

Automated Complexity Analysis of Term Rewrite Systems

Martin Avanzini (martin.avanzini@inria.fr)



Introduction

```
1 let (o) f g = fun z → f (g z) ;;
2 let rec walk = function
3   | [] → id
4   | x::xs → walk xs o (fun ys → x::ys) ;;
5 let rev l = walk l [] ;;
```

Question: what is the runtime of `rev`?

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1. Ideally, **Worst Case Execution Time** (μ s on machine X)
 - analysis depends on compiler, OS, processor (caches, pipelines, branch prediction,...), etc.

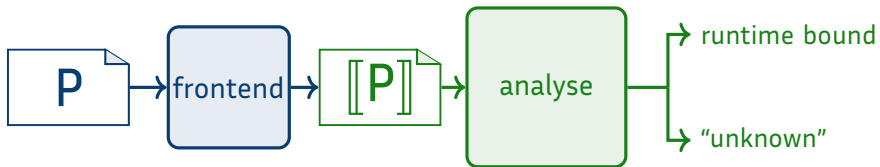
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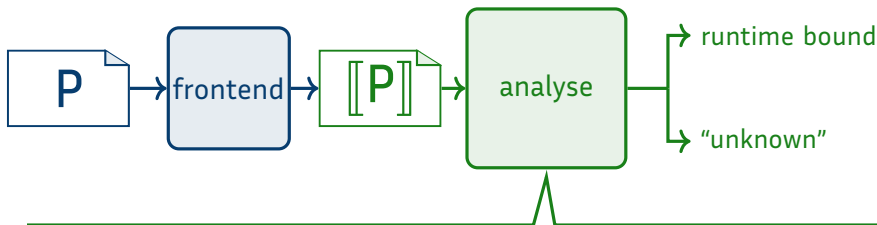
Question: what is the runtime of **rev**? depends on cost model

1. Ideally, **Worst Case Execution Time** (μ s on machine X)
 - analysis depends on compiler, OS, processor (caches, pipelines, branch prediction,...), etc.
2. analysis of **symbolic cost**, e.g., #reduction steps
 - often **informative** enough while **asymptotic precise**
 - **rewriting techniques** can help inferring such bounds, **automatically**

Setup



Setup



Fully Automated Rewriting Tools

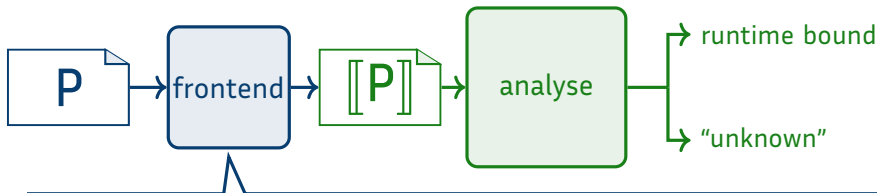
★ AProVE <http://aprove.informatik.rwth-aachen.de>

★ CaT <http://cl-informatik.uibk.ac.at/software/cat>


★ Matchbox <http://dfa.imn.htwk-leipzig.de/matchbox>

★ TCT <http://cl-informatik.uibk.ac.at/software/tct>


Setup



★ Prolog


 C. Otto et al. “Automated Termination Analysis of Java Bytecode by Term Rewriting”. In *Proc. of 21st RTA*, pp. 259–276, 2010.

★ Java / JBC

 J. Giesl et al. “Symbolic Evaluation Graphs and Term Rewriting - A General Methodology for Analyzing Logic Programs”. In *Proc. of 22nd LOPSTR*, p. 1, 2012.

 G. Moser and M. Schaper. “From Jinja Bytecode to Term Rewriting: A Complexity Reflecting Transformation”. *IC*, 2017.

★ OCaml

 M. Avanzini, U. Dal Lago, and G. Moser. “Analysing the Complexity of Functional Programs: Higher-Order Meets First-Order”. In *Proc. of 20th ICFP*, pp. 152–164, 2015.

Today's Lecture

From Termination to Derivational Complexity Analysis

1. termination techniques and their induced complexity
2. inferring polynomial bounds

Rewriting as a Computational Model and Runtime Complexity

3. runtime complexity as a reasonable cost model
4. basic methods for polynomial runtime analysis

Tomorrow's Lecture

From Theory to Automation

- 5. towards a modular runtime complexity analysis
- 6. case study: TcT, its complexity framework

Applications to Program Analysis

- 8. case study: higher-order functional programs

Seminal Paper on Derivational Complexity _____



D. Hofbauer and C. Lautemann. *"Termination Proofs and the Length of Derivations"*. In *Proc. of 3rd RTA*, pp. 167–177, 1989.

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Definition (induced derivational complexity)

Method **X** induces derivational complexity from class **C** if

$$\text{“}\mathcal{R} \text{ terminating by X”} \implies \text{dc}_{\mathcal{R}} \in C.$$

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Theorem (Hofbauer & Lautemann, RTA'89)

Polynomial Interpretations induced *double-exponential derivational complexity*.

Derivational Complexity (DC)

Definition (derivation height, derivational complexity)

consider ARS $\rightarrow \subseteq A \times A$ over objects A equipped with size: $A \rightarrow \mathbb{N}$

★ **derivation height function** wrt. \rightarrow is

$$\text{dh}_{\rightarrow} : A \rightarrow \mathbb{N} \cup \{\infty\}$$

$$\text{dh}_{\rightarrow}(a) \triangleq \sup\{\ell \mid \exists(a_1, \dots, a_\ell). a \rightarrow a_1 \rightarrow \dots \rightarrow a_\ell\}$$

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★ **derivational complexity function** wrt. \rightarrow and start objects $S \subseteq A$ is

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★ for TRS \mathcal{R} over terms \mathcal{T} , **derivational complexity** is

$$\text{dc}_{\mathcal{R}}(n) \triangleq \text{dc}_{\rightarrow_{\mathcal{R}}, \mathcal{T}}(n).$$

Derivational Complexity (DC)

Example

\rightarrow	A	size	$dc_{\rightarrow, A}$
$>_{\mathbb{N}}$	\mathbb{N}	id	

Derivational Complexity (DC)

Example

\rightarrow	A	size	$dc_{\rightarrow, A}$
$>_{\mathbb{N}}$	\mathbb{N}	id	n
$>_{\mathbb{Z}}$	\mathbb{Z}	$ \cdot $	

Derivational Complexity (DC)

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$>_{\mathbb{N}}$	\mathbb{N}	id	n
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$>_{\mathbb{Q}}$	$\mathbb{Q}_{\geq 0}$	$[\cdot]$	

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<hr/>			
\mathcal{R}			$dc_{\mathcal{R}}(n)$
$a(a(x)) \rightarrow a(b(a(x)))$			

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$a(a(x)) \rightarrow a(b(a(x)))$	$O(n)$
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Example

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\mathcal{R}	$dc_{\mathcal{R}}(n)$
$a(a(x)) \rightarrow a(b(a(x)))$	$O(n)$
$a(b(x)) \rightarrow b(a(x))$	$O(n^2)$

Reduction Orders

Definition (rewrite order, reduction order)

- ★ a **rewrite order** is a proper order $>$ on that is:
 1. closed under substitutions: $s > t \implies s\sigma > t\sigma$
 2. closed under contexts: $s > t \implies C[s] > C[t]$
- ★ a **reduction order** is a well-founded rewrite order

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Knuth-Bendix Order, Multiset Path Order, Lexicographic Path Orders, Recursive Path Order, Interpretation Method, ...

