1.1 set B[1,2,0] using B[2,1,0],B[2,1,1]
      S8.1.2 set B[1,3,0] using B[2,1,1]
S9 cal LLR[3,0,4] which need LLR[2,0,2], LLR[2,1,2]
   S9.1 cal LLR[2,0,2] which need LLR[1,0,1], LLR[1,1,1]
      S9.1.1 set LLR[1,0,1] using LLR[0,0,0],LLR[0,1,0],B[1,0,0]
      S9.1.2 set LLR[1,1,1] using LLR[0,2,0],LLR[0,3,0],B[1,1,0]
      S9.1.3 set LLR[2,0,2] using LLR[1,0,1], LLR[1,1,1]
   S9.2 cal LLR[2,1,2] which need LLR[1,2,1], LLR[1,3,1]
      S9.2.1 set LLR[1,2,1] using LLR[0,4,0],LLR[0,5,0],B[1,2,0]
      S9.2.2 set LLR[1,3,1] using LLR[0,6,0],LLR[0,7,0],B[1,3,0]
      S9.2.3 set LLR[2,1,2] using LLR[1,2,1], LLR[1,3,1]
  S9.3 set LLR[3,0,4] using LLR[2,0,2], LLR[2,1,2]
S10 set B[3,0,4] to zero for this is frozen bit
S11 set LLR[3,0,5] using LLR[2,0,2], LLR[2,1,2], B[3,0,4]
S12 set B[3,0,5] using LLR[3,0,5]
   S12.1 set B[2,0,2] using B[3,0,4],B[3,0,5]
   S12.2 set B[2,1,2] using B[3,0,5]
S13 cal LLR[3,0,6] which need LLR[2,0,3], LLR[2,1,3]
   S13.1 set LLR[2,0,3] using LLR[1,0,1],LLR[1,1,1],B[2,0,2]
   S13.2 set LLR[2,1,3] using LLR[1,2,1],LLR[1,3,1],B[2,1,2]
   S13.3 set LLR[3.0.6] using LLR[2,0,3], LLR[2,1,3]
S14 set B[3,0,6] using LLR[3,0,6]
S15 set LLR[3,0,7] using LLR[2,0,3], LLR[2,1,3],B[3,0,6]
S16 set B[3,0,7] using LLR[3,0,7]
   S16.1 set B[2,0,3] using B[3,0,6],B[3,0,7]
        S16.1.1 set B[1,0,1] using B[2,0,2],B[2,0,3]
```

```
S16.1.1.1 set B[0,0,0] using B[1,0,0],B[1,0,1]
S16.1.1.2 set B[0,1,0] using B[1,0,1]
S16.1.2 set B[1,1,1] using B[2,0,3]
S16.1.2.1 set B[0,2,0] using B[1,1,0],B[1,1,1]
S16.1.2.2 set B[0,3,0] using B[1,1,1]
S16.2 set B[2,1,3] using B[3,0,7]
S16.2.1 set B[1,2,1] using B[2,1,2],B[2,1,3]
S16.2.1.1 set B[0,4,0] using B[1,2,0],B[1,2,1]
S16.2.2 set B[1,3,1] using B[2,1,3]
S16.2.2 set B[1,3,1] using B[2,1,3]
S16.2.2.2 set B[0,6,0] using B[1,3,0],B[1,3,1]
S16.2.2.2 set B[0,7,0] using B[1,3,1]
```

#### 总结 LLR 处理过程:

- If phase= even
  - o 需要递归计算 LLR[layer-1, 2\*branch,phase//2] 和 LLR[layer-1, 2\*branch+1, phase//2]值
  - 递归返回后,用 LLR[layer-1, 2\*branch,phase//2],和 LLR[layer-1, 2\*branch+1, phase//2]计算 LLR[layer,branch,phase]
- If phase==odd
  - 。 不需要递归,
  - o 用 LLR[layer-1, 2\*branch,phase//2], LLR[layer-1, 2\*branch+1, phase//2]和 B[layer, branch, phase-1]计算 LLR[layer,branch,phase]

#### 总结 B 处理过程:

- 基于 LLR[layer,branch,phase]计算 B[layer,branch,phase]
- If phase== odd, 进入递归计算
  - 用 B[layer,branch,phase-1]和 B[layer,branch,phase]计算得到 B[layer-1, 2\* branch,phase // 2]和 B[layer-1, 2\*branch, phase // 2]
  - o 如果 phase // 2 is odd,继续递归计算下一个 layer

## 3.3 LLR-based Polar SC(SUCCESSIVE CANCELLATION) decoder

下面是 python 实现的 SC decder,参考"List decoding of polar codes,"

首先是 create a Path 类,里面包含 LLR matrix 和 B matrix。矩阵 memory size (log2(N)+1)\*N

初始化 LLR[layer=0]值为输入的 LLR

```
class SC Path no opt ():
    "" define Polar SC decoder path without path buffer optimization, buffer size = N*log2(N)
    based on "List Decoding of Polar Codes" from Algorithm1 to Algorithm 4
    one path include both LLR matrix and bit matrix
  def __init__(self, LLR0, N):
     """ N is polar decode input size
       LLR0 is layer 0 LLR values
    m = int(np.ceil(np.log2(N))) #m = log2(N)
    #define m+1 layer X N value per layer, for layer n, there are total 2^(m-n) branch with 2^n value per each branch
    #LLR is LLR values for each layers, B is estimated hard bits estimatio for each layers
    self.LLR = np.zeros((m+1,N))
    self.LLR[0,:] = LLR0
    self.B = -1*np.ones((m+1,N),'i2')
    self.m = m
    self.N = N
  def setB(self,value, layer, branch, phase):
    offset = branch * 2**layer + phase
    self.B[layer][offset] = value
  def getB(self, layer, branch, phase):
    offset = branch * 2**layer + phase
    return self.B[layer][offset]
  def setLLR(self,value, layer, branch, phase):
    offset = branch * 2**layer + phase
    self.LLR[layer][offset] = value
  def getLLR(self, layer, branch, phase):
    offset = branch * 2**layer + phase
    return self.LLR[layer][offset]
  def get u seq(self):
     """ return polar decoded bits, which is all values in layer=m"""
    u seq = self.B[self.m,:]
    return u seq
```

#### Main function

