

**A TEXT COMPRESSION SCHEME THAT ALLOWS FAST SEARCHING  
DIRECTLY IN THE COMPRESSED FILE**

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# A TEXT COMPRESSION SCHEME THAT ALLOWS FAST SEARCHING DIRECTLY IN THE COMPRESSED FILE

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## ***ABSTRACT***

A new text compression scheme is presented in this paper. The main purpose of this scheme is to speed up string matching by searching the compressed file directly. The scheme requires no modification of the string-matching algorithm, which is used as a black box, and any such program can be used. Instead, the *pattern* is modified; only the outcome of the matching of the modified pattern against the compressed file is decompressed. Since the compressed file is smaller than the original file, the search is faster both in terms of I/O time and processing time than a search in the original file. For typical text files, we achieve about 30% reduction of space and slightly less of search time. A 70% compression is not competitive with good text compression schemes, and thus should not be used where space is the predominant concern. The intended applications of this scheme are files that are searched often, such as catalogs, bibliographic files, and address books. Such files are typically not compressed, but with this scheme they can remain compressed indefinitely, saving space while allowing faster search at the same time. A particular application to an information retrieval system that we developed is also discussed.

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## 1. Introduction

Text compression is typically used to save storage or communication costs. We suggest an additional purpose in this paper. By reducing the size of a text file in a special way, we reduce the time it takes to search through it. Our scheme improves the speed of string matching and we also save space in the process. The savings are not spectacular, but they are in a sense for free. Files that are usually not compressed because they are often read, can now be compressed and at the same time the speed of searching is improved. The improvement is independent of current technology, because it comes from the fact that the compressed files are smaller than the original and therefore less work is done. The same improvement will hold for faster CPU or I/O. Another important advantage of our scheme is that it is independent of the actual string-matching program. There is no need to modify the search program in any way; we only add a preprocessing step and a postprocessing step. As will be discussed in section 3.1, in our implementation the name of the search program is part of the input to the search.

As far as we know, this is the first attempt to speed up string matching through the use of text compression. There have been attempts to compress full-text information-retrieval systems ([KBD89] [WBN92]). Such systems contain an inverted index, and the main problem is how to implement random access into a compressed file. Although our scheme allows random access and can be used to compress indexed text, this is not our main goal. We will assume throughout the paper that the search is sequential. Sequential search occurs in many other applications, including DNA and protein search (although in that case approximate matching is used most of the time), bibliographic search, etc. Sequential search also plays a key role in an information-retrieval system that we designed [MW93], based on a two-level approach; more on that in section 4.

We first present the idea behind the compression scheme, and then describe in detail the algorithms involved and their implementation. Although an NP-complete problem needs to be solved as part of the compression algorithm, we present a solution to it that turns out to be fast and effective in practice. We then discuss how the search is done and present experimental results for different search routines. We conclude with a discussion of possible applications, in particular one to an information retrieval system.

## 2. The Compression Algorithm

The basis of the compression is a very simple pattern-substitution method that has been used by Jewell [Je76] and most likely reinvented by many others. The goal is to substitute common pairs of characters with special symbols that are still encoded in one byte. A byte allows 256 possible encodings, but typical text uses much fewer. ASCII encoding, for example, uses only 128 characters, leaving us 128 additional encodings to be used for pairs. The compression consists of substituting each of the common pairs with the special byte allocated for it, and decompression is achieved by reversing this procedure. Both are very fast. This kind of compression is not as good as adaptive compression techniques (such as the Lempel-Ziv based algorithms [ZL77] or context-

modeling algorithms [BCW90]). However, with adaptive compression one cannot perform string matching without keeping track of the compression mechanism at the same time, because the compression depends on previous text. Our goal is to perform the string matching directly on the compressed text so that it takes *less time* than a matching to the original text. If we perform even a small amount of additional processing to do decompression on the fly, we defeat the purpose. Not only do we revert to the original string matching procedure with the original text, but we spend extra time for the decompression. Speeding up string matching is a difficult goal because string matching can be done very efficiently; with Boyer-Moore filtering [BM77], the matching procedure skips many characters and only a fraction of the text is looked at. As we will show, a pattern-substitution method can be modified to allow a direct search in the compressed file. Essentially, the search for a given pattern will work by modifying the pattern, but not the search routine, and matching the modified pattern to the compressed file. There is, however, one major problem with this idea.

