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Adaptive Memoization

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Abstract

We combine adaptivity and memoization to obtain an incremental computation technique that dramatically improves performance over adaptivity and memoization alone. The key contribution is adaptive memoization, which enables result re-use by matching any subset of the function arguments to a previous function call and updating the result to satisfy the unmatched arguments via adaptivity.

We study the technique in the context of a purely functional language, called IFL, and as an ML library. The library provides an efficient implementation of our techniques with constant overhead. As examples, we consider Quicksort and Insertion Sort. We show that Quick sort handles insertions or deletions at random positions in the input list in $O(\log n)$ expected time. For insertion sort, we show that insertions and deletions anywhere in the list take $O(n)$ time.
Keywords: Incremental Computing, Functional Languages, Dynamic Algorithms, Adaptivity, Memoization
Abstract

We combine adaptivity and memoization to obtain an incremental computation technique that dramatically improves performance over adaptivity and memoization alone. The key contribution is adaptive memoization, which enables result re-use by matching any subset of the function arguments to a previous function call and updating the result to satisfy the unmatched arguments via adaptivity.

We study the technique in the context of a purely functional language, called IFL, and as an ML library. The library provides an efficient implementation of our techniques with constant overhead. As examples, we consider Quicksort and Insertion Sort. We show that Quicksort handles insertions or deletions at random positions in the input list in $O(\log n)$ expected time. For insertion sort, we show that insertions and deletions anywhere in the list take $O(n)$ time.
1 Introduction

Memoization [14, 15, 10, 3] and adaptivity [2, 4] are techniques for making any program incremental. Although each technique works well for certain classes of applications under certain input changes, neither works well in general. This paper combines adaptivity and memoization. The result is a general technique that significantly improves performance over adaptivity and memoization alone. For many applications, however, an orthogonal combination of memoization and adaptivity does not yield good performance. We therefore introduce adaptive memoization that enables memo lookups based on matching any subset of function arguments to a previous function call and updating the re-used result to satisfy the unmatched arguments via adaptivity.

Memoization [6, 12, 11] is based on the idea of caching the results of each function call indexed by the arguments to that call. If a function is called with the same arguments a second time, the result from the cache is re-used and the call is skipped. Pugh [14], and Pugh and Teitelbaum [15] were the first to apply memoization or function caching to incremental computation. They developed techniques for implementing memoization efficiently and studied incremental algorithms using memoization. They showed that certain divide-and-conquer algorithms using so-called stable decompositions can be made incremental efficiently by using memoization. Liu, Stoller, and Teitelbaum [10] presented systematic techniques for developing incremental programs using function caching. Their techniques automatically determine what result need to be cached and use transformations to make a standard program incremental. In recent work [3] we presented selective memoization techniques to provide control over the performance of memoization based on facilities for determining precise input-output dependences, defining equality, and controlling space usage.

Adaptivity [2] is based on the idea of representing computations with dependence graphs. Dependence graph techniques for incremental computation were first introduced by Demers, Reps, and Teitelbaum [7, 17] and have been successfully applied to many applications [16]. Dependence graphs represent data dependences in a computation in such a way that when an input is changed, all data that depends on that input can be updated by propagating changes through the graph.

The key difference between adaptivity and the previously proposed dependence-graph techniques is that in adaptivity the dependence graphs are dynamic as opposed to static. With static dependence graphs, change propagation only updates the values of the vertices of the dependence graph leaving the dependence structure unchanged. As Pugh points out [14] this limits the kinds of applications that can be made incremental using static dependence graphs. In contrast, dynamic dependence graphs enable the change propagation algorithm to update the dependence structure by removing obsolete dependences and inserting newly created dependences based on execution. Dynamic dependence graphs can be used to make any purely functional program incremental, although the effectiveness will depend on the application.

Adaptivity and memoization complement each other in the way they support result re-use. While adaptivity pinpoints parts of a computation that are affected by some input change, memoization identifies those parts of the computation that remain the same. As a result, memoization handles well shallow input changes which affect function calls at the top of the function-call tree, whereas adaptivity handles well deep changes which affect leaves of the function call tree [3]. When given an input change that affects some call in the middle, they can both perform poorly.
This paper shows that a combination of adaptivity and memoization yields powerful techniques for incremental computing by drawing on the complimentary strengths of memoization and adaptivity. We present two techniques to this end: (1) an orthogonal combination that combines adaptivity and memoization by preserving their semantics, and (2) a more sophisticated combination based on the notion of adaptive memoization.

Adaptive memoization allows an imprecise lookup of a memoized function in the function cache by matching just some of the arguments that the result depends on. Instead of returning the result, which is in general incorrect, the lookup returns an "adaptive computation" in the form of a dynamic dependence graph. The arguments of this computation are then adjusted to match the arguments of the current call, and the changes are propagated to update the re-used result.

Adaptive memoization provides for flexible result re-use by permitting the re-use of the result of a previous function call in place of a call of that function with somewhat different arguments. This flexibility enables us to obtain asymptotically efficient incremental algorithms from static algorithms. As examples, we consider Quicksort and Insertion Sort on a list (Section 5). We show that Quicksort handles an insertion or deletion at a random position in the input in expected $O(\log n)$ time. For insertion sort, we show that an insertion or deletion anywhere in the input takes expected $O(n)$ time. These results rely heavily on adaptive memoization; with the orthogonal combination the bounds are $O(\log^* n)$ for Quicksort and $O(n^2)$ for Insertion Sort. With memoization or adaptivity alone, the bounds are $\Theta(n\log n)$ for Quicksort, and $O(n^2)$ for insertion sort.

Challenges to combining adaptivity and memoization and supporting adaptive memoization stem from complexities of the interaction between adaptivity and memoization. One issue is the maintenance of the topological ordering of a dynamic dependence graph while allowing parts of the graph to be re-used. We show that the topological ordering can be maintained with constant overhead by restricting the memo lookups to the part of the dependence graph being discarded by change propagation. Another issue is supporting adaptive memoization efficiently. Adaptive memoization relies on encapsulating selected sub-computations as stand alone adaptive computations. This requires techniques to isolate and update the inputs of sub-computations efficiently. We describe a copy-on-read technique for supporting adaptive memoization with constant overhead.

A key property of our approach is that it accepts a simple and asymptotically efficient implementation. The implementation extends our previous implementations for adaptivity [2] and selective memoization [3]. The overhead of the implementation—slowdown caused by our techniques with respect to a non-incremental semantics—is constant.

2 Overview

We present an overview of previous work on memoization and adaptivity and describe how they can be combined. Section 4 formalizes the techniques presented here. Examples for motivating the need for combining adaptivity and memoization are given in Section 2.3.

2.1 Adaptivity and Dynamic Dependence Graphs

Adaptivity [2] is based on the notion of a modifiable reference or a modifiable for short. Modifiable references hold values that can change as a result of the user's revisions to the input. What distinguishes a modifiable reference from an ordinary reference is that the
system keeps track of the readers of the modifiable and when the value is changed, all values that depend on that modifiable can be updated by a change propagation algorithm.

Language support for adaptivity requires constructs for creating, reading, and writing modifiables. Each read of a modifiable specifies a reader function that computes a value based on the value of the modifiable read, called the source. Since values that are computed by reading modifiables can change due to an input change, a reader must write its result to a modifiable. In this paper, we require that each reader writes to exactly one modifiable called the target.

