

Algebraic Semantics of Higher-Order Abstract Syntax and Second-Order Rewriting

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This Lecture

I. Higher-Order Abstract Syntax

1. What is HOAS
2. Algebraic semantics
3. AIM: Meta-terms form a free Σ -monoid

II. Second-Order Rewrite System

1. Definition of CRS
2. Algebraic interpretation
3. AIM: CRS rewriting forms a monotone (Σ, \mathcal{R}) -algebra
4. Termination by interpretation

II. Algebraic Semantics of Second-Order Rewrite System

Algebraic Semantics of Second-Order Rewrite System

▷ Definition of CRS

▷ Monotone Σ -algebra in $\mathbf{Set}^{\mathbb{F}}$

▷ Main Theorem

A CRS \mathcal{R} is terminating iff there is a well-founded $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra.

▷ Examples

TRS: Review

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

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

Terms are defined by

$$T_{\Sigma}(X) \ni t ::= x \mid f(t_1, \dots, t_m)$$

The rewrite relation

$$\rightarrow_{\mathcal{R}} \subseteq T_{\Sigma}(X) \times T_{\Sigma}(X)$$

is defined by

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

where θ is a substitution $\theta : X \rightarrow T_{\Sigma}(X)$

Combinatory Reduction System (CRS) [Klop'80]

Eg. A transformation to prenex normal forms

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

Def.

Variables	$\mathbf{x}, \mathbf{y}, \mathbf{z}, \dots$
Meta-variables	$z^{(l)}$ (arity l), $\dots \in Z$
Function symbols	$f^{(l)}$ (arity l), $\dots \in \Sigma$
Meta-terms	$t ::= \mathbf{x} \mid f^{(l)}(\vec{x}_1.s_1, \dots, \vec{x}_l.s_l) \mid z^{(l)}[t_1, \dots, t_l]$
Rewrite rules \mathcal{R}	$t_1 \rightarrow t_2$ (with some syntactic conditions)
Rewrite relation	$\rightarrow_{\mathcal{R}}$ on terms $\mathbf{T}_{\Sigma}\mathbf{V}$

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

Valuation $\theta : Z \rightarrow \mathbf{T}_{\Sigma}\mathbf{V}$ maps a metavariable to a term as $z \mapsto t$

Presheaf with transitive relation $(A, >_A)$

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

- (1) $>_A$ is a family $\{>_{A(n)}\}_{n \in \mathbb{F}}$,
where $>_{A(n)}$ is a transitive relation on $A(n)$ (family)
- (2) for all $a, b \in A(m)$ and $\rho : m \rightarrow n$ in \mathbb{F} ,
if $a >_{A(m)} b$, then $A(\rho)(a) >_{A(n)} A(\rho)(b)$. (natural)

Def. $(A_1, >_{A_1}), \dots, (A_l, >_{A_l}), (B, >_B)$

A arrow $f : A_1 \times \dots \times A_l \longrightarrow B$ in $\mathbf{Set}^{\mathbb{F}}$ is monotone if

$$f(n)(a_1, \dots, a_l) >_{B(n)} f(n)(b_1, \dots, b_l)$$

$A_k(n) \ni a_k >_{A(n)} b_k \in A_k(n)$ for some k , and

$A_j(n) \ni a_j \geq_{A(n)} b_j \in A_j(n)$ for all $j \neq k$.

Term-generated assignment

a $\mathbf{V} + \Sigma$ -algebra \mathbf{A}

a valuation $\theta : \mathbf{Z} \rightarrow \mathbf{T}_\Sigma \mathbf{V} \dots$ an arrow of $\mathbf{Set}^{\mathbb{F}}$

Def. A **term-generated assignment** $\hat{\theta} : \mathbf{Z} \rightarrow \mathbf{A}$ is given by

$$\mathbf{Z} \xrightarrow{\theta} \mathbf{T}_\Sigma \mathbf{V} \xrightarrow{!_{\mathbf{A}}} \mathbf{A}$$

where $!_{\mathbf{A}}$ is the unique $\mathbf{V} + \Sigma$ -algebra homomorphism from an initial algebra $\mathbf{T}_\Sigma \mathbf{V}$.

Examples

- ▷ $\mathbf{A} = \mathbf{T}_\Sigma \mathbf{V}$ (Terms)
- ▷ $\mathbf{A} = \mathbf{M}_\Sigma \mathbf{Z}$ (Meta-terms)
- ▷ $\mathbf{A} = \mathbf{H}$ (for clones)

Monotone Algebra

Def. A **monotone $\mathbf{V} + \Sigma$ -algebra** $(A, >_A)$ is a $\mathbf{V} + \Sigma$ -algebra

$$A = (A, \{\nu, f^A\}_{f \in \Sigma})$$

equipped with a transitive relation $>_A$ such that every operation f^A is monotone.

