Heap-size analysis for assembly programs
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ABSTRACT

Our objective is to propose methods for resource-aware compilation inspired by the implicit complexity community. We consider a small assembly-like language and we build abstract finite machine models in order to predict a bound on the maximal heap usage of a program. We propose a polynomial time procedure to detect and certify a broad and meaningful class of non-size increasing programs, which run in a constant size heap. We end by discussing about programs running in linear heap space and discussing how to capture logarithmic space computation.

1. INTRODUCTION

1.1 Motivations

The goal of this study is an attempt to predict and control computational resources like space or time, which are used during the execution of a bytecode program. We focus here on heap space management. For this, we have chosen a bytecode language, which is close to a fragment of C. The machine architecture contains registers and a heap memory. The set of instructions consists in arithmetic operations, conditional and jumps. The memory management is performed by two low level operations new and free dealing with dynamic memory allocations.

We present a data flow analysis of the low-level language sketched by means of “Resource Control Graph”, and we think that this is a generic concept from which several memory management policies could be checked. We establish a criterion which implies that each execution of a program needs only a constant number of dynamic memory allocations. Such programs were dubbed Non Size Increasing (NSI) by Hofmann, who has studied them in the context of functional programming with a linear type discipline [13, 14]. Here, we propose a criterion which is decidable in polynomial time. Besides the interest of this criterion to detect NSI programs, it also illustrates the possibilities and advantages of the concept of Resource Control Graph.

1.2 Coping with undecidability

All these theoretical frameworks share the common particularity of dealing with behaviours of programs (like time and space complexity) and not only with the inputs/outputs relation which only depends on the computed function.

Indeed, a given function can be computed by several programs with different behaviours (in terms of complexity or other). Classical complexity theory deals with functions and computes extensional complexities. Here, we want to compute intensional or implicit complexity, that is try to understand why a given algorithm is more efficient than another to compute the same function.

The study of extensional complexity quickly reaches the boundary of Rice’s theorem. Any extensional property of programs is...
either trivial or undecidable. Intuition and empirical results points out that intensional properties are even harder to decide. Section 2 will formalise this impression.

However, several very successful works do exist for studying both extensional properties (like termination) or intensional ones (like time or space complexity). As these works provide decidable criteria, they must be either incomplete (reject a valid program) or unsound (accept an invalid program). Of course, the choice is usually to ensure soundness: if the program is accepted by the criterion then the property (termination, polynomial bound, ...) is guaranteed. This allows the criterion to be seen as a certificate in a proof carrying code paradigm.

The property that we study here is Non Size Increasingness (NSI) as first studied by Hofmann [13]. A program is NSI if its computation does not require more memory than what is initially allocated (i.e. the total memory usage is the size of the input, plus some constant amount). This is an intensional property and this is an undecidable property.

When studying intensional properties, two different kind of approaches exist. The first one consist of restricting the syntax of programs so that any program written necessarily has the wanted property. This is in the line of the works on primitive recursive functions where the recurrence schemata is restricted to only primitive recursion. This approach gives many satisfactory results, such as the characterisations of PTIME by Cobham [10] or Bellantoni and Cook [6], the works of Leivant and Marion on tiering and predicative analysis [20] or the works of Jones on CONS-free programs [15]. On the logical side, this leads to explicit management of resources in Linear Logic [12].

All these characterisations usually have the very nice property of extensional completeness in the sense that, e.g. every polynomial time computable function can be computed by a bounded recursive function (Cobham). Unfortunately, they’re usually very poor on the intensional completeness, meaning that very few programs fit in the characterisation [11] and programmers have to rewrite their programs in a non-natural way.

So, the motto of this first family of methods can be described as leaving the proof burden to the programmer rather than to the analyser. If you can write a program with the given syntax (which, in some cases, can be a real challenge), then certain properties are guaranteed. The other family of methods will go in the other way. Let the programmer write whatever he wants but the analysis is not guaranteed to work.

Since syntax is not hampered in these methods, decidability is generally achieved by loosening the semantics during analysis. That is, one will consider more that all the executions a program can have. A trivial example of this idea would be “a program without loop uniformly terminates”. The reason we consider loops as bad is because we assume it is always possible to go through the loop infinitely many time. That is, the control of the loop is completely forgotten by this “analysis”.

A more serious example of this kind of characterisation is the Size Change Principle [17]. The set $\text{FLOW}^\omega$ that is build during the analysis contains all “well-formed call sequences”. Every execution of the program can be mapped to a well-formed call sequence but several (most) of the call sequences do not correspond to any execution of the program. Then, properties (termination) of call sequences in $\text{FLOW}^\omega$ are necessarily shared by all execution of the program.

However, the methods sometimes fail – which is normal since it’s a decidable method for partly solving an undecidable problem – because $\text{FLOW}^\omega$ does contains well formed call sequences which correspond to no execution of the program but nonetheless do not have the wanted property.

This second kind of methods can thus be described as not meddying with the programmer and let the whole proof burden lay on the analysis.

Now, what is the situation on the Non Size Increasingness side? All the existing works, either by Hofmann [13] or Aehlig and Schwichtenberg [2] or Asp-inell and Compagnoni [5] belongs to the first family of methods. In each case, resource management has to be done by the programmer via the diamond type, meaning that one has to explicitly reuse pointers that are no more needed (via the linear typing).

