

# Huffman Code

Abhiram Ranade

February 15, 2016

# The coding problem

We are often called upon to represent a string in one alphabet using another alphabet.

# The coding problem

We are often called upon to represent a string in one alphabet using another alphabet.

**Example:** We represent strings written in the English language (Roman alphabet) using binary numbers using the ASCII code.

# The coding problem

We are often called upon to represent a string in one alphabet using another alphabet.

**Example:** We represent strings written in the English language (Roman alphabet) using binary numbers using the ASCII code.

**Encoding:** Converting the string from the source alphabet to its representation using the target alphabet

# The coding problem

We are often called upon to represent a string in one alphabet using another alphabet.

**Example:** We represent strings written in the English language (Roman alphabet) using binary numbers using the ASCII code.

**Encoding:** Converting the string from the source alphabet to its representation using the target alphabet

**Decoding:** Given a representation in the target alphabet, recovering the string from which it was generated.

# The coding problem

We are often called upon to represent a string in one alphabet using another alphabet.

**Example:** We represent strings written in the English language (Roman alphabet) using binary numbers using the ASCII code.

**Encoding:** Converting the string from the source alphabet to its representation using the target alphabet

**Decoding:** Given a representation in the target alphabet, recovering the string from which it was generated.

**Goal:** Result of encoding should be short.

# The coding problem

We are often called upon to represent a string in one alphabet using another alphabet.

**Example:** We represent strings written in the English language (Roman alphabet) using binary numbers using the ASCII code.

**Encoding:** Converting the string from the source alphabet to its representation using the target alphabet

**Decoding:** Given a representation in the target alphabet, recovering the string from which it was generated.

**Goal: Result of encoding should be short.**

- ▶ Takes smaller memory to store.

# The coding problem

We are often called upon to represent a string in one alphabet using another alphabet.

**Example:** We represent strings written in the English language (Roman alphabet) using binary numbers using the ASCII code.

**Encoding:** Converting the string from the source alphabet to its representation using the target alphabet

**Decoding:** Given a representation in the target alphabet, recovering the string from which it was generated.

**Goal: Result of encoding should be short.**

- ▶ Takes smaller memory to store.
- ▶ Takes less time to transmit.



# The coding problem

We are often called upon to represent a string in one alphabet using another alphabet.

**Example:** We represent strings written in the English language (Roman alphabet) using binary numbers using the ASCII code.

**Encoding:** Converting the string from the source alphabet to its representation using the target alphabet

**Decoding:** Given a representation in the target alphabet, recovering the string from which it was generated.

**Goal: Result of encoding should be short.**

- ▶ Takes smaller memory to store.
- ▶ Takes less time to transmit.

There are other goals to, not considered here.

# Fixed and variable length codes

## Fixed and variable length codes

Represent each character  $c$  in the source alphabet by a string ("codeword")  $\gamma(c)$  of characters of the target alphabet.

# Fixed and variable length codes

Represent each character  $c$  in the source alphabet by a string ("codeword")  $\gamma(c)$  of characters of the target alphabet.

**Fixed length codes:** All codewords have same length.

# Fixed and variable length codes

Represent each character  $c$  in the source alphabet by a string ("codeword")  $\gamma(c)$  of characters of the target alphabet.

**Fixed length codes:** All codewords have same length.

ASCII code: 8 bits.

# Fixed and variable length codes

Represent each character  $c$  in the source alphabet by a string ("codeword")  $\gamma(c)$  of characters of the target alphabet.

**Fixed length codes:** All codewords have same length.

ASCII code: 8 bits.

**Variable length codes:** Codewords may have different lengths.

# Fixed and variable length codes

Represent each character  $c$  in the source alphabet by a string ("codeword")  $\gamma(c)$  of characters of the target alphabet.

**Fixed length codes:** All codewords have same length.

ASCII code: 8 bits.

**Variable length codes:** Codewords may have different lengths.

- If a certain character occurs more frequently, assign it a shorter codeword. Thus your message is encoded more compactly.

# Fixed and variable length codes

Represent each character  $c$  in the source alphabet by a string ("codeword")  $\gamma(c)$  of characters of the target alphabet.

**Fixed length codes:** All codewords have same length.

ASCII code: 8 bits.

**Variable length codes:** Codewords may have different lengths.

- ▶ If a certain character occurs more frequently, assign it a shorter codeword. Thus your message is encoded more compactly.
- ▶ Designing variable length codes is trickier.



# Fixed and variable length codes

Represent each character  $c$  in the source alphabet by a string ("codeword")  $\gamma(c)$  of characters of the target alphabet.

