New Bounds for the Capacity Region of the Finite-State Multiple Access Channel

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Abstract—The capacity region of the Finite-State Multiple Access Channel (FS-MAC) with feedback that may be an arbitrary time-invariant function of the channel output samples is considered. We provided a sequence of inner and outer bounds for this region. These bounds are shown to coincide, and hence yield the capacity region of FS-MACs where the state process is stationary and ergodic and not affected by the inputs, and for indecomposable FS-MAC when feedback is not allowed. Though the capacity region is ‘multi-letter’ in general, our results yield explicit conclusions when applied to specific scenarios of interest.

I. INTRODUCTION

The Multiple Access Channel (MAC) has received much attention in the literature. To put our contributions in context, we begin by briefly describing some of the key results in the area. The capacity region for the memoryless MAC was derived by Ahlswede in [1]. Cover and Leung derived an achievable region for a memoryless MAC with feedback in [2]. Ozarow derived the capacity of a memoryless Gaussian MAC with feedback in [3].

In [4] [5], Kramer derived several capacity results for discrete memoryless networks with feedback. By using the idea of code-trees instead of code-words, Kramer derived a ‘multi-letter’ expression for the capacity of the discrete memoryless MAC. One of the main results we develop in the present paper extends Kramer’s capacity result to the case of a stationary and ergodic Markov Finite-State MAC (FS-MAC), to be formally defined below.

In [6], Han used the information-spectrum method in order to derive the capacity of a general MAC without feedback. Han also considered the additive mod-2 MAC, which we shall use here to illustrate the way in which our general results characterize special cases of interest. In particular, our results will imply that feedback does not increase the capacity region of the additive mod-2 MAC.

In this work, we consider the capacity region of the Finite-State Multiple Access Channel (FS-MAC), with feedback that may be an arbitrary time-invariant function of the channel output samples. We characterize a sequence of inner and outer bounds for this region and show that it yields the capacity region, for the important subfamily of FS-MACs.

Our derivation of the capacity region is rooted in the derivation of the capacity of finite-state channels in Gallager’s book [7, ch 4.5]. More recently, Lapiot and Telatar [8] have used it in order to derive the capacity of a compound channel without feedback, where the compound channel consists of a family of finite-state channels. In particular, they have introduced into Gallager’s proof the idea of concatenating codewords, which we extend here to concatenating code-trees.

The paper is organized as follows. We concretely describe the communication model in Section II. In Section III we introduce the causal conditioning, directed information and an important idea of sup/sub-additivity of regions. We state our main capacity results in Sections IV and V and we present a few applications of the capacity results in Section VI. Because of space limitation we do not provide the proofs. The proofs, with the exceptions of Lemmas 3 and 5 and Theorem 4, can be found in the preprint [9].

II. CHANNEL MODEL

In this paper, we consider an FS-MAC (Finite State MAC) with a time invariant feedback as illustrated in Fig. 1. The

Fig. 1. Channel with feedback that is a time invariant deterministic function of the output.

MAC setting consists of two senders and one receiver. Each sender \( l \in \{1, 2\} \) chooses an index \( m_l \) uniformly from the set \( \{1, ..., 2^nR_l\} \) and independently of the other sender. The input to the channel from encoder \( l \) is denoted by \( \{X_{1l}, X_{2l}, X_{3l}, \ldots\} \), and the output of the channel is denoted by \( \{Y_1, Y_2, Y_3, \ldots\} \). The state at time \( i \), i.e., \( S_i \in S \), takes values in a finite set of possible states. The channel is stationary and is characterized by a conditional probability \( P(y_i, s_i|x_{1l}, x_{2l}, s_{i-1}) \) that satisfies

\[
P(y_i, s_i|x_{1l}^i, x_{2l}^i, s_{i-1}, y_{i-1}) = P(y_i, s_i|x_{1l}, x_{2l}, s_{i-1}), \quad (1)
\]

where the superscripts denote sequences in the following way: \( x_{1l}^i = (x_{1l}(1), x_{1l}(2), \ldots, x_{1l}(i)), \ l \in \{1, 2\} \). We assume a
communication with feedback $z_i$, where the element $z_{i_l}$ is a time-invariant function of the output $y_i$. For example, $z_{i_l}$ could equal $y_i$ (perfect feedback), or a quantized version of $y_i$, or null (no feedback). The encoders receive the feedback samples with one unit delay.

