

# A Crash Course on Data Compression

## 2. Integer Codes

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# Overview

- Binary and Unary
- Gamma and Delta
- Golomb-Rice
- Exponential Golomb
- Fibonacci
- Variable-Byte
- Effectiveness, Information content, Entropy, Kraft-McMillan inequality

# The *Static* Integer Coding Problem

- **Problem.** We are given an integer  $x > 0$ , and we have to design an algorithm — a *code* — that represents  $x$  in *as few as possible bits*.
- **Codeword.** The bit-string representing  $x$  according to the chosen code is called the *codeword* of  $x$ , and indicated with  $C(x)$ .
- A message  $L = [x_1, \dots, x_n]$  consisting of  $n$  integers will be coded as the concatenation of the codewords assigned to  $x_1, \dots, x_n$ , i.e.,  $C(x_1) \cdots C(x_n)$ .
- **Static codes.** The codes we study in this module are called *static* because they always assign the same codeword  $C(x)$  to the integer  $x$ , *regardless* the message  $L$  to be coded.

# Binary

- **Binary string of fixed length.** We indicate with  $\text{bin}(x, k)$  the representation of  $0 \leq x < 2^k$  using  $k$  bits.  
If we just write  $\text{bin}(x)$ , we assume  $k$  is equal to  $\lceil \log_2(x + 1) \rceil$  which is the *minimum number of bits necessary to represent  $x$* .
- **Binary codewords.** Since we assume  $x > 0$ , we say that  $B(x) = \text{bin}(x - 1)$  is the codeword assigned to  $x$  by the binary code.
- **Lower bound.** The size of any codeword  $C(x)$ , for  $x > 0$ , is:  
 $|C(x)| \geq \lceil \log_2(x) \rceil = |\text{bin}(x - 1)| = |B(x)|.$

$x$	$B(x)$
1	$\emptyset$
2	1
3	10
4	11
5	100
6	101
7	110
8	111

# A First Attempt

- **Idea.** Since  $|C(x)| > |B(x)|$  for any code  $C$ , given a message  $L = [x_1, \dots, x_n]$ , let's encode  $L$  as  $B(x_1) \cdots B(x_n)$ .

Example.  $L = [3, 5, 2, 6, 12, 8] \rightarrow 10.100.1.101.1011.111$

$x$	$B(x)$
1	$\emptyset$
2	1
3	10
4	11
5	100
6	101
7	110
8	111

# A First Attempt

- **Idea.** Since  $|C(x)| > |B(x)|$  for any code  $C$ , given a message  $L = [x_1, \dots, x_n]$ , let's encode  $L$  as  $B(x_1) \cdots B(x_n)$ .

Example.  $L = [3, 5, 2, 6, 12, 8] \rightarrow 10.100.1.101.1011.111$

- Ok, now that we have the message coded as 1010011011011111, we want to decode it — get  $L = [3, 5, 2, 6, 12, 8]$  back.
- **Q.** How?

$x$	$B(x)$
1	0
2	1
3	10
4	11
5	100
6	101
7	110
8	111

# A First Attempt (Failed)

- **Idea.** Since  $|C(x)| > |B(x)|$  for any code  $C$ , given a message  $L = [x_1, \dots, x_n]$ , let's encode  $L$  as  $B(x_1) \cdots B(x_n)$ .

Example.  $L = [3, 5, 2, 6, 12, 8] \rightarrow 10.100.1.101.1011.111$

- Ok, now that we have the message coded as 1010011011011111, we want to decode it — get  $L = [3, 5, 2, 6, 12, 8]$  back.
- **Q.** How?
  - **A.** Many possibly ways of decoding the message!  
Our code is *ambiguous*.

$x$	$B(x)$
1	0
2	1
3	10
4	11
5	100
6	101
7	110
8	111

# Unique Decodability

- **Fact.** If no codeword is *prefix* of another one, we can decode without ambiguity.
- **Prefix-free code.** A code  $C$  is said to be prefix-free when: there are no  $C(x)$  and  $C(y)$ , with  $C(y) \geq C(x)$ , for which  $C(x) = C(y)[1 : |C(x)|]$ .
- We are only interested in prefix-free codes.

$x$	$B(x)$
1	0
2	1
3	10
4	11
5	100
6	101
7	110
8	111

The binary code is not prefix-free.

$x$	$C(x)$
1	00
2	01
3	100
4	101
5	1100
6	1101
7	11100
8	11101

An example prefix-free code.



# Unary

- **Idea.** Use the bit 1 for data; the bit 0 as a reserved symbol to delimit the codewords.
- Represent  $x > 0$  as  $U(x) = 1^{x-1}0$ , i.e., a run of  $(x - 1)$  1s plus a final 0. Therefore,  $|U(x)| = x$ .

$x$	$U(x)$
1	0
2	10
3	110
4	1110
5	11110
6	111110
7	1111110
8	11111110

# Unary

- **Idea.** Use the bit 1 for data; the bit 0 as a reserved symbol to delimit the codewords.
- Represent  $x > 0$  as  $U(x) = 1^{x-1}0$ , i.e., a run of  $(x - 1)$  1s plus a final 0. Therefore,  $|U(x)| = x$ .
- The code is only good for (very) small integers.

## Example 1.

$$L = [3,5,2,6,12,8] \rightarrow 110.11110.10.111110.111111111110.111111110$$

Example 2.  $U(234) =$

[illegible]

234 bits for a single integer!

$x$	$U(x)$
1	$\emptyset$
2	$1\emptyset$
3	$11\emptyset$
4	$111\emptyset$
5	$1111\emptyset$
6	$11111\emptyset$
7	$111111\emptyset$
8	$1111111\emptyset$

