

16.5 HSW Theorem: Achievability part

Given a positive operator L with eigendecomposition $L = \sum_i \lambda_i |\alpha_i\rangle\langle\alpha_i|$, we define for $u \in \mathbb{R}$,

$$L^u = \sum_{i:\lambda_i \neq 0} \lambda_i^u |\alpha_i\rangle\langle\alpha_i|.$$

Note that for any $u, v \in \mathbb{R}$, $L^u L^v = L^{u+v}$ and that L^0 is the projector onto $\text{supp}(L)$. The function $L \mapsto L^{1/2}$ is **operator monotone**, meaning if operators M and L satisfy $M \geq L \geq 0$ then $M^{1/2} \geq L^{1/2} \geq 0$.

Lemma 1 (Hayashi-Nagaoka). For any real $c > 0$ and operators S, R (on the same Hilbert space) such that $0 \leq S \leq \mathbb{1}$ and $0 \leq R$,

$$\mathbb{1} - (S + R)^{-1/2} S (S + R)^{-1/2} \leq (1 + c)(\mathbb{1} - S) + (2 + c + c^{-1})R \quad (16.1)$$

Proof. (**Not examinable.**) For any real c and operators A and B

$$(A - cB)^\dagger (A - cB) = A^\dagger A + c^2 B^\dagger B - c(A^\dagger B + B^\dagger A) \geq 0. \quad (16.2)$$

If $c > 0$ then

$$A^\dagger B + B^\dagger A \leq c^{-1} A^\dagger A + c B^\dagger B. \quad (16.3)$$

Setting $A = R^{1/2}$ and $B = R^{1/2}(X - \mathbb{1})$ for some hermitian X this becomes

$$R(X - \mathbb{1}) + (X - \mathbb{1})R \leq c^{-1}R + c(X - \mathbb{1})R(X - \mathbb{1}). \quad (16.4)$$

Equivalently,

$$XRX = (X - \mathbb{1})R(X - \mathbb{1}) + R + R(X - \mathbb{1}) + (X - \mathbb{1})R \quad (16.5)$$

$$\leq (1 + c)(X - \mathbb{1})R(X - \mathbb{1}) + (1 + c^{-1})R \quad (16.6)$$

and, since $S \geq 0$,

$$XRX \leq (1 + c)(X - \mathbb{1})(S + R)(X - \mathbb{1}) + (1 + c^{-1})R. \quad (16.7)$$

Since square-root is operator monotone, and $R \geq 0$ and $0 \leq S \leq \mathbb{1}$ we have

$$(S + R)^{1/2} \geq S^{1/2} \geq S. \quad (16.8)$$

If we take $X = (S + R)^{-1/2}$ then $\Pi := X(S + R)X$ is the projector onto $\text{supp}(S + R)$ and

$$(X - \mathbb{1})(S + R)(X - \mathbb{1}) = \Pi + S + R - 2(S + R)^{1/2} \leq \Pi + R - S, \quad (16.9)$$

where the inequality is (16.8). Combining this upper bound with (16.7) yields

$$XRX \leq (1 + c)(\Pi - S) + (2 + c + c^{-1})R \quad (16.10)$$

and $XRX = \Pi - (S + R)^{-1/2} S (S + R)^{-1/2}$ so

$$\Pi - (S + R)^{-1/2} S (S + R)^{-1/2} \leq (1 + c)(\Pi - S) + (2 + c + c^{-1})R. \quad (16.11)$$

Because $\mathbb{1} - \Pi \geq 0$ and $c > 0$, $(\mathbb{1} - \Pi) \leq (1 + c)(\mathbb{1} - \Pi)$. Adding this to (16.11) yields (16.1). \square

Lemma 2. If we have a code which can send a uniformly distributed message M from a set \mathcal{A}_M of size k with average error probability $\Pr(\hat{M} \neq M) = \bar{\epsilon}$ then the same code can send a message from a subset of \mathcal{A}_M of size $\lceil \frac{k}{2} \rceil$ with worst-case error probability no more than $2\bar{\epsilon}$.

