

Complexity Analysis for Call-by-Value Higher-Order Rewriting

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Abstract

In this short paper, we consider a form of higher-order rewriting with a call-by-value evaluation strategy so as to model call-by-value programs. We limn a cost–size semantics to call-by-value rewriting: a class of algebraic interpretations to map terms to tuples which that bounds both the reduction’s cost and the size of normal forms.

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1 Introduction

This short paper is a brief exposition of the conference paper “Cost–Size Semantics for Call-by-Value Higher-Order Rewriting” recently accepted for publication at FSCD 2023. In this paper, we study *complexity*, which in the context of term rewriting is typically understood as the number of steps needed to reach a normal from when starting in terms of a certain shape and size. A natural way to determine these bounds is by adapting techniques for proving termination to deduce the complexity. There is a myriad of works following this idea. To mention a few, see [2, 3, 5, 10, 11, 14] for interpretation methods, [4, 9, 18] for lexicographic and path orders, and [8, 16] for dependency pairs.

However, those ideas are focused on *first-order* term rewriting. The literature on complexity of *higher-order* rewriting is scarce. While there is a lot of work on complexity of functional programs [1, 6, 12, 15], this work uses quite different ideas from the methods developed for term rewriting. It would be beneficial to combine these ideas.

In a previous work [13], we introduced an extension of the method of *weakly monotonic algebras* [7, 17] to *tuple interpretations*. The idea of algebras is to choose an interpretation domain A , and interpret terms s as elements $\llbracket s \rrbracket$ of A compositionally, in such a way that whenever $s \rightarrow t$ we have $\llbracket s \rrbracket > \llbracket t \rrbracket$. Hence, a rewriting step on terms implies a strict decrease on A . The defining characteristic of tuple interpretations is to split the complexity measure into abstract notions of cost and size. This coincides with ideas often used in resource analysis of functional programs [1, 6]. This is a popular idea, as a very similar approach was introduced for first-order rewriting around the same time [19].

2 Preliminaries

The formalism we consider here is a style of simply typed lambda calculus extended with function symbols and rules. The matching mechanism is modulo alpha, and beta reduction is included in the rewriting relation.

Let \mathbb{B} be a nonempty set of *base types*. The set $\mathbb{T}_{\mathbb{B}}$ of *simple types* over \mathbb{B} is generated by the grammar: $\mathbb{T}_{\mathbb{B}} := \mathbb{B} \mid \mathbb{T}_{\mathbb{B}} \Rightarrow \mathbb{T}_{\mathbb{B}}$. As usual, we assume that the \Rightarrow type constructor is right-associative. A *signature* \mathbb{F} is a triple $(\mathbb{B}, \Sigma, \mathbf{ar})$ where \mathbb{B} is a set of base types, Σ is a nonempty finite set of symbols, and \mathbf{ar} is a function $\mathbf{ar} : \Sigma \rightarrow \mathbb{T}_{\mathbb{B}}$. We postulate, for each type σ , the existence of a nonempty set \mathbb{X}_{σ} of countably many variables. Furthermore, we impose that $\mathbb{X}_{\sigma} \cap \mathbb{X}_{\tau} = \emptyset$ whenever $\sigma \neq \tau$ and let \mathbb{X} denote the family of sets.

The set $\mathbb{T}(\mathbb{F}, \mathbb{X})$ — of terms built from \mathbb{F} and \mathbb{X} — collects those expressions s for which the judgment $s : \sigma$ can be deduced using the following rules:

$$\frac{x \in \mathbb{X}_{\sigma}}{x : \sigma} \quad \frac{f \in \Sigma \quad \mathbf{ar}(f) = \sigma}{f : \sigma} \quad \frac{s : \sigma \Rightarrow \tau \quad t : \sigma}{(st) : \tau} \quad \frac{x \in \mathbb{X}_{\sigma} \quad s : \tau}{(\lambda x. s) : \sigma \Rightarrow \tau}$$

We assume the usual λ -Calculus association and precedence scheme for application and abstraction. We shall remove unnecessary parentheses and write terms following those rules. Application of substitutions is defined as expected.