```
def PolarSCDecoder(LLRin, F, N):
    """ polar SC decoder"""
    #main function
    m = int(np.ceil(np.log2(N))) #m = log2(N)
    #Bit-wise reverse LLRin to get layer0 LLR
    LLR0 = np.zeros(N)
```

```
for branch in range(N):
  #bit reverse LLRin
  br=int('{:0{width}b}'.format(branch, width=m)[::-1],2)
  LLR0[branch] = LLRin[br]
#init path
path = polar path.SC Path no opt(LLR0, N)
#SC main loop
for n in range(N):
  recursivelyCalcLLR(path,m,n)
  if F[n] == 1: #frozen bit
    path.setB(0, m, 0, n)
  else:
    LLR = path.getLLR(m,0,n)
    if LLR > 0:
      path.setB(0, m, 0, n)
    else:
      path.setB(1, m, 0, n)
  if (n\%2)==1:
    recursivelyUpdateB(path,m,n)
#get decoded bits
decodedbits = path.get u seq()
return decodedbits, True
```

```
def recursivelyUpdateB(path,layer,phase):
    m = path.m
    newphase = phase // 2
    for branch in range(2**(m-layer)):
        b1 = path.getB(layer,branch,phase-1)
        b2 = path.getB(layer,branch,phase)

    path.setB((b1+b2)%2, layer-1, 2*branch, newphase)
    path.setB(b2, layer-1, 2*branch+1, newphase)
    if (newphase % 2):
        recursivelyUpdateB(path,layer-1,newphase)
```

```
def recursivelyCalcLLR(path,layer, phase):
  if layer == 0:
    return
  newphase = phase // 2
  m = path.m
  if (phase \frac{9}{2}) == 0:
    recursivelyCalcLLR(path,layer-1, newphase)
  for branch in range(2**(m-layer)):
    LLR1 = path.getLLR(layer-1, 2*branch, newphase)
    LLR2 = path.getLLR(layer-1, 2*branch+1, newphase)
    if (phase \frac{\%}{2} = 0:
       value = np.sign(LLR1)*np.sign(LLR2)*min(abs(LLR1), abs(LLR2))
       path.setLLR(value, layer, branch, phase)
    else:
       B = path.getB(layer,branch,phase-1)
       value = LLR2 + (-1)**B * LLR1
```

# 3.4 LLR-based Polar SC(SUCCESSIVE CANCELLATION) decoder optionB

The main difference with A is recursively CalcLLR and recursively CalcB implementation

```
def PolarSCDecoder(LLRin, F, N):
  """ polar SC decoder"""
  #main function
  m = int(np.ceil(np.log2(N))) #m = log2(N)
  #Bit-wise reverse LLRin to get layer0 LLR
  LLR0 = np.zeros(N)
  for branch in range(N):
    #path.setLLR(LLRin[branch], 0, branch, 0)
    #bit reverse LLRin
    br=int('{:0{width}b}'.format(branch, width=m)[::-1],2)
    LLR0[branch] = LLRin[br]
  path = polar path.SC Path no opt(LLR0, N)
  #SC main loop
  for n in range(N):
    recursivelyCalcLLR(path,m,0, n)
    if F[n] == 1: #frozen bit
      path.setB(0, m, 0, n)
    else:
      LLR = path.getLLR(m,0,n)
       if LLR > 0:
         path.setB(0, m, 0, n)
       else:
         path.setB(1, m, 0, n)
    if (n\%2)==1:
       recursivelyUpdateB(path,m,0,n)
  #get decoded bits
  decodedbits = path.get u seq()
  return decodedbits, True
```

```
def recursivelyUpdateB(path,layer,branch,phase):
    #update path.B:
    newphase = phase // 2

b1 = path.getB(layer,branch,phase-1)
    b2 = path.getB(layer,branch,phase)

path.setB((b1+b2)%2, layer-1, 2*branch, newphase)
    if (newphase % 2):
        recursivelyUpdateB(path,layer-1,2*branch,newphase)

path.setB(b2, layer-1, 2*branch+1, newphase)
```

```
if (newphase % 2):
recursivelyUpdateB(path,layer-1,2*branch+1,newphase)
```

```
def recursivelyCalcLLR(path,layer, branch,phase):
    if layer == 0:
        return
    newphase = phase // 2

if (phase % 2) == 0:
    recursivelyCalcLLR(path,layer-1, 2*branch, newphase)
    recursivelyCalcLLR(path,layer-1, 2*branch+1, newphase)

LLR1 = path.getLLR(layer-1, 2*branch, newphase)
    LLR2 = path.getLLR(layer-1, 2*branch+1, newphase)

if (phase % 2) == 0:
    value = np.sign(LLR1)*np.sign(LLR2)*min(abs(LLR1), abs(LLR2))
    path.setLLR(value, layer, branch, phase)

