# **EE 276: Information Theory**

#### Polar Codes

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# Outline

- Polar code construction
- Achieving channel capacity
- Decoding
- Applications and Extensions

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# **Channel Capacity**

- Channel capacity C is the maximal rate of reliable communication
- Shannon's Second Fundamental Theorem (from Lecture 7) :

$$C = \max_{P_X} I(X;Y)$$





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Capacity of the BEC with erasure probability  $\epsilon$  is  $C = 1 - \epsilon$ 

# **Channel Coding**

$$\begin{array}{c} J: \{1, 2, ..., M\} \rightarrow \fbox{encoder} \xrightarrow{X^n} \fbox{channel } P_{Y|X} \xrightarrow{Y^n} \fbox{decoder} \rightarrow \hat{J} \\ \begin{matrix} \swarrow & \leftarrow & \circ \\ \downarrow & \downarrow \\ \end{matrix}$$
rate:  $R = \frac{\log M}{n}$  bits/channel use  
probability of error  $P_{error} = \operatorname{Probability}[\hat{J} \neq J]$ 

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# **Channel Coding**

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rate: 
$$R = \frac{\log M}{n}$$
 bits/channel use  
probability of error  $P_{\text{error}} = \text{Probability}[\hat{J} \neq J]$   
If  $R < C$ , then there exists a communication scheme with  
rate  $\geq R$  and probability of error:  $P_{\text{error}} \rightarrow 0$ 

# **Channel Coding**

$$J: \{1, 2, ..., M\} \to \boxed{\text{encoder}} \xrightarrow{X^n} \boxed{\text{channel } P_{Y|X}} \xrightarrow{Y^n} \boxed{\text{decoder}} \to \hat{J}$$

rate: 
$$R = \frac{\log M}{n}$$
 bits/channel use  
probability of error  $P_{error} = \text{Probability}[\hat{J} \neq J]$   
If  $R < C$ , then there exists a communication scheme with  
rate  $\geq R$  and probability of error:  $P_{error} \rightarrow 0$   
If  $R > C$ , then rate  $R$  is not achievable ( $P_{error}$  is large)

Shannon's Second Theorem: Maximum rate of reliable communication is  $C = \max_{P_X} I(X;Y)$ 

# Shannon's Coding Method

 $\blacktriangleright$  random codebook (from Lecture )  $\begin{array}{cccc} 0 & 1 & 1 & 0 & 1 \end{array}$ 

codeword 1	0	1	1	0	1	•••
codeword 2	1	1	0	1	0	•••
codeword 3	1	1	0	1	0	•••
codeword 4	0	0	0	0	1	•••
codeword 5	1	0	0	0	0	•••
codeword 6	0	1	0	0	1	•••
codeword 7	0	0	1	1	0	•••
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- not explicitly constructed
- shows the existence of good codes
- not computationally efficient

"Almost all codes are "good" codes except for the the ones that we can think of..." Jack Wolfe

# Today: Polar Codes

- Invented by Erdal Arıkan in 2009
- First code with an explicit construction to provably achieve the channel capacity

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Efficient encoding/decoding operations

(channel coding vs source coding)

### Basic $2 \times 2$ transformation



### Basic $2 \times 2$ transformation



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 $U_1, U_2 \in \{0, 1\}$  two input bits  $X_1, X_2 \in \{0, 1\}$  two output bits  $X_1 = U_1 \oplus U_2 = U_1 \text{ XOR } U_2$  $X_2 = U_2$ 

### Basic $2 \times 2$ transformation



 $U_1, U_2 \in \{0, 1\}$  two input bits  $X_1, X_2 \in \{0, 1\}$  two output bits  $X_1 = U_1 \oplus U_2 = U_1 \text{ XOR } U_2$  $X_2 = U_2$ 

alternatively

$$\begin{bmatrix} X_1 \\ X_2 \end{bmatrix} = \begin{bmatrix} 1 & 1 \\ 0 & 1 \end{bmatrix} \begin{bmatrix} U_1 \\ U_2 \end{bmatrix} \mod 2$$

