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Minimal realizations of syndrome formers of a special class of 2D codes

Ettore Fornasini, Telma Pinho, Raquel Pinto and Paula Rocha

Abstract In this paper we consider a special class of 2D convolutional codes (composition codes) with encoders $G(d_1, d_2)$ that can be decomposed as the product of two 1D encoders, i.e., $G(d_1, d_2) = G_2(d_2)G_1(d_1)$. In case that $G_1(d_1)$ and $G_2(d_2)$ are prime we provide constructions of syndrome formers of the code, directly from $G_1(d_1)$ and $G_2(d_2)$. Moreover we investigate the minimality of 2D state-space realization by means of a separable Roesser model of syndrome formers of composition codes, where $G_2(d_2)$ is a quasi-systematic encoder.

Key words: encoders and syndrome forms, 2D composition codes, 2D state-space models

1 Introduction and preliminary concepts

Minimal state-space realization of convolutional codes play an important role in efficient code generation and verification. This question has been widely investigated in the literature for 1D codes [3, 6], however it is still open for the 2D case. Preliminary results concerning 2D encoder and code realizations have been presented in [10]. In this paper we study the syndrome former realization problem for a special class of 2D codes.

We consider 2D convolutional codes constituted by sequences indexed by \mathbb{Z}^2 and taking values in \mathbb{F}^n , where \mathbb{F} is a field. Such sequences $\{w(i, j)\}_{(i,j)\in\mathbb{Z}^2}$ can be represented by bilateral formal power series

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$$\hat{w}(d_1, d_2) = \sum_{(i,j) \in \mathbb{Z}^2} w(i,j) d_1^i d_2^j.$$

For $n \in \mathbb{N}$, the set of 2D bilateral formal power series over \mathbb{F}^n is denoted by \mathscr{F}_{2D}^n . This set is a module over the ring $\mathbb{F}[d_1, d_2]$ of 2D polynomials over \mathbb{F} . The set of matrices of size $n \times k$ with elements in $\mathbb{F}[d_1, d_2]$ will be denoted by $\mathbb{F}^{n \times k}[d_1, d_2]$.

Given a subset \mathscr{C} of sequences indexed by \mathbb{Z}^2 , taking values in \mathbb{F}^n , we denote by $\widehat{\mathscr{C}}$ the subset of \mathscr{F}_{2D}^n defined by $\widehat{\mathscr{C}} = \{\widehat{w} \mid w \in \mathscr{C}\}.$

Definition 1. A 2D convolutional code is a subset \mathscr{C} of sequences indexed by \mathbb{Z}^2 such that $\widehat{\mathscr{C}}$ is a submodule of \mathscr{F}_{2D}^n which coincides with the image of \mathscr{F}_{2D}^k (for some $k \in \mathbb{N}$) by a polynomial matrix $G(d_1, d_2)$, i.e.,

$$\hat{\mathscr{C}} = \operatorname{Im} G(d_1, d_2) = \{ \hat{w}(d_1, d_2) \mid \hat{w}(d_1, d_2) = G(d_1, d_2) \hat{u}(d_1, d_2), \ \hat{u}(d_1, d_2) \in \mathscr{F}_{2D}^k \}.$$

It follows, as a consequence of [Theorem 2.2, [8]], that a 2D convolutional code can always be given as the image of a full column rank polynomial matrix $G(d_1, d_2) \in \mathbb{F}^{n \times k}[d_1, d_2]$. Such polynomial matrix is called an *encoder* of \mathscr{C} . A code with encoders of size $n \times k$ is said to have rate k/n.

A 2D convolutional code \mathscr{C} of rate k/n can also be represented as the kernel of a $(n-k) \times n$ left-factor prime polynomial matrix (i.e. a matrix without left nonunimodular factors), as follows from [Theorem 1, [12]].

Definition 2. Let \mathscr{C} be a 2D convolutional code of rate k/n. A left-factor prime matrix $H(d_1, d_2) \in \mathbb{F}^{(n-k) \times n}[d_1, d_2]$ such that

$$\hat{\mathscr{C}} = \ker H(d_1, d_2),$$

is called a syndrome former of \mathscr{C} .

Note that *w* is in \mathscr{C} if and only if $H(d_1, d_2)\hat{w} = 0$.