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Example

Knuth-Bendix Order, Multiset Path Order, Lexicographic Path Orders, Recursive Path Order, Interpretation Method, ...

Lemma

If rewrite order $>$ is **compatible** with TRS \mathcal{R} , i.e. $\mathcal{R} \subseteq >$, then

$$s \rightarrow_{\mathcal{R}} t \implies s > t.$$

Question: why?

Reduction Orders (II)

Theorem (Termination Via Reduction Orders)

TRS \mathcal{R} is terminating iff there exists a compatible reduction order $>$.

Proof of Soundness (\Leftarrow).

★ if $>$ is a rewrite order compatible with \mathcal{R} , then each reduction

$$t \rightarrow_{\mathcal{R}} t_1 \rightarrow_{\mathcal{R}} t_2 \rightarrow_{\mathcal{R}} \cdots ,$$

translates to $t > t_1 > t_2 > \cdots$.

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□

Theorem

If \mathcal{R} is compatible with reduction order $>$ then

$$\text{dc}_{\mathcal{R}}(n) \leq \text{dc}_{\rightarrow_{\mathcal{R} \cap >}, \mathcal{T}}(n) \leq \text{dc}_{>, \mathcal{T}}(n) .$$

Induced DC

- ★ interpretation method
 - polynomial and matrix interpretations
- ★ multiset path orders
- ★ dependency pair method

Interpretation Method

Definition (well-founded monotone algebra, $>_{\mathcal{A}}$)

★ **well-founded monotone algebra (WMA)** $(\mathcal{A}, >)$ with carrier A consists of

- well-founded proper order $> \subseteq A \times A$, and
- strictly monotone interpretations $f_{\mathcal{A}}: A^k \rightarrow A$ for every k -ary f

$$a_i > b \quad \implies \quad f_{\mathcal{A}}(a_1, \dots, a_i, \dots, a_k) > f_{\mathcal{A}}(a_1, \dots, b, \dots, a_k)$$

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★ **induced order $>_{\mathcal{A}}$** on terms is

$$s >_{\mathcal{A}} t \quad :\Longleftrightarrow \quad \llbracket s \rrbracket_{\mathcal{A}}^{\alpha} > \llbracket t \rrbracket_{\mathcal{A}}^{\alpha} \text{ for all assignments } \alpha$$

where $\llbracket s \rrbracket_{\mathcal{A}}^{\alpha}$ is interpretation of s wrt. algebra \mathcal{A} and assignment α .

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Lemma

If $(\mathcal{A}, >)$ is a WMA then $>_{\mathcal{A}}$ is a **reduction order**.

Polynomial Interpretations

Definition

Polynomial interpretation (PI) is WMA $(\mathcal{A}, >_{\mathbb{N}})$ where all interpretations $f_{\mathcal{A}}$ are strictly monotone **polynomials**.

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Example (I)

★ Consider the append function:

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★ terminating with polynomial interpretation?

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★ terminating with polynomial interpretation? **Yes**, e.g.

$$n \text{ ++ }_{\mathcal{A}} m \triangleq 2 \cdot n + m \qquad []_{\mathcal{A}} \triangleq 1 \qquad n ::_{\mathcal{A}} m \triangleq n + m .$$

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Example (II)

★ Consider Ackermann function:

$$\text{ack}(0, y) \rightarrow s(y) \qquad \text{ack}(s(x), s(y)) \rightarrow \text{ack}(x, \text{ack}(s(x), y))$$

$$\text{ack}(s(x), 0) \rightarrow \text{ack}(x, s(0))$$

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PIs induce **double-exponential DC**.

(Bound is tight.)

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PIs induce **double-exponential DC**.

(Bound is tight.)

Question: how to prove this statement?

Polynomial Interpretations (II)

Definition (Upper-Bound)

Function $u: \mathbb{N} \rightarrow \mathbb{N}$ is **upper-bound** for PI $(\mathcal{A}, >_{\mathbb{N}})$ over signature \mathcal{F} if:

$$\forall f \in \mathcal{F}. \forall a \in A. f_{\mathcal{A}}(a, \dots, a) \leq u(a).$$

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Lemma

Define $\alpha_0(x) \triangleq 0$. Suppose TRS \mathcal{R} compatible with $(\mathcal{A}, >_{\mathbb{N}})$. Then:

$$\forall t. dh_{\mathcal{R}}(t) \leq \llbracket t \rrbracket_{\mathcal{A}}^{\alpha_0} \leq u^{\text{size}(t)}(0), \text{ hence } dc_{\mathcal{R}}(n) \leq u^n(0) .$$

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shape	upper-bound	induced DC
additive	$u(a) = a + d$	$O(n)$
linear	$u(a) = c \cdot a + d$	$O(2^n)$
polynomial	$u(a) = c \cdot a^k + d$	$O(2^{2^n})$

Table: induced derivational complexity by shape; bounds are tight.

Polynomial Interpretations (II)

Example

TRS \mathcal{R}_{++} consisting of rules

$$[] \text{ ++ } ys \rightarrow ys \qquad (x :: xs) \text{ ++ } ys \rightarrow x :: (xs \text{ ++ } ys).$$

terminating with polynomial interpretation

$$n \text{ ++ }_{\mathcal{A}} m \triangleq 2 \cdot n + m \qquad []_{\mathcal{A}} \triangleq 1 \qquad n ::_{\mathcal{A}} m \triangleq n + m.$$

linear shape \Rightarrow classified exponential DC

shape	upper-bound	induced DC
additive	$u(a) = a + \mathbf{d}$	$O(n)$
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Table: induced derivational complexity by shape; bounds are tight.

