# Columbia University

## In the City of New York







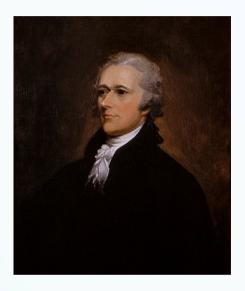






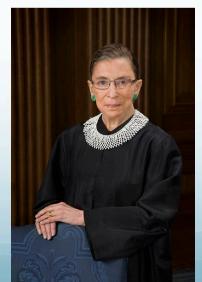


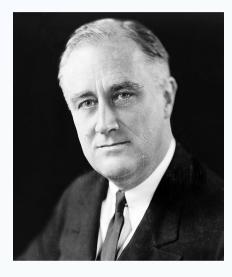
# Notable Columbia Students













# **Columbia Nobel Laureates**

 Columbia has most Nobel Laureates of any university in the world, with 98 affiliated prizewinners



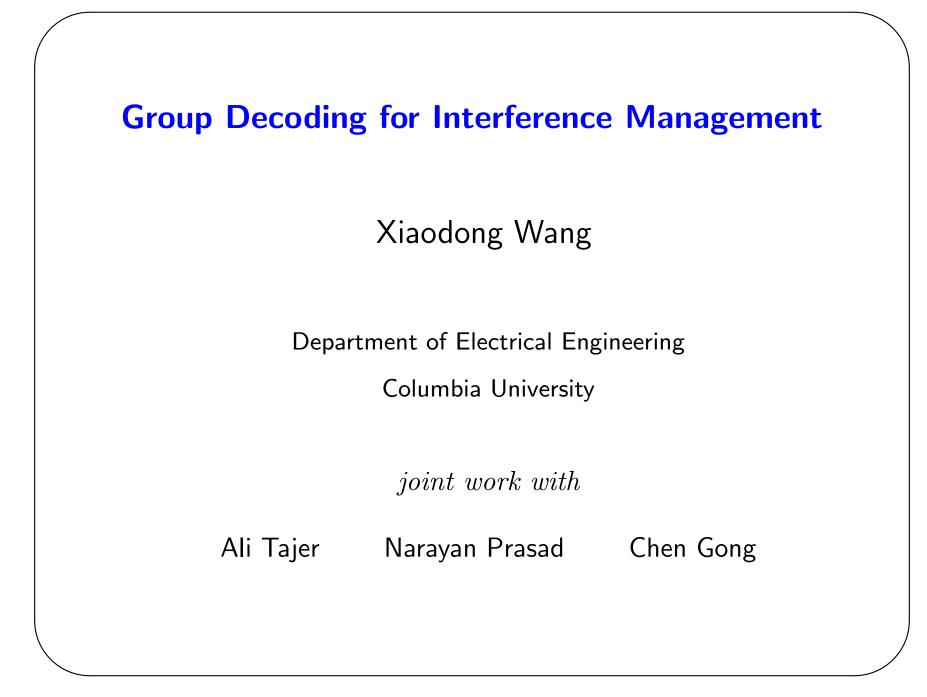
# Chinese Columbia Alumni

- <u>徐志摩</u>
- <u>闻一多</u>
- <u>陶行知</u>
- 蒋梦麟
- <u>潘光旦</u>
- 吴文藻
- 梁实秋
- <u>侯德榜</u>

. . . . . .

- <u>顾维钧</u>
- <u>蒋廷黻</u>
- <u>马寅初</u>
- <u>宋子文</u>
- <u>冯友兰</u>
- <u>胡适</u>
- <u>李政道</u>
- <u>吴健雄</u>

. . . . . .



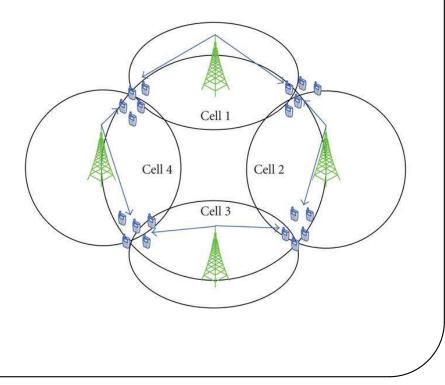
## Multi-cell Networks

#### future networks are interference-limited

- shrinking cell sizes
- ambitious spectral efficiencies
- universal frequency reuse

#### recent developments

- MIMO networks
- game theory
- interference alignment



## Multi-cell Downlink Systems

#### interference management: *decode* or *suppress*?

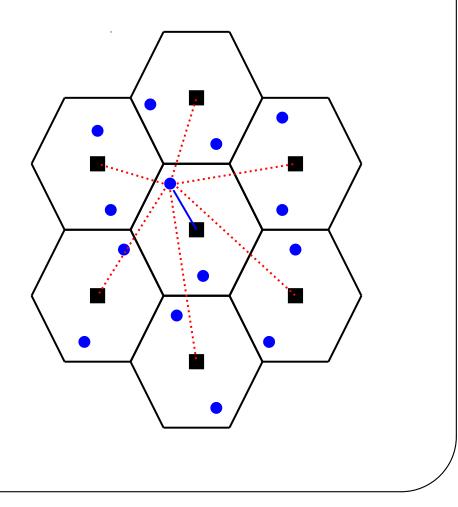
#### conventional way:

suppress interference

- precoding
- scheduling

new look: decode interference

- interference has structure
- decoding it *might* be helpful



## Multi-cell Downlink Systems

#### interference management: *decode* or *suppress*?

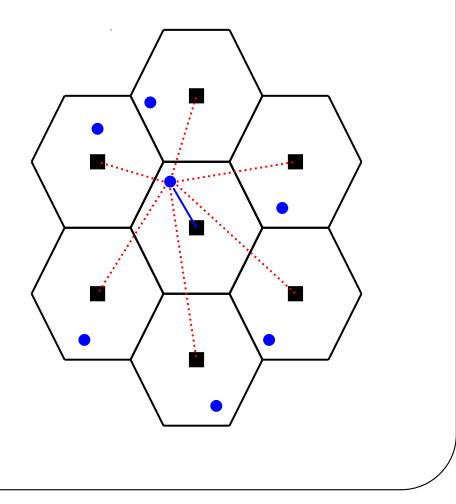
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## **Decoding Interference**

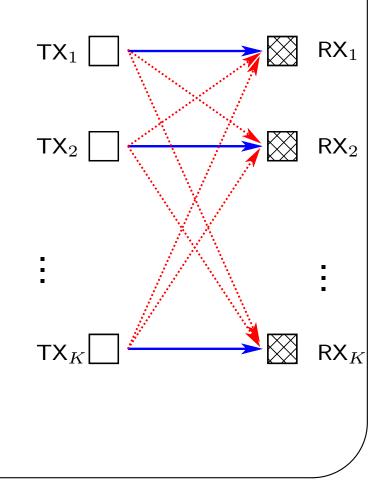
```
user \mathsf{RX}_m must decode \mathsf{TX}_m
```

1) which interferers should  $RX_m$  decode? ( $2^{K-1}$  options)

(group decoding)

2) what fraction of an interferer should be decoded?

(rate splitting)



## **Decoding Interference**

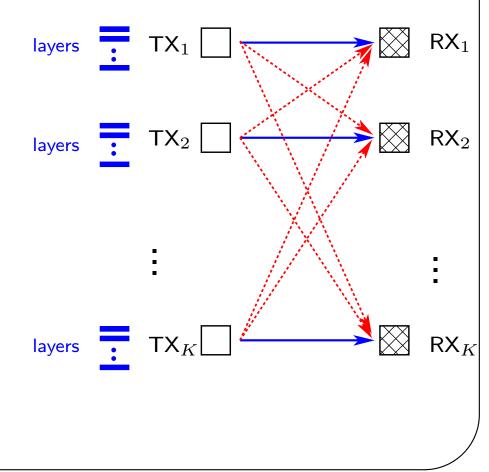
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user \mathsf{RX}_m must decode \mathsf{TX}_m
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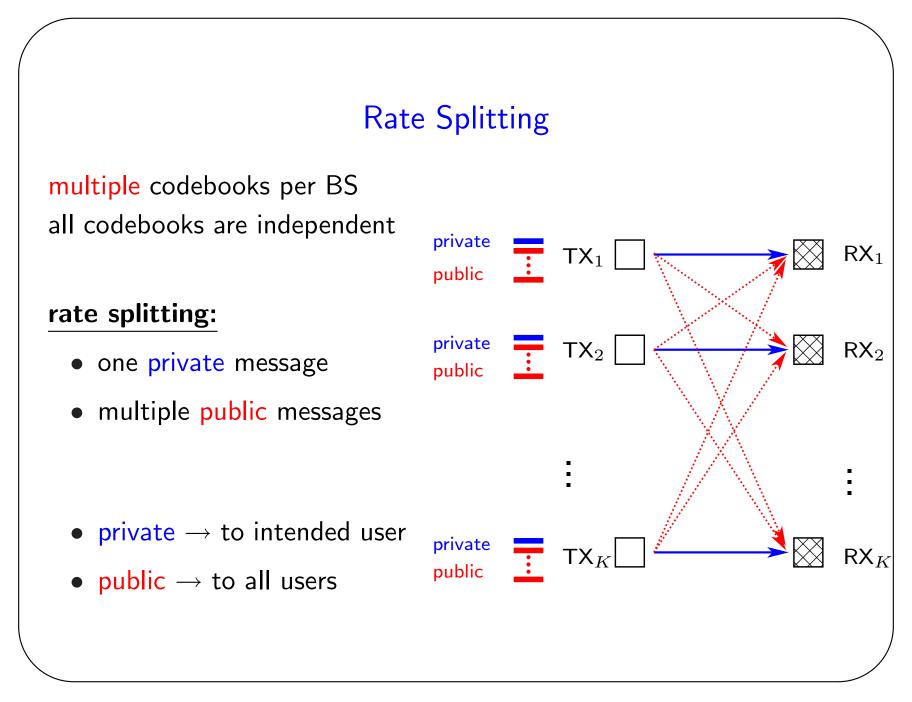
1) which interferers should  $RX_m$  decode? ( $2^{K-1}$  options)

(group decoding)

2) what fraction of an interferer should be decoded?

