Transmission of Nonuniform Memoryless Sources via Nonsystematic Turbo Codes

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Abstract-We investigate the joint source-channel coding problem of transmitting nonuniform memoryless sources over binary phase-shift keying-modulated additive white Gaussian noise and Rayleigh fading channels via turbo codes. In contrast to previous work, recursive nonsystematic convolutional encoders are proposed as the constituent encoders for heavily biased sources. We prove that under certain conditions, and when the length of the input source sequence tends to infinity, the encoder state distribution and the marginal output distribution of each constituent recursive convolutional encoder become asymptotically uniform, regardless of the degree of source nonuniformity. We also give a conjecture (which is empirically validated) on the condition for the higher order distribution of the encoder output to be asymptotically uniform, irrespective of the source distribution. Consequently, these conditions serve as design criteria for the choice of good encoder structures. As a result, the outputs of our selected nonsystematic turbo codes are suitably matched to the channel input, since a uniformly distributed input maximizes the channel mutual information, and hence, achieves capacity. Simulation results show substantial gains by the nonsystematic codes over previously designed systematic turbo codes; furthermore, their performance is within 0.74-1.17 dB from the Shannon limit. Finally, we compare our joint source-channel coding system with two tandem schemes which employ a fourth-order Huffman code (performing near-optimal data compression) and a turbo code that either gives excellent waterfall bit-error rate (BER) performance or good error-floor performance. At the same overall transmission rate, our system offers robust and superior performance at low BERs ($< 10^{-4}$), while its complexity is lower.

Index Terms—Additive white Gaussian noise (AWGN) and Rayleigh fading channels, joint source-channel coding, nonsystematic turbo codes, nonuniform independent and identically distributed (i.i.d.) sources, Shannon limit.

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I. INTRODUCTION

N MOST OF the theory and practice of error-control coding, the input to the channel encoder is assumed to be uniform, independent, and identically distributed (i.i.d.); i.e., the source generates a memoryless binary stream $\{U_k\}_{k=0}^{\infty}$, where $Pr{U_k = 0} = 1/2$. In reality, however, a substantial amount of redundancy resides in natural sources. For example, many uncompressed binary images (e.g., facsimile and medical images) may contain as much as 80% of redundancy in the form of nonuniformity (e.g., [1], [2]); this corresponds to a probability $p_0 \triangleq \Pr\{U_k = 0\} = 0.97$. In this case, a source encoder would be used. Such an encoder is optimal, if it can eliminate all the source redundancy and generates uniform i.i.d. outputs. However, most existing source encoders are suboptimal, particularly fixed-length encoders that are commonly used for transmission over noisy channels; thus, the source-encoder output contains some *residual* redundancy. For example, the 4.8 kb/s US FS 1016 CELP speech vocoder produces line spectral parameters that contain 41.5% of residual redundancy due to nonuniformity and memory [3]. Variable-length or entropy codes (e.g., Huffman codes), which can be asymptotically optimal (for sufficiently large blocks of source symbols), could be employed instead of fixed-length codes or in conjunction with them. However, error-propagation problems in the presence of channel noise are inevitable, and are sometimes catastrophic. Therefore, the reliable communication of sources with a considerable amount of redundancy (residual if compressed, or natural if not) is an important issue. This, in essence, is a joint source-channel coding problem. Blizard [4], Koshelev [5], and Hellman [6] are among the first few who proposed convolutional coding for the joint source-channel coding of sources with natural redundancy, where the source statistics are used at the receiver. Specifically, the convolutional encoding of such sources (Markov and nonuniform sources) over memoryless channels, and their decoding via sequential decoders employing a decoding metric that is dependent on both source and channel distributions, were studied in [4] and [5]. The computational complexity of such sequential decoders is analyzed, and it is shown that for a range of transmission rates, the expected number of computations per decoded bit is finite. In [6], a lossless joint source-channel coding theorem for convolutional codes is established. It is proved that for a discrete memoryless source and channel pair, there exist convolutional codes of rate R that can be used to perform reliable joint source and channel coding (under maximum a posteriori (MAP) decoding) as long as R < C/H, where H is the source entropy and C is the channel capacity. Recently, several studies (e.g., [1]–[3], [7]–[22], etc.) have also shown that appropriate use of the source redundancy can significantly improve the system performance.

Turbo codes have been regarded as one of the most exciting breakthroughs in channel coding. The original work by Berrou et al. demonstrated excellent performance of turbo codes for uniform i.i.d. sources over additive white Gaussian noise (AWGN) channels [23]. The work was later extended to Rayleigh fading channels showing comparable performance [24]. Recently, McEliece pointed out that turbo codes have also great potential on nonstandard channels (asymmetric, nonbinary, multiuser, etc.) [25]. However, the above papers focus on uniform i.i.d. sources. In [26] and [27], the authors considered using turbo codes for sources with memory. To the best of our knowledge, the issue of designing turbo codes for nonuniform i.i.d. sources has not been fully studied, except for the recent work in [28] and [29], in which standard systematic turbo codes (STCs) are considered, where each constituent encoder is a recursive systematic convolutional (RSC) encoder. Although the gains achieved by these codes are considerable with respect to the original Berrou code, their performance gaps vis-a-vis the Shannon limit, also known as the optimal performance theoretically achievable (OPTA), are still relatively big for heavily biased sources (e.g., with $p_0 = 0.8, 0.9$). Analysis on the encoder output reveals that the drawback lies in the systematic structure, which results in a mismatch¹ between the biased distribution of the systematic bit stream and the uniform input distribution needed to achieve channel capacity. As we will show in this paper, when some constraints are satisfied, recursive nonsystematic convolutional (RNSC) encoders can generate asymptotically uniform outputs, even for extremely biased sources. But it is known that the capacity of a binary-input AWGN or Rayleigh channel is achieved by a uniform i.i.d. channel input. Furthermore, it was shown in [30] by Shamai and Verdú that the empirical distribution of any good code (a code with rate close to capacity and vanishing probability of error for sufficiently long blocklengths) should approach the capacity-achieving input distribution.² Therefore, we propose using RNSC turbo encoders. Simulation results demonstrate substantial gains over STCs. The OPTA gaps for heavily biased sources are, hence, significantly reduced.

