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## S T A N D A R D S

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**Digital Video Subcommittee**

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**AMERICAN NATIONAL STANDARD**

**ANSI/SCTE 128-1 2020**

**AVC Video Constraints for Cable Television  
Part 1- Coding**

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# Table of Contents

| Title   | Page Number |
|---|-------------|
| NOTICE.....   | 2           |
| Table of Contents.....  | 3           |
| 1. Introduction.....  | 5           |
| 1.1. Executive Summary.....   | 5           |
| 1.2. Scope.....   | 5           |
| 2. Normative References.....  | 5           |
| 2.1. SCTE References.....   | 5           |
| 2.2. Standards from Other Organizations.....  | 5           |
| 2.3. Published Materials.....   | 6           |
| 3. Informative References.....  | 6           |
| 3.1. SCTE References.....   | 6           |
| 3.2. Standards from Other Organizations.....  | 6           |
| 3.3. Published Materials.....   | 6           |
| 4. Compliance Notation.....   | 7           |
| 5. Abbreviations and Definitions.....   | 7           |
| 5.1. Abbreviations.....   | 7           |
| 5.2. Definitions.....   | 8           |
| 6. MPEG-2 Multiplex And Transport Constraints For AVC.....                                | 9           |
| 6.1. Services and Features.....   | 9           |
| 6.2. MPEG-2 Systems Standard.....   | 9           |
| 6.2.1. Video T-STD.....   | 9           |
| 6.3. Assignment of identifiers.....   | 9           |
| 6.3.1. AVC Stream Type Codes.....   | 9           |
| 6.3.2. Descriptors.....   | 9           |
| 6.4. AVC Program Constraints.....   | 9           |
| 6.4.1. SCTE Random Access Point (SRAP) Access Unit Composition.....                       | 9           |
| 6.4.2. SRAP Transport Constraints.....  | 9           |
| 6.4.3. Adaptation Field Private Data.....   | 10          |
| 6.5. PES constraints.....   | 10          |
| 7. AVC Video Constraints.....   | 10          |
| 7.1. Possible video inputs.....   | 10          |
| 7.2. Source coding specification.....   | 10          |
| 7.2.1. Constraints with respect to AVC.....   | 11          |
| 8. SEI Carriage Of Captioning, AFD, Bar Data and Other Auxillary Data.....                | 16          |
| 8.1. Encoding and transport of caption, active format description (AFD) and bar data..... | 17          |
| 8.1.1. SEI T.35 Construct for Auxiliary Data Syntax.....                                  | 17          |
| 8.1.2. T.35 Auxiliary Data Semantics Compliant to SCTE/ATSC Constructs.....               | 18          |
| 8.2. ATSC1_data() Syntax.....   | 18          |
| 8.2.1. ATSC1_data() Semantics.....  | 18          |
| 8.2.2. Encoding and Transport of Caption Data.....  | 19          |
| 8.2.3. Encoding and transport of bar data.....  | 19          |
| 8.2.4. Encoding and transport of active format description data.....                      | 21          |
| 8.2.5. AFD Syntax.....  | 21          |
| 8.2.6. AFD Semantics.....   | 22          |
| 8.2.7. Recommended Receiver Response to AFD.....  | 23          |
| 8.2.8. Relationship Between Bar Data and AFD (Informative).....                           | 23          |
| 8.2.9. Encoding and transport of SCTE DM App #1.....                                      | 23          |
| 8.2.10. Encoding and transport of ST2094-10 data.....                                     | 23          |
| 9. Support for AVC Still Pictures.....  | 23          |
| APPENDIX A      AU_information in Adaptation Field Private Data (Deprecated).....         | 25          |

|              |   |    |
|--------------|---|----|
| APPENDIX B   | Encoding Guidelines to Enable Trick Play Support of AVC Streams |    |
| (Deprecated) | 26  |    |
| 1.           | Introduction.....   | 26 |
| 1.1.         | Overview .....  | 26 |
| 1.2.         | Technical Requirements .....                                    | 26 |
| 2.           | Discardable Pictures .....                                      | 27 |
| 2.1.         | MPEG-2 Discardable Pictures .....                               | 27 |
| 2.2.         | AVC Discardable Pictures .....                                  | 28 |
| 2.3.         | Discardable Pictures and Trick Play Speeds .....                | 28 |
| 2.4.         | Smooth Trick Play and Compression Efficiency .....              | 29 |

## List of Figures

| <b>Title</b>   | <b>Page Number</b> |
|--|--------------------|
| Figure 2 - Example of achieving a 3x trickplay mode from a common MPEG-2 GOP structure (IBBP) .... | 27                 |
| Figure 3 - Example of a compliant MPEG-2 GOP structure (IPPP).....                                 | 28                 |
| Figure 4 - Coding Structure with 2 Out of Every 3 Pictures as Discardable Pictures.....            | 30                 |
| Figure 5 - Coding Structure with 10 out of Every 15 Pictures as Discardable Pictures.....          | 30                 |

## List of Tables

| <b>Title</b>  | <b>Page Number</b> |
|---|--------------------|
| Table 1 - Numerical Format Definitions .....  | 8                  |
| Table 5 - Standardized Video Input Formats .....  | 10                 |
| Table 6 - Sequence Parameter Set Constraints .....  | 11                 |
| Table 7 - VUI Constraints.....  | 12                 |
| Table 8 - SEI Constraints .....   | 12                 |
| Table 9A - Level 3.0 Compression Format Constraints (level_idc = 30) .....                                  | 13                 |
| Table 9B - Level 4.0 Compression Format Constraints (level_idc = 40) .....                                  | 14                 |
| Table 9C - Level 4.2 Compression Format Constraints (level_idc = 42) .....                                  | 14                 |
| Table 10 - Level and Computed Values to Support Table 9A, 9B and 9C .....                                   | 15                 |
| Table 11 - Time_scale & num_units_in_tick settings for Frame Rates .....                                    | 15                 |
| Table 12 - Common Data Syntax.....  | 17                 |
| Table 13 - user_identifier .....  | 18                 |
| Table 14 - ATSC1_data() Syntax.....   | 18                 |
| Table 15 - user_data_type_code .....  | 18                 |
| Table 16 - Bar Data Syntax.....   | 19                 |
| Table 17 - Line Number Designation (Informative).....   | 21                 |
| Table 18 - Active Format Description Syntax for AVC video .....   | 22                 |
| Table 19 - Active Format.....   | 22                 |
| Table 20 - Discardable Picture Percentages and Maximum Achievable Trick Play Speeds by Discard Process..... | 29                 |

*Editorial Note: Table numbers in this part of SCTE 128 are not consecutive and retain the table numbers that appeared before SCTE 128 was split into two parts.*

## 1. Introduction

### 1.1. Executive Summary

This document assists in creation of an AVC coded video elementary stream and is intended for broadcast purposes. There are other applications: time-shifting (e.g., PVR/DVR service), Video-on-Demand service, unicast, multicast, splicing (e.g., Ad-insertion) that could employ the specifications in this document. However, constraints specific to those applications are outside of the scope of this document.

### 1.2. Scope

This document defines the video coding constraints on ITU-T Rec. H.264 | ISO/IEC 14496-10 [3] video compression (hereafter called "AVC") for Cable Television. In particular, this document describes the constraints on AVC coded video elementary streams in an MPEG-2 service multiplex (single or multi-program Transport Stream).

Note: The carriage of MPEG-2 video in the MPEG-2 service multiplex is described in SCTE 54.

## 2. Normative References

The following documents contain provisions, which, through reference in this text, constitute provisions of this document. At the time of Subcommittee approval, the editions indicated were valid. All documents are subject to revision; and while parties to any agreement based on this document are encouraged to investigate the possibility of applying the most recent editions of the documents listed below, they are reminded that newer editions of those documents might not be compatible with the referenced version.

### 2.1. SCTE References

- [1] SCTE 215-1-1 2018 HEVC Video Constraints for Cable Television Part 1-1 HDR10 Coding

### 2.2. Standards from Other Organizations

- [2] ISO/IEC 13818-1, (2018), "Information Technology – Generic coding of moving pictures and associated audio – Part 1: Systems."
- [3] ITU-T Rec. H.264 | ISO/IEC 14496-10, (09/2014), "Information Technology – Coding of audio visual objects – Part 10: Advanced Video Coding."
- [4] CTA-608-E (2008), Line 21 Data Services.
- [5] CTA-708-D (2008), Digital Television (DTV) Closed Captioning.
- [6] ATSC A/53 Part 4:2009, Digital Television Standard, MPEG-2 Video System Characteristics.
- [7] ETSI TS 101 154 V2.4.1 Digital Video Broadcasting (DVB): Specification for the use of Video and Audio Coding in Broadcasting Applications based on the MPEG-2 Transport Stream, 2014.
- [8] SMPTE 2016-1-2009: Standard for Television – Format for Active Format Description and Bar Data.
- [9] ISO/IEC 13818-2 (2013), Information Technology – Generic coding of moving pictures and associated audio -Part 2: Video

### 2.3. Published Materials

- No normative references are applicable.

## 3. Informative References

The following documents might provide valuable information to the reader but are not required when complying with this document.

