

ALGEBRAIC THEORIES AND TREE REWRITING SYSTEMS

by

Mitchell Wand

Computer Science Department

Indiana University

Bloomington, Indiana 47401

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MITCHELL WAND

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# Algebraic Theories and Tree Rewriting Systems

Mitchell Wand\*

Abstract: We show how operational semantics may be obtained for algebraic definitions of data types. In an algebraic definition, the axioms generate an equivalence relation on expressions to be evaluated. Under an easily satisfied Church-Rosser condition, the operational semantics consists of a tree rewriting system which rewrites an expression into a normal form which is a representative of its equivalence class. Recent results in tree rewriting systems can be used to make the operational semantics deterministic.

Key Words: Algebra semantics, initial algebra semantics, operational semantics, tree rewriting systems, Church-Rosser property, algebraic theories, data types.

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\*Author's address: Computer Science Department, Indiana University, Bloomington, Indiana 47401

## 1. Introduction

It is well-known [5] that there is a connection between algebraic semantics [2, 4, 12] and tree-rewriting systems [7, 10]. The purpose of this note is to make that connection mathematically precise.

We adopt the point of view of [2], that "abstract" data types are algebraic theories, presented as a quotient of a free theory i.e., by generators and relations.<sup>(\*)</sup> One specifies a computation in a data type by a morphism in the free theory; the morphism is then mapped by the quotient map to its value. This gives a denotational semantics for any computation.

To get an operational semantics, one must deal with representatives of the equivalence classes created by the relations. Given an arbitrary morphism in the free theory, one must determine (by computation) the representative of its equivalence class. If representatives are chosen wisely (e.g. the class of computations which evaluate to "2" ought to be represented by "2"), then a computational procedure for computing representatives will serve nicely as an operational semantics. This is a case of the equivalence problem [1], except that the equivalence relations are unchanging and infinite. Examples of this kind of computation are given in [5].

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(\*) Alternatively, one may take the view that the generators and relations present an algebra which is a quotient of an initial algebra [4].

In this note we show how to build such an operational semantics as a tree rewriting system. Under fairly weak conditions, the tree rewriting system will have the Church-Rosser property, and we can choose the normal forms (where they exist) as representatives. This allows us to exploit the growing knowledge about such systems [7,10] to obtain additional insight.

Section 2 gives the required definitions. Section 3 presents the main result: given a set of relations  $\Delta$ , we construct a tree rewriting system  $SM_{\Delta}$  and show that two morphisms  $t, t'$  are congruent modulo  $\Delta$  iff one can be transformed into the other via  $SM_{\Delta}$ . In Section 4 we provide conditions under which the tree rewriting system has the Church-Rosser property, and show that under these conditions, representatives may be computed by a deterministic rewriting strategy. Section 5 gives some concluding remarks.

## 2. Preliminaries

We present algebraic preliminaries here. Definitions for tree rewriting systems are deferred to Section 4. The reader is referred to [6, 8] for tutorials on the concepts of categories and algebraic theory.

If  $C$  is a category,  $C(a,b)$  denotes the set of arrows or morphisms from object  $a$  to object  $b$ . If  $f \in C(a,b)$  and  $g \in C(b,c)$ , their composition, a member of  $C(a,c)$ , is denoted  $gf$ . If  $f \in C(a,b)$  then  $\text{dom}(f) = a$  and  $\text{cod}(f) = b$ . Sets will denote the category whose objects are sets and whose morphisms are the usual set-theoretic functions.

Let  $S$  be a set whose elements are called sorts. An S-sorted operator alphabet  $\Omega$  is a map  $\Omega: K \rightarrow S^* \times S$  for some set  $K$ .<sup>(1)</sup> If  $s \in K$ , and  $\Omega s = (w,a)$ , we say  $w$  is the domain of  $s$  and  $a$  is the codomain of  $S$ . If  $S$  has only one element, and  $w = a^n$  (where  $S = \{a\}$ ), we say  $s$  is  $n$ -ary;  $\Omega$  is then a ranked alphabet. When no ambiguity results, we will write  $\Omega$  for  $K$  and write " $s \in \Omega$ ". We use the categorical notation and write  $\Omega(w,a)$  for  $\{s \in K \mid \Omega s = (w,a)\}$ . If we write  $\Delta \subseteq \Omega$  if  $\Delta$  is the restriction of  $\Omega$  to  $K'$  for some  $K' \subseteq K$ .