This paper is organized as follows. In Section II, we illustrate the need to examine nonsystematic turbo codes (NSTCs) instead of systematic codes for the transmission of strongly nonuniform sources by evaluating the capacity loss incurred when such sources are directly (e.g., via a systematic bit stream) sent over binary phase-shift keying (BPSK)-modulated AWGN or Rayleigh fading channels. In Section III, we give two asymptotic properties (when the input sequence length tends to infinity) of recursive convolutional encoders whose input is a nonuniform i.i.d. source with arbitrary degree of nonuniformity. Design criteria for good nonsystematic encoder structures based on these two properties are introduced in Section IV. The iterative decoding design for such NSTCs is also addressed. Simulation results and performance comparisons to the Shannon limit are presented in Section V. In Section VI, we compare our joint source-channel coding system with two tandem coding schemes that employ a nearly optimal source code followed by Berrou's (37,21) turbo code [23] (which gives excellent waterfall bit-error rate (BER) performance), or a systematic (35,23) turbo code (which gives a slightly inferior waterfall BER performance but a lower error-floor performance). Finally, conclusions are given in Section VI.

II. CAPACITY LOSS DUE TO CHANNEL-INPUT MISMATCH

In this section, we illustrate why systematic codes are not well matched to symmetric channels (due to their systematic bit stream) when the source is very biased ($p_0 = 0.8, 0.9$). This is achieved by examining the capacity loss incurred in BPSKmodulated AWGN channels and memoryless Rayleigh fading channels with known channel state information (CSI) [24] under such biased sources as input. The channel capacity is the largest rate at which information can be transmitted (via a block code) and recovered with a vanishingly low probability of error. For discrete-input memoryless channels, it is well known that the capacity is given by the maximum of the mutual information between the channel input and output: $C = \max_{p(x)} I(X;Y)$, where the maximization is taken with respect to all input distributions p(x). When the channel is symmetric, the capacity is achieved by a uniform channel input distribution. For AWGN channels, the capacity is

$$C_{\rm AWGN} = 1 - \int_{-\infty}^{\infty} \frac{1}{\sqrt{2\pi\sigma^2}} e^{-(y+1)^2/2\sigma^2} \log_2(1 + e^{2y/\sigma^2}) dy.$$

Similarly, for Rayleigh fading channels, the capacity is

$$C_{\text{Ray}} = 1 - \int_0^\infty \int_{-\infty}^\infty \frac{1}{\sqrt{2\pi\sigma^2}} e^{-(y+a)^2/2\sigma^2} \cdot 2ae^{-a^2} \cdot \log_2\left(1 + e^{2ay/\sigma^2}\right) dy \, da.$$

Note that the average energy per channel symbol $E_s = 1$, and $\sigma^2 = N_0/2$ is the variance of the AWGN. Therefore, both $C_{\rm AWGN}$ and $C_{\rm Ray}$ are functions of the signal-to-noise ratio (SNR) E_s/N_0 .

When a nonuniform i.i.d. source (with distribution $p_0 \neq 1/2$) is directly fed into either channel, the channel input is obviously nonuniform, and the capacity cannot be fully exploited since the uniform distribution achieves capacity for such channels. Therefore, the actual achievable capacity for AWGN channels with such a biased input is

$$\begin{split} C_{\text{AWGN}}^{\text{bias}} &= I(X;Y)|_{P(X=0)=p_0} \\ &= -p_0 \int_{-\infty}^{\infty} \frac{1}{\sqrt{2\pi\sigma^2}} e^{-(y+1)^2/2\sigma^2} \log_2(p_0 + p_1 e^{2y/\sigma^2}) dy \\ &- p_1 \int_{-\infty}^{\infty} \frac{1}{\sqrt{2\pi\sigma^2}} e^{-(y-1)^2/2\sigma^2} \log_2(p_0 e^{-2y/\sigma^2} + p_1) dy \end{split}$$

¹A similar mismatch in the context of the design of scalar quantizers for nonuniform memoryless sources over binary symmetric channels (BSC) was also observed in [15] and [17], and addressed via the use of a rate-one convolutional encoder. This method is, however, unsuitable for our problem, as it will result in error propagation at the receiver due to our use of large data blocks in an attempt to achieve the Shannon limit.

²More precisely, it is shown in [30, Th. 4] that for any discrete memoryless channel, and for any fixed integer k > 0, the *k*th-order empirical distribution of any regular good code sequence converges (in the Kullback–Leibler divergence sense) to the *k*-product of the capacity-achieving distribution.

 TABLE I

 Illustration of Channel-Input Mismatch for AWGN and Rayleigh

 Fading Channels: C versus C^{bias} for $p_0 = 0.8, 0.9$

	SNR (dB)		$p_0 = 0.8$		$p_0 = 0.9$					
Channel	E_s/N_0	C	C^{bias}	$\frac{C^{bias}}{C}$	C^{bias}	$\frac{C^{bias}}{C}$				
AWGN	-4.0	0.415	0.284	68.5%	0.172	41.4%				
	-2.0	0.564	0.392	69.6%	0.242	42.9%				
	0.0	0.721	0.509	70.6%	0.320	44.4%				
	2.0	0.860	0.614	71.4%	0.392	45.6%				
	4.0	0.951	0.684	71.9%	0.442	46.4%				
Rayleigh	-4.0	0.348	0.240	69.0%	0.147	42.2%				
	-2.0	0.454	0.317	69.8%	0.197	43.3%				
	0.0	0.566	0.398	70.4%	0.250	44.2%				
	2.0	0.671	0.476	71.0%	0.302	45.0%				
	4.0	0.763	0.544	71.3%	0.348	45.6%				

and for Rayleigh fading channels, it is

$$C_{\text{Ray}}^{\text{bias}} = I(X;Y)|_{P(X=0)=p_0}$$

= $-p_0 \int_0^\infty \int_{-\infty}^\infty \frac{1}{\sqrt{2\pi\sigma^2}} e^{-(y+a)^2/2\sigma^2} \cdot 2ae^{-a^2}$
 $\cdot \log_2 \left[p_0 + p_1 e^{2ay/\sigma^2} \right] dy da$
 $-p_1 \int_0^\infty \int_{-\infty}^\infty \frac{1}{\sqrt{2\pi\sigma^2}} e^{-(y-a)^2/2\sigma^2} \cdot 2ae^{-a^2}$
 $\cdot \log_2 \left[p_0 e^{-2ay/\sigma^2} + p_1 \right] dy da$

As a result, if one transmits the nonuniform source directly, the capacity cannot be fully realized, due to the mismatch between the channel input distribution and the capacity-achieving distribution. This is numerically illustrated in Table I for various values of SNR, where we note that in certain cases, C^{bias}/C can be as low as 41.4%. This leads us to conclude that for the transmission of very biased nonuniform sources, we should eliminate the systematic bit stream in the encoder structure, and hence, investigate the design of nonsystematic codes in our attempt to avoid such mismatch-incurred performance loss.