# Inverting the transform



# Inverting the transform







### Erasure channel



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### Naively combining erasure channels

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Repetition coding



# Repetition code with rate 1/n







Repetition coding



 $BEC(\epsilon)$ 

 $1-\epsilon$ 

 $1-\epsilon$ 

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# Combining two erasure channels



Invertible transformation does not alter capacity or mutual information: I(U;Y) = I(X;Y)

Sequential decoding: Decode  $U_1$  and  $U_2$  one by one  $U_{1}(f)U_{1}(f)U_{2} = U_{1}$  $2 \cdot 0.(-0.1)^{2}$ First bit-channel  $W_1 : U_1 \to (Y_1, Y_2)$  $U_1$  \_\_\_\_\_ Urth  $W \xrightarrow{Y_1}$ random  $U_2$ W (Y, erased on Yz erased E. E. Lecased) Yz erased E. E Y, not crased P(U, is erased) = P(Y, erased on 1-E) Э.

suppose a 'genie' provides this bit

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Second bit-channel  $W_2 : U_2 \rightarrow (Y_1, Y_2, U_1)$ 



#### suppose a 'genie' provides this bit



**GPT4 prompt**: generate an artistic depiction of a genie aided channel decoder

Second bit-channel  $W_2$ :  $U_2 \rightarrow (Y_1, Y_2, U_1)$ 



Two different cases:  $W_1$  and  $W_2$ 

 $\triangleright$   $W_1$ : Decoding  $U_1$  when  $U_2$  is **not** available  $U_1$  is erased when  $Y_1$  is erased or  $Y_2$  is erased Failure probability =  $1 - (1 - \epsilon)^2 = 2\epsilon - \epsilon^2$  worse erasure channel



 $\blacktriangleright$  W<sub>2</sub>: Decoding U<sub>2</sub> when U<sub>1</sub> is **available**  $U_2$  is erased when  $Y_1$  is erased and  $Y_2$  is erased Failure probability =  $\epsilon^2$ better erasure channel



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Capacity is conserved



### $C(W_1) + C(W_2) = C(W) + C(W) = 2C(W)$

### $C(W_1) \le C(W) \le C(W_2)$



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Sequential decoding:

Decode U<sub>1</sub> from Y<sub>1</sub>, Y<sub>2</sub>, Y<sub>3</sub>, Y<sub>4</sub> erased if (Y<sub>1</sub> or Y<sub>2</sub> erased) or (Y<sub>3</sub> or Y<sub>4</sub> erased)



Sequential decoding:

- Decode U<sub>1</sub> from Y<sub>1</sub>, Y<sub>2</sub>, Y<sub>3</sub>, Y<sub>4</sub> erased if (Y<sub>1</sub> or Y<sub>2</sub> erased) or (Y<sub>3</sub> or Y<sub>4</sub> erased)
- Decode U<sub>2</sub> from Y<sub>1</sub>, Y<sub>2</sub>, Y<sub>3</sub>, Y<sub>4</sub>, U<sub>1</sub> erased if (Y<sub>1</sub> or Y<sub>2</sub> is erased) and (Y<sub>3</sub> or Y<sub>4</sub> is erased)

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Sequential decoding:

- Decode U<sub>1</sub> from Y<sub>1</sub>, Y<sub>2</sub>, Y<sub>3</sub>, Y<sub>4</sub> erased if (Y<sub>1</sub> or Y<sub>2</sub> erased) or (Y<sub>3</sub> or Y<sub>4</sub> erased)
- Decode U<sub>2</sub> from Y<sub>1</sub>, Y<sub>2</sub>, Y<sub>3</sub>, Y<sub>4</sub>, U<sub>1</sub> erased if (Y<sub>1</sub> or Y<sub>2</sub> is erased) and (Y<sub>3</sub> or Y<sub>4</sub> is erased)
- Decode U<sub>3</sub> from Y<sub>1</sub>, Y<sub>2</sub>, Y<sub>3</sub>, Y<sub>4</sub>, U<sub>1</sub>, U<sub>2</sub> erased if (Y<sub>1</sub> and Y<sub>2</sub> is erased) or (Y<sub>3</sub> and Y<sub>4</sub> is erased)
  Decode U<sub>4</sub> from Y<sub>1</sub>, Y<sub>2</sub>, Y<sub>3</sub>, Y<sub>4</sub>, U<sub>1</sub>, U<sub>2</sub>, U<sub>3</sub> erased if (Y<sub>1</sub> and Y<sub>2</sub> erased) and (Y<sub>3</sub> and Y<sub>4</sub> erased)