A is **well-founded** if $>_{A(n)}$ is well-founded for every n .

Monotone Algebra

a CRS \mathcal{R}

Def. A monotone $\mathbf{V} + \Sigma$ -algebra $(\mathbf{A}, >_{\mathbf{A}})$ **satisfies** a rewrite rule

$$\mathbf{Z} \mid n \vdash l \rightarrow r$$

if for all term-generated assignments $\hat{\theta} : \mathbf{Z} \rightarrow \mathbf{A}$,

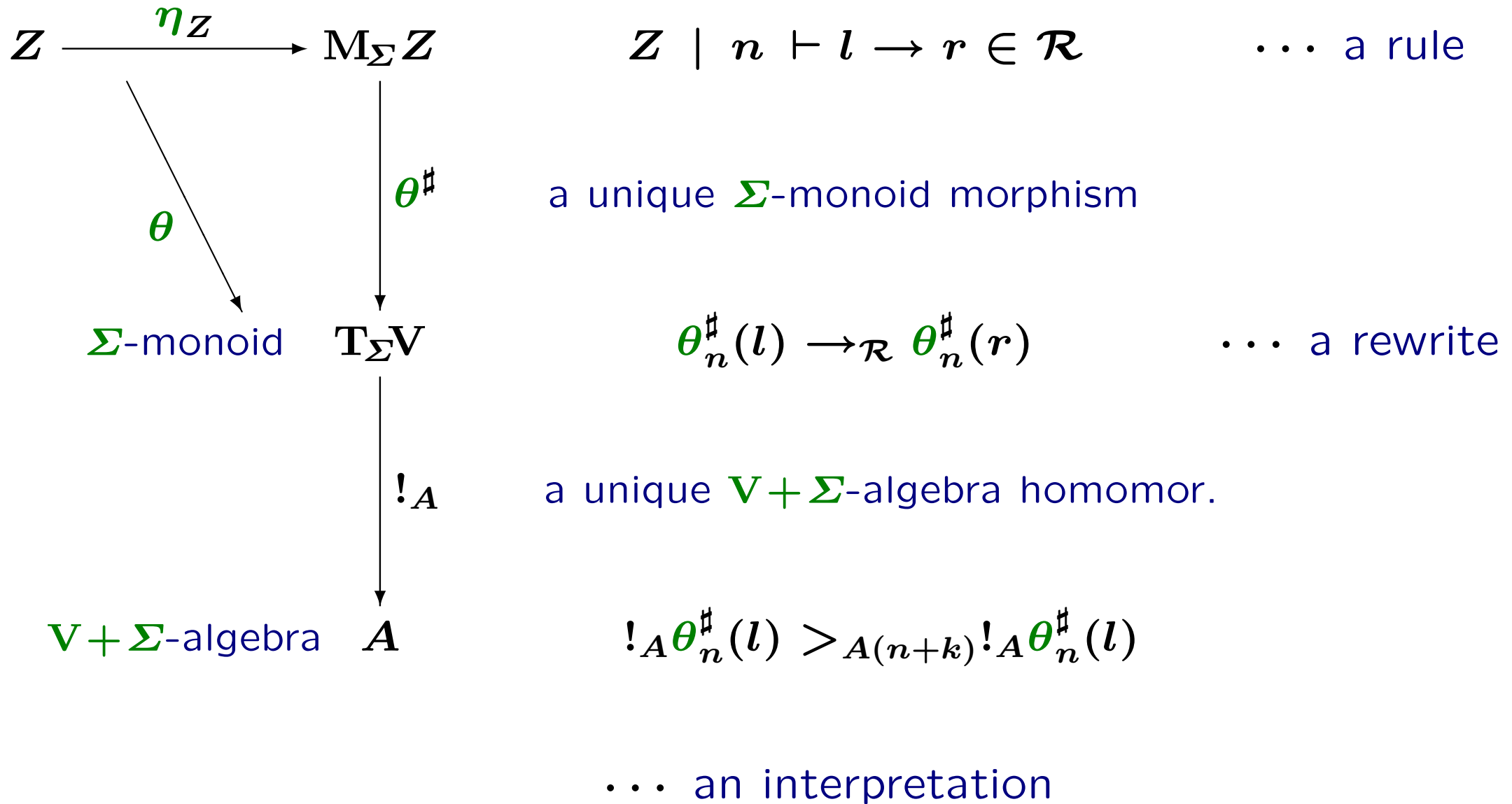
$$(1) \quad \hat{\theta}_n^\#(l) >_{\mathbf{A}(n)} \hat{\theta}_n^\#(r),$$

holds.