else:
    B = path.getB(layer,branch,phase-1)
    value = LLR2 + (-1)**B * LLR1
    path.setLLR(value, layer, branch, phase)
```

## 3.5 SC decoder memory optimization

SC\_Path\_no\_opt 类中 LL R 和 B 占用的 memory 大小为:

LLR size = (log2(N)+1)\*N

B size = 2\*(log2(N)+1)\*N

其中,

总 layer 数=log2(N) + 1

每个 layer 有 $2^{\log_2(N)-layer}$  branch,每个 branch 有 $2^{layer}$  phase 值

下面的方法用于优化 LLR 和 B memory

### 3.5.1 Optimization 1

这是"List decoding of polar codes," III. SPACE-EFFICIENT SUCCESSIVE CANCELLATION DECODING 介绍的优化。

仔细观察 N=8 的 SC decoder 例子。

当读写操作 LLR[layer, branch, s]时:

- 1. 所有 phase < s 的 LLR[layer, branch, phase]值在后面的 decoding 中都不会再使用
- 2. 所有 phase > s 的 LLR[layer, branch, phase]值都还没有参与到 dedoding

比如,对 layer=2 branch=0的 LLR 值,

- get/set LLR[2,0,0]时, LLR[2,0,1], LLR[2,0,2], LLR[2,0,3]还没有参与到 decoding
- get/set LLR[2,0,1]时, LLR[2,0,0]在 decoding 中不再使用, LLR[2,0,2], LLR[2,0,3]还 没有参与到 decoding

也就是说对任何一组[layer, branch],只需要保持一个 LLR 值的大小。

这样每个 layer 只需要2log2(N)-layer个值,

总的 LLR size = 1+2+4+...+N = 2\*N-1

B 值 memory 使用类似。

例如 layer=2, branch=0 B 值.

所有 B[2,0,0] and B[2,0,1] get/set 操作之间都不会使用 B[2,0,2]和 B[2,0,3].

当开始使用 B[2,0,2]和 B[2,0,3], B[2,0,0]和 B[2,0,1]都不会再用到。

也就是说对任何一组[layer, branch],只需要保持 2 个 B 值的大小。

总的 B size = 2\*(1+2+4+...+N) =2\*( 2\*N-1)

另外还需要额外 N 个值保存最后一个 layer 的输出结果

#### Python function is below:

```
class SC Path opt1 ():
    "define Polar SC decoder path with path buffer optimization,
    LLR buffer size = 2*N-1, B buffer size = N+2*(2N-1)
    based on "List Decoding of Polar Codes" from Algorithm5 to Algorithm 7
    one path include both LLR matrix and bit matrix
  def __init__(self, LLR0, N):
    """ N is polar decode input size
      LLR0 is layer 0 LLR values
    m = int(np.ceil(np.log2(N))) #m = log2(N)
    #there are total m+1 layers, for layer n, branch number = 2^{(m-n)}
    #LLR is LLR values for each layers, B is estimated hard bits estimatio for each layers
    #LLR of each branch need one value size, B ofeach branch need two value size
    self.LLR = np.zeros(2*N-1)
    self.LLR[0:N] = LLR0
    self_B = -1*np.ones(2*(2*N-1),'i2')
    self.U = -1*np.ones(N,'i2') #decoded bit seq,
```

```
self.m = m
  self.N = N
def setB(self,value, layer, branch, phase):
  #each branch has two B value, put even value on position 0, put odd value on position 1
  offset = 2*(2**(self.m+1) - 2**(self.m+1-layer)) + branch*2 + (phase % 2)
  self.B[offset] = value
  if layer == self.m:
     self.U[phase] = value
def getB(self, layer, branch, phase):
  #each branch has two B value, put even value on position 0, put odd value on position 1
  offset = 2*(2**(self.m+1) - 2**(self.m+1-layer)) + branch*2 + (phase % 2)
  return self.B[offset]
def setLLR(self, value, layer, branch, phase):
  #each branch has one LLR value
  offset = (2**(self.m+1) - 2**(self.m+1-layer)) + branch
  self.LLR[offset] = value
def getLLR(self, layer, branch, phase):
  #each branch has one LLR value
  offset = (2**(self.m+1) - 2**(self.m+1-layer)) + branch
  return self.LLR[offset]
def get u seq(self):
   """ return polar decoded bits, which is all values in layer=m"""
  return self.U
```

## 3.5.2 Memory optimization 2

这是我在分析 Memory optimization 1 方法是发现的。

#### 对 B memory:

Laver = 0 的 N 个 B values 是不需要的,这样可以省 N 个值

总 B memory size = 2\*(1+2+4+...+N/2) = 2\*(N-1)

#### 对 LLR memory.

Layer=0 的 N 个 LLR 值是外部输入,不需要额外的 memory 存储这些值,这样可以省去 layer=0 的 N 个值。.

The total LLR memory size = (1+2+4+...+ N/2) = N - 1

#### Python code are:

```
class SC_Path_opt2 ():

""" define Polar SC decoder path with path buffer optimization method 2,
there are N B value in layer 0 which is not necessary. removing layer 0 B value can reduce B buffer size to N+2*(N-1)
for SCL decoder, all path shared the same layer 0 LLR value.LLR buffer doesn;t need N layer 0 LLR value which can reduce LLR buffer size to N-1
```

```
one path include both LLR matrix and bit matrix
def __init__(self, LLR0, N):
  """ N is polar decode input size
    LLR0 is layer 0 LLR values
  m = int(np.ceil(np.log2(N))) #m = log2(N)
  #there are total m+1 layers, for layer n, branch number = 2^{(m-n)}
  #LLR is LLR values for each layers, B is estimated hard bits estimatio for each layers
  #LLR of each branch need one value size, B ofeach branch need two value size
  self.LLR = np.zeros(N-1)
  self.LLR0 = LLR0
  self.B = -1*np.ones(2*(N-1),'i2')
  self.U = -1*np.ones(N,'i2') #decoded bit seq,
  self.m = m
  self.N = N
def setB(self,value, layer, branch, phase):
  #each branch has two B value, put even value on position 0, put odd value on position 1
  if layer == 0:
     return
  offset = 2*(2**self.m - 2**(self.m-(layer-1))) + branch*2 + (phase % 2)
  self.B[offset] = value
  if layer == self.m:
     self.U[phase] = value
def getB(self, layer, branch, phase):
  #each branch has two B value, put even value on position 0, put odd value on position 1
  if layer == 0:
     return -1
  offset = 2*(2**self.m - 2**(self.m-(layer-1))) + branch*2 + (phase % 2)
  return self.B[offset]
def setLLR(self,value, layer, branch, phase):
  #each branch has one LLR value
  if layer == 0:
     assert 0
  offset = (2**self.m - 2**(self.m-(layer-1))) + branch
  self.LLR[offset] = value
def getLLR(self, layer, branch, phase):
  #each branch has one LLR value
  if layer == 0:
     return self.LLR0[branch]
  offset = (2**self.m - 2**(self.m-(layer-1))) + branch
  return self.LLR[offset]
def get u seq(self):
  """ return polar decoded bits, which is all values in layer=m"""
  return self.U
```

# 3.6 5G NR LLR based CRC-aided+ distributed CRC-aided + Parity-check-aided SCL decoder

SCL(successive cancellation list) 算法来自 "List decoding of polar codes", 不过我读了几遍还是没有搞明白作者的思路,所以还是按照自己的思路设计。

从软件角度 SCL 是解决"Tree splitting"问题。

SC decoder 只支持一个 Path,每一个都硬判决 B 值为 0 或 1。

SCL decoding 支持 L paths,

L paths SCL 处理需要:

- 1. 一个 split path 的方法 SCL 按照 B 值取 0 和取 1, split path 为两个 path
- 2. 一个 path 度量值 PM( path metric)来标识 path 质量 每个 path 都有一个 PM 值。

当 tree 分叉超过 L paths 时,需要通过 PM 值选择最好的 L 个 paths.

PM 公式来自于 "LLR-based successive cancellation list decoding of polar codes" equation (12),

$$PM_{new} = \begin{cases} PM\_old & if B = \frac{1}{2}(1 - sign(LLR)) \\ PM_{old} + |LLR| & otherwise \end{cases}$$

PM 值越小代表 path 质量越好。

#### 5G SCL 基本思路:

- 1. 创建 SCL\_path 类
  - a. 继承于 SC path,
  - b. 增加当前 PM 值和两个 nextPM 值代表 split path to B=0 and B=1
- 2. 创建 Pathlist 类管理 L SCL Path:
  - a. active/de-active path
  - b. split and then clone path to new path
- 3. 创建函数用来选择最好的 L 个 Paths
- 4. parity-bit check when the decoded bit is parity bit and remove those paths with parity-check failure
- CRC bit check for distributed CRC when the decoded bit is CRC bit, and remove those paths with CRC-bit check failure
- 6. CRC verification after SCL decoding is complete.

#### Below is the copy of python code.

