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Optimizing Pattern Matching by Program Transformation

Emilie Balland and Pierre-Etienne Moreau

UHP & LORIA and INRIA & LORIA, BP 101, 54602 Villers-lès-Nancy Cedex France {balland,moreau}@loria.fr, url: tom.loria.fr

Abstract. The compilation of pattern matching constructs is crucial to the efficient implementation of functional languages like ML, Caml, or Haskell as well as rewrite rule based languages such as ASF+SDF, ELAN, Maude, or Stratego for example. Until now, the classical approach was to compute an (optimized) automaton before generating, in a straight-forward way, the corresponding implementation code. Optimizations such as tests-sharing are encoded in the construction of the automaton. While efficient, this leads to algorithms which are often complex and difficult to extend and to maintain.

In this paper we present a new compilation method based on program transformation. The principle is to separate the compilation of pattern matching from its optimization, and describe optimizations using transformation rules. This eases the compilation of extensions, such as new equational theories, or the addition of orpatterns for example. In addition, we show that the proposed optimizations are correct and effective in practice. The presented approach has been implemented and applied to Tom, a language extension which adds pattern-matching facilities to C and Java.

1 Introduction

Pattern matching is an elegant high-level construct which appears in many programming languages. Similarly to method dispatching in object oriented languages, in functional languages like ML [1], or rewrite rule bases languages like ASF+SDF [7,15], ELAN [4], Maude [6], Stratego [16], or Tom [12], the notion of pattern matching is essential: it is part of the main execution mechanism.

There exists several methods [5,2,9,8] to efficiently compile pattern matching. The simplest ones, called *one-to-one*, consider and compile each pattern independently. A more efficient approach consists in considering the system globally and building a discrimination network. These methods are called *many-to-one*, and they usually consist of three phases: constructing an automaton, optimizing it, and finally generating the implementation code. There are two main approaches to construct a matching automaton. The first is based on decision trees [5,9], which correspond to deterministic automata. By introducing some redundancy, the idea is to ensure that every position of a given term is tested at most once. As a counterpart, the size of the decision tree becomes exponential in the number and the size of patterns. The second approach is based on backtracking automata [2], to avoid duplicating code. As a consequence, the efficiency can no longer be linear in the size of the subject: the compromise between speed and memory space is unavoidable [14].

In this paper, we present a new approach for pattern-matching compilation where the optimization phase is kept separated from the compilation phase. This allows us to design algorithms which are simpler to implement, easier to extend and maintain, and that can be formally certified [11,10]. In addition, this work allows to generate efficient implementations.

The presented work takes part of the Tom project, whose goal is to integrate the notion of pattern matching into classical languages such as C and Java. As presented in [12], a Tom program is a program written in a host language and extended by some new instructions like the %match construct. Therefore, a program can be seen as a list of Tom constructs interleaved with some sequences of characters. During the compilation process, all Tom constructs are dissolved and replaced by instructions of the host-language, as it is usually done by a preprocessor.

In order to understand the choices we have made when designing the pattern matching algorithm, it is important to consider **Tom** as a *restricted* compiler (like a pre-processor) which does not have any information about the host-language. In particular, the data-structure, against which the pattern matching is performed, is not fixed. As a consequence, we cannot assume that a function symbol (i.e. a node of a tree) is represented by an integer, like it is commonly done in other implementations of pattern matching. In some sense, the data-structure is a parameter of the pattern matching, see [10] for more details.

To allow this flexibility and support several host-languages, a pattern matching problem is compiled into an intermediate language code, called PIL, before being compiled into the selected host-language.



Fig. 1. General architecture of Tom: the compiler generates an intermediate PIL program which is optimized before being pretty-printed by the backend.

Road-map of the paper. In Section 2, we present the intermediate language PIL and its semantics. In Section 3, we present a rewrite system which describes the optimizer. We also define a strategy to efficiently apply these rules. In Section 4 we show that the presented rewrite system, and thus optimizations are correct. Finally, we present some experimental results in several revealing examples.

2 PIL language

In this section we define the syntax and the semantics of our intermediate language, called PIL.

2.1 Preliminary concepts

We assume the reader to be familiar with the basic definitions of first order term given, in particular, in [3]. We briefly recall or introduce the notation for a few concepts that will be used along this paper.

A signature \mathcal{F} is a set of function symbols, each one associated to a natural number by the arity function (ar : $\mathcal{F} \to \mathbb{N}$). $\mathcal{T}(\mathcal{F}, \mathcal{X})$ is the set of *terms* built from a given finite set \mathcal{F} of function symbols and an enumerable set \mathcal{X} of variables. Positions in a term are represented as sequences of integers and denoted by \wedge or ω . The set of positions is noted Ω . The empty sequence \wedge denotes the position associated to the root, and it is called the root (or top) position. The subterm of t at position ω is denoted $t_{|\omega}$. The replacement in t of the subterm $t_{|\omega}$ by t' is denoted $t[t']_{\omega}$. The set of variables occurring in a term t is denoted by $\mathcal{Var}(t)$. If $\mathcal{Var}(t)$ is empty, t is called a ground term and $\mathcal{T}(\mathcal{F})$ is the set of ground terms. $\mathcal{Symb}(t)$ is a partial function from $\mathcal{T}(\mathcal{F}, \mathcal{X})$ to \mathcal{F} , which associates to each term t its root symbol $f \in \mathcal{F}$. Two ground terms t and u of $\mathcal{T}(\mathcal{F})$ are equal, and we note t = u, when, for some function symbol f, $\mathcal{Symb}(t) = \mathcal{Symb}(u) = f$, $f \in \mathcal{F}$, $t = f(t_1, \ldots, t_n)$, $u = f(u_1, \ldots, u_n)$, and $\forall i \in [1..n]$, $t_i = u_i$.