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

a monotone $\mathbf{V} + \Sigma$ -algebra \mathbf{A} that satisfies all rules in \mathcal{R} .

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



Example of $(\mathbf{V} + \Sigma, \mathcal{R})$ -Algebra: Polynomial Interp.

▷ $\forall(y.\exists(x.(\neg p(x) \vee q(y))))$.

▷ $\mathbf{V} + \Sigma$ -algebra $(K_{\mathbb{N}}, >_{K_{\mathbb{N}}}) \quad K_{\mathbb{N}} \in \mathbf{Set}^{\mathbb{F}}$

– carrier $K_{\mathbb{N}}(n) = \mathbb{N}$

– operations $\nu_n^{K_{\mathbb{N}}}(x) = 0$

$$\wedge_n^{K_{\mathbb{N}}}(x, y) = \vee_n^{K_{\mathbb{N}}}(x, y) = 2x + 2y \quad \neg_n^{K_{\mathbb{N}}}(x) = 2x$$

$$\forall_n^{K_{\mathbb{N}}}(x) = \exists_n^{K_{\mathbb{N}}}(x) = x + 1$$

All operations are monotone.

– $x >_{K_{\mathbb{N}}(n)} y \iff x >_{\mathbb{N}} y$

▷ CRS

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

Important Example of $(\mathbf{V} + \Sigma, \mathcal{R})$ -Algebra

Terms with Rewrites

Prop. The presheaf $\mathbf{T}_\Sigma \mathbf{V}$ of terms is equipped with the transitive relation $\{\rightarrow_{\mathcal{R}(n)}^+\}_{n \in \mathbb{N}}$.

Proof. Transitivity of each $\rightarrow_{\mathcal{R}(n)}^+$ is immediate.

It is also natural: we have

$$\frac{n \vdash s \rightarrow_{\mathcal{R}} t}{n' \vdash \rho(s) \rightarrow_{\mathcal{R}} \rho(t)}$$

for any $\rho : n \rightarrow n'$ in \mathbb{F} , by induction on proof trees.

Important Example: Term Algebra

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

Moreover, it is initial:

There exists a unique **monotone** homomorphism $\mathbf{T}_\Sigma \mathbf{V} \longrightarrow \mathbf{A}$,
for any $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra \mathbf{A} .

Proof.

Since $\mathbf{T}_\Sigma \mathbf{V}$ is an initial $\mathbf{V} + \Sigma$ -algebra, $!_{\mathbf{A}} : \mathbf{T}_\Sigma \mathbf{V} \longrightarrow \mathbf{A}$ is a unique
 $\mathbf{V} + \Sigma$ -algebra homomorphism.

It remains to show $!_{\mathbf{A}}$ is monotone, i.e.

$$s \rightarrow_{\mathcal{R}}^+ t \quad \Rightarrow \quad !_{A(n)}(s) >_{A(n)} !_{A(n)}(t)$$

By induction on the proof of $s \rightarrow_{\mathcal{R}}^+ t$.

Corollary

Cor. $n \vdash s \rightarrow_{\mathcal{R}}^+ t$ holds.

\Leftrightarrow

$$!_{A(n)}(s) >_{A(n)} !_{A(n)}(t)$$

for any monotone homomorphism $! : \mathbf{T}_{\Sigma}\mathbf{V} \longrightarrow \mathbf{A}$ to $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra $(\mathbf{A}, >_{\mathbf{A}})$.

Proof. $[\Rightarrow]$: By the previous theorem.

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

Main Theorem

Thm. A CRS \mathcal{R} is terminating iff there is a well-founded $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra.

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

Assume \mathcal{R} is non-terminating:

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

By the previous Corollary,

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

Contradiction.

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

► Proof method of termination of CRS:

Find a well-founded $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra.

Example

Binding signature $\Sigma = \{c : \langle 0 \rangle\}$. CRS \mathcal{R}

$$F^1, X^1 \mid 1 \vdash c(F[F[X[1]]]) \rightarrow F[X[1]].$$

- ▷ Intuitively, this CRS is terminating:
at any rewrite step the number of c -symbols decreases.
- ▷ The interpretation method of higher-order rewriting uses hereditary monotone functionals **cannot show termination of \mathcal{R}** due to the incompleteness [van de Pol '93 '96].
- ▷ Take the monotone $\mathbf{V} + \Sigma$ -algebra $(\mathbf{T}_\Sigma \mathbf{V}, \succ_{\mathbf{T}_\Sigma \mathbf{V}})$

$$s \succ_{\mathbf{T}_\Sigma \mathbf{V}(n)} t$$
if the number of c -symbols in s and t
- ▷ Any assignment into $\mathbf{T}_\Sigma \mathbf{V}$ is of the form $F \mapsto c^k(x)$, $X \mapsto c^m(x)$
- ▷ This gives a well-founded $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra.

