

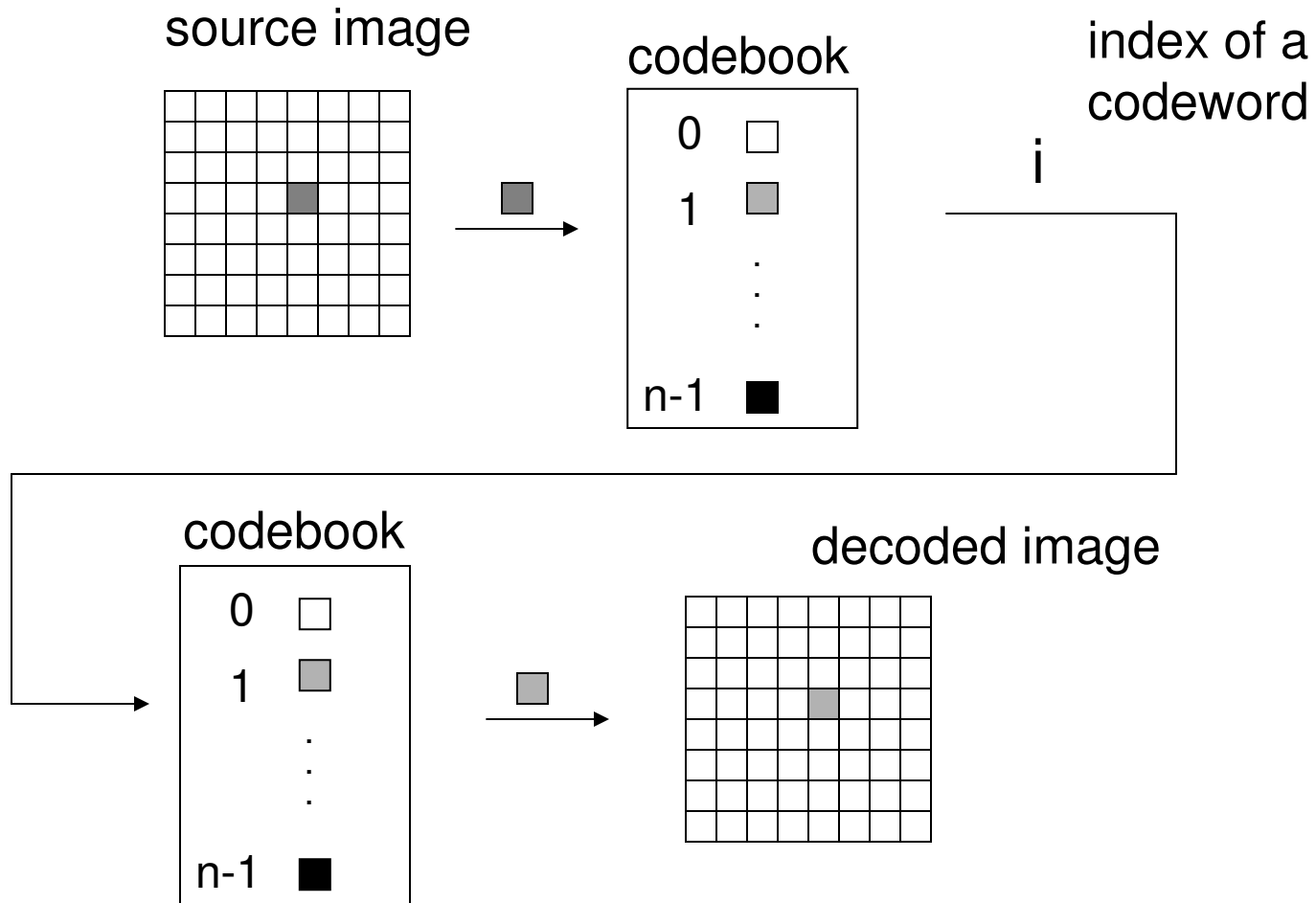
CSEP 590  
Data Compression  
Autumn 2007

Scalar Quantization  
Vector Quantization

# Lossy Image Compression Methods

- DCT Compression
  - JPEG
- Scalar quantization (SQ).
- Vector quantization (VQ).
- Wavelet Compression
  - SPIHT
  - GTW
  - EBCOT
  - JPEG 2000

# Scalar Quantization



# Scalar Quantization Strategies

- Build a codebook with a training set. Encode and decode with fixed codebook.
  - Most common use of quantization
- Build a codebook for each image. Transmit the codebook with the image.
- Training can be slow.

# Distortion

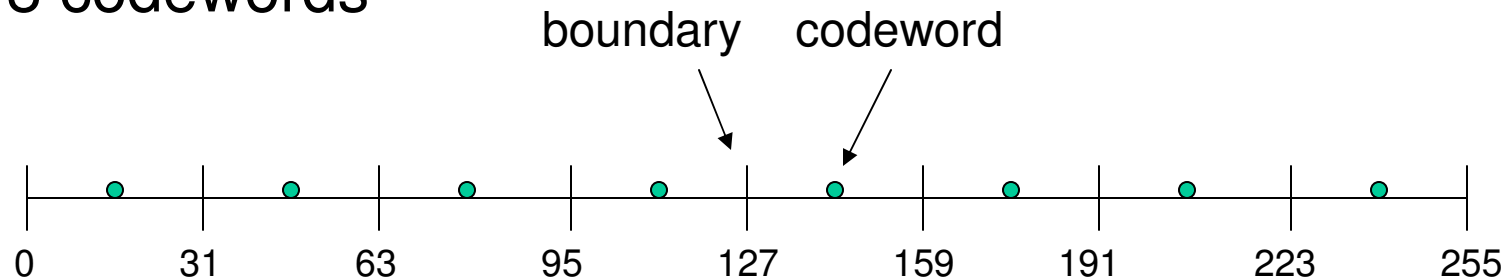
- Let the image be pixels  $x_1, x_2, \dots, x_T$ .
- Define  $\text{index}(x)$  to be the index transmitted on input  $x$ .
- Define  $c(j)$  to be the codeword indexed by  $j$ .

$$D = \sum_{i=1}^T (x_i - c(\text{index}(x_i)))^2 \quad (\text{Distortion})$$

$$\text{MSE} = \frac{D}{T}$$

# Uniform Quantization Example

- 512 x 512 image with 8 bits per pixel.
- 8 codewords



## Codebook

Index	0	1	2	3	4	5	6	7
Codeword	16	47	79	111	143	175	207	239

# Uniform Quantization Example

## Encoder

input	0-31	32-63	64-95	96-127	128-159	160-191	192-223	224-255
code	000	001	010	011	100	101	110	111

## Decoder

code	000	001	010	011	100	101	110	111
output	16	47	79	111	143	175	207	239

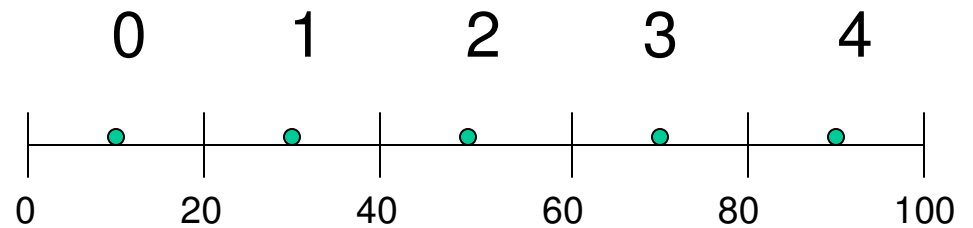
Bit rate = 3 bits per pixel

Compression ratio =  $8/3 = 2.67$

# Example

- $[0,100)$  with 5 symbols
- $Q = 20$

Encode	Decode
$0 = \left\lfloor \frac{10}{20} \right\rfloor$	$(0 + 1/2) \cdot 20 = 10$
$1 = \left\lfloor \frac{30}{20} \right\rfloor$	$(1 + 1/2) \cdot 20 = 30$
$2 = \left\lfloor \frac{50}{20} \right\rfloor$	$(2 + 1/2) \cdot 20 = 50$
$\vdots$	





# Alternative Uniform Quantization Calculation with Push to Zero

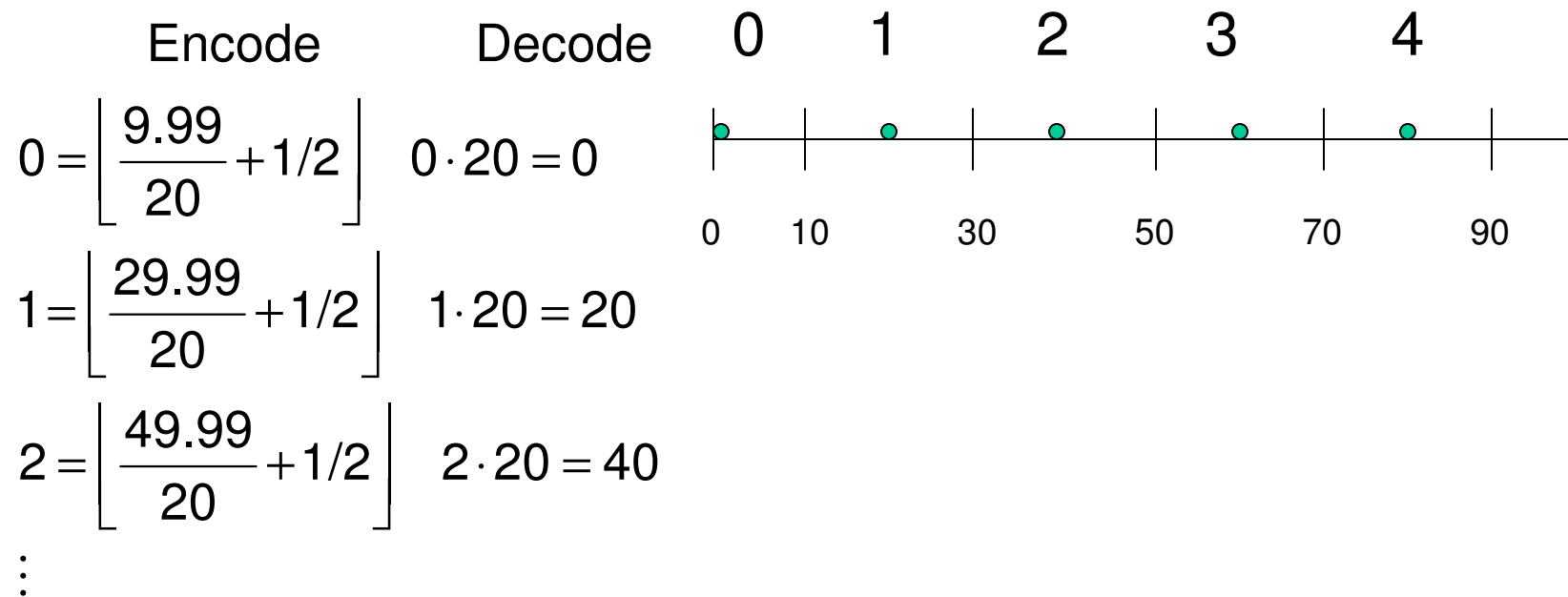
- Range = [min, max)
- Target is S symbols
- Choose  $Q = (\max - \min)/S$

- Encode  $x$        $s = \left\lfloor \frac{x}{Q} + 1/2 \right\rfloor$

- Decode  $s$        $x' = s Q$

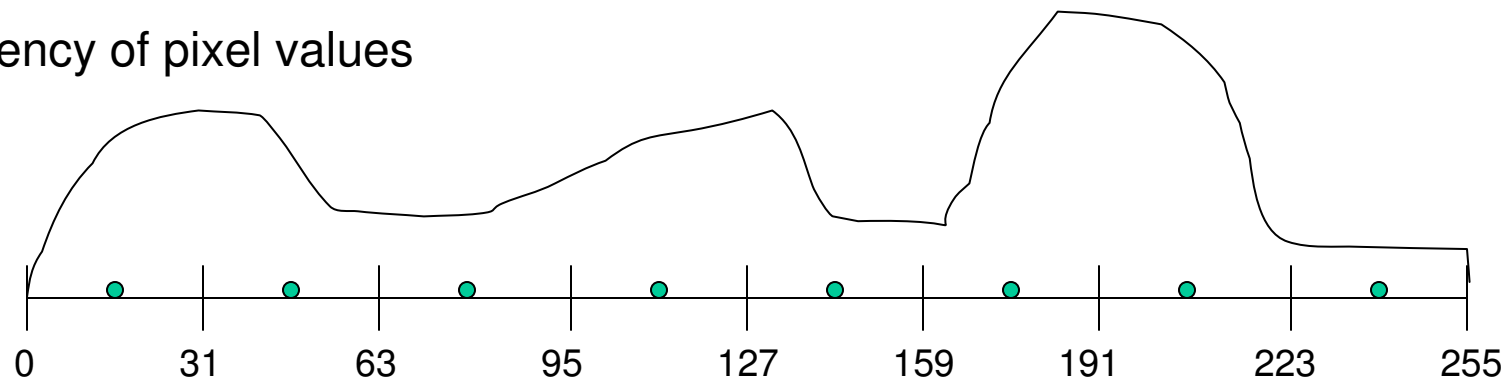
# Example

- $[0,90)$  with 5 symbols
- $Q = 20$



# Improving Bit Rate

Frequency of pixel values



$q_j$  = the probability that a pixel is coded to index  $j$   
Potential average bit rate is entropy.

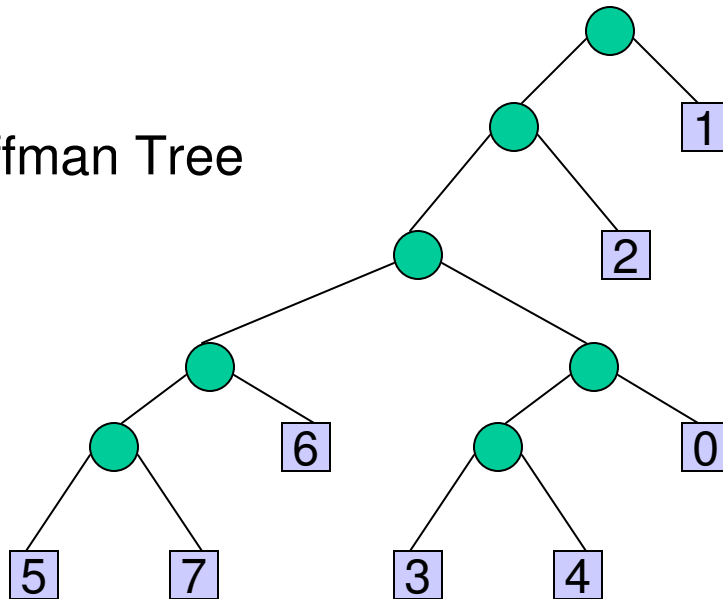
$$H = \sum_{j=0}^{255} q_j \log_2 \left( \frac{1}{q_j} \right)$$

# Example

- 512 x 512 image = 216,144 pixels

index	0	1	2	3	4	5	6	7
input	0-31	32-63	64-95	96-127	128-159	160-191	192-223	224-255
frequency	25,000	100,000	90,000	10,000	10,000	10,000	18,000	9,144

Huffman Tree

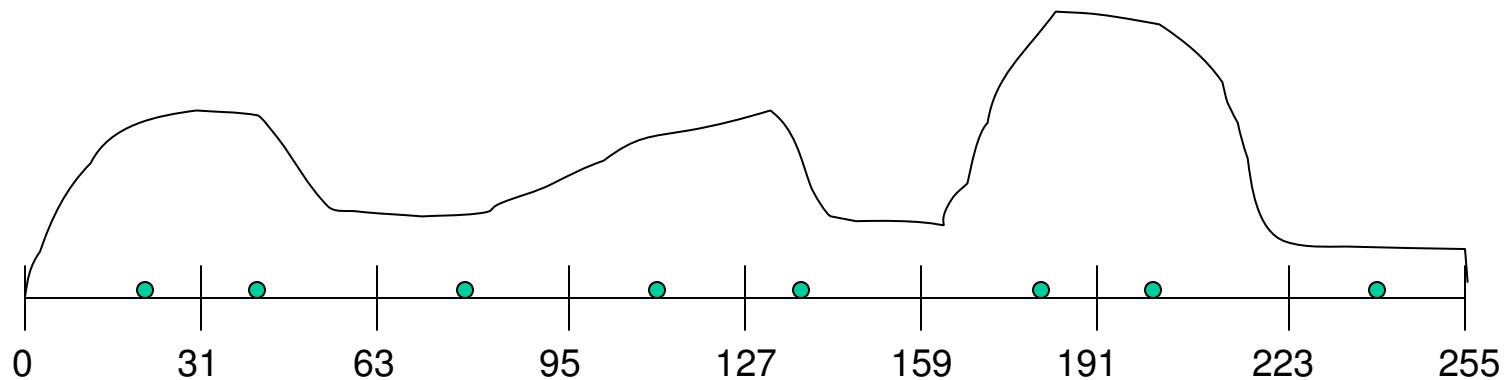


$$\begin{aligned}
 \text{ABR} &= (100000 \times 1 + \\
 &\quad 90000 \times 2 + \\
 &\quad 43000 \times 4 + \\
 &\quad 39144 \times 5) / 216144 \\
 &= 2.997
 \end{aligned}$$

Arithmetic coding should work better.

# Improving Distortion

- Choose the codeword as a weighted average



Let  $p_x$  be the probability that a pixel has value  $x$ .

Let  $[L_j, R_j)$  be the input interval for index  $j$ .

$c(j)$  is the codeword indexed  $j$

$$c(j) = \text{round}\left(\sum_{L_j \leq x < R_j} x \cdot p_x\right)$$

# Example

All pixels have the same index.

pixel value	8	9	10	11	12	13	14	15
frequency	100	100	100	40	30	20	10	0

$$\text{New Codeword} = \text{round}\left(\frac{8 \cdot 100 + 9 \cdot 100 + 10 \cdot 100 + 11 \cdot 40 + 12 \cdot 30 + 13 \cdot 20 + 14 \cdot 10 + 15 \cdot 0}{400}\right) = 10$$

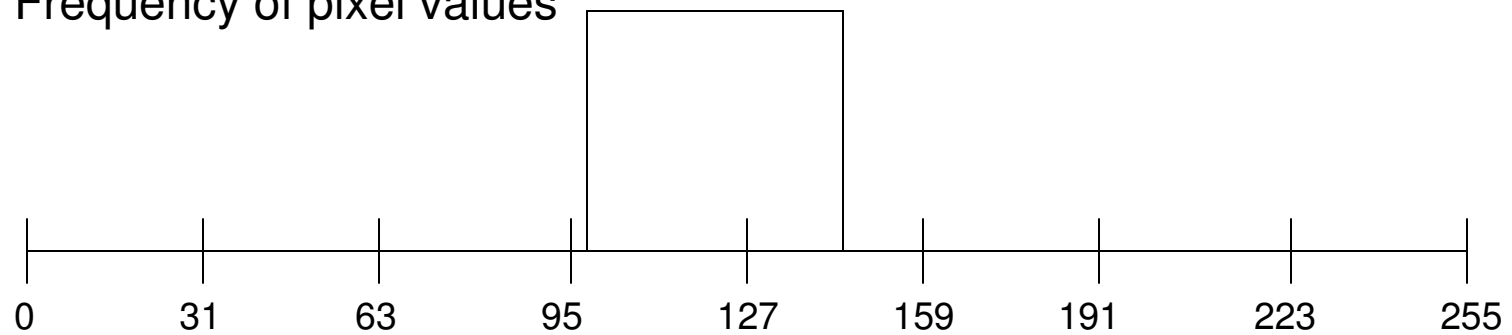
$$\text{Old Codeword} = 11$$

$$\text{New Distortion} = 140 \cdot 1^2 + 130 \cdot 2^2 + 20 \cdot 3^2 + 10 \cdot 4^2 = 10000$$

$$\text{Old Distortion} = 130 \cdot 1^2 + 120 \cdot 2^2 + 110 \cdot 3^2 = 16000$$

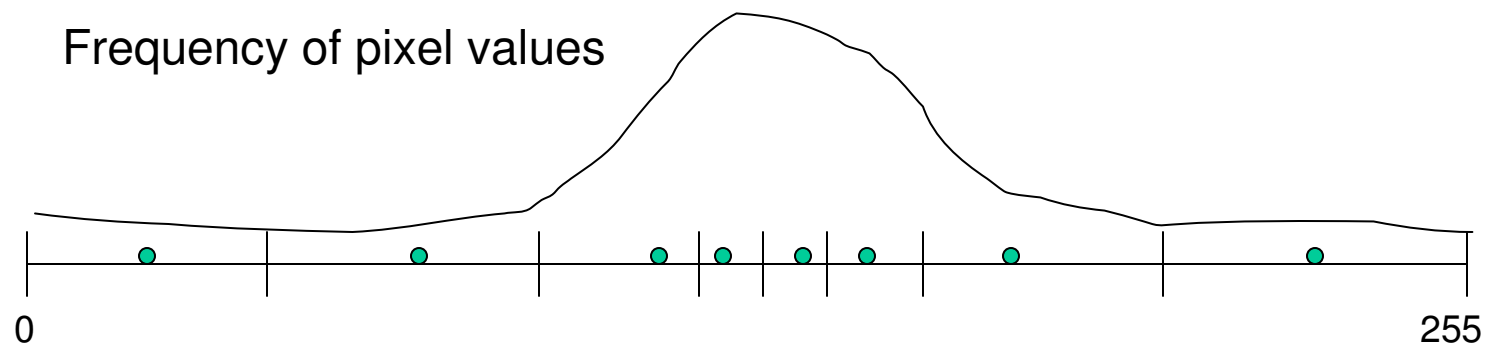
# An Extreme Case

Frequency of pixel values



Only two codewords are ever used!!

# Non-uniform Scalar Quantization



- codeword
- | boundary between codewords



# Lloyd Algorithm

- Lloyd (1957)
- Creates an optimized codebook of size  $n$ .
- Let  $p_x$  be the probability of pixel value  $x$ .
  - Probabilities might come from a training set
- Given codewords  $c(0), c(1), \dots, c(n-1)$  and pixel  $x$  let  $\text{index}(x)$  be the index of the **closest** code word to  $x$ .
- Expected distortion is

$$D = \sum_x p_x (x - c(\text{index}(x)))^2$$

- Goal of the Lloyd algorithm is to find the codewords that minimize distortion.
- Lloyd finds a **local** minimum by an iteration process.

# Lloyd Algorithm

Choose a small error tolerance  $\varepsilon > 0$ .

Choose start codewords  $c(0), c(1), \dots, c(n-1)$

Compute  $X(j) := \{x : x \text{ is a pixel value closest to } c(j)\}$

Compute distortion  $D$  for  $c(0), c(1), \dots, c(n-1)$

Repeat

    Compute new codewords

$$c'(j) := \text{round}\left(\sum_{x \in X(j)} x \cdot p_x / p_{X(j)}\right)$$

    Compute  $X'(j) = \{x : x \text{ is a pixel value closest to } c'(j)\}$

    Compute distortion  $D'$  for  $c'(0), c'(1), \dots, c'(n-1)$

    if  $|(D - D')/D| < \varepsilon$  then quit

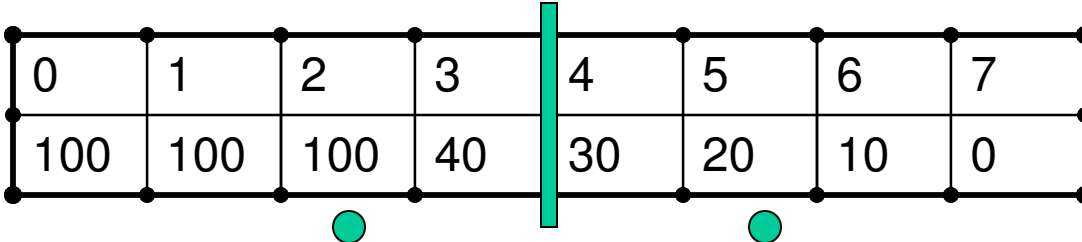
    else  $c := c'; X := X', D := D'$

End{repeat}

# Example

Initially  $c(0) = 2$  and  $c(1) = 5$

pixel value	0	1	2	3	4	5	6	7
frequency	100	100	100	40	30	20	10	0



$$X(0) = [0,3], X(1) = [4,7]$$

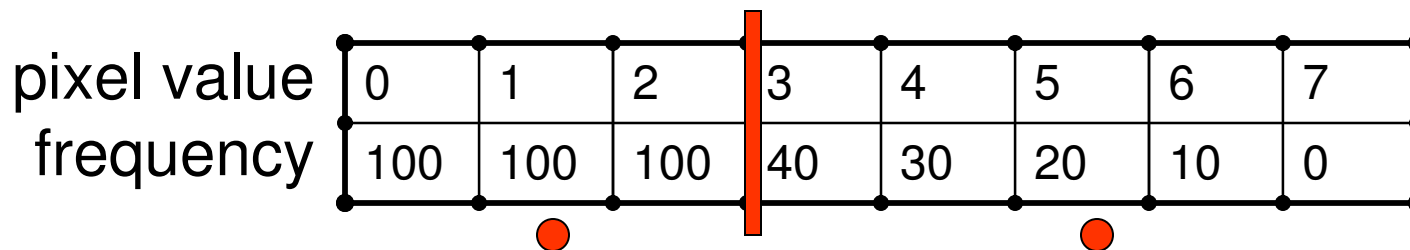
$$D(0) = 140 \cdot 1^2 + 100 \cdot 2^2 = 540; D(1) = 40 \cdot 1^2 = 40$$

$$D = D(0) + D(1) = 580$$

$$c'(0) = \text{round}((100 \cdot 0 + 100 \cdot 1 + 100 \cdot 2 + 40 \cdot 3) / 340) = 1$$

$$c'(1) = \text{round}((30 \cdot 4 + 20 \cdot 5 + 10 \cdot 6 + 0 \cdot 7) / 60) = 5$$

# Example



$$c'(0) = 1; c'(1) = 5$$

$$X'(0) = [0,2]; X'(1) = [3,7]$$

$$D'(0) = 200 \cdot 1^2 = 200$$

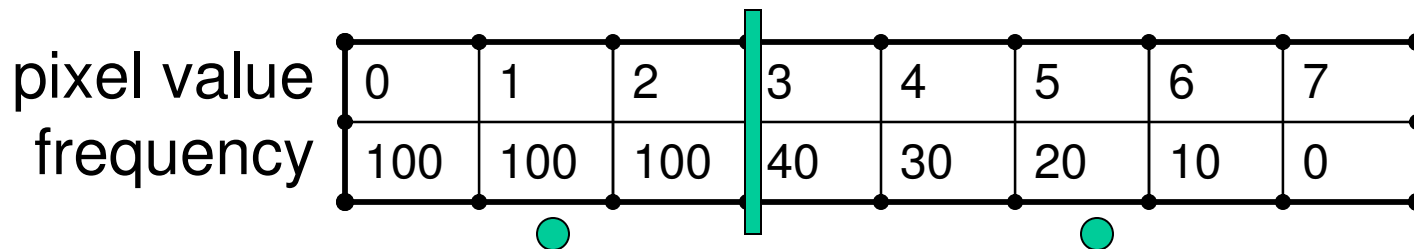
$$D'(1) = 40 \cdot 1^2 + 40 \cdot 2^2 = 200$$

$$D' = D'(0) + D'(1) = 400$$

$$|(D - D')/D| = (580 - 400)/580 = .31$$

$$c := c'; X := X'; D := D'$$

# Example



$$c(0) = 1; c(1) = 5$$

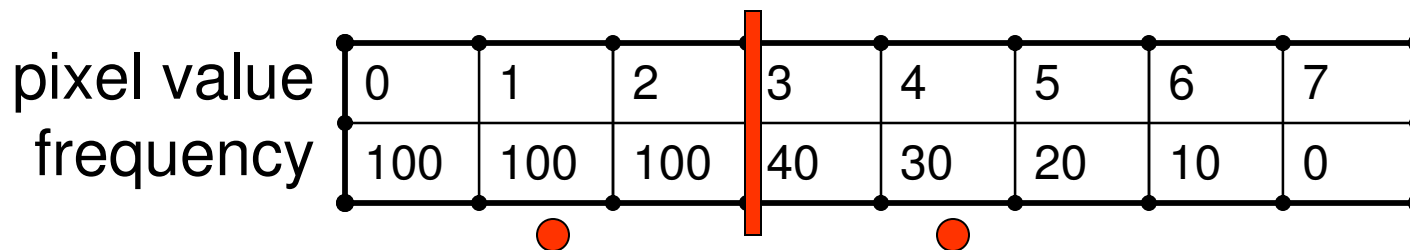
$$X(0) = [0,2]; X(1) = [3,7]$$

$$D = 400$$

$$c'(0) = \text{round}((100 \cdot 0 + 100 \cdot 1 + 100 \cdot 2)/300) = 1$$

$$c'(1) = \text{round}((40 \cdot 3 + 30 \cdot 4 + 20 \cdot 5 + 10 \cdot 6 + 0 \cdot 7)/100) = 4$$

# Example



$$c'(0) = 1; c'(1) = 4$$

$$X'(0) = [0, 2]; X'(1) = [3, 7]$$

$$D'(0) = 200 \cdot 1^2 = 200$$

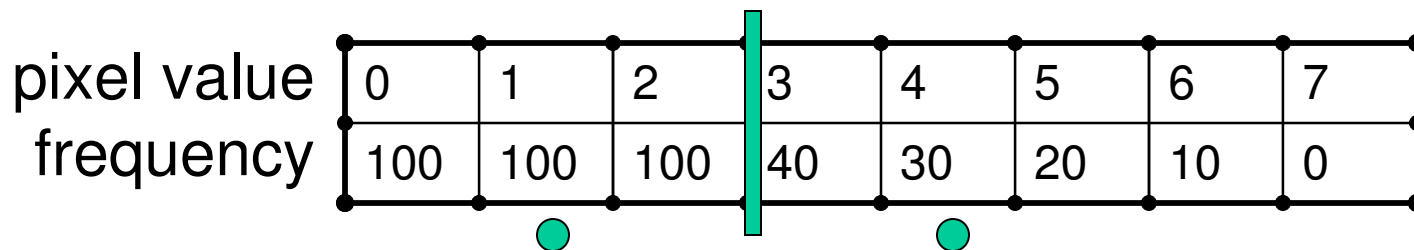
$$D'(1) = 60 \cdot 1^2 + 10 \cdot 2^2 = 100$$

$$D' = D'(0) + D'(1) = 300$$

$$|(D - D')/D| = (400 - 300)/580 = .17$$

$$c := c'; X := X'; D := D'$$

# Example



$$c(0) = 1; c(1) = 4$$

$$X(0) = [0,2]; X(1) = [3,7]$$

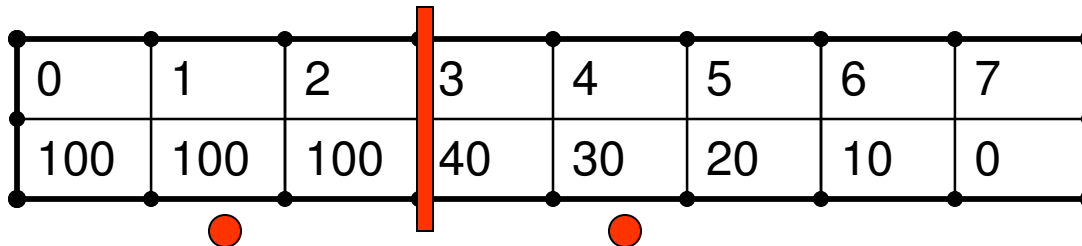
$$D = 400$$

$$c'(0) = \text{round}((100 \cdot 0 + 100 \cdot 1 + 100 \cdot 2)/300) = 1$$

$$c'(1) = \text{round}((40 \cdot 3 + 30 \cdot 4 + 20 \cdot 5 + 10 \cdot 6 + 0 \cdot 7)/100) = 4$$

# Example

pixel value	0	1	2	3	4	5	6	7
frequency	100	100	100	40	30	20	10	0



$$c'(0) = 1; c'(1) = 4$$

$$X'(0) = [0,2]; X'(1) = [3,7]$$

$$D'(0) = 200 \cdot 1^2 = 200$$

$$D'(1) = 60 \cdot 1^2 + 10 \cdot 2^2 = 100$$

$$D' = D'(0) + D'(1) = 300$$

$$|(D - D')/D| = (300 - 300)/580 = 0$$

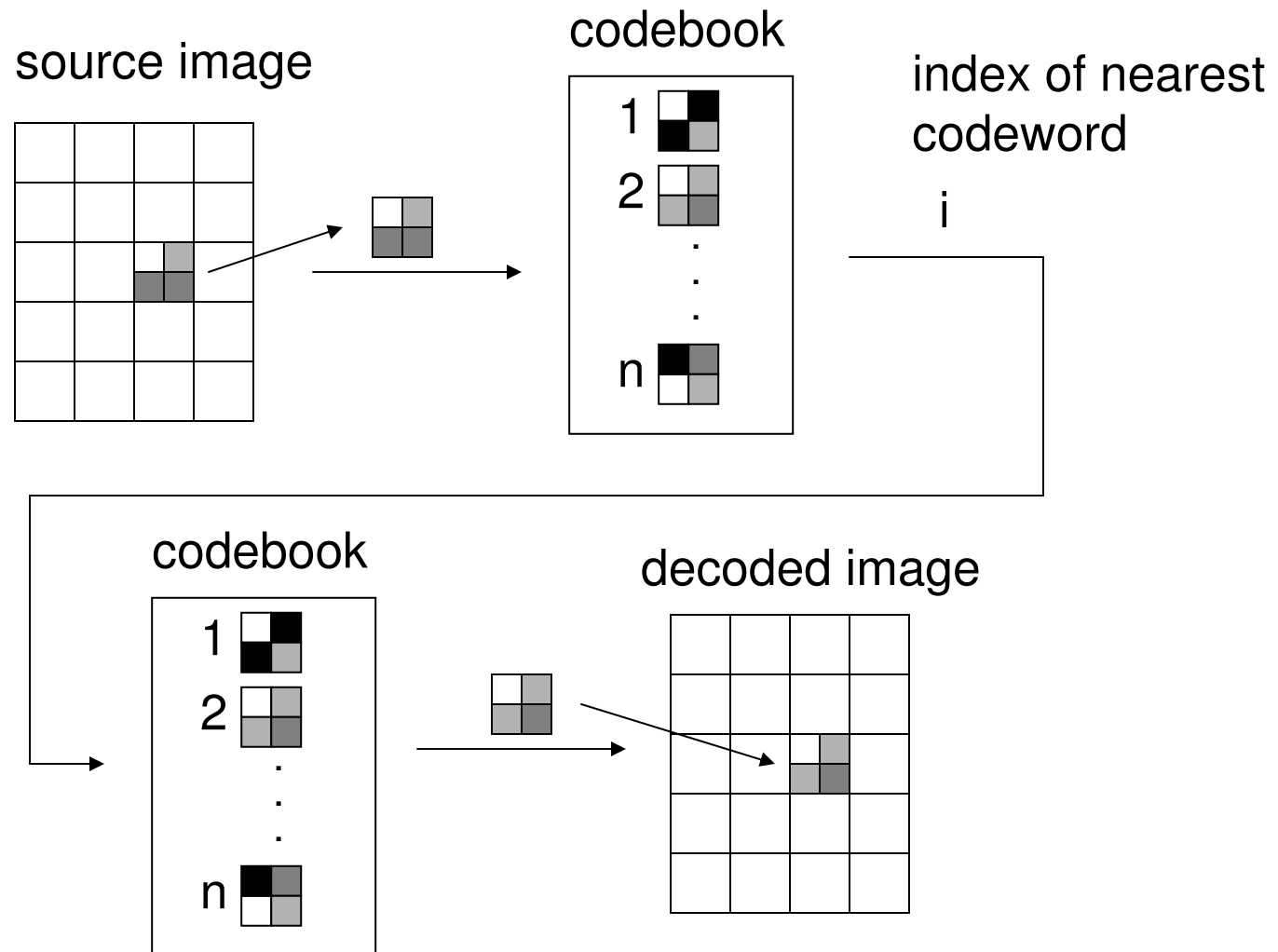
Exit with codeword  $c(0) = 1$  and  $c(1) = 4$ .