III. ASYMPTOTIC PROPERTIES OF RECURSIVE ENCODERS

In this section, we prove two asymptotic properties of recursive convolutional encoders when the input sequence is a nonuniform i.i.d. source $\{U_k\}$, with distribution p_0 and length approaching infinity. Throughout this section, we assume that $p_0 \in (0.0, 1.0)$ and that $p_0 \neq 1/2$. We first show that, regardless of the value of p_0 , when certain conditions are satisfied, the parity output of the encoder is asymptotically uniform. Based upon empirical observations, we also give a conjecture on the condition when the encoder output has higher order asymptotically uniform distributions (the joint distribution of m > 1consecutive parity bits). We next show that, if the feedback tap coefficient of the last memory element is unity, all of the encoder states will be reached with asymptotically equal probability. The conditions for the above two asymptotic properties are both necessary and sufficient. These two properties offer pertinent design criteria, which will be used in the next section for constructing good encoder structures of turbo codes for heavily biased, nonuniform i.i.d. sources.

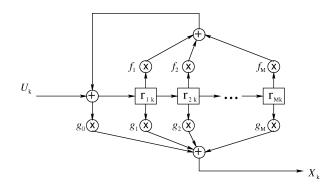


Fig. 1. General structure of a recursive convolutional encoder.

We first study the asymptotic distribution of a single paritycheck output of a constituent recursive convolutional encoder (either systematic or nonsystematic, see Fig. 1). We begin by quoting the following result from [33, Th., p. 1692] with Q = 2and [34, Lemma 3, p. 1855].

Lemma 1: Consider the sequence $\{Y_n z_n\}$, where $\{Y_n\}$ is a stationary sequence of independent symbols from GF(2) with probability $P(Y_n = 0) = p_0$, and $\{z_n\}$ is a deterministic sequence containing an infinite number of nonzero terms. If $W_k = \sum_{n=0}^k Y_n z_n$, where the summation is modulo-2, then

$$\lim_{k \to \infty} P(W_k = 0) = \frac{1}{2}.$$

Using the above lemma, we can now establish the following result.

Theorem 1: For a recursive convolutional encoder with feedback polynomial F(D) and feed-forward polynomial G(D), the necessary and sufficient condition that the encoder output is asymptotically uniform for a nonuniform i.i.d. source with distribution p_0 (regardless of the value of p_0) is that G(D) is not divisible by F(D) in GF(2).



Necessary Part: Suppose the source generates $\{U_k\}_{k=0}^{\infty}$, and the encoder produces an output sequence of $\{X_k\}_{k=0}^{\infty}$. Denote the encoder input and output in polynomial forms as $U(D) = \sum_{k=0}^{\infty} U_k D^k$ and $X(D) = \sum_{k=0}^{\infty} X_k D^k$, respectively. Also, define $E(D) \triangleq G(D)/F(D)$. Then for a recursive convolutional encoder with feedback polynomial F(D) and feed-forward polynomial G(D), we have

$$X(D) = U(D) \cdot \frac{G(D)}{F(D)} \triangleq U(D) \cdot E(D).$$

Suppose that G(D) is divisible by F(D) in GF(2). Then E(D) is a polynomial of D with finite degree. Therefore, any bit of the encoder output X_k is essentially a modulo-2 summation of a *finite* number of bits from $\{U_k\}_{k=0}^{\infty}$. However, a finite modulo-2 summation of nonuniform i.i.d. variables would still be nonuniform; therefore, the encoder output $\{X_k\}_{k=0}^{\infty}$ is nonuniform.

Sufficient Part: When G(D) is not divisible by F(D) in GF(2), E(D) is an infinite polynomial of D

$$E(D) = e_0 + e_1 D + e_2 D^2 + \dots + e_k D^k + \dots$$

where e_k is binary. Then

$$X_k = \sum_{l=0}^k U_l e_{k-l}, \quad k = 0, 1, 2, \dots$$
(where summation is in mod-2).

Letting $z_l \triangleq e_{k-l}$, where l = 0, 1, ..., k. Since E(D) = G(D)/F(D) is a rational polynomial fraction, when G(D) is not divisible by F(D) in GF(2), $\{e_l\}$ is a periodic series. Therefore, when $k \to \infty$, the number of ones in $\{e_l\}_{l=0}^k$ (and hence, in $\{z_l\}_{l=0}^k$) also goes to infinity. From Lemma 1, we obtain that $\lim_{k\to\infty} P(X_k = 0) = 1/2$.

In [30], Shamai and Verdú proved that for any fixed positive integer k, the kth-order empirical distribution of any good code (i.e., a code approaching capacity with asymptotically vanishing probability of error) converges to the input distributions that achieve channel capacity. The capacity of a binary-input AWGN or Rayleigh channel is achieved when its mutual information is maximized by an i.i.d. uniform input. Therefore, having higher order uniform distributions (in addition to the first-order distribution) in encoder outputs is also desirable. A related result has been established by Leeper in [34], which states that for any binary source (with unknown statistics), recursive convolutional encoders can produce a parity output whose firstand second-order distributions can be arbitrarily close (within a given value δ) to uniform for an appropriately chosen large value of the source sequence under the following conditions: 1) the source is first passed through the equivalent of a BSC with an arbitrarily small, but nonzero, error probability ϵ ; 2) the encoder's memory size is greater than a certain value determined by δ and ϵ . For our system, which does not satisfy the above (rather stringent) conditions, we can state the following conjecture based on extensive simulations.

Conjecture: Suppose a nonuniform i.i.d. source with distribution p_0 is input to a recursive convolutional encoder with feedback polynomial F(D) and feed-forward polynomial G(D). If G(D)/F(D) is in its minimal form, where M is the degree of F(D), then the *m*th-order distribution of the encoder output is asymptotically uniform for any p_0 and $\forall m = 1, 2, ..., M$.

A proof for the above conjecture with arbitrary G(D) and F(D) is not obvious. However, the conjecture has been verified by empirical estimations of all possible combinations of recursive convolutional encoders with memory 4.

The above results indicate promising potential when RNSC encoders are used as the constituent turbo-code encoders for the transmission of nonuniform i.i.d. sources. However, in this large family of candidate encoders, some structures offer inferior performance. Consider a heavily biased nonuniform i.i.d. sequence which is used as the input of a recursive convolutional encoder; for some structures, with high probability the state transition is confined within a few encoder states, while other states may rarely or never be reached. This inefficient use of the encoder memory would result in performance degradations. Therefore, we next establish the condition for the asymptotic uniformity on the distribution of the encoder states. This result will be a useful design criterion in eliminating poor encoder structures.