A code with feedback consists of two encoding functions $g_l : \{1, \ldots, 2^nR_l\} \times \mathbb{Z}^{n-1} \to X_l^n$, $l = 1, 2$, where the $k$th coordinate of $x_l^n \in X_l^n$ is given by the function

$$x_{lk} = g_{lk}(m_l, z_{l-1}^{k-1}), \quad k = 1, 2, \ldots, n, \quad l = 1, 2$$

(2)

and a decoding function,

$$g : \mathbb{Y}^n \to \{1, \ldots, 2^nR_2\} \times \{1, \ldots, 2^nR_2\}.$$  

(3)

The average probability of error for $((2^nR_1, 2^nR_2, n)$ code is defined as

$$P_e^{(n)} = \frac{1}{2^{n(R_1+R_2)}} \sum_{w_1, w_2} \Pr\{g(Y^n) \neq (w_1, w_2)|(w_1, w_2) \text{ sent}\}. $$

(4)

A rate $(R_1, R_2)$ is said to be achievable for the MAC if there exists a sequence of $((2^nR_1, 2^nR_2, n)$ codes with $P_e^{(n)} \to 0$. The capacity region of MAC is the closure of the set of achievable $(R_1, R_2)$ rates.

### III. Preliminaries

#### A. Causal conditioning and directed information

Throughout this paper we use the causal conditioning notation $(\cdot | \cdot)$). We denote the probability mass function (pmf) of $Y^n$ causally conditioned on $X^{n-d}$, for some integer $d \geq 0$, as $P(y^n | x^{n-d})$ which is defined as

$$P(y^n | x^{n-d}) \triangleq \prod_{i=1}^{N} P(y_i | y^{i-1}, x^{i-d}), $$

(5)

(if $i - d \leq 0$ then $x^{i-d}$ is set to null). In particular, we extensively use the cases where $d = 0, 1$:

$$P(y^n | x^n) \triangleq \prod_{i=1}^{N} P(y_i | y^{i-1}, x^i), $$

(6)

and

$$Q(x^n | y^{n-1}) \triangleq \prod_{i=1}^{N} Q(x_i | x^{i-1}, y^{i-1}), $$

(7)

where the letters $Q$ and $P$ are both used for denoting pmfs. The Directed information was defined by Massey in [10] as

$$I(X_N \to Y_N) \triangleq \sum_{i=1}^{N} I(X_i^i; Y_i | Y^{i-1}), $$

(8)

and in [4], Kramer introduced the notation

$$I(X_N^N \to Y_N | X_N^N) \triangleq \sum_{i=1}^{N} I(X_i^i; Y_i | Y^{i-1}, X_2^i). $$

(9)

Directed information has been widely used in the characterization of capacity of channels [4], [11]–[16], and rate distortion function [17], [18]. Throughout the proofs, we are using several properties of causal conditioning and directed information. We summarize them in the following lemma.

**Lemma 1** The following four properties ([10]-[13]), hold for any discrete random vectors $(X_N^N, X_N^N, Y_N)$.

$$P(x_N^N, y_N^N | x_N^N) = P(x_N^N | y_N^{N-1}, x_N^N) P(y_N^N | x_N^N, x_N^N). $$

(10)

where

$$I(X_N^N \to Y_N^N | X_N^N) - I(X_N^N \to Y_N^N | X_N^N, S) \leq H(S). $$

(11)

$$T(Q(x_N^N | y_N^{N-1}), Q(x_N^N | y_N^{N-1}), P(y_N^N | x_N^N, x_N^N)) = I(X_N^N \to Y_N^N | X_N^N), $$

(12)

where $T(Q(x_N), Q(x_N), P(y|x_N, x_N))$ denotes the functional $I(X_N^N; Y_N^N)$, i.e.,

$$T(Q(x_N), Q(x_N), P(y|x_N, x_N)) \triangleq \sum_{y_N, x_N} Q(x_N) P(y|x_N, x_N) \log \frac{P(y|x_N, x_N)}{\sum_{y_N, x_N} Q(x_N) P(y|x_N, x_N)}.$$  

(13)

**B. Sup/Sub-additivity, and Convergence of 2D regions**

In this subsection we define basic operations (summation and multiplication by scalar), convergence, sup-additivity and sub-additivity of 2D regions. Furthermore we show that the limit of a sup-additive sequence of regions converges to the union of all the regions, and the limit of a sub-additive and convex sequence 2D regions converges to the intersection of all the regions.

