Non-Asymptotic Analysis of Single-Receiver Channels with Limited Feedback

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> Ph.D. Defense Aug. 29, 2022

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Motivation

2 Dissertation

- Moderate Deviations Analysis of Point-to-Point Channels
- Variable-Length Sparse Stop-Feedback Codes
- Random Access Channels with Sparse Stop-Feedback

3 Conclusion and Future Directions

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3 Conclusion and Future Directions

5G and newer generation networks offer three new service categories

- Ultra-reliable low-latency communication
 - Delay-sensitive, mission critical applications (tele-surgery, factory automation)
- Enhanced mobile broadband
 - High bandwidth and low power consumption requirements (HD video streaming, virtual reality)
- Massive machine-type communication
 - Massive and unknown number of communicating devices with low power consumption (Internet of Things, smart cities, smart grids)

Goal: Design coding schemes that are suitable for applications like these, analyze their performance, and understand the fundamental limits from an information-theoretic perspective.

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Applications with Stringent Requirements



1 ms latency $\approx n = 100-200$

M. Shirvanimoghaddam et al., "Short Block-Length Codes for Ultra-Reliable Low Latency Communications", IEEE Commun. Mag., Feb. 2019.

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- $M = \text{codebook size}, n = \text{blocklength}, \epsilon = \text{average error probability}, [M] \triangleq \{1, \dots, M\}.$
- Fundamental limit: $M^*(n,\epsilon) =$ maximum achievable codebook size compatible with n and ϵ
- Goal: Compute $M^*(n,\epsilon)$ and find the optimal codes that achieve it
- Problem: Exact computation of $M^*(n, \epsilon)$ is intractable
- Solution: Derive non-asymptotic bounds

$$\underline{M}^*(n,\epsilon) \le M^*(n,\epsilon) \le \overline{M}^*(n,\epsilon)$$

(a) < (a) < (b) < (b)

• Example of non-asymptotic bound [Polyanskiy 10', random coding union bound]:

 $\underline{M}^*(n,\epsilon) = \max\{M \colon \mathbb{E}\left[\min\{1, (M-1)\mathbb{P}\left[\imath(\bar{X}^n; Y^n) \ge \imath(X^n; Y^n) | X^n, Y^n\right]\}\right] \le \epsilon\}$

- The "solution" is an optimization problem
 - ▶ it does not make clear how $M^*(n,\epsilon)$ varies with $(P_{Y|X},n,\epsilon)$
 - even approximately computing it is nontrivial
- We are interested in asymptotic expansions (Taylor-like expansions of $\frac{\log M^*(n,\epsilon)}{n}$ around capacity) that
 - ▶ are tight for $(P_{Y|X}, n, \epsilon)$ of interest
 - ▶ inform about how $M^*(n, \epsilon)$ varies with $(P_{Y|X}, n, \epsilon)$
 - cover a variety of channels
- Analyzing $M^*(n, \epsilon)$ as $n \to \infty$ is useful!

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Error Probability Regimes in Channel Coding

As $n \to \infty,$ we need to specify how ϵ is related to n

• Central limit theorem (CLT) regime:

$$\epsilon \in (0, 1)$$

 $\log M^*(n, \epsilon) = nC - O(\sqrt{n})$
 $C = capacity$

Moderate deviations (MD) regime

$$\epsilon \to 0 \text{ and } -\frac{1}{n}\log\epsilon \to 0 \qquad \qquad \log M^*(n,\epsilon) = nC - g(n), \quad \sqrt{n} \ll g(n) \ll n$$

• Large deviations (LD) regime:

$$\begin{aligned} \epsilon &\approx e^{-nE(R)} \\ \log M^*(n,\epsilon) &= nR, \quad R < C \end{aligned}$$

MD regime is relevant to ultra-reliable short-blocklength regime where both ϵ and n are small. CLT and LD regimes fail to capture this regime.

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• [Strassen 62'] and [Polyanskiy et al. 10'] show

$$\log M^*(n,\epsilon) = \underbrace{nC - \sqrt{nVQ^{-1}(\epsilon)}}_{O(\log n)} + O(\log n)$$

Gaussian approximation

C = capacity

V = dispersion (a quantity that depends only on $P_{Y|X}$)

 $Q^{-1}(\,\cdot\,)=$ inverse of $Q(\,\cdot\,),$ complementary cumulative distribution function of $\mathcal{N}(0,1)$



How do asymptotic expansions for $\log M^*$ perform?