Suppose that the pattern we are looking for is the word *wood*. Suppose further that both *w* and *od* belong to the list of common words. We'll use  $\boxed{ij}$  to denote the encoding of the pair *ij*, and  $\square$  to denote a blank. The pattern *wood* is thus translated into  $\boxed{wo} \boxed{od}$ , but that is not necessarily how the word *wood* appears in the compressed file. For example, the pairs  $\square w$ , *oo*, and  $d\square$  could be common pairs as well, in which case it is possible that the word *wood* was compressed into  $\boxed{\square w} \boxed{oo} \boxed{d\square}$ , which are 3 totally different characters. But, under the same assumptions, it could be that the word preceding *wood* in the text ended with *d*, and the encoding is  $\boxed{d\square} \boxed{wo} \boxed{od}$ . And these are not the only two possibilities. The word *wood* could start a new line, it could be a part of a larger word (say, *deadwood* in which case the encoding could be  $\boxed{dw} \boxed{oo} \boxed{d\square}$ ), or it could be followed by a period —  $\boxed{\square w} \boxed{oo} \boxed{d.}$ . Each of these combinations leads to a different encoding of the word *wood* in the compressed text.

The reason for the many different combinations of the encoded word *wood* is that, even if we know all the common pairs, we cannot determine ahead of time whether the first character *w* will belong to the end of a pair, the beginning of a pair, or to no pair; it depends on the text. Suppose for a minute that *w* is not a second character in any pair. In that case, the encoding for *wood* must start with either *w* or  $\boxed{wo}$  depending on whether or not *wo* is a common pair. Since the common pairs are known, we could determine when we see the pattern *wood* what to look for: the modified pattern will either be  $\boxed{wo} \boxed{od}$ , *w*  $\boxed{oo}$  *d*, and so on, depending on the common pairs. (Notice however that, if  $\boxed{od}$  is not part of the encoding, then we may still not be able to determine the end of it. For example,  $\boxed{wo} \circ \boxed{d\square}$  and  $\boxed{wo} \circ \boxed{d.}$  are two possibilities that depend on the actual text.) But, of course, all that depends on *w* not being a second character in *any* pair. We want to have many common pairs, so many characters will be second characters of those pairs.

The main idea of this paper is to devise a way to restrict the number of possible encodings for any string, and still achieve good compression. One possible approach would be to start the compression always from the beginning of a word. In other words, compress the words

separately, and leave all other symbols intact. This will partially solve our problem, but it has two major weaknesses. First, it restricts the search to whole words. If the pattern is *compression* and the text has *decompression*, it may not be found (because of the problem mentioned above). Second, blanks, commas, and periods are very common characters. Removing them from consideration for compression limits the compression rate significantly. We present a different approach.

We choose the common pairs in a special way, not just according to their frequency. The main constraint that we add is that no two chosen pairs can overlap. An equivalent way to pose this constraint is that no character can be a first character in a pair and a second character in a (possibly another) pair. This constraint does not completely make the encoding unique but it reduces the ambiguities to a minimum that we can handle and, as we will show, it allows a speedy matching. But before we see the matching part, let's see how to enforce this constraint in the best possible way. To do that we abstract the problem.