# Scalar Quantization Notes

- Useful for analog to digital conversion.
- Useful for estimating a large set of values with a small set of values.
- With entropy coding yields good lossy compression.
- Lloyd algorithm works very well in practice, but can take many iterations.
  - For  $n$  codewords should use about  $20n$  size representative training set.
  - imagine 1024 codewords.

# Vector Quantization



# Vectors

- An  $a \times b$  block can be considered to be a vector of dimension  $ab$ .

$$\text{block } \begin{array}{|c|c|} \hline w & x \\ \hline y & z \\ \hline \end{array} = (w,x,y,z) \text{ vector}$$

- Nearest means in terms of Euclidian distance or Euclidian squared distance. Both equivalent.

$$\text{Distance} = \sqrt{(w_1 - w_2)^2 + (x_1 - x_2)^2 + (y_1 - y_2)^2 + (z_1 - z_2)^2}$$

$$\text{Squared Distance} = (w_1 - w_2)^2 + (x_1 - x_2)^2 + (y_1 - y_2)^2 + (z_1 - z_2)^2$$

- Squared distance is easier to calculate.

# Vector Quantization Facts

- The image is partitioned into  $a \times b$  blocks.
- The codebook has  $n$  representative  $a \times b$  blocks called codewords, each with an index.
- Compression with fixed length codes is

$$\frac{\log_2 n}{ab} \text{ bpp}$$

- Example:  $a = b = 4$  and  $n = 1,024$ 
  - compression is  $10/16 = .63$  bpp
  - compression ratio is  $8 : .63 = 12.8 : 1$
- Better compression with entropy coding of indices

# Examples



4 x 4 blocks  
.63 bpp



4 x 8 blocks  
.31 bpp



8 x 8 blocks  
.16 bpp

Codebook size = 1,024

# Scalar vs. Vector

- Pixels within a block are correlated.
  - This tends to minimize the number of codewords needed to represent the vectors well.
- More flexibility.
  - Different size blocks
  - Different size codebooks

# Encoding and Decoding

- Encoding:
  - Scan the  $a \times b$  blocks of the image. For each block find the nearest codeword in the codebook and output its index.
  - Nearest neighbor search.
- Decoding:
  - For each index output the codeword with that index into the destination image.
  - Table lookup.

# The Codebook

- Both encoder and decoder must have the same codebook.
- The codebook must be useful for many images and be stored someplace.
- The codebook must be designed properly to be effective.
- Design requires a representative training set.
- These are major drawbacks to VQ.



# Codebook Design Problem

- Input: A training set  $X$  of vectors of dimension  $d$  and a number  $n$ . ( $d = a \times b$  and  $n$  is number of codewords)
- Output:  $n$  codewords  $c(0), c(1), \dots, c(n-1)$  that minimize the distortion.

$$D = \sum_{x \in X} \|x - c(\text{index}(x))\|^2 \quad \text{sum of squared distances}$$

where  $\text{index}(x)$  is the index of the nearest codeword to  $x$ .

$$\|(x_0, x_1, \dots, x_{d-1})\|^2 = x_0^2 + x_1^2 + \dots + x_{d-1}^2 \quad \text{squared norm}$$

# GLA

- The Generalized Lloyd Algorithm (GLA) extends the Lloyd algorithm for scalars.
  - Also called LBG after inventors Linde, Buzo, Gray (1980)
- It can be very slow for large training sets.

# GLA

Choose a training set  $X$  and small error tolerance  $\varepsilon > 0$ .

Choose start codewords  $c(0), c(1), \dots, c(n-1)$

Compute  $X(j) := \{x : x \text{ is a vector in } X \text{ closest to } c(j)\}$

Compute distortion  $D$  for  $c(0), c(1), \dots, c(n-1)$

Repeat

  Compute new codewords

$$c'(j) := \text{round}\left(\frac{1}{|X(j)|} \sum_{x \in X(j)} x\right) \quad (\text{centroid})$$

  Compute  $X'(j) = \{x : x \text{ is a vector in } X \text{ closest to } c'(j)\}$

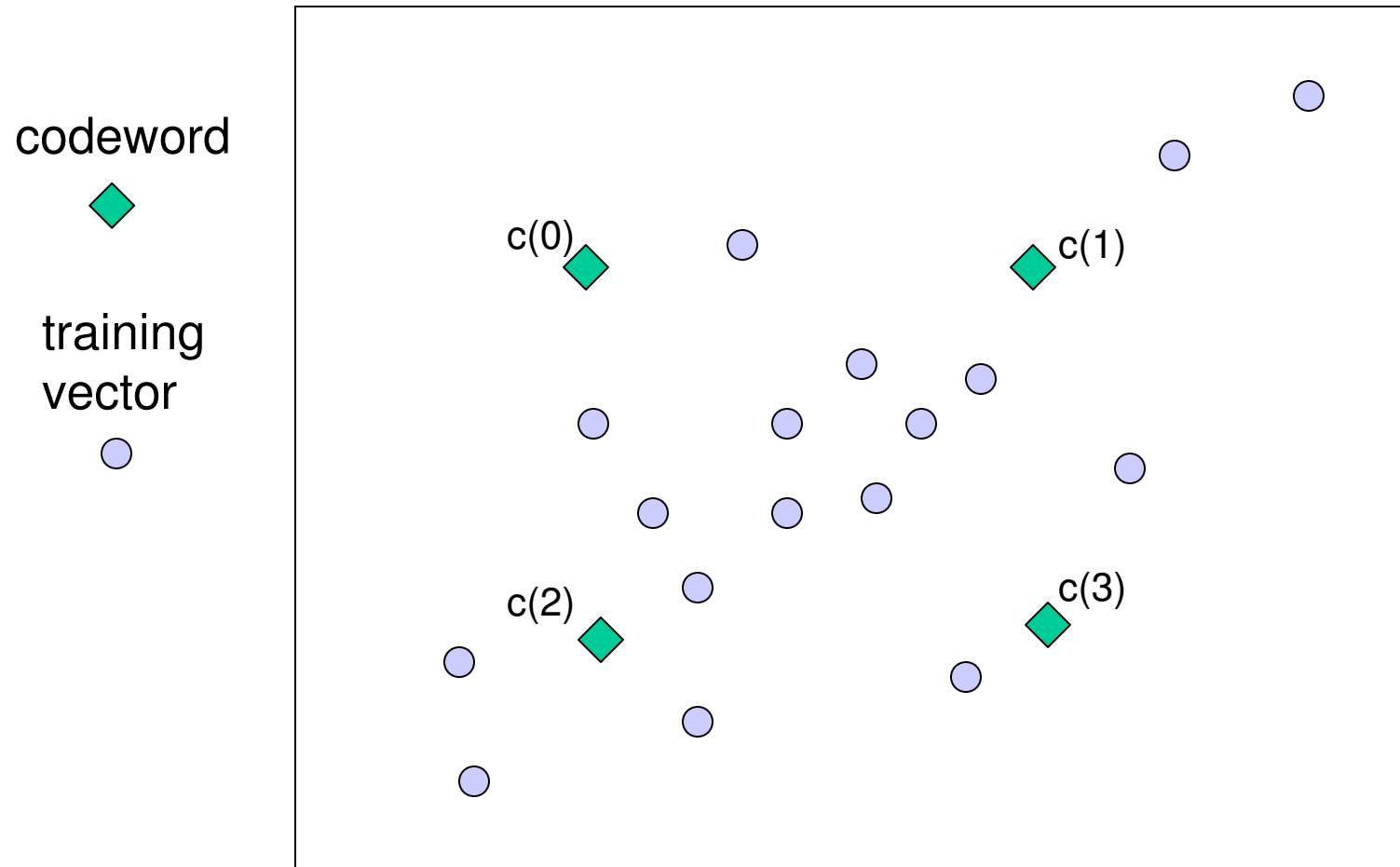
  Compute distortion  $D'$  for  $c'(0), c'(1), \dots, c'(n-1)$

  if  $|(D - D')/D| < \varepsilon$  then quit

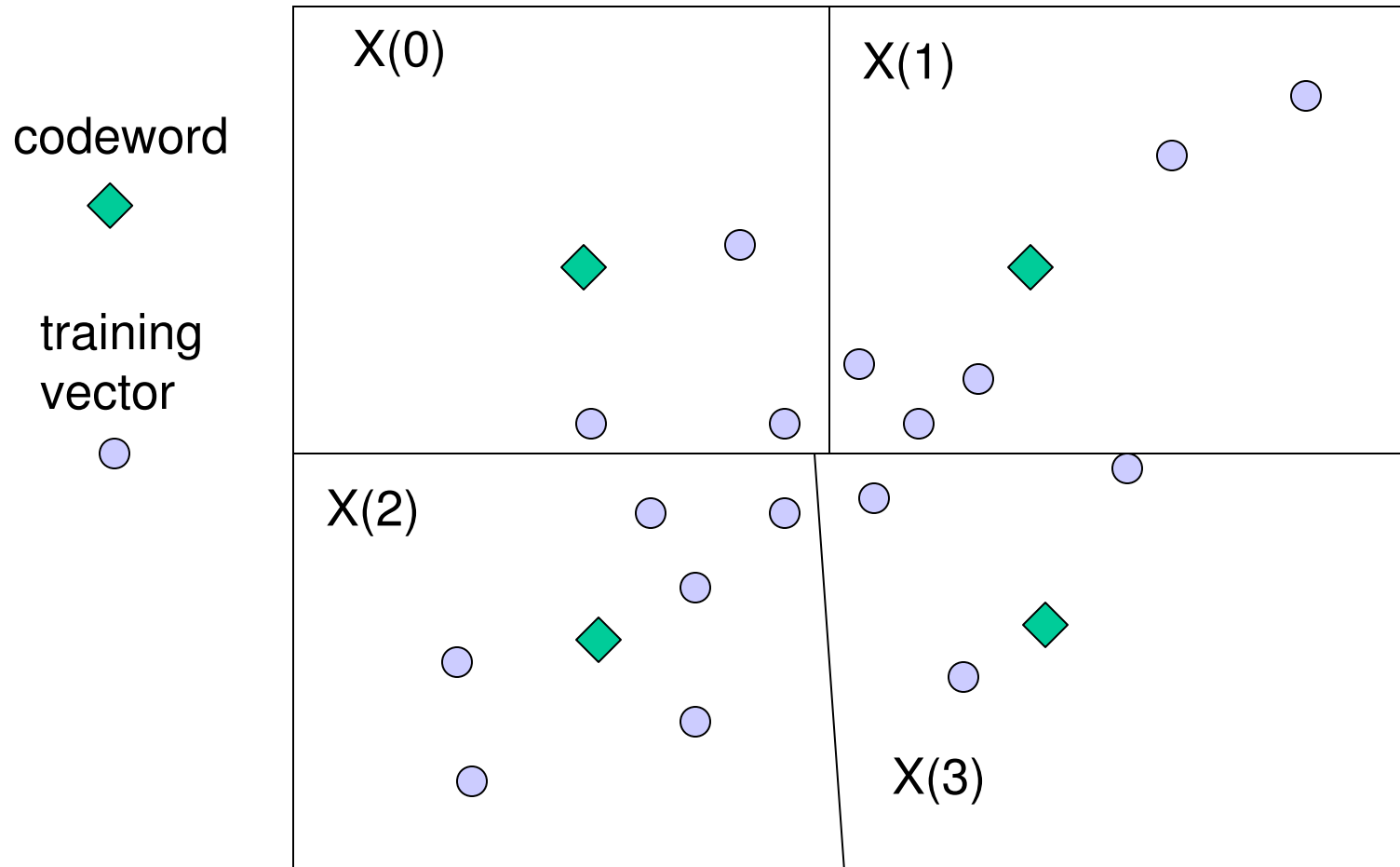
  else  $c := c'; X := X', D := D'$

End{repeat}

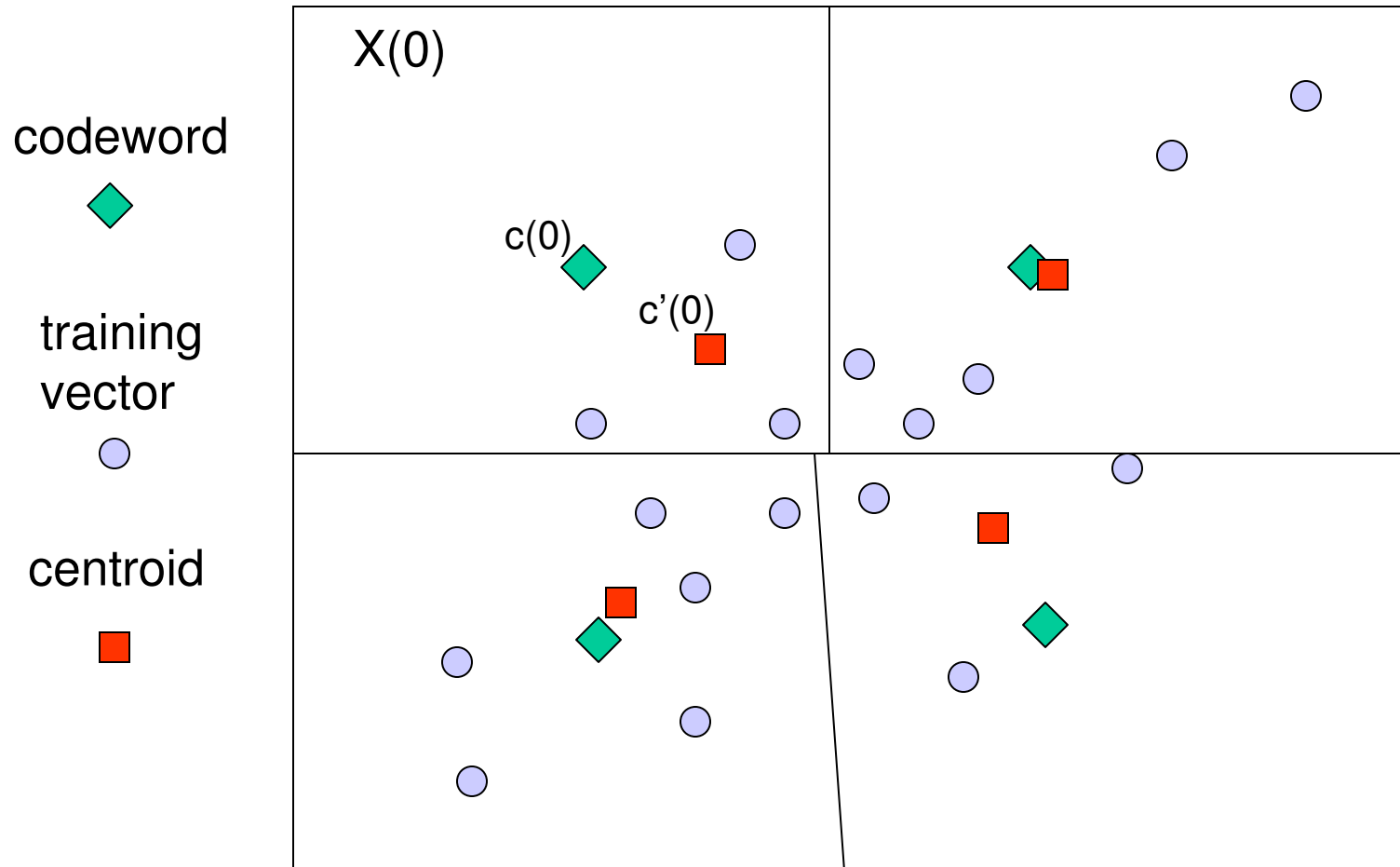
# GLA Example (1)



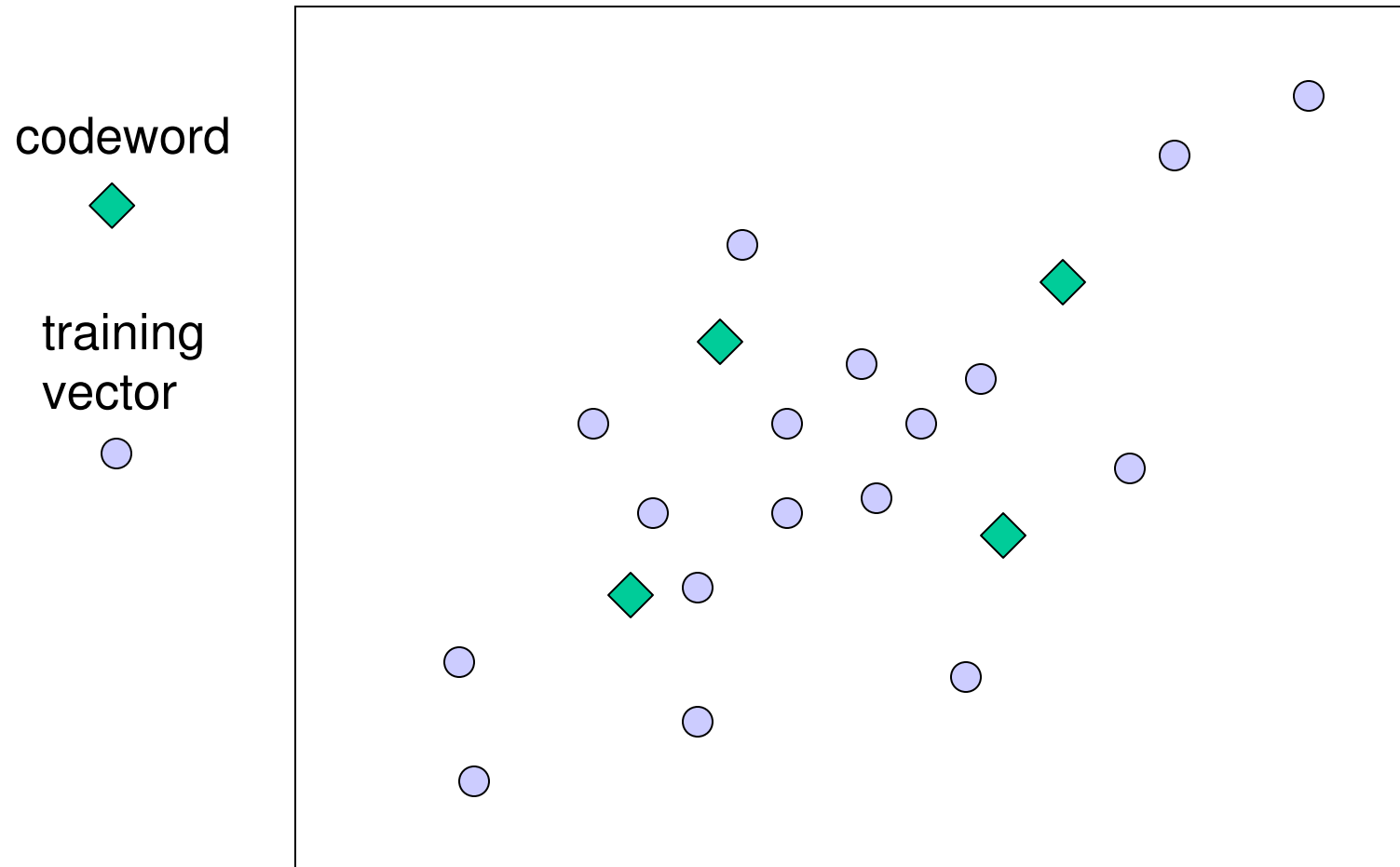
# GLA Example (2)



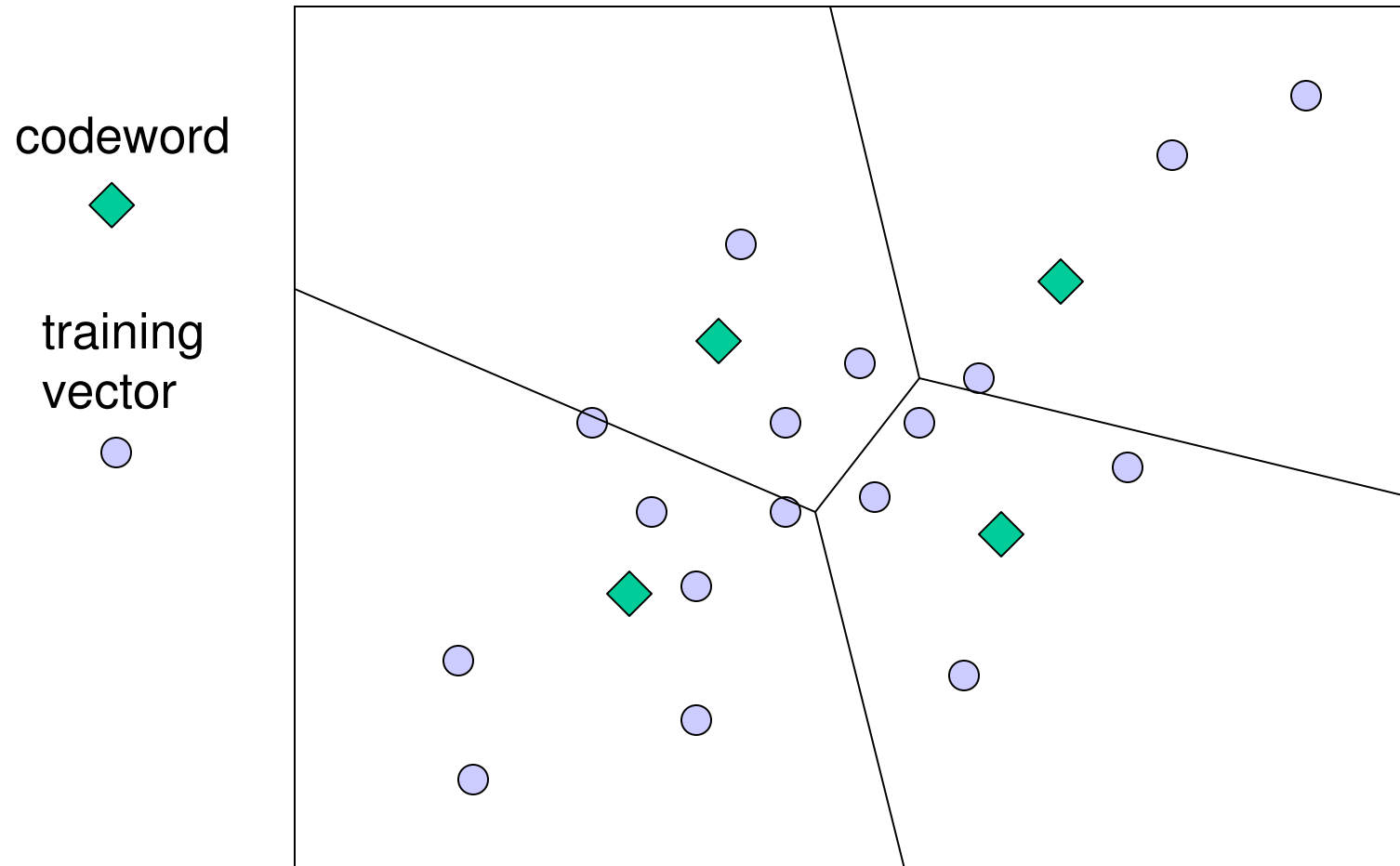
# GLA Example (3)



# GLA Example (4)

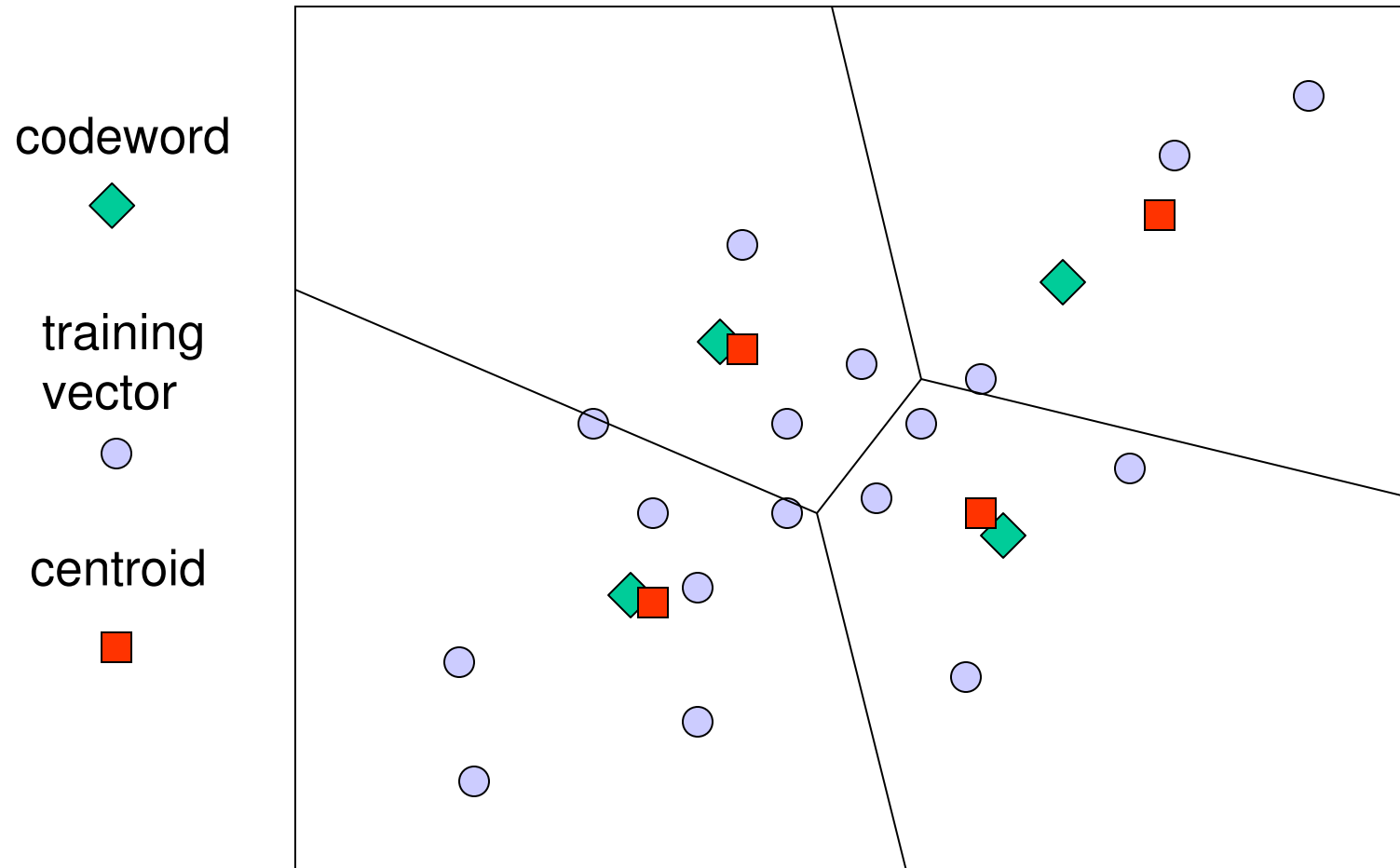


# GLA Example (5)

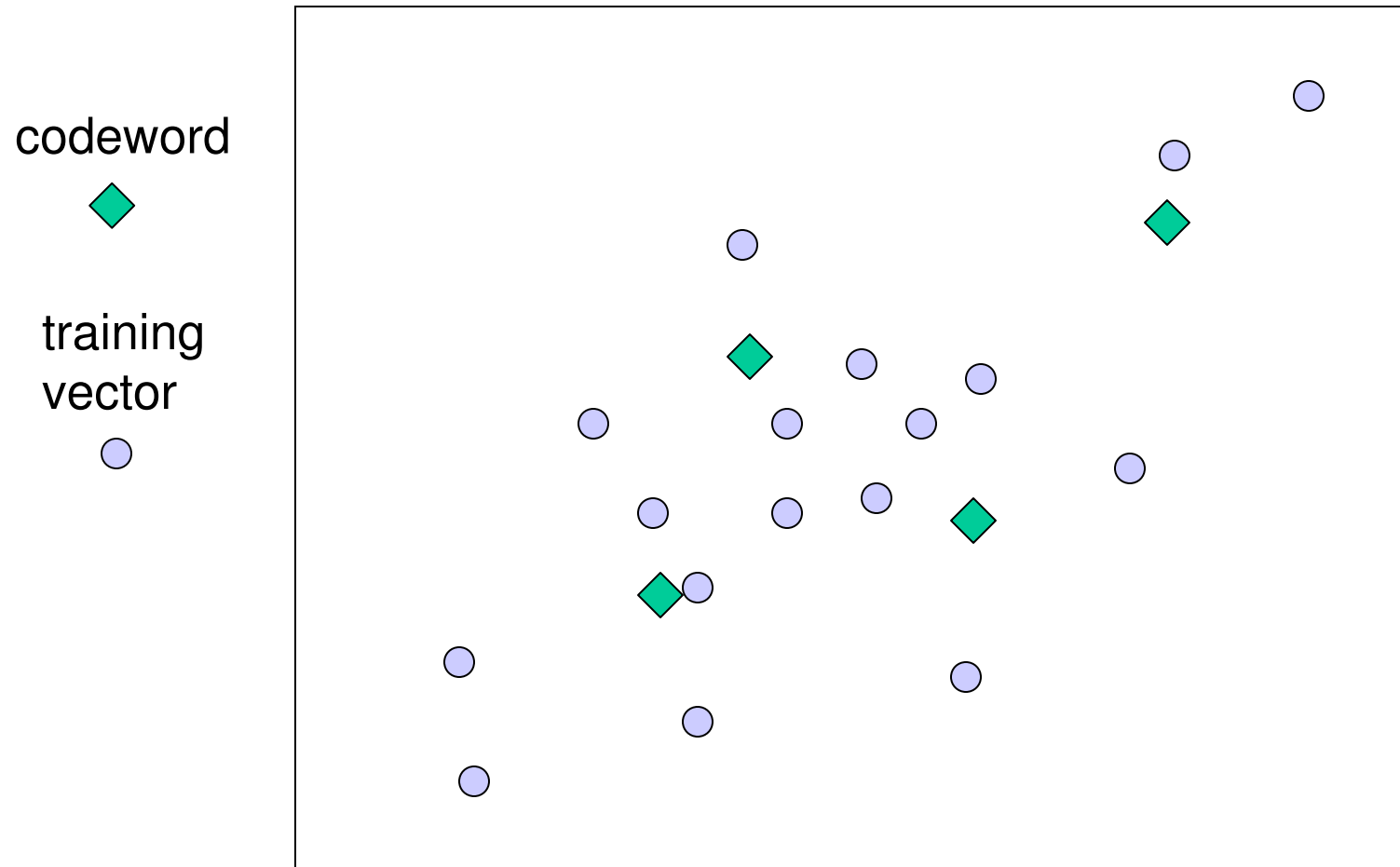




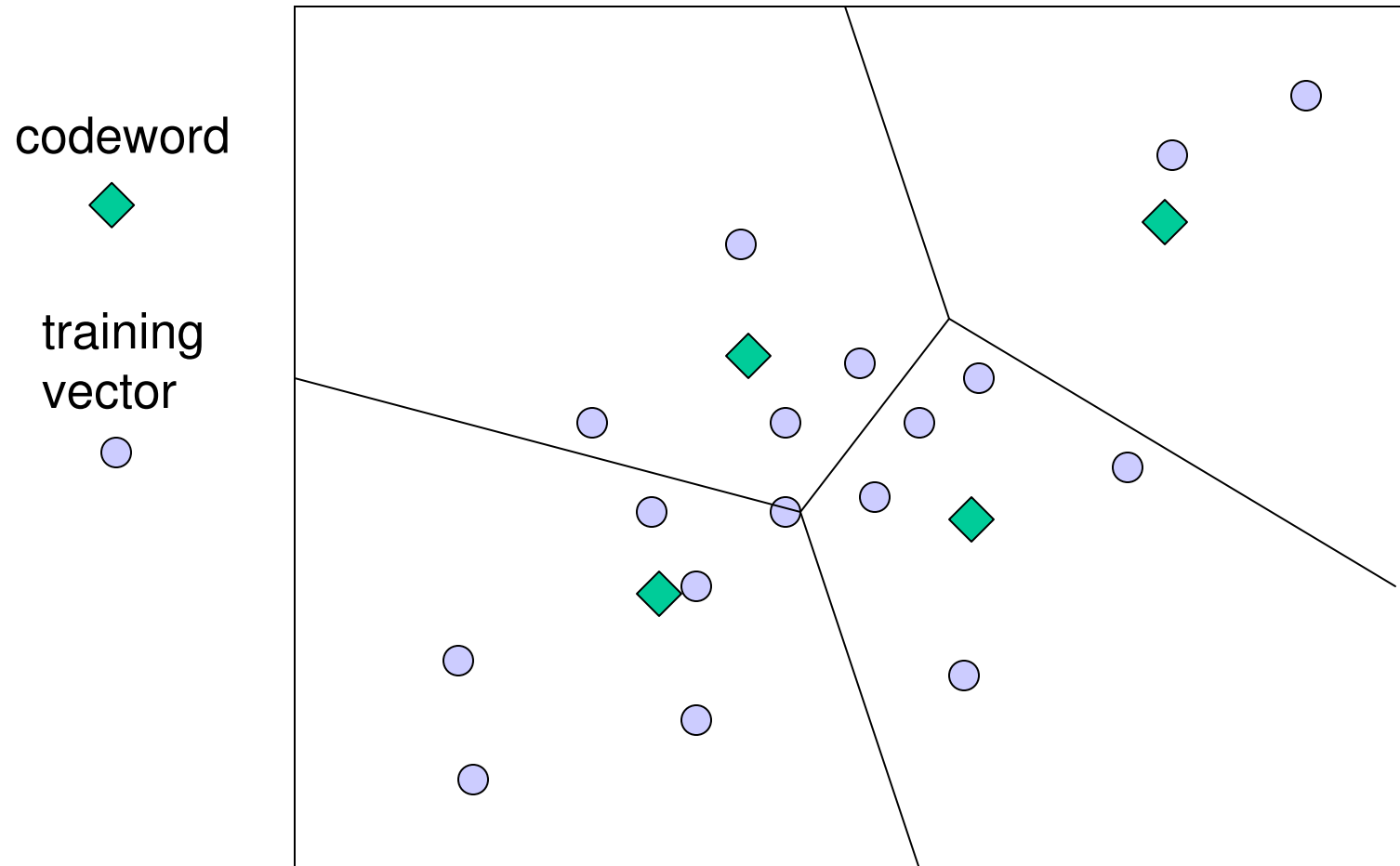
# GLA Example (6)



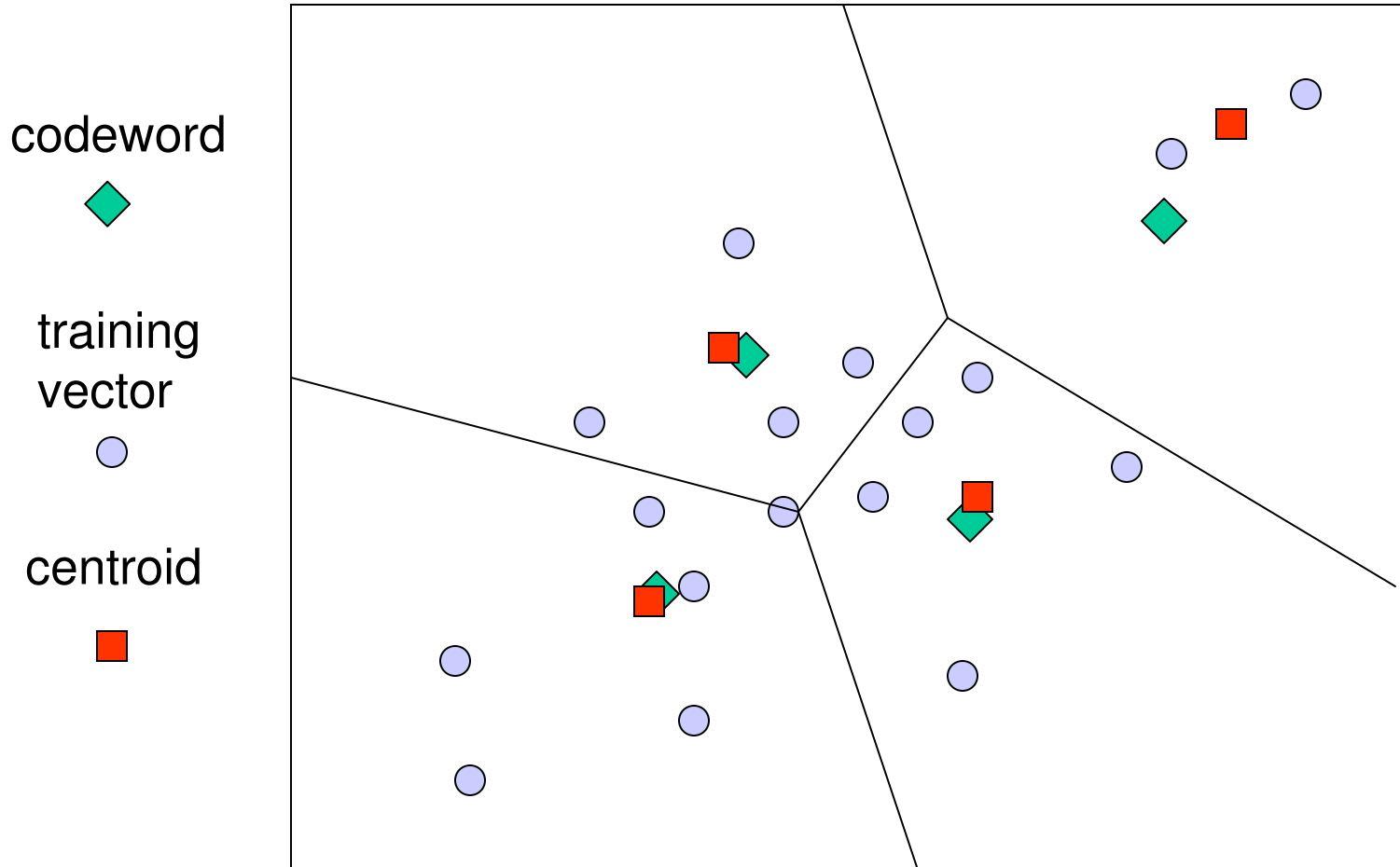
# GLA Example (7)