# Gamma and Delta

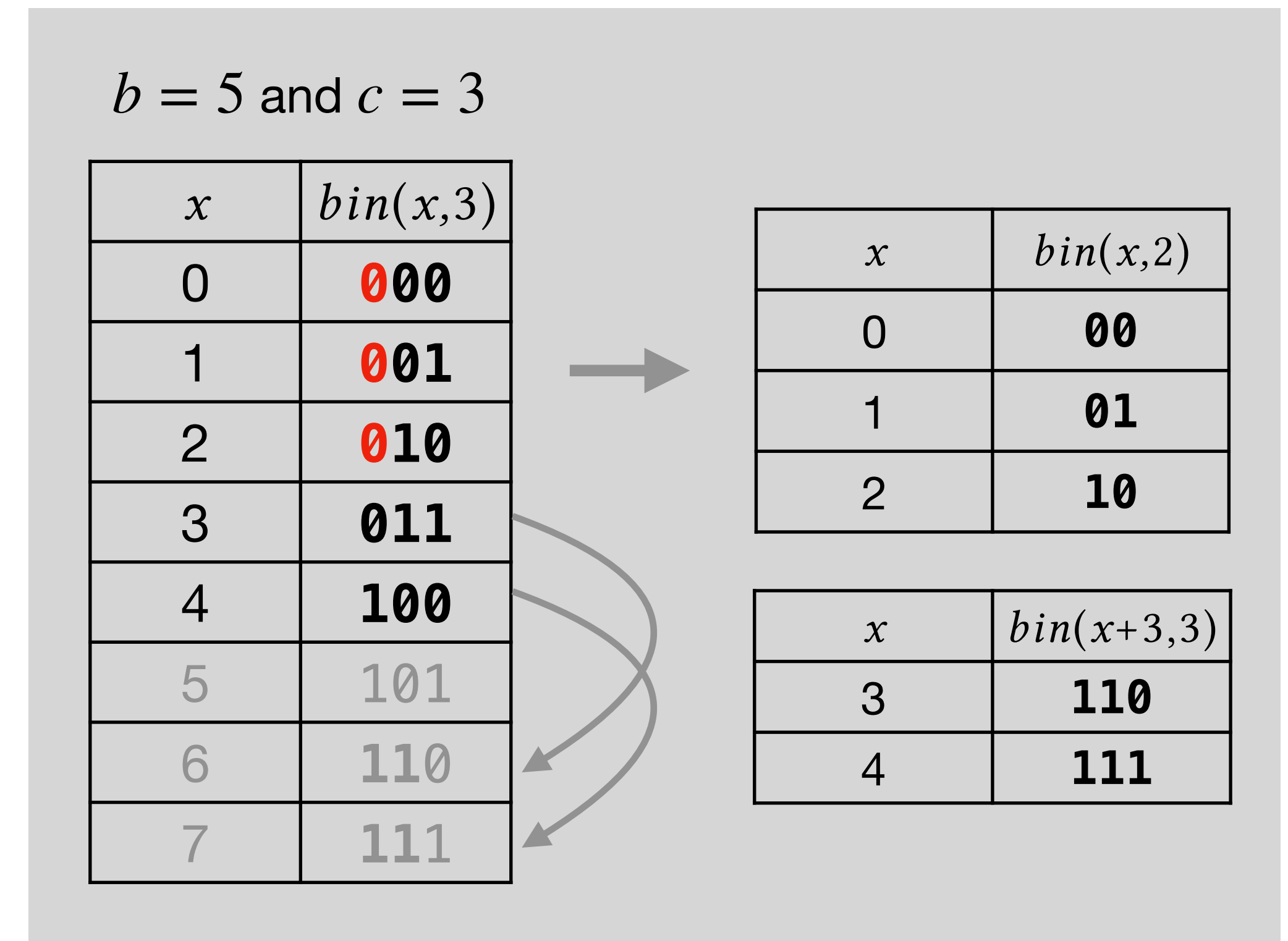
Elias, 1975

- **Idea.** Before writing  $\text{bin}(x)$ , specify how many bits we have in  $\text{bin}(x)$ .
- **Gamma.** Write  $b = |\text{bin}(x)|$  using Unary, followed by the  $b - 1$  least significant bits of  $\text{bin}(x)$ .  
We have  $|\gamma(x)| = 2|\text{bin}(x)| - 1$  bits, roughly a factor of 2 away from the optimum.
- **Q.** Why the  $b - 1$  least significant bits of  $x$  and not  $b$ ?  
**A.** Because the integers that have a minimum binary length of  $b$  bits are those in the range  $[2^{b-1}, 2^b - 1]$  for which the most significant bit is always 1, so it is redundant.
- **Delta.** Replace the Unary part of Gamma,  $U(b)$ , with  $\gamma(b)$  because  $U(b)$  can be very large for big integers.  
We have  $|\delta(x)| = |\gamma(|\text{bin}(x)|)| + |\text{bin}(x)| - 1$  bits, roughly a factor of  $(1 + o(1))$  away from the optimum.

$x$	$\gamma(x)$	$\delta(x)$
1	0.	0.
2	10.0	100.0
3	10.1	100.1
4	110.00	101.00
5	110.01	101.01
6	110.10	101.10
7	110.11	101.11
8	1110.000	11000.000

# Minimal Binary

- Suppose we have to assign binary codewords to all the integers  $x \in [0, b)$  where  $b \leq 2^c$ , for some  $c \geq 0$ . (We can assume  $c = \lceil \log_2 b \rceil$ .)
- Then  $2^c - b$  codewords can be made 1 bit *shorter* without losing unique decodability, using the following “remapping” trick.
- If  $x < 2^c - b$ , then assign codeword  $\text{bin}(x, c - 1)$ . Otherwise, assign codeword  $\text{bin}(x + 2^c - b, c)$ .
- Decoding is simple. Always read  $c - 1$  bits as the quantity  $x$ : if  $x < 2^c - b$ , then return  $x$ ; otherwise fetch another bit  $y$  and return  $x' = ((x \ll 1) \mid y) - (2^c - b)$ .



# Golomb-Rice

Golomb, 1966 — Rice, 1971

- **Idea.** Reduce the magnitude of  $x$  by division.
- The Golomb code makes use of an integer parameter  $b > 1$ .
- $G_b(x)$  consists in coding the quotient  $q = \lfloor (x - 1)/b \rfloor$  and the remainder  $r = x - q \cdot b - 1$ .
- The quantity  $q + 1$  is coded in Unary;  $r$  is coded as  $\text{bin}(r, \lceil \log_2 b \rceil)$ . (Or in Minimal Binary in the interval  $[0, b)$ .)
- The Rice code is a Golomb code for which  $b = 2^k$  for some  $k > 0$ .  
(Better decoding speed when  $b$  is a power of 2.)

$x$	$G_2(x)$
1	0.0
2	0.1
3	10.0
4	10.1
5	110.0
6	110.1
7	1110.0
8	1110.1

# Exponential Golomb

Teuhola, 1978

- **Idea.** Use many Golomb codes with different parameters  $b$ .
- Define a vector of “buckets”:

$$B = \left[ 0, 2^k, \sum_{i=0}^1 2^{k+i}, \sum_{i=0}^2 2^{k+i}, \sum_{i=0}^3 2^{k+i}, \dots \right], \text{ for some } k \geq 0.$$

- Encode an integer  $x$  as the index of bucket where it belongs to, plus an offset relative to the bucket.
- The index is an integer  $h \geq 1$  such that  $B[h] < x \leq B[h + 1]$  and is coded in Unary, whereas the offset is the quantity  $x - B[h] - 1$  and coded as  $\text{bin}(x - B[h] - 1, \log_2(B[h + 1] - B[h]))$ .

$x$	$G_2(x)$	$\text{Exp}G_2(x)$
1	0.0	0.00
2	0.1	0.01
3	10.0	0.10
4	10.1	0.11
5	110.0	10.000
6	110.1	10.001
7	1110.0	10.010
8	1110.1	10.011



# Fibonacci

Fraenkel and Klein, 1985 — Apostolico and Fraenkel, 1987

- **Idea.** Use the Zeckendorf's theorem.
- **Zeckendorf's theorem.** *Every positive integer can be represented as the sum of some, non consecutive, Fibonacci numbers.*
- Let  $F_i = F_{i-1} + F_{i-2}$  be the  $i$ -th Fibonacci number for  $i > 2$ , with  $F_1 = 1$  and  $F_2 = 2$ .  
We logically define a vector  $F = [F_1, F_2, F_3, \dots] = [1, 2, 3, 5, 8, 13, \dots]$ .
- If  $x = F[i_1] + F[i_2] + \dots + F[i_n]$ , with  $i_1 < i_2 < \dots < i_n$ , then the codeword for  $x$  is  $(i_n + 1)$ -bit long and is:

$$\begin{array}{ccccccc} 0 & \dots & 0 & \mathbf{1} & 0 & \dots & 0 & \mathbf{1} & 0 & \dots & 0 & \mathbf{1} & \mathbf{1} \\ & & i_1 & & i_2 & & & & i_n & & & & \end{array}$$

$x$	$F(x)$						
1	1	1					
2	0	1	1				
3	0	0	1	1			
4	1	0	1	1			
5	0	0	0	1	1		
6	1	0	0	1	1		
7	0	1	0	1	1		
8	0	0	0	0	1	1	
$F_i$	1	2	3	5	8	13	

# Variable-Byte

Thiel and Heaps, 1972

- **Idea.** Codewords are *byte-aligned* rather than bit-aligned.
- Byte-aligned codewords are useful in practice because the computer memory is allocated in chunks of bytes, not bits. Thus, working with byte-aligned codewords favours implementation simplicity and encoding/decoding speed (e.g., Single-Instruction-Multiple-Data, SIMD) — instead of compression effectiveness.
- In Variable-Byte, the binary representation of  $x$  is split in a suitable number of bytes: for each byte, 7 bits are allocated for the representation of  $x$  itself (*data* bits), and 1 bit (the *control* bit) is used to signal continuation/end of the stream of bytes.
- Variable-Byte is only effective for large integers.
- A simple variant using 4-bit payloads (3 data bits, 1 control bit) is called *nibble* coding.