## 2.1. Finding the Best Non-Overlapping Pairs

Let's assume that we first scan the text and find, for each possible pair of characters, the number of times it appears in the text. We denote by  $f(ab)$  the frequency of the pair  $ab$ . We now construct a directed graph  $G=(V, E)$ , such that the vertices of  $G$  correspond to the different characters in the text, one vertex for each unique character, and the edges correspond to character pairs. The weight of each edge  $ab$  is  $f(ab)$ . We want to find the "best" edges (corresponding to pairs) such that no edges "overlap." More precisely, we want to partition the vertices into two sets  $V_1$  and  $V_2$ , such that the sum of the weights of the edges that go from  $V_1$  to  $V_2$  (these are the edges we choose) is maximized. We also need to restrict the number of edges we select (there is a limit on the number of unused byte combinations, which we assume is 127), but let's leave this aside for now. The sum of weights of the edges from  $V_1$  to  $V_2$  gives us the exact compression savings. Each of these edges corresponds to a pair that will be encoded with one byte, thus it contributes one byte of savings.

The formulation above is a very clean abstraction of our problem, but unfortunately, it is also a very difficult problem. It turns out that the problem is NP-complete even for unit weights and undirected graphs [GJ79]. But, on the other hand, the graphs we are dealing with are not too large. The important edges correspond to common pairs and not too many characters appear in common pairs. In fact, the number of characters overall is quite limited. So there is a chance to be able to solve such problems in practice, even though the problem for large graphs is intractable. We experimented with several approaches to solving this problem. The following simple heuristic seems to be the most effective. It is fast, and in all the cases we verified, it gave the optimal solution. More on the verification later. It is worth to note that standard methods of algorithm analysis would not be applicable here, because the size of the problem is small and rather fixed. We believe that the only practical way to evaluate different approaches is to try them on various texts, which is what we did.

The main step of the algorithm is a local optimization heuristic that can be called a 1-OPT procedure. Given an initial partition of the vertices into  $V_1$  and  $V_2$ , we examine each vertex to see whether switching this vertex to the other set would improve the total. We continue with such switches until no more are possible (since each switch improves the total, this procedure converges). We also tried a 2-OPT heuristic, in which we attempt to switch 2 vertices at the same time. This is different from switching each one separately, because the edges connecting these two vertices count differently. The main question is how to select the initial partition. We tried several greedy methods, but found that the simplest method is the most effective: use a random partition. We repeat the algorithm several times with different random partitions. The solutions were almost uniformly good, even without using 2-OPT. The average total compression over 100 random trials was 98.6% of the best total for one text, 96.1% for the second text, and 96.9% for the third text. The standard deviation ranged from 2.3% to 4.7%. The *worst* total we found in 300 random trials for 3 different texts was 80% of the optimal. The best total was typically found in 5-20 random trials, which led us to set the number of trials to 100 to be on the safe side. Running 1-OPT 100 times can be done reasonably fast, as we will show shortly.

The last problem is to limit the number of selected edges to the available unused byte combinations. We set this number to be 127, leaving 128 characters for the regular ASCII set plus one special delimiter (with value 128). We need this delimiter for the (hopefully) rare cases of characters in the text with values of  $> 128$  (which may occur with non-ASCII text). In these cases, the compressed file contains the delimiter followed by the non-ASCII character. We could have achieved a slightly better compression rate by figuring out the exact set of characters used by the text, and using all other unused byte combinations, but for simplicity, we decided not to do that. Also, for simplicity, we did not use the newline symbol in any of the pairs, leaving it always uncompressed.

We could not see any intelligent way to incorporate the limit on the number of pairs during the pairs selection. Instead, we simply find the best partition, ignoring the limit, and then take the best (highest weight) 127 edges from  $V_1$  to  $V_2$ . We also tried to limit the number of edges initially; for example, start with, say, the 400 highest-weight edges of the graph and find the best partition for them, and then take the 127 best of those. Or, alternatively, start with, say 30 vertices of highest degree. The differences in the total compression were usually small (2-3%), although the running time was, of course, improved because the graphs were smaller. However, there were added complications because if the graph is reduced too much, the total number of edges becomes less than the optimal 127. So we decided to stay with the original scheme. The algorithm, using only 1-OPT switches, is given in pseudo-code in Figure 1.