Lemma 2: For a recursive convolutional encoder, as depicted in Fig. 1, at time k+1, each state s_{k+1} can be reached from only

two distinct (state, input) pairs $(s_k^{(0)}, u_{k+1}^{(0)})$ and $(s_k^{(1)}, u_{k+1}^{(1)})$, where the two states at time k satisfy $s_k^{(0)} \neq s_k^{(1)}$. The necessary and sufficient condition for $u_{k+1}^{(0)} \neq u_{k+1}^{(1)}$ is $f_M = 1$. *Proof:* The encoder state is determined by the content of

Proof: The encoder state is determined by the content of each memory element of the shift register. Let the state at time k be $s_k = (r_{1k}, r_{2k}, \ldots, r_{Mk})$. By the shift register's structure, we have

$$r_{1,k+1} = u_{k+1} \oplus \sum_{j=1}^{M} f_j \cdot r_{jk} \tag{1}$$

$$r_{j,k+1} = r_{j-1,k}, \quad j = 2, 3, \dots, M$$
 (2)

where \oplus and the summation are modulo-2. Therefore, s_{k+1} can only be reached from two states which only differ at r_{Mk} . Now rewrite (1) as follows:

$$u_{k+1} = r_{1,k+1} \oplus f_M \cdot r_{Mk} \oplus \sum_{j=1}^{M-1} f_j \cdot r_{jk}.$$

For both states, $s_k^{(0)}$ and $s_k^{(1)}$, the summand produces the same result. When $f_M = 0$, the input u_{k+1} is independent of the encoder state being $s_k^{(0)}$ or $s_k^{(1)}$. When $f_M = 1$, different values of r_{Mk} require different values of u_{k+1} .

Theorem 2: Consider a recursive convolutional encoder with feedback $\{f_1, f_2, \ldots, f_M\}$, and let a nonuniform i.i.d. source with distribution p_0 be its input. Then the encoder state distribution is asymptotically uniform (as the source sequence length tends to infinity), regardless of the value of p_0 iff $f_M = 1$.

Proof: The shift registers' states form a fully connected (irreducible) Markov chain when $p_0 \in (0, 1)$; so the state distribution will asymptotically converge to the steady-state distribution. Then it is equivalent to show that the uniform distribution is or is not the steady-state distribution. From *Lemma* 2, there are only two (state, input) pairs $(s_k^{(0)}, u_{k+1}^{(0)})$ and $(s_k^{(1)}, u_{k+1}^{(1)})$ that may transit to state s_{k+1} . Without loss of generality, denote the possible encoder state as $0, 1, \ldots, 2^M - 1$. Assuming that at time k the state distribution is uniform, i.e., $\Pr(S_k = s) = 2^{-M}$ for $s = 0, 1, \ldots, 2^M - 1$, then at time k + 1, if $f_M = 1$, we have

$$\begin{aligned} \Pr(S_{k+1} &= s_{k+1}) \\ &= \Pr(S_k = s_k^{(0)}, U_{k+1} = u_{k+1}^{(0)}) + \Pr(S_k = s_k^{(1)}, U_{k+1} = u_{k+1}^{(1)}) \\ &= \Pr(U_{k+1} = u_{k+1}^{(0)}) 2^{-M} + \Pr(U_{k+1} = u_{k+1}^{(1)}) 2^{-M} = 2^{-M} \end{aligned}$$

where the second equality is due to the independence of S_k and U_{k+1} , and the last equality holds because $u_{k+1}^{(0)} \neq u_{k+1}^{(1)}$ by *Lemma* 2. Therefore, $f_M = 1$ yields that the uniform distribution is the steady distribution of the encoder states. On the other hand, if $f_M = 0$, by *Lemma* 2, $u_{k+1}^{(0)} = u_{k+1}^{(1)}$; then $\Pr(S_{k+1} = s_{k+1}) = 2\Pr(U_{k+1} = u_{k+1}) \cdot 2^{-M}$. Thus, when the source is biased, the uniform distribution is not the steady-state distribution when $f_M = 0$. In other words, when $f_M = 0$, biased sources result in a biased distribution of the encoder states, and the steady-state distribution is not equal to the uniform distribution. Hence, for any $p_0 \in (0, 1)$, $p_0 \neq 1/2$, the encoder state distribution is asymptotically uniform iff $f_M = 1$.

Fig. 2. Nonsystematic turbo-encoder structure a).



Fig. 3. Nonsystematic turbo-encoder structure b).

IV. NSTCs

In most of the turbo-codes literature, the turbo-code encoders are *systematic*; however, NSTCs were recently proposed by Costello *et al.* [35], followed by a series of papers in [36]–[38]. The scenario in these papers is still for uniform i.i.d. sources. The motivation for using NSTCs as an alternative to their systematic peers is due to their larger code space; therefore, there is a potential that better codes *might* be found. In [38], Massey *et al.* construct an asymmetric NSTC that outperforms Berrou's (37,21) code by about 0.2 dB at the 10^{-5} BER level with a block-length size of 4096. For larger block lengths, we expect that Massey's code will still outperform Berrou's code, although it is not clear if the 0.2-dB gain would be maintained.

As illustrated in Section II, when nonuniform i.i.d. sources get heavily biased, a possibly significant performance loss may result, due to the systematic structure. Furthermore, in light of Shamai and Verdú's result [30], *Theorem 1*, and the conjecture, we note that NSTCs seem to provide a suitable solution for the source-channel coding of such sources.

A. Design of Good Encoder Structures

Figs. 2 and 3 show our proposed nonsystematic turbo encoders. In a), the first constituent encoder has two parity outputs X_k^{1h} and X_k^{1g} , while the second has only one parity output X_k^{2g} , so the overall rate is 1/3. This structure has been extensively used in [35]–[38]. In b), both constituent encoders have two parity outputs, and the overall rate is 1/4. Structure b) can achieve the same overall rate of 1/3 via puncturing. It is also clear that structure a) is a special case of structure b), obtained by completely puncturing X_k^{2h} ; therefore, a generally designed decoder for structure b) can also be employed for structure a).