**Fixed length codes:** All codewords have same length.

ASCII code: 8 bits.

**Variable length codes:** Codewords may have different lengths.

- ▶ If a certain character occurs more frequently, assign it a shorter codeword. Thus your message is encoded more compactly.

- ▶ Designing variable length codes is trickier.

Example: Using digits to encode letters A-Z:

Say we use  $\gamma(A) = 1, \gamma(B) = 2, \dots, \gamma(Z) = 26$ .

Will this work?

# Fixed and variable length codes

Represent each character  $c$  in the source alphabet by a string ("codeword")  $\gamma(c)$  of characters of the target alphabet.

**Fixed length codes:** All codewords have same length.

ASCII code: 8 bits.

**Variable length codes:** Codewords may have different lengths.

- ▶ If a certain character occurs more frequently, assign it a shorter codeword. Thus your message is encoded more compactly.
- ▶ Designing variable length codes is trickier.  
Example: Using digits to encode letters A-Z:  
Say we use  $\gamma(A) = 1, \gamma(B) = 2, \dots, \gamma(Z) = 26$ .  
Will this work?

26 could mean BF or Z. Not acceptable.

**The code needs to be uniquely decodable.**

# Encoding efficiency

# Encoding efficiency

All characters do not appear with the same frequency.

# Encoding efficiency

All characters do not appear with the same frequency.

For example, in the English language, the letter 'e' is much more common than the letter 'q'.

# Encoding efficiency

All characters do not appear with the same frequency.

For example, in the English language, the letter 'e' is much more common than the letter 'q'.

Suppose  $f_c$  denotes the probability with which the character  $c$  appears in strings to be encoded.

# Encoding efficiency

All characters do not appear with the same frequency.

For example, in the English language, the letter 'e' is much more common than the letter 'q'.

Suppose  $f_c$  denotes the probability with which the character  $c$  appears in strings to be encoded.

Estimated by sampling

# Encoding efficiency

All characters do not appear with the same frequency.

For example, in the English language, the letter 'e' is much more common than the letter 'q'.

Suppose  $f_c$  denotes the probability with which the character  $c$  appears in strings to be encoded.

Estimated by sampling

Expected encoding length per character,  $EEL = \sum_c |\gamma(c)| f_c$



# Encoding efficiency

All characters do not appear with the same frequency.

For example, in the English language, the letter 'e' is much more common than the letter 'q'.

Suppose  $f_c$  denotes the probability with which the character  $c$  appears in strings to be encoded.

Estimated by sampling

Expected encoding length per character,  $EEL = \sum_c |\gamma(c)| f_c$

**Desirable:** Find a uniquely decodable code  $\gamma$  such that  $\sum_c |\gamma(c)| f_c$  is minimized, for given  $f_c$ .

# Prefix (free) codes

# Prefix (free) codes

A code is said to be a prefix (free) code if no codeword is a prefix of another.

# Prefix (free) codes

A code is said to be a prefix (free) code if no codeword is a prefix of another.

Example:  $A=01$ ,  $B=001$ ,  $C=0001$ ,  $D=00001$ ,  $\dots$ ,  $Z=0^{26}1$

# Prefix (free) codes

A code is said to be a prefix (free) code if no codeword is a prefix of another.

Example:  $A=01$ ,  $B=001$ ,  $C=0001$ ,  $D=00001$ ,  $\dots$ ,  $Z=0^{26}1$

Non-Example:  $A=1$ ,  $B=2$ ,  $\dots$ ,  $Z=26$ .

# Prefix (free) codes

A code is said to be a prefix (free) code if no codeword is a prefix of another.

Example:  $A=01$ ,  $B=001$ ,  $C=0001$ ,  $D=00001$ , ...,  $Z=0^{26}1$

Non-Example:  $A=1$ ,  $B=2$ , ...,  $Z=26$ .

**Thm:** Every message encoded by a prefix code is uniquely decodable.

# Prefix (free) codes

A code is said to be a prefix (free) code if no codeword is a prefix of another.

Example:  $A=01$ ,  $B=001$ ,  $C=0001$ ,  $D=00001$ ,  $\dots$ ,  $Z=0^{26}1$

Non-Example:  $A=1$ ,  $B=2$ ,  $\dots$ ,  $Z=26$ .

**Thm:** Every message encoded by a prefix code is uniquely decodable.

**Proof:**

# Prefix (free) codes

A code is said to be a prefix (free) code if no codeword is a prefix of another.

Example:  $A=01$ ,  $B=001$ ,  $C=0001$ ,  $D=00001$ ,  $\dots$ ,  $Z=0^{26}1$

Non-Example:  $A=1$ ,  $B=2$ ,  $\dots$ ,  $Z=26$ .

