

**Complete Algebraic Semantics for
Second-Order Rewriting Systems
based on
Abstract Syntax with Variable Binding**

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SYCO 10

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- ▷ Complete algebraic semantics of second-order rewriting
- ▷ Based on my paper
 - Complete Algebraic Semantics for Second-Order Rewriting Systems based on Abstract Syntax with Variable Binding
 - MSCS, CUP, 2022, Special Issue of John Power Festschrift



**Mathematical
Structures in
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Article contents

Abstract
References

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Abstract

By using algebraic structures in a presheaf category over finite sets, following Fiore, Plotkin and Turi, we develop sound and complete models of second-order rewriting systems called second-order computation systems (CSs). Restricting the algebraic structures to those equipped with well-founded relations, we obtain a complete characterisation of terminating CSs. We also extend the characterisation to rewriting on meta-terms using the notion of Σ -monoid.

Keywords

Term rewriting

higher-order rewriting

termination

algebraic models

higher-order abstract syntax

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First-Order Term Rewriting System (TRS) \mathcal{R} :

$$\mathit{fact}(0) \rightarrow S(0)$$

$$\mathit{fact}(S(x)) \rightarrow \mathit{fact}(x) * S(x)$$

Rewrite steps:

$$\begin{aligned} \mathit{fact}(S(S(0))) &\Rightarrow \mathit{fact}(S(0)) * S(S(0)) \Rightarrow (\mathit{fact}(0) * S(0)) * S(S(0)) \\ &\Rightarrow (S(0) * S(0)) * S(S(0)) \implies S(S(0)) \quad (\text{normal form}) \end{aligned}$$

Fundamental problem

- ▷ **Termination** (Strong Normalisation)
- ▷ How can we prove the termination of \mathcal{R} ?

Thm. [Huet and Lankford'78]

A first-order term rewriting system \mathcal{R} is terminating



there exists a well-founded monotone Σ -algebra $(A, >_A)$ that is compatible with \mathcal{R} .

Termination proof method

[\Leftarrow] Find a well-founded monotone Σ -algebra that is compatible with \mathcal{R} .

First-Order Term Rewriting System (TRS) \mathcal{R} :

$$\begin{aligned} \mathit{fact}(0) &\rightarrow S(0) \\ \mathit{fact}(S(x)) &\rightarrow \mathit{fact}(x) * S(x) \end{aligned}$$

Semantics: well-founded monotone Σ -algebra $(\mathbb{N}, >)$ given by

$$\mathit{fact}^{\mathbb{N}}(x) = 2x + 2 \quad x *^{\mathbb{N}} y = x + y \quad S^{\mathbb{N}}(x) = 2x + 1 \quad 0^{\mathbb{N}} = 1$$

Then it is compatible with \mathcal{R} as

$$\begin{aligned} \mathit{fact}^{\mathbb{N}}(0^{\mathbb{N}}) &= 2 + 2 > 2 + 1 = S^{\mathbb{N}}(0^{\mathbb{N}}) \\ \mathit{fact}^{\mathbb{N}}(S^{\mathbb{N}}(x)) &= 2(2x + 1) + 2 > 2x + 2x + 1 = \mathit{fact}^{\mathbb{N}}(x) * S^{\mathbb{N}}(x) \end{aligned}$$

Hence \mathcal{R} is terminating.

Thm. [Huet and Lankford'78]

A first-order term rewriting system \mathcal{R} is terminating



there exists a well-founded monotone Σ -algebra A that is compatible with \mathcal{R} .

- ▶ Aim: Extend this to **second-order rewriting**
- ▶ Give: Complete algebraic semantics of second-order rewriting

Example of Second-Order Rewriting : Prenex normal forms

$$P \wedge \forall(x.Q[x]) \rightarrow \forall(x.P \wedge Q[x]) \qquad \neg \forall(x.Q[x]) \rightarrow \exists(x.\neg(Q[x]))$$

$$\forall(x.Q[x]) \wedge P \rightarrow \forall(x.Q[x] \wedge P) \qquad \neg \exists(x.Q[x]) \rightarrow \forall(x.\neg(Q[x]))$$

Signature: $\neg, \wedge, \vee, \forall, \exists$

Second-Order Rewriting System is defined on

Second-Order Abstract Syntax [Hamana'04, Fiore LICS'06]

- ▷ Abstract syntax with variable binding [Fiore, Plotkin, Turi LICS'99]
- ▷ Metavariables with arities (e.g. P, Q)
- ▷ Substitutions (Metavars, object vars)