A substitution σ is an assignment from \mathcal{X} to $\mathcal{T}(\mathcal{F})$, written, when its domain is finite, $\sigma = \{x_1 \mapsto t_1, \ldots, x_k \mapsto t_k\}$. It uniquely extends to an endomorphism σ' of $\mathcal{T}(\mathcal{F}, \mathcal{X})$: $\sigma'(x) = \sigma(x)$ for each variable $x \in \mathcal{X}$, $\sigma'(f(t_1, \ldots, t_n)) = f(\sigma'(t_1), \ldots, \sigma'(t_n))$ for each function symbol $f \in \mathcal{F}$. Given a pattern $p \in \mathcal{T}(\mathcal{F}, \mathcal{X})$ and a ground term $t \in \mathcal{T}(\mathcal{F})$, p matches t, written $p \ll t$, if and only if there exists a substitution σ such that $\sigma(p) = t$. A conditional rewrite rule is an ordered tuple of terms < l, r, c > noted $l \to r$ IF c such that $\mathcal{V}ar(r) \subseteq Var(l)$ and $\mathcal{V}ar(c) \subseteq \mathcal{V}ar(l)$. Given a set R of rewrite rules, called a rewriting system, a term $t \in \mathcal{T}(\mathcal{F})$ is rewritten into t' if there exist: a rule $l \to r$ IF $c \in R$, a position ω , and a substitution σ such that $t_{|\omega} = \sigma(l)$ and $\sigma(c)$ is true. In that case, $t' = t[\sigma(r)]_{\omega}$. When no more rule can be applied, the term obtained is said in normal form and noted $t_{\downarrow R}$.

2.2 Syntax

The syntax of PIL is given in Figure 2. As mentioned previously, the data-model of this language is a parameter. In practice, this means that a meta-language has to be used to define on which type of data-structure the expressions and instructions operate. For expository reasons, in the rest of this paper, we consider that first order terms define the data-model. Similarly to functional programming languages, given a signature \mathcal{F} and a set of variables \mathcal{X} , the considered PIL language can directly handle *terms* and perform operations like checking that a given term t is rooted by a symbol f ($is_fsym(t, f)$), or accessing to n-th child of a this term t ($subterm_f(t, n)$).

The intermediate language PIL has both functional and imperative flavors: the assignment instruction (let(variable, term, instr)) defines a scoped unmodifiable variable, whereas the sequence instruction (instr; instr) comes from imperative languages. A last particularity of PIL comes from the hostcode(...) instruction which is used to abstract part of code written in the underlying host-language. This instruction is parametrized by a list of PIL-variables which are used in this part of code. Examples of Tom, and PIL code are given in figure 3.

$$\begin{array}{ll} \text{PIL} & ::= \langle instr \rangle \\ \text{symbol} & ::= f \in \mathcal{F} \\ \text{variable} & ::= x \in \mathcal{X} \\ \langle term \rangle & ::= t \in \mathcal{T}(\mathcal{F}, \mathcal{X}) \\ & | \quad \text{subterm}_f(\langle term \rangle, n) \\ & (f \in \mathcal{F} \land n \in \mathbb{N}) \end{array} \begin{vmatrix} \langle expr \rangle & ::= b \in \mathbb{B} \\ & | \quad eq(\langle term \rangle, \langle term \rangle) \\ & | \quad is_fsym(\langle term \rangle, symbol) \\ \langle instr \rangle & ::= let(variable, \langle term \rangle, \langle instr \rangle) \\ & | \quad if(\langle expr \rangle, \langle instr \rangle, \langle instr \rangle) \\ & | \quad \langle instr \rangle; \langle instr \rangle \\ & | \quad hostcode(variable*) \\ & | \quad nop \end{array}$$

Fig. 2. PIL syntax

Tom code: Generated PIL code: hostcode(...); ... Java code ... $if(is_fsym(t,f), let(t_1, subterm_f(t, 1),$. . . %match(Term t) { $if(is_fsym(t_1, a), hostcode(), nop)),$ $f(a) \Rightarrow \{ print(\ldots); \}$ nop); $g(\mathbf{x}) \Rightarrow \{ print(\dots \mathbf{x} \dots); \}$ $if(is_fsym(t,g), let(t_1, subterm_g(t, 1),$ $f(b) \Rightarrow \{ print(\ldots); \}$ $let(x, t_1, hostcode(x)))$ } nop); $if(is_fsym(t,f), let(t_1, subterm_f(t, 1),$... Java code ... $if(is_fsym(t_1, b), hostcode(), nop)),$ nop); hostcode(...) ;

Fig. 3. The left colum shows a Tom program which contains three patterns: f(a), f(x), and f(b), where x is a variable. As an example, when the second pattern matches t, this means that t is rooted by the symbol g, and the variable x is instantiated by its immediate subterm. The right column shows the corresponding PIL code generated by Tom

2.3 Semantics

We define PIL semantics as in [10] by a big-step semantics \dot{a} la Kahn. First, we introduce the notion of *environment*, which models the memory of a program during its evaluation. To represent a substitution, we model an environment by a stack of assignments of terms to variables.

Definition 1. An atomic environment ϵ is an assignment from \mathcal{X} to $\mathcal{T}(\mathcal{F})$, written $[x \leftarrow t]$. The composition of environments is left-associative, and written $[x_1 \leftarrow t_1][x_2 \leftarrow t_2] \cdots [x_k \leftarrow t_k]$. Its application is such that: $\epsilon[x \leftarrow t](y) = t$ if $y \equiv x$, $\epsilon(y)$ otherwise.

We note $\epsilon_{|\mathbf{X}|}$, the environment ϵ whose domain is restricted to X. We extend the notion of environment to a morphism ϵ from PIL to PIL, and we note \mathcal{E} nv the set of all environments.

