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Near Optimal Hierarchical Encoding of Types¹

Andreas Krall Jan Vitek R. Nigel Horspool

Abstract

A type inclusion test is a procedure to decide whether two types are related by a given subtyping relationship. An efficient implementation of the type inclusion test plays an important role in the performance of object oriented programming languages with multiple subtyping like C++, Eiffel or Java. There are well-known methods for performing fast constant time type inclusion tests that use a hierarchical bit vector encoding of the partial ordered set representing the type hierarchy. The number of instructions required by the type inclusion test is proportional to the length of those bit vectors. We present a new algorithm based on graph coloring which computes a near optimal hierarchical encoding of type hierarchies. The new algorithm improves significantly on previous results – it is faster, simpler and generates smaller bit vectors.

1 Introduction

Checking the type of a value is a common operation in typed programming languages. In many cases this requires little more than a comparison. But, modern languages – those which allow types to be extended – complicate matters slightly. Type tests must check for inclusion of types, that is, whether a given type is an extension (or a subtype) of another type. The subtyping relation, a partial order on types, written <:, is the transitive and reflexive closure of the direct subtype relation <:d. The common practice for object-oriented programming languages is to derive <:d directly from the inheritance structure of a program. Thus, each class A defines a type A, and A is a subtype of B either if A = B, or if A inherits from B.

Type inclusion tests can occur so frequently in programs, particularly object-oriented programs, as to put a strain on the overall system performance. It is important to have type inclusion testing techniques which are both fast and constant-time. However, these techniques should also be economical in space.

The techniques developed in this paper are based on a scheme called *hierarchical encoding*. This scheme represents each type as a set of natural numbers. The sets must be chosen so that either

 $x <: y \Leftrightarrow \gamma(x) \supseteq \gamma(y)$ (top down encoding)

or

 $x <: y \Leftrightarrow \gamma(x) \subseteq \gamma(y)$ (bottom up encoding)

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where $\gamma(x)$ maps type *x* to its set representation. Thus, the set used for a subtype has to be a superset of the set representing its parent. The sets have a natural representation as bit vectors. An example for a small hierarchy is shown in figure 1 (top down encoding) and figure 2 (bottom up encoding). In the bit vector representation the test function for hierarchical top down encoding becomes

 $x <: y \Leftrightarrow \gamma(x) \lor \gamma(y) = \gamma(x)$

or alternatively

 $x <: y \Leftrightarrow \gamma(x) \land \gamma(y) = \gamma(y)$







Figure 2: Hierarchical encoding (bottom up)

The following sections briefly discuss previous work on type inclusion tests. Subsequently, we describe our new method which uses graph coloring techniques to find nearly optimal set representations for types in a multiple inheritance hierarchy. Finally, we present experimental results which show that our new method is significantly better than the competing method on three counts. It generates significantly shorter bit vectors, it computes the vectors faster, and it requires less working storage.

2 Previous work

One 'obvious' algorithm for implementing the type inclusion test is that described by Wirth[9]. To test if x <: y, the algorithm proceeds up the inheritance hierarchy from x to see if y is an ancestor. However, the algorithm does not run in constant time, which is a problem if the hierarchy becomes large, and the basic algorithm works only for single inheritance hierarchies. Generalizing the method to work with multiple inheritance, either by using backtracking or by constructing sets of parents, makes it slower still.

Another 'obvious' algorithm, and one which achieves a fast constant time test, is to use a precomputed matrix that records all possible relationships. An element M[x,y] in the binary matrix holds a 1 if x <: y and 0 otherwise. Although this implementation is used by some O-O languages, it has the drawback that the matrix can be very large. If there are 2000 types, the matrix will consume nearly 500 KB. (There are a number of schemes for compacting the matrix at the expense of making a look-up in the matrix much slower.)

Cohen showed how the type inclusion test can be implemented in constant time using the concept of displays to precompute paths through the inheritance hierarchy[3]. However, Cohen's method uses much more memory and, in its original form, is applicable only to single inheritance hierarchies.