```
class SCL_Path (SC Path opt2):
   "" define SCL Polar decoder path based on SC Path opt2
    and add Path Metric(PM) related processing
    PM calculation is based on "LLR-Based Successive Cancellation List Decoding of Polar Codes" equation 12
  def __init__(self, LLR0, N):
    super(). init (LLR0,N)
    self.PM = 0 \# currect PM
    self.nextPM = [0,0] #next stage PM for u=0 and u= 1
  def clone(self,clone2path):
    super().clone(clone2path)
    clone2path.PM = self.PM
    clone2path.nextPM = self.nextPM.copy()
  def update BandPM(self,phase,u):
    """ set B on the phase of layer m, and then update PM
    self.setB(u, self.m, 0, phase)
    LLR = self.getLLR(self.m,0,phase)
    if u != (1-np.sign(LLR))/2:
       self.PM = self.PM + abs(LLR)
  def gen nextPM(self,phase):
    """ generate next stage PM values for u=0 and u=1
    nextPM[0] is u=0 PM, nextPM[1] is u=1 PM
    LLR = self.getLLR(self.m,0,phase)
    if 0 == (1-np.sign(LLR))/2: #u=0 a
       self.nextPM[0] = self.PM
       self.nextPM[1] = self.PM + abs(LLR)
    else:
       self.nextPM[0] = self.PM + abs(LLR)
       self.nextPM[1] = self.PM
```

```
class Pathlist ():
""" polar SCL decoder path list
N: polar length
L: path list size
"""

def __init__(self, LLR0, N, L):
    self.L = L
    self.paths = [polar_path.SCL_Path(LLR0, N) for m in range(L)]
    self.paths_status = [0]*L #0 is inactive, 1: active
    self.paths_status[0] = 1 #active first path

def get_path(self,index):
    return self.paths[index]

def active path(self, index):
    self.paths_status[index] = 1

def inactive_path(self, index):
    self.paths_status[index] = 0
```

```
def nr_decode_polar_SCL(LLRin, E, K, L, nMax, iIL, CRCLEN=24, padCRC=0, rnti=0):
  #get F array, PC array and other values
  F, qPC, N, nPC, nPCwm = polar construct.construct(K, E, nMax)
  m = int(np.ceil(np.log2(N))) #m = log2(N)
  #initial a few tables
  #bit sequence ck is used to polar interleaving to get ckbar, ckbar map to u seq at non-frozen location
  #here need get u seq to ckbar mapping table,
  ckbar_indices = [idx for idx in range(N) if (F[idx]==0) and (idx not in qPC)]
  #deinterleave table, used for iIL == 1
  if iIL == 1:
    depitable = polar interleaver.gen deinterleave table(K)
    crcidx_matrix = crc.gen_CRC24C_encoding_matrix(K-24)
    crc mask = crc.gen crc mask(K-24, padCRC, rnti)
  #Bit-wise reverse LLRin to get layer0 LLR
  LLR0 = np.zeros(N)
  for branch in range(N):
    #path.setLLR(LLRin[branch], 0, branch, 0)
    #bit reverse LLRin
    br=int('{:0{width}b}'.format(branch, width=m)[::-1],2)
    LLR0[branch] = LLRin[br]
  #init pathlist, active first path,
  pathlist = polar_path_list.Pathlist(LLR0, N, L)
  #SCL main loop
  for phase in range(N):
    active paths = pathlist.get active paths()
    #recursivelyCalcLLR for each active path
    for , path in active paths:
       recursivelyCalcLLR(path,m,phase)
    if F[phase] == 1: #frozen bits
       for , path in active paths:
         path.update BandPM(phase,0) #set B=0 and update PM
    else: #unfrozen bits
```