Matrix Interpretations

Definition

Matrix interpretation (MI) of degree d is WMA (\mathcal{A}, \gg) over \mathbb{N}^d where

★ all interpretations $\mathbf{f}_{\mathcal{A}}$ are of the form

$$\mathbf{f}_{\mathcal{A}}(\vec{x}_1, \dots, \vec{x}_k) = M_1 \cdot \vec{x}_1 + \dots + M_k \cdot \vec{x}_k + V$$

where $V \in \mathbb{N}^d$ and $M_1, \dots, M_k \in \mathbb{N}^{d \times d}$ with $(M_i)_{1,1} \geq 1$

★ $\vec{x} \gg \vec{y} : \iff x_1 > y_1 \wedge \vec{x} \geq \vec{y}$



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Example

One-ruled TRS \mathcal{R}_{aa}

$$a(a(\mathbf{x})) \rightarrow a(b(a(\mathbf{x})))$$

compatible with matrix interpretation

$$a_{\mathcal{A}}(\vec{n}) \triangleq \begin{bmatrix} 1 & 1 \\ 0 & 0 \end{bmatrix} \cdot \vec{n} + \begin{bmatrix} 0 \\ 1 \end{bmatrix} \qquad b_{\mathcal{A}}(\vec{n}) \triangleq \begin{bmatrix} 1 & 0 \\ 0 & 0 \end{bmatrix} \cdot \vec{n}.$$

Matrix Interpretations (II)

Theorem (Hofbauer & Waldmann, RTA'06)

MIs induce exponential DC.



D. Hofbauer and J. Waldmann. "Termination of String Rewriting with Matrix Interpretations". In *Proc. of 17th RTA*, pp. 328–342, 2006.

inventeurs du monde numérique

Matrix Interpretations (II)

Theorem (Hofbauer & Waldmann, RTA'06)

Ms induce exponential DC.



Definition (Upper-triangular interpretation)

Matrix M is upper-triangular if

$$\forall i. M_{i,i} \leq 1 \quad \text{and} \quad \forall i > j. M_{i,j} = 0.$$

Theorem (Middeldorp et al. CAI'11)

Ms induce DC $O(n^d)$ if all coefficients are upper-triangular with diagonal sum at most d .

-  A. Middeldorp et al. "Joint Spectral Radius Theory for Automated Complexity Analysis of Rewrite Systems". In *Proc. of 4th CAI*, pp. 1–20, 2011.
-  D. Hofbauer and J. Waldmann. "Termination of String Rewriting with Matrix Interpretations". In *Proc. of 17th RTA*, pp. 328–342, 2006.

Matrix Interpretations

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Question: induced derivational complexity?

Matrix Interpretations

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Question: induced derivational complexity? **linear**

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$$[] \text{ ++ } ys \rightarrow ys \qquad (x :: xs) \text{ ++ } ys \rightarrow x :: (xs \text{ ++ } ys) .$$

terminating with polynomial interpretation

$$[]_{\mathcal{A}} \triangleq \begin{bmatrix} 7 \\ 1 \end{bmatrix} \qquad \vec{x} ::_{\mathcal{A}} \vec{xs} \triangleq \begin{bmatrix} 1 & 0 \\ 0 & 0 \end{bmatrix} \cdot \vec{x} + \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} \cdot \vec{xs} + \begin{bmatrix} 10 \\ 1 \end{bmatrix}$$

$$\vec{xs} \text{ ++}_{\mathcal{A}} \vec{ys} \triangleq \begin{bmatrix} 1 & 9 \\ 0 & 1 \end{bmatrix} \cdot \vec{xs} + \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} \cdot \vec{ys} .$$

- ★ induced derivational complexity? Quadratic
- ★ Question: bound asymptotic tight?

Matrix Interpretations

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$$[] \text{ ++ } ys \rightarrow ys \qquad (x :: xs) \text{ ++ } ys \rightarrow x :: (xs \text{ ++ } ys) .$$

terminating with polynomial interpretation

$$[]_{\mathcal{A}} \triangleq \begin{bmatrix} 7 \\ 1 \end{bmatrix} \qquad \vec{x} ::_{\mathcal{A}} \vec{xs} \triangleq \begin{bmatrix} 1 & 0 \\ 0 & 0 \end{bmatrix} \cdot \vec{x} + \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} \cdot \vec{xs} + \begin{bmatrix} 10 \\ 1 \end{bmatrix}$$

$$\vec{xs} \text{ ++}_{\mathcal{A}} \vec{ys} \triangleq \begin{bmatrix} 1 & 9 \\ 0 & 1 \end{bmatrix} \cdot \vec{xs} + \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix} \cdot \vec{ys} .$$

★ induced derivational complexity? **Quadratic**

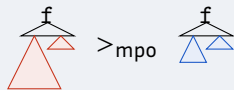
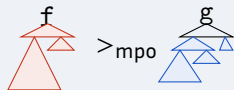
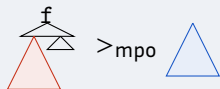
★ **Question:** bound asymptotic tight? **Yes:** $[e_1, \dots, e_n] \underbrace{\text{ ++ } \dots \text{ ++ }}_{m \text{ times}} []$

The Multiset Path Ordering (MPO)

Definition (Multiset Path Order)

- ★ given precedence $>$ (proper, total order on function symbols)
- ★ induced multiset path order $>_{\text{mpo}}$ is least order on terms s.t.

$$\frac{\exists i. s_i \geq_{\text{mpo}} t}{f(s_1, \dots, s_i, \dots, s_k) >_{\text{mpo}} t}$$
$$\frac{f > g \quad \forall j. f(s_1, \dots, s_k) >_{\text{mpo}} t_j}{f(s_1, \dots, s_k) >_{\text{mpo}} g(t_1, \dots, t_k)}$$
$$\frac{\{s_1, \dots, s_k\} >_{\text{mpo}}^{\text{mul}} \{t_1, \dots, t_k\}}{f(s_1, \dots, s_k) >_{\text{mpo}} f(t_1, \dots, t_k)}$$

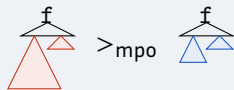
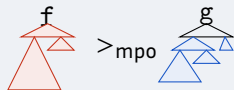
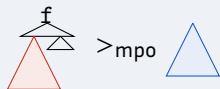


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Theorem

$>_{\text{mpo}}$ is a reduction order.

MPO Characterizes Primitive Recursive Functions

Definition (Primitive Recursive Functions)

Class of **primitive recursive functions** (PR) is least set of functions over \mathbb{N} s.t.