Ideally, good design criteria are analytically based on the minimization of the error probability. However, to the best of our knowledge, all available error bounds for turbo codes are obtained by averaging over a code ensemble or by assuming uniform interleaving and maximum-likelihood (ML) decoding, while turbo codes in fact employ random interleaving, with each constituent decoder adopting the Bahl–Cocke–Jelinek–Raviv (BCJR) algorithm [39], which is a MAP decoding algorithm. Furthermore, the bounds are useful only in the error-floor region at high SNRs; they are not tight in the waterfall region [40]–[42]. Since our goal is to obtain the best waterfall performance, we revert to other methods to find good design criteria.

As in [28] and [29], we focus on symmetric 16-state encoders. The feedback tap coefficients are $\{f_0, f_1, f_2, f_3, f_4\}$. We always have $f_0 = 1$, since it provides the tap for the encoder input. Denote the feedback polynomial as $F(D) = f_0 + f_1 D + f_2 D^2 +$ $f_3 D^3 + f_4 D^4$, and the two feed-forward polynomials as G(D)and H(D), respectively. Then for such an RNSC encoder, there are altogether $2^4 \times (2^5 - 1) \times (2^5 - 1) = 15376$ possible combinations; an exhaustive search over the entire code space is clearly not feasible. However, the two asymptotic properties studied in Section III serve as good design criteria to eliminate poor encoder structures.

First, as proved by *Theorem 2* in Section III, we choose to have the last feedback tap coefficient $f_4 = 1$ to fully exploit the encoder memory. For the feed-forward polynomials, having G(D) = 1 or $G(D) = D^m$, where $m = 1, \dots, 4$, yields the same performance, since the only difference is a shift of time delay. The same holds for having $G(D) = 1 + D^2$ or $G(D) = D^2 + D^4$. Therefore, without loss of generality, we can choose to fix the first tap coefficient of both feed-forward polynomials to one. Furthermore, for obvious reasons, we do not want the two feed-forward polynomials to be identical. Then the total number of possible encoders in our search space is reduced down to $2^3 \times 2^4 \times (2^4 - 1) = 1920$, which is still impractical for an exhaustive search. Second, according to Theorem 1, we should only consider the choices of G(D) and F(D) such that G(D) is not divisible by F(D). Furthermore, by our empirically verified conjecture, given $f_4 = 1$, the selection of relatively prime F(D) and G(D) can guarantee that the encoder output has an asymptotically uniform fourth-order distribution. Thus, additional inferior candidate encoder structures can be eliminated. Finally, again to avoid an exhaustive search, we take advantage of the optimization results found in STCs [29]; i.e., we first find the best pair of F(D) and G(D), and then search for the best second feed-forward polynomial H(D). The iterative search procedure for (sub)optimal encoder structures, given a source distribution, is implemented as follows.

- 1) Using an STC, fix the feed-forward polynomial G(D) = 1and search for the best feedback polynomial F(D) with $f_0 = f_4 = 1$.
- 2) With the F(D) found in step 1), search for the best G(D) among all remaining possible choices, with the condition that the greatest common divisor of F(D) and G(D) is 1.
- 3) With the G(D) found in step 2), go back to step 1). If F(D) coincides with the one obtained in step 1), go to step 4); otherwise, proceed to step 2).
- 4) For an NSTC, fix the pair (F(D), G(D)) found above and search for the best second feed-forward polynomial H(D).

B. Decoder Design

When RNSC encoders are used as constituent encoders, unlike in STCs, the *a posteriori* log-likelihood ratio $\Lambda(U_k)$ in the turbo decoder [23], [43] can only be decomposed into two terms

$$\Lambda(U_k) = L_{\rm ex}(U_k) + L_{\rm ap}(U_k)$$

where the new extrinsic term involves two parity sequences. For AWGN channels, we have

$$L_{\text{ex}}(U_k) = \log \frac{\sum\limits_{s} \sum\limits_{s'} \gamma(y_k^h, y_k^g | 1, s, s') \cdot \alpha_{k-1}(s') \cdot \beta_k(s)}{\sum\limits_{s} \sum\limits_{s'} \gamma(y_k^h, y_k^g | 0, s, s') \cdot \alpha_{k-1}(s') \cdot \beta_k(s)}$$

where the summations for s and s' are both over all 2^M possible states, and for i = 0, 1

$$\gamma(y_k^h, y_k^g | i, s, s') = p(y_k^h | U_k = i, S_k = s)$$

$$\cdot p(y_k^g | U_k = i, S_k = s) \cdot \Pr\{U_k = i | S_k = s, S_{k-1} = s'\}$$

where S_k is the encoder state at time k, and y_k^h and y_k^g are the noise-corrupted version of x_k^h and x_k^g , which are the parity bits generated from the two feed-forward polynomials.

For Rayleigh fading channels, the extrinsic term needs to be modified to appropriately incorporate the channel statistics. The extrinsic term therefore becomes

$$L_{\text{ex}}(U_k) = \log \frac{\sum_{s,s'} \gamma(y_k^h, y_k^g | 1, s, s', a_k^h, a_k^g) \cdot \alpha_{k-1}(s') \cdot \beta_k(s)}{\sum_{s,s'} \gamma(y_k^h, y_k^g | 0, s, s', a_k^h, a_k^g) \cdot \alpha_{k-1}(s') \cdot \beta_k(s)}$$

where for i = 0, 1

$$\begin{aligned} \gamma(y_k^h, y_k^g | i, s, s', a_k^h, a_k^g) &= p(y_k^h | U_k = i, S_k = s, a_k^h) \\ \cdot p(y_k^g | U_k = i, S_k = s, a_k^g) \cdot \Pr\{U_k = i | S_k = s, S_{k-1} = s'\} \end{aligned}$$

where a_k^h and a_k^g are the fading factors. When the source is nonuniform i.i.d., $\log((1-p_0)/p_0)$ is used as the initial *a priori* input $L_{\rm ap}(U_k)$ to the first decoder at the first iteration; then at the following iterations, $L_{\rm ex} + \log((1-p_0)/p_0)$ is used as the new extrinsic information for both constituent decoders at each iteration.

V. NUMERICAL RESULTS AND DISCUSSION

In this section, we present simulation results of our NSTCs for uniform i.i.d. sources over BPSK-modulated AWGN and Rayleigh fading channels with known CSI.³ In the following, all NSTCs adopt the decoder discussed in Section IV-B, while all systematic codes employ the BCJR algorithm with the modification proposed in [29].