Example: the λ -calculus as a Second-Order Rewriting System

$$\lambda(x.M[x]) @ N \rightarrow M[N]$$

$$\lambda(x.M @ x) \rightarrow M$$

▷ Signature: $\lambda, @$

Abstract Syntax and Variable Binding [Fiore, Plotkin, Turi LICS'99]

- ▷ Aim: To model syntax with variable binding, e.g.

$$\frac{}{\mathbf{x}_1, \dots, \mathbf{x}_n \vdash \mathbf{x}_i} \quad \frac{\mathbf{x}_1, \dots, \mathbf{x}_n \vdash \mathbf{t} \quad \mathbf{x}_1, \dots, \mathbf{x}_n \vdash \mathbf{s}}{\mathbf{x}_1, \dots, \mathbf{x}_n \vdash \mathbf{t@}\mathbf{s}}$$

$$\frac{\mathbf{x}_1, \dots, \mathbf{x}_n, \mathbf{x}_{n+1} \vdash \mathbf{t}}{\mathbf{x}_1, \dots, \mathbf{x}_n \vdash \lambda(\mathbf{x}_{n+1}.\mathbf{t})}$$

- ▷ Syntax generated by 3 constructors
- ▷ λ is a **special** unary function symbol:
it decreases the context

Abstract Syntax and Variable Binding [Fiore, Plotkin, Turi LICS'99]

- ▷ Aim: model syntax with variable binding, e.g.

$$\frac{}{n \vdash i} \quad \frac{n \vdash t \quad n \vdash s}{n \vdash t@s}$$

$$\frac{n + 1 \vdash t}{n \vdash \lambda(n + 1.t)}$$

- ▷ Category \mathbb{F} for variable contexts

objects: $n = \{1, \dots, n\}$ (variable contexts)

arrows: all functions $n \rightarrow n'$ (renamings)

- ▷ Presheaf category $\mathbf{Set}^{\mathbb{F}}$

Models of Syntax with Binding: Σ -Algebras in $\mathbf{Set}^{\mathbb{F}}$

Def. A **binding signature** Σ is a set of function symbols with binding arities:

$$f : \langle n_1, \dots, n_l \rangle$$

which has l arguments and binds n_i variables in the i -th argument .

Def. A Σ -**algebra** $A = (A, [f^A]_{f \in \Sigma})$ in $\mathbf{Set}^{\mathbb{F}}$ consists of

▷ **carrier**: a presheaf $A \in \mathbf{Set}^{\mathbb{F}}$

▷ **operations**: arrows of $\mathbf{Set}^{\mathbb{F}}$

$$f^A : \delta^{n_1} A \times \dots \times \delta^{n_l} A \longrightarrow A$$

corresponding to function symbols $f : \langle n_1, \dots, n_l \rangle \in \Sigma$.

▷ **Context extension**: $\delta A \in \mathbf{Set}^{\mathbb{F}}$; $(\delta A)(n) = A(n + 1)$

Example: λ -terms

- ▷ Binding signature Σ_λ for λ -terms

$$\lambda : \langle 1 \rangle, \quad @ : \langle 0, 0 \rangle$$

- ▷ Carrier: the presheaf Λ of all λ -terms

$$\Lambda(n) = \{t \mid n \vdash t\}$$

$$\Lambda(\rho) : \Lambda(m) \rightarrow \Lambda(n) \quad \text{renaming on } \lambda\text{-terms for } \rho : m \rightarrow n \text{ in } \mathbb{F}.$$

- ▷ Forms a $\mathbf{V} + \Sigma_\lambda$ -algebra

$$\begin{array}{llll} \text{var}^\Lambda : \mathbf{V} \rightarrow \Lambda & @^\Lambda : \Lambda \times \Lambda \rightarrow \Lambda & \lambda^\Lambda : \delta\Lambda & \rightarrow \Lambda \\ i \mapsto i & s, t \mapsto s@t & \lambda^\Lambda(n) : \Lambda(n+1) \rightarrow \Lambda(n) & \\ & & t & \mapsto \lambda_{n+1}.t \end{array}$$

- ▷ Presheaf of variables: $\mathbf{V} \in \mathbf{Set}^{\mathbb{F}}$; $\mathbf{V}(n) = \{1, \dots, n\}$

- ▷ **Thm.** $\Lambda (= \mathbf{T}_{\Sigma}\mathbf{V})$ is an initial $\mathbf{V} + \Sigma_\lambda$ -algebra.