This work is intended to belong to the second family of methods. This means that programs do not have to reuse pointers but the analysis will discover if a reuse is possible. This has a nice consequence in the way that programmers can now freely allocate and de-allocate memory (with the diamonds, one cannot allocate and everything de-allocated is gone for good). So our analysis do not prevent malloc.

Of course, in order to have decidability back, we have to loosen semantics as mentioned above. In our case, similarly to the Size Change Principle, this is done by “rendering tests non deterministic”, that is considering that any branch of a if can be taken without looking at the actual result of the test.

And of course, there are several programs that are Non Size Increasing but won’t be analysed correctly. The set of falsely rejected programs may appear big at first, however, it is not bigger than in Hofmann’s framework since we can capture any algorithm that is writable in this model. We will discuss this further at the end of Section 5.2.

2. SOME DECIDABILITY ISSUES

In this section, we hint that intensional properties are more undecidable than extensional ones by proving this result for polynomial time computation and NSI.

Rice’s theorem [28] implies that any extensional property of Turing Machines (or programs) is either trivial or undecidable. An extensional property is one that depends only of the inputs and the output of the machines, i.e. that depends only of the function computed by the machine. A direct application of this theorem leads to the following result:

**Proposition 1.** The set of programs $p$ whose output size is bounded by their input size $(|p(x)| \leq |x| + c^{|x|})$ is not recursive.

However, the Non Size Increasingness property that we want to study is stronger. Indeed, there exists programs who need tremendous amount of memory to compute but only output a small result. Typically, any program solving a decision problem will only output either “yes” or “no”, i.e. bounded size information, but may require arbitrary large amount of memory to compute this answer.

The NSI property that we study is actually an intensional property of programs. It depends not only on the inputs and outputs but also on the way the computation is performed. Intensional properties are really properties of programs and not properties of functions. Indeed, a given function can be computed by several programs (e.g. Fibonacci’s numbers can be computed with a naive exponential time algorithm or by a dynamic programming, linear time algorithm). Intensional properties depending only on the inputs/outputs of the programs are shared by all programs computing the same function. Intensional properties are not. For example, the intensional property of “computing in polynomial time” is not shared by all the program computing Fibonacci’s numbers.

Intuitively, intensional properties seem even harder to decide that
Theorem 1. Let \( p \) be a program. The question "is \( p \) NSI?" is undecidable even if we know that \( p \) uniformly terminates.

Here, uniform termination means that the program terminates for all inputs.

Proof. Let \( q \) be a program and consider the program \( p \) that works as follows:

- \( p \) answers 1 if its input is 0.
- On input \( x \neq 0 \), \( p \) simulates \( q(0) \) for \( x \) steps.
  - If \( q(0) \) halts within \( x \) steps, then \( p \) answers 0.
  - Else, \( p \) answers \( 2^x \) (or any other large value depending on \( x \)).

Obviously, \( p \) uniformly terminates. Is it NSI?

If \( q(0) \) terminates, then it does so in \( n \) steps. The space used to compute \( p \) is bounded by \( 2^n + S_q(0) \), where \( S_q(0) \) is the space needed to compute \( q(0) \), i.e. a constant value and so \( p \) is NSI. If \( q(0) \) does not terminates, then \( p \) computes the exponential and is certainly not NSI.

So, \( p \) is NSI if and only if \( q(0) \) terminates. Since the halting problem is not decidable, so is belonging to NSI. □

Uniform termination of programs, in itself, is a non semi-recursive property. So even with an oracle powerful enough to solve (some) non semi-recursive problems, the intensional property of being NSI is still undecidable! Intensional properties are, indeed, much harder than extensional ones.

Notice that this proof can be easily adapted to show the undecidability of any complexity class (of programs). It is sufficient to change the function computed by \( p \) if \( q(0) \) does not terminates.

Remark 1. A similar proof, for the undecidability of running in polynomial time, based on Hilbert’s tenth problem [23] \( p(x) = 0 \) if some polynomial \( P \) has a root \( x \), \( 2 \times p(x) \) otherwise was presented as the Geocal ICC workshop in Feb. 2006 by Terui. This work has been done independently from a similar result presented by Marion in March 2000 at a seminar in ENS Lyon. This is kind of a folklore result but is nonetheless worth mentioning because lot of confusion is done on the subject.

The above result can be improved. Indeed, the set of programs that run in polynomial time, or which are NSI, is \( \Sigma_2 \)-complete. Recall, that a typical \( \Sigma_2 \)-complete set is the set of partial computable functions.

In order to establish the fact that NSI programs is a \( \Sigma_2 \)-complete set, we take a class \( C \) of computable functions which contains all constant functions. Assume also that there is a computable set of function codes \( C \) which enumerates all functions in \( C \). The set of linear functions \( \{ x + b \mid \forall b \in \mathbb{N} \} \) satisfies the above hypothesis. Another example is the set of polynomials or the set of affine functions \( \{ a \cdot x + b \} \).

Next, let \( \llbracket p \rrbracket \) be the function computed by the program \( p \) with respect to an acceptable enumeration of programs. We refer to Rogers’ textbook [16] for background. Say that \( T_p(x) \) is the number of steps to execute the program \( p \) on input \( x \) with respect to some universal (Turing) machine.