Remark 1. This means that whereas codewords are output sequences of an encoder, they constitute the *output-nulling inputs* of a syndrome former of the code.

Given an encoder of \mathscr{C} , a syndrome former of \mathscr{C} can be obtained by constructing a $(n-k) \times n$ left-factor prime matrix $H(d_1, d_2)$ such that $H(d_1, d_2)G(d_1, d_2) = 0$. Moreover all syndrome formers of \mathscr{C} are of the form $U(d_1, d_2)H(d_1, d_2)$, where $U(d_1, d_2) \in \mathbb{F}^{(n-k) \times (n-k)}[d_1, d_2]$ is unimodular.

2 Composition codes and their syndrome formers

In this section we consider a particular class of 2D convolutional codes generated by 2D polynomial encoders that are obtained from the composition of two 1D polynomial encoders. Such encoders/codes will be called *composition encoders/codes*. Our goal is to characterize the syndrome formers of such codes. The formal definition of composition encoders is as follows.

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Definition 3. An encoder $G(d_1, d_2) \in \mathbb{F}^{n \times k}[d_1, d_2]$ such that

$$G(d_1, d_2) = G_2(d_2)G_1(d_1), \tag{1}$$

where $G_1(d_1) \in \mathbb{F}^{p \times k}[d_1]$ and $G_2(d_2) \in \mathbb{F}^{n \times p}[d_2]$ are 1D encoders, is said to be a composition encoder.

Note that the requirement that $G_i(d_i)$, for i = 1, 2, is a 1D encoder is equivalent to the condition that $G_i(d_i)$ is a full column rank matrix. Moreover this requirement clearly implies that $G_2(d_2)G_1(d_1)$ has full column rank, hence the composition $G_2(d_2)G_1(d_2)$ of two 1D encoders is indeed a 2D encoder.

The 2D composition code \mathscr{C} associated with $G(d_1, d_2)$ is such that

$$\mathscr{C} = \operatorname{Im} G(d_1, d_2) = G_2(d_2)(\operatorname{Im} G_1(d_1))$$

= $\{\hat{w}(d_1, d_2) \mid \exists \ \hat{z}(d_1, d_2) \in \operatorname{Im} (G_1(d_1)) \text{ such that } \hat{w}(d_1, d_2) = G_2(d_2)\hat{z}(d_1, d_2)\}.$

We shall concentrate on a particular class of composition codes, namely on those that admit a composition encoder $G(d_1, d_2)$ as in (1) with $G_2(d_2)$ and $G_1(d_1)$ both right-prime encoders (i.e., they admit a left polynomial inverse), and derive a procedure for constructing the corresponding syndrome formers based on 1D polynomial methods. This procedure will be useful later on for the study of state-space realizations.

It is important to observe that as $G_2(d_2)$ and $G_1(d_1)$ are both assumed to have polynomial inverses, then $G(d_1, d_2)$ also has a 2D polynomial left inverse (given by the product of the left inverses of $G_1(d_1)$ and $G_2(d_2)$) and therefore $G(d_1, d_2)$ is right-zero prime¹(*rZP*). Recall that if a 2D convolutional code admits a rightzero prime encoder then all its *rFP* encoders are *rZP*. Moreover, the corresponding syndrome formers are also *lZP* (see Prop. A.4 of [4]).

Since $G_2(d_2) \in \mathbb{F}^{n \times p}[d_2]$ is right-prime there exists a unimodular matrix $U(d_2) \in \mathbb{F}^{n \times n}[d_2]$ such that

$$U(d_2)G_2(d_2) = \begin{bmatrix} I_p \\ 0 \end{bmatrix}.$$

We shall partition $U(d_2)$ as

$$U(d_2) = \begin{bmatrix} L_2(d_2) \\ H_2(d_2) \end{bmatrix},\tag{2}$$

where $L_2(d_2)$ has p rows.

¹ A polynomial matrix $G(d_1, d_2)$ is right/left-zero prime (rZP/lZP) if the ideal generated by the maximal order minors of $G(d_1, d_2)$ is the ring $\mathbb{F}[d_1, d_2]$ itself, or equivalently if and only if admits a polynomial left/right inverse. Moreover right/left-zero primeness implies right/left-factor primeness(rFP/lFP).