The reduction relation of this big-step semantics is expressed on tuples $\langle \epsilon, \delta, i \rangle$ where ϵ is an environment, δ is a list of pairs (restricted environment, hostcode), and *i* is an instruction. Thanks to δ , we can keep track of the executed host-code blocks within their environment: the restricted environment associated to each host-code construct gives the

instances of all variables which appear in the block. The reduction relation is the following:

 $\langle \epsilon, \delta, i \rangle \mapsto_{bs} \delta'$, with $\epsilon \in \mathcal{E}nv, \delta, \delta' \in [\mathcal{E}nv, \langle instr \rangle]^*$, and $i \in \langle instr \rangle$

Before giving the semantics for the instructions, we define a rewrite system, denoted R, which describes how expressions and terms are evaluated in a PIL program:

$$R = \begin{cases} \texttt{is_fsym}(t, f) & \rightarrow Symb(t) = f \texttt{ IF } t \in \mathcal{T}(\mathcal{F}) \\ \texttt{eq}(t_1, t_2) & \rightarrow t_1 = t_2 & \texttt{ IF } t_1, t_2 \in \mathcal{T}(\mathcal{F}) \\ \texttt{subterm}_f(t, i) \rightarrow t_{|i|} & \texttt{ IF } Symb(t) = f \land i < arity(f) \end{cases}$$

Proposition 1. Given $t \in \langle term \rangle$ (resp. $t \in \langle expr \rangle$), if t contains no variable, $t \downarrow_R \in \mathcal{T}(\mathcal{F})$ (resp. $t \downarrow_R \in \mathbb{B}$).

Proof. The proof can be easily done by induction on t^1 .

$$\overline{\langle \epsilon, \delta, \mathsf{nop} \rangle \mapsto_{bs} \delta} \tag{(nop)}$$

$$\frac{\langle \epsilon[x \leftarrow t], \delta, i \rangle \mapsto_{bs} \delta' \quad \epsilon(u) \to_{R*} t}{\langle \epsilon, \delta, \mathsf{let}(x, u, i) \rangle \mapsto_{bs} \delta'} \qquad (let)$$

$$\frac{\langle \epsilon, \delta, i_1 \rangle \mapsto_{bs} \delta' \quad \epsilon(e) \to_{R*} \top}{\langle \epsilon, \delta, if(e, i_1, i_2) \rangle \mapsto_{bs} \delta'} \qquad (iftrue)$$

$$\frac{\langle \epsilon, \delta, i_2 \rangle \mapsto_{bs} \delta' \quad \epsilon(e) \to_{R*} \bot}{\langle \epsilon, \delta, if(e, i_1, i_2) \rangle \mapsto_{bs} \delta'} \quad (iffalse)$$

$$\frac{\langle \epsilon, \delta, i_1 \rangle \mapsto_{bs} \delta' \quad \langle \epsilon, \delta', i_2 \rangle \mapsto_{bs} \delta''}{\langle \epsilon, \delta, i_1 ; i_2 \rangle \mapsto_{bs} \delta''} \tag{seq}$$

 $\overline{\langle \epsilon, \delta, \texttt{hostcode}(\texttt{list}) \rangle \mapsto_{bs} \delta :: [\epsilon_{|\texttt{list}}, \texttt{hostcode}(\texttt{list})]} \quad (hostcode)$

Fig. 4. Big-step semantics for PIL

2.4 Properties

Definition 2. A program $\pi \in PIL$ is said to be well-formed when it satisfies the following properties:

- each expression $\operatorname{subterm}_f(t,n)$ is such that t belongs to $\langle \operatorname{term} \rangle$, $\operatorname{is_fsym}(t,f) \equiv \top$ and $n \in [1..ar(f)]$,

(In practice, we verify that each expression of the form $\operatorname{subterm}_f(t,n)$ belongs to the then part of an instruction $\operatorname{if}(\operatorname{is_fsym}(t,f),\ldots)$)

¹ A technical report which contains the proofs is available at http://www.loria.fr/~moreau

- each variable appearing in a sub-expression is previously initialized by a let construct, or in the evaluation environment,
- in the construction let(v, u, i), the instruction block i must contain no instruction let(v, u', i') (i.e. a variable cannot be redefined).

Proposition 2. For all $\epsilon \in \mathcal{E}nv$ and $\delta \in [\mathcal{E}nv, \langle instr \rangle]^*$, the reduction of a well-formed instruction $i \in \langle instr \rangle$ in the environment ϵ, δ is unique.

Proof. The proof can be done by induction on program structures, see [10] for details.

Definition 3. Given π_1 and π_2 two well-formed PIL programs, they are semantically equivalent, noted $\pi_1 \sim \pi_2$, when:

$$\forall \epsilon, \delta, \exists \delta' \ s.t. \ \langle \epsilon, \delta, \pi_1 \rangle \mapsto_{bs} \delta' \ and \ \langle \epsilon, \delta, \pi_2 \rangle \mapsto_{bs} \delta'$$

Given a well-formed program $\pi \in \text{PIL}$, a position ω , an environment ϵ , and a host-code list δ , we define Φ the function that gives the environment ϵ' during the evaluation of $\pi_{|\omega}$ in the reduction tree of π : $\langle \epsilon, \delta, \pi \rangle \mapsto_{bs} \delta'$. (Note that $\pi_{|\omega}$ can be either an expression, a term or an instruction).

Definition 4. The function $\Phi \in \text{PIL} \times \Omega \times \mathcal{E}nv \times [\mathcal{E}nv, \langle instr \rangle] \to \mathcal{E}nv$ is defined such that for a given $\pi, \omega, \epsilon, \delta$ and with $\epsilon' = \Phi(\pi, \omega, \epsilon, \delta)$:

- $-if \pi_{|\omega} = i \in \langle instr \rangle, \epsilon'$ is the environment ϵ in which the rule corresponding to i (let, nop, seq, iffrue, iffalse or hostcode) is applied,
- if $\pi_{|\omega} = e \in \langle expr \rangle$, e appears inevitably in an instruction if noted i and we have $\epsilon' = \Phi(\pi, \epsilon, \delta, i)$,
- if $\pi_{|\omega} = t \in \langle term \rangle$, we must distinguish two cases. Either t appears in an expression e, and we have $\epsilon' = \Phi(\pi, \epsilon, \delta, e)$. Either t appears in an instruction $let(_, t, _)$ noted i, and we have $\epsilon' = \Phi(\pi, \epsilon, \delta, i)$.

Note that Φ is defined only for $\pi_{|\omega}$ which are reachable at run time.

Let us consider again the program defined in Figure 3. We have $\pi = if(is_fsym(t, f), let(t_1, subterm_f(t, 1), \pi'), nop)$ with $\pi' = if(\pi'', hostcode(), nop)$ and $\pi'' = is_fsym(t_1, a)$.

