

# CODING THEOREMS ON GENERALIZED COST MEASURE

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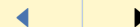
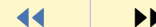
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*Key words:* Decipherable code, Source alphabet, Codeword, Cost function, Hölders inequality, Codeword length.  
*Abstract:* In the present communication a generalized cost measure of utilities and lengths of output codewords from a memoryless source are defined. Lower and upper bounds in terms of a non-additive generalized measure of ‘useful’ information are obtained.



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[Title Page](#)

[Contents](#)



Page 1 of 13

[Go Back](#)

[Full Screen](#)

[Close](#)

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# Contents

1	Introduction	3
2	Generalized Measures of Cost	5
3	Bounds on the Generalized Cost Measures	7



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---

Title Page

Contents



Page 2 of 13

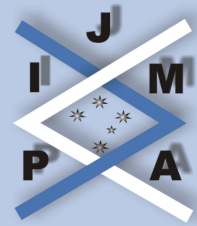
Go Back

Full Screen

Close

journal of **inequalities**  
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issn: 1443-5756



Title Page

Contents



Page 3 of 13

Go Back

Full Screen

Close

## 1. Introduction

Let a finite set of  $n$  source symbols  $X = (x_1, x_2, \dots, x_n)$  with probabilities  $P = (p_1, p_2, \dots, p_n)$  be encoded using  $D$  ( $D \geq 2$ ) code alphabets, then there is a uniquely decipherable/instantaneous code with lengths  $l_1, l_2, \dots, l_n$  if and only if

$$(1.1) \quad \sum_{i=1}^n D^{-l_i} \leq 1.$$

(1.1) is known as the Kraft inequality [5]. If  $L = \sum_{i=1}^n l_i p_i$  is the average code word length, then for a code which satisfies (1.1), Shannon's coding theorem for a noiseless channel ( Feinstein [5]) gives a lower bound of  $L$  in terms of Shannon's entropy [13]

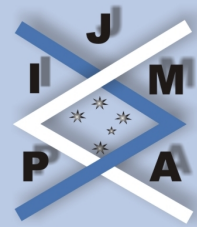
$$(1.2) \quad L \geq H(P)$$

with equality iff  $l_i = -\log p_i \quad \forall i = 1, 2, \dots, n$ . All the logarithms are to base  $D$ .

Belis and Guiasu [2] observed that a source is not completely specified by the probability distribution  $P$  over the source symbols  $X$ , in the absence of its qualitative character. It can also be assumed that the source letters or symbols are assigned weights according to their importance or utilities in the view of the experimenter.

Let  $U = (u_1, u_2, \dots, u_n)$  be the set of positive real numbers, where  $u_i$  is the utility or importance of outcome  $x_i$ . The utility, in general, is independent of the probability of encoding of source symbol  $x_i$ , i.e.,  $p_i$ . The information source is thus given by

$$(1.3) \quad S = \begin{bmatrix} x_1 & x_2 & \cdots & x_n \\ p_1 & p_2 & \cdots & p_n \\ u_1 & u_2 & \cdots & u_n \end{bmatrix}$$



Title Page

Contents



Page 4 of 13

Go Back

Full Screen

Close

where  $u_i > 0$ ,  $p_i \geq 0$ ,  $\sum_{i=1}^n p_i = 1$ .

Belis and Giasu [2] introduced the following qualitative -quantitative measure of information

$$(1.4) \quad H(P; U) = - \sum_{i=1}^n u_i p_i \log p_i$$

which is a measure of the average quantity of ‘valuable’ or ‘useful’ information provided by the information source (1.3). Giasu and Picard [6] considered the problem of encoding the letter output of the source (1.3) by means of a single letter prefix code whose code words  $w_1, w_2, \dots, w_n$  are of lengths  $l_1, l_2, \dots, l_n$  respectively satisfying the Kraft inequality (1.1). They introduced the following ‘useful’ mean length of the code

