

Introduction to Tree Language Theory

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IV. Modulo Axioms

Set modulo relation

Let \succsim : binary relation on a set S

\succsim is **preorder** if it is reflexive[†] and transitive[‡] (†,‡ : next page)

\succsim is **partial order** if it is reflexive and transitive and
[Anti-symmetric] $a \succsim b \ \& \ b \succsim a \Rightarrow a \equiv b$

\succ is defined as $\succ = (\succsim)^{-1}$, called **strict part** of \succsim

\succsim is **well-founded** if it does not admit an infinite sequence
 s_1, s_2, s_3, \dots such that $s_i \succ s_{i+1}$ ($i \geq 1$)

$\min_{\succsim}(S)$ is set of minimal elements in S with respect to
a well-founded preorder \succsim

$[a]_{\succsim}$ is set $\{x \in S \mid x \succsim a\}$

S / \succsim is set $\{[a]_{\succsim} \mid \exists a \in \min_{\succsim}(S)\}$

Equivalence classes

Let \sim : binary relation on a set S

\sim is **equivalence relation** if for all a, b, c in S ,

$$[\text{Reflexive}] \quad a \sim a$$

$$[\text{Symmetric}] \quad a \sim b \Rightarrow b \sim a$$

$$[\text{Transitive}] \quad a \sim b \ \& \ b \sim c \Rightarrow a \sim c$$

(S, \sim) is called **setoid**

$[a]_{\sim}$ is set $\{x \in S \mid x \sim a\}$, **equivalence class** of a

S / \sim is set of all equivalence classes $\{[a]_{\sim} \mid \exists a \in S\}$,
quotient set of S by \sim

Note

Every equivalence relation \sim is a well-founded preorder, and $\min_{\sim}(S) = S$
(\because the strict part of \sim is empty)

F -algebras

Let F : signature

F -algebra $\mathcal{A} = (C, \{f_{\mathcal{A}} \mid f \in F\})$

C : non-empty set, called **carrier set** of \mathcal{A}

$f_{\mathcal{A}}$: mapping from C^n (n -tuples of C) to C if $\text{ar}_F(f) = n$
(called **operation** of \mathcal{A})

Let $\mathcal{A} = (C, \{f_{\mathcal{A}} \mid f \in F\})$ and $\mathcal{B} = (D, \{f_{\mathcal{B}} \mid f \in F\})$

F -homomorphism h from \mathcal{A} to \mathcal{B}

h : mapping from C to D such that for all $f \in F$,
if $\text{ar}_F(f) = n$, then for all $c_1, \dots, c_n \in C$,
$$h(f_{\mathcal{A}}(c_1, \dots, c_n)) = f_{\mathcal{B}}(h(c_1), \dots, h(c_n))$$

Congruence relations

Let \sim : binary relation on C

\sim is congruence relation of $\mathcal{A} = (C, \{f_{\mathcal{A}} \mid f \in F\})$ if

- \sim is equivalence relation,
- for all $f \in F$, $f_{\mathcal{A}}(c_1, \dots, c_n) \sim f_{\mathcal{A}}(d_1, \dots, d_n)$
if $\text{ar}_F(f) = n$ & $c_1 \sim d_1$ & \dots & $c_n \sim d_n$
($c_i, d_i \in C$, $1 \leq i \leq n$)

\mathcal{A} with \sim is quotient F -algebra, denoted by \mathcal{A}/\sim

C/\sim : carrier set of \mathcal{A}/\sim

$f_{\mathcal{A}/\sim}$: set of operations of \mathcal{A}/\sim defined as

$$(f_{\mathcal{A}/\sim})([c_1]_{\sim}, \dots, [c_n]_{\sim}) = [f_{\mathcal{A}}(c_1, \dots, c_n)]_{\sim}$$

Equational theory

Let F : signature

equation $s \approx t$ is a pair of trees s, t with variables in $\mathcal{T}_{F,V}$

equational theory $\mathcal{E} = (F, E)$

E : finite set of equations

Note

Equations $s \approx t$ and $t \approx s$ are distinguished if $s \neq t$ (equations are orientation sensitive), and thus, $E_1 = \{a \approx b\}$ and $E_2 = \{a \approx b, b \approx a\}$ are **not** the same.

