

Simplification Orderings

The **proper subterm ordering** \triangleright is defined by $s \triangleright t$ if and only if $s/p = t$ for some position $p \neq \varepsilon$ of s .

Simplification Orderings

A rewrite ordering \succ over $T_\Sigma(X)$ is called **simplification ordering**, if it has the **subterm property**:

$s \triangleright t$ implies $s \succ t$ for all $s, t \in T_\Sigma(X)$.

Example:

Let R_{emb} be the rewrite system

$$R_{\text{emb}} = \{ f(x_1, \dots, x_n) \rightarrow x_i \mid f/n \in \Omega, n \geq 1, 1 \leq i \leq n \}.$$

Define $\triangleright_{\text{emb}} = \rightarrow_{R_{\text{emb}}}^+$ and $\triangleleft_{\text{emb}} = \rightarrow_{R_{\text{emb}}}^*$
(“homeomorphic embedding relation”).

$\triangleright_{\text{emb}}$ is a simplification ordering.

Simplification Orderings

Lemma 3.31:

If \succ is a simplification ordering, then $s \triangleright_{\text{emb}} t$ implies $s \succ t$ and $s \trianglelefteq_{\text{emb}} t$ implies $s \preceq t$.

Proof:

Since \succ is transitive and \preceq is transitive and reflexive, it suffices to show that $s \rightarrow_{R_{\text{emb}}} t$ implies $s \succ t$.

By definition, $s \rightarrow_{R_{\text{emb}}} t$ if and only if $s = s[l\sigma]$ and $t = s[r\sigma]$ for some rule $l \rightarrow r \in R_{\text{emb}}$.

Obviously, $l \triangleright r$ for all rules in R_{emb} , hence $l \succ r$.

Since \succ is a rewrite relation, $s = s[l\sigma] \succ s[r\sigma] = t$.

Simplification Orderings

Goal:

Show that every simplification ordering is well-founded (and therefore a reduction ordering).

Note: This works only for **finite** signatures!

To fix this for infinite signatures, the definition of simplification orderings and the definition of embedding have to be modified.

Kruskal's Theorem

A (usually not strict) partial ordering \succeq on a set A is called **well-partial-ordering (wpo)**, if for every infinite sequence a_1, a_2, a_3, \dots there are indices $i < j$ such that $a_i \preceq a_j$.

Terminology:

An infinite sequence a_1, a_2, a_3, \dots is called **good**, if there exist $i < j$ such that $a_i \preceq a_j$; otherwise it is called **bad**.

Therefore: \succeq is a wpo iff every infinite sequence is good.

Kruskal's Theorem

Lemma 3.32:

If \succeq is a wpo, then every infinite sequence a_1, a_2, a_3, \dots has an infinite ascending subsequence $a_{i_1} \preceq a_{i_2} \preceq a_{i_3} \preceq \dots$, where $i_1 < i_2 < i_3 < \dots$.

Proof:

Let a_1, a_2, a_3, \dots be an infinite sequence. We call an index $m \geq 1$ terminal, if there is no $n > m$ such that $a_m \preceq a_n$.

There are only finitely many terminal indices m_1, m_2, m_3, \dots ; otherwise the sequence $a_{m_1}, a_{m_2}, a_{m_3}, \dots$ would be bad.

Choose $p > 1$ such that all $m \geq p$ are not terminal; define $i_1 = p$; define recursively i_{j+1} such that $i_{j+1} > i_j$ and $a_{i_{j+1}} \succeq a_{i_j}$.

Kruskal's Theorem

Lemma 3.33:

If $\succeq_1, \dots, \succeq_n$ are wpo's on A_1, \dots, A_n , then \succeq defined by

$$(a_1, \dots, a_n) \succeq (a'_1, \dots, a'_n) \text{ iff } a_i \succeq_i a'_i \text{ for all } i$$

is a wpo on $A_1 \times \dots \times A_n$.

Proof:

The case $n = 1$ is trivial.