1. containing initial functions

$$\text{zero}() \triangleq 0 \quad \text{succ}(x) \triangleq x + 1 \quad \pi_{i,k}(x_1, \dots, x_k) \triangleq x_i \quad (\forall 0 < i \leq k \in \mathbb{N}) ,$$

2. closed under composition

$$h, g_1, \dots, g_k \in \text{PR} \implies f(\vec{x}) \triangleq h(g_1(\vec{x}), \dots, g_k(\vec{x})) \in \text{PR} ,$$

3. closed under primitive recursion

$$g, h \in \text{PR} \implies \left(\begin{array}{l} f(0, \vec{x}) \triangleq g(\vec{x}) \\ f(z+1, \vec{x}) \triangleq h(\vec{x}, f(z, \vec{x})) \end{array} \right) \in \text{PR} .$$

MPO Characterizes Primitive Recursive Functions

Definition (Rewriting Characterization of PR)

signature \mathcal{F}_{PR} and (infinite) rewrite system \mathcal{R}_{PR} inductively defined by:

1. constant $0 \in \mathcal{F}_{\text{PR}}$, unary symbol $s \in \mathcal{F}_{\text{PR}}$ and

$$\text{proj}_{i,k} \in \mathcal{F}_{\text{PR}} \quad \text{proj}_{i,k}(x_1, \dots, x_k) \rightarrow x_i \in \mathcal{R}_{\text{PR}} \quad (\forall 0 < i \leq k \in \mathbb{N}),$$

2. if $h, \vec{g} \in \mathcal{F}_{\text{PR}}$ then

$$\text{comp}[\vec{g}, h] \in \mathcal{F}_{\text{PR}} \quad \text{comp}[\vec{g}, h](\vec{x}) \rightarrow h(g_1(\vec{x}), \dots, g_k(\vec{x})) \in \mathcal{R}_{\text{PR}},$$

3. if $g, h \in \mathcal{F}_{\text{PR}}$ then

$$\text{rec}[g, h] \in \mathcal{F}_{\text{PR}} \quad \left(\begin{array}{l} \text{rec}[g, h](0, \vec{x}) \rightarrow g(\vec{x}) \\ \text{rec}[g, h](z + 1, \vec{x}) \rightarrow h(\vec{x}, \text{rec}[g, h](z, \vec{x})) \end{array} \right) \in \mathcal{R}_{\text{PR}}.$$



MPO Characterizes Primitive Recursive Functions

Theorem ($\text{PR} \Rightarrow \text{MPO compatible}$)

Every $f \in \text{PR}$ is computed by some TRS compatible with MPO.

Proof Outline.

1. Every $f \in \text{PR}$ is “computed” by finite $\mathcal{R}_f \subsetneq \mathcal{R}_{\text{PR}}$.
2. $\mathcal{R}_f \subseteq >_{\text{mpo}}$ where $>$ defined s.t.

$$\text{comp}[\dots, h, \dots] > h, \quad \text{rec}[g, h] > g, h.$$

□

MPO Characterizes Primitive Recursive Functions

Theorem ($PR \Rightarrow$ MPO compatible)

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Theorem (Hofbauer, TCS'92)

MPO induces primitive recursive DC.



MPO Characterizes Primitive Recursive Functions

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$$\text{comp}[\dots, h, \dots] \succ h, \quad \text{rec}[g, h] \succ g, h.$$

□

Theorem (Hofbauer, TCS'92)

MPO induces primitive recursive DC.

Corollary (MPO compatible $\Rightarrow PR$)

If \mathcal{R} “computes a function” $f: \mathbb{N}^k \rightarrow \mathbb{N}$ and \mathcal{R} is compatible with MPO then $f \in PR$.

Dependency Pairs

Definition (Dependency Pair)

If $f(l_1, \dots, l_m) \rightarrow C[g(t_1, \dots, t_n)] \in \mathcal{R}$ with g defined by rule, then

$$f^\#(l_1, \dots, l_m) \rightarrow g^\#(t_1, \dots, t_n)$$

is a **dependency pair (DP)** of \mathcal{R} ; $\text{DP}(\mathcal{R})$ collects all DPs of \mathcal{R} .



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Example

\mathcal{R}_{rev}

$\text{DP}(\mathcal{R}_{\text{rev}})$

$$[] \text{ ++ } ys \rightarrow ys$$

$$(x :: xs) \text{ ++ } ys \rightarrow x :: (xs \text{ ++ } ys)$$

$$\text{rev}([]) \rightarrow []$$

$$\text{rev}(x :: xs) \rightarrow \text{rev}(xs) \text{ ++ } [x]$$

$$(x :: xs) \text{ ++}^\# ys \rightarrow xs \text{ ++}^\# ys$$

$$\text{rev}^\#(x :: xs) \rightarrow \text{rev}^\#(xs)$$

$$\text{rev}^\#(x :: xs) \rightarrow \text{rev}(xs) \text{ ++}^\# [x]$$

Dependency Pairs (II)

Theorem

TRS \mathcal{R} is terminating iff there is no infinite and minimal chain

$$f^\#(s_1, \dots, s_m) \rightarrow_{\text{DP}(\mathcal{R})} g^\#(t_1, \dots, t_n) \rightarrow_{\mathcal{R}}^* g^\#(u_1, \dots, u_n) \rightarrow_{\text{DP}(\mathcal{R})} \dots$$



T. Arts and J. Giesl. "Proving Innermost Normalisation Automatically". In *Proc. of 8th RTA*, pp. 157–171, 1997.

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Proof techniques: reduction pairs, usable rules, subterm criterion, rule removal, narrowing, dependency graph cycle analysis, ...



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Proof techniques: reduction pairs, usable rules, subterm criterion, rule removal, narrowing, dependency graph cycle analysis, ...

Theorem (Moser & Schnabl, RTA'09)

- ★ DC of \mathcal{R} can be **double-exponential** in length of $\rightarrow_{\text{DP}(\mathcal{R})} \cdot \rightarrow_{\mathcal{R}}^*$ chains
- ★ **non-primitive recursive** overhead in dependency pair framework (subterm criterion + rule removal).



Summary

★ direct methods

- Knuth-Bendix order 1969
- **polynomial interpretations** 1975
- lexicographic path order 1980
- **multiset path order** 1982
- context dependent interpretations 2001
- match bounds 2003
- **matrix interpretations** 2006
- ...

★ transformation methods

- semantic labeling 1995
- **dependency pairs** 1997
- ...

Summary

★ direct methods

- Knuth-Bendix order 2-rec, 2000 / 1969
- **polynomial interpretations** double-exp, 1989 / 1975
 - o additive **linear**, 2011
- lexicographic path order multi-rec, 1995 / 1980
- **multiset path order** prim-rec, 1990 / 1982
- context dependent interpretations double-exp, 2001 / 2001
- match bounds **linear**, 2003 / 2003
- **matrix interpretations** double-exp, 2006 / 2006
 - o triangular **polynomial**, 2011
- ...

★ transformation methods

- semantic labeling arbitrary overhead, 2008 / 1995
- **dependency pairs** 2-exp overhead, 2011 / 1997
- ...

