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# Evolving Boolean Functions with Conjunctions and Disjunctions via Genetic Programming

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## ABSTRACT

Recently it has been proved that simple GP systems can efficiently evolve the conjunction of  $n$  variables if they are equipped with the minimal required components. In this paper, we make a considerable step forward by analysing the behaviour and performance of the GP system for evolving a Boolean function with unknown components, i.e., the function may consist of both conjunctions and disjunctions. We rigorously prove that if the target function is the conjunction of  $n$  variables, then the RLS-GP using the complete truth table to evaluate program quality evolves the exact target function in  $O(\ell n \log^2 n)$  iterations in expectation, where  $\ell \geq n$  is a limit on the size of any accepted tree. When, as in realistic applications, only a polynomial sample of possible inputs is used to evaluate solution quality, we show how RLS-GP can evolve a conjunction with any polynomially small generalisation error with probability  $1 - O(\log^2(n)/n)$ . To produce our results we introduce a super-multiplicative drift theorem that gives significantly stronger runtime bounds when the expected progress is only slightly super-linear in the distance from the optimum.

## CCS CONCEPTS

•Theory of computation → Genetic programming;

## KEYWORDS

Theory, Genetic programming, Running time analysis.

## 1 INTRODUCTION

Genetic Programming (GP) uses principles of Darwinian evolution to evolve computer programs with some desired functionality. The most popular and well-known GP approach, pioneered by Koza [11], represents programs using syntax trees. It uses genetic algorithm inspired variation operators to search through the space of programs that may be generated with the available components, and principles of natural selection to favour the ones which exhibit better behaviour on a wide variety of possible inputs. In this setting, program quality is evaluated by executing the constructed programs and comparing their output to the desired one.

Despite the many examples of successful applications of GP (see e.g. [1, 12, 15]), there is only a limited rigorous understanding of its behaviour and performance. While theoretical analyses exist, the available results have considered simplified GP systems, namely the RLS-GP and (1+1) GP algorithms, which evolve a program by applying a simple tree-based mutation operator called HVL-Prime to a single individual at a time for the evolution of non-executable tree structures [6, 7, 10], hence with no input/output behaviours.

Only recently, it has been proven that Boolean conjunctions of  $n$  variables can be evolved by RLS-GP [17] and (1+1) GP [14] algorithms in an expected polynomial number of iterations. The evolved conjunctions are exact when the complete truth table (i.e., the set of all  $2^n$  possible inputs) is used to evaluate solution quality, and generalise well when fitness is, more realistically, evaluated by sampling a polynomial number of inputs uniformly at random from the complete truth table in each iteration (i.e. employing Dynamic Subset Selection [8] to limit the total computational effort required to be polynomial with respect to the problem size).

While the mentioned results are promising, the considered GP systems were considerably different to those used in practice. In particular, they were required to evolve a simple arity- $n$  Boolean conjunction from only its basic components (i.e. only the AND binary Boolean operator, and the inputs necessary for the problem). However in realistic applications, GP systems have access to a wider range of components than strictly necessary, because the required set of components is not necessarily known in advance. Ideally, the system should be equipped with a complete set of operators (i.e., a set from which any Boolean function may be constructed).

In this paper, we make a considerable step forward by analysing the behaviour and performance of RLS-GP for evolving an unknown Boolean function. More precisely, while the target function we consider is still  $\text{AND}_n$ , the conjunction of  $n$  variables, the GP system has access to both the binary conjunction (i.e., AND) and disjunction operators (i.e., OR). Using  $\text{AND}_n$  as the target function simplifies our understanding of the quality of candidate solutions that mix conjunction and disjunction operators.

This more complex problem setting induces us to introduce more sophisticated features into the RLS-GP system than those necessary to evolve conjunctions using the AND operator alone, thus making the GP system more similar to realistic applications. Since the presence of disjunctions in the current solution may reduce the effectiveness of the mutation operator at producing programs with better behaviour, we introduce a limit on the size of the syntax tree. This allows us to avoid issues due to bloat (a common problem for GP systems, where the size of the solution is allowed to increase without a corresponding increase in solution quality [11, 20]). While alternative bloat control measures, such as lexicographic parsimony pressure [16], would prevent RLS-GP from adding any unnecessary disjunctions entirely, a limit on the tree size is likely required to avoid pathological cases for more sophisticated insertion operators such as that of the (1+1) GP, which would be able to accept disjunctions if the mutation operator simultaneously improves the solution in some other fashion.

With the limit on the tree size in place, our theoretical analysis reveals that the HVL-Prime mutation operator used in previous

work [7, 14], which either inserts, substitutes or deletes one node of the tree, may get stuck on local optima. Hence, the expected runtime of RLS-GP with the traditional HVL-Prime operator has infinite expected runtime. To this end we introduce a mutation mechanism closer to the most commonly used subtree mutation [11, 20], specifically allowing deletion to remove entire subtrees in one operation, rather than limiting it to only a single leaf and its immediate parent.

We show that RLS-GP with the above modifications is able to cope efficiently with the extended function set. In particular we prove that using the complete truth table to evaluate program quality, and rejecting any tree with more than  $\ell = (1 + c)n$  (where  $c > 0$  is a constant) leaf nodes, it evolves the exact target function in  $O(\ell n \log^2 n)$  iterations in expectation. While using the complete truth table to evaluate program quality requires exponential time, we consider this setting for two main reasons: first, this setting represents the best-case model of the GP system’s behaviour (i.e. a system unable to find the optimal solution when given access to a reliable fitness function is unlikely to be able to perform well with a noisy one); and second, the deterministic fitness values somewhat simplify the behaviour of the algorithm and hence our analysis.

Afterwards we consider more realistic training sets of polynomial size sampled in each iteration uniformly at random from the complete truth table. In practice some information about the function class to be evolved may be used to decide which inputs to use in the training set. For instance, if the target function was known to be the conjunction of  $n$  variables, then a compact training set of linear size would suffice to evolve the exact solution efficiently [14]. However, we assume that the target function is an unknown arbitrary function composed of conjunctions and disjunctions of  $n$  variables. Our aim is to estimate the quality of the solution produced by the RLS-GP in this setting.

We show that with probability  $1 - O(\log^2(n)/n)$  RLS-GP is able to construct and return a conjunction with a polynomially small generalisation error in a logarithmic number of iterations. Hence, if multiple runs of the GP are performed as in practice, a solution that generalises well is generated with probability converging quickly to 1 with the number of runs.

To achieve our results, we introduce a super-multiplicative drift theorem that makes use of a stronger drift than the linear one required by the traditional multiplicative drift theorem [5]. This new contribution to the portfolio of methodologies for the analysis of randomised search heuristics [13, 19] allows for the achievement of drastically smaller bounds on the expected runtime in the presence of a strong multiplicative drift.