$\rightarrow_{\mathcal{E}}$: binary relation over $\mathcal{T}_{F,V}$ such that $s \rightarrow_{\mathcal{E}} t$ if
 $\exists l \approx r \in E : s = C[l\theta] \ \& \ t = C[r\theta]$ for some $C[], \theta$

$\leftrightarrow_{\mathcal{E}}$: the smallest symmetric relation containing $\rightarrow_{\mathcal{E}}$

$=_{\mathcal{E}}$: the smallest equivalence relation containing $\rightarrow_{\mathcal{E}}$

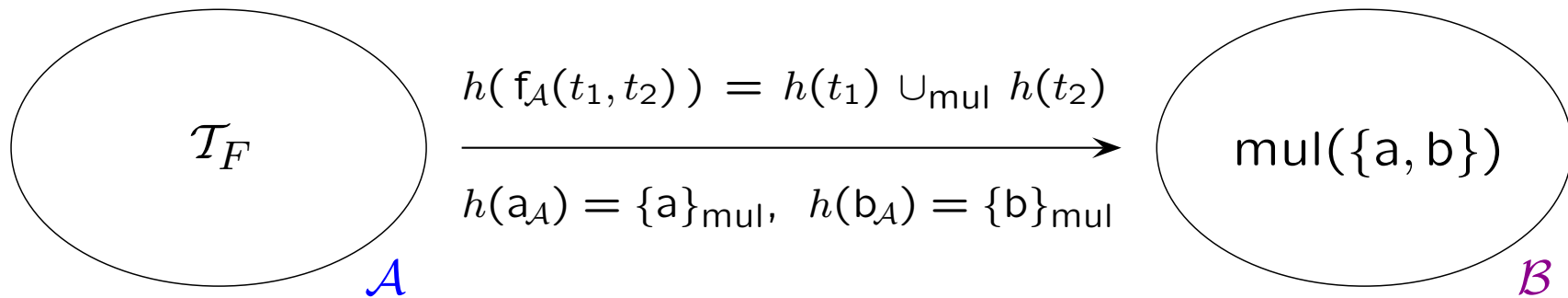
Example : AC-theory and multisets

Let $F = \{f, a, b\}$ with $\text{ar}_F(f) = 2$, $\text{ar}_F(a) = \text{ar}_F(b) = 0$

$\mathcal{A} = (\mathcal{T}_F, \{f_{\mathcal{A}}(x, y) = f(x, y), a_{\mathcal{A}} = a, b_{\mathcal{A}} = b\})$

$\mathcal{B} = (\text{mul}(\{a, b\}), \{f_{\mathcal{B}}(x, y) = x \cup_{\text{mul}} y, a_{\mathcal{B}} = \{a\}_{\text{mul}}, b_{\mathcal{B}} = \{b\}_{\text{mul}}\})$

Define F -homomorphism h :



then for all s, t in \mathcal{T}_F :

$$h(s) = h(t) \text{ if and only if } [s]_{=\mathcal{E}} = [t]_{=\mathcal{E}}$$

where $\mathcal{E} = (F, E_{\text{AC}})$ and $E_{\text{AC}} = \{f(x, y) \approx f(y, x), f(f(x, y), z) \approx f(x, f(y, z))\}$

$\text{mul}(S)$: set of multisets over S , \cup_{mul} : multiset union, $\{\cdot\}_{\text{mul}}$: multiset notation