Let $A, B$ be sets in $\mathbb{R}^2$, i.e., $A$ and $B$ are sets of 2D vectors. The sum of two regions is denoted as $A + B$ and defined as

$$A + B = \{a + b : a \in A, b \in B\}, $$

(14)

and multiplication of a set $A$ with a scalar $c$ is defined as

$$cA = \{ca : a \in A\}. $$

(15)

A sequence $\{A_n\}, n = 1, 2, 3, ...$, of 2D regions is said to converge to a region $A$, written $A = \lim A_n$, if

$$\limsup A_n = \liminf A_n = A, $$

(16)

where

$$\liminf A_n = \{a : a = \lim a_n, a_n \in A_n\}, $$

(17)

$$\limsup A_n = \{a : a = \lim a_k, a_k \in A_n\}, $$

and $n_k$ denotes an arbitrary increasing subsequence of the integers. Let us denote $\mathcal{A} = \text{cl} \left( \bigcup_{n \geq 1} A_n \right)$ and $\mathcal{A} = \text{cl} \left( \bigcap_{n \geq 1} A_n \right)$.

We say that a sequence $\{A_n\}_{n \geq 1}$ is bounded if $\sup \{||a|| : a \in \mathcal{A}\} < \infty$ where $|| \cdot ||$ denotes a norm in $\mathbb{R}^2$.

**Lemma 2** Let $A_n, n = 1, 2, ...$, be a bounded sequence of sets in $\mathbb{R}^2$ that includes the origin, i.e., $(0, 0)$. If $nA_n$ is sup-additive, i.e., for all $n \geq 1$ and all $N > n$

$$N \mathcal{A}_N \supseteq n \mathcal{A}_n + (N - n) \mathcal{A}_{N-n} $$

(18)
then
\[
\lim_{n \to \infty} A_n = \mathcal{A}.
\] (19)

**Lemma 3** Let \( A_n, n = 1, 2, \ldots \) be a sequence of convex, closed and bounded sets in \( \mathbb{R}^2 \). If \( nA_n \) is sub-additive, i.e., for all \( n \geq 1 \) and all \( N > n \)

\[
N A_N \subseteq n A_n + (N - n) A_{N - n}
\] (20)
then
\[
\lim_{n \to \infty} A_n = \mathcal{A}.
\] (21)

**IV. FS-MAC WITH TIME-INVARIANT FEEDBACK**

**A. Inner Bound**

Let \( \mathcal{R}_n \) denote the following region in \( \mathbb{R}^2_+ \) (2D set of nonnegative real numbers):

\[
\mathcal{R}_n = \bigcup_{Q} \bigg\{ R_1 \leq \frac{1}{n} I(X_1^n \to Y^n \| X_2^n), \quad R_2 \leq \frac{1}{n} I(X_2^n \to Y^n \| X_1^n), \quad R_1 + R_2 \leq \frac{1}{n} I((X_1, X_2)_n \to Y^n | s_0) - \frac{\log |S|}{n} \bigg\},
\] (22)

where the union is over the set of all input distributions of the form \( Q(w)Q(x^n_1 \| z_1^{n-1}, w)Q(x^n_2 \| z_2^{n-1}, w) \). Having the auxiliary random variable \( W \) is equivalent to taking the convex hull of the region. Furthermore, the set of three-inequalities is equivalent to an intersection of three regions, and \( \min_{s_0} \) is equivalent to \( \cap_{s_0} \). Hence, an equivalent region is

\[
\mathcal{R}_n = \Bigcup_{Q} \bigg\{ R_1 \leq \frac{1}{n} I(X_1^n \to Y^n \| X_2^n), \quad R_2 \leq \frac{1}{n} I(X_2^n \to Y^n \| X_1^n), \quad R_1 + R_2 \leq \frac{1}{n} I((X_1, X_2)_n \to Y^n | s_0) - \frac{\log |S|}{n} \bigg\},
\] (23)

where \( \text{conv} \) denotes the convex hull, and the input distribution is of the form \( Q(x^n_1 \| z_1^{n-1})Q(x^n_2 \| z_2^{n-1}) \). In general, the right hand side (RHS) of each of the three inequalities that define \( \mathcal{R}_n \) can be negative. In such a case, we assume that the RHS is zero.

**Theorem 1** (Inner bound.) For any FS-MAC with time invariant feedback as shown in Fig. 1 and for any integer \( n \geq 1 \), the region \( \mathcal{R}_n \) is achievable.