Now, define the set of programs whose runtime is uniformly bounded by functions in \( C \):

\[ A_T = \{ p \mid \exists x \in \mathbb{N} \forall x, T_p(x) < \lceil c \rceil(x) \} \]

Theorem 2. The set \( A_T \) is \( \Sigma_2 \)-complete.

Proof. It is clear that the statement which defines \( A_T \) is a \( \Sigma_2 \) statement.

Let \( B \) be any \( \Sigma_2 \) set defined as follows:

\[ B = \{ q \mid \forall y \forall x, R(q, y, x) \} \quad R \text{ is a computable predicate} \]

We prove that \( B \) is reducible to \( A_T \).

For this, we construct a binary predicate \( Q \) as follows. \( Q(q, t) \) tests during \( t \) steps whether there is a \( y \) with respect to some canonical ordering such that \( \forall x, R(q, y, x) \) holds. If it holds, \( Q(q, t) \) also holds. Here, the predicate \( Q \) is computable with a complete \( \Pi_1 \) set as oracle.

Using the s-m-n theorem, there is a program \( q' \) such that \( \llbracket q' \rrbracket(t) = Q(q, t) \).

1. Suppose that \( q \in B \). We know that there is an \( y \) such that \( \forall x, R(q, y, x) \). It follows that the witness \( y \) will be found by \( Q \) after \( t \) steps. Since the constant function \( \lambda z. t \) is in \( C \), we conclude that \( q' \) is in \( A_T \).

2. Conversely, suppose that \( q' \) is in \( A_T \). This means that \( Q(q', t) \) holds for some \( t \), which yields an \( y \) verifying \( \forall x, R(q, y, x) \).

Notice that we may change time by space in the above proof, which leads to the following consequence.

Corollary 1. Let \( A_S = \{ p \mid \exists x \in \mathbb{N} \forall x, S_p(x) < \lceil c \rceil(x) \} \)

where \( S_p(x) \) is the space use by \( p \) on \( x \). The set \( A_S \) is \( \Sigma_2 \)-complete.

Depending on the choice of the set of functions \( C \), this proves the \( \Sigma_2 \)-completeness of the following sets:

- Non-Size Increasing programs (for linear functions and \( A_S \)).
- PTIME (for polynomials functions and \( A_T \)).
- LOGSPACE, PSPACE,... any classical complexity class.

3. PROGRAMS

3.1 Syntax

Definition 1. A program is defined by the following grammar:

\[
\begin{align*}
\text{(Programs)} & \quad p ::= \text{lbl}_1 : i_1; \ldots ; \text{lbl}_n : i_n; \\
\text{(Instructions)} & \quad i ::= \text{r}_1, \ldots , \text{r}_i := \text{op} (\text{r}_1, \ldots , \text{r}_i) \\
& \quad \text{r} ::= \text{r}\uparrow \mid \ast \text{r} ::= \text{r}\uparrow \mid \text{r} ::= \text{newn}\mid \text{freer} \\
& \quad \text{jmp} \text{lbl}_1 \mid \text{jz} \text{r} \text{lbl}_0 \text{lbl}_1 \mid \text{end} \\
\text{(Labels)} & \quad \mathcal{L} \ni \text{lbl}_1 \text{ finite set of labels} \\
\text{(Registers)} & \quad \mathcal{R} \ni \text{r} \text{ finite set of registers} \\
\text{(Operators)} & \quad \mathcal{O} \ni \text{op} \text{ finite set of operators}
\end{align*}
\]

Each operator has a fixed arity \( k \) and co-arity \( l \) and \( n \) is an integer constant. The syntax of a program induces a function \( \text{next} : \mathcal{L} \rightarrow \mathcal{L} \) such that \( \text{next}(\text{lb}_1) = \text{lb}_{i+1} \) and a mapping \( \text{instr} : \mathcal{L} \rightarrow \mathcal{I} \) such that \( \text{instr}(\text{lb}_k) = i_k \).
Machines that we consider are close to the RAM-Machines. There is a memory device, similar to heaps on computers, and a finite number of registers. The heap consists in an unbounded number of memory cells. Each cell stores an integer. Each register also stores an integer whose value may be the address of a heap-cell.

Roughly speaking, \( *r \) denotes the value of the memory cell whose address is stored in \( r \). The instruction \( jmp \ l, b \) gives the control to \( l \) if \( r \) contains \( 0 \) or \( l \) if \( r \) contains \( 1 \). The instruction \( new \ n \) allocates \( n \) consecutive memory cells in the heap and returns the address of the first one and \( free \) frees the memory cell in the heap at the given address.

Memory allocation is done by block because we may require two given to cells have consecutive addresses (\( e.g. \) to represent lists) but freeing memory is done cell by cell (unlike, \( e.g. \), \( C \)) to avoid remembering the size of each allocated block.