Otherwise let $(a_1^{(1)}, \dots, a_n^{(1)}), (a_1^{(2)}, \dots, a_n^{(2)}), \dots$ be an infinite sequence. By the previous lemma, there are infinitely many indices $i_1 < i_2 < i_3 < \dots$ such that $a_n^{(i_1)} \preceq a_n^{(i_2)} \preceq a_n^{(i_3)} \preceq \dots$

By induction on n , there are $k < l$ such that $a_1^{(i_k)} \preceq a_1^{(i_l)} \wedge \dots \wedge a_{n-1}^{(i_k)} \preceq a_{n-1}^{(i_l)}$. Therefore $(a_1^{(i_k)}, \dots, a_n^{(i_k)}) \preceq (a_1^{(i_l)}, \dots, a_n^{(i_l)})$.

Kruskal's Theorem

Theorem 3.34 (“Kruskal's Theorem”):

Let Σ be a finite signature, let X be a finite set of variables.

Then $\triangleleft_{\text{emb}}$ is a wpo on $T_{\Sigma}(X)$.

Proof:

Baader and Nipkow, page 114/115.

Simplification Orderings

Theorem 3.35 (Dershowitz):

If Σ is a finite signature, then every simplification ordering \succ on $T_\Sigma(X)$ is well-founded (and therefore a reduction ordering).

Proof:

Suppose that $t_1 \succ t_2 \succ t_3 \succ \dots$ is an infinite decreasing chain.

First assume that there is an $x \in \text{var}(t_{i+1}) \setminus \text{var}(t_i)$.

Let $\sigma = [t_i/x]$, then $t_{i+1}\sigma \trianglerighteq x\sigma = t_i$ and therefore $t_i = t_i\sigma \succ t_{i+1}\sigma \succeq t_i$, contradicting reflexivity.

Consequently, $\text{var}(t_i) \supseteq \text{var}(t_{i+1})$ and $t_i \in T_\Sigma(V)$ for all i , where V is the finite set $\text{var}(t_1)$. By Kruskal's Theorem, there are $i < j$ with $t_i \trianglelefteq_{\text{emb}} t_j$. Hence $t_i \preceq t_j$, contradicting $t_i \succ t_j$.

Simplification Orderings

There are reduction orderings that are not simplification orderings and terminating TRSs that are not contained in any simplification ordering.

Example:

Let $R = \{f(f(x)) \rightarrow f(g(f(x)))\}$.

R terminates and \rightarrow_R^+ is therefore a reduction ordering.

Assume that \rightarrow_R were contained in a simplification ordering \succ .

Then $f(f(x)) \rightarrow_R f(g(f(x)))$ implies $f(f(x)) \succ f(g(f(x)))$,

and $f(g(f(x))) \triangleleft_{\text{emb}} f(f(x))$ implies $f(g(f(x))) \succeq f(f(x))$,

hence $f(f(x)) \succ f(f(x))$.

Recursive Path Orderings

Let $\Sigma = (\Omega, \Pi)$ be a finite signature, let \succ be a strict partial ordering (“precedence”) on Ω .

The **lexicographic path ordering** \succ_{lpo} on $T_{\Sigma}(X)$ induced by \succ is defined by: $s \succ_{\text{lpo}} t$ iff

- (1) $t \in \text{var}(s)$ and $t \neq s$, or
- (2) $s = f(s_1, \dots, s_m)$, $t = g(t_1, \dots, t_n)$, and
 - (a) $s_i \succ_{\text{lpo}} t$ for some i , or
 - (b) $f \succ g$ and $s \succ_{\text{lpo}} t_j$ for all j , or
 - (c) $f = g$, $s \succ_{\text{lpo}} t_j$ for all j , and
 $(s_1, \dots, s_m) (\succ_{\text{lpo}})_{\text{lex}} (t_1, \dots, t_n)$.

Recursive Path Orderings

Lemma 3.36:

$s \succ_{\text{lpo}} t$ implies $\text{var}(s) \supseteq \text{var}(t)$.

Proof:

By induction on $|s| + |t|$ and case analysis.

Recursive Path Orderings

Theorem 3.37:

\succ_{lpo} is a simplification ordering on $T_{\Sigma}(X)$.

Proof:

Show transitivity, subterm property, stability under substitutions, compatibility with Σ -operations, and irreflexivity, usually by induction on the sum of the term sizes and case analysis.

Details: Baader and Nipkow, page 119/120.

Recursive Path Orderings

Theorem 3.38:

If the precedence \succ is total, then the lexicographic path ordering \succ_{lpo} is total on ground terms, i. e., for all $s, t \in T_{\Sigma}(\emptyset)$:

$$s \succ_{\text{lpo}} t \vee t \succ_{\text{lpo}} s \vee s = t.$$

Proof:

By induction on $|s| + |t|$ and case analysis.