**Thm:** Every message encoded by a prefix code is uniquely decodable.

**Proof:** Decode greedily!



# Prefix (free) codes

A code is said to be a prefix (free) code if no codeword is a prefix of another.

Example:  $A=01$ ,  $B=001$ ,  $C=0001$ ,  $D=00001$ ,  $\dots$ ,  $Z=0^{26}1$

Non-Example:  $A=1$ ,  $B=2$ ,  $\dots$ ,  $Z=26$ .

**Thm:** Every message encoded by a prefix code is uniquely decodable.

**Proof:** Decode greedily!

Non-prefix uniquely decodable codes exist, but for any such code there is a prefix code with no larger EEL.

# A representation for Prefix codes

# A representation for Prefix codes

Digital Search tree/Trie:

# A representation for Prefix codes

## Digital Search tree/Trie:

- ▶ A rooted tree. Edges labelled with a character of the (target) alphabet.

# A representation for Prefix codes

## Digital Search tree/Trie:

- ▶ A rooted tree. Edges labelled with a character of the (target) alphabet.
- ▶ Certain vertices are marked as special.

# A representation for Prefix codes

## Digital Search tree/Trie:

- ▶ A rooted tree. Edges labelled with a character of the (target) alphabet.
- ▶ Certain vertices are marked as special.
- ▶ If  $x$  = concatenation of labels along the path from the root to a special node, then we consider  $x$  to be stored in the trie.

# A representation for Prefix codes

## Digital Search tree/Trie:

- ▶ A rooted tree. Edges labelled with a character of the (target) alphabet.
- ▶ Certain vertices are marked as special.
- ▶ If  $x$  = concatenation of labels along the path from the root to a special node, then we consider  $x$  to be stored in the trie.

Representation of Prefix code  $\gamma$ : Trie  $T$  holding codewords  $\gamma(c)$ .

# A representation for Prefix codes

## Digital Search tree/Trie:

- ▶ A rooted tree. Edges labelled with a character of the (target) alphabet.
- ▶ Certain vertices are marked as special.
- ▶ If  $x$  = concatenation of labels along the path from the root to a special node, then we consider  $x$  to be stored in the trie.

Representation of Prefix code  $\gamma$ : Trie  $T$  holding codewords  $\gamma(c)$ .

Code is prefix free  $\Rightarrow$  Codewords end at leaves.



# A representation for Prefix codes

## Digital Search tree/Trie:

- ▶ A rooted tree. Edges labelled with a character of the (target) alphabet.
- ▶ Certain vertices are marked as special.
- ▶ If  $x$  = concatenation of labels along the path from the root to a special node, then we consider  $x$  to be stored in the trie.

Representation of Prefix code  $\gamma$ : Trie  $T$  holding codewords  $\gamma(c)$ .

Code is prefix free  $\Rightarrow$  Codewords end at leaves.

Vertex in which  $\gamma(c)$  ends is labelled  $c$ .

# A representation for Prefix codes

## Digital Search tree/Trie:

- ▶ A rooted tree. Edges labelled with a character of the (target) alphabet.
- ▶ Certain vertices are marked as special.
- ▶ If  $x$  = concatenation of labels along the path from the root to a special node, then we consider  $x$  to be stored in the trie.

Representation of Prefix code  $\gamma$ : Trie  $T$  holding codewords  $\gamma(c)$ .

Code is prefix free  $\Rightarrow$  Codewords end at leaves.

Vertex in which  $\gamma(c)$  ends is labelled  $c$ .

Example:

$$\gamma(a) = 11, \gamma(b) = 10, \gamma(c) = 01, \gamma(d) = 001, \gamma(e) = 000$$

# Decoding Algorithm

# Decoding Algorithm

1. Let encoded string be  $x_0x_1 \dots x_{n-1}$ .

# Decoding Algorithm

1. Let encoded string be  $x_0x_1 \dots x_{n-1}$ .
2.  $i = 0$

# Decoding Algorithm

1. Let encoded string be  $x_0x_1 \dots x_{n-1}$ .
2.  $i = 0$
3. Start at the root of  $T$ . Use characters  $x_ix_{i+1} \dots$  to trace a path to some leaf with a label  $c$ . Output  $c$  as the decoded character.

# Decoding Algorithm

1. Let encoded string be  $x_0x_1 \dots x_{n-1}$ .
2.  $i = 0$
3. Start at the root of  $T$ . Use characters  $x_i x_{i+1} \dots$  to trace a path to some leaf with a label  $c$ . Output  $c$  as the decoded character.
4. Suppose the path used in the above step had length  $j$ . Then set  $i = i + j$  and repeat the above step, unless end of the end of the encoded string is reached.