Caseau took a different path based on hierarchical top down encoding. He was inspired by a method originally developed for fast implementation of lattice operations [1] based on hierarchical bottom up encoding and adapted it to the type inclusion problem[2]. Caseau's scheme computes a bit vector for each type. The bit vector represents a set of *genes*, where a gene is represented by a natural number. Each type that has only one parent in the hierarchy has an associated gene. A type with multiple parents has no associated gene. The bit vector for a type T is computed as the set of all genes associated with itself and with all ancestors of T. Testing if x <: y is implemented as a test to see if the set of genes for type x is a superset of the set for y. Caseau's method requires that the type hierarchy be a lattice. This requirement may force extra nodes to be added to the hierarchy. Caseau gave an incremental algorithm for maintaining the lattice property and gave a backtracking technique for finding sets of genes and for updating previously computed sets of genes as the hierarchy is constructed in a top-down manner.

Problems with implementing Caseau's algorithm inspired us to develop our own method for finding sets of genes. We encountered situations where the Caseau algorithm produces incorrect results. Such an example is shown in 3. Even if we assume that the error can be corrected, Caseau's method for maintaining the lattice property may force the addition of an exponential number of additional nodes (and therefore also require exponential running time). The worst case is unlikely to occur in practice, but this is nevertheless undesirable behavior. We also discovered that the number of distinct genes used by Caseau's algorithm may be considerably more, sometimes by a factor of 4, than the optimal number. Since the number of genes determines the sizes of the bit vectors (and therefore determines the running time of the set inclusion test too), it is important to minimize the number.



Figure 3: An incorrect encoding produced by Caseau's algorithm

3 Near optimal hierarchical encoding

Our near optimal hierarchical encoding algorithm is similar to Caseau's because it also relies on a top down encoding. But, unlike Caseau's algorithm, our algorithm does not require the hierarchy to have a lattice structure – it can encode any partially ordered set. We rely on balancing the height of the hierarchy and use graph coloring to find a near optimal solution. The algorithm was designed for fast execution (it has worst case quadratic run time complexity) for integration in compilers for object oriented programming languages with multiple inheritance or multiple subtyping. Instead of performing a full and slow search for optimal encodings, we have used simple heuristics to find a near optimal solution in a matter of seconds.

3.1 The basic algorithm

To make hierarchical encoding of partially ordered sets practical, we must avoid any restriction to lattice structures and thereby avoid exponential behavior. We can easily eliminate such a restriction if we associate a gene (i.e. a distinguishing bit) with all nodes in the hierarchy. In contrast, Caseau's method associates a gene only with nodes that have a single parent. However, a better solution is to determine which nodes actually need a gene.

For the purpose of describing our algorithm, we first give some definitions:

parents(x)	// all nodes which are a direct supertype of x
children(x)	// all nodes which are a direct subtype of x
ancestors(x)	// all nodes which are a supertype of x
descendants(x)	// all nodes which are a subtype of x
singles	// all nodes in the hierarchy with a single parent
multis	// all nodes with more than one parent

All nodes $m \in singles$ need a gene. All nodes $m \in multis$ for which $\exists n \in multis$ and not n <: m need a gene if

 $ancestors(m) \cap singles \subseteq ancestors(n)$.

The algorithm then determines which nodes cannot use the same genes. For each node, the set of conflicting nodes is determined and a conflict graph is constructed. An edge in the conflict graph means that two nodes are not allowed to use the same gene.

The conflict graph is constructed as follows. Every node conflicts with all descendants of its parents. In addition, a node N conflicts with all ancestors of any descendants of N's parents if these descendants are not descendants of N.

After the conflict graph has been constructed, graph coloring is used to find a solution to the gene assignment problem. The hierarchical code of a node is then computed as the union of the genes for all its ancestors and for itself.

A better, near optimal, solution can be found if children lists are split and the hierarchy is *balanced* before the conflict sets are computed. The next two subsections describe both coloring and balancing in some detail. The main steps of the encoding algorithm are as follows (complete pseudocode can be found in the appendix).

mark all nodes in hierarchy which need a gene split children lists and balance the hierarchy compute conflict graph color the conflict graph compute code

3.2 Coloring the conflict graph

Computing the chromatic number of a graph (determining the minimal number of colors needed to color vertices of the graph) is a NP-complete problem. There exist backtracking algorithms which can compute the chromatic number for very small graphs (up to 100 vertices), there are probabilistic algorithms with almost polynomial run time [4] and there are genetic, tabu and hybrid algorithms for graph coloring [5]. But all these algorithms are unusable for the large conflict graphs which we must construct for type hierarchies. The graphs may have 2000 vertices and 200000 edges.