We complement our theoretical results with an empirical investigation that, on one hand, confirms our theoretical intuition that leaf-only deletion may get stuck on local optima if a limit on the tree size is imposed for bloat control reasons. On the other hand, while the experiments indicate that the algorithm would evolve the solution more quickly without a limit on the tree size, the size limit reduces the amount of expected undesired binary disjunction operators in the final solution.

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**Algorithm 1** The RLS-GP algorithm with a tree size limit  $\ell$ .

---

```

1: Initialise an empty tree  $X$ 
2: for  $t \leftarrow 1, 2, \dots$  do
3:    $X' \leftarrow \text{HVL-Prime}(X)$ 
4:   if  $\text{LeafCount}(X') \leq \ell$  and  $f(X') \leq f(X)$  then
5:      $X \leftarrow X'$ 

```

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## 2 PRELIMINARIES

In this work, we will analyse the performance of the simple RLS-GP algorithm on the  $\text{AND}_n$  problem: evolving a conjunction of all  $n$  input variables while using  $F = \{\text{AND}, \text{OR}\}$  binary functions and  $L = \{x_1, \dots, x_n\}$  input variables. When program quality is evaluated using the complete truth table, the fitness function  $f(X)$  counts the number of truth-value assignments on which the candidate solution  $X$  differs from the target function  $\hat{h}(x) = \text{AND}_n = x_1 \wedge \dots \wedge x_n$ . From [14], we repeat the observation that a conjunction of  $a$  distinct variables differs from  $\text{AND}_n$  on  $2^{n-a} - 1$  rows of the complete truth table.

We will analyse the performance of the RLS-GP algorithm, which repeatedly chooses the best between its current solution and an offspring generated by applying the HVL-Prime mutation operator, which with equal probability inserts, deletes, or substitutes a leaf node in the current solution [7]. We observe that the presence of disjunctions in the current solution may lead to bloat issues: each OR increases the minimum number of leaf nodes required to represent the exact conjunction (up to a factor of at most 2, depending on its position within the tree), can be difficult for HVL-Prime to remove (as its deletion sub-operation only removes a single leaf node and its immediate ancestor), and may additionally slow the progress toward the optimum (as insertions under an OR have a diminished effect on the overall solution semantics). To counteract this, we add a simple bloat control mechanism to RLS-GP, making it reject trees which contain more than  $\ell$  leaf nodes, as described in Algorithm 1.

With the tree size limit in place, applying the original HVL-Prime mutation operator [7] may cause RLS-GP with the limit  $\ell$  to get stuck on a local optimum.

**THEOREM 2.1.** *The expected optimisation time of RLS-GP with leaf-only deletion and substitution sub-operations of HVL-Prime, and any  $\ell > 0$  on  $\text{AND}_n$  with  $F = \{\text{AND}, \text{OR}\}$  is infinite.*

**PROOF.** It is possible for RLS-GP to construct trees which cannot be further improved by local mutations. One example of this is a tree constructed by initially creating a disjunction of  $\ell/2$   $x_1$  leaf nodes, and then transforming each  $x_1$  leaf into an  $x_1 \wedge x_2$  subtree. No leaf node in the final tree can be deleted or substituted without decreasing fitness, and no insertion will be accepted due to the tree size limit, rendering RLS-GP unable to reach the optimum. As this tree can be constructed with non-zero probability, the expected time to construct the optimal solution is infinite by the law of total expectation.  $\square$

To avoid this issue, we modify the deletion operation of HVL-Prime to allow deletion of subtrees as described in Algorithm 2.

We use the term *sampled error* to refer to the fitness value of a particular solution in a particular iteration, and *generalisation error*

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**Algorithm 2** HVL-Prime with subtree deletion on tree  $X$ .

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- 1: Choose  $op \in \{\text{INS}, \text{DEL}, \text{SUB}\}$ ,  $l \in L$ ,  $f \in F$  uniformly at random
  - 2: **if**  $X$  is an empty tree **then**
  - 3:     Set  $l$  to be the root of  $X$ .
  - 4: **else if**  $op = \text{INS}$  **then**
  - 5:     Choose a node  $x \in X$  uniformly at random
  - 6:     Replace  $x$  with  $f$ , setting the children of  $f$  to be  $x$  and  $l$ , order chosen u.a.r.
  - 7: **else if**  $op = \text{DEL}$  **then**                      $\triangleright$  modified (subtree) deletion
  - 8:     Choose a node  $x \in X$  uniformly at random
  - 9:     Replace  $x$ 's parent in  $X$  with  $x$ 's sibling in  $X$
  - 10: **else if**  $op = \text{SUB}$  **then**
  - 11:     Choose a leaf node  $x \in X$  uniformly at random
  - 12:     Replace  $x$  with  $l$ .
  - 13: **return** the modified tree  $X$
- 

to refer to the probability that a particular solution is wrong on an input chosen uniformly at random from the set of all  $2^n$  possible inputs. When program quality is evaluated using the complete truth table, the sampled error of a solution is always exactly  $2^n$  times its generalisation error. When the complete truth table is used, the goal of the GP system is to construct a solution that is semantically equivalent to the target function i.e., achieve a sampled (and generalisation) error of 0.

As it is computationally infeasible to evaluate all  $2^n$  possible inputs for larger values of  $n$ , we also analyse the behaviour of RLS-GP when evaluating solution quality based on  $s \in \text{poly}(n)$  inputs chosen uniformly at random from the set of all possible inputs. A fresh set of  $s$  inputs is chosen in each iteration, and  $f(X)$ , or the *sampled error*, then refers to the number of inputs, among the chosen  $s$ , on which  $X$  differs from the target function. The sampled error is thus a random variable, and its expectation is exactly  $s$  times the generalisation error of the solution. We bound the probability of the sampled error deviating from its expectation in Lemma 2.2 below. When a polynomial training set is used to evaluate program quality, the goal of the GP system is to construct a solution with a low generalisation error. On  $\text{AND}_n$ , and most other non-trivial problems, we do not expect the GP systems to reach a generalisation error of 0 while  $s$  remains polynomial with respect to the problem size, unless the problem's fitness landscape is well understood and a problem-specific training set is used. We assume that this is not the case, and that the aim is to find a solution that has a polynomially small generalisation error.

LEMMA 2.2. *Let  $s \in \text{poly}(n)$  be the number of inputs sampled by the GP system,  $F$  be the generalisation error of a solution, and  $X$  be a random variable denoting the sampled error of that solution. Then, for any  $c$  that is at least a positive constant,*

$$|Fs - X| \leq \max\{c \lg n, Fs\}$$

with probability at least  $1 - n^{-\Omega(c)}$ .