(rate splitting)





## How Many Codebooks per BS?

#### private message:

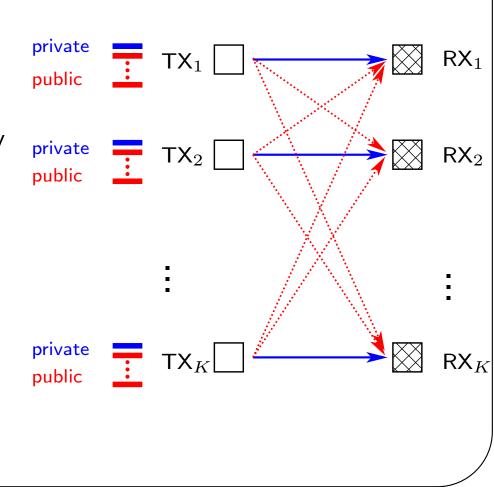
• 1 codebook



• 1 codebook for each arbitrary set of unintended receivers

• 
$$2^{K-1} - 1$$
 codebooks

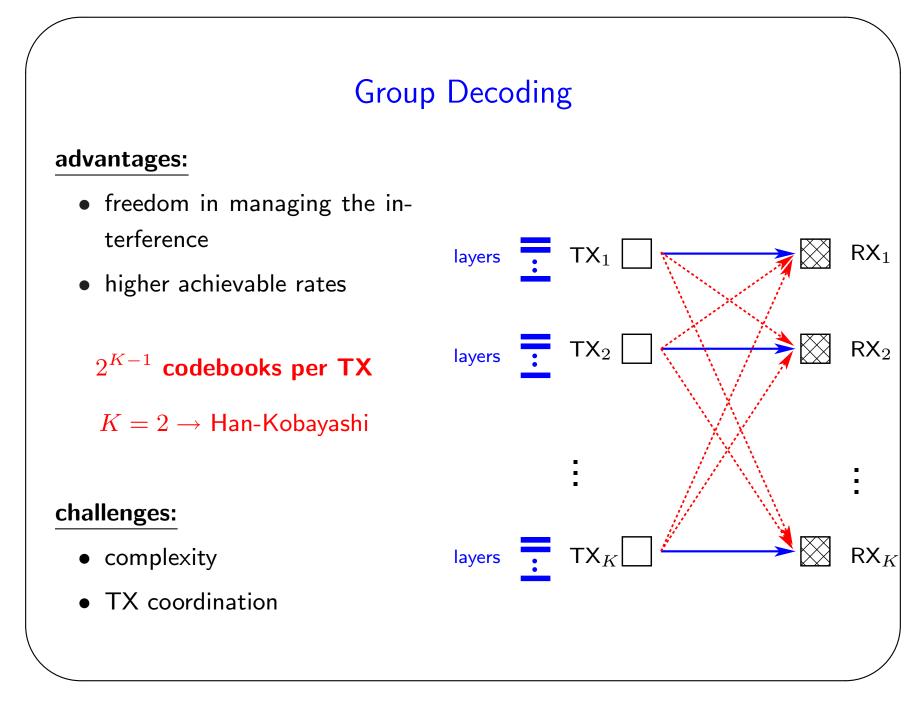
 $2^{K-1}$  codebooks per BS  $K = 2 \rightarrow$  Han-Kobayashi



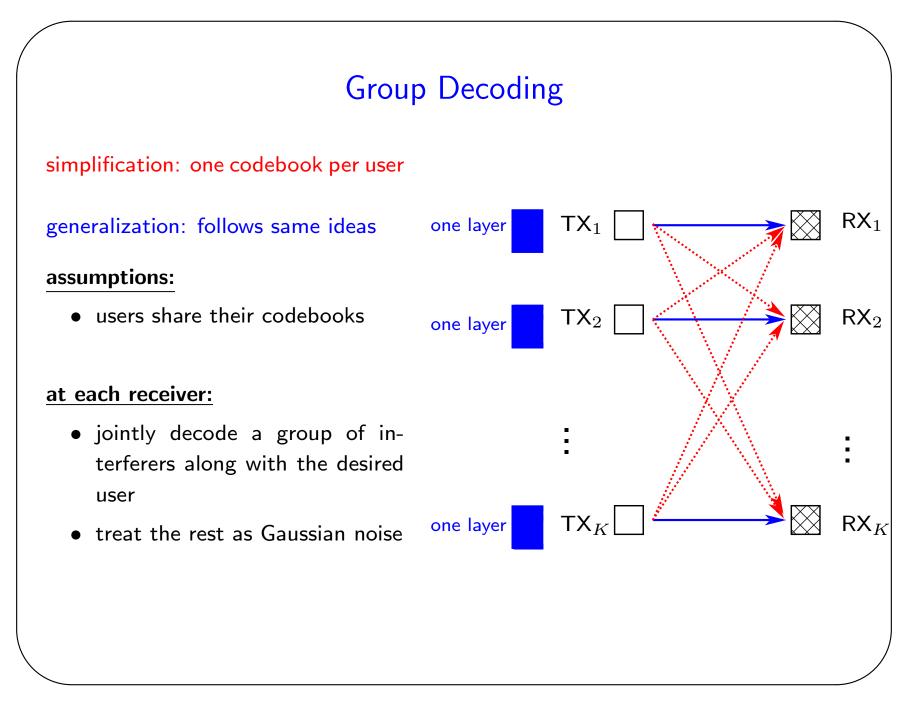
#### Group Decoding

#### receiver $U_m$ :

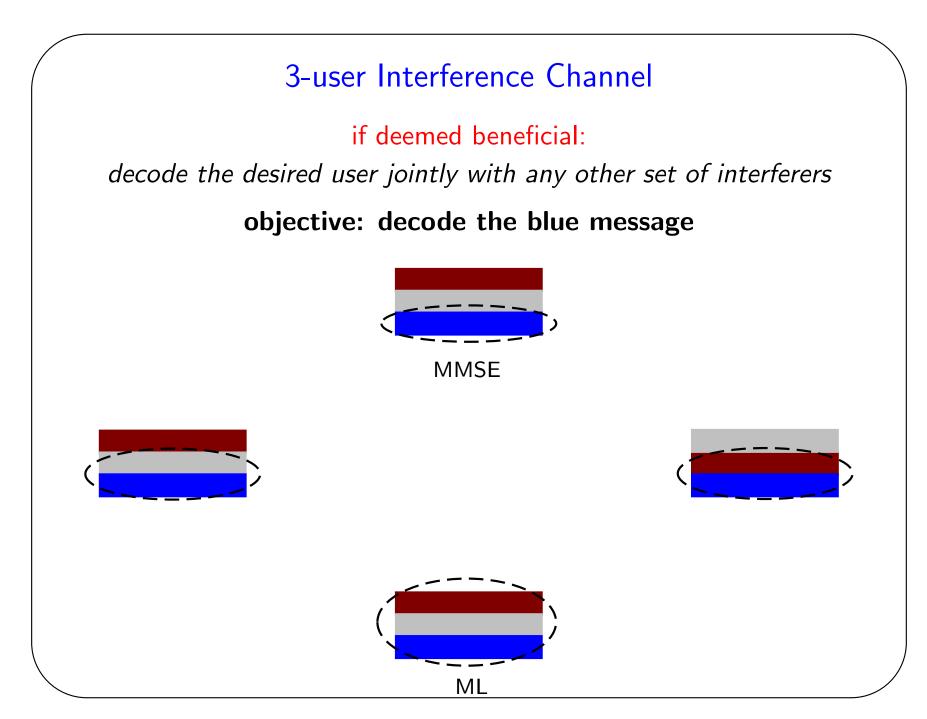
- 1. must decode all the  $2^{K-1}$  segments of the message of  $\mathsf{BS}_m$
- 2. receives interference from (K-1) interference  $\{BS_n\}_{n \neq m}$
- 3. each interferer has a message consisting of  $2^{K-1}$  segments
- 4.  $M = (K-1)2^{K-1}$  is the total message segments interfering with  $U_m$
- 5. decodes a subset of the interfering segments along with its intended message
- 6. there exist  $2^M 1$  choices for group decoding