```
continuePaths UnfrozenBit(pathlist, phase)
     active_paths = pathlist.get_active_paths() #get new active paths
     if nPC > 0 and (phase in qPC): #this this is PC bit
       # PC check
       for idx, path in active paths:
          u seq = path.get u seq()
          pc = u seq[phase]
          u \text{ seq} = u \text{ seq}[0:phase] \#select u \text{ seq from } 0 \text{ to phase } -1
          if pc != cal polar pc(u seq, F, qPC, phase):
            #bad path
            pathlist.inactive path(idx)
     elif iIL:
       \#if\ polar\ interleaver = 1
       # distributed CRC check, CRC poly must be 24C and CRC size = 24
       #get ckbar index for phase in u seq
       ckbar loc = ckbar indices.index(phase)
       if ckbar loc in depitable[-24:]: #this is CRC bits
          for idx, path in active paths:
            u seq = path.get u seq()
            ckbar = u seq[ckbar indices] #get ckbar bit sequence
            ck = ckbar[depitable] #deinterleave to get ck seq
            crc bit loc = depitable[-24:].index(ckbar loc)
            if crc.check distributed CRC24C(ck, crc_bit_loc, crcidx_matrix, crc_mask) == False:
               #CRC bit can not match
               pathlist.inactive_path(idx)
     if pathlist.get total_active_paths() == 0:
       #early terminate
       return [-1], False
  active paths = pathlist.get active paths() #get new active paths
  if (phase \frac{6}{2}) == 1:
     for , path in active paths:
       recursivelyUpdateB(path,m,phase)
if pathlist.get total active paths() == 0:
  #early terminate
  return [-1], False
#sort active paths based on PM and then do CRC check for each active path until pass CRC check
active paths = pathlist.get active paths() #get new active paths
PM list = [[idx,path.PM] for idx, path in active paths]
PM list.sort(key=lambda x: x[1]) #sort by the second element of sublist
if iIL:
  #distributed CRC has passed during CA-SCL decoding, here return best active path
  path = pathlist.get path(PM list[0][0])
  decodedbits = path.get u seq()
  ckbar = decodedbits[ckbar indices] #get information bit and CRC bits only, not including pc bits
  ck = ckbar[depitable] #deinterleave to get ck seq
  return np.array(ck,'il'), True
else:
  for idx, in PM list:
     path = pathlist.get path(idx)
     #get decoded bits
     decodedbits = path.get u seq()
     ckbar = decodedbits[ckbar indices] #get information bit and CRC bits only, not including pc bits
     poly = {6:'6', 11: '11', 24: '24C'}[CRCLEN]
      , err = crc.nr_crc_decode(np.array(ck,'i1'), poly, rnti)
```

```
if err == 0:
    return np.array(ck,'i1'), True

#all path CRC failed
return [-1], False
```

```
def continuePaths UnfrozenBit(pathlist, phase):
  active paths = pathlist.get active paths()
  #generate nextPM list for B=0 and B=1 for all active path
  #PM list sublist [idx, B, PM]
  PM \overline{list} = []
  for idx, path in active paths:
    path.gen nextPM(phase)
     PM list.append([path.nextPM[0],idx,0])
     PM list.append([path.nextPM[1],idx,1])
  L = pathlist.L
  if pathlist.get total active paths()*2 <= L:
     #split each active path to two,update current path with B=0 and new path with B=1
     for , path in active paths:
       #clone to one inactive path
       inactive_idx = pathlist.get_inactive_path_idx()
       clone2path = pathlist.get_path(inactive_idx)
       path.clone(clone2path)
       path.update BandPM(phase,0) #update current path with B=0
       clone2path.update BandPM(phase,1) #update new path with B=1
       pathlist.active path(inactive idx) #set new path to active
  else:
     PM list.sort() #sort by PM
     tmp = [v[0] \text{ for } v \text{ in } PM \text{ list}]
     threshold = statistics.median(tmp)
     # inactive paths with both nextPM value that is >= threshold
     # to free bad path
     for idx, path in active paths:
       if (path.nextPM[0] >= threshold) and (path.nextPM[1] >= threshold):
         pathlist.inactive path(idx)
     active paths = pathlist.get active paths() #get new active paths
     #if only one nextPM of the active path < threshod, update this path
     for , path in active paths:
       if (path.nextPM[0] < threshold) and (path.nextPM[1] >= threshold):
         path.update BandPM(phase,0)
       if (path.nextPM[0] >= threshold) and (path.nextPM[1] < threshold):</pre>
         path.update BandPM(phase,1)
     #duplicate active paths that both nextPM < threshold
     # it may be possible that multiple nextPM value is equal to threhold,
     for , path in active paths:
       if (path.nextPM[0] < threshold) and (path.nextPM[1] < threshold):
          #clone to one inactive path
          inactive idx = pathlist.get inactive path idx()
         if inactive idx == -1:
            assert 0 #should not reach here
          else:
            clone2path = pathlist.get path(inactive idx)
            path.clone(clone2path)
```

path.update\_BandPM(phase,0) #update current path with B=0 clone2path.update\_BandPM(phase,1) #update new path with B=1 pathlist.active path(inactive idx) #set new path to active

# 3.7 5G NR LLR based CRC-aided+ distributed CRC-aided + Parity-check-aided SCL decoder optionB

Refer to nr\_polar\_decoder\_CA\_PC\_SCL\_optionB.py

Similar with above SCL decoder, the only difference are recursivelyCalcLLR and recursivelyCalcB

### 3.8 Polar decoder simulation

Below are polar decoder simulation results for K=64, N=128, ½ rate.

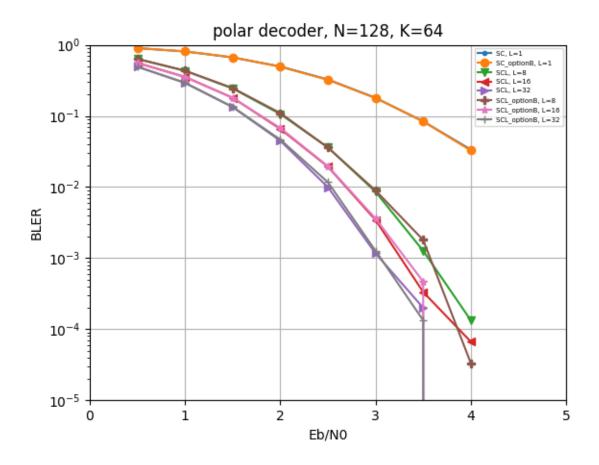
#### In the simulation

- It simulates SC, SC optionB, SCL L=8, SCL L=16, SCL L=32 with and without optionB
- Simulate SNR from 0.5 to 4dB with 0.5dB step
- Each SNR run 30K times of test
- The simulation takes a few days to finish

#### From the figure we can see:

- 1. SC performance is around 2dB worse than SCL under 10% BLER
- 2. L=32 SCL is around 0.25dB better than L=16 SCL
- 3. L=16 SCL is around 0.25dB better than L=8 SCL
- 4. optionB decoder performance is similar with non optionB decoder.

The code is https://github.com/hahaliu2001/python\_5gtoolbox.git: script



# 4 Annex A1 traditional Polar SC N=8 logs