Call-by-Value Higher-order Rewriting A *rewrite rule* $\ell \rightarrow r$ is a pair of terms of the same type such that $\ell = f \ell_1 \dots \ell_k$ and $\mathbf{fv}(r) \subseteq \mathbf{fv}(\ell)$. A *term rewriting system* (TRS) \mathbb{R} is a set of rules. In this paper, we are interested in a restricted evaluation strategy, which limits reduction to terms whose immediate subterms are *values*:

► **Definition 1.** A term s is a *value* whenever s is:
 ■ of the form $f v_1 \dots v_n$, with each v_i a value and there is no rule $f \ell_1 \dots \ell_k \rightarrow r$ with $k \leq n$;
 ■ an abstraction, i.e., $s = \lambda x. t$.

Every rewrite rule $\ell \rightarrow r$ *defines* a symbol f , namely, the head symbol of ℓ . For each $f \in \Sigma$, let \mathbb{R}_f denote the set of rewrite rules that define f in \mathbb{R} . A symbol $f \in \Sigma$ is a *defined symbol* if $\mathbb{R}_f \neq \emptyset$. A *constructor symbol* is a symbol $c \in \Sigma$ such that $\mathbb{R}_c = \emptyset$. We let Σ^{def} be the set of defined symbols and Σ^{con} the set of constructor symbols. Hence, $\Sigma = \Sigma^{\text{def}} \uplus \Sigma^{\text{con}}$. A *ground constructor term* is a term $c s_1 \dots s_n$ with $n \geq 0$, where each s_i is a ground constructor term.

Notice that by definition ground constructor terms are values since there is no rule $c \ell_1 \dots \ell_k \rightarrow r$ for any k if $c \in \Sigma^{\text{con}}$. More complex values include partially applied functions and lambda-terms; for example, $\text{add } 0$ or a list of functions $[\text{add } 0; \lambda x. x; \text{mult } 0; \text{dbl}]$.

► **Definition 2.** The **higher-order weak call-by-value rewrite relation** \rightarrow_v induced by \mathbb{R} is defined as follows:

- $f(\ell_1 \gamma) \dots (\ell_k \gamma) \rightarrow_v r \gamma$, if $f \ell_1 \dots \ell_k \rightarrow r \in \mathbb{R}$ and each $\ell_i \gamma$ is a value;
- $(\lambda x. s) v \rightarrow_v s[x := v]$, if v is a value;
- $st \rightarrow_v s' t$ if $s \rightarrow_v s'$; and $st \rightarrow_v s t'$ if $t \rightarrow_v t'$.

► **Example 3.** Let us consider two simple examples of functions encoded as rules. The first is map , which applies a function $F : \text{nat} \Rightarrow \text{nat}$.

$$\begin{array}{ll} \text{map } F \text{ nil} \rightarrow \text{nil} & \text{add } x \ 0 \rightarrow 0 \\ \text{map } F (\text{cons } x \ xs) \rightarrow \text{cons } (F x) (\text{map } F \ xs) & \text{add } x \ (s y) \rightarrow s (\text{add } x \ y) \end{array}$$

3 Cost–Size Semantics for Types and Terms

The kernel of the interpretation of types a function $\langle \cdot \rangle$ that maps each type $\sigma \in \mathbb{T}_{\mathbb{B}}$ to a well-founded set $\langle \sigma \rangle$, the cost–size interpretation of σ .

81 ► **Definition 4** (Interpretation of Types). We define for each type σ the **cost–size tuple**
 82 **interpretation** of σ as the set $\llbracket \sigma \rrbracket = \mathcal{C}_\sigma \times \mathcal{S}_\sigma$ where \mathcal{C}_σ and \mathcal{S}_σ are defined as follows:

$$\begin{aligned} 83 \quad \mathcal{C}_\sigma &= \mathbb{N} \times \mathcal{F}_\sigma^c & \mathcal{S}_\iota &= \mathbb{N}^{K(\iota)} \\ 84 \quad \mathcal{F}_\iota^c &= \text{unit} & \mathcal{S}_{\sigma \Rightarrow \tau} &= \mathcal{S}_\sigma \Longrightarrow \mathcal{S}_\tau \\ 85 \quad \mathcal{F}_{\sigma \Rightarrow \tau}^c &= (\mathcal{F}_\sigma^c \times \mathcal{S}_\sigma) \Longrightarrow \mathcal{C}_\tau \end{aligned}$$

