

# Minimizing Complexity in Cellular Automata Models of Self-Replication

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## Abstract

Understanding self-replication from an information processing perspective is important because, among other things, it can shed light on molecular mechanisms of biological reproduction and on prebiotic chemical evolution. Intuition, biological knowledge, and early computational models of self-replication all suggested that self-replication is an inherently complex process. In this paper we describe recent computational studies that challenge this viewpoint. We summarize our recent work with cellular automata models of simple yet non-trivial self-replicating structures called *un-sheathed loops*. For example, one un-sheathed loop consists of only six components and requires only 20 rules to specify the local intercomponent interactions needed to bring about replication. The implication of this work is that, when viewed as an emergent property of numerous local, concurrent interactions between components, self-replicating systems can be substantially simpler than is generally recognized.<sup>1</sup>

Developing molecular systems that can self-replicate is currently an area of intense research interest to organic chemists and others. Although it has not proven possible at present to realize any “informational replicating systems” in the laboratory [Orgel, 1992], substantial progress has been made in developing some self-replicating molecules. Much of this work has been motivated by a desire to demonstrate the feasibility of self-replicating molecular systems important in the origins of life [Oro et al, 1990; Ponnampertuma et al, 1992].

In conjunction with this experimental work, it seems reasonable to explore the feasibility of developing computational models of self-replicating systems. While a number of approaches have been taken, the most

frequently used is that of cellular automata. In this framework a system is created which has a stored instruction sequence that directs the system to replicate itself, raising the question of how complex such instructions must be. In this paper we briefly review the history of cellular automata models of information-carrying, self-replicating systems. We summarize our recent work in developing relatively simple models known as un-sheathed loops [Reggia et al, 1993], and demonstrate how these systems work through examples. It is seen that non-trivial self-replicating structures can be substantially simpler than is generally recognized.

## Past Cellular Automata Models of Self-Replication

Past cellular automata models of self-replicating structures can be divided into two groups: a first generation of models requiring universal computability, and a second generation referred to here as sheathed loops. The mathematician John von Neumann first conceived of using cellular automata to study the logical organization of self-replicating structures or “machines” [Burks, 1970; von Neumann, 1966]. In his and subsequent two-dimensional cellular automata models space is divided into cells, each of which can be in one of  $n$  possible states. At any moment most cells are in a distinguished “quiescent” or inactive state (designated by a period or blank space in this article) whereas the other cells are said to be in an active state. A self-replicating structure is represented as a configuration of contiguous active cells, each of which represents a component of the machine. At each instance of simulated time, each cell or component uses a set of rules called the transition function to determine its next state as a function of its current state and the state of immediate neighbor cells. Thus, any process of self-replication captured in a model like this must be an emergent behavior arising from the strictly local interactions that occur. Based solely on these concurrent but local interactions an initially-specified self-replicating structure goes through a sequence of steps to construct a duplicate of itself (the replica being displaced and perhaps

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a)		b)	
X X X X X X X X X		X X X X X X X X X	
0 0 0 0 + 0 0 0 0		0 0 0 0 0 + 0 0 0	
X X X X X X X X X		X X X X X X X X X	

Figure 2. Small segment of sheathed data path a) at time  $t$ , and b) at time  $t+1$  where the '+' signal has propagated one position to the right.

Langton showed that a loop like Codd's could be made self-replicating by storing in it a set of instructions that direct the replication process [Langton, 1984]. These instructions cause the arm to extend and turn until a second loop is formed, detaches, and also begins to replicate. This replicating sheathed loop consists of 86 active cells as pictured in Fig. 1b, and its transition function has 207 rules. Subsequently, two smaller self-replicating sheathed loops containing as few as 12 active cells in one case have been described [Byl, 1989].

