

# Properties of Codes in Sum-Rank Metric and Codes over Rings

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Preliminaries of Error Correcting Codes

Overview and Motivation

The Sum-Rank Metric

Spheres and Balls in Sum-Rank Metric

Bounds on Codes in Sum-Rank Metric

Covering Problem in Sum-Rank Metric

Outlook: Codes over Rings



Figure: Multipath in mobile communications [BB10]



Figure: Multipath in mobile communications [BB10]



Figure: Multipath in mobile communications [BB10]













Channel Book English Channel Enguish Changel

Flannel Boor





Channel Book

Flannel not detectable Boor detectable but not correctable Boot? Boot? boot? Boot? Boot? Flannel not detectable English Channel English Changel correctable



Channel<br/>BookFlannel<br/>Boornot detectable<br/>detectable but not correctableBook?<br/>Boot?English ChannelEnguish Changel<br/>correctablecorrectableBoot?<br/>poor?

### Idea of Channel Coding

k information symbols, n-k redundancy symbols to get codewords of length n





k info symbols n - k redundancy symbols

#### Blockcode $\mathcal{C}(n, M, d)$

Let  $\Sigma$  be a set,  $n, d \in \mathbb{Z}_+$  with  $d \leq n$  and  $d: \Sigma^n \times \Sigma^n \to \mathbb{Z}_+$  a metric. We define a blockcode C of length n, cardinality M and minimum distance d as

$$\mathcal{C} \coloneqq \left\{ \boldsymbol{c}^{(1)}, \dots, \boldsymbol{c}^{(M)} \in \Sigma^n \mid \min_{\substack{\boldsymbol{c}^{(i)} \neq \boldsymbol{c}^{(j)} \\ i, j \in \{1, \dots, M\}}} \{ \mathrm{d}(\boldsymbol{c}^{(i)}, \boldsymbol{c}^{(j)}) \} = d \right\}.$$

Its elements  $c = (c_0, \ldots, c_n) \in C$  are called *codewords* and  $\Sigma$  is called the *code alphabet*.

## Commonly used setting:

- employ the Hamming metric  $d_H(c, c') = \sum_{i=0}^n \mathbb{1}_{c_i \neq c'_i}$ to measure the distance between two codewords c, c'.
- choose the code alphabet  $\Sigma = \mathbb{F}_q$ 
  - define C as a k-dimensional subspace of  $\mathbb{F}_q^n$

 $\Rightarrow \text{ linear Blockcode } \mathcal{C}(n,k,d)$ over  $\mathbb{F}_q$  in the Hamming metric with  $k = \dim(\mathcal{C})$  and  $|\mathcal{C}| = q^k$ .

#### Aim of Channel Coding

large minimum distance  $\Rightarrow$  good error correcting properties

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 choose a finite ring *R* as code alphabet

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## • $\mathbb{F}_{q^m}$ extension field of $\mathbb{F}_q$

- Inear code  $\mathcal{C} \subset \mathbb{F}_{a^m}^n$  subspace of dimension k
- split codelength  $n = \eta \cdot \ell$  into  $\ell$  blocks, each of size  $\eta$

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$$\begin{aligned} \boldsymbol{c} &= [\underbrace{\boldsymbol{c}_1}_{\in \mathbb{F}_{q^m}^n} | \quad \boldsymbol{c}_2 \quad | \quad \dots \quad | \quad \boldsymbol{c}_{\ell} \quad ] \in \mathbb{F}_{q^m}^n \\ \boldsymbol{C} &= [\underbrace{\boldsymbol{C}_1}_{\in \mathbb{F}_{q^m}^{m \times \eta}} | \quad \boldsymbol{C}_2 \quad | \quad \dots \quad | \quad \boldsymbol{C}_{\ell} \quad ] \in \mathbb{F}_{q^m}^{m \times n} \\ \ell \text{-sum-rank weight/distance:} \\ & \text{wt}_{SR,\ell}(\boldsymbol{c}) \coloneqq \sum_{i=1}^{\ell} \text{rk}_{\mathbb{F}_q}(\boldsymbol{C}_i) \leq \ell \cdot \underbrace{\boldsymbol{\mu}}_{\coloneqq \min\{m,\eta\}} \\ & \text{d}_{SR,\ell}(\boldsymbol{c},\boldsymbol{c}') \coloneqq \text{wt}_{SR,\ell}(\boldsymbol{c}-\boldsymbol{c}') \end{aligned}$$