As an adaptive program executes, it builds a dynamic dependence graph or DDG that represents the data and control dependences in the execution. Creating a modifiable adds a vertex for that modifiable to the dependence graph. Reading a modifiable inserts an edge from the source to the target of the read and tags the edge with the reader function. Writing a modifiable tags the vertex for that modifiable with the value written. To represent the control dependences, a containment hierarchy of reads is maintained. A read r is contained in some other read r' if r is created during the execution of r'. The containment hierarchy represents the nesting of the reads of a computation. In the implementation, the containment hierarchy is represented using time stamps instead of containment edges (see Section 3).

When the input to an adaptive computation is changed, the output and the dependence graph can be updated by propagating changes through the dependence graph. Change propagation maintains a set of affected readers, readers whose sources have been changed, and re-executes them in sequential-execution order. Re-executing a reader re-establishes the relationship between its source and target by updating the value of the target, which can make affected the readers of the target. Re-executing a reader removes the dependences and the modifiables that was created by that reader in the previous execution, and inserts the dependences and modifiables created by re-execution. Note that due to conditionals, the dependences and size of the graph can change radically after an input change.

Adaptivity yields efficient incremental or dynamic algorithms for certain classes of algorithms and input changes. For example, in our original paper, we showed that Quicksort on a list updates its output in expected O(logn) time when its input is changed by inserting or deleting one key at the end. In recent work, we developed analytical techniques based on trace-stability for measuring the efficiency of algorithms made incremental using adaptivity [4]. As an example, we showed that the tree contraction algorithm of Miller and Reif yields a data structure for the dynamic-trees problem of Sleator and Tarjan [19]. Our experimental evaluation of the dynamic-trees data structure obtained by adaptivity shows that it is efficient in practice [5].

2.2 Memorization

Memoization caches results of all or selected function calls so that when a call is performed for a second time, the cached result is re-used instead of executing the call. Although memoization can improve performance dramatically, obtaining good performance in general requires control over certain aspects of memoization. These aspects include the type of equality tests that determine cache hits and the identification of precise dependences between input and output.

In his thesis [14], Pugh developed techniques for implementing memoization efficiently and presented techniques for constant-time equality checks and space-management [13]. Based on static program analysis and transformations, Liu and Teitelbaum [10] developed
techniques for determining what results to cache and how to use them. Since in general the result of a function call may not depend on all its arguments, it is important to cache result based on precise input-output dependences. Abadi, Lampson, and Levy [1], and Heydon, Levin, and Yu [9] investigated techniques for this purpose based on labeled lambda calculus. In recent work, we presented selective memoization techniques that provide programmer control over the issues of precise dependences, equality tests, and some control over space management [3]. Selective memoization enables performance of memoized applications to be analyzed using conventional techniques. As an example, we showed that a memoized version of Quicksort handles an insertion or deletion anywhere in the list in expected $O(n)$ time.

In the context of incremental computation, memoization yields efficient incremental algorithms for certain classes of algorithms and input changes. Pugh [14], and Pugh and Teitelbaum [15] show that divide-and-conquer algorithms that are based on the so-called stable decompositions can be made incremental efficiently using memoization.

2.3 Examples: Map and Insertion Sort.

We apply adaptivity and memoization to "map" and insertion sort and motivate the need for combining them. The insertion sort example motivates adaptive memoization by showing that an orthogonal combination of memoization and adaptivity does not suffice for efficient incremental computing in general.

**Example 1: map.** Figure 1 shows the code for a simple map function (left) that maps a list to another list by adding five to each element. The pseudo-code for the adaptive version amap is shown on the right. Figure 2 shows an example dynamic dependence graph for amap with input list [1,3,4]. The input to amap is a modifiable list, a list where all tails are inside modifiabilities, and so is the output. In Figure 2, the vertices are modifiabilities, straight edges are reads, and dashed edges are the containment edges. Values of modifiabilities are shown in green (or gray). The value of each modifiable is either a cons cell or nil. The readers of the edges are all the same function as shown in the code in Figure 1. Containment edges originate at a reader and end at the reader for the caller—containment edges essentially represent the function call tree of the computation. An edge is contained in all the edges to its left.

Figure 3 shows an example of how the input to amap can be changed and the output can be updated. The value two is inserted to the input by creating a new modifiable $c$ and changing the modifiable $b$. Change propagation involves re-executing the only read of 6, which recursively calls amap on the new modifiable $c$. The recursive call recomputes the result for the tail of the input list starting at $c$. This creates modifiabilities $c'$, $l$ and $g$ and

<table>
<thead>
<tr>
<th>fun map 1 =</th>
<th>fun amap 1 =</th>
</tr>
</thead>
<tbody>
<tr>
<td>case 1 of</td>
<td>tar = new modifiable</td>
</tr>
<tr>
<td>nil =&gt; nil</td>
<td>read 1 with reader (fun vl =</td>
</tr>
<tr>
<td>I cons(h,t) =&gt; cons(h+5,map t)</td>
<td>case vl of</td>
</tr>
<tr>
<td></td>
<td>nil =&gt; write(tar,nil)</td>
</tr>
<tr>
<td></td>
<td>1 cons(h,t) =&gt; write(tar,cons(h+5,amap t))</td>
</tr>
<tr>
<td></td>
<td>return tar</td>
</tr>
</tbody>
</table>

Figure 1: The code for standard and adaptive map.
the edges \((c, c')\), \((d, l)\) and \((e, #)\). Since the edges \((d, d')\) and \((e, e')\) are contained in the re-executed edge \((6, b')\) they are removed from the dependence graph along with vertices \(d'\) and \(e'\). The removed elements are shown with thinner, dashed lines.

As the example demonstrates, when a new key is inserted to the input, the adaptive map function \(amap\) will re-compute the result for the tail of new cons cell. Thus an insertion at the end of the input list will be handled in constant time—such an insertion is a deep change, because it affects a leaf of the call tree. In general \(amap\) will take linear time to update its output.

As an alternative consider a memoized version of map where each call to map is cached in a memo table. Since inserting a new key into the input re-creates the prefix of the input list up to new key, a memo match will not occur until after the tail of the new key. Thus, an insertion at the head of the list will be handled in constant time—such an insertion is a shallow change because it affects the root of the call tree. In general general memoized map will take linear time to update its output.

Since adaptivity handles deep changes well and memoization handles shallow changes well, we can expect that their combination would work well for all changes. Indeed, consider caching the result of calls for \(amap\) based on the input argument. When the input is changed by an insertion, the reader of the changed modifiable will be re-executed and the second recursive call that the reader performs will find its result in the memo. In our example, inserting three will re-execute the edge \((6, b')\) and the result will be found in the memo when \(amap\) is called with the modifiable \(d\). Thus a combination of memoization and adaptivity will yield a constant time incremental map for insertions or deletions anywhere in the input list.
Example II: Insertion Sort. As an example where the orthogonal combination of adaptivity and memoization does not yield good performance we consider insertion sort. We show that insertion sort requires worst-case $O(n^2)$ time for an insertion in the middle of the list when using the orthogonal combination. When using adaptive memoization, we show that this reduces to $O(n)$.

