



# The FMC from a higher-order rewriting perspective

a syntactician's prology

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<https://people.bath.ac.uk/vvo21/>

<sup>1</sup>Supported by EPSRC Project EP/R029121/1 Typed lambda-calculi with sharing and unsharing.

# A rewriter's perspective

## Dialogue

- Q<sub>1</sub>: can you say something about my **calculus**?

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- $Q_2$ : what are the **objects**  $A$  and what are the **rules**  $P$ ?

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## Dialogue

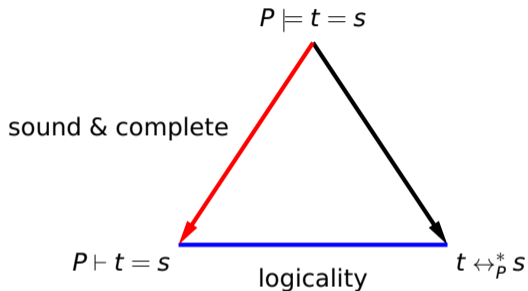
- $Q_1$ : can you say something about my calculus?
- $Q_2$ : what are the objects  $A$  and what are the rules  $P$ ?
- $A_2$ : **terms** over  $\{A, 0, S\}$ , **rules**  $A(x, 0) \rightarrow x$  and  $A(x, S(y)) \rightarrow S(A(x, y))$

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- $Q_1$ : can you say something about my calculus?
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- $A_2$ : terms over  $\{A, 0, S\}$ , rules  $A(x, 0) \rightarrow x$  and  $A(x, S(y)) \rightarrow S(A(x, y))$
- $A_1$ : what would you like to know about it?

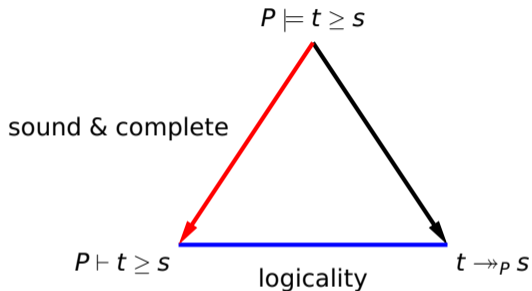
# Birkhoff theorem as Leitmotiv



**interest in?**

**equational** theory (refl),(sym),(trans),(compatible),(rule) ? (Birkhoff)

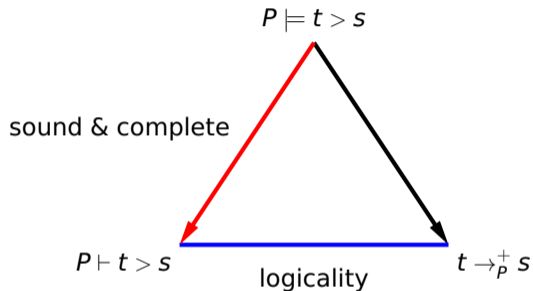
# Sub-Birkhoff theorem as Leitmotiv



**interest in?**

rewrite theory (refl),(trans),(compatible),(rule) ? (Meseguer)

# Sub-Birkhoff theorem as Leitmotiv

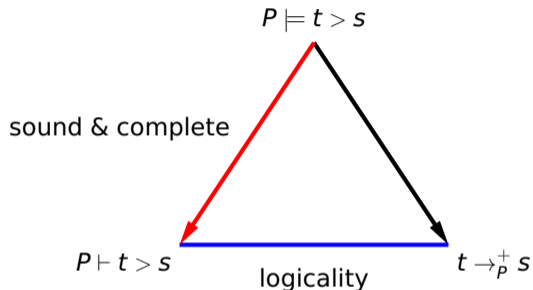


## interest in?

termination theory (trans),(compatible),(rule),well-founded? (Lankford,Zantema)



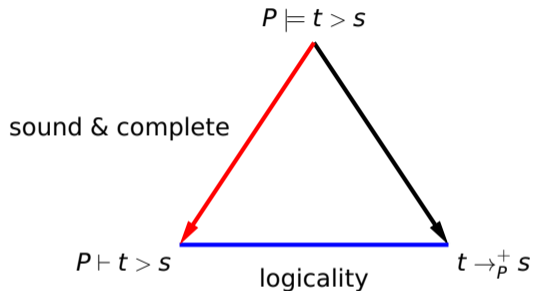
# Sub-Birkhoff theorem as Leitmotiv



## interest in?

any other **sub**-equational theory  $\subseteq$  (*refl*), (*sym*), (*trans*), (*compatible*), (*rule*)?