A. Performance Evaluations

The performance is measured in terms of the BER versus E_b/N_0 , where $E_b = E_s/R_c$ is the average energy per source bit. All simulated turbo codes have 16-state constituent encoders

and use the same pseudorandom interleaver introduced in [23]. The sequence length is $N = 512 \times 512 = 262144$ and at least 200 blocks are simulated; this would guarantee a reliable BER estimation at the 10^{-5} level with 524 errors. The number of iterations employed in the decoder is 20; note that additional iterations result in minor improvements. All results are presented for turbo codes with structure b) encoders (see Fig. 3), as they provide a better performance than codes with structure a) encoders. Simulations are performed for rates $R_c = 1/3$ and $R_c = 1/2$ with $p_0 = 0.8$ and 0.9. From our simulations, for both rates 1/3 and 1/2, the best found RNSC encoder structure for $p_0 = 0.8$ and for both channels has each constituent encoder with feedback polynomial 35 and feed-forward polynomials 23 and 25; this is denoted by the octal triplet (35,23,25). For $p_0 = 0.9$, the best structure is (31,23,27). Several other encoders give very competitive performance, such as (35,23,31) for $p_0 = 0.8$, (31,23,35) and (31,23,37) for $p_0 = 0.9$. We hereafter characterize all NSTCs by triplets as described above (while their systematic peers are represented by the conventional octal pair).

Fig. 4 shows the performance over AWGN channels of our rate-1/3 NSTCs in comparison with their systematic peers investigated in [28] and [29], as well as with Berrou's (37,21) code, which offers the best waterfall performance (among 16-state encoders) for uniform i.i.d. sources. At the 10^{-5} BER level, when $p_0 = 0.8$, our (35,23,25) NSTC offers a 0.45-dB gain over its (35,23) systematic peer; when $p_0 = 0.9$, our (31,23,27) code offers an improvement of 0.89 dB over the systematic (31,23) code.⁴ In comparison with Berrou's (37,21) code performance, the gains achieved by exploiting the source redundancy and encoder optimization are, therefore, 1.48 dB and 3.25 dB for $p_0 = 0.8$ and 0.9, respectively.

Fig. 5 shows similar results over AWGN channels for rate-1/2. In this case, the gains are generally more significant. In comparison with the best STCs, at the 10^{-5} BER level, for $p_0 = 0.8$ and 0.9, the gains achieved are 0.69 and 1.56 dB, respectively. Furthermore, the gains over Berrou's code due to combining the optimized encoder with the modified decoder that exploits the source redundancy are 1.57 dB ($p_0 = 0.8$) and 3.72 dB ($p_0 = 0.9$).

Simulations over Rayleigh channels are also provided in Figs. 6 and 7. For rate-1/3 codes, at a 10^{-5} BER, when $p_0 = 0.8$, our (35,23,25) NSTC provides a 0.40 dB gain over its (35,23) systematic peer; when $p_0 = 0.9$, the improvement is 1.01 dB with encoder structure (31,23,27). In comparison with Berrou's (37,21) code, the gains achieved by exploiting the source redundancy and encoder optimization are 1.76 and 3.87 dB for $p_0 = 0.8$ and 0.9, respectively. For rate-1/2, as shown in Fig. 7, the gains are more pronounced. In comparison

³It is assumed throughout that the decoder has perfect knowledge of the source distribution p_0 . Simulations on the effect of mismatch in p_0 show little performance loss if the value of p_0 used at the decoder is within a reasonable distance from the true p_0 . For example, when the true distribution is $p_0 = 0.9$ and the decoder assumes it is 0.8, the performance degradation is no more than 0.1 dB. Furthermore, information on p_0 can be sent to the receiver as an overhead with negligible bandwidth loss. Finally, if no overhead information is sent, p_0 can possibly be estimated at the decoder (e.g., see [27] where the source statistics are estimated at the receiver in the context of turbo decoding of hidden Markov sources).

⁴It should also be indicated that our nonsystematic joint source-channel turbo codes maintain a similar level of performance gains over their systematic peers when the sequence length is shorter than 262 144. For example, for a sequence length of $N = 128 \times 128 = 16\,384$, with $p_0 = 0.9$ and the same rate and channel conditions as in Fig. 4, our (31,23,27) nonsystematic code offers around 0.9 dB gain over its (31,23) systematic peer; a similar gain is obtained for $N = 32 \times 32 = 1024$. These gains are interesting to note for practical situations where delay may be limited.

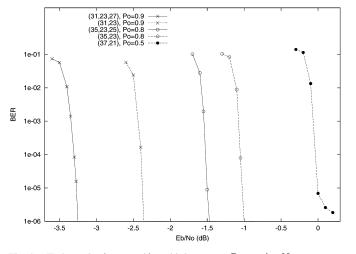


Fig. 4. Turbo codes for nonuniform i.i.d. sources, $R_c = 1/3$, $N = 262\,144$, AWGN channel.

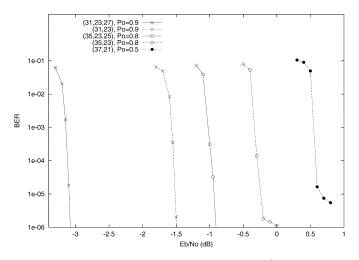


Fig. 5. Turbo codes for nonuniform i.i.d. sources, $R_c = 1/2$, N = 262144, AWGN channel.

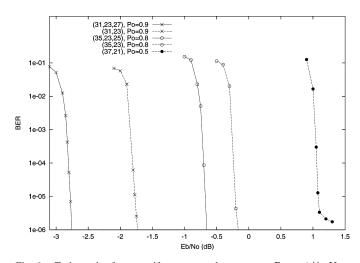


Fig. 6. Turbo codes for nonuniform memoryless sources, $R_c = 1/3$, N = 262144, Rayleigh fading channel.

with the best STCs, at a 10^{-5} BER, for $p_0 = 0.8$ and 0.9, the gains are 0.77 and 1.84 dB, respectively. Furthermore, the gains due to combining the optimized encoder with the modified decoder are 2.01 dB (for $p_0 = 0.8$) and 4.71 dB (for $p_0 = 0.9$).

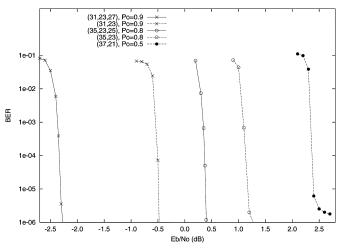


Fig. 7. Turbo codes for nonuniform memoryless sources, $R_c = 1/2$, N = 262144, Rayleigh fading channel.