# Encoding efficiency



# Encoding efficiency

Expected encoding length per character,  $EEL = \sum_c |\gamma(c)| f_c$

# Encoding efficiency

Expected encoding length per character,  $EEL = \sum_c |\gamma(c)| f_c$

**Observation:**  $|\gamma(c)| = L(c)$ , the length of the path from the root to the leaf labelled  $c$  in the trie.

# Encoding efficiency

Expected encoding length per character,  $EEL = \sum_c |\gamma(c)| f_c$

**Observation:**  $|\gamma(c)| = L(c)$ , the length of the path from the root to the leaf labelled  $c$  in the trie.

Design the trie to minimize  $\sum_c L(c) f_c$

# Huffman's algorithm

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

Example result:

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0, 1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$



# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

Huffman code:  $a = 11, b = 10, c = 01, d = 001, e = 000$

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

Huffman code:  $a = 11, b = 10, c = 01, d = 001, e = 000$

$EEL =$

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

Huffman code:  $a = 11, b = 10, c = 01, d = 001, e = 000$

$$EEL = 2 \times 0.32$$

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

Huffman code:  $a = 11, b = 10, c = 01, d = 001, e = 000$

$$EEL = 2 \times 0.32 + 2 \times 0.25$$

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0, 1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

Huffman code:  $a = 11, b = 10, c = 01, d = 001, e = 000$

$$EEL = 2 \times 0.32 + 2 \times 0.25 + 2 \times 0.20$$

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

Huffman code:  $a = 11, b = 10, c = 01, d = 001, e = 000$

$$EEL = 2 \times 0.32 + 2 \times 0.25 + 2 \times 0.20 + 3 \times 0.18$$

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

Huffman code:  $a = 11, b = 10, c = 01, d = 001, e = 000$

$$EEL = 2 \times 0.32 + 2 \times 0.25 + 2 \times 0.20 + 3 \times 0.18 + 3 \times 0.05$$

# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

Huffman code:  $a = 11, b = 10, c = 01, d = 001, e = 000$

$$\begin{aligned} EEL &= 2 \times 0.32 + 2 \times 0.25 + 2 \times 0.20 + 3 \times 0.18 + 3 \times 0.05 \\ &= 1.55 + 0.69 = 2.21 \end{aligned}$$



# Huffman's algorithm

Designs an optimal prefix code, for the case of the binary target alphabet  $\{0,1\}$

## Example result:

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
probabilities:  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

Huffman code:  $a = 11, b = 10, c = 01, d = 001, e = 000$

$$\begin{aligned} EEL &= 2 \times 0.32 + 2 \times 0.25 + 2 \times 0.20 + 3 \times 0.18 + 3 \times 0.05 \\ &= 1.55 + 0.69 = 2.21 \end{aligned}$$

Fixed length code would have 3 bits each;  $EEL = 3$ .

# Properties of the optimal trie

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

**Lemma 2:**  $L(c_1) > L(c_2) \Rightarrow f(c_1) \leq f(c_2)$ .

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

**Lemma 2:**  $L(c_1) > L(c_2) \Rightarrow f(c_1) \leq f(c_2)$ .

**Proof:** Consider an optimal trie.



# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

**Lemma 2:**  $L(c_1) > L(c_2) \Rightarrow f(c_1) \leq f(c_2)$ .

**Proof:** Consider an optimal trie.

Initial contribution of  $c_1, c_2$  to EEL

$$L(c_1)f(c_1) + L(c_2)f(c_2)$$

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

**Lemma 2:**  $L(c_1) > L(c_2) \Rightarrow f(c_1) \leq f(c_2)$ .

**Proof:** Consider an optimal trie.

Initial contribution of  $c_1, c_2$  to EEL

$$L(c_1)f(c_1) + L(c_2)f(c_2)$$

Suppose we exchange the labels  $c_1, c_2$ .

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

**Lemma 2:**  $L(c_1) > L(c_2) \Rightarrow f(c_1) \leq f(c_2)$ .

**Proof:** Consider an optimal trie.

Initial contribution of  $c_1, c_2$  to EEL

$$L(c_1)f(c_1) + L(c_2)f(c_2)$$

Suppose we exchange the labels  $c_1, c_2$ .

New contribution of  $c_1, c_2$  to EEL:

$$L(c_1)f(c_2) + L(c_2)f(c_1)$$

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

**Lemma 2:**  $L(c_1) > L(c_2) \Rightarrow f(c_1) \leq f(c_2)$ .

**Proof:** Consider an optimal trie.

Initial contribution of  $c_1, c_2$  to EEL  $L(c_1)f(c_1) + L(c_2)f(c_2)$

Suppose we exchange the labels  $c_1, c_2$ .