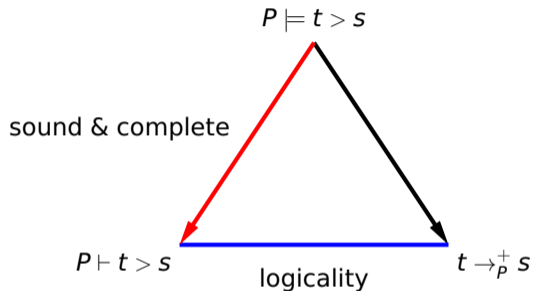
# Sub-Birkhoff theorem as Leitmotiv



**interest in?**

**computations?** represent as **terms**; **standardisation**  $\Rightarrow$  (2D; Klop, Mellies)

# Sub-Birkhoff theorem as Leitmotiv



**interest in?**

approximation? **infinitary** terms / rewriting (Klop,Ariola,Blom,Ketema)

# Higher-order rewrite system (HRS) warm-up examples

## the relevance of arbitrary signatures

combinatory logic (CL) : term rewrite system (TRS)

..

..

lambda-calculus (lambda) : higher-order term rewrite system (HRS; Nipkow)

closed under renaming, adding recursion / algebraic rules, etc.

## freeness: signature $\implies$ terms, signature + rules $\implies$ steps

- terms: simply typed  $\lambda$ -terms modulo  $\alpha\beta\eta$  over typed signature
- steps: simply typed  $\lambda$ -terms modulo  $\alpha\beta\eta$  over typed signature & typed rules  
source (target) by mapping each rule  $\rho : \ell \rightarrow r$  in step to lhs  $\ell$  (rhs  $r$ )

# Higher-order rewrite system warm-up examples

## Example (addition as a HRS)

- **signature**  $0 : o$  (nullary),  $S : o \rightarrow o$  (unary),  $A : o \rightarrow o \rightarrow o$  (binary)

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- **rules**  $\rho : o \rightarrow o$  and  $\theta : o \rightarrow o \rightarrow o$ , for variables  $x, y : o$ :

$$\rho: \quad \lambda x. Ax0 \rightarrow \lambda x.x$$

$$\theta: \lambda xy. Ax(Sy) \rightarrow \lambda xy.S(Axy)$$

cf. Frege's shift from  $\forall x.t = s$  to  $\lambda x.t = \lambda x.s$

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$$\rho: \quad \lambda x.A(x, 0) \rightarrow \lambda x.x$$

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with syntactic sugar added

# Higher-order rewrite system warm-up examples

## Example (untyped lambda-beta-eta calculus as a HRS)

- **signature**  $\text{abs} : (o \rightarrow o) \rightarrow o$  (higher-order),  $\text{app} : o \rightarrow o \rightarrow o$



# Higher-order rewrite system warm-up examples

## Example (untyped lambda-beta-eta calculus as a HRS)

- signature  $\text{abs} : (o \rightarrow o) \rightarrow o$  (higher-order),  $\text{app} : o \rightarrow o \rightarrow o$
- rules  $\text{eta} : o \rightarrow o$ ,  $\text{beta} : (o \rightarrow o) \rightarrow o \rightarrow o$ , variables  $M : o \rightarrow o$  and  $N, K : o$

eta:  $\lambda K.\text{abs } \lambda x.\text{app } K x \rightarrow \lambda K.K$

beta:  $\lambda MN.\text{app } (\text{abs } \lambda x.M x) N \rightarrow \lambda MN.M N$

without syntactic sugar;  $x$  is **parameter** to  $M$ ;  $K$  **no** parameters

