

Concatenated Space-Time Coding

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Abstract—The serial concatenation of standard convolutional codes with differential space-time modulation is considered for fast flat fading multiple antenna channels. Decoding is performed iteratively by passing symbol-wise *a-posteriori* probability information between the decoders of the inner space-time code and the outer convolutional code. An input-output extrinsic information transfer analysis is used to predict thresholds for outer codes of various memory orders. Simulation results show that this system can achieve bit error rates below 10^{-4} at less than 2.5 dB from the Shannon capacity of the multiple antenna channel.

I. INTRODUCTION

Spatial diversity has been proposed for support of very high rate data users within third generation wide-band Code-Division Multiple Access (CDMA) systems such as cdma2000 [1]. Using multiple antennas, these systems achieve gains in link quality and therefore capacity. Classically, diversity has been exploited through the use of either beam-steering, or through diversity combining [2, 3].

More recently it has been realized that co-ordinated use of diversity can be achieved through the use of space-time codes. Such systems can theoretically increase capacity by up to a factor equaling the number of transmit and receive antennas in the array [4–8]. Rather than relying solely on array processing of uncoded transmissions, forward error correction codes which add redundancy in both the temporal and spatial domains are designed specifically for channels with multiple transmit and receive antennas.

There are currently two main approaches to realizing the capacity potential of these channels: *coordinated* space-time codes and *layered* space-time codes.

Coordinated space-time block codes [9–11] and trellis codes [12–16] are designed for coordinated use in space, and time. The data is encoded using multi-dimensional codes that span the transmit array. Trellis codes are typically decoded using the Viterbi algorithm. A serious obstacle to extension to larger arrays however is the rapid growth of decoder complexity with array size and data rate: the number of states in a full-diversity space-time trellis code for t transmit antennas with rate R is $2^{(t-1)R}$. The other approach uses layered space-time codes [17–19], where the channel is decomposed into parallel single-input, single-output channels. The receiver successively decodes these layers by using antenna array techniques and linear or non-linear cancellation methods. Both approaches show much promise, but the latter is more scalable. It also has the

advantage that available technology such as standard error control codecs can be more easily integrated.

Much of the space-time coding literature assumes the availability of good channel estimates, which are required for decoding. In the absence of channel knowledge, the capacity gains to be achieved depend upon the coherence time of the channel [20–22]. More recently, there has been considerable effort to design space-time codes that operate in the absence of channel state information [23–33]. Typically, these codes are coordinated space-time block codes whose symbols are unitary matrices. Such codes may also be used as part of differential space-time modulation schemes.

In this paper, we pursue an approach motivated by turbo decoding methods. The main idea is to use a serially concatenated coding system in which the “inner code” is a short space-time block code that spans both space and time. The “outer code” consists of a standard high-rate convolutional code. We use extrinsic information transfer charts to determine operation thresholds for these concatenated codes, which are compared with simulation. Operation thresholds about 2 dB from channel capacity are obtained.

II. SYSTEM MODEL

Transmission takes place over a channel with t transmit antennas and r receive antennas. At time $k = 1, \dots, n$, each transmit antenna $i = 1, \dots, t$ selects a complex symbol c_{ik} , which is modulated onto a pulse waveform and transmitted over the channel. Taken as a vector, $c_{1k}, c_{2k}, \dots, c_{tk}$ is referred to as a *space-time symbol*. At each receive antenna $j = 1, \dots, r$, the signal is passed through a filter matched to the pulse waveform and sampled synchronously. If the channel delay spread is negligible and fading conditions are approximately constant over n symbols, the samples taken by receive antenna j can be modeled as $y_{jk} = \sqrt{\rho/t} \sum_{i=1}^t H_{ji} c_{ik} + n_{jk}$, where H_{ji} is the complex fading path gain from transmit antenna i to receive antenna j , n_{jk} is a complex circularly symmetric Gaussian noise sample, and ρ is the signal-to-noise ratio per receive antenna.