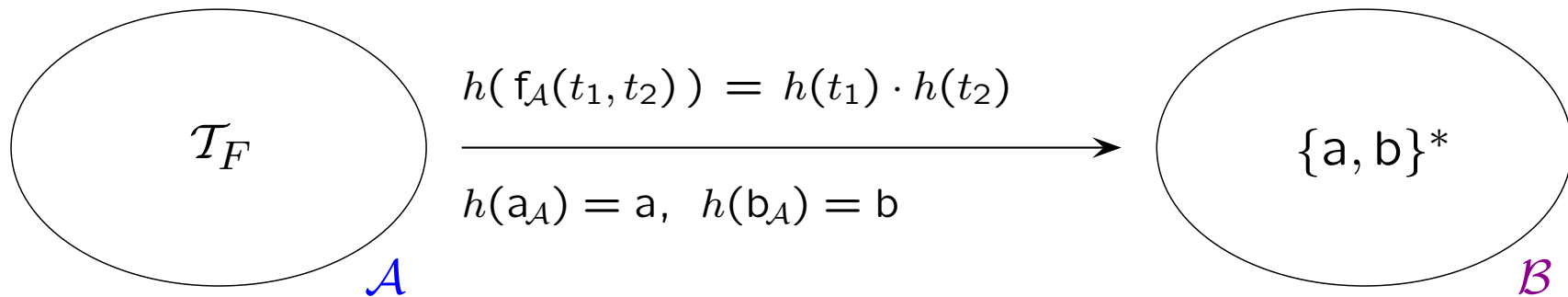
Example : A-theory and words

Let $F = \{f, a, b\}$ with $\text{ar}_F(f) = 2$, $\text{ar}_F(a) = \text{ar}_F(b) = 0$

$$\mathcal{A} = (\mathcal{T}_F, \{f_{\mathcal{A}}(x, y) = f(x, y), a_{\mathcal{A}} = a, b_{\mathcal{A}} = b\})$$

$$\mathcal{B} = (\{a, b\}^*, \{f_{\mathcal{B}}(x, y) = x \cdot y, a_{\mathcal{B}} = a, b_{\mathcal{B}} = b\})$$

Define F -homomorphism h :



then for all s, t in \mathcal{T}_F :

$$h(s) = h(t) \text{ if and only if } [s]_{=\mathcal{E}} = [t]_{=\mathcal{E}}$$

where $\mathcal{E} = (F, E_{\mathcal{A}})$ and $E_{\mathcal{A}} = \{f(f(x, y), z) \approx f(x, f(y, z))\}$

$x \cdot y$: concatenation of words x and y

\mathcal{E} -equivalence problem

instance : trees s, t in \mathcal{T}_F

equational theory $\mathcal{E} = (F, E)$

solution : “yes” if $[s]_{=\mathcal{E}} = [t]_{=\mathcal{E}}$; “no” otherwise

This problem is called \mathcal{E} -equivalence problem

E.g. consider

$$E_A : f(f(x, y), z) \approx f(x, f(y, z)) \qquad E_I : f(x, x) \approx x$$

$$E_C : f(x, y) \approx f(x, y) \qquad E_U : f(x, e) \approx x$$

then

the problem for equational theory \mathcal{E} with **any** combination of the above equations (16 combinations including the empty theory) is decidable

Word problem

instance : trees s, t in \mathcal{T}_F

equational theory $\mathcal{E} = (F, E \cup E_A)$, where

$$E = \{s_1 \approx t_1, \dots, s_n \approx t_n\} \quad (s_i, t_i \in \mathcal{T}_F, 1 \leq i \leq n)$$

solution : “yes” if $[s]_{=\mathcal{E}} = [t]_{=\mathcal{E}}$; “no” otherwise

Note

According to the previous example, if $F = \{f\} \cup F_{(0)}$, it holds that

$[s]_{=\mathcal{E}} = [t]_{=\mathcal{E}}$ if and only if

$h(s)$ and $h(t)$ are equivalent under the axioms $h(s_1) \approx h(t_1), \dots, h(s_n) \approx h(t_n)$

Words u, w are **equivalent under axioms** $u_i \approx w_i$ ($u_i, w_i \in \Sigma^+$, $1 \leq i \leq n$) if $u \equiv w$ or there exists a sequence $x_1 x_2 \dots x_k$ ($k \geq 2$) such that (1) $x_1 = u$, $x_k = w$, (2) $\exists u_{\ell_i} \approx w_{\ell_i}$ ($1 \leq i < k$) : $x_i = y_i u_{\ell_i} z_i$ & $x_{i+1} = y_i w_{\ell_i} z_i$ or $x_i = y_i w_{\ell_i} z_i$ & $x_{i+1} = y_i u_{\ell_i} z_i$.