86 The set $\llbracket \sigma \rrbracket$ is ordered component-wise. With that this interpretation of types is well-founded,
 87 which was proved in the full version of this paper. Next, we need an *application operator*
 88 for applying cost–size tuples. More precisely, given a type $\sigma \Rightarrow \tau$ and cost–size tuples
 89 $\mathbf{f} \in \llbracket \sigma \Rightarrow \tau \rrbracket$ and $\mathbf{x} \in \llbracket \sigma \rrbracket$, we define the application of \mathbf{f} to \mathbf{x} as follows.

90 ► **Definition 5.** Let $\sigma \Rightarrow \tau$ be an arrow type, $\mathbf{f} = \langle \langle n, f^c \rangle, f^s \rangle \in \llbracket \sigma \Rightarrow \tau \rrbracket$, and $\mathbf{x} =$
 91 $\langle \langle m, x^c \rangle, x^s \rangle \in \llbracket \sigma \rrbracket$. The **semantic application** of \mathbf{f} to \mathbf{x} , denoted $\mathbf{f} \cdot \mathbf{x}$, is defined by:

$$92 \quad \text{let } f^c(x^c, x^s) = (k, h); \text{ then } \langle \langle n, f^c \rangle, f^s \rangle \cdot \langle \langle m, x^c \rangle, x^s \rangle = \langle \langle n + m + k, h \rangle, f^s(x^s) \rangle$$

93 An interpretation of a signature $\mathbb{F} = (\mathbb{B}, \Sigma, \mathbf{ar})$ interprets the base types in \mathbb{B} and each
 94 $f \in \Sigma$ of arity $\mathbf{ar}(f) = \sigma$ as an element of $\llbracket \sigma \rrbracket$ which is constructed by Definition 4.

95 ► **Definition 6.** A **cost–size tuple interpretation** \mathcal{F} for a signature $\mathbb{F} = (\mathbb{B}, \Sigma, \mathbf{ar})$ consists
 96 of a pair of functions $(\mathcal{J}_\mathbb{B}, \mathcal{J}_\Sigma)$ where

- 97 ■ $\mathcal{J}_\mathbb{B}$ is a type interpretation key, which maps each base type ι to a size tuple $\mathbb{N}^{K(\iota)}$
- 98 ■ \mathcal{J}_Σ is an *interpretation of symbols* in Σ which maps each $f \in \Sigma$ with $\mathbf{ar}(f) = \sigma$ to a
 99 cost–size tuple in $\llbracket \sigma \rrbracket$, where $\llbracket \sigma \rrbracket$ is built using $\mathcal{J}_\mathbb{B}$ in Definition 4.

100 In what follows we slightly abuse notation by writing \mathcal{J}_f for $\mathcal{J}_\Sigma(f)$ and just \mathcal{J} for \mathcal{J}_Σ .

101 ► **Example 7.** As a first example of interpretation, let us interpret the data constructors from
 102 Example 3. Recall that $0 : \text{nat}$, $\mathbf{s} : \text{nat} \Rightarrow \text{nat}$ are the constructors for nat and $\mathcal{J}_\mathbb{B}(\text{nat}) = \mathbb{N}$.

$$103 \quad \mathcal{J}_0 = \left\langle \left((0, \mathbf{u}) \right), 1 \right\rangle \quad \mathcal{J}_\mathbf{s} = \left\langle \left((0, \lambda x.(0, \mathbf{u})) \right), \lambda x.x + 1 \right\rangle$$

104 The highlighted cost components for the constructors are filled with zeroes. That is because
 105 in the rewriting cost model data values do not fire rewriting sequences. Intuitively, the *cost*
 106 *number* for 0 is 0, (because it is a value), the *cost function* is \mathbf{u} (because it has base type), and
 107 *size component* is 1 (since we chose a notion of size for terms of type nat to mean “number of
 108 symbols”). The cost number for \mathbf{s} is 0, the cost function is the constant function mapping to
 109 0, and the size component is the function $\lambda x.x + 1$ in $\mathcal{S}_{\text{nat} \Rightarrow \text{nat}}$. We interpret the constructors
 110 for list, i.e., nil and cons , following the same principle, with $\mathcal{J}_\mathbb{B}(\text{list}) = \mathbb{N}^2$. We write a size
 111 tuple q in $\mathcal{S}_{\text{list}}$ as (q_l, q_m) since the first component is to mean the length of the list and the
 112 second a bound on the size of its elements.