# Recursive Calculation of Failure Probability

Sequential decoding: Decode  $U_1$ erased if  $(Y_1 \text{ or } Y_2 \text{ erased})$  or  $(Y_3 \text{ or } Y_4 \text{ erased})$ failure probability=  $2\hat{\epsilon} - \hat{\epsilon}^2 = 2(2\epsilon - \epsilon^2) - (2\epsilon - \epsilon^2)^2$ 

### **Recursive Calculation of Failure Probability**

Sequential decoding:

 $\blacktriangleright$  Decode  $U_1$ 

erased if  $(Y_1 \text{ or } Y_2 \text{ erased})$  or  $(Y_3 \text{ or } Y_4 \text{ erased})$ failure probability=  $2\hat{\epsilon} - \hat{\epsilon}^2 = 2(2\epsilon - \epsilon^2) - (2\epsilon - \epsilon^2)^2$ Decode  $U_2$ erased if  $(Y_1 \text{ or } Y_2 \text{ is erased})$  and  $(Y_3 \text{ or } Y_4 \text{ is erased})$ failure probability=  $\hat{\epsilon}^2 = (2\epsilon - \epsilon^2)^2$ 

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### Recursive Calculation of Failure Probability

Sequential decoding:

 $\blacktriangleright$  Decode  $U_1$ 

erased if  $(Y_1 \text{ or } Y_2 \text{ erased})$  or  $(Y_3 \text{ or } Y_4 \text{ erased})$ failure probability=  $2\hat{\epsilon} - \hat{\epsilon}^2 = 2(2\epsilon - \epsilon^2) - (2\epsilon - \epsilon^2)^2$ 

 $\blacktriangleright$  Decode  $U_2$ 

erased if  $(Y_1 \text{ or } Y_2 \text{ is erased})$  and  $(Y_3 \text{ or } Y_4 \text{ is erased})$ failure probability=  $\hat{\epsilon}^2 = (2\epsilon - \epsilon^2)^2$ 

 $\blacktriangleright$  Decode  $U_3$ 

erased if  $(Y_1 \text{ and } Y_2 \text{ is erased})$  or  $(Y_3 \text{ and } Y_4 \text{ is erased})$ failure probability=  $2\tilde{\epsilon} - \tilde{\epsilon}^2 = 2(\epsilon^2) - (\epsilon^2)^2$ 

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Recursive Calculation of Failure Probability  $\mathcal{L}(\mathcal{F})$ 

Sequential decoding:

 $\blacktriangleright Decode U_1$ 

erased if  $(Y_1 \text{ or } Y_2 \text{ erased})$  or  $(Y_3 \text{ or } Y_4 \text{ erased})$ failure probability=  $2\hat{\epsilon} - \hat{\epsilon}^2 = 2(2\epsilon - \epsilon^2) - (2\epsilon - \epsilon^2)^2$ 

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 $\blacktriangleright$  Decode  $U_2$ 

erased if ( $Y_1$  or  $Y_2$  is erased) and ( $Y_3$  or  $Y_4$  is erased) failure probability=  $\hat{\epsilon}^2 = (2\epsilon - \epsilon^2)^2$ 

• Decode  $U_3$ erased if  $(Y_1 \text{ and } Y_2 \text{ is erased})$  or  $(Y_3 \text{ and } Y_4 \text{ is erased})$ failure probability=  $2\tilde{\epsilon} - \tilde{\epsilon}^2 = 2(\epsilon^2) - (\epsilon^2)^2$ 

