

combinatory logic

terms:

$$M, N ::= x \mid S \mid K \mid I \mid (MN)$$

rules:

$$SXYZ \rightarrow (XZ)(YZ)$$

$$KXY \rightarrow X$$

$$IX \rightarrow X$$

I can be defined using K and S:

$$(SKK)x \rightarrow (Kx)(Kx) \rightarrow x$$

reduction may be infinite:

$$(SII)(SII) \rightarrow I(SII)(I(SII)) \rightarrow (SII)(I(SII)) \rightarrow (SII)(SII)$$



lambda calculus

terms:

$$M, N ::= x \mid \lambda x. M \mid (MN)$$

rule:

$$(\lambda x. M)N \rightarrow_{\beta} M[x := N]$$



lambda calculus

introduced by Alonzo Church 1936



lambda calculus

terms:

$$M, N ::= x \mid \lambda x. M \mid (MN)$$

rule:

$$(\lambda x. M)N \rightarrow_{\beta} M[x := N]$$

reduction may be infinite:

$$(\lambda x. xx)(\lambda x. xx) \rightarrow_{\beta} (\lambda x. xx)(\lambda x. xx)$$



expressivity

both CL and lambda calculus are Turing complete



extending lambda calculus

- ▶ lambda calculus with **pairing**
- ▶ lambda-calculus with **arithmetic**
- ▶ lambda calculus with **explicit substitutions**
- ▶ lambda calculus with **patterns**
- ▶ ...



extending CL

to orthogonal (first-order) term rewriting systems (OTRSs), e.g.:

```
map F nil      → nil
map F (cons H T) → cons (F H) (map F T)
```

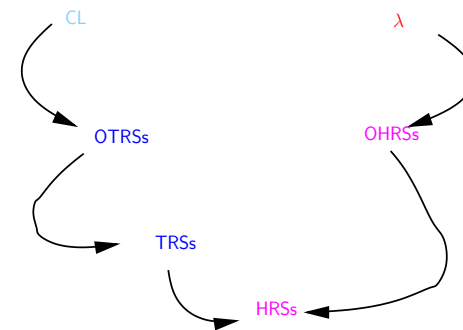
to (first-order) term rewriting systems (TRSs), e.g.:

```
eq(X, X)      → true
por(true, Z)   → true
por(Z, true)   → true
por(false, false) → false
```



towards higher-order rewriting

both **patterns** and **bound variables**



higher-order rewriting: rewriting with bound variables

- ▶ adds **bound variables** to first-order rewriting
- ▶ adds **expressive power** and **algebraic data-types** to λ -calculus



Part II

lambda calculus



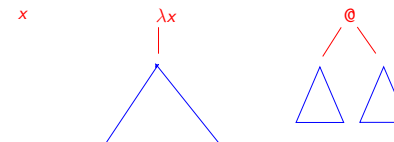
this morning

- ▶ **lambda calculus**
- ▶ **towards higher-order rewriting**
- ▶ **termination**
- ▶ **confluence**



untyped lambda calculus: terms

$$M, N ::= x \mid \lambda x. M \mid (MN)$$



untyped lambda calculus: reduction

rule:

$$(\lambda x. M) N \rightarrow_{\beta} M[x := N]$$

example:

$$(\lambda x. x x) (\lambda x. x x) \rightarrow_{\beta} (\lambda x. x x) (\lambda x. x x)$$



data types in lambda calculus: example

define:

true = $\lambda x. \lambda y. x$
false = $\lambda x. \lambda y. y$
not = $\lambda x. x \text{ false true}$

then:

not true =
 $(\lambda x. x \text{ false true}) \text{ true} \rightarrow_{\beta}$
 $\text{true false true} \rightarrow_{\beta}^*$
false



untyped lambda calculus: properties

- ▶ it is **Turing complete**
- ▶ β -reduction is **confluent**
- ▶ every β -reduction can be transformed into one where redexes are contracted in a **standard** (left-to-right) way
- ▶ all **developments** terminate