Example for  $x = 67822$ ,  $\text{bin}(67822, 17) = 10000100011101110$ .

(1)	100.	0010001.	1101110
(2)	xxxxx100.	x0010001.	x1101110
(3)	00000100.	10010001.	11101110

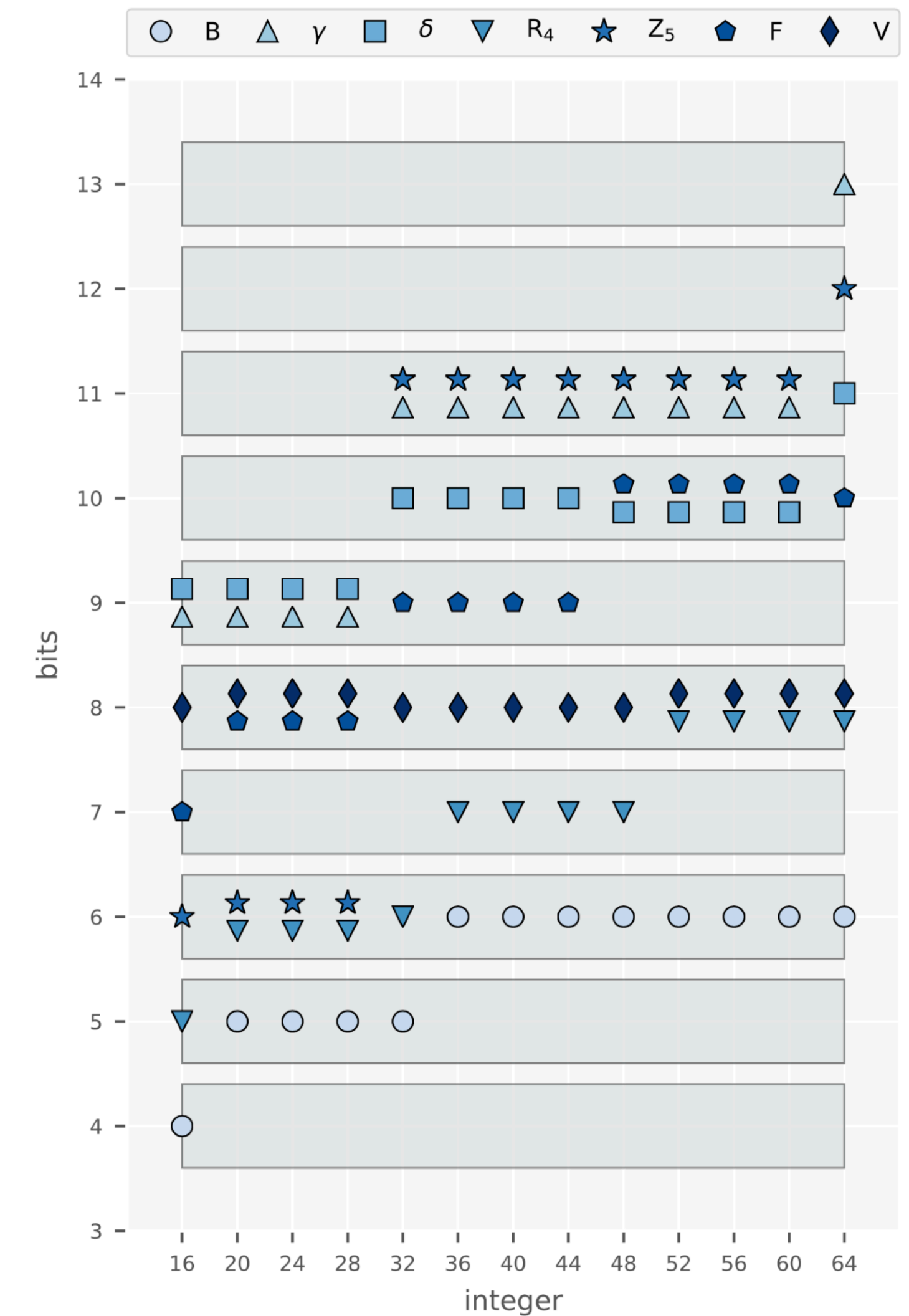
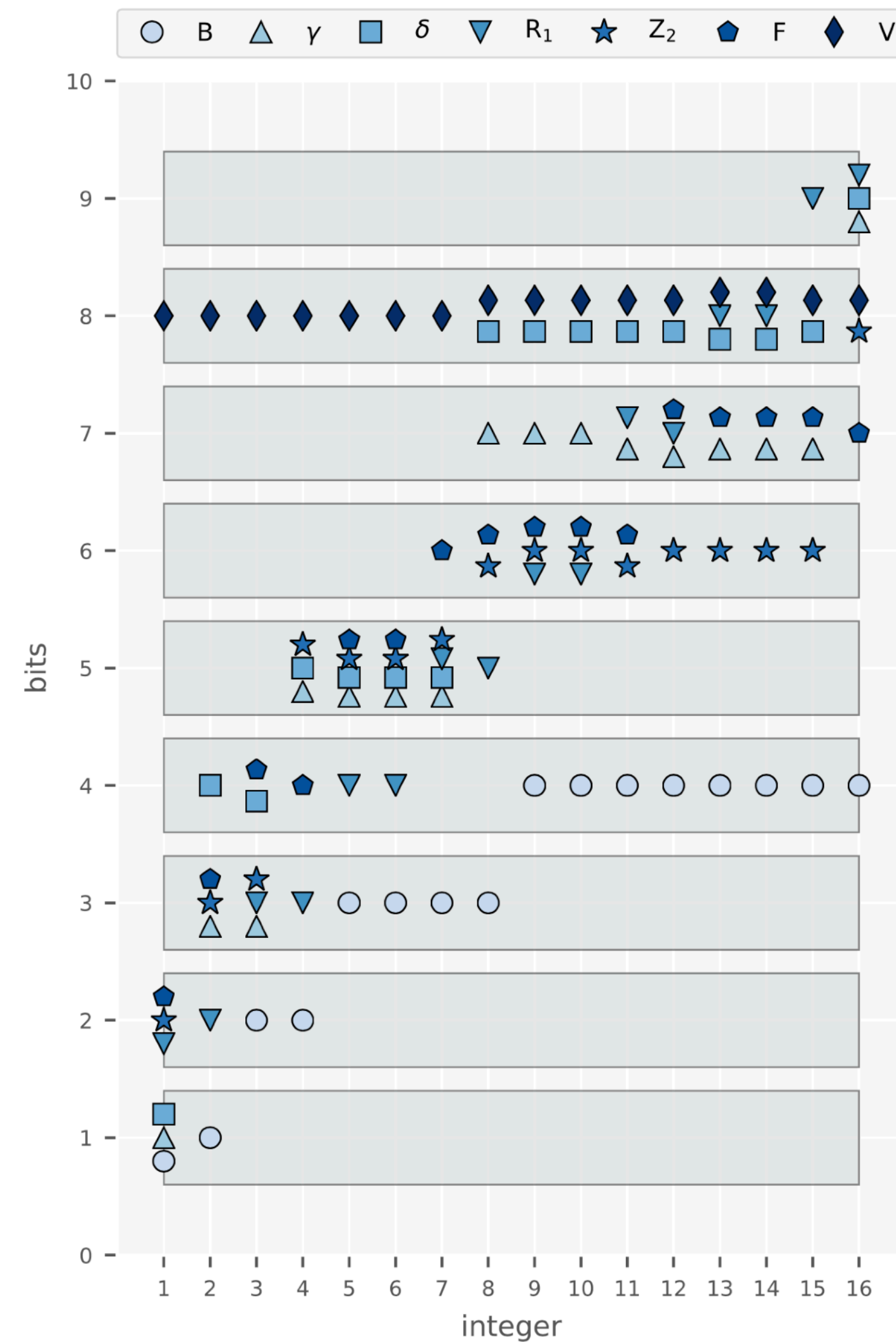