Figure 4 shows the code for insertion sort that builds the result by inserting keys to a sorted accumulator list (a). Suppose we would like to make insertion sort incremental under a single insertion into the input list (l). Consider using adaptivity. As with the map example, when a new key is inserted into the input, the adaptive version will completely re-sort the tail of the list starting at the new key. Thus, although an insertion at the very end of the input will take linear time, an insertion at the head or the middle of the list will take $O(n^2)$ time in the worst case. As an alternative consider the memoized version of insertion sort. Inserting a key at the head or middle of the list will change the accumulator for all the following recursive calls, because they will now contain the new key. Thus no results will be found in the memo after that point. Therefore with both memoization and adaptivity insertion at the head or middle will require $O(n^2)$ time.\footnote{The bound is the same for the variant of insertion sort that inserts on the way up the recursion of isort instead of on the way down.} Combining them will not help.

As a concrete example, Figure 5 shows the the accumulators built by the standard insertion sort algorithm (Figure 4) with input $I = [6,5,4,8,7,0]$ (left) and $V = [6,5,4,9,8,7,0]$ (right)—$V$ is obtained from $I$ by inserting the key 9. Each column corresponds to an insertion to the accumulator; the time advances from left to right. Since each call to \texttt{insert} re-creates the accumulator list up to the position where the key is placed and re-uses the tail, some tails are shared—curved arrows show such sharing. Each computation is divided into two boxes, A, B, and A', B', corresponding to the parts before and after the call to \texttt{iSort} where the newly inserted key 9 is inserted to the accumulator. In particular, box B corresponds to the call \texttt{iSort}([8,7,0], [4,5,6]), and box B' corresponds to the call \texttt{iSort}([9,8,7,0], [4,5,6]).

The goal is to create the computation pictured on the right from the computation on the left. When using the adaptivity and memoization in combination, the result in box A will be re-used because of adaptivity, \emph{i.e.}, A' = A. But box B will not be re-used when constructing box B', because the insertion of 9 into the accumulator will create a entirely new accumulator and no call to \texttt{iSort} will find its results in the memo. The issue is that memoization permits result re-use only when the arguments to the function match exactly.
As motivation for an O(n)-time solution note that the accumulators in boxes B and B' are very similar—the only difference is the key 9. Thus, if we encapsulate the computation pictured in box B as a stand-alone adaptive computation with accumulator [4,5,6] and input list [8,7,0] we can create the computation in box B' by re-using B, changing its accumulator to [4,5,6,9] and propagating this change.

2.4 Adaptive Memorization.

Continuing on the insertion sort example, suppose that the results for the function iSort (Figure 4) are memoized based on just the input list and not on the accumulator. With this memoization policy, the result will be found in the memo when the call \texttt{iSort}([8,7,0], [4,5,6,9]) is performed. The returned result, \([0,4,5,6,7,8]\), however, will be the result from before the input change, \textit{i.e.}, that of the call \texttt{iSort}([8,7,0], [4,5,6]) and will be incorrect. The key idea is that with adaptivity this is not a problem because the accumulator can be changed to \([4,5,6,9]\) and the result can be updated with change propagation (see Section 5).

Adaptive memoization enables the result of a function call to be re-used by matching any subset of the arguments. When a result is re-used, the non-matched arguments will be changed and the result will be updated by change propagation. For this to work, the non-matched arguments must be stored inside modifiables.

Insertion sort demonstrates a general problem: the orthogonal adaptivity and memoization combination will generally be ineffective for algorithms that operate on some core data structure threaded through the computation. In such algorithms, an incremental input change can make some deep but small change to the core data structure forcing re-execution of a large number operations. In insertion sort, the core data structure is the accumulator list. Adaptive memoization will therefore be essential for making many interesting algorithms incremental.

3 Implementation

Building on our implementations of adaptivity \cite{2} and selective memoization \cite{3}, we implemented the combination of adaptivity and memoization. We present an overview of this
implementation and apply it to the map and insertion sort examples in Section 2. The dynamic semantics given in Section 4 presents a more precise definition of an implementation. Section 5 presents a more detailed treatment of insertion sort and Quicksort.

We study the orthogonal combination and adaptive memoization separately. To achieve constant-time overhead, our implementation relies on the representation of containment hierarchy of dynamic dependence graphs based on time-stamps, which we review first.

**Dynamic dependence graphs and time stamps.** To represent the containment hierarchy and a topological ordering of the dependence edges, the implementation uses time-stamps respecting the sequential execution order. Each read is assigned the time-interval of its execution and containment between reads is checked in constant time: a read $r$ is contained in some other read $r'$ if the time interval of $r$ is contained in that of $r'$.

Since change propagation modifies the dependence structure of dynamic dependence graphs, the order of time-stamps must be maintained dynamically. The implementation therefore maintains the time stamps using the constant time Dietz-Sleator order-maintenance data structure that supports, creation, deletion, and comparison of time stamps in constant time [8].

Figure 6 shows the dynamic dependence graph for adaptive map, amap, using time-stamps instead of the explicit control edges as in Figure 2 (Figure 1 shows the code for amap). Each read (downward arrows between circular nodes) is contained in all the reads to its left. Time-intervals of the reads are shown as pairs. For example, the time-interval of the read $(6, b^f)$ is $(2,7)$ and that of $(d, d^!)$ is $(3,6)$ and indeed the interval $(3,6)$ is contained in the interval $(2,7)$.

3.1 The Orthogonal Combination

To combine adaptivity and memoization, we extend conventional memoization to support re-use of dependence graphs by remembering the dependence graph of a function call in addition to the result. We refer to this combination as the orthogonal combination because it does not change the semantics of memoization or adaptivity.

For correctness, the implementation must ensure that (1) no dependence graph (or result) is used more than once, and (2) the containment hierarchy is updated properly when a dependence graph is re-used. The first restriction is necessary because adaptivity requires that any two calls of a function have disjoint dynamic dependence graphs.

The implementation satisfies these two properties efficiently by (1) only allowing re-use of result that would otherwise be deleted by change propagation and (2) requiring that re-used dependence graphs do not conflict with the containment hierarchy of the current dependence graph. More concretely, change propagation maintains a *re-use interval* $(r_s, r_e)$...
Figure 7: DDGs of \textit{amap} with input [1,2,3,4].

that is initialized to the time-interval of the read currently being re-executed. A dependence graph with time interval \((d_s,d_e)\) can only be re-used if its interval falls within the re-use interval, \textit{i.e.}, \(r_s < d_s\) and \(d_e < r_e\) (a dependence graph has the given time interval if all of its reads are in that time interval). When the dependence graph is re-used, the re-use interval is moved past the dependence graph by setting \(r_s := d_e\) and deleting all reads whose time-intervals fall within \((r_s,d_e)\). When re-execution of a read completes, the remaining reads within the re-use interval are deleted.

The implementation remembers the dependence graph of a memoized result by storing the time-interval of the dependence graph for that result in the memo table. For example, the memo table of the computation in Figure 6 maps input \(a\) to the result \([6,8,9]\) consisting of the modifiables \(a, b, c, d, e\), and the time interval \((1,8)\). The time interval identifies the sub-graph of the current dynamic dependence graph that corresponds to the memoized call. Since a result can only be re-used if it is a subgraph of the dependence graph and if it falls within the current re-use interval, remembering the time-interval suffices.