There is, however, a class of very fast heuristic algorithms which give good results on many graphs. These sequential vertex coloring algorithms [8] have a run time which is linear in the number of vertices plus the number of edges in the conflict graph [7]. All these algorithms order the vertices according to some predetermined criteria and color the vertices in this order. If no color, out of those used so far, can be reused for the current vertex, the number of colors is increased by one and the vertex is assigned the new color. Otherwise, one of the existing colors, one which does not cause a conflict for the current vertex, is selected.

[8] presents two algorithms which give the best results: *largest degree first* ordering and *smallest degree last* ordering. *Largest degree first* ordering sorts the vertices by the vertex degree (number of edges from the vertex) and starts coloring with the vertex with the largest degree. *Smallest degree last* ordering recursively removes the vertex with the smallest degree together with all its edges from the graph and colors the vertices in reverse order of removal. Often the *smallest degree last* algorithm gives the best results.

Another possibility is to construct a vertex order from the structure of the hierarchy. The simplest order is generated by a top down, depth-first, traversal of the hierarchy. A different order is based on a topologically sorted order. Here, the top down traversal is modified so that it descends to a node N in the hierarchy only if all parents of N have already been visited. This traversal visits the nodes in an order similar to that assumed by Caseau in his algorithm. We will refer to this order as the *Caseau order*. An evaluation of all these algorithms shows that the *smallest degree last* algorithm gives the best results (see section 4 table 4). For many hierarchies, this algorithm finds an optimal result.

There are different strategies for choosing which color to reuse for the current vertex. If the colors are numbered in order of first use, two simple strategies are to use the color with (1) the smallest number or (2) the largest number. Another strategy is to choose the most heavily used color which does not cause a conflict. Table 5 in section 4 shows some results using these strategies. The strategy that selects the most used color weighted by the degree of the node often gave the best results in our experiments. Since there is no consistent winner, a mixed strategy which tries more than one method and then picks the best result might be appropriate.

In [7], an improvement to sequential vertex coloring is presented. If there is no unused color available, an color exchange is tried. First all conflicting colors are collected which conflict only once with the vertex to color. Then there is a search for a vertex which is not in conflict with one of these collected vertices and the new vertex. If such a vertex can be found, the colors can be exchanged and the new vertex can be colored. Unfortunately, we found that this color exchange strategy does not work for the conflict graphs constructed for our type hierarchies. Our graphs tend to have so many edges that there are no nodes which can be exchanged.

3.3 Splitting and balancing the hierarchy

Caseau noted in [2] that the number of bits needed for hierarchical encoding is greatly influenced by the number of children at a node. If a node has k children, then k distinct genes are immediately needed to distinguish these children. To reduce this number when k is large, we can either use more than one gene to distinguish the different children or we can split the children into smaller groups by adding additional nodes to the hierarchy. Using more bits to identify a type complicates the algorithm and makes it difficult to find a near optimal solution. Therefore, whenever a node had more than 8 children, Caseau split them into two groups and introduced two additional nodes as parents for those groups. Repeatedly applying this technique reduces the total number of genes needed, but it is far away of an optimal strategy.

We also use the idea of splitting children into groups but we attempt to balance the hierarchy when inserting new nodes. A lower bound on the number of genes needed for hierarchical encoding may be constructed as maximum over all weighted path lengths from the root node to a leaf node. The path length for a leaf node is

$$\sum |children(N)|$$

where children(N) is the set of child nodes for node N for all nodes N on the longest path from the root node to the leaf node. Only child nodes which need a gene are counted for the path length. For hierarchies which are trees, the largest path length also provides the optimal solution. An optimal solution for the hierarchical encoding of trees can be constructed by splitting children lists and generating a balanced binary tree which minimizes the path length. A bottom-up algorithm can be used to balance the tree. The example in figure 4 shows the number of genes needed being reduced from 5 to 4 by balancing.