Recursive Path Orderings

Recapitulation:

Let $\Sigma = (\Omega, \Pi)$ be a finite signature, let \succ be a strict partial ordering (“precedence”) on Ω . The **lexicographic path ordering** \succ_{lpo} on $T_{\Sigma}(X)$ induced by \succ is defined by: $s \succ_{\text{lpo}} t$ iff

- (1) $t \in \text{var}(s)$ and $t \neq s$, or
- (2) $s = f(s_1, \dots, s_m)$, $t = g(t_1, \dots, t_n)$, and
 - (a) $s_i \succ_{\text{lpo}} t$ for some i , or
 - (b) $f \succ g$ and $s \succ_{\text{lpo}} t_j$ for all j , or
 - (c) $f = g$, $s \succ_{\text{lpo}} t_j$ for all j , and
 $(s_1, \dots, s_m) (\succ_{\text{lpo}})_{\text{lex}} (t_1, \dots, t_n)$.

Recursive Path Orderings

There are several possibilities to compare subterms in (2)(c):

compare list of subterms lexicographically left-to-right
(“lexicographic path ordering (lpo)”, Kamin and Lévy)

compare list of subterms lexicographically right-to-left
(or according to some permutation π)

compare multiset of subterms using the multiset extension
(“multiset path ordering (mpo)”, Dershowitz)

to each function symbol f/n associate a

status $\in \{mul\} \cup \{lex_\pi \mid \pi : \{1, \dots, n\} \rightarrow \{1, \dots, n\}\}$

and compare according to that status

(“recursive path ordering (rpo) with status”)

The Knuth-Bendix Ordering

Let $\Sigma = (\Omega, \Pi)$ be a finite signature,

let \succ be a strict partial ordering (“precedence”) on Ω ,

let $w : \Omega \cup X \rightarrow \mathbb{R}_0^+$ be a weight function,

such that the following admissibility conditions are satisfied:

$w(x) = w_0 \in \mathbb{R}^+$ for all variables $x \in X$;

$w(c) \geq w_0$ for all constants $c/0 \in \Omega$.

If $w(f) = 0$ for some $f/1 \in \Omega$, then $f \succeq g$ for all $g \in \Omega$.

w can be extended to terms as follows:

$$w(t) = \sum_{x \in \text{var}(t)} w(x) \cdot \#(x, t) + \sum_{f \in \Omega} w(f) \cdot \#(f, t).$$

The Knuth-Bendix Ordering

The **Knuth-Bendix ordering** \succ_{kbo} on $T_{\Sigma}(X)$ induced by \succ and w is defined by: $s \succ_{\text{kbo}} t$ iff

- (1) $\#(x, s) \geq \#(x, t)$ for all variables x and $w(s) > w(t)$, or
- (2) $\#(x, s) \geq \#(x, t)$ for all variables x , $w(s) = w(t)$, and
 - (a) $t = x$, $s = f^n(x)$ for some $n \geq 1$, or
 - (b) $s = f(s_1, \dots, s_m)$, $t = g(t_1, \dots, t_n)$, and $f \succ g$, or
 - (c) $s = f(s_1, \dots, s_m)$, $t = f(t_1, \dots, t_m)$, and $(s_1, \dots, s_m) (\succ_{\text{kbo}})_{\text{lex}} (t_1, \dots, t_m)$.

The Knuth-Bendix Ordering

Theorem 3.39:

The Knuth-Bendix ordering induced by \succ and w is a simplification ordering on $T_{\Sigma}(X)$.

Proof:

Baader and Nipkow, pages 125–129.

3.6 Knuth-Bendix Completion

Completion:

Goal: Given a set E of equations, transform E into an equivalent convergent set R of rewrite rules.

How to ensure termination?

Fix a reduction ordering \succ and construct R in such a way that $\rightarrow_R \subseteq \succ$ (i. e., $l \succ r$ for every $l \rightarrow r \in R$).

How to ensure confluence?

Check that all critical pairs are joinable.