To implement the orthogonal combination efficiently, we combine the implementations adaptivity [2] and selective memoization [3] and extend memo tables for storing time-intervals. Since the memo tables store time-intervals along with results, a result can be cached multiple times with different intervals. In this paper, we only consider applications that computes and caches any result no more a constant times. With this restriction, the overhead of the orthogonal combination is expected constant.

As an example of how the orthogonal combination works, execute the call \textit{amap}([1,3,4]) and change the input by inserting the new key 2 by changing the modifiable \(b\) (the change is shown in Figure 3). Performing change propagation with this change on the dependence graph of Figure 6 will build the dependence graph in Figure 7 in expected constant time. Change propagation algorithm will re-execute the read \((6,b')\) of Figure 6 after initializing the re-use interval to \((2,7)\). Re-execution of this read will recursively call \textit{amap} on \(c\). The call will create the modifiable \(c'\), read \(c\), and call \textit{amap} on \(d\). The read of \(c\) will be time-stamped with \((2.5,6.5)\) to fit between the intervals \((2,7)\) and \((3,6)\). Since the call \textit{amap}(\(d\)) falls inside the re-use interval, it will be re-used. Since there are no more changes, change propagation will terminate updating the result in expected constant time. Note the only modifiable created during re-execution is \(c'\)—in contrast conventional change propagation re-creates the whole tail of the result as shown in Figure 3.

3.2 Adaptive Memoization

Adaptive memoization changes the semantics of memoization by allowing previous results to be re-used based on matching any subset of the arguments. For correctness, arguments that are not matched must be modifiables. For example, calls of the function \(f(a, b)\) can
be memoized and re-used when the values of \(a\) match regardless of \(b\), as long as \(b\) is a modifiable.

To support adaptive memoization, the implementation encapsulates dependence graphs as stand-alone adaptive computations by making a local copy of each unmatched argument. The local copies of the unmatched arguments are designated as input to the memoized computation. When a result is re-used the unmatched arguments are connected to the corresponding local copies, the values of the local copies are changed to those of the unmatched arguments and change propagation is performed to update the re-used result. To implement adaptive memoization, we extend the implementation for the orthogonal combination by having memo tables remember the local copies for the dependence graphs.

As an example, Figure 8 shows the pseudo-code for the adaptively memoized version of \textit{insert} of the insertion sort example (Figure 4). Function \texttt{m_insert} inserts a given key \(k\) to the list \(t\). The argument \(h\) is the last inspected key and used for memoization only. The banged parameters, \(k,h\), are matched (used for memo lookups), and the argument with the questions mark, \(t\), is not matched (not used for memo lookups). Thus the memo table for \texttt{m_insert} maps \(k\) and \(h\) to a result and an adaptive computation consisting of a time interval and a local copy of \(t\).

![Figure 8: Pseudo code for insert.](image)

Figure 9 shows the dependence graph for the call \texttt{m_insert(8, (0, [4,5,6]))} that inserts 8 to [4,5,6]. The input consists of the modifiables \(a,b,c,d\). Since memoization does not match on the input list, the modifiables \(a,b,c,d\) are copied before being read; the modifiables \(A,B,C,D\) are the local copies. The reads between \(a,b,c,d\) and \(A,B,C,D\) copy values of the input modifiables to their local copies. Since \texttt{m_insert} reads only the local modifiables its dependence graph can be re-used by linking the unmatched inputs of the call to the local copies.

Adaptive memoization allows results re-use based on the content or the structure of the
input rather than its identity. As an example of how this is useful consider performing the call \texttt{reinsert (8, (0, [4,5,6,9]))} after the call \texttt{m.insert (8, (0, [4,5,6]))}. Although the inputs \([4,5,6]\) and \([4,5,6,9]\) are structurally similar, they may consist of different modifiables deeming conventional memoization ineffective—indeed this is the problem with insertion sort described in Section 2. Adaptive memoization can exploit the similarity between the two inputs by re-using a large part of the dependence graph for the call \texttt{m.insert (8, (0, [4,5,6])}) as shown in Figure 10.

To see how adaptive memoization works, suppose the changed input consists of the new modifiables \(t, u, v, y, z\) as shown in Figure 10. Since the result for the call \texttt{m_insert (8, (0, [4,5,6,9])}) is memoized based only on \((8,0)\) it will be found in the memo. The dependence graph with interval \((3,16)\) will be re-used and \(t\) will be copied to \(A\), creating a dependence from \(t\) to \(A\). Copying will change the value of \(A\) (its tail now points to \(u\) instead of \(b\)) and the read \((A, a')\) will be re-executed. The result will again be found in the memo and \(u\) will be copied to \(B\) and so on until the call with \(z\), whose result will not be found in the memo because the key 9 has never been seen before. Thus a local copy for \(z\) will be created. The update will take linear time and will synchronize the old and the new computation so that the results are identical except for the newly inserted key. In the context of the insertion sort, this will suffice for synchronizing the computations before and after an insertion and updating the result in expected \(O(n)\) time.

4 An Incremental Functional Language


Our implementation of the IFL language closely follows the dynamic semantics of IFL. The main difference is that instead of using traces, like the dynamic semantics does, the implementation uses dynamic dependence graphs and memo tables. This is purely for efficiency reasons.

Selective memoization [3] enables the programmer to express the precise input-output dependences of a memoized function. To support adaptive memoization, we extend selective memoization with constructs that deem an input unmatched. An unmatched input is an input that is not used when performing a memo lookup. The IFL language supports introduction and elimination forms for unmatched input using question types.
The static semantics of IFL is a combination of the static semantics AFL and MFL extended with question types.

The dynamic semantics combines those of MFL and AFL and extends it to support adaptive memoization. The dynamic semantics of AFL is preserved but the semantics of MFL has been extended to support adaptive memoization and the limited form of memoization allowed here. One critical change is the omission of memo-tables. Instead, we extend the AFL traces with memoized computations. During change propagation, memo lookups inspect the trace of the currently re-executed read for a possible match.

4.1 Abstract Syntax.

The abstract syntax of IFL is given in Figure 11. Meta-variables $x, y, z$ and their variants range over an unspecified set of variables. Meta-variables $a, b, c$ and variants range over an unspecified set of resources. Meta variable $l$ and variants range over a unspecified set of locations. Meta variable $m$ ranges over a unspecified set of memo-function identifiers. Variables, resources, locations, memo-function identifiers are mutually disjoint. The syntax

Figure 11: The abstract syntax of IFL.
of IFL is restricted to "2/3-cps" or "named form" to streamline the presentation of the dynamic semantics.

The types of IFL includes the base type int, sums \( T + T \times I \) and products \( T \times T \), bang \(!\) r and question ?r types, the stable function types, \( T \rightarrow T \), changeable function types \( T \rightarrow^* T \), memoized-stable function types \( 7i \rightarrow T \), and memoized-changeable function types \( 7i \rightarrow^* T \). Extending IFL with recursive or polymorphic types presents no fundamental difficulties but omitted here for the sake of brevity.

The underlying type of a bang type \(! T\) is required to be an indexable type. An indexable type accepts an injective index function into integers [3]. Operationally, the index function is used to determine equality. Any type can be made indexable by supplying an index function based on boxing or tagging [3]. Since this is completely standard and well understood, we do not have a separate category for indexable types to keep the language simple.