# Effectiveness

## Legend.

- B: binary code (lower bound)
- $\gamma$ ,  $\delta$ : Gamma and Delta codes
- $R_1$ : Rice code with  $k = 1$
- $Z_2$ : Zeta code (a variation of the Exponential Golomb code) with parameter  $k = 2$
- F: Fibonacci-based code
- V: Variable-Byte

Q. Which code should I use?



# Information Content

- **Intuition.** The effectiveness of a code depends on *how the integers are distributed* in the message  $L$  to be coded.
- Therefore, we are interested in knowing — or, at least, *estimating* —  $P(x)$ , the probability of occurrence of  $x$  in  $L$ .

Example 1: If the probability of small integers is very high, then the unary code is good. For example,  $P(1) = 0.9$ ,  $P(2) = 0.08$ , and  $P(x > 2) = 1 - 0.9 - 0.08 = 0.02$ .

Example 2: if  $P(x) \approx 1/2^k \ \forall x$ , for some  $k$ , then  $\text{bin}(x, k)$  is optimal.

# Information Content

- **Intuition.** If  $P(x)$  is high, then  $x$  is very frequent in  $L$ , and it should receive a short codeword  $C(x)$  — this is the so-called “golden rule” of data compression.
- So it appears that the *information content* of  $x$  is related to the its probability  $P(x)$ .
- **Information content.** The *information content*  $I(x)$ , or *self-information*, of  $x$  is defined as  $\log_2(1/P(x))$  and is measured in bits.  
The *higher*  $P(x)$ , the *lower* the information content of  $x$  and vice versa.

# Entropy

Shannon, 1949

- Given that the symbol  $x$  has information content  $I(x)$ , an *optimal code*  $T$  should assign a codeword  $C(x)$  such that  $|C(x)| = I(x) = \log_2(1/P(x))$  bits.
- **Entropy.** Therefore, we can say that:

$$H(P) = \sum_x P(x)I(x) = \sum_x P(x)\log_2\left(\frac{1}{P(x)}\right) \text{ bits}$$

is the *expected codeword length* for an optimal code  $T$  according to the distribution  $P$ .

Shannon called this quantity the *entropy of the distribution*  $P$  and it gives us a *lower bound* on the number of bits required by  $C(x)$  for any code  $T$ .

# Entropy — Example

- **Entropy.**  $H(P) = \sum_x P(x) \log_2(1/P(x))$  bits.
- Given a message  $L[1..n]$ , then  $P(x)$  can be estimated as  $w(x)/n$  where  $w(x)$  is the number of occurrences (the *weight*) of  $x$  in  $L$ .  
( $P(x) \approx w(x)/n$  is sometimes called the *self-probability* of  $x$ ).
- Example for  $L[1..16] = [1,3,1,1,1,5,2,1,7,3,1,2,1,1,1,1]$ .  
We have  $P(1) \approx 10/16$ ,  $P(2) = P(3) \approx 2/16$ , and  $P(5) = P(7) \approx 1/16$ .  
Then  $H(P) = 2 \cdot 1/16 \cdot \log_2(16) + 2 \cdot 2/16 \cdot \log_2(16/2) + 10/16 \cdot \log_2(16/10) \approx 1.674$  bits.  
The whole message  $L$  requires, at least,  $16 \cdot 1.674 = 26.784$  bits.
- For the example code on the right, the cost of the coded message is:  
 $10 \cdot |C(1)| + 2 \cdot |C(2)| + 2 \cdot |C(3)| + |C(5)| + |C(7)| =$   
 $10 \cdot 1 + 2 \cdot 2 + 2 \cdot 3 + 4 + 4 = 28$  bits, and the average codeword length is  $28/16 = 1.75$  bits.

$x$	$C(x)$
1	0
2	10
3	110
5	1110
7	1111

En example code

# Distributions

- Since it must be  $|C(x)| = I(x) = \log_2(1/P(x))$  for a code to be optimal, we can invert the relation to find the distribution  $P(x)$  for which the code is optimal, as  $P(x) = 2^{-|C(x)|}$ .

Some examples.

Unary:  $P(x) = 1/2^x$

Binary:  $P(x) = 1/U$ , if each  $x$  is less than  $U$  and coded in  $\lceil \log_2 U \rceil$  bits

Gamma:  $P(x) \approx 1/(2x^2)$

Delta:  $P(x) \approx 1/(2x(\log_2 x)^2)$

Fibonacci:  $P(x) = 1/(2x^{1/\log_2 \phi}) \approx 1/(2x^{1.44})$ , where  $\phi = (1 + \sqrt{5})/2$  is the so-called *golden ratio*

Variable-Byte:  $P(x) \approx \sqrt[7]{1/x^8}$



# Zero- and Minimum-Redundancy Code

- **Zero-redundancy code.** If a code assigns codeword  $C(x)$  such that  $|C(x)| = I(x)$  bits for all  $x$ , then the code is optimal (in Shannon's sense) and is said to be a *zero-redundancy* code.
- But almost never  $I(x)$  is not a whole number...

In the previous example for  $L = [1,3,1,1,1,5,2,1,7,3,1,2,1,1,1,1]$ , we had  $\log_2(16/10) = 0.678$ , but we cannot assign a codeword that is shorter than 1 bit!

- **Minimum-redundancy code.** Therefore, while zero-redundancy codes are impossible to achieve, we can compute a *minimum-redundancy* code that tries to minimise the overhead compared to the zero-redundancy code.  
(More about this in Module 4.)

# Kraft-McMillan Inequality

Kraft, 1949 — McMillan, 1956

- **Q.** How short can codewords be so that the code can be prefix-free, thus, uniquely-decodable?
- We require every codeword length to be a whole number.
- If  $P(x_i) = 1/2^{k_i}$  for some integer  $k_i \geq 0$ , then  $I(x_i) = \log_2(1/(1/2^{k_i})) = k_i$  is a whole number and is the codeword length of  $x_i$ ,  $|C(x_i)|$ .
- Since  $P$  is a distribution, it must hold:

$$\sum_{x_i} P(x_i) = \sum_{x_i} 2^{-k_i} = 1.$$

- Kraft noted that in such situations, it is possible to find a *prefix-free* code with codeword lengths equal to  $k_i$ .

$x$	$C(x)$
1	0
2	10
3	110
5	1110
7	1111

For this example, the sum is  
 $1/2 + 1/4 + 1/8 + 2 \cdot 1/16 = 1$ .