Second-Order Abstract Syntax

- ▷ Abstract syntax with variable binding
- ▷ Metavariables with arities
- ▷ Substitutions (Metavars, object vars)

Models of Second-Order Abstract Syntax: Σ -monoids

▷ A Σ -monoid [Fiore, Plotkin, Turi'99] is

- a Σ -algebra \mathbf{A} with
- a monoid structure

$$\mathbf{V} \xrightarrow{\nu} \mathbf{A} \xleftarrow{\mu} \mathbf{A} \bullet \mathbf{A}$$

in the monoidal category $(\mathbf{Set}^{\mathbb{F}}, \bullet, \mathbf{V})$,

- both are compatible.

▷ Idea

- Unit ν models the embedding of variables
- Multiplication μ models substitution for object variables

Algebraic Characterisation of Syntax with Binding

Given a binding signature Σ

▷ The presheaf of all Σ -terms

$$\mathbf{T}_{\Sigma}\mathbf{V}(n) = \{t \mid n \vdash t\}$$

▷ Multiplication $\mu : \mathbf{T}_{\Sigma}\mathbf{V} \bullet \mathbf{T}_{\Sigma}\mathbf{V} \rightarrow \mathbf{T}_{\Sigma}\mathbf{V}$

$$\mu_n^{(m)}(t; s_1, \dots, s_m) \triangleq t[1 := s_1, \dots, n := s_m]$$

(the substitution of Σ -terms for de Bruijn variables)

Algebraic Characterisation of Syntax with Binding

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(the substitution of Σ -terms for de Bruijn variables)

- ▷ **Thm.** [Fiore, Plotkin, Turi'99]

- $(\mathbf{T}_{\Sigma}\mathbf{V}, \nu, \mu)$ is an initial Σ -monoid.
- $(\mathbf{T}_{\Sigma}\mathbf{V}, \nu)$ is an initial $\mathbf{V} + \Sigma$ -algebra.

- ▶ How to model **metavariables** and **substitutions for metavariables**?

Algebraic Characterisation of Syntax with Binding

Given a binding signature Σ

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- ▷ **Thm.** [Fiore, Plotkin, Turi'99]
 - $(\mathbf{T}_\Sigma \mathbf{V}, \nu, \mu)$ is an initial Σ -monoid.
 - $(\mathbf{T}_\Sigma \mathbf{V}, \nu)$ is an initial $\mathbf{V} + \Sigma$ -algebra.

- ▶ How to model **metavariables** and **substitutions for metavariables**?

- ▶ Free Σ -monoids [Hamana, APLAS'04]

Meta-terms: Terms with Metavariables [Aczel '78]

▷ A **binding signature** Σ

▷ \mathcal{Z} is an **\mathbb{N} -indexed set of metavariables** parameterised by arities:

$$\mathcal{Z}(l) \triangleq \{M \mid M^l, \text{ where } l \in \mathbb{N}\}.$$

▷ Raw meta-terms generated by \mathcal{Z} :

$$t ::= x \mid f(x_1 \cdots x_{i_1}.t_1, \dots, x_1 \cdots x_{i_l}.t_l) \mid M[t_1, \dots, t_l]$$

▷ A **meta-term** t is a raw meta-term derived from:

$$\frac{x \in n}{n \vdash x} \quad \frac{f : \langle i_1, \dots, i_l \rangle \in \Sigma \quad n+i_1 \vdash t_1 \cdots n+i_l \vdash t_l}{n \vdash f(n+1 \dots n+i_1.t_1, \dots, n+1 \dots n+i_l.t_l)}$$

$$\frac{M \in \mathcal{Z}(l) \quad n \vdash t_1 \cdots n \vdash t_l}{n \vdash M[t_1, \dots, t_l]}$$

Meta-terms: Terms with Metavariables

▷ Presheaf $M_\Sigma Z \in \mathbf{Set}^{\mathbb{F}}$

$$M_\Sigma Z(n) = \{t \mid n \vdash t\}$$

▷ $\mathbf{V} + \Sigma$ -algebra $(M_\Sigma Z, [\nu, f_T]_{f \in \Sigma})$

$$\nu(n) : \mathbf{V}(n) \longrightarrow M_\Sigma Z(n),$$

$$x \longmapsto x$$

$$f^T : \delta^{i_1} M_\Sigma Z \times \cdots \times \delta^{i_l} M_\Sigma Z \longrightarrow M_\Sigma Z$$

$$(t_1, \dots, t_l) \longmapsto f(n + \bar{i}_1.t_1, \dots, n + \bar{i}_l.t_l).$$