Proof. Label the elements of \mathcal{A}_M , m_1, m_2, \dots, m_k , such that the probabilities

$$p_i := \Pr(\hat{M} \neq M | M = m_i)$$

are in increasing order $p_1 \leq p_2 \leq \dots \leq p_k$.

$$\bar{\epsilon} = \frac{1}{k} \left(\sum_{i=1}^{\lceil k/2 \rceil} p_i + \sum_{i=\lceil k/2 \rceil}^k p_i \right) \quad (16.12)$$

$$\geq \frac{1}{k} (0 + (k+1 - \lceil k/2 \rceil) p_{\lceil k/2 \rceil}) \quad (16.13)$$

$$\geq \frac{1}{k} \frac{k+1}{2} p_{\lceil k/2 \rceil} \geq \frac{1}{2} p_{\lceil k/2 \rceil}. \quad (16.14)$$

Therefore the subset $\{m_1, \dots, m_{\lceil k/2 \rceil}\}$ has the required property. \square

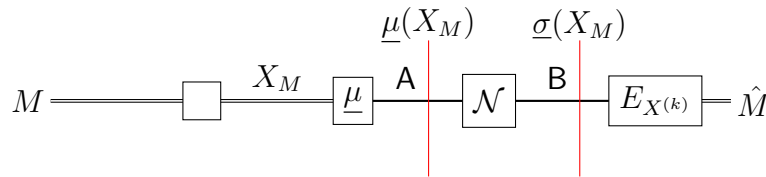


Figure 16.1: Depiction of the random codes used in the proof of Theorem 3.

Theorem 3. Suppose that $\mathcal{N}^{\text{B} \leftarrow \text{A}}$ is an operation, $k \geq 1$ is an integer, and M is a uniformly distributed RV taking values in $\{1, \dots, k\}$. Given any finite set \mathcal{A}_X , distribution P_X on that set, and map $\underline{\mu} : \mathcal{A}_X \rightarrow \mathcal{L}(\mathcal{H}_\text{A})$ from \mathcal{A}_X to states of A let

$$\sigma_{\text{XB}} := \sum_{x \in \mathcal{A}_X} P_X(x) |x\rangle\langle x|_{\text{X}} \otimes \underline{\sigma}(x)_{\text{B}}, \quad (16.15)$$

where $\underline{\sigma}(x)_{\text{B}} := \mathcal{N}^{\text{B} \leftarrow \text{A}} \underline{\mu}(x)_{\text{A}}$. Given k “codewords” $(x_1, x_2, \dots, x_k) \in \mathcal{A}_X^k$ we encode M as the state $\underline{\mu}(x_M)_{\text{A}}$; the operation \mathcal{N} is applied; then we measure a decoding POVM $E : \{0, 1, \dots, k\} \rightarrow \mathcal{L}(\mathcal{H}_\text{B})$ producing result \hat{M} . We claim that there exists a set of k codewords and a decoding POVM E such that the average probability of error $\Pr(\hat{M} \neq M)$ is equal to $\bar{\epsilon}$, where $\bar{\epsilon}$ satisfies

$$k \geq \frac{\bar{\epsilon}}{16} \frac{1}{\beta_{\bar{\epsilon}/2}(\sigma_{\check{\text{X}}\text{B}} \| \sigma_{\check{\text{X}}} \otimes \sigma_{\text{B}})} \quad (16.16)$$

and therefore¹

$$k_\epsilon(\mathcal{N}^{\text{B} \leftarrow \text{A}}) \geq \frac{\epsilon}{64} \frac{1}{\beta_{\epsilon/4}(\sigma_{\check{\text{X}}\text{B}} \| \sigma_{\check{\text{X}}} \otimes \sigma_{\text{B}})}. \quad (16.17)$$

¹I missed out a factor of half in the lecture.