The proof is similar to the point-to-point FSC with time-invariant feedback, given in [14, Sec. V]. In the proof we use Gallager’s techniques to analyze the error probability of a ML decoder of a randomly-generated code. There are two main differences compared to the point-to-point FSC:

1. In the case of FSC, only one message is sent, and in the case of FS-MAC, two independent messages are sent. This requires that we analyze three different types of errors, and they yield three inequalities in the achievable region.

2. For the FS-MAC case, we need to prove the achievability for a set of input distributions while for the point-to-point channel it was enough to prove it only for the input distribution that achieves the maximum. Because of this difference, we introduce the idea of concatenating code-trees (see Fig. 2). This difference influences the encoding scheme and the analysis.

The following lemma establishes the sub-additivity of \( \{ \mathcal{R}_n \} \).

**Lemma 4** (sup-additivity of \( \mathcal{R}_n \). ) For any FS-MAC, the sequence \( \{ \mathcal{R}_n \} \) is sup-additive. Therefore, \( \lim_{n \to \infty} \mathcal{R}_n \) exists, it is an achievable region, and it equals to \( \mathcal{R} \).

**B. Outer Bound**

The following outer bound is proved using Fano’s inequality.

**Theorem 2** (Outer bound.) Let \( (R_1, R_2) \) be an achievable pair for a FS-MAC with time invariant feedback, as shown in Fig. 1. Then, for any \( n \) there exists a distribution \( Q(x^n_1 \| z_1^{n-1})Q(x^n_2 \| z_2^{n-1}) \) such that the following inequalities hold:

\[
\begin{align*}
R_1 &\leq \frac{1}{n} I(X_1^n \to Y^n \| X_2^n) + \epsilon_n, \\
R_2 &\leq \frac{1}{n} I(X_2^n \to Y^n \| X_1^n) + \epsilon_n, \\
R_1 + R_2 &\leq \frac{1}{n} I((X_1, X_2)_n \to Y^n) + \epsilon_n,
\end{align*}
\] (24)

where \( \epsilon_n \) goes to zero as \( n \) goes to infinity.

This theorem implies that \( \lim \inf \mathcal{R}_n \) is an outer bound, where \( \mathcal{R}_n \) is defined as

\[
\mathcal{R}_n = \Bigcup_{Q} \bigg\{ R_1 \leq \frac{1}{n} I(X_1^n \to Y^n \| X_2^n), \quad R_2 \leq \frac{1}{n} I(X_2^n \to Y^n \| X_1^n), \quad R_1 + R_2 \leq \frac{1}{n} I((X_1, X_2)_n \to Y^n) \bigg\},
\] (25)

and the union is over input distributions of the form \( Q(x^n_1 \| z_1^{n-1})Q(x^n_2 \| z_2^{n-1}) \).

**C. Capacity**

Based on the bounds above, we have the following capacity result.

**Theorem 3** For any FS-MAC of the form

\[
P(y_i, s_i | x_{1,i}, x_{2,i}, s_{i-1}) = P(s_i | s_{i-1})P(y_i | x_{1,i}, x_{2,i}, s_{i-1}),
\] (26)

where the state process \( S_i \) is stationary and ergodic, the achievable region is \( \lim_{n \to \infty} \mathcal{R}_n \), and the limit exists.

**V. FS-MAC WITHOUT FEEDBACK**

The case where there is no feedback is a special case of deterministic time-invariant feedback in which \( z_i \) is null, and therefore the theorems in the previous section hold for the case of no feedback. Here we show additional results, which apply only for the case without feedback. The results include a sequence of upper bounds for all FS-MACs, and a capacity formula for indecomposable FS-MACs.
Theorem 5 (Capacity of FS-MAC without feedback.) For any indecomposable FS-MAC without feedback,
\[ \lim_{n \to \infty} R_n = \lim_{n \to \infty} \mathcal{R}_n, \]
and therefore its capacity region is \( \lim_{n \to \infty} \mathcal{R}_n \), and the limit exists.

VI. APPLICATIONS

In this section we use the capacity results in order to derive the following conclusions:
1) For a stationary ergodic Markovian channels, the capacity region is zero, if and only if the capacity region with feedback is zero.
2) For the additive mod-\(|\mathcal{X}|\) MAC, where the noise may have memory:
   a) feedback does not enlarge the capacity;
   b) source-channel coding separation holds for lossless reconstruction.