▷ Multiplication $\mu : M_\Sigma Z \bullet M_\Sigma Z \rightarrow M_\Sigma Z$

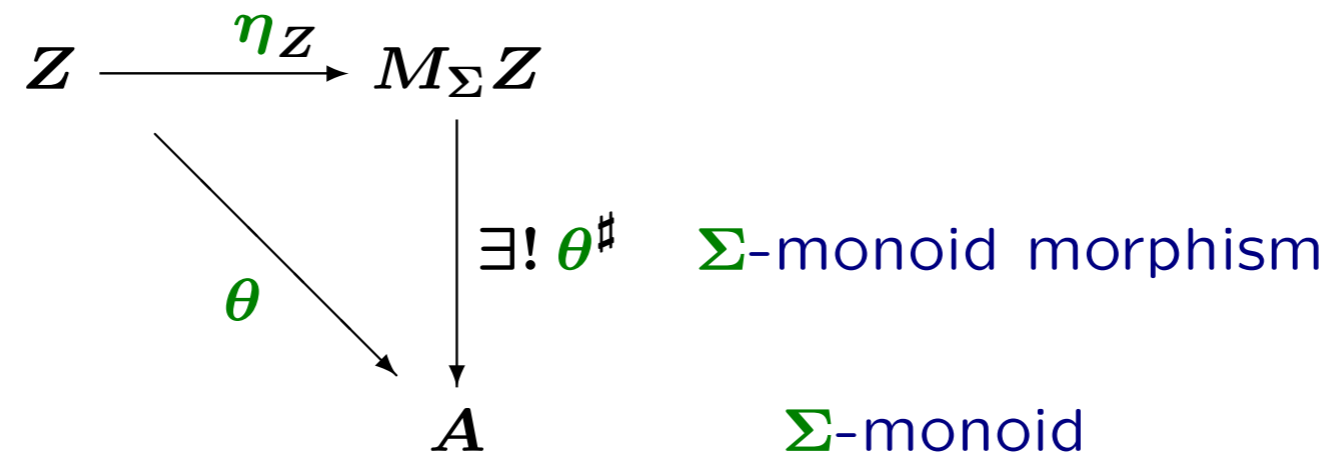
$$t, \quad \bar{s} \longmapsto t[1 := s_1, \dots, n := s_n]$$

... substitution of meta-terms for object variables

Free Σ -monoids: Syntax with Metavariables [Hamana, APLAS'04]

Thm. $(M_\Sigma Z, \nu, \mu)$ forms a **free Σ -monoid** over Z .

▷ Freeness of $M_\Sigma Z$: in $\mathbf{Set}^{\mathbb{F}}$, given assignment θ



▷ The unique Σ -monoid morphism $\theta^\#$ that extends θ .

Instance: Substitution for Metavariables

Case $\mathbf{A} = \mathbf{T}_\Sigma \mathbf{V}$... a Σ -monoid of terms,

$$\begin{array}{ccc}
 \mathbf{Z} & \xrightarrow{\eta_{\mathbf{Z}}} & \mathbf{M}_\Sigma \mathbf{Z} \\
 & \searrow \theta & \downarrow \exists! \theta^\# \\
 & & \mathbf{T}_\Sigma \mathbf{V}
 \end{array}
 \quad \Sigma\text{-monoid morphism}$$

- ▷ $\theta^\#$ is a substitution of terms for metavariables \mathbf{Z}
- ▷ E.g. Σ : signature for λ -terms, for $\theta(\mathbf{M}^{(1)}) = a@a$

$$\theta^\#(\lambda(x.M[x]@y)) = \lambda(x.(x@x)@y)$$

- ▷ Other examples of Σ -monoid \mathbf{A} :
 - $\mathbf{M}_\Sigma \mathbf{Z}$: meta-substitution: substitution of meta-terms for metavars
 - Any Σ -monoid as a model – $\theta^\#$ is **compositional** interpretation

Eg. A transformation to prenex normal forms

$$P \wedge \forall(x.Q[x]) \rightarrow \forall(x.P \wedge Q[x]) \quad \neg \forall(x.Q[x]) \rightarrow \exists(x.\neg(Q[x]))$$

Def.