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## Rate Region

 $\{\mathsf{TX}_1,\ldots,\mathsf{TX}_K\}\to\mathsf{RX}_m$ 

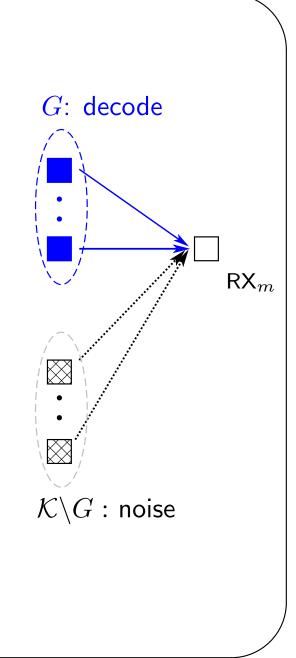
• for partition  $\mathcal{K} = \{G, \mathcal{K} \setminus G\}$ ,  $m \in G$ 

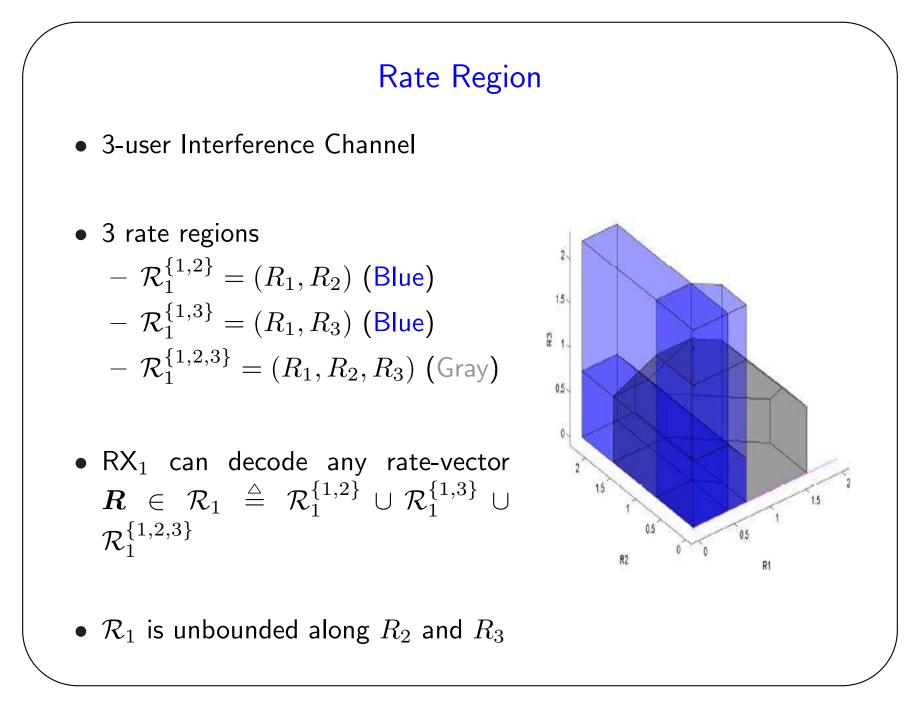
 $- \mathsf{RX}_m$  jointly decodes users in G

 $- \mathsf{RX}_m$  suppresses users in  $\mathcal{K} \backslash G$  as noise

- each partition  $\{G, \mathcal{K} \setminus G\} \Rightarrow$  one MAC
- $\mathcal{R}_m^G \stackrel{\scriptscriptstyle riangle}{=}$  achievable rate region of this MAC
- achievable rate region for  $RX_m$ :

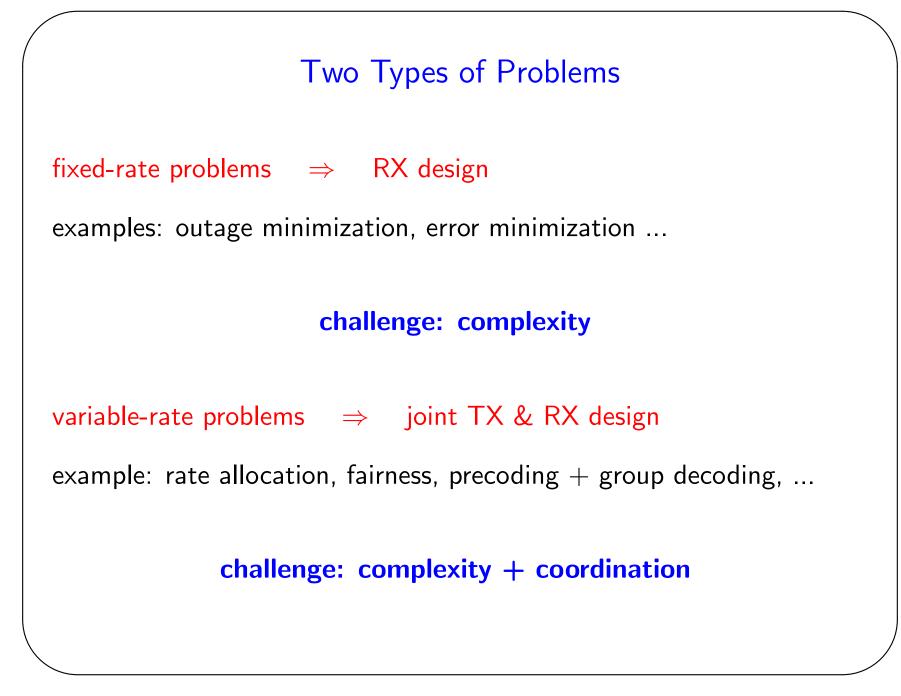
$$\mathcal{R}_m = igcup_{G \subseteq \mathcal{K}: \ m \in G} \quad \mathcal{R}_m^G$$





## Applications of Group Decoders

- 1. K-user interference channel
  - generalized HK: an achievable rate region for any arbitrary  ${\cal K}$
  - network optimization with limited coordination (*almost distributed*)
  - fairness
- 2. multi-cell downlink systems
  - joint precoding + group decoding
  - rate allocation
- 3. joint channel coding + group decoding



## Complexity

Both types of problems need to identify decodable sets for each user

Each user observes  $2^{K-1}$  MAC channels

A MAC channel of cardinality m involves  $2^m - 1$  inequalities

in total 
$$\sum_{m=1}^{K-1} {\binom{K-1}{m}} (2^m - 1) = 3^{K-1} - 2^{K-1}$$
 inequalities

Each receiver has to check  $(3^{K-1} - 2^{K-1})$  inequalities

decoding has exponential complexity in  ${\boldsymbol{K}}$ 

Unconstrained Group Decoding

How group decoders are useful?

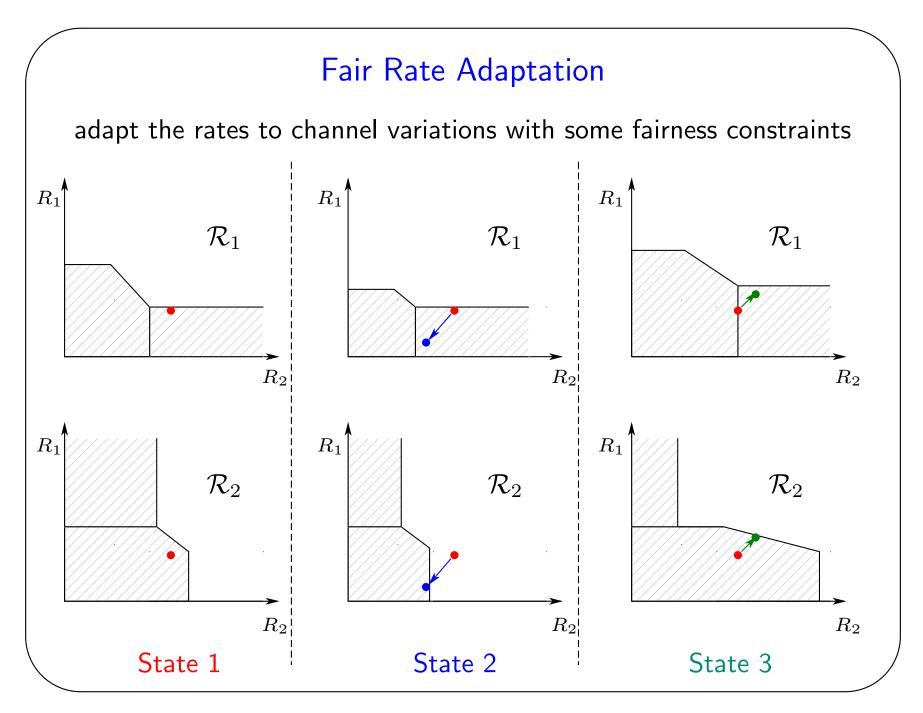
we develop a class of group decoders with the following features:

- 1. **controlled** complexity in implementation
- 2. **limited** coordination among the TXs



