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ON AXIOMATIC CHARACTERIZATION OF ENTROPY OF TYPE $(\alpha, \beta)^*$)

INDER JEET TANEJA

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1. INTRODUCTION

Sharma and Taneja [6, 7] introduced and characterized entropy of type (α, β) given by

(1.1)
$$H_n(p_1, ..., p_n; \alpha, \beta) = (2^{1-\alpha} - 2^{1-\beta})^{-1} \sum_{i=1}^n (p_i^{\alpha} - p_i^{\beta}), \quad \alpha \neq \beta, \quad \alpha, \beta > 0,$$

for a complete probability distribution $P = (p_1, ..., p_n)$, $p_i \ge 0$, $\sum_{i=1}^n p_i = 1$ by generalizing a functional equation considered by Chaundy and McLeod [1].

The measure (1.1) satisfies a recursive relation as follows:

(1.2)
$$H_{n}(p_{1}, ..., p_{n}; \alpha, \beta) - H_{n-1}(p_{1} + p_{2}, p_{3}, ..., p_{n}; \alpha, \beta) =$$

$$= \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} (p_{1} + p_{2})^{\alpha} H_{2} \left(\frac{p_{1}}{p_{1} + p_{2}}, \frac{p_{2}}{p_{1} + p_{2}}; \alpha, 1 \right) +$$

$$+ \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} (p_{1} + p_{2})^{\beta} H_{2} \left(\frac{p_{1}}{p_{1} + p_{2}}, \frac{p_{2}}{p_{1} + p_{2}}; 1, \beta \right),$$

$$\alpha \neq \beta, \quad \alpha \neq 1, \quad \beta \neq 1, \quad \alpha, \beta > 0,$$

where
$$p_1 + p_2 > 0$$
, $A_{\alpha} = (2^{1-\alpha} - 1)$ and $A_{\beta} = (2^{1-\beta} - 1)$.

Measure (1.1) reduces to entropy of type β (or α) when $\alpha = 1$ (or $\beta = 1$) given by

(1.3)
$$H_n(p_1, ..., p_n; 1, \beta) = H_n(p_1, ..., p_n; \beta) = (2^{1-\beta} - 1)^{-1} \left[\sum_{i=1}^n p_i^{\beta} - 1 \right],$$

 $\beta \neq 1, \quad \beta > 0.$

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When $\beta \to 1$, measure (1.3) reduces to Shannon's entropy [4], viz.

(1.4)
$$H_n(p_1, ..., p_n) = -\sum_{i=1}^n p_i \log_2 p_i.$$

The measure (1.3) was characterized by many authors by different approaches. Havrda and Charvát [3] characterized (1.3) by an axiomatic approach. Vajda [11] characterized it by mean value considerations. Daróczy [2] studied (1.3) by a functional equation. A joint characterization of the measures (1.3) and (1.4) has been done by the author in two different ways. Firstly by a generalized functional equation having four different functions (cf. [8]) and secondly by an axiomatic approach (cf. [9]). Functional measures of type β have also been obtained by Sharma and the author [5].

In this communication, we characterize the measure (1.1) by taking certain axioms parallel to those considered earlier by Havrda and Charvát [3] along with the recursive relation (1.2). Some properties of this measure are also studied.

2. SET OF AXIOMS

For characterizing a measure of information of type (α, β) associated with a probability distribution $P = (p_1, ..., p_n)$, $p_i \ge 0$, $\sum_{i=1}^{n} p_i = 1$, we introduce the following axioms:

(I)
$$H_n(p_1, ..., p_n; \alpha, \beta)$$
 is continuous in the region $p_i \ge 0$, $\sum_{i=1}^n p_i = 1$, $\alpha, \beta > 0$;

(II)
$$H_2(1, 0; \alpha, \beta) = 0$$
; $H_2(\frac{1}{2}, \frac{1}{2}; \alpha, \beta) = 1$, $\alpha, \beta > 0$;

(III)
$$H_n(p_1, ..., p_{i-1}, 0, p_{i+1}, ..., p_n; \alpha, \beta) = H_{n-1}(p_1, ..., p_{i-1}, p_{i+1}, ..., p_n; \alpha, \beta)$$

for every $i = 1, 2, ..., n$;

(IV)
$$H_{n+1}(p_1, ..., p_{i-1}, v_{i_1}, v_{i_2}, p_{i+1}, ..., p_n; \alpha, \beta) - H_n(p_1, ..., p_{i-1}, p_i, p_{i+1}, ..., p_n; \alpha, \beta) =$$

$$= \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} p_i^{\alpha} H_2(v_{i_1}/p_i, v_{i_2}/p_i; \alpha, 1) + \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} p_i^{\beta} H_2(v_{i_1}/p_i, v_{i_2}/p_i; 1, \beta),$$

$$\alpha + \beta, \alpha, \beta > 0, \alpha + 1, \beta + 1,$$
for every $v_{i_1} + v_{i_2} = p_i > 0, i = 1, 2, ..., n$, where $A_{\alpha} = (2^{1-\alpha} - 1)^*$) and $A_{\beta} = (2^{1-\beta} - 1)^*$).