An S-sorted algebraic theory (or just theory) is a category  $T$  whose objects are the elements of  $S^*$  and in which multiplication in  $S^*$  coincides with the categorical product. If  $T$  is a theory,

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(1)  $S^*$  denotes the free monoid generated by  $S$ ; we write  $|w|$  for the length of  $w$  and  $\Lambda$  for the null string.

and  $f_i \in T(u, w_i)$  (for  $i = 1, \dots, n$ ), then the product morphism in  $T(u, w_1 \dots w_n)$  is denoted  $[f_1, \dots, f_n]$ . We write  $e_i$  for the projection morphisms. This includes the case where the  $w_i$  are arbitrary objects (not just sorts); thus, if  $f \in T(w, a)$ , we write  $[l_w, f]$  for the evident morphism in  $T(w, wa)$ . We write  $l$  for  $l_w$  where no confusion results. A theory functor is a product-preserving functor between theories. A subtheory of an S-sorted theory  $T$  is a subcategory  $T'$  of  $T$  which has the same objects of  $T$  and which is closed under the tupling operation  $[...]$  of  $T$ .

If  $\Omega$  is an S-sorted operator alphabet, we may construct the free theory  $F_\Omega$  by the usual methods; if  $s \in \Omega$ , then  $s \in F_\Omega(\text{dom}(s), \text{cod}(s))$ .  $F_\Omega(w, a)$  consists of trees whose nodes are elements of the operator alphabet, whose leaves are either constant operators (i.e. whose domain is  $\Lambda$ ) or projection operators with domain  $w$ , whose root has codomain  $a$ , and in which domains and codomains match appropriately throughout the tree. Composition in  $F_\Omega$  is substitution of trees for leaves labelled by projection operators.

For example, let  $S = \{a, i\}$ ,  $K = \{\underline{\text{val}}, \underline{\text{alt}}\}$ ,  $\Omega = \{(\underline{\text{val}}, (ai, i)), (\underline{\text{alt}}, (a ii, a))\}$ . Then

$$\begin{aligned} \underline{\text{alt}}[e_1, \underline{\text{val}}[e_1, e_2], \underline{\text{val}}[e_1, e_3]] &\in F_\Omega(a ii, a) \\ [e_1, \underline{\text{val}}[e_1, e_3], \underline{\text{val}}[e_1, e_2]] &\in F_\Omega(a ii, a ii) \end{aligned}$$

and the composition of these two morphisms is

$$\text{alt}[e_1, \text{val}[e_1, \text{val}[e_1, e_3]], \text{val}[e_1, \text{val}[e_1, e_2]]] \in F_\Omega(a_i, a)$$

If  $T$  is an  $S$ -sorted theory, so is  $T^2$ , where  
 $T^2(u, v) = \{(f, g) \mid f, g \in T(u, v)\}$ , with composition given by  
 $(f, g)(f', g') = (ff', gg')$ . An equation on  $T$  is an element  
of  $T^2(w, a)$  for some  $a \in S$ . A congruence on  $T$  is a subtheory  
 $R$  of  $T^2$  such that for each  $u, v \in S^*$ ,  $R(u, v)$  is an equivalence  
relation on  $T(u, v)$ . If  $R$  is a congruence on  $T$ , then we  
can form the quotient theory  $T/R$  via  $T/R(u, v) = T(u, v)/R(u, v)$ .  
 $T/R$  is also an  $S$ -sorted theory; it is the coequalizer of the ev-  
ident diagram  $R \rightarrow T^2 \rightarrow T$ .

If  $\Delta$  is a set of equations on  $T$  we can construct the  
smallest  $\Delta$ -containing congruence on  $T$  as the set of theorems  
of a formal system  $E_\Delta$ . The formal objects of  $E_\Delta$  are the  
morphisms of  $T^2$ . We write  $(f, f') : u \rightarrow v$  for  $(f, f') \in T^2(u, v)$ ,  
and  $\vdash (f, f') : u \rightarrow v$  if  $(f, f')$  is provable in  $E_\Delta$ . The axioms  
and rules of  $E_\Delta$  are as follows:

Axioms: If  $(f, f') : w \rightarrow a \in \Delta$ , then  $\vdash (f, f') : w \rightarrow a$   $E\Delta$   
For any  $f \in T(u, v)$ ,  $\vdash (f, f) : u \rightarrow v$   $ER$

Rules:  $\frac{(f, g) : u \rightarrow v}{(g, f) : u \rightarrow v}$   $ES$        $\frac{(f, g) : u \rightarrow v \quad (g, h) : u \rightarrow v}{(f, h) : u \rightarrow v}$   $ET$

$$\frac{(g, g) : w \rightarrow y \quad (f, f') : v \rightarrow w \quad (h, h) : u \rightarrow v}{(gh, gf'h) : u \rightarrow y} \quad EC$$

$$\frac{(f_1, f'_1) : u \rightarrow a_1, \dots, (f_n, f'_n) : u \rightarrow a_n}{([f_1, \dots, f_n], [f'_1, \dots, f'_n]) : u \rightarrow a_1 \dots a_n} \quad EP$$

Let  $E_{\Delta}(u,v) = \{(f,f') \mid \vdash(f,f'):u \rightarrow v\}$  . Axiom scheme  $E_{\Delta}$  ensures that every equation in  $\Delta$  is in  $E_{\Delta}$  ; rules ER, ES, and ET ensure that each  $E_{\Delta}(u,v)$  is an equivalence relation; rule EC closes  $E_{\Delta}$  to a subcategory of  $T^2$  , and rule EP closes  $E_{\Delta}$  under the product operation of  $T^2$  . Hence  $E_{\Delta}$  , with composition inherited from  $T^2$  , is the smallest congruence on  $T$  containing  $\Delta$  .