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Moderate Deviations Analysis of Point-to-Point Channels

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Non-Gaussianity:

$$\zeta(n,\epsilon) \triangleq \log M^*(n,\epsilon) - \underbrace{\left(nC - \sqrt{nV}Q^{-1}(\epsilon)\right)}_{\text{Gaussian approximation}}$$

 CLT: [Polyanskiy et al. 10'] (achievability) and [Tomamichel-Tan 13'] (converse): for nonsingular channels

excludes a family of erasure channels

$$\zeta(n,\epsilon) = \frac{1}{2}\log n + O(1)$$

2 CLT: [Moulin 17']: for nonsingular channels with a regularity condition (excludes the BSC)

$$\zeta(n,\epsilon) \ge \frac{1}{2}\log n + \underline{S}Q^{-1}(\epsilon)^2 + \underline{B} + o(1)$$

$$\zeta(n,\epsilon) \le \frac{1}{2}\log n + \overline{S}Q^{-1}(\epsilon)^2 + \overline{B} + o(1)$$

where $\underline{S},\overline{S},\underline{B},$ and \overline{B} depend only on $P_{Y|X}$

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• MD: [Altuğ and Wagner 14']:

$$\zeta(n,\epsilon_n) = o(\sqrt{n}Q^{-1}(\epsilon_n))$$

Gaussian approximation (without $O(\log n)$ term) is valid in the MD regime

• Question: How does the non-Gaussianity $\zeta(n, \epsilon_n)$ scale in the MD regime?

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• A new operational quantity: Channel skewness

$$S \triangleq \liminf_{\epsilon \to 0} \liminf_{n \to \infty} \frac{\zeta(n, \epsilon) - \frac{1}{2} \log n}{(Q^{-1}(\epsilon))^2}$$

We are expecting:

$$\log M^*(n,\epsilon_n) = nC - \sqrt{nV}Q^{-1}(\epsilon_n) + \frac{1}{2}\log n + SQ^{-1}(\epsilon_n)^2 + o(Q^{-1}(\epsilon_n)^2)$$

• Information density: $i(X;Y) \triangleq \log \frac{P_{Y|X}(Y|X)}{P_Y(Y)}$ under some fixed input distribution P_X

$$C = \mathbb{E} \left[i(X;Y) \right] V = \operatorname{Var} \left[i(X;Y) \right]$$
 under capacity-achieving P_X

S = governed by the third central moment of information density

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 ϵ_n in MD regime: $-\frac{1}{n}\log\epsilon_n \to 0$, $\epsilon_n \to 0$

Theorem 1

MD: for nonsingular discrete memoryless point-to-point channels

$$\zeta(n,\epsilon_n) \ge \frac{1}{2}\log n + \underline{S} Q^{-1}(\epsilon_n)^2 + O\left(\frac{Q^{-1}(\epsilon_n)^3}{\sqrt{n}}\right) + O(1)$$

$$\zeta(n,\epsilon_n) \le \frac{1}{2}\log n + \overline{S} Q^{-1}(\epsilon_n)^2 + O\left(\frac{Q^{-1}(\epsilon_n)^3}{\sqrt{n}}\right) + O(1)$$

- \underline{S} and \overline{S} are the same as Moulin's bounds, and our results apply to a wider class of channels
- \underline{S} and \overline{S} are easy-to-compute constants that depend only on the channel $P_{Y|X}$ and are related to $\imath(X;Y)$
- \underline{S} and \overline{S} give lower and upper bounds for channel skewness S
- $\left| \frac{1}{2} \log n + O(1) \right|$ is no longer accurate because as $n \to \infty$, $\epsilon_n \to 0$ and $Q^{-1}(\epsilon_n)^2 \to \infty$