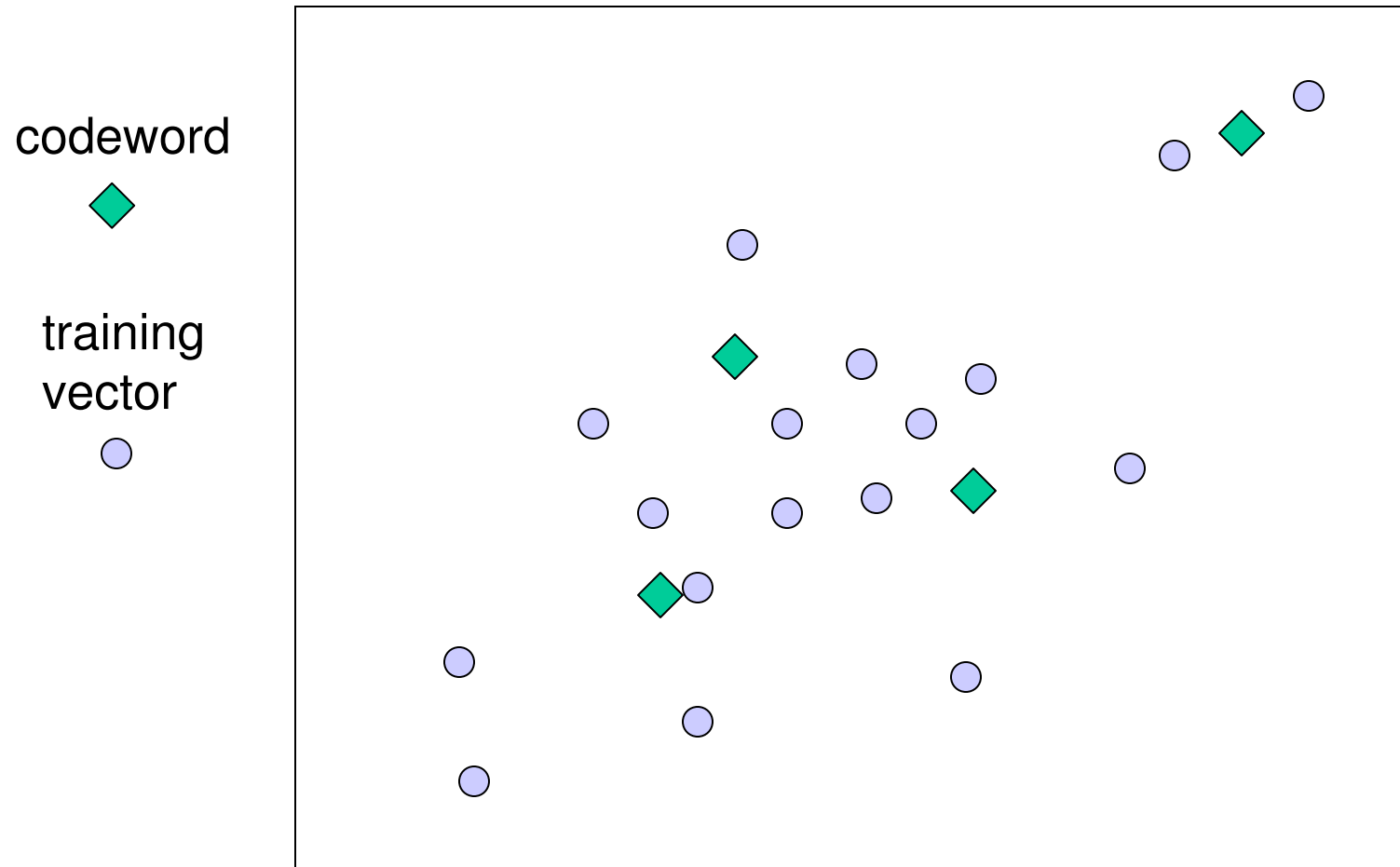
# GLA Example (8)



# GLA Example (9)



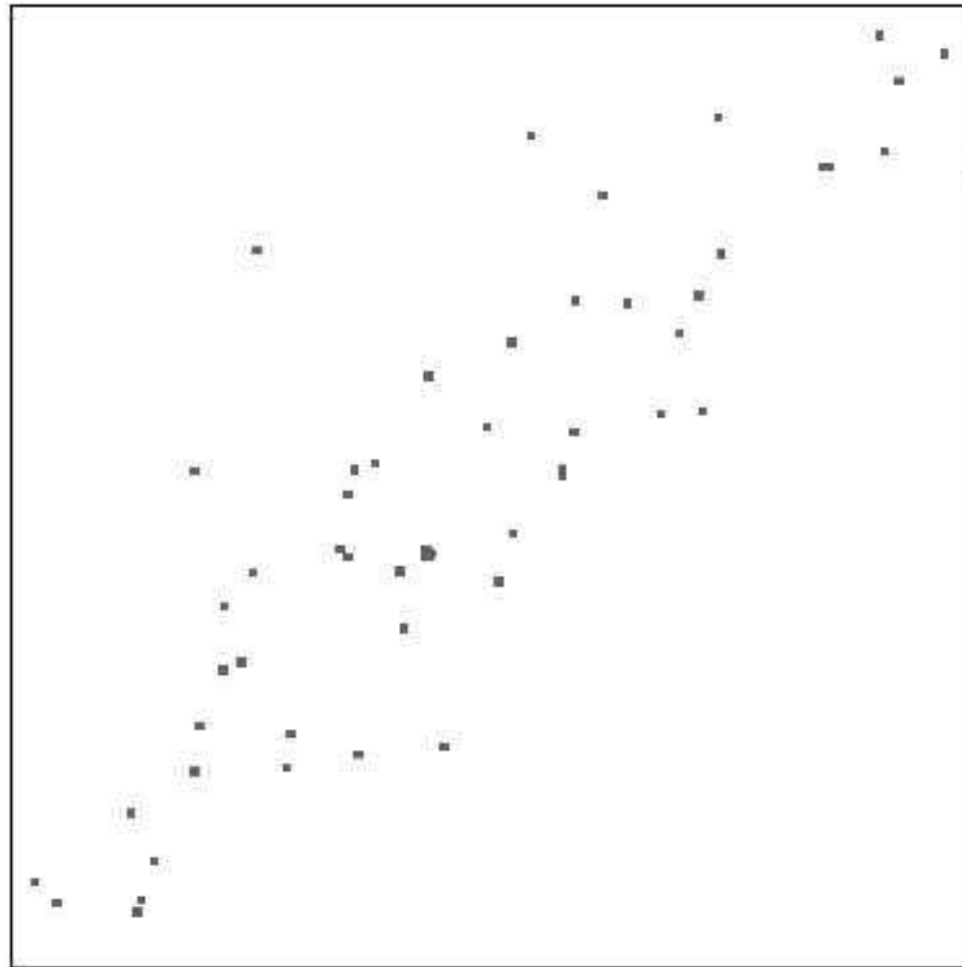
# GLA Example (10)



# Codebook

1 x 2 codewords

Note: codewords  
diagonally spread



# Codeword Splitting

- It is possible that a chosen codeword represents no training vectors, that is,  $X(j)$  is empty.
  - **Splitting** is an alternative codebook design algorithm that avoids this problem.
- **Basic Idea**
  - Select codeword  $c(j)$  with the greatest distortion.

$$D(j) = \sum_{x \in X(j)} \|x - c(j)\|^2$$

- Split it into two codewords then do the GLA.

# Example of Splitting

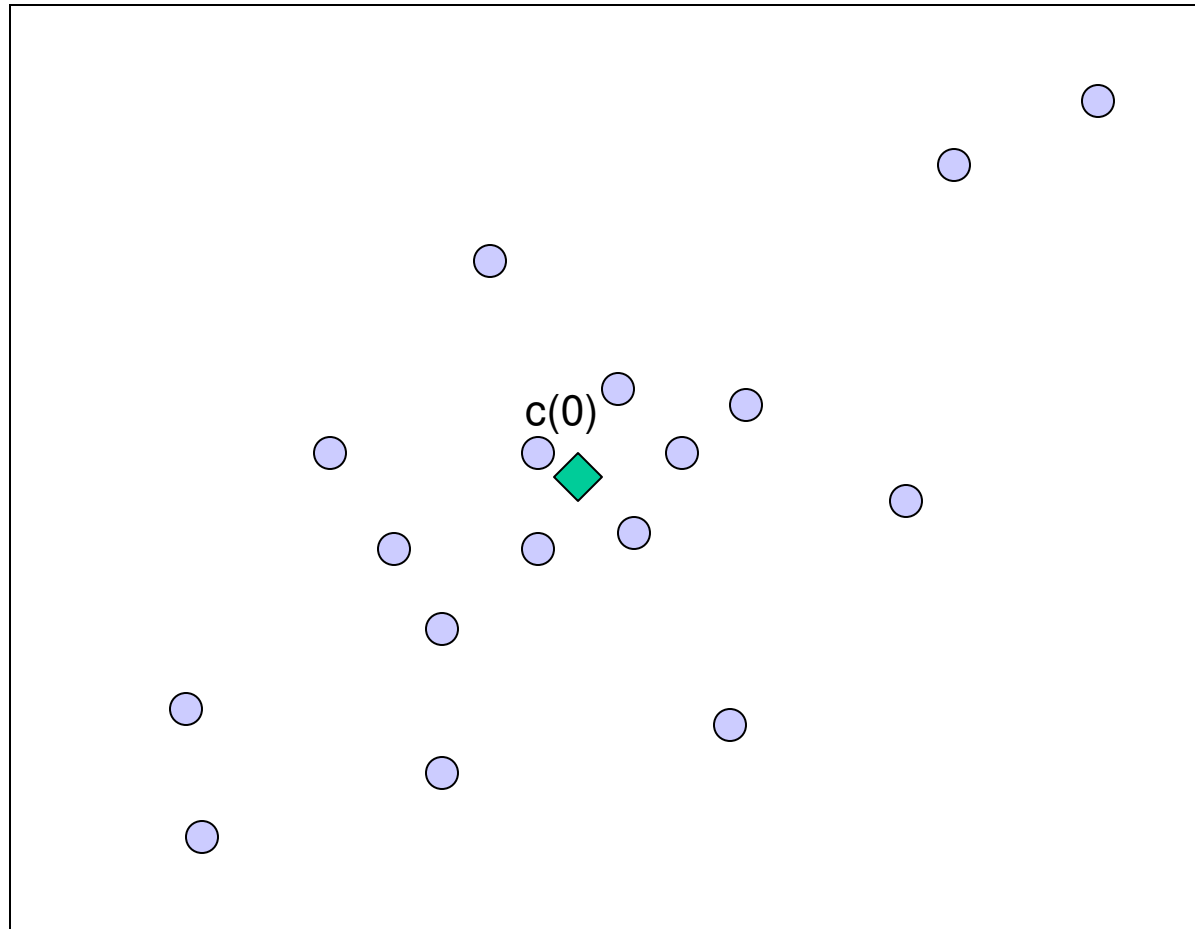
codeword



training  
vector

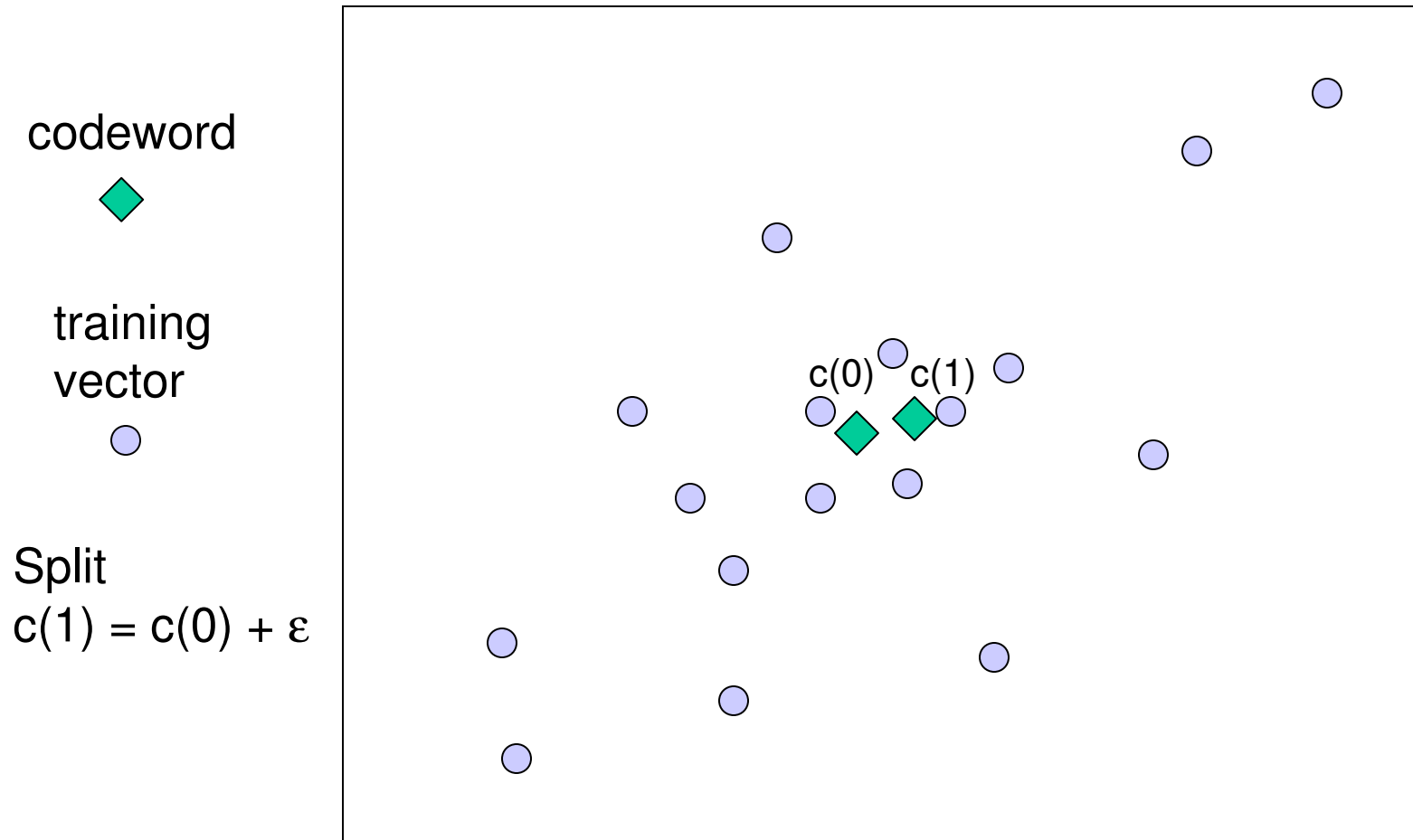


Initially  
 $c(0)$  is  
centroid  
of training set

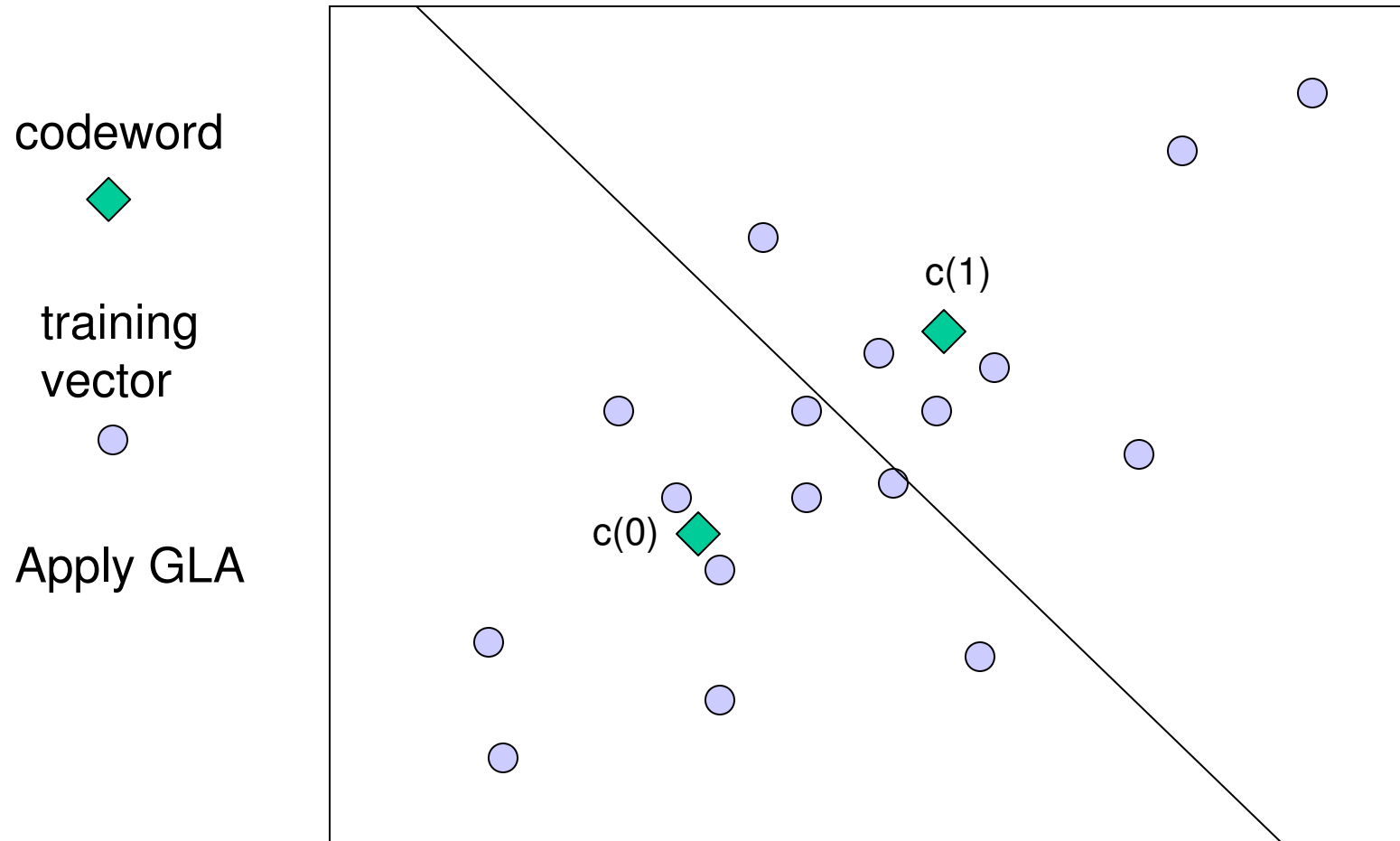




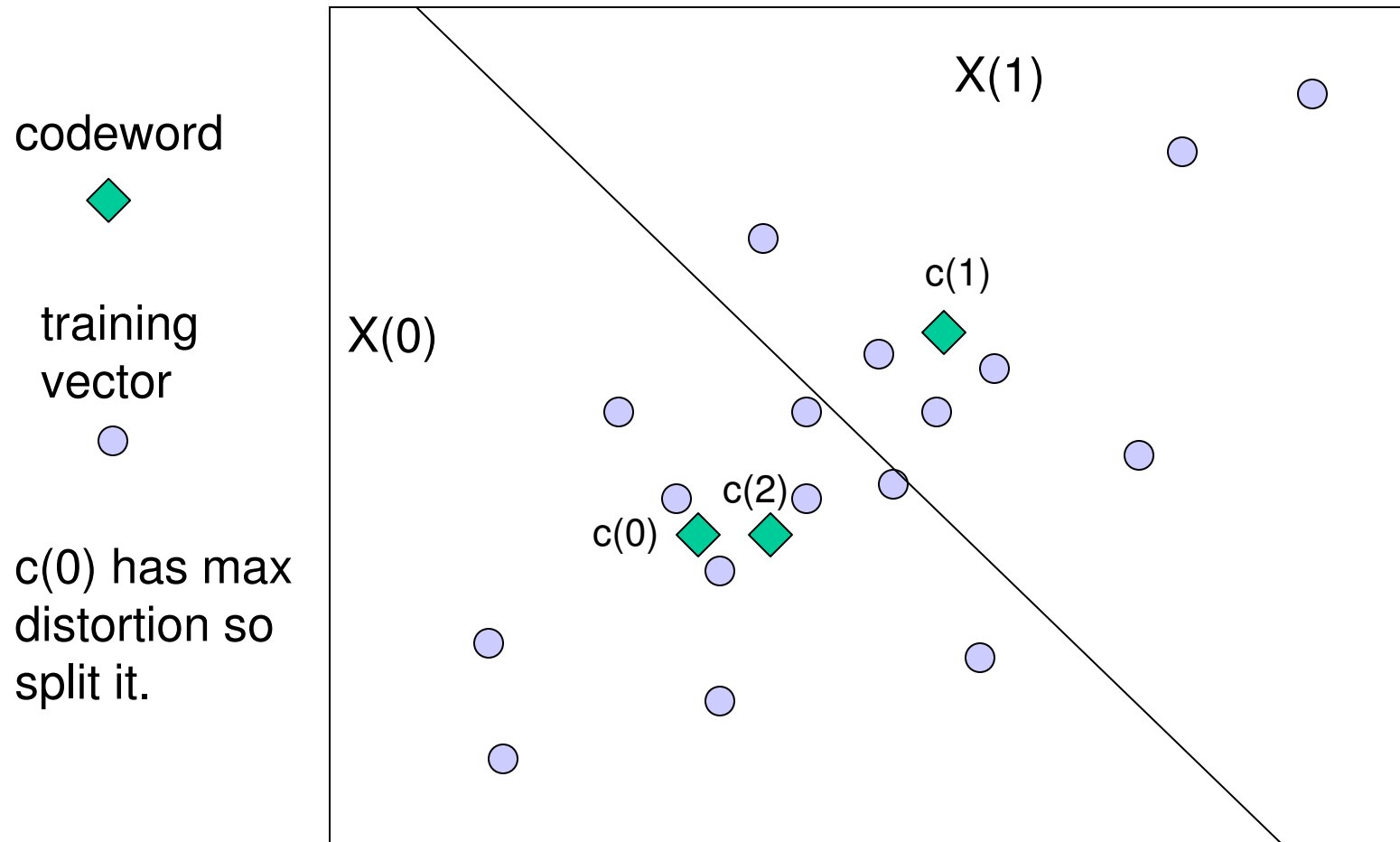
# Example of Splitting



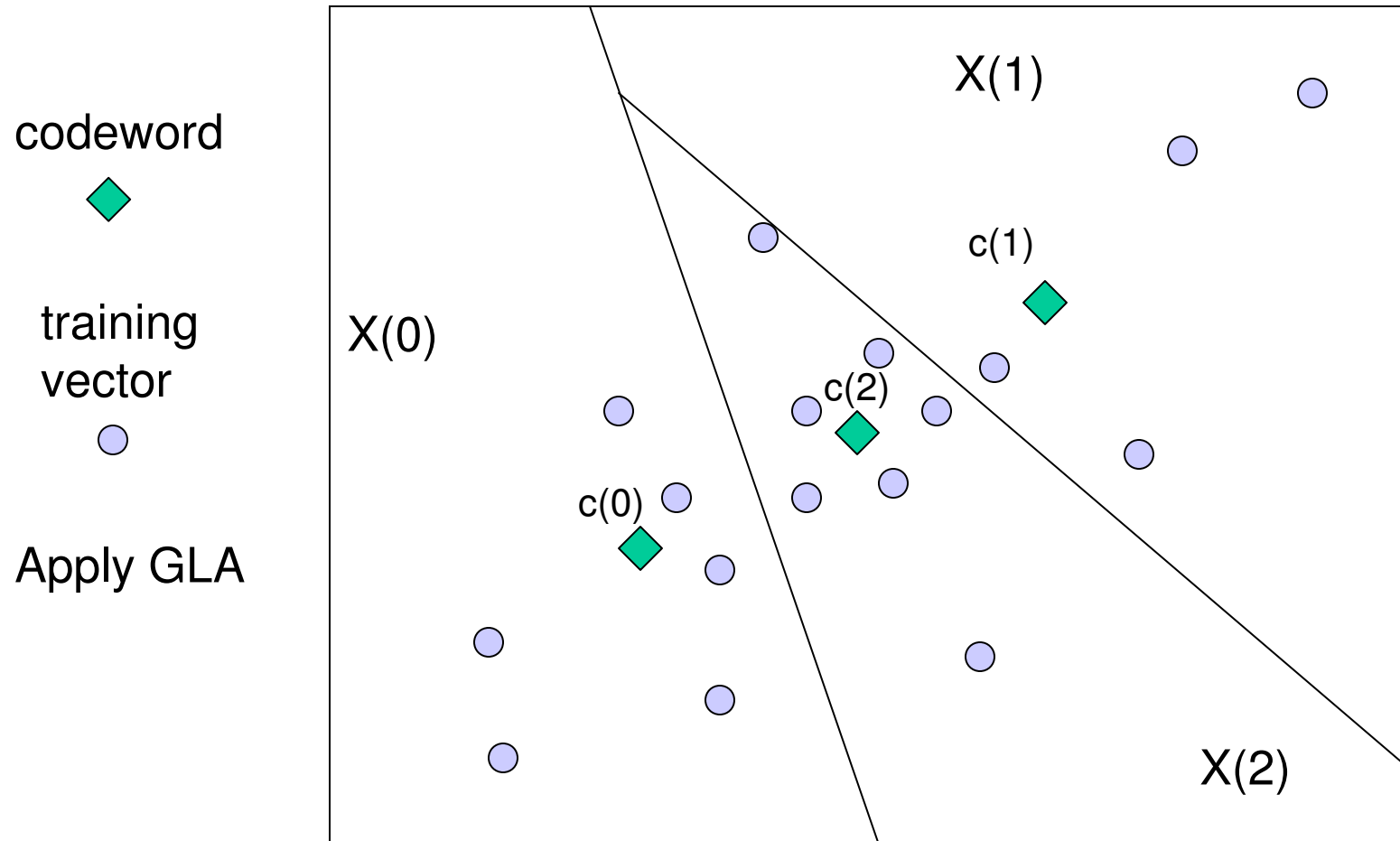
# Example of Splitting



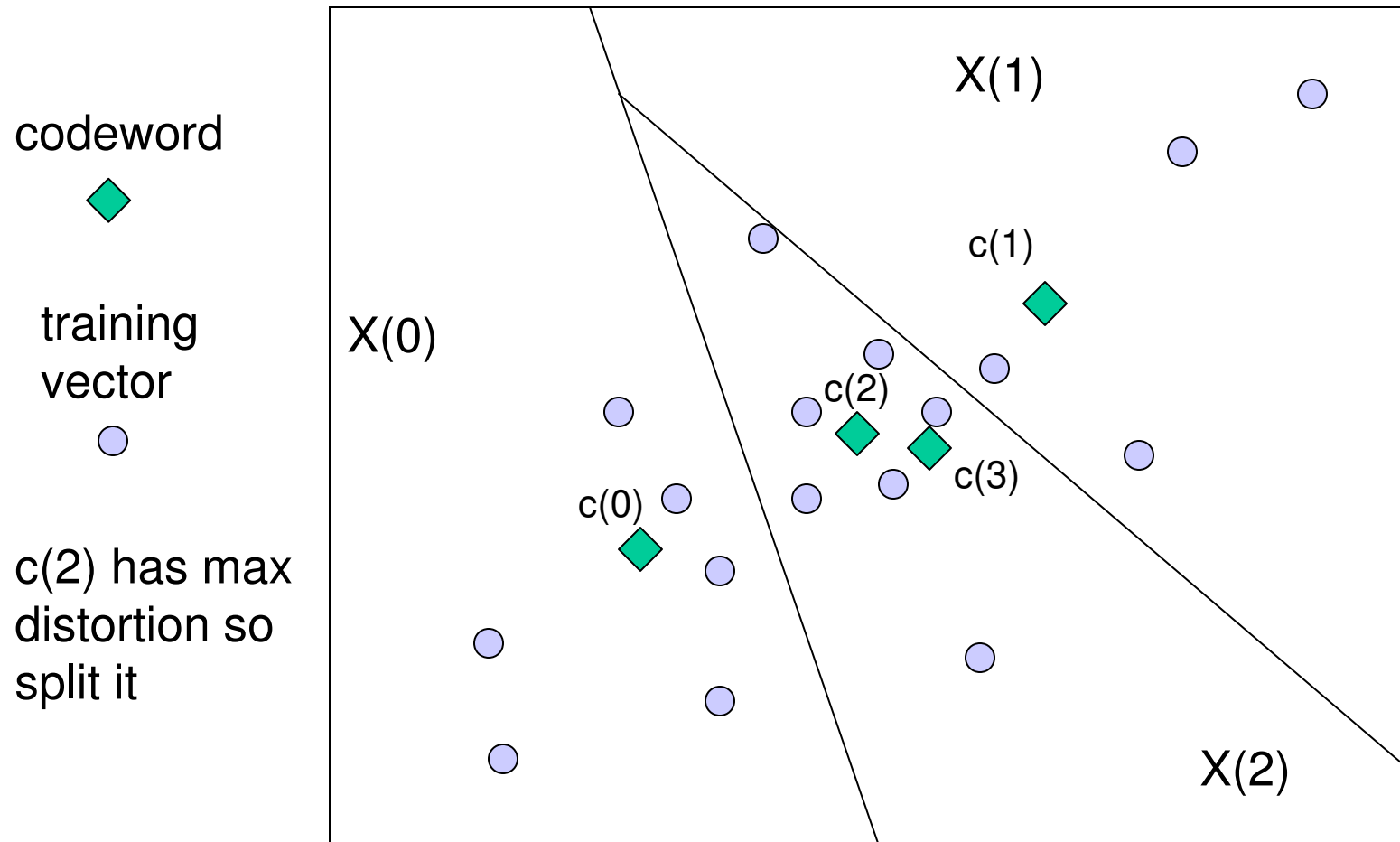
# Example of Splitting



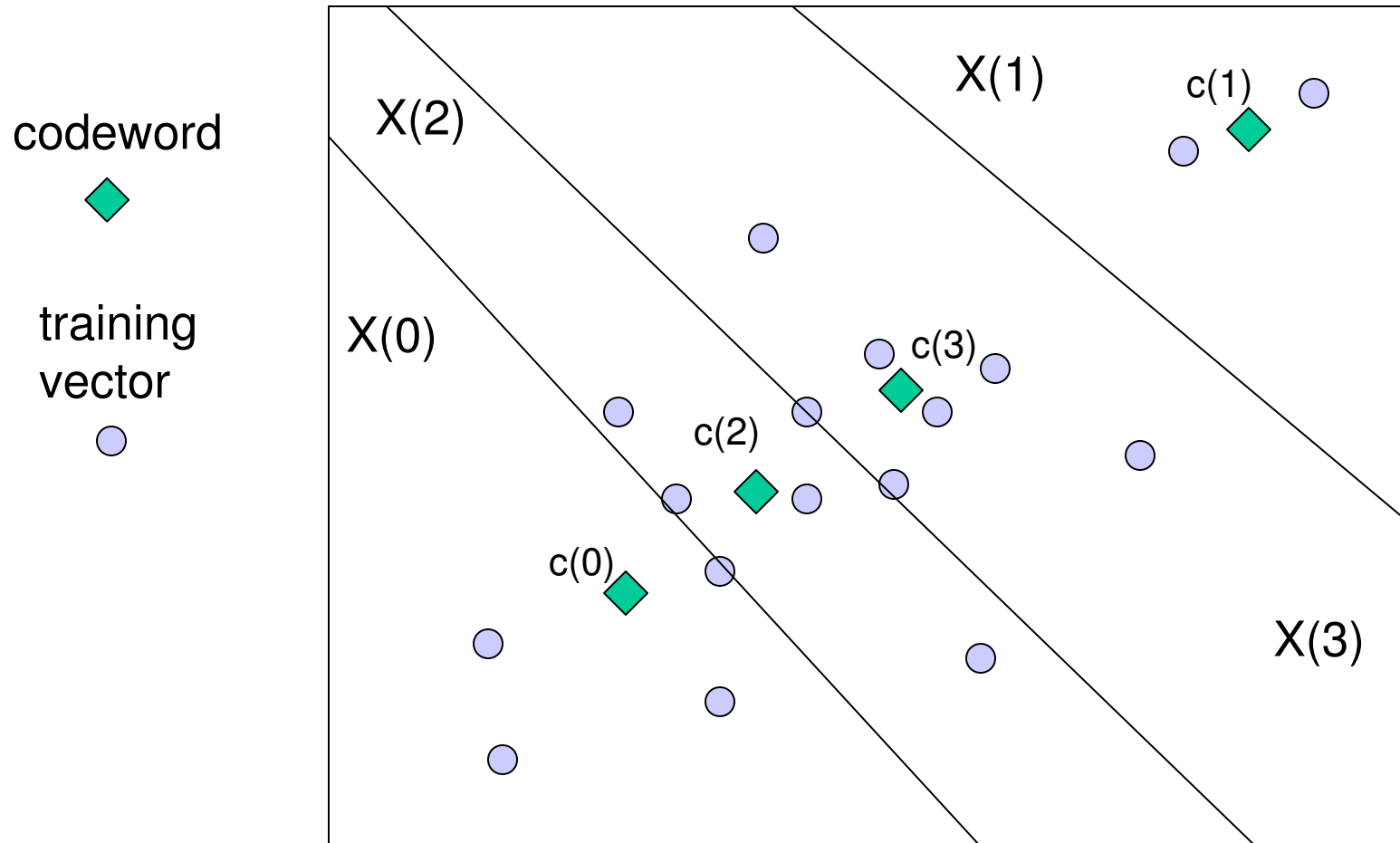
# Example of Splitting



# Example of Splitting



# Example of Splitting



# GLA Advice

- Time per iteration is dominated by the partitioning step, which is  $m$  nearest neighbor searches where  $m$  is the training set size.
  - Average time per iteration  $O(m \log n)$  assuming  $d$  is small.
- Training set size.
  - Training set should be at least 20 training vectors per code word to get reasonable performance.
  - Too small a training set results in “over training”.
- Number of iterations can be large.