$$113 \quad \mathcal{J}_{\text{nil}} = \left\langle \left((0, \mathbf{u}) \right), (0, 0) \right\rangle \quad \mathcal{J}_{\text{cons}} = \left\langle \left((0, \lambda x.(0, \lambda q.(0, \mathbf{u}))) \right), \lambda xq.(q_l + 1, \max(x, q_m)) \right\rangle$$

114 The highlighted cost components are filled with zeroes for lists as well. Size components are
 115 interpreted following the semantics we set for the two size components length and maximum
 116 element size, respectively.

117 The next step is to extend the interpretation of a signature \mathbb{F} to the set of terms. But
 118 first, we define *valuation functions* to interpret the variables in $x : \sigma$ as elements of $\llbracket \sigma \rrbracket$.

119 ► **Definition 8.** A **cost–size valuation** α is a function that maps each $x : \sigma$ to a cost-size
 120 tuple in $\llbracket \sigma \rrbracket$ such that:

4 Complexity Analysis for Call-by-Value Higher-Order Rewriting

121 ■ $\alpha(x) = \langle (0, \mathbf{u}), x^s \rangle$, for all $x \in \mathbb{X}$ of base type; and $\alpha(F) = \langle (0, F^c), F^s \rangle$ when $F :: \sigma \Rightarrow \tau$.

122 ► **Definition 9.** Assume given a signature $\mathbb{F} = (\mathbb{B}, \Sigma, \mathbf{ar})$ and its cost–size tuple interpretation
 123 $\mathcal{F} = (\mathcal{J}_{\mathbb{B}}, \mathcal{J})$ together with a valuation α . The **term interpretation** $\llbracket s \rrbracket_{\alpha}^{\mathcal{J}}$ of s under \mathcal{J} and
 124 α is defined by induction on the structure of s as follows:

$$125 \quad \begin{aligned} \llbracket x \rrbracket_{\alpha}^{\mathcal{J}} &= \alpha(x) & \llbracket \mathbf{f} \rrbracket_{\alpha}^{\mathcal{J}} &= \mathcal{J}_{\mathbf{f}} & \llbracket s t \rrbracket_{\alpha}^{\mathcal{J}} &= \llbracket s \rrbracket_{\alpha}^{\mathcal{J}} \cdot \llbracket t \rrbracket_{\alpha}^{\mathcal{J}} \\ \llbracket \lambda x. s \rrbracket_{\alpha}^{\mathcal{J}} &= \left\langle \left(0, \lambda d. (1 + \pi_{11}(\llbracket s \rrbracket_{[x:=d]\alpha}^{\mathcal{J}}), \pi_{12}(\llbracket s \rrbracket_{[x:=d]\alpha}^{\mathcal{J}})) \right), \lambda d^s. \pi_2(\llbracket s \rrbracket_{[x:=\underline{0}, d]\alpha}^{\mathcal{J}}) \right\rangle, \end{aligned}$$

126 where π_i is the projection on the i th-component and π_{ij} is the composition $\pi_j \circ \pi_i$, and $\underline{0}$ is
 127 a cost function of the form $\lambda x_1. (0, \lambda x_2. \dots (0, \mathbf{u}) \dots)$. If $d = (d^c, d^s)$, the notation $[x := d]_{\alpha}$
 128 denotes the valuation that maps x to $\langle (0, d^c), d^s \rangle$ and every other variable y to $\alpha(y)$.

129 We write $\llbracket s \rrbracket$ for $\llbracket s \rrbracket_{\alpha}^{\mathcal{J}}$ whenever α and \mathcal{J} are universally quantified or clear from the context.