PROOF.  $X$  is a sum of  $s$  Bernoulli variables, each with a probability  $F$  of assuming the value 1 (and 0 otherwise), and hence  $E[X] = Fs$ . As both  $X$  and  $Fs$  are non-negative,  $Fs - X \leq Fs$ , and

we focus solely on the case where  $X$  significantly exceeds its expectation, the probability of which can be bounded by applying a Chernoff bound.

Suppose that  $E[X] \geq (c/2) \lg n$ ; then,  $\Pr[X \geq (1+1)E[X]] \leq e^{-E[X]/3} \leq n^{-\Omega(c)}$ ; and hence  $|Fs - X| < Fs$ , with probability at least  $1 - n^{-\Omega(c)}$ . Otherwise, we upper bound  $E[X] \leq \mu^+ = (c/2) \lg n$ , and apply a Chernoff bound using  $\mu^+$  [3, Theorem 66], obtaining  $\Pr[X \geq (1+1)\mu^+] \leq e^{-\mu^+/3} = n^{-\Omega(c)}$ ; and hence  $|Fs - X| \leq X \leq c \lg n$  with probability at least  $1 - n^{-\Omega(c)}$ .  $\square$

Finally, we use the following notation throughout the paper:  $\mathbb{N} := \{0, 1, 2, \dots\}$ ,  $\lg(n)$  and  $\ln(e)$  denoting the base 2 and the natural logarithms of  $n$ , while  $\log n$  is used in asymptotic bounds.

### 3 COMPLETE TRUTH TABLE

In this section, we will present a runtime analysis of the RLS-GP algorithm with subtree deletion (i.e., Algorithm 1) on the  $\text{AND}_n$  problem, using the complete truth table to evaluate solution quality, i.e. executing each constructed program on all  $2^n$  possible inputs.

THEOREM 3.1. *The expected runtime of RLS-GP with  $\ell \geq n$  on  $\text{AND}_n$  is  $E[T] = \Omega(n \log n)$ .*

PROOF. No tree which does not contain all  $n$  distinct variables can be equivalent to the  $\text{AND}_n$  function. By a standard coupon collector argument,  $\Omega(n \log n)$  insertion or substitution operations are required to insert all  $n$  distinct variables into the tree.  $\square$

The following drift theorem deals with the situation that the expected progress when in distance  $d$  from the target is of order  $\Omega(d \log d)$ . This assumption is slightly stronger than the linear, that is,  $\Omega(d)$ , progress assumed in the multiplicative drift theorem. Despite this apparently small difference, the resulting bounds for the expected time to reach the target differ drastically. For an initial distance of  $d_0$ , they are, roughly speaking,  $O(\log d_0)$  for the multiplicative drift situation and  $O(\log \log d_0)$  for our super-multiplicative drift.

THEOREM 3.2 (SUPER-MULTIPLICATIVE DRIFT THEOREM). *Let  $\gamma > 1$  and  $\delta > 0$ . Let  $X_0, X_1, \dots$  be random variables taking values in  $\Omega = \{0\} \cup [1, \infty)$ . Assume that for all  $t \in \mathbb{N}$  and all  $x \in \Omega \setminus \{0\}$  such that  $\Pr[X_t = x] > 0$  we have*

$$E[X_t - X_{t+1} \mid X_t = x] \geq (\log_\gamma(x) + 1)\delta x. \quad (1)$$

Then the first hitting time  $T = \min\{t \in \mathbb{N} \mid X_t = 0\}$  of zero satisfies

$$E[T \mid X_0] \leq \frac{3}{\delta} + \frac{2(2 + \log_2 \log_\gamma \max\{\gamma, X_0\}) \ln \gamma}{\delta}.$$

PROOF. For all  $k \in \mathbb{N}_{\geq 1}$ , let  $T_k := \min\{t \in \mathbb{N} \mid X_t < \gamma^{2^{k-1}}\}$ . We first show that

$$E[T_k - T_{k+1}] \leq \frac{1 + 2^k \ln \gamma}{(2^{k-1} + 1)\delta}$$

holds for all  $k \geq 1$ . To this aim, we regard the process  $Y_t$  defined for all  $t \in \mathbb{N}$  by  $Y_t = X_t$  if  $t \leq T_k - 1$  and  $Y_t = 0$  otherwise. By definition,  $T_k^Y := \min\{t \in \mathbb{N} \mid Y_t < \gamma^{2^{k-1}}\}$  satisfies  $T_k^Y = T_k$ . The process  $(Y_t)$  satisfies the multiplicative drift condition

$$E[Y_t - Y_{t+1} \mid Y_t] \geq (2^{k-1} + 1)\delta Y_t.$$

This follows from treating separately the trivial case  $Y_t = 0$  and the more interesting case  $Y_t \geq \gamma^{2^{k-1}}$  and exploiting  $Y_{t+1} \leq X_{t+1}$ ,  $Y_t = X_t$ , and (1) in the latter case.

Let  $T^Y := \min\{t \in \mathbb{N} \mid Y_t = 0\}$ . Since  $T^Y = T_k^Y = T_k$  and since  $Y_t \leq \gamma^{2^k}$  for all  $t \geq T_{k+1}$ , the multiplicative drift theorem [5] yields  $E[T_k - T_{k+1}] = E[T^Y - T_{k+1}^Y] \leq \frac{1 + \ln \gamma^{2^k}}{(2^{k-1} + 1)\delta} = \frac{1 + 2^k \ln \gamma}{(2^{k-1} + 1)\delta}$ .

By a simple application of the multiplicative drift theorem, we also observe that  $E[T - T_1] \leq \frac{1 + \ln \gamma}{\delta}$ .

In the following, we condition on the initial value  $X_0$ . Assume that  $X_0 \in [\gamma^{2^{k-1}}, \gamma^{2^k})$  for some  $k \in \mathbb{N}_{\geq 1}$ . Then  $T_{k+1} = 0$  and thus  $T = \sum_{i=1}^k (T_i - T_{i+1}) + (T - T_1)$ . We compute

$$\begin{aligned} E[T] &= \sum_{i=1}^k E[T_i - T_{i+1}] + E[T - T_1] \leq \sum_{i=1}^k \frac{1 + 2^i \ln \gamma}{(2^{i-1} + 1)\delta} + \frac{1 + \ln \gamma}{\delta} \\ &\leq \frac{3}{\delta} + \frac{2(k+1) \ln \gamma}{\delta} \leq \frac{3}{\delta} + \frac{2(2 + \log_2 \log_\gamma X_0) \ln \gamma}{\delta}. \end{aligned}$$

For  $X_0 < \gamma$ , we have in an analogous way  $E[T] \leq \frac{1 + \ln(X_0)}{\delta} \leq \frac{1 + \ln \gamma}{\delta}$ . This proves the claim.  $\square$

The proof of the above theorem estimates the super-multiplicative drift by piece-wise multiplicative drifts. We preferred this proof method because of its simplicity and because it could, by using the multiplicative drift theorem with tail-bounds [4], also lead to tail-bounds for super-multiplicative drift as well (we do not elaborate on this as we do not need tail bounds). An alternative approach which would improve the time bound by a constant factor (again a feature we are not interested in here) would be to use variable drift [9, 18].