 $\blacktriangleright$  Decode  $U_4$ 

erased if ( $Y_1$  and  $Y_2$  erased) and ( $Y_3$  and  $Y_4$  erased) failure probability=  $\tilde{\epsilon}^2 = (\epsilon^2)^2$ 



### Larger construction



### Larger construction



#### **Question:** What happens if we keep extending the size?

### Larger construction



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# Gambling and Martingales



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    you can bet red or black
        Probability[red] = 1/2
        Probability[black] = 1/2

    a betting strategy that always wins (!)<sup>1</sup>: double the bet after every loss
```

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until you win:

bet \$1 on **black** bet \$2 on **black** bet \$4 on **black** 

<sup>1</sup>do not try this at home (or at the casino)

# Gambling and Martingales

until you win:

bet \$1 on  ${\color{black}{black}}$ 

bet \$2 on black

bet \$4 on **black** 

bet \$8 on black

bet \$16 on black

bet \$32 on **black** 

Martingale betting strategy is a winning strategy only if you have unbounded wealth

It is not sustainable

Probability [Loosing 6 in a row]  $=\frac{1}{2^6} \approx 0.016$ . This will eventually happen if you repeat many times

# Martingale Processes

A martingale process is a sequence of random variables for which the conditional expectation of the next value in the sequence is equal to the present value, regardless of all prior values.



Martingales processes are important finance, e.g., in stock trading, Black Scholes option pricing model (which won the Nobel prize in economics)

#### Back to Polar Codes



Let  $e_t$  be random  $\pm 1$  for t = 1, 2... The polarization process is

$$w_{t+1} = w_t + e_t w_t (1 - w_t)$$

$$= \begin{cases} \forall \psi_t - \psi_t^{\gamma} & \theta_t = -(\psi_t^{\gamma}) \\ \psi_t^{\gamma} & \theta_t = -(\psi_t^{\gamma}) \end{cases}$$

# Sample paths



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#### Martingales

$$w_{t+1} = w_t + e_t w_t (1 - w_t)$$

► the expectation of the next value is equal to the previous value:  $\mathbb{E}[w_{t+1}|w_t] = w_t$ 

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#### Martingales

$$w_{t+1} = w_t + e_t w_t (1 - w_t)$$

- ► the expectation of the next value is equal to the previous value:  $\mathbb{E}[w_{t+1}|w_t] = w_t$
- Martingale processes converge to a limiting distribution if they are bounded

Polarization process  $w_{t+1} = w_t + e_t w_t (1 - w_t)$ converges to w(1 - w) = 0 why? w = 0 (erasure probability one) or w = 1 (erasure probability zero)

#### Evolution of physical systems



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Gradient descent



$$w_{t+1} = w_t + e_t w_t (1 - w_t)$$
  
converges, i.e.,  $w_{t+1} = w_t$  when  $f(w_t) = w_t (1 - w_t) = 0$ 

$$w_{t+1} = w_t + e_t w_t (1 - w_t)$$

plot of 
$$f(w) = w(1-w)$$



#### Polarization theorem



$$w_{t+1} = w_t + e_t w_t (1 - w_t)$$

converges to either zero or one with probability one!

implies that almost all channels are either perfect or completely noisy

Down - Up - Down - Up ....  $\epsilon \searrow \epsilon^2 \nearrow 2\epsilon^2 - \epsilon^4 = ?\epsilon$ 



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Down - Up - Down - Up ....  

$$\epsilon \searrow \epsilon^2 \nearrow 2\epsilon^2 - \epsilon^4 = \epsilon \text{ if } \epsilon = \frac{\sqrt{5}}{2} - \frac{1}{2} = \frac{1}{\phi} \approx 0.61803398875$$

Down - Up - Down - Up ....
$$\epsilon \searrow \epsilon^2 \nearrow 2\epsilon^2 - \epsilon^4 = \epsilon \text{ if } \epsilon = \frac{\sqrt{5}}{2} - \frac{1}{2} = \frac{1}{\phi} \approx 0.61803398875$$
Golden ratio :
$$\phi := \frac{1 + \sqrt{5}}{2} \approx 1.61803398875$$



# Google images: golden ratio in nature





There won't be another day like June 1 ... hindustantimes.com