New contribution of  $c_1, c_2$  to EEL:  $L(c_1)f(c_2) + L(c_2)f(c_1)$

Initial - final =  $L(c_1)(f(c_1) - f(c_2)) + L(c_2)(f(c_2) - f(c_1))$

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

**Lemma 2:**  $L(c_1) > L(c_2) \Rightarrow f(c_1) \leq f(c_2)$ .

**Proof:** Consider an optimal trie.

Initial contribution of  $c_1, c_2$  to EEL  $L(c_1)f(c_1) + L(c_2)f(c_2)$

Suppose we exchange the labels  $c_1, c_2$ .

New contribution of  $c_1, c_2$  to EEL:  $L(c_1)f(c_2) + L(c_2)f(c_1)$

$$\begin{aligned}\text{Initial} - \text{final} &= L(c_1)(f(c_1) - f(c_2)) + L(c_2)(f(c_2) - f(c_1)) \\ &= [L(c_1) - L(c_2)][f(c_1) - f(c_2)]\end{aligned}$$

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

**Lemma 2:**  $L(c_1) > L(c_2) \Rightarrow f(c_1) \leq f(c_2)$ .

**Proof:** Consider an optimal trie.

Initial contribution of  $c_1, c_2$  to EEL  $L(c_1)f(c_1) + L(c_2)f(c_2)$

Suppose we exchange the labels  $c_1, c_2$ .

New contribution of  $c_1, c_2$  to EEL:  $L(c_1)f(c_2) + L(c_2)f(c_1)$

Initial – final =  $L(c_1)(f(c_1) - f(c_2)) + L(c_2)(f(c_2) - f(c_1))$   
 $= [L(c_1) - L(c_2)][f(c_1) - f(c_2)] \leq 0$  Initial is optimal.

# Properties of the optimal trie

**Lemma 1:** Every node has either two children or none.

**Proof:** If some node has just one child, short-cut that node.  
EEL must decrease.

Aside: how much is the decrease?  
if  $c$  is lone child, decrease =  $f(c)$

**Lemma 2:**  $L(c_1) > L(c_2) \Rightarrow f(c_1) \leq f(c_2)$ .

**Proof:** Consider an optimal trie.

Initial contribution of  $c_1, c_2$  to EEL  $L(c_1)f(c_1) + L(c_2)f(c_2)$

Suppose we exchange the labels  $c_1, c_2$ .

New contribution of  $c_1, c_2$  to EEL:  $L(c_1)f(c_2) + L(c_2)f(c_1)$

Initial - final =  $L(c_1)(f(c_1) - f(c_2)) + L(c_2)(f(c_2) - f(c_1))$   
 $= [L(c_1) - L(c_2)][f(c_1) - f(c_2)] \leq 0$  Initial is optimal.



## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.



## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$$L(e) > L(c) \Rightarrow f(e) \leq f(c) \quad (\text{Lemma 2})$$

## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$$L(e) > L(c) \Rightarrow f(e) \leq f(c)$$

(Lemma 2)

$$\Rightarrow f(e) = f(c)$$

$f(c)$  is smallest

## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$$L(e) > L(c) \Rightarrow f(e) \leq f(c) \quad (\text{Lemma 2})$$

$$\Rightarrow f(e) = f(c) \quad f(c) \text{ is smallest}$$

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$L(e) > L(c) \Rightarrow f(e) \leq f(c)$  (Lemma 2)

$\Rightarrow f(e) = f(c)$   $f(c)$  is smallest

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

WLOG optimal trie has  $c$  farthest from root.

## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$L(e) > L(c) \Rightarrow f(e) \leq f(c)$  (Lemma 2)

$\Rightarrow f(e) = f(c)$   $f(c)$  is smallest

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

WLOG optimal trie has  $c$  farthest from root.

The parent of  $c$  must have 2 children (Lemma 1)

## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$L(e) > L(c) \Rightarrow f(e) \leq f(c)$  (Lemma 2)

$\Rightarrow f(e) = f(c)$   $f(c)$  is smallest

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

WLOG optimal trie has  $c$  farthest from root.

The parent of  $c$  must have 2 children (Lemma 1)

Since  $c$  is at a farthest leaf, the other sibling must also be a leaf.

## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$L(e) > L(c) \Rightarrow f(e) \leq f(c)$  (Lemma 2)

$\Rightarrow f(e) = f(c)$   $f(c)$  is smallest

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

WLOG optimal trie has  $c$  farthest from root.