# Encoding

- Naive method.
  - For each input block, search the entire codebook to find the closest codeword.
  - Time  $O(T n)$  where  $n$  is the size of the codebook and  $T$  is the number of blocks in the image.
  - Example:  $n = 1024$ ,  $T = 256 \times 256 = 65,536$  ( $2 \times 2$  blocks for a  $512 \times 512$  image)  
 $nT = 1024 \times 65536 = 2^{26} \approx 67$  million distance calculations.
- Faster methods are known for doing “Full Search VQ”. For example, k-d trees.
  - Time  $O(T \log n)$



# VQ Encoding is Nearest Neighbor Search

- Given an input vector, find the closest codeword in the codebook and output its index.
- Closest is measured in squared Euclidian distance.
- For two vectors  $(w_1, x_1, y_1, z_1)$  and  $(w_2, x_2, y_2, z_2)$ .

$$\text{Squared Distance} = (w_1 - w_2)^2 + (x_1 - x_2)^2 + (y_1 - y_2)^2 + (z_1 - z_2)^2$$

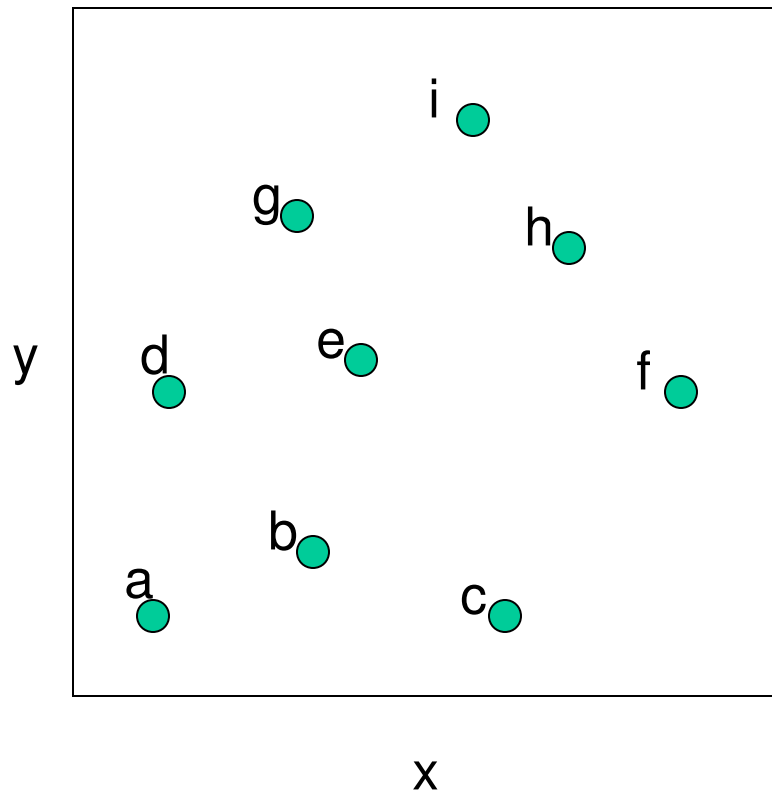
# k-d Tree

- Jon Bentley, 1975
- Tree used to store spatial data.
  - Nearest neighbor search.
  - Range queries.
  - Fast look-up
- k-d tree are guaranteed  $\log_2 n$  depth where  $n$  is the number of points in the set.
  - Traditionally, k-d trees store points in  $d$ -dimensional space which are equivalent to vectors in  $d$ -dimensional space.

# k-d Tree Construction

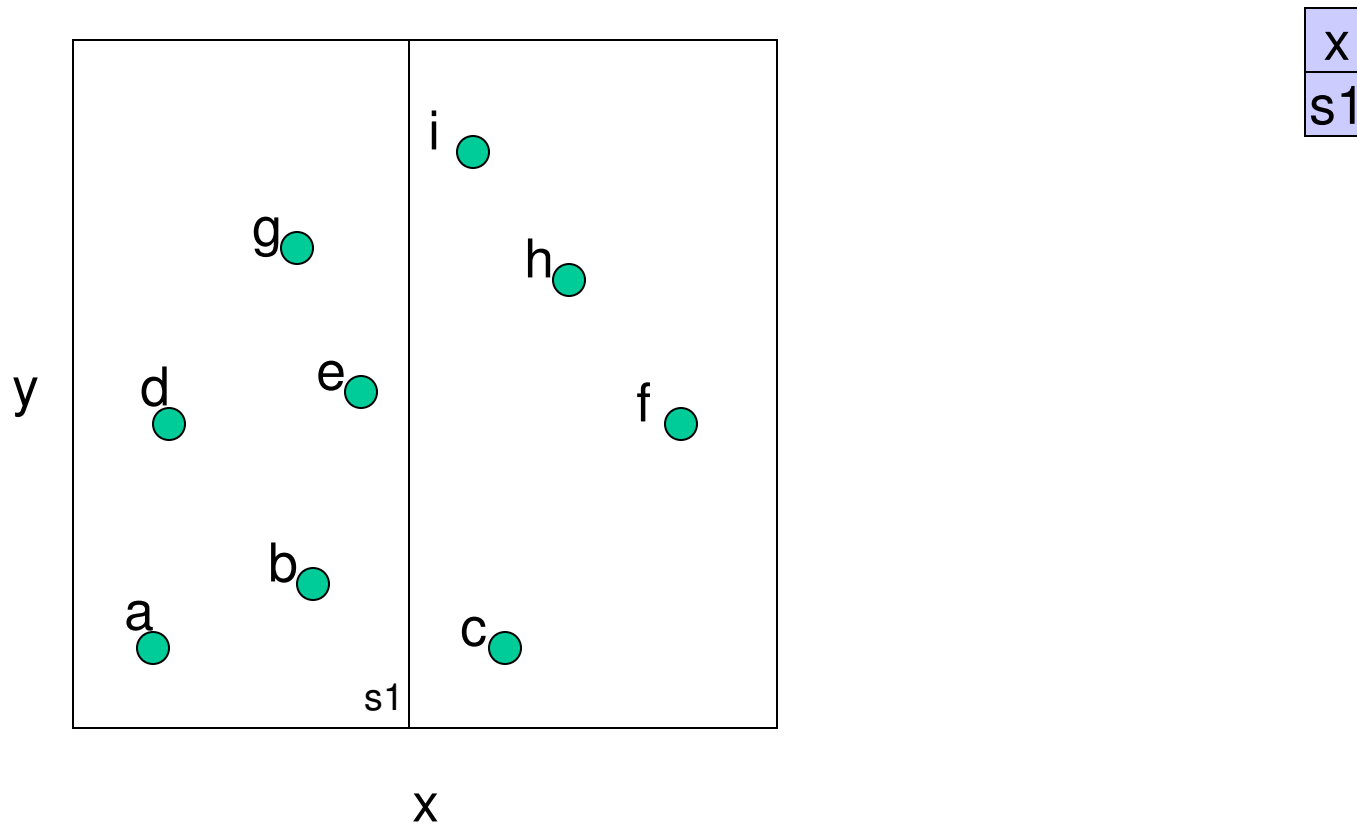
- If there is just one point, form a leaf with that point.
- Otherwise, divide the points in half by a line perpendicular to one of the axes.
- Recursively construct k-d trees for the two sets of points.
- Division strategies
  - divide points perpendicular to the axis with widest spread.
  - divide in a round-robin fashion.

# k-d Tree Construction (1)

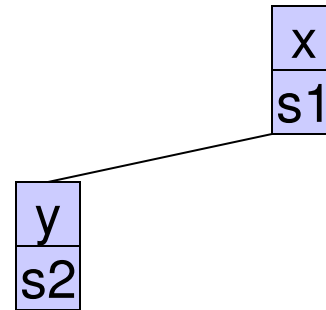
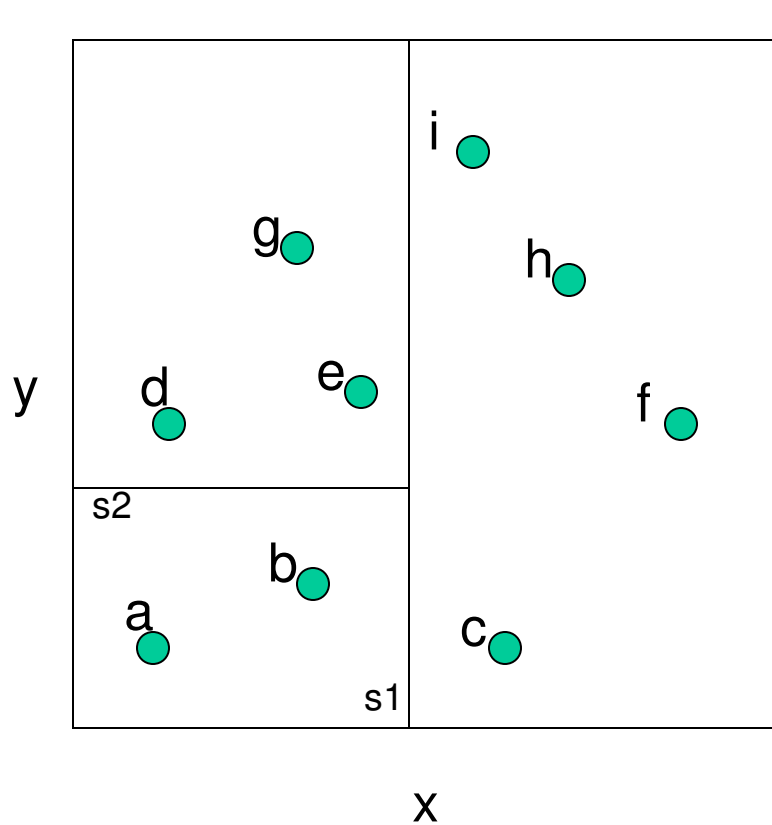


divide perpendicular to the widest spread.

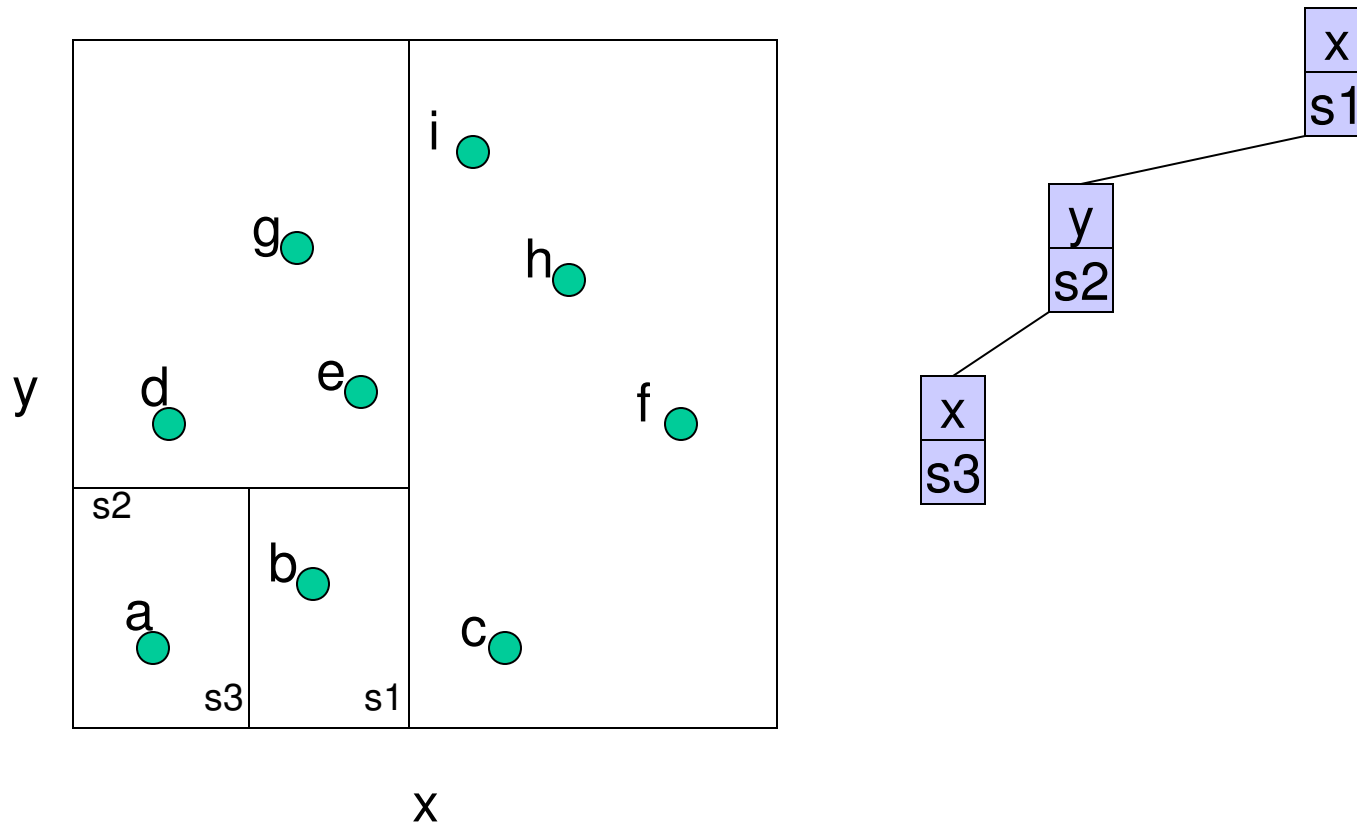
# k-d Tree Construction (2)



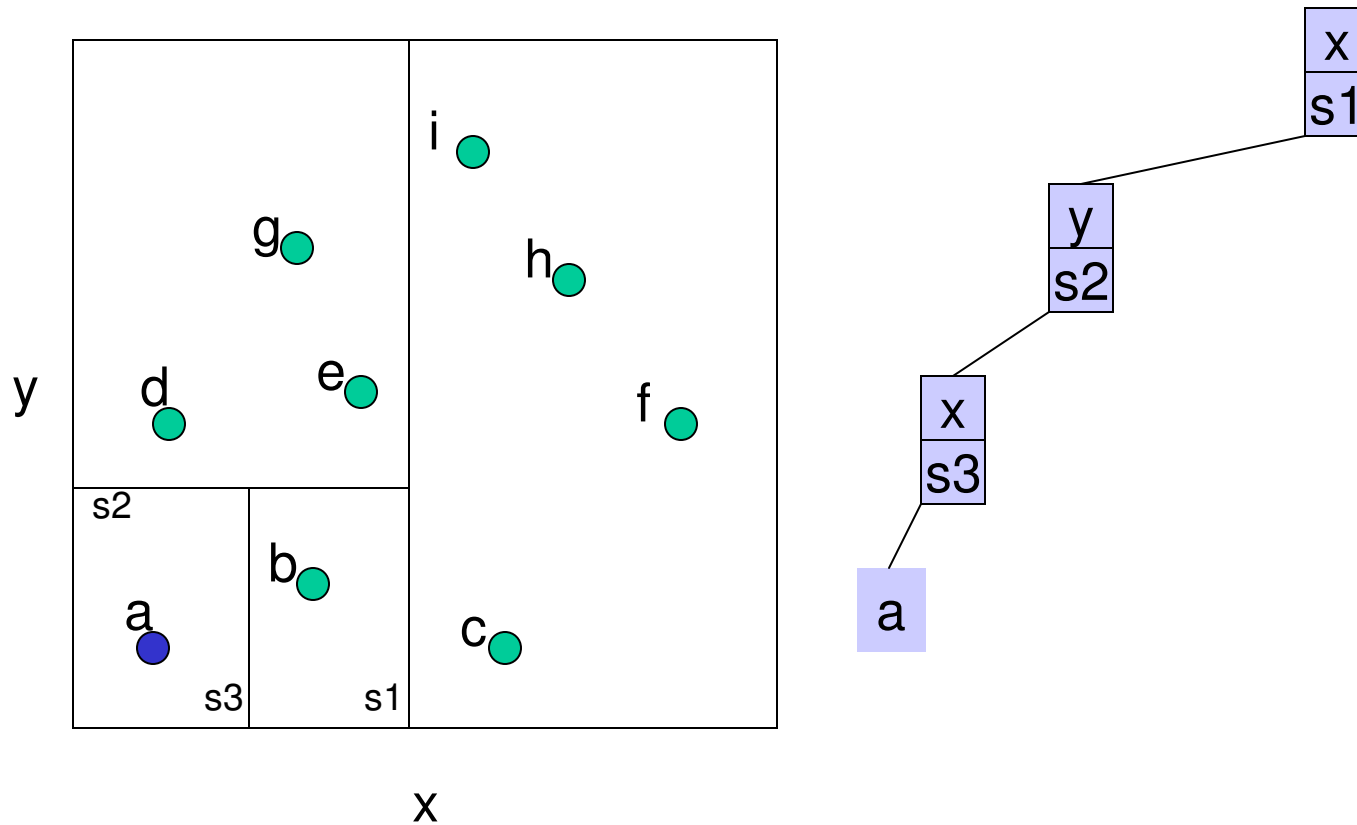
# k-d Tree Construction (3)



# k-d Tree Construction (4)

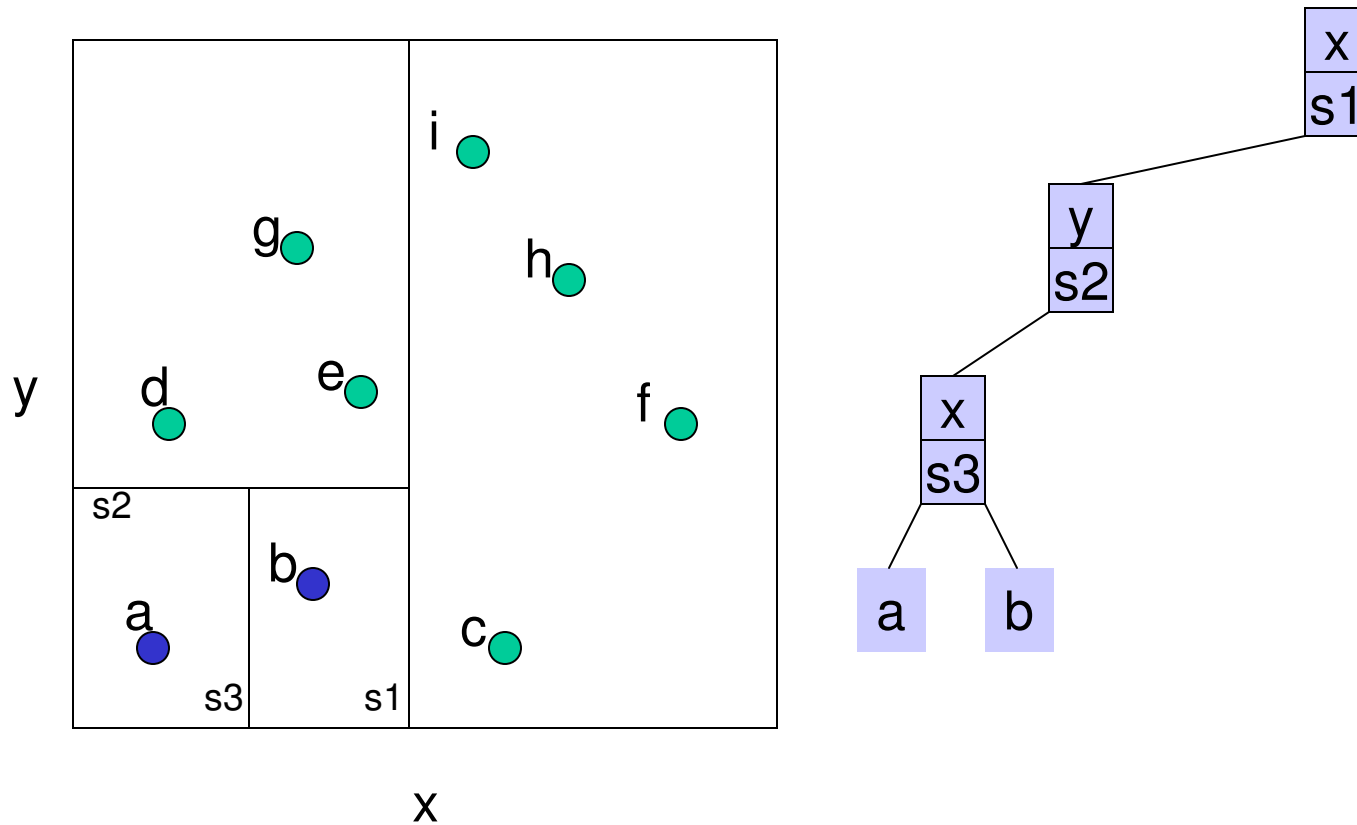


# k-d Tree Construction (5)

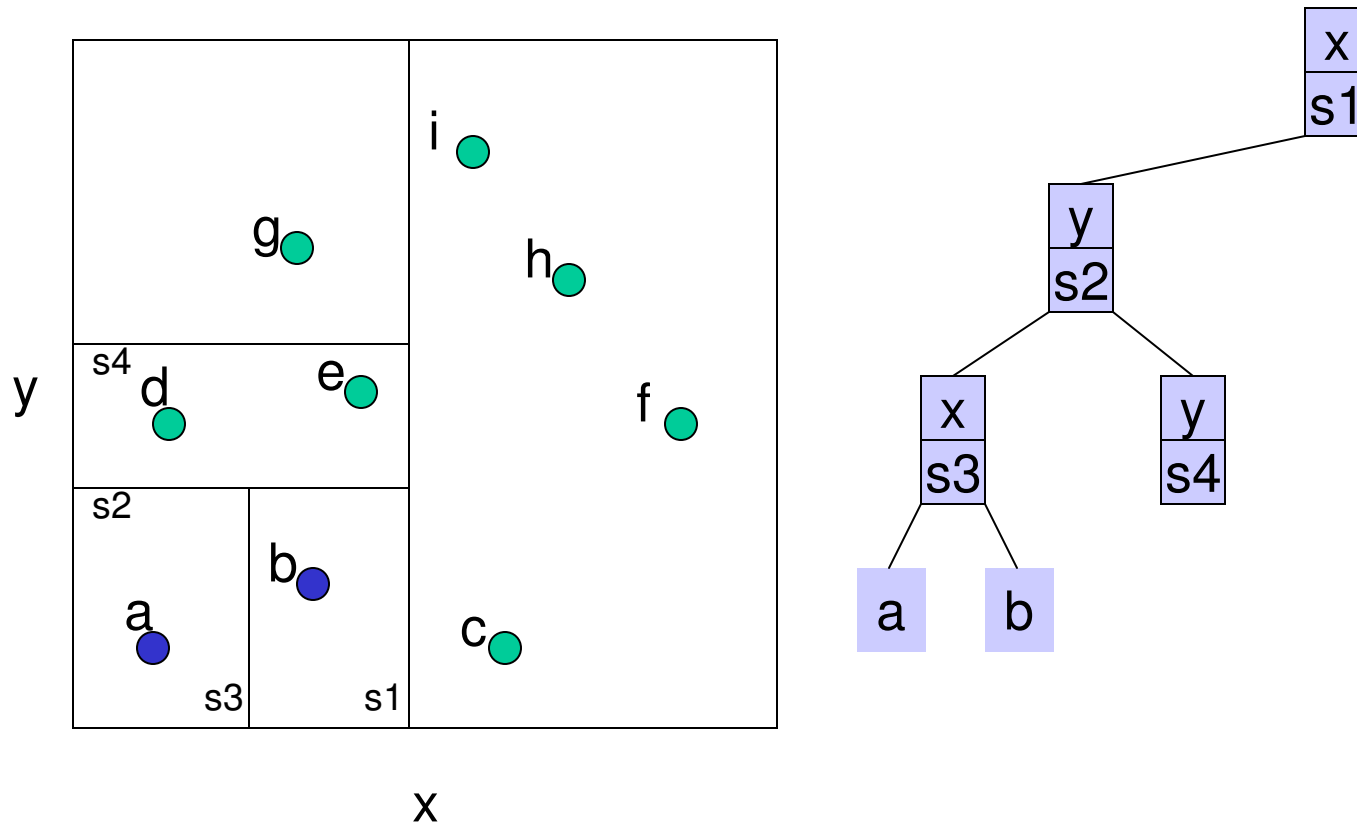




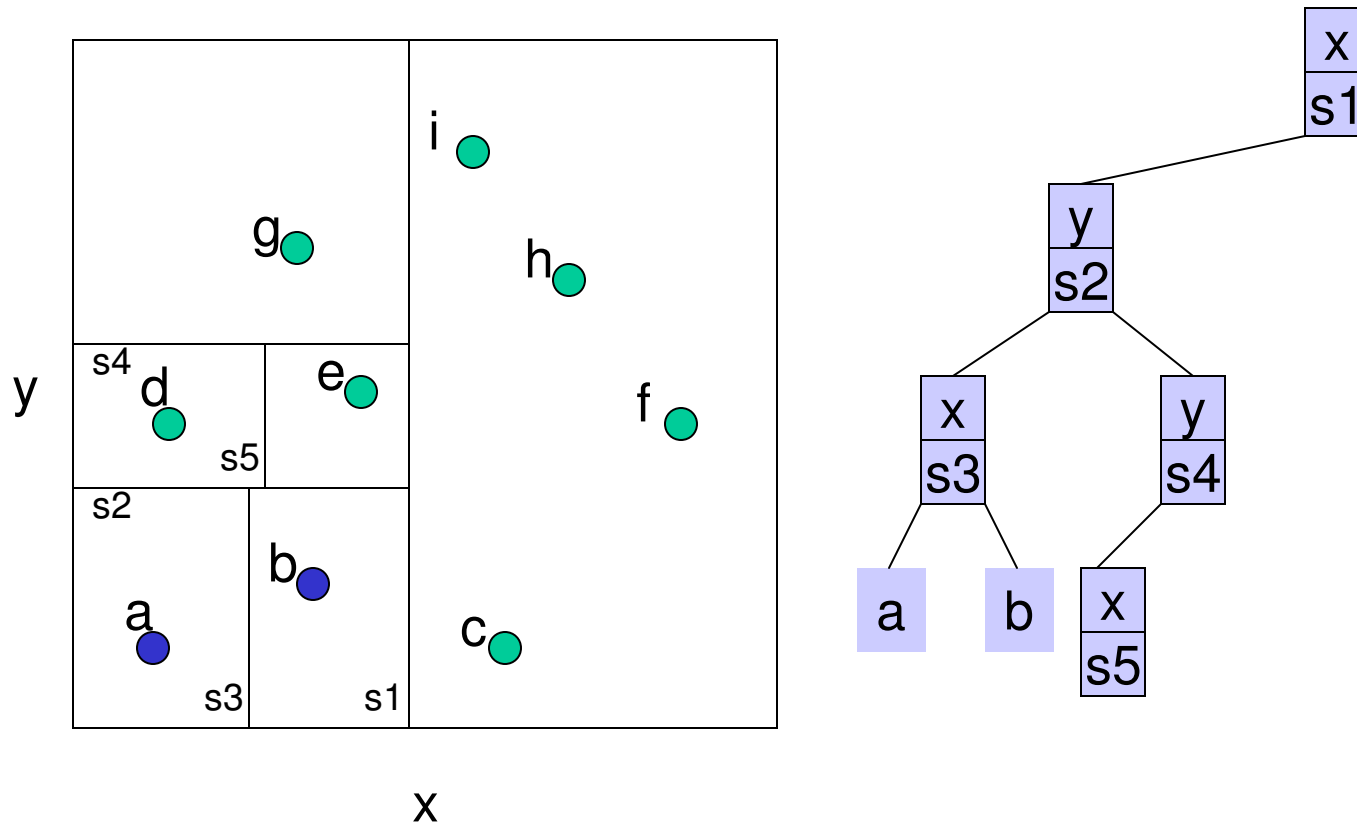
# k-d Tree Construction (6)



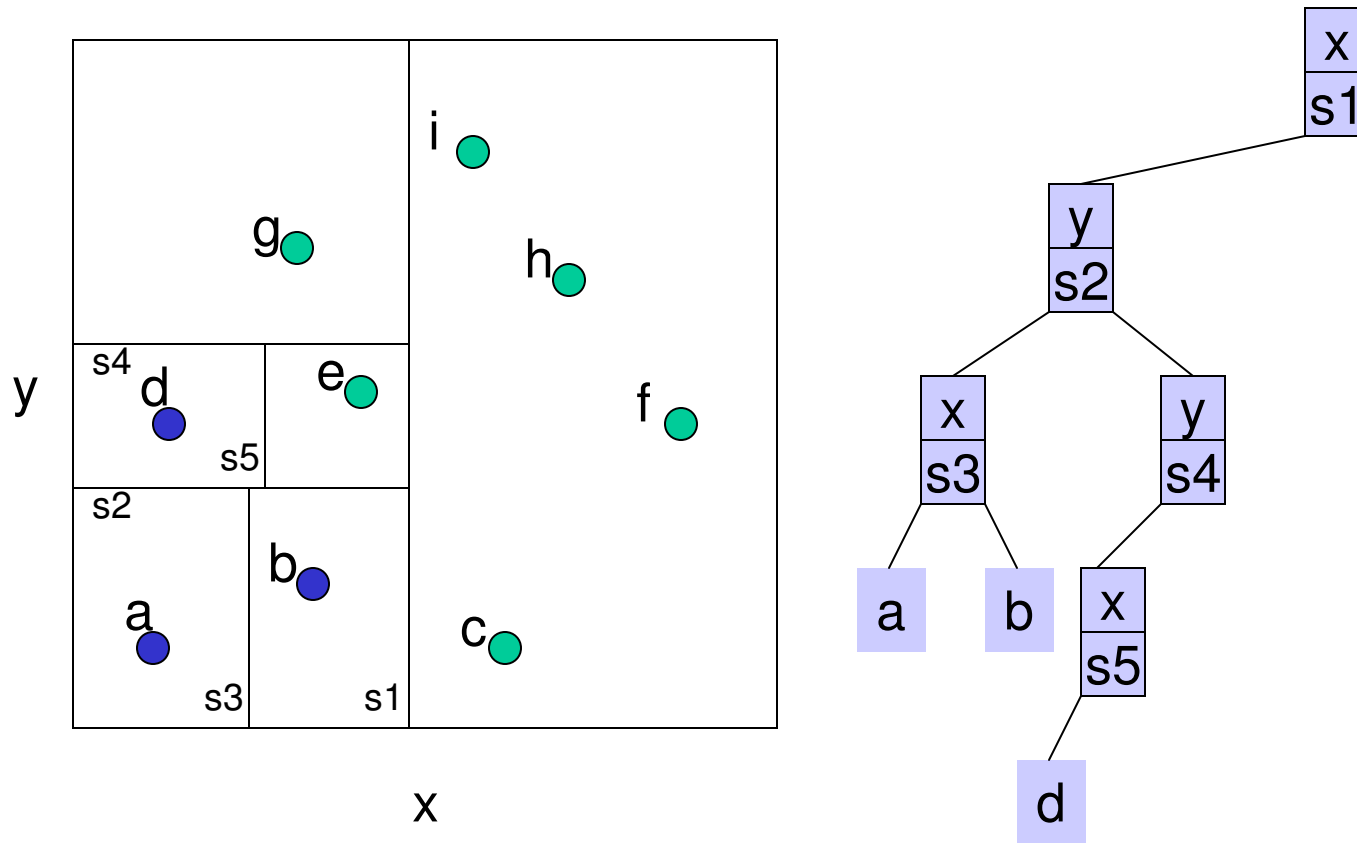
# k-d Tree Construction (7)



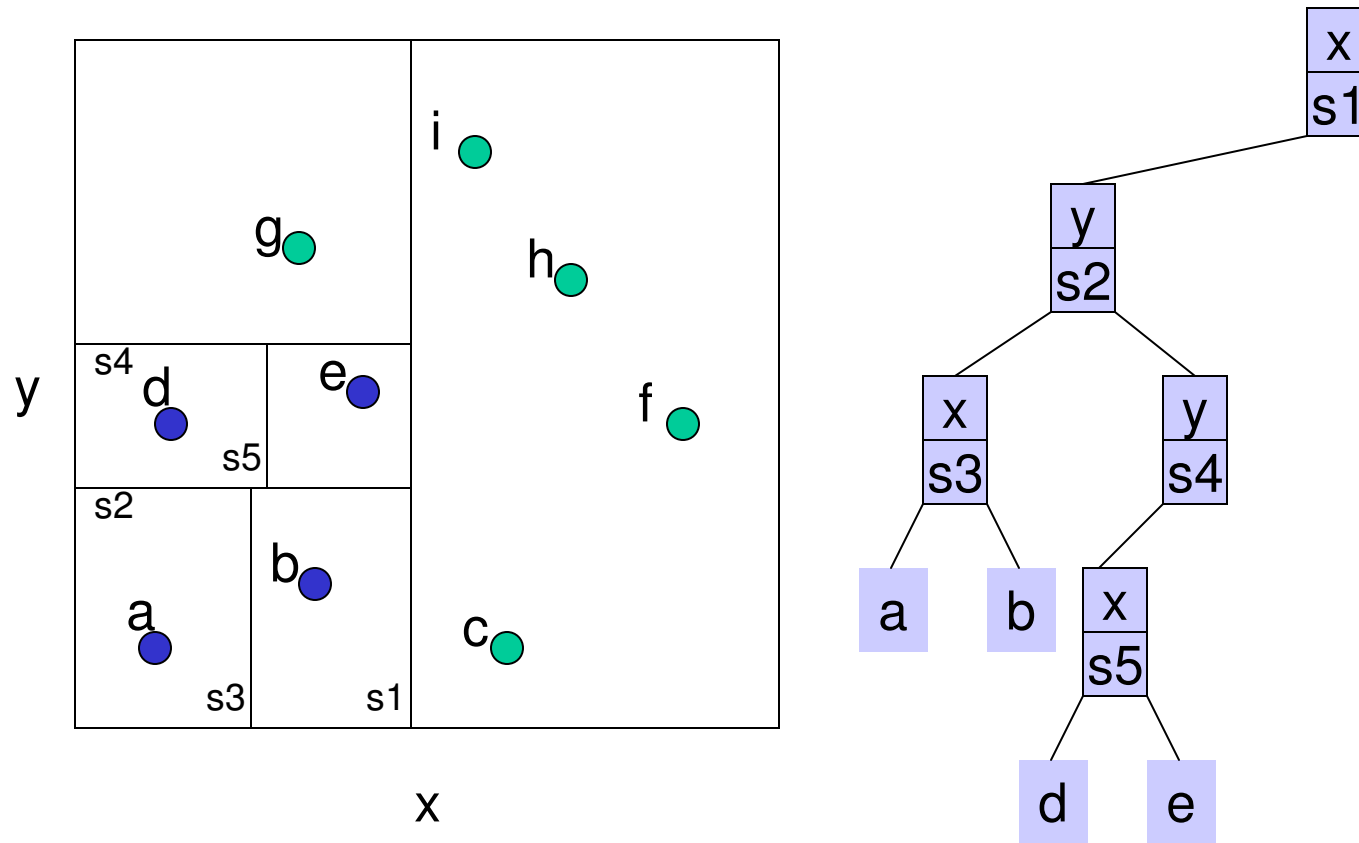
# k-d Tree Construction (8)