This problem can be reduced from the halting problem of TM (**Exercise**).

Equational term rewriting systems (ETRS)

ETRS $\mathcal{R} = (\mathcal{E}, R)$

\mathcal{E} : equational theory (F, E)

R : finite set of equations over F , called **rewrite rules**
(equation $s \approx t$ in R is denoted by $s \rightarrow t$)

$\rightarrow_{\mathcal{R}}$: rewrite relation over $\mathcal{T}_{F,V}$ defined as $s \rightarrow_{\mathcal{R}} t$ if $\exists l \rightarrow r \in R$:
 $s =_{\mathcal{E}} C[l\theta]$ & $t =_{\mathcal{E}} C[r\theta]$ for some $C[], \theta$

$\rightarrow_{\mathcal{R}}^*$: the smallest reflexive and transitive relation containing $\rightarrow_{\mathcal{R}}$

$=_{\mathcal{R}}$: the smallest equivalence relation containing $\rightarrow_{\mathcal{R}}$

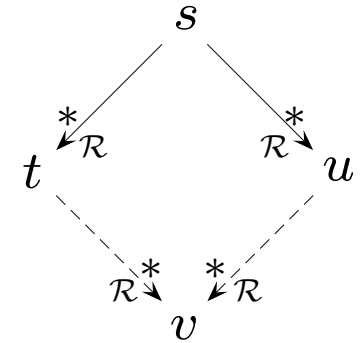
Note

If $\mathcal{E} = (F, \emptyset)$, we call (\mathcal{E}, R) a **term rewriting system** (TRS). For convenience, $((F, \emptyset), R)$ can be denoted by (F, R) .

Confluence & termination

Let \mathcal{R} : ETRS over F

\mathcal{R} is **confluent** if $\forall s t u : s \rightarrow_{\mathcal{R}}^* t \ \& \ s \rightarrow_{\mathcal{R}}^* u$
 $\Rightarrow \exists v : t \rightarrow_{\mathcal{R}}^* v \ \& \ u \rightarrow_{\mathcal{R}}^* v$



\mathcal{R} is **locally confluent** if $\forall s t u : s \rightarrow_{\mathcal{R}} t \ \& \ s \rightarrow_{\mathcal{R}} u$
 $\Rightarrow \exists v : t \rightarrow_{\mathcal{R}}^* v \ \& \ u \rightarrow_{\mathcal{R}}^* v$

confluence

\mathcal{R} is **Church-Rosser** if $\forall s t : s =_{\mathcal{R}} t \Rightarrow \exists u : s \rightarrow_{\mathcal{R}}^* u \ \& \ t \rightarrow_{\mathcal{R}}^* u$

\mathcal{R} is **terminating** if \mathcal{R} does not admit any infinite sequence
 t_1, t_2, t_3, \dots such that $t_i \rightarrow_{\mathcal{R}} t_{i+1} \ (i \geq 1)$

Note

\mathcal{R} is confluent if and only if it is Church-Rosser

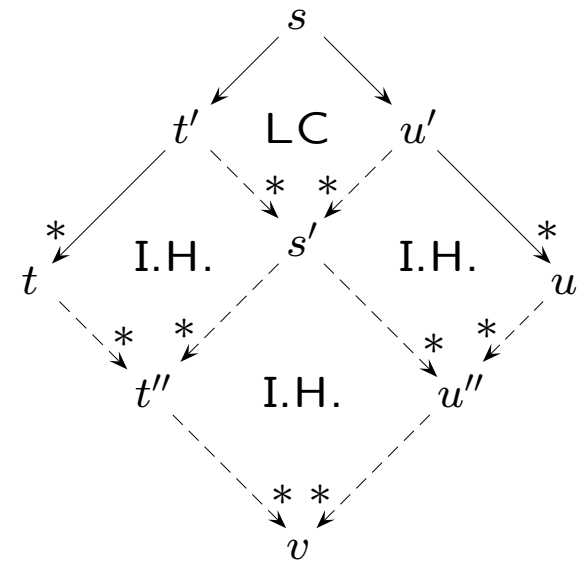
(The “if” is obvious by definition. The “only if” can be shown by the induction on the number of peaks $\overset{*}{\mathcal{R}} \leftarrow \cdot \rightarrow_{\mathcal{R}}^*$ in $=_{\mathcal{R}}$.)