Knuth-Bendix Completion: Inference Rules

The completion procedure is presented as a set of inference rules working on a set of equations E and a set of rules R :

$$E_0, R_0 \vdash E_1, R_1 \vdash E_2, R_2 \vdash \dots$$

At the beginning, $E = E_0$ is the input set and $R = R_0$ is empty. At the end, E should be empty; then R is the result.

For each step $E, R \vdash E', R'$, the equational theories of $E \cup R$ and $E' \cup R'$ agree: $\approx_{E \cup R} = \approx_{E' \cup R'}$.

Knuth-Bendix Completion: Inference Rules

Notations:

The formula $s \overset{\cdot}{\approx} t$ denotes either $s \approx t$ or $t \approx s$.

$CP(R)$ denotes the set of all critical pairs between rules in R .

Knuth-Bendix Completion: Inference Rules

Orient:

$$\frac{E \cup \{s \approx t\}, R}{E, R \cup \{s \rightarrow t\}} \quad \text{if } s \succ t$$

Note: There are equations $s \approx t$ that cannot be oriented, i. e., neither $s \succ t$ nor $t \succ s$.

Knuth-Bendix Completion: Inference Rules

Trivial equations cannot be oriented – but we don't need them anyway:

Delete:

$$\frac{E \cup \{s \approx s\}, R}{E, R}$$

Knuth-Bendix Completion: Inference Rules

Critical pairs between rules in R are turned into additional equations:

Deduce:

$$\frac{E, R}{E \cup \{s \approx t\}, R} \quad \text{if } \langle s, t \rangle \in \text{CP}(R).$$

Note: If $\langle s, t \rangle \in \text{CP}(R)$ then $s \leftarrow_R u \rightarrow_R t$ and hence $R \models s \approx t$.

Knuth-Bendix Completion: Inference Rules

The following inference rules are not absolutely necessary, but very useful (e.g., to get rid of joinable critical pairs and to deal with equations that cannot be oriented):

Simplify-Eq:

$$\frac{E \cup \{s \dot{\approx} t\}, R}{E \cup \{u \approx t\}, R} \quad \text{if } s \rightarrow_R u.$$

Knuth-Bendix Completion: Inference Rules

Simplification of the right-hand side of a rule is unproblematic.

R-Simplify-Rule:

$$\frac{E, R \cup \{s \rightarrow t\}}{E, R \cup \{s \rightarrow u\}} \quad \text{if } t \rightarrow_R u.$$

Simplification of the left-hand side may influence orientability and orientation. Therefore, it yields an *equation*:

L-Simplify-Rule:

$$\frac{E, R \cup \{s \rightarrow t\}}{E \cup \{u \approx t\}, R} \quad \text{if } s \rightarrow_R u \text{ using a rule } l \rightarrow r \in R \text{ such that } s \sqsupseteq l \text{ (see next slide).}$$

Knuth-Bendix Completion: Inference Rules

For technical reasons, the lhs of $s \rightarrow t$ may only be simplified using a rule $l \rightarrow r$, if $l \rightarrow r$ *cannot* be simplified using $s \rightarrow t$, that is, if $s \sqsupset l$, where the **encompassment quasi-ordering** \sqsupset is defined by

$$s \sqsupset l \text{ if } s/p = l\sigma \text{ for some } p \text{ and } \sigma$$

and $\sqsupset = \sqsupset \setminus \sqsubseteq$ is the strict part of \sqsupset .

Lemma 3.40:

\sqsupset is a well-founded strict partial ordering.

Knuth-Bendix Completion: Inference Rules

Lemma 3.41:

If $E, R \vdash E', R'$, then $\approx_{E \cup R} = \approx_{E' \cup R'}$.

Lemma 3.42:

If $E, R \vdash E', R'$ and $\rightarrow_R \subseteq \succ$, then $\rightarrow_{R'} \subseteq \succ$.

Knuth-Bendix Completion: Correctness Proof

If we run the completion procedure on a set E of equations, different things can happen:

- (1) We reach a state where no more inference rules are applicable and E is not empty.
⇒ Failure (try again with another ordering?)
- (2) We reach a state where E is empty and all critical pairs between the rules in the current R have been checked.
- (3) The procedure runs forever.

In order to treat these cases simultaneously, we need some definitions.

Knuth-Bendix Completion: Correctness Proof

A (finite or infinite sequence) $E_0, R_0 \vdash E_1, R_1 \vdash E_2, R_2 \vdash \dots$ with $R_0 = \emptyset$ is called a **run** of the completion procedure with input E_0 and \succ .