$$(1.5) \quad L(P; U) = \frac{\sum_{i=1}^n u_i p_i l_i}{\sum_{i=1}^n u_i p_i}.$$

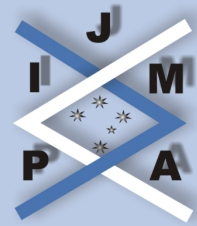
Longo [11] interpreted (1.5) as the average transmission cost of the letter  $x_i$  and obtained the following lower bound for the cost measure (1.5) as

$$(1.6) \quad L(P; U) \geq H(P; U),$$

where

$$H(P; U) = - \frac{\sum_{i=1}^n u_i p_i \log p_i}{\sum_{i=1}^n u_i p_i}$$

is the ‘useful’ information measure due to Giasu and Picard [6], which was also characterized by Bhaker and Hooda [3] by a mean value representation.



Title Page

Contents



Page 5 of 13

Go Back

Full Screen

Close

## 2. Generalized Measures of Cost

In the derivation of the cost measure (1.5) it is assumed that the cost is a linear function of code length, but this is not always the case. There are occasions when the cost behaves like an exponential function of code word lengths. Such types occur frequently in market equilibrium and growth models in economics. Thus sometimes it might be more appropriate to choose a code which minimizes a monotonic function,

$$(2.1) \quad C = \sum_{i=1}^n u_i^\beta p_i^\beta D^{\frac{1-\alpha}{\alpha} l_i},$$

where  $\alpha > 0 (\neq 1)$ ,  $\beta > 0$  are the parameters related to the cost.

In order to make the result of the paper more comparable with the usual noiseless coding theorem, instead of minimizing (2.1) we minimize

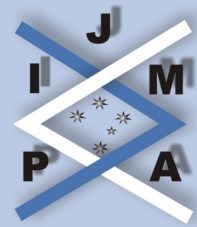
$$(2.2) \quad L_\alpha^\beta(U) = \frac{1}{2^{1-\alpha} - 1} \left[ \left( \frac{\sum_{i=1}^n (u_i p_i)^\beta D^{\frac{1-\alpha}{\alpha} l_i}}{\sum_{i=1}^n (u_i p_i)^\beta} \right)^\alpha - 1 \right],$$

where  $\alpha > 0 (\neq 1)$ ,  $\beta > 0$ , which is a monotonic function of  $C$ . We define (2.2) as the ‘useful’ average code length of order  $\alpha$  and type  $\beta$ .

Clearly, if  $\alpha \rightarrow 1$ ,  $\beta = 1$ , (2.2) reduces to (1.5) which further reduces to the ordinary mean length given by Shannon [13] when  $u_i = 1 \forall i = 1, 2, \dots, n$ . We also note that (2.2) is a monotonic non-decreasing function of  $\alpha$  and if all the  $l_i$ ’s are the same, say  $l_i = l$  for each  $i$  and  $\alpha \rightarrow 1$ , then  $L_\alpha^\beta(U) = l$ . This is an important property for any measure of length to possess.

In the next section, we derive the lower and upper bounds of the cost function (2.2) in terms of the following ‘useful’ information measure of order  $\alpha$  and type  $\beta$ ,

$$(2.3) \quad H_\alpha^\beta(P; U) = \frac{1}{2^{1-\alpha} - 1} \left[ \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} - 1 \right],$$



where  $\alpha > 0 (\neq 1)$ ,  $\beta > 0$ ,  $p_i \geq 0$ ,  $i = 1, 2, \dots, n$ ,  $\sum_{i=1}^n p_i \leq 1$ .

- (i) When  $\beta = 1$ , (2.3) reduces to the measure of ‘useful’ information proposed and characterised by Hooda and Ram [9].
- (ii) If  $\alpha \rightarrow 1, \beta = 1$ , (2.3) reduces to the measure given by Belis and Guiasu [2].
- (iii) If  $\alpha \rightarrow 1, \beta = 1$  and  $u_i = 1 \forall i = 1, 2, \dots, n$ , (2.3) reduces to the well known measure given by Shannon [13].