An optimal balancing algorithm appears to be feasible only for tree-structured hierarchies. With multiple subtyping, the hierarchy has to be balanced to generate the minimal chromatic number for its conflict graph. Since computing the minimal chromatic number is NP-complete, the balancing problem is very likely to be NP-complete too. We therefore looked for a heuristic solution. In practice, most multiple subtyping hierarchies deviate only slightly from a tree structure. Heuristics based on the tree balancing method should work satisfactorily when taking into account the characteristics of multiple inheritance hierarchies.



Figure 4: Balancing a tree

If we are balancing a tree, splitting the children into two groups can be performed arbitrarily. In the multiple subtyping case, children which share some common descendants should be assigned to the same group. If we did not do that, coloring is made harder because these common descendants would gain an additional parent node.

The splitting process is made faster if it is performed in two stages. A 'presplitting' pass does a heuristic split into two groups and adding two parent nodes until the groups are smaller than a certain limit (currently 14 nodes) using precomputed path lengths. The second pass recomputes the path lengths after every split and does a more complicated split inserting one or two nodes.

The presplitting pass computes an optimistic path length for every leaf node. These optimistic path lengths only count less than three children per node. It is assumed that the hierarchy can be balanced without introducing nodes on the critical path. A leaf node's path length is propagated together with an unique number to all ancestors of the leaf node. During propagation larger path lengths overwrite any smaller ones. Furthermore the set of all descendants of a node are computed as a bit vector. Using these sets, children which are detected to have overlapping descendant sets are placed in the same bucket. All children lists are sorted according to three criteria. The primary criterion is by bucket, the secondary criterion is by leaf nodes, and the third by the size of the path length. Then every list of children which is longer than the limit is split into two parts so that the lengths of both lists are smaller than the largest power of two which is smaller than the original length of the list.

The second splitting pass precomputes the correct path length after every split, and uses the sum of all children which need a gene on the path from the root to a leaf. The leaf's path length is again propagated to all ancestors. Then the ancestors of the leaf node with the largest path length are checked for a children list to split. This splitting takes care that ancestors of the leaf node are in the same list after splitting. The path lengths of the nodes are also taken into account and depending on the requirements one or two new nodes are inserted.

3.4 Space and time complexity

A careful implementation of the algorithm needs 66 milliseconds for the smallest hierarchy and 4742 milliseconds for the largest hierarchy for encoding the hierarchy on an Alpha workstation with a 300MHz 21064 processor. The worst case time complexity of the algorithm is quadratic. The average complexity is lower and depends on the number of edges in the conflict graph. The

input	marking	splitting		conflict	graph
management		рге	final	graph	coloring
6.6%	6.2%	3.1%	58.4%	21.3%	4.4%

Table 1: Execution profile of the encoding algorithm

marking part is quadratic in the number of nodes that have more than one parent (i.e. the size of *multis*). Each splitting step during balancing is linear in the number of nodes, but since the number of nodes can be doubled this also implies quadratic complexity. Coloring is linear in the sum of nodes and edges in the conflict graph. The number of edges is limited by the number of nodes squared, but usually is about twice as large as the average number of ancestors times the number of nodes. Table 1 shows the proportion of the total run time spent on each of the algorithm's subtasks.

The space cost is dominated by the storage needed for the conflict graph. The graph is stored in two representations. One is a bit vector to provide a fast check to see if a conflict has already been entered in the graph. The second is a list representation that allows fast sequential access to conflicting nodes. If space is a concern, computation time can be traded for space. It is not necessary to store the conflict graph. It can be computed twice. Initially, only the degree for each node is stored, and then the nodes are sorted according to decreasing degree. Subsequently, the conflicts are computed for each node and immediately colored. This increases the time, but reduces space requirements.

4 Results

This last section evaluates different aspects of the algorithm and compares the performance of the algorithm with other approaches. As test data, we used a collection of class libraries compiled by Karel Driesen. We also obtained the Laure type hierarchy from Yves Caseau [2] and the Java API library from Sun [6]. Table 2 presents the relevant characteristics of those libraries. The number of classes varies from 225 to 1956, representing both big applications and libraries. The depth of the hierarchy ranges from 7 to 18. The first four libraries use single inheritance only; the following ones use multiple inheritance with up to 16 parents per class. Except for the three programs written in LOV (a language similar to Eiffel), the average number of parents is close to one. For the three LOV programs, the average number of parents is close to two.