When $\alpha = 1$ (or $\beta = 1$), the axiom (IV) reduces to the axiom (iv) used by Havrda and Charvát [3] for characterizing the measure (1.3).

^{*)} Throughout this paper we shall adopt the notation A_{α} for $(2^{1-\alpha}-1)$ and A_{β} for $(2^{1-\beta}-1)$

Theorem 2.1. If $\alpha \neq \beta$, α , $\beta > 0$, then the axioms (I)-(IV) determine a measure given by

(2.1)
$$H_n(p_1, ..., p_n; \alpha, \beta) = (A_{\alpha} - A_{\beta})^{-1} \sum_{i=1}^n (p_i^{\alpha} - p_i^{\beta}),$$

where A_{α} and A_{β} are the functions of the parameters α and β respectively as defined above.

Before proving the theorem, we prove some intermediate results based on the above axioms:

Lemma 1. If
$$v_k \ge 0$$
, $k = 1, 2, ..., m$; $\sum_{k=1}^{m} v_k = p_i > 0$, then

(2.2)
$$H_{n+m-1}(p_1, ..., p_{i-1}, v_1, ..., v_m, p_{i+1}, ..., p_n; \alpha, \beta) =$$

$$= H_n(p_1, ..., p_n; \alpha, \beta) + \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} p_i^{\alpha} H_m(v_1/p_i, ..., v_m/p_i; \alpha, 1) +$$

$$+ \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} p_i^{\beta} H_m(v_1/p_i, ..., v_m/p_i; 1, \beta).$$

Proof. To prove the lemma, we proceed by induction. For m = 2, the desired statement holds (cf. axiom (IV)). Let us suppose the result is true for numbers less than or equal to m. We shall prove it for m + 1. We have

One more application of the induction premise yields

(2.4)
$$H_{m+1}(v_{1}/p_{i},...,v_{m+1}/p_{i};\alpha,\beta) = H_{2}(v_{1}/p_{i},L/p_{i};\alpha,\beta) + \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} (L/p_{i})^{\alpha} H_{m}(v_{2}/L,...,v_{m+1}/L;\alpha,1) + \frac{A_{\beta}}{A_{\alpha} - A_{\beta}} (L/p_{i})^{\beta} H_{m}(v_{2}/L,...,v_{m+1}/L;1,\beta).$$

For $\beta = 1$, (2.4) reduces to

(2.5)
$$H_{m+1}(v_1/p_i, ..., v_{m+1}/p_i; \alpha, 1) =$$

$$= H_2(v_1/p_i, L/p_i; \alpha, 1) + (L/p_i)^{\alpha} H_m(v_2/L, ..., v_{m+1}/L; \alpha, 1).$$

Similarly for $\alpha = 1$, (2.4) reduces to

(2.6)
$$H_{m+1}(v_1/p_i, ..., v_{m+1}/p_i; 1, \beta) =$$

$$= H_2(v_1/p_i, L/p_i; 1, \beta) + (L/p_i)^{\beta} H_m(v_2/L, ..., v_{m+1}/L; 1, \beta).$$

Expression (2.3) together with (2.5) and (2.6) gives the desired result.

Lemma 2. If $v_{ij} \ge 0$, $j = 1, 2, ..., m_i$, $\sum_{j=1}^{m_i} v_{ij} = p_i > 0$, i = 1, 2, ..., n, $\sum_{i=1}^{n} p_i = then$

(2.7)
$$H_{m_1 + ... + m_n}(v_{11}, v_{12}, ..., v_{1m_1} : ... : v_{n1}, v_{n2}, ..., v_{nm_n}; \alpha, \beta) =$$

$$= H_n(p_1, ..., p_n; \alpha, \beta) + \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} \sum_{i=1}^n p_i^{\alpha} H_{m_i}(v_{i1}/p_i, ..., v_{im_i}/p_i; \alpha, 1) +$$

$$+ \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} \sum_{i=1}^n p_i^{\beta} H_{m_i}(v_{i1}/p_i, ..., v_{im_i}/p_i; 1, \beta).$$

Proof of this lemma directly follows from Lemma 1.