The abstract syntax is structured into terms and expressions, which in turn are partitioned into changeable and stable. Terms evaluate independent of their contexts, as in ordinary functional programming, whereas expression evaluate with respect to a memo table. Terms and expression divided into two categories, the stable and the changeable. The value of a stable expression or term is not sensitive to the modifications to the input, whereas the value of a changeable expression or term may be affected by them.

**Stable and Changeable Terms.** Familiar mechanism of functional programming are embedded in IFL in the form of stable terms. Ordinary functions arise in IFL as stable functions. The body of a stable function must be a stable term; the application of a stable function is correspondingly stable. The stable term mod \( t_r \) allocates a new modifiable reference whose value is determined by the changeable term \( t_c \). Note that the modifiable itself is stable, even though its contents is subject to change.

Changeable terms are written in destination-passing style with an implicit target. The changeable term write \((iO \rightarrow v)\) writes the value \(v\) into the target. The changeable term read \(v\) as \(x\) in \(t_c\) end binds the contents of the modifiable \(v\) to the variable \(x\), then continues evaluation of \(t_c\). A read is considered changeable because the contents of the modifiable on which it depends is subject to change. A changeable function itself is stable, but its body is changeable; correspondingly, the application of a changeable function is a changeable term. The sequential let construct allows for the inclusion of stable sub-computations in changeable mode. Case expressions with changeable branches are changeable.

Memoized stable and changeable functions are function whose bodies are stable or changeable expressions. As with stable and changeable functions, memoized functions are stable terms. Applications of memoized stable functions are stable and applications of memoized changeable functions are changeable.

**Stable and Changeable Expression.** Expression are evaluated in the context of a memo table and are divided into stable and changeable. Stable and changeable expressions are symmetric except for the body of the return construct. Stable terms are included in stable expressions, and changeable terms are included in changeable expressions via a return. As with the MFL language [3], the constructs let*, let!, let?, mease express dependences between the input and the result of a memoized function. The return computes the result based on the the dependences expressed by these constructs.
4.2 Static Semantics

The static semantics of the language combines the static semantics of AFL and MFL and extends them with question types. Typing judgments take place with respect to three contexts: A for resources, A for locations, and F for ordinary variables. We distinguish two modes, stable and changeable. Stable terms and expressions are typed in the stable mode and changeable terms are typed in the changeable mode.

The judgment $A; A; F \vdash t : r$ states that $t$ is a well-formed stable term of type $r$ relative to $A$, $A$ and $F$. The judgment $A; A; F \vdash e : r$ states that $e$ is a well-formed stable expression of type $r$ relative to $A$, $A$ and $F$.

The judgment $A; A; F \models t : r$ states that $t$ is a well-formed changeable term of type $r$ relative to $A$, $A$ and $F$. The judgment $A; A; F \models e : r$ states that $e$ is a well-formed changeable expression of type $r$ relative to $A$, $A$ and $F$.

To support adaptive memoization we use the question types $? (r \mod)$. The $?$ construct introduces a question type and let $?$ construct eliminates it. One non-orthogonal requirement about question types is that their underlying type must be a modifiable type—this is the result of the interaction between memoization and adaptivity. The typing rules for the bang types and the $?$ types are otherwise symmetric.

The typing rules distinguish between terms and expressions and a stable and changeable context. The stable and changeable expression are similar. Figure 12 shows the typing rules for values, Figure 13 shows the typing rules for terms, and Figure 14 shows the typing rules for expressions.
\[ \begin{array}{c}
\Delta; A : A ; \text{Flhn} : \text{int}^{(\text{int} \rightarrow \text{int})} \\
\end{array} \]

\[ \frac{\Delta(a) = \tau}{A : A ; \text{Flha} : T \vdash \overline{\text{a}} : \tau} \quad \frac{\text{(resource)}}{A : A ; \text{Flh} Z_r : \tau} \quad \frac{\text{(ocafon)}}{A : A ; \text{Flhz} : T} \]

\[ \frac{0 : A ; \text{riht} : r}{A : A ; \text{rihu} : !r^{(\text{ban})}} \quad \frac{\Delta; A : A ; \text{riht} : i : n \quad A : A ; \text{Flh} ^{\wedge}_r : r}{A : A ; \text{riht} \quad (\ldots) : n \times r^2} \quad \frac{0 ; A ; \text{Flh} t_r : r} {\text{(question)}} \]

\[ \frac{\Delta; A ; \text{riht} : i : n \quad A ; A ; T \text{ lh} ^{\wedge}_r : r \quad A ; A ; \text{riht} \quad (\ldots) : n \times r^2} {\text{(product)}} \]

\[ \frac{\Delta; A ; \text{riht} : i : n} {\Delta; \Gamma ; \text{inr}_r + r^2 \text{ v} : \tau_r + r^2} \quad \Delta; \Gamma ; \text{v} : \tau_r \quad \text{(sum/1)} \quad \Delta; \Gamma ; \text{lh} : r \quad \text{(sum/r)} \]

\[ \frac{\Delta; A ; F ; / : n \cdot r_r ; x : n \text{ lht}_r : r_2} {\text{(stable fun)}} \]

\[ \frac{\Delta; A ; F ; / : n \cdot r_r ; x : n \text{ lht}_r : r_2} {\text{(changeable fun)}} \]

\[ \frac{A ; A ; T ; / : n \cdot \wedge r_r ; x : n \text{ Nt}_r : r_2} {\text{(memoized changeable fun)}} \]

\[ \frac{A ; a ; r : A ; F ; / : r \cdot \wedge l_r ; \text{lh e}_r ; r} {\text{(memoized stable fun)}} \]

\[ \frac{A ; a ; r : A ; F ; / : r \cdot \wedge 5_r ; \text{lh e}_r ; r} {\text{(memoized stable fun)}} \]

Figure 12: Typing of values.
Figure 13: Typing of stable (top) and changeable (bottom) terms.
Figure 14: Typing of stable (top) and changeable (bottom) expressions.
4.3 Dynamic Semantics

The dynamic semantics consists of four separate evaluation judgments corresponding to stable and changeable terms and stable and changeable expressions. All evaluation judgments take place with respect to a state \( a = (a, //, x > T) \) consisting of a location store \( a \), a memoized-function identifier store \( // \), a set of changed locations \( x > \) and a re-use trace \( T \). The location store is where modifiables are allocated, the memoized-function identifier store dispenses unique identifiers for memoized functions that are used for memo lookups. The set of changed location contains the locations that has been changed since the previous execution. The re-use trace is the trace available for re-use by the memo functions. Re-use trace is provided by change propagation and is empty in the initial evaluation.

The term evaluation judgments consists of changeable and stable evaluation forms. The judgment \( cr, t_s \vdash v, cr_7, T \) states that evaluation of the stable term \( t_s \) with respect to the state \( cr_7 \) yields value \( v \), state \( cr_7 \), and the trace \( T \). The judgment \( cr, l < t_c \vdash ty \vdash cr_7, T_c \) states that evaluation of the changeable term \( t_c \) with respect to the state \( a \) writes to destination \( I \) and yields the state \( cr_7 \) and the trace \( T_c \).