Runtime Complexity Analysis

- ★ rewriting as a model of computation
- ★ invariance theorem
- ★ methods for assessing polynomial runtime

Derivational Complexity (II)

- ★ consider TRS \mathcal{R}_{dbl} consisting of two rules:

$$\text{dbl}(0) \rightarrow 0$$

$$\text{dbl}(s(x)) \rightarrow s(s(\text{dbl}(x)))$$

- ★ \mathcal{R}_{dbl} doubles natural numbers n in unary notation $\underline{n} = \underbrace{s(\dots s(0) \dots)}_{n \text{ times}}$

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- ★ \mathcal{R}_{dbl} doubles natural numbers n in unary notation $\underline{n} = \underbrace{s(\dots s(0) \dots)}_{n \text{ times}}$

- ★ complexity of function dbl is **linear**

- ★ derivational complexity of \mathcal{R}_{dbl} is **exponential**

$$\text{dh}_{\rightarrow_{\mathcal{R}_{\text{dbl}}}}(\text{dbl}(\underline{n})) = n + 1$$

$$\text{dh}_{\rightarrow_{\mathcal{R}_{\text{dbl}}}}(\text{dbl}(\text{dbl}(\underline{n}))) = (2 \cdot n + 1) + (n + 1)$$

$$\text{dh}_{\rightarrow_{\mathcal{R}_{\text{dbl}}}}(\text{dbl}(\text{dbl}(\text{dbl}(\underline{n})))) = (4 \cdot n + 1) + (2 \cdot n + 1) + (n + 1)$$

\vdots

$$\text{dh}_{\rightarrow_{\mathcal{R}_{\text{dbl}}}}(\text{dbl}^k(\underline{n})) = \sum_{i=0}^{k-1} (2^i \cdot n + 1)$$

Runtime Complexity of TRS

Definition (runtime complexity function)

Runtime complexity $\text{rc}_{\mathcal{R}}: \mathbb{N} \rightarrow \mathbb{N} \cup \{\infty\}$ of TRS \mathcal{R} is

$$\text{rc}_{\mathcal{R}}(n) \triangleq \text{dc}_{\rightarrow_{\mathcal{R}}, \mathcal{B}}(n) \quad \text{with} \quad \underbrace{\mathcal{B} \triangleq \{\mathbf{f}(v_1, \dots, v_k) \mid \mathbf{f} \in \mathcal{D}, v_i \in \mathcal{Val}\}}_{\text{basic terms}},$$

where

- ★ signature partitioned into **defined symbols** \mathcal{D} and **constructors** \mathcal{C}
 - usually, \mathcal{D} given implicitly by roots of left-hand sides
- ★ **values** \mathcal{Val} are terms build from **constructors** \mathcal{C}

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Example

Runtime of \mathcal{R}_{dbl} is **linear**.

Rewriting as a Model of Computation

Definition (computation)

TRS \mathcal{R} computes relation $R_f \subseteq \mathcal{Val}^k \times \mathcal{Val}$ for each $f \in \mathcal{D}$ s.t.

$$(v_1, \dots, v_k) R_f w \iff f(v_1, \dots, v_k) \rightarrow^! w \in \mathcal{Val}.$$

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Question: is runtime complexity a reasonable cost model?

1. counting #reduction steps is natural
2. related to the cost of an "implementation"



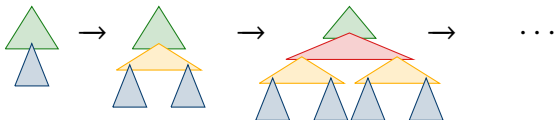
“...*reasonable* universal machines can *simulate* each other within a *polynomially bounded overhead in time* and a constant-factor overhead in space.”



P. Van Emde Boas. “Machine Models and Simulation”. In *Handbook of Theoretical Computer Science, Volume A: Algorithms and Complexity (A)*, pp. 1–66, 1990.

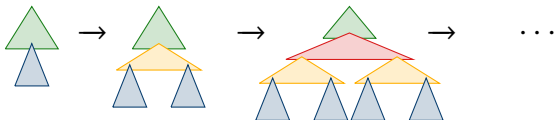
Invariance Thesis

- ★ invariance **long lasting open question** for rewriting based calculi
 - a single rewrite step may copy arbitrarily large terms
 - terms may grow exponential in the length of derivations

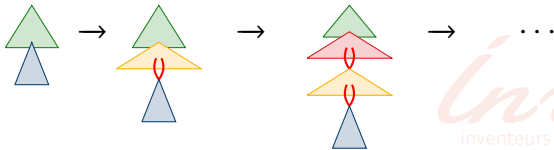


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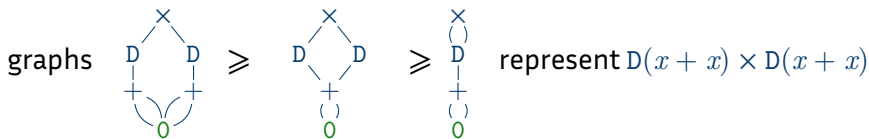


- ★ implementation via **graph rewriting** avoids space explosion
 - copying replaced by sharing
 - size-growth constant in length of derivation



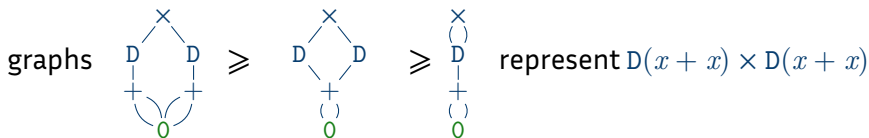
Graph Rewriting in a Nutshell

1. terms represented as graphs



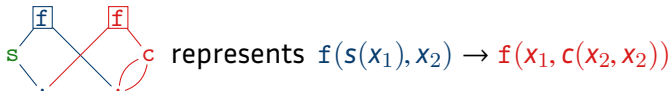
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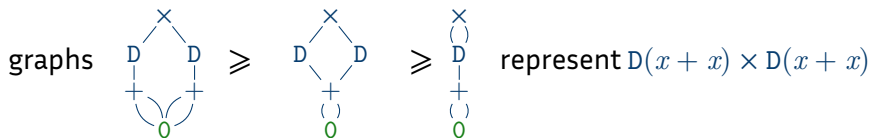
2. rules are graph with two designated roots for LHS \boxed{f} and RHS \boxed{g}

- unlabelled leafs act as variables



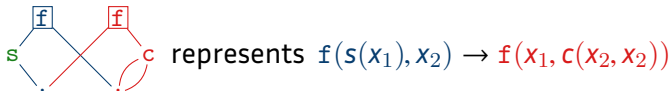
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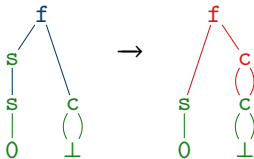