The parent of  $c$  must have 2 children (Lemma 1)

Since  $c$  is at a farthest leaf, the other sibling must also be a leaf.

Suppose character  $f$  appears at the other sibling.



## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$L(e) > L(c) \Rightarrow f(e) \leq f(c)$  (Lemma 2)

$\Rightarrow f(e) = f(c)$   $f(c)$  is smallest

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

WLOG optimal trie has  $c$  farthest from root.

The parent of  $c$  must have 2 children (Lemma 1)

Since  $c$  is at a farthest leaf, the other sibling must also be a leaf.

Suppose character  $f$  appears at the other sibling.

$L(f) > L(d) \Rightarrow f(f) \leq f(d)$  (Lemma 2)

# The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$L(e) > L(c) \Rightarrow f(e) \leq f(c)$  (Lemma 2)

$\Rightarrow f(e) = f(c)$   $f(c)$  is smallest

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

WLOG optimal trie has  $c$  farthest from root.

The parent of  $c$  must have 2 children (Lemma 1)

Since  $c$  is at a farthest leaf, the other sibling must also be a leaf.

Suppose character  $f$  appears at the other sibling.

$L(f) > L(d) \Rightarrow f(f) \leq f(d)$  (Lemma 2)

$f(f) < f(d)$  would imply  $f(c), f(d)$  do not have least frequencies.

## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$L(e) > L(c) \Rightarrow f(e) \leq f(c)$  (Lemma 2)

$\Rightarrow f(e) = f(c)$   $f(c)$  is smallest

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

WLOG optimal trie has  $c$  farthest from root.

The parent of  $c$  must have 2 children (Lemma 1)

Since  $c$  is at a farthest leaf, the other sibling must also be a leaf.

Suppose character  $f$  appears at the other sibling.

$L(f) > L(d) \Rightarrow f(f) \leq f(d)$  (Lemma 2)

$f(f) < f(d)$  would imply  $f(c), f(d)$  do not have least frequencies.

Thus  $f(f) = f(d) \Rightarrow$  either  $f = d$  or we can exchange  $f, d$  without changing EEL.

# The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$L(e) > L(c) \Rightarrow f(e) \leq f(c)$  (Lemma 2)

$\Rightarrow f(e) = f(c)$   $f(c)$  is smallest

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

WLOG optimal trie has  $c$  farthest from root.

The parent of  $c$  must have 2 children (Lemma 1)

Since  $c$  is at a farthest leaf, the other sibling must also be a leaf.

Suppose character  $f$  appears at the other sibling.

$L(f) > L(d) \Rightarrow f(f) \leq f(d)$  (Lemma 2)

$f(f) < f(d)$  would imply  $f(c), f(d)$  do not have least frequencies.

Thus  $f(f) = f(d) \Rightarrow$  either  $f = d$  or we can exchange  $f, d$  without changing EEL.  $\square$ .

## The key lemma

There exists an optimal trie in which any two characters  $c, d$  with least frequencies (i.e. s.t.  $f_c \leq f_d \leq f_e$  for any  $e$ ) are siblings.

**Proof:** Let  $e$  appear furthest from the root in an optimal trie.

$L(e) > L(c) \Rightarrow f(e) \leq f(c)$  (Lemma 2)

$\Rightarrow f(e) = f(c)$   $f(c)$  is smallest

$e \neq c \Rightarrow$  we can exchange  $e, c$  without changing EEL.

WLOG optimal trie has  $c$  farthest from root.

The parent of  $c$  must have 2 children (Lemma 1)

Since  $c$  is at a farthest leaf, the other sibling must also be a leaf.

Suppose character  $f$  appears at the other sibling.

$L(f) > L(d) \Rightarrow f(f) \leq f(d)$  (Lemma 2)

$f(f) < f(d)$  would imply  $f(c), f(d)$  do not have least frequencies.

Thus  $f(f) = f(d) \Rightarrow$  either  $f = d$  or we can exchange  $f, d$  without changing EEL.  $\square$ .

Greedy choice!

# Optimal Substructure

$c_1, c_2 =$  two least frequent characters in an alphabet  $S$ .

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .



## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

# Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

Proof:

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

Proof:

$T^*$  = optimal trie for  $S$ .

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

Proof:

$T^*$  = optimal trie for  $S$ . Wlog  $T^*$  has  $c_1, c_2$  occurring as siblings.

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

**Proof:**

$T^*$  = optimal trie for  $S$ . Wlog  $T^*$  has  $c_1, c_2$  occurring as siblings.