It is customary to collect the transmitted space-time symbols into a $t \times n$ codeword matrix, $\mathbf{C} = \{c_{ik}\}$, where rows correspond to different transmit antennas and columns correspond to different times. Considering a sequence of L codeword transmissions $\mathbf{C}_1, \mathbf{C}_2, \dots, \mathbf{C}_L$, the channel can be writ-

ten as

$$\mathbf{Y}_l = \sqrt{\frac{\rho}{t}} \mathbf{H}_l \mathbf{C}_l + \mathbf{N}_l, \quad (1)$$

where \mathbf{Y}_l is the l -th $r \times n$ received matrix, \mathbf{H}_l is the $r \times t$ matrix of fading path gains, and \mathbf{N}_l is an $r \times n$ matrix of noise samples.

Independent Rayleigh fading may be modeled by selecting the elements of \mathbf{H}_l as unit variance complex Gaussian random variables with i.i.d. real and imaginary parts. We distinguish between *fast* fading, in which \mathbf{H}_l is selected independently for each code matrix (corresponding to transmission of n space-time symbols) and *quasi-static* fading, in which \mathbf{H}_l is selected independently and then held constant for groups of L code matrices (corresponding to a single packet).

III. DIFFERENTIAL SPACE-TIME MODULATION

Hughes [28–31] proposed differential space-time codes (DSTC), which can be demodulated without channel knowledge, at a loss of 3dB in signal-to-noise ratio. DSTCs are based on unitary matrices with a group structure, forming a space-time group code. In such a code, each codeword takes the form $\mathbf{C} = \mathbf{D}\mathbf{G}$, where \mathbf{D} is a fixed $t \times n$ matrix and \mathbf{G} belongs to a group of unitary matrices ($\mathbf{G}\mathbf{G}^* = \mathbf{I}$). The n columns of \mathbf{C} are transmitted as n consecutive space-time symbols.

In particular, we shall consider the following code for $t = n = 2$, with elements in the quaternary phase shift keyed (QPSK) constellation,

$$\mathcal{Q} = \left\{ \pm \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix}, \pm \begin{pmatrix} j & 0 \\ 0 & -j \end{pmatrix}, \pm \begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix}, \pm \begin{pmatrix} 0 & j \\ j & 0 \end{pmatrix} \right\} \quad (2)$$

$$\mathbf{D} = \begin{pmatrix} 1 & -1 \\ 1 & 1 \end{pmatrix} \quad (3)$$

The group code \mathcal{Q} is isomorphic to the quaternion group.

DSTCs can be differentially encoded and decoded in a way very similar to PSK. At the start of transmission, the transmitter sends the code matrix $\mathbf{C}_0 = \mathbf{D}$. Thereafter messages are differentially-encoded: to send $\mathbf{G}_l \in \mathcal{Q}$ during symbol time l the transmitter sends

$$\mathbf{C}_l = \mathbf{C}_{l-1} \mathbf{G}_l. \quad (4)$$

The group property guarantees that \mathbf{C}_l is a codeword if \mathbf{C}_{l-1} is a codeword. Like differential PSK, there is a simple differential receiver [29] for \mathbf{G}_l based on the two most recent blocks. This receiver computes

$$\hat{\mathbf{G}} = \max_{\mathbf{G} \in \mathcal{Q}} \Re \operatorname{tr} \mathbf{G} \mathbf{Y}_l^* \mathbf{Y}_{l-1},$$

DSTCs provide an essential building block for space-time systems that can operate with or without channel estimates at the receiver. Thus far, most work on space-time coding has assumed that perfect channel estimates are available at the receiver [9, 17, 34–36]. In certain situations, however, the channel may change too quickly to reliably estimate the channel, or

may require too much overhead in terms of pilot symbols, or perhaps we want to avoid channel estimation in order to reduce the cost and complexity of the handset.