Examples Of The Golden Ratio ... memolition.com



Illustration of golden ratio in nature ... stock.adobe.com



Quantum Golden Ratio » ISO50 Blog – The ... blog.iso50.com



Class Assignment #1 Golden Ratio a... bellhsgraphicdesign1.blogspot.com



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The Golden Ratio and Fibonacci S... icytales.com



The Golden Ratio in nature | Downlo... researchgate.net



Fibonacci Sequence & Gold... dreamgains.com



The golden ratio in nature, unveiled ... phimatrix.com



The Golden Ratio



The Golden Ratio Occurring in Nature ... themodernape.com



Examples Of The Golden Ratio Y... memolition.com



golden ratio. Truly divine ... imgur.com

# Encoding circuit



 $\begin{pmatrix} 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 & 1 \\ 1 & 0 & 1 & 0 & 1 & 0 & 1 & 0 \\ 1 & 1 & 0 & 0 & 1 & 1 & 0 & 0 \\ 1 & 1 & 1 & 1 & 0 & 0 & 0 & 0 \\ 1 & 0 & 0 & 0 & 1 & 0 & 0 & 0 \\ 1 & 0 & 1 & 0 & 0 & 0 & 0 & 0 \\ 1 & 1 & 0 & 0 & 0 & 0 & 0 \end{pmatrix}$ 

What do we do with the noisy channels?



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# We can freeze noisy channels!

C=1-P[erasure] rank



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#### Freezing noisy channels

C=1-P[erasure]

rank



## Encoding and decoding

all the bad channels are frozen

successive cancellation decoder will correctly recover the message with high probability!



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#### Polarization of general channels



$$W^{-}(Y_{1}, Y_{2}|U_{1}) = \frac{1}{2} \sum_{u_{2}} W_{1}(y_{1}|u_{1} \oplus u_{2})W_{2}(y_{2}|u_{2})$$
$$W^{+}(Y_{1}, Y_{2}, U_{1}|U_{2}) = \frac{1}{2} W_{1}(y_{1}|u_{1} + u_{2})W_{2}(y_{2}|u_{2})$$

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 $I(W^{-}) + I(W^{+}) = I(W) + I(W) = 2I(W)$ 

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# Polarization of general channels





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$$I(W^{-}) + I(W^{+}) = I(W) + I(W) = 2I(W)$$

2p(1-p)=p p=00514  $\begin{array}{l} \text{Mrs Gerber's Lemma: If } I(W) = 1 - \mathcal{H}(p), \text{ then} \\ \frac{1}{2}(I(W^+) - I(W^-)) \geq \mathcal{H}(2p(1-p)) - \mathcal{H}(p) \nearrow \mathbb{O} \\ \mathbb{O} \in \mathbb{O} \\ \mathbb{O} \\ \mathbb{O} \in \mathbb{O} \\ \mathbb{$ 

## Polarization theorem

 $(w) = 1 - \epsilon$ 

C(W) = capacity of the original channel

- $\blacktriangleright C(W)$  fraction of channels converge to noiseless channels with mutual information  $\approx 1$
- ▶ 1 C(W) fraction of channels converge noisy channels with mutual information  $\approx 0$

C(W) fraction

1 - C(W) fraction

$$C(W)$$
 - •

#### Polarization theorem

C(W) = capacity of the original channel

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n total channel uses:

n C(W) noiseless and n (1 - C(W)) noisy

- ▶ By freezing the noisy channels to zero we get  $Rate \rightarrow \frac{nC(W)}{n} = C(W)$
- Achieves capacity as n gets large! This is true for any symmetric channel!

# Polarization Theorem (formal)

#### Theorem

The bit-channel capacities  $\{C(W_i)\}$  polarize: for any  $\delta \in (0, 1)$ , as the construction size N grows

$$\left[\frac{\text{no. channels with } C(W_i) > 1 - \delta}{N}\right] \longrightarrow C(W)$$

and

$$\left[\frac{\text{no. channels with } C(W_i) < \delta}{N}\right] \longrightarrow 1 - C(W)$$

 $-\delta$ 

 $\delta$ 

# Polarization as capacity changes



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# Consequence of the Polarization Theorem

#### Theorem

For any rate R < I(W) and block-length N, the probability of frame error for polar codes under successive cancelation decoding is bounded as

$$P_e(N,R) = o\left(2^{-\sqrt{N}+o(\sqrt{N})}\right)$$

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# **5G Communications**