$T''$  = tree obtained from  $T^*$  by removing leaves  $c_1, c_2$ , and assigning their parent the label  $c$ .

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

**Proof:**

$T^*$  = optimal trie for  $S$ . Wlog  $T^*$  has  $c_1, c_2$  occurring as siblings.

$T''$  = tree obtained from  $T^*$  by removing leaves  $c_1, c_2$ , and assigning their parent the label  $c$ .

$T''$  is also a trie for  $S'$ .

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

**Proof:**

$T^*$  = optimal trie for  $S$ . Wlog  $T^*$  has  $c_1, c_2$  occurring as siblings.

$T''$  = tree obtained from  $T^*$  by removing leaves  $c_1, c_2$ , and assigning their parent the label  $c$ .

$T''$  is also a trie for  $S'$ .

$EEL(T'')$



## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

**Proof:**

$T^*$  = optimal trie for  $S$ . Wlog  $T^*$  has  $c_1, c_2$  occurring as siblings.

$T''$  = tree obtained from  $T^*$  by removing leaves  $c_1, c_2$ , and assigning their parent the label  $c$ .

$T''$  is also a trie for  $S'$ .

$$EEL(T'') = EEL(T^*) - f(c_1) - f(c_2)$$

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

**Proof:**

$T^*$  = optimal trie for  $S$ . Wlog  $T^*$  has  $c_1, c_2$  occurring as siblings.

$T''$  = tree obtained from  $T^*$  by removing leaves  $c_1, c_2$ , and assigning their parent the label  $c$ .

$T''$  is also a trie for  $S'$ .

$$\begin{aligned} EEL(T'') &= EEL(T^*) - f(c_1) - f(c_2) \\ &\geq EEL(T') \end{aligned}$$

Optimality of  $T'$

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

**Proof:**

$T^*$  = optimal trie for  $S$ . Wlog  $T^*$  has  $c_1, c_2$  occurring as siblings.

$T''$  = tree obtained from  $T^*$  by removing leaves  $c_1, c_2$ , and assigning their parent the label  $c$ .

$T''$  is also a trie for  $S'$ .

$$\begin{aligned} EEL(T'') &= EEL(T^*) - f(c_1) - f(c_2) \\ &\geq EEL(T') \end{aligned}$$

Optimality of  $T'$

$$\text{But } EEL(T) = EEL(T') + f(c_1) + f(c_2)$$

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

**Proof:**

$T^*$  = optimal trie for  $S$ . Wlog  $T^*$  has  $c_1, c_2$  occurring as siblings.

$T''$  = tree obtained from  $T^*$  by removing leaves  $c_1, c_2$ , and assigning their parent the label  $c$ .

$T''$  is also a trie for  $S'$ .

$$\begin{aligned} EEL(T'') &= EEL(T^*) - f(c_1) - f(c_2) \\ &\geq EEL(T') \end{aligned}$$

Optimality of  $T'$

$$\text{But } EEL(T) = EEL(T') + f(c_1) + f(c_2) \leq EEL(T^*)$$

## Optimal Substructure

$c_1, c_2$  = two least frequent characters in an alphabet  $S$ .

$S' = S - \{c_1, c_2\} \cup \{c\}$ , with  $f(c) = f(c_1) + f(c_2)$ .

$T'$  = an optimal trie for  $S'$ .

$T$  = trie obtained from  $T'$  by attaching leaves  $c_1, c_2$  to leaf  $c$ , and removing the label  $c$ .

Then  $T$  is optimal for  $S$ .

**Proof:**

$T^*$  = optimal trie for  $S$ . Wlog  $T^*$  has  $c_1, c_2$  occurring as siblings.

$T''$  = tree obtained from  $T^*$  by removing leaves  $c_1, c_2$ , and assigning their parent the label  $c$ .

$T''$  is also a trie for  $S'$ .

$$\begin{aligned} EEL(T'') &= EEL(T^*) - f(c_1) - f(c_2) \\ &\geq EEL(T') \end{aligned}$$

Optimality of  $T'$

$$\text{But } EEL(T) = EEL(T') + f(c_1) + f(c_2) \leq EEL(T^*)$$

Thus  $T$  is optimal for  $S$ .

# Some implementation details

## Some implementation details

Assume that the letters in  $S$  are numbered  $1, \dots, n$ .

## Some implementation details

Assume that the letters in  $S$  are numbered  $1, \dots, n$ .

As the algorithm progresses, we will create new letters. These will be numbered  $n + 1, \dots, 2n - 1$ .



## Some implementation details

Assume that the letters in  $S$  are numbered  $1, \dots, n$ .