We use the super-multiplicative drift theorem to prove our upper bound for the runtime of RLS-GP on the  $\text{AND}_n$  function. We start by bounding the time spent in iterations in which the tree is not full, that is, it has not reached the size limit of having  $\ell$  leaf nodes.

**LEMMA 3.3.** *Consider a run of RLS-GP on  $\text{AND}_n$ , using a tree size limit of  $\ell \geq n$ . Let  $T$  be the number of iterations before the optimum is found, and  $T_0 \leq T$  be the number of these iterations in which the parent individual is not a full tree. Then,  $E[T_0] = O(\ell n \log^2 n)$ .*

**PROOF.** To bound  $E[T_0]$ , we will apply Theorem 3.2 using solution fitness as the potential function, and considering only the iterations in which the tree is not full. While the tree is full, we instead rely on the elitism of the RLS-GP algorithm to not accept mutations which increase the potential function value (i.e., offspring with a worse fitness value). Thus, the  $T_0$  iterations in which the tree is not full need not be contiguous.

In an iteration starting with a tree containing less than  $\ell$  leaf nodes, it is possible to insert a new leaf node  $x_i$  with an  $\text{AND}$  parent anchored at the root of the tree. We call such an operation a root-and. The probability that in one iteration a root-and with a fixed variable  $x_i$  is performed, is at least  $\frac{1}{3} \cdot \frac{1}{2} \cdot \frac{1}{2\ell} \cdot \frac{1}{n} = \frac{1}{12\ell n}$ .

We compute the expected fitness gain caused by such modifications. Because the fitness never worsens, it suffices to regard certain operations that improve the fitness. Recall further that the fitness is just the number of assignments to the variables  $x_1, \dots, x_n$  such that the tree evaluates differently from  $\text{AND}_n$  ("contradicting assignments").

Let  $x_1, \dots, x_n$  be such an assignment. This implies that not all  $x_i$  are true, because any tree generated by RLS-GP evaluates correctly to true for the all-true assignment. Assume that exactly  $k \geq 1$  of the variables  $x_1, \dots, x_n$  are false, but that our tree solution evaluates to true. Then there are exactly  $k$  variables such that a root-and with one of them would make this assignment evaluate to false (and thus improve the fitness since this assignment is not contradicting anymore). The probability for such a mutation is at least  $\frac{k}{12\ell n}$ .

For any  $1 \leq i \leq n$ , there are exactly  $\binom{n}{i}$  assignments where exactly  $i$  variables are set to false, and hence there are exactly  $\sum_{i=1}^{k-1} \binom{n}{i}$  possible assignments where less than  $k$  variables are set to false. Therefore, if the fitness of the current solution is at least  $M_k = 2 \sum_{i=1}^{k-1} \binom{n}{i}$ , at least half of the assignments contributing to the fitness have at least  $k$  variables set to false. Only regarding the progress caused by these, we have, for  $x \geq M_k$ ,

$$E[f(X^t) - f(X^{t+1}) \mid f(X^t) = x] \geq \frac{1}{12\ell} \frac{k}{n} x. \quad (2)$$

Since for  $n$  sufficiently large we have  $M_k \leq 2n^{k-1}$  for all  $k \in [1..n]$ . This implies that for all  $x \in [1..2^n]$  and all  $t \in \mathbb{N}$ , we have

$$\begin{aligned} E[f(X^t) - f(X^{t+1}) \mid f(X^t) = x] &\geq \frac{1}{12\ell n} (\lfloor \log_n(x/2) \rfloor + 1)x \\ &\geq \frac{1}{36\ell n} (\log_n(x) + 1)x, \end{aligned}$$

where the last estimate uses  $n \geq 2$ . Hence Theorem 3.2 with  $\gamma = n$  and  $\delta = 1/36\ell n$  gives

$$E[T] \leq 36\ell n(3 + 2(2 + \log_2 \log_n 2^n)) \ln n = O(\ell n \log^2 n). \quad \square$$

We can then show that the conditions required to apply Lemma 3.3 occur sufficiently often to not affect the asymptotic expected runtime.

**THEOREM 3.4.** *Consider a run of RLS-GP on  $\text{AND}_n$ , using a tree size limit of  $\ell = (1 + c)n$ . Let  $T$  be the number of iterations before the optimum is found. If  $c = \Theta(1)$ , then  $E[T] = O(\ell n \log^2 n)$ .*

**PROOF.** To prove the theorem, we combine the result of Lemma 3.3 with an argument showing that with high probability, the parent solution contains fewer than  $\ell$  leaf nodes in at least a constant fraction of any  $t \in \Omega(\ell n \log^2 n)$  iterations.

Let  $T' = c^* \ell n \log^2 n$ , for some constant  $c^* > 0$ , be an upper bound on the expected number of iterations  $E[T_0]$  in which the tree is not full before the optimum solution is found per Lemma 3.3. By an application of Markov's inequality, the probability that the optimum is found in at most  $2T'$  such iterations is at least  $1/2$ . We will show that if  $\ell = (1 + c)n$ , for any constant  $c > 0$ ,  $2T'$  such iterations occur in  $(2 + c')T'$  iterations with high probability, where  $c' > 0$  is constant with respect to  $n$ . The theorem statement then follows from a simple waiting time argument: during each period of  $(2 + c')T'$  iterations, the optimum is found with at least probability  $1/2 \cdot (1 - o(1)) = \Omega(1)$ , so the expected number of such periods before the optimum is found is at most  $O(1)$ , and thus the expected runtime is at most  $O(T') = O(\ell n \log^2 n)$  iterations.

We will now show that during any  $N \in \Omega(\ell n \log^2 n)$  iterations, with high probability and for some constant  $c'' > 0$ , deletions of at least  $c''N$  leaf nodes in total will be accepted. As each iteration can

at most increase the number of leaf nodes in the tree by 1, there will with high probability be at least  $c''N$  iterations in which the tree is not full among any  $(1 + c'')N$  iterations. As  $T' \in \Omega(\ell n \log^2 n)$ ,  $2T'$  iterations in which the tree is not full will with high probability occur in  $(2 + c')T'$  iterations where  $c' = 2/c'' = \Omega(1)$ .