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• Lower bound is achieved using i.i.d. random codewords drawn from a distribution P_X that is shifted from the capacity-achieving P_X^*

$$P_X = P_X^* + rac{Q^{-1}(\epsilon_n)}{\sqrt{n}}\mathbf{h}$$

 $\mathbf{h} = \mathbf{a}$ vector that is a function of $P_{Y|X}$

• For Cover-Thomas symmetric channels (all rows (resp. columns) are permutation of each other), e.g., BSC

$$S = \overline{S} = \underline{S} = \frac{\mathrm{Sk}(P_X^*)\sqrt{V}}{6} + \frac{1}{2}$$
$$P_X = P_X^*$$
$$\mathrm{Sk}(P_X^*) = \mathrm{skewness of } \imath(X;Y) \text{ at } P_X^*$$

• For the Gaussian channel, we compute the channel skewness S(P) exactly as a function of power P

(a) < (a) < (b) < (b)

Comparison of Our Approximation to Existing Work



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Moderate Deviations Analysis of Point-to-Point Channels

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• We relax the random coding union bound from [Polyanskiy et al. 10'] as

$$P_{\text{error}} \leq \mathbb{E} \left[\min\{1, (M-1)\mathbb{P} \left[i(\bar{X}^n; Y^n) \geq i(X^n; Y^n) | X^n, Y^n \right] \} \right] \\ \leq \mathbb{P} \left[i(X^n; Y^n) < \tau \right] + (M-1)\mathbb{P} \left[i(\bar{X}^n; Y^n) \geq i(X^n; Y^n) \geq \tau \right]$$

where \bar{X}^n is a sample from the codebook that is independent of Y^n .

- Relaxation of the ML decoder (information density threshold rule + ML rule)
- Advantageous because we can analyze each probability term separately

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• The optimal allocation of ϵ_n (equivalently, the optimal τ) is:

$$\underbrace{\mathbb{P}\left[\iota(X^{n};Y^{n})<\tau\right]}_{\epsilon_{n}-\epsilon_{n}\frac{Q^{-1}(\epsilon_{n})}{\sqrt{nV(P_{X})}}} + \underbrace{(M-1)\mathbb{P}\left[\iota(\bar{X}^{n};Y^{n})\geq\iota(X^{n};Y^{n})\geq\tau\right]}_{\epsilon_{n}\frac{Q^{-1}(\epsilon_{n})}{\sqrt{nV(P_{X})}}}$$

• $\mathbb{P}[\imath(X^n; Y^n) < \tau]$: MD regime of probability theory $\mathbb{P}[\imath(\bar{X}^n; Y^n) \ge \imath(X^n; Y^n) \ge \tau]$: LD regime of probability theory

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Theorem 2 (Petrov Expansion)

Let X_1, \ldots, X_n be i.i.d., $\mathbb{E}[X_1] = 0$ and $\operatorname{Var}[X] = \sigma^2$. Let $x = o(\sqrt{n})$, and $x \ge 0$. Under Cramér's condition, i.e., $\mathbb{E}[e^{tX}] < \infty$ in the neighborhood of zero,

$$\mathbb{P}\left[\sum_{i=1}^{n} X_i \ge \sqrt{n\sigma^2}x\right] = Q(x) \exp\left(\frac{x^3 \operatorname{Sk}(X_1)}{6\sqrt{n}} + O\left(\frac{x^4}{n}\right)\right) \left(1 + O\left(\frac{1+x}{\sqrt{n}}\right)\right)$$
$$\mathsf{k}(X_1) \triangleq \frac{\mathbb{E}[X_1^3]}{\sigma^3}.$$

• It is an asymptotic equality

where S

- It has a multiplicative correction term to Gaussian approximation Q(x)
- Skewness $Sk(X_1)$ dominates the correction term

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• $\mathbb{P}[\imath(X^n; Y^n) < \tau]$: Apply Petrov expansion $\mathbb{P}[\imath(\bar{X}^n; Y^n) \ge \imath(X^n; Y^n) \ge \tau]$: Apply strong large deviations theorem to get

$$\log M^* \ge nI(P_X) - \sqrt{nV(P_X)}Q^{-1}(\epsilon_n) + \frac{1}{2}\log n + Q^{-1}(\epsilon_n)^2 \left(\frac{\mathrm{Sk}(P_X)\sqrt{V(P_X)}}{6} + \frac{1 - \eta(P_X)}{2(1 + \eta(P_X))}\right) + O\left(\frac{Q^{-1}(\epsilon_n)^3}{\sqrt{n}}\right) + O(1)$$

• Take Taylor series expansions around the capacity-achieving P_X^* .