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Proof: Assume w.l.o.g.  $n \leq m$  and let  $\operatorname{wt}_{SR,\ell}(x) = t = t_1 + \ldots + t_\ell$  (i.e., each  $x_i$  has  $t_i \mathbb{F}_q$ -linearly independent columns for  $i \in \{1, \ldots, \ell\}$ )  $\Rightarrow x$  has at most  $t \mathbb{F}_q$ -linearly independent columns in the union of all blocks, which corresponds to the rank weight of x.

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## Spheres and Balls in Sum-Rank Metric

Let  $\tau \in \mathbb{Z}_{\geq 0}$  with  $0 \leq \tau \leq \ell \cdot \mu$  and  $x \in \mathbb{F}_{q^m}^n$ . A sphere in sum-rank metric with radius  $\tau$  and center x is defined as

$$\mathcal{S}_{\ell}(\boldsymbol{x}, \tau) \coloneqq \{ \boldsymbol{y} \in \mathbb{F}_{q^m}^n \mid \mathrm{d}_{SR,\ell}(\boldsymbol{x}, \boldsymbol{y}) = \tau \}.$$

Analogously, we define a ball of sum-rank radius au with center x by

 $\mathcal{B}_{\ell}(\boldsymbol{x},\tau) \coloneqq \bigcup_{i=0}^{\tau} \mathcal{S}_{\ell}(\boldsymbol{x},i).$ 

We also define the following cardinalities:

$$\operatorname{Vol}_{\mathcal{S}_\ell}( au)\coloneqq |\{oldsymbol{y}\in\mathbb{F}_{q^m}^n\mid \operatorname{wt}_{SR,\ell}(oldsymbol{y})= au\}|,$$

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 $\operatorname{Vol}_{\mathcal{S}_{\ell}}(t)$  can be computed with complexity  $\tilde{\mathcal{O}}(\ell^2 t^3 + \ell d^t (m + \eta) \log(q))$  using the efficient algorithm for computing  $\operatorname{Vol}_{\mathcal{S}_{\ell}}$  in [PRR22, Theorem 6 and Algorithm 1].



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$$q^{(m+\eta-\frac{t}{\ell})t-\frac{\ell}{4}} \cdot \gamma_q^{-\ell} \stackrel{[\mathsf{OPB21, Lemma 2}]}{\leq} \operatorname{Vol}_{\mathcal{B}_{\ell}}(\rho) \stackrel{\text{if } \rho>1}{\leq} \rho \operatorname{Vol}_{\mathcal{S}_{\ell}}(\rho) \stackrel{[\mathsf{PRR20, Theorem 5}]}{\leq} \rho \binom{\ell+\rho-1}{\ell-1} \gamma_q^{\ell} q^{\rho(m+\eta-\frac{\rho}{\ell})}.$$

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- simplified Gilbert–Varshamov like bound for the sum-rank metric
- simplified versions of upper and lower bounds on the covering problem in the sum-rank metric

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 $\operatorname{Vol}_{\mathcal{I}_{\ell}}(\tau_{1},\tau_{2},\delta) \coloneqq |\{\boldsymbol{y} \in \mathbb{F}_{q^{m}}^{n} | \operatorname{wt}_{SR,\ell}(\boldsymbol{y}) \leq \tau_{1} \wedge \operatorname{d}_{SR,\ell}(\boldsymbol{y},\boldsymbol{d}) \leq \tau_{2}\}|,$ 

where  $d \in \mathbb{F}_{q^m}^n$  arbitrary but fix with  $\operatorname{wt}_{SR,\ell}(d) = \delta$ . If  $\delta > \tau_1 + \tau_2$ , then  $\operatorname{Vol}_{\mathcal{I}_\ell}(\tau_1, \tau_2, \delta) = 0$ .