130 The interpretation for abstractions may seem baroque, but can be understood as follows:
 131 an abstraction is a value, so its cost number is 0. The cost of applying that abstraction on a
 132 value v is 1 plus the cost number for $s[x := v]$ – which is obtained by evaluating $\llbracket s \rrbracket_{[x:=d]\alpha}^{\mathcal{J}}$ if
 133 d is the cost function/size pair for v . The cost *function* of this application is exactly the cost
 134 function of $s[x := v]$. The *size* of an abstraction $\lambda x. s$ is exactly the function that takes a size
 135 and maps it to the size interpretation of s where x is mapped to that size. Technically, to
 136 obtain the size component of $\llbracket s \rrbracket_{[x:=d]\alpha}^{\mathcal{J}}$ we also need a cost component, but by definition, this
 137 component does not play a role, so we can safely choose an arbitrary pair $\underline{0}$ in the right set.

138 ► **Example 10.** We continue with Example 7 by interpreting ground constructor terms
 139 fully. A ground constructor term d of type \mathbf{nat} is of the form $\mathbf{s}(\mathbf{s} \dots (\mathbf{s} 0) \dots)$ where the
 140 number $n \in \mathbb{N}$ is represented by n successive applications of \mathbf{s} to 0. Let us write \mathbf{n} as
 141 shorthand notation for such terms. Similarly, for ground constructor terms of type \mathbf{list} ,
 142 we write $[\mathbf{n}_1; \dots; \mathbf{n}_k]$ for the term $\mathbf{cons} \mathbf{n}_1 \dots (\mathbf{cons} \mathbf{n}_k \mathbf{nil})$. The empty list constructor \mathbf{nil} is
 143 written as \square in this notation. Hence, the cost–size interpretation of $3 : \mathbf{nat}$ is given by:

$$144 \quad \llbracket 3 \rrbracket = \llbracket \mathbf{s}(\mathbf{s}(\mathbf{s} 0)) \rrbracket = \llbracket \mathbf{s} \rrbracket \cdot (\llbracket \mathbf{s} \rrbracket \cdot (\llbracket \mathbf{s} \rrbracket \cdot \llbracket 0 \rrbracket)) = \left\langle (0, \mathbf{u}), 4 \right\rangle.$$

145 Consider, for instance, the list $[1; 7; 9]$. Its cost–size interpretation is given by:

$$146 \quad \llbracket [1; 7; 9] \rrbracket = \llbracket \mathbf{cons} 1 (\mathbf{cons} 7 (\mathbf{cons} 9 \mathbf{nil})) \rrbracket = \left\langle (0, \mathbf{u}), (3, 10) \right\rangle.$$

147 The important information we can extract from such interpretations is their size component.
 148 Indeed, $\llbracket 3 \rrbracket^s = 4$ counts the number of constructor symbols in the term representation 3 and
 149 $\llbracket [1; 7; 9] \rrbracket^s = (3, 10)$ gives us the length and an upper bound on the size of each element in
 150 $[1; 7; 9]$. The size interpretation for the constructors of \mathbf{nat} and \mathbf{list} correctly capture our
 151 notion of “size” given earlier.

152 We give a concrete cost–size interpretation for \mathbf{map} and \mathbf{add} below:

$$153 \quad \mathcal{J}_{\mathbf{add}} = \left\langle (0, \lambda x. (0, \lambda y. (y^s, \mathbf{u}))) , \lambda xy. x + y \right\rangle.$$

$$155 \quad \mathcal{J}_{\mathbf{map}} = \left\langle (0, \lambda F. (0, \lambda q. (q_l + F^c(\mathbf{u}, q_m) q_l + 1, \mathbf{u}))) , \lambda F q. (q_l, F(q_m)) \right\rangle,$$

4 Complexity Analysis of Call-by-Value Rewriting

157 Since our analysis is quantitative, our goal is not merely to find tuple interpretations that
 158 prove termination but also ones that provide “good” upper bounds on the complexity of
 159 reducing terms. To start, we will extend the notion of *derivation height* to our setting:

160 ► **Definition 11.** The weak call-by-value **derivation height** of a term s , notation $\text{dh}_{\mathbb{R}}(s)$, is
 161 the largest number n such that $s \rightarrow_v s_1 \rightarrow_v \dots \rightarrow_v s_n$.