IV. CONCATENATED SPACE-TIME CODES

Figure 1 shows the structure of the proposed serially concatenated code. For convenience, encoding is performed on a symbol by symbol level. The outer code \mathcal{C} is a $(3, 2, \nu)$ convolutional code which outputs a single symbol from an 8-ary alphabet, which depends upon the current 4-ary input symbol as well as the last ν input symbols (a 4^ν state code). For convenience we shall consider these symbols to be members of $\mathbb{Z}_8 = \{0, 1, \dots, 7\}$ and $\mathbb{Z}_4 = \{0, 1, 2, 3\}$ respectively (although we do not invoke the ring axioms usually implied by this notation). We shall consider the standard maximal free distance codes [37, p. 495] with 4, 16 and 64 states (corresponding to $\nu = 1, 2$ and 3) and the natural mapping from binary to \mathbb{Z}_4 and \mathbb{Z}_8 .

The stream of \mathbb{Z}_8 symbols are passed through a length L symbol interleaver π . The interleaved symbols are then input to the differential space-time encoder described in the previous section. The mapper simply takes each 2×2 matrix output by the inner differential code and transmits it using two consecutive space-time symbols, as described earlier.

Since the DSTC encoder is an infinite impulse response filter, it may be viewed as the “inner code” in a serially concatenated coding system. A symbol-wise turbo decoder [38, 39] for this system is shown in Figure 2. The inner *a-posteriori* decoder operates on the (fully connected) trellis of the DSTC. This is followed by de-interleaving and error control code soft-output decoding. Soft information on the space-time symbols is then fed back to the DSTC decoder, which uses it as *a-priori* information in a new decoding cycle. Such turbo decoding systems have been studied for the concatenation of standard convolutional codes with differential PSK, and very good error performance, rivaling that of Turbo codes, have been reported [40, 41].

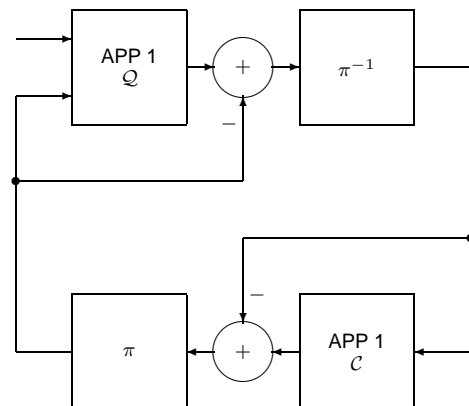


Fig. 2. Symbol-wise iterative decoder.

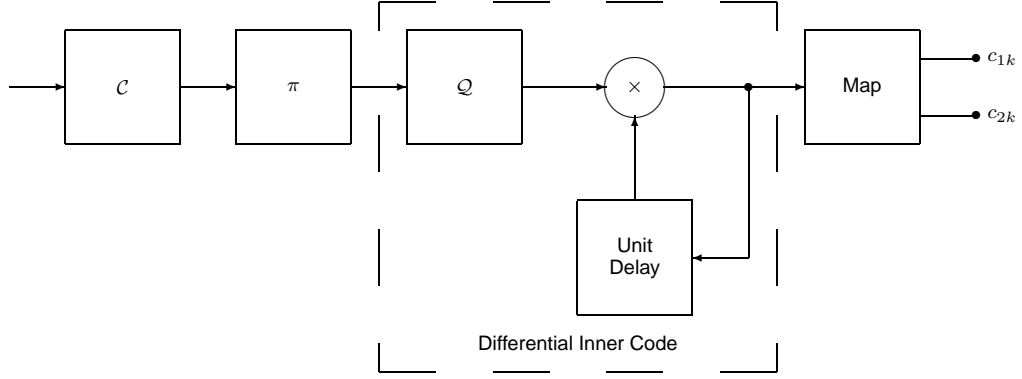


Fig. 1. Concatenation of a convolutional code with a differential space-time modulator