# Kraft-McMillan Inequality

Kraft, 1949 — McMillan, 1956

- **Kraft-McMillan inequality.** Then it can be derived that

$$K = \sum_{x_i} P(x_i) = \sum_{x_i} 2^{-|C(x_i)|} \leq 1$$

must hold for the prefix-free code to exist. In other words, we say that  $|C(x_i)|$  is a *valid* assignment of codeword lengths.

1.  $K < 1$ : the code is valid but *not* optimal (at least one codeword can be shortened);
  2.  $K = 1$ : the code is valid *and* optimal (no codeword can be shortened);
  3.  $K > 1$ : the code is invalid (at least one codeword is shorter than what it should be).
- McMillan further observed that all is needed to specify a code is a *set of codeword lengths*: after provision is made for a set of codeword lengths satisfying the Kraft-McMillan inequality, then it is easy to assign prefix-free codewords and the specific codewords are *irrelevant*. (More about this in Module 4.)
  - However, some assignments should be preferred over others to allow better encoding/decoding speed.

$x$	$C(x)$
1	0
2	10
3	110
5	1110
7	1111

Prefix-free and *lexicographic* codewords

$x$	$C(x)$
1	1
2	00
3	011
5	0101
7	0100

Other prefix-free but *non-lexicographic* codewords

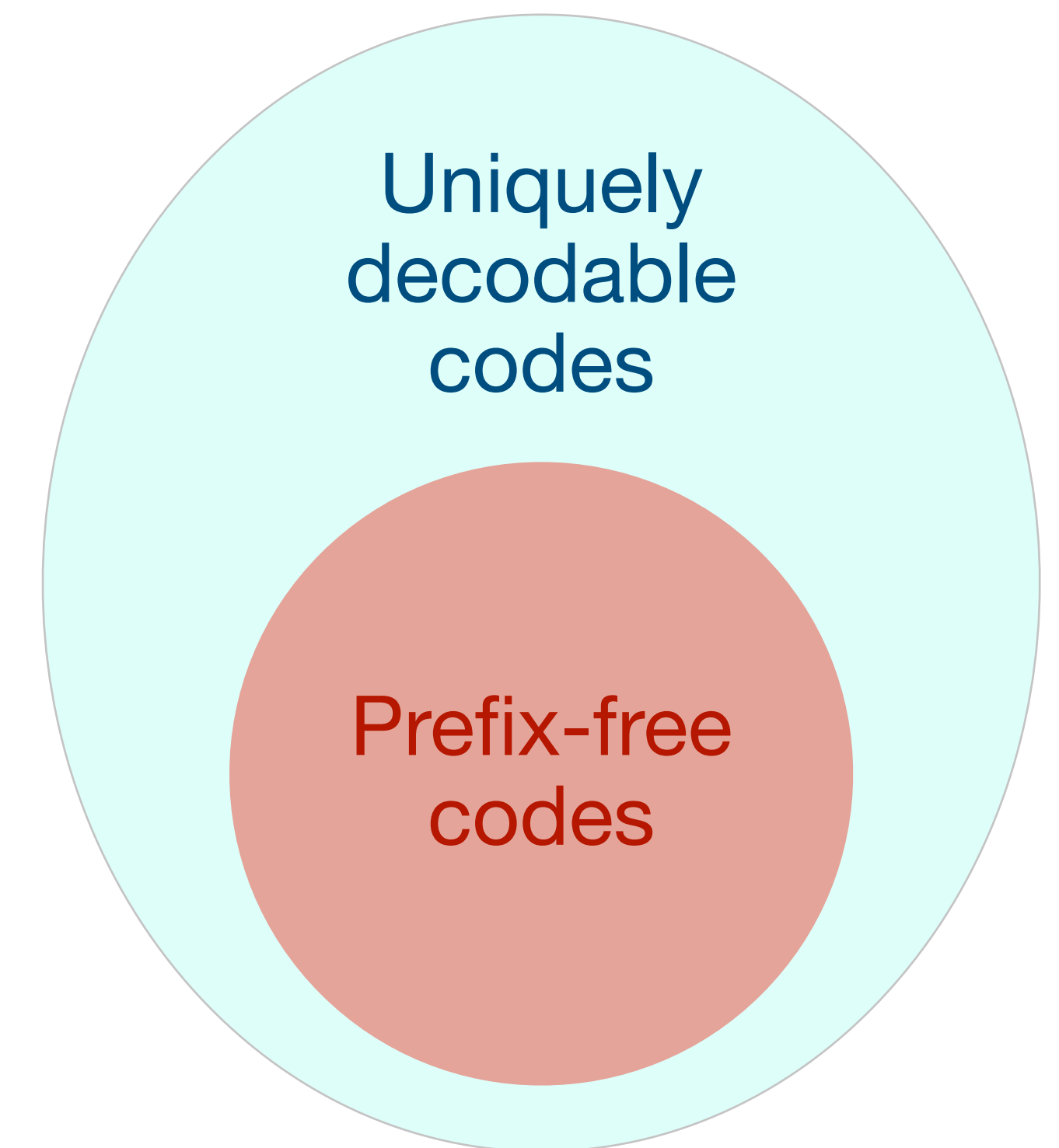
# Kraft-McMillan Inequality

Kraft, 1949 — McMillan, 1956

- **Statement.** Given the source symbols set  $\mathcal{X} = \{x_i\}_{i=1}^N$  and a code  $C(x)$  that encodes each symbol  $x_i$  into a codeword of length  $k_i$  in a binary alphabet  $\mathcal{A} = \{0,1\}$ , then the code is uniquely decodable if and only if the following inequality holds

$$\sum_{i=1}^N 2^{-k_i} \leq 1$$

- **Remark.** The set containing all prefix-free codes is a subset of the one containing all the uniquely decodable codes.

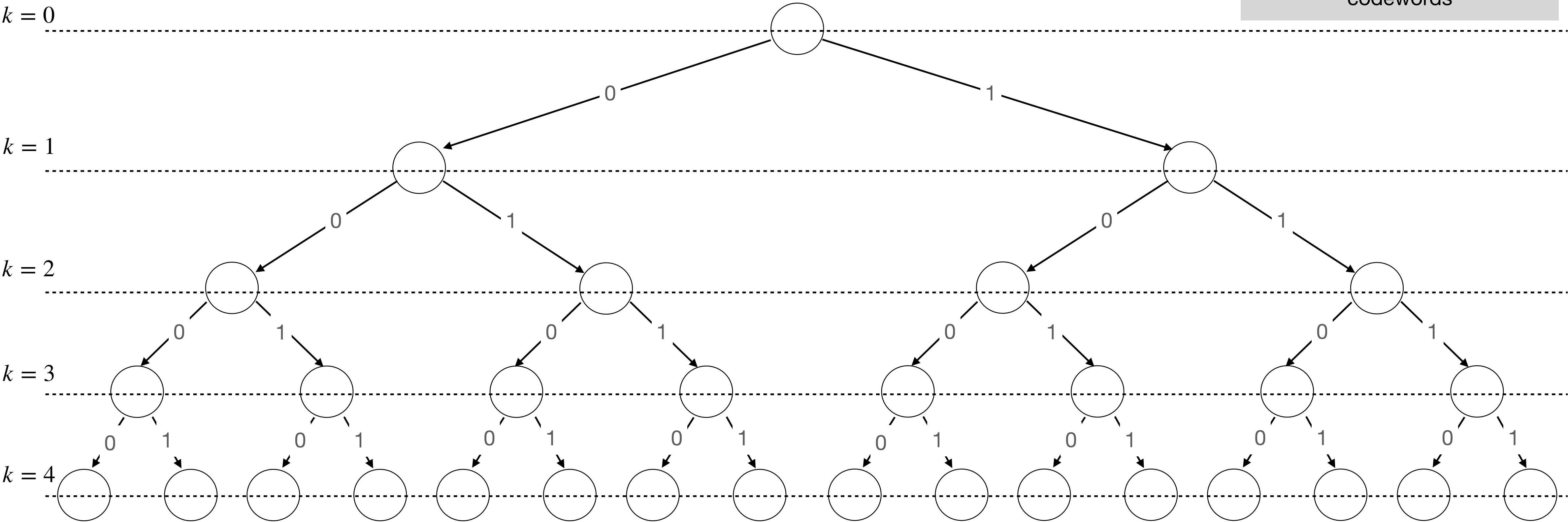


# Kraft-McMillan Inequality

**Idea.** Given the set of lengths  $\mathcal{K} = \{1,2,3,4\}$  is it possible to create a prefix free code?

$k_i$	$c_i$
1	?
2	?
3	?
4	?