Also, we have used the condition

$$(2.4) \quad \sum_{i=1}^n u_i^\beta p_i^{\beta-1} D^{-l_i} \leq \sum_{i=1}^n u_i^\beta p_i^\beta$$

to find the bounds. It may be seen that in the case when  $\beta = 1$ ,  $u_i = 1 \forall i = 1, 2, \dots, n$ , (2.4) reduces to the Kraft inequality (1.1).  $D$  ( $D \geq 2$ ) is the size of the code alphabet.

Longo [12], Gurdial and Pessoa [7], Autar and Khan [1], Jain and Tuteja [10], Taneja et al. [16], Bhatia [4], Singh, Kumar and Tuteja [15] and Hooda and Bhaker [8] considered the problem of a ‘useful’ information measure in the context of noiseless coding theorems for sources involving utilities.

In this paper, we study upper and lower bounds by considering a new function dependent on the parameter  $\alpha$  and type  $\beta$  and a utility function. Our motivation for studying this new function is that it generalizes some entropy functions already existing in the literature. The function under study is closely related to Tsallis entropy which is used in Physics.

Title Page

Contents

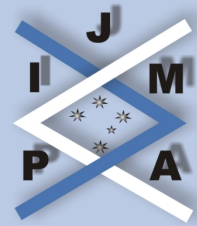


Page 6 of 13

Go Back

Full Screen

Close



Title Page

Contents



Page 7 of 13

Go Back

Full Screen

Close

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 in pure and applied  
 mathematics

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### 3. Bounds on the Generalized Cost Measures

**Theorem 3.1.** For all integers  $D$  ( $D \geq 2$ ), let  $l_i$  satisfy (2.4), then the generalized average ‘useful’ codeword length satisfies

$$(3.1) \quad L_\alpha^\beta(U) \geq H_\alpha^\beta(P; U)$$

and the equality holds iff

$$(3.2) \quad l_i = -\log p_i^\alpha + \log \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta}.$$

*Proof.* By Hölder’s inequality [14]

$$(3.3) \quad \sum_{i=1}^n x_i y_i \geq \left( \sum_{i=1}^n x_i^p \right)^{\frac{1}{p}} \left( \sum_{i=1}^n y_i^q \right)^{\frac{1}{q}}$$

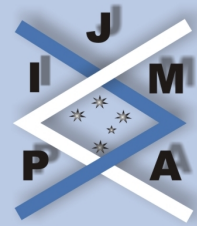
for all  $x_i, y_i > 0$ ,  $i = 1, 2, \dots, n$  and  $\frac{1}{p} + \frac{1}{q} = 1$ ,  $p < 1$  ( $\neq 0$ ),  $q < 0$ , or  $q < 1$  ( $\neq 0$ ),  $p < 0$ .

We see that equality holds if and only if there exists a positive constant  $c$  such that

$$(3.4) \quad x_i^p = c y_i^q.$$

Making the substitutions,

$$\begin{aligned}
 p &= \frac{\alpha - 1}{\alpha}, & q &= 1 - \alpha, \\
 x_i &= \frac{(u_i p_i)^{\frac{\beta\alpha}{\alpha-1}} D^{-l_i}}{\sum_{i=1}^n (u_i p_i)^{\frac{\beta\alpha}{\alpha-1}}}, & y_i &= \frac{(u_i)^{\frac{\beta}{1-\alpha}} p_i^{\frac{\alpha+\beta-1}{1-\alpha}}}{\sum_{i=1}^n (u_i p_i)^{\frac{\beta}{1-\alpha}}}
 \end{aligned}$$



