

One-shot Coding using Poisson Processes

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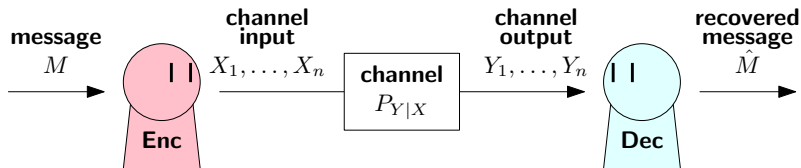
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Based on joint work with Prof. Venkat Anantharam (UC Berkeley):
C. T. Li and V. Anantharam, "A Unified Framework for
One-Shot Achievability via the Poisson Matching Lemma,"
IEEE Trans. Inf. Theory, vol. 67, no. 5, pp. 2624-2651, 2021.

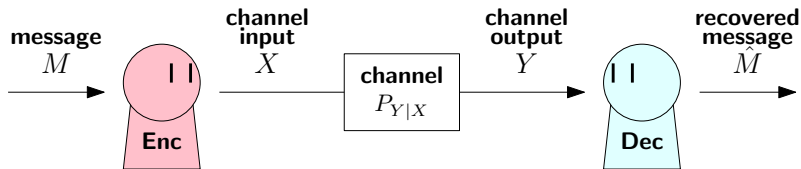


Asymptotic Channel Coding



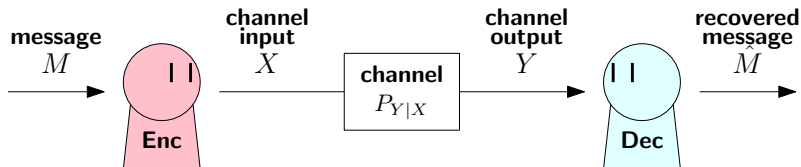
- Message $M \in \{0, 1\}^{nR}$, R is the communication rate
- Encoder sees M , outputs X_1, \dots, X_n , sends through noisy channel
- Decoder sees Y_1, \dots, Y_n , outputs \hat{M} , wants $\hat{M} = M$ with high prob.
- Channel coding theorem [Shannon, 1948]: As $n \rightarrow \infty$, maximum communication rate is $C = \max_{p_X} I(X; Y)$
- But we never have $n \rightarrow \infty$ in practice!
 - Many applications (e.g. IoT) involve sending short packets
 - For large n , decoder must wait for a long delay
- Finite-blocklength analysis – study the case where n is finite

One-shot Channel Coding

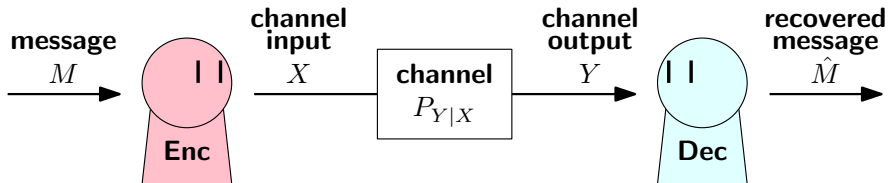


- One-shot – the extreme case $n = 1$ where only one X is sent
 - Point-to-point: [Feinstein, 1954, Shannon, 1957, Hayashi, 2009, Polyanskiy et al., 2010]
 - Multiuser: [Verdú, 2012, Yassaee et al., 2013b, Watanabe et al., 2015]
- **Misconception 1:** One-shot is too restrictive since n must be 1!
 - Wrong! One-shot is actually the **most general** setting since we can substitute X to be a sequence, an image, a graph, or any object
 - Good one-shot results should readily subsume asymptotic (first/second-order) results
- **Misconception 2:** One-shot results are troublesome to prove!
 - Wrong! One-shot result can sometimes be just as simple (or even simpler) to prove as asymptotic results!

What is a Coding Scheme?



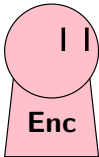
- **Conventional view:** A coding scheme is a pair of functions (f, g) :
 - Encoding function f maps M to $X = f(M)$
 - Decoding function g maps Y to $\hat{M} = g(Y)$
- **Alternative view:** A coding scheme is a mechanism that can produce the pair (M, X) , when provided partial knowledge about (M, X)
 - Encoder has partial knowledge on (M, X) since it knows M , and uses encoding function f to gain full knowledge on (M, X)
 - Decoder has partial knowledge on (M, X) since it knows Y (depends on X), and uses decoding function g to gain full knowledge on M , and hence X
- The alternative view provides a simple and unified way to construct coding schemes



I know everything about **message** M and **channel input** X ,
but I won't share my knowledge unless you demonstrate
that you already have some **partial knowledge**

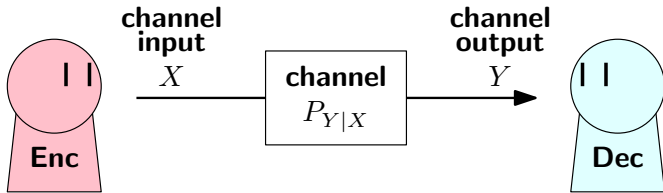
Magic box!