**Example 1.** The following program reverses a list. A list is here represented by a set of positions, each position consists in two consecutive memory cells. The first cell contains the value of the element in the list and the second contains the address of the next position (or 0 for the end of the list). For the sake of clarity, only labels which play a special role (\( e.g. \) destination of jumps) have been mentioned in this example.

\[
\begin{align*}
\text{begin} & : \text{next} := 0; \text{jz} \ r _ 0 \ \text{end} \ \text{loop}; \\
\text{loop} & : \text{val} := *r _ 0; \text{tmp} := r _ 0 + 1; \text{free} \ r _ 0; \\
& r _ 0 := \text{tmp}; \text{free} \ \text{tmp}; \\
& r _ 1 := \text{new} 2; r _ 1 := \text{val} + + + ; r _ 1 := \text{next} r _ 1 = - ; \\
\text{next} & := r _ 1; \text{jz} \ r _ 0 \ \text{end} \ \text{loop}; \\
\text{end} & : \text{end};
\end{align*}
\]

Of course, the use of low-level data structure may imply tedious pointer management. However, we could introduce new operators acting both on registers and on the heap that can be seen as macros. For lists, we’ll need a \( \text{cons} \) operator taking a value and a list (\( i.e. \), an address in the heap) and returning a list (after allocating 2 cells) on the heap) and a \( \text{destr} \) operator taking a list and returning a value (the head) and a list (the tail) after de-allocating two cells that can be formally defined as:

- \( l := \text{cons}(a, l') \) is equivalent to \( l := \text{new} 2; l := a; l + + + ; l' = l; l' = - - ; \)
- \( a, l' := \text{destr}(l) \) is equivalent to \( a := \text{val} ; l := l + 1; l := \text{free} \ l' := \text{tmp} \; \text{free} \; \text{tmp} \);

Using these, the program thus becomes:

\[
\begin{align*}
\text{begin} & : \text{next} := 0; \text{l1b} \ ; \text{jz} \ r _ 0 \ \text{end} \ \text{loop}; \\
\text{loop} & : \text{val} \ r _ 0 := \text{destr} \ r _ 0 ; \\
& \text{l1b} _ 2 := \text{cons} \ (\text{val}, \text{next}) ; \\
& \text{l1b} _ 3 := \text{next} r _ 1; \text{l1b} _ 4 := \text{jz} \ r _ 0 \ \text{end} \ \text{loop}; \\
\text{end} & : \text{end};
\end{align*}
\]

We illustrate an execution of the program in Figure 1.

Notice that if one wants to write the reverse program within Hofmann’s or Aspinall and Compagnoni’s formalism, one cannot use \( \text{new} \) and \( \text{free} \) and has to explicitly keep the values of pointer (\( i.e. \) the diamonds) and tells when they have to be reused.

### 3.2 Semantics

The domain of the computation is \( \mathcal{V} = \mathbb{N} \), and we interpret each operator \( \circ \mathcal{O} \) by a function \( [\circ \mathcal{O}] \) of the same arity an co-arity over \( \mathcal{V} \).

An environment is a mapping \( \sigma : \mathcal{R} \rightarrow \mathcal{V} \), which associates to each register a value. We note \( (r _ i \rightarrow v) \sigma \) the environment that maps \( r _ i \) to \( v \) and \( r _ j \) to \( \sigma(r _ j) \) (\( i \neq j \)). When no ambiguity can arise, we just write \( r \) instead of \( \sigma(r) \).

A heap is a mapping \( \mu : \mathbb{N} \rightarrow \mathcal{V} \cup \{ \perp \} \), which returns a value if a heap address is allocated. Otherwise, it returns \( \perp \) when a heap address is unallocated. We note \( (n \rightarrow v) \mu \) to say that the heap is updated in such a way that \( n \rightarrow v \mu(n) = v \) and \( n \rightarrow v \mu(m) = \mu(m) \) (\( m \neq n \)).

Memory allocation is performed by some external mechanism similar to a system call. In our framework, we have a predicate \( \text{memfree}(k, n) \) which tests whether the memory cells between \( k \) and \( k + n - 1 \) are currently unallocated:

\[
\text{memfree}(k, n) = \mu(k) = \perp \ldots \perp (\mu(k + n - 1) = \perp)
\]

During computation, three kind of errors can happen. Namely, (i) accessing an unallocated memory cell (MemError), (ii) lacking free memory to perform a new instruction (MemFull) or (iii) freeing an already unallocated memory cell (FreeError).

The (MemError) rule means that there is a mechanism (either internal or external via system calls performed when memory is read) able to detect dangling pointers. This, of course, is a rather costly operation at runtime and quite hard to perform on static code. On the other hand, memory leaks are not detected.

Both these issues can be discarded if we consider that our programs are obtained by compilation of a higher level language with efficient memory management and garbage collection. In the following, we will assume that programs are safe in the sense that they never cause one of the error rules to be triggered.

**Definition 2.** A configuration is a triplet \( \theta = (\text{IP}, \mu, \sigma) \) where the instruction pointer \( \text{IP} \) is a label, \( \mu \) is a heap and \( \sigma \) is an environment. A configuration is final if it’s an error or \( \text{IP} = \text{end} \). \( \Theta \) is the set of configurations and \( \Theta_{\text{err}} \) is the set containing configurations and the errors that may happen during computation.

**Definition 3.** Programs are executed using a straightforward small-step semantics whose rules are described in Figure 2. The relation \( p \vdash \theta_0 \rightarrow \theta_2 \) means that the new configuration is \( \theta_2 \) after executing the instruction \( t = \text{instr}(\text{IP}) \) where \( \text{IP} \) is the instruction pointer of \( \theta_1 \).

An execution of a program \( p \) is a sequence of configurations computed step by step. We write \( p \vdash \theta_0 \rightarrow \ldots \rightarrow \theta_n \) if \( p \vdash \theta_i \rightarrow \theta_{i+1} \) for each \( i = 0, n - 1 \).