Lemma 3. If $F(n; \alpha, \beta) = H_n(1/n, ..., 1/n; \alpha, \beta)$, then

(2.8)
$$F(n;\alpha,\beta) = \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} F(n;\alpha,1) + \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} F(n;1,\beta),$$

where

(2.9)
$$F(n; \alpha, 1) = A_{\alpha}^{-1}(n^{1-\alpha} - 1), \quad \alpha \neq 1,$$

$$and \quad F(n; 1, \beta) = A_{\beta}^{-1}(n^{1-\beta} - 1), \quad \beta \neq 1.$$

Proof. Replacing in Lemma 2 m_i by m and putting $v_{ij} = 1/mn$, i = 1, 2, ..., n; j = 1, 2, ..., m, where m and n are positive integers, we have

(2.10)
$$F(mn; \alpha, \beta) = F(m; \alpha, \beta) + \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} (1/m)^{\alpha - 1} F(n; \alpha, 1) + \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} (1/m)^{\beta - 1} F(n; 1, \beta),$$

(2.11)
$$F(mn; \alpha, \beta) = F(n; \alpha, \beta) + \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} (1/n)^{\alpha - 1} F(m; \alpha, 1) + \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} (1/n)^{\beta - 1} F(m; 1, \beta).$$

Putting m = 1 in (2.10) and using $F(1; \alpha, \beta) = 0$ (by axiom (II)), we get

$$F(n;\alpha,\beta) = \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} F(n;\alpha,1) + \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} F(n;1,\beta),$$

which is (2.8).

Comparing the right hand sides of (2.10) and (2.11), we get

$$(2.12) F(m; \alpha, \beta) + \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} (1/m)^{\alpha - 1} F(n; \alpha, 1) + \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} (1/m)^{\beta - 1} F(n; 1, \beta) =$$

$$= F(n; \alpha, \beta) + \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} (1/n)^{\alpha - 1} F(m; \alpha, 1) + \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} (1/n)^{\beta - 1} F(m; 1, \beta).$$

Equation (2.12) together with (2.8) gives

(2.13)
$$A_{\alpha}\{\left[1-(1/n)^{\alpha-1}\right]F(m;\alpha,1)+\left[(1/m)^{\alpha-1}-1\right]F(n;\alpha,1)\}=$$

$$=A_{\beta}\{\left[1-(1/n)^{\beta-1}\right]F(m;1,\beta)+\left[(1/m)^{\beta-1}-1\right]F(n;1,\beta)\}.$$

Put n = 2 in (2.13) and use $F(2; \alpha, \beta) = H_2(\frac{1}{2}, \frac{1}{2}; \alpha, \beta) = 1$ for all $\alpha, \beta > 0$. Then

$$A_{\alpha}\{(1-2^{1-\alpha})F(m;\alpha,1)-(1-(1/m)^{\alpha-1})\} =$$

$$= A_{\beta}\{(1-2^{1-\beta})F(m;1,\beta)-(1-(1/m)^{\beta-1})\} = C \quad (\text{say}),$$

i.e.,

$$A_{\alpha_1}^{\beta}(1-2^{1-\alpha})F(m;\alpha,1)-(1-(1/m)^{\alpha-1})\}=C$$

where C is an arbitrary constant.

For m = 1, we get C = 0.

Thus, we have

$$F(m; \alpha, 1) = \frac{1 - m^{1-\alpha}}{1 - 2^{1-\alpha}} = A_{\alpha}^{-1}(m^{1-\alpha} - 1), \quad \alpha \neq 1.$$

Similarly,

$$F(m; 1, \beta) = \frac{1 - m^{1-\beta}}{1 - 2^{1-\beta}} = A_{\beta}^{-1}(m^{1-\beta} - 1), \quad \beta \neq 1,$$

which is (2.9).