I know the **message** M
Can you tell me everything?



Okay here are the **message** M
and **channel input** X

Magic box!



I know something about **channel input** X
based on the **channel output** Y
Can you tell me what you've told
to the encoder?



No. The encoder's secret
is safe with me

Magic box!

I'm more knowledgeable than encoder
about **message** M and **channel input** X
(because the channel is clean enough)
I'm the rightful owner of this information!



Okay. Here are the **message** M
and **channel input** X

Magic box!

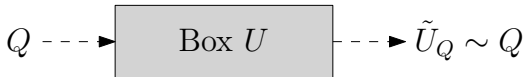
What is this magic box? (Informal)

I know everything about **message** M and **channel input** X ,
but I won't share my knowledge unless you demonstrate
that you already have some **partial knowledge**

Magic box!

- **Query:** Input partial knowledge, output full knowledge
 - Encoder has partial knowledge on (M, X) since it only knows M
 - Decoder has partial knowledge on (M, X) as it knows Y (depends on X)
- **Guarantee:** If box is queried twice, two outputs will likely be the same if second partial knowledge is better than first partial knowledge
 - Encoder's partial knowledge on (M, X) is better if message M is longer
 - Decoder's partial knowledge on (M, X) is better if Y is more dependent on X , i.e., channel capacity is larger
 - Decoder's partial knowledge better than encoder's partial knowledge
 \iff Channel capacity $>$ Length of M

What is this magic box? (Formal)



- A box about the random variable U can output samples of U
- **Query:** Input distribution Q , output a sample $\tilde{U}_Q \sim Q$
 - Q represents the party's partial knowledge on U
 - Box cannot just generate a fresh sample following Q for each query
 - Want box to have "memory"
- **Guarantee:** For distributions P, Q ,

$$\mathbf{P} \left(\tilde{U}_Q \neq \tilde{U}_P \mid \tilde{U}_P \right) \leq \frac{dP}{dQ}(\tilde{U}_P)$$

- $P(\tilde{U}_P)$ measures how good the first partial knowledge P is about \tilde{U}_P
- $\frac{dP}{dQ}(\tilde{U}_P)$ small means second partial knowledge Q better than P

What *really* is this magic box?

Discrete case – Exponential Functional Representation

- Studied in Li and El Gamal [2018], Li and Anantharam [2021]
 - Related to the Gumbel-max trick [Huijben et al., 2022]
- Assume $U \in \{1, \dots, k\}$ is discrete
- Box contains $Z_1, \dots, Z_k \stackrel{iid}{\sim} \text{Exp}(1)$
 - Z_1, \dots, Z_k generated at the time of creation of the box
- Input distribution P , output

$$\tilde{U}_P := \arg \min_u \frac{Z_u}{P(u)}$$

- Property of exponential RVs: $\tilde{U}_P \sim P$
- Poisson matching lemma [Li and Anantharam, 2021]:

$$\mathbf{P}(\tilde{U}_Q \neq \tilde{U}_P \mid \tilde{U}_P) \leq \frac{P(\tilde{U}_P)}{Q(\tilde{U}_P)}$$

Poisson Matching Lemma [Li and Anantharam, 2021]

Lemma

For finite discrete distributions P, Q ,

$$\mathbf{P}(\tilde{U}_Q \neq \tilde{U}_P \mid \tilde{U}_P) \leq \frac{P(\tilde{U}_P)}{Q(\tilde{U}_P)}$$

- Fact 1: If $T_i \sim \text{Exp}(\gamma_i)$ indep. across $i = 1, \dots, k$, then $\min_i T_i \sim \text{Exp}(\sum_i \gamma_i)$ indep. of $\arg \min_i T_i$ with $\mathbf{P}(\arg \min_i T_i = i^*) = \frac{\gamma_{i^*}}{\sum_i \gamma_i}$
- Let $W_u := Z_u/P(u) \sim \text{Exp}(P(u))$
 - $\tilde{U}_P := \arg \min_u W_u \sim P$ indep. of $W_{\tilde{U}_P} \sim \text{Exp}(\sum_u P(u) = 1)$ (Fact 1)
- Conditional on the event A : “ $\tilde{U}_P = u^*, W_{u^*} = w$ ”:
 - Same as the event $\min_u W_u = W_{u^*} = w$
 - The conditional distribution of W_u ($u \neq u^*$) given A is $\text{Exp}(P(u)) + w$ by memoryless property of Exp since we know $W_u \geq w$
- Hence conditional on $\tilde{U}_P = u^*$, we have $W_u - W_{u^*}$ follows $\text{Exp}(P(u))$ indep. across $u \neq u^*$, indep. of $W_{u^*} \sim \text{Exp}(1)$