Starting from the environments $\epsilon = [t \leftarrow f(a)]$ and $\delta = \{\}$, we can construct the following derivation tree for π . From this derivation tree, we have: $\Phi(\pi, \epsilon, \delta, \pi'') = \epsilon[t_1 \leftarrow a]$. For layout purpose, we note Δ the list $\delta :: [\{\}, \mathsf{hostcode}()]$, and $\epsilon' = \epsilon[t_1 \leftarrow a]$:

$$\frac{\epsilon(\texttt{is_fsym}(t,f)) \to_{R*} \top}{\langle \epsilon, \delta, \texttt{if}(\texttt{is_fsym}(t,f), \texttt{let}(t_1, \texttt{subterm}_f(t, 1), \pi') \rangle \mapsto_{bs} \Delta}{\langle \epsilon, \delta, \texttt{if}(\texttt{is_fsym}(t,f), \texttt{let}(t_1, \texttt{subterm}_f(t, 1), \pi') \rangle \mapsto_{bs} \Delta} (\textit{iftrue})$$

Definition 5. Given a program π , two expressions e_1 and e_2 are said π -equivalent, and noted $e_1 \sim_{\pi} e_2$, if for all starting environment ϵ , δ , $\epsilon_1(e_1) \downarrow_R = \epsilon_2(e_2) \downarrow_R$ where $\epsilon_1 = \Phi(\pi, \epsilon, \delta, e_1)$ and $\epsilon_2 = \Phi(\pi, \epsilon, \delta, e_2)$.

Definition 6. Given a program π , two expressions e_1 and e_2 are said π -incompatible, and noted $e_1 \perp_{\pi} e_2$, if for all starting environment ϵ , δ , $\epsilon_1(e_1) \downarrow_R \wedge \epsilon_2(e_2) \downarrow_R = \bot$ where $\epsilon_1 = \Phi(\pi, \epsilon, \delta, e_1)$ and $\epsilon_2 = \Phi(\pi, \epsilon, \delta, e_2)$.

We can now define two conditions which are sufficient to determine whether two expression are π -equivalent or π -incompatible. Propositions 3 and 4 are interesting because the problem is generally undecidable [13], but there conditions can be easily used in practice.

Proposition 3. Given a program π and two expressions $e_1, e_2 \in \langle expr \rangle$, we have $e_1 \sim_{\pi} e_2$ if: $\forall \epsilon, \delta, \ \Phi(\pi, \epsilon, \delta, e_1) = \Phi(\pi, \epsilon, \delta, e_2)$ (cond1) and $e_1 = e_2$ (cond2).

Proof. Given a program π and two expressions e_1, e_2 , for all δ, ϵ , because of cond1 and cond2, $\Phi(\pi, \epsilon, \delta, e_1)(e_1) = \Phi(\pi, \epsilon, \delta, e_2)(e_2)$ therefore $\Phi(\pi, \epsilon, \delta, e_1)(e_1)\downarrow_R = \Phi(\pi, \epsilon, \delta, e_2)(e_2)\downarrow_R$.

Proposition 4. Given a program π and two expressions $e_1, e_2 \in \langle expr \rangle$, we have $e_1 \perp_{\pi} e_2$ if: $\forall \epsilon, \delta, \Phi(\pi, \epsilon, \delta, e_1) = \Phi(\pi, \epsilon, \delta, e_2)$ (cond1) and incompatible (e_1, e_2) (cond2), where incompatible defined as follows:

$$\begin{split} \texttt{incompatible}(e_1,e_2) &= \textit{match} \ e_1,e_2 \ \textit{with} \\ & \mid \bot,\top \qquad \to \top \\ & \mid \top,\bot \qquad \to \top \\ & \mid \texttt{is_fsym}(t,f_1),\texttt{is_fsym}(t,f_2) \to \top \ \textit{if} \ f_1 \neq f_2 \\ & \mid \neg,- \qquad \to \bot \end{split}$$

Proof. Given a program π and two expressions $e_1, e_2 \in \langle expr \rangle$, for all ϵ, δ , we want to prove that $\operatorname{cond1} \wedge \operatorname{cond2} \to \epsilon_1(e_1) \downarrow_R \wedge \epsilon_2(e_2) \downarrow_R = \bot$ with $\epsilon_1 = \varPhi(\pi, \epsilon, \delta, e_1)$ and $\epsilon_2 = \varPhi(\pi, \epsilon, \delta, e_2)$. We can simply prove the proposition for the three cases in which cond2 is true (because when cond2 is false, the proposition is trivially verified).

3 Optimizations

An optimization is a transformation which reduces the size of code (space optimization) or the time of execution (time optimization). In the case of PIL, the presented optimizations reduce the number of assignments (let) and tests (if) that are executed at run time. When manipulating abstract syntax trees, an optimization can be easily be described by a rewriting system. Its application consists in rewriting an instruction into an equivalent one, using a conditional rewrite rule of the form $i_1 \rightarrow i_2$ IF c.

Definition 7. An optimization rule $i_1 \rightarrow i_2$ IF c rewrites a well-formed program π into a program π' if there exists a position ω and a substitution σ such that $\sigma(i_1) = \pi_{|\omega}, \pi' = \pi[\sigma(i_2)]_{\omega}$ and $\sigma(c)$ is verified. If $c = e_1 \sim e_2$ (resp. $c = e_1 \perp e_2$), we say that $\sigma(c)$ is verified when $\sigma(e_1) \sim_{\pi_{|\omega}} \sigma(e_2)$ (resp. $\sigma(e_1) \perp_{\pi_{|\omega}} \sigma(e_2)$).

3.1 Reducing the number of assignments

This kind of optimization is standard, but useful to eliminate useless assignments. In the context of pattern matching, this improves the construction of substitutions, when a variable from the left-hand side is not used in the right-hand side for example.

Constant propagation. This first optimization removes the assignment of a variable defined as a constant. Since no side-effect can occur in a PIL program, it is possible to replace all occurrences of the variable by the constant (written i[v/t]).