Consider a tree  $X$  with exactly  $\ell$  leaf nodes. Let  $L_A(X)$  be a set of leaf nodes connected to the root of  $X$  via only AND nodes, and call *essential* all the leaf nodes in this set that contain a variable which only appears on nodes in this set exactly once. If  $X$  is non-optimal, at most  $n - 1$  leaf nodes in  $X$  are essential, and at least  $\ell - (n - 1)$  leaf nodes are non-essential. All non-essential nodes are either directly deletable (in the case of redundant copies of variables in  $L_A(X)$ ), or indirectly deletable (by deleting a branch at any of their OR ancestors).

Every non-essential leaf node can thus be deleted by performing an HVL-Prime deletion sub-operation on at least one node in the tree. For some non-essential leaf nodes, a larger subtree may need to be deleted to remove the leaf without adversely impacting fitness. The longer waiting time for such subtree deletions (requiring that the root of the subtree be chosen for deletion rather than one of the many leaf nodes in the subtree) is balanced by the increased number of leaf nodes deleted as part of the mutation. We note that the tree contains  $2\ell - 1$  nodes, and thus for  $\ell \geq (1 + c)n$  and any  $c > 0$ , an HVL-Prime mutation in expectation reduces the number of leaf nodes in the tree by at least

$$E[\Delta] \geq \frac{1}{3} \frac{\ell - (n - 1)}{2\ell - 1} \geq \frac{\ell - n}{6\ell} \geq \frac{c}{6 + 6c} \geq \delta \in \Omega(1),$$

where  $\delta > 0$  is a positive constant, as  $c \in \Omega(1)$ .

Let  $X_1, \dots, X_N$  be the number of leaf nodes deleted in an accepted mutation during each iteration performed while the tree is full, and  $X = \sum_{i=1}^N X_i$ . Furthermore, define a sequence  $Z_0, \dots, Z_N$ , where  $Z_0 := 0$  and  $Z_i := Z_{i-1} + X_i - \delta$ ; clearly,  $Z_N - Z_0 = Z_N = X - \delta N$ . We will show that  $Z_N > -\delta N/2$  (and therefore  $X > \delta N/2 \in \Omega(N)$ ) holds with high probability.

As  $E[Z_i | Z_1, \dots, Z_{i-1}] = Z_{i-1} + E[X_i | Z_1, \dots, Z_{i-1}] - \delta \geq Z_{i-1}$ , the sequence  $Z_0, \dots, Z_N$  is a sub-martingale, and  $c_i := |Z_i - Z_{i-1}| \leq \ell$ . Hence, by applying the Azuma-Hoeffding inequality for  $N \in \Omega(\ell n \log^2 n)$  and  $t = \delta N/2$ ,

$$\begin{aligned} \Pr[Z_N - Z_0 \leq -t] &\leq \exp\left(\frac{-t^2}{2 \sum_{i=1}^N c_i^2}\right) \leq \exp\left(\frac{-\delta^2 N}{8\ell^2}\right) \\ &\leq n^{-\Omega(\log n)} \end{aligned}$$

as  $N/\ell^2 = \Omega(n\ell \log^2 n/\ell^2) = \Omega(\log^2 n)$  for  $\ell = (1 + c)n$  where  $c$  is a constant.

Thus, there exists a constant  $c'' > 0$  such that over the course of  $N \in \Omega(n\ell \log^2 n)$  iterations where the tree is full, deletions of at least  $\delta N/2 = c''N$  leaf nodes are accepted with high probability, and hence over the course of  $2/c''N$  iterations, at least  $2N$  iterations occur while the tree is not full with high probability. Setting  $N = T' = c^* n \ell \log^2 n$  iterations per Lemma 3.3 completes the proof: among  $\Theta(T')$  iterations, at least  $\Omega(T')$  will take place while the tree is not full, allowing the application of the Markov inequality and waiting time arguments to produce the bound on the expected runtime.  $\square$

## 4 POLYNOMIALLY SIZED TRAINING SETS

While Theorem 3.4 provides a polynomial bound on the number of iterations required to evolve the conjunction of  $n$  variables, calculating solution quality by evaluating the output of the candidate solution and the target function on each one of the  $2^n$  possible inputs in each iteration requires exponential computational effort, and is thus only computationally feasible for relatively modest values of  $n$ .

In this section, we consider the behaviour of the RLS-GP algorithm when using only a polynomial computational effort in each iteration. To this end, the solution quality is compared by evaluating the output of the ancestor solution, the offspring, and the target function on only a polynomial number of inputs (“the training set”), sampled uniformly at random from the set of all possible inputs in each iteration. This setting was previously considered in [14], where it was shown that the RLS-GP and the (1+1) GP algorithms using  $F = \{AND\}$  are able to construct a solution with  $O(\log n)$  distinct variables which fits a polynomially large training set in polynomial time.

For our main theoretical result below, we opt to have RLS-GP terminate and return a solution once the sampled error on the training set is below a logarithmic acceptance threshold. This effectively prevents RLS-GP from entering a region of the search space where the mechanism it uses to evaluate program quality is overly noisy. This slightly decreases the expected solution quality, but does preserve the overall guarantee on the quality of the produced solution.

**THEOREM 4.1.** *For any constant  $c > 0$ , an instance of the RLS-GP algorithm with  $F = \{AND, OR\}$ ,  $L = \{x_1, \dots, x_n\}$ ,  $\ell \geq n$ , using a training set of  $s = n^c \lg^2 n$  rows sampled uniformly at random from the complete truth table in each iteration to evaluate solution quality, and terminating when the sampled error of the solution is at most  $c' \lg n$ , where  $c'$  is an appropriately large constant, will with probability at least  $1 - O(\log^2(n)/n)$  terminate within  $O(\log n)$  iterations, producing a solution with a generalisation error of at most  $n^{-c}$ .*

To prove this theorem, we will show that RLS-GP is able to create a tree that contains no more than one copy of each variable, no OR functions, and enough distinct variables to sample an error below the acceptance threshold within  $O(\log n)$  iterations with probability at least  $1 - O(\log^2(n)/n)$ . Additionally, we will show that with high probability, the GP system will not terminate early (i.e., it will not return a solution with a generalisation error greater than  $n^{-c}$ ).