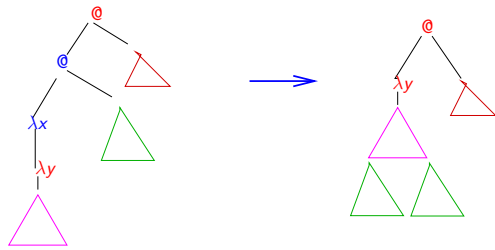
creation of redexes

the three ways of creating redexes (Jean-Jacques Lévy):

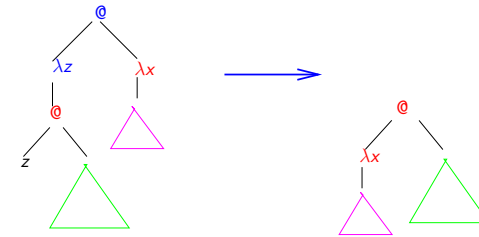
1. $(\lambda x. \lambda y. M) P Q \rightarrow_{\beta} (\lambda y. M[x := P]) Q$
2. $(\lambda x. x) (\lambda y. M) N \rightarrow_{\beta} (\lambda y. M) N$
3. $(\lambda z. C[z Q]) (\lambda x. P) \rightarrow C[(\lambda x. P) Q]$



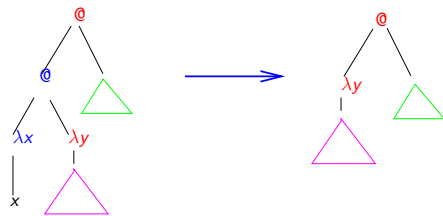
creation of redexes: 1



creation of redexes: 3



creation of redexes: 2



development: idea

only residuals of redexes in the initial term are contracted
 so **created** redexes are not contracted



development: example

$$\begin{aligned}(\lambda x. f x x) ((\lambda y. y) a) &\rightarrow_{\beta} \\ f ((\lambda y. y) a) ((\lambda y. y) a) &\rightarrow_{\beta} \\ f a ((\lambda y. y) a) &\rightarrow_{\beta} \\ f a a &\end{aligned}$$



finiteness of developments

infinite behaviour is caused by **created** redexes



development: non-example

$$\begin{aligned}(\lambda x. \lambda y. f x y) a b &\rightarrow_{\beta} \\ (\lambda y. f a y) b &\rightarrow_{\beta} \\ f a b &\end{aligned}$$



finiteness of superdevelopments

infinite behaviour is caused by **the 3rd type of created** redexes



developments: via the underlined lambda calculus

terms:

$$M, N ::= x \mid \lambda x. M \mid (M N) \mid (\underline{\lambda x. M})N$$

rule:

$$(\underline{\lambda x. M})N \rightarrow_{\beta} M[x := N]$$

reduction:

$$\begin{array}{l}
 (\underline{\lambda x. f x x})((\underline{\lambda y. y}) a) \rightarrow_{\beta} \\
 f((\underline{\lambda y. y}) a)((\underline{\lambda y. y}) a) \rightarrow_{\beta} \\
 f a((\underline{\lambda y. y}) a) \rightarrow_{\beta} \\
 f a a
 \end{array}$$



the underlined lambda calculus is terminating (2)

theorem: σ terminating $\Rightarrow M^{\sigma}$ terminating

proof: Induction on the definition of terms.

1. $M = x$
2. $M = \lambda x. P$
IH $\Rightarrow P^{\sigma}$ is terminating



the underlined lambda calculus is terminating (1)

theorem: σ terminating $\Rightarrow M^{\sigma}$ terminating

proof: Induction on the definition of terms.

1. $M = x$
variables are terminating and σ is terminating



the underlined lambda calculus is terminating (3)

theorem: σ terminating $\Rightarrow M^{\sigma}$ terminating

proof: Induction on the definition of terms.

1. $M = x$
2. $M = \lambda x. P$
3. $M = (P Q)$
IH $\Rightarrow P^{\sigma}$ and Q^{σ} are terminating
note: $\underline{\lambda x. M}$ is not an underlined term
no interaction between P and Q



the underlined lambda calculus is terminating (4)

theorem: σ terminating $\Rightarrow M^\sigma$ terminating

proof: Induction on the definition of terms.