### 3.1. SCTE References

- [10] ANSI/SCTE 43 2015, Digital Video Systems Characteristics Standard for Cable Television.
- [11] ANSI/SCTE 21 2017, Standard for Carriage of NTSC VBI Data in Cable Digital Transport Streams.
- [12] ANSI/SCTE 07 2013, Digital Transmission Standard for Cable Television.
- [13] ANSI/SCTE 172 2017, Constraints on AVC and HEVC Structured Video Coding for Digital Program Insertion.
- [14] SCTE 128 Part 2 2018, AVC Transport Constraints for Cable Television
- [15] ANSI/SCTE 54 2015, Digital Video Service Multiplex and Transport System Standard for Cable Television.

### 3.2. Standards from Other Organizations

- [16] SMPTE ST 170, Television – Composite Analog Video Signal – NTSC for Studio Applications.
- [17] SMPTE ST 274, Standard for television, 1920 x 1080 Scanning and Interface.
- [18] SMPTE ST 296, Standard for television, 1280 x 720 Scanning, Analog and Digital Representation, and Analog Interface.
- [19] ITU-R BT.601-6, Encoding parameters of digital television for studios.
- [20] ITU-R BT.709-6, Basic Parameter Values for the HDTV Standard for the Studio and for International Programme Exchange.
- [21] ITU-T J.83 Digital Video Transmission Standard for Cable Television.
- [22] CTA-CEB16: Active Format Description (AFD) & Bar Data Recommended Practice.
- [23] SMPTE 125, Standard for television, Component Video Signal 4:2:2, Bit Parallel Digital Interface.
- [24] SMPTE 293, Standard for television, 720x483 Active Line at 59.95 Hz Progressive Scan Production, Digital Representation.
- [25] SMPTE 267, Standard for television, Bit Parallel Digital Interface- Component Video Signal 4:2:2 16x9 Aspect Ratio.
- [26] ITU-T Rec. T.35, “Procedure for the allocation of ITU-T defined codes for non-standard facilities.”
- [27] ATSC A/53, Part 3, “Service Multiplex and Transport Subsystem Characteristics”
- [28] CTA-861-G “A DTV Profile for Uncompressed High Speed Digital Interfaces”
- [29] ATSC A/341, “ATSC Standard: Video – HEVC”.

### 3.3. Published Materials

- No informative references are applicable.

## 4. Compliance Notation

|                   |   |
|-------------------|---|
| <i>shall</i>      | This word or the adjective “ <i>required</i> ” means that the item is an absolute requirement of this document.   |
| <i>shall not</i>  | This phrase means that the item is an absolute prohibition of this document.  |
| <i>forbidden</i>  | This word means the value specified shall never be used.  |
| <i>should</i>     | This word or the adjective “ <i>recommended</i> ” means that there may exist valid reasons in particular circumstances to ignore this item, but the full implications should be understood and the case carefully weighted before choosing a different course.                    |
| <i>should not</i> | This phrase means that there may exist valid reasons in particular circumstances when the listed behavior is acceptable or even useful, but the full implications should be understood and the case carefully weighed before implementing any behavior described with this label. |
| <i>may</i>        | This word or the adjective “ <i>optional</i> ” means that this item is truly optional. One vendor may choose to include the item because a particular marketplace requires it or because it enhances the product, for example; another vendor may omit the same item.             |
| <i>deprecated</i> | Use is permissible for legacy purposes only. Deprecated features may be removed from future versions of this document. Implementations should avoid use of deprecated features.   |

## 5. Abbreviations and Definitions

### 5.1. Abbreviations

|      |  |
|------|--|
| AFD  | active format description                      |
| ATSC | Advanced Television Systems Committee          |
| AU   | access unit                                    |
| AVC  | advanced video coding                          |
| CPB  | coded picture buffer                           |
| DPB  | decoded picture buffer                         |
| DPI  | digital program insertion                      |
| DTV  | digital television                             |
| DVB  | digital video broadcasting                     |
| DVS  | Digital Video Subcommittee                     |
| FPP  | forward predicted picture                      |
| HDTV | high definition television                     |
| IDR  | instantaneous decoding refresh                 |
| IEC  | International Electrotechnical Commission      |
| ISO  | International Organization for Standardization |
| MPEG | moving picture experts group                   |
| NAL  | network abstraction layer                      |
| PPS  | picture parameter set                          |
| RBSP | raw byte sequence payload                      |
| SCTE | Society of Cable Telecommunications Engineers  |
| SDTV | standard definition television                 |
| SEI  | supplemental enhancement information           |
| SGOP | SCTE group of pictures                         |

|      |                             |
|------|-----------------------------|
| SPS  | sequence parameter set      |
| SRAP | SCTE random access point    |
| VBI  | vertical blanking interval  |
| VUI  | video usability information |

## 5.2. Definitions

|                           |   |
|---------------------------|---|
| Forward Predicted Picture | A predicted picture that does not use any later-displayed picture as a reference.   |
| SGOP                      | A SCTE Group of Pictures (SGOP) is the group of pictures spanning two consecutive SRAPs including the prior SRAP AU but not including the subsequent SRAP AU. |
| SRAP Picture              | An I- or IDR-picture that is part of an SRAP Access Unit.   |

AVC ITU-T Rec. H. 264 | ISO/IEC 14496-10 Advanced Video Coding standard

AVC Receiver The term "AVC Receiver" in this standard means a receiver having at least the attributes listed below:

1. Able to parse and decode the normative elements from AVC [2] that are specified with constraints in this standard;
2. Not adversely affected by the presence or absence of optional and informative elements from AVC [2];
3. Not adversely affected by the presence or absence of optional and informative elements in this standard;
4. Able to parse and process all elements from AVC [2] Annex D (SEI messages) and Annex E (VUI syntax elements) that are specified as normative in this standard and conveyed in-band; Note : These are optional elements in the AVC specification;
5. Able to parse and decode all the normative elements from ISO/IEC 13818-1 [1] that are normatively included and/or constrained by this standard;
6. Not adversely affected by the presence or absence of optional elements from ISO/IEC 13818-1 [1] (such as data in adaptation fields) that are specified with constraints in this standard;
7. Supports the processing of end\_of\_stream\_rbsp() syntax element required by applications where another bitstream follows the end\_of\_stream NAL unit. The bitstream that follows will start with an IDR picture and may be accompanied by a time base discontinuity.
8. Supports the processing of elementary streams in Low Delay Mode and Still Pictures.

Note: The additional information from items 6 and 7 is optionally provided for the benefit of AVC receivers that include support for applications such as PVR, DPI and VOD.

Numerical formats are defined in the following table:

**Table 1 - Numerical Format Definitions**

| Example Values | Description                           |
|----------------|---------------------------------------|
| 12345          | Example of a decimal value format     |
| 0x2A           | Example of a hexadecimal value format |
| '10010100'     | Example of a string of binary digits  |

## **6. MPEG-2 Multiplex And Transport Constraints For AVC**

Material formerly in this section now appears in SCTE 128 Part 2.

### **6.1. Services and Features**

This topic is specified in SCTE 128 Part 2.

### **6.2. MPEG-2 Systems Standard**

#### **6.2.1. Video T-STD**

This topic is specified in SCTE 128 Part 2.

### **6.3. Assignment of identifiers**

This topic is specified in SCTE 128 Part 2.

#### **6.3.1. AVC Stream Type Codes**

This topic is specified in SCTE 128 Part 2.

#### **6.3.2. Descriptors**

##### **6.3.2.1. Video descriptor**

This topic is specified in SCTE 128 Part 2.

##### **6.3.2.2. Caption service descriptor**

This topic is specified in SCTE 128 Part 2.

##### **6.3.2.3. SCTE Adaptation field data descriptor**

This topic is specified in SCTE 128 Part 2.

### **6.4. AVC Program Constraints**

This topic is specified in SCTE 128 Part 2.

#### **6.4.1. SCTE Random Access Point (SRAP) Access Unit Composition**

This topic is specified in SCTE 128 Part 2.

#### **6.4.2. SRAP Transport Constraints**

This topic is specified in SCTE 128 Part 2.

##### **6.4.2.1. TS Packet Header and Adaptation Field Constraints**

This topic is specified in SCTE 128 Part 2.

##### **6.4.2.2. SRAP Picture Decoding Time Stamp and SRAP Picture Presentation Time Stamp Constraints**

This topic is specified in SCTE 128 Part 2.

### 6.4.2.3. Constraints on Decoding Time Stamps

This topic is specified in SCTE 128 Part 2.

### 6.4.3. Adaptation Field Private Data

This topic is specified in SCTE 128 Part 2.

#### 6.4.3.1. Optional Transport Adaptation Layer Information

This topic is specified in SCTE 128 Part 2.

## 6.5. PES constraints

This topic is specified in SCTE 128 Part 2.

## 7. AVC Video Constraints

### 7.1. Possible video inputs

While not required by this standard, there are certain television production standards, shown in Table 5, that define video formats that relate to compression formats specified by this standard.

**Table 5 - Standardized Video Input Formats**

| Video standard      | Active lines     | Active samples/ line |
|---------------------|------------------|----------------------|
| SMPTE ST 274 [16]   | 1080             | 1920                 |
| SMPTE ST 296 [18]   | 720              | 1280                 |
| ITU-R BT.601-5 [19] | 483 <sup>1</sup> | 720                  |

The compression formats may be derived from one or more appropriate video input formats. It may be anticipated that additional video production standards may be developed in the future that extend the number of possible input formats.