Programs compute functions from heaps to heaps as soon as certain conditions on the initial environment (with respect to the initial heap) are respected. The program of Example 1 reverses the list assuming that the heap is truly the encoding of a list and that \( r_0 \) initially contains the address of the first cell of the list.

### 3.3 Measuring heap Usage

In order to control space resources, we consider the number of new heap cells allocated during any execution of a program. We do not consider the number of cells of the input. So, only the “workspace” is counted like in read-only model of computation.

If we want to control the real space usage, we have to take values into account. Indeed, working with unbounded values means that one needs logarithmic space to actually store them. To constantly
We briefly describes Petri nets and reader may consult the survey of Murata [25] for more details. A Petri net $N$ is a quadruplet $(S, T, A, \omega)$ where $S$ is a set of places, $T$ is a set of transitions and $A$ is a set of arrows such that $(S, T, A)$ is a bipartite oriented graph. That is, $S$ and $T$ are disjoint and each arrow is either from $S$ to $T$ or from $T$ to $S$. An arrow between $s$ and $t$ ($s, t$) has a weight $\omega(s, t)$ ($\omega(t, s)$). As usual, places are graphically represented by circles while transitions are represented by squares.

A marking $M$ assigns to each place $s$ a natural number $M(s)$ which indicates the number of tokens in it. The pre-set of a transition $t$ is $t^* = \{ s \in S | (s, t) \in A \}$. The post-set of a transition $t$ is $t^* = \{ s \in S | (t, s) \in A \}$.

A transition $t$ is enabled at marking $M$ if and only if for any place $s$ in $t^*$, $M(s) - \omega(s, t) \geq 0$. It can then be fired thus reaching marking $M'$:

$$M'(s) = M(s) - \omega(s, t) + \omega(t, s)$$

We write $N \vdash M_0 \xrightarrow{t_1} \cdots \xrightarrow{t_n} M_n$ is a run of the Petri net.

### 4.2 Control Flow Petri Net

**Definition 6.** Let $p$ be a program, its control flow Petri net (CFPN) $cfpn(p)$ is defined as follows:

- The set of places is exactly the set $L$ of labels of $p$.
- For each instruction that is neither $jz$ nor end, there is a transition\(^1\) bearing the same name and for each $jz$ $r$ $lbl$ instruction, there are two transitions $r = 0$ and $r \neq 0$.
- For each label $lbl$ such that $instr(lbl)$ do not end, there is one arrow from $lbl$ to $instr(lbl)$ and one from $instr(lbl)$ to $next(lbl)$.

\(^1\)Formally, a transition is a pair composed of a label and the instruction name.
Figure 2: Small-steps semantics
For each label \( lbl \) such that \( \text{instr}(lbl) = \text{jmp} \ lbl' \), there is one arrow from \( lbl \) to \( \text{instr}(lbl) \) and one from \( \text{instr}(lbl) \) to \( lbl' \).

For each label \( lbl \) such that \( \text{instr}(lbl) = \text{jz} \ r \ lbl_0 \ lbl_1 \), there are the four arrows \((lbl, r = 0), (r = 0, lbl_0), (lbl, r \neq 0) \) and \((r \neq 0, lbl_1)\).

Both places and transitions are named after the label or instruction they represent. No distinction are made between a place or transition and the label or instruction as long as the context is clear. The CFPN of the reverse program is displayed on Figure 3. If we only consider the places, we obtain the usual Control Flow Graph (CFG) of the program. The CFG of the reverse program is on Figure 5.

If \( \theta = (\text{IP}, \mu, \sigma) \) is a configuration of a program \( p \), the corresponding marking \( M^\theta \) of \( \text{cfpn}(p) \) is the marking that puts one token in the place \( \text{IP} \) and none in the other places.

**Proposition 2.** Let \( p \) be a program. If \( p \models \theta_0 \xrightarrow{t_1} \ldots \xrightarrow{t_n} \theta_n \) is an execution of \( p \), then \( \text{cfpn}(p) \models M^{\theta_0} \xrightarrow{t_1} \ldots \xrightarrow{t_n} M^{\theta_n} \) is a run of \( \text{cfpn}(p) \).

### 4.3 Resource Petri Net

We now turn to represent the heap memory mechanism by a Resource Petri Net (RPN). In order to define a RPN, we add to CFPN construction described above two new places \( \text{Heap} \) and \( \text{Free} \). As previously, each program execution is mapped on a RPN run which, unlike the previous CFPN model, is resource-aware. For this, a token represents a heap cell. At the beginning of a program execution, the place \( \text{Free} \) contains the number of free cells. When a program requests \( n \) new cells, then we need to have \( n \) tokens in the place \( \text{Free} \). In this case, we put \( n \) tokens in the place \( \text{Heap} \). Otherwise, there is not enough free memory, and the run of the RPN stalls. The number of tokens in the place \( \text{Heap} \) is the number of cells which have been allocated during a program execution.

Inversely, when a \( \text{free} \ r \) instruction is executed, then one token is moved from the \( \text{Heap} \) place to the \( \text{Free} \) one. Thus we recycle discarded heap cells.