1. $M = x$
2. $M = \lambda x. P$
3. $M = (P Q)$
4. $M = (\underline{\lambda x. P}) Q$
 - ▶ head redex is contracted
IH $\Rightarrow P^\sigma[x := Q^\sigma] = P^\sigma[x := Q^\sigma]$ is terminating
 - ▶ head redex is not contracted
IH $\Rightarrow P^\sigma$ and Q^σ are terminating



exercise

how can redexes be created in CL?



Part III
towards higher-order rewriting



simple types

$A, B ::= b \mid (A \rightarrow B)$

examples:

nat
nat \rightarrow nat \rightarrow nat
(nat \rightarrow nat) \rightarrow bool



simply typed terms

1. $x : A$
if x is a variable of type A
2. $f : A$
if f is a constant of type A
3. $\lambda x. M : A \rightarrow B$
if $M : B$ and x a variable of type A
4. $(FM) : B$
if $F : A \rightarrow B$ and $M : A$

there is no self-application as in $\lambda x. x x$



example: predicate logic

normal:

$\forall x. \text{plays}(x)$

HOS:

$\forall ($



higher-order syntax

all bindings are expressed using λ



beta reduction

$$(\lambda x. M)N \rightarrow_{\beta} M[x := N]$$

but now β -reduction terminates
(more this afternoon !)



different approaches

do we want to see the substitution explicitly ?

YES

then we work modulo α

NO

then we work modulo $\alpha\beta$ (and η)



beta reduction implements substitution

| | |
|---|--|
| $\forall x. P(x)$ | $\forall (\lambda x. (P x))$ |
| | $(\lambda P. \forall (\lambda x. (P x))) (\lambda u. \text{plays } u)$ |
| | ↓ |
| $P(x) \rightsquigarrow \text{plays}(x)$ | $\forall (\lambda x. ((\lambda u. \text{plays } u) x))$ |
| | ↓ |
| | $\forall (\lambda x. (\text{plays } x))$ |
| $\forall x. \text{plays}(x)$ | $\forall (\lambda x. (\text{plays } x))$ |



higher-order rewriting: systems

- ▶ modulo α
extensions of λ -calculus
AFS (Jouannaud and Okada 1991)
- ▶ modulo $\alpha\beta\eta$

CRS (Klop 1980)
ERS (Khasidashvili 1990)
HOER (Wolfram 1991)
HRS (Nipkow 1991)



restricted eta expansion

the η -expansion rule:

$$M \rightarrow_{\eta} \lambda x. (M x)$$

side conditions:

- ▶ types ok
- ▶ fresh variables
- ▶ do not create β -redexes



long normal form

a β -normal form:

$$\lambda x_1 \dots \lambda x_m. (c M_1 \dots M_n)$$

its long normal form:

$$\lambda x_1 \dots \lambda x_m \lambda x_{m+1} \dots \lambda x_p. (c M'_1 \dots M'_n x'_{m+1} \dots x'_p)$$



unique representatives

every $\beta\eta$ equivalence class has a unique representative:
its β long normal form



requirements on a rewrite rule $l \rightarrow r$?

as in TRSs:

- ▶ all free variables of r occur in l
- ▶ l is not a free variable

in addition:

- ▶ l and r have the same type
- ▶ l and r are in $\beta\eta$ normal form



decidability

is it decidable whether a rule can be applied ?

are critical pairs decidable ?



unification is undecidable

higher-order unification problem:

$$g^\sigma =_{\beta\eta} l^\tau$$

result:

- ▶ undecidable (Huet 1976)



is matching decidable ?

higher-order matching problem:

$$s =_{\beta\eta} l^\sigma$$

results:

- ▶ 3rd order: decidable (Dowek 1994)
- ▶ 4th order: decidable (Padovani 2001)
- ▶ general: decidable (Stirling 2006)
- ▶ modulo β : undecidable (Loader 2003)



restriction of left-hand sides to patterns

unification is decidable for patterns (Miller 1991)

pattern:

all arguments of a free variable are different bound variables

not a pattern:

$$f(Z(Z(x)))$$



why is it called higher-order ?

order of a rewrite system:

maximum order of a free variable in a rule

order of a type:

1. $\text{order}(b) = 1$
2. $\text{order}(A_1 \rightarrow \dots \rightarrow A_n \rightarrow b) = \max\{\text{order}(A_i)\} + 1$

Part IV

termination



order of a rewrite system: examples

0th order:

$$a \rightarrow b$$

1st order:

$$\text{plus}(0, Y) \rightarrow Y$$

2nd order:

$$\text{map}(\lambda x. F(x), \text{nil}) \rightarrow \text{nil}$$

3rd order:

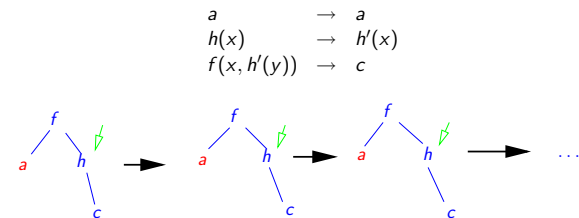
$$f(\lambda x. Z(x)) \rightarrow Z(\lambda u. a)$$



outermost-fair rewriting: idea

every outermost redex is eventually contracted

example of a non-outermost-fair reduction:



outermost-fair rewriting is normalizing

for TRSs that are almost orthogonal
(O'Donnell 1977)

for HRSs that are weakly orthogonal and fully extended
(van Oostrom 1999)



why is higher-order more difficult ?

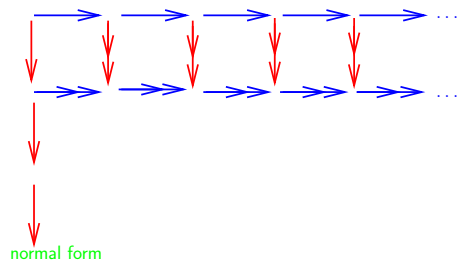
a non-outermost redex can create an outermost redex

so we will need an additional restriction



proof idea

induction on the maximum length to normal form
outermost-fair is stable under projection

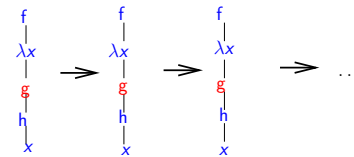


example

rules:

$$\begin{aligned} f(\lambda x. Z) &\rightarrow a \\ g(X) &\rightarrow g(X) \\ h(X) &\rightarrow a \end{aligned}$$

an infinite outermost-fair reduction of a normalizing term:



fully applied: idea

avoid the occur check:

a free variable has as arguments
all variables that are at that position bound



Part V
confluence



why is weakly orthogonal difficult ?

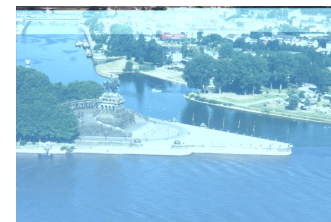
an outermost redex may (as such) disappear

- ▶ because it is contracted
- ▶ because it is not a redex anymore
- ▶ because it is not outermost anymore



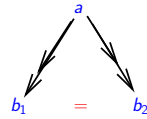
confluence

two coinitial rewrite sequences can be joined



why confluence ?

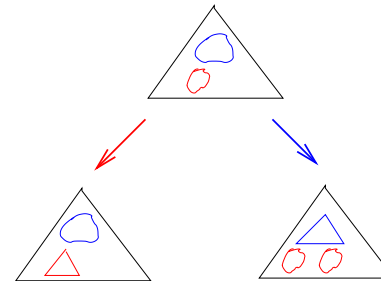
confluence yields uniqueness of normal forms



◀ ▶ ↻ 🔍

orthogonality

rewrite steps do not destroy each other



◀ ▶ ↻ 🔍

methods to prove confluence of HRSs

- ▶ **orthogonality** \Rightarrow **confluence**
(Aczel 1978, Klop 1980, Khasidashvili 1990)
- ▶ **joinability of critical pairs** \Rightarrow **local confluence**
(Nipkow 1991)
joinability of critical pairs and termination \Rightarrow **confluence**
- ▶ **critical pairs development closed** \Rightarrow **confluence**
(van Oostrom 1996)