### Unsheathed Loops: A Third Generation of Self-Replicating Structures

After studying models of self-replicating structures developed in Codd's eight-state framework [Byl, 1989; Codd, 1968; Langton, 1984], we hypothesized that even simpler and smaller self-replicating structures were possible. For example, we conjectured that removal of the sheath surrounding data paths could produce a third generation of self-replicating structures we call *unsheathed loops*. It was not obvious in advance that complete removal of the sheath would be possible. It has been believed that the sheath is essential for indicating growth direction and for discriminating right from left in a strongly rotation-symmetric space [Codd, 1968; Byl, 1989]. In fact, we have discovered that having a sheath is not essential for these tasks.

a.	0+-0L-0L	b.	00<LL000
	-		v
	+		0
	0		0
	-		v
	+		0
	0		0
	-+0-+0-+0000		>00>00>00000

Figure 3: Two unsheathed loops: (a) UL32S8V; (b) UL32W8V.

To understand how the sheath (surrounding covering of X's) can be discarded, consider the unsheathed version UL32S8V (shown in Fig. 3a) of the original sheathed loop (Fig. 1b). The cell states and transition rules of this unsheathed loop obey the same symmetry requirements as those of the sheathed loop, and the signal sequence  $+-+-+-L-L-$  directing self-replication is similar (read off of the loop clockwise starting at the lower right corner and omitting

the "core" cells in state O)<sup>3</sup>. As illustrated in Fig. 4, the instruction sequence circulates counterclockwise around the loop, with a copy passing onto the construction arm. As the elements of the instruction sequence reach the tip of the construction arm, they cause it to extend and turn periodically until a new loop is formed. At  $t=3$  (Fig. 4a) the sequence of instructions has circulated 3 positions counterclockwise around the loop with a copy also entering the construction arm. At  $t=6$  (Fig. 4b) the arrival of the first + state at the end of the construction arm produces a *growth cap* of X's. This growth cap, which is carried forward as the arm subsequently extends to produce the replica, is what makes a sheath unnecessary by enabling directional growth and right-left discrimination. Successive arrival at the growth tip of +'s extends the emerging structure and arrival of L's cause left turns, resulting in eventual formation of a new loop. An intermediate state in this process is shown at  $t=115$  (Fig. 4c). By  $t=150$  (Fig. 4d) a duplicate of the initial loop has been formed and separated (on the right; compare to Fig. 3a); the original loop (on the left, construction arm having moved to the top) is already beginning another cycle of self-directed replication.

The unsheathed loop UL32S8V not only self-replicates but it also exhibits all of the other behaviors of the sheathed loop: it and its descendants continue to replicate, and when they run out of room, they retract their construction arm and erase their coded information. After several generations a single unsheathed loop has formed an expanding "colony" where actively replicating structures are found only around the periphery. Unsheathed loop UL32S8V has the same number of cell states, neighborhood relationship, instruction sequence length, rotational symmetry requirements, etc., as the original sheathed loop and it replicates in the same amount of time. However, it has only 177 rules compared to 207 for the sheathed loop and is less than 40% of the size of the original sheathed loop (32 active cells vs. 86 active cells, respectively). The rules forming the transition function for UL32S8V are given in Appendix A. Each rule is of the form  $CNESW \rightarrow C'$  where C is the state of the center cell of the neighborhood, the next four characters are the states of the four noncenter neighbors taken clockwise (north, east, south, west), and  $C'$  designates the new state of the center cell.

<sup>3</sup>This and all other self-replicating unsheathed loops described in this article are non-trivial, having a readily identifiable instruction sequence that both directs construction of a replica and is copied onto the replica.



[Codd, 1968] and the dramatically simpler sheathed loops [Byl, 1989; Langton, 1984] are all based upon more stringent criteria called *strong rotational symmetry*. With strong rotational symmetry all cell states are viewed as being unoriented or rotationally symmetric. The transition functions for the unsheathed loops discussed so far also all use this strong rotational symmetry requirement too (indicated by S in their labels). Their eight cell states are labeled  $.O\#L - *X+$  where the period designates the quiescent state. All of these states are treated as being unoriented or rotationally symmetric by the transition function<sup>5</sup>.