Newman's lemma

Every locally confluent and terminating (E)TRS is confluent.

Proof

Suppose $\mathcal{R} = (\mathcal{E}, R)$ is locally confluent and terminating. Define the binary relation $\succ = \rightarrow_{\mathcal{R}}^*$. By definition, \succ is a preorder. Moreover, since \mathcal{R} is terminating, \succ is well-founded, because $\succ - (\succ)^{-1}$ is the transitive closure of $\rightarrow_{\mathcal{R}}$. Using the induction on trees with \succ , one can show that \mathcal{R} is confluent: The base case is obvious, because $s \equiv t \equiv u$. For induction step, suppose $s \rightarrow_{\mathcal{R}}^* t$ and $s \rightarrow_{\mathcal{R}}^* u$. If $s \equiv t$ and $s \equiv u$ (otherwise, it is obvious), the right figure holds. We note that $s \succ w$ if $u' \succ w$ or $t' \succ w$, because by assumption, $s \succ t'$ and $s \succ u'$. \square



Critical pairs & local confluence

Suppose $l_1 \rightarrow r_1, l_2 \rightarrow r_2 \in R$ are rewrite rules such that there exists a **most general unifier** θ for unifying l_1 and a sub-tree l of l_2 (so $l_1\theta \equiv l\theta$). Let $l_2 = C[l]$, then $\langle C[r_1\theta], r_2\theta \rangle$ is called **critical pair**. It is known that a TRS \mathcal{R} is local confluent if and only if its critical pairs are joinable ($\exists t: C[r_1\theta] \rightarrow_{\mathcal{R}}^* t \ \& \ r_2\theta \rightarrow_{\mathcal{R}}^* t$).

Knuth-Bendix procedure

Let E : set of equations

\succsim : well-founded preorder & closed under contexts and substitutions

Given an equational theory $\mathcal{E} = (F, E)$ with \succsim , this procedure attempts to construct a **terminating** and **confluent** TRS $\mathcal{R} = (F, R)$ with $=_{\mathcal{R}} = =_{\mathcal{E}}$. When the procedure successfully terminates, it returns R (set of rewrite rules); otherwise, it fails or runs forever. The procedure `normalize` is non-deterministic function that returns one of the candidates. Termination of \mathcal{R} is a consequence of the compatibility with \succ . Confluence of \mathcal{R} follows from the previous observation about **critical pairs** and Newman's lemma.

```
procedure main( $E, \succsim$ )
  if  $\exists l \approx r \in E : l \not\approx r \ \& \ r \not\approx l$  then break("fail") ;
   $R_0 := \{ l \rightarrow r \mid l \approx r \text{ or } r \approx l \in E \text{ such that } l \succ r \}$  ;
  while  $\exists$  critical pair  $\langle C[r_1\theta], r_2\theta \rangle$  in  $R_i$  is not joinable
    do
       $s := \text{normalize}(R_i, C[r_1\theta])$  ;
       $t := \text{normalize}(R_i, r_2)$  ;
      if  $s \succ t$  then  $R_{i+1} := R_i \cup \{ s \rightarrow t \}$  ;
      if  $t \succ s$  then  $R_{i+1} := R_i \cup \{ t \rightarrow s \}$  ;
      else break("fail") ;
     $i++$  ;
  end ; return  $R_i$ 

procedure normalize( $R, t$ )
  if  $t \rightarrow_{\mathcal{R}}^* s$  &  $s$  is not rewritten by  $\mathcal{R}$  anymore
  then return  $s$ 
```

Proposition [Knuth & Bendix]

If Knuth-Bendix procedure successfully terminates at the n -th loop, the TRS $\mathcal{R} = (F, R_n)$ is terminating and confluent with $=_{\mathcal{R}} = =_{\mathcal{E}}$.