It is easy to check that, if $H_1(d_1) \in \mathbb{F}^{(p-k) \times p}[d_1]$ is a syndrome former of the 1D convolutional code Im $G_1(d_1)$ (i.e., $H_1(d_1)$ is left-prime and is such that $H_1(d_1)G_1(d_1) = 0$), then

$$\begin{bmatrix} H_1(d_1)L_2(d_2) \\ H_2(d_2) \end{bmatrix} G_2(d_2)G_1(d_1) = 0.$$
(3)

This reasoning leads to the following proposition.

Proposition 1. Let \mathscr{C} , with $\widehat{\mathscr{C}} = \operatorname{Im} G(d_1, d_2)$, be a composition code with $G(d_1, d_2) \in \mathbb{F}^{n \times k}[d_1, d_2]$ such that $G(d_1, d_2) = G_2(d_2)G_1(d_1)$, where $G_2(d_2) \in \mathbb{F}^{n \times p}[d_2]$ and $G_1(d_1) \in \mathbb{F}^{p \times k}[d_1]$ are both right-prime 1D encoders. Let further $H_1(d_1) \in \mathbb{F}^{(p-k) \times p}[d_1]$

be a 1D syndrome former of Im $G_1(d_1)$ and define $\begin{bmatrix} L_2(d_2) \\ H_2(d_2) \end{bmatrix}$ as in (2). Then $H(d_1, d_2) = \begin{bmatrix} H_1(d_1)L_2(d_2) \\ H_2(d_2) \end{bmatrix}$

is a syndrome former of C.

Proof. Since (3) is obviously satisfied and $H(d_1, d_2)$ has size $(n - k) \times n$, we only have to prove that $H(d_1, d_2)$ is left-factor prime. Note that as $H_1(d_1)$ is left-prime, there exists $R_1(d_1) \in \mathbb{F}^{p \times (p-k)}[d_1]$ such that $H_1(d_1)R_1(d_1) = I_{p-k}$. Now it is easy to see that

$$R(d_1, d_2) = U(d_2)^{-1} \begin{bmatrix} R_1(d_1) & 0 \\ 0 & I_{n-p} \end{bmatrix}$$

constitutes a polynomial right inverse of $H(d_1, d_2)$. Consequently $H(d_1, d_2)$ is left-zero prime which implies that it is left-factor prime as we wish to prove.

3 State-space realizations of encoders and syndrome formers

In this section we recall some fundamental concepts concerning 1D and 2D statespace realizations of transfer functions, having in mind the realizations of encoders and syndrome formers.

A 1D state-space model

$$\begin{cases} x(t+1) = Ax(t) + Bu(t) \\ w(t) = Cx(t) + Du(t) \end{cases}$$

denoted by $\Sigma^{1D}(A, B, C, D)$ is a realization of dimension *m* of $M(d) \in \mathbb{F}^{s \times r}[d]$ if $M(d) = C(I_m - Ad)^{-1}Bd + D$. Moreover, it is a minimal realization if the size of the state *x* is minimal among all the realizations of M(d). The dimension of a minimal realization of M(d) is called the *McMillan degree* of M(d) and is given by $\mu(M) =$ int deg $\begin{bmatrix} M(d) \\ I_r \end{bmatrix}$, where int deg M(d) is the maximum degree of its *r*- order minors [11].

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As for the 2D case, there exist several types of state-space models [1, 2]. In our study we shall consider *separable Roesser models* [13]. These models have the following form:

$$\begin{cases} x_1(i+1,j) = A_{11}x_1(i,j) + A_{12}x_2(i,j) + B_1u(i,j) \\ x_2(i,j+1) = A_{21}x_1(i,j) + A_{22}x_2(i,j) + B_2u(i,j) \\ y(i,j) = C_1x_1(i,j) + C_2x_2(i,j) + Du(i,j) \end{cases}$$
(4)

where A_{11} , A_{12} , A_{21} , A_{22} , B_1 , B_2 , C_1 , C_2 and D are matrices over \mathbb{F} , with suitable dimensions, u is the input-variable, y is the output-variable, and $x = (x_1, x_2)$ is the state variable where x_1 and x_2 are the horizontal and the vertical state-variables, respectively. The dimension of the system described by (4) is given by the size of x. Moreover either $A_{12} = 0$ or $A_{21} = 0$. The separable Roesser model corresponding to equations (4) with $A_{12} = 0$ is denoted by $\Sigma_{12}^{2D}(A_{11}, A_{21}, A_{22}, B_1, B_2, C_1, C_2, D)$, whereas the one with $A_{21} = 0$ is denoted by $\Sigma_{21}^{2D}(A_{11}, A_{12}, A_{22}, B_1, B_2, C_1, C_2, D)$.