The fact that the simplest self-replicating structures developed so far have all been based on strong rotational symmetry raises the question of whether the use of unoriented cell states intrinsically leads to simpler algorithms for self-replication. Such a result would be surprising as the components of self-replicating molecules generally have distinct orientations. To examine this issue we developed a second family of unsheathed loops, whose initial state and instruction sequence are similar to those already described (e.g., Fig. 3b). However, for these structures weak symmetry is assumed, and the last four of the eight possible cell states  $.O\#L\wedge > \vee <$  are treated as oriented according to the permutation  $(.)(O)(\#)(L)(\wedge > \vee <)$ . In other words, the cell state  $\wedge$  is considered to represent a single component that has an orientation and is thus permuted to  $>$ ,  $\vee$  and  $<$  by successive  $90^\circ$  rotations of the coordinate system, while the remaining four cell states do not change. For example, in Fig. 3b the states  $>$ ,  $\vee$ , and  $<$  appear on the lower, left and upper loop segments, respectively, to represent the instruction sequence  $<<<<<< LL$ . While cells in such a model have 8 possible states and are thus comparable in this sense with the above work on sheathed and unsheathed loops, they also can be viewed as simpler in that they have only 5 distinct possible components. As can be seen with the examples in Table 1 (lines 3-4), where the presence of oriented cell states or weak symmetry is indicated by W in the structure labels, relaxing the strong rotational symmetry requirement like this consistently led to transition functions requiring fewer rules than the corresponding strong symmetry version; this is true by any of the measures in Table 1, and also holds for unsheathed loops with other sizes [Reggia et al., 1993]. This decrease in complexity occurred in part because the directionality of the oriented cell states intrinsically permits directional growth and right-left discrimination, making even a growth cap unnecessary.

This simplicity and speed of replication made possible by weak rotational symmetry are illustrated in

<sup>5</sup>Care should be taken not to confuse the rotational symmetry of a cell state as interpreted by the transition function with the rotational symmetry of the character used to represent that state. Here the character  $L$  is not rotationally symmetric, for example, but the cell state it represents is treated as such.

Fig. 6 where the complete first replication cycle of UL06W8V is shown. Only 31 rules are needed to direct replication of this small structure which makes use of only 5 possible components. Colony formation also occurs and continues indefinitely. The complete set of transition function rules needed for one replication of UL06W8V are listed in the top half of Appendix B. Additional observations about unsheathed loops can be found in [Reggia et al, 1993].

00	0<	vL	LO 0	00~0<	<
L>00	OL>0	OOL>	>OOL~	L>OOL	O< vL
					OLv00
	0	0	0	0	
#<	0	0	0	0	~
vL LO	LO 00	00 0<	0~ vL	vL LO	
00 >0	>0 L~	L~ OL	OL 00	00 v0	
>	>#	0	0	0	
		0	0	0	

Figure 6. UL06W8V uses only five unique components and its replication can be governed by either of the two relatively small sets of rules in Table 2. Starting at  $t = 0$ , the initial state (upper left) passes through a sequence of steps until at  $t = 10$  an identical but rotated replica has been created (bottom right).

### Introducing Placeholder Positions Into Rules

As noted earlier, a complete transition function includes rules that are extraneous to the actual self-replication process (such as instruction sequence erasure) and many rules which simply specify that a cell state should not change. The state change rules alone are completely adequate to encode the replication process. For this reason, we believe that the number of state change rules used for one replication is the most meaningful measure of complexity of transition functions supporting self-replication. As illustrated in Table 1, this measure indicates that, from an information processing perspective, algorithms for self-directed replication can be relatively simple compared to what has been recognized in the past, especially when oriented components are present.

The simplicity of unsheathed loop transition functions when oriented components are used is even more striking if one uses unrestricted placeholder positions in encoding their rules. We implemented a search program [Reggia et al, 1992] that takes as input a set of rules representing a transition function (e.g., top part of Appendix B) and produces as output a smaller set of reduced rules containing "don't care" or "wildcard" positions (bottom part of Appendix B). This program systematically combines the original rules, replacing multiple rules when possible with a single rule containing positions where any cell state is permissible (designated by the underline character  $\_$ ). Introduction