Proof. Random codes to specific codes: Suppose that the k codewords are chosen at random from \mathcal{A}_X . We represent these as random variables X_1, \dots, X_k taking values in \mathcal{A}_X and write $X^{(k)} = (X_1, \dots, X_k)$. We assume that both Alice and Bob know $X^{(k)}$, so Bob's decoding POVM can depend on $X^{(k)}$. We will use the following reasoning, which holds for any way of choosing the decoding POVM and any distribution of the k codewords:

$$\bar{\epsilon} = \min_{\underline{x} \in \mathcal{A}_X^k} \Pr(\hat{M} \neq M | X^{(k)} = \underline{x}) \quad (16.18)$$

$$\leq \Pr(\hat{M} \neq M) = \sum_{\underline{x} \in \mathcal{A}_X^k} P_{X^{(k)}}(\underline{x}) \Pr(\hat{M} \neq M | X^{(k)} = \underline{x}). \quad (16.19)$$

The expression (16.18) is the minimum average error probability attained by some particular choice of codewords $\underline{x} = (x_1, \dots, x_k)$, so we can set this equal to the $\bar{\epsilon}$ of the theorem. This is a lower-bound on the average error probability (16.19) which is achieved when the codewords are chosen at random (with the decoding POVM chosen depending on the codewords).

The decoding POVM: Recall that

$$\beta_{\epsilon'}(\sigma_{\tilde{X}B} \| \sigma_{\tilde{X}} \otimes \sigma_B) = \min\{\beta(T_{\tilde{X}B}, \sigma_{\tilde{X}} \otimes \sigma_B) : \alpha(T_{\tilde{X}B}, \sigma_{\tilde{X}B}) \leq \epsilon, 0 \leq T_{\tilde{X}B} \leq \mathbb{1}\} \quad (16.20)$$

where $\alpha(T_{\tilde{X}B}, \sigma_{\tilde{X}B}) = 1 - \text{Tr} T_{\tilde{X}B} \sigma_{\tilde{X}B}$ and $\beta(T_{\tilde{X}B}, \sigma_{\tilde{X}} \otimes \sigma_B) = \text{Tr} T_{\tilde{X}B} \sigma_{\tilde{X}} \otimes \sigma_B$. In this particular case, defining

$$L(x)_B := \text{Tr}_{\tilde{X}} |x\rangle\langle x|_{\tilde{X}} \otimes \mathbb{1}_B T_{\tilde{X}B} \quad (16.21)$$

we find that

$$\alpha(T_{\tilde{X}B}, \sigma_{\tilde{X}B}) = 1 - \sum_{x \in \mathcal{A}_X} \text{Tr} L(x)_B \sigma_{\tilde{X}B}(x) \quad (16.22)$$

$$\beta(T_{\tilde{X}B}, \sigma_{\tilde{X}} \otimes \sigma_B) = \sum_{x, x' \in \mathcal{A}_X} P_X(x) P_X(x') \text{Tr} L(x)_B \sigma_{\tilde{X}B}(x'). \quad (16.23)$$

By partial trace cyclicity, $L(x)_B = \text{Tr}_{\tilde{X}} |x\rangle\langle x|_{\tilde{X}} \otimes \mathbb{1}_B T_{\tilde{X}B} |x\rangle\langle x|_{\tilde{X}} \otimes \mathbb{1}_B$, so $L(x)_B \geq 0$ and, because $T_{\tilde{X}B} \leq \mathbb{1}_{\tilde{X}B}$,

$$|x\rangle\langle x|_{\tilde{X}} \otimes \mathbb{1}_B T_{\tilde{X}B} |x\rangle\langle x|_{\tilde{X}} \otimes \mathbb{1}_B \leq |x\rangle\langle x|_{\tilde{X}} \otimes \mathbb{1}_B$$

and, therefore, $L(x)_B \leq \mathbb{1}_B$.