The inner decoder for the space-time differential code takes two inputs, the sequence of channel values $\{\mathbf{Y}_l\}$, and *a-priori* information on the transmitted symbols in the form of a sequence of probability vectors $\{\mathbf{p}_l^A\}$, where

$$\mathbf{p}_l^A = [\Pr(\mathbf{C}_l = \mathbf{G}_1), \dots, \Pr(\mathbf{C}_l = \mathbf{G}_M)],$$

and $M = |\mathcal{Q}|$. It calculates the sequence of output *a-posteriori* probability vectors $\{\mathbf{p}_l\}$,

$$\mathbf{p}_l = [\Pr(\mathbf{G}_1|\{\mathbf{Y}_l\}), \dots, \Pr(\mathbf{G}_M|\{\mathbf{Y}_l\})], \quad (5)$$

using a standard implementation of the APP algorithm [42]. The *a-priori* information is removed by element-wise division. The resulting extrinsic information $\{\mathbf{p}_l^E\}$ is given as

$$\mathbf{p}_l^E = \alpha \begin{bmatrix} \mathbf{p}_l(1)/\mathbf{p}_l^A(1) \\ \vdots \\ \mathbf{p}_l(M)/\mathbf{p}_l^A(M) \end{bmatrix}; \quad \alpha = \sum_{i=1}^M \mathbf{p}_l(i)/\mathbf{p}_l^A(i), \quad (6)$$

where α is a normalization constant.

The extrinsic probabilities are de-interleaved in order to coincide with the symbols entering the outer APP decoder. This second decoder operates on the convolutional code \mathcal{C} . It uses $\{\mathbf{p}_l^E\}$ as *a-priori* information, and calculates new *a-posteriori* probabilities on the encoded symbols \mathbf{G}_k , according to the APP rule. The new extrinsic probabilities are calculated using (6). This process is iterated until a certain stopping criterion is reached.

V. EXIT ANALYSIS

In this section we modify and apply the extrinsic information transfer analysis [43–46] to our serially concatenated system. This will give us a tool to predict the “turbo cliff” of our system and let us design and choose the convolutional outer code required for best performance.

Consider a single APP decoder. It operates on two inputs, the channel outputs \mathbf{Y}_l , (which may be absent if we consider the outer decoder), and *a-priori* input information \mathbf{p}_l^A . The

decoder generates extrinsic probabilities \mathbf{p}_l^E according to (5) and (6).

Let the i.i.d sequence of random variables V_1, V_2, \dots, V_L be the transmitted symbols. Under the assumption of long random interleavers, the corresponding sequence of random vectors \mathbf{p}_l^A are i.i.d, as are the \mathbf{p}_l^E .

Define the random variables V, A and E according to $p(V, A) = p(V_l, \mathbf{p}_l^A)$ and $p(V, E) = p(V_l, \mathbf{p}_l^E)$ (note that these distributions are independent of l , due to the independence assumption). We can now define mutual informations $I(V; A)$ between the “true” symbols V and the input *a-priori* probability vectors, and $I(V; E)$ between V and the output extrinsic probability vectors. Note that this amounts to treating the prior and extrinsic probability vectors themselves as the random vectors of interest (as opposed to considering the random variables taking these vectors as their distributions). This makes sense, since it is from these vectors that the final decisions will be made. This is a new interpretation and application of this method.

Due to the non-linear operation of the APP decoder, the multi-dimensional distributions $p(V, A)$ and $p(V, E)$ are difficult to obtain analytically. We therefore estimate these measures using monte-carlo simulation of the individual codes of interest (the DSTC and the convolutional code).

The plot of $I(V, A)$ versus $I(V, E)$ is known as extrinsic information transfer (EXIT) chart. By plotting the EXIT charts for the inner and outer code on the same axes, the convergence properties of the concatenated system may be predicted, as described in [43–46].