ConstProp:
$$let(v, t, i) \rightarrow i[v/t]$$
 IF $t \in \mathcal{T}(\mathcal{F})$

Dead variable elimination. Using a simple static analysis, this optimization eliminates useless assignments:

$$extsf{DeadVarElim: let}(v,t,i) \ o \ i \ extsf{IF} \ extsf{use}(v,i) = 0$$

with use(v, i) a function which computes how many times the value of a variable v may be used in an instruction i.

Inlining. Since no side-effect can occur in a PIL program, an assigned variable cannot be modified. Therefore, when a variable is used only once, we can replace its occurrence by the corresponding term:

Inlining:
$$let(v,t,i) \rightarrow i[v/t]$$
 IF $use(v,i) = 1$

Fusion. The following rule merges two successive let which assign a same value to two different variables. This kind of optimization rarely applies on human written code, but in the context of pattern matching compilation, rules are compiled independently from others: the variables corresponding to the subject is defined for each rule. By merging the bodies, this allows to recursively perform some optimizations on subterms.

LetFusion: $let(v_1, t, i_1); let(v_2, t, i_2) \rightarrow let(v_1, t, i_1; i_2[v_2/v_1])$

Note that the assignments must be the same for the two variables, to be sure that the values at run time are the same. We also suppose that $use(v_1, i_2) = 0$. Otherwise, it would require to replace v_1 by a fresh variable in i_2 .

3.2 Reducing the number of tests

The key technique to optimize pattern matching consists in merging branches, and thus tests that correspond to patterns with identical prefix. Usually, the discrimination between branches is performed by a *switch* instruction. In Tom, since the data-structure is not fixed, we cannot assume that a symbol is represented by an integer, an thus, contrary to standard approaches, we have to use an *if* statement instead. This restriction prevents us from selecting a branch in constant time. The two following rules define the fusion and the interleaving of conditional blocks.

Fusion. The fusion of two conditional adjacent blocks reduces the number of tests. This fusion is possible only when the two conditions are π -equivalent, This notion of π -equivalence means that the evaluation of the two conditions in a given program are the same (see Definition 5):

IfFusion:
$$if(c_1, i_1, i'_1); if(c_2, i_2, i'_2) \rightarrow if(c_1, i_1; i_2, i'_1; i'_2) IF c_1 \sim c_2$$

To evaluate $c_1 \sim c_2$ (i.e. $c_1 \sim_{\pi} c_2$ with π the redex of the rule), we use Proposition 3. The condition cond1 (i.e. $\Phi(\pi, \epsilon, \delta, e_1) = \Phi(\pi, \epsilon, \delta, e_2)$) is trivially verified because the semantics of the sequence instruction preserves the environment $(\forall \delta, \epsilon, \Phi(\pi, \epsilon, \delta, i_1; i_2) = \Phi(\pi, \epsilon, \delta, i_1) = \Phi(\pi, \epsilon, \delta, i_2))$ and then $\forall \delta, \epsilon, \Phi(\pi, \epsilon, \delta, \sigma(c_1)) = \Phi(\pi, \epsilon, \delta, \sigma(c_2))$. We just have to verify cond2 (i.e. $e_1 = e_2$) which is easier.

Interleaving. As matching code consists of a sequence of conditional blocks, we would like to optimize blocks with π -incompatible conditions (see Definition 6). Some parts of the code cannot be executed at the same time, so swapping statically their order does not change the program behavior.

As we want to keep only one of the conditional block, we determine what instructions must be executed in case of success or failure of the condition and we obtain the two following transformation rules:

$$if(c_1, i_1, i'_1); if(c_2, i_2, i'_2) \to if(c_1, i_1; i'_2, i'_1; if(c_2, i_2, i'_2)) \text{ IF } c_1 \perp c_2$$
$$if(c_1, i_1, i'_1); if(c_2, i_2, i'_2) \to if(c_2, i'_1; i_2, if(c_1, i_1, i'_1), i'_2) \text{ IF } c_1 \perp c_2$$

As for the equivalence in the IfFusion rule, to evaluate $c_1 \perp c_2$, we just have to verify cond2 in Proposition 4 (i.e. incompatible (e_1, e_2)). A drawback of these two rules is that some code is duplicated $(i'_2$ in the first rule, and i'_1 in the second one). As we want to maintain linear the size of the code, we consider specialized instances of these rules with respectively i'_2 and i'_1 equal to nop, and eliminate the extra nop instructions. This gives us the following rules:

$$\begin{split} \texttt{IfInterleaving: if}(c_1, i_1, i_1') \texttt{; if}(c_2, i_2, \texttt{nop}) &\to \texttt{if}(c_1, i_1, i_1' \texttt{; if}(c_2, i_2, \texttt{nop})) \texttt{ IF } c_1 \perp c_2 \\ \texttt{if}(c_1, i_1, \texttt{nop}) \texttt{; if}(c_2, i_2, i_2') &\to \texttt{if}(c_2, i_2, \texttt{if}(c_1, i_1, \texttt{nop}) \texttt{; } i_2') \texttt{ IF } c_1 \perp c_2 \end{split}$$

These two rules reduce the number of tests at run time because one of the tests is moved into the "else" branch of the other. The second rule can be instantiated and used to swap blocks. When i'_1 and i'_2 are reduced to the instruction **nop**, the second rule can be simplified into:

 $if(c_1, i_1, nop); if(c_2, i_2, nop) \rightarrow if(c_2, i_2, if(c_1, i_1, nop))$ IF $c_1 \perp c_2$

As the two conditions are π -incompatible, we have the following equivalence:

$$if(c_2, i_2, if(c_1, i_1, nop)) \equiv if(c_2, i_2, nop); if(c_1, i_1, nop) IF c_1 \perp c_2$$

After all, we obtain the following rule corresponding to the swapping of two conditional adjacent blocks. This rule does not optimize the number of tests but is useful to join blocks subject to be merged thanks to a smart strategy.