The expression evaluation judgments consists of changeable and stable evaluation forms. The judgment \( cr, m: /?, e, \xi \vdash cr_7, v, T_s \) states that the evaluation of the stable expression with respect to state \( cr_7 \), branch \( /? \), and memo identifier \( m \) yields the state \( cr_7 \), the value \( v \) and the trace \( T_s \). The judgment \( cr, m: /?, / < e, 4I< cr^2, T_c \) states that the evaluation of the changeable expression with respect to state \( cr \), branch \( /? \), and memo identifier \( m \) writes to target \( I \) and yields the state \( cr_7 \) and the trace \( T_c \).

Evaluation of a term or an expression records its activity in a trace. Traces are divided into stable and changeable. The abstract syntax of traces is given by the following grammar, where \( T \) stands for a trace, \( T_s \) stands for a stable trace and \( T_c \) stands for a changeable trace.

\[
T \quad ::= \quad T_s \mid T_c \\
T_s \quad ::= \quad e_{\xi}Pc)_{let}\forall T.;T/(\neg r)f_{imM} \\
T_c \quad ::= \quad W_I;I_2f_{-\forall}(T_c)|T.;T_c|\{T_c\}^{\forall}_{i/B} \\
\]

When writing traces, we adopt the convention that ";" is right-associative.

A stable trace records the sequence of allocations of modifiables that arise during the evaluation of a stable term or expression. The trace \( (T_c)^{\ast}_j \) records the allocation of the modifiable, \( l \), its type, \( r \), and the trace of the initialization code for \( l \). The trace \( T_s \); \( T^\ast \) results from evaluation of a let expression in stable mode, the first trace resulting from the bound expression, the second from its body. The trace \( \{T_c\}^{\forall}_{i/B} \) arises from the evaluation of a stable memoized function application; \( m \) is the identifier, \( /? \) is the branch expressing the input-output dependences, the value \( v \) is the result of the evaluation, \( \forall \ldots I_n \) are the unmatched modifiables, and \( T_s \) is the trace of the body of the function.

A changeable trace has one of four forms. A write, \( W_r \), records the storage of a value of type \( r \) in the target. A sequence \( T_s \); \( T_c \) records the evaluation of a let expression in changeable mode, with \( T_s \) corresponding to the bound stable expression, and \( T_c \) corresponding to its body. A read \( i?f_{im}(T_c) \) trace specifies the location read, \( I \), the context of use of its value, \( e \), and the trace, \( T_c \), of the remainder of evaluation with the scope of that read.

This records the dependency of the target on the value of the location read. The memoized
changeable trace \( \{ T_c \} T^m \wedge v \) arises from the evaluation of a changeable memoized function; \( m \) is the identifier, \( J^3 \) is the branch expressing the input-output dependences, \( \wedge \ldots l_n \) are the unmatched modifiables, and \( T_c \) is the trace of the body of the function. Since changeable functions write their result to the store, the trace has no result value.

Dynamic dependency graphs and the memo tables described in Section 3 may be seen as an efficient representation of traces. Time intervals may be assigned to each read in the trace in left-to-right order. The containment hierarchy is directly represented by the structure of the trace. Specifically, the trace \( T_c \) (and any read in \( T_c \)) is contained within the read trace \( R^mJT_c \). Memo tables remember traces of the form \( \{ T_s \} T^m \wedge , x \) and \( \{ T_c \} T^m \wedge , v \). The identifier \( m \) identifies a memo table, the branch \( J^3 \) is the lookup key, \( v \) is the result, and the trace \( T_c \) or \( T_s \) along with the unmatched modifiables \( l_1, \ldots, l_n \) is an encapsulated adaptive computation with inputs \( Z_1, \ldots, l_n \). Since changeable expressions write their result to a modifiable, an explicit result is not stored for memoized changeable expressions.

**Term evaluation.** Figures 15 and 16 show the evaluation rules for stable and changeable terms. Memoized stable and memoized changeable functions are evaluated into values by generating a new memoized function identifier \( m \). Memoized changeable and stable applications evaluate some expression in the context of an identifier \( m \) and a branch \( J^3 \). As in selective memoization, the branch collects the precise dependencies between the input and the output. For stable applications the branch starts out empty (e). For changeable applications it is initialized to the target—since a changeable expression writes to its target, the target must be identical for the "result" to be re-used.

**Expression Evaluation.** Expression evaluation takes place in the context of memo function identifier \( m \), a branch, and a re-use trace. The incremental evaluation constructs (let!, let?, let*, mease) create a branch, denoted \( J^3 \). A branch is a list of events corresponding to "choice points" in the evaluation of an expression.

\[
\text{Event} \quad e : : = \downarrow v \mid ? v \mid \text{inl} \mid \text{inr} \\
\text{Branch} \quad J^3 : : = \bullet \mid e \bullet J^3
\]

The branch and the identifier \( m \) is used by the return construct to lookup the re-use trace for a match. If a match is found, the result is returned and the body of \textbf{return} is skipped. Otherwise, the body of the return is executed.
Figure 15: Evaluation of stable terms.

Figure 17 shows the rules for stable-expression evaluation and Figure 18 shows the rules for changeable-expression evaluation. Changeable expressions are evaluated with an implicit target and the evaluation rules are otherwise similar to those of stable expressions. The evaluation \( \sigma, m : \beta, e_s \downarrow^\forall v, a \land T_s \) states that the evaluation of stable expressions \( e_s \) in the context of the state \( \sigma \), with memo function identifier \( m \) and branch \( \beta \), yields the value \( \tau \), the state \( a' \) and the trace \( T_s \). The evaluation \( \sigma, m : \beta, l \leftarrow e_c \land^\forall v, a' \land T_c \) states that the evaluation of changeable expression \( e_c \) in the context of the state \( \sigma \), with memo function identifier \( m \) and branch \( \beta \) write to location \( l \) and yields the state \( a' \) and the trace \( T_c \).

Adaptive memoization permits result re-use by matching a subset of the values that the result of a function depends on. The unmatched dependences are expressed by the \texttt{let?} construct. The type system ensures that all unmatched arguments are modifiable. During
Figure 16: Evaluation of changeable terms.

a memo lookup, unmatched modifiables are separated from other dependences and memo look up is performed based on the matched dependences only.

The first row of Figure 17 shows the evaluation rules for the stable return expression. First the unmatched modifiables \( \Lambda \), \( Z_n \) are separated from the branch by split (•) and a memo lookup is performed. The memo lookup seeks for a memoized result in the re-use trace whose identifier and branch matches \( m \) and \( \beta' \). If a result is not found, then the lookup returns an empty trace (s). If a result is found, then it returns the trace found and the uninspected tail of the re-use trace. Figure 19 shows the definition of a look up.

When no result is found in the memo (top, left rule in Figure 17), the unmatched modifiables \( Z_i, \ldots, Z_n \) are copied into fresh modifiables \( l_1, \ldots, l_n \) and the body of the return is evaluated. The trace of the evaluation is then extended with the trace representing the copy operations and the result is returned.