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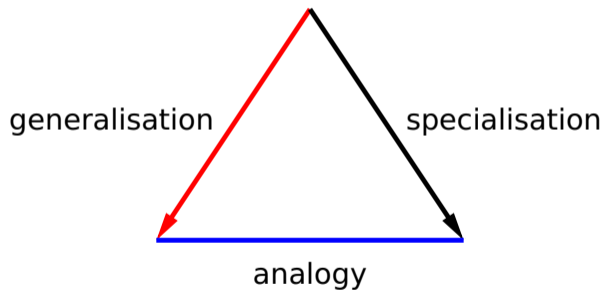
$$\text{eta: } \lambda K.\text{abs}(\lambda x.\text{app}(K, x)) \rightarrow \lambda K.K$$

$$\text{beta: } \lambda MN.\text{app}(\text{abs}(\lambda x.M(x)), N) \rightarrow \lambda MN.M(N)$$

with syntactic sugar

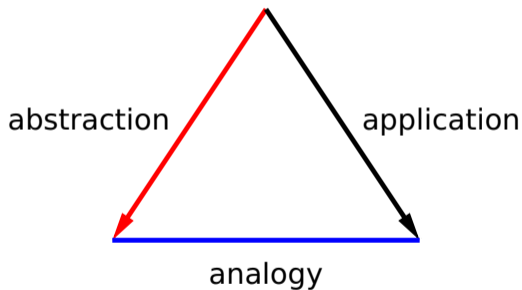
# Steps as terms over signature + rules

Pólya's triangle



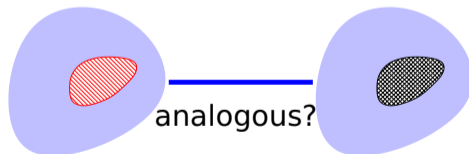
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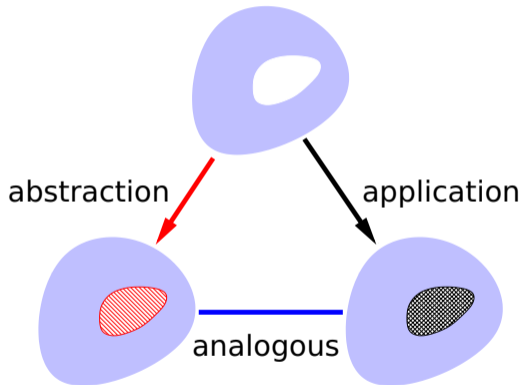
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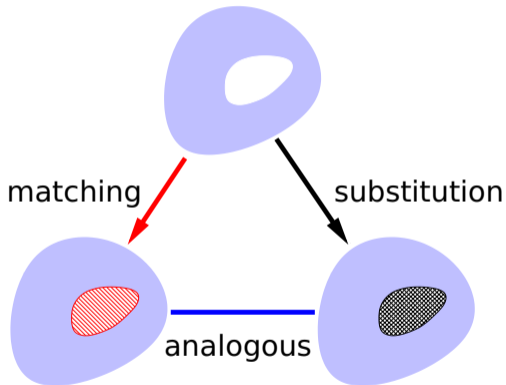
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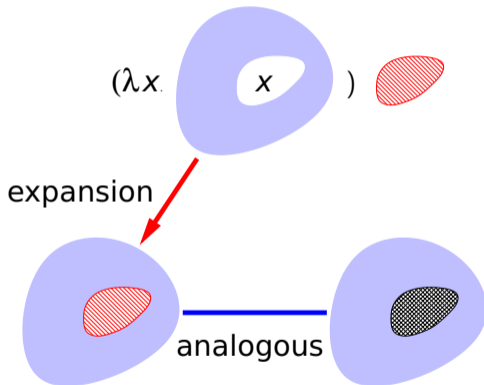
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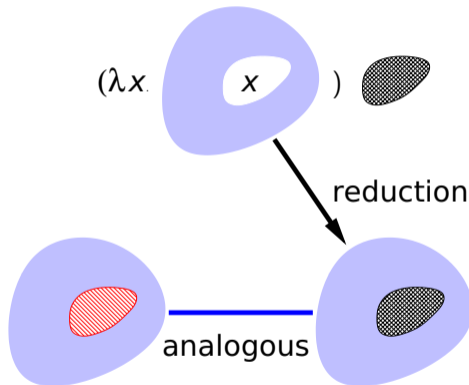
structured rewrite step for rule  $\rho : \ell \rightarrow r$