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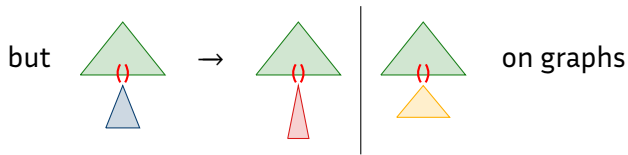
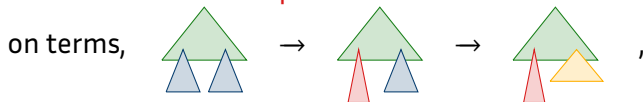


3. rule application replaces homomorphic copy of LHS with RHS



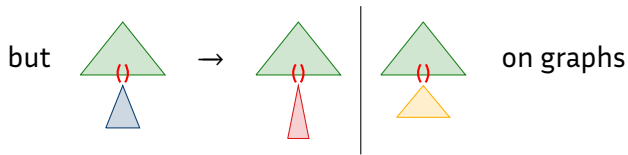
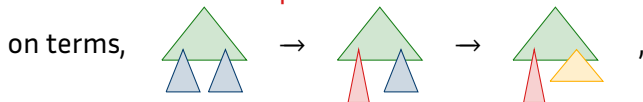
Discrepancies to Term Rewriting

1. shared redexes cause **parallel rewrites**

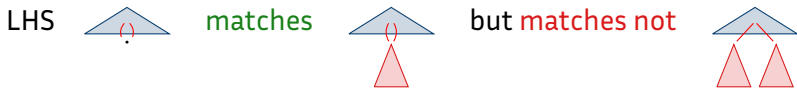


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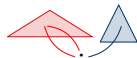
2. graph matching based on **pointer equality**



Implementing Term via Graph Rewriting

Folklore: term rewriting can be implemented via graph rewriting

1. translate each rewrite rule $l \rightarrow r$ to graph rule



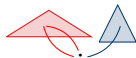
2. **unfold** & **fold** graph before rule application



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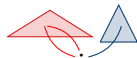
★ **unfolding** must be handled with care to avoid space-explosion



Implementing Term via Graph Rewriting

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2. **unfold** & **fold** graph before rule application



- ★ **unfolding** must be handled with care to avoid space-explosion
- ★ observation gives rise to reduction relation $\Leftarrow \rightarrow$ on graphs
 - **restricted unfolding** \Leftarrow copies *only* shared nodes along path to redex
 - **restricted folding** \rightarrow introduces maximal sharing strictly below redex



Space Efficient Implementation of Term Rewriting —

Theorem (Adequacy Theorem)

$$S \xrightarrow{\text{red}} T \iff \text{term}(S) \rightarrow \text{term}(T)$$

Lemma (Time Lemma)

$$S \xrightarrow{\text{red}} T \implies T \text{ computable from } S \text{ in almost cubic time on TM}$$

Lemma (Space Lemma)

$$S \xrightarrow{\text{red}} T \implies \text{size}(T) \in O(\ell \cdot \text{size}(S) + \ell^2)$$

Invariance Theorem

Theorem (Invariance Theorem)

Let \mathcal{R} be a confluent rewrite system with runtime $g(n)$.

Any function computed by \mathcal{R} is computable in time $p(n, g(n))$ on a deterministic Turing machine, where

$$p(n, \ell) \in O(\log(\ell + n)^3 \cdot (\ell \cdot n^3 + \ell^4))$$

Corollary (Polytime Invariance)

*Let \mathcal{R} be a confluent rewrite system with **polynomially bounded runtime**.*

*Then the functions computed by \mathcal{R} are in **FPTIME**.*

Invariance Theorem

Theorem (*Non-deterministic Invariance Theorem*)

Let \mathcal{R} be a rewrite system with runtime $g(n)$.

Any relation computed by \mathcal{R} is computable in time $p(n, g(n))$ on a non-deterministic Turing machine, where

$$p(n, \ell) \in O(\log(\ell + n)^3 \cdot (\ell \cdot n^3 + \ell^4))$$

Corollary (*Non-deterministic Polytime Invariance*)

Let \mathcal{R} be a rewrite system with *polynomially bounded runtime*.

Then the function problem associated with any relation computed by \mathcal{R} is in **FNPTIME**.

Methods That Classify Polynomial RC

- ★ polynomial & matrix interpretations, revisited
- ★ usable argument positions
- ★ polynomial path orders

Interpretations, Revisited

Central Observation:

- ★ $\mathcal{R} \subseteq >_{\mathcal{A}} \implies \text{dh}_{\rightarrow_{\mathcal{R}}}(\mathbf{f}(v_1, \dots, v_k)) \leq \mathbf{f}_{\mathcal{A}}(\llbracket v_1 \rrbracket_{\mathcal{A}}^{\alpha_0}, \dots, \llbracket v_k \rrbracket_{\mathcal{A}}^{\alpha_0})$
- ★ for basic start terms, sufficient to control interpretations of constructors

Interpretations, Revisited

Central Observation:

- ★ $\mathcal{R} \subseteq >_{\mathcal{A}} \implies \text{dh}_{\rightarrow_{\mathcal{R}}}(\mathbf{f}(v_1, \dots, v_k)) \leq \mathbf{f}_{\mathcal{A}}(\llbracket v_1 \rrbracket_{\mathcal{A}}^{\alpha_0}, \dots, \llbracket v_k \rrbracket_{\mathcal{A}}^{\alpha_0})$
- ★ for basic start terms, sufficient to control interpretations of constructors

Theorem

<i>interpretation of constructors</i>	<i>induced RC</i>	<i>characterisation</i>
<i>additive</i>	$O(n^d)$ ^(†)	PTime
<i>linear</i>	$O(2^n)$	ETime
<i>polynomial</i>	$O(2^{2^n})$	E ₂ Time

(†) d is maximum degree of interpretations $\mathbf{f}_{\mathcal{A}}$ for $\mathbf{f} \in \mathcal{D}$.