Rewrite rules \mathcal{R} $l \rightarrow r$ on meta-terms $M_{\Sigma}Z$
(with some syntactic conditions)

Rewrite relation $\rightarrow_{\mathcal{R}}$ on terms $T_{\Sigma}V$

$$\frac{l \rightarrow r \in \mathcal{R}}{\theta^{\#}(l) \rightarrow_{\mathcal{R}} \theta^{\#}(r)} \quad \frac{s \rightarrow_{\mathcal{R}} t}{f(\dots, \bar{x}.s, \dots) \rightarrow_{\mathcal{R}} f(\dots, \bar{x}.t, \dots)}$$

- ▷ Substitution $\theta : Z \rightarrow T_{\Sigma}V$ maps metavariables to terms
- ▷ NB. rewriting is defined on terms (without metavariables)

Presheaf with relation $(A, >_A)$

Def. A presheaf $A \in \mathbf{Set}^{\mathbb{F}}$ is equipped with a binary relation $>_A$, if

1. $>_A$ is a family $\{>_{A(n)}\}_{n \in \mathbb{F}}$,
2. which is compatible with presheaf action.

(for all $a, b \in A(m)$ and $\rho : m \rightarrow n$ in \mathbb{F} ,
if $a >_{A(m)} b$, then $A(\rho)(a) >_{A(n)} A(\rho)(b)$.)

Monotone Algebra

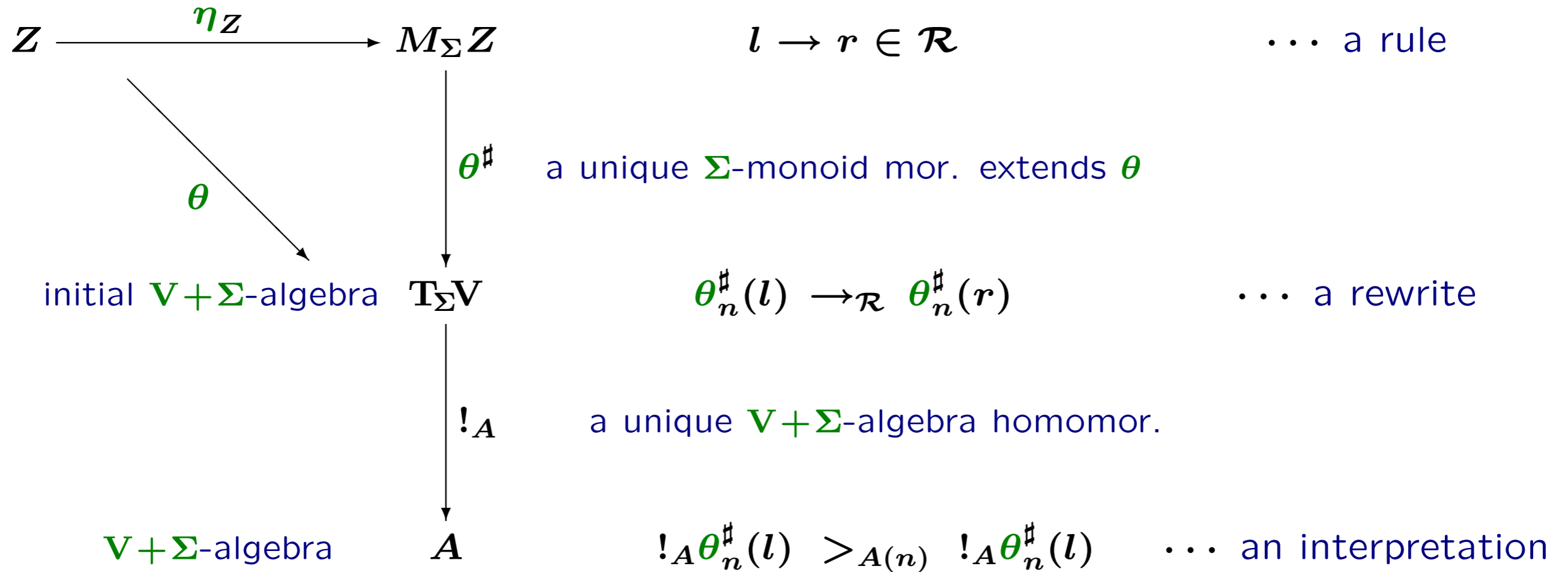
Def. A **monotone $\mathbf{V} + \Sigma$ -algebra** $(\mathbf{A}, >_{\mathbf{A}})$ is a $\mathbf{V} + \Sigma$ -algebra $(\mathbf{A}, [\nu, f^{\mathbf{A}}]_{f \in \Sigma})$

- ▷ equipped with a relation $>_{\mathbf{A}}$ such that
- ▷ every operation $f^{\mathbf{A}}$ is monotone.