Prefix-free and *lexicographic* codewords

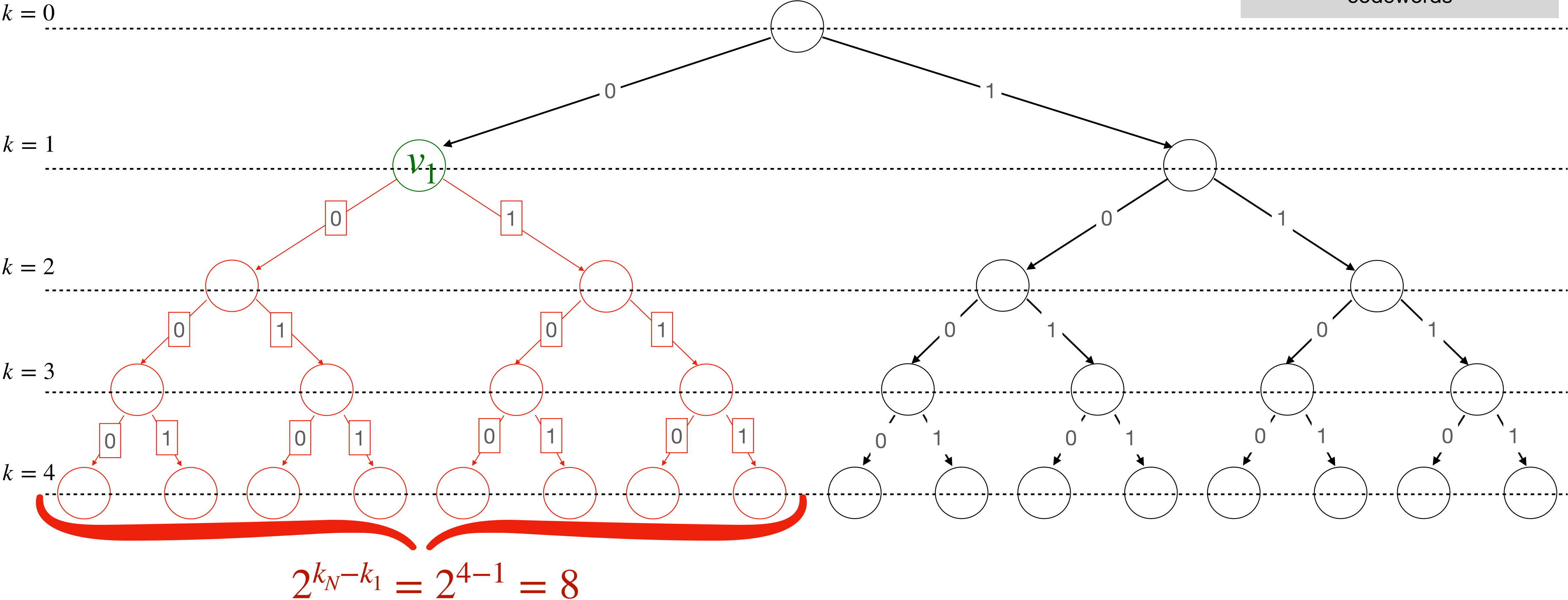


# Kraft-McMillan Inequality

Let's start with the first symbol whose codeword has length  $k_1 = 1$ .

$k_i$	$c_i$
1	0
2	?
3	?
4	?

Prefix-free and *lexicographic* codewords

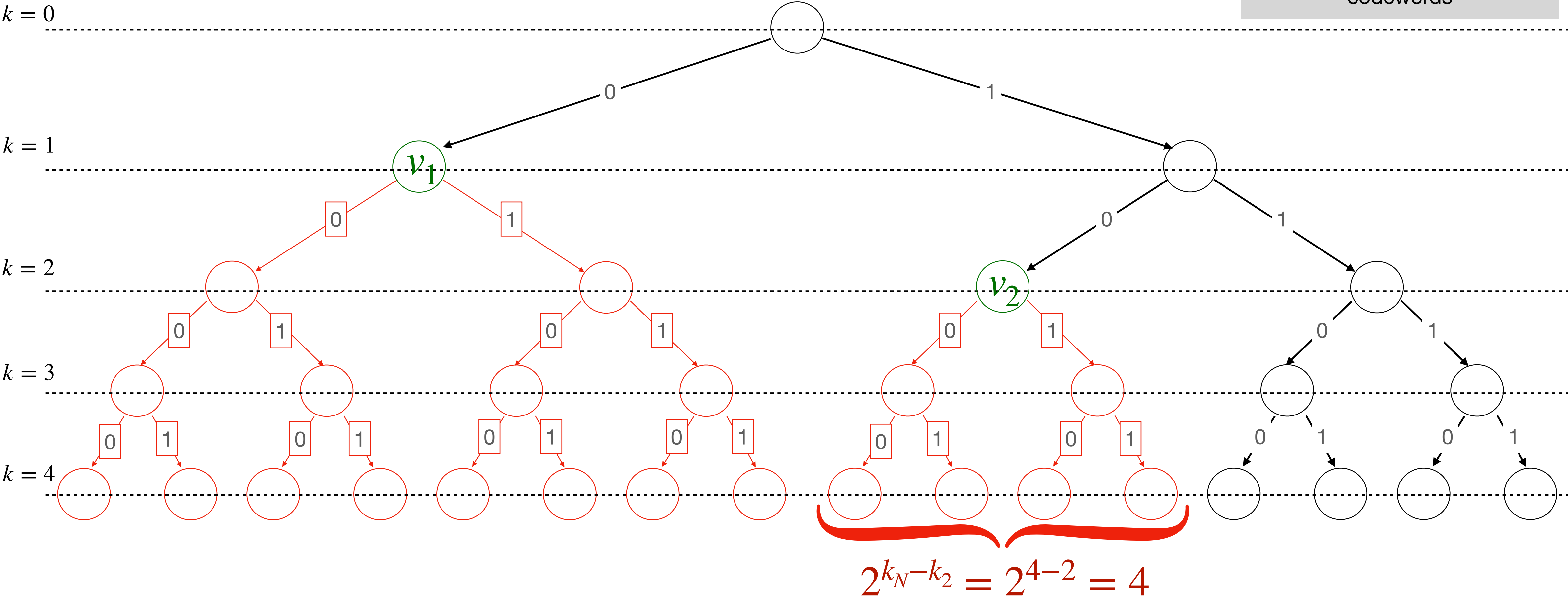


# Kraft-McMillan Inequality

Now we select the following word whose length is  $k_2 = 2$ .