To achieve a desired rate via puncturing, using different puncturing patterns may result in different performances. For example, when structure b) is used for an overall rate of 1/3, we may choose to puncture 1/4 of each parity sequence according to various patterns, or we may puncture half of two parity sequences, and leave the other two sequences intact. Simulations show the best puncturing pattern is to keep the parity sequence generated by feed-forward polynomial 23 intact and puncture half of the one generated by the other feed-forward polynomial. The performance of this puncturing pattern is about 0.2 dB better than other patterns; in particular, it is 0.3 dB better than the performance offered by structure a). For an overall rate of 1/2, structure b) is also better than a), and the best puncturing pattern is to delete all even (odd) position bits of the sequences generated by feed-forward polynomial 23, and delete all odd (even) position bits of the sequences generated by the other feed-forward polynomial.

In previous work on NSTCs for uniform i.i.d. sources, it is verified via extensive simulations that most nonsystematic codes show inferior performance to their systematic peers [36]-[38], except for the one in [38] employing a nonsystematic "quick-look-in" constituent code, which is basically "close" to a systematic code. Also, it is pointed out in [37] and [38] that at low values of E_b/N_0 , the initial extrinsic estimates for the information bits provided by NSTCs are not as good as those of STCs, due to the lack of received channel values; this motivates their choice of a close-to-systematic code in the nonsystematic family. However, as shown by our results, STCs are not a suitable choice for heavily biased nonuniform sources; therefore, close-to-systematic codes may not be desired in this case. Another encoder structure called "big-numerator-little-denominator" [35], which provides gains over Berrou's code for uniform sources, may also be unsuitable for nonuniform sources, since the denominator results in nonuniform higher order output distributions.

In the scenario of nonuniform i.i.d. sources, there are two factors playing against each other, the *a priori* knowledge of p_0 at the decoder, and the systematic structure. When the source is heavily biased, systematic codes considerably underperform

Channel	R_c	p_0	OPTA	STC OPTA gaps [29]	NSTC OPTA gaps
	1/3	0.8	-2.24	1.19	0.74
AWGN		0.9	-4.40	2.02	1.13
channel	1/2	0.8	-1.81	1.56	0.87
		0.9	-4.14	2.61	1.05
	1/3	0.8	-1.56	1.28	0.88
Rayleigh		0.9	-3.96	2.18	1.17
$\operatorname{channel}$	1/2	0.8	-0.73	1.88	1.11
		0.9	-3.47	2.99	1.15

TABLE II OPTA GAPS FOR STCS AND NSTCS IN E_b/N_0 (dB) at BER = 10^{-5}

due to the distribution mismatch between the source and the capacity-achieving channel input. Furthermore, the knowledge of a biased p_0 can give good initial extrinsic estimations of the information bits at the decoder, thus eliminating the need for the systematic structure. This may explain why NSTCs, which do not suffer from any distribution mismatch (at least asymptotically), offer superior performance over their systematic counterparts. On the other hand, when the source distribution is close to uniform, the distribution mismatch due to a systematic structure becomes minor. Furthermore, very little useful knowledge about the information bits is provided from p_0 at the decoder, while a systematic structure, even when its bits are received corrupted at the receiver due to channel noise, provides more reliable extrinsic estimations in the initial iterative decoding stages for low E_b/N_0 . In particular, as pointed out in [36] and [37], when the source is exactly uniform, there is no useful knowledge from p_0 at all, and thus, the systematic structure plays a critically important role. To investigate the role of the systematic bits for less biased nonuniform i.i.d. sources, we also study the performance of so-called "extended" STCs. The results are briefly summarized in the following.

The encoder of an "extended" STC consists of one systematic output and two RNSC encoders, each of which produces two parity outputs. The overall rate is, therefore, 1/5. Higher rates (e.g., 1/3 and 1/2) are obtained by partial puncturing of the systematic part and partial puncturing of the four parity sequences. For $p_0 = 0.6, 0.7, \text{ and } 0.8, \text{ and for } R_c = 1/2 \text{ and } 1/3, \text{ we}$ performed simulations using the following puncturing patterns. Delete j/8 of the systematic sequence, where $j = 0, 1, \dots, 8$, and delete evenly the four parity sequences to maintain the desired overall rates. Our simulations demonstrate that when $p_0 =$ 0.7, starting from j = 0, the performance is improved as j increases up to j = 4, which yields approximately a 0.1 dB gain in E_b/N_0 at the 10^{-5} BER level over the system with pattern j = 0. Then the performance degrades as j increases from four to eight. Therefore, when $p_0 = 0.7$, puncturing half of the systematic sequence yields the best performance. When $p_0 = 0.8$, we observe a monotonic performance improvement as *j* increases from zero up to eight, which indicates that purely NSTCs should be preferred. When $p_0 = 0.6$, we observe exactly the opposite behavior: preserving all systematic bits gives the best performance. These observations indicate, as remarked in [35]–[38], that a systematic encoding structure is especially important when not enough a priori knowledge about the source is available at the decoder.

B. Shannon Limit

Shannon's Lossy Joint Source-Channel Coding Theorem states that, for a given memoryless source and channel pair⁵ and for sufficiently large source-block lengths, the source can be transmitted via a source-channel code over the channel at a transmission rate of R_c source symbols/channel symbol and reproduced at the receiver end within an end-to-end distortion given by D if the following condition is satisfied [32]:

$$R_c \cdot R(\mathbf{D}) < C \tag{3}$$

where C is the channel capacity and R(D) is the source rate-distortion function. For a discrete binary nonuniform i.i.d. source with distribution p_0 , we have that $D = P_e$ (the BER) under the Hamming distortion measure; then R(D) becomes

$$R(P_e) = \begin{cases} h_b(p_0) - h_b(P_e), & 0 \le P_e \le \min\{p_0, p_1\}\\ 0, & P_e > \min\{p_0, p_1\} \end{cases}$$

where $p_1 = 1 - p_0$, and $h_b(x) = -x \log_2 x - (1-x) \log_2(1-x)$ is the binary entropy function.

As seen in Section II, the capacity of an AWGN or Rayleigh channel is a function of SNR E_s/N_0 , or equivalently, E_b/N_0 (where $E_b = E_s/R_c$); therefore, the optimum value of E_b/N_0 to guarantee a BER of P_e , called the Shannon limit or OPTA, can be solved using (3), assuming equality. The Shannon limit cannot be explicitly solved for our BPSK-modulated channels due to the lack of a closed-form expression, so it is computed via numerical integration.