When a match is found in the memo (top, right rule in Figure 17), the values of unmatched locations \( \Lambda \), \( Z_n \) are copied to the local copies \( l_1, \ldots, l_n \) of the re-used computation and a change propagation is performed to update the re-used trace with respect to the values of unmatched modifiables. The trace returned by change propagation forms the result trace together with the trace of the copies. Since a result is found in the memo, the body of the return is skipped.

\[
\begin{align*}
(\alpha, \mu, \chi, T) & = \sigma \\
\Rightarrow (\alpha[l \leftarrow v], \mu, \chi, T) \quad \text{(write)} \\
\Rightarrow a, Z \leftarrow \text{write}(v) J^\uparrow \sigma^\uparrow \cr_T
\end{align*}
\]

\[
\begin{align*}
(\nu_1 = \text{c_fun}(x : T) : T_2 \text{ is } t_c \text{ end}) \\
\Rightarrow v, l \leftarrow [v_1/f, V/2/x] t_c \quad V \quad \alpha', T_c \\
\Rightarrow \sigma, l \leftarrow \text{c_app}(v_1, v_2) \quad \psi^\uparrow \sigma^\uparrow \cr_T \quad \text{(changeable apply)}
\end{align*}
\]

\[
\begin{align*}
(\nu_1 = \text{mc_fun}(a : T_2) : r \text{ is } e_c \text{ end}) \\
\Rightarrow \sigma, m ! l, l \leftarrow [v_1/f, v_2/o] e_c, y, q', T \\
\Rightarrow \sigma, l \leftarrow \text{c_app}(v_1, v_2) \quad \psi^\uparrow \sigma^\uparrow \cr_T \quad \text{(memo apply)}
\end{align*}
\]

\[
\begin{align*}
\sigma, t_a \\
\sigma', t \leftarrow [v_1/z] t_2 \\
\sigma', t \leftarrow \psi^\uparrow \sigma^\uparrow \cr_T \\
\Rightarrow a, Z \leftarrow \text{let} x \text{ be } t, \text{ int } t_c \text{ end } J^\uparrow \sigma^\uparrow \cr_T \quad \text{(let)}
\end{align*}
\]

\[
\begin{align*}
\sigma, l' \leftarrow [\sigma(l)/z] t_c \\
\Rightarrow a, Z' \leftarrow \text{read} Z \text{ as } x \text{ in } t_c \text{ end } J^\uparrow \sigma^\uparrow \cr_T \quad \text{(read)}
\end{align*}
\]

\[
\begin{align*}
\Rightarrow a, Z \leftarrow \text{case inl}_{\_\_ \_} \text{ of inl } (\chi_1 : T_1) \Rightarrow t, \text{ inr } (\chi_2 : T_2) \Rightarrow t' \text{ end } J^\uparrow \sigma^\uparrow \cr_T \quad \text{(case)}
\end{align*}
\]
Figure 17: Evaluation of stable expressions.
Figure 18: Evaluation of changeable expressions.

Figure 19: The rules for memo look up.
4.4 Change Propagation

We present a formal version of the change-propagation algorithm, which is informally described in Section 3. The algorithm extends the original change propagation algorithm [2] to support result re-use. Given a trace, a state \( \langle ; \rangle \), and a set of changed locations \( X > \) the algorithm scans through the trace as it seeks for reads of changed locations. When such a read is found, the body of the read is re-evaluated to obtain a revised trace. Crucial point is that the re-evaluation of a read re-uses the trace of that read. In contrast, the original change propagation algorithm throws away the trace of the re-evaluated read [2]. Since re-evaluation can change the value of the target of the re-evaluated read, the target is added to the set of changed locations. Figure 20 shows the rules for change propagation.

The change propagation algorithm is given by these two judgments:

1. Stable propagation: \( \langle ; \rangle X > T_s \xrightarrow{s} T^\chi^\prime \)

2. Changeable propagation: \( c, X > I \xrightarrow{c} T_c \xrightarrow{c} T^\chi, X > C \)

These judgments define the change-propagation for a stable trace, \( T_s \) (respectively, changeable trace, \( T_c \)), with respect to a a set of changed locations \( X > \), state \( \langle ; \rangle = (a, f_i) \) consisting of a location store \( a \), and function identifier store \( f_i \). For changeable propagation a target location, \( I \), is maintained as in the changeable evaluation mode of IFL.

Given a trace, change propagation mimics the evaluation rule of IFL that originally generated that trace. To stress this correspondence, each rule is marked with the name of the evaluation rule to which it corresponds. For example, the propagation rule for the trace \( T_s ; T'_s \) mimics the \texttt{let} rule of the stable mode that gives rise to this trace.

Note that the purely functional change-propagation algorithm presented here scans the whole trace. Therefore, a direct implementation of this algorithm will run in time linear in the size of the trace. Performance can be improved by using side effects: since the change-propagation algorithm revises the trace by only replacing the changeable trace of re-evaluated reads, the re-evaluated reads can be replaced in place, while skipping the unaffected parts of the trace. This is how the ML implementation performs change propagation using a dynamic dependency graph as described in Section 3.
Figure 20: Change propagation for stable (top) and changeable (bottom) traces.
5 Applications

We describe how to make Insertion Sort and Quick Sort incremental under insertions and deletions to the input. We prove strong performance bounds. For insertion sort, we show that an insertion or deletion is handled in expected-case $O(n)$ time with adaptive memoization. For Quicksort, we consider insertions and deletions at random locations and show an expected $O(\log^2 n)$ bound by using the orthogonal combination. We improve this to expected $O(\log n)$ by using adaptive memoization. The expectations are over internal randomness for hashing used in memo tables. For Quicksort the expectation is also over all permutations of the input, as usual.

We present the code for the applications by using an extended version of the IFL language that support lists. For brevity, we also use pattern matching on the bang and question mark types, and do not apply the named-form restriction.

Both algorithms operate on modifiable lists defined as

```plaintext
datatype 'a mlist = NIL | CONS ('a * ('a mlist) mod)
type 'a modlist = ('a mlist) mod.
```

For our results, we assume that inputs to the applications do not contain multiple instances of the same key. Uniqueness can easily be ensured by associating a unique identifier with each element of the input.

The time for updating the output of an incremental computation is affected by the kind and the size of the priority queue employed for change propagation [2, 4]. Although a general purpose, logarithmic time priority queue works for all applications, it is not efficient for many applications. For example, we showed that a certain class of parallel computation can use a constant-time priority queue [4]. In insertion sort and the Quicksort with orthogonal combination, the size of the queue is bounded by a constant, and thus a general purpose priority queue can be used. For the adaptively memoized version of Quicksort however the queue size can be linear in the size of the input. Thus a general purpose priority queue does not work well. Instead, we use a constant-time doubly ended priority queue. Insertions to the queue are done either at the front or the back and deletions are always done at the front. An insertion checks if the priority of the inserted key is higher than the key at the front, if so the key inserted at the front, otherwise it is inserted at the back.

5.1 Incremental Insertion Sort

Figure 21 shows the code for incremental insertion sort. The function iSort inserts the keys in the input list 1 into an initially empty accumulator a. As indicated by the ! and ?, the result is memoized based on the input list and adaptively memoized on the accumulator. This means that a result will be found in the memo when the input lists are identical even though the accumulators are not. The function insert inserts a given key i into the list t. It is memoized based on i and the previously inspected key h, and adaptively memoized with respect to t. This ensures that the same result will be returned as long as the content of the lists (t's) are the same even if they contain different cons cells.

As discussed in Section 2 without using adaptive memoization, insertion takes $O(n^2)$ time even with the orthogonal combination of adaptivity and memoization. Adaptive memoization improves performance to expected $O(n)$ time.
Theorem 1
Insertion sort (shown in Figure 21) updates its result in expected $O(n)$ time when its input is changed by an insertion or deletion anywhere in the list.