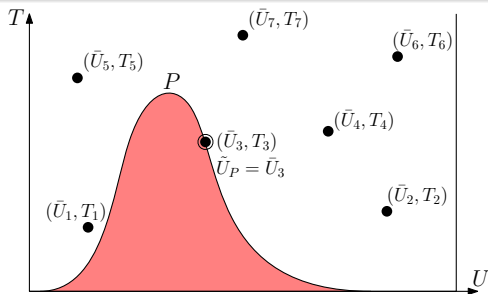
Poisson Matching Lemma [Li and Anantharam, 2021]

- Conditional on $\tilde{U}_P = u^*$, we have $W_u - W_{u^*}$ follows $\text{Exp}(P(u))$ indep. across $u \neq u^*$, indep. of $W_{u^*} \sim \text{Exp}(1)$

$$\begin{aligned} & \mathbf{P}(\tilde{U}_Q = u^* \mid \tilde{U}_P = u^*) \\ &= \mathbf{P}\left(\min_{u \neq u^*} \frac{Z_u}{Q(u)} \geq \frac{Z_{u^*}}{Q(u^*)} \mid \tilde{U}_P = u^*\right) \\ &= \mathbf{P}\left(\min_{u \neq u^*} \frac{W_u P(u)}{Q(u)} \geq \frac{W_{u^*} P(u^*)}{Q(u^*)} \mid \tilde{U}_P = u^*\right) \\ &\geq \mathbf{P}\left(\min_{u \neq u^*} \frac{(W_u - W_{u^*})P(u)}{Q(u)} \geq \frac{W_{u^*} P(u^*)}{Q(u^*)} \mid \tilde{U}_P = u^*\right) \\ &= \frac{Q(u^*)/P(u^*)}{Q(u^*)/P(u^*) + \sum_{u \neq u^*} Q(u)} \quad (\text{Fact 1}) \\ &= \frac{Q(u^*)/P(u^*)}{Q(u^*)/P(u^*) + 1 - Q(u^*)} \\ &\geq 1 - \frac{P(u^*)}{Q(u^*)} \qquad \qquad \qquad \text{Q.E.D.} \end{aligned}$$

What *really* is this magic box?

General case – Poisson Functional Representation

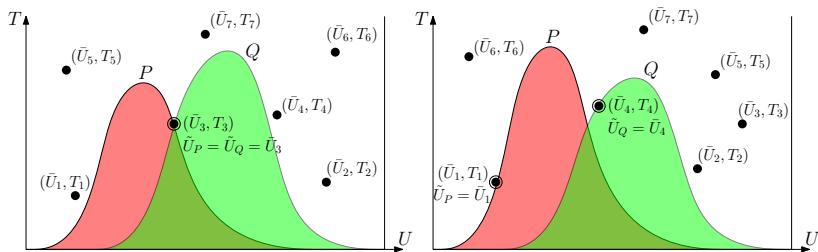


- Generalizes the exponential functional representation to general distributions (not only discrete)
 - Studied in Li and El Gamal [2018], Li and Anantharam [2021]
- Box: $\{\bar{U}_i, T_i\}_{i \in \mathbb{N}}$ points of Poisson process, intensity measure $\mu \times \lambda_{\mathbb{R}_{\geq 0}}$
- Input distribution P , output

$$K := \arg \min_i T_i \left(\frac{dP}{d\mu}(\bar{U}_i) \right)^{-1}, \quad \tilde{U}_P := \bar{U}_K$$

- Mapping theorem: $\tilde{U}_P \sim P$

Guarantee – Poisson Matching Lemma

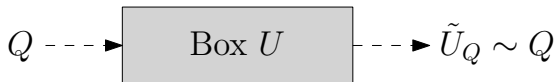


- Two distributions P, Q . Points selected are \tilde{U}_P, \tilde{U}_Q resp.
- Poisson matching lemma [Li and Anantharam, 2021]:

$$\begin{aligned} \mathbf{P} \left(\tilde{U}_Q \neq \tilde{U}_P \mid \tilde{U}_P \right) &\leq \frac{dP}{dQ}(\tilde{U}_P) \\ &= \frac{P(\tilde{U}_P)}{Q(\tilde{U}_P)} \quad (\text{for discrete } P, Q) \end{aligned}$$