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#### New Result [OLWZ23]

Let u, s, t be positive integers such that  $u + s \ge t$ . The number of vectors  $v \in \mathbb{F}_{q^m}^n$  lying in the intersection of two balls with sum-rank radii u and s and sum-rank distance t between their centers is



### New Result [OLWZ23]

Let 
$$m{x},m{y}\in\mathbb{F}_{q^m}^n$$
 such that  $\mathrm{d}_{SR,\ell}(m{x},m{y})=m{\delta}.$  Then

$$\begin{aligned} \operatorname{Vol}_{\mathcal{I}_{\ell}}(\delta, 1, \delta) &= |\mathcal{B}_{\ell}(\boldsymbol{x}, \delta) \cap \mathcal{B}_{\ell}(\boldsymbol{y}, 1)| \\ &= 1 + \frac{(q^m - 1)(q^n - 1)}{q - 1} \\ &- \sum_{\substack{\boldsymbol{\delta} = [\delta_1, \dots, \delta_\ell] \\ \in \tau_{\delta, \ell, \mu}}} \sum_{i=1}^{\ell} \frac{(q^\eta - q^{\delta_i}) \cdot (q^m - q^{\delta_i})}{q - 1} \,. \end{aligned}$$

$$\tau_1 = 1 \qquad \tau_2 = \delta$$

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for  $0 \leq \gamma \leq \delta$ .



# Let $\mathcal{C}$ be a linear [n, k, d] sum-rank metric code. Then it holds

$$d \le \mu \ell - \frac{\mu}{\eta} k + 1$$

#### MSRD codes

 ${\mathcal C}$  is called *maximum sum-rank-distance* (MSRD), if the Singleton like Bound is fulfilled with equality.

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## Sphere-Packing Bound [BGLR21, Theorem III.6]

For a linear [n,k,d] sum-rank metric code  $\mathcal{C}$  , it holds that

$$q^{mk} \cdot \operatorname{Vol}_{\mathcal{B}_{\ell}}\left(\left\lfloor \frac{d-1}{2} \right\rfloor\right) \leq q^{mn}.$$

simplified Sphere-Packing Bound - New Result

For a linear [n, k, d] sum-rank metric code C, the parameters fulfill

$$q^{mk} \cdot q^{(m+\eta-\frac{1}{\ell}\lfloor\frac{d-1}{2}\rfloor)\lfloor\frac{d-1}{2}\rfloor-\frac{\ell}{4}} \cdot \gamma_q^{-\ell} \le q^{mn}$$

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### Asymptotic Sphere-Packing Bound - New Result [OPB21]

Let C be a linear [n, k, d] sum-rank metric code and  $\delta := \frac{d}{n}$  the relative minimum distance. Then the code rate  $\mathcal{R} = \frac{k}{n}$  is upper bounded by

$$\mathcal{R} < \delta^2 \frac{\eta}{4m} - \delta \left( \frac{1}{2} + \frac{\eta}{m} \left( \frac{1}{2} + \frac{1}{n} \right) \right) + \frac{1}{n} \left( 1 + \frac{\eta}{m} + \frac{\eta}{nm} \right) + \frac{1}{\eta m} \left( \frac{1}{4} + \log_q(\gamma_q) \right) + 1.$$

Let  $\xi > 0$  be fixed.

 $\begin{array}{ll} \blacksquare \mbox{ For } m = \eta \xi \to \infty \mbox{ we get } \\ \mathcal{R} \sim \delta^2 \frac{1}{4\xi} - \frac{\delta}{2} \Big( 1 + \frac{1}{\xi} \Big) + 1. \end{array} \qquad \qquad \blacksquare \mbox{ For } \ell \to \infty \mbox{ one get } \\ \mathcal{R} \sim \delta^2 \frac{\eta}{4m} - \frac{\delta}{2} \Big( 1 + \frac{\eta}{m} \Big) + \frac{1}{\eta m} \Big( \frac{1}{4} + \log_q(\gamma_q) \Big) + 1. \end{array}$ 