In the random code, Bob will measure $E_{X^{(k)}}$ where, for each possible value $\underline{x} = (x_1, \dots, x_k) \in \mathcal{A}_X^k$ of the random codewords $X^{(k)}$, we build a decoding POVM $E_{\underline{x}}$ based on the operators $L(x)$, as follows: For $m \in \{1, \dots, k\}$ we set

$$E_{\underline{x}}(m) := \left(\sum_{i=1}^k L(x_i) \right)^{-1/2} L(x_m) \left(\sum_{i=1}^k L(x_i) \right)^{-1/2}. \quad (16.24)$$

Clearly these are positive operators, and

$$\sum_{m=1}^k E_{\underline{x}}(m) = \left(\sum_{m=1}^k L(x_m) \right)^0$$

which is the projector onto the support of $\sum_{m=1}^k L(x_m)$. Therefore, setting

$$E_{\underline{x}}(0) := \mathbb{1} - \sum_{i=1}^m E_{\underline{x}}(m) \quad (16.25)$$

we have $E_{\underline{x}}(0) \geq 0$ and $\sum_{m=0}^k E_{\underline{x}}(m) = \mathbb{1}$ so $E_{\underline{x}}$ is indeed a POVM.

Bounding $\Pr(\hat{M} \neq M)$ for the random code: Since the message M is uniformly distributed, we have

$$\Pr(\hat{M} \neq M) = \frac{1}{k} \sum_{m=1}^k \Pr(\hat{M} \neq M | M = m) \quad (16.26)$$

and because $X^{(k)}$ is independent of M ,

$$\Pr(\hat{M} \neq M | M = m) = \sum_{\underline{x}} \Pr(\hat{M} \neq M | M = m, X^{(k)} = \underline{x}) \Pr(X^{(k)} = \underline{x} | M = m) \quad (16.27)$$

$$= \sum_{\underline{x}} \Pr(\hat{M} \neq M | M = m, X^{(k)} = \underline{x}) \Pr(X^{(k)} = \underline{x}) = \mathbb{E}p_m \quad (16.28)$$

where $\mathbb{E}p_m$ is the expectation of the random variable

$$p_m := \text{Tr}(\mathbb{1} - E_{X^{(k)}}(m)) \underline{\sigma}(X_m). \quad (16.29)$$

For the decoding POVM we are using, this is

$$p_m = \text{Tr}(\mathbb{1} - (S + R)^{-1/2} S (S + R)^{-1/2}) \underline{\sigma}(X_m) \quad (16.30)$$

where $S = L(X_m)$ and $R = \sum_{i \neq m} L(X_i)$. We already showed that $0 \leq S \leq \mathbb{1}$, and clearly $R \geq 0$, so the Hayashi-Nagaoka operator inequality tells us that

$$\forall c \geq 0, \mathbb{1} - (S + R)^{-1/2} S (S + R)^{-1/2} \leq (1 + c)(\mathbb{1} - S) + (2 + c + c^{-1})R. \quad (16.31)$$

Since $\underline{\sigma}(X_m) \geq 0$, for all m we have

$$\begin{aligned} p_m &\leq \text{Tr}((1 + c)(\mathbb{1} - S) + (2 + c + c^{-1})R) \underline{\sigma}(X_m) \\ &= (1 + c)(1 - \text{Tr}L(X_m) \underline{\sigma}(X_m)) + (2 + c + c^{-1}) \sum_{i \neq m} \text{Tr}L(X_i) \underline{\sigma}(X_m) \end{aligned} \quad (16.32)$$

where we used $\text{Tr} \underline{\sigma}(X_m) = 1$. Now, using the fact that each X_m is distributed according to P_X , we have

$$\forall m \mathbb{E}(1 - \text{Tr}L(X_m) \underline{\sigma}(X_m)) = 1 - \sum_{x \in \mathcal{A}_X} P_X(x) \text{Tr}_{\mathbf{B}} L(x) \underline{\sigma}(x) = \alpha(T_{\check{X}\mathbf{B}}, \sigma_{\check{X}\mathbf{B}}) \quad (16.33)$$