- Refer to [Li and Anantharam, 2021] for proof

... enough peeking into the box. Now let's close it

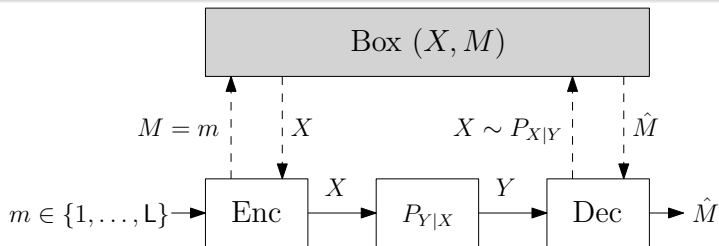


- We only use the box as a black box
 - Forget about exponential RVs, Poisson processes, etc.
- **Query:** Input distribution Q , output a sample $\tilde{U}_Q \sim Q$
 - Unifies both encoder and decoder
- **Guarantee:** For distributions P, Q ,

$$\mathbf{P} \left(\tilde{U}_Q \neq \tilde{U}_P \mid \tilde{U}_P \right) \leq \frac{dP}{dQ}(\tilde{U}_P)$$

- Unifies both packing and covering lemmas

One-shot Channel Coding



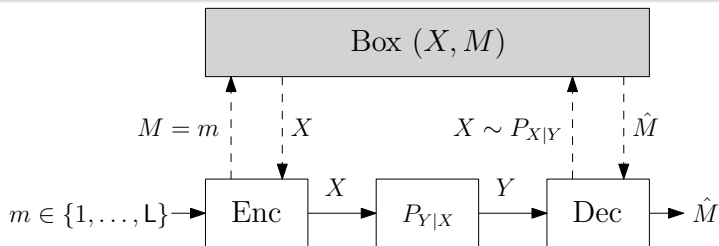
- Box about (X, M)
- Encoder queries using $P_X \times \delta_m$ (i.e., the info $M = m$), gets X
- Decoder queries using $P_{X|Y} \times P_M$ (i.e., the info $X \sim P_{X|Y}$), gets \hat{M}

$$\begin{aligned} \mathbf{P}(M \neq \hat{M}) &= \mathbf{E}[\mathbf{P}(M \neq \hat{M} | M, X, Y)] \\ &\leq \mathbf{E}\left[\min\left\{\frac{dP_X \times \delta_M}{dP_{X|Y}(\cdot|Y) \times P_M}, 1\right\}\right] = \mathbf{E}\left[\min\left\{L2^{-\iota_{X;Y}(X;Y)}, 1\right\}\right] \end{aligned}$$

where $\iota_{X;Y}$ is the information density:

$$\iota_{X;Y}(x; y) = \log \frac{dP_{X,Y}}{d(P_X \times P_Y)}(x, y) = \log \frac{P(x, y)}{P(x)P(y)} \quad (\text{for discrete } X, Y)$$

One-shot Channel Coding



- $\mathbf{P}(M \neq \hat{M}) \leq \mathbf{E}[\min\{L2^{-\iota_{X;Y}(X;Y)}, 1\}]$
- The box is random
 - Exists fixed box such that the error bound is satisfied
- Recovers (slightly weaker) dependence testing bound [Polyanskiy et al., 2010] (also see [Hayashi, 2009])
- Recovers asymptotic result: $L \leftarrow 2^{nR}$, $X \leftarrow X^n = (X_1, \dots, X_n)$, $Y \leftarrow Y^n$,

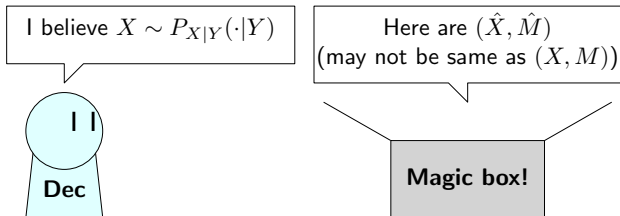
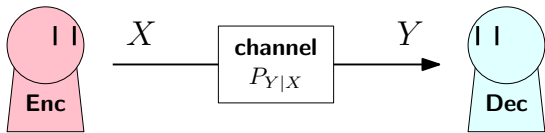
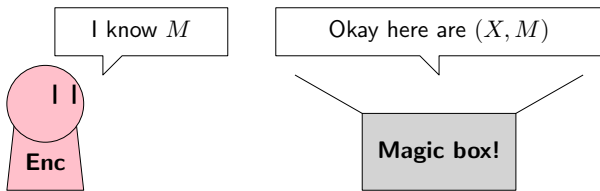
$$\iota_{X^n; Y^n}(X^n; Y^n) = \sum_{i=1}^n \iota_{X; Y}(X_i; Y_i) \approx nI(X; Y) \quad (\text{law of large numbers})$$