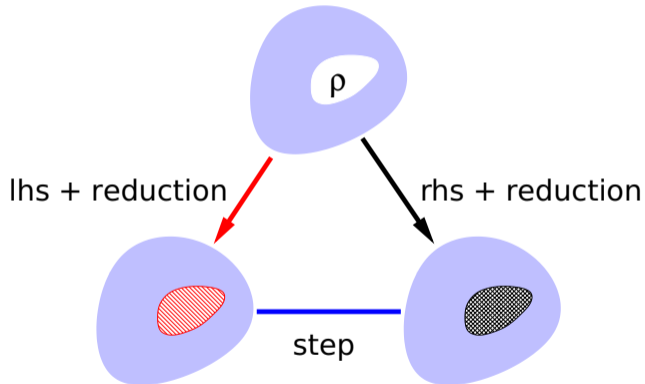
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# Steps as terms over signature + rules

## Example (Steps in HRS for addition)

$$\rho: \lambda x.A(x, 0) \rightarrow \lambda x.x$$

$$\theta: \lambda xy.A(x, S(y)) \rightarrow \lambda xy.S(A(x, y))$$

- $S(\rho(0))$  step from  $S((\lambda x.A(x, 0)) 0) \downarrow = S(A(0, 0))$  to  $S((\lambda x.x) 0) \downarrow = S(0)$

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- $\rho(\theta(0, 0))$  **multistep** from  
 $(\lambda x.A(x, 0)) ((\lambda xy.A(x, S(y))) 0 0) \downarrow = A(A(0, S(0)), 0)$  to  
 $(\lambda x.x) ((\lambda xy.S(A(x, y))) 0 0) \downarrow = S(A(0, 0))$

# Steps as terms over signature + rules

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- $S(\rho(0))$  step from  $S((\lambda x.A(x, 0)) 0)\downarrow = S(A(0, 0))$  to  $S((\lambda x.x) 0)\downarrow = S(0)$
- $\rho(\theta(0, 0))$  **multistep** from  
 $(\lambda x.A(x, 0)) ((\lambda xy.A(x, S(y))) 0 0)\downarrow = A(A(0, S(0)), 0)$  to  
 $(\lambda x.x)((\lambda xy.S(A(x, y))) 0 0)\downarrow = S(A(0, 0))$

## Remark (steps as terms non-standard still)

*simply typed  $\lambda$ -calculus modulo  $\alpha\beta\eta$  for binding / matching / substitution  
adaptable to strings, graphs, ...; can also be replaced by proof nets, ...*

# Semantics of / via higher-order term rewriting?

## semantics of addition HRS?

$$\begin{aligned}\lambda x.Ax0 &\rightarrow_{\rho} \lambda x.x \\ \lambda xy.Ax(Sy) &\rightarrow_{\theta} \lambda xy.S(Axy)\end{aligned}$$

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## factorise through semantics of substitution; simply typed $\lambda\beta\eta$

- interpret base type  $o$  as  $\mathbb{N}$  ( $\llbracket o \rrbracket := \mathbb{N}$ ),  $\tau \rightarrow \sigma$  as set  $\llbracket \tau \rrbracket \Rightarrow \llbracket \sigma \rrbracket$  of functions from  $\llbracket \tau \rrbracket$  to  $\llbracket \sigma \rrbracket$ , function application / abstraction according to their name