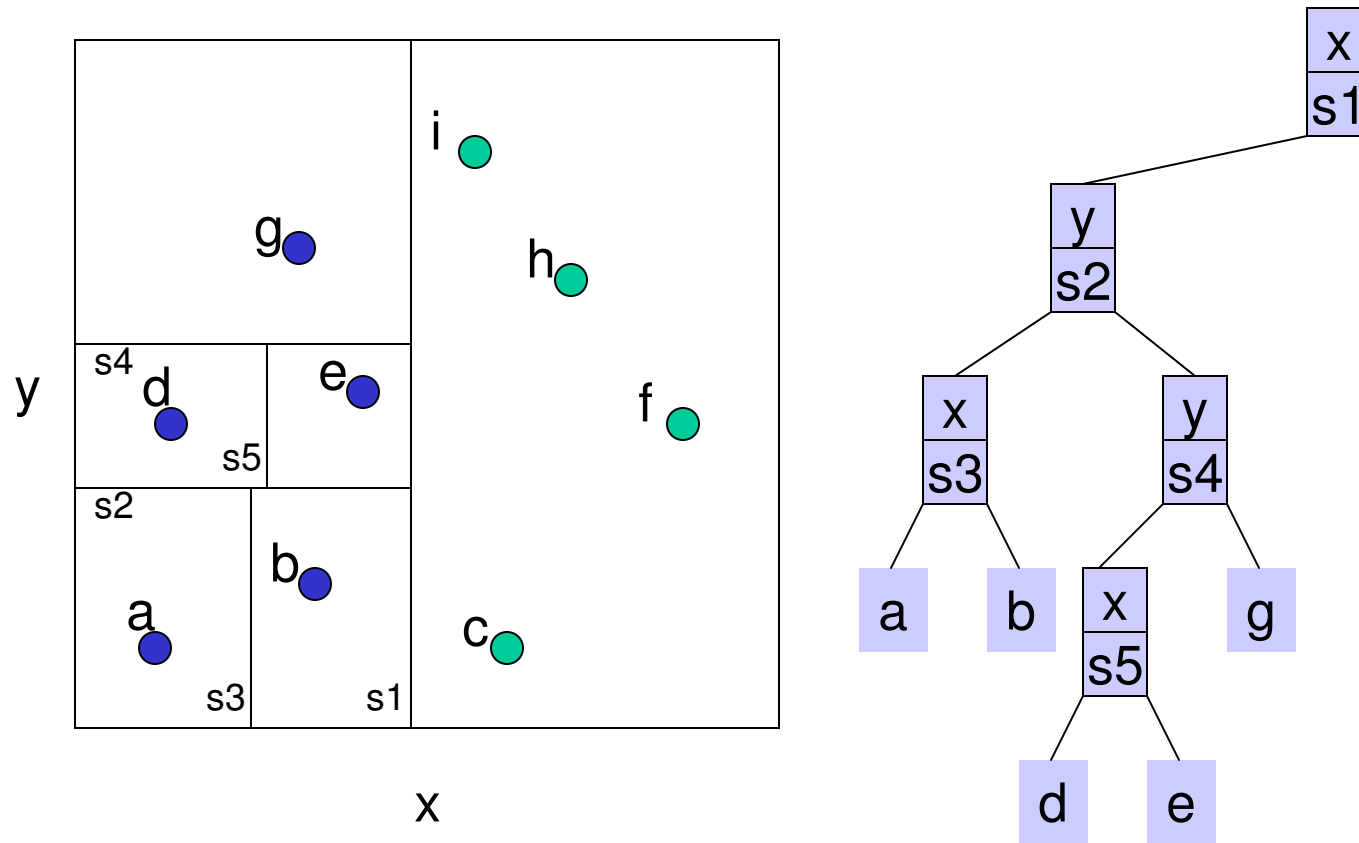
# k-d Tree Construction (9)



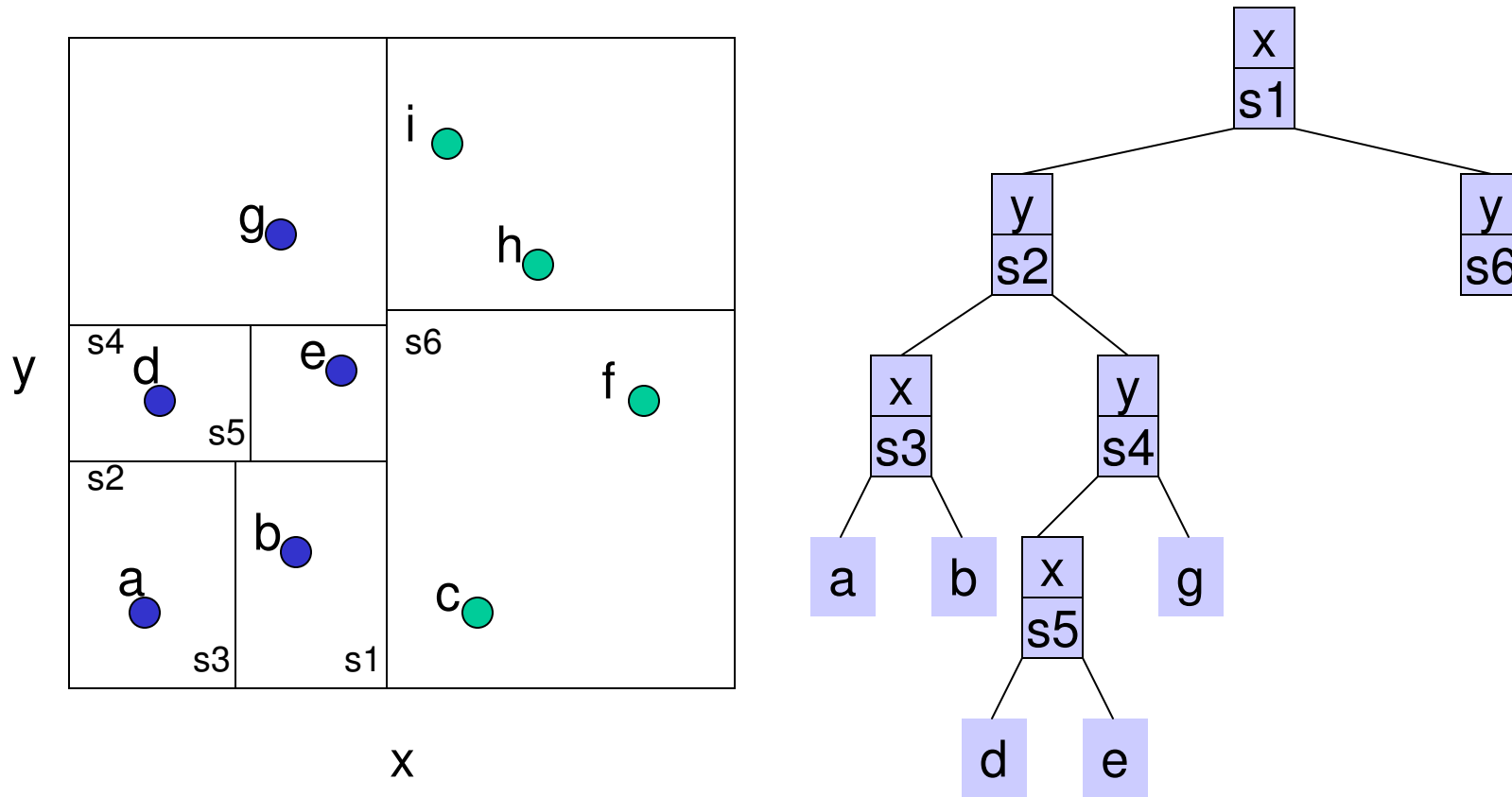
# k-d Tree Construction (10)



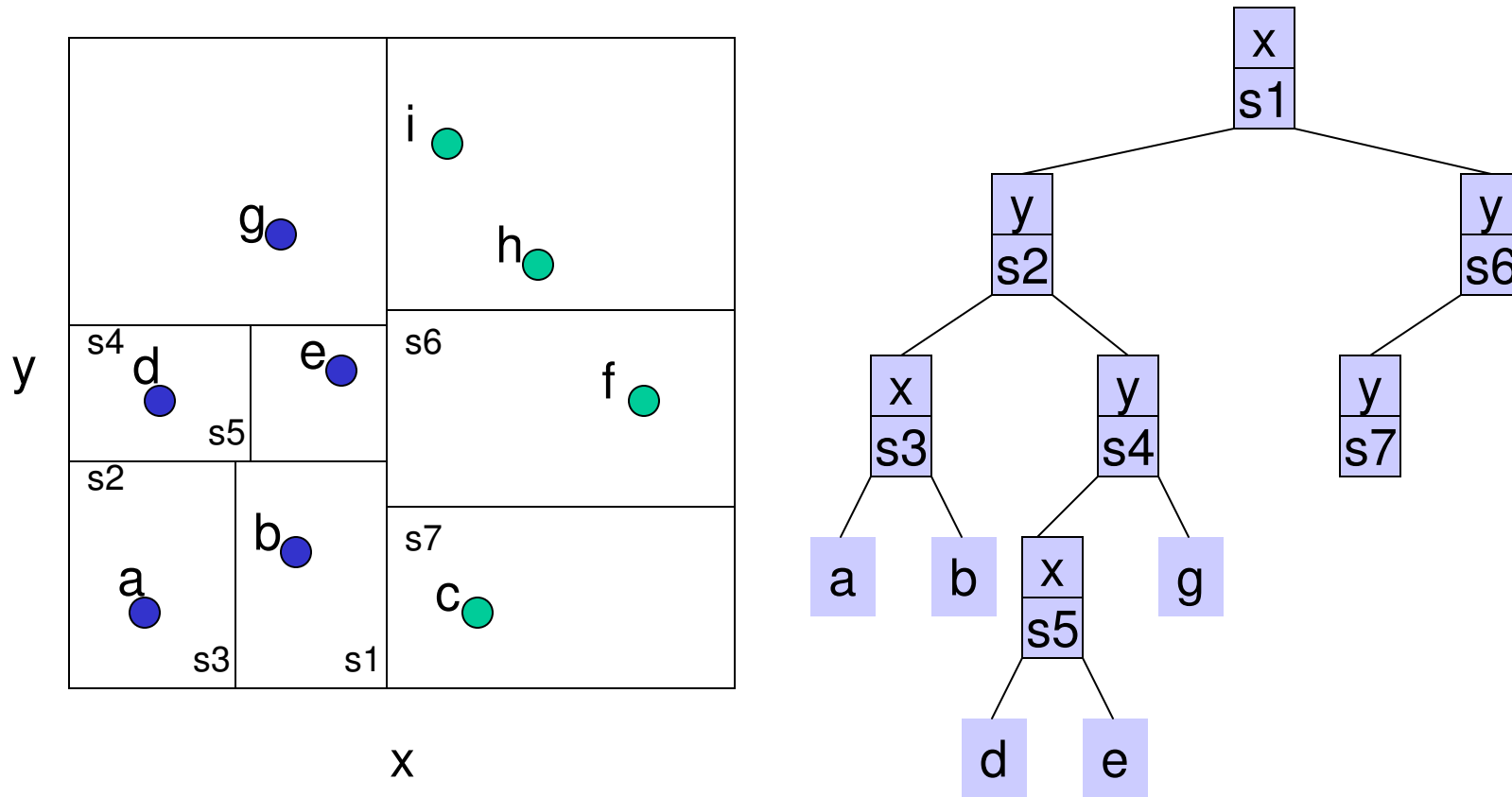
# k-d Tree Construction (11)



# k-d Tree Construction (12)

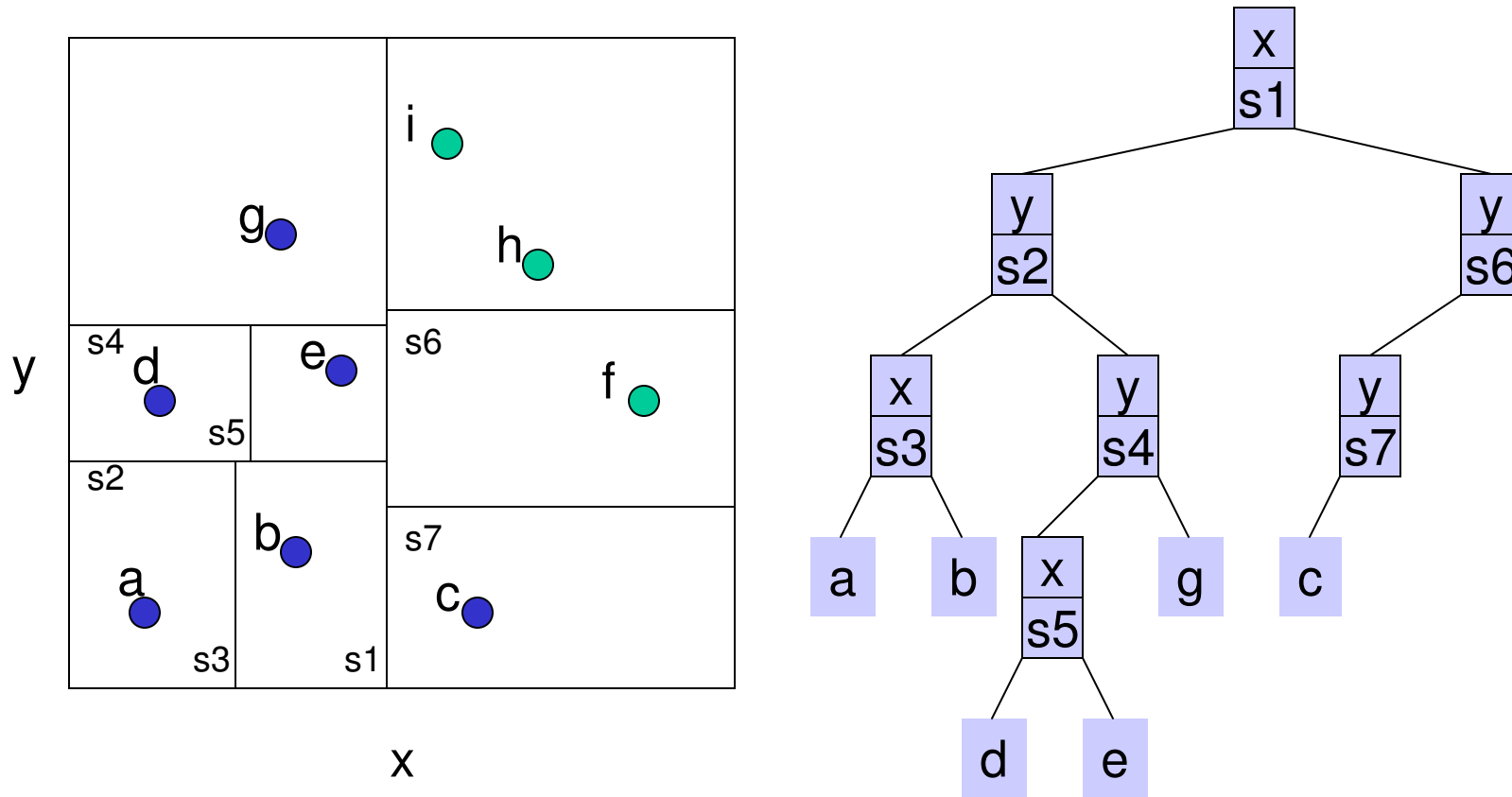


# k-d Tree Construction (13)

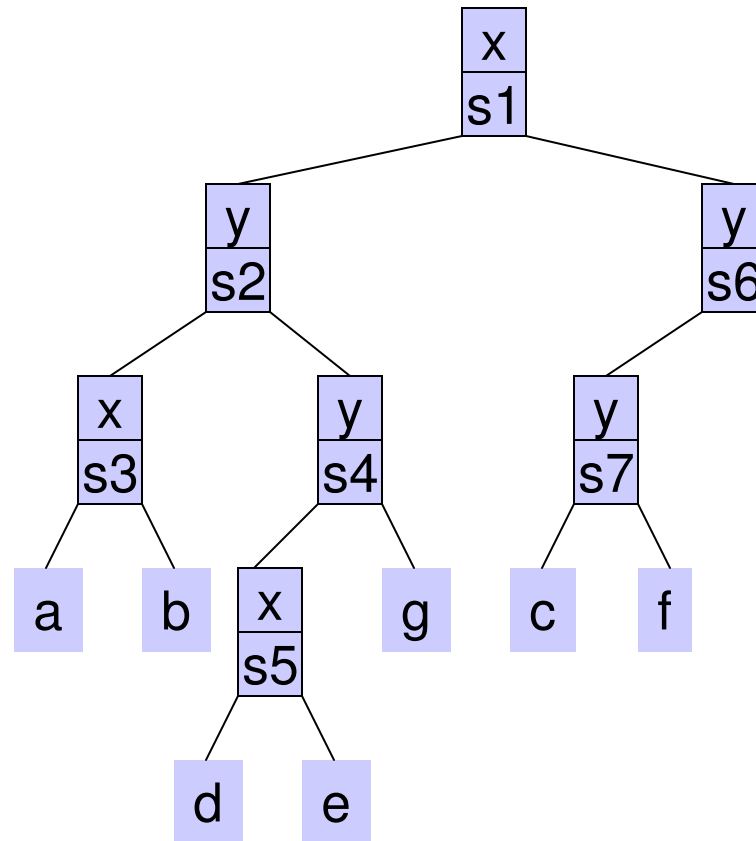
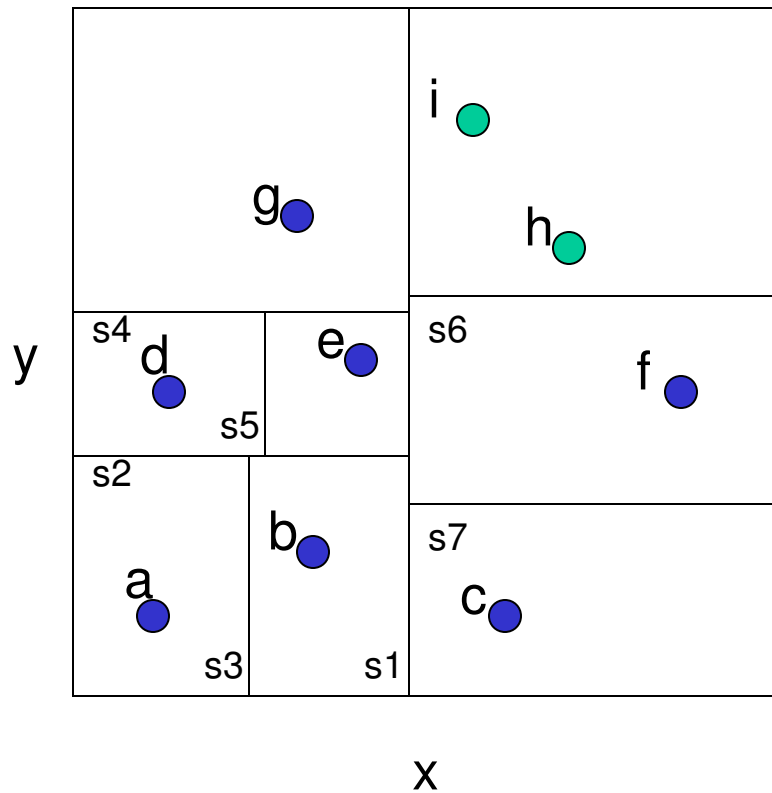




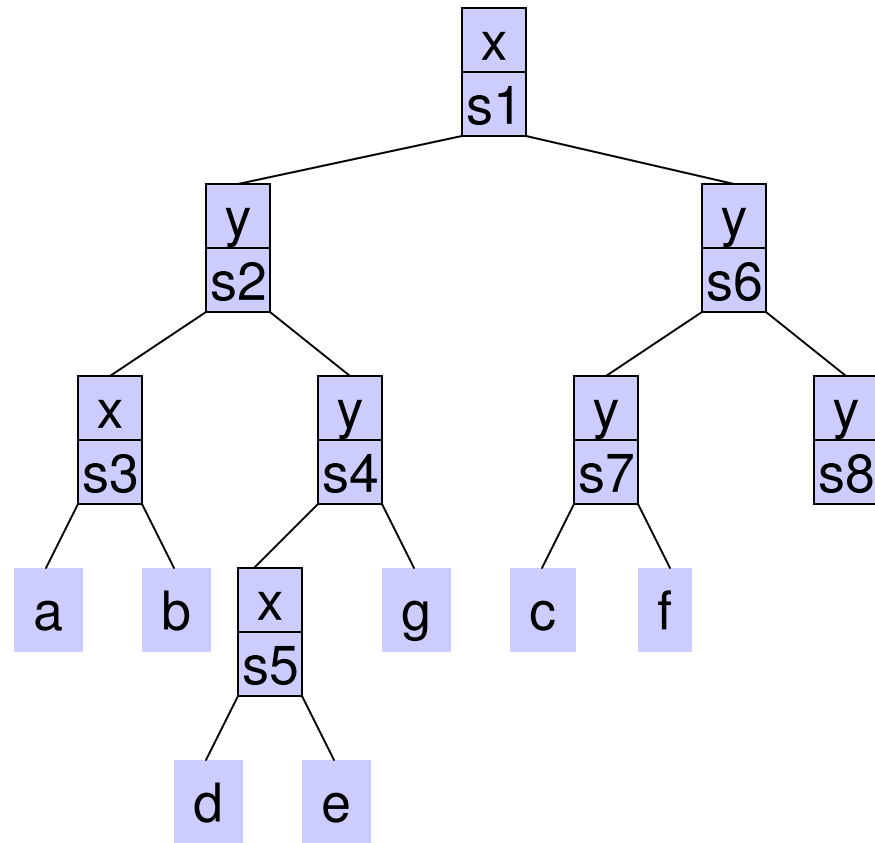
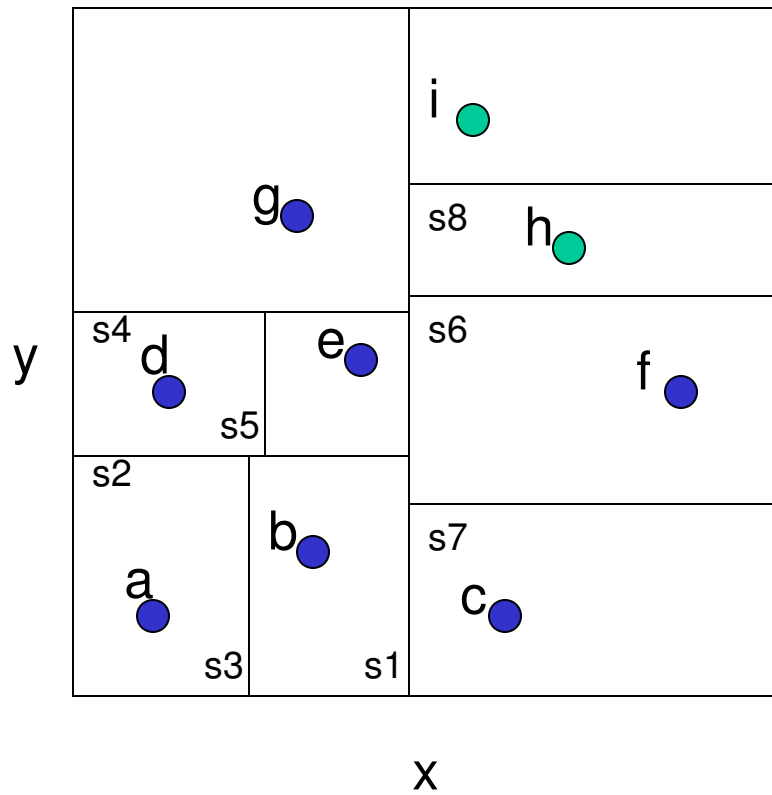
# k-d Tree Construction (14)



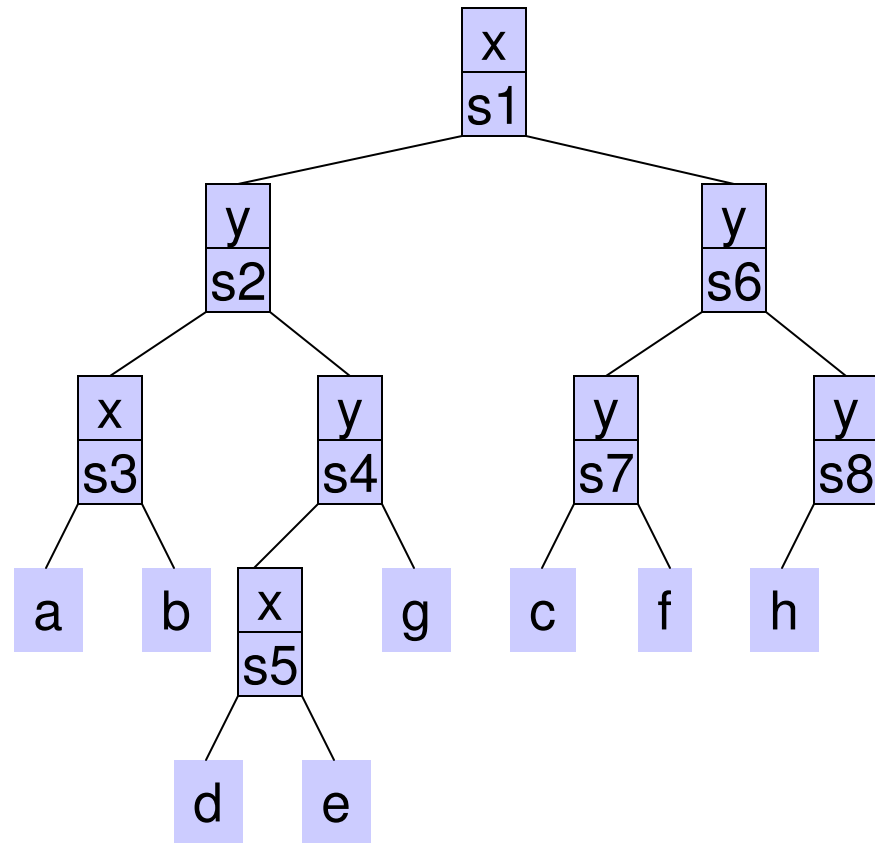
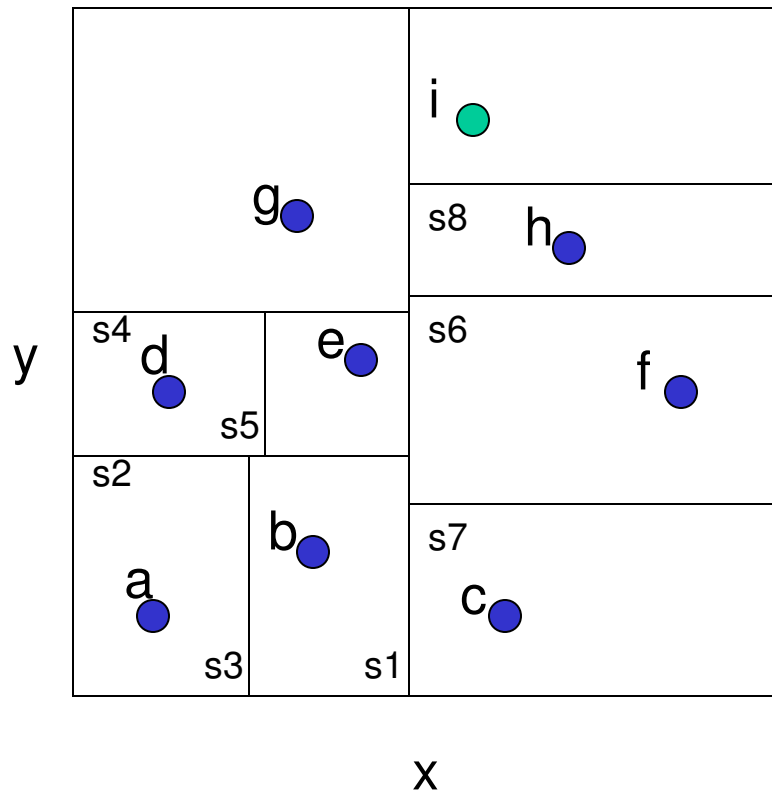
# k-d Tree Construction (15)



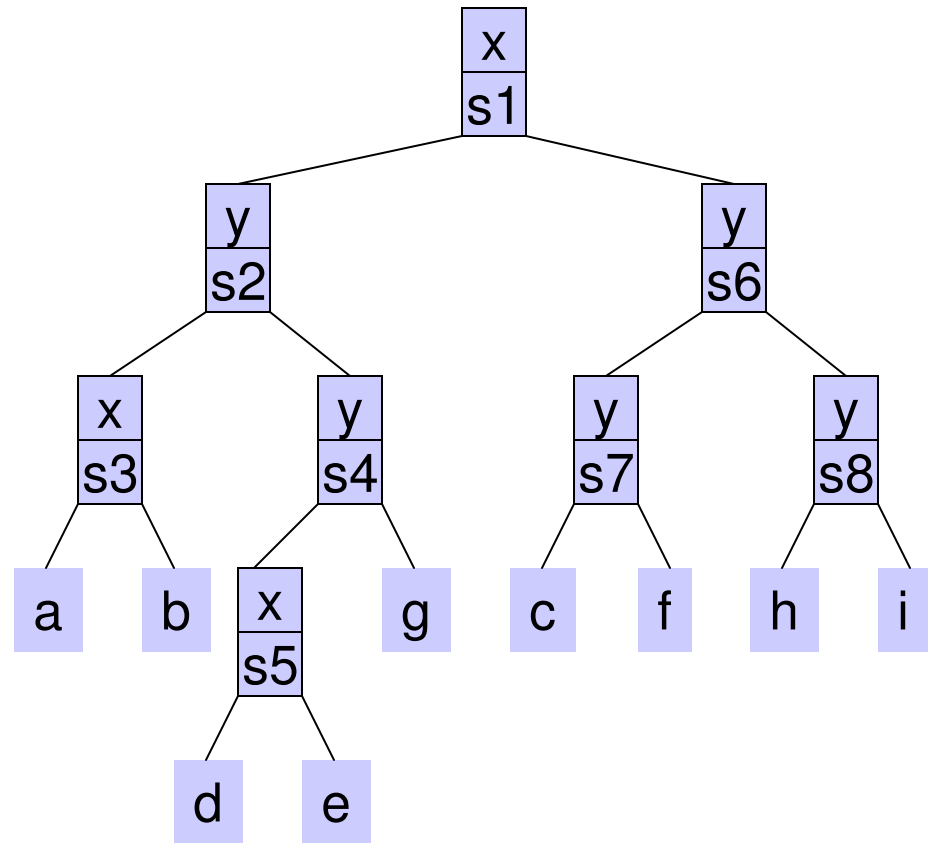
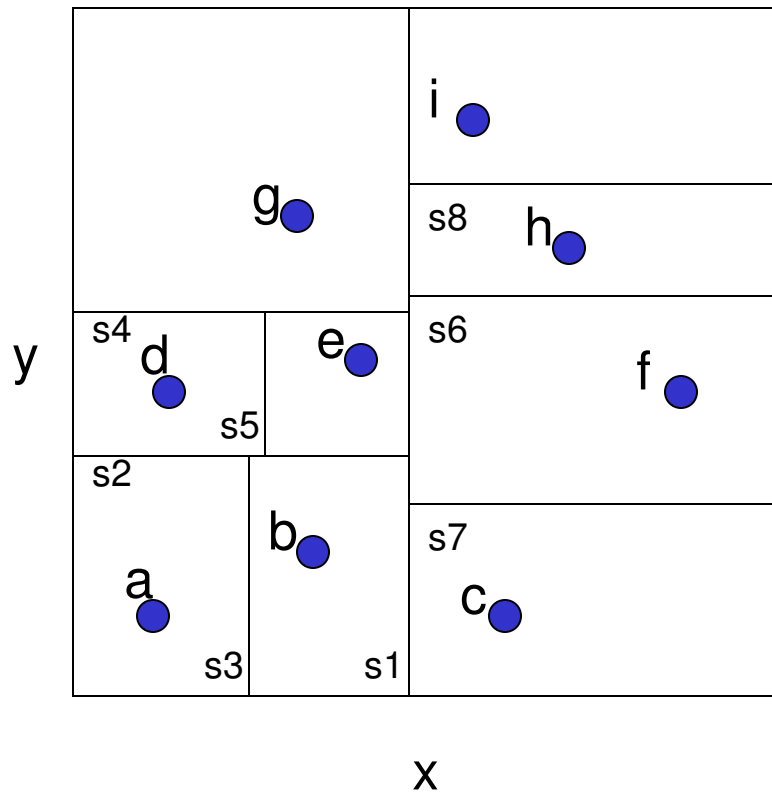
# k-d Tree Construction (16)



# k-d Tree Construction (17)



# k-d Tree Construction (18)

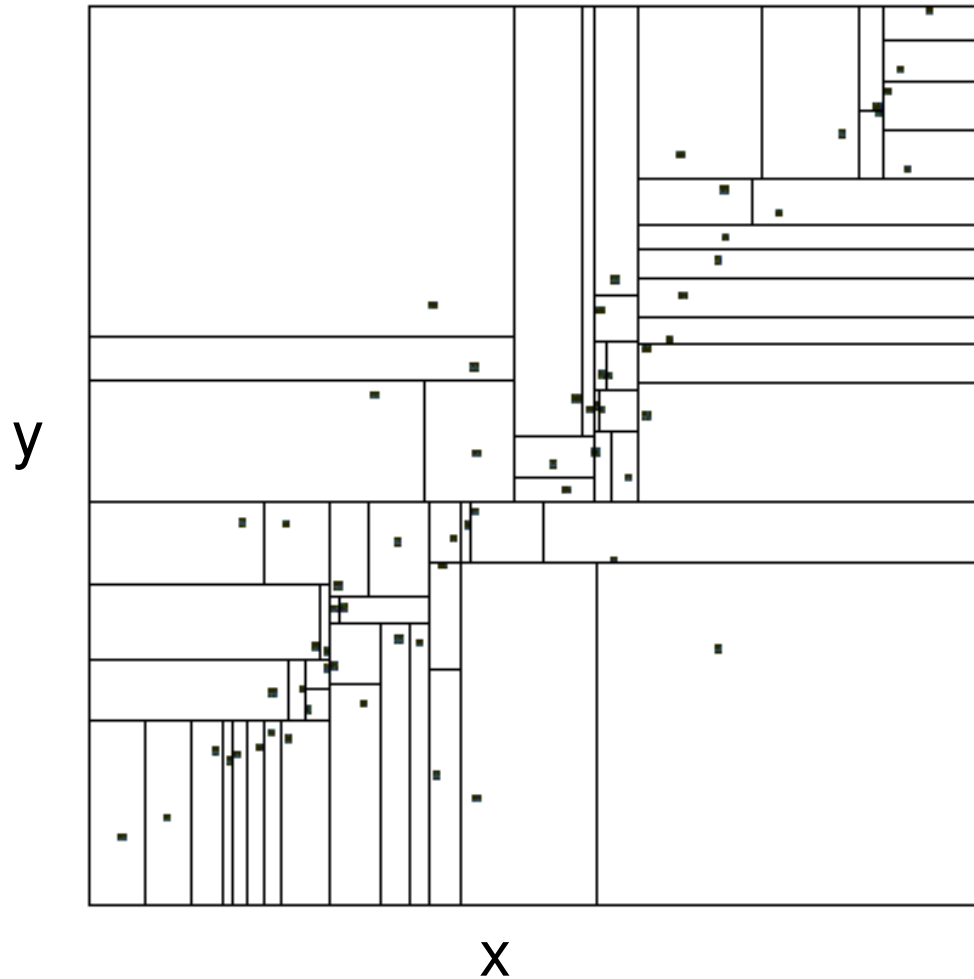


# k-d Tree Construction Complexity

- First sort the points in each dimension.
  - $O(dn \log n)$  time and  $dn$  storage.
  - These are stored in  $A[1..d, 1..n]$
- Finding the widest spread and equally dividing into two subsets can be done in  $O(dn)$  time.
- Constructing the k-d tree can be done in  $O(dn \log n)$  and  $dn$  storage

# k-d Tree Codebook Organization

2-d vectors  
(x,y)



# Node Structure for k-d Trees

- A node has 5 fields
  - axis (splitting axis)
  - value (splitting value)
  - left (left subtree)
  - right (right subtree)
  - point (holds a point if left and right children are null)

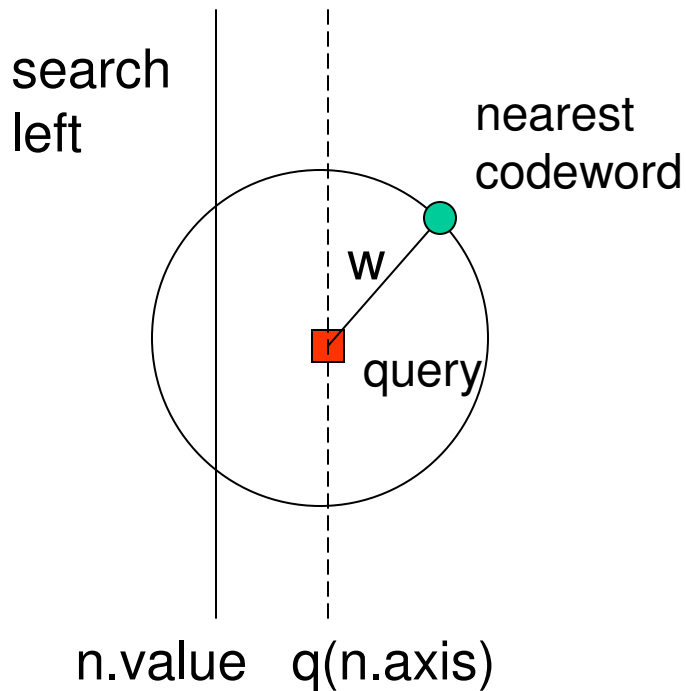


# k-d Tree Nearest Neighbor Search

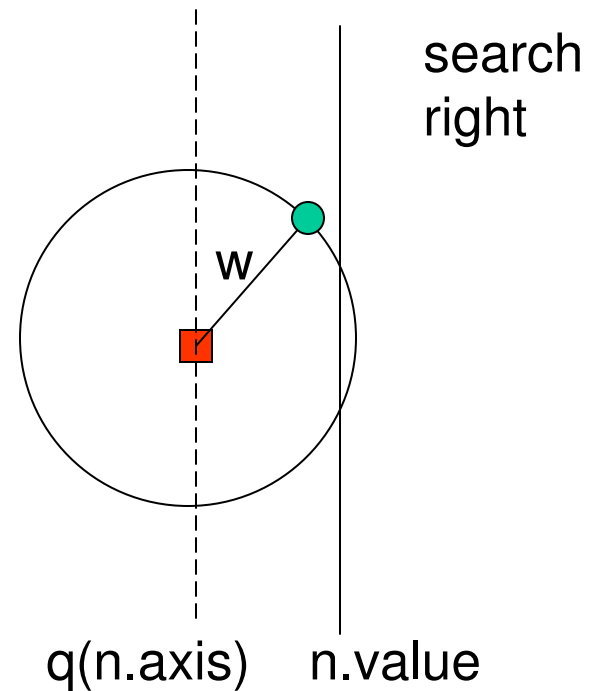
```
NNS(q: point, n: node, p: ref point w: ref distance)
if n.left = n.right = null then {leaf case}
  w' := ||q - n.point||;
  if w' < w then w := w'; p := n.point;
else
  if w = infinity then
    if q(n.axis) ≤ n.value then
      NNS(q, n.left, p, w);
      if q(n.axis) + w > n.value then NNS(q, n.right, p, w);
    else
      NNS(q, n.right, p, w);
      if q(n.axis) - w ≤ n.value then NNS(q, n.left, p, w)
  else {w is finite}
    if q(n.axis) - w ≤ n.value then NNS(q, n.left, p, w)
    if q(n.axis) + w > n.value then NNS(q, n.right, p, w);
```

initial call NNS(q, root, p, infinity)