Example

$$\mathbf{map}(x.F[x], \mathbf{nil}) \rightarrow \mathbf{nil}$$

$$\mathbf{map}(x.F[x], \mathbf{cons}(y, ys)) \rightarrow \mathbf{cons}(F[y], \mathbf{map}(x.F[x], ys))$$

▷ $\mathbf{V} + \Sigma$ -algebra, carrier: **presheaf of clones** $\mathbf{H} \in \mathbf{Set}^{\mathbb{F}}$

$$\mathbf{H}(0) = \mathbb{N}$$

$$\mathbf{H}(n) = (\mathbb{N}^n \rightarrow \mathbb{N}) \quad (\text{for } n > 0)$$

$$\mathbf{H}(\rho)(f) = f \circ \langle \pi_{\rho 1}, \dots, \pi_{\rho m} \rangle$$

operations (at n): $\mathbf{nil}_n^{\mathbf{H}} = \mathbf{K1} : \mathbb{N}^n \rightarrow \mathbb{N}$

$$\mathbf{cons}_n^{\mathbf{H}}(x, y) = (+) \circ \langle x, y, \mathbf{K2} \rangle : \mathbb{N}^n \rightarrow \mathbb{N}$$

$$\mathbf{map}_n^{\mathbf{H}}(f, a) = f \circ \langle \text{id}, \mathbf{K3} \rangle + (\times) \circ \langle a, f \circ \langle \text{id}, a \rangle \rangle$$

$$\nu_n^{\mathbf{H}}(0) = \mathbf{K0}$$

Example of Termination Proof

metavariables P^0 and Q^1 . CRS \mathcal{R} .

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

- (1) Give the de Bruijn level notation version of \mathcal{R}
- (2) Show termination of \mathcal{R} by a polynomial interpretation.

Example of Termination Proof

- ▷ Just replace the variable x with 1 .

$$\begin{array}{ll}
 P \wedge \forall(1.Q[1]) \rightarrow \forall(1.P \wedge Q[1]) & \neg \forall(1.Q[1]) \rightarrow \exists(1.\neg(Q[1])) \\
 \forall(1.Q[1]) \wedge P \rightarrow \forall(1.P \wedge Q[1]) & \neg \exists(1.Q[1]) \rightarrow \forall(1.\neg(Q[1])),
 \end{array}$$

etc.

- ▷ Define a monotone $\mathbf{V} + \Sigma$ -algebra $(\mathbf{K}, >_{\mathbf{K}})$

– carrier $\mathbf{K}(n) = \mathbb{N}$

– order $>_{\mathbf{K}(n)}$ is the standard order $>$ on \mathbb{N}

Take the operations as the polynomials.

$$\begin{array}{l}
 \wedge^{\mathbf{K}_{\mathbb{N}}}(x, y) = \vee^{\mathbf{K}_{\mathbb{N}}}(x, y) = 2x + 2y \\
 \neg^{\mathbf{K}_{\mathbb{N}}}(x) = 2x \quad \vee^{\mathbf{K}_{\mathbb{N}}}(x) = \exists^{\mathbf{K}_{\mathbb{N}}}(x) = x + 1.
 \end{array}$$

All operations are monotone.

We show that $\mathbf{K}_{\mathbb{N}}$ satisfies the rules: take an assignment

$\varphi : X \rightarrow K_{\mathbb{N}}$ by $P \mapsto x \in \mathbb{N}$ and $Q \mapsto y \in \mathbb{N}$, then

$$\begin{aligned} \varphi_n^\#(P \wedge \forall(1.Q[1])) &= 2x + 2(y + 1) >_{K_{\mathbb{N}}(n)} (2x + 2y) + 1 \\ &= \varphi_n^\#(\forall(1.P \wedge Q[1])) \\ \varphi_n^\#(\neg \exists(1.Q[1])) &= 2(y + 1) >_{K_{\mathbb{N}}(n)} 2y + 1 = \varphi_n^\#(\forall(1.\neg(Q[1]))) \end{aligned}$$

Other rules are similar.

Since $>_{K_{\mathbb{N}}(n)} = >$ is well-founded, this shows $K_{\mathbb{N}}$ is a well-founded $(\mathbf{V} + \Sigma, \mathcal{R})$ -algebra.

Hence the “binding” CRS \mathcal{R} is terminating.

(cf. Section 9 of the lecture note)