So, a RPN is a simple model which allows to simulate executions of programs and to check memory usage at the same time. The \( \text{Heap} \) place should contain as many tokens as the current size of the heap (the number of non-\( \perp \) cells). The \( \text{Free} \) place should contain as many tokens as there is free memory (this depends on the machine used, not only on the program).

**Definition 7.** Let \( p \) be a program. The **resource Petri net** \( \text{rpn}(p) \) of \( p \) is obtained by adding to \( \text{cfpn}(p) \) two places \( \text{Free} \) and \( \text{Heap} \) and four kind of arrows

- An arrow from the \( \text{Free} \) place to each \( \text{new} \ n \) transition of weight \( n \).
- An arrow from each \( \text{new} \ n \) transition to \( \text{Heap} \) place of weight \( n \).
- An arrow from each \( \text{free} \) transition to the \( \text{Free} \) place of weight \( 1 \).
- An arrow from the \( \text{Heap} \) place to each \( \text{free} \) transition of weight \( 1 \).

The above construction depends on the resource amount requested by each instruction, which may be measured by a weight:

\[
\omega(\text{new} \ n) = -n \quad \omega(\text{free} \ r) = 1 \\
\omega(\text{instr}) = 0 \quad \text{for any other instruction}
\]

The construction of RPN is based on the weight of each instruction. We generalise RPN to operators by assigning a weight, which is defined as the sum of the weights of the instructions that compose them. In this way, we have \( \omega(\text{cons}) = -2 \) and \( \omega(\text{destr}) = 2 \). We add an edge from each transition labelled by an instruction \( \text{instr} \) of non-zero weight to \( \text{Heap} \) and \( \text{Free} \) places. The weight exchange amounts to \( \text{heap} \) amount.
of this edge is the absolute value of $\omega(\text{instr})$ and the direction of it is given by the sign of the weight. Figure 4 illustrates this by showing the RPN of the reverse program.

Tokens in the Heap and Free places correspond to Hofmann’s diamonds (\diamond), that is a fixed amount of space in the heap. Each token represents a diamond, either used by (one of the variable of) the program if in the Heap place or available if in the Free place. Memory allocation (such as cons), needs diamonds in order to be performed while memory de-allocation (such as dest) releases diamonds to be used later.

**Lemma 1.** In each run of a RPN, the total number of tokens in the Free and Heap places is constant.

To each configuration $\theta = (\text{ip}, \mu, \sigma)$ of $p$, we associate a marking $M^\theta$ of $\text{rpm}(p)$:

- $M^\theta(\text{Heap}) = |\theta|
- M^\theta(\text{Free}) = i
- M^\theta(\text{ip}) = 1
- M^\theta(1b1) = 0$ otherwise

**Lemma 2.** Let $p$ be a program, $\theta$ be a configuration such that $p \vdash \theta \rightarrow \theta'$ and $i$ be an integer such that $i + \omega(t) \geq 0$. Then, $\text{rpm}(p) \vdash M^\theta \xrightarrow{t} M^{\theta'}$.

**Proof.** Consider that $t = \text{new} n$. We can remove $n$ tokens from Free because $i + \omega(t) = i - n \geq 0$. So, we can fire the new $n$ transitions.

Next, consider $t = \text{free} r$. The place Heap contains $|\theta|$ tokens and by hypothesis $p \vdash \theta \rightarrow \theta'$, so we know that $|\theta| > 0$. Therefore, we can remove one token from the place Heap and fire the transition.

**Proposition 3.** Let $p$ be a program and let $N$ be its RPN. Assume that $p \vdash \theta_0 \xrightarrow{t_1} \ldots \xrightarrow{t_n} \theta_n$. Let $i_0$ be a natural number such that $\forall k \leq n$, $i_0 + |\theta_k| - |\theta_{k-1}| \geq 0$. Then, there is a run $N \vdash M^\theta \xrightarrow{t_1} \ldots \xrightarrow{t_n} M^n$ which satisfies $i_k = i_0 + |\theta_0| - |\theta_k|$ for each $k = 0, \ldots, n$.

5. **Characterization of Heap Complexity**

The condition $|\theta| - \omega(t) \geq 0$ is not necessarily here.

5.1 Heap complexity and resource Petri nets

**Theorem 3.** Let $f : \mathbb{N} \rightarrow \mathbb{N}$ be a total function. Let $p$ be a program.

- $p \in \text{Heap}(f(x))$ if and only if for each initial configuration $\theta_0$ and each execution $p \vdash \theta_0 \xrightarrow{t_1} \ldots \xrightarrow{t_n} \theta_n$, we have $\text{rpm}(p) \vdash M^\theta \xrightarrow{t_1} \ldots \xrightarrow{t_n} M^n$ for some $i_1, \ldots, i_n$.

The fact that the run exists means that $f(|\theta_0|)$ is a sufficiently large number of tokens to put in Free to avoid any deadlock.

**Proof.** If for each initial configuration $\theta_0$ and each execution $p \vdash \theta_0 \xrightarrow{t_1} \ldots \xrightarrow{t_n} \theta_n$ there is a corresponding run

\[ \text{rpm}(p) \vdash M^\theta \xrightarrow{t_1} \ldots \xrightarrow{t_n} M^n \]

then for any $k$,

\[ |\theta_k| = M^\theta_{f(\theta_0)} \leq M^\theta_{f(\theta_0)}(\text{Heap}) + M^\theta_{f(\theta_0)}(\text{Free}) \]

Conversely, deadlocks in the run may come from three sources: the label places, the Heap place or the Free place. The label places cannot cause deadlock due to Proposition 2. The Heap place may only cause deadlock if a free transition is fired but the free place is empty. However, this would correspond to executing a free instruction on an empty heap, thus triggering the (FreeError) rule.