Now (2.8) together with (2.9) gives

(2.14)
$$F(n; \alpha, \beta) = \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} F(n; \alpha, 1) + \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} F(n; 1, \beta) =$$
$$= (A_{\alpha} - A_{\beta})^{-1} (n^{1-\alpha} - n^{1-\beta}).$$

Proof of the theorem. We prove the theorem for rationals and then the continuity axiom (I) extends the result for reals. For this, let m and r_i 's be positive integers such that $\sum_{i=1}^{n} r_i = m$ and if we put $p_i = r_i / m$, i = 1, 2, ..., n then an application of Lemma 2 gives

(2.15)
$$H_{m}(\underbrace{1/m, ..., 1/m}_{r_{1}}, ..., \underbrace{1/m, ..., 1/m}_{r_{n}}; \alpha, \beta) =$$

$$= H_{n}(p_{1}, ..., p_{n}; \alpha, \beta) + \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} \sum_{i=1}^{n} p_{i}^{\alpha} H_{r_{i}}(1/r_{i}, ..., 1/r_{i}; \alpha, 1) +$$

$$+ \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} \sum_{i=1}^{n} p_{i}^{\beta} H_{r_{i}}(1/r_{i}, ..., 1/r_{i}; 1, \beta),$$

i.e.,

$$H_{n}(p_{1},...,p_{n};\alpha,\beta) = F(m;\alpha,\beta) - \frac{A_{\alpha}}{A_{\alpha} - A_{\beta}} \sum_{i=1}^{n} p_{i}^{\alpha} F(r_{i};\alpha,1) - \frac{A_{\beta}}{A_{\beta} - A_{\alpha}} \sum_{i=1}^{n} p_{i}^{\beta} F(r_{i};1,\beta).$$

Equation (2.15) together with (2.9) and (2.14) gives

$$H_n(p_1,\ldots,p_n;\alpha,\beta)=(A_\alpha-A_\beta)^{-1}\sum_{i=1}^n(p_i^\alpha-p_i^\beta), \quad \alpha \neq \beta, \quad \alpha,\beta>0,$$

which is (2.1).

This completes the proof of the theorem.

3. PROPERTIES OF ENTROPY OF TYPE (α, β)

The measure $H_n(P; \alpha, \beta)$, where $P = (p_1, ..., p_n)$, $p_i \ge 0$, $\sum_{i=1}^n p_i = 1$ is a probability distribution, as characterized in the preceding section, satisfies certain properties, which are given in the following theorems:

Theorem 3.1. The measure $H_n(P; \alpha, \beta)$ is non-negative for $\alpha, \beta > 0$.

Definition. We shall use the following definition of a convex function.

A function $f(\cdot)$ over the points in a convex set R is convex \cap if for all $r_1, r_2 \in R$ and $\mu \in (0, 1)$

(3.1)
$$\mu f(r_1) + (1 - \mu) f(r_2) \leq f(\mu r_1 + (1 - \mu) r_2).$$

The function f is convex \bigcup if (3.1) holds with \geq in place of \leq .

Theorem 3.2. The measure $H_n(P; \alpha, \beta)$ is convex \bigcap function of the probability distribution $P = (p_1, ..., p_n)$, $p_i \ge 0$, $\sum_{i=1}^n p_i = 1$, when one of the parameters α and β (>0) is greater than unity and the other is less than or equal to unity, i.e., either $\alpha > 1$, $0 < \beta \le 1$ or $\beta > 1$, $0 < \alpha \le 1$.

Proof. Let there be r distributions

(3.2)
$$P_k(X) = \{p_k(x_1), ..., p_k(x_n)\}, \sum_{i=1}^n p_k(x_i) = 1, k = 1, 2, ..., r,$$

associated with the random variable $X = (x_1, ..., x_n)$.

Consider r numbers $(a_1, ..., a_r)$ such that $a_k \ge 0$ and $\sum_{k=1}^r a_k = 1$ and define

$$P_0(X) = \{p_0(x_1), \ldots, p_0(x_n)\},\$$

where

(3.3)
$$p_0(x_i) = \sum_{k=1}^r a_k p_k(x_i), \quad i = 1, 2, ..., n.$$

Obviously $\sum_{i=1}^{n} p_0(x_i) = 1$ and thus $P_0(X)$ is a bonafide distribution of X.

Let $\alpha > 1$, $0 < \beta \le 1$, then we have

(3.4)
$$\sum_{k=1}^{r} a_{k} H_{n}(P_{k}; \alpha, \beta) - H_{n}(P_{0}; \alpha, \beta) =$$

$$= \sum_{k=1}^{r} a_{k} H_{n}(P_{k}; \alpha, \beta) - (A_{\alpha} - A_{\beta})^{-1} \left\{ \left[\sum_{j=1}^{r} a_{j} p_{j} \right]^{\alpha} - \left[\sum_{j=1}^{r} a_{j} p_{j} \right]^{\beta} \right\} \leq$$

$$\leq \sum_{k=1}^{r} a_{k} H_{n}(P_{k}; \alpha, \beta) - (A_{\alpha} - A_{\beta})^{-1} \left\{ \sum_{j=1}^{r} a_{j} p_{j}^{\alpha} - \sum_{j=1}^{r} a_{j} p_{j}^{\beta} \right\} = 0$$
for $\alpha > 1$, $0 < \beta \leq 1$,

i.e.,

$$\sum_{k=1}^{r} a_k H_n(P_k; \alpha, \beta) \le H_n(P_0; \alpha, \beta) \quad \text{for} \quad \alpha > 1, \quad 0 < \beta \le 1.$$