Title Page

Contents



Page 8 of 13

Go Back

Full Screen

Close

journal of **inequalities**  
 in pure and applied  
 mathematics

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in (3.3), we get

$$\frac{\sum_{i=1}^n u_i^\beta p_i^{\beta-1} D^{-l_i}}{\sum_{i=1}^n u_i^\beta p_i^\beta} \geq \left[ \frac{\sum_{i=1}^n u_i^\beta p_i^\beta D^{\frac{1-\alpha}{\alpha} l_i}}{\sum_{i=1}^n u_i^\beta p_i^\beta} \right]^{\frac{\alpha}{\alpha-1}} \left[ \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} \right]^{\frac{1}{1-\alpha}}.$$

Using the condition (2.4), we get

$$\left[ \frac{\sum_{i=1}^n u_i^\beta p_i^\beta D^{\frac{1-\alpha}{\alpha} l_i}}{\sum_{i=1}^n u_i^\beta p_i^\beta} \right]^{\frac{\alpha}{1-\alpha}} \geq \left[ \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} \right]^{\frac{1}{1-\alpha}}.$$

Taking  $0 < \alpha < 1$  and raising both sides to the power  $(1 - \alpha)$ ,

$$\left[ \frac{\sum_{i=1}^n u_i^\beta p_i^\beta D^{\frac{1-\alpha}{\alpha} l_i}}{\sum_{i=1}^n u_i^\beta p_i^\beta} \right]^\alpha \geq \left[ \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} \right].$$

Multiplying both sides by  $\frac{1}{2^{1-\alpha-1}} > 0$  for  $0 < \alpha < 1$  and simplifying, we obtain

$$L_\alpha^\beta(U) \geq H_\alpha^\beta(P; U).$$

For  $\alpha > 1$ , the proof follows along similar lines. □

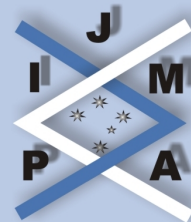
**Theorem 3.2.** For every code with lengths  $\{l_i\}$ ,  $i = 1, 2, \dots, n$  of Theorem 3.1,  $L_\alpha^\beta(U)$  can be made to satisfy the inequality,

$$(3.5) \quad L_\alpha^\beta(U) < H_\alpha^\beta(P; U) D^{1-\alpha} + \frac{D^{1-\alpha} - 1}{2^{1-\alpha} - 1}.$$

*Proof.* Let  $l_i$  be the positive integer satisfying the inequality,

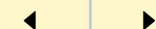
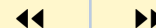
$$(3.6) \quad -\log p_i^\alpha + \log \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} \leq l_i < -\log p_i^\alpha + \log \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} + 1.$$





Title Page

Contents



Page 9 of 13

Go Back

Full Screen

Close

Consider the interval,

$$(3.7) \quad \delta_i = \left[ -\log p_i^\alpha + \log \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta}, -\log p_i^\alpha + \log \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} + 1 \right]$$

of length 1. In every  $\delta_i$ , there lies exactly one positive integer  $l_i$  such that

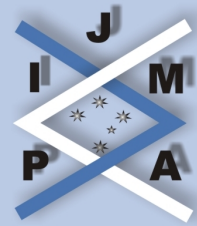
$$(3.8) \quad \begin{aligned} 0 &< -\log p_i^\alpha + \log \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} \\ &\leq l_i \\ &< -\log p_i^\alpha + \log \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} + 1. \end{aligned}$$

We will first show that the sequence  $l_1, l_2, \dots, l_n$ , thus defined satisfies (2.4). From (3.8), we have,

$$\begin{aligned} -\log p_i^\alpha + \log \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} &\leq l_i, \\ \frac{p_i^\alpha}{\frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta}} &\geq D^{-l_i}. \end{aligned}$$

Multiplying both sides by  $u_i^\beta p_i^{\beta-1}$  and summing over  $i = 1, 2, \dots, n$ , we get (2.4). The last inequality of (3.8) gives,

$$l_i < -\log p_i^\alpha + \log \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta} + 1$$



Title Page

Contents



Page 10 of 13

Go Back

Full Screen

Close

or

$$D^{l_i} < \left( \frac{p_i^\alpha}{\frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta}} \right)^{-1} D.$$