The Free place can cause deadlock if a new transition has to be fired but Free contains less than $n$ tokens. However, Prop. 3 claims that if we start from marking $M^\theta_0$ such that for all $1 \leq k \leq n$, $i_0 + |\theta_0| - |\theta_k| \geq 0$ there will be no deadlock. Since $p \in \text{Heap}(f)$, $|\theta_k| \leq f(|\theta_0|) + |\theta_0|$ and thus $i_0 + |\theta_0| - |\theta_k| \geq 0$. So by starting from $M^\theta_{f(\theta_0)}$, there will be no deadlock.

Notice that the (implicit) quantifier on the Petri net runs is existential and not universal. To each execution of the program corresponds a run, but some runs correspond to no execution of the program (because the Petri net does not mimic the semantics tightly, especially tests). This means that unless one can decide which run corresponds to an execution, analysis of the Petri net will not capture every program (because in some cases, the “invalid” runs do not correspond to an execution). This is a necessarily lose if we want our criterion to be decidable, as mentioned in the discussion at the end of Section 1.2.

**Corollary 2.** $p \in \text{NSI}$ if and only if there exists a constant $\alpha$ such that for each initial configuration $\theta_0$ and each execution $p \vdash \theta_0 \xrightarrow{t_1} \ldots \xrightarrow{t_n} \theta_n$, we have $\text{rpm}(p) \vdash M^\theta \xrightarrow{t_1} \ldots \xrightarrow{t_n} M^n$ where $i_k = |\theta_0| - |\theta_k| + \alpha - |\theta_0|$. $p \in \text{LinHEAP}$ if and only if there exists $\alpha$ and $\beta$ such that for each initial configuration $\theta_0$ and each execution $p \vdash \theta_0 \xrightarrow{t_1} \ldots \xrightarrow{t_n} \theta_n$, we have $\text{rpm}(p) \vdash M^\theta \xrightarrow{t_1} \ldots \xrightarrow{t_n} M^n$ where $i_k = (\beta + 1)|\theta_0| + \alpha - |\theta_k|$.

5.2 Detection of non-size increasing programs

**Theorem 4.** There is a polynomial time procedure to detect if a program is NSI.

**Proof.** Let $p$ be a program. We construct a directed graph $G$ from $\text{rpm}(p)$ that we name the resource control graph of $p$ as follows. Nodes are label place. There is an edge from $1b1$ to $1b1'$.\footnote{The condition $|\theta| - \omega(t) \geq 0$ is not necessarily here.}
if there is a transition from $1b1$ to $1b1'$ in $rpn(p)$. The weight assigned to an edge is the weight of the corresponding transition, that is the weight $\omega$($instr(1b1)$). In other words, the resource control graph is the control flow graph where each arrow as the same weight as the corresponding instruction.

If the resource control graph contains no cycle of strictly negative weight, then the program is in NSI. This criterion can be decided in polynomial time via Bellman-Ford’s algorithm.

Indeed, any path in the resource control graph correspond to a run in the RPN. The weight of the path being exactly the number of token removed from (if negative) the $Free$ place at the end of the run. If there is no cycle of negative weight, then the minimum weight of all paths, $\alpha$, is well defined. So, no run can remove more than $\alpha$ token from $Free$. Hence, each execution corresponds to a run that can be performed with $max(-\alpha, 0)$ token initially in $Free$ and $p$ is NSI.

The above demonstration provides also the number of cells which are necessary to perform any computation. Therefore, we may be able to set up a proof procedure, like in proof carrying code paradigm, in polynomial time to calculate and certify that a program uses a fixed amount of heap.

Hofmann has shown that Non Size Increasing programs can be compiled into C without using malloc [13]. That is, in our case, we can write an equivalent program without the $new$ instruction, or, more precisely, starting with a single $new \alpha$ instruction during the initialization process. Amadio already has a $PTIME$ bound to detect NSI programs in terms of quasi-interpretation [3]. And linear space usage can also be characterized by quasi-interpretations [8].

Lastly, notice that a cycle of positive weight may cause damages by releasing potentially non-allocated heap cells. We do not control this kind of troubles here.

Example 2. The resource graph of the reverse program is given in Figure 6. Since there is no cycle of negative weight, so the program is NSI. Moreover, the weight of any path starting from $begin$ is either 0 or +2, so choosing $\alpha = 0$ is enough, meaning that the program doesn’t use more memory that initially allocated.

Of course, the above method does not capture all non size increasing programs. For example, if in a loop like (written in a C-like syntax for readability):

\[
\text{for}(i = 1, i \leq r, i ++)\{ r' := \text{new} 1; \}
\]

the method fails. However, we can roughly distinguish three cases for this kind of loops.

- $r$ is an immediate value, that is the loop actually is, say,

\[
\text{for}(i = 1, i \leq 10, i ++)\{ r' := \text{new} 1; \}
\]

In this case, the allocation can be performed before the loop:

\[
r := \text{new} 10; \text{for}(i = 1, i \leq 10, i ++)\{ r' := r + i; \}
\]

This allows to have the same effect but put the allocation out of the loop.