By symmetry in α and β , the above result is also true for $\beta > 1$, $0 < \alpha \le 1$.

Theorem 3.3. The measure $H_n(P; \alpha, \beta)$ satisfies the following relations:

(i) (Generalized-Additive):

(3.5)
$$H_{nm}(P*Q; \alpha, \beta) = G_n(P; \alpha, \beta) H_m(Q; \alpha, \beta) + G_m(Q; \alpha, \beta) H_n(P; \alpha, \beta),$$
$$\alpha, \beta > 0.$$

where

(3.6)
$$G_n(P; \alpha, \beta) = \frac{1}{2} \sum_{i=1}^{n} (p_i^{\alpha} + p_i^{\beta}), \quad \alpha, \beta > 0.$$

(ii) (Sub-Additive): For $\alpha, \beta > 1$, the measure $H_n(P; \alpha, \beta)$ is sub-additive, i.e.,

$$(3.7) H_{nm}(P * Q; \alpha, \beta) \leq H_n(P; \alpha, \beta) + H_m(Q; \alpha, \beta),$$

where $P = (p_1, ..., p_n)$, $Q = (q_1, ..., q_m)$ and $P * Q = (p_1q_1, ..., p_1q_m; ...; p_nq_1, ..., p_nq_m)$, are complete probability distributions.

Proof. (i) We have

(3.8)
$$H_{nm}(P * Q; \alpha, \beta) = (A_{\alpha} - A_{\beta})^{-1} \sum_{i=1}^{n} \sum_{j=1}^{m} [(p_{i}q_{j})^{\alpha} - (p_{i}q_{j})^{\beta}] =$$

$$= (A_{\alpha} - A_{\beta})^{-1} \sum_{i=1}^{n} \sum_{j=1}^{m} [(p_{i}q_{j})^{\alpha} - (p_{i}q_{j})^{\beta} + p_{i}^{\beta}q_{j}^{\alpha} - p_{i}^{\alpha}q_{j}^{\beta}] =$$

$$= (A_{\alpha} - A_{\beta})^{-1} \left[\sum_{i=1}^{n} p_{i}^{\alpha} \sum_{j=1}^{m} (q_{j}^{\alpha} + q_{j}^{\beta}) - \sum_{j=1}^{n} q_{j}^{\beta} \sum_{i=1}^{n} (p_{i}^{\alpha} + p_{i}^{\beta}) \right].$$

Similarly, we can write

(3.9)
$$H_{nm}(P * Q; \alpha, \beta) = (A_{\alpha} - A_{\beta})^{-1} \left[\sum_{j=1}^{m} \alpha_{j}^{\alpha} \sum_{i=1}^{n} (p_{i}^{\alpha} + p_{i}^{\beta}) - \sum_{i=1}^{n} p_{i}^{\beta} \sum_{j=1}^{m} (q_{j}^{\alpha} + q_{j}^{\beta}) \right]$$

(ii) As $G_n(P; \alpha, \beta) = \frac{1}{2} \sum_{i=1}^n (p_i^{\alpha} + p_i^{\beta}) \le 1$ for $\alpha, \beta \ge 1$, the relation (3.5) gives the sub-additivity (3.7).

The results of this section show that the measure is suitable for applications, meeting at least partially the demand of the information theory for sub-additive measures.

Some other properties of this measure which make it a good measure of information have been mentioned in [7, 10].

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Souhrn

AXIOMATICKÁ CHARAKTERIZACE ENTROPIE TYPU (α, β)

INDER JEET TANEJA

V článku je charakterizována entropie typu (α, β) s použitím axiomatického přístupu. Jako speciální případ je zahrnuta míra typu β , kterou již dříve studovali mnozí autoři. Sharma a Taneja ji vyšetřovali pomocí zobecnění jisté funkcionální rovnice, kterou se předtím zabývali Chaundy a McLeod. V článku se vyšetřují některé vlastnosti této míry.

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