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- ★ similar for MIs, induced RC controlled by restricting interpretation of constructors

Interpretations, Revisited

Example

TRS \mathcal{R}_{++} consisting of rules

$$[] \text{ ++ } ys \rightarrow ys \qquad (x :: xs) \text{ ++ } ys \rightarrow x :: (xs \text{ ++ } ys) .$$

terminating with polynomial interpretation

$$n \text{ ++ }_{\mathcal{A}} m \triangleq 2 \cdot n + m \qquad []_{\mathcal{A}} \triangleq 1 \qquad n ::_{\mathcal{A}} m \triangleq n + m .$$

★ linear shape \Rightarrow classified linear RC

Usable Argument Positions

Example

TRS \mathcal{R}_{\div} consists of rules

$$x - 0 \rightarrow 0$$

$$0 \div s(y) \rightarrow 0$$

$$s(x) - s(y) \rightarrow x - y$$

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★ monotonicity required for closure under contexts:

$$s \rightarrow_{\mathcal{R}} t \wedge \llbracket s \rrbracket_{\mathcal{A}} > \llbracket t \rrbracket_{\mathcal{A}} \implies \llbracket f(\dots, s, \dots) \rrbracket_{\mathcal{A}} > \llbracket f(\dots, t, \dots) \rrbracket_{\mathcal{A}}.$$

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★ intuition formalised in notion of **usable replacement map**

Usable Arguments

Definition (Usable Replacement Map)

consider mapping μ s.t. $\mu(\mathfrak{f}) \subseteq \{1, \dots, k\}$ for every k -ary $\mathfrak{f} \in \mathcal{F}$



N. Hirokawa and G. Moser. "Automated Complexity Analysis Based on Context-Sensitive Rewriting". In *Proc. of 25th RTA and 12th TLCA*, pp. 257–271, 2014.

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★ μ -positions $\text{Pos}_\mu(t) \subseteq \text{Pos}(t)$ in term t are

$$\text{Pos}_\mu(x) \triangleq \{\epsilon\}$$

$$\text{Pos}_\mu(\mathbf{f}(t_1, \dots, t_k)) \triangleq \{\epsilon\} \cup \{i \cdot p \mid i \in \mu(\mathbf{f}), p \in \text{Pos}_\mu(t_i)\}.$$



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★ $\mathcal{T}_\mu(\rightarrow)$ is set of terms where only subterms at μ -positions are reducible wrt. \rightarrow

$$t \in \mathcal{T}_\mu(\rightarrow) :\iff \forall p \in \text{Pos}(t) \setminus \text{Pos}_\mu(t). t|_p \in \text{NF}(\rightarrow).$$



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★ μ is **usable replacement map (URM)** for TRS \mathcal{R} on set of terms T

$$\rightarrow_{\mathcal{R}}^*(T) \subseteq \mathcal{T}_\mu(\rightarrow_{\mathcal{R}}).$$



Usable Arguments (II)

Definition (well-founded μ -monotone algebra)

well-founded μ -monotone algebra ($W\mu MA$) $(\mathcal{A}, >)$ with carrier A consists of

- ★ well-founded proper order $> \subseteq A \times A$, and
- ★ **strictly μ -monotone interpretations** $\mathbf{f}_{\mathcal{A}}: A^k \rightarrow A$ for every k -ary \mathbf{f}
$$a_i > b \wedge i \in \mu(\mathbf{f}) \implies \mathbf{f}_{\mathcal{A}}(a_1, \dots, a_i, \dots, a_k) > \mathbf{f}_{\mathcal{A}}(a_1, \dots, b, \dots, a_k)$$

Theorem

Let μ be a URM for \mathcal{R} on basic terms \mathcal{B} . If $W\mu MA (\mathcal{A}, >)$ orients \mathcal{R} then

$$\text{rc}_{\mathcal{R}}(n) \leq \text{dc}_{>_{\mathcal{A}, \mathcal{B}}}(n).$$

Usable Arguments (III)

Example

Reconsider TRS \mathcal{R}_{\div} :

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★ **Question:** which maps constitute a URM for \mathcal{R}_{\div} ?

symbol	μ_1	μ_2	μ_3	μ_4
s	\emptyset	\emptyset	$\{1\}$	$\{1\}$
-	\emptyset	\emptyset	\emptyset	$\{1, 2\}$
\div	\emptyset	$\{1\}$	$\{1\}$	$\{1, 2\}$

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★ oriented by μ_3 -monotone polynomial interpretation

$$0_{\mathcal{A}} \triangleq 1 \quad s_{\mathcal{A}}(x) \triangleq x + 2 \quad x -_{\mathcal{A}} y \triangleq x + 1 \quad x \div_{\mathcal{A}} y \triangleq 3 \cdot x$$

★ induced runtime complexity is **linear**

Recursive Path Orders and Polynomial RC

Motivation:

- ★ recursive path orders (e.g., MPO, LPO, KBO) fast to synthesise
- ★ can these orders be tamed to induce polynomial RC?

Yes!

- ★ **polynomial path orders** embody **predicative recursion** on MPO
- ★ induce (innermost) runtime complexity is **polynomial**

Predicative Recursion on Notation

Definition (predicative recursive functions)

BC is least set of functions over binary words s.t.

1. containing certain initial functions
2. closed under **predicative composition**

$$h, g_1, \dots, g_{k+l} \in \text{BC}$$

$$\implies f(\vec{x}; \vec{y}) \triangleq h(g_1(\vec{x}; \cdot), \dots, g_k(\vec{x}; \cdot); g_{k+1}(\vec{x}; \vec{y}), \dots, g_{k+l}(\vec{x}; \vec{y})) \in \text{BC},$$

3. closed under **predicative recursion on notation**

$$g, h_0, h_1 \in \text{BC} \implies \left(\begin{array}{l} f(\epsilon, \vec{x}; \vec{y}) \triangleq g(\vec{x}; \vec{y}) \\ f(i \cdot z, \vec{x}; \vec{y}) \triangleq h_i(\vec{x}; \vec{y}, f(z, \vec{x}; \vec{y})) \end{array} \right) \in \text{BC}.$$

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Theorem

$$\text{BC} = \text{FTime}.$$

Polynomial Path Orders (POP*)

Ingredients:

1. precedence $>$ on signature
2. for each symbol f , separation of argument positions

$$\text{normal}(f) \uplus \text{safe}(f) = \{1, \dots, \text{ar}(f)\}.$$



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Definition (auxiliary order $>_{\text{pop}}$)

auxiliary order $>_{\text{pop}}$ is least order on terms s.t.

$$\frac{\exists i. s_i \geq_{\text{pop}} t \quad f \in \mathcal{D} \implies i \in \text{normal}(f)}{f(s_1, \dots, s_k) >_{\text{pop}} t} \quad \frac{f > g \quad \forall i. f(\vec{x}) >_{\text{pop}} t_i}{f(\vec{s}) >_{\text{pop}} g(t_1, \dots, t_k)}$$



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Example

If $f > g$ then $f(s(;x);y) >_{\text{pop}} g(x;)$ but $f(s(;x);y) \not>_{\text{pop}} g(x;y)$



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$$\frac{\exists i. s_i \geq_{\text{pop}^*} t}{f(s_1, \dots, s_k) >_{\text{pop}^*} t}$$

f occurs at most once in $g(t_1, \dots, t_k)$

$$f > g \quad \forall i \in \text{normal}(g). f(\vec{x}) >_{\text{pop}} t_i \quad \forall i \in \text{safe}(g). f(\vec{x}) >_{\text{pop}^*} t_i$$

$$f(\vec{s}) >_{\text{pop}^*} g(t_1, \dots, t_k)$$

$$\{s_1, \dots, s_k\} >_{\text{pop}^*}^{\text{mul}} \{t_1, \dots, t_k\} \quad \exists i, j \in \text{normal}(f). s_i >_{\text{pop}^*} t_j$$

$$f(s_1, \dots, s_k) >_{\text{pop}^*} f(t_1, \dots, t_k)$$

Induced Runtime of POP*

Definition

Constructor TRS \mathcal{R} is **predicative recursive** if compatible with $>_{\text{pop}^*}$.