```
traditional SC in main func, phase= 0
cal LLR value [3, x, 0]
cal LLR value [2, x, 0]
cal LLR_value [1, x, 0]
recursivelyCalcLLR get LLR value [0, 0, 0],[0, 1, 0]
recursivelyCalcLLR set LLR value [1, 0, 0]
recursivelyCalcLLR get LLR value [0, 2, 0], [0, 3, 0]
recursivelyCalcLLR set LLR_value [1, 1, 0]
recursivelyCalcLLR get LLR value [0, 4, 0], [0, 5, 0]
recursivelyCalcLLR set LLR value [1, 2, 0]
recursivelyCalcLLR get LLR value [0, 6, 0], [0, 7, 0]
recursivelyCalcLLR set LLR value [1, 3, 0]
recursivelyCalcLLR get LLR value [1, 0, 0], [1, 1, 0]
recursivelyCalcLLR set LLR value [2, 0, 0]
recursivelyCalcLLR get LLR value [1, 2, 0], [1, 3, 0]
recursivelyCalcLLR set LLR value [2, 1, 0]
recursivelyCalcLLR get LLR value [2, 0, 0],[2, 1, 0]
```

```
recursivelyCalcLLR set LLR value [3, 0, 0]
main func B value set frozen bit, [3, 0, 0]
traditional SC in main func, phase= 1
cal LLR value [3, x, 1]
recursivelyCalcLLR get LLR value [2, 0, 0], [2, 1, 0]
recursivelyCalcLLR B value get [3, 0, 0]
recursivelyCalcLLR set LLR value [3, 0, 1]
main func B value set frozen bit, [3, 0, 1]
recursivelyUpdateB B value get [3, 0, 0],[3, 0, 1]
recursivelyUpdateB B_value set [2, 0, 0]
recursivelyUpdateB B value set [2, 1, 0]
traditional SC in main func, phase= 2
cal LLR value [3, x, 2]
cal LLR value [2, x, 1]
recursivelyCalcLLR get LLR value [1, 0, 0],[1, 1, 0]
recursivelyCalcLLR B value get [2, 0, 0]
recursivelyCalcLLR set LLR_value [2, 0, 1]
recursivelyCalcLLR get LLR value [1, 2, 0], [1, 3, 0]
recursivelyCalcLLR B value get [2, 1, 0]
recursivelyCalcLLR set LLR value [2, 1, 1]
recursivelyCalcLLR get LLR value [2, 0, 1], [2, 1, 1]
recursivelyCalcLLR set LLR value [3, 0, 2]
main func B value set frozen bit, [3, 0, 2]
traditional SC in main func, phase= 3
cal LLR value [3, x, 3]
recursivelyCalcLLR get LLR value [2, 0, 1], [2, 1, 1]
recursivelyCalcLLR B value get [3, 0, 2]
recursivelyCalcLLR set LLR value [3, 0, 3]
main func B value set unfrozen bit, [3, 0, 3], LLR= 4.0
recursivelyUpdateB B value get [3, 0, 2],[3, 0, 3]
recursivelyUpdateB B_value set [2, 0, 1]
recursivelyUpdateB B value set [2, 1, 1]
recursivelyUpdateB B value get [2, 0, 0],[2, 0, 1]
recursivelyUpdateB B value set [1, 0, 0]
recursivelyUpdateB B value set [1, 1, 0]
recursivelyUpdateB B value get [2, 1, 0], [2, 1, 1]
recursivelyUpdateB B value set [1, 2, 0]
recursivelyUpdateB B_value set [1, 3, 0]
traditional SC in main func, phase= 4
cal LLR value [3, x, 4]
cal LLR value [2, x, 2]
cal LLR value [1, x, 1]
recursivelyCalcLLR get LLR value [0, 0, 0],[0, 1, 0]
recursivelyCalcLLR B value get [1, 0, 0]
recursivelyCalcLLR set LLR value [1, 0, 1]
recursivelyCalcLLR get LLR_value [0, 2, 0],[0, 3, 0]
recursivelyCalcLLR B value get [1, 1, 0]
recursivelyCalcLLR set LLR value [1, 1, 1]
recursivelyCalcLLR get LLR value [0, 4, 0], [0, 5, 0]
recursivelyCalcLLR B value get [1, 2, 0]
recursivelyCalcLLR set LLR_value [1, 2, 1]
recursivelyCalcLLR get LLR value [0, 6, 0], [0, 7, 0]
recursivelyCalcLLR B value get [1, 3, 0]
recursivelyCalcLLR set LLR value [1, 3, 1]
recursivelyCalcLLR get LLR value [1, 0, 1], [1, 1, 1]
recursivelyCalcLLR set LLR value [2, 0, 2]
recursivelyCalcLLR get LLR value [1, 2, 1], [1, 3, 1]
```