We leave it to the reader to fill in the details of the implementation. The graphs we handle are small (hundreds of edges at the most), and for English texts they will always be small (the size of the graph depends on the number of unique characters in the language, not the size of the text). Therefore, as long as  $x$  (the number of randomizations) is relatively small, the algorithm is quite fast. In particular, the running time of this algorithm is a small fraction of the running time of the

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Algorithm Best_Non_Overlapping_Pairs( $G$ : weighted graph)

repeat  $x$  times {  $x$  is a constant; we used 100 for ASCII texts }
  randomly assign each vertex to either  $V_1$  or  $V_2$  with equal probability;
  for each vertex  $v \in V$  do
    put  $v$  on the queue;
  loop until the queue is empty
    pop  $v$  from the queue;
    if switching  $v$  to the opposite set improves the sum of weights then
      switch  $v$ ;
      if switching  $v$  caused other vertices, not already on the
        queue, to prefer to switch then put them on the queue;
  store the best solution to date;
output the highest weight 127 edges from the best partition;

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**Figure 1:** The algorithm to select the partition.

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entire compression algorithm (unless the files are very small). Sample of running times are given in Figure 2 for 5 different texts: Roget's Thesaurus, the 1992 CIA world facts, and King James' Bible from Project Gutenberg; a collection of articles from the Wall Street Journals, and the (almost) complete archives of the Telecom Digest, a discussion group about telecommunication.

Text	size original	compression rate	time for compression	time for decompression	% of time for finding pairs
Roget Thesaurus	1.38	69%	10.3	0.9	14.6%
CIA world facts	2.42	72%	11.4	1.7	13.2%
King James' Bible	4.85	70%	13.3	3.5	9.0%
Wall Street J.	15.84	67%	23.9	11.2	6.7%
Telecom archives	69.21	72%	104.0	52.1	1.9%

**Figure 2:** Statistics for the compression and decompression algorithms.

Files sizes are given in Mbytes; running times are given in seconds.

To verify that the solutions obtained from our algorithm are not too far from optimal, we also implemented a deterministic algorithm that guarantees the best solution. This algorithm is exponential, but by using binary reflected Gray codes [BER76] it was possible to run experiments for up to 30 vertices, which is not too far from real data. In all the tests we ran the solution found by the random algorithm was indeed the optimal. We also compared the best 127 edges obtained from the random algorithm on the whole graph (usually about 40-60 vertices) vs. the best 127 edges from the optimal solution for a "good" induced subgraph of 30 vertices, and those solutions were within 1-2% apart.

Another interesting experiment was done with random text. The compression rates of this algorithm for random text of uniform distribution are quite predictable. Suppose that the text consists of  $S$  characters each with equal probability, and that it is large enough. A partition of the vertices into equal-size sets would yield  $(S/2)^2$  edges from the first set to the second set. (if the text is large all possible edges will most likely appear). All edges occur with the same probability, so one would expect that the selected edges will have about the same weight as any other set of  $(S/2)^2$  edges, which is one fourth of the total number of edges. The best partition will be better than the average, but again, if the text is large enough, the variance will be small. Therefore, if about one fourth of the edges can be chosen, we expect the savings to be close to 25%.<sup>2</sup> Since we can use only 127 edges, the saving would be reduced by a factor of  $127/(S/2)^2$ . For example, for  $S=30$  we get approximately 14% savings for random text (which we verified by experiments) compared to about 30% for natural text. Just another indication that text is not random.

## 2.2. Some Additional Implementation Issues

A couple of other points are worth mentioning. The compression algorithm is a two-stage algorithm; the first stage reads the file and computes the best pairs, and the second stage reads the file again and performs the compression. To improve this process, we use only a sample of the file in the first stage, usually the first 1 million characters. We keep that part in memory for the next stage, so it is not too much of an overhead. It is possible to use "standard" pairs that are computed on a large sample of text. This will save time for the compression, but for most cases, it is probably not cost effective, as it leads to a less effective compression. For example, we compressed the version of the Bible we had using the best pairs computed from the Wall Street Journal text and obtained a compression that required 3.9% more space. We also did it the other way around and found the Wall Street Journal to be much more sensitive: it required 6.0% more space. We support an option that reads the pairs from another compressed file rather than computing them for