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- interpret each symbol  $f : \tau$  as an element of its type  $\llbracket \tau \rrbracket$ , say 0 as  $37 \in \mathbb{N}$ , S as  $\text{id} \in \mathbb{N} \Rightarrow \mathbb{N}$ , A as first projection  $\pi_1 \in \mathbb{N} \Rightarrow \mathbb{N} \Rightarrow \mathbb{N}$



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- interpret rules  $\rho$  and  $\theta$  as equalities

$$\begin{aligned}(n \mapsto n) &= (n \mapsto n) \\ (n, m \mapsto n) &= (n, m \mapsto n)\end{aligned}$$

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of course interpreting as zero, successor, and addition also works

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two, successor, and multiplication gives inequalities  $>$  on  $\mathbb{N}_{\geq 2}$  (termination)

# Semantics of / via higher-order term rewriting?

## semantics of untyped lambda-beta-eta HRS?

$$\begin{array}{l} \lambda (K). \text{abs } \lambda x. \text{app } K x \quad \rightarrow_{\text{eta}} \quad \lambda (K). K \\ \lambda (M N). \text{app } (\text{abs } \lambda x. M x) N \quad \rightarrow_{\text{beta}} \quad \lambda (M N). M N \end{array}$$

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## factorise through semantics of substitution; simply typed $\lambda\beta\eta$ ; CCC

- interpret beta and eta-rules in CCC (cf. Koymans):

$$\begin{aligned}\textcircled{\circ} \circ \langle \llbracket \text{abs} \rrbracket \circ \langle \rangle, \textcircled{\circ} \circ \langle \llbracket \text{app} \rrbracket \circ \langle \rangle, \text{id} \rangle \rangle &= \text{id} \\ \textcircled{\circ} \circ \langle \llbracket \text{app} \rrbracket \circ \langle \rangle, \textcircled{\circ} \circ \langle \llbracket \text{abs} \rrbracket \circ \langle \rangle, \text{id} \rangle \rangle &= \text{id}\end{aligned}$$

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- for set / functions:  $\llbracket \text{abs} \rrbracket \circ \llbracket \text{app} \rrbracket = \text{id}$  on  $D$  and  $\llbracket \text{app} \rrbracket \circ \llbracket \text{abs} \rrbracket = \text{id}$  on  $D \Rightarrow D$

# FMC in a standard presentation

## Definition (the FMC)

- terms

$$M, N, P ::= \star \mid x.M \mid [N]a.M \mid a\langle x \rangle.M$$

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- terms given by **grammar**, with external notion of **binding**

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- steps allow rule applications in any **context**; how defined exactly?

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## Desiderata to embed in higher-order term rewrite system

- simply typed  $\lambda\beta\eta\alpha$ -terms **freely generated** from typed **signature**;  **$\lambda$ -binding**
- rule schema:  $H$  sequences of abs/apps at  $b \neq a$  and  $\{N/x\}M$  meta-level
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- **typed, closed** rules; variables and substitutions at **object**-level
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## Desiderata to embed in higher-order term rewrite system

- simply typed  $\lambda\beta\eta\alpha$ -terms freely generated from typed signature;  $\lambda$ -binding
- typed, closed rules; variables and substitutions at object-level
- steps **freely generated** from signature extended with **rules**

# FMC in a standard presentation: substitution

## Definition (substitution $\{M/x\}N$ )

is capture-avoiding, uses composition  $N;M$  (also capture avoiding):

$$\begin{array}{ll} \star ; M := & M \\ x.N ; M := & x.(N ; M) \\ \{P/x\}\star := & \star \\ \{P/x\}x.M := & P ; \{P/x\}M \\ \{P/x\}y.M := & y.\{P/x\}M \quad (x \neq y) \end{array} \qquad \begin{array}{ll} [P].N ; M := & [P].(N ; M) \\ \langle y \rangle.N ; M := & \langle y \rangle.(N ; M) \quad (y \notin \text{fv}(M)) \\ \{P/x\}[N]a.M := & [\{P/x\}N]a.\{P/x\}M \\ \{P/x\}a\langle x \rangle.M := & a\langle x \rangle.M \\ \{P/x\}a\langle y \rangle.M := & a\langle y \rangle.\{P/x\}M \quad (y \notin \text{fv}(P)) \end{array}$$