Proof (sketch): We consider $iSort$ and $insert$ in isolation. Inserting a new key $k$ will change some modifiable in the list and insert a new modifiable $m$ for the tail. Since the tail of $m$ will not be affected, $iSort$ will synchronize with the previous execution after two calls to $insert$—even though the accumulator has changed.

To insert the new key $k$ to the result, function $iSort$ will call $insert$. Since $k$ has never been seen before, $insert$ will insert $k$ to the accumulator returning a new accumulator. Since the accumulator has now changed, the subsequent calls to $insert$ will need to be re-executed. Since the contents of the accumulator are the same as before, except for the location where $k$ is inserted, each re-executed call of $insert$ will synchronize with the previous execution by returning the same result. At most $n$ reads will involve the new key $k$, and therefore the accumulators will be synchronized after $O(n)$ re-execution of the sole read in $insert$. Since each re-execution takes expected constant time, the result will be updated in expected $O(n)$ time.

5.2 Incremental Quicksort
We consider two versions of Quicksort using the orthogonal combination and adaptive memoization. The table below compares their performance for a single insertion or deletion at the beginning, at the end, and at a random location in the list to the performance with memoization or adaptivity only. All bounds are expected case with expectations taken over...
all possible permutations of the input; for random insertions, expectations are taken over all possible locations in the input with uniform probability.

<table>
<thead>
<tr>
<th></th>
<th>beginning</th>
<th>end</th>
<th>random</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adaptive Memo</td>
<td>$O(n)$</td>
<td>$O(\log n)$</td>
<td>$O(\log n)$</td>
</tr>
<tr>
<td>Orthogonal</td>
<td>$O(n \log n)$</td>
<td>$O(\log n)$</td>
<td>$O(\log^2 n)$</td>
</tr>
<tr>
<td>Memoized</td>
<td>$O(n)$</td>
<td>$O(n \log n)$</td>
<td>$O(n \log n)$</td>
</tr>
<tr>
<td>Adaptive</td>
<td>$O(n \log n)$</td>
<td>$O(\log n)$</td>
<td>$O(n \log n)$</td>
</tr>
</tbody>
</table>

**Quicksort with Orthogonal Combination.** Figure 22 shows the code for incremental Quicksort using the orthogonal combination. The code avoids appends by using an accumulator and is very similar to the adaptive Quicksort analyzed in previous work [2]. The only difference is that the filter function $\text{fil}$ is memoized based on the pivot, the function for filtering, and the input list.

**Theorem 2**
The Quicksort with the orthogonal combination takes expected $O(n \log n)$ time for insertions at the head of the input, expected $O(\log n)$ time for insertions at the end of the input, and expected $O(\log^2 n)$ time for insertions at a (uniformly) randomly chosen position. Expectations are over all permutations of the input list. The same bounds apply to deletions.
\textbf{Proof:} Inserting a key at the head of the input list re-executes the first call to \texttt{qs} and thus takes expected $O(n \log n)$ time. In previous work, we showed that insertions at the end of the input take $O(\log n)$ expected time using adaptivity only, thus the same result applies.

Consider inserting a new key $k$ anywhere in the list. Key $k$ will be propagated down the recursion tree by re-executing calls to \texttt{fil} along some path until $k$ becomes the pivot. When $k$ becomes the pivot, the corresponding call to \texttt{qs} will be re-executed. Since \texttt{fil} is memoized based on the input list, a single insertion to the input will take expected constant time to handle at each level. Consequently, the total time is the no more than the depth of the tree plus $O(m \log m)$ where $m$ is the number of keys in the input when $k$ becomes pivot. The depth of the tree is expected $O(\log n)$. Thus we need to show is that $O(m \log m)$ is $O(\log^2 n)$ in the expected case.

The expected time for \texttt{qs} on an input list of size $m$ is, $E[T(m)] = O(m \log m)$ with expectation over all permutations of the input. We are interested in the expectation of this for a random insertion position. Thus $E[E[T(m)]] = E[O(m \log m)]$, since $m \leq n$, we have $E[T(m)] = (\log n)E[m]$. The expected value $m$ is $O(\log n)$ by using the well known isometry between the pivot-tree of Quicksort and Treaps [18]. Thus a uniformly random insertion takes $O(\log^2 n)$ time.

\textbf{Quicksort with Adaptive Memoization.} Figure 23 shows the code for Quicksort with adaptive memoization. The difference between this version and the version using orthogonal combination is that \texttt{fil} is not memoized based on the input list. It now takes a separate head and tail and is memoized based only on the head. This ensures that \texttt{fil} generates the same output when its input consists of keys that are a subset of the previous input—even if the new input consists of different cons cells.

\textbf{Theorem 3}

\textit{The adaptively memoized Quicksort takes expected $O(n)$ time for insertions at the head of the input, expected $O(\log n)$ time for insertions at the end of the input, and expected $O(\log n)$ time for insertions at a uniformly randomly chosen position. The expectations are over permutations of the input list. The same bounds apply to deletions.}
Proof: The result for inserting at the end of the input list relies only on adaptivity and our previous result applies [2]. To prove the $O(n)$ bound for insertions at the head, we use an argument that is similar to that with memoization Quicksort [3]. The result for a random insertion will then follow by the fact that the expected size of a randomly selected subtree has size $O(\log n)$.

Consider the recursion tree for Quicksort on some input where each recursive call is marked with its pivot. Now consider the recursion tree of Quicksort on the input changed by inserting a new key $k$ at the head. Figure 24 shows the pivots trees for two such inputs. Since the new key $k$ is inserted at the head of the input list, it will become root. Consider the rightmost spine of the left subtree of the root and the leftmost spine of the right subtree of the root—these spines are marked with bold edges in Figure 24. The following properties are true as shown in previous work [3].

1. The subtree connected to the vertices of the spine are identical in both recursion trees.

2. The sum of the sizes of the subtrees of vertices on the spines is expected $O(n)$, where the expectation is over all permutation of the input.

Consider any call that is not on the spine. By property (1) the input to that call is identical before and after the insertion. The call to filters at each such node will therefore find its result in the memo and take expected constant time. Since calls to filter are performed in reverse sorted order in both computations, re-use of a result will not invalidate some other result. Thus all the calls except for those at the two spines will take constant time. Note that such result re-use is not possible without adaptive memoization, because the input lists will not in fact be identical even though their contents are the same—the filters at the root will generate all new results. The calls at each spine will take expected linear time in the size of their inputs. By property (2), the sum of the input sizes to the calls on the spines is expected $O(n)$, therefore the time for these calls is $O(n)$. This establishes the $O(n)$ bound for an insertion at the head of the input list.

For random insertions, consider inserting a new key $k$ at a random position in the input. The newly inserted key will be propagated down the call tree by re-executing filter calls along some path. Since the filter is memoized each level will take expected constant time.
Since the depth of the recursion tree is expected $O(\log n)$, the time for these call will be expected $O(\log n)$. When the new key becomes the pivot, it will cause the corresponding call to $qs$ to re-execute. By using the result for an insertion at the of the input, this will take $O(m)$ time where $m$ is the size of the input to that call. By using the known isometry between Treaps [18] and the call tree of Quicksort, the expected size of $m$ is $O(\log n)$. It follows that the expected time to handle a random insertion is $O(\log n)$.

References