Proof

Termination and confluence of \mathcal{R} are verified in the previous page. Let $\mathcal{R}_i = (F, R_i)$ where R_i is the set of rewrite rules obtained at the i -th loop, then we show that $=_{\mathcal{R}_i} = =_{\mathcal{E}}$: Use the induction on the number of loops. The base case is obvious, because according to the procedure, every equation in E is oriented by \succ , and thus $=_{\mathcal{R}_0} = =_{\mathcal{E}}$. For induction step, suppose $=_{\mathcal{R}_i} = =_{\mathcal{E}}$. If there is no more critical pair in R_i , the computation is done, so $\mathcal{R}_i = \mathcal{R}_{i+1}$. If there is a critical pair $\langle C[r_1\theta], r_2\theta \rangle$, let $s = \text{normalize}(C[r_1\theta])$ and $t = \text{normalize}(r_2\theta)$, then $s =_{\mathcal{R}_i} C[r_1\theta]$ and $t =_{\mathcal{R}_i} r_2\theta$. This implies $s =_{\mathcal{R}_i} t$, because $C[r_1\theta] =_{\mathcal{R}_i} r_2\theta$. Thus, regardless of the orientation of the equation $s \approx t$, we have $=_{\mathcal{R}_i} = =_{\mathcal{R}_i \cup \{s \rightarrow t\}}$ and $=_{\mathcal{R}_i} = =_{\mathcal{R}_i \cup \{t \rightarrow s\}}$. Hence, $=_{\mathcal{R}_i} = =_{\mathcal{R}_{i+1}}$, and therefore, by induction hypothesis, $=_{\mathcal{R}_{i+1}} = =_{\mathcal{E}}$. \square

As a corollary of this proof, the correctness of the procedure can be preserved, even if the procedure is modified as follows : $R_{i+1} := \{l \rightarrow r' \mid l \rightarrow r \in R_i \ \& \ r' = \text{normalize}(R_{i+1}, r)\} \cup \{s \rightarrow t\}$ if $s \succ t$ ($t \rightarrow s$ if $t \succ s$).

D.E. Knuth & P.B. Bendix: *Simple Word Problems in Universal Algebra*, Computational Problems in Abstract Algebra, Pergamon Press, pp.263–297, 1970.

Confluence modulo

Let (F, E) : equational theory \mathcal{E}

(F, R) : TRS \mathcal{R}

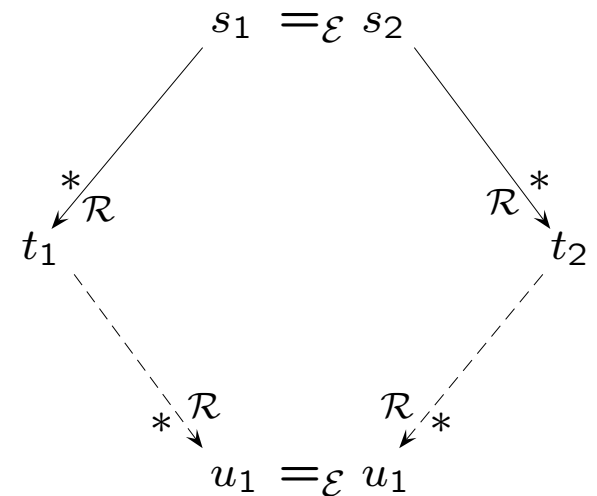
\mathcal{R} is **confluent modulo \mathcal{E}**

if $\forall s_1, s_2, t_1, t_2 : s_1 =_{\mathcal{E}} s_2$ &

$s_1 \rightarrow_{\mathcal{R}}^* t_1$ & $s_2 \rightarrow_{\mathcal{R}}^* t_2$

$\Rightarrow \exists u_1, u_2 : u_1 =_{\mathcal{E}} u_2$ &

$t_1 \rightarrow_{\mathcal{R}}^* u_1$ & $t_2 \rightarrow_{\mathcal{R}}^* u_1$



confluence modulo \mathcal{E}

Proposition (Huet 1980)