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## how to deal with composition in HRS?

mark tip of  $P$  by bound variable  $\chi \implies$  composition **is** substitution for  $\chi$



# FMC as a (third-order) HRS

## Definition ( $\mathcal{FMC}$ )

- signature:  $\text{lam}_a : ((o \rightarrow o) \rightarrow o) \rightarrow o$  and  $\text{app}_a : o \rightarrow (o \rightarrow o) \rightarrow o$  for every  $a$

# FMC as a HRS

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- signature:  $\text{lam}_a : ((o \rightarrow o) \rightarrow o) \rightarrow o$  and  $\text{app}_a : o \rightarrow (o \rightarrow o) \rightarrow o$  for every  $a$
- rules: for variables  $\vec{K}$  free in  $H$ , and  $\vec{x}$  bound there,  $x, \vec{x} : o \rightarrow o$   
 $\text{beta}_{H,a} : \lambda \vec{K} M N. \text{app}_a(H[\text{lam}_a(\lambda x. M(\vec{x}, x))], \lambda \chi. N(\chi)) \rightarrow \lambda \vec{K} M N. H[M(\vec{x}, \lambda \chi. N(\chi))]$

# FMC as a HRS

## Definition ( $\mathcal{FMC}$ )

- signature:  $\text{lam}_a : ((o \rightarrow o) \rightarrow o) \rightarrow o$  and  $\text{app}_a : o \rightarrow (o \rightarrow o) \rightarrow o$  for every  $a$
- rules: for variables  $\vec{K}$  free in  $H$ , and  $\vec{x}$  bound there,  $x, \vec{x} : o \rightarrow o$   
 $\text{beta}_{H,a} : \lambda \vec{K} M N. \text{app}_a(H[\text{lam}_a(\lambda x. M(\vec{x}, x))], \lambda \chi. N(\chi)) \rightarrow \lambda \vec{K} M N. H[M(\vec{x}, \lambda \chi. N(\chi))]$

## Lemma (FMC embedding $\langle \rangle$ )

in *fragment*  $\lambda \chi. S$  with  $S ::= \chi \mid x S \mid \text{app}_a(S, \lambda \chi. S) \mid \text{lam}_a(\lambda x. S)$

- $\star$  maps to  $\chi$
- $x. M$  maps to  $x \langle M \rangle$
- $[N]a. M$  maps to  $\text{app}_a(\langle M \rangle, \lambda \chi. \langle N \rangle)$

# Properties of FMC via HRS theory for $\mathcal{FMC}$ ?

## Potentially interesting questions

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- 6 reductions modulo permutation equivalence a computation category?  
yes, because multisteps  $\rightarrow_{\text{beta}}$  constitute **residual system** (CTS; Stark)



# Confluence of $\mathcal{FMC}$ by Okui's critical pair criterion

## Theorem

$\rightarrow_{\text{beta}}$  is confluent

## Definition

- **rewrite** system  $\rightarrow := \langle A, \Phi, \text{src}, \text{tgt} \rangle$   
 $\phi : a \rightarrow b$  or  $a \rightarrow_{\phi} b$  denotes **step**  $\phi$  with **source**  $\text{src}(\phi) = a$ , **target**  $\text{tgt}(\phi) = b$   
(rewrite systems have same data as **multigraphs**, **quivers**, **pre-categories**)