```
recursivelyCalcLLR set LLR value [2, 1, 2]
recursivelyCalcLLR get LLR value [2, 0, 2], [2, 1, 2]
recursivelyCalcLLR set LLR value [3, 0, 4]
main func B value set frozen bit, [3, 0, 4]
traditional SC in main func, phase= 5
cal LLR value [3, x, 5]
recursivelyCalcLLR get LLR value [2, 0, 2], [2, 1, 2]
recursivelyCalcLLR B value get [3, 0, 4]
recursivelyCalcLLR set LLR value [3, 0, 5]
main func B value set unfrozen bit, [3, 0, 5], LLR= 4.0
recursivelyUpdateB B value get [3, 0, 4],[3, 0, 5]
recursivelyUpdateB B value set [2, 0, 2]
recursivelyUpdateB B value set [2, 1, 2]
traditional SC in main func, phase= 6
cal LLR value [3, x, 6]
cal LLR value [2, x, 3]
recursivelyCalcLLR get LLR_value [1, 0, 1], [1, 1, 1]
recursivelyCalcLLR B value get [2, 0, 2]
recursivelyCalcLLR set LLR value [2, 0, 3]
recursivelyCalcLLR get LLR value [1, 2, 1], [1, 3, 1]
recursivelyCalcLLR B value get [2, 1, 2]
recursivelyCalcLLR set LLR value [2, 1, 3]
recursivelyCalcLLR get LLR value [2, 0, 3], [2, 1, 3]
recursivelyCalcLLR set LLR_value [3, 0, 6]
main func B value set unfrozen bit, [3, 0, 6], LLR= -4.0
traditional SC in main func, phase= 7
cal LLR value [3, x, 7]
recursivelyCalcLLR get LLR value [2, 0, 3], [2, 1, 3]
recursivelyCalcLLR B value get [3, 0, 6]
recursivelyCalcLLR set LLR value [3, 0, 7]
main func B_value set unfrozen bit,[3, 0, 7], LLR= 8.0
recursivelyUpdateB B value get [3, 0, 6],[3, 0, 7]
recursivelyUpdateB B value set [2, 0, 3]
recursivelyUpdateB B value set [2, 1, 3]
recursivelyUpdateB B value get [2, 0, 2], [2, 0, 3]
recursivelyUpdateB B value set [1, 0, 1]
recursivelyUpdateB B value set [1, 1, 1]
recursivelyUpdateB B value get [2, 1, 2],[2, 1, 3]
recursivelyUpdateB B value set [1, 2, 1]
recursivelyUpdateB B value set [1, 3, 1]
recursivelyUpdateB B value get [1, 0, 0],[1, 0, 1]
recursivelyUpdateB B value set [0, 0, 0]
recursivelyUpdateB B value set [0, 1, 0]
recursivelyUpdateB B_value get [1, 1, 0],[1, 1, 1]
recursivelyUpdateB B value set [0, 2, 0]
recursivelyUpdateB B value set [0, 3, 0]
recursivelyUpdateB B value get [1, 2, 0], [1, 2, 1]
recursivelyUpdateB B value set [0, 4, 0]
recursivelyUpdateB B value set [0, 5, 0]
recursivelyUpdateB B value get [1, 3, 0],[1, 3, 1]
recursivelyUpdateB B value set [0, 6, 0]
recursivelyUpdateB B value set [0, 7, 0]
```

# 5 Annex A2 new Polar SC N=8 logs

```
new SC in main func, phase= 0
cal LLR_value [3, 0, 0], need [2, 0, 0], [2, 1, 0]
cal LLR value [2, 0, 0], need [1, 0, 0], [1, 1, 0]
cal LLR value [1, 0, 0], need [0, 0, 0], [0, 1, 0]
recursivelyCalcLLR get LLR value [0, 0, 0], [0, 1, 0]
recursivelyCalcLLR set LLR value [1, 0, 0]
cal LLR value [1, 1, 0], need [0, 2, 0], [0, 3, 0]
recursivelyCalcLLR get LLR value [0, 2, 0], [0, 3, 0]
recursivelyCalcLLR set LLR value [1, 1, 0]
recursivelyCalcLLR get LLR value [1, 0, 0], [1, 1, 0]
recursivelyCalcLLR set LLR value [2, 0, 0]
cal LLR value [2, 1, 0], need [1, 2, 0], [1, 3, 0]
cal LLR_value [1, 2, 0], need [0, 4, 0], [0, 5, 0]
recursivelyCalcLLR get LLR value [0, 4, 0], [0, 5, 0]
recursivelyCalcLLR set LLR value [1, 2, 0]
cal LLR value [1, 3, 0], need [0, 6, 0], [0, 7, 0]
recursivelyCalcLLR get LLR value [0, 6, 0], [0, 7, 0]
recursivelyCalcLLR set LLR value [1, 3, 0]
recursivelyCalcLLR get LLR value [1, 2, 0], [1, 3, 0]
recursivelyCalcLLR set LLR value [2, 1, 0]
recursivelyCalcLLR get LLR value [2, 0, 0], [2, 1, 0]
recursivelyCalcLLR set LLR value [3, 0, 0]
main func B value set frozen bit, [3, 0, 0]
new SC in main func, phase= 1
cal LLR value [3, 0, 1], need [2, 0, 0], [2, 1, 0]
recursivelyCalcLLR get LLR value [2, 0, 0], [2, 1, 0]
recursivelyCalcLLR B value get [3, 0, 0]
recursivelyCalcLLR set LLR value [3, 0, 1]
main func B value set frozen bit, [3, 0, 1]
recursivelyUpdateB B_value get [3, 0, 0],[3, 0, 1]
recursivelyUpdateB B value set [2, 0, 0]
recursivelyUpdateB B value set [2, 1, 0]
new SC in main func, phase= 2
cal LLR_value [3, 0, 2], need [2, 0, 1], [2, 1, 1]
cal LLR value [2, 0, 1], need [1, 0, 0], [1, 1, 0]
recursivelyCalcLLR get LLR value [1, 0, 0], [1, 1, 0]
recursivelyCalcLLR B value get [2, 0, 0]
recursivelyCalcLLR set LLR value [2, 0, 1]
cal LLR value [2, 1, 1], need [1, 2, 0], [1, 3, 0]
recursivelyCalcLLR get LLR value [1, 2, 0], [1, 3, 0]
recursivelyCalcLLR B value get [2, 1, 0]
recursivelyCalcLLR set LLR_value [2, 1, 1]
recursivelyCalcLLR get LLR value [2, 0, 1], [2, 1, 1]
recursivelyCalcLLR set LLR value [3, 0, 2]
main func B value set frozen bit, [3, 0, 2]
new SC in main func, phase= 3
cal LLR value [3, 0, 3], need [2, 0, 1], [2, 1, 1]
recursivelyCalcLLR get LLR value [2, 0, 1], [2, 1, 1]
recursivelyCalcLLR B value get [3, 0, 2]
recursivelyCalcLLR set LLR_value [3, 0, 3]
main func B_value set unfrozen bit,[3, 0, 3], LLR= 4.0
recursivelyUpdateB B_value get [3, 0, 2],[3, 0, 3]
recursivelyUpdateB B value set [2, 0, 1]
recursivelyUpdateB B value get [2, 0, 0],[2, 0, 1]
```