For a run, $E_\infty = \bigcup_{i \geq 0} E_i$ and $R_\infty = \bigcup_{i \geq 0} R_i$.

The sets of **persistent equations or rules** of the run are

$E_* = \bigcup_{i \geq 0} \bigcap_{j \geq i} E_j$ and $R_* = \bigcup_{i \geq 0} \bigcap_{j \geq i} R_j$.

Note: If the run is finite and ends with E_n, R_n , then $E_* = E_n$ and $R_* = R_n$.

Knuth-Bendix Completion: Correctness Proof

A run is called **fair**, if $CP(R_*) \subseteq E_\infty$

(i. e., if every critical pair between persisting rules is computed at some step of the derivation).

Goal:

Show: If a run is fair and E_* is empty,
then R_* is convergent and equivalent to E_0 .

In particular: If a run is fair and E_* is empty,
then $\approx_{E_0} = \approx_{E_\infty \cup R_\infty} = \leftrightarrow_{E_\infty \cup R_\infty} = \downarrow_{R_*}$.

Knuth-Bendix Completion: Correctness Proof

General assumptions from now on:

$E_0, R_0 \vdash E_1, R_1 \vdash E_2, R_2 \vdash \dots$ is a fair run.

R_0 and E_* are empty.

Knuth-Bendix Completion: Correctness Proof

A **proof** of $s \approx t$ in $E_\infty \cup R_\infty$ is a finite sequence (s_0, \dots, s_n) such that $s = s_0$, $t = s_n$, and for all $i \in \{1, \dots, n\}$:

(1) $s_{i-1} \leftrightarrow_{E_\infty} s_i$, or

(2) $s_{i-1} \rightarrow_{R_\infty} s_i$, or

(3) $s_{i-1} \leftarrow_{R_\infty} s_i$.

The pairs (s_{i-1}, s_i) are called **proof steps**.

A proof is called a **rewrite proof in R_*** ,

if there is a $k \in \{0, \dots, n\}$ such that $s_{i-1} \rightarrow_{R_*} s_i$ for $1 \leq i \leq k$ and $s_{i-1} \leftarrow_{R_*} s_i$ for $k + 1 \leq i \leq n$

Knuth-Bendix Completion: Correctness Proof

Idea (Bachmair, Dershowitz, Hsiang):

Define a well-founded ordering on proofs, such that for every proof that is not a rewrite proof in R_* there is an equivalent smaller proof.

Consequence: For every proof there is an equivalent rewrite proof in R_* .

Knuth-Bendix Completion: Correctness Proof

We associate a **cost** $c(s_{i-1}, s_i)$ with every proof step as follows:

- (1) If $s_{i-1} \leftrightarrow_{E_\infty} s_i$, then $c(s_{i-1}, s_i) = (\{s_{i-1}, s_i\}, -, -)$,
where the first component is a multiset of terms and $-$
denotes an arbitrary (irrelevant) term.
- (2) If $s_{i-1} \rightarrow_{R_\infty} s_i$ using $l \rightarrow r$, then $c(s_{i-1}, s_i) = (\{s_{i-1}\}, l, s_i)$.
- (3) If $s_{i-1} \leftarrow_{R_\infty} s_i$ using $l \rightarrow r$, then $c(s_{i-1}, s_i) = (\{s_i\}, l, s_{i-1})$.

Proof steps are compared using the lexicographic combination of the multiset extension of reduction ordering \succ , the encompassment ordering \sqsupset , and the reduction ordering \succ .

Knuth-Bendix Completion: Correctness Proof

The cost $c(P)$ of a proof P is the multiset of the costs of its proof steps.

The **proof ordering** \succ_C compares the costs of proofs using the multiset extension of the proof step ordering.

Lemma 3.43:

\succ_C is a well-founded ordering.

Knuth-Bendix Completion: Correctness Proof

Lemma 3.44:

Let P be a proof in $E_\infty \cup R_\infty$. If P is not a rewrite proof in R_* , then there exists an equivalent proof P' in $E_\infty \cup R_\infty$ such that $P \succ_C P'$.