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1 In the MD regime of channel coding:

- ▶ We derive easy-to-compute lower and upper bounds to the non-Gaussianity
- ▶ For symmetric channels, the bounds match each other, and channel skewness S is governed by the skewness of information density i(X; Y)
- Our MD approximation is more accurate than the CLT approximation of Polyanskiy, especially for lower error probabilities (e.g., $\epsilon \leq 10^{-6}$)
- ${\it 20}$ For some non-symmetric channels, capacity-achieving distribution does not achieve S.
- **3** We compute the skewness of the Gaussian channel.

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Variable-length: Decoding occurs at a random time depending on channel outputs

Stop-feedback: 1 bit feedback whenever a decoding attempt is made

Higher reliability: Earlier decoding when the noise is low, later decoding when the noise is high

Variable-Length Sparse Stop-Feedback Codes

• VLSF code with $L = \infty$ decoding times [Polyanskiy et al. 11'], [Burnashev 76']: Impractical



- Transmitter constantly listens to the feedback signal \implies High power consumption
- Half duplex devices cannot transmit and receive signals at the same time round trip delay
- Practical codes such has HARQ schemes employ incremental redundancy which has sporadic feedback
- VLSF code with constant *L* decoding times (this work)



Feedback is sporadic

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No-Feedback Codes vs. VLSF Codes



L=# of available decoding times

What rate can we achieve with several decoding times?

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Encoding function $f_t : [M] \to \mathcal{X}$:

$$X_t = \mathsf{f}_t(W), \quad t \in \mathbb{N}_+$$

where $W \sim \text{Unif}([M])$.

Decoding function $g_t: \mathcal{Y}^t \to [M]$: provides the estimate of W at time $t \in \{n_1, n_2, \ldots, n_L\}$.



Stopping time: $\tau \in \{n_i\}_{i=1}^L$ adapted to the filtration generated by $\{Y^{n_i}\}_{i=1}^L$ Decoded message: $\hat{W} = g_{\tau}(Y^{\tau})$

Goal: Find

$$\begin{array}{c} M^*(N,L,\epsilon) \triangleq \max_{n_1,\ldots,n_L} & M \\ & \text{s.t.} \quad \mathbb{E}\left[\tau\right] \leq N \\ & \mathbb{P}\left[\hat{W} \neq W\right] \leq \epsilon \end{array}$$

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Variable-Length Sparse Stop-Feedback Codes

 $L = \infty$:

- [Burnashev 76']: error exponent $\lim_{\epsilon \to 0} \frac{-\log \epsilon}{\mathbb{E}[\tau]}$ for the discrete memoryless point-to-point channel as $N \to \infty$
- [Polyanskiy et al. 11']: VLSF codes in the CLT regime

$$\frac{NC}{1-\epsilon} - \log N + O(1) \le \log M^*(N, \infty, \epsilon) \le \frac{NC}{1-\epsilon} + O(1)$$
$$\log M^*(N, 1, \epsilon) = NC - \sqrt{NV}Q^{-1}(\epsilon) + O(\log N)$$

Constant L:

- [Vakilinia et al. 16']: VLSF codes with L decoding times over the binary-input Gaussian channel
- They estimate the statistics of τ through simulation.
- They do not solve the problem analytically \implies no second-order analysis

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Theorem 3 (Achievability)

Fix $L \ge 2$, $\epsilon \in (0,1)$. For discrete memoryless point-to-point channels, it holds that

$$\log M^*(N, L, \epsilon) \ge \frac{NC}{1 - \epsilon} - \sqrt{N \log_{(L-1)}(N) \frac{V}{1 - \epsilon}} + o(\sqrt{N})$$



- Proof analyzes a non-asymptotic bound
- By using refined probability tools and KKT conditions, we approximately optimize the non-asymptotic bound with respect to the choices of n_1, \ldots, n_L

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Figure 1: BSC(0.11), $\epsilon = 10^{-3}$

Diminishing performance improvement as L increases!