- $r$ is a value stored in a register which happen to be a constant.

In this case, constant propagation allows to detect at compile time that $r$ can be replaced by an immediate value.

- $r$ is the value of a register which depends on the inputs. In this case, the program is probably not NSI because it perform a number of allocations dependant on the inputs.

Both the first two transformations can be performed automatically at compile time, just before the analysis is performed. Moreover, construction of the CFG and RCG can help find potentially harmful loops (those with a positive weight) and thus help the transformation of these loops. Of course, programs where constant propagation fails or programs with loops of the third kind will not be detected as NSI. Hopefully, there are few of them among the commonly used algorithms...

It is also important to notice that any algorithm that fits into Hofmann’s framework can be detected as NSI by our method. Indeed, Hofmann provides a way to compile NSI programs into malloc-free programs and our method obviously detect malloc-free programs as NSI (since they do not allocate memory, the RCG has no edge of negative weight and cannot have cycle of negative weight).
But this value might well be unrelated to the size of the heap (that is the number of allocated cells) just because the allocated cells might of each process and the real memory. The compute NSI-programs in logarithmic space as soon as the values step of the computation.

In order to do this, we must be careful about heap management. Indeed, pointers (that is registers containing addresses in the heap) might have a value as big as the address of any allocated heap-cell. But this value might well be unrelated to the size of the heap (that is the number of allocated cells) just because the allocated cells might be non-contiguous.

So we need to somehow force the heap to be as contiguous as possible. The initial heap must respect these conditions and the memfree predicate also. In real computer, these conditions may be ensured by having a set of virtual memory addresses to access the heap and those virtual addresses are translated into real memory addresses by the system via a map between the virtual and the real memory. The memfree system call has access to these maps and in addition to allocating some real memory it extends the map of the process.

Keeping in mind the fact that heap is contiguous, we now can compute NSI-programs in logarithmic space as soon as the values stored in registers is bound by the (initial) size of the heap at each step of the computation.

### 6.2 Logarithmic Heap Space

Usual definitions of logarithmic space computations often present it by saying that we are allowing to have a number of pointers into the initial data but not to alter it. In our case, registers which only store addresses in the heap are clearly pointers while some others (such as the val in the reverse program) are not. So if we have a NSI-program and we can control the size (that is the value) of registers, then it will be possible to compute it in logarithmic space.

Moreover, this criterion is polynomial time computable. One of the main advantages of our approach compared with the other ones that we have cited in the text, is that we are dealing with a low-level programming language without type annotations. Aspinall and Compagnoni [5] derived a similar characterisation for assembly language but still by using the type discipline originally introduced by Hofmann [14]. We believe that the representation in term of Resources Petri Nets shed some light on Hofmann’s diamond concept. In particular, we do not need any more the linearity conditions introduced in these works. Moreover, we do not forbid dynamic heap allocation.

More generally, our method shows that it is quite easy to control the size of any buffer. In the same way that we control the size of the heap via the new and free instructions, we could similarly control depth of a data stack (via push and pop), of a control stack (via call and return), or the value of a counter (via increment and decrement). We may also deal with several kinds of tokens, which represent different amount of memory. A challenging direction is to compare our (more) theoretical method with the exciting approaches of [27, 9]. Another interesting direction would be to incorporate our methods into the Hoare or Dynamic logic paradigm. For this, we could follow the recent works of Leivant [18, 19].

Finally, we think that our method can be extended in order to control the size of each variable of a program independently. We aim at having a criterion for termination similar to the Size Change Principle. We have started to do so on simple basis in [24, 21] and a bit more elaborated in [22]. We intend to go further in this direction.

### 6.3 Lack of Resources

Since it is not possible to free more memory that what is allocated, no execution can free an unbounded number of cells. So, any potentially infinite execution whose corresponding run in the RPN (resp. path in the RCG) removes infinitely many tokens from Heap (resp. has weight \(-\infty\)) will stop once the heap is empty and does not correspond to a real infinite execution.

Similarly, on any real computer, the available memory is finite and bounded. So, any potentially infinite execution whose corresponding run in the RPN (resp. path in the RCG) removes infinitely many tokens from Free (resp. has weight \(-\infty\)) will stop once all the memory has been allocated and does not correspond to any real infinite execution. This leads to a simple criterion to detect termination by lack of resources.

**Proposition 4.** Let \(p\) be a program and \(G\) be its RCG. If all the infinite paths of \(G\) have infinite weight \((\pm \infty)\), then all executions of the program terminate by lack of resources.

This approach is somewhat similar to the Size Change Principle (SCP) [17] in the sense that we check if a given finite resource (in our case memory) is exhausted during computation. However, SCP is much more efficient that our simple criterion since it takes into account the values of the variables and not only the global amount of memory. Typically, this lack of resources criterion is unable to detect termination of the reverse program while SCP detects it by checking the length of the list.

### 7. Conclusion

The main result that we have presented is a (incomplete) criterion to determine if a low-level program runs within a fixed amount of heap memory, and to calculate an upper bound on this heap size.

Moreover, this decision procedure does not capture all linear heap programs but again use of constant propagation may help.

### 8. References