- Unlike stochastic likelihood decoder [Yassaee et al., 2013a], here encoder and decoder are deterministic once the box is fixed

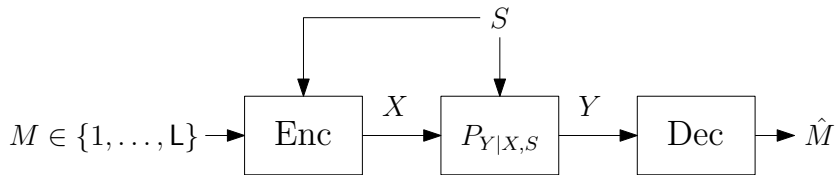
I know everything about **message** M and **channel input** X ,
but I won't share my knowledge unless you demonstrate
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Magic box!



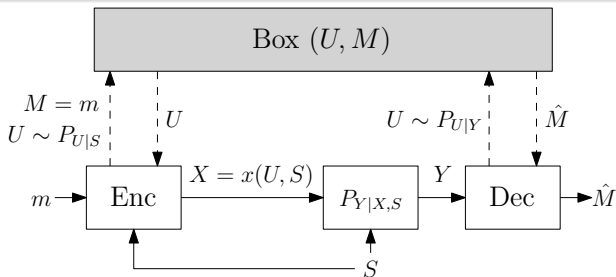
Channels with State Information at the Encoder



- Studied in [Gel'fand and Pinsker, 1980, Heegard and El Gamal, 1983, Costa, 1983]
- Message $M \sim \text{Unif}[1 : L]$, state $S \sim P_S$, channel $P_{Y|X,S}$
- Encoder produces X using M, S
- Decoder recovers \hat{M} using Y
- Gel'fand and Pinsker [1980]: Asymptotic capacity

$$C = \sup_{P_{U|S, X}(u,s)} (I(U; Y) - I(U; S))$$

Channels with State Information at the Encoder

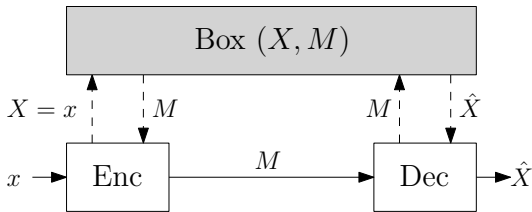


- Box about (U, M) , auxiliary RV $U \sim P_{U|S}$
- Encoder queries $P_{U|S} \times \delta_m$ (i.e., the info $U \sim P_{U|S}, M = m$), gets U , sends $X = x(U, S)$
- Decoder queries $P_{U|Y} \times P_M$ (i.e., the info $U \sim P_{U|Y}$), gets \hat{M}

$$\begin{aligned} \mathbf{P}(M \neq \hat{M}) &= \mathbf{E}[\mathbf{P}(M \neq \hat{M} \mid M, S, U, Y)] \\ &\leq \mathbf{E}\left[\min\left\{\frac{dP_{U|S}(\cdot|S) \times \delta_M}{dP_{U|Y}(\cdot|Y) \times P_M}, 1\right\}\right] = \mathbf{E}\left[\min\left\{L_{2^{\mathcal{U};S}(U;S)-\mathcal{U};Y}(U;Y)}, 1\right\}\right] \end{aligned}$$

- Implies best known second order result [Scarlett, 2015] (but much shorter proof)

Lossless Source Coding

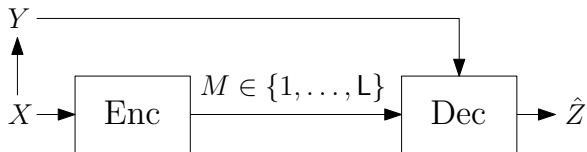


- Encode $X \sim P_X$ to $M \in \{1, \dots, L\}$. Decoder gets \hat{X} [Shannon, 1948]
- Box about (X, M) , let $P_M = \text{Unif}\{1, \dots, L\}$
- Encoder queries using $\delta_x \times P_M$ (i.e., the info $X = x$), gets M
- Decoder queries using $P_X \times \delta_M$ (i.e., the info M), gets \hat{X}

$$\begin{aligned} \mathbf{P}(X \neq \hat{X}) &\leq \mathbf{E} \left[\min \left\{ \frac{d\delta_X \times P_M}{dP_X \times \delta_M}, 1 \right\} \right] \\ &= \mathbf{E}[\min\{L^{-1}2^{Lx(X)}, 1\}] \end{aligned}$$