Proof:

If P is not a rewrite proof in R_* , then it contains

- (a) a proof step that is in E_∞ , or
- (b) a proof step that is in $R_\infty \setminus R_*$, or
- (c) a subproof $s_{i-1} \leftarrow_{R_*} s_i \rightarrow_{R_*} s_{i+1}$ (peak).

We show that in all three cases the proof step or subproof can be replaced by a smaller subproof:

Knuth-Bendix Completion: Correctness Proof

Case (a): A proof step using an equation $s \dot{\approx} t$ is in E_∞ .
This equation must be deleted during the run.

If $s \dot{\approx} t$ is deleted using *Orient*:

$$\dots S_{i-1} \leftrightarrow_{E_\infty} S_i \dots \implies \dots S_{i-1} \rightarrow_{R_\infty} S_i \dots$$

If $s \dot{\approx} t$ is deleted using *Delete*:

$$\dots S_{i-1} \leftrightarrow_{E_\infty} S_{i-1} \dots \implies \dots S_{i-1} \dots$$

If $s \dot{\approx} t$ is deleted using *Simplify-Eq*:

$$\dots S_{i-1} \leftrightarrow_{E_\infty} S_i \dots \implies \dots S_{i-1} \rightarrow_{R_\infty} S' \leftrightarrow_{E_\infty} S_i \dots$$

Knuth-Bendix Completion: Correctness Proof

Case (b): A proof step using a rule $s \rightarrow t$ is in $R_\infty \setminus R_*$.
This rule must be deleted during the run.

If $s \rightarrow t$ is deleted using *R-Simplify-Rule*:

$$\dots S_{i-1} \rightarrow_{R_\infty} S_i \dots \implies \dots S_{i-1} \rightarrow_{R_\infty} S' \leftarrow_{R_\infty} S_i \dots$$

If $s \rightarrow t$ is deleted using *L-Simplify-Rule*:

$$\dots S_{i-1} \rightarrow_{R_\infty} S_i \dots \implies \dots S_{i-1} \rightarrow_{R_\infty} S' \leftrightarrow_{E_\infty} S_i \dots$$

Knuth-Bendix Completion: Correctness Proof

Case (c): A subproof has the form $s_{i-1} \leftarrow_{R_*} s_i \rightarrow_{R_*} s_{i+1}$.

If there is no overlap or a non-critical overlap:

$$\dots s_{i-1} \leftarrow_{R_*} s_i \rightarrow_{R_*} s_{i+1} \dots \implies \dots s_{i-1} \rightarrow_{R_*}^* s' \leftarrow_{R_*}^* s_{i+1} \dots$$

If there is a critical pair that has been added using *Deduce*:

$$\dots s_{i-1} \leftarrow_{R_*} s_i \rightarrow_{R_*} s_{i+1} \dots \implies \dots s_{i-1} \leftrightarrow_{E_\infty} s_i \dots$$

In all cases, checking that the replacement subproof is smaller than the replaced subproof is routine.

Knuth-Bendix Completion: Correctness Proof

Theorem 3.45:

Let $E_0, R_0 \vdash E_1, R_1 \vdash E_2, R_2 \vdash \dots$ be a fair run and let R_0 and E_* be empty. Then

- (1) every proof in $E_\infty \cup R_\infty$ is equivalent to a rewrite proof in R_* ,
- (2) R_* is equivalent to E_0 , and
- (3) R_* is convergent.

Knuth-Bendix Completion: Correctness Proof

Proof:

(1) By well-founded induction on \succ_C using the previous lemma.

(2) Clearly $\approx_{E_\infty \cup R_\infty} = \approx_{E_0}$.

Since $R_* \subseteq R_\infty$, we get $\approx_{R_*} \subseteq \approx_{E_\infty \cup R_\infty}$.

On the other hand, by (1), $\approx_{E_\infty \cup R_\infty} \subseteq \approx_{R_*}$.

(3) Since $\rightarrow_{R_*} \subseteq \succ$, R_* is terminating.

By (1), R_* is confluent.

Knuth-Bendix Completion: Outlook

Classical completion:

Fails, if an equation can neither be oriented nor deleted.

Unfailing Completion:

Use an ordering \succ that is total on ground terms.

If an equation cannot be oriented, use it in both directions for rewriting (except if that would yield a larger term).

In other words, consider the relation $\leftrightarrow_E \cap \not\prec$.

Special case of superposition (see next chapter).