Table 3 shows the main result, the number of bits needed for the encoding using three different splitting strategies combined with two different coloring strategies. The first two columns show the number of genes needed for encoding the original hierarchy. The next two columns show the genes needed for a hierarchy where all classes with more than 8 children have been replaced by a class with two new classes as children each containing one half of the children of the original class. The last two columns show the results for a balanced hierarchy using the balancing algorithm described in the previous section. The two sequential coloring techniques use an ordering similar to that used by Caseau (top down after all parents of a class

library name	language	classes	depth	max parents	avg. parents
Visualworks2	Smalltalk-80	1956	15	1	1
digitalk3	Smalltalk-80	1357	14	1	1
NeXTStep	Objective-C	311	8	1	1
ET++	C++	371	9	1	1
Unidraw	C++	614	10	2	1.01
Self	Self	1802	18	9	1.05
Geode	Eiffel/LOV	1319	14	16	1.89
Ed	Eiffel/LOV	434	11	7	1.66
LOV	Eiffel/LOV	436	10	10	1.71
Laure	Laure	295	12	3	1.07
Java	Java	225	7	3	1.04

Table 2: Hierarchy characteristics

have been colored) and the smallest degree last ordering. Note that Caseau's algorithm cannot directly encode all our hierarchies because of it requires every hierarchy to be a lattice; we only color the classes in a sequence which is similar to the ordering of his algorithm. To compare Caseau's results with ours, it is necessary to compare the column 'Caseau of max 8 children' with the last column. Our algorithm can reduce the sizes of the encodings down to one quarter of those produced by Caseau's algorithm.

Table 4 gives the performance using six different sequential coloring techniques. The first column (smallest first) is the worst ordering; it starts with the class which has the smallest degree (the smallest number of conflicting classes). Random ordering takes the classes in the order they are read in. Top down ordering traverses the hierarchy in a depth first manner from the root node down to the leaf nodes. The Caseau ordering also traverses the hierarchy top down, but it colors a class only after all parent classes have been colored. Largest degree first and smallest degree last are the orderings suggested by Matula [8] and give the best results for our conflict graphs. The 'lower bound' column gives an estimate for the lower bound using the largest path length as described in the previous section. This estimate is quite accurate for tree-like hierarchies but is only approximate for other hierarchies. In many cases, the coloring needs the same number of colors as estimated by the lower bound and this shows that an optimal solution has been found. It is evident that conflict graphs resulting from single inheritance hierarchies can colored optimally regardless of the algorithm used.

The quality of a sequential coloring algorithm not only depends on the ordering of the vertices but also on the color chosen if there is a choice of more than one non-conflicting color to reuse. The *last use coloring method* sorts the colors by their last uses and takes the first used color which does not conflict. The *largest coloring method* selects the color with the largest number while the *smallest coloring method* selects the color with the smallest number. The best color selection algorithms are based on an assumption that preferring a color which is heavily used should produce fewer conflicts later on. The *max use coloring method* counts the number of uses of each color and takes the most used one. The last two algorithms weight the use by the degree of the class. The *max sdl coloring method* weights the use count by the removal

	original hierarchy		max 8	children	balanced hierarchy	
		smallest		smallest		smallest
benchmark	Caseau	last	Caseau	last	Caseau	last
Visualworks2	420	420	124	124	50	50
digitalk3	325	325	116	116	36	36
NeXTStep	177	177	92	92	23	23
ET++	181	181	61	61	30	30
Unidraw	227	227	96	96	30	30
Self	297	297	180	180	54	53
Geode	429	426	231	228	110	96
Ed	130	126	91	80	62	55
LOV	133	128	96	86	69	58
Laure	34	33	34	33	23	23
Java	97	97	50	50	22	19

Table 3: Bit count of Caseau and near optimal coloring for different balanced hierarchies

	smallest		top		largest	smallest	lower
benchmark	first	random	down	Caseau	first	last	bound
Visualworks2	50	50	50	50	50	50	50
digitalk3	36	36	36	36	36	36	36
NeXTStep	23	23	23	23	23	23	23
ET++	30	30	30	30	30	30	30
Unidraw	30	30	30	30	30	30	30
Self	60	57	56	54	53	53	46
Geode	140	122	120	110	102	96	47
Ed	84	72	68	62	59	55	35
LOV	86	73	79	69	61	58	32
Laure	24	25	23	23	23	23	23
Java	22	22	22	22	19	19	19