- Asymptotic: $X = X^n$, $L = 2^{nR}$, $P_e \rightarrow 0$ if $R > H(X)$

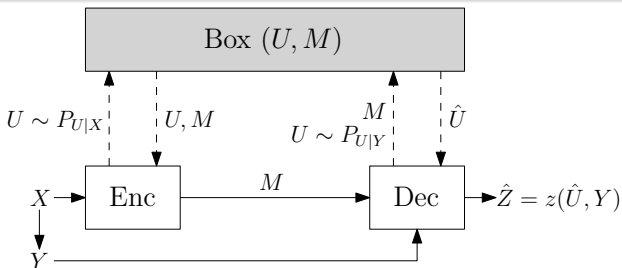
Lossy Source Coding with Side Information at the Decoder



- Studied in [Wyner and Ziv, 1976]
- Source $X \sim P_X$, message $M \in [1 : L]$, side information $Y|X \sim P_{Y|X}$
- Encoder produces M using X
- Decoder recovers \hat{Z} using M, Y
- Prob. of excess distortion $\mathbf{P}\{d(X, \hat{Z}) > D\}$
- Wyner and Ziv [1976] (asymptotic):

$$C = \inf_{P_{U|X, Z(u, Y)}: \mathbf{E}[d(X, Z)] \leq D} (I(U; X) - I(U; Y))$$

Lossy Source Coding with Side Information at the Decoder



- Box about (U, M) , auxiliary RV $U \sim P_{U|X}$
- Encoder queries $P_{U|X} \times P_M$ (i.e., the info $U \sim P_{U|X}$), gets U, M
- Decoder queries $P_{U|Y} \times \delta_M$ (i.e., the info $U \sim P_{U|Y}$ and M), gets \hat{U} , outputs $\hat{Z} = z(\hat{U}, Y)$

$$\begin{aligned}
 \mathbf{P}(d(X, \hat{Z}) > D) &\leq 1 - \mathbf{P}(d(X, Z) \leq D \text{ and } U = \hat{U}) \quad (\text{let } Z = z(U, Y)) \\
 &= \mathbf{E} \left[1 - \mathbf{1}\{d(X, Z) \leq D\} \mathbf{P}(U = \hat{U} \mid M, X, Y, U) \right] \\
 &\leq \mathbf{E} \left[1 - \mathbf{1}\{d(X, Z) \leq D\} \max \left\{ 1 - \frac{dP_{U|X} \times P_M}{dP_{U|Y} \times \delta_M}, 0 \right\} \right] \\
 &= \mathbf{E} \left[1 - \mathbf{1}\{d(X, Z) \leq D\} \max \{ 1 - L^{-1} 2^{\iota_{U;X}(U;X) - \iota_{U;Y}(U;Y)}, 0 \} \right].
 \end{aligned}$$

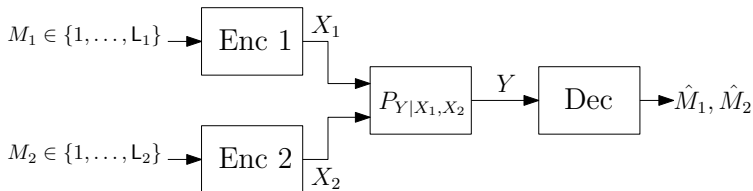
Asymptotic vs Conventional One-shot vs Our Approach

	Strong typicality	Conventional one-shot packing/covering	Poisson matching lemma
Finite blocklength results?	Maybe	Yes	Yes (sometimes stronger)
Simplicity	Simple	Complex	Simple (sometimes simpler)
General alphabet for X, Y ?	Only discrete	Discrete / continuous	Discrete / continuous

- A new approach to proving coding theorems using Poisson functional representation and Poisson matching lemma
- Sharp one-shot / second order bounds
- Very short proofs
- Can also be applied to multiple access channels, broadcast channels, etc.
 - Refer to the paper for details

- Multiuser settings...