The remaining considerations of this section can be stated for both cases when $A_{12} = 0$ or $A_{21} = 0$, however we just consider $A_{12} = 0$; the case $A_{21} = 0$ is completely analogous, with the obvious adaptations.

Definition 4. $\Sigma_{12}^{2D}(A_{11}, A_{21}, A_{22}, B_1, B_2, C_1, C_2, D)$ is said to be a realization of the 2D polynomial matrix $M(d_1, d_2) \in \mathbb{F}^{s \times r}[d_1, d_2]$ if

$$M(d_1, d_2) = \begin{bmatrix} C_1 & C_2 \end{bmatrix} \begin{bmatrix} I - A_{11}d_1 & 0 \\ -A_{21}d_2 & I - A_{22}d_2 \end{bmatrix}^{-1} \left(\begin{bmatrix} B_1 \\ 0 \end{bmatrix} d_1 + \begin{bmatrix} 0 \\ B_2 \end{bmatrix} d_2 \right) + D.$$

As it is well known different realizations of $M(d_1, d_2)$ may not have the same dimension. For the sake of efficient implementation, we are interested in studying the realizations of $M(d_1, d_2)$ with minimal dimension. Such realizations are called *minimal*. The *Roesser McMillan degree* of $M(d_1, d_2)$, $\mu_R(M)$, is defined as the dimension of a minimal realization of $M(d_1, d_2)$.

Note that every polynomial matrix $M(d_1, d_2) \in \mathbb{F}^{s \times r}[d_1, d_2]$ can be factorized as follows:

$$M(d_1, d_2) = M_2(d_2)M_1(d_1),$$
(5)

where $M_2(d_2) = \left[I_n \mid \cdots \mid I_n d_2^{\ell_2}\right] N_2 \in \mathbb{F}^{s \times p}[d_2]$ and $M_1(d_1) = N_1 \left[I_k \ldots I_k d_1^{\ell_1}\right]^T \in \mathbb{F}^{p \times r}[d_1]$, with N_2 and N_1 constant matrices.

If N_2 has full column rank and N_1 has full row rank we say that (5) is an *op*timal decomposition of $M(d_1,d_2)$. As shown in [7, 9], if (5) is an optimal decomposition, given a minimal realization $\Sigma^{1D}(A_{11}, B_1, \bar{C}_1, \bar{D}_1)$ of $M_1(d_1)$ (of dimension $\mu(M_1)$) and a minimal realization $\Sigma^{1D}(A_{22}, \bar{B}_2, C_2, \bar{D}_2)$ of $M_2(d_2)$ (of dimension $\mu(M_2)$) then the 2D system $\Sigma_{12}^{2D}(A_{11}, A_{21}, A_{22}, B_1, B_2, C_1, C_2, D)$, where $A_{21} = \bar{B}_2 \bar{C}_1$, $B_2 = \bar{B}_2 \bar{D}_1$, $C_1 = \bar{D}_2 \bar{C}_1$ and $D = \bar{D}_2 \bar{D}_1$, is a minimal realization of $M(d_1, d_2)$ of dimension $\mu_R(M) = \mu(M_1) + \mu(M_2)$. A similar reasoning can be made if we factorize $M(d_1, d_2) = \bar{M}_1(d_1)\bar{M}_2(d_2)$, where $\bar{M}_1(d_1) \in \mathbb{F}^{s \times \bar{P}}[d_1]$ and $\bar{M}_2(d_2) \in \mathbb{F}^{\bar{P} \times r}[d_2]$, for some $p \in \mathbb{N}$, to obtain a minimal realization $\Sigma_{21}^{2D}(A_{11}, A_{12}, A_{22}, B_1, B_2, C_1, C_2, D)$ of $M(d_1, d_2)$.