K-user Interference Channels

Fair Rate Adaptation



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#### Symmetric Fairness

state S, rate  $\mathbf{R} \implies$  state S', rate  $\mathbf{R}'$ 

$$\mathsf{RAF} = \begin{cases} \max & x \\ \mathsf{s.t.} & \mathbf{R}' = \mathbf{R} + x \cdot \mathbf{t} \text{ remains decodable} \end{cases}$$

- $t = [1, ..., 1] \implies$  identical rate increment/decrement
- $\bullet \ t=R \quad \Rightarrow \quad {\sf identical \ rate \ scaling}$

 $\mathsf{RAF} \ge 0 \Rightarrow \mathbf{R} \in \mathsf{the capacity region of } S' \Rightarrow \mathsf{rate increment}$  $\mathsf{RAF} < 0 \Rightarrow \mathbf{R} \notin \mathsf{the capacity region of } S' \Rightarrow \mathsf{rate decrement}$ 

#### Symmetric Fair Rate Adaptation

1) local rate adaptation for a given partition: complexity

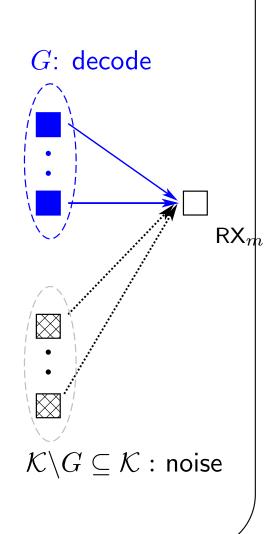
$$\mathsf{RAF}_m(G) = \begin{cases} \max & x \\ \text{s.t.} & \mathbf{R}'_G = \mathbf{R}_G + x \cdot \mathbf{t}_G \text{ is decodable} \end{cases}$$

2) local rate adaptation: complexity

$$\mathsf{RAF}_m = \max_{G \subseteq \mathcal{K}: \ m \in G} \mathsf{RAF}_m(G)$$

3) global rate adaptation: coordination

$$\mathsf{RAF} = f(\mathsf{RAF}_1, \dots, \mathsf{RAF}_K)$$



# Step 1 local rate adaptation for a given partition **Theorem 1** The solution of $\mathsf{RAF}_m(G) = \begin{cases} \max & x \\ s.t. & \mathbf{R}'_G = \mathbf{R}_G + x \cdot \mathbf{t}_G \text{ is decodable} \end{cases}$ is given by $\mathsf{RAF}_m(G) = \min_{D \neq \emptyset, D \subseteq G} \frac{f(D,G)}{\sum_{i \in D} t_i} \ .$ where $f(D,G) = I(x_D; y_m \mid x_{\mathcal{K} \setminus G}) - \sum_{i \in D} R_i$

f(D,G) is a **submodular** function

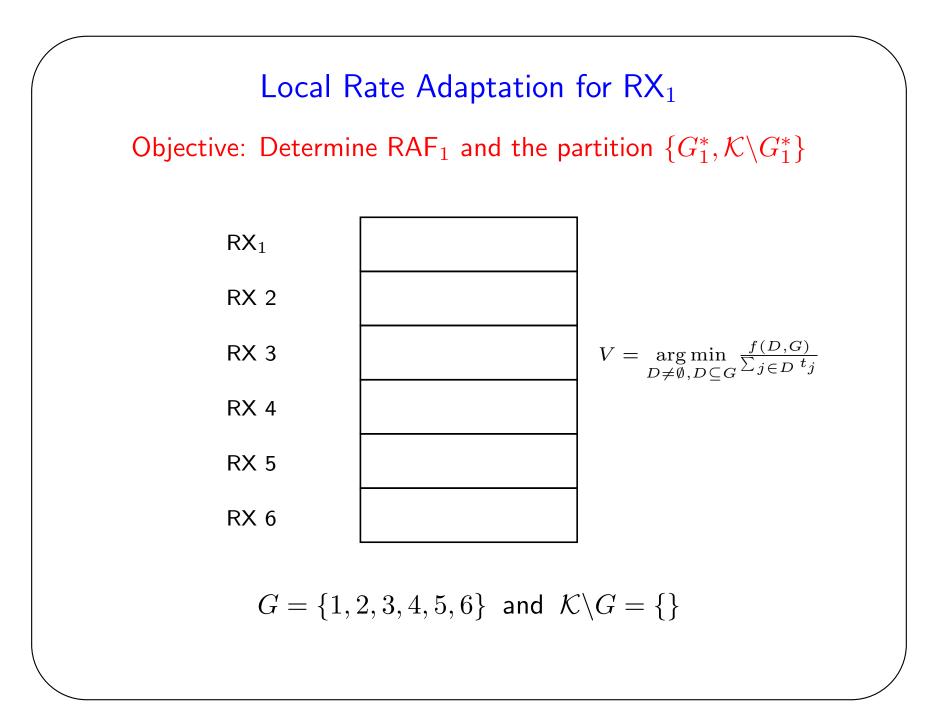
$$\Rightarrow$$
 polynomial complexity in  $|G|$ 