### Asymptotic Sphere-Packing Bound - New Result [OPB21]

Let C be a linear [n, k, d] sum-rank metric code and  $\delta := \frac{d}{n}$  the relative minimum distance. Then the code rate  $\mathcal{R} = \frac{k}{n}$  is upper bounded by

$$\mathcal{R} < \delta^2 \frac{\eta}{4m} - \delta \left( \frac{1}{2} + \frac{\eta}{m} \left( \frac{1}{2} + \frac{1}{n} \right) \right) + \frac{1}{n} \left( 1 + \frac{\eta}{m} + \frac{\eta}{nm} \right)$$
$$+ \frac{1}{\eta m} \left( \frac{1}{4} + \log_q(\gamma_q) \right) + 1.$$

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# Bounds on Codes in Sum-Rank Metric Gilbert-Varshamov Bound

## Gilbert-Varshamov Bound [BGLR21, Theorem III.11]]

Let  $\mathbb{F}_{q^m}$  be a finite field,  $\ell, n, k, d \leq \mu \ell$  be positive integers that satisfy

```
q^{m(k-1)} \cdot \operatorname{Vol}_{\mathcal{B}_{\ell}}(d-1) < q^{mn}.
```

Then, there is a linear code of length n, dimension k, and minimum  $\ell$ -sum-rank distance at least d.

Simplified Gilbert–Varshamov Bound - New Result

Let  $\mathbb{F}_{q^m}$  be a finite field,  $\ell, n, k, d$  be positive integers with  $2 < d \le \mu \ell$  that satisfy

$$q^{m(k-1)} \cdot (d-1) \binom{\ell+d-2}{\ell-1} \gamma_q^{\ell} q^{(d-1)(m+\eta-\frac{d-1}{\ell})} < q^{mn}.$$

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### Asymptotic Gilbert-Varshamov Bound - New Result [OPB21]

For a finite field  $\mathbb{F}_{q^m}$  and positive integers  $\ell, n, \mathcal{R}n, d$  with  $\delta \coloneqq \frac{d}{n}$  and  $2 < d \le \mu \ell$  satisfying

$$\mathcal{R} \leq \delta^2 \frac{\eta}{m} - \delta \left( 1 + \frac{\eta}{m} + \frac{2\eta}{nm} \right) + 1 + \frac{1}{n} + \frac{\eta}{nm} + \frac{\eta}{n^2m} - \frac{\sum_{i=1}^{\delta n-1} \log_q \left( 1 + \frac{\ell-1}{i} \right) + \log_q (\delta n - 1)}{mn} - \frac{\log_q (\gamma_q)}{\eta m}$$

there exists a linear  $\ell$ -sum-rank metric code of rate  $\mathcal{R}$  and relative minimum sum-rank distance at least  $\delta$ . Let  $\xi$  be a constant. For  $m = \eta \xi \to \infty$  and  $m \in \omega(\log_q(\ell))$ , we have

$$\mathcal{R} \sim \delta^2 \frac{1}{\xi} - \delta \left(1 + \frac{1}{\xi}\right) + 1.$$

# Bounds on Codes in Sum-Rank Metric Numerical Comparisons: Bounded Blocksize



# Bounds on codes in sum-rank metric Numerical Comparisons: Growing Blocksize



## **Covering Problem**

Find the minimum number of sum-rank balls  $\mathcal{B}_{\ell}(\boldsymbol{x},\rho)$  of radius  $\rho$  (with  $\boldsymbol{x} \in \mathbb{F}_{q^m}^n$ ) that cover the space  $\mathbb{F}_{q^m}^n$  entirely. We denote this cardinality by  $\mathcal{K}_{SR,\ell}(\mathbb{F}_{q^m}^n,\rho)$ .



# **Covering Problem**

### Definition (Covering Radius)

Let C be a linear [n, k, d] sum-rank metric code over  $\mathbb{F}_{q^m}$ . The covering radius of C is the smallest integer  $\rho_{SR,\ell}$  such that every vector  $\boldsymbol{x} \in \mathbb{F}_{q^m}^n$  has at most sum-rank distance  $\rho_{SR,\ell}$  to some codeword  $\boldsymbol{c} \in C$  i.e.,  $\rho_{SR,\ell} = \max_{\boldsymbol{x} \in \mathbb{F}_{a^m}^n} \{ \mathrm{d}_{SR,\ell}(\boldsymbol{x}, C) \}.$ 



Reformulation of the Covering Problem

Find the minimum cardinality of a code  $\mathcal{C} \subset \mathbb{F}_{q^m}^n$  with covering radius  $\rho$ .