Using, in addition, the independence of X_m and X_i for all $i \neq m$,

$$\forall i \neq m, \mathbb{E} \text{Tr}L(X_i) \underline{\sigma}(X_m) = \sum_{x, x'} P_X(x) P_X(x') \text{Tr}L(x) \underline{\sigma}(x') = \beta(T_{\check{X}\mathbf{B}}, \sigma_{\check{X}} \otimes \sigma_{\mathbf{B}}). \quad (16.34)$$

Taking the expectation of both sides of (16.32) and using (16.33) and (16.34) we obtain

$$\forall m, \Pr(\hat{M} \neq M | M = m) = \mathbb{E}p_m \leq (1 + c)\alpha(T_{\check{X}\mathbf{B}}, \sigma_{\check{X}\mathbf{B}}) + (2 + c + c^{-1})(k - 1)\beta(T_{\check{X}\mathbf{B}}, \sigma_{\check{X}} \otimes \sigma_{\mathbf{B}}). \quad (16.35)$$

and therefore

$$\bar{\epsilon} \leq \Pr(\hat{M} \neq M) \leq (1 + c)\alpha(T_{\check{X}\mathbf{B}}, \sigma_{\check{X}\mathbf{B}}) + (2 + c + c^{-1})(k - 1)\beta(T_{\check{X}\mathbf{B}}, \sigma_{\check{X}} \otimes \sigma_{\mathbf{B}}).$$

Minimising the right-hand-side over all $T_{\tilde{X}\mathbf{B}}$ such that $\alpha(T_{\tilde{X}\mathbf{B}}, \sigma_{\tilde{X}\mathbf{B}}) \leq \epsilon'$ and $0 \leq T_{\tilde{X}\mathbf{B}} \leq \mathbb{1}_{\tilde{X}\mathbf{B}}$ we obtain

$$\bar{\epsilon} \leq (1+c)\epsilon' + (2+c+c^{-1})(k-1)\beta_{\epsilon'}(\sigma_{\tilde{X}\mathbf{B}} \| \sigma_{\tilde{X}} \otimes \sigma_{\mathbf{B}}).$$

We have shown that, for any $c \geq 0$, there exists a code with k codewords and average error probability $\bar{\epsilon}$ where

$$k-1 \geq \frac{\bar{\epsilon} - (1+c)\epsilon'}{2+c+c^{-1}} \frac{1}{\beta_{\epsilon'}(\sigma_{\tilde{X}\mathbf{B}} \| \sigma_{\tilde{X}} \otimes \sigma_{\mathbf{B}})} \quad (16.36)$$

Taking $\epsilon' = \bar{\epsilon}/2$ and (the optimal value) $c = 1/3$

$$k \geq \frac{\bar{\epsilon}}{16} \frac{1}{\beta_{\bar{\epsilon}/2}(\sigma_{\tilde{X}\mathbf{B}} \| \sigma_{\tilde{X}} \otimes \sigma_{\mathbf{B}})}. \quad (16.37)$$

Finally, since there exists a set of codewords of k' and average probability of error $\epsilon/2$ such that

$$k' \geq \frac{\epsilon}{32} \frac{1}{\beta_{\epsilon/4}(\sigma_{\tilde{X}\mathbf{B}} \| \sigma_{\tilde{X}} \otimes \sigma_{\mathbf{B}})},$$

we know from Lemma 2 that there is set of codewords of size $\lceil k'/2 \rceil$ with *worst-case* error probability ϵ . \square

Remark 4. We can interpret the operators $L(x)$ in the following way: For each $x \in \mathcal{A}_X$ let $F_x : \{0, 1\} \rightarrow \mathcal{L}(\mathcal{H}_{\mathbf{B}})$ by a POVM with

$$F_x(0)_{\mathbf{B}} = L(x)_{\mathbf{B}}, F_x(1)_{\mathbf{B}} = \mathbb{1}_{\mathbf{B}} - L(x)_{\mathbf{B}}.$$

Suppose we measure \tilde{X} in the computational basis, obtaining an outcome X , and then measure the POVM F_X on \mathbf{B} , and use the outcome of that measurement as our guess of which hypothesis is true. This procedure has exactly the α and β given above. We can interpret $L(x)$ as specifying a test which tries to decide between the particular state $\underline{\sigma}(x)_{\mathbf{B}}$ and the average $\sigma_{\mathbf{B}} = \sum_{x \in \mathcal{A}_X} P_X(x) \underline{\sigma}(x)_{\mathbf{B}}$.