A theory may be presented by  $(\Omega, \Delta)$  where  $\Omega$  is an operator alphabet (the generators) and  $\Delta$  is a set of equations.  $(\Omega, \Delta)$  presents the theory  $T$  where  $T(u,v) = F_{\Omega}(u,v) / E_{\Delta}(u,v)$  . The functor  $F: T_{\Omega} \rightarrow T$  sending each morphism to its equivalence class is a full theory functor.

Thus an operational semantics for the theory presented by  $(\Omega, \Delta)$  is an algorithm which, given a morphism  $f$  in  $F_{\Omega}$  , finds a representative  $f'$  of the  $E_{\Delta}$ -equivalence class of  $f$  , i.e. an  $f'$  such that

- (1)  $f'$  is a representative
- (2)  $E_{\Delta} \vdash (f, f')$  .

$E_{\Delta}$  is not a convenient deduction system in which to work. Our first concern, therefore, is to find computationally convenient deduction systems equivalent to  $E_{\Delta}$  .



### 3. Equivalence of Deduction Systems

For this section, let  $T$  be an arbitrary  $S$ -sorted theory, and  $\Delta$  be a set of equations on  $T$ . Elements of  $S$  will be denoted by  $a, b, \dots$ , and elements of  $S^*$  by  $u, v, w, \dots$ .

Definition: Let  $sm_{\Delta}$ , the operator alphabet of single  $\Delta$ -moves, be defined by:

$$sm_{\Delta}(w, a) = \{(f[l, gh], f[l, g'h]) \mid \text{for some } w' \in S^*, b \in S, h \in T(w, w'), \\ g, g' \in T(w', b), f \in T(wb, a), \text{ and } (g, g') \in \Delta\}$$

This definition is motivated by the ideas of Rosen [10]. To explain the connection, consider the case in which  $T$  is a free theory, and think of  $sm_{\Delta}(w, a)$  as a general replacement system on  $T(w, a)$ . Then a typical element of  $sm_{\Delta}(w, a)$  is shown in Figure 3.1. An occurrence of  $gh$ , attached to the tree  $f$  by  $e_n$  ( $n = |w| + 1$ ), is replaced by  $g'h$ . Thus,  $sm_{\Delta}(w, a)$  corresponds to the subtree replacement system on  $T(w, a)$  given by the rules  $\{(gh, g'h) \mid (g, g') \in \Delta, \text{ dom}(h) = w\}$  (Rosen's component  $\underline{R}$  [10, Def. 5.1]. If  $\Delta$  is a set of rule-schemata [10, Def. 6.1], then this set of ordered pairs is the associated set of instances. Thus  $sm_{\Delta}(w, a)$  allows rewriting of any left-hand-side of  $\Delta$  occurring anywhere in a tree in  $T(w, a)$ .

The correspondence fails to be exact, however in two ways:

- (1)  $e_n$  may occur in  $f$  more than once. In that case,

multiple copies of  $gh$  are rewritten in one step. Clearly, any single copy of  $gh$  can be rewritten by a suitable choice of  $f$ , and any multiple rewriting can be simulated by several steps of the corresponding subtree replacement system. Thus this difference is not crucial unless one is counting steps [7, Sec. 4].

2.  $sm_{\Delta}(w,a)$  makes sense even if  $\Delta$  is not a set of rule-schemata in Rosen's sense; indeed the results of this section hold even when  $T$  is not a free theory. Conversely, Rosen's notion of the domain of a parameter is more general than ours.