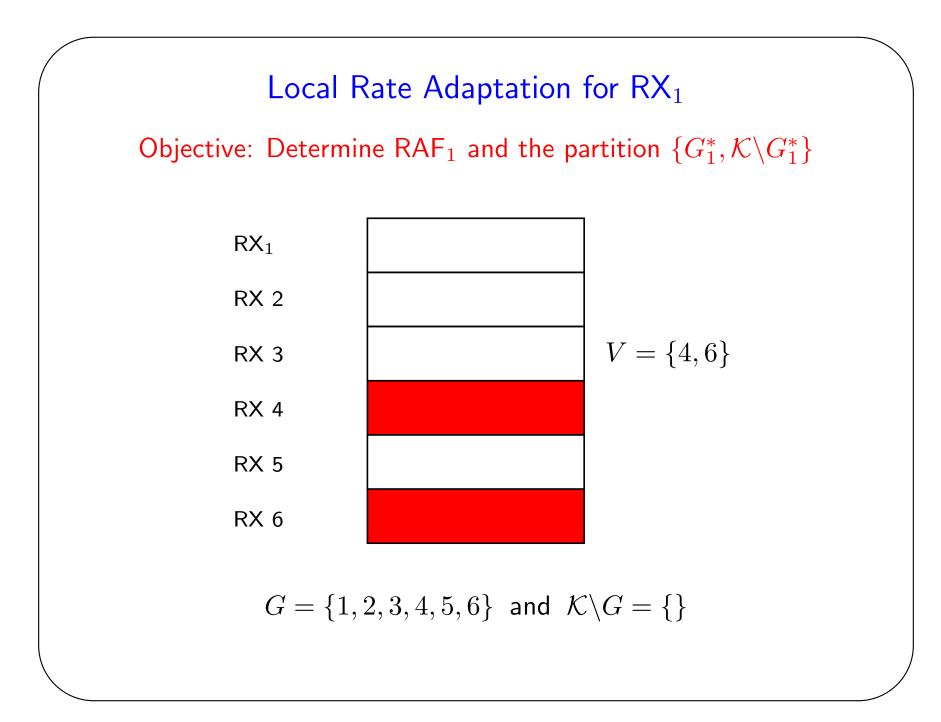
Step 2 - Local Rate Adaptation

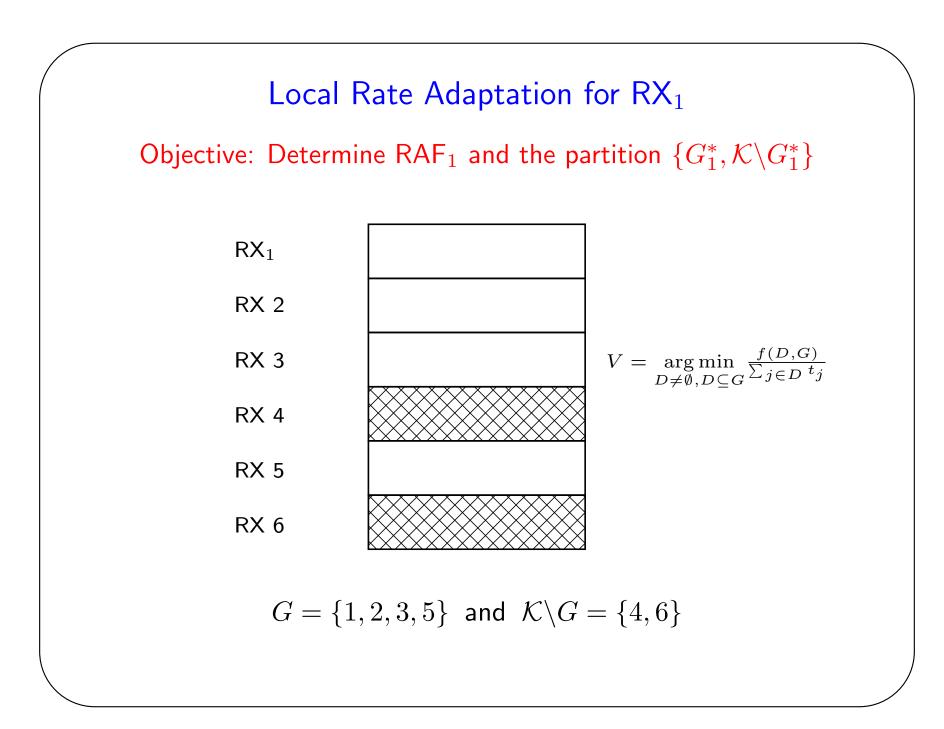
**Unconstrained Group Decoder** 

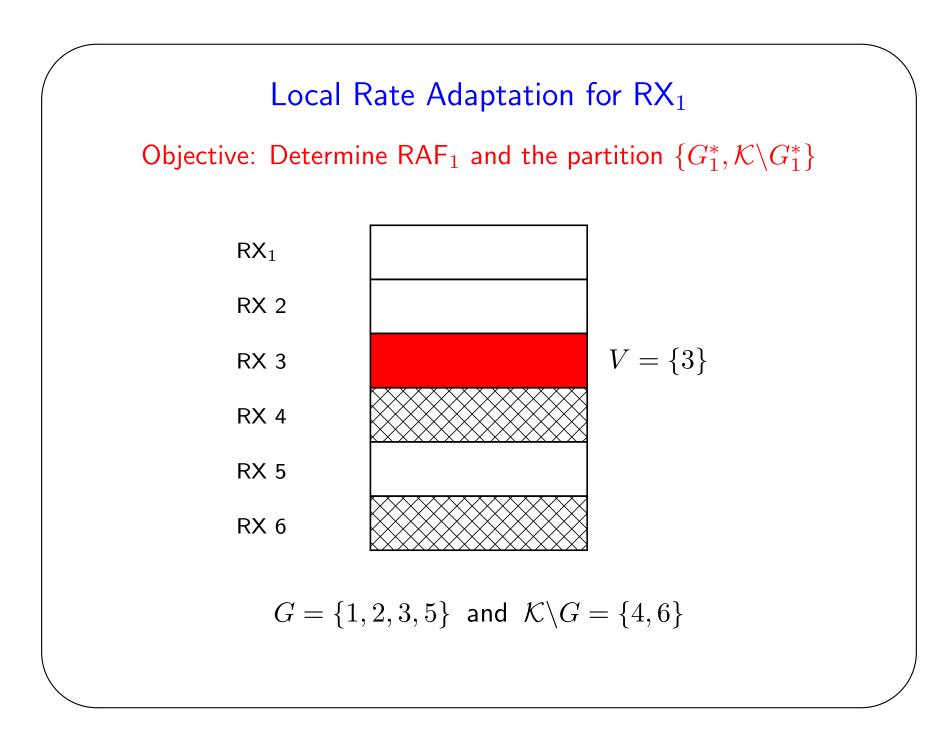
 $\mathsf{RAF}_m = \max_{G \subseteq \mathcal{K}: \ m \in G} \mathsf{RAF}_m(G)$ 

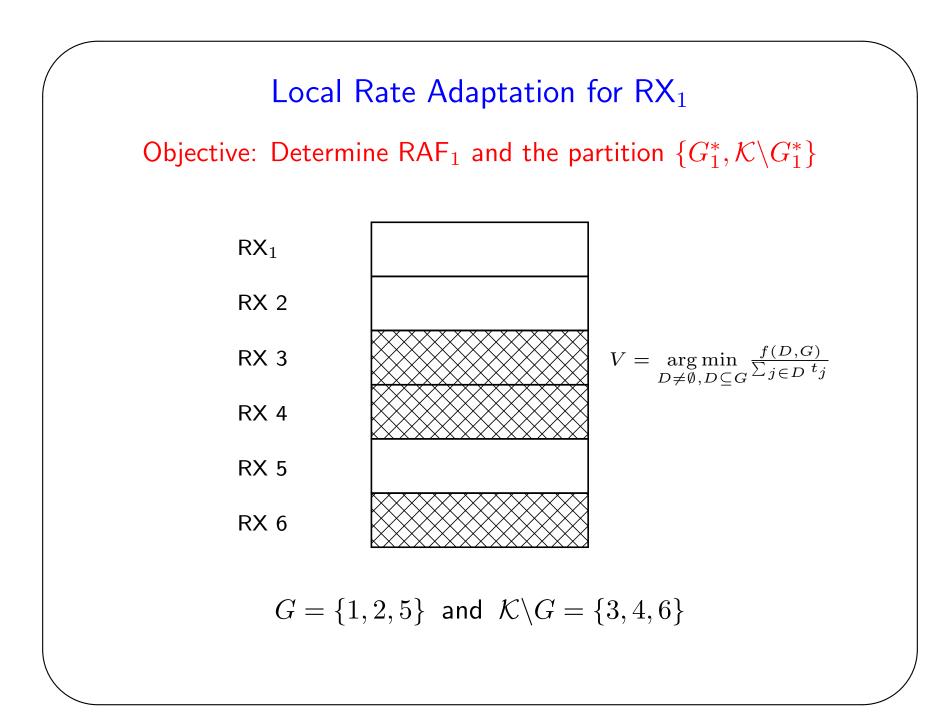
- 1. we offer a successive decoding procedure
- 2. include all users to be jointly decoded:  $G = \mathcal{K}$
- 3. at each iteration identify the bottleneck users (V)
- 4. is m a bottleneck user?
  - No: discard users in V, i.e.,  $G \leftarrow G \setminus V$ ; repeat step 3
  - Yes: users in G should be jointly decoded

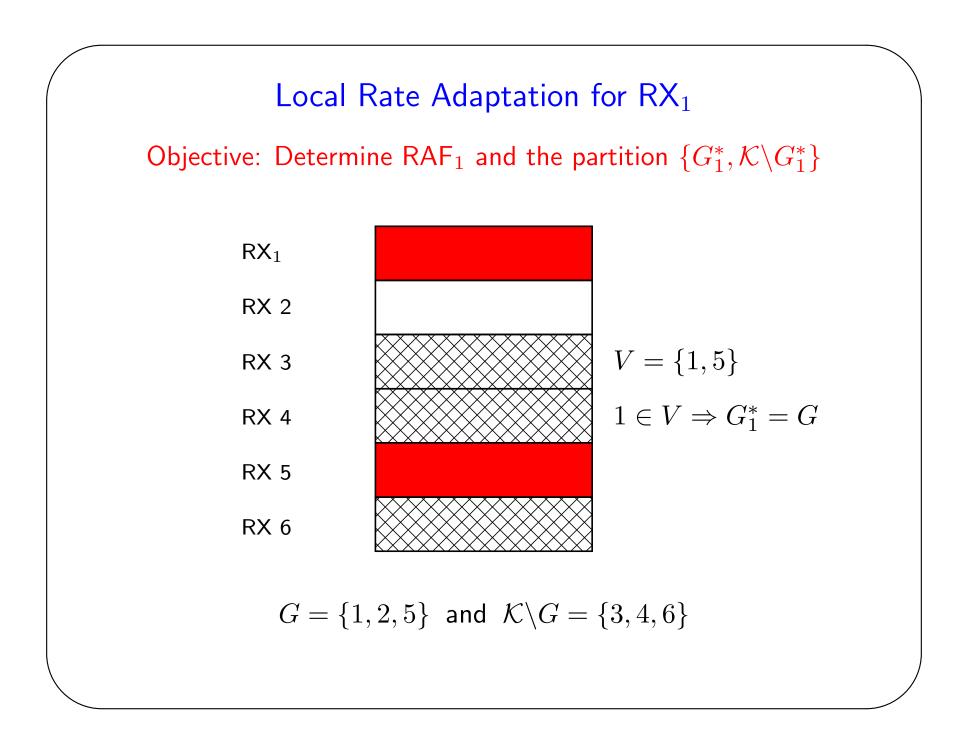


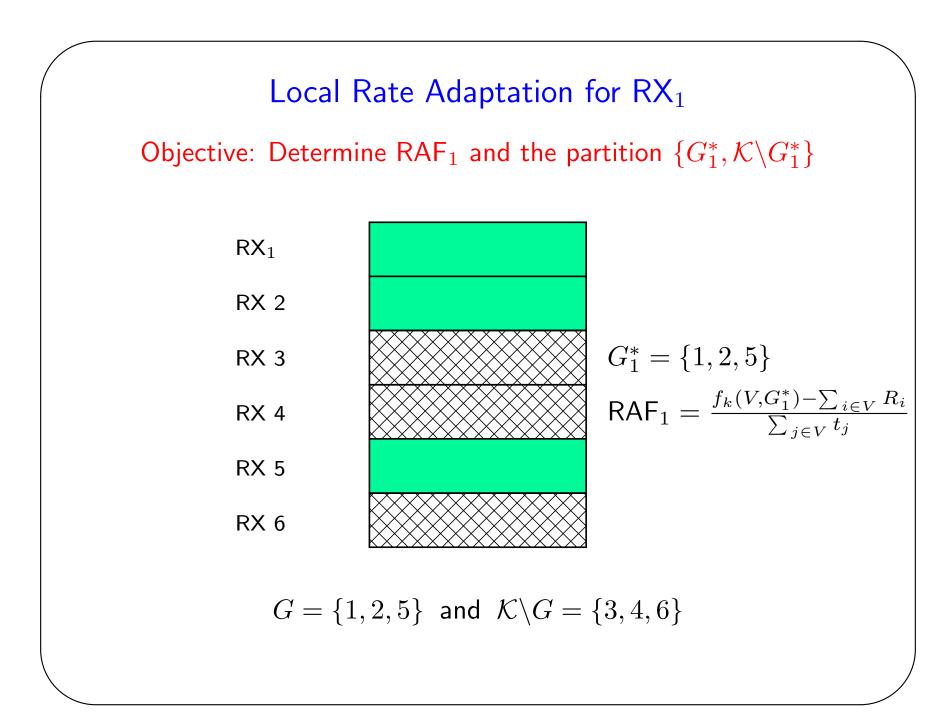












### Local Rate Adaptation for $\mathsf{RX}_m$

## Optimality

**Theorem 2** The partitioning  $\{G_m^*, \mathcal{K} \setminus G_m^*\}$  yielded by the Unconstrained Group Decoder maximizes  $RAF_m(G)$  over all valid G, i.e.,