Proposition 5 (HSW Theorem: Achievability).

$$C(\mathcal{N}) = \lim_{\ell \rightarrow \infty} \frac{1}{\ell} C(\mathcal{N}^{\otimes \ell}) \geq \frac{1}{\ell} \chi(\mathcal{N}^{\otimes \ell}). \quad (16.38)$$

Proof. We consider codes for the operation $\mathcal{N}^{\otimes n}$. For a given \mathcal{A}_X , distribution P_X and map $\underline{\mu}$ from \mathcal{A}_X to states of \mathbf{A} , we can use \mathcal{A}_X^n and P_X^n as the set and distribution in the premises of Theorem 3 and for the map use

$$\underline{\mu}^{\otimes n} : \mathcal{A}_X^n \rightarrow \mathcal{L}(\mathcal{H}_{\mathbf{A}}^{\otimes n}) : (x_1, \dots, x_n) \mapsto \underline{\mu}(x_1)_{\mathbf{A}_1} \otimes \dots \otimes \underline{\mu}(x_n)_{\mathbf{A}_n} \text{ where } \underline{\mu}(x)_{\mathbf{A}_i} = \mathbf{id}^{\mathbf{A}_i \leftarrow \mathbf{A}} \underline{\mu}(x)_{\mathbf{A}}.$$

The ‘‘null hypothesis’’ state which appears in Theorem 3 is

$$\sigma_{\tilde{X}_1 \mathbf{B}_1 \dots \tilde{X}_n \mathbf{B}_n} = \bigotimes_{i=1}^n \sigma_{\tilde{X}_i \mathbf{B}_i} \text{ where } \sigma_{\tilde{X}_i \mathbf{B}_i} = \sum_x P_X(x) |x\rangle\langle x|_{\tilde{X}_i} \otimes \underline{\sigma}(x)_{\mathbf{B}_i}$$

where $\underline{\sigma}(x)_{\mathbf{B}_i} = \mathcal{N}^{\mathbf{B}_i \leftarrow \mathbf{A}_i} \underline{\mu}(x)_{\mathbf{A}_i}$ while the ‘‘alternative hypothesis’’ state is $\bigotimes_{i=1}^n \sigma_{\tilde{X}_i} \otimes \sigma_{\mathbf{B}_i}$. Using Theorem 3 and the Quantum Stein’s lemma, we have, for any $\epsilon > 0$

$$\begin{aligned} \lim_{n \rightarrow \infty} \frac{1}{n} [\log(k_{\epsilon}(\mathcal{N}^{\otimes n}))] &\geq \lim_{n \rightarrow \infty} \frac{1}{n} \left(\log \frac{\epsilon}{32} - \log \beta_{\epsilon/4} \left(\bigotimes_{i=1}^n \sigma_{\tilde{X}_i \mathbf{B}_i} \left\| \bigotimes_{i=1}^n \sigma_{\tilde{X}_i} \otimes \sigma_{\mathbf{B}_i} \right\| \right) \right) \\ &= D(\sigma_{\tilde{X}\mathbf{B}} \| \sigma_{\tilde{X}} \otimes \sigma_{\mathbf{B}}) = I(\tilde{X} : \mathbf{B})_{\sigma}, \end{aligned}$$