Thm. $(\mathbf{T}_{\Sigma}\mathbf{V}, \rightarrow_{\mathcal{R}})$ is a monotone $\mathbf{V} + \Sigma$ -algebra.

Models of Rewrite System \mathcal{R} : $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebras

A $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra $(A, >_A)$ is a monotone $\mathbf{V} + \Sigma$ -algebra satisfying all rules in \mathcal{R} as:



Soundness and Completeness of Models

Prop. $s \rightarrow_{\mathcal{R}} t$

\Leftrightarrow

$!_A(s) >_A !_A(t)$ for all $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebras A , assignments θ .

Proof. $[\Rightarrow]$: By induction of the proof of rewrite.

$[\Leftarrow]$: Take $(A, >_A) = (\mathbf{T}_{\Sigma}\mathbf{V}, \rightarrow_{\mathcal{R}})$.

Complete Characterisation of Terminating Second-Order Rewriting

Thm. A second-order rewriting system \mathcal{R} is terminating iff there is a well-founded $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra $(A, >_A)$.

Proof. (\Leftarrow): Suppose a well-founded $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra $(A, >_A)$.

Assume \mathcal{R} is non-terminating:

$$t_1 \rightarrow_{\mathcal{R}} t_2 \rightarrow_{\mathcal{R}} \dots$$

By soundness,

$$!_A(t_1) >_{A(n)} !_A(t_2) >_A \dots$$

Contradiction.

(\Rightarrow): When \mathcal{R} is terminating, the $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra $(\mathbf{T}_{\Sigma}\mathbf{V}, \rightarrow_{\mathcal{R}})$ is a well-founded algebra.

► Because of the **algebraic** characterisations of **abstract syntax with binding** [FPT'99] and **meta-terms** [H.04]

Application: Termination by Interpretation

$$\begin{array}{ll}
 P \wedge \forall(x.Q[x]) \rightarrow \forall(x.P \wedge Q[x]) & \neg \forall(x.Q[x]) \rightarrow \exists(x.\neg(Q[x])) \\
 \forall(x.Q[x]) \wedge P \rightarrow \forall(x.Q[x] \wedge P) & \neg \exists(x.Q[x]) \rightarrow \forall(x.\neg(Q[x]))
 \end{array}$$

Take a well-founded monotone $\mathbf{V} + \Sigma$ -algebra $(\mathbf{K}, >_{\mathbf{K}})$

where $\mathbf{K}(n) = \mathbb{N}$ with $>_{\mathbf{K}(n)} = >$ on \mathbb{N} .

Operations

$$\begin{array}{ll}
 \nu_n^K(i) = 0 & \wedge_n^K(x, y) = \vee_n^K(x, y) = 2x + 2y \\
 \neg_n^K(x) = 2x & \forall_n^K(x) = \exists_n^K(x) = x + 1.
 \end{array}$$

$(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra

$$!\theta_0^\#(P \wedge \forall(1.Q[1])) = 2x + 2(y + 1) >_{\mathbf{K}(0)} (2x + 2y) + 1 = !\theta_0^\#(\forall(1.P \wedge Q[1]))$$

$$!\theta_0^\#(\neg \exists(1.Q[1])) = 2(y + 1) >_{\mathbf{K}(0)} 2y + 1 = !\theta_0^\#(\forall(1.\neg(Q[1]))).$$

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- ▷ **Complete** algebraic characterisation of second-order rewriting systems
- ▷ using algebraic models of second-order abstract syntax

Further Topics and Applications

- ▷ **Meta-rewriting**: rewriting on meta-terms using **monotone Σ -monoids**
- ▷ **Modularity** of Termination for Second-Order rewriting [H. LMCS'21]
 \mathbf{A} : terminating & \mathbf{B} terminating $\Rightarrow \mathbf{A} \uplus \mathbf{B}$: terminating
with several conditions
- ▷ **Tool SOL** for termination and confluence checking
1st places in the Higher-order Category of
 - International Confluence Competition 2020
 - Termination Competition 2022

<http://solweb.mydns.jp/webcui/sol/>

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- ▷ Short history: I visited LFCS, Edinburgh in 1999-2000 as a JSPS postdoc.
- ▷ Thanks to John Power, Gordon Plotkin



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