$k_i$	$c_i$
1	0
2	10
3	?
4	?

Prefix-free and *lexicographic* codewords

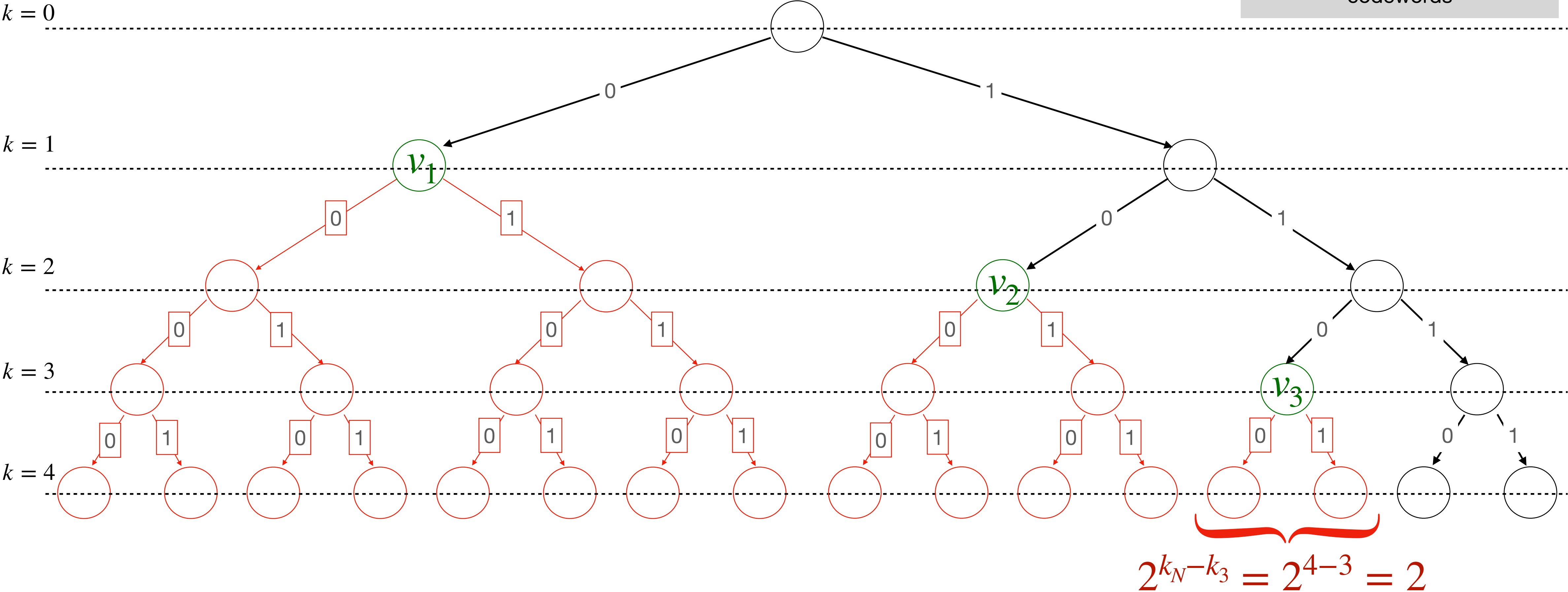


# Kraft-McMillan Inequality

Then we choose the third word with  $k_3 = 3$ .

$k_i$	$c_i$
1	0
2	10
3	110
4	?

Prefix-free and *lexicographic* codewords

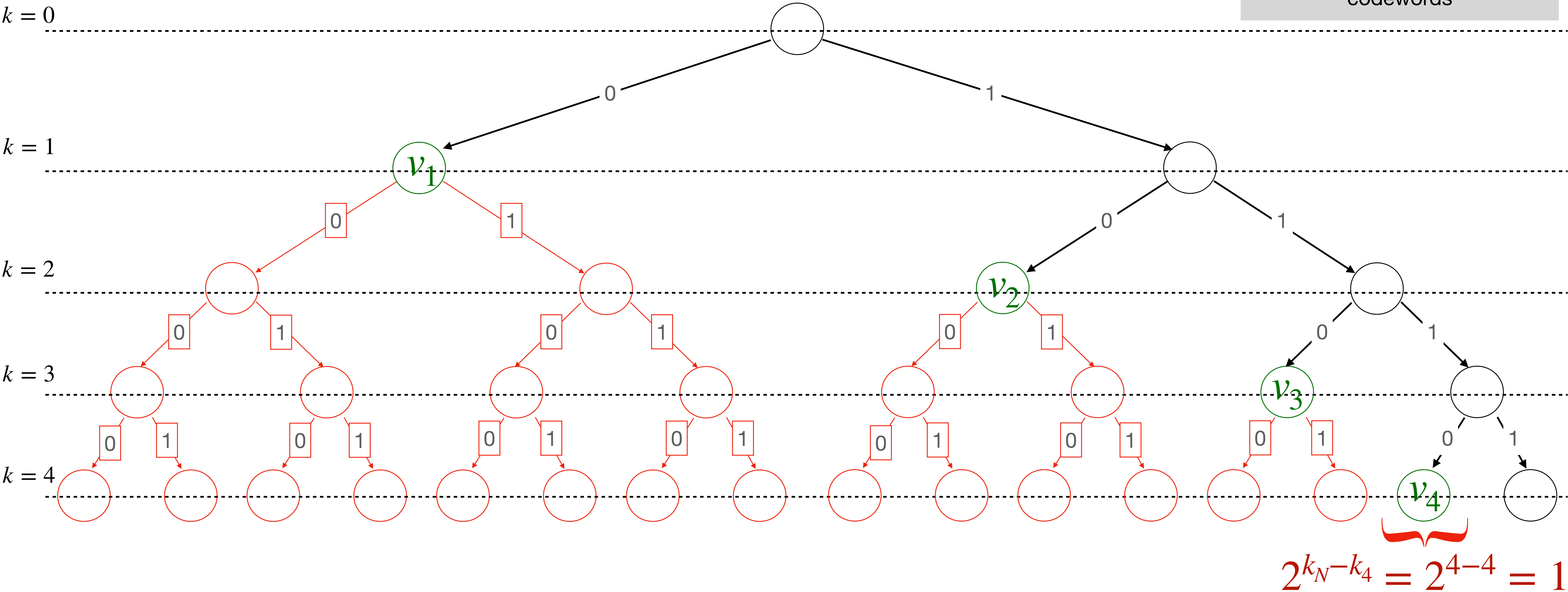


# Kraft-McMillan Inequality

Then we choose the fourth word with  $k_4 = 4$ .