A. Outer bound

Let us denote,
\[ \mathcal{R}_n = R_1 \leq \max_{P} \frac{1}{n} I(X^n \to Y^n | X^n, S_0) + \frac{H(S_0)}{n}, \]
where the union is over all input distributions of the form \( Q(x^n)Q(\gamma^n) \), and \( \max_{P} \) denote a maximization over distribution of the form \( P(s_0|x^n, x^n) \). The sup-additivity of \( \{ R_n \} \) is the key property for establishing the outer bound.

Lemma 5 (sub-additivity of \( \mathcal{R}_n \).) For any FS-MAC, the sequence \( \{ R_n \} \) is sub-additive, i.e.,
\[ (n + l)\mathcal{R}_{n+l} \leq n\mathcal{R}_n + l\mathcal{R}_l. \]

Theorem 4 (Outer bound) For any FS-MAC and all \( n \geq 1 \), \( \mathcal{R}_n \) contains the capacity region.

B. Capacity

Theorem 6 For the channel described in (26), where the state process \( S_i \) is stationary and ergodic, if the capacity without feedback is zero, then it is also zero in the case that there is feedback.

The proof of Theorem 6 is based on the fact that for any MAC
\[ \max_{Q(x^n, y^n)} \frac{1}{n} I(X^n, X^n \to Y^n | x^n, y^{n-1}) = 0 \]
if and only if
\[ \max_{Q(x^n, y^n)} I(X^n, X^n \to Y^n) = 0, \]
and on the fact that for the family of channels that is mentioned in the theorem, the sequence \( \mathcal{R}_n \) is sub-additive.

For the case of additive Gaussian MAC, one can deduce the result from the fact that feedback can at most double its capacity region [19]. Clearly, Theorem 6 also holds for the case of a stationary and ergodic FS-Markov point-to-point channel because a MAC is an extension of a point-to-point channel. However, it does not hold for the case of a broadcast channel.

B. Additive mod-\(|\mathcal{X}|\) MAC

In this section we consider the additive mod-\(|\mathcal{X}|\) MAC with and without feedback. The channel is described in Fig. 3. In the binary case, the channel is simply \( Y = X_1 \oplus X_2 \oplus V_i \), where \( V_i \) is the binary noise, possibly with memory, and \( \oplus \) denotes addition mod-2.

The following theorem is an extension of Alajaj’s result [20] to the additive MAC.

Theorem 7 Feedback does not enlarge the capacity region of a discrete additive (mod-\(|\mathcal{X}|\)) noise MAC. Moreover, the capacity region is given by
\[ \sum_{m=1}^M R_m \leq \log q - H(V), \]
where \( H(V) \) is the entropy rate of the additive noise.
Theorem 8 (Source-channel coding theorem for an additive mod-|X| MAC). Let \( (U_1, U_2)_{n \geq 1} \) be a finite alphabet, jointly stationary and ergodic pair of processes, and let the MAC channel be an additive mod-|X| MAC with stationary and ergodic noise. Define \( P^{(n)} \triangleq \Pr((\hat{U}_1^n, \hat{U}_2^n) \neq (U_1^n, U_2^n)) \), where \( \hat{U}_1^n, \hat{U}_2^n \) are the reconstructed sources at the decoder.

(**direct part**) There exists a sequence of source-channel codes with \( P^{(n)} \to 0 \), if \( H(U_1, U_2) < \log |X| - H(Y) \), where \( H(U_1, U_2) \) is the entropy rate of the sources and \( H(Y) \) is the entropy rate of the noise.

(**converse part**) If \( H(U_1, U_2) > \log |X| - H(Y) \), then the probability of error is bounded away from zero, independent of the blocklength.

VII. CONCLUSIONS AND FUTURE DIRECTIONS

In this paper we have shown that directed information and causal conditioning emerge naturally in characterizing the capacity region of FS-MACs in the presence of a time-invariant feedback. We provided a sequence of inner and outer bounds, and for some large families of channels we characterize the capacity region in terms of a ‘multi-letter’ expression, which is a first step toward deriving useful concepts in communication. For instance, we use this characterization to show that for a stationary and ergodic Markovian channel, the capacity is zero if and only if the capacity with feedback is zero. Further, we identify FS-MACs for which feedback does not enlarge the capacity region and for which source-channel separation holds.

One future direction is to use the characterizations developed in this paper to explicitly compute the capacity regions of classes of MACs with memory and feedback (other than the additive mod-|X| channel), and to find optimal coding schemes.

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