Table 4: Bit count of different coloring techniques

	last use	largest	smallest	max use	max sdl	max ldf
benchmark	color	color	color	color	color	color
Visualworks2	50	50	50	50	50	50
digitalk3	36	36	36	36	36	36
NeXTStep	23	23	23	23	23	23
ET++	30	30	30	30	30	30
Unidraw	30	30	30	30	30	30
Self	54	53	53	53	53	53
Geode	99	98	99	99	98	96
Ed	55	58	58	56	58	55
LOV	62	62	61	61	62	58
Laure	23	23	23	23	23	23
Java	19	19	19	19	19	19

Table 5: Bit count of different color choosing techniques

degree obtained by the *smallest degree last* ordering, and the *max ldf coloring method* weights the use count by the unmodified degree. The *smallest* coloring method and the three *max use* methods sometimes give different best results. Because the computation time of the coloring is small compared to the time needed to construct the conflict graph, it makes sense to use all four algorithms and take the best result.

5 Conclusion

We have presented a near optimal algorithm for finding hierarchical encodings for type hierarchies. Our algorithm produces encodings which are up to four times shorter than encodings generated by a previous algorithm and therefore providing a faster type inclusion check for object oriented languages with multiple subtyping. The algorithm is also an order of magnitude faster which makes it practical for the use in compilers.

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Appendices

// definitions

parents(x)	<pre>// all nodes which are a direct supertype of x</pre>
children(x)	// all nodes which are a direct subtype of x
ancestors(x)	// all nodes which are a supertype of x
descendants(x)	// all nodes which are a subtype of x
mark(x)	// flag, is 1, if x need a distinguishing gene, 0 otherwise
length(x)	// longest path length between x and a leaf node
leaf(x)	// leaf node of the longest path which includes x
gene(x)	// gene number, bit position in bit vector
code(x)	// the bit vector of class x
singles	// all nodes in the hierarchy with a single parent
multis	// all nodes with with more than one parent

// mark all nodes of hierarchy which need a bit

 $mark(s) := 1 \forall s \in singles$

for each $m \in multis$ do

if $\exists n \in multis, \neg (n <: m), ancestors(m) \cap singles \subseteq ancestors(n)$ then mark(m) := 1else mark(m) := 0

// balance the hierarchy

```
\begin{array}{l} \textbf{define \ compute \ Jength(l \in Integer, \ leaf \in \ hierarchy, \ x \in \ hierarchy) \ \textbf{as}} \\ l := l + \sum \ mark(childx), \ \forall \ childx \in children(x) \\ \textbf{for each \ parentx} \in \ parents(x) \ \textbf{do} \\ \textbf{if \ length(parentx)} < l \ \textbf{then} \\ length(parentx) := l \\ leaf(parentx) := laf \\ compute \ Jength(l, \ leaf, \ parentx) \end{array}
```

 $length(x) := -1 \forall x \in hierarchy$

for each $leaf \in hierarchy, children(leaf) = \{\}$ do length(leaf) := 0

leaf(leaf) := leaf

compute_length(0, leaf, leaf)

for each x ∈ hierarchy, size(children(x)) > 2 do
split children(x) and add one or two nodes to hierarchy

if this is possible without increasing length(y) for any $y \in hierarchy$

// compute conflict graph

for each $x \in$ hierarchy do

parx := parents(x)

if parx = **then** $parx := \{x\}$

for each $y \in descendants(p)$, $y \neq x$, $\forall p \in parx$ do

enter conflict between x and y in conflict graph

if $y \in multis$, $\neg (y < :x)$ then

 $\forall anc \in ancestors(y), anc \neq y, enter conflict between x and anc in conflict graph$

// color the conflict graph

for each x imes hierarchy in decreasing order of conflict graph degree do
if mark(x) = 1 then gene(x) := the most used non conflicting gene

// compute code

for each $x \in hierarchy$ do

 $code(x) := \cup gene(ancx), \forall ancx \in ancestors(x)$