### 7.2. Source coding specification

The AVC video compression algorithm shall conform to the High or Main Profile syntax of AVC [2]. AVC is specified herein as bitstreams compliant to a constrained set of High or Main Profile at Level 3.0, 4.0, or 4.2 (level\_idc equal to 30, 40 or 42 respectively). Unless specified otherwise in this document, the allowable parameters shall be bounded by the upper limits specified in the AVC Specification [2]<sup>2</sup>.

Profiles and levels shall be constrained as shown in Table 6, Table 9A, Table 9B and Table 9C (indicated values for profile\_idc and level\_idc).

Additionally, AVC bitstreams shall meet the constraints and specifications described in this document. AVC bitstreams shall utilize the SEI and the VUI syntactic elements defined in AVC [2] Annexes D and E respectively in accordance with this specification. VUI and SEI messages expected to be processed by

<sup>1</sup>The number of active lines is not specified in ITU-R.601-6 [18]. “483” is the original number of active lines specified in the NTSC standard. However current accepted practice in North America allows the line count to be anywhere from 480 to 486.

<sup>2</sup> See ISO/IEC 14496-10[2], Annex A for more information regarding profiles and levels.

an AVC Receiver are specified herein. Some VUI and SEI messages are optional and may be ignored by the AVC Receiver as specified herein. AVC Receivers should be made under the assumption that any legal structure as permitted by AVC may occur in the broadcast stream even if presently reserved or unused.

### 7.2.1. Constraints with respect to AVC

The tables in the following sections list the allowed values for each of the AVC syntactic elements that are restricted beyond the limits imposed by High Profile @ Level 4.0 or 4.2 in the AVC Specification.

#### 7.2.1.1. Sequence Parameter Set (SPS) constraints

For each SRAP, there shall be one active Sequence Parameter Set (SPS) present in the bit stream. Table 6 identifies parameters in the Sequence Parameter Set of a bit stream that shall be constrained by the video subsystem and lists the allowed values for each.

**Table 6 - Sequence Parameter Set Constraints**

| Parameter Set Syntactic Element         | Allowed Value  |
|---|--|
| profile_idc                             | 100 or 77  |
| constraint_set0_flag                    | 0  |
| constraint_set1_flag                    | 0 (when profile_idc is 100) and<br>1 (when profile_idc is 77)          |
| constraint_set2_flag                    | 0  |
| constraint_set3_flag                    | 0  |
| level_idc                               | See Tables 9A, 9B and 9C   |
| num_ref_frames                          | Less than or equal to<br>MaxFrameBuffers (See Tables<br>9A, 9B and 9C) |
| chroma_format_idc                       | 1 (when profile_idc is 100)<br>N/A (when profile_idc is 77)            |
| gaps_in_frame_number_value_allowed_flag | 0  |
| pic_width_in_mbs_minus1                 | See Tables 9A, 9B and 9C   |
| pic_height_in_map_units_minus1          | See Tables 9A, 9B and 9C   |
| vui_parameters_present_flag             | 1  |

All AVC Receivers are expected to be capable of processing AVC Bitstreams that have profile\_idc(s) of 100 in accordance with the parameters and constraints set herein. Note that these AVC Receivers should process bitstreams with profile\_idc = 77 also.

The time interval between consecutive changes in pairs of pic\_width\_in\_mbs\_minus1 and pic\_height\_in\_map\_units\_minus1 shall be greater than or equal to one second.

#### 7.2.1.2. Video Usability Information (VUI) Constraints

The AVC elementary stream shall comply with the constraints in Table 7.  
The AVC Receiver is expected to process the following VUI syntax elements:

**Table 7 - VUI Constraints**

| VUI Header Syntactic Element        | Allowed Value  |
|-------------------------------------|--|
| aspect_ratio_idc                    | See Tables 9A, 9B and 9C   |
| colour primaries                    | see below  |
| transfer characteristics            | see below  |
| matrix coefficients                 | see below  |
| chroma_sample_loc_type_top_field    | used   |
| chroma_sample_loc_type_bottom_field | used   |
| num_units_in_tick                   | See Table 11   |
| time_scale                          | See Table 11   |
| fixed_frame_rate_flag               | 1 (equals 0 for Low Delay mode and still pictures)               |
| pic_struct_present_flag             | used   |
| max_dec_frame_buffering             | equal to MaxFrameBuffers (See Tables 9A, 9B and 9C) (if present) |

While any appropriate values for each of the following 3 parameters in the VUI: colour\_primaries, transfer\_characteristics, and matrix\_coefficients, as defined in Tables E-3, E-4, and E-5 of AVC [2], are allowed in the transmitted bit stream, it is noted that ITU-R BT.709-6 [19] and SMPTE ST 170 [15] are the most likely to be in common use.

The preferred values for colour\_primaries, transfer\_characteristics and matrix\_coefficients are defined to be ITU-R BT.709-6 [19] for the first two row entries in Table 5. For the bottom row entry in Table 5, the preferred values for colour\_primaries, transfer\_characteristics and matrix\_coefficients are defined to be SMPTE ST 170 [16].

Note: Syntactical elements that are used require that the immediate parent “xxx\_present\_flag”, if it exists, to be enabled (for example, the colour\_description\_present flag).

### **7.2.1.3. Picture Parameter Constraints and Level Limits**

AVC Bitstreams shall not include non-paired fields (as defined in AVC).

All pictures in AVC Bitstreams shall be displayable pictures.

Between two SRAPs, the content of a picture parameter set with a particular pic\_parameter\_set\_id shall not change. That is, if more than one picture parameter set is present in the bitstream and these picture parameter sets are different from each other, then each picture parameter set shall have a different pic\_parameter\_set\_id.

### **7.2.1.4. Supplemental Enhancement Information (SEI) Constraints**

**Table 8 - SEI Constraints**

| SEI Header Syntactic Element | Usage Constraints |
|------------------------------|-------------------|
|------------------------------|-------------------|

|   |   |
|---|---|
| Picture Timing SEI message                              | Optional, but required if picture structure information is carried          |
| User data registered by ITU-T Rec. T.35[26] SEI message | Required for carriage of AFD, closed captioning, and/or bar data structures |

For bitstreams that carry the picture structure information (such as film mode), the `pic_struct_present_flag` shall be set to '1' in the VUI. If the `pic_struct_present_flag` is set to '1' in the VUI, then per AVC [2] a picture timing SEI is required to be associated with each access unit in the coded video sequence. If the coded video sequence does not require picture structure information, then the `pic_struct_present_flag` should be set to '0' in the VUI. This flag in the VUI allows use of a picture timing SEI message with only the picture structure information without the need to include HRD information (such as CPB and DPB delay or initial values of the delay in the buffering period SEI).

The Buffering Period SEI message is optional and may be ignored since this message duplicates the functionality defined in the MPEG-2 transport level. The Pan-Scan SEI message is optional but not recommended. See Section 8.2.3. All other SEI messages are optional.

When supporting AFD, bar data, and closed captioning (see section 8.0 for more details), SEI `user_data_registered_itu_t_t35` shall be used.

### 7.2.1.5. Compression format constraints

Tables 9A, 9B and 9C list the allowed compression formats and constraints for associated parameters (for non low delay mode applications). Table 9A covers Level 3.0 formats, Table 9B covers Level 4.0 formats, and Table 9C covers Level 4.2 formats. AVC Receivers that are capable of decoding Level 4.0 formats are also expected to be capable of decoding Level 3.0 formats. AVC Receivers that are capable of decoding Level 4.2 formats are also expected to be capable of decoding Level 4.0 and Level 3.0 formats. See Section 7.2.1.6 which specifies additional constraints for low delay mode applications.

The value of "MaxFrameBuffers" is specified in Tables 9A, 9B and 9C below. For each of the resolutions in Tables 9A, 9B and 9C, the coded video sequence shall not require the units of frame buffers in the DPB (Decoded Picture Buffer) to be greater than MaxFrameBuffers to enable the output of the decoded pictures at the specified output times.

The syntax element `num_ref_frames` in the AVC Sequence Parameter Set shall be set to a value less than or equal to the value MaxFrameBuffers. If the syntax element `max_dec_frame_buffering` is present in the VUI parameters syntax structure of the sequence parameter set, its value shall be set equal to MaxFrameBuffers. If the syntax element `max_dec_frame_buffering` is not present in the VUI parameters syntax structure of the sequence parameter set, the bitstream shall still obey the same constraints as if the syntax element `max_dec_frame_buffering` had been present and equal to MaxFrameBuffers.