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<sup>2</sup> At some point we used the UNIX old rand procedure to generate random text and obtained a perfect compression, for our algorithm, of 50%. The reason was that the old rand procedure generates "random" numbers that go from odd to even to odd with no exception. Our heuristic was good enough (it uses much better random numbers) to catch the best partition, which was, of course, all the odd characters in one set and the even in the other. All edges were then used. This is another example of the risk of using bad random number generators, or as in our case, copying from old code.

the given file, because it allows one to concatenate to a compressed file. If file1 is a compressed file and we want to add to it file2, we need only to compress file2 using file1's pairs and concatenate; there is no need to decompress, to concatenate, and to compress again. We can do that in the middle of the file as well. It is thus possible to adapt a text editor to read and edit a compressed file directly.

Our compressed files save about 30% space. If searching is not needed, there are much better compression algorithms, such as UNIX *compress*, based on the Lempel-Ziv-Welch algorithm ([We84, ZL77]), that can achieve 50-60% reduction. We tested whether compressing our compressed files further with UNIX *compress* lead to the same compression rates as compressing the original file, and to our surprise we found that we got *better* compression rates. Typically using both programs together (provided that our scheme is used first) improves the compression by an extra 6%. For example, the Wall Street Journal text we had was compressed to 6.96MB with *compress*, and to 6.55MB using our scheme in addition to *compress*.

### 3. Searching Compressed Files

#### 3.1. The Search Algorithm

The search program consists of five parts. In the first part the common pairs used in the compression are read (they are stored at the beginning of the compressed file) and two translation tables are constructed. One table maps all new characters (identified by having a value of  $\geq 129$ ) to their original pairs of characters. The second table is the inverse; it maps pairs of original characters into new characters. In the second part, the pattern is translated (compressed) using the inverse table. This translation is unique as we showed in the previous section, except possibly for the first and last character of the pattern. If either the first character belongs to  $V_2$  in the partition or the last character belongs to  $V_1$ , then they are removed from the pattern for now. The third part is to use the string-matching program — as a black box — to search for the compressed pattern in the compressed file and output all matches. This is done by creating a new process<sup>3</sup> and using UNIX's pipe facilities to divert the output to the fourth part, in which the output of the match is decompressed using the translation table. If either the first or last character of the pattern were removed in the second part, then the output must be further filtered. We do that by creating another process and running the same string-matching program on the (decompressed) output of the fourth part. This can be done more efficiently during the search because we know the exact location of the match, but since in most cases the output size is small, it makes little difference. (Adding it to the search would require an access to the source code of the search procedure, which we do not assume.) An example of a search is given in Figure 3.

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<sup>3</sup> It is possible, of course to use the string-matching procedure directly as a procedure in the search rather than to create a new process. We chose to create another process to make the whole program more general by allowing any string-matching program.

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**command:** `cgrep pattern file_name`

**First part:** read the list of common words;  
for example, `pa te` and `n` may be common pairs.

**Second part:** translate *pattern* into `pa t te r`;  
(Notice that we removed the last character `n`, because it is a first character in a common pair.)

**Third part:** search for `pa t te r` in `file_name` using your favorite string-matching program.

**Fourth part:** decompress what you find above; for example,  
`pa t te r n ap pe a rs h e re` — pattern appears here

**Fifth part:** run the string matching again on the output to filter a possible match to only *pattern* (recall that we removed the last `n`).

**Figure 3:** An example of the search.

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The five parts may seem like a lot of work, but in fact only the third part is substantial. The first part depends on the common pairs and there are at most 127 of them. The second part depends on the pattern, which is typically very small. The fourth and fifth parts depend on the size of the output, which again is typically very small. The third part therefore dominates the running time of the program.