of such wildcard positions is done carefully so that the new reduced rules do not contradict any of the original rules, including those that do not change a cell's state. The size of the reduced rule sets that result from applying this program to the complete original set of rules and to only the replication rules of each of the models described above is shown in the rightmost two columns of Table 1. For example, with UL06W8V the single new rule  $L\_ \rightarrow O$  that means "state L always changes to state O" replaces seven original replication rules, while the single rule  $>\_L \rightarrow L$  indicating that L follows  $>$  around a loop replaces three original replication rules. With UL06W8V this procedure reduces the complete rule set from 101 to 33 rules, and the set of rules needed for one replication from 58 to 20. Thus, by capturing regularities in rules through wildcard positions, it is possible to encode the replication process for unsheathed loop UL06W8V in only 20 rules (Appendix B, bottom half). Computer simulations verified that these 20 rules can guide the replication of UL06W8V in exactly the same way as do the original rules. Similar reductions occur with other self-replicating structures, and we anticipate that additional modifications to rule format might provide even simpler encodings.

## DISCUSSION

Cellular automata models of self-replication have been studied by mathematicians, computer scientists and others for over thirty years. Much of this work has been motivated by the desire to understand the fundamental information processing principles and algorithms involved in self-replication. Understanding these principles is not just an intellectual exercise: it could, for example, shed light on prebiotic chemical evolution and the origins of life, lead to novel manufacturing methods for atomic-scale devices [Drexler, 1989], and provide insight into the mechanisms of molecular replication in biology.

A significant limitation of these computational models of self-replication is that, at present, they are not intended as realistic models of known biochemical processes, and thus they have only a vague correspondence to real molecular structures. The "tape" in early self-replicating models has been related to DNA molecules, for example, and information-carrying loops might be loosely correlated with a circular oligonucleotide where a "protein" (the construction arm) reads the encoded replication algorithm to create the replica. An important direction for future research is to extend cellular automata models to incorporate more chemical/biochemical realism, and some work along these lines is already underway [Chou et al, 1992; Navarro-Gonzalez et al, 1993].

In spite of their limitations, work on cellular automata models of self-replication has produced a number of significant results. First, the earliest models established that artificial self-replicating systems are possible in principle. Although they were never

actually implemented, they demonstrated that self-replication could be viewed as an algorithmic process. Second, more recent work, including that described here, has indicated that self-replicating systems can be far simpler than is generally realized. For example, the unsheathed loop UL06W8V consists of only six components and requires only 20 rules to characterize the self-replication process. Finally, we have shown that if one controls for a number of factors such as initial configuration, number of cell states, etc., then the use of orientable components (weak symmetry) in general leads to simpler self-replicating systems than use of unoriented components (strong symmetry).

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(Appendices on following two pages.)