We next construct a formal system  $SM_{\Delta}$ . The formal objects of  $SM_{\Delta}$  are the morphisms of  $T^2$ , and the axioms and rules are as follows:

$$\begin{array}{l}
 \text{Axioms: } \text{If } (f,f') \in sm_{\Delta}(w,a) \text{ , then } \vdash(f,f'):w \rightarrow a \quad SMA \\
 \text{If } f \in T(w,a) \text{ , then } \vdash(f,f):w \rightarrow a \quad MR \\
 \text{Rules: } \frac{(f,g):w \rightarrow a}{(g,f):w \rightarrow a} \quad MS \qquad \frac{(f,g):w \rightarrow a \quad (g,h):w \rightarrow a}{(f,h):w \rightarrow a} \quad MT \\
 \frac{(f_1,g_1):w \rightarrow a_1, \dots, (f_n,g_n):w \rightarrow a_n}{([\overline{f_1, \dots, f_n}], [\overline{g_1, \dots, g_n}]):w \rightarrow a_1 \dots a_n} \quad MP
 \end{array}$$

Let  $SM_{\Delta}(u,v) = \{(f,f') \mid SM_{\Delta} \vdash(f,f'):u \rightarrow v\}$ . The main theorem of this section is that for all  $u,v \in S^*$ ,  $SM_{\Delta}(u,v) = E_{\Delta}(u,v)$ . The proof proceeds by a series of lemmas.

Lemma 3.1.  $SM_{\Delta} \vdash (f, f') : u \rightarrow v$  iff for all  $i, 1 \leq i \leq |v|$ ,

$SM_{\Delta} \vdash (e_i f, e_i f')$ .

Proof: If  $|v| = 1$ , then the result is trivial. If  $|v| > 1$ ,  $(f, f')$  can be deduced only by an application of rule MP. Therefore  $(e_i f, e_i f')$  must already have been deduced. ■

Lemma 3.2. If  $a \in S$  and  $SM_{\Delta} \vdash (f, f') : w \rightarrow a$ , then there is a derivation of  $(f, f')$  in  $SM_{\Delta}$  which does not use rule MP.

Proof: If MP is used in the derivation of  $(f, f')$  and  $n$  (the number of hypotheses of MP) is 1, then it may be eliminated, since the hypothesis of the rule is the same as its conclusion. If MP is used in the derivation of  $(f, f')$  and  $n > 1$ , then it must be the last step in the derivation, since no rule of  $SM_{\Delta}$  is applicable to its conclusion. But this is impossible, since  $|a| = 1$ . ■

Lemma 3.3. If  $SM_{\Delta} \vdash (f, f') : w \rightarrow a$ ,  $k \in T(u, w)$   $h \in T(w, v)$ , and  $g \in T(av, b)$ , then  $SM_{\Delta} \vdash (g[f, h]k, g[f', h]k) : u \rightarrow b$ .

Proof: By induction on the proof of  $(f, f')$  in  $SM_{\Delta}$ . If  $(f, f')$  is an axiom in  $SM_{\Delta}$ , so is  $(g[f, h]k, g[f', h]k)$ , by easy calculation. If the last step in the proof of  $(f, f')$  is

$$\frac{(f, f'') \quad (f'', f')}{(f, f')} \quad \text{MT}$$

then, by the induction hypothesis,  $SM_{\Delta} \vdash (g[f, h]k, g[f'', h]k) : w \rightarrow b$

and  $SM_{\Delta} \vdash (g[f'',h]k, g[f',h]k) : w \rightarrow b$ . Hence, by MT,  
 $SM_{\Delta} \vdash (g[f,h], g[f',h])$ .

MS is similar; occurrences of MP are trivial, since  
 $|\text{cod}(f)| = 1$ . ■

Theorem 3.1  $E_{\Delta} = SM_{\Delta}$

Proof (i)  $SM_{\Delta} \subseteq E_{\Delta}$ : Every axiom of  $SM_{\Delta}$  is provable in  $E_{\Delta}$ ,  
and every rule in  $SM_{\Delta}$  is a rule in  $E_{\Delta}$ . Therefore  $SM_{\Delta} \subseteq E_{\Delta}$ .

(ii)  $E_{\Delta} \subseteq SM_{\Delta}$ . The proof is by induction on proof in  
 $E_{\Delta}$ ; we show inter alia how to convert a proof in  $E_{\Delta}$  into a proof in  
 $SM_{\Delta}$ . The base step is that every axiom of  $E_{\Delta}$  is an axiom of  $SM_{\Delta}$ .  
We now have one case in the induction step for each rule of  $E_{\Delta}$ .

(ES): If  $SM_{\Delta} \vdash (f,g) : u \rightarrow v$ , then for each  $i$ ,  $1 \leq i \leq |v|$ ,  
 $SM_{\Delta} \vdash (e_i f, e_i g) : u \rightarrow v_i$  (where  $v_i$  is the  $i$ -th letter of  $v$ ).  
Hence by MS,  $SM_{\Delta} \vdash (e_i g, e_i f)$ . Then by MP,  $SM_{\Delta} \vdash (g,f)$ .

(ET): Similar to ES

(EP): Rule EP is identical to rule MP; no change necessary

(EC): We must show that if  $SM_{\Delta} \vdash (f,f') : v \rightarrow w$ ,  $g \in T(w,y)$ ,  $h \in T(u