Figure 3 shows the EXIT chart for our system using the DSTC as the inner code ($I_p = I(V, A)$ on the horizontal axis) and 4, 16 and 64 state maximal free distance rate 2/3 convolutional codes [37, p. 495] as the outer code ($I(V, A)$ on the vertical axis). The DSTC curves are for various signal-to-noise ratios, ranging from -0.6 dB to -1.4 dB in steps of 0.2 dB. From the figure, we see that we expect the turbo threshold to occur near -0.8 dB for the 64 state outer code and around -1 dB for the 16 and 4 state codes. We also expect that the 16 and 64

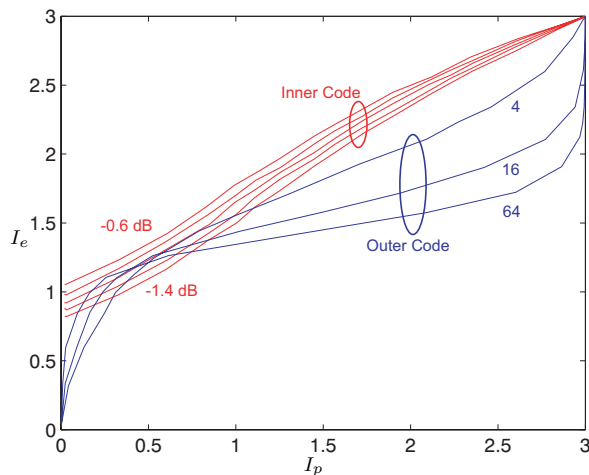


Fig. 3. Extrinsic information transfer (EXIT) chart for serial concatenation of 4, 16 and 64 state convolutional codes and the differential space-time modulator.

state outer codes to result in faster convergence, since the path between the inner and outer curves are more open for these codes.

VI. SIMULATION RESULTS

Figure 4 compares the performance the concatenated space-time system using a 4, 16 and 64 state, rate 2/3 maximum free distance convolutional codes [37, p.495]. The channel used is assumed to be an uncorrelated fast Rayleigh fading channel, and the decoder is furnished ideal channel side information. The interleaver length was 2048 symbols, and 25 decoding iterations were performed. As predicted by the EXIT analysis, the turbo cliff occurs near -1dB. At this code rate (1 bit per channel use), capacity is at -3.1dB [4]. Thus the concatenated coding system is achieving a bit error rate of 10^{-4} at approximately 2.3dB from capacity (for the 16 state outer code).

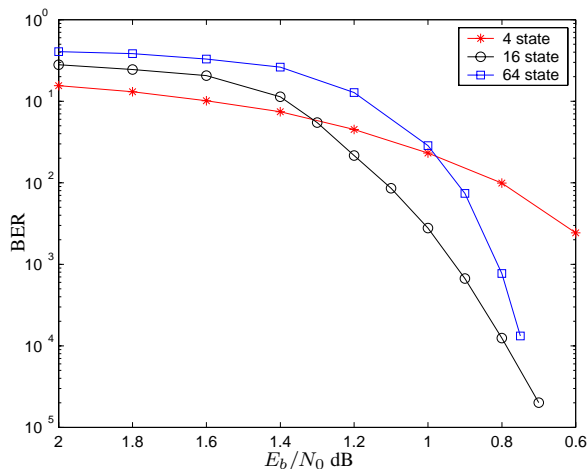


Fig. 4. Performance of the serially concatenated system compared to the rate-distortion bound of this channel.

VII. CONCLUSIONS

We have shown that the serial concatenation of standard convolutional codes with differential space-time codes can provide good performance over the multiple antenna channel, using symbol-based turbo decoding. We have further presented an EXIT chart analysis which guides the choice of the optimal component codes for a given situation and demonstrated the tightness of this analysis with example simulations. While we have used a somewhat simplistic channel model in this paper, and further assumed that ideal channel information is available to the decoder, these results are lower bounds to what can be achieved on more realistic channels where channel estimation has to be performed. These issues will be considered in a forthcoming paper, where we exploit the differential inner code to provide robustness to channel uncertainties.

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