# Chapter 3: 信道与信道容量

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## 1　信道的基本概念

### 1.1　二进制离散信道 (BSC)

该信道模型的输入和输出信号的符号数都是 2，即 $X \in A = 0\ 1$ 和 $Y \in B = 0, 1$，转移概率为

$$\begin{aligned} p(Y=0|X=1) &= p(Y=1|X=0) = p \\ p(Y=1|X=1) &= p(Y=0|X=0) = 1-p \end{aligned} \tag{1}$$

### 1.2　加性高斯白噪声信道 (AWGN)

$$Y = X + G$$

G 是一个零均值、方差为 $\sigma^2$ 的高斯随机变量，当 $X = a_i$ 给定后，Y 是一个均值为 $a_i$、方差为 $\sigma^2$ 的高斯随机变量

$$p_Y(y|a_i) = \frac{1}{\sqrt{2\pi\sigma^2}} e^{-(y-a_i)^2/2\sigma^2}$$

## 2　信道

信道可以看成是转移概率

对于信息 $M \in \mathcal{M}$，传输速率 $R = \frac{log(\mathcal{M})}{n}$，信道传输的过程即可表示为:

$$M \to x^n(M) \xrightarrow{p(y|x)} y^n \to \hat{M}$$

1. 设计一个方案，该方案可以达到某传输概率

2. 证明超出该传输速率无法传输 $\iff$ 能够传输的都不超过这个速率

## 2.1 1. 设计方案

### 2.1.1 典型序列

Define: $x^n$ is (n, $\varepsilon$) typical, when $|N(x|x^n) - p(x)| < \varepsilon n$, for all $x \in \mathcal{X}$, where $N(x|x^n)$ is the empirical distribution.

$Pr(x^n istypical) \to 1$, when n $\to \infty$, which can be proved by Law of Large Numbers

## 2.2 典型集

Set $T(n, \varepsilon)$ 为典型序列的集合

1. $Pr(x^n \in T(n, \varepsilon)) \to 1$

2. $|T(n, \varepsilon)| \approx 2^{nH(x)}$

   2.1 $x^n \in T(\varepsilon, n), p(X^n = x^n) \approx 2^{-nH(x)}$

### 2.2.1 Proof

$$p(x^n) = \prod_{i=1}^{n} p(x_i) = \prod_{x \in \mathcal{X}} p(x)^{N(x|x^n)n} (*)$$

$\Rightarrow$ 所有典型序列的概率都差不多大

$$log(*) = \sum_{x \in \mathcal{X}} nN(x|x^n) logp(x) \approx n \sum_{x \in \mathcal{X}} p(x) logp(x) = -nH(x)$$

Pr($x^n$: $x^n$ is typical) = * $\approx 2^{-nH(x)}$

### 2.3 典型集和散度的关系

$Pr(x^n \in T(n,\varepsilon)) =?$
$x^n \in T(n,\varepsilon), N(x|x^n)\ p(x)$

$$\begin{aligned} Pr(x^n) &= \prod q(x)^{nN(x|x^n)} \\ &\approx \prod q(x)^{np(x)} \\ &= 2^{log \prod q(x)^{np(x)}} \\ &= 2^{np(x) \sum logq(x)} \\ &= 2^{-np(x) log \frac{1}{q(x)}} \end{aligned} \tag{2}$$

$$\begin{aligned} Pr(T(n,\varepsilon)) &= \sum_{x^n \in T(\varepsilon,n)} Pr(x^n) \\ &\approx 2^{-np(x) logp(x)} * 2^{-np(x) log \frac{1}{q(x)}} \\ &= 2^{-nD(p||q)} \end{aligned} \tag{3}$$

### 2.4 条件典型集

典型条件集的大小：$2^{nH(Y|X)}$

## 3 随机码簿 (Random Codebook)

$X - Y, p(y|x)$，n 长编码，$|M| \approx 2^{nI(X;Y)}$
具体步骤如下：

1. 生成码簿：给定一个概率 $p(x)$，按 $p(x)$ $i.i.d.$ 生成 $x^n(i)$ 序列，重复 $2^{nI(X;Y)}$ 次
2. 发送 $x^n(M)$
3. 解码：$y^n$ 查表寻找 $(x^n(i), y^n)$ 联合典型
4. 错误率分析：
    (a) 错误一：发送 $x^n$，但收到的 $y^n$ 和 $x^n$ 不联合典型

(b) 错误二：发送 $x^n$，收到 $y^n$，但存在 $(x^n)'$ 与 $y^n$ 联合典型

$$p(mistake1 \cup mistake2) \leq p(mistake1) + p(mistake2)$$

1. $p(mistake1) \to 0$, when $n \to \infty$(由大数定律可知)

2. $p(mistake2) \to 0$, when $|M| \leq 2^{nI(X;Y)}$

$$\begin{aligned} p(mistake2) &\leq \sum_{x^n \neq (x^n)'} p((x^n)', y^n) \\ &= 2^{n[I(X;Y)-\varepsilon]} - 2^{-nI(X;Y)} \end{aligned} \tag{4}$$

# 4 Converse theory of channel capacity

假设 $|M|$ 等概率发生

$$\begin{aligned} R &= \frac{log|M|}{n} \\ nR &= log|M| = H(M) \\ &= H(M|Y^n) + I(M;Y^n) \end{aligned} \tag{5}$$

其中

$$\begin{aligned} I(M;Y^n) &= I(X^n;Y^n) \\ &= H(Y^n) - H(Y^n|X^n) \\ &\leq \sum_{i=0}^{n} H(y_i) - H(Y^n|X^n) \\ &= \sum H(y_i) - \sum H(y_i|X^n, y_1, ..., y_n)(ChainRule) \\ &= \sum H(y_i) - \sum H(y_i|x_i) \\ &= \sum I(x_i;y_i) \\ &\leq n max_{p(x_i)} I(X;Y) \end{aligned} \tag{6}$$

## 4.1 Fano's Inequality

For Markov Chain, $X \to Y \to \hat{X}$

$$H(X|\hat{X}) \leq H(Pe) + log(|X| - 1) \leq 1 + log(|H| - 1)$$

where $Pe$ is the probability of making errors, $H(Pe)$ obey 0-1 distribution, such that $H(Pe) \leq 1$

### 4.1.1 Proof of Fano's Inequality

Import Indicator Variable E, where has the property:

$$E = \begin{cases} 0, X = \hat{X} \\ 1, X \neq \hat{X} \end{cases}$$

such that $H(E|X, \hat{X}) = 0$

$$\begin{aligned} H(X|\hat{X}) &= H(X|\hat{X}) + H(E|X, \hat{X}) \\ &= H(E, X|\hat{X}) \\ &= H(X|E, \hat{X}) + H(E|\hat{X}) \\ &= (Pe)H(X|E = 1, \hat{X}) + (1 - Pe)H(X|E = 0, \hat{X}) + H(E|\hat{X}) \\ &\leq (Pe)log(|X| - 1) + H(Pe) \end{aligned} \tag{7}$$

$$H(X|E = 0, \hat{X}) = 0$$

## 4.2 $R \leq maxI(X; Y)$

From equation (5), together with equation (6) and (7), we can get

$$\begin{gathered} H(M|Y^n) + I(M; Y^n) \leq (Pe)log(|M|) + nmaxI(X; Y) \\ (1 - Pe)R \leq maxI(X; Y) \end{gathered} \tag{8}$$

Because $Pe \to 0$, so that we can conclude that $R \leq max_{p(x_i)}I(X; Y)$