Note that, since both encoders and syndrome formers are (2D) polynomial matrices, they both can be realized by means of (4). However, when considering realizations of an encoder $G(d_1, d_2) = G_2(d_2)G_1(d_1)$ we shall take $A_{12} = 0$ and y = w; on the other hand when considering realizations of a syndrome former $H(d_1, d_2) = H_1(d_1)H_2(d_2)$, we shall take $A_{21} = 0$, u = w and y = 0, (cf. Remark 1).

4 Minimal syndrome former realizations of a special class of composition codes

In the sequel the composition codes \mathscr{C} to be considered are such that $\hat{\mathscr{C}} = \text{Im } G(d_1, d_2)$, where the encoder $G(d_1, d_2)$ is as in (1) and satisfies the following properties:

- (P1) $-G_1(d_1)$ is a minimal 1D polynomial encoder² (for instance, prime and column reduced ³), with full row rank over \mathbb{F} ;
- (P2) $-G_2(d_2)$ is a quasi-systematic 1D polynomial encoder, i.e., there exists an invertible matrix $T \in \mathbb{F}^{n \times n}$ such that $TG_2(d_2) = \begin{bmatrix} I_p \\ \bar{G}_2(d_2) \end{bmatrix}$, $\bar{G}_2(d_2) \in \mathbb{F}^{(n-p) \times p}[d_2]$.

Note that both $G_1(d_1)$ and $G_2(d_2)$ are minimal encoders of the corresponding 1D convolutional codes. Moreover, $G(d_1, d_2)$ is a *minimal encoder* of \mathscr{C} , i.e., it has minimal Roesser McMillan degree among all encoders of \mathscr{C} , [10, 9], in the sequel we denote this minimal degree by $\mu(\mathscr{C})$.

In what follows, we shall derive a syndrome former construction for the code \mathscr{C} , based on Proposition 1. Define

$$H_1(d_1) = \begin{bmatrix} L_1(d_1) & 0\\ 0 & I \end{bmatrix} \in \mathbb{F}^{(n-k) \times n}[d_1] \text{ and } H_2(d_2) = \begin{bmatrix} I & 0\\ -\bar{G}_2(d_2) & I \end{bmatrix} T \in \mathbb{F}^{n \times n}[d_2],$$

where $L_1(d_1) \in \mathbb{F}^{(p-k) \times p}[d_1]$ and $\left[-\overline{G}_2(d_2) I\right] \in \mathbb{F}^{(n-p) \times n}[d_2]$ are 1D syndrome formers of the 1D convolutional codes Im $G_1(d_1)$ and Im $G_2(d_2)$, respectively. Let

$$H(d_1, d_2) = H_1(d_1)H_2(d_2)$$
(6)

$$= \begin{bmatrix} L_1(d_1) & 0\\ -\bar{G}_2(d_2) & I \end{bmatrix} T.$$
⁽⁷⁾

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 $^{^2}$ A minimal 1D encoder is an encoder with minimal McMillan degree among all the encoders of the same code.

³ A full row (column) rank matrix $M(d) \in \mathbb{F}^{n \times k}[d]$ is said to be row (column) reduced if int degM(d) is equal to the sum of the row (column) degrees of M(d); in that case $\mu(M) =$ int degM(d).

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It is easy to see that $H(d_1, d_2)$ is a syndrome former of \mathscr{C} . It can be shown that it is possible to assume, without loss of generality, that (6) is an optimal decomposition of $H(d_1, d_2)$. Then

$$\mu_R(H) = \mu(H_1) + \mu(H_2) = \mu(L_1) + \mu(-\bar{G}_2) = \mu(L_1) + \mu(G_2).$$

Note that since $L_1(d_1)$ is a syndrome former of the 1D convolutional code Im $G_1(d_1)$ and $G_1(d_1)$ is a minimal encoder of Im $G_1(d_1)$, it follows that $\mu(L_1) \ge \mu(G_1)$, [5, 6], and hence $\mu_R(H) \ge \mu_R(G)$. Moreover, $\mu(L_1) = \mu(G_1)$ if $L_1(d_1)$ has minimal McMillan degree among all syndrome formers of Im $G_1(d_1)$, for instance, if $L_1(d_1)$ is row reduced, [5, 6], (which can always be assumed without loss of generality, since otherwise pre-multiplication of $H(d_1, d_2)$ by a suitable unimodular matrix $U(d_1)$ yields another syndrome former for \mathscr{C} , with $L_1(d_1)$ row reduced); in this case $\mu_R(H) = \mu_R(G)$.