**LEMMA 4.2.** *If RLS-GP never accepts solutions containing OR nodes or multiple copies of any variable, and never accepts solutions with a worse generalisation error than their ancestors, it will within  $O(\log n)$  iterations reach a solution with a sampled error below  $c' \lg n$ , where  $c' > 0$  is an appropriate constant, with probability at least  $1 - O(1/n)$ .*

**PROOF.** To ensure that an error below  $c' \lg n$  is sampled, we consider the time required to construct a solution with an expected sampling error of at most  $(c'/4) \lg n$ . Such a sampling error can be achieved by a generalisation error of at most  $((c'/4) \lg n)/(n^c \lg^2 n) = (c'/4)n^{-c}/\lg n \geq n^{-(c+1)}$  (for a sufficiently large  $n$ ), i.e., a conjunction of  $(c + 1) \lg n$  variables or more.

The time required to construct such a conjunction under the lemma’s conditions can be bounded by lower-bounding the probability of inserting a new variable connected to the tree using an

AND node, and using a Chernoff bound to show that a sufficient number of such insertions occur within a particular number of iterations (as the number of distinct variables in the current solution is never reduced by the lemma's conditions). Specifically, suppose that the current solution contains  $i < n/2$  distinct variables and no OR nodes, and let  $X_i$  be the event that a mutation inserts a new variable and connects it to the tree using an AND node, and is accepted. We bound  $\Pr[X_i] \geq (1/3)(1/2)(n-i)/n \geq \delta$ , i.e.,  $\delta \geq 1/12$  for  $i < n/2$ . The probability that at least  $(c+1)\lg n$  such mutations are accepted within  $(c''/\delta)(c+1)\lg n = O(\log n)$  iterations is then, by applying a Chernoff bound [2, Lemma 1.18], at least  $1 - e^{-\Omega(c'' \log n)} = 1 - n^{-\Omega(c'')}$ . Thus, when  $c''$  is a sufficiently large constant, this probability is at least  $1 - O(1/n)$ .

We bound the probability that a solution with a low-enough expected sampled error does not meet the acceptance threshold by applying Lemma 2.2: once a solution with an expected sampled error of at most  $(c'/4)\lg n$  is constructed, the probability that its sampled error exceeds the acceptance threshold is at most  $n^{-\Omega(c')}$ , and thus, when  $c'$  is picked appropriately, the solution is accepted immediately with probability at least  $1 - O(1/n)$ .

By combining the failure probabilities using a union bound, we conclude that RLS-GP under the conditions of the lemma and with an appropriately-chosen constant  $c'$ , is able to construct a solution with an acceptable sampled error within  $O(\log n)$  iterations with probability at least  $1 - O(1/n)$ .  $\square$

We will now use this bound on the runtime of RLS-GP to show that it is likely to avoid all of the potential pitfalls preventing the application of Lemma 4.2.

**LEMMA 4.3.** *With probability at least  $1 - O(\log^2(n)/n)$ , during its first  $O(\log n)$  iterations and while the expected sampled error of its current solution remains above  $(c'/4)\lg n$ , RLS-GP is able to avoid accepting mutations which: (1) insert copies of a variable already present in the current solution, (2) insert OR nodes, or (3) increase the generalisation error of the current solution.*

**PROOF.** For claim (1), we note that within the first  $O(\log n)$  iterations, the tree will contain at most  $O(\log n)$  distinct variables (as each iteration of RLS-GP is only able to insert one additional variable). Thus, the probability that a mutation operation adds a variable which is already present in the solution (using either the insertion or substitution sub-operation of HVL-Prime) is at most  $O(\log n/n)$ , and by a union bound, this does not occur during the first  $O(\log n)$  iterations with probability at least  $1 - O(\log^2(n)/n)$ .

For claim (2), we note that there are two main ways an OR can be introduced into the solution by an insertion operation: either the OR is semantically neutral (which, if the ancestor contains only ANDs and unique variables requires replacing a leaf  $x_i$  with  $x_i \vee x_i$ ), or the sampling process used to evaluate solution fitness did not sample any inputs on which the offspring is wrong and the ancestor is correct. We will consider the two possibilities separately.

As semantically-neutral insertions of OR nodes require inserting a duplicate copy of a variable, claim (1) already provides the desired probability bound on these insertions not occurring within  $O(\log n)$  iterations (and hence not being accepted). All other OR insertions will increase the generalisation error of the solution. The magnitude of this increase depends on the number of distinct variables in the

subtree displaced by the insertion, with insertions displacing only a single leaf node being the easiest to accept.

If a leaf of the ancestor solution is replaced with a disjunction with a new variable, we use the term *witness* to refer to inputs which set the displaced variable to 0 while setting the remaining variables in the offspring solution to 1. As the offspring solution also differs from the target function on all the inputs on which the ancestor solution does so, as long as the sampling procedure samples at least one witness, RLS-GP will reject the mutated solution. Suppose the ancestor conjunction contains  $U$  distinct variables; it is then incorrect on  $2^{n-U} - 1$  possible inputs, while there are at least  $2^{n-(U+1)}$  witnesses; i.e. the probability of randomly selecting a witness is at least half that of randomly selecting a row on which the ancestor is wrong. Thus, if the expected sampled error of the ancestor solution is at least  $X$ , the expected number of witnesses in the sample is at least  $X/2$ . By a Chernoff bound, the probability that fewer than  $(c'/16)\lg n$  witnesses are present in the sample is at most  $e^{-(c'/128)\lg n} = n^{-\Omega(c')}$ . By setting the constant  $c'$  appropriately, this probability can be made into  $O(1/n)$ , and by a union bound, the probability that no OR which increases the generalisation error is accepted within  $O(\log n)$  iterations while the expected sampled error of the solution remains above  $(c'/4)\lg n$  is at least  $1 - O(\log(n)/n)$ .

Finally, for claim (3), we note that decreasing the number of distinct variables in the solution more than doubles its generalisation error. Applying a similar argument for rejecting detrimental ORs above (this time, the expected number of witnesses in the sample is at least  $X$ ), the probability that no mutations increasing the generalisation error are accepted during  $O(\log n)$  iterations is at least  $1 - O(\log(n)/n)$ .

Combining the error probabilities of the three claims using a union bound yields the theorem statement.  $\square$

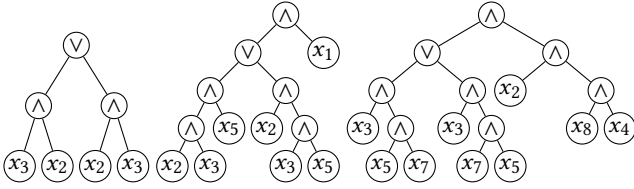
Finally, we show that with high probability, RLS-GP does not terminate unacceptably early (i.e. by sampling an error below the acceptance threshold for a solution with a worse generalisation error than desired by Theorem 4.1).