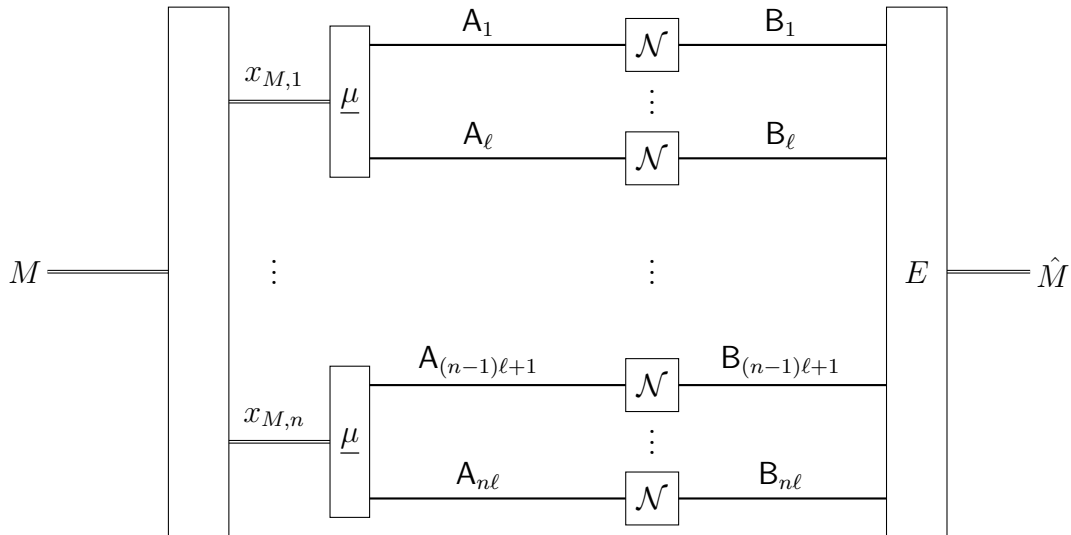


Figure 16.2: There exist codes of this form which, in the large n limit, achieve the rate $\frac{1}{\ell}\chi(\mathcal{N}^{\otimes\ell})$.

and therefore

$$C(\mathcal{N}) \geq I(\tilde{\mathcal{X}} : \mathbf{B})_{\sigma}.$$

Maximising this lower bound over choice of \mathcal{A}_X , P_X , and $\underline{\mu}$ we obtain

$$C(\mathcal{N}) \geq \chi(\mathcal{N}).$$

Now, $C(\mathcal{N}) = \frac{1}{\ell}C(\mathcal{N}^{\otimes\ell})$ so we also have, for all $\ell \in \mathbb{N}$,

$$C(\mathcal{N}) = \frac{1}{\ell}C(\mathcal{N}^{\otimes\ell}) \geq \frac{1}{\ell}\chi(\mathcal{N}^{\otimes\ell}).$$

Since the Holevo information is superadditive, we obtain the highest lower bound by taking the large ℓ limit, and this proves the “achievability” part of the HSW theorem. \square

Note that, to achieve the lower bound $\frac{1}{\ell}\chi(\mathcal{N}^{\otimes\ell})$ on capacity we optimise over maps $\underline{\mu}$ which take some set \mathcal{A}_X to states of ℓ input system, and then consider random codes for $\mathcal{N}^{\otimes\ell n}$ whose codewords X_i are strings $(X_{i,1}, \dots, X_{i,n})$ taking values in \mathcal{A}_X^n with distribution P_X^n . This is the same as saying that each *symbol* $X_{i,j}$ in each string X_i is chosen i.i.d. with distribution P_X . The inputs to the channel which are states of the form

$$\underline{\mu}(x_{m,1})_{\mathbf{A}_1 \dots \mathbf{A}_\ell} \otimes \underline{\mu}(x_{m,2})_{\mathbf{A}_{\ell+1} \dots \mathbf{A}_{2\ell}} \otimes \dots \otimes \underline{\mu}(x_{m,n})_{\mathbf{A}_{(n-1)\ell+1} \dots \mathbf{A}_{n\ell}}.$$

The possibility of having entanglement within the blocks of ℓ input systems does, for certain \mathcal{N} , allow us to do better as we make ℓ larger.