If Swapping: $if(c_1, i_1, nop); if(c_2, i_2, nop) \rightarrow if(c_2, i_2, nop); if(c_1, i_1, nop)$ IF $c_1 \perp c_2$

3.3 Application strategy

Given the rules presented in Section 3.1 and 3.2, Figure 5 defines the rewrite system called OptSys.

$\mathtt{let}(v,t,i)$	$\rightarrow i$	IF $use(v, i) = 0$
$\mathtt{let}(v,t,i)$	$\rightarrow i[v/t]$	IF $t \in \mathcal{T}(\mathcal{F})$
$\mathtt{let}(v,t,i)$	ightarrow i[v/t]	${\tt IF}\; {\tt use}(v,i)=1$
$\mathtt{let}(v_1,t,i_1);\mathtt{let}(v_2,t,i_2)$	$\rightarrow \texttt{let}(v_1, t, i_1; i_2[v_2/v_1])$	
$ t if(c_1,i_1,i_1'); t if(c_2,i_2,i_2')$	$\rightarrow \mathtt{if}(c_1, i_1; i_2, i_1'; i_2')$	IF $c_1 \sim c_2$
$\mathtt{if}(c_1,i_1,i_1'); \mathtt{if}(c_2,i_2,\mathtt{nop})$	$\rightarrow \mathtt{if}(c_1, i_1, i_1'; \mathtt{if}(c_2, i_2, \mathtt{nop}))$	IF $c_1 \perp c_2$
$if(c_1, i_1, nop); if(c_2, i_2, nop)$	$\rightarrow if(c_2, i_2, nop); if(c_1, i_1, nop)$	IF $c_1 \perp c_2$
	$\begin{split} & \texttt{let}(v,t,i) \\ & \texttt{let}(v,t,i) \\ & \texttt{let}(v,t,i) \\ & \texttt{let}(v_1,t,i_1);\texttt{let}(v_2,t,i_2) \\ & \texttt{if}(c_1,i_1,i_1');\texttt{if}(c_2,i_2,i_2') \\ & \texttt{if}(c_1,i_1,i_1');\texttt{if}(c_2,i_2,\texttt{nop}) \\ & \texttt{if}(c_1,i_1,\texttt{nop});\texttt{if}(c_2,i_2,\texttt{nop}) \end{split}$	$\begin{array}{llllllllllllllllllllllllllllllllllll$

Fig. 5. System of optimization rules: OptSys

Without strategy, this system is clearly not confluent and not terminating. For example, without condition, the **IfSwapping** rule can be applied indefinitely because of the symmetry of incompatibility. The confluence of the system is not necessary as long as the programs obtained are semantically equivalent to the source program but the termination is an essential criterion. Moreover, the strategy should apply the rules to obtain a program, as efficient as possible. Let us consider again the program given in Figure 3, and let us suppose that we interleave the two last patterns. This would result in the following sub-optimal program:

If Swapping and If Fusion rules can no longer be applied to share the $is_fsym(t, f)$ tests. This order of application is not optimal. It is intuitive that the interleaving rule must be applied at the end, when no more optimization or fusion is possible.

The second matter is to ensure the termination. The **IfSwapping** rule is the only rule that does not decrease the size or the number of assignments of a program. To limit its application for interesting cases, we define a condition which ensures that a swapping is performed only if it enables a fusion. This condition can be implemented in two ways, either in using a context, or in defining a total order on conditions. Given a sequence of **if** instructions, the first approach consists in swapping two of them when the right one can be merged with an **if** which is earlier in the sequence. This approach is not efficient since we have to find two elements in a list that can react via the **IfFusion** rule. The second approach is more efficient since it consists in considering a total order on conditions and perform the swapping only if two successive **if** have some conditions c_1 and c_2 such that $c_1 \perp c_2$ and $c_1 < c_2$. Similarly to a swap-sort algorithm, this approach ensures the termination of the algorithm. In this way, we obtain a new **IfSwapping** rule:

 $\texttt{if}(c_1, i_1, \texttt{nop}); \texttt{if}(c_2, i_2, \texttt{nop}) \rightarrow \texttt{if}(c_2, i_2, \texttt{nop}); \texttt{if}(c_1, i_1, \texttt{nop}) \texttt{ IF } c_1 \perp c_2 \ \land \ c_1 < c_2$

Using basic strategy operators such as Innermost(s) (which applies s as many times as possible, starting from the leaves), s1 | s2 (which applies s1 or s2 indifferently), repeat(s) (which applies s as many times as possible, returning the last unfailing result), and r1; r2 (which applies s1, and then s2 if s1 did not fail), we can easily define a strategy which describes how the rewrite system **OptSys** should be applied to normalize a **PIL** program:

Innermost(repeat(ConstProp | DeadVarElim | Inlining | LetFusion | IfFusion | IfSwapping) ; repeat(IfInterleaving))

Starting from the program given in Figure 3, we can apply the rule IfSwapping, followed by a step of IfFusion, and we obtain:

Then, we can apply a step of Inlining to remove the second instance of t_1 , a step of LetFusion, and a step of Interleaving $(is_fsym(t_1, a) \text{ and } is_fsym(t_1, b) \text{ are } \pi$ -incompatible). This results in the following program:

$$\begin{split} \texttt{if}(\texttt{is_fsym}(t,f), \texttt{let}(\texttt{t}_1,\texttt{subterm}_\texttt{f}(\texttt{t},\texttt{1}), \\ \texttt{if}(\texttt{is_fsym}(\texttt{t}_1,\texttt{a}),\texttt{hostcode}(),\texttt{if}(\texttt{is_fsym}(\texttt{t}_1,\texttt{b}),\texttt{hostcode}(),\texttt{nop}))),\texttt{nop}) \texttt{;} \\ \texttt{if}(\texttt{is_fsym}(t,g), \texttt{let}(\texttt{x},\texttt{subterm}_\texttt{g}(\texttt{t},\texttt{1}),\texttt{hostcode}(\texttt{x})),\texttt{nop}) \end{split}$$