**Table 9A - Level 3.0 Compression Format Constraints (level\_idc = 30)**

| vertical size | horizontal size | PicWidthInMbs | PicHeightInMbs | MaxFrameBuffers [3] | aspect_ratio_idc | Display aspect ratio | Allowed frame rates | Progressive interlaced |
|---------------|-----------------|---------------|----------------|---------------------|------------------|----------------------|---------------------|------------------------|
| 480           | 720             | 45            | 30             | 6                   | 5                | 16:9                 | 1,2,4,5             | P                      |
| 480           | 720             | 45            | 30             | 6                   | 3                | 4:3                  | 1,2,4,5             | P                      |
| 480           | 720             | 45            | 30             | 6                   | 5                | 16:9                 | 4,5                 | I                      |
| 480           | 720             | 45            | 30             | 6                   | 3                | 4:3                  | 4,5                 | I                      |
| 480           | 704             | 44            | 30             | 6                   | 5                | 16:9                 | 1,2,4,5             | P                      |

|     |     |    |    |   |   |      |         |   |
|-----|-----|----|----|---|---|------|---------|---|
| 480 | 704 | 44 | 30 | 6 | 3 | 4:3  | 1,2,4,5 | P |
| 480 | 704 | 44 | 30 | 6 | 5 | 16:9 | 4,5     | I |
| 480 | 704 | 44 | 30 | 6 | 3 | 4:3  | 4,5     | I |
| 480 | 640 | 40 | 30 | 6 | 1 | 4:3  | 1,2,4,5 | P |
| 480 | 640 | 40 | 30 | 6 | 1 | 4:3  | 4,5     | I |
| 480 | 544 | 34 | 30 | 6 | 5 | 4:3  | 1,4     | P |
| 480 | 544 | 34 | 30 | 6 | 5 | 4:3  | 4       | I |
| 480 | 528 | 33 | 30 | 6 | 5 | 4:3  | 1,4     | P |
| 480 | 528 | 33 | 30 | 6 | 5 | 4:3  | 4       | I |
| 480 | 352 | 22 | 30 | 6 | 7 | 4:3  | 1,4     | P |
| 480 | 352 | 22 | 30 | 6 | 7 | 4:3  | 4       | I |

**Legend:**  
frame rate: 1 = 23.976 Hz, 2 = 24 Hz, 4 = 29.97 Hz, 5 = 30 Hz, 7 = 59.94 Hz, 8 = 60 Hz  
aspect\_ratio\_idc: 1 = 1:1 [square samples], 3 = 10:11, 5 = 40:33, 7 = 20:11, 14= 4:3

**Table 9B - Level 4.0 Compression Format Constraints (level\_idc = 40)**

| vertical size | horizontal size | PicWidthIn Mbs | PicHeightIn Mbs | MaxFrameBuffers [3] | aspect_ratio_idc | Display aspect ratio | Allowed frame rates | Progressive interlaced |
|---------------|-----------------|----------------|-----------------|---------------------|------------------|----------------------|---------------------|------------------------|
| 1080          | 1920            | 120            | 68              | 4                   | 1                | 16:9                 | 1,2,4,5             | P                      |
| 1080          | 1920            | 120            | 68              | 4                   | 1                | 16:9                 | 4,5                 | I                      |
| 1080          | 1440            | 90             | 68              | 4                   | 14               | 16:9                 | 1,2,4,5             | P                      |
| 1080          | 1440            | 90             | 68              | 4                   | 14               | 16:9                 | 4,5                 | I                      |
| 720           | 1280            | 80             | 45              | 9                   | 1                | 16:9                 | 1,2,4,5,7,8         | P                      |
| 480           | 720             | 45             | 30              | 9                   | 5                | 16:9                 | 7,8                 | P                      |
| 480           | 720             | 45             | 30              | 9                   | 3                | 4:3                  | 7,8                 | P                      |
| 480           | 704             | 44             | 30              | 9                   | 5                | 16:9                 | 7,8                 | P                      |
| 480           | 704             | 44             | 30              | 9                   | 3                | 16:9                 | 7,8                 | P                      |
| 480           | 640             | 40             | 30              | 9                   | 1                | 4:3                  | 7,8                 | P                      |

**Legend:**  
frame rate: 1 = 23.976 Hz, 2 = 24 Hz, 4 = 29.97 Hz, 5 = 30 Hz, 7 = 59.94 Hz, 8 = 60 Hz  
aspect\_ratio\_idc: 1 = 1:1 [square samples], 3 = 10:11, 5 = 40:33, 7 = 20:11, 14= 4:3

**Table 9C - Level 4.2 Compression Format Constraints (level\_idc = 42)**

| vertical size | horizontal size | PicWidthIn Mbs | PicHeightIn Mbs | MaxFrameBuffers [3] | aspect_ratio_idc | Display aspect ratio | Allowed frame rates | Progressive interlaced |
|---------------|-----------------|----------------|-----------------|---------------------|------------------|----------------------|---------------------|------------------------|
| 1080          | 1920            | 120            | 68              | 4                   | 1                | 16:9                 | 7,8                 | P                      |
| 1080          | 1440            | 90             | 68              | 4                   | 14               | 16:9                 | 7,8                 | P                      |

**Legend:**  
frame rate: 7 = 59.94 Hz, 8 = 60 Hz  
aspect\_ratio\_idc: 1 = 1:1 [square samples], 3 = 10:11, 5 = 40:33, 7 = 20:11, 14= 4:3

For pictures with vertical sizes of 1080, 1088 lines shall be coded in order to satisfy the AVC requirement that the coded vertical size be a multiple of 16 (progressive scan) or 32 (interlaced scan). The bottom 8

lines should be disregarded by a decoder. The value of `frame_crop_top_offset` shall be 0 and `frame_crop_bottom_offset` shall be  $2*(1 + \text{frame\_mbs\_only\_flag})$ .

The maximum values of Max Frame Size, Max Video Bit Rate, MaxCPB and MaxDPB shall not exceed the values shown in Table 10. These values are based on the highest picture resolutions specified in Tables 9A, 9B and 9C. Values for Max Video Bit Rate and MaxCPB should follow the constraints listed in Table 10 unless limited by the contiguous bandwidth of the transmission channel minus any additional data overhead needs.

**Table 10 - Level and Computed Values to Support Table 9A, 9B and 9C**

| Level     | Max Frame Size (MacroBlocks) | Max Video Bit Rate | MaxCPB | MaxDPB ( units of 1024 bytes ) |
|-----------|------------------------------|--------------------|--------|--------------------------------|
| Level 3.0 | 1350                         | 15                 | 15     | 3037.5                         |
| Level 4.0 | 8160                         | 30                 | 37.5   | 12440                          |
| Level 4.2 | 8160                         | 30                 | 37.5   | 12440                          |

Note: Bitrates and CPB size calculations performed per ISO/IEC 14496-10 [2] Annex A and ISO/IEC 13818-1 [1] Section 2.14.3.1

Table 11 lists `time_scale` and `num_units_in_tick` need to set for Progressive and Interlaced frame rates.

**Table 11 - Time\_scale & num\_units\_in\_tick settings for Frame Rates**

| Frame Rate (Hz) | Interlaced/ Progressive | time_scale | num_units_in_tick |
|-----------------|-------------------------|------------|-------------------|
| 23.976          | P                       | 48000      | 1001              |
| 24              | P                       | 48         | 1                 |
| 29.97           | P                       | 60000      | 1001              |
| 30              | P                       | 60         | 1                 |
| 29.97           | I                       | 60000      | 1001              |
| 30              | I                       | 60         | 1                 |
| 59.94           | P                       | 120000     | 1001              |
| 60              | P                       | 120        | 1                 |

### 7.2.1.6. Low Delay Mode

Low Delay mode corresponds to `low_delay_hrd_flag = '1'` and is signaled by `fixed_frame_rate_flag = '0'` in the VUI (per Table 7. Low Delay mode shall satisfy all of the following coding constraints. Transport constraints for low delay mode are found in SCTE 128 Part 2 Section 7.2.1.6.

1. All pictures shall be an IDR, I, or FPP.

Note: AVC receivers may ignore `pic_struct` (if present in the picture timing SEI) for Low Delay mode applications. In some cases, `pic_struct` values (1, 2, 5 or 6) could cause field parity issues in receivers when decoded pictures are repeated.

2. Every SGOP shall be coded so that it is fully reconstructable.

Note: This constrains the FPPs to point to reference pictures within the SGOP.

3. The maximum number of reference pictures for Low Delay Mode shall be one less than the maximum number of reference pictures for non-Low Delay mode.

Note: If required, AVC receivers can determine the display frame rate from the VUI parameters `num_units_in_tick` and `time_scale` (see Table 11).

Note: Per Annex E of AVC [3], `low_delay_hrd_flag` can either be present in the VUI or conveyed by other means. If `low_delay_hrd_flag` is present in the VUI, then (per Annex D and Annex E of AVC) bitstreams must include buffering period SEI and `picture_timing` SEI with the appropriate values of CPB and DPB delay values for each access unit. If `low_delay_hrd_flag` is present in the VUI and set to '1', then AVC receivers must use the CPB and DPB delay values from the `picture_timing` SEI for T-STD management instead of the PTS and DTS values coded in the PES header of each access unit (per section 2.14.3 of 13818-1 [2]). If `low_delay_hrd_flag` is not present in the VUI and `fixed_frame_rate_flag` is set to '0', AVC receivers are expected to assume Low Delay mode (i.e., `low_delay_hrd_flag` = '1' which allows buffer underflow) and may use the PTS and DTS values coded in the PES header for T-STD management.

4. The `fixed_frame_rate_flag` shall be set to zero for transmission, however an AVC Receiver may ignore the `fixed_frame_rate_flag` in Low Delay mode.

#### **7.2.1.7. Program Splicing Constraint**

System processes (such as digital ad insertion and program splicing) may require a resolution change in the AVC stream within the same program that results in a seamless or near-seamless behavior in the AVC receiver. When a user of this standard wishes to facilitate such a change, the AVC elementary stream shall be encoded in accordance with these additional constraints (also see SCTE 172 [13]):

If such seamless or near-seamless behavior in the AVC receiver is desired, then `level_idc` and the vertical picture size in the AVC elementary stream should not change within the same program (also SCTE 172).