**LEMMA 4.4.** *With high probability, no solution with a generalisation error greater than  $n^{-c}$  has a sampled error of at most  $c'\lg n$  on a set of  $s \geq n^c \lg^2 n$  rows sampled random from the complete truth table, within any polynomial number of iterations.*

**PROOF.** Recall that when sampling  $s$  rows uniformly at random from the complete truth table to evaluate solution fitness, RLS-GP terminates and returns the current solution when the solution appears wrong on at most  $c'\lg n$  of the sampled rows. As the generalisation error of a solution is also the probability that the solution is wrong on a uniformly-sampled row of the complete truth table, a solution  $X$  with a generalisation error  $g(X)$  of at least  $n^{-c}$ , has an expected sampled error  $E(f(X)) \geq \lg^2 n$  on  $s = n^c \lg^2 n$  rows sampled uniformly at random. Applying a Chernoff bound, the probability that the sampled error  $Y$  is less than half of its expected value (which for large-enough  $n$  is above the  $c'\lg n$  threshold), is super-polynomially small:

$$\Pr[Y \leq 1/2 E[Y]] \leq e^{-E[Y]/8} \leq n^{-\Omega(\log n)}.$$





**Figure 1: Examples of locally optimal trees, which cannot be improved by substitution or have any single leaf deleted without affecting fitness, constructed by RLS-GP using leaf-only substitution and deletion operations.**

By a union bound, RLS-GP with high probability does not return a solution with a generalisation error of at least  $n^{-c}$  within any polynomial number of iterations when sampling  $s = \Omega(n^c \lg^2 n)$  rows of the complete truth table uniformly at random to evaluate solution quality in each iteration.  $\square$

Our main result is proved by combining these lemmas.

**PROOF OF THEOREM 4.1.** By Lemma 4.3, the conditions necessary to apply Lemma 4.2 occur with probability at least  $1 - O(\log^2(n)/n)$ , and thus with probability at least  $1 - O(\log^2(n)/n) - O(1/n)$ , a solution with a sampled error meeting the acceptance threshold will be found and returned within  $O(\log n)$  iterations. By Lemma 4.4, the generalisation error of any solution returned by RLS-GP within a polynomial number of iterations is with high probability better than the desired  $n^{-c}$ .  $\square$

We remark that performing  $\lambda$  runs of RLS-GP, as is often done in practice, and terminating once any instance determines that its current solution meets the acceptance threshold, will guarantee that a solution with the desired generalisation error is produced using  $O(\lambda \log n)$  fitness evaluations with probability  $1 - n^{-\Omega(\lambda)}$ .

## 5 EXPERIMENTS

We performed experiments to complement our theoretical results. For each choice of algorithm and problem parameters, we performed 500 independent runs of the GP system.

Theorem 2.1 showed that using the standard HVL-Prime operator, which applies leaf-only deletion and substitution, can cause RLS-GP with the complete truth table to get stuck on a local optimum when a tree size limit is imposed, thus leading to infinite expected runtime. However, the theorem does not provide bounds on the probability that this event occurs. Table 1 summarises the experimental behaviour of RLS-GP. The experiments confirm that when using small tree size limits, RLS-GP indeed gets stuck on local optima. Examples of the ones constructed during the runs are depicted in Fig. 1. However, the probability of getting stuck decreases as  $\ell$ , the limit on the size of the tree, increases. Concerning solution quality, with small tree size limits, the number of redundant variables in the final solution decreases at the expense of higher runtimes. For  $\ell = n$ , ‘exact’ solutions are returned when the algorithm does not get stuck. On the other hand, larger tree size limits (including no limit) lead to smaller expected runtimes at the expense of redundant variables in the final solutions.

<b>n</b>	$\ell = n$			$\ell = n + 1$		
	<i>B</i>	$\bar{T}$	$\bar{S}$	<i>B</i>	$\bar{T}$	$\bar{S}$
4	0.008	46.3 (28.0)	4.0 (0.0)	0.002	40.9 (21.8)	4.4 (0.5)
8	0.002	151.8 (91.9)	8.0 (0.0)	0.004	113.8 (51.5)	8.6 (0.5)
12	0.016	284.1 (148.2)	12.0 (0.0)	0.002	214.3 (99.5)	12.7 (0.5)
16	0.008	469.9 (258.0)	16.0 (0.0)	0.010	345.8 (161.0)	16.8 (0.4)

<b>n</b>	$\ell = 2n$			$\ell = \infty$		
	<i>B</i>	$\bar{T}$	$\bar{S}$	<i>B</i>	$\bar{T}$	$\bar{S}$
4	0	42.5 (25.8)	5.1 (1.2)	0	38.9 (24.3)	5.4 (2.0)
8	0	98.8 (49.0)	11.0 (2.3)	0	95.3 (43.8)	11.2 (3.0)
12	0	170.7 (99.7)	17.1 (3.3)	0	160.1 (57.1)	17.9 (4.5)
16	0	232.5 (80.9)	23.8 (4.1)	0	235.3 (92.7)	24.6 (6.0)

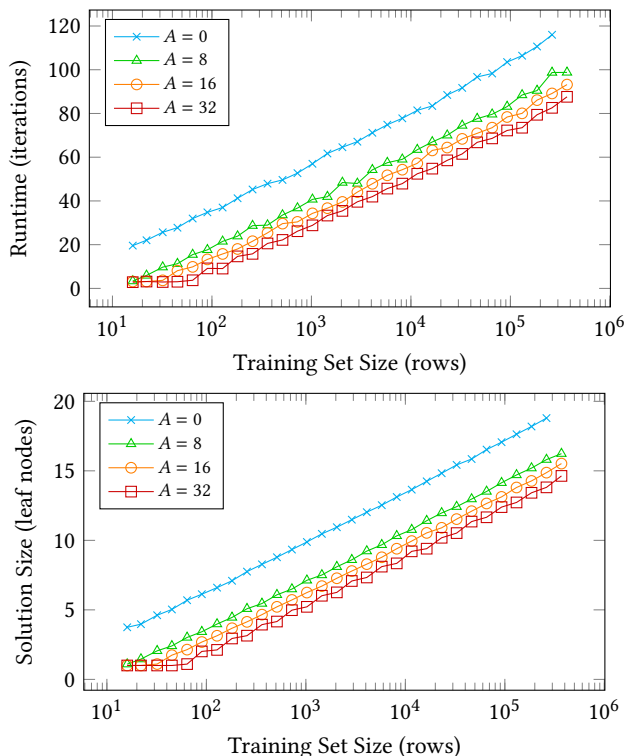
**Table 1: Proportion of runs stuck in a local optimum (*B*), and average runtime ( $\bar{T}$ ) and solution size ( $\bar{S}$ ) of successful runs of the RLS-GP using leaf-only substitution and deletion with the complete truth table to evaluate solution quality for varying  $n$  and  $\ell$ . Standard deviations appear in parentheses.**