For the simulations of the above subsection, the OPTA values at the 10^{-5} BER level are computed. The OPTA gaps, which are the distances between our system performance and the corresponding OPTA values, are provided in Table II. We observe that the OPTA gaps are significantly reduced by NSTCs. For example, for AWGN channels and $R_c = 1/2$, when $p_0 =$ 0.8, STCs provide a performance which is 1.56 dB away from OPTA; on the other hand, for our NSTCs, the OPTA gap is 0.87 dB. When $p_0 = 0.9$, the OPTA gap is reduced from 2.61 to 1.05 dB.

VI. COMPARISON WITH TANDEM SCHEMES

Traditionally, source and channel coding are designed separately, resulting in a so-called *tandem* coding scheme. That is,

⁵The above theorem also holds for wider classes of sources and channels with memory (e.g., stationary ergodic sources and channels with additive stationary ergodic noise) [31].

the source is compressed first, and then channel coded. This is justified by Shannon's separation principle [44], which states that there is no loss of optimality in such separation as long as unlimited coding delay and complexity are available. However, in practice, joint source-channel coding often outperforms traditional tandem coding when delay and system complexity are constrained.

We next compare the performance of our joint source-channel system with that of two tandem schemes for the same overall transmission rate. Each tandem scheme consists of a fourth-order Huffman code followed by a rate $R_c = 1/3$ turbo code. The overall rate for both tandem and joint source-channel coding systems is $r = R_c/R_s = 1/2$ source symbol/channel symbol (in the joint coding scheme, $R_c = 1/2$ and $R_s = 1$ since no source coding is performed). Therefore, the Huffman code needs to be of rate $R_s = 2/3$ code bits/source symbol. Since the average rate of the Huffman code depends on the source distribution, we need to find the value of p_0 which renders the Huffman code rate (not the entropy) $R_s = 2/3$ code bits/source symbol with satisfactory accuracy. By using the bisection method, we obtain that when $p_0 = 0.83079$, a fourth-order Huffman code has rate $R_s = 0.666668$ code bits/source symbol. Therefore, simulations are performed for this value of p_0 .

Berrou's pseudorandom interleaver [23] requires the sequence length to be an even power of two; this inflexibility is an obstacle in the design of the tandem scheme, since the Huffman code is a variable-length code. The S-random interleaver [45], however, can take an input sequence of arbitrary length, and it yields good BER performance. We thus adopt the S-random interleaver in the turbo code. We also do not terminate the first constituent turbo encoder, because otherwise, errors in the tail bits of the turbo-decoded sequence would introduce irrecoverable errors in the Huffman-decoded sequence. For fair comparison, our system also uses the S-random interleaver, and its first constituent encoder is not terminated.

The tandem scheme is implemented as follows: 1) the source generates a nonuniform i.i.d. sequence with length N, and $p_0 = 0.83079$; 2) the Huffman encoder produces a compressed sequence with variable length, whose mean is approximately (2/3)N; 3) an S-random interleaver is generated for this given length; 4) the sequence is turbo encoded using the S-random interleaver generated in 3); 5) the sequence is BPSK modulated and transmitted over a Rayleigh fading channel; 6) the sequence is turbo decoded and then Huffman decoded.

Another issue is the choice of the source sequence length N. Due to error propagation in the Huffman decoder, a few errors in the turbo-decoded sequence could result in a big percentage of errors in the final Huffman-decoded sequence. Furthermore, what matters is not only the number of errors in the turbo-decoded sequence, but also the positions of the erroneous bits. This is due to the fact that an error occurring in the first few bits of the turbo-decoded sequence has a much longer propagating effect than an error occurring in the tail bits. Therefore, a sufficiently large number of blocks is necessary to obtain a good average performance. After several tests, we chose to use $N = 12\,000$ and 60 000 blocks.

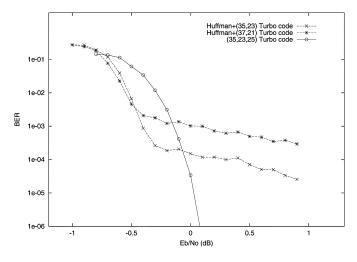


Fig. 8. Performance comparison of our system ($R_s = 1, R_c = 1/2$) with that of tandem schemes ($R_s = 2/3, R_c = 1/3$), $p_0 = 0.83079, N = 12000$, Rayleigh fading channel.

For a given N, the larger the "spread" S of the S-random interleaver is, the better is the performance. However, in practice, generating an S-random interleaver with a large S requires a substantial amount of computing time, and sometimes such an interleaver may not be successfully generated. Thus, in order to reduce the computation time and to guarantee the successful generation of S-random interleavers of arbitrary size, S is set to equal 10.

Fig. 8 shows the performance of our system versus that of two tandem schemes over Rayleigh channels. Twenty iterations are used in the turbo decoder. In the first tandem scheme, the turbo code with $R_c = 1/3$ is Berrou's (37,21) code, which offers an excellent waterfall performance for uniform sources among all 16-state codes. However, due to a relatively high error floor provided by Berrou's code, this tandem scheme suffers from a high-BER performance caused by error propagation in the Huffman decoder. Thus, we also evaluate a second tandem scheme using the (35,23) turbo code, which has a significantly lower error floor at the expense of a slight waterfall performance loss. Although at very high BERs both tandem schemes are better than our system, their error floors occur at high BERs $(10^{-3} \text{ for the } (37,21) \text{ code, and } 10^{-4} \text{ for the } (35,23) \text{ code}).$ Therefore, at low BER levels, our system offers superior performance over both tandem schemes. Interestingly, most traditional joint source-channel coding schemes outperform tandem schemes at high BER levels (e.g., [2], [3], and [7]), while in the context of turbo codes, the opposite result is observed. Alternative source-channel coding systems using jointly designed Huffman and turbo codes have been recently proposed in [46] and [47]. It would be interesting to make performance comparisons with these schemes. However, our system has lower complexity, since the source encoding and decoding parts are omitted.

VII. CONCLUSION

In this paper, the joint source-channel coding issue of transmitting nonuniform memoryless sources via turbo codes over AWGN and Rayleigh channels is investigated. Necessary and sufficient conditions are proved for recursive convolutional encoders having an asymptotically uniform state and marginal output distributions, regardless of the degree of source nonuniformity. Therefore, recursive nonsystematic turbo source-channel codes are proposed, and the outputs of our selected codes are suitably matched to the channel input as they nearly maximize the channel mutual information. Simulation results demonstrate substantial coding gains (up to 1.84 dB) over STCs designed in [28] and [29], and the OPTA gaps are significantly reduced. Finally, our system is compared with two tandem schemes, which employ a near-optimal Huffman code followed by a standard turbo code. Our system offers substantially better performance at low BERs, and enjoys a lower complexity.

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