As the algorithm progresses, we will create new letters. These will be numbered  $n + 1, \dots, 2n - 1$ .

The trie will be generated as an array  $T$ .

## Some implementation details

Assume that the letters in  $S$  are numbered  $1, \dots, n$ .

As the algorithm progresses, we will create new letters. These will be numbered  $n + 1, \dots, 2n - 1$ .

The trie will be generated as an array  $T$ .

If  $v$  is root,  $T(v) = v$ .

## Some implementation details

Assume that the letters in  $S$  are numbered  $1, \dots, n$ .

As the algorithm progresses, we will create new letters. These will be numbered  $n + 1, \dots, 2n - 1$ .

The trie will be generated as an array  $T$ .

If  $v$  is root,  $T(v) = v$ .

Otherwise  $T(v) = \text{parent of } v \text{ in the trie}$ .

# The algorithm

```
Huffman(S){  
  If  $S = \{c\}$  then  $T(c) = c$ . Root  
  Let  $c_1, c_2 =$  two least frequent characters from  $S$ .  
   $S' = S - \{c_1, c_2\} \cup \{c\}$   
  Huffman( $S'$ )  
   $T(c_1) = T(c_2) = c$  Leaves  $c_1, c_2$  below  $c$ .  
}
```

# The algorithm

```
Huffman(S){  
  If  $S = \{c\}$  then  $T(c) = c$ . Root  
  Let  $c_1, c_2 =$  two least frequent characters from  $S$ .  
   $S' = S - \{c_1, c_2\} \cup \{c\}$   
  Huffman( $S'$ )  
   $T(c_1) = T(c_2) = c$  Leaves  $c_1, c_2$  below  $c$ .  
}
```

Extracting least frequency characters:

# The algorithm

```
Huffman(S){  
  If  $S = \{c\}$  then  $T(c) = c$ . Root  
  Let  $c_1, c_2 =$  two least frequent characters from  $S$ .  
   $S' = S - \{c_1, c_2\} \cup \{c\}$   
  Huffman( $S'$ )  
   $T(c_1) = T(c_2) = c$  Leaves  $c_1, c_2$  below  $c$ .  
}
```

Extracting least frequency characters:

Store  $(c, f(c))$  pairs in a min heap, with  $\text{key} = f(c)$ .

# The algorithm

```
Huffman(S){  
  If  $S = \{c\}$  then  $T(c) = c$ . Root  
  Let  $c_1, c_2 =$  two least frequent characters from  $S$ .  
   $S' = S - \{c_1, c_2\} \cup \{c\}$   
  Huffman( $S'$ )  
   $T(c_1) = T(c_2) = c$  Leaves  $c_1, c_2$  below  $c$ .  
}
```

Extracting least frequency characters:

Store  $(c, f(c))$  pairs in a min heap, with  $\text{key} = f(c)$ .

$2n - 1$  insert operations.  $2n - 1$  delete-min operations.

# The algorithm

```
Huffman(S){  
  If  $S = \{c\}$  then  $T(c) = c$ . Root  
  Let  $c_1, c_2 =$  two least frequent characters from  $S$ .  
   $S' = S - \{c_1, c_2\} \cup \{c\}$   
  Huffman( $S'$ )  
   $T(c_1) = T(c_2) = c$  Leaves  $c_1, c_2$  below  $c$ .  
}
```

## Extracting least frequency characters:

Store  $(c, f(c))$  pairs in a min heap, with  $\text{key} = f(c)$ .

$2n - 1$  insert operations.  $2n - 1$  delete-min operations.

**Running time:**  $O(n \log n)$ . (dominated by priority queue)



# Example

Source alphabet  $S = \{a, b, c, d, e\}$ ,  
frequencies respectively  $\{0.32, 0.25, 0.20, 0.18, 0.05\}$

# Remarks

# Remarks

- ▶ How would you think up Huffman's algorithm? What is routine, what is insightful?

# Remarks

- ▶ How would you think up Huffman's algorithm? What is routine, what is insightful?
- ▶ Insight 1: Representing codes using tries, and formulating the problem as finding a trie.

# Remarks

- ▶ How would you think up Huffman's algorithm? What is routine, what is insightful?
- ▶ Insight 1: Representing codes using tries, and formulating the problem as finding a trie.
- ▶ Routine: Figuring out the properties of the optimal trie.

# Remarks

- ▶ How would you think up Huffman's algorithm? What is routine, what is insightful?
- ▶ Insight 1: Representing codes using tries, and formulating the problem as finding a trie.
- ▶ Routine: Figuring out the properties of the optimal trie.
- ▶ Insight 2: Combining characters together.