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- rewrite system  $\rightarrow := \langle A, \Phi, \text{src}, \text{tgt} \rangle$
- has **diamond** property if  $\forall$  **peak**  $b \leftarrow a \rightarrow c, \exists$  **valley**  $b \rightarrow d \leftarrow c$   
**Skolemisation**:  $\forall \phi, \psi \text{ src}(\phi) = \text{src}(\psi) \implies \text{tgt}(\psi/\phi) = \text{tgt}(\phi/\psi)$  (**residuation**)

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- has diamond property if  $\forall$  **peak**  $b \leftarrow a \rightarrow c, \exists$  **valley**  $b \rightarrow d \leftarrow c$
- is **confluent** if reflexive-transitive closure  $\rightarrow^*$  has diamond

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## Difference between beta in $\mathcal{FMC}$ and lambda-calculus

- beta rule in lambda-calculus is **orthogonal**; all occurrences **concurrent**
- beta rule in  $\mathcal{FMC}$  is **non-orthogonal**; (schematic) **self-overlaps**:

$\text{app}_a\text{-app}_b\text{-lam}_b\text{-lam}_a$

$\text{app}_b\text{-app}_a\text{-lam}_b\text{-lam}_a$

these are harmless; **idea**: beta does not change  $H$ ; then use:

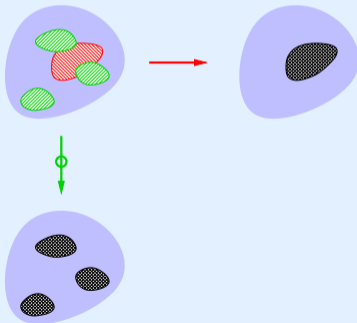
- $\rightarrow$  confluent if  $\rightarrow \subseteq \rightarrow \circ \rightarrow \subseteq \rightarrow$  and  $\forall$  peaks  $b \leftarrow \circ a \rightarrow c$ ,  $\exists$  valley  $b \rightarrow d \leftarrow \circ c$

# Confluence of $\mathcal{FMC}$ by Okui's critical pair criterion

## Theorem

$\rightarrow$  is confluent if  $\forall$  **critical**  $b \leftarrow \ominus a \rightarrow c, \exists b \rightarrow d \leftarrow \ominus c$

**Proof by potatoes of Okui's criterion (for  $\ominus \rightarrow_{\text{beta}}$  and  $\rightarrow_{\text{beta}}$ ).**

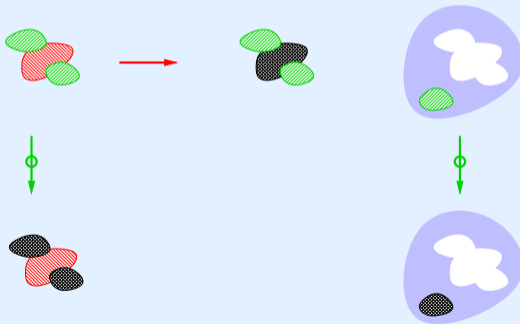


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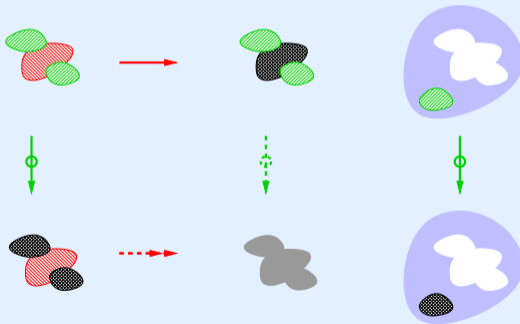


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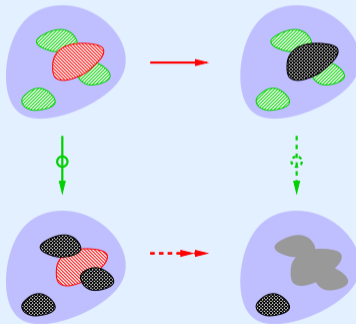


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## Main challenge : formalise this