Note: profile changes, display aspect ratio changes, frame rate changes, and interlaced/progressive transitions (in either order) should be avoided as they may result in disruption of the decoder's video output.

For transmissions that conform to the above constraints, the AVC Receiver is expected to manage the `MaxDpbSize` (defined in [3]) as constrained through `MaxFrameBuffers` in Tables 9A, 9B and 9C, the `MaxDPB` as constrained in Table 10, and process the `no_output_of_prior_pics_flag` in the IDR picture of sequence after the transition correctly. In all other cases the AVC Receiver may infer `no_output_of_prior_pics_flag` to be '1' and clear the DPB.

## **8. SEI Carriage Of Captioning, AFD, Bar Data and Other Auxillary Data**

The carriage of auxiliary data such as closed captions, AFD, bar data, and Dynamic Metadata SEI messages when present shall be carried as specified in the following sections

## 8.1. Encoding and transport of caption, active format description (AFD) and bar data

Advanced DTV closed captions (CTA-708 [5]), when present, shall be encoded in accordance with CTA-708 and shall be transported as specified in Section 8.1.1. Line 21 caption data, encoded in accordance with CTA-608[4], when present shall be transported as specified in CTA-708 and Section 8.1.1.

Note: CTA-708 requires a fixed bandwidth of 9600 bits per second for the closed caption payload data. Bandwidth calculations should anticipate this requirement.

### 8.1.1. SEI T.35 Construct for Auxiliary Data Syntax

Caption, AFD and bar data shall be carried in the SEI raw byte sequence payload (RBSP) syntax of the video Elementary Stream. Table 12 describes the common data syntax (see AVC, Annex D.1.5 and D.2.5 [3]).

**Table 12 - Common Data Syntax<sup>3</sup>**

| Syntax                               | No. of Bits | Format |
|--------------------------------------|-------------|--------|
| user_data_registered_itu_t_t35 ( ) { |             |        |
| itu_t_t35_country_code               | 8           | bslbf  |
| itu_t_t35_provider_code              | 16          | bslbf  |
| user_identifier                      | 32          | bslbf  |
| user_structure()                     |             |        |
| }                                    |             |        |

Note that SEI payload is a SEI payloadType of 4 which contains the `itu_t_t35_payload_byte` for the terminal provider (e.g. ATSC)<sup>4</sup>. The 32-bit field following the `itu_t_t35_provider_code` which has a value other than `user_identifier` may be present in an SCTE-compliant-NAL based video bit stream. Receiving devices are expected to process this field and use it to determine the syntax and semantics of the user data construct to follow.

Receiving devices are expected to silently discard any unrecognized SEI payloads encountered in the video bit stream. For example, if an unrecognized 32-bit identifier is seen following the `itu_t_t35_provider_code`, or an unrecognized 8-bit `user_data_type_code` (see Section 8.2) is seen following the `ATSC1_data`, data should be discarded until another SEI payload is seen or the RBSP terminates.

Note: The values specified below for both `itu_t_t35_country_code` and `itu_t_t35_provider_code` are the assigned values for the purposes of this standard. This does not imply that other uses of this SEI construct will not also be used for other applications. See ITU-T Recommendation T.35 [26] for additional information.

<sup>3</sup> Shaded cells in this table indicate syntactic and semantic additions to the ISO/IEC 14496-10 Standard [2]

<sup>4</sup> As stated in section D.2.5 of the AVC specification [2], the ITU-T T.35 terminal provider code and the terminal provider oriented code shall be contained in the first one or more bytes of the `itu_t_t35_payload_byte`, in the format specified by the Administration that issued the terminal provider code. Any remaining `itu_t_t35_payload_byte` data shall be data having the syntax and semantics as specified by the entity identified by the ITU-T T.35 country code and terminal provider code.

### 8.1.2. T.35 Auxiliary Data Semantics Compliant to SCTE/ATSC Constructs

itu\_t\_t35\_country\_code – A fixed 8-bit field, the value of which shall be 0xB5.

itu\_t\_35\_provider\_code – A fixed 16-bit field registered by the ATSC. The value shall be 0x0031.

user\_identifier – This is a 32 bit code that indicates the contents of the user\_structure() as indicated in Table 13.

user\_structure() – This is a variable length data structure defined by the value of user\_identifier and Table 13.

**Table 13 - user\_identifier**

| user_identifier     | user_structure()   |
|---------------------|--------------------|
| 0x47413934 (“GA94”) | ATSC1_data()       |
| 0x44544731 (“DTG1”) | afd_data()         |
| all other values    | SCTE/ATSC Reserved |

### 8.2. ATSC1\_data() Syntax

Table 14 describes the ATSC1data() syntax which shall be used.

**Table 14 - ATSC1\_data() Syntax**

| Syntax                     | No. of Bits | Format     |
|----------------------------|-------------|------------|
| ATSC1data() {              |             |            |
| user_data_type_code        | 8           | uimsbf     |
| user_data_type_structure() | var         |            |
| marker_bits                | 8           | '11111111' |
| }                          |             |            |

#### 8.2.1. ATSC1\_data() Semantics

user\_data\_type\_code – An 8-bit value that identifies the type of user data to follow in the user\_data\_type\_structure(). The values are defined in Table 15.

**Table 15 - user\_data\_type\_code**

| user_data_type_code | user_data_type_structure()     |
|---------------------|--------------------------------|
| 0x00 – 0x02         | SCTE/ATSC Reserved             |
| 0x03                | cc_data()                      |
| 0x04                | SCTE/ATSC Reserved             |
| 0x05                | SCTE/ATSC Reserved             |
| 0x06                | bar_data()                     |
| 0x07                | CableLabs 3D extension         |
| 0x08                | SCTE DM App #1                 |
| 0x09                | ST2094-10_data() (informative) |
| 0x0A – 0xFF         | SCTE/ATSC Reserved             |

user\_data\_type\_structure – This is a variable length set of data defined by the value of user\_data\_type\_code and Table 15.

For a more complete listing of user\_data\_type\_codes see the ATSC Code Point Registry <https://www.atsc.org/techdoc/code-point-registry/> at the tab "user\_data\_type\_code".

### 8.2.2. Encoding and Transport of Caption Data

The contents of cc\_data() shall be as defined in CTA-708.

### 8.2.3. Encoding and transport of bar data

Bar data, when present, shall be encoded and transported using the ATSC1data() structure defined in Table 14 and the assigned value for user\_data\_type\_code shown in Table 15. Table 16 describes the syntax of bar data. Bar data should be included in an SEI message whenever the rectangular picture area containing useful information does not extend to the full height or width of the coded frame and AFD alone is insufficient to describe the extent of the image. See Section 8.2.4.

When bar\_data() is present in the Video Elementary Stream, the SEI pan\_scan\_rect() parameters in the SEI RBSP syntax (AVC, Annex D.1.3 and D.2.3 [3]) shall not be present. Bar data is to be preferred over the use of the SEI pan\_scan\_rect().

At an SRAP, unless AFD data is present specifying otherwise, the absence of bar data shall indicate that the rectangular picture area containing useful information extends to the full height and width of the coded frame.

Bar data is constrained (below) to be signaled in pairs, either top and bottom bars or left and right bars, but not both pairs at once. Bars may be unequal in size. One bar of a pair may be zero width or height.

**Table 16 - Bar Data Syntax**

| Syntax                          | No. of Bits | Format |
|---------------------------------|-------------|--------|
| bar_data() {                    |             |        |
| top_bar_flag                    | 1           | bslbf  |
| bottom_bar_flag                 | 1           | bslbf  |
| left_bar_flag                   | 1           | bslbf  |
| right_bar_flag                  | 1           | bslbf  |
| Reserved                        | 4           | '1111' |
| if (top_bar_flag == '1') {      |             |        |
| marker_bits                     | 2           | '11'   |
| line_number_end_of_top_bar      | 14          | uimsbf |
| }                               |             |        |
| if (bottom_bar_flag == '1') {   |             |        |
| marker_bits                     | 2           | '11'   |
| line_number_start_of_bottom_bar | 14          | uimsbf |
| }                               |             |        |
| if (left_bar_flag == '1') {     |             |        |

| Syntax                          | No. of Bits | Format |
|---------------------------------|-------------|--------|
| marker_bits                     | 2           | '11'   |
| pixel_number_end_of_left_bar    | 14          | uimsbf |
| }                               |             |        |
| if(right_bar_flag == '1') {     |             |        |
| marker_bits                     | 2           | '11'   |
| pixel_number_start_of_right_bar | 14          | uimsbf |
| }                               |             |        |
| }                               |             |        |

Designation of line numbers for `line_number_end_of_top_bar` and `line_number_start_of_bottom_bar` is video format-dependent and shall conform to the applicable standard indicated in Table 17.

`top_bar_flag` – This flag shall indicate, when set to '1', that the top bar data is present. If `left_bar_flag` is '1', this flag shall be set to '0'.

`bottom_bar_flag` – This flag shall indicate, when set to '1', that the bottom bar data is present. This flag shall have the same value as `top_bar_flag`.

`left_bar_flag` – This flag shall indicate, when set to '1', that the left bar data is present. If `top_bar_flag` is '1', this flag shall be set to '0'.

`right_bar_flag` – This flag shall indicate, when set to '1', that the right bar data is present. This flag shall have the same value as `left_bar_flag`.