$$\mathsf{RAF}_m = \max_{G \subseteq \mathcal{K}: \ m \in G} \mathsf{RAF}_m(G) = \mathsf{RAF}_m(G_m^*)$$

where  $RAF_m$  is the maximum rate adaptation factor sustained by user m.

- at most K iterations
- $\bullet\,$  each iteration polynomial in at most K

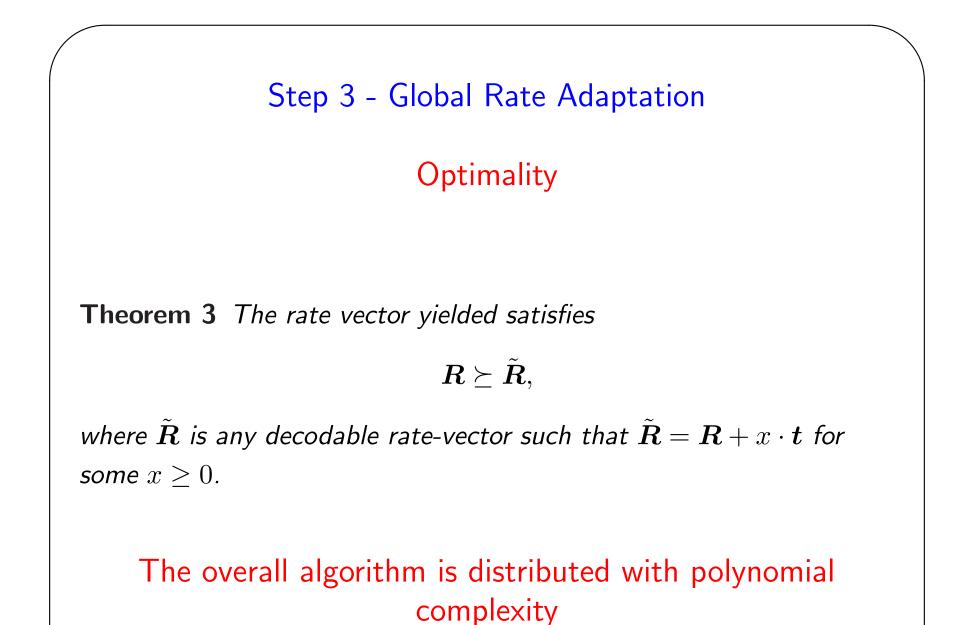
### polynomial complexity in K

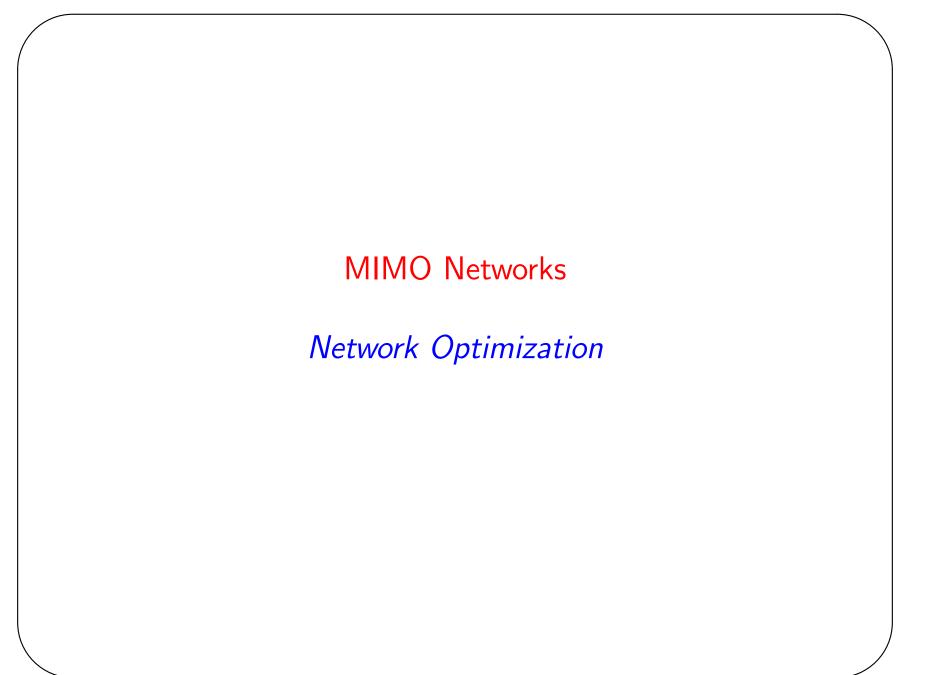
### Step 3 - Global Rate Adaptation

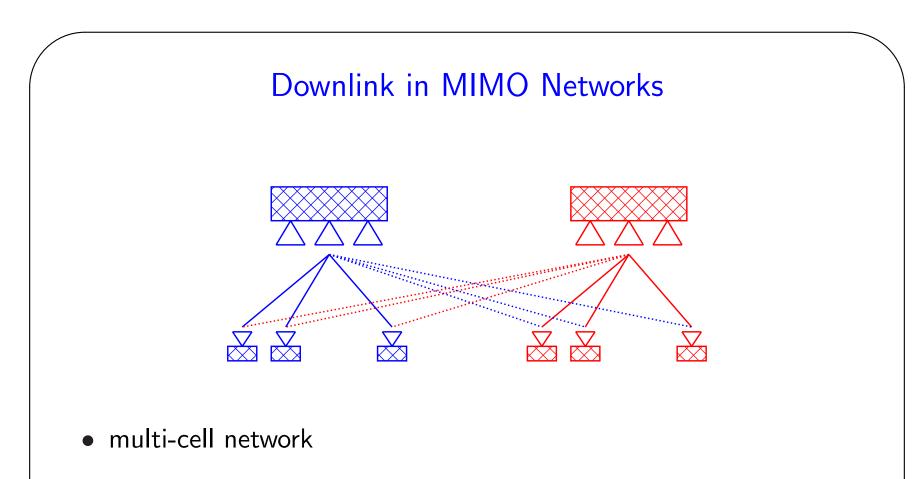
obtain RAF as a function of  $\{ RAF_1, \dots, RAF_K \}$ 

- Each user computes a rate increment factor  $RAF_m$  independently
- The optimal rate increment factor is  $RAF = \min_m \{RAF_m\}$
- 1: Input R
- 2: **for** m = 1, ..., K **do**
- 3: Determine  $\mathsf{RAF}_m$  and  $G_m^*$
- 4: end for
- 5: Update  $\mathbf{R}' \leftarrow \mathbf{R} + \min_{1 \le m \le K} \{\mathsf{RAF}_m\} \cdot \mathbf{t}$
- 6: Output  $\mathbf{R}'$  and  $\{\mathcal{G}^*_m\}_{m=1}^K$

### distributed







- broadcast transmission (MISO)
- collaborative (among BSs) linear precoding to harness
  - inter-cell interference
  - intra-cell interference

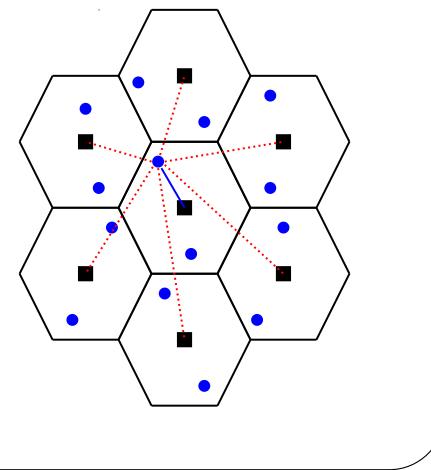
# Downlink in MIMO Networks

### interference management: *decode* or *suppress*?

- three-layer transmission
  - 1. multi-antenna pre-coding
  - 2. rate allocation
  - 3. UGD

jointly solve these two problems

- design the precoders
- design the optimal group decoders



### Network Optimization

### Max-Min Rate Optimization

Maximize worst-case weighted rate subject to power constraint

$$\mathcal{R}(P_0) = \begin{cases} \max_{\{\boldsymbol{w}_i\}} & \min_i \frac{R_i}{\rho_i} \\ \text{s.t.} & \sum_{i=1}^M \alpha_i \|\boldsymbol{w}_i\|^2 \le P_0 \\ & \boldsymbol{R} \text{ is decodable} \end{cases}$$