Variable-Length Sparse Stop-Feedback Codes

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Sequential Hypothesis Tests (SHTs)

• Consider two hypotheses for the distribution of X^{∞}

 $H_0: X^{\infty} \sim P_0^{\infty}$ $H_1: X^{\infty} \sim P_1^{\infty}$

• At each available decoding time, an SHT chooses between

{Decide H_0 , Decide H_1 , Take new sample(s)}

 Wald's theorem: the optimal SHT is a two-sided threshold test that uses log-likelihood ratio (sequential version of Neyman-Pearson lemma)



Construct the SHT

 $H_0: (X,Y) \sim P_X P_{Y|X} \Longrightarrow$ stop and decode $H_1: (X,Y) \sim P_X P_Y \Longrightarrow$ eliminate from decoding

where P_X is capacity-achieving and run it for all M messages separately

- At time $n_1 = 0$:
 - With probability $p = \epsilon \frac{1}{\sqrt{N \log N}}$, declare H_1 for all $m \in [M]$
 - With probability 1 p, pass $n_1 = 0$ without decoding
- If $n_1 = 0$ is passed, then particularize the SHT to information-density threshold test:

$$\tau_m = \min\{n \in \{n_2, \dots, n_L\} : i(X^n(m); Y^n) \ge \gamma\}$$



 Analyzing this scheme gives us a non-asymptotic bound. Then, we optimize over n₁,..., n_L using KKT conditions.

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Maximal power constraint:

$$\|\mathbf{f}(m)^{n_{\ell}}\|_{2}^{2} \le n_{\ell}P \qquad \forall \ell \in [L], m \in [M]$$

Theorem 4

Fix $L \ge 2$, P > 0, and $\epsilon \in (0, 1)$. $\log M_{\max}^* (N, L, \epsilon, P) \ge \frac{NC(P)}{1 - \epsilon} - \sqrt{N \log_{(L-1)}(N) \frac{V(P)}{1 - \epsilon}} + o(\sqrt{N})$ where $C(P) = \frac{1}{2} \log(1 + P), \quad V(P) = \frac{P(P+2)}{2(P+1)^2}$

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Encoder Design for the Gaussian Channel

• Encoder: we generate codewords uniformly at random over a restricted subset on n_L -dimensional sphere



Figure 2: L = 2, $n_1 = 2, n_2 - n_1 = 1$

Discrete Memoryless Multiple Access Channel (MAC)



- $\{n_1, \ldots, n_L\} =$ the set of available decoding times
- $\tau \in \{n_1, \ldots, n_L\} =$ stopping time

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Variable-Length Sparse Stop-Feedback Codes

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$$X_{[K]} \triangleq X_1, \ldots, X_K$$

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Goal: Find

$$\begin{array}{c} \begin{array}{c} \displaystyle \max_{n_1,\ldots,n_L} & \displaystyle \sum_{k=1}^K \log M_k \\ & \text{s.t.} & \mathbb{E}\left[\tau\right] \leq N \\ & & \mathbb{P}\left[(\hat{W}_1,\ldots,\hat{W}_K) \neq (W_1,\ldots,W_K)\right] \leq \epsilon \end{array}$$

Theorem 5 (Achievability)

There exists a VLSF code with L decoding times for the discrete memoryless MAC satisfying

$$\sum_{k=1}^{K} \log M_k = \frac{N I_K}{1-\epsilon} - \sqrt{N \log_{(L-1)}(N) \frac{V_K}{1-\epsilon}} + o(\sqrt{N})$$

 $I_K = I(X_1, \ldots, X_K; Y), V_K = \text{Var}[i(X_1, \ldots, X_K; Y)]$

• Proof: We employ a single information density threshold decoder $i(X_{[K]}^{n_{\ell}}(m_{[K]}); Y^{n_{\ell}}) \geq \gamma$.

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Second-order achievability bounds for sparse VLSF codes over point-to-point and multiple access channels

• Optimizing the placements of L decoding times is critical to achieve high rates

• A handful of decoding times is almost as good as decoding after every symbol For the BSC(0.11) at N = 1000 and $\epsilon = 10^{-3}$:

• L = 4 achieves 97.0% of the rate achieved by $L = \infty$

• L = 1 achieves 84.2% of the rate achieved by $L = \infty$

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Motivation

2 Dissertation

• Moderate Deviations Analysis of Point-to-Point Channels

• Variable-Length Sparse Stop-Feedback Codes

• Random Access Channels with Sparse Stop-Feedback

3 Conclusion and Future Directions

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Rateless RAC (Random Access Channel) Communication that Uses Stop-Feedback



- **RAC**: A family of MACs up to K transmitters, any $a \leq K$ transmitters can be active
- Compound channel model: No probability of being active is assigned to transmitters
- Agnostic channel model: Nobody knows who are active
- We extend VLSF codes to the RAC
- Available decoding times $= n_{a,1}, \ldots, n_{a,L}$ for decoding $a \in [K]$ messages



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• Presented in the candidacy talk.