# Explanation



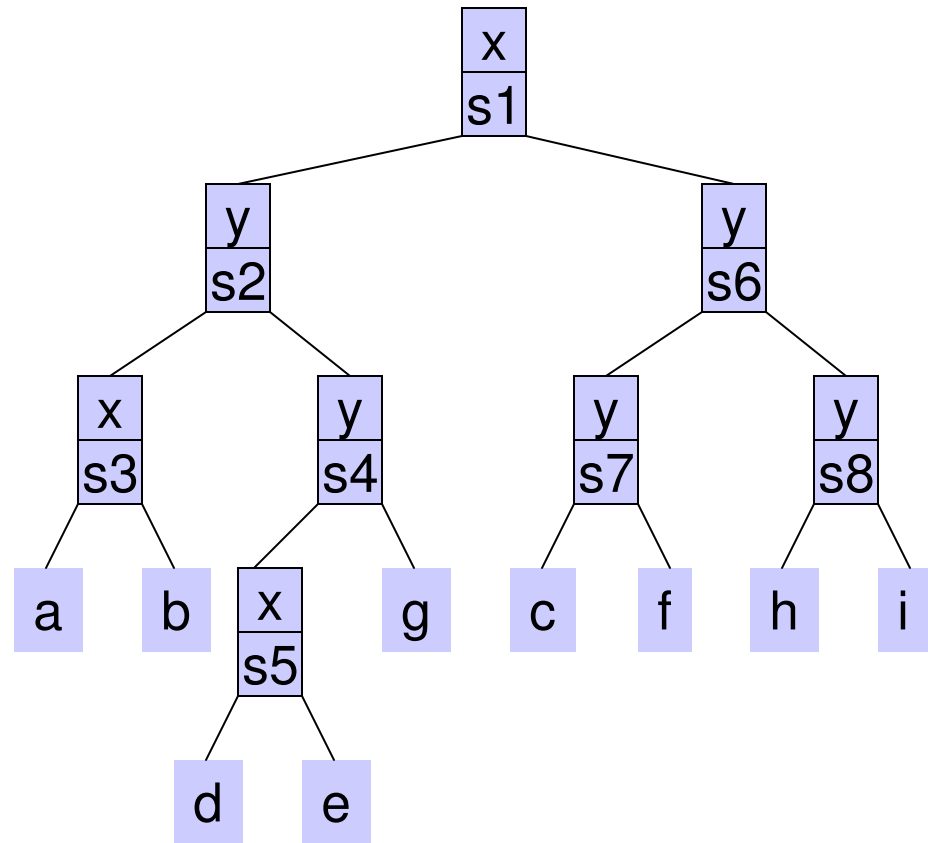
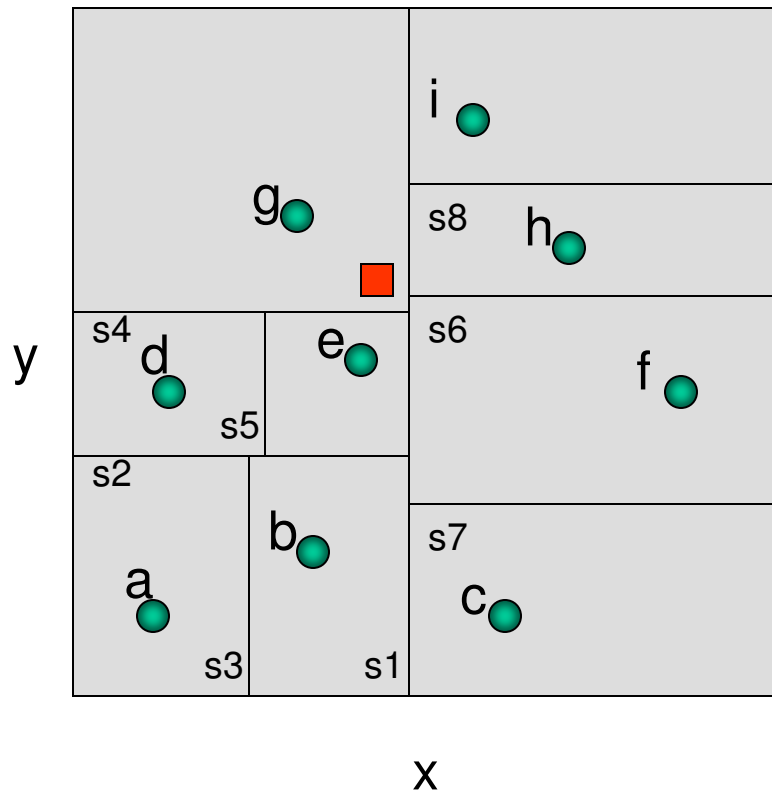
$q(n.axis) - w \leq n.value$   
means the circle overlaps  
the left subtree.



$q(n.axis) + w > n.value$   
means the circle overlaps  
the right subtree.

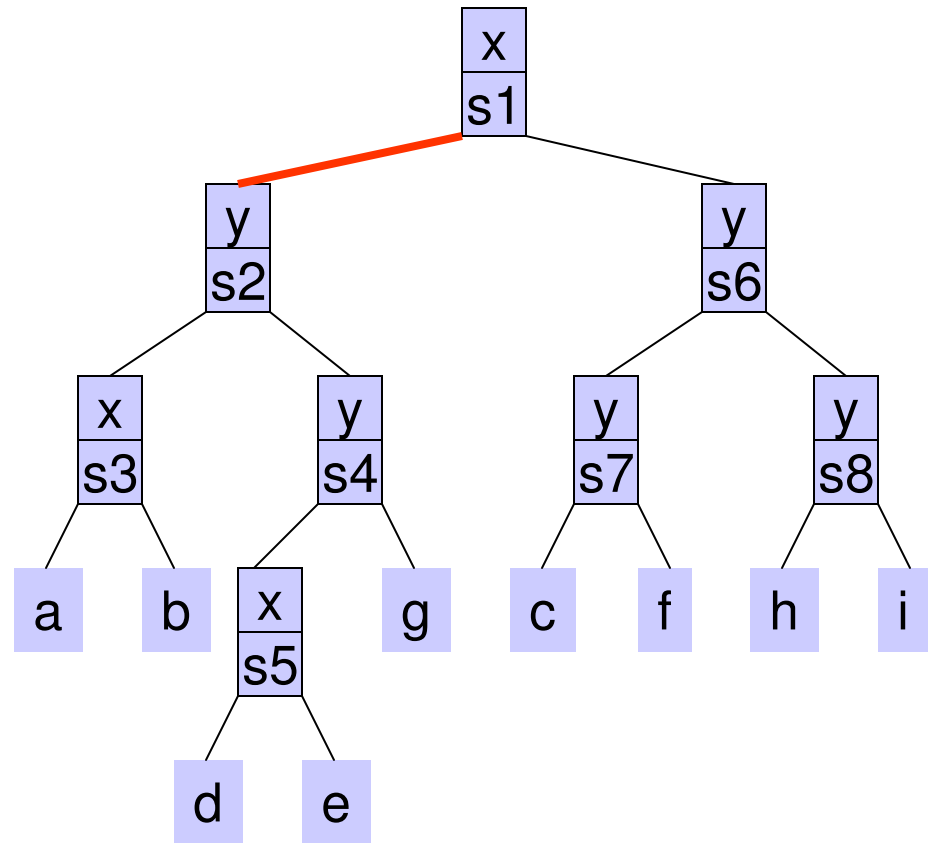
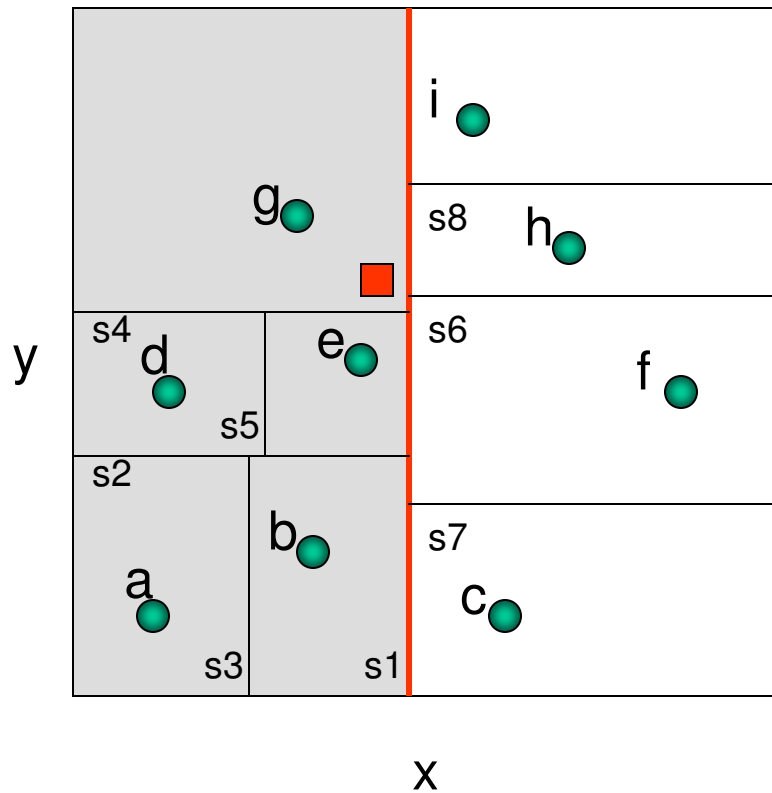
# k-d Tree NNS (1)

■ query point



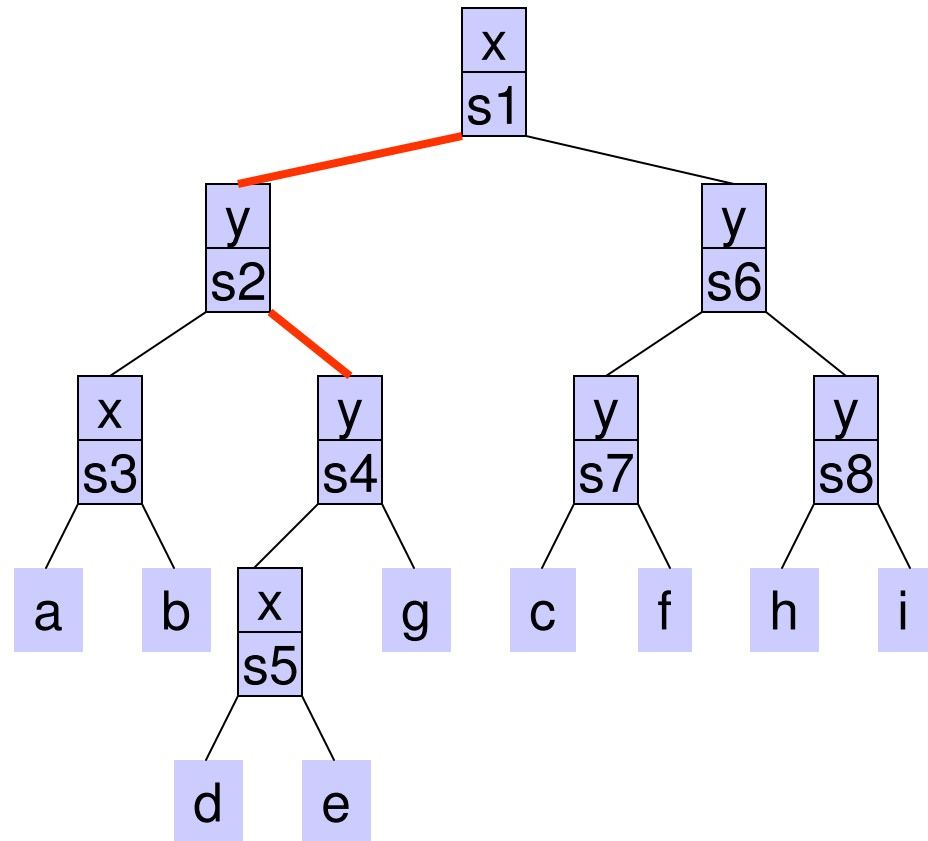
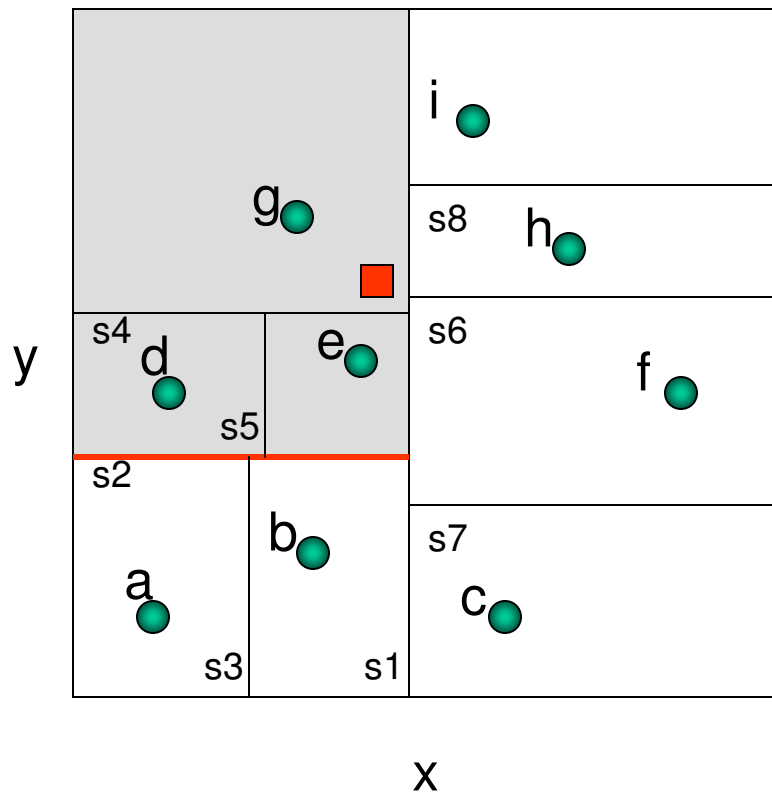
# k-d Tree NNS (2)

■ query point



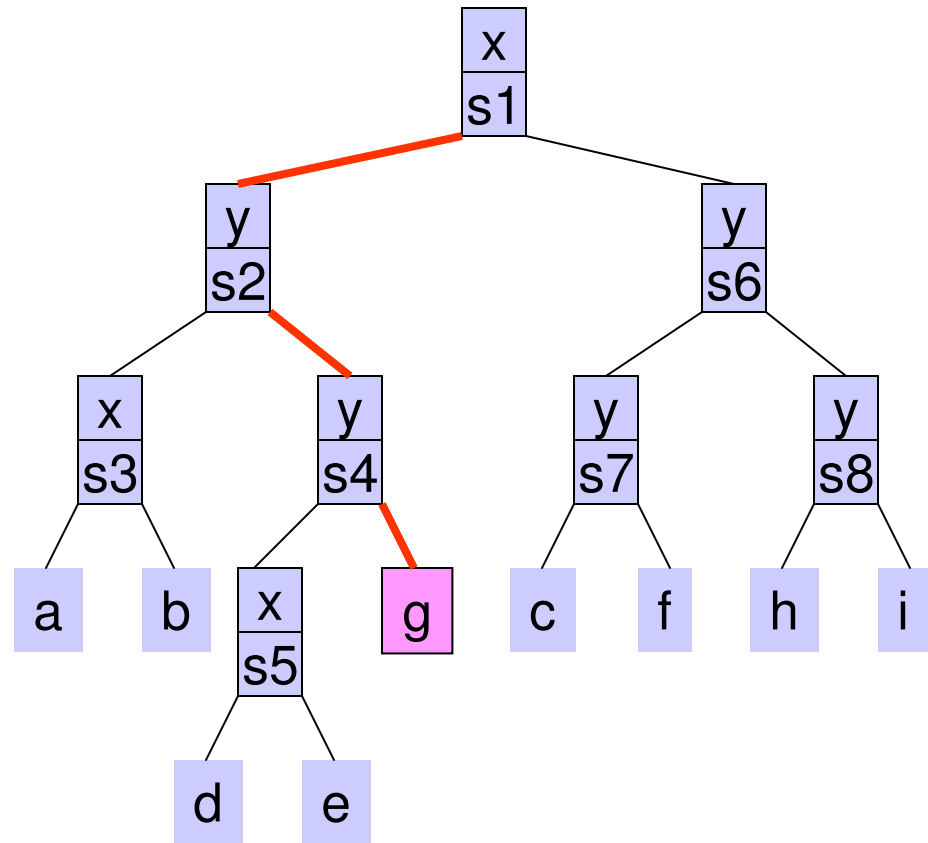
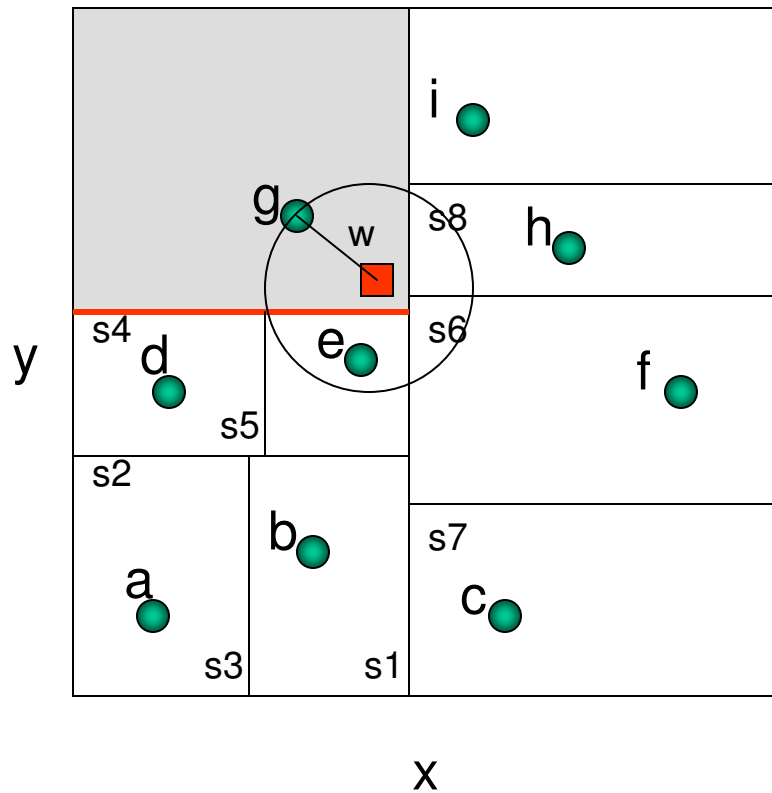
# k-d Tree NNS (3)

■ query point



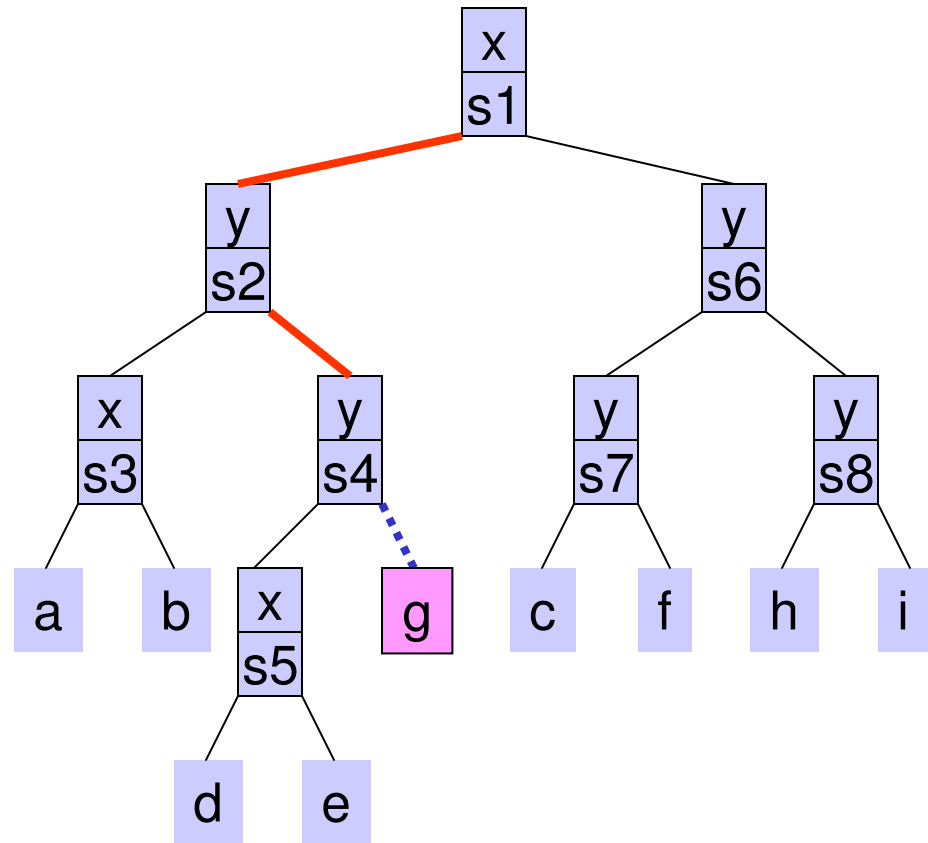
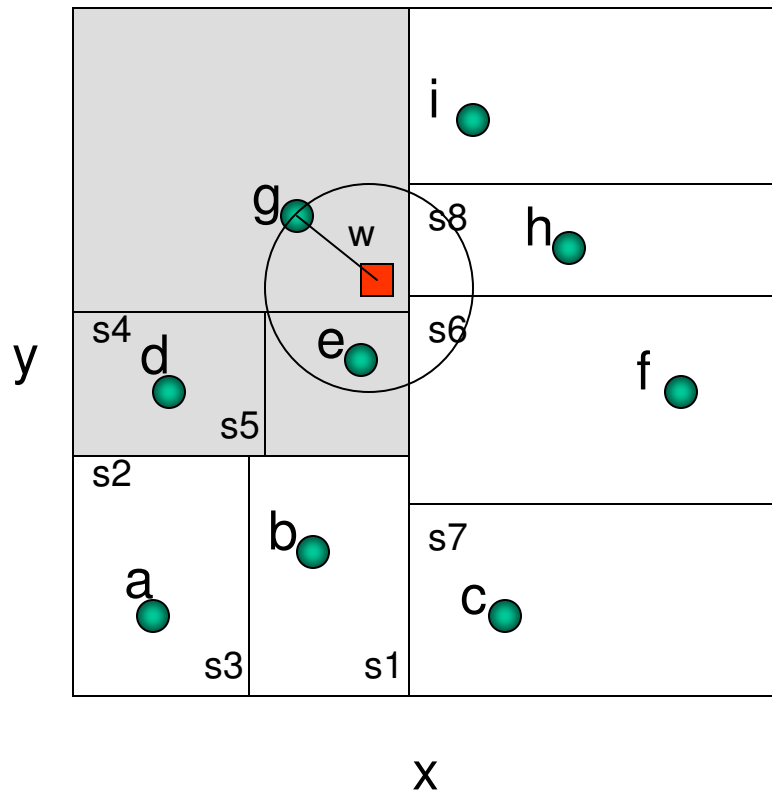
# k-d Tree NNS (4)

■ query point



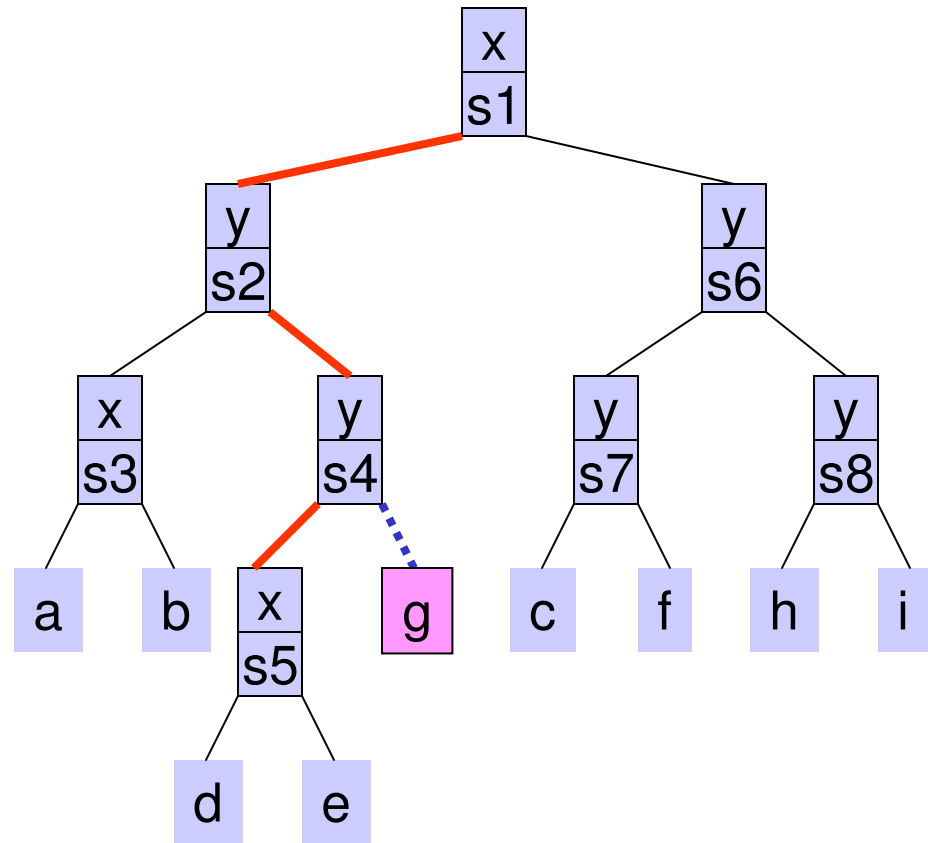
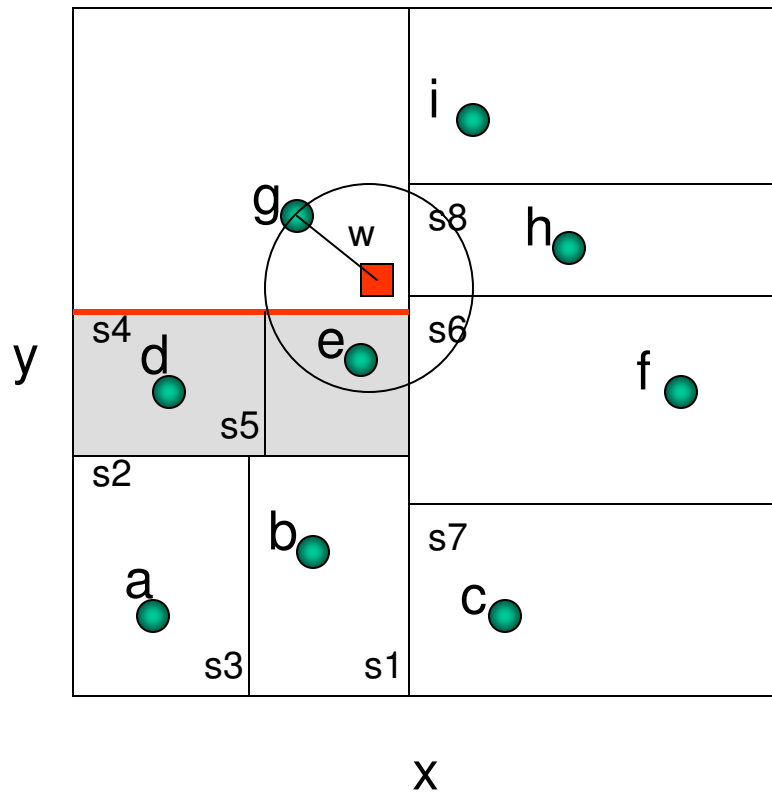
# k-d Tree NNS (5)

■ query point



# k-d Tree NNS (6)

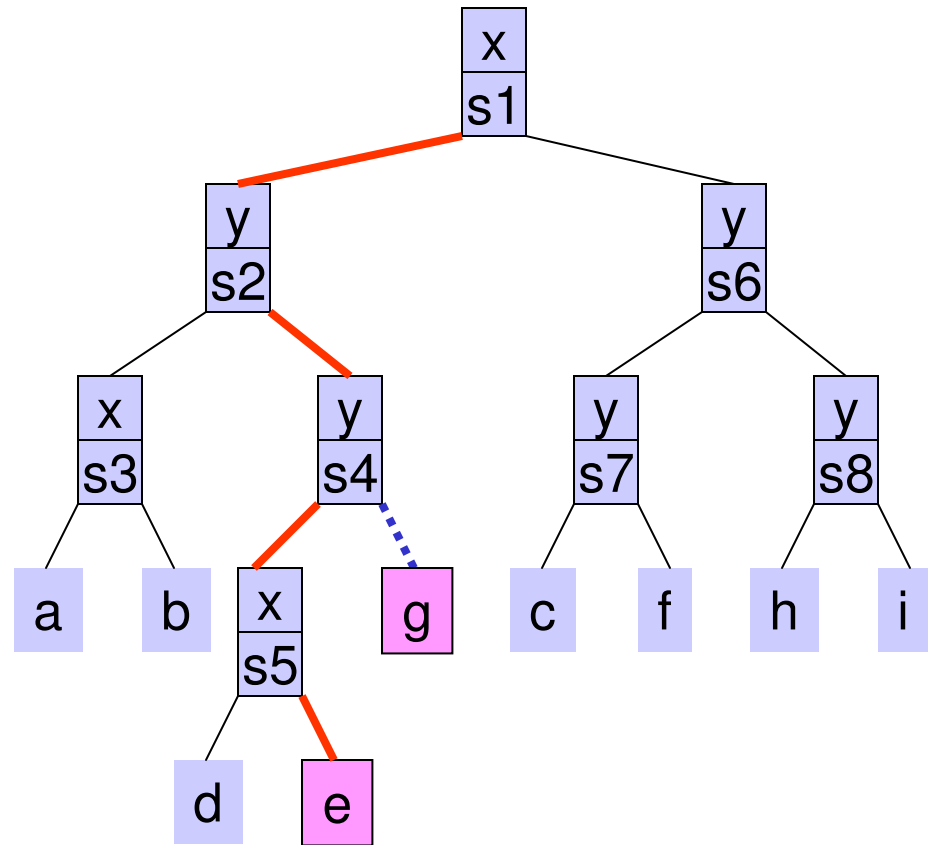
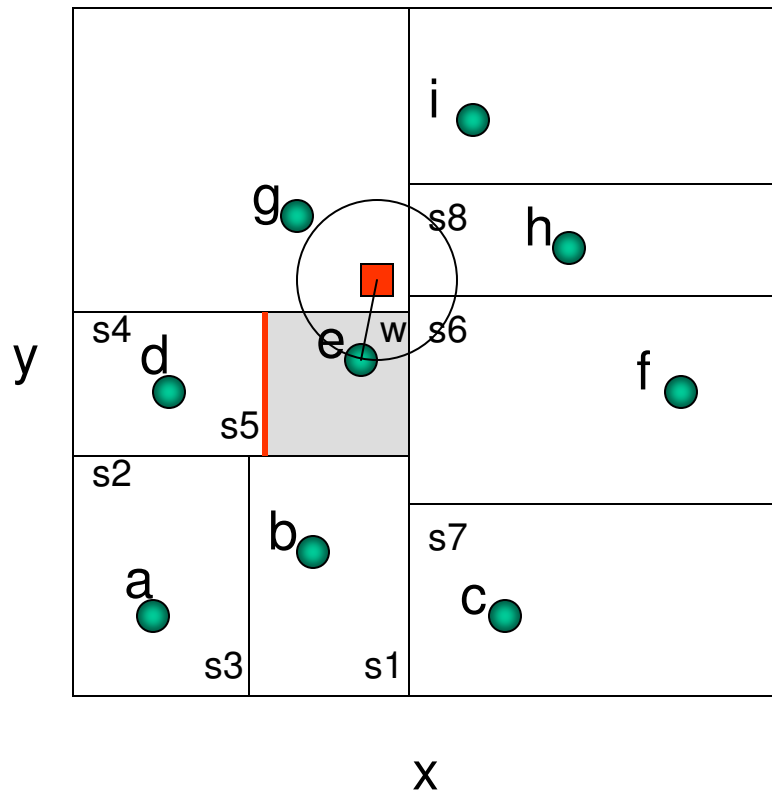
■ query point





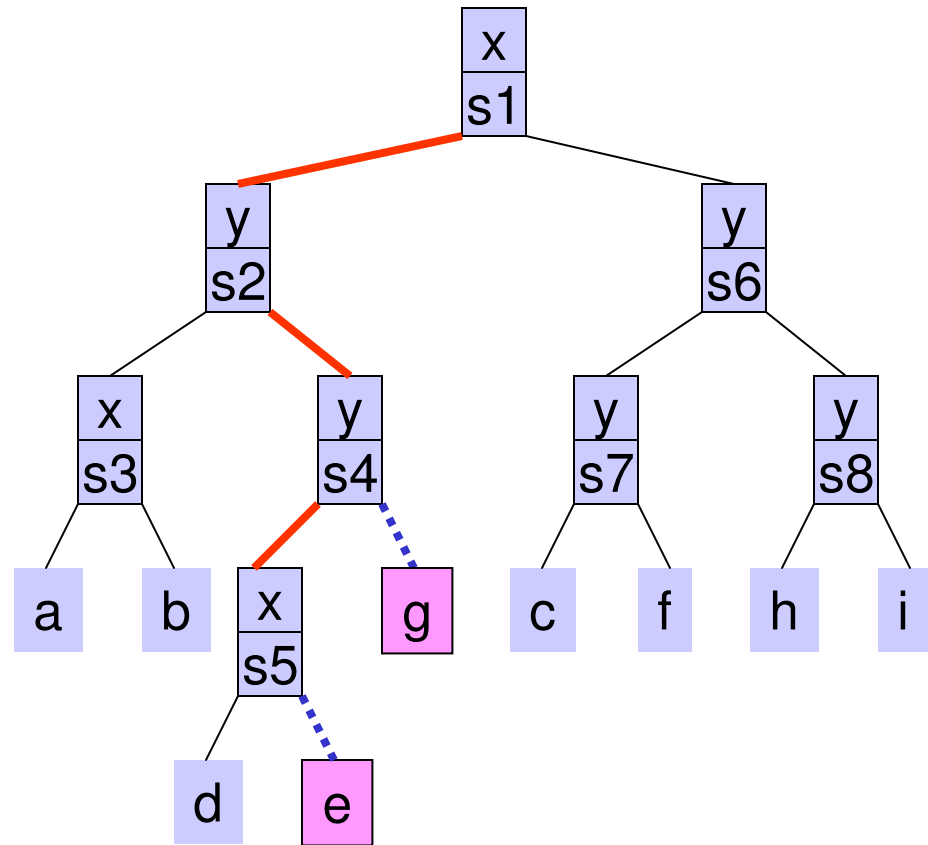
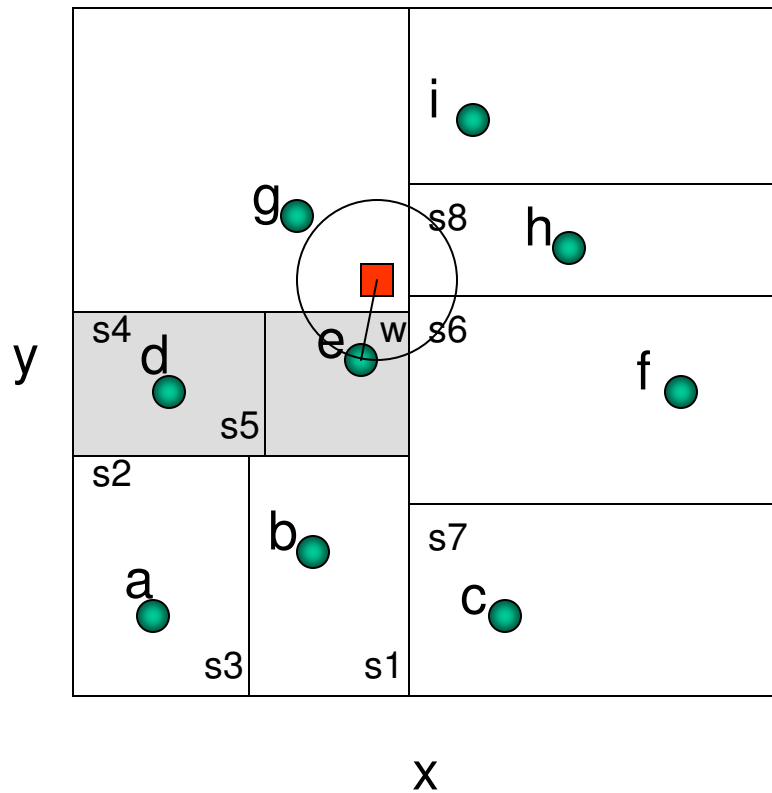
# k-d Tree NNS (7)