`line_number_end_of_top_bar` – A 14-bit unsigned integer value representing the last line of a horizontal letterbox bar area at the top of the reconstructed frame. Designation of line numbers shall be as defined in Table 17.

`line_number_start_of_bottom_bar` – A 14-bit unsigned integer value representing the first line of a horizontal letterbox bar area at the bottom of the reconstructed frame. Designation of line numbers shall be as defined in Table 17.

`pixel_number_end_of_left_bar` – A 14-bit unsigned integer value representing the last horizontal luminance sample of a vertical pillarbox bar area at the left side of the reconstructed frame. Pixels shall be numbered from zero, starting with the leftmost pixel.

`pixel_number_start_of_right_bar` – A 14-bit unsigned integer value representing the first horizontal luminance sample of a vertical pillarbox bar area at the right side of the reconstructed frame. Pixels shall be numbered from zero, starting with the leftmost pixel.

The range of line numbers and pixels within the coded frame for each image format shall be as specified in Table 2 of SMPTE 2016-1[8] as extended by Table 18 below. Information from SMPTE 2016-1 Table 2 is contained in the following table.

**Table 17 - Line Number Designation (Informative)**

| Video Format     | Applicable Standard | Coding Range, lines | Coded Lines |              |           |
|------------------|---------------------|---------------------|-------------|--------------|-----------|
|                  |                     |                     | First Field | Second Field | Frame     |
| 480 Interlaced   | SMPTE 125M [23]     | 480                 | 23 - 262    | 286 - 525    |           |
| 480 Progressive  | SMPTE 293M [24]     | 480                 |             |              | 45 - 524  |
| 720 Progressive  | SMPTE 296M [18]     | 720                 |             |              | 26 - 745  |
| 1080 Interlaced  | SMPTE 274M [16]     | 1088                | 21 - 560    | 584 - 1123   |           |
| 1080 Progressive | SMPTE 274M [16]     | 1088                |             |              | 42 - 1121 |

Note: The first two rows of this table are based on 720x483 SMPTE production formats. CTA-861[28] standardizes 720x480 video formats for consumer AVC receivers, using the same line number designation as the SMPTE standards but with 3 less active video lines at the bottom of the picture.

### **8.2.3.1. Recommended Receiver Response to Bar Data**

Receiving device designers are strongly encouraged to study Consumer Technology Association (CTA) bulletin CEB16 [22], which contains recommendations regarding the processing of bar data.

### **8.2.4. Encoding and transport of active format description data**

Active format description data, when present, shall be encoded and transported in accordance with Annex A of ATSC A/53 Part 4 [6]. Some of the text from A/53 Part 4 is reproduced in this section for the convenience of the reader. Active Format Description (AFD) should be included in an SEI message whenever the rectangular picture area containing useful information does not extend to the full height or width of the coded frame. AFD data may also be included in user data when the rectangular picture area containing useful information extends to the full height and width of the coded frame.

When present, the AFD shall be carried within the SEI RBSP of the video Elementary Stream. For each SRAP Picture the default aspect ratio of the area of interest shall be set as signalled by the Supplemental Enhancement Information parameters. After introduction, an AFD shall remain in effect until the next SRAP or until another AFD value is introduced. Receivers should interpret the absence of AFD in a sequence start to mean the active format is the same as the coded frame, corresponding to AFD value '1000' (see Table 18).

Note: The AFD syntax as shown here, starting with the `afd_data` of Table 18: Active Format Description Syntax for AVC video (which is the `user_structure()` of Table 12: Common Data Syntax ) is syntactically identical to that specified in ETSI TS 101 154 [7], and is reprinted here with permission. Semantics are documented in Section 8.2.6 and some are intentionally different.

### **8.2.5. AFD Syntax**

`afd_data()` shall be carried as specified in Section 8.1. Table 18 describes the syntax of the Active Format Description.

**Table 18 - Active Format Description Syntax for AVC video**

| Syntax                           | No. of Bits | Format    |
|----------------------------------|-------------|-----------|
| afd_data() {                     |             |           |
| zero_bit                         | 1           | '0'       |
| active_format_flag               | 1           | bslbf     |
| alignment_bits                   | 6           | '00 0001' |
| if (active_format_flag == '1') { |             |           |
| reserved                         | 4           | '1111'    |
| active_format                    | 4           | bslbf     |
| }                                |             |           |

### 8.2.6. AFD Semantics

active\_format\_flag – A 1 bit flag. A value of '1' indicates that an active format is described in this data structure.

active\_format – A 4 bit field describing the area of interest in terms of its aspect ratio within the coded frame as defined in AVC [3]. Table 19 defines the coding of the active\_format field that shall be used.

The active\_format is used by the receiver in conjunction with picture size and shape information as indicated in the sequence parameter set RBSP and the VUI parameters. In particular, the picture width, picture height, frame cropping information, and sample aspect ratio are important for proper use of active\_format. (see AVC [3].)

The combination of source aspect ratio and active\_format allows the receiver to identify whether the area of interest is the whole of the frame (e.g., source aspect ratio 16:9, active\_format 16:9 center), a letterbox within the frame (e.g., source aspect ratio 4:3, active\_format 16:9 center), or a pillarbox within the frame (e.g., source aspect ratio 16:9, active\_format 4:3 center).

**Table 19 - Active Format**

| active_format   | Description                                   |  |
|-----------------|---|--|
|                 | 4:3 coded frames                              | 16:9 coded frames                              |
| '0000'          | undefined (see below)                         | undefined (see below)                          |
| '0001'          | Reserved                                      | Reserved                                       |
| '0010' – '0011' | Not recommended                               | Not recommended                                |
| '0100'          | Aspect ratio greater than 16:9 (see below)    | Aspect ratio greater than 16:9 (see below)     |
| '0101' – '0111' | Reserved                                      | Reserved                                       |
| '1000'          | 4:3 full frame image                          | 16:9 full frame image                          |
| '1001'          | 4:3 full frame image                          | 4:3 pillarbox image                            |
| '1010'          | 16:9 letterbox image                          | 16:9 full frame image                          |
| '1011'          | 14:9 letterbox image                          | 14:9 pillarbox image                           |
| '1100'          | Reserved                                      | Reserved                                       |
| '1101'          | 4:3 full frame image, alternative 14:9 center | 4:3 pillarbox image, alternative 14:9 center   |
| '1110'          | 16:9 letterbox image, alternative 14:9 center | 16:9 full frame image, alternative 14:9 center |
| '1111'          | 16:9 letterbox image, alternative 4:3 center  | 16:9 full frame image, alternative 4:3 center  |

AFD '0000' indicates that information is not available and is undefined. Unless bar data is available, DTV receivers and video equipment should interpret the active image area as being the same as that of the coded frame.

AFD '0000', when accompanied by bar data, signals that the image's aspect ratio is narrower than 16:9, but is not either 4:3 or 14:9. The bar data should be used to determine the extent of the image.

AFD '0100', which should be accompanied by bar data, signals that the image's aspect ratio is wider than 16:9, as is typically the case with widescreen features. The bar data should be used to determine the height of the image.

Use of '0010' or '0011' is not recommended in the SCTE television system. Values '0001', '0101' through '0111' and '1100' are reserved.

### **8.2.7. Recommended Receiver Response to AFD**

Receiving device designers are strongly encouraged to study the Consumer Technology Association (CTA) bulletin CEB16 [22], which contains recommendations regarding the processing of AFD. In several instances, a variety of design choices are possible when processing a given AFD value for display and the recommendation identifies one preferred method.

### **8.2.8. Relationship Between Bar Data and AFD (Informative)**

Certain combinations of Active Format Description and bar data may be present in an SEI message (either, neither, or both). Note that AFD data may not always exactly match bar data because AFD only deals with 4:3, 14:9, and 16:9 aspect ratios while bar data may represent nearly any aspect ratio. When AFD and bar data are present together, AFD should be used in preference to bar data, except in the cases of AFD '0000' and '0100', where bar data should be used in concert with AFD as described above.

### **8.2.9. Encoding and transport of SCTE DM App #1**

SCTE DM App #1 data, when present, shall be encoded and transported using the ATSC1\_data() structure defined in Table 14 and the assigned value for user\_data\_type\_code shown in Table 15. The syntax and semantics of the data structure for SCTE DM App #1 data structure are defined in SCTE 215-1-1 Appendix A [1]. When SCTE DM App #1 data is present, the bitstream containing SCTE DM App #1 data shall be in accordance with the constraints of SCTE 215-1-1 [1].

### **8.2.10. Encoding and transport of ST2094-10 data**

ST2094-10 data, when present, shall be encoded and transported in accordance with clause 6.3.2.2.1 of ATSC A/341 [29].

## **9. Support for AVC Still Pictures**

AVC still pictures may be used in transport multiplex and when used shall comply with the following picture coding constraints. Transport constraints for AVC still pictures are found in SCTE 128 Part 2 Section 9.0

- The still picture coding shall comply with Section 2.1.5 of 13818-1 [2]. In addition, still picture applications should conform to the video coding constraints (except frame rate) specified in tables 7, 8, 9A, 9B and 9C of this Part of SCTE 128.

- `Low_delay_hrd_flag` (as defined in AVC [3]) may be either set to '0' or '1'. Still picture applications should follow the coding constraints specified in section 7.2.1.6 of this Part of SCTE 128.
- The time interval between successive still pictures shall be less than or equal to 60 seconds.
- The `fixed_frame_rate_flag` is set to '0' in the VUI (per Table 7 of this Part of SCTE 128).