- any **overlapping multi-one peak**  $t \leftarrow \ominus s \rightarrow r$
- **decomposes** as  $(\lambda x.D)\hat{t} \leftarrow \ominus (\lambda x.C)\hat{s} \rightarrow (\lambda x.C)\hat{r}$   
for multi-one **critical** peak  $\hat{t} \leftarrow \ominus \hat{s} \rightarrow \hat{r}$  and multistep  $D \leftarrow \ominus C$
- for multi-one critical peak  $\hat{t} \leftarrow \ominus \hat{s} \rightarrow \hat{r}$  exists **many-multi valley**  $\hat{t} \rightarrow \hat{u} \leftarrow \ominus \hat{r}$
- **recomposing** with multistep  $D \leftarrow \ominus C$  yields many-multi valley  
 $(\lambda x.D)\hat{t} \rightarrow (\lambda x.D)\hat{u} \leftarrow \ominus (\lambda x.C)\hat{r}$

# Geometric vs. inductive pattern

**Idea: allow to carve out well-behaved part,  $\text{pat} \iff \text{pattern}$**

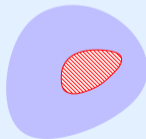
given a term



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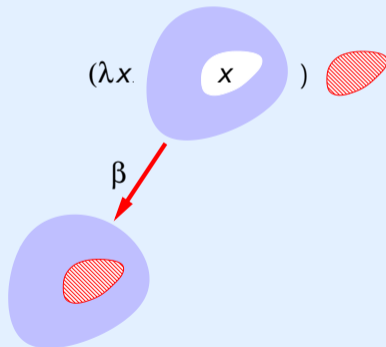
select **convex** set of edges and nodes, a **pat**  $P$  (geometric)



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$\beta$ -expand to occurrence of **pattern**  $\pi$  (inductive)



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## Definition (pat; geometric)

non-empty **convex** set  $P$  of node and edge positions in **tree** of a  $\lambda$ -term

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- taking  $n$  left childs of @s from root yields head symbol  $f : \tau^n \rightarrow o$
- if **variable** position is in  $P$  then also its **binder** position (**closed**)

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$(\lambda x.t) \pi$  occurrence of  $\pi$  in  $(\lambda x.t) \pi \downarrow_{\beta}$  if  $x$  once in  $t$  with  $\pi$ :

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- in **long- $\beta$ -normal form** (type can be read-off from term)

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- if shape  $\lambda \vec{F}.s$ , then parameters  $\vec{F}$  occur in that order in  $t$
- each  $F_i$  in it has variables ( $\neq \vec{F}$ ) **bound above** as arguments in that order

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## Example

**lhs**  $\lambda FS.app(abs(\lambda x.F(x)), S)$  of rule beta of  $\mathcal{FMC}$  is a pattern

# Geometric vs. inductive patterns

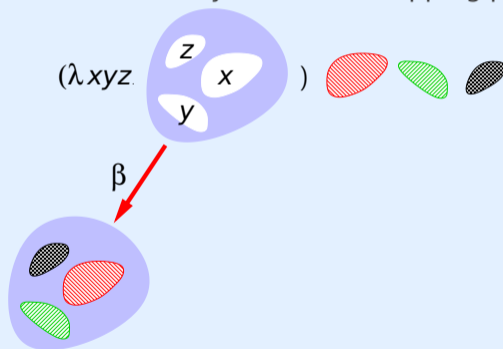
## Theorem (distributive lattice)

- sets of pats wrt *subset* (of union)
- occurrences of vectors of patterns wrt *refinement*

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## Idea

bijection extends to family of non-overlapping pats

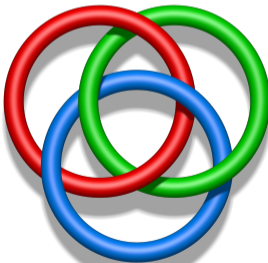


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## Theorem (distributive lattice)

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in particular no Borromean rings situation



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- rule instead of rule schema? rule pattern is regular language
- work **modulo** permutation to make beta, eta local? (almost no HRS modulo)