Multiple Access Channel



- Messages $M_1 \sim \text{Unif}[1 : L_1]$, $M_2 \sim \text{Unif}[1 : L_2]$, channel $P_{Y|X_1, X_2}$
- Encoder i produces X_i using M_i , $i = 1, 2$
- Decoder recovers \hat{M}_1, \hat{M}_2 using Y
- Capacity region [Ahlsvede, 1971, Liao, 1972, Ahlsvede, 1974] (asymptotic): Convex closure of

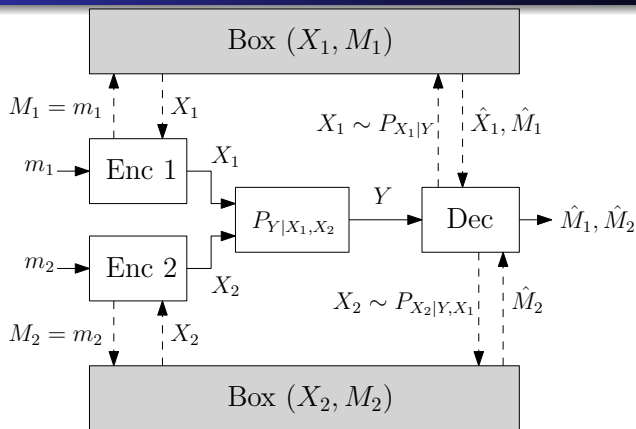
$$R_1 < I(X_1; Y|X_2)$$

$$R_2 < I(X_2; Y|X_1)$$

$$R_1 + R_2 < I(X_1, X_2; Y)$$

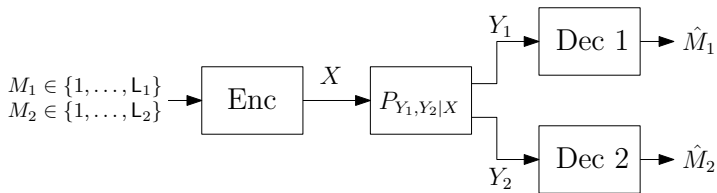
for any P_{X_1}, P_{X_2}

Multiple Access Channel



- Two boxes: (X_1, M_1) and (X_2, M_2)
- Decoder queries $P_{X_1|Y} \times P_{M_1}$ to box (X_1, M_1) , gets \hat{X}_1, \hat{M}_1 , queries $P_{X_2|Y, X_1}(\cdot|Y, \hat{X}_1) \times P_{M_2}$ to box (X_2, M_2) , gets \hat{M}_2
- $P_e \leq \mathbf{E}[\min\{L_1 2^{\ell_{X_1; Y}(X_1; Y)}, 1\}] + \mathbf{E}[\min\{L_2 2^{\ell_{X_2; Y|X_1}(X_2; Y|X_1)}, 1\}]$
- Recovers corner point $R_1 = I(X_1; Y)$, $R_2 = I(X_2; Y|X_1)$ of capacity region

Broadcast Channel



- Messages $M_1 \sim \text{Unif}[1 : L_1]$, $M_2 \sim \text{Unif}[1 : L_2]$, channel $P_{Y_1, Y_2|X}$
- Encoder produces X using M_1, M_2
- Decoder i recovers \hat{M}_i using Y_i , $i = 1, 2$
- Inner bound [Marton, 1979] (asymptotic):

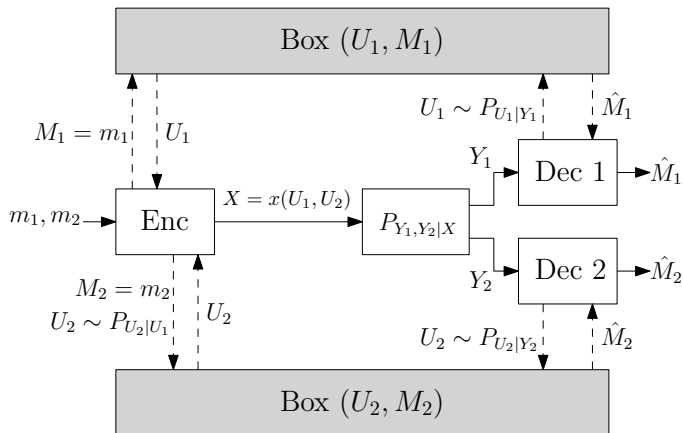
$$R_1 < I(U_1; Y_1)$$

$$R_2 < I(U_2; Y_2)$$

$$R_1 + R_2 < I(U_1; Y_1) + I(U_2; Y_2) - I(U_1; U_2)$$

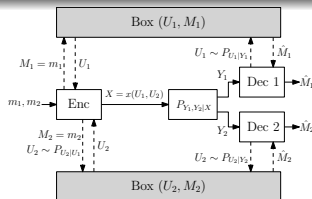
for any P_{U_1, U_2} , $x(u_1, u_2)$

Broadcast Channel



$$P_e \leq \mathbf{E}[\min\{L_1 2^{\nu_{U_1; Y_1}}(U_1; Y_1), 1\}] \\ + \mathbf{E}[\min\{L_2 2^{\nu_{U_2; Y_2}}(U_2; Y_2) - \nu_{U_1; U_2}(U_1; U_2), 1\}]$$