162 This notion is defined for all terms when the TRS is terminating. The methodology of
 163 weakly monotonic algebras offers a systematic way to derive bounds for the derivation height
 164 of a given term:

165 ► **Lemma 12.** If $\llbracket s \rrbracket = \langle (n, F^c), F^s \rangle$, then $\text{dh}_{\mathbb{R}}(s) \leq n$.

166 As an illustration of how this is used, let us complete the interpretation of Example 3.
 167 We start with the system \mathbb{R}_{add} . We will use the type and constructor interpretations as given
 168 in Example 7. The rules in \mathbb{R}_{add} suggest the following cost–size interpretation:

$$169 \quad \mathcal{J}_{\text{add}} = \left\langle (0, \lambda x.(0, \lambda y.(y^s, \mathbf{u}))) , \lambda xy.x + y \right\rangle.$$

170 Notice that the (highlighted) cost component of \mathcal{J}_{add} suggest a linear cost measure for
 171 computing with `add`. We also set the intermediate numeric components in the cost tuple to
 172 zero. The reason for this choice is that in a cost tuple $\mathcal{C}_{\sigma} = \mathbb{N} \times \mathcal{F}_{\sigma}^c$, the numeric component
 173 \mathbb{N} captures the cost of partially applying terms, which is 0 in this case.

174 Now, consider the partially applied term $s = \text{add}(\text{add} 2 3)$ (of type $\text{nat} \Rightarrow \text{nat}$). Intuitively,
 175 the cost of reducing this term to normal form, is the cost of reducing the subterm `add 2 3` to
 176 `5`, since the partially applied term `add 5` cannot be reduced. Hence, $\text{dh}_{\mathbb{R}}(s) = 4$. This is also
 177 the bound we find through interpretation:

$$\begin{aligned} 178 \quad \llbracket s \rrbracket &= \llbracket \text{add} \rrbracket \cdot (\llbracket \text{add} \rrbracket \cdot \llbracket 2 \rrbracket \cdot \llbracket 3 \rrbracket) \\ 179 \quad &= \llbracket \text{add} \rrbracket \cdot \langle (4, \mathbf{u}), 7 \rangle \\ 180 \quad &= \left\langle (4, \lambda y.(y^s, \mathbf{u})) , \lambda y.7 + y \right\rangle. \end{aligned}$$

181 While in this case the upper bound we find is tight, this is not always the case; for instance
 182 $\llbracket \text{add } 0 (\text{add } 0 0) \rrbracket = \langle (3, \mathbf{u}), 3 \rangle$, even though $\text{dh}_{\mathbb{R}}(\text{add } 0 (\text{add } 0 0)) = 2$. We could obtain a
 183 tight upper bound by choosing a different interpretation, but this is also not always possible.

184 With this observation, we get a framework that provides us with a systematic approach to
 185 establish bounds to the complexity of weak call-by-value systems. The difficulty now lies in
 186 developing techniques to find suitable interpretation shapes. For instance, a first example of
 187 a higher-order function over lists is that of `map`. We give a concrete cost–size interpretation
 188 for `map` below:

$$189 \quad \mathcal{J}_{\text{map}} = \left\langle (0, \lambda F.(0, \lambda q.(q_l + F^c(\mathbf{u}, q_m)q_l + 1, \mathbf{u}))) , \lambda Fq.(q_l, F(q_m)) \right\rangle,$$

190 The highlighted cost component accounts for q_l possible β steps, the cost of applying the
 191 higher-order argument F over the list q is bounded by $F^c(\mathbf{u}, q_m)q_l$ since F^c is assumed to be
 192 weakly monotonic, and the unitary component is for dealing with the empty list case.

193 5 Conclusions

194 In this short paper we briefly discussed an interpretation method for higher-order rewriting
 195 with weak call-by-value reduction. In this approach, we build on existing work defining tuple
 196 interpretations [13, 19], but restrict the evaluation strategy, and define a cost–size semantics
 197 for types and terms which generate a whole new class of cost–size semantic techniques that
 198 can be used to reason about the complexity of weak call-by-value systems.

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