## **APPENDIX A AU\_information in Adaptation Field Private Data (Deprecated)**

This appendix is specified in SCTE 128 Part 2.

# APPENDIX B Encoding Guidelines to Enable Trick Play Support of AVC Streams (Deprecated)

## 1. Introduction

### 1.1. Overview

This appendix discusses informative guidelines on the encoding of AVC elementary streams (bitstreams) to enable support of trick play modes. MPEG-2 personal video recording devices are increasingly being used in the marketplace and it is reasonable to expect this trend to continue. It is important to recognize that the unofficial widely-adopted methods of MPEG-2 encoding directly enabled many of the techniques currently used to achieve trick mode functionality. Note that MPEG-2 video may be encoded in a manner that makes PVR very difficult but since most encoders encoded bitstreams in a “PVR-friendly” manner, this was not an issue with MPEG-2 bitstreams. Currently, the lack of syntax and semantics constraints on AVC bitstreams combined with the rich set of video coding tools in AVC allows for a wide variety of potential bitstreams with some being very problematic for any type of sophisticated bitstream manipulation such as the trick modes in AVC PVR implementations. For these reasons, the guidelines in this appendix were constructed to assist encoders to create AVC bitstreams that are “PVR-friendly”. Note that this appendix is informative since it is understood that enabling trick play support is an optional feature that may or may not be appropriate depending on its intended use.

### 1.2. Technical Requirements

One class of trick play modes consists of the desire to play back the video at a speed that is a multiple of real-time playback. Let a  $Nx$  trick play mode (where  $N$  is a positive number greater than 1) represent video playback at a speed of  $N$  times real-time playback. For example, a  $3x$  trick play mode may be desired which would allow a user to fast forward through a program three times as fast as normal playback, i.e., in one-third the time. It is often desired for these trick modes to be relatively “smooth”, i.e., an  $Nx$  trick mode (where  $N$  is a positive integer) requires (at least approximately) every  $N$ th picture in the bitstream to be displayed. For example, repeating every thirtieth picture ten times would not constitute a “smooth”  $3x$  trick mode using this definition. This “smooth” requirement need not be required for very fast trick modes like  $15x$  or  $30x$  fast forward since the human visual system is unable to process such rapid motion. However, this requirement may be desirable for trick modes such as  $2x$  and  $3x$  fast forward to obtain the satisfactory visual appearance of moving objects during the trick play.

In general, without any encoding constraints, the minimum requirement to implement trick modes is for the decoding to be done at the same speed as the desired trick mode to ensure that every prediction region is available for use in the motion compensation process, e.g., a decoder that runs at three times the normal speed of decoding is needed to guarantee  $3x$  fast forward functionality. Note that this is a significant increase from the minimum requirement needed for normal playback. This approach has been done before for trick play with MPEG-2 standard definition content but is not practical or cost effective for many current and future applications. For example, decoding HD AVC video at three times the normal decoding speed is currently not possible in a cost-efficient fashion and even if this increased capability were made available in the future, it may not be desirable because of the increased cost relative to the minimum requirement for normal playback. This leads to a key technical assumption for the cost-effective implementation of trick play modes:

- Encoding intended for trick-play will be done in such a way that it does not burden decoders to decode pictures at a rate faster than normal playback to implement a trick play mode.

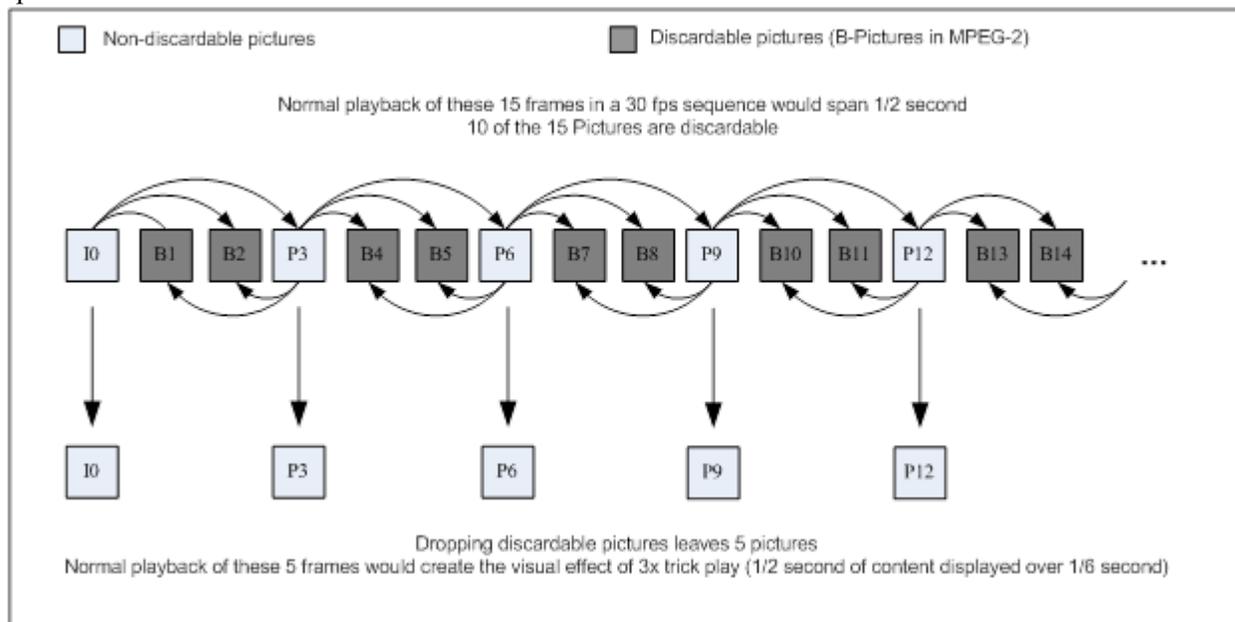
## 2. Discardable Pictures

Many PVR implementations drop pictures in the bitstream (i.e., skip over and do not present these pictures to the decoder) to circumvent the need to decode bitstreams at speeds that are a multiple of real-time decoding. The visual effect of decoding at a multiple of real-time decoding may then be achieved using a normal decoder. This is only possible if all the dropped pictures are not needed as reference frames for the pictures that are to be displayed. Pictures that can be dropped without affecting the decoding of other pictures are termed “discardable” pictures. The following sections will discuss how the “discardable” pictures concept was exploited in MPEG-2 trick play implementations and then how this same concept may be used to implement AVC trick play.

### 2.1. MPEG-2 Discardable Pictures

In the MPEG-2 video standard, B-pictures are not allowed to be used as reference pictures for motion compensation. This has a significant benefit for trick play modes since any B-pictures in a MPEG-2 bitstream may be dropped without affecting the decodability of other pictures. The “discardability” property of B-pictures is commonly used by many MPEG-2 trick mode implementations.

Figure 2 illustrates the unofficial but widely-adopted MPEG-2 Group of Pictures (GOP) structure, the IBBP GOP structure, which has two B-pictures placed between every pair of anchor I- and/or P-pictures. By dropping the B-pictures in this type of stream and passing the remaining pictures to the decoder, the visual effect of 3x fast forward trick play may be implemented with a decoder running at normal playback speed.

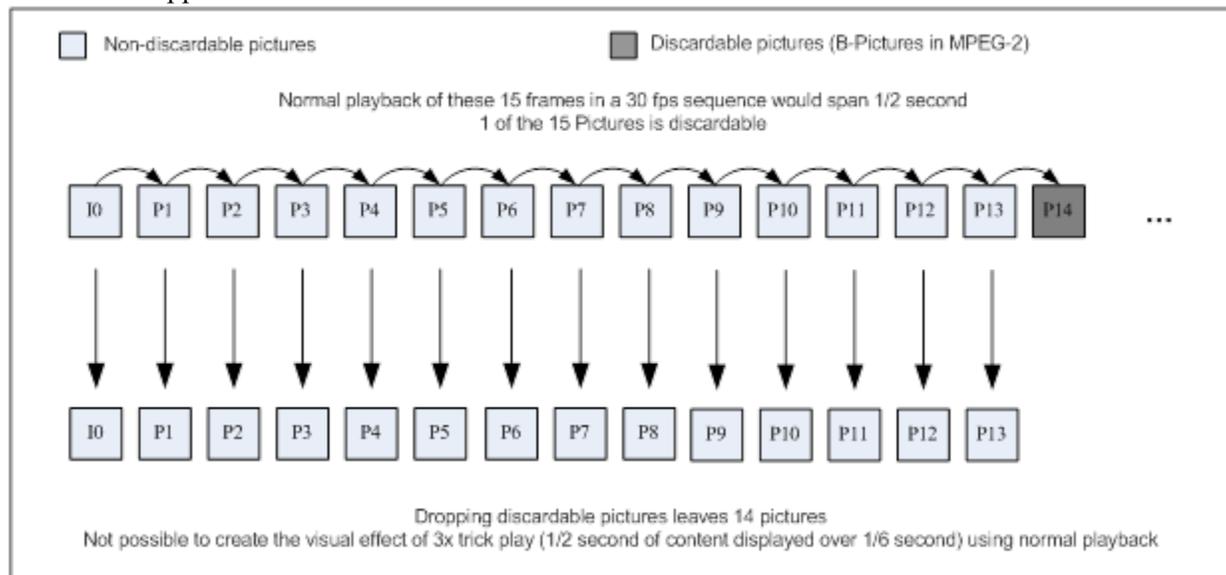


**Figure 2 - Example of achieving a 3x trickplay mode from a common MPEG-2 GOP structure (IBBP)**

Figure 3 illustrates a MPEG-2 GOP structure, the IPPP GOP structure, where no B pictures are placed between every pair of anchor I- and/or P- pictures. Note that this structure is compliant to MPEG-2 but the technique of dropping B-pictures described above does not create a 3x trick play mode with this MPEG-2 coding structure since there are not enough B-pictures to drop (there is only one discardable picture at the end of the GOP). In this case, a decoder that is able to run at N times normal decoding speed

is necessary to support N times fast forward trick play since every picture is dependent on the previous picture in the GOP.