■ query point



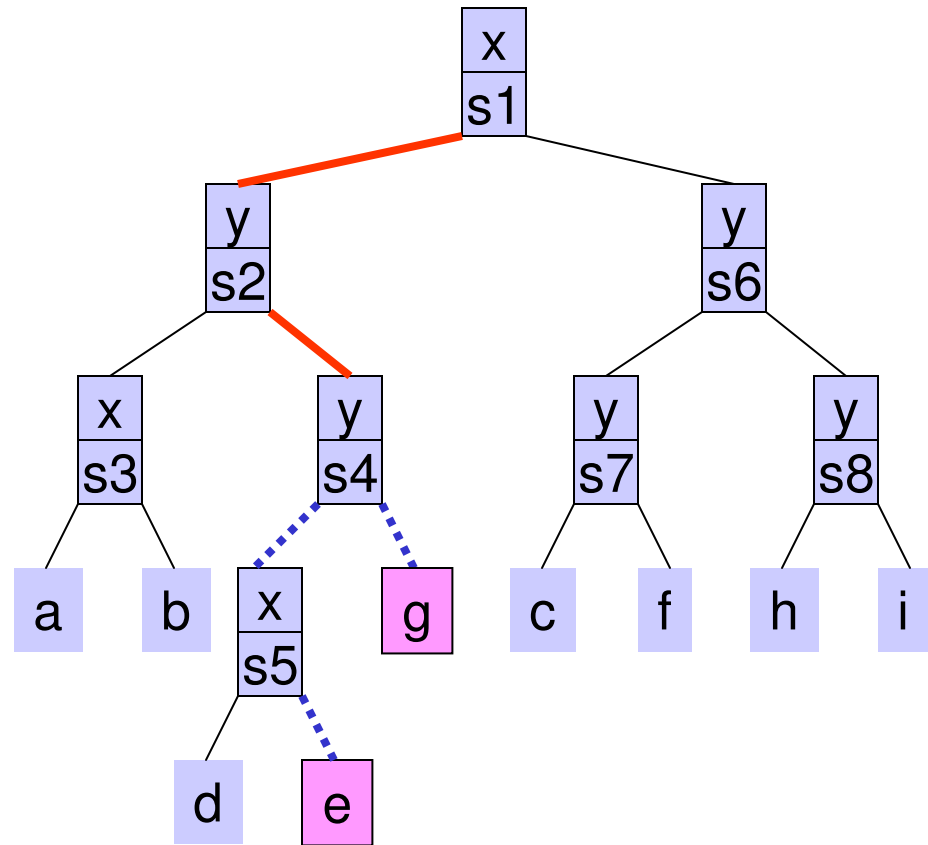
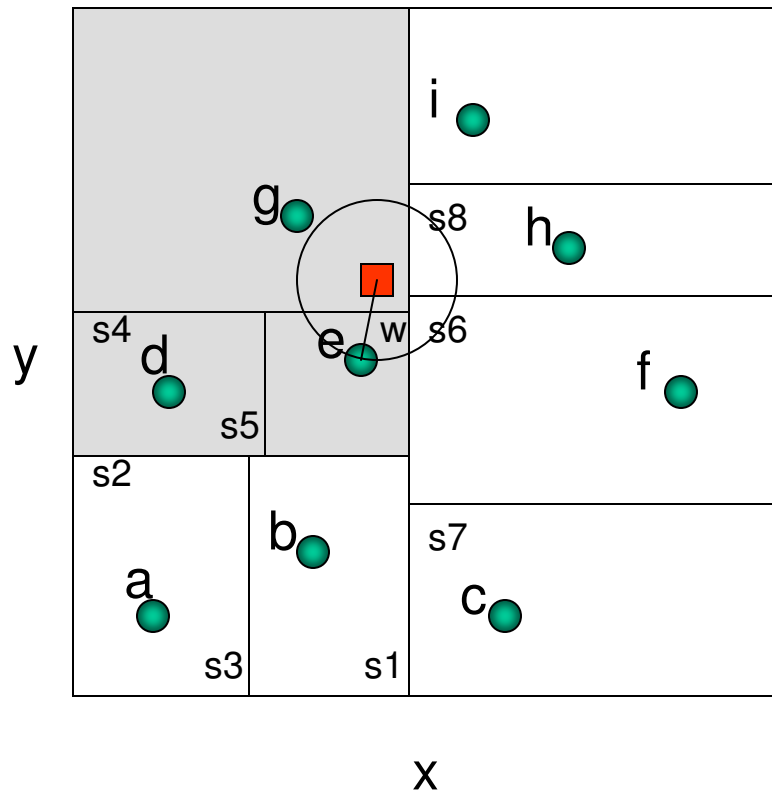
# k-d Tree NNS (8)

■ query point



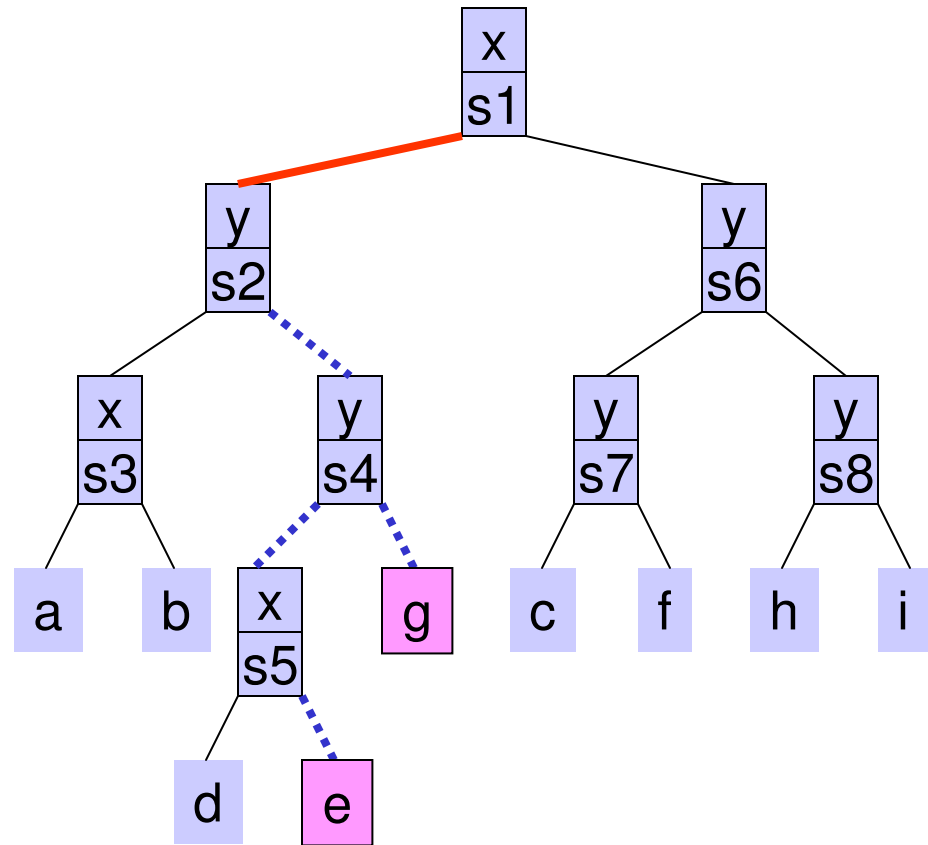
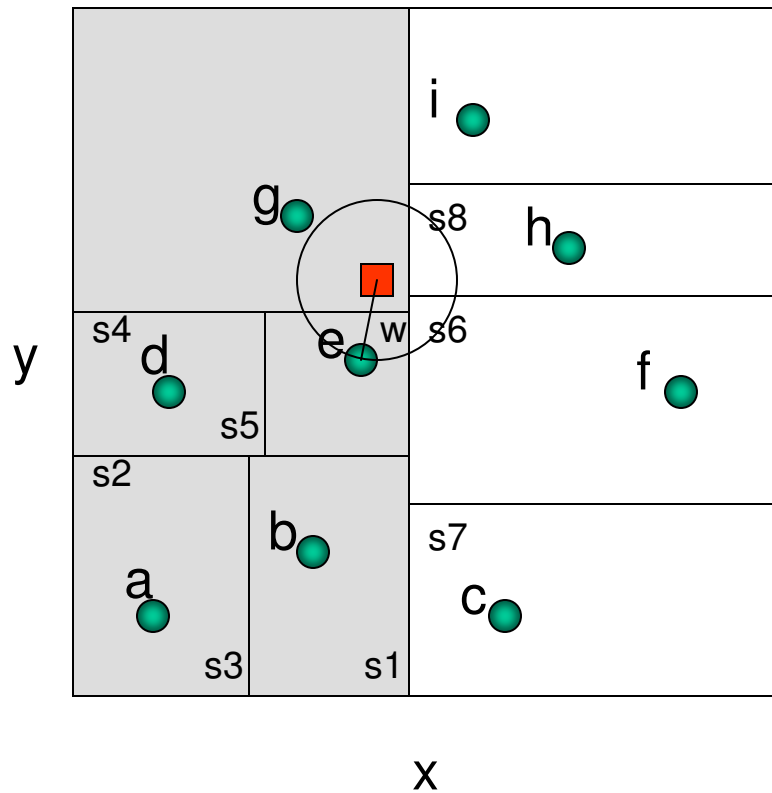
# k-d Tree NNS (9)

■ query point



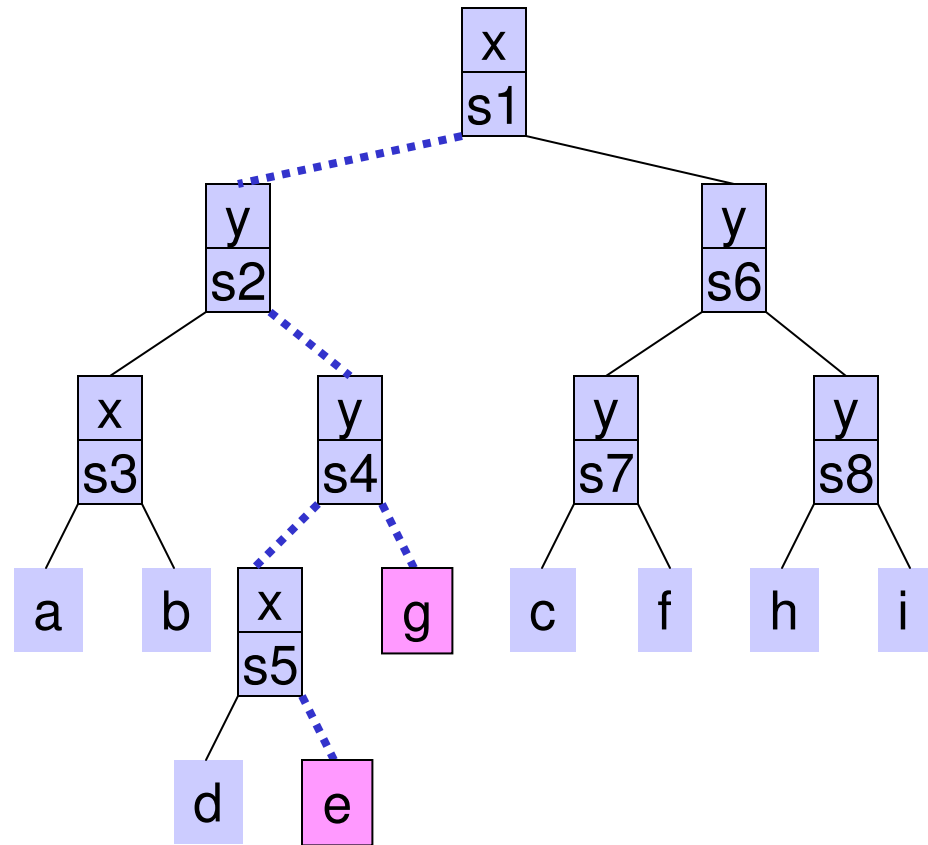
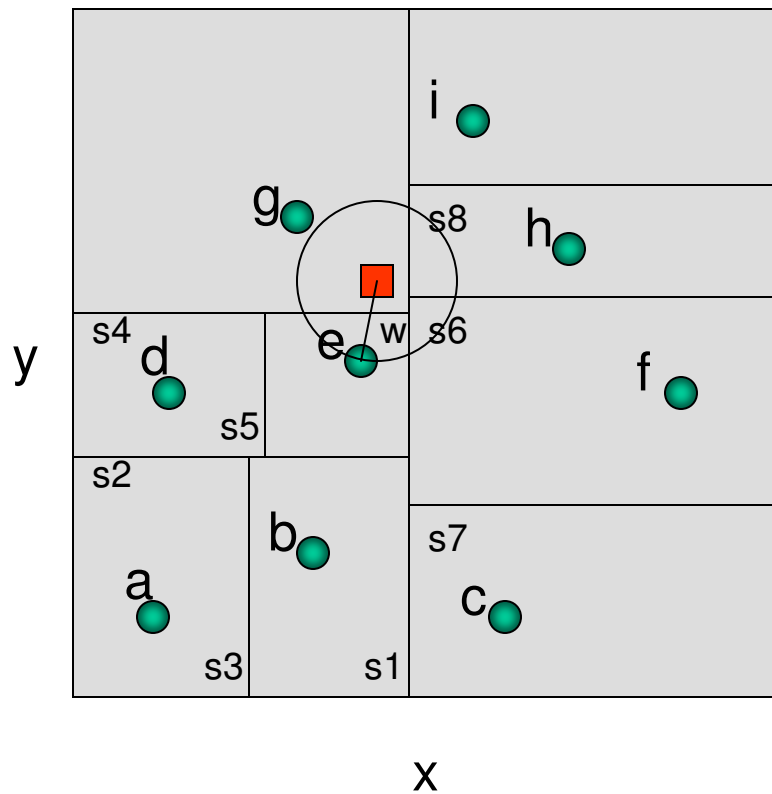
# k-d Tree NNS (10)

■ query point



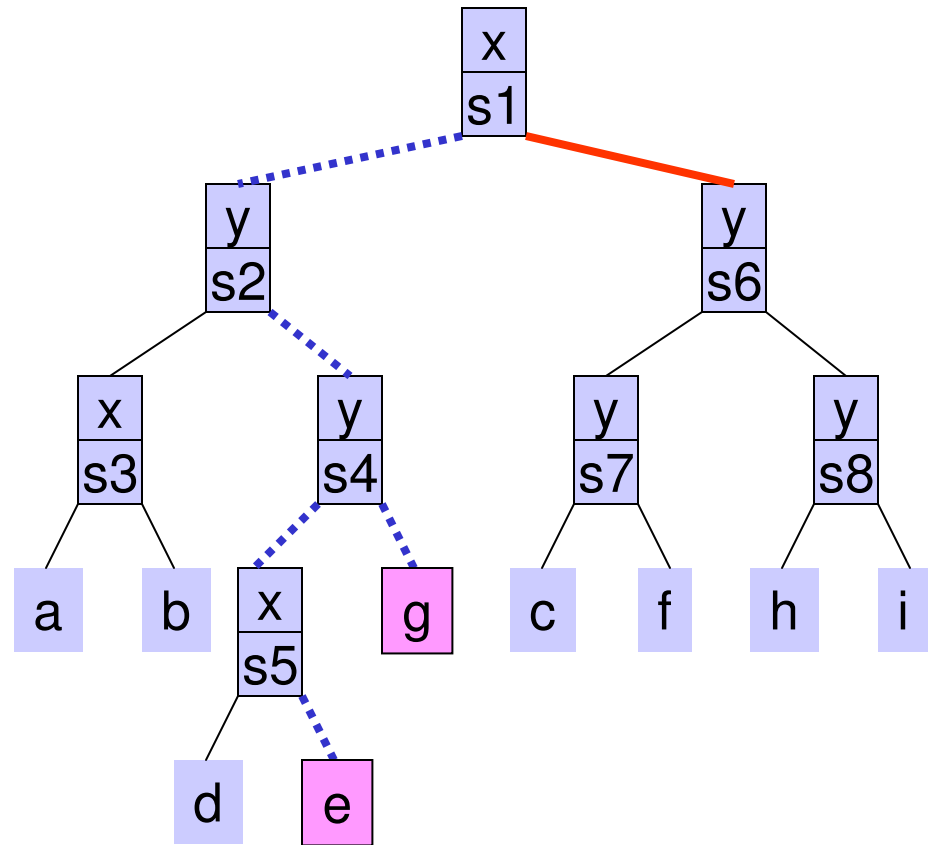
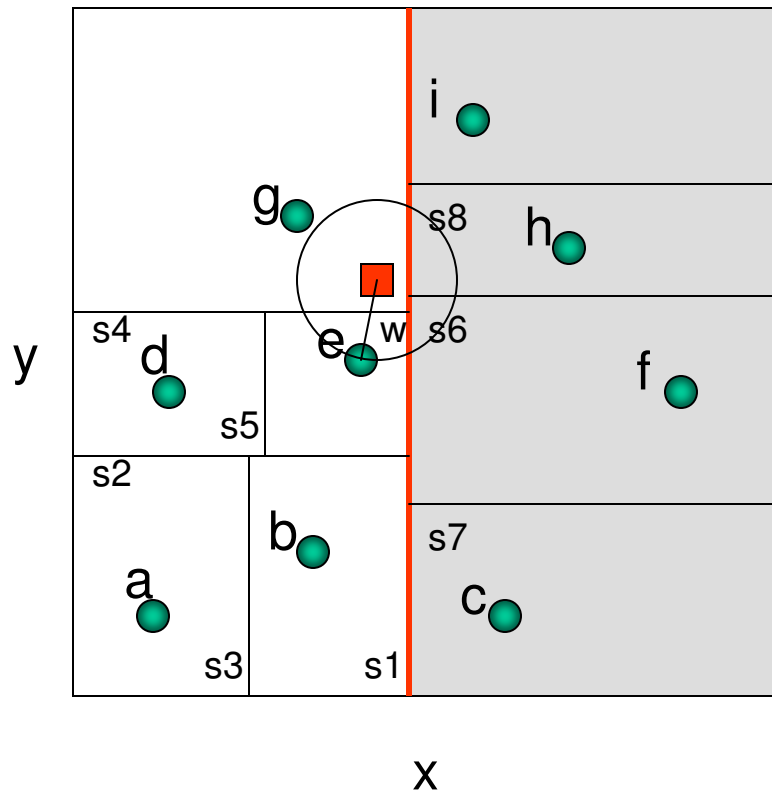
# k-d Tree NNS (11)

■ query point



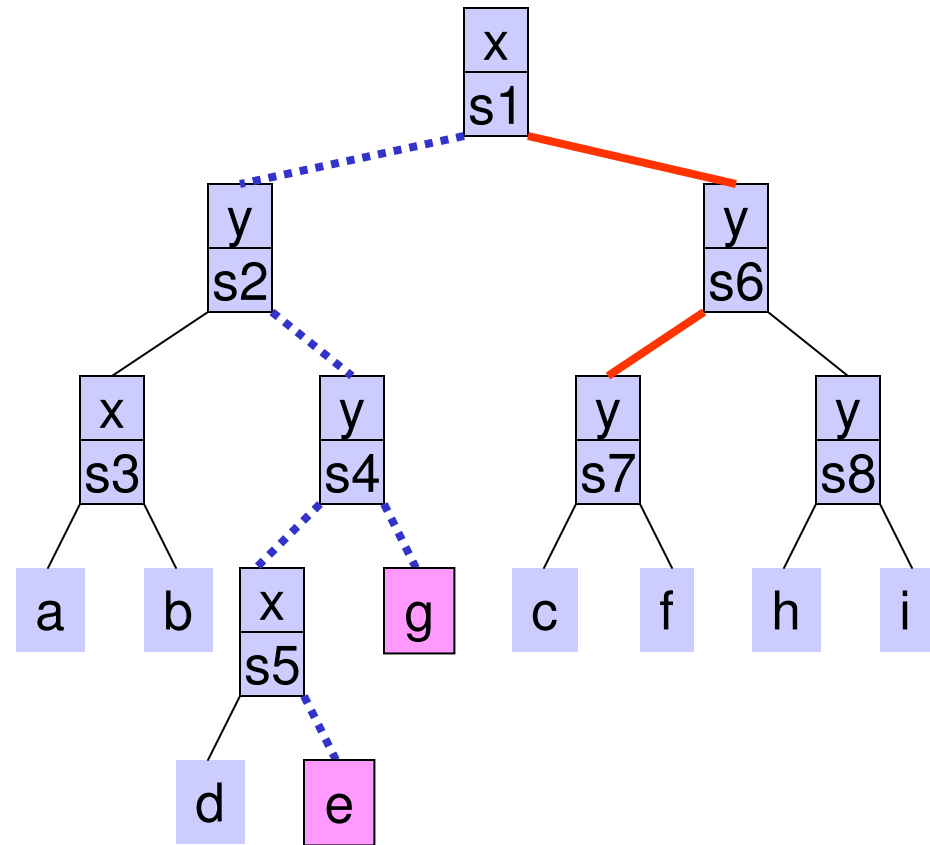
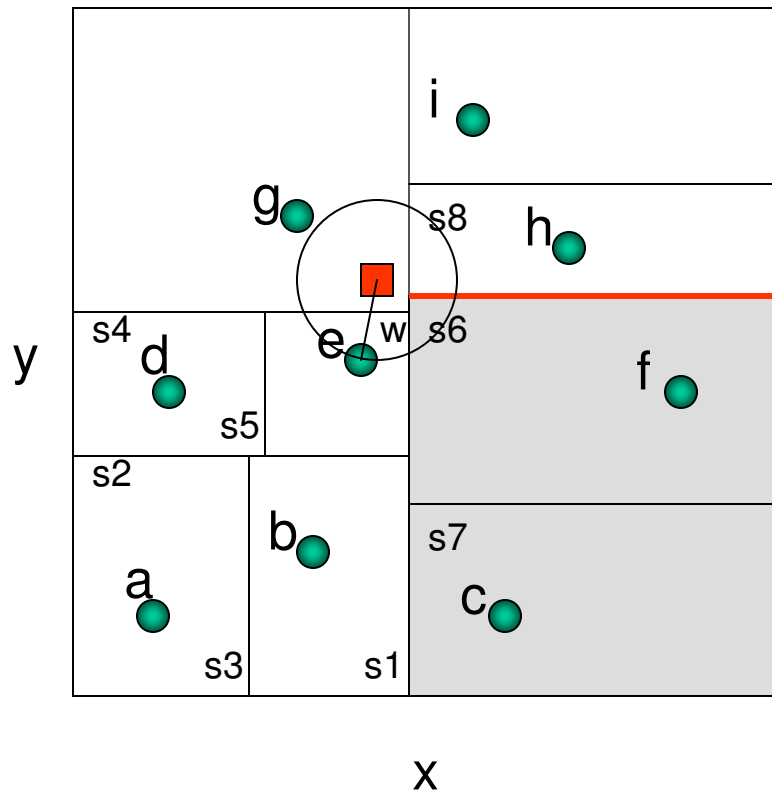
# k-d Tree NNS (12)

■ query point



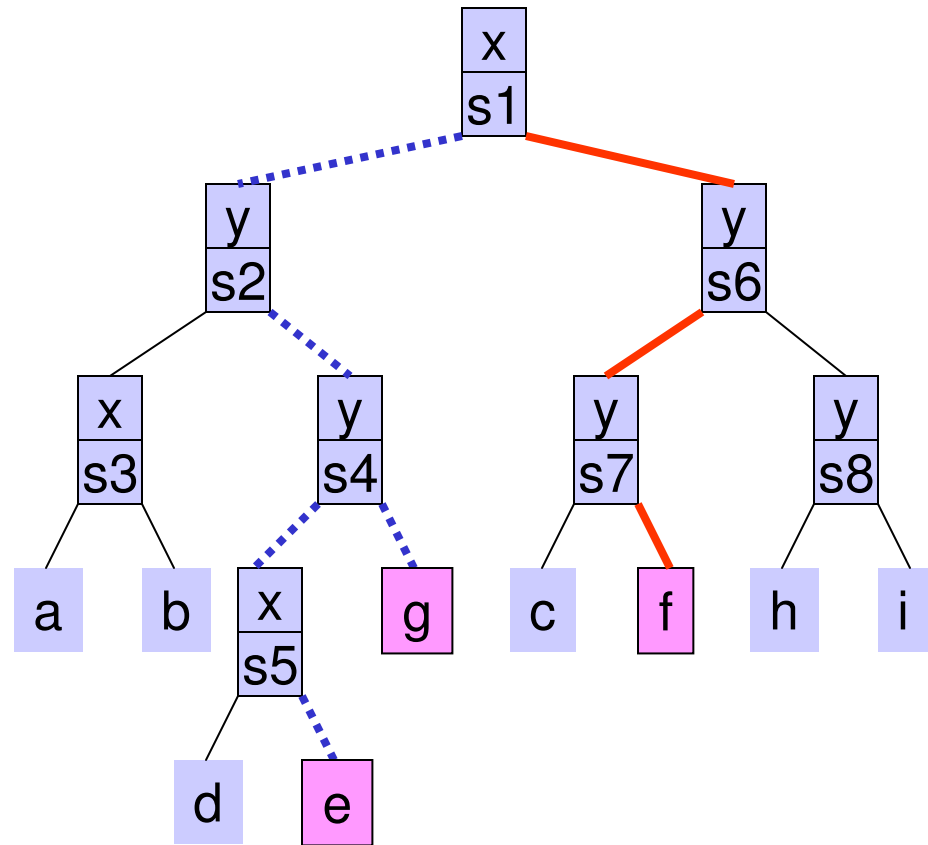
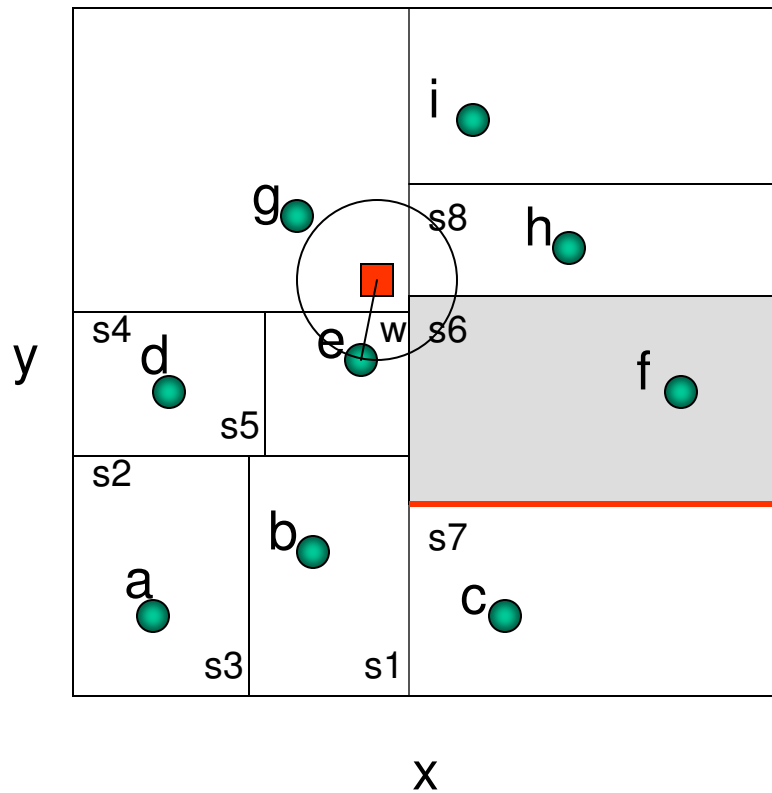
# k-d Tree NNS (13)

■ query point



# k-d Tree NNS (14)

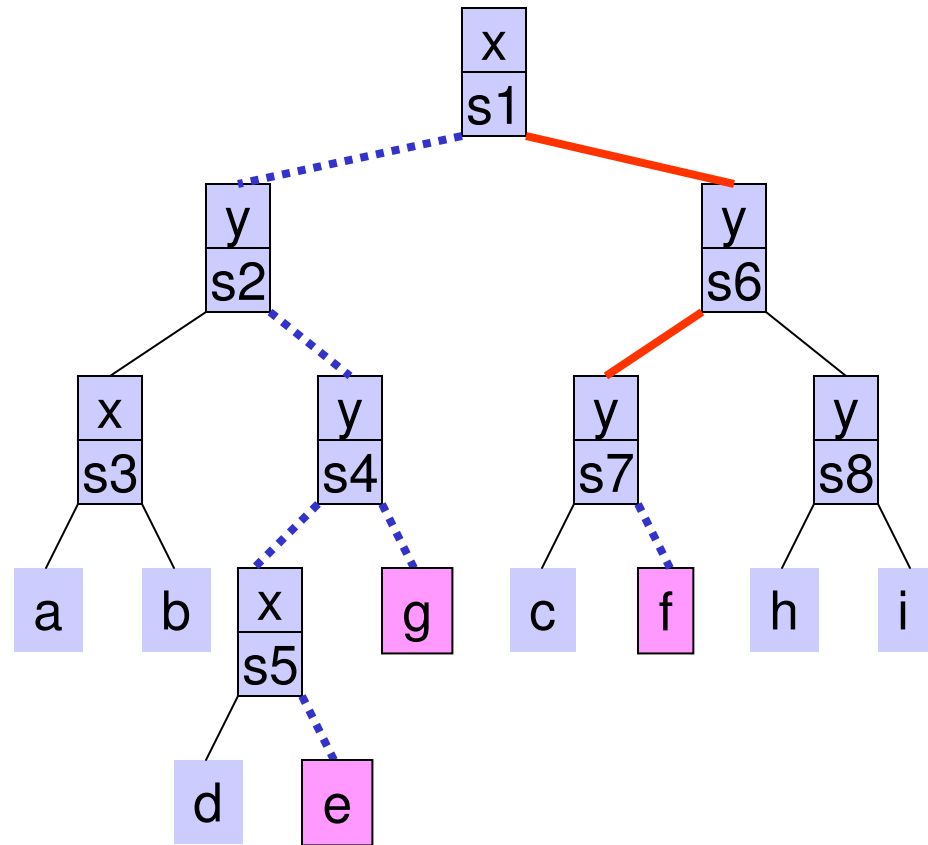
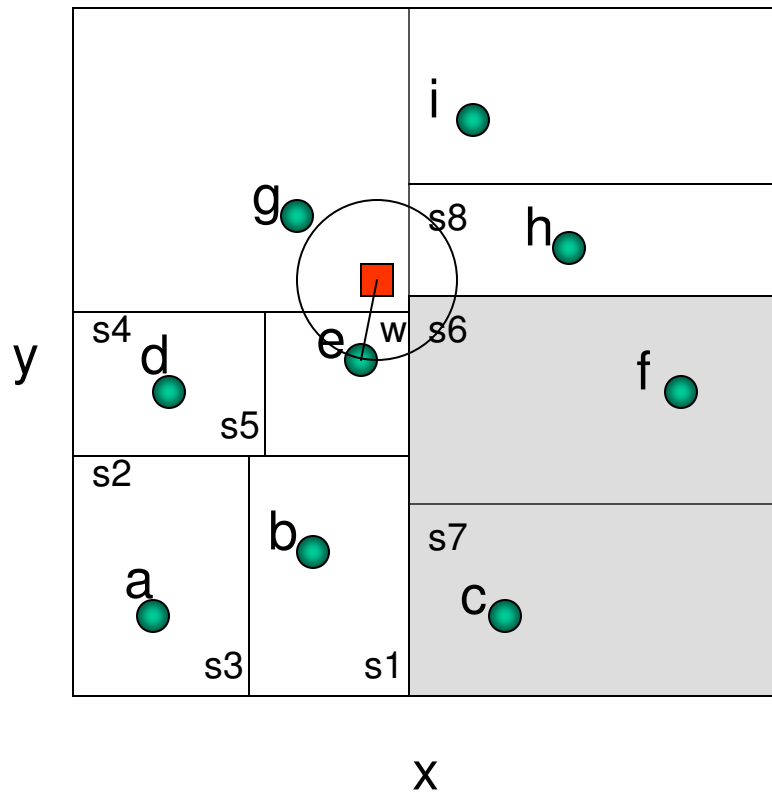
■ query point