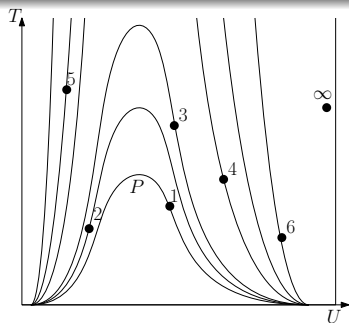
Broadcast Channel



$$P_e \leq \mathbf{E}[\min\{L_1 2^{\iota_{U_1; Y_1}}(U_1; Y_1), 1\}] \\ + \mathbf{E}[\min\{L_2 2^{\iota_{U_2; Y_2}}(U_2; Y_2) - \iota_{U_1; U_2}(U_1; U_2), 1\}]$$

- Recovers corner point $R_1 = I(U_1; Y_1)$, $R_2 = I(U_2; Y_2) - I(U_1; U_2)$ in Marton's inner bound
- To obtain the whole Marton's inner bound:
 - Time sharing – poor finite-blocklength result
 - Have Box (U_1, M_1) generate a list of U_1 's instead, i.e., Box $(U_{1,1}, \dots, U_{1,l}, M_1)$
 - Query $U_2 \sim I^{-1} \sum_i P_{U_2|U_1}(\cdot|U_{1,i})$ for Box (U_2, M_2)
 - Generalize the box to give a list of probable points
 - Modify the box to give partial information?

Generalized Poisson Matching Lemma



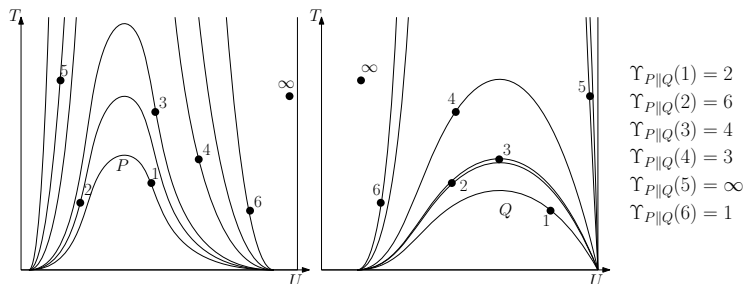
- $\{\bar{U}_i, T_i\}_i$ points of a Poisson process with intensity measure $\mu \times \lambda_{\mathbb{R}_{\geq 0}}$
- For distribution P , reorder indices $i_{P,j}$ such that

$$T_{i_{P,j}} \left(\frac{dP}{d\mu}(\bar{U}_{i_{P,j}}) \right)^{-1}$$

are sorted in ascending order, and let $\tilde{U}_P(j) := \bar{U}_{i_{P,j}}$

- $\tilde{U}_P(1), \tilde{U}_P(2), \tilde{U}_P(3) \stackrel{iid}{\sim} P$

Generalized Poisson Matching Lemma



- For distributions P, Q , define

$$\Upsilon_{P||Q}(j) := \min\{k \in \mathbb{N} : i_{Q,k} = i_{P,j}\}$$

- $\tilde{U}_P = \tilde{U}_Q \Leftrightarrow \Upsilon_{P||Q}(1) = 1$
- Generalized Poisson matching lemma [Li and Anantharam, 2021]:

$$\mathbf{E} \left[\Upsilon_{P||Q}(j) \mid \tilde{U}_P(j) \right] \leq j \frac{dP}{dQ}(\tilde{U}_P(j)) + 1$$

The Generalized Box



- **Query:** Input distribution Q , output $\tilde{U}_Q(1), \tilde{U}_Q(2), \dots \stackrel{iid}{\sim} Q$
- **Guarantee:** For distributions $P, Q, j \in \mathbb{N}$,

$$\mathbf{E} \left[\min\{k : \tilde{U}_Q(k) = \tilde{U}_P(j)\} \mid \tilde{U}_P(j) \right] \leq j \frac{dP}{dQ}(\tilde{U}_P(j)) + 1$$

- Implies the guarantee of single-output box for $j = 1$
- Useful for multiple access channel, broadcast channel, distributed lossy source coding, channel resolvability and channel simulation

- A new approach to proving coding theorems
 - Using Poisson functional representation and Poisson matching lemma
 - Sharp one-shot / second order bounds
 - Very short proofs
- Future work
 - Is there a simpler way to apply this method to multiuser settings?

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