- The jump from 4G to 5G is far larger than any previous jumps—from 2G to 3G; 3G to 4G
- The global 5G market is expected reach a value of 251 Bn by 2025

# **5G Communications**

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# **5G Communications**

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- The global 5G market is expected reach a value of 251 Bn by 2025
- In 2016, researchers reached 27 Gbps downlink using Polar Codes
- Current LTE download speed is 5-12 Mbps
- In November 2016, 3GPP agreed to adopt Polar codes for control channels in 5G. LDPC codes will be used in data channels.



# Other Applications: Distributed Computing in Data Centers





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Facebook Data Center, New Albany OH.

# Data Centers



# **Distributed** Computing



#### need to wait workers to finish local computations

# **Distributed** Computing



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### **Computational Polarization**



M. Pilanci, **Computational Polarization: An Information-Theoretic Method for Resilient Computing,** IEEE Transactions on Information Theory, 2022

B. Bartan and M. Pilanci, Straggler Resilient Serverless Computing Based on Polar Codes, Annual Allerton

Conference on Communication, Control, and Computing 2019. arxiv.org/pdf/1901.06811

#### Polarization of computation times



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# Polarization for computation



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# Polarization of computation times



#### Polar codes for computation



#### Polar coded machine learning



Fig. 8. Cost vs time for the gradient descent example.

B. Bartan and M. Pilanci, **Straggler Resilient Serverless Computing Based on Polar Codes**, Annual Allerton Conference on Communication, Control, and Computing 2019. arxiv.org/pdf/1901.0681

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# Questions?

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#### Cloud computing on Amazon Lambda



Fig. 7. Job output times and decoding times for N = 512.

#### Extensions





Details on Decoding: Divide and Conquer



#### Successive Cancellation Decoder

First phase: treat **a** as noise, decode  $(u_1, u_2, u_3, u_4)$ 



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Successive Cancellation Decoder End of first phase



Successive Cancellation Decoder

Second phase: Treat  $\hat{\mathbf{b}}$  as known, decode  $(u_5, u_6, u_7, u_8)$ 



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Successive Cancellation Decoder First phase in detail



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Successive Cancellation Decoder Equivalent channel model



Successive Cancellation Decoder First copy of  $W^-$ 



Successive Cancellation Decoder Second copy of  $W^-$ 



Successive Cancellation Decoder Third copy of  $W^-$ 



Successive Cancellation Decoder Fourth copy of  $W^-$ 



#### Reduction to $4 \times 4$



Decoding the lower block u<sub>5</sub>, u<sub>6</sub>, u<sub>7</sub>, u<sub>8</sub> is done similarly with a 4 × 4 block of W<sup>+</sup> channels



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# Capacity of the binary erasure channel (BEC)



$$I(X;Y) = H(X) - H(X|Y)$$
  
=  $H(X) - H(X)\epsilon - 0 P(Y = 0) - 0 P(Y = 1)$   
=  $(1 - \epsilon)H(X)$ 

Picking  $X \sim Ber(\frac{1}{2})$ , we have H(X) = 1. Thus, the capacity of BEC is  $C = 1 - \epsilon$  Capacity of the BEC with erasure probability  $\epsilon$  is  $C = 1 - \epsilon$ 

#### References

Channel polarization: A method for constructing capacity-achieving codes for symmetric binary-input memoryless channels, E. Arikan - IEEE Transactions on information Theory, 2009

► A Short Course on Polar Coding, E. Arikan, 2016