<b>n</b>	$\ell = n$		$\ell = n + 1$		$\ell = 2n$		$\ell = \infty$	
	$\bar{T}$	$\bar{S}$	$\bar{T}$	$\bar{S}$	$\bar{T}$	$\bar{S}$	$\bar{T}$	$\bar{S}$
4	51.2 (31.1)	4.0 (0.0)	42.5 (23.5)	4.4 (0.5)	38.8 (20.8)	5.1 (1.2)	39.1 (22.3)	5.3 (1.8)
8	147.5 (83.3)	8.0 (0.0)	129.9 (69.1)	8.7 (0.5)	93.5 (39.1)	11.3 (2.4)	92.3 (38.1)	11.6 (3.0)
12	325.9 (184.4)	12.0 (0.0)	233.4 (123.9)	12.8 (0.4)	153.6 (56.6)	17.7 (3.1)	151.2 (50.3)	18.3 (3.8)
16	544.6 (333.8)	16.0 (0.0)	377.0 (176.0)	16.9 (0.4)	228.3 (74.6)	24.5 (3.7)	221.0 (72.0)	25.2 (4.9)

**Table 2: Average runtime ( $\bar{T}$ ) and solution size ( $\bar{S}$ ) of RLS-GP using the subtree deletion sub-operation, and the complete truth table to evaluate solution fitness, for varying  $n$  and  $\ell$ . Standard deviations appear in parentheses.**

We now turn our attention to the HVL-Prime modified to allow subtree deletion, as considered by Theorem 3.4. As predicted by the theory, RLS-GP never gets stuck in our experiments when using the complete truth table and a tree size limit. Table 2 shows the average number of iterations required to find the global optimum for various problem sizes and varying tree size limits. Once again the experiments show that smaller tree size limits lead to lower numbers of redundant variables at the expense of a higher runtime. Larger limits, including no limit at all, lead to faster runtimes at the expense of admitting more redundant variables. Noting that in practical applications a tree size limit is often necessary, we leave the proof that the algorithm evolves an exact conjunction without any limits on the tree size for future work.

Finally, we examine the behaviour of RLS-GP when using an incomplete training set on larger problem sizes. The result from Theorem 4.1 relies on the algorithm stopping once a logarithmic sampled error is achieved. We run experiments comparing the performance of RLS-GP when stopping at error 0 or stopping earlier for  $n = 50$ . The average runtimes of the two variants are plotted



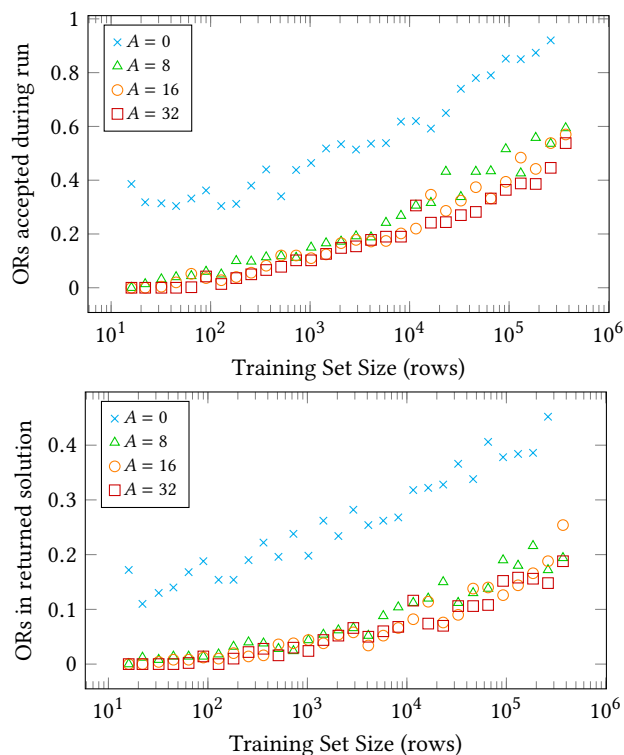
**Figure 2: Average runtime and tree size produced by RLS-GP with subtree deletion, using an incomplete training set, stopping once sampled error is at most  $A$ ,  $n = 50$ ,  $\ell = \infty$ , averaged over 500 independent simulations.**

in Figure 2. The figure confirms our theoretical result that the algorithms generally run in logarithmic time and produce solutions that contain a logarithmic number of leaf nodes with respect to the training set size. Stopping at 0 error, though, leads to better solutions at the expense of higher runtimes. Figure 3 shows the average number of ORs in the final solution. While these are small in number, they grow as the stopping criteria, i.e. the threshold on acceptable sampled error, decreases.

## 6 CONCLUSION

In this paper, we analysed the behaviour of a variant of the RLS-GP algorithm, providing rigorous runtime bounds when using the complete truth table to evaluate solution quality, as well as when using a polynomial sample of possible inputs chosen uniformly at random. Equipped with a tree size limit and a mutation operator capable of deleting entire subtrees, RLS-GP is able to efficiently evolve a Boolean function –  $\text{AND}_n$ , the conjunction of  $n$  variables – when given access to both the binary conjunction and disjunction operators.

When using the complete truth table to evaluate the quality of solutions, we show that in expectation, an optimal solution is found within  $O(\ell n \log^2 n)$  iterations. Experimentally, we see that the GP system is able to find solutions quicker as  $\ell$ , the limit on the tree size, increases, suggesting that the theoretical bound is overly pessimistic



**Figure 3: Number of OR nodes inserted and surviving to the solution returned by RLS-GP with subtree deletion, using an incomplete training set, stopping once sampled error is at most  $A$ ,  $n = 50$ ,  $\ell = \infty$ , averaged over 500 independent simulations.**

in its modelling of the process. Conversely, solutions with larger tree size limits tend to contain more redundant variables, suggesting a trade-off between optimisation time and solution complexity.

When sampling a polynomial number of inputs to evaluate program quality, the evolved solutions are not exactly equivalent to the target function, but generalise well: any polynomially small generalisation error can be achieved by sampling a polynomial number of inputs uniformly at random in each iteration. Our theoretical results predict that RLS-GP is usually able to avoid inserting ORs in this setting, which is reflected in our experimental results.

While these results represent a considerable step forward for the theoretical analysis of GP behaviour, much work remains to be done: apart from the open problem of removing the limit on the tree size, the analysis could be extended to cover yet larger function sets (e.g. by also including NOT, allowing the GP to express any Boolean function), introducing more variables than required by the target function, or considering a more complex target function where populations and crossover may be required.

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