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Example

TRS

$$\text{bt}(0;) \rightarrow L \quad \text{bt}(s(;n);) \rightarrow \text{dup}(:, \text{bt}(n;)) \quad \text{dup}(:, t) \rightarrow N(:, t, t),$$

is **predicative recursive** but has **exponential runtime**.

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Definition (Innermost Runtime Complexity (iRC))

$$\text{rci}_{\mathcal{R}}(n) \triangleq \text{dc}_{\rightarrow_{\mathcal{R}}, \mathcal{B}}^i(n).$$

Theorem (A. & Moser, TCS'13)

If \mathcal{R} **predicative recursive**, $\text{rci}_{\mathcal{R}}(n) \leq p(n)$ for some **polynomial** p .

Further Notes on Recursive Path Orders _____

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- ★ restriction **sPOP*** (product status, weakened composition) of POP* induces bounds $O(n^{\text{"recursion depth"}})$



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- ★ extending sPOP* with **lexicographic status** yields characterisation of **exponential time functions**

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Experimental Evaluation

```
$ cat lcs.raml
firstline : L(int) -> L(int)
firstline(l) = match l with
    | nil -> nil
    | (x::xs) -> +0::firstline xs;

newline : (int,L(int),L(int)) -> L(int)
newline (y,lastline,l) =
    match l with
    | nil -> nil
    | (x::xs) -> match lastline with
        | nil -> nil
        | (belowVal::lastline') ->
            let nl = newline(y,lastline',xs) in
            let rightVal = right nl in
            let diagVal = right lastline' in
            let elem = if x == y then diagVal+1 else max(belowVal,rightVal)
            in elem::nl;

right : L(int) -> int
right l = match l with | nil -> +0 | (x::xs) -> x;

lcstable : (L(int),L(int)) -> L(L(int))
lcstable (l1,l2) = match l1 with
    | nil -> [firstline l2]
    | (x::xs) -> let m = lcstable (xs,l2) in
        match m with
        | nil -> nil
        | (l::ls) -> (newline (x,l,l2))::l::ls;

lcs : (L(int),L(int)) -> int
lcs(l1,l2) = let m = lcstable(l1,l2) in
    match m with | nil -> +0 | (l1::_) -> (match l1 with | nil -> +0 | (len::_) -> len);
```

Experimental Evaluation

```
$ raml2trs lcs.raml
(STARTTERM CONSTRUCTOR-BASED)
(STRATEGY INNERMOST)
(VAR
  @_ @a @b @belowVal @diagVal @elem @l @l1 @l2 @lastline @lastline2 @len @ls @m @nl @rightVal
  @x @x_1 @x_2 @xs @y @y_1 @y_2)
(RULES
  firstline(@l) -> firstline#1(@l)
  firstline#1(::(@x,@xs)) -> ::(#abs(#0()),firstline(@xs))
  firstline#1(nil) -> nil
  newline(@y,@lastline,@l) -> newline#1(@l,@lastline,@y)
  newline#1(::(@x,@xs),@lastline,@y) -> newline#2(@lastline,@x,@xs,@y)
  newline#1(nil,@lastline,@y) -> nil
  newline#2(::(@belowVal,@lastline2),@x,@xs,@y) ->
    newline#3(newline(@y,@lastline2,@xs),@belowVal,@lastline2,@x,@y)
  newline#2(nil,@x,@xs,@y) -> nil
  newline#3(@nl,@belowVal,@lastline2,@x,@y) ->
    newline#4(right(@nl),@belowVal,@lastline2,@nl,@x,@y)
  newline#4(@rightVal,@belowVal,@lastline2,@nl,@x,@y) ->
    newline#5(right(@lastline2),@belowVal,@nl,@rightVal,@x,@y)
  newline#5(@diagVal,@belowVal,@nl,@rightVal,@x,@y) ->
    newline#6(newline#7(#equal(@x,@y),@belowVal,@diagVal,@rightVal),@nl)
  newline#6(@elem,@nl) -> ::(@elem,@nl)
  newline#7(#false(),@belowVal,@diagVal,@rightVal) -> max(@belowVal,@rightVal)
  newline#7(#true(),@belowVal,@diagVal,@rightVal) -> +(@diagVal,#pos(#s(#0())))
  right(@l) -> right#1(@l)
  right#1(::(@x,@xs)) -> @x
  right#1(nil) -> #abs(#0())
  lcs(@l1,@l2) -> lcs#1(lcstable(@l1,@l2))
  lcs#1(@m) -> lcs#2(@m)
```

[...]

Experimental Evaluation

Input	#rules	orders	TCT
appendAll	12	$O(n^2)$	$O(n)$
bfs	57	?	$O(n)$
bft mmult	59	?	$O(n^3)$
bitonic	78	?	$O(n^4)$
bitvectors	148	?	$O(n^2)$
clevermmult	39	?	$O(n^2)$
duplicates	37	?	$O(n^2)$
dyade	31	?	$O(n^2)$
eratosthenes	74	?	$O(n^2)$
flatten	31	?	$O(n^2)$
insertionsort	36	?	$O(n^2)$
listsrt	56	?	$O(n^2)$
lcs	87	?	$O(n^2)$
matrix	74	?	$O(n^3)$
mergesort	35	?	$O(n^3)$
minsort	26	?	$O(n^2)$
queue	35	?	$O(n^5)$
quicksort	46	?	$O(n^2)$
rationalPotential	14	$O(n)$	$O(n)$
splitandsort	70	?	$O(n^3)$
subtrees	8	?	$O(n^2)$
tuples	33	?	?

Figure: Analysis of translated resource aware ML programs.

Summary

- ★ RC is a **reasonable cost model** for rewriting
 - ★ termination methods can be suited so as to **induce polynomial RC**
 - amounts to “**whole program analysis**”
- ⇒ **intensionally weak**

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Next Lecture: strengthen the analysis through **modularity**

1. combination of different techniques
2. analyse program parts (almost) independently