Theorem 6 (Achievability)

Fix an input distribution P_X . For a RAC satisfying some mild symmetry conditions, there exists a RAC code with K transmitters provided that

$$a\log M \le N_a I_a - \sqrt{N_a V_a} Q^{-1}(\epsilon_a) - \frac{1}{2}\log N_a + O(1) \qquad \forall \ a \in [K]$$

We achieve the same first- and second-order terms as the best-known codes (e.g., [Tan-Kosut 14'], [Scarlett et al. 15]) for the MAC in operation.

• Proof: At times $n_{1,1}, \ldots, n_{K,1}$, we use information density threshold rule

• Presented in the candidacy talk.

Theorem 7

There exists a RAC code for the Gaussian RAC with K transmitters provided that

$$a\log M \le N_a C(aP) - \sqrt{N_a V_a(P)}Q^{-1}(\epsilon_a) + \frac{1}{2}\log N_a + O(1) \qquad \forall \ a \in [K]$$

where

$$C(P) = \frac{1}{2}\log(1+P), \quad V_a(P) = \frac{(2a^2 - a)P^2 + 2aP}{2(aP+1)^2}$$

• Proof analyzes the error probability of the random code where codewords are generated uniformly on the restricted power sphere

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Theorem 8 (Achievability)

Fix K, $L \ge 2$, $\epsilon \in (0, 1)$, and a distribution P_X . Under some mild symmetry conditions, there exists a VLSF code for the discrete memoryless RAC with L decoding times for each $a \in [K]$ provided that

$$a\log M \le \frac{N_a I_a}{1 - \epsilon_a} - \sqrt{N_a \log_{(L-1)}(N_a) \frac{V_a}{1 - \epsilon_a}} + o(\sqrt{N_a}) \qquad \forall \ a \in [K]$$

We achieve the same first- and second-order terms as the MAC in operation

• **Decoder**: At time n_0 , the decoder applies a multiple hypothesis test to estimate # of active transmitters aIf \hat{a} is decoder's estimate, decoder uses a VLSF code for the \hat{a} -MAC with decoding times $\{n_{\hat{a},1}, \ldots, n_{\hat{a},L}\}$

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Motivation

Dissertation

- Moderate Deviations Analysis of Point-to-Point Channels
- Variable-Length Sparse Stop-Feedback Codes
- Random Access Channels with Sparse Stop-Feedback

3 Conclusion and Future Directions

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- In the low-latency, high-reliability regime, our MD approximation is more accurate than several state-of-the-art approximations
- In this regime, channel skewness cannot be neglected to get tight approximations

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• A handful of decoding times in VLSF codes achieve rates close to those achieved by $L=\infty$

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- For RACs, we achieve the same first- and second-order rates as if the active transmitters are known a priori
- Rateless coding with stop-feedback enables this result

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• Different ways of limiting the feedback in VLSF codes:



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- Coarse feedback: Send R_f bits of feedback at each time
- In many applications, we can send bursty feedback

• A tight converse for VLSF codes with L decoding times is missing

• Towards this goal, we have a non-asymptotic converse bound based on fundamental limits of SHTs This bound seems to be very challenging to analyze

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Future Work and Some Open Problems

• Second-order converse for the RAC result:

- ▶ A second-order converse result for the *K*-MAC is also a converse result for the RAC
- However, it is a long-standing open problem

• [Kosut 22'] proves that the second-order term scales as $-O(\sqrt{N})$

$$K \log M^* = n_K I_K - O(\sqrt{n_K})$$

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Thank you!

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Publications

- 1 R. C. Yavas, V. Kostina, and M. Effros, "Third-order analysis of channel coding in the moderate deviations regime," To be submitted to IT Transactions, Aug. 2022.
- 2 ——, "Third-order analysis of channel coding in the moderate deviations regime," in 2022 IEEE International Symposium on Information Theory (ISIT), June 2022.
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