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orthogonality: definition

rewrite steps do not destroy each other

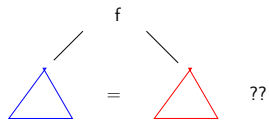
is guaranteed by two conditions on the rewrite rules:

- ▶ left-hand sides are **linear**
- ▶ left-hand sides are **non-overlapping**

◀ ▶ ↻ 🔍

left-linearity: idea

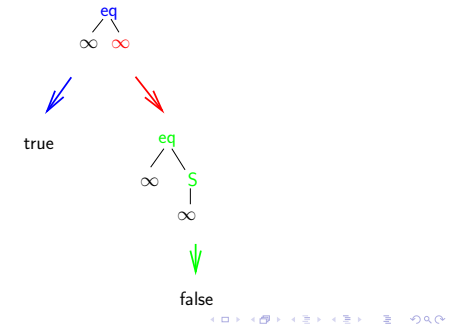
no check for equality



non-left-linearity may yield non-confluence

$\infty \rightarrow S(\infty)$
 $eq(X, X) \rightarrow true$
 $eq(X, S(X)) \rightarrow false$

is not confluent:



left-linearity: definition

a free variable occurs at most once in a left-hand side



non-overlapping: definition

two left-hand sides are not unifiable
on a non-variable position

unification is decidable because left-hand sides are patterns



overlap may yield non-confluence

rules:

$a \rightarrow b$
 $a \rightarrow c$

divergence:



orthogonality implies confluence: TML proof method

define relation \rightsquigarrow with

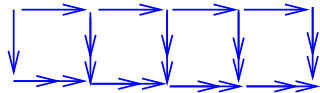
▶ \rightsquigarrow has the diamond property

▶ $\rightsquigarrow^* = \rightarrow^*$



orthogonality implies confluence: proof methods

▶ using developments and the parallel moves lemma

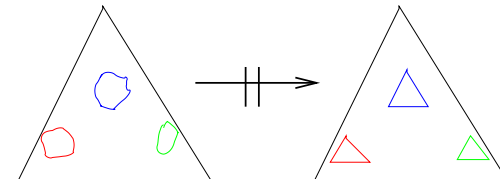


▶ Tait-Martin-Löf method using an inductive definition



what do we take for \rightsquigarrow ?

for TRSs: parallel reduction \Downarrow

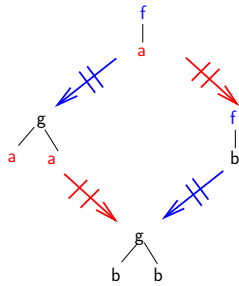


parallel reduction: example

rules:

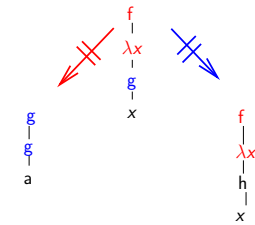
$$\begin{array}{l} f(X) \rightarrow g(X, X) \\ a \rightarrow b \end{array}$$

parallel step:



parallel reduction for HRSs: no diamond property

$$\begin{array}{l} f(\lambda x. Z(x)) \rightarrow Z(Z(a)) \\ g(X) \rightarrow h(X) \end{array}$$



parallel reduction: not for HRSs

parallel reduction does not have the diamond property
because residuals of parallel redexes may be nested



parallel reduction for lambda: no diamond property

divergence:

$$\begin{array}{l} (\lambda x. (\lambda y. x) I) (I I) \rightsquigarrow (\lambda y. I I) I \\ (\lambda x. (\lambda y. x) I) (I I) \rightsquigarrow (\lambda x. x) I \end{array}$$



multistep reduction for lambda calculus: example

$$\begin{aligned}
 (\lambda y. y y) x &\rightarrow x x \\
 (\lambda z. z) a &\rightarrow a \\
 (\lambda x. (\lambda y. y y) x) ((\lambda z. z) a) &\rightarrow a a
 \end{aligned}$$



multistep reduction for HRSs: example

rules:

$$\begin{aligned}
 a &\rightarrow b \\
 f(x) &\rightarrow g(x)
 \end{aligned}$$

multisteps:

$$\begin{aligned}
 a &\rightarrow b \\
 f(a) &\rightarrow g(b)
 \end{aligned}$$



multistep reduction for HRSs

- 1. variable $\frac{\vec{s} \rightarrow \vec{t}}{x(\vec{s}) \rightarrow x(\vec{t})}$
- 2. function $\frac{\vec{s} \rightarrow \vec{t}}{f(\vec{s}) \rightarrow f(\vec{t})}$
- 3. abstraction $\frac{s \rightarrow t}{\lambda x. s \rightarrow \lambda x. t}$
- 4. rule $\frac{\sigma \rightarrow \tau}{l^\sigma \rightarrow r^\tau}$



difference between parallel reduction and multistep

parallel reduction:

$$l^\sigma \dashrightarrow r^\sigma$$

multistep:

$$\frac{\sigma \rightarrow \tau}{l^\sigma \rightarrow r^\tau}$$



multistep simulates rewriting

$$-\circ^* = \rightarrow^*$$



s^* for HRSs

intuition: contract all redexes in s
 goal: universal common reduct

1. $(x(s_1, \dots, s_n))^* = x(s_1^*, \dots, s_n^*)$
2. $(f(s_1, \dots, s_n))^* = f(s_1^*, \dots, s_n^*)$
3. $(\lambda x. s)^* = \lambda x. s^*$
4. $(I^\sigma)^* = r^{\sigma^*}$



M^* for lambda calculus

intuition: contract all redexes in M
 goal: universal common reduct

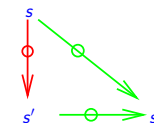
1. $x^* = x$
2. $(\lambda x. M)^* = \lambda x. M^*$
3. $(MN)^* = (M^* N^*)$
4. $((\lambda x. M) N)^* = M^*[x := N^*]$



triangle: s^* is a universal common reduct

lemma:
 if $s \rightarrow s'$ then $s' \rightarrow s^*$

proof:
 induction on the definition of \rightarrow



orthogonality implies confluence

- ▶ multistep reduction instead of parallel reduction
- ▶ alternative: use developments instead of inductive definitions
- ▶ extends to the weakly orthogonal case



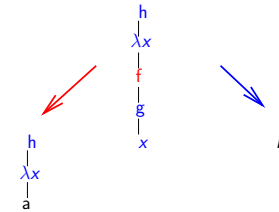
critical pairs: idea

critical pairs arise from most general overlaps

rules:

$$\begin{array}{l} f(X) \rightarrow a \\ h(\lambda x. f(g(x))) \rightarrow b \end{array}$$

critical pair:



exercise

is it possible to define s^* for parallel reduction ?

prove the diamond property of \rightarrow without s^*



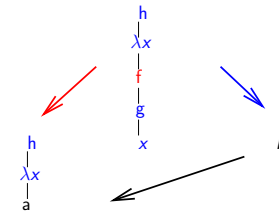
critical pairs: lemma

all critical pairs joinable \Rightarrow local confluence

rules:

$$\begin{array}{l} f(X) \rightarrow a \\ h(\lambda x. f(g(x))) \rightarrow b \\ b \rightarrow h(\lambda x. a) \end{array}$$

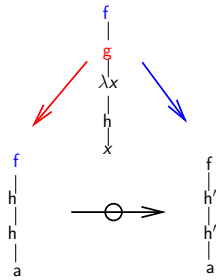
joinable critical pair:



development closed: idea

rules:

$$\begin{aligned} f(g(\lambda x. Z(x))) &\rightarrow f(Z(Z(a))) \\ g(\lambda x. h'(x)) &\rightarrow h(h(a)) \\ h(X) &\rightarrow h'(X) \end{aligned}$$



concluding remarks

some concepts for higher-order rewriting:

- ▶ multistep reduction instead of parallel reduction
- ▶ fully applied rewrite rules

some results for higher-order rewriting:

- ▶ critical pair lemma
- ▶ orthogonality yields confluence
- ▶ standardization
- ▶ recursive path ordering
- ▶ outermost-fair rewriting is normalizing



development closed: theorem

for HRSs:

all critical pairs development closed \Rightarrow confluence