$k_i$	$c_i$
1	0
2	10
3	110
4	1110

Prefix-free and *lexicographic* codewords



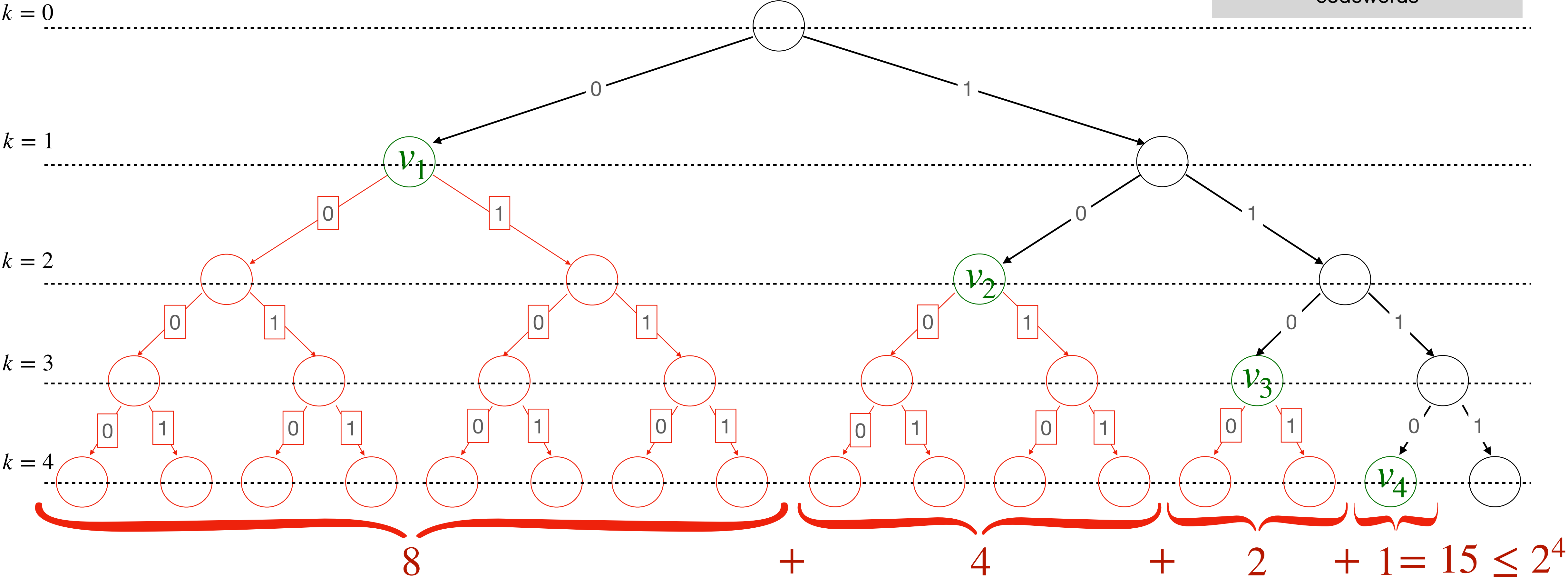


# Kraft-McMillan Inequality

Then we choose the fourth word with  $k_4 = 4$ .

$k_i$	$c_i$
1	0
2	10
3	110
4	1110

Prefix-free and *lexicographic* codewords





# Kraft-McMillan Inequality — Proof

- **Necessary condition (prefix free code).** Let us start by proving that any prefix free code must satisfy the inequality.
- Given the set of codeword lengths  $\mathcal{K} = \{k_i\}_{i=1}^N$  with  $k_i \leq k_{i+1}$ , we can assume that the codeword  $c_i$  correspond to node  $v_i$  at depth  $k_i$  in the binary tree  $A$ . Let's denote with  $A_i$  the subtree whose root is  $v_i$ , then the number of its leaf nodes is  $|A_i| = 2^{k_N - k_i}$ . Since we are dealing with a prefix free code then  $A_i \cap A_j = \emptyset$ . Since the total number of leaf nodes is  $2^{k_N}$ , then

$$\left| \bigcup_{i=1}^N A_i \right| = \sum_{i=1}^N |A_i| = \sum_{i=1}^N 2^{k_N - k_i} \leq 2^{k_N}.$$

By multiplying both sides by  $2^{-k_N}$  the result follows.

# Kraft-McMillan Inequality — Proof

- **Sufficient condition (prefix free code).** Let us build a prefix free code with a preassigned set of codeword lengths  $\mathcal{K} = \{k_i\}_{i=1}^N$  with  $k_i \leq k_{i+1}$  that satisfy the Kraft-McMillan inequality.
- We start by choosing one of the nodes at depth  $k_1$ . Let  $A$  be the entire binary tree. If we denote with  $A_1$  the subtree having the chosen node  $v_1$  as its root, then we can select the following node at depth  $k_2$  among the ones that belong to  $A \setminus A_1$ . In general at step  $i$ , we choose node  $v_i$  at depth  $k_i$  among the ones that belong to  $A \setminus \bigcup_{j=1}^{i-1} A_j$ . Since by construction  $A_{j'} \cap A_{j''} = \emptyset$  and  $|A_j| = 2^{k_N - k_j}$ , then the leaf nodes available after choosing  $v_i$  is equal to  $2^{k_N} - \sum_{j=1}^i 2^{k_N - k_j} = 2^{k_N} \left( 1 - \sum_{j=1}^i 2^{-k_j} \right)$ . Once the last node  $v_N$  is selected, we must have a non negative number of leaf nodes available and this is true since the set  $\mathcal{K} = \{k_i\}_{i=1}^N$  satisfies the Kraft-McMillan inequality by hypothesis.

$$2^{k_N} \left( 1 - \sum_{j=1}^N 2^{-k_j} \right) \geq 0$$

# Kraft-McMillan Inequality — Proof

- **Necessary condition (general).** Now we prove that the Kraft-McMillan inequality is satisfied by any uniquely decodable code. We don't need to prove the sufficient condition since we proved that if a set of codeword lengths satisfies the inequality, then we can create a prefix free code, which is uniquely decodable.

- Given the set of codeword lengths  $\mathcal{K} = \{k_i\}_{i=1}^N$  with  $k_i \leq k_{i+1}$ , we define the quantity  $C = \sum_{i=1}^N 2^{-k_i}$ .

Let's define the new set of source symbols  $\mathcal{X}^m$ , whose elements are a succession of  $m$  symbols of our original set  $\mathcal{X}$ . Then

$$C^m = \left( \sum_{i=1}^N 2^{-k_i} \right)^m = \sum_{i_1=1}^N \sum_{i_2=1}^N \cdots \sum_{i_m=1}^N 2^{-(k_{i_1} + k_{i_2} + \cdots + k_{i_m})}$$

is the cost of the codewords of the new set  $\mathcal{X}^m$ .

# Kraft-McMillan Inequality — Proof

- The longest codeword in the new set has length  $mk_N$  and  $C^m$  can be expressed as

$$C^m = \sum_{k=1}^{mk_N} q_k 2^{-k} \leq \sum_{k=1}^{mk_N} 2^k 2^{-k} = mk_N$$

where  $q_k$  corresponds to the number of codewords with length  $k$  and thus must be less than  $2^k$ . Taking the square root of order  $m$  of both sides we obtain

$$C \leq (mk_N)^{1/m}$$

that must be satisfied for any  $m \in \mathbb{N}$ . Taking the limit for  $m \rightarrow \infty$  it follows that

$$\sum_{i=1}^N 2^{-k_i} = C \leq \lim_{m \rightarrow +\infty} (mk_N)^{1/m} = \lim_{m \rightarrow +\infty} e^{\frac{\ln(mk_N)}{m}} = 1.$$

# Further Readings

- Section 2 of:  
G. E. P. and Rossano Venturini. 2020. *Techniques for Inverted Index Compression*. ACM Computing Surveys. 53, 6, Article 125 (November 2021), 36 pages. <https://doi.org/10.1145/3415148>
- Section 2.1-2.2 and Chapter 3 of:  
Alistair Moffat and Andrew Turpin. 2002. *Compression and coding algorithms*. Springer Science & Business Media, ISBN 978-1-4615-0935-6.
- Sections 1.1-1.5, 2.4, 2.19, 2.22, 2.23 of:  
David Salomon. 2007. *Variable-Length Codes for Data Compression*. Springer Science & Business Media, ISBN 978-1-84628-959-0.
- Sections 2.1-2.2-2.3 of:  
Gonzalo Navarro. 2016. *Compact Data Structures*. Cambridge University Press, ISBN 978-1-107-15238-0.