Since $is_fsym(t, f)$ and $is_fsym(t, g)$ are π -incompatible, we can apply a step of IfInterleaving, and get the irreducible following program:

```
\begin{aligned} & \texttt{if}(\texttt{is\_fsym}(t, f), \\ & \texttt{let}(\texttt{t}_1, \texttt{subterm}_\texttt{f}(\texttt{t}, 1), \texttt{if}(\texttt{is\_fsym}(\texttt{t}_1, \texttt{a}), \texttt{hostcode}(), \texttt{if}(\texttt{is\_fsym}(\texttt{t}_1, \texttt{b}), \texttt{hostcode}(), \texttt{nop}))), \\ & \texttt{if}(\texttt{is\_fsym}(t, g), \texttt{let}(\texttt{x}, \texttt{subterm}_\texttt{g}(\texttt{t}, 1), \texttt{hostcode}(\texttt{x})), \texttt{nop}) \end{aligned}
```

4 Properties

When performing optimization by program transformation, it is important to ensure that the generated code has some expected properties. The use of formal methods to describe our optimization algorithm allows us to give proofs. In the section we show that each transformation rule is correct, in the sense that the the optimized program has the same observational behavior as the original. We also show that the optimized code is both more efficient, and smaller than the initial program.

4.1 Correction

Definition 8. A transformation rule r is correct if for all well-formed program π , r rewrites π in π' (Definition 7) implies that $\pi \sim \pi'$ (Definition 3).

From this definition, we prove that every rule given in Section 3 is correct. For that, two conditions have to be verified:

1. π' is well-formed,

2. $\forall \epsilon, \delta$, the derivations of π and π' lead to the same result δ' .

The first condition is quite easy to verify. The second one is more interesting: we consider a program π , a rule $l \to r$ IF c, a position ω , and a substitution σ such that $\sigma(l) = \pi_{|\omega}$. We have $\pi' = \pi[\sigma(r)]_{\omega}$. We have to compare the derivations of π and π' in a the context ϵ, δ .

- when $\omega = \wedge$, we have to compare the derivation tree of $\pi = \sigma(l)$ and $\pi' = \sigma(r)$,
- otherwise, we consider the derivation of π (resp. π'): there is a step which needs in premise the derivation of $\pi_{|\omega}$ (resp. $\pi[\sigma(r)]_{\omega}$). This is the only difference between the two trees.

In both cases, we have to verify that $\pi_{|\omega} = \sigma(l)$ and $\sigma(r)$ have the same derivation in a given context:

- equal to ϵ, δ when $\omega = \wedge$,
- otherwise, we have to consider the instruction i which immediately contains $\sigma(l)$ (resp. $\sigma(r)$). The context is defined by the context in which i is evaluated in the derivation tree of π (resp. π').

In the following, we give two representative proofs of correction (IfSwapping and LetFusion)², and to simplify the proof we consider l, r and c instead of $\sigma(l), \sigma(r)$ and $\sigma(c)$.

Correction of IfSwapping. In this rule, $l = if(c_1, i_1, nop); if(c_2, i_2, nop)$ and $r = if(c_2, i_2, nop); if(c_1, i_1, nop)$. To prove that $\pi \sim \pi'$, we have to verify that for a given ϵ, δ, l and r have the same derivation. Since c_1 and c_2 are π -incompatible, three cases have to be studied:

Case 1: $\epsilon(c_1) \rightarrow_{R*} \top$ and $\epsilon(c_2) \rightarrow_{R*} \bot$

$$\frac{\overline{\langle\epsilon,\delta,i_1\rangle\mapsto_{bs}\delta'} \quad \epsilon(c_1)\to_{R*}\top}{\frac{\langle\epsilon,\delta,\mathrm{if}(c_1,i_1,\mathrm{nop})\rangle\mapsto_{bs}\delta'}{\langle\epsilon,\delta,\mathrm{if}(c_1,i_1,\mathrm{nop});\mathrm{if}(c_2,i_2,\mathrm{nop})\rangle\mapsto_{bs}\delta'}} \stackrel{(nop)}{\epsilon(c_2)\to_{R*}\perp}{\epsilon(c_2,i_2,\mathrm{nop})} (iffalse)$$

We now consider the program $if(c_2, i_2, nop); if(c_1, i_1, nop)$. Starting from the same environment ϵ and δ , we show that the derivation leads to the same state δ' , and thus prove that $if(c_1, i_1, nop); if(c_2, i_2, nop)$ and $if(c_2, s_2, nop); if(c_1, s_1, nop)$ are equivalent:

² The other proofs can be found in a technical report available at http://www.loria.fr/~moreau

$$\frac{\overline{\langle \epsilon, \delta, \operatorname{nop} \rangle \mapsto_{bs} \delta} \xrightarrow{(nop)} \epsilon(c_2) \to_{R*} \bot}{\langle \epsilon, \delta, \operatorname{if}(c_2, i_2, \operatorname{nop}) \rangle \mapsto_{bs} \delta} (iffalse) \xrightarrow{\overline{\langle \epsilon, \delta, i_1 \rangle \mapsto_{bs} \delta'} \epsilon(c_1) \to_{R*} \top}{\langle \epsilon, \delta, \operatorname{if}(c_1, i_1, \operatorname{nop}) \rangle \mapsto_{bs} \delta'} (iftrue) \xrightarrow{\langle \epsilon, \delta, \operatorname{if}(c_2, i_2, \operatorname{nop}); \operatorname{if}(c_1, i_1, \operatorname{nop}) \rangle \mapsto_{bs} \delta'} (seq)$$

Since π and π' are well-formed, their derivation in a given context are unique (Proposition 2). $\langle \epsilon, \delta, i_1 \rangle \mapsto_{bs} \delta'$ is part of these derivation trees, so it is unique, and δ' is identical in both derivations.

Case 2: $\epsilon(c_1) \to_{R*} \perp$ and $\epsilon(c_2) \to_{R*} \top$, the proof is similar.

Case 3: $\epsilon(c_1) \to_{R*} \perp$ and $\epsilon(c_2) \to_{R*} \perp$, the proof is similar.