### Power Optimization

Minimize weighted sum-power subject to QoS guarantees

$$\mathcal{P}(\boldsymbol{\rho}) = \begin{cases} \min_{\{\boldsymbol{w}_i\}} & \sum_{i=1}^M \alpha_i \|\boldsymbol{w}_i\|^2 \\ \text{s.t.} & \text{Rate } \boldsymbol{\rho} \text{ is decodable} \end{cases}$$

### Rate Optimization for UGD

Solving  $\mathcal{R}(P_0)$  can be facilitated by solving  $\mathcal{P}(\boldsymbol{\rho})$ 

**Theorem 4** The problems  $\mathcal{R}(P_0)$  and  $\mathcal{P}(\boldsymbol{\rho})$  are related as

if 
$$\mathcal{P}(\boldsymbol{\rho})$$
 feasible, then  $\mathcal{R}(\mathcal{P}(\boldsymbol{\rho})) = 1$   
and  $\mathcal{P}(\mathcal{R}(P_0) \cdot \boldsymbol{\rho}) \leq P_0$ ,

with the equality only if the weighted sum-power constraint of  $\mathcal{R}(P_0)$  holds with equality.

We formulate and treat the power optimization problem  $\mathcal{P}(\boldsymbol{\rho})$ 

### Power Optimization for UGD

**Theorem 5** For identical rate weights  $\rho_i = \rho$  the power optimization problem with UGD is given by

$$\mathcal{P}(\boldsymbol{\rho}) = \begin{cases} \min_{\{\boldsymbol{w}_i\}} & \sum_{i=1}^M \alpha_i \|\boldsymbol{w}_i\|^2 \\ s.t. & \text{Rate } \boldsymbol{\rho} \text{ is decodable} \end{cases}$$

the constraint ho being decodable is a non-linear non-convex one

- $\mathcal{P}(\boldsymbol{\rho})$  is a non-linear non-convex problem
- not guaranteed to have a solution even when solved in a centralized setup

Remedy: A two-stage distributed suboptimal approach

### Two-stage *distributed* Rate Optimization

### 1. Beamforming design

- use single-user (MMSE) decoders (treat interference as noise)
- offer distributed algorithms for solving  $\mathcal{P}(\boldsymbol{\rho})$  and  $\mathcal{R}(P)$

### 2. Excess Rate Allocation

- BSs exchange their codebooks
- For the given set of beamformers, BSs deploy UGD
- UGD allows BSs support rates higher than those yielded by MMSE decoders

### Distributed Beamforing Design

For MMSE receivers the problem simplifies to

$$\mathcal{P}(\boldsymbol{\rho}) = \begin{cases} \min_{\{\tilde{\boldsymbol{w}}_i\}} & \sum_{i=1}^M \|\tilde{\boldsymbol{w}}_i\|^2 \\ \text{s.t.} & \frac{|\tilde{\boldsymbol{h}}_{i,i}\tilde{\boldsymbol{w}}_i|^2}{\sum_{j\neq i} |\tilde{\boldsymbol{h}}_{i,j}\tilde{\boldsymbol{w}}_j^s|^2 + \sigma_i^s} \ge 1 \end{cases}$$

**Lemma 1** Problem  $\mathcal{P}(\rho)$  is feasible only if the channel realizations are such that

$$\operatorname{rank}(\boldsymbol{Q}) \geq rac{M}{2}.$$

where the matrix Q is determined by the channel coefficients and M is the number of transmit antennas.

### Distributed Beamforing Design

**Lemma 2** The problem  $\mathcal{P}(\rho)$  and its Lagrangian dual exhibit a zero duality gap.

The design involves the following optimization methods

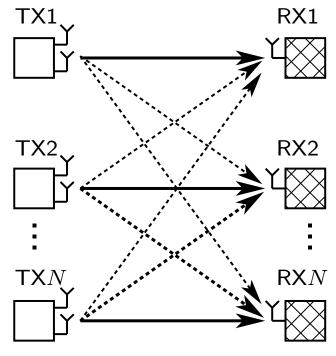
- 1. Partial Lagrangian: Obtained by dualizing interference margin constraints
- 2. Subgradient: Distributed algorithm for minimizing non-differentiable convex functions

**Theorem 6** The problems  $\mathcal{R}(P_0)$  and  $\mathcal{P}(\boldsymbol{\rho})$  can be solved optimally in a distributed way.

### **Excess Rate Allocation**

### Channels + beamformers: MU Interference Channel

- *R*<sub>min</sub> is the rate achieved by using MMSE receivers
- BSs share their codebooks (very limited information exchange)
- RXs use UGD
- RXs can boost their rates beyond  $oldsymbol{R}_{\min}$



### **Excess Rate Allocation**

- UGD: A compromise between rate increments of different RXs
- There should exist coordination among RXs for incrementing rates
- Coordinations should be carried out in a distributed way
- Computationally efficient algorithms
- Rate increments should satisfy max-min fairness (the original problem was max-min rate optimization)



MMSE receiver, rate  $oldsymbol{R}_{\min}$   $\Rightarrow$  UGD receiver, rate  $oldsymbol{R}$ 

$$\mathsf{RAF}_{\mathsf{mm}} = \begin{cases} \max & \min_k \frac{r_k}{\rho_k} \\ \mathsf{s.t.} & \boldsymbol{R} = \boldsymbol{R}_{\min} + \boldsymbol{r} \text{ remains decocable} \end{cases}$$

 $RAF_{mm}$ : the max-min rate adaptation factor

UGD is superior to MMSE  $\Rightarrow$  RAF<sub>mm</sub>  $\ge 0$ 

Solving Max-Min Rate Allocation

connections with the rate adaptation problem in interference channels

similarities:

- similar steps:
  - 1. solving  $\mathsf{RAF}_{\mathsf{mm}}$  for any given user and partition
  - 2. locally solving  $RAF_{mm}$  for each user (optimizing over partitions)
  - 3. finding the globally optimal partitions
- similar successive decoding procedure
- same complexity (polynomial)

# Solving Max-Min Rate Allocation

connections with the rate adaptation problem in interference channels

differences:

- amount of information exchange (higher)
- the relationship between the global and local adaptation factors
- each receiver suggests a set of rate changes for all BSs
- therefore, each BS receives multiple suggestions
- each BS obtains its adaptation factor by picking the smallest suggested change by all users

# Max-Min Fair Rate Adaptation1:Initialize $\mathbf{R}^{(0)} = \mathbf{R}$ and q = 02:repeat3:for $k = 1, \dots, K$ do4:Find $\{r_k^i\}_{i=1}^K$ 5:end for6:Update $q \leftarrow q + 1$ and $R_k^{(q)} = R_k + \min_{1 \le i \le K} \{r_i^k\}$ and $\mathbf{R} \leftarrow \mathbf{R}^{(q)}$ 7:until $\mathbf{R}^{(q)}$ converges

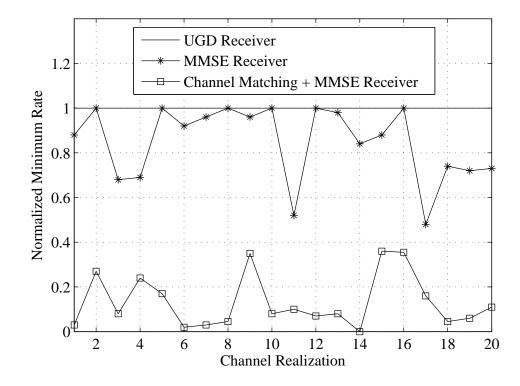
### **Theorem 7** The algorithm

- 1. is monotonic in the sense that  $\mathbf{R}^{(q+1)} \succeq \mathbf{R}^{(q)}$  and is convergent.
- 2. at each iteration the vector  $\mathbf{R}^{(q)}$  is max-min optimal, i.e., for any other arbitrary decodable rate vector  $\tilde{\mathbf{R}} \succeq \mathbf{R}^{\min}$  we have

$$\min_{k \in \mathcal{K}} \frac{R_k^{(q)} - R_k^{(0)}}{\rho_k} \ge \min_{k \in \mathcal{K}} \frac{\tilde{R}_k - R_k^{(0)}}{\rho_k}$$

3. provides pareto-optimal rate adaptaion

### Max-Min Rate for Different Channel Realizations



- three cells, each with 3 users
- BSs: 4 transmit antennas, users: 1 receive antenna
- rates normalized with those achievable with UGD