```
recursivelyUpdateB B value set [1, 0, 0]
recursivelyUpdateB B value set [1, 1, 0]
recursivelyUpdateB B value set [2, 1, 1]
recursivelyUpdateB B value get [2, 1, 0],[2, 1, 1]
recursivelyUpdateB B value set [1, 2, 0]
recursivelyUpdateB B value set [1, 3, 0]
new SC in main func, phase= 4
cal LLR value [3, 0, 4], need [2, 0, 2], [2, 1, 2]
cal LLR value [2, 0, 2], need [1, 0, 1], [1, 1, 1]
cal LLR value [1, 0, 1], need [0, 0, 0], [0, 1, 0]
recursivelyCalcLLR get LLR value [0, 0, 0],[0, 1, 0]
recursivelyCalcLLR B value get [1, 0, 0]
recursivelyCalcLLR set LLR value [1, 0, 1]
cal LLR_value [1, 1, 1], need [0, 2, 0], [0, 3, 0]
recursivelyCalcLLR get LLR value [0, 2, 0], [0, 3, 0]
recursivelyCalcLLR B value get [1, 1, 0]
recursivelyCalcLLR set LLR_value [1, 1, 1]
recursivelyCalcLLR get LLR value [1, 0, 1], [1, 1, 1]
recursivelyCalcLLR set LLR value [2, 0, 2]
cal LLR value [2, 1, 2], need [1, 2, 1], [1, 3, 1]
cal LLR value [1, 2, 1], need [0, 4, 0], [0, 5, 0]
recursivelyCalcLLR get LLR value [0, 4, 0], [0, 5, 0]
recursivelyCalcLLR B value get [1, 2, 0]
recursivelyCalcLLR set LLR_value [1, 2, 1]
cal LLR value [1, 3, 1], need [0, 6, 0], [0, 7, 0]
recursivelyCalcLLR get LLR value [0, 6, 0], [0, 7, 0]
recursivelyCalcLLR B value get [1, 3, 0]
recursivelyCalcLLR set LLR value [1, 3, 1]
recursivelyCalcLLR get LLR value [1, 2, 1], [1, 3, 1]
recursivelyCalcLLR set LLR value [2, 1, 2]
recursivelyCalcLLR get LLR_value [2, 0, 2],[2, 1, 2]
recursivelyCalcLLR set LLR value [3, 0, 4]
main func B value set frozen bit, [3, 0, 4]
new SC in main func, phase= 5
cal LLR value [3, 0, 5], need [2, 0, 2], [2, 1, 2]
recursivelyCalcLLR get LLR value [2, 0, 2], [2, 1, 2]
recursivelyCalcLLR B value get [3, 0, 4]
recursivelyCalcLLR set LLR value [3, 0, 5]
main func B value set unfrozen bit, [3, 0, 5], LLR= 4.0
recursivelyUpdateB B value get [3, 0, 4],[3, 0, 5]
recursivelyUpdateB B value set [2, 0, 2]
recursivelyUpdateB B value set [2, 1, 2]
new SC in main func, phase= 6
cal LLR_value [3, 0, 6], need [2, 0, 3], [2, 1, 3]
cal LLR value [2, 0, 3], need [1, 0, 1], [1, 1, 1]
recursivelyCalcLLR get LLR value [1, 0, 1], [1, 1, 1]
recursivelyCalcLLR B value get [2, 0, 2]
recursivelyCalcLLR set LLR value [2, 0, 3]
cal LLR value [2, 1, 3], need [1, 2, 1], [1, 3, 1]
recursivelyCalcLLR get LLR value [1, 2, 1], [1, 3, 1]
recursivelyCalcLLR B value get [2, 1, 2]
recursivelyCalcLLR set LLR value [2, 1, 3]
recursivelyCalcLLR get LLR value [2, 0, 3], [2, 1, 3]
recursivelyCalcLLR set LLR value [3, 0, 6]
main func B value set unfrozen bit, [3, 0, 6], LLR= -4.0
new SC in main func, phase= 7
cal LLR value [3, 0, 7], need [2, 0, 3], [2, 1, 3]
```

```
recursivelyCalcLLR get LLR value [2, 0, 3], [2, 1, 3]
recursivelyCalcLLR B value get [3, 0, 6]
recursivelyCalcLLR set LLR value [3, 0, 7]
main func B value set unfrozen bit, [3, 0, 7], LLR= 8.0
recursively UpdateB B value get [3, 0, 6], [3, 0, 7]
recursivelyUpdateB B value set [2, 0, 3]
recursivelyUpdateB B value get [2, 0, 2], [2, 0, 3]
recursivelyUpdateB B value set [1, 0, 1]
recursivelyUpdateB B value get [1, 0, 0],[1, 0, 1]
recursivelyUpdateB B value set [0, 0, 0]
recursivelyUpdateB B value set [0, 1, 0]
recursivelyUpdateB B value set [1, 1, 1]
recursivelyUpdateB B value get [1, 1, 0],[1, 1, 1]
recursivelyUpdateB B value set [0, 2, 0]
recursivelyUpdateB B_value set [0, 3, 0]
recursivelyUpdateB B value set [2, 1, 3]
recursivelyUpdateB B_value get [2, 1, 2],[2, 1, 3]
recursivelyUpdateB B value set [1, 2, 1]
recursivelyUpdateB B value get [1, 2, 0],[1, 2, 1]
recursivelyUpdateB B value set [0, 4, 0]
recursivelyUpdateB B value set [0, 5, 0]
recursivelyUpdateB B value set [1, 3, 1]
recursivelyUpdateB B value get [1, 3, 0], [1, 3, 1]
recursivelyUpdateB B_value set [0, 6, 0]
recursivelyUpdateB B value set [0, 7, 0]
```