Appendix A: The Transition Function for UL32S8V

CNESW → C'	CNESW → C'	CNESW → C'	CNESW → C'	CNESW → C'
..... → .	...+. → .	...++ → .	...+0 → .	...-. → .
...-- → .	...-* → .	...*. → X	...X. → .	...XX → X
...0. → .	...OX → 0	...00 → .	...L. → .	...LL → .
...#0 → #	....* → .	...-# → .	...-OX → 0	...*+. → X
..*0. → .	..X.+ → .	..X.- → .	..X.0 → .	..X.L → .
..X+. → .	..X-. → .	..X0. → .	..X00 → #	..XL. → .
..0.* → .	..0.L → .	..0.# → .	..OX# → .	..L.# → .
..#.. → .	..#-. → .	..#L. → .	..+.- → .	..+.- → *
..+X. → .	..-X. → .	..-0. → .	..X.# → .	..X.0* → .
..X+0. → .	..X+. → .	..X-L. → .	..X#.. → .	..0+.. → .
..0-.. → .	..L.- → .	..L.0 → .	..LX.. → .	..LO.. → .
..#.- → .	..+.- → *	..+.-0 → -	..+.-0 → -	..+.*0 → -
..+.#-0 → *	..+.#. → -	..+0#0 → -	..+XXX → -	..+0.L → -
..+00.- → -	..+0#.- → -	..+X.- → .	..-..0 → 0	..-..0L → 0
..-0.0+ → 0	..-0.0 → 0	..-0.L → 0	..-.#.+ → 0	..-+.- → 0
..-++0 → 0	..-..0L → 0	..-X+0 → 0	..-X*.0 → X	..-XL.0 → 0
..-0+.. → 0	..-0+XX → 0	..-LL.0 → 0	..-#.0L → 0	..*...0 → 0
..*.0+ → #	..*..#. → 0	..*.XL. → #	..*+X*X → +	..**.*X → 0
..**0.- → -	..*X..L → .	..*0.*. → *	..X.... → .	..X...* → .
..X.-. → X	..X...** → .	..X..XX → .	..X..0. → X	..X..L. → .
..X..#. → *	..X.-.+ → .	..X.*X. → .	..X.X.. → #	..X.X+. → .
..X.XL. → X	..X.X#X → 0	..X.0-. → X	..X+X.. → .	..XX.# → .
..XX.X+ → +	..XX.XL → L	..XX+0. → .	..XX*-. → .	..XX#.. → .
..X0..X → #	..XLX.. → .	..0...+ → +	..0...0 → 0	..0...L → L
..0..+0 → +	..0..0- → 0	..0..00 → 0	..0..+- → +	..0..+OX → 0
..0.+#. → .	..0.-.* → +	..0.-OX → 0	..0.*.+ → +	..0.*.L → L
..0.00X → 0	..0.L.- → L	..0.L.0 → L	..0.L.- → L	..0.L-X → 0
..0.LOX → .	..0+.-. → +	..0+-X. → +	..0-.0. → 0	..0--.+ → +
..0--.0 → 0	..0--.L → L	..0*..+ → +	..0*.0. → #	..0*-.+ → *
..OX-.+ → +	..OX-.L → L	..OXXX+ → +	..OXXXL → L	..OXX#X → #
..00.+ → +	..00.0. → 0	..00.0- → 0	..000.+ → +	..000.0 → 0
..0#.0. → 0	..0#.L- → L	..L...- → -	..L..-0 → -	..L.-.0 → -
..L+.-0 → -	..L**0 → -	..LXXX- → -	..LX0.- → -	..L00.- → -
..L#.-. → -	..#...+ → .	..#...++ → .	..#.-.. → X	..#+.# → .
..#*.0. → +	..#X.-. → #	..#XXL- → L	..#XX#X → 0	..#0.0. → #
..#0#.. → .	..##.0. → 0			

Rule neighborhoods are as follows (no rotations listed):



(Appendix B follows on next page.)

Appendix B: The Transition Function for ULO6W8V\*

CNESW → C'	CNESW → C'	CNESW → C'	CNESW → C'
Replication rules:			
..... → .	>.O.L → L	O..L. → O	.O>.. → .
...O. → .	O...> → >	..000 → ^	..>>O → .
..L.. → .	...v. → .	O.^>O → <	.<L.L → .
.>... → .	L..Ov → O	O^O.> → v	L#.Ov → O
...OO → .	OLL.O → O	OOL.O → O	...L< → .
O.O.L. → O	...LL → .	O.<O^ → v	<...# → .
LO>.. → O	....> → ^	^.000 → .	..#v. → .
>OO.L → L	...>. → O	...v< → .	#.<L. → O
O..>O → <	>...L → L	L<v.O → O	...#. → O
O.O.> → >	L.>.O → O	v.O.L → .	..L>O → .
O...O → O	OOO.> → >	OvO.v → >	..O.O → .
O.<O. → v	O.L.O → O	.<vv< → .	OO.O.L → O
<..LO → L	LO^..O → O	<.... → <	..OL. → .
L<>.O → O	^...L → L	..<<. → #	OO.O. → O
...>x → .	...^O → <		

Reduced set of replication rules:			
^.O__ → .	O.__> → >	O^___ → v	L_____ → O
v.O__ → .	OvO.__ → >	...^O → <	#_____ → O
<...# → .	OOO.__ → >	O.__> → <	>...L → L
....> → ^	O.<O. → v	...>. → O	<..L_ → L
..000 → ^	O.<O^ → v	...#. → O	..<<_ → #

\* Same conventions as Appendix A except each rule is interpreted assuming weak rotational symmetry as described in the text.