Thus given the encoder $G(d_1, d_2)$ we have constructed a syndrome former $H(d_1, d_2)$, as in Proposition 1. Moreover, based on the special properties of $G(d_1, d_2)$, we have shown that the minimal realizations of $H(d_1, d_2)$ have dimension $\mu_R(H) = \mu_R(G) = \mu(\mathcal{C})$ (recall that $G(d_1, d_2)$ is a minimal encoder).

We next show that $\mu_R(H)$ is minimal among the McMillan degree of all syndrome formers of \mathscr{C} with similar structure as $H(d_1, d_2)$.

Theorem 1. Let \mathscr{C} , with $\mathscr{C} = \text{Im } G(d_1, d_2)$, be a 2D composition code, and assume that $G(d_1, d_2) = G_2(d_2)G_1(d_1)$, where $G_1(d_1)$ and $G_2(d_2)$ satisfy properties (P1) and (P2), respectively. Let further $\tilde{H}(d_1, d_2) = \begin{bmatrix} X_1(d_1) & 0 \\ X_{21}(d_2) & X_{22}(d_2) \end{bmatrix} T$ be a syndrome former of \mathscr{C} , where $X_1(d_1) \in \mathbb{F}^{(p-k) \times p}[d_1]$, $X_{21}(d_2) \in \mathbb{F}^{(n-p) \times p}[d_2]$, $X_{22}(d_2) \in \mathbb{F}^{(n-p) \times (n-p)}[d_2]$ and $T \in \mathbb{F}^{n \times n}$ as in (P2). Then $\mu_R(\tilde{H}) \ge \mu(\mathscr{C})$.

Proof. Note that $\tilde{H}(d_1, d_2)G(d_1, d_2) = 0$ if and only if

$$\begin{cases} X_1(d_1)G_1(d_1) = 0\\ (X_{21}(d_2) + X_{22}(d_2)\bar{G}_2(d_2))G_1(d_1) = 0. \end{cases}$$
(8)

Then $X_1(d_1)$ must be a syndrome former of the 1D convolutional code Im $G_1(d_1)$ and consequently $\mu(X_1) \ge \mu(G_1)$ [6]. On the other hand we have that $X_{21}(d_2) + X_{22}(d_2)\bar{G}_2(d_2) = 0$, that is equivalent to $[X_{21}(d_2) X_{22}(d_2)] \begin{bmatrix} I \\ \bar{G}_2(d_2) \end{bmatrix} = 0$, and therefore $[X_{21}(d_2) X_{22}(d_2)]$ is a syndrome former of the 1D convolutional code $\begin{bmatrix} I \\ \bar{G}_2(d_2) \end{bmatrix}$. Hence $\mu([X_{21} X_{22}]) \ge \mu(\begin{bmatrix} I \\ \bar{G}_2 \end{bmatrix})$, since $\begin{bmatrix} I \\ \bar{G}_2(d_2) \end{bmatrix}$ is a minimal encoder of Im $\begin{bmatrix} I \\ \bar{G}_2(d_2) \end{bmatrix}$. Now, since $\tilde{H}(d_1, d_2) = \begin{bmatrix} X_1(d_1) & 0 \\ 0 & I \end{bmatrix} \begin{bmatrix} I & 0 \\ X_{21}(d_2) & X_{22}(d_2) \end{bmatrix} T$, it is not difficult to see that Ettore Fornasini, Telma Pinho, Raquel Pinto and Paula Rocha

$$\mu_{R}(\tilde{H}) = \mu(X_{1}) + \mu\left(\left[X_{21} \ X_{22}\right]\right) \ge \mu(G_{1}) + \mu\left(\left[\begin{matrix}I\\\bar{G}_{2}\end{matrix}\right]\right)$$
$$= \mu(G_{1}) + \mu\left(T^{-1}\left[\begin{matrix}I\\\bar{G}_{2}\end{matrix}\right]\right) = \mu_{R}(G) = \mu(\mathscr{C})$$

Corollary 1. Using the notation and conditions of Theorem 1, the syndrome former of \mathscr{C} given by (7) has minimal Roesser McMillan degree among all syndrome formers of the same structure.

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