Note that the problematic effect on PVR of a bitstream with a coding structure as shown in Figure 3 has often been overlooked and not usually an issue because this type of MPEG-2 GOP structure is rarely used in broadcast applications.



**Figure 3 - Example of a compliant MPEG-2 GOP structure (IPPP)**

**that is unable to achieve 3x trick play by discarding pictures**

## 2.2. AVC Discardable Pictures

The AVC compression standard has some substantial differences compared to MPEG-2 that significantly affect the picture coding structure and complicate trick mode implementations. These include the fact that B-pictures may be used as reference pictures for prediction, i.e., not all B-pictures are discardable as in MPEG-2. Note that the discardability of pictures is specifically indicated in the AVC standard by the `nal_ref_idc` flag in the NAL header (`nal_ref_idc = 0` indicates a discardable picture). Therefore, for AVC bitstreams, the important factor in trick mode functionality is the location of discardable pictures, not the location of B-pictures as in MPEG-2. The presence of discardable pictures determines the feasibility of dropping pictures that are not needed for display to achieve the visual effect of a trick play mode.

## 2.3. Discardable Pictures and Trick Play Speeds

The percentage of pictures in the bitstream that are discardable determines the maximum trick play speed that could be achieved by just dropping discardable pictures while operating the decoder at normal processing speeds. The formula below may be used to associate the percentage of discardable pictures with the maximum trick play speed that could be achieved by dropping discardable pictures:

Trick Play Speed =  $100 / (100 - X)$  where X is the percentage of discardable pictures

Examples using common ratios of discardable pictures are listed in Table 20:

**Table 20 - Discardable Picture Percentages and Maximum Achievable Trick Play Speeds by Discard Process**

| Percentage of Discardable Pictures | Maximum Trick Play Speed Achievable By Dropping Pictures |
|------------------------------------|--|
| 16% (1/6 of the pictures)          | 1.2x   |
| 20% (1/5 of the pictures)          | 1.25x  |
| 25% (1/4 of the pictures)          | 1.33x  |
| 33% (1/3 of the pictures)          | 1.5x   |
| 50% (1/2 of the pictures)          | 2x   |
| 66% (2/3 of the pictures)          | 3x   |
| 75% (3/4 of the pictures)          | 4x   |

Trick play speeds slower than the maximum achievable by dropping pictures may always be created by choosing to display some of the discardable pictures.

## 2.4. Smooth Trick Play and Compression Efficiency

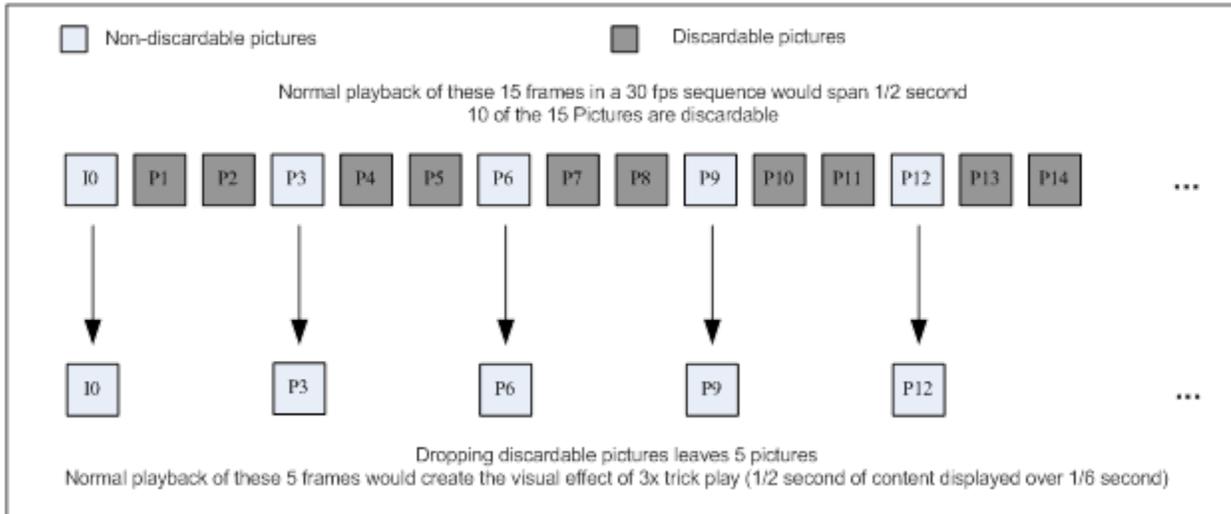
Constraining a certain percentage of pictures in the bitstream to be discardable is necessary to enable the technique of dropping discardable pictures to achieve a trick play mode. However, it is important to recognize that determining the interval period between pictures where this percentage is constrained has a tradeoff between whether a smooth trick play is achieved and the coding structure which is able to impact coding efficiency. For example, Figure 4 and Figure 5 both illustrate coding structures with 66% of its pictures as discardable pictures (in both cases 10 of the 15 total pictures are discarded).

Figure 4 has a more regular discardable picture structure and represents the further requirement of 2 out of every 3 pictures to be discardable. Dropping the discardable pictures in Figure 4 may result in smooth 3x playback since every third picture in the original stream remains. However, note that the tradeoff for the ability to create a smooth 3x trick play is that the discardable picture structure places a tight constraint on the encoding which could reduce compression efficiency

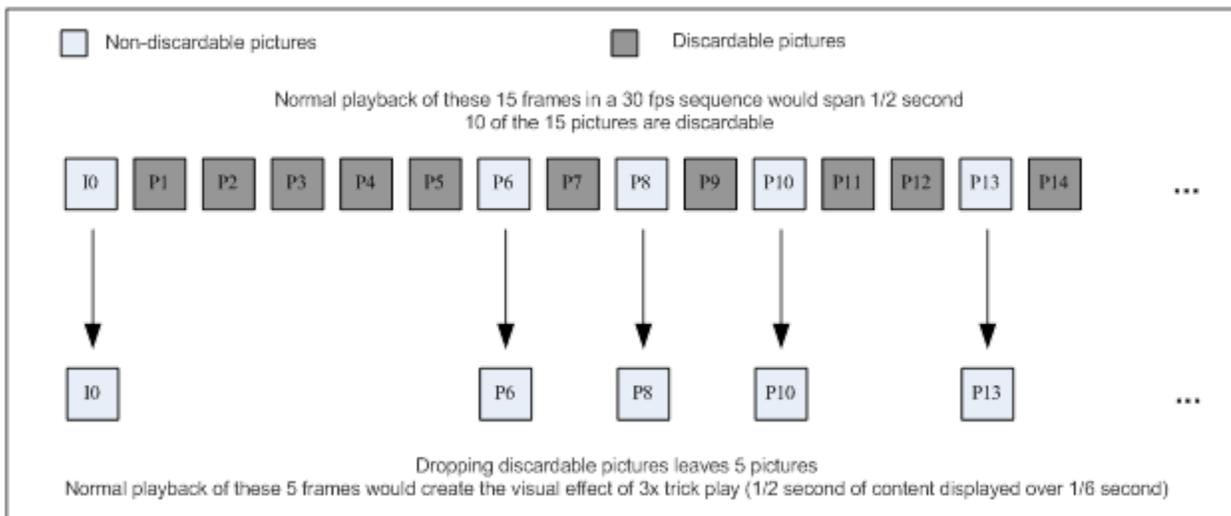
Ten out of the 15 total pictures in Figure 5 are discardable as in Figure 4, but its discardable picture structure is not as regular. Dropping the discardable pictures in Figure 5 might not result in a smooth trick play experience as in Figure 4. However, note that dropping discardable pictures may still be used to achieve the visual effect of playing through the content at three times the speed (since 5 frames remain) but without the serious constraint on the encoding.

Note: Although structure may not always guarantee smooth playback, there are methods that could create an appearance of smoother playback by means outside of this appendix.

To enable trick play support and still facilitate maximum compression efficiency, the percentage of discardable pictures should be calculated over the length of a SGOP (which, at the maximum 1 second time interval between the Decoding Time Stamps of two successive SRAP pictures, may be up to 60 pictures). Encoding for the smoothest trick-play should distribute discardable pictures evenly in time throughout the SGOP.



**Figure 4 - Coding Structure with 2 Out of Every 3 Pictures as Discardable Pictures  
(The Discardable Pictures Are Inserted Consistently)**



**Figure 5 - Coding Structure with 10 out of Every 15 Pictures as Discardable Pictures  
(The Discardable Pictures Are Not Inserted Consistently)**