For  $0 < \alpha < 1$ , raising both sides to the power  $\frac{1-\alpha}{\alpha}$  we obtain,

$$D^{\frac{1-\alpha}{\alpha} l_i} < \left( \frac{p_i^\alpha}{\frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n u_i^\beta p_i^\beta}} \right)^{\frac{\alpha-1}{\alpha}} D^{\frac{1-\alpha}{\alpha}}.$$

Multiplying both sides by  $\frac{u_i^\beta p_i^\beta}{\sum_{i=1}^n u_i^\beta p_i^\beta}$  and summing over  $i = 1, 2, \dots, n$ , gives

$$\frac{\sum_{i=1}^n (u_i p_i)^\beta D^{\frac{1-\alpha}{\alpha} l_i}}{\sum_{i=1}^n (u_i p_i)^\beta} < \left( \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n (u_i p_i)^\beta} \right)^{\frac{1}{\alpha}} D^{\frac{1-\alpha}{\alpha}},$$

$$\left( \frac{\sum_{i=1}^n (u_i p_i)^\beta D^{\frac{1-\alpha}{\alpha} l_i}}{\sum_{i=1}^n (u_i p_i)^\beta} \right)^\alpha < \left( \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n (u_i p_i)^\beta} \right) D^{1-\alpha}.$$

Since  $2^{1-\alpha} - 1 > 0$  for  $0 < \alpha < 1$ , after suitable operations, we obtain

$$\frac{1}{2^{1-\alpha} - 1} \left[ \left( \frac{\sum_{i=1}^n (u_i p_i)^\beta D^{\frac{1-\alpha}{\alpha} l_i}}{\sum_{i=1}^n (u_i p_i)^\beta} \right)^\alpha - 1 \right]$$

$$< \frac{1}{2^{1-\alpha} - 1} \left[ \frac{\sum_{i=1}^n u_i^\beta p_i^{\alpha+\beta-1}}{\sum_{i=1}^n (u_i p_i)^\beta} - 1 \right] D^{1-\alpha} + \frac{D^{1-\alpha} - 1}{2^{1-\alpha} - 1}.$$

We can write

$$L_{\alpha}^{\beta}(U) < H_{\alpha}^{\beta}(P; U) D^{1-\alpha} + \frac{D^{1-\alpha} - 1}{2^{1-\alpha} - 1}.$$

As  $D \geq 2$ , we have  $\frac{D^{1-\alpha}-1}{2^{1-\alpha}-1} > 1$  from which it follows that the upper bound,  $L_{\alpha}^{\beta}(U)$  in (3.5), is greater than unity.

Also, for  $\alpha > 1$ , the proof follows similarly.  $\square$



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**Coding Theorems on  
Generalized Cost Measure**  
Rayees Ahmad Dar and  
M.A.K. Baig

vol. 9, iss. 1, art. 8, 2008

---

[Title Page](#)

[Contents](#)



Page 11 of 13

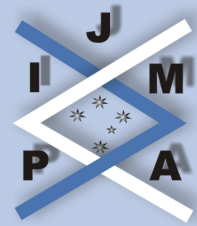
[Go Back](#)

[Full Screen](#)

[Close](#)

journal of **inequalities**  
in pure and applied  
mathematics

issn: 1443-5756



Title Page

Contents



Page 12 of 13

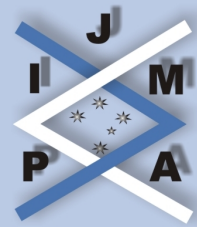
Go Back

Full Screen

Close

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---

Coding Theorms on  
Generalized Cost Measure  
Rayees Ahmad Dar and  
M.A.K. Baig  
vol. 9, iss. 1, art. 8, 2008

---

Title Page

Contents



Page 13 of 13

Go Back

Full Screen

Close

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mathematics

issn: 1443-5756