Correction of LetFusion. In this rule, $l = let(v_1, t, i_1); let(v_2, t, i_2)$ and $r = let(v_1, t, i_1; i_2[v_2/v_1])$. There is no condition c. Similarly to the correction of IfSwapping, we construct the derivation of l:

$$\frac{\overline{\langle\epsilon[v_1 \leftarrow t], \delta, i_1 \rangle \mapsto_{bs} \delta'}}{\langle\epsilon, \delta, \mathsf{let}(v_1, t, i_1) \rangle \mapsto_{bs} \delta'} (let) \quad \frac{\overline{\langle\epsilon[v_2 \leftarrow t], \delta', i_2 \rangle \mapsto_{bs} \delta''}}{\langle\epsilon, \delta', \mathsf{let}(v_2, t, i_2) \rangle \mapsto_{bs} \delta''} (let) \quad (let)$$

Then, we derive the right part r:

$$\frac{\overline{\langle \epsilon[v_1 \leftarrow t], \delta, i_1 \rangle \mapsto_{bs} \delta'}}{\frac{\langle \epsilon[v_1 \leftarrow t], \delta', i_2[v_2/v_1] \rangle \mapsto_{bs} \delta''}{\langle \epsilon[v_1 \leftarrow t], \delta, i_1; i_2[v_2/v_1] \rangle \mapsto_{bs} \delta''}} (seq)$$

Since $\operatorname{let}(v_1, t, i_1)$; $\operatorname{let}(v_2, t, i_2)$ is in a well-formed program π , when evaluating i_2 , v_2 is equal to t. Furthermore, we assume that no variable v_1 occurs in i_2 . Therefore, if $\langle \epsilon, \delta', \operatorname{let}(v_2, t, i_2) \rangle \mapsto_{bs} \delta''$ then we also have $\langle \epsilon[v_1 \leftarrow t], \delta', i_2[v_2/v_1] \rangle \mapsto_{bs} \delta''$. As a consequence, δ'' is the same for the two derivations.

4.2 Time and space reduction

In this section we show that the optimized code is both more efficient, and smaller than the initial program. For that, we consider two measures:

- the size of a program π is the number of instructions which constitute the program,
- the *efficiency* of a program π is determined by the number of tests and assignments which are performed at run time.

It is quite easy to verify that each transformation rule does not increase the size of the program: DeadVarElim, ConstProp, Inlining, and LetFusion decrease the size of a program, whereas IfFusion, IfInterleaving and IfSwapping maintain the size of the transformed program.

It is also clear that no transformation can reduce the efficiency of a given program:

- each application of DeadVarElim, ConstProp, and Inlining reduces by one the number of assignment that can be performed at run time,
- IfFusion reduces by one the number of tests,
- IfInterleaving also decreases the number of tests when the first alternative is chosen. Otherwise, there is no optimization,
- IfSwapping does not modify the efficiency of a program.

The program transformation presented in Section 3 is an optimization which improves the efficiency of a given program, without increasing its size. Similarly to [8], this result is interesting since it allows to generate efficient pattern matching implementations whose size is linear in the number and size of patterns.

5 Experimental Results

The presented algorithm (rules and strategy) has been implemented and integrated into Tom (see Figure 1). We have selected several representative programs and measured the effect of optimization in practice:

	Fibonnacci	Eratosthene	Gomoku	Langton	Nspk	Structure
without optimization	21.3s	174.0s	70.0s	15.7s	1.7s	12.3s
with optimization	20.0s	2.8s	30.4s	1.4s	1.2s	11.3s

Fibonacci computes 500 times the 18^{th} Fibonacci number, using a Peano representation. Eratosthene computes primes numbers up to 1000, using associative list matching. The improvement comes from the Inlining rules which avoids computing a substitution unless the rule applies (i.e. the conditions are verified). Gomoku looks for five pawn on a go board, using list matching. This example contains more than 40 patterns and illustrates the interest of test-sharing. Langton is a program which computes the 1000^{th} iteration of a cellular automaton, using pattern matching to implement the transition function. This example contains more than 100 (ground) patterns. The optimized program is optimal in the sense that a pair (position,symbol) is never tested more than once. Nspk implements the verification of the Needham-Schroeder Public-Key Protocol. Structure is a prover for the Calculus of Structures where the inference is performed by pattern matching and rewriting. All these examples are available on the Tom web page³. Some of these examples have been implemented in OCaml. Fibonacci, Eratosthene, and Langton are respectively executed in 4.0, 0.7 and 2.3 seconds on a PowerMac 2 GHz.

³ http://tom.loria.fr

These benchmarks show that the proposed approach is effective in practice and allows Tom to become competitive with state of the art implementations such as OCaml. We should remind that Tom is not dedicated to a unique language. In particular, the fact that data-structure can be user-defined prevents us from using the switch instruction. All the presented examples have been implemented in Java and executed using the Sun JVM.

6 Conclusion

In this paper, we have presented a new approach to compile pattern-matching. This method is based on well-attested program optimization methods. Separating compilation and optimization in order to keep modularity, and to facilitate extensions is long-established in the compiler construction community. Using a program transformation and a formal method approach is an elegant way to describe, implement, and certify the proposed optimizations.

Until now, most of the algorithms proposed to compile pattern-matching [5,9,2,8] are tailored to a very specific form of pattern matching. In particular, this assumes properties on the target language or the term representation. While efficient, these algorithms are often difficult to extend with constructs like or-patterns, and to combine with equational theories like associativity-commutativity or associativity with neutral element for example. These restrictions lead us to study another approach for the Tom compiler: pattern-matching is compiled using a simple algorithm, and then optimized separately. While specifically designed, the set of optimization rules presented in this paper are not restricted to pattern-matching and can be applied to any program. Their formalization is another contribution of this paper. Section 4 shows how the system can be proved correct, and justifies the choice of a method based on program transformations. Moreover, as the Tom compiler is bootstrapped, the optimization rules have been implemented in a very natural way using pattern-matching. This work is another example showing that tree based manipulations, and Tom, are well adapted for transforming programs and more generally for compiler construction.

This paper shows that using program transformation rules to optimize pattern-matching is an efficient solution, with respect to algorithms based on automata. The implementation of this work combined with the formal validation of pattern matching [10] is another step towards the construction of certified/certifying optimizing compilers.

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