### Comment on Decoding Complexity

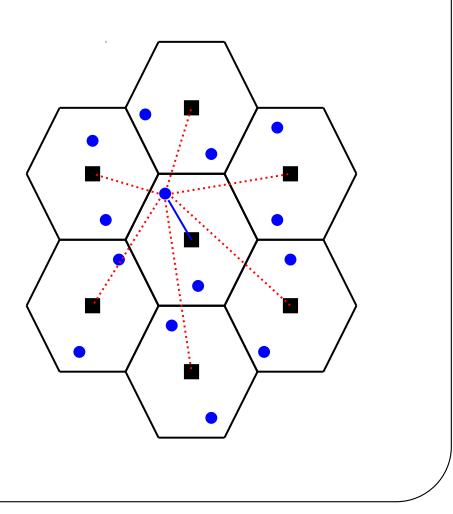
- each receiver partitions the interferers into two sets:
  - decodable set: a group to be decoded jointly via ML decoding
  - noise set: a group to be treated as Gaussian noise
- $\bullet\,$  the size of the decodable set is between 1 and K
- for large decodable sets ML is computationally prohibitive
- to harness such ML decoding complexity
  - $-\,$  partition the decodable set to smaller sets of cardinality  $\leq\,\mu$
  - devise a successive decoding procedure and decoding these partitions successively
  - all the optimality claims still hold true

### Joint Channel Coding and Group Decoding

# Multi-cell Downlink Systems

### interference management: *decode* or *suppress*?

- adding another layer:
  - 1. multi-antenna pre-coding
  - 2. rate allocation
  - 3. UGD
  - 4. channel coding



### **Practical Challenges**

- the rates suggested by group decoders might *not* be practical rates
  - 1. impractical signal constellation
  - 2. impractical code rates
- real codes yield degraded rates compared to Gaussian codeboks
- allow each receiver to decoded the interferers only *partially*
- decoding complexity: the size of decodable set must be  $\leq \mu$

# Strategies

- 1. assign multiple codebooks to each transmitter
  - allows decoding it by the non-intended receivers only partially
- 2. quantize the rates yielded by the algorithm
  - quantization according to a given set of implementable rates
  - quantization level are chosen to minimize the rate distortion
- 3. use rateless codes to implement discrete rates
  - easy to adjust to channel (and rate) fluctuations
- 4. there is a gap between the practical rates and the Shannon rate
  - optimize the code profile to minimize the gap

### Multiple Codebooks for Each Transmitter

- The message of TX j transmitter split into  $L_j$  smaller layers
- $x_{j,k}$ : the  $k^{th}$  layer of TX j drawn from an independent codebook
- codebook superposition at TX  $\boldsymbol{j}$

$$x_j = \sum_{k=1}^{L_j} x_{j,k}$$

- Equal power allocation for all layers, i.e.,  $\mathbb{E}(|x_{j,k}|^2) = \frac{P}{L_i}$ .
- The transmitters collectively have  $\sum_{j=1}^{K} L_j$  codebooks

### Constrained Partial Group Decoder (CPGD)

- The  $i^{th}$  receiver partitions the set of all codebooks to  $\underline{Q}^i$  and  $\underline{\tilde{Q}}^i$ 
  - codebooks in  $\underline{\mathcal{Q}}^i$  to be decoded
  - codebooks in  $\underline{\tilde{\mathcal{Q}}}^i$  to be treated as noise

• 
$$\underline{Q}^i$$
 is also partitioned to  $\underline{Q}^i \stackrel{\scriptscriptstyle \triangle}{=} \{Q_1^i, \dots, Q_{p_i}^i\}$ :

$$- |\mathcal{Q}_m^i| \le \mu \text{ for } m \in \{1, \dots, p_i\}$$

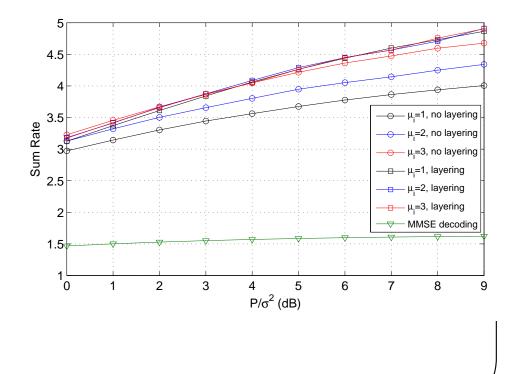
- constrained partial group decoder:
  - $p_i$ -stage successive decoding;
  - during the  $m^{th}$  stage, decode  $\mathcal{Q}^i_m$  while treating the following codebooks as noise

$$\left(\cup_{\ell>m}\mathcal{Q}^i_\ell\right)\bigcup \underline{\tilde{\mathcal{Q}}}^i$$

### Sum-rate Maximization

no practical constraints on rate selection and channel coding yet

- sum-rate by CPGD
- ideal Gaussian codebooks
- ideal infinite-length codes
- 6 pairs of transceivers
- 5 codebooks per TX





- a two-step rate selection procedure
  - 1. coarse tuning: suggests rates based on the long-term statistical knowledge of the channels
  - 2. fine tuning: further improve the rates based on the instantaneous channel states

# Practical Rate Selection (2)

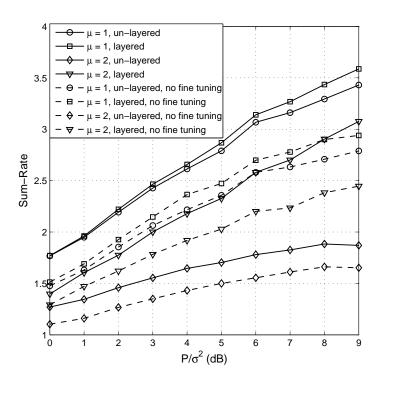
• coarse tuning: Quantize the rates yielded by the CPGD according to the quantization vector  $d = [d_0, d_1, \dots, d_T]$  where  $d_0 = 0$ 

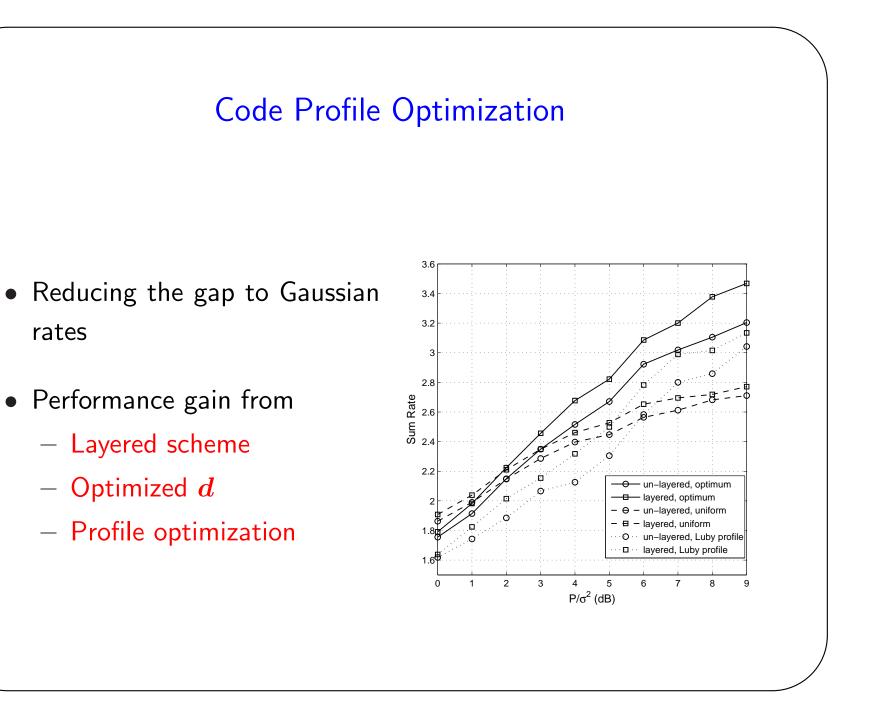
if 
$$R_i \in (d_k, d_{k+1}] \Rightarrow \tilde{R}_i = d_k$$

- *d* is designed
  - a  $\operatorname{pre-designed}$  channel code for N channel uses
  - a pre-designed modulation scheme
  - and such that the *average* rate distortions due to rate quantization is minimized
- fine tuning: scale up the rates from  $\tilde{R}_i$  to  $\eta^* \cdot \tilde{R}_i$ 
  - $-\eta^* = \max \eta$  such that  $\{\eta \cdot \tilde{R}_i\}$  still decodable
  - achieve  $\eta^* \cdot \tilde{R}_i$  via  $\frac{N}{n^*}$  channel uses

### Sum-rate vs. SNR

- $\{R_i\}$  yielded by CPGD
- $\{\tilde{R}_i\}$  by coarse tuning
- $\{\eta^* \tilde{R}_i\}$  by fine tuning
- 6 pairs of transceivers
- 5 codebooks per TX
- Layered outperforms unlayered
- Fine tuning offers 20% rate enhancement





# Conclusions

- we have proposed group decoders with constrained and unconstrained sizes
- we characterize new achievable rate regions for K-user interference channels
- group decoders can be used in conjunction with any other interference management techniques, e.g., linear precoding
- certain advantages in some rate allocation problems
  - fair rate adaptation in interference channels
  - max-min rate optimization in MIMO networks
- implementing group decoders is practically feasible
  - polynomial complexity with the network size
  - distributed with very limited information exchange



# References

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