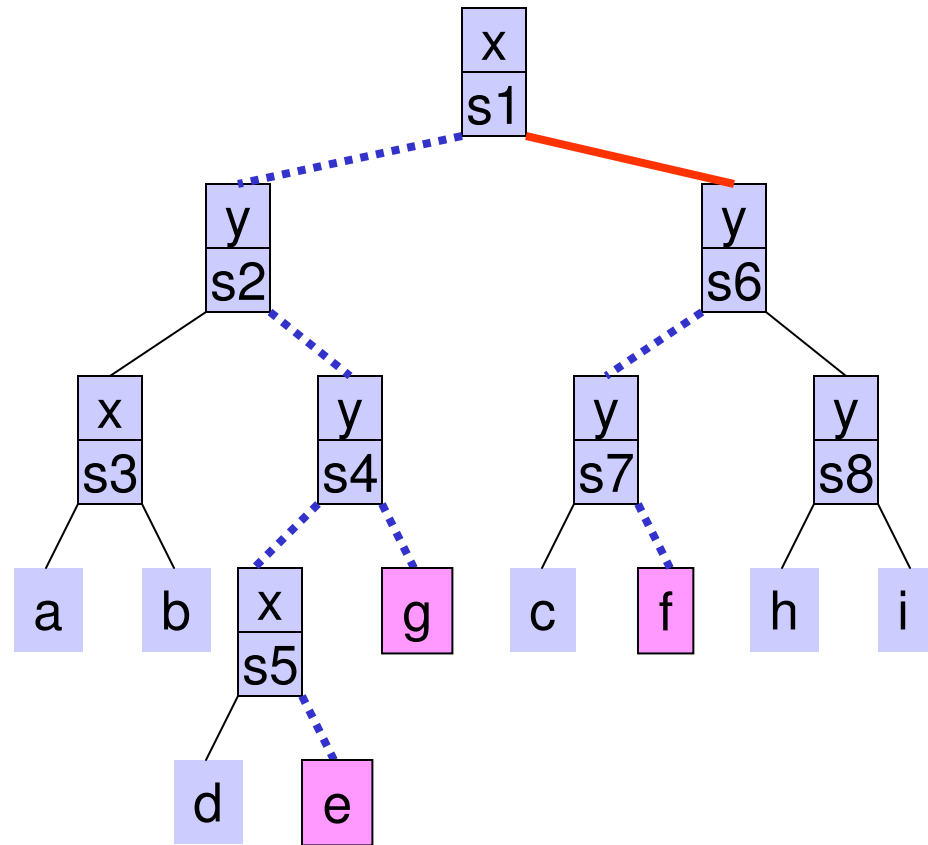
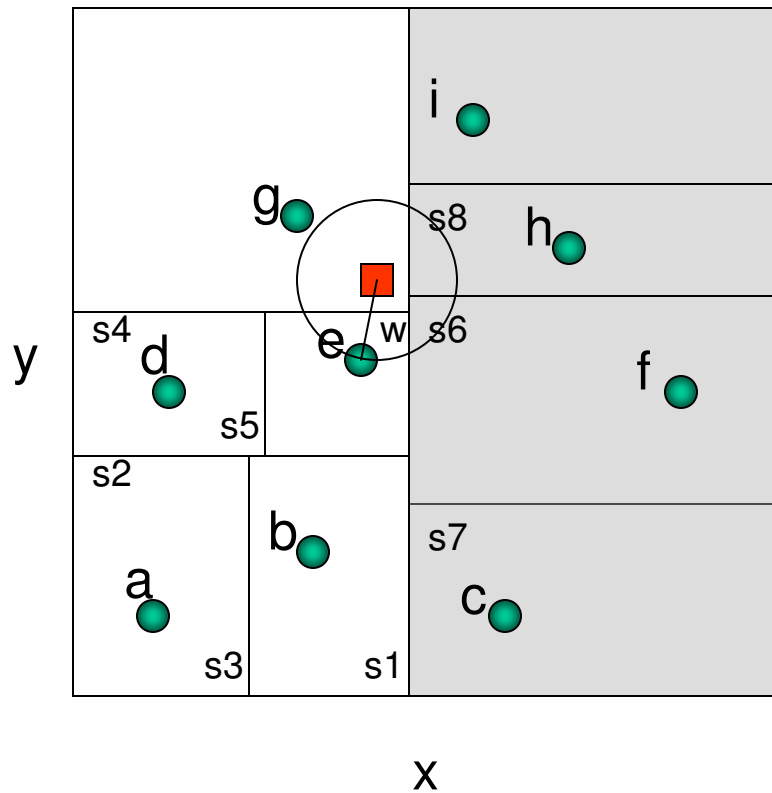
# k-d Tree NNS (15)

■ query point



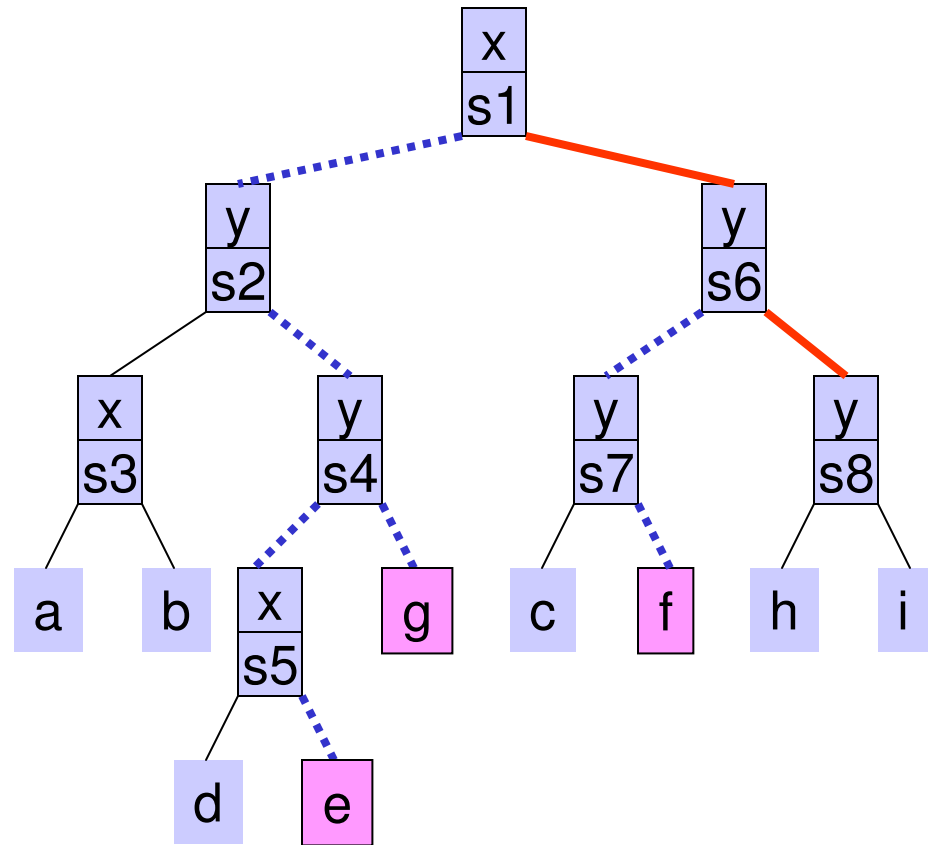
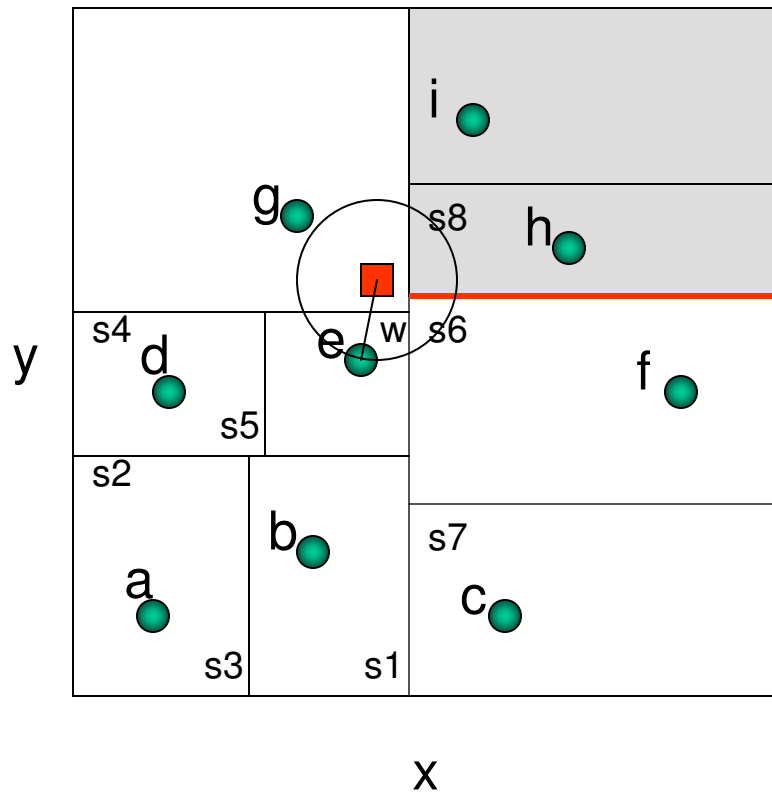
# k-d Tree NNS (16)

■ query point



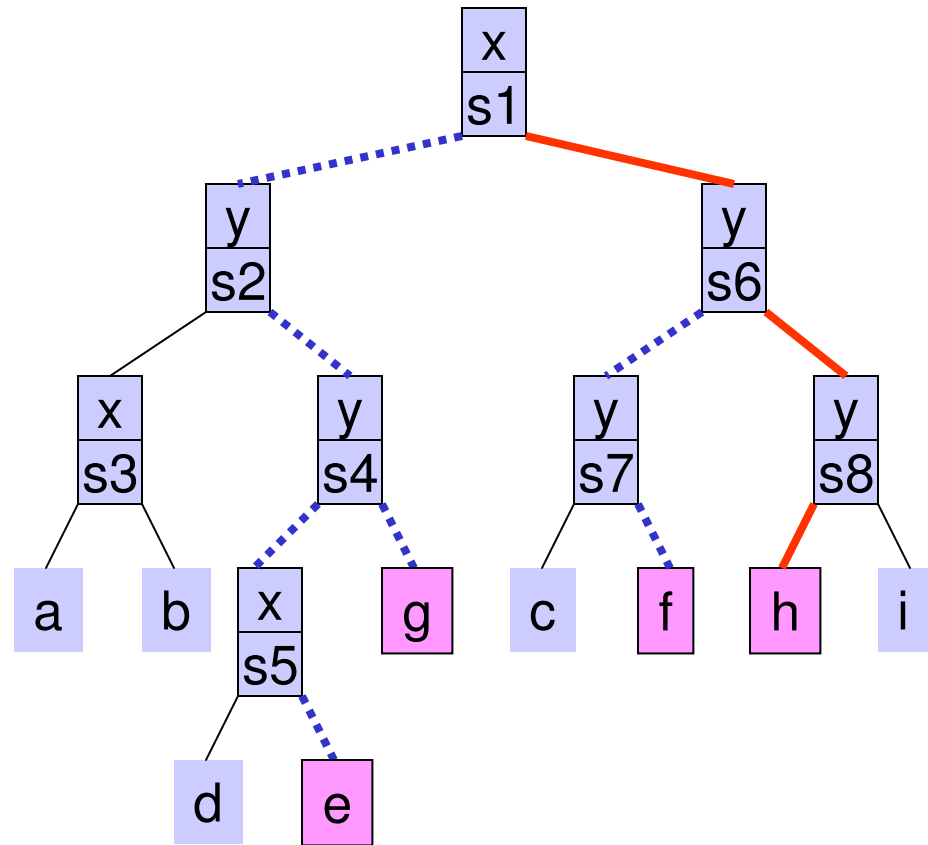
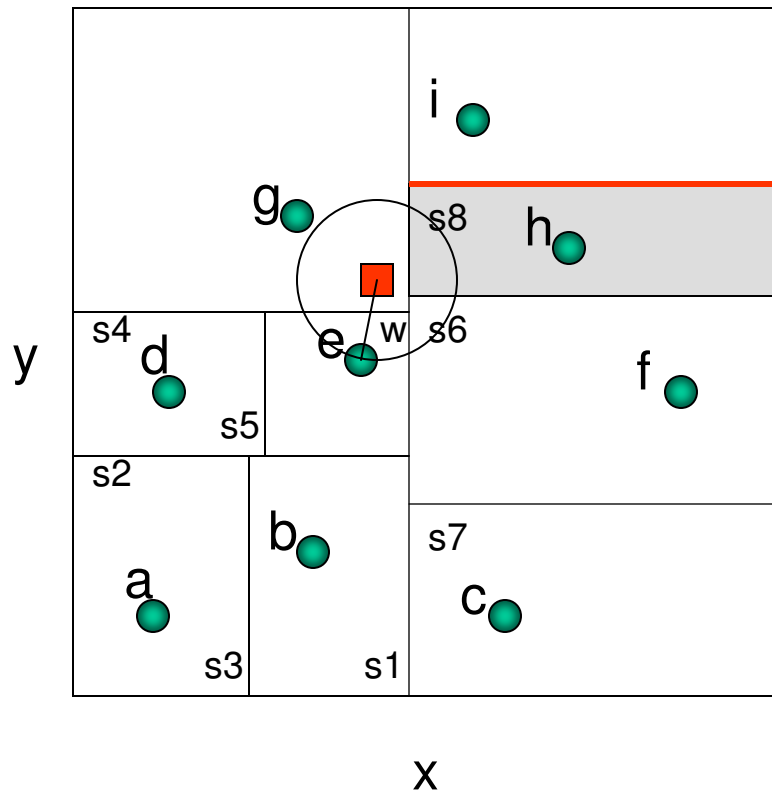
# k-d Tree NNS (17)

■ query point



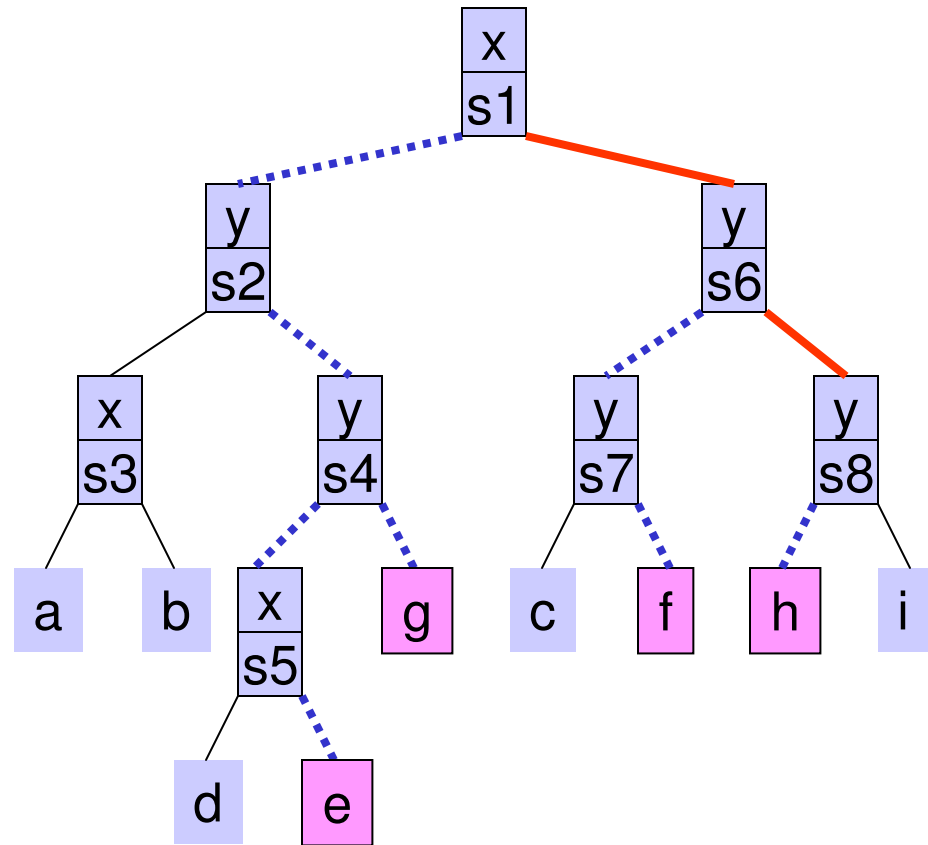
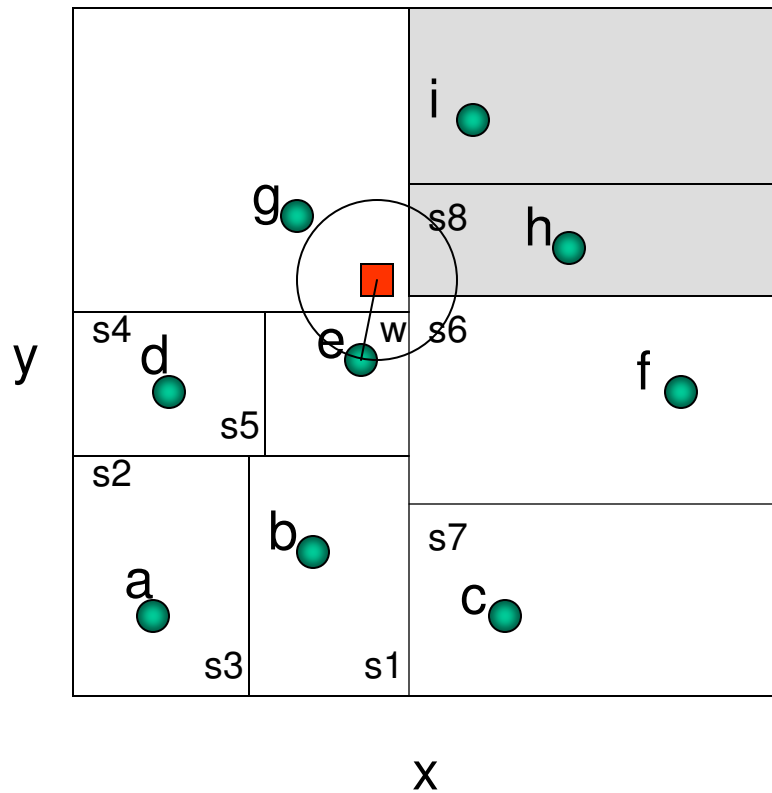
# k-d Tree NNS (18)

■ query point



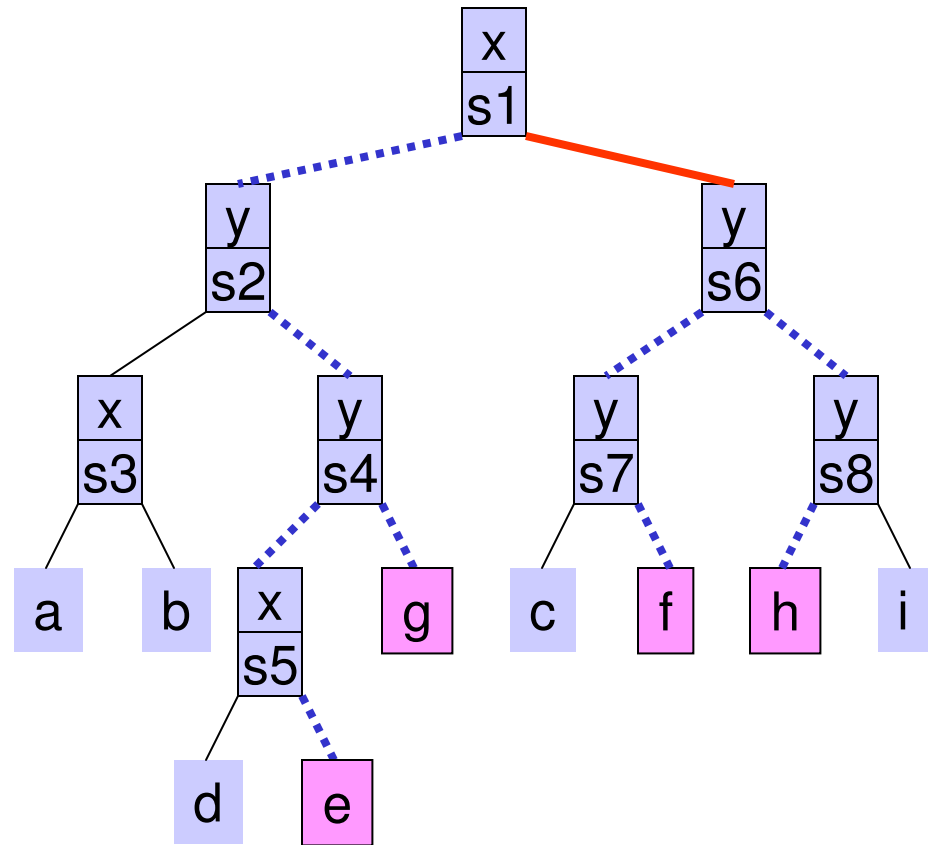
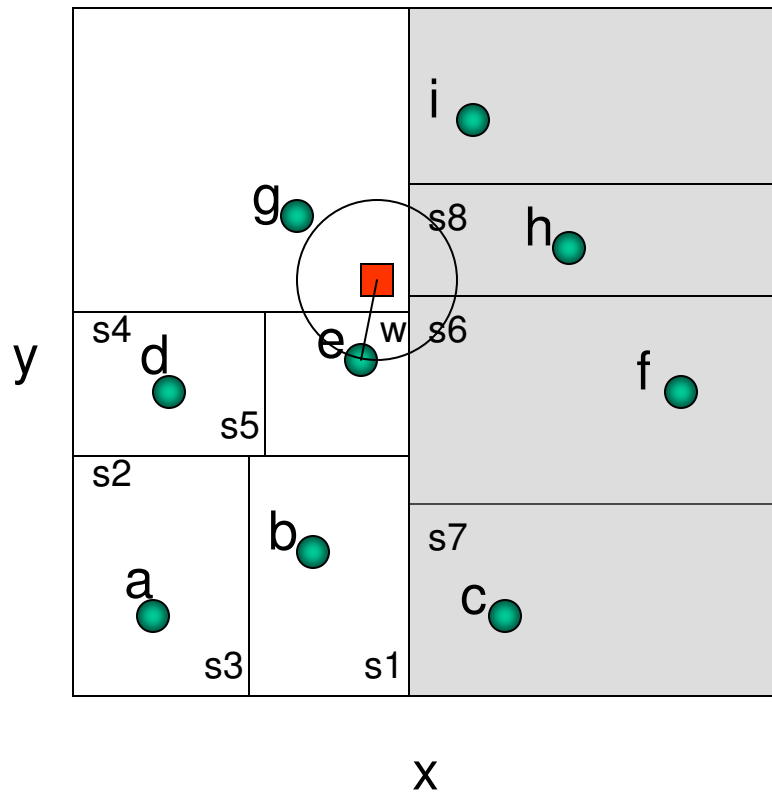
# k-d Tree NNS (19)

■ query point



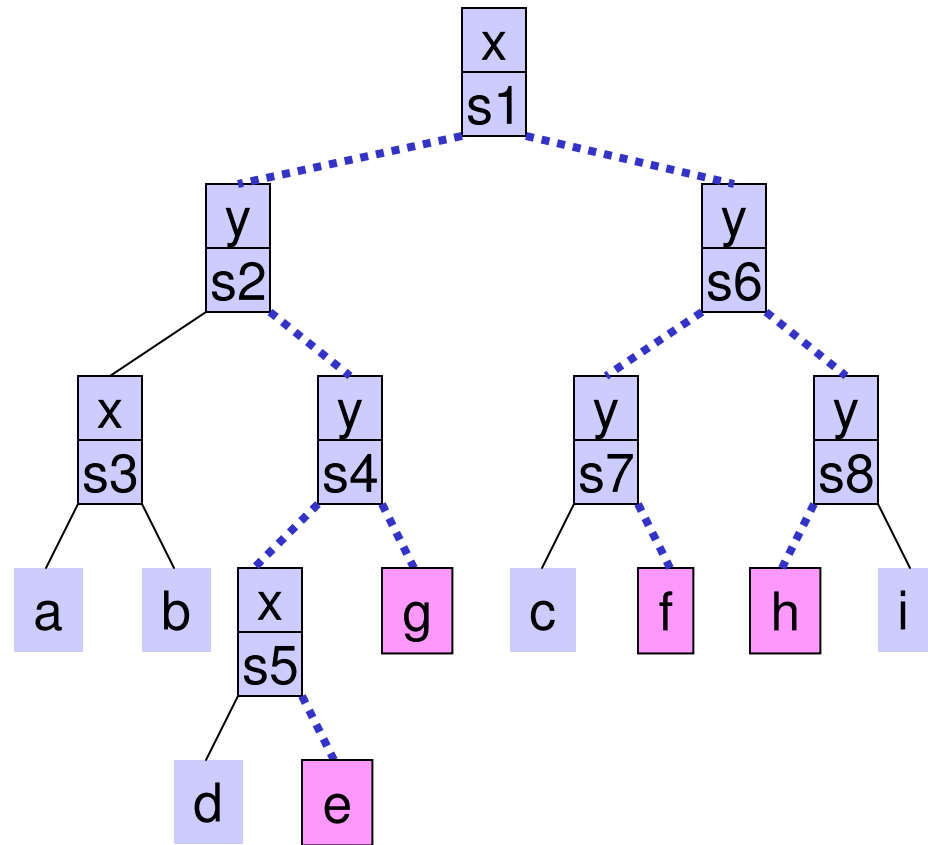
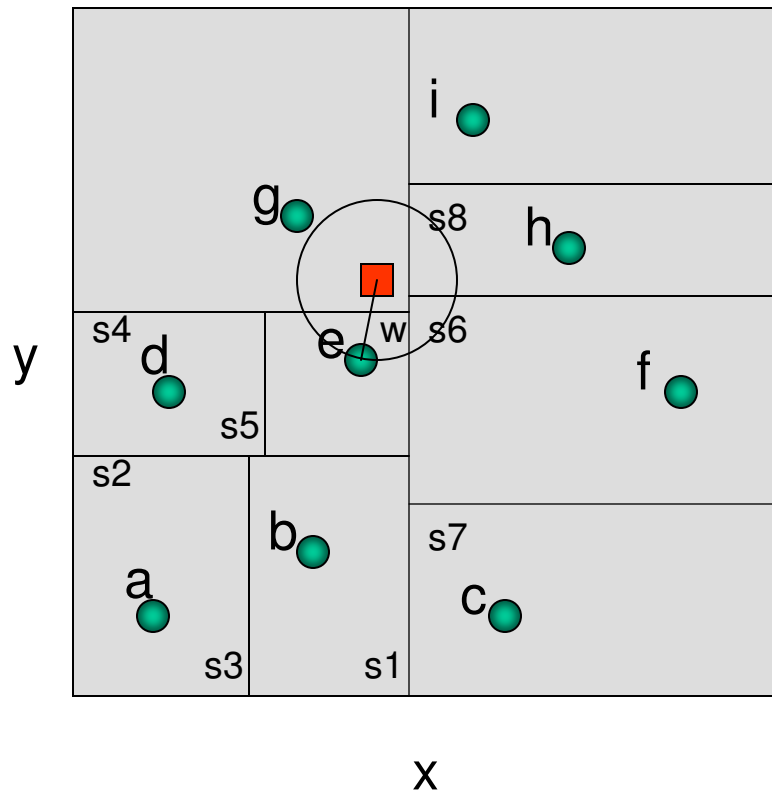
# k-d Tree NNS (20)

■ query point



# k-d Tree NNS (21)

■ query point



# Notes on k-d Tree NNS

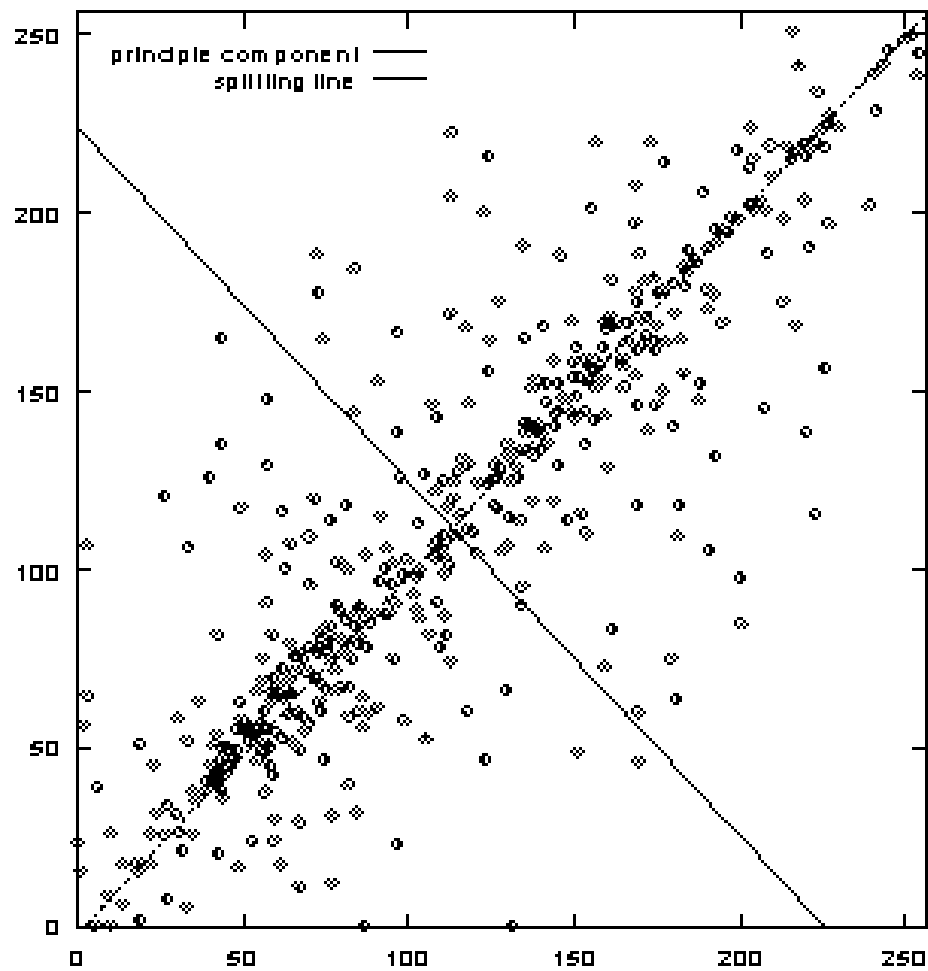
- Has been shown to run in  $O(\log n)$  average time per search in a reasonable model.  
(Assume  $d$  a constant)
- For VQ it appears that  $O(\log n)$  is correct.
- Storage for the k-d tree is  $O(n)$ .
- Preprocessing time is  $O(n \log n)$  assuming  $d$  is a constant.



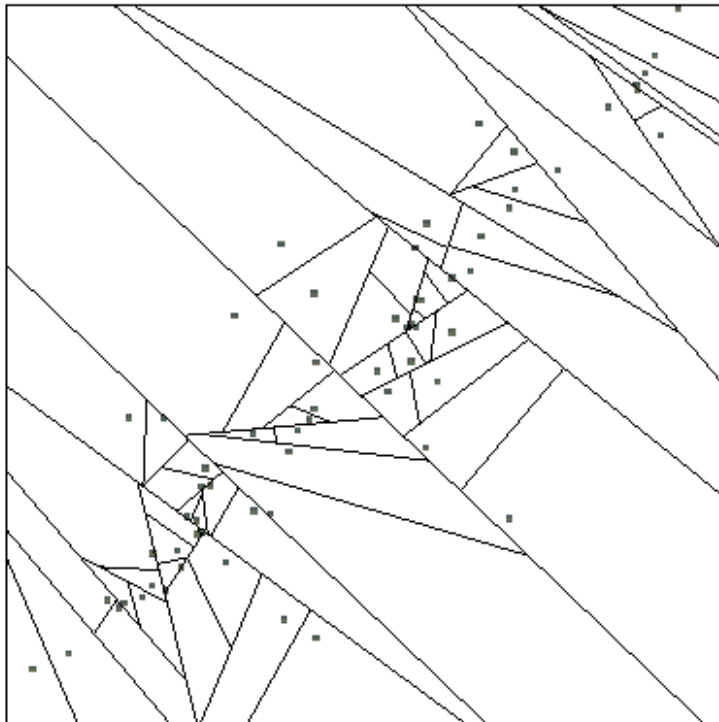
# Alternatives

- Orchard's Algorithm (1991)
  - Uses  $O(n^2)$  storage but is very fast
- Annulus Algorithm
  - Similar to Orchard but uses  $O(n)$  storage. Does many more distance calculations.
- PCP Principal Component Partitioning
  - Zatloukal, Johnson, Ladner (1999)
  - Similar to k-d trees
  - Also very fast

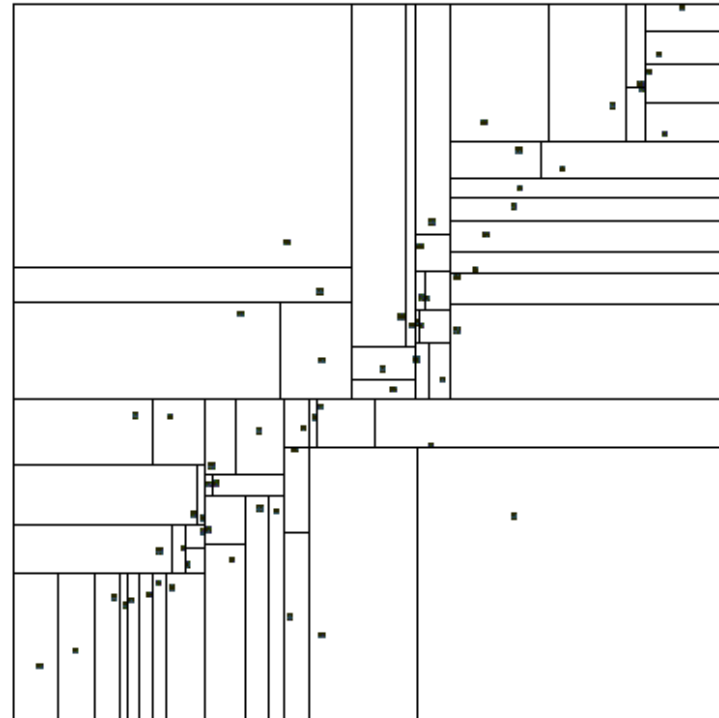
# Principal Component Partition



# PCP Tree vs. k-d tree

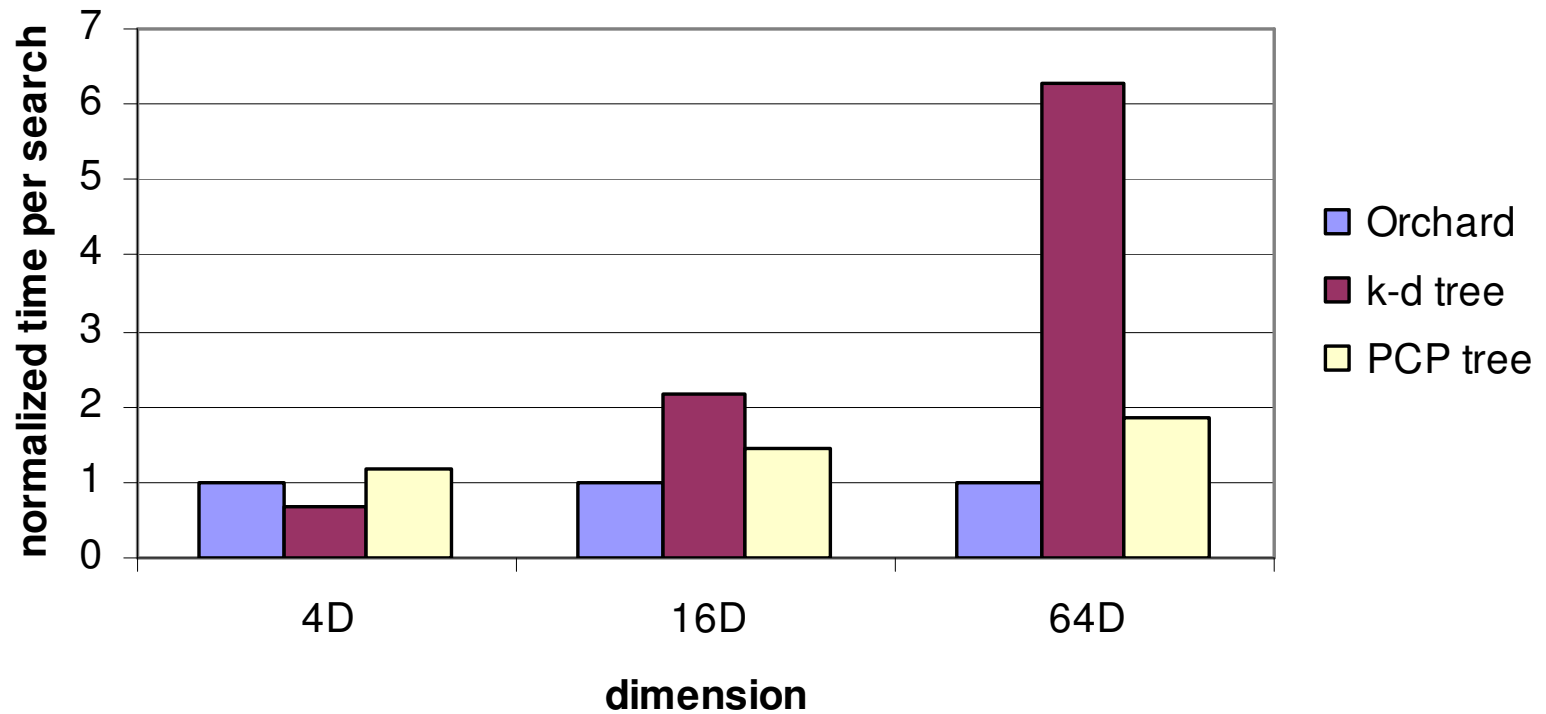


PCP



k-d

# Comparison in Time per Search



4,096 codewords

# Notes on VQ

- Works well in some applications.
  - Requires training
- Has some interesting algorithms.
  - Codebook design
  - Nearest neighbor search
- Variable length codes for VQ.
  - PTSVQ - pruned tree structured VQ (Chou, Lookabaugh and Gray, 1989)
  - ECVQ - entropy constrained VQ (Chou, Lookabaugh and Gray, 1989)