1. If TRS \mathcal{R} is terminating and $\leftarrow_{\mathcal{R}} \cdot \rightarrow_{\mathcal{R}} \subseteq \rightarrow_{\mathcal{R}}^* \cdot =_{\mathcal{E}} \cdot \leftarrow_{\mathcal{R}}^*$ (called **locally confluent modulo \mathcal{E}**) and $\leftarrow_{\mathcal{R}} \cdot =_{\mathcal{E}} \subseteq \rightarrow_{\mathcal{R}}^* \cdot =_{\mathcal{E}} \cdot \leftarrow_{\mathcal{R}}^*$ (called **locally coherent with \mathcal{E}**), then \mathcal{R} is confluent modulo \mathcal{E} .
2. If ETRS (\mathcal{E}, R) is terminating and locally confluent modulo \mathcal{E} and $\leftarrow_{\mathcal{R}} \cdot \leftrightarrow_{\mathcal{E}} \subseteq \rightarrow_{\mathcal{R}}^* \cdot =_{\mathcal{E}} \cdot \leftarrow_{\mathcal{R}}^*$ (called **locally coherent with $\leftrightarrow_{\mathcal{E}}$**), then \mathcal{R} is confluent modulo \mathcal{E} .

Exercise

1. Let $\succsim = \{(a, b), (b, c), (c, a)\}$, then show that \succsim is **not** well-founded. Show, on the other hand, that the transitive closure of \succsim (the smallest transitive relation containing \succsim) is well-founded.
2. Given a set S equipped with a well-founded preorder \succsim , show that
$$S = \bigcup_{a \in \min_{\succsim}(S)} \{x \in S \mid x \succsim a\}.$$
3. Show that the \mathcal{E} -equivalence problem (page 9) is decidable for the classes of E_I , E_U , E_{ACI} , E_{ACU} , E_{ACIU} .
4. Recall the word problem, which is the question if given words u, w are equivalent under given axioms $u_i \approx w_i$ ($u_i, w_i \in \Sigma^+$, $1 \leq i \leq n$). Show that the word problem is undecidable. (See page 10)
5. Complete by Knuth-Bendix procedure the equational theory E_{AIU} . For defining a strict order (the strict part of a well-founded preorder), use, e.g. the polynomial interpretation $f(x, y) = 2x + y + 1$ and $e = 1$ over positive integers.
6. Let $\mathcal{E} = (F, E)$. Show that if TRS (F, R) is confluent modulo \mathcal{E} , then ETRS (\mathcal{E}, R) is confluent.

Appendix : Dauchet's construction

It is undecidable for a given LBA (see page 18, seminar talk 2) whether it halts on any input [Caron 1991]

For each transition rule $\langle p, a \rangle \rightarrow \langle q, b, X \rangle$ of LBA \mathcal{M} , define a rewrite rule $s \rightarrow t$ whose left-hand side s is

$$f(g(x_1, a), p, h(x_2, x_3))$$

and right-hand side t is

To be precise, as a special case (where the tape-head is located at the left- or rightmost position), $f(\#_L, p, h(x_2, x_3))$ and $f(g(x_1, a), p, \#_R)$ for the LHS have to be considered

$$f(g(g(x_1, b), x_2), q, x_3) \text{ if } X = R ; f(x_1, q, h(b, h(x_2, x_3))) \text{ if } X = L.$$

E.g. for the input abc , if LBA \mathcal{M} selects the rule $\langle q_0, a \rangle \rightarrow \langle p, d, R \rangle$, then one can have the reduction from $f(g(\#_L, a), q_0, h(b, h(c, \#_R)))$ to $f(g(g(\#_L, d), b), p, h(c, \#_R))$. For the TRS $\mathcal{R}_{\mathcal{M}}$ associated to \mathcal{M} , one can show that it is terminating if and only if \mathcal{M} halts on any input. However, since the latter problem is undecidable, termination problem for a (sub-)class of TRS is undecidable.

[1] M. Dauchet: *Simulation of Turing Machine by a Regular Rewrite Rule*, Theoretical Computer Science (TCS) 103, pp.409–420, Elsevier, 1992.

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