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### Reformulation of the Covering Problem

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Extreme cases for the covering radius:

## New Result [[OLWZ22, Lemma 1]]

Let  $\mathcal{C} \subset \mathbb{F}_{q^m}^n$ , then it holds for its corresponding covering radii  $\rho_{SR,1}$ ,  $\rho_{SR,\ell}$ and  $\rho_{SR,n}$  in the rank, the sum-rank and the Hamming metric that

 $\rho_{SR,1} \le \rho_{SR,\ell} \le \rho_{SR,n}.$ 

New Result [OLWZ22, Theorem 2]

For  $0 < \rho < \mu \cdot \ell$ , it holds

$$\mathcal{K}_{SR,1}(\mathbb{F}_{q^m}^n,\rho) \leq \mathcal{K}_{SR,\ell}(\mathbb{F}_{q^m}^n,\rho) \leq \mathcal{K}_{SR,n}(\mathbb{F}_{q^m}^n,\rho).$$

# Numerical Comparison of Different Covering Bounds



Figure: Comparison of bounds on  $\mathcal{K}_{SR,\ell}(\mathbb{F}_{q^m}^n,\rho)$  for parameters  $q=4, m=4, \eta=3, \ell=3, n=\eta\ell=9.$ 

# Numerical Comparison of the Different Covering Bounds



Figure: Comparison of bounds on  $\mathcal{K}_{SR,\ell}(\mathbb{F}_{q^m}^n,\rho)$  for parameters  $q = 16, m = 16, \eta = 16, \ell = 14, n = \eta \ell = 224.$ 

# Conclusion

- the sum-rank metric  $\rightarrow \operatorname{wt}_{SR,1}(\boldsymbol{x}) \le \operatorname{wt}_{SR,\ell}(\boldsymbol{x}) \le \operatorname{wt}_{SR,n}(\boldsymbol{x})$
- spheres and balls in sum-rank metric
  - exact volume of a ball in sum-rank metric  $\rightarrow$  lower and upper bound
    - exact Volume of the intersection of two balls in sum-rank metric
- EW two special cases of the intersection of two balls in sum-rank metric
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    - Singleton like bound
    - Sphere-Packing bound → simplified and asymptotic version
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Let  $A \neq \{0\}$  be a unitary ring (i.e., there exists  $1 \in A \setminus \{0\}$ , such that  $1 \cdot a = a \cdot 1 = a, \forall a \in A$ ) with a unitary endomorphism  $\theta$  (i.e.,  $\theta(1) = 1$ ). For any  $a, b \in A$ , an endomorphism  $\theta$  fulfills

$$\bullet \ \theta(a+b) = \theta(a) + \theta(b)$$

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A heta-derivation is a map  $\delta: A o A$  such that, for all  $a, b \in A$ 

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#### Definion: Principal Module Code

Let  $\theta$  be an endomorphism of the finite ring A,  $\delta$  be a  $\theta$ -derivation of A and  $R = A[X; \theta, \delta]$  be the skew polynomial ring. Let  $f \in R$  be a **monic** skew polynomial with a right divisor  $g \in R$ . A principal module  $(\theta, \delta)$ -code C is defined as

$$(g)_{n,\theta,\delta} \coloneqq \{ \boldsymbol{c} = (c_0, c_1, \dots, c_{n-1}) \mid \forall c_0 + c_1 X + \dots + c_{n-1} X^{n-1} \in Rg/Rf \}.$$

**Setting:** Choose *g* of degree n - k then we have that Rg/Rf is a free left *A*-submodule of R/Rf of dimension  $k = \deg(f) - \deg(g)$  (a linear code of length *n* and dimension *k* over *A*). **Aim:** Find selforthogonal codes

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