One of the main features of our scheme is that it can work with almost any string-matching program. The only requirement is that the program can handle any character encoded in a byte (i.e., that it is 8-bit clean). We encountered no problem using any (UNIX) string-matching program. We believe that this is a very important design decision. The modularity allows using our compression without having to modify existing software. This makes the whole scheme much more reliable, general, and convenient. In addition, we mark a compressed file with a distinct signature at its beginning. If our search program does not see this signature it reverts to the original search procedure. So, one can use our program as a default on all files and get the speedup whenever the file is compressed. Of course, there is no way to know whether all future string-matching algorithms will be suitable for this improvement. (A move to a two-byte representation of text

will most probably create even more unused byte combinations so our scheme will still work effectively; finding the best non-overlapping pairs may be more of a problem.)

### 3.2. Experiments

We used texts of varying sizes (these texts were also used in Figure 1), and several search programs. We present the results for three large texts and two representative search programs. The first program is fgrep, which does not use Boyer-Moore filtering, and the second is our own agrep [WM92], which does use it and is much faster as a result. We selected 100 random words from the dictionary (the effectiveness of a Boyer-Moore search depends somewhat on the pattern), and ran 100 searches for each combination of search and text. We give the average running times in Figure 4. All experiments were run on a DECstation 5000/240 running Ultrix and times were obtained from the UNIX time routines (which are not very precise), and given in seconds.

## 4. Applications

Our scheme can be used for many applications that require searching. For example, we have a rather large bibliographic database which we often search. Compressing it saves time and space. (Of course, one can build an inverted index and be able to search much quicker, but that requires much more space.) The same holds for other large information files. We highlight two other possible applications of this scheme.

In [MW93] we presented a design of a two-level information retrieval system. We cannot describe the system in detail here, but the main idea behind it is to partition the information space (e.g., a personal file system) into blocks, and build an index that is similar to an inverted index but much much smaller (typically 2-4% of the total size). The index contains all distinct words, but for each word there are pointers to only the blocks in which it appears (rather than to its exact location as in an inverted index). Searching for a word consists of finding all its blocks and then searching those blocks sequentially. Sequential search is fast enough for medium-size files, therefore this search strategy, if implemented carefully, is reasonably fast. Its main advantage is the tiny space occupied by the index (an inverted index typically occupies 50%-300% of the total).

Text	compression savings	original file		compressed file		improvements	
		fgrep	agrep	fgrep	agrep	fgrep	agrep
Bible	30%	7.5	1.4	5.4	1.0	28%	29%
WSJ	33%	24.9	5.0	17.4	3.8	30%	24%
Telecom	28%	109.2	21.2	80.0	16.4	27%	23%

**Figure 4:** Running times for agrep and fgrep for various texts.

Having a small index allows for many improvements in the search (for more details and experiments see [MW93]). Using the compression described here, one can keep many files compressed and still be able to perform the sequential search. That will again save time and space. In particular, the index itself can be compressed.

Another application is in filtering information. For example, the information may consist of some newsfeed and all articles containing certain patterns are supposed to be extracted. With our scheme the newsfeed can come in compressed, resulting in faster filtering. (Although we discussed searching single patterns here, our scheme will work for searching multiple patterns with either the Aho-Corasick algorithm used in `fgrep` [AC75] or with `agrep`'s algorithm [WM92].) If the setting is such that compression is already used, then, as we said in section 2.2, the original compression can come on top of our compression and the search can be performed after the original compression is removed.

The same approach may also be used for approximate matching, although the problem is more difficult. An error in the original text may be transformed into two errors in the compressed text (e.g., by changing a common pair to a pair that is not common), and two errors in the original text may be transformed into one error in the compressed text (e.g., by substituting one common pair for another). Therefore, we cannot simply match the compressed pattern to the compressed file. However, there are efficient techniques for reducing an approximate matching problem to a different exact matching problem. A simple example [WM92] is to divide the pattern into  $k+1$  parts such that any  $k$  errors will leave at least one part intact. An exact search is performed for all parts, and the output, which is hopefully much smaller, is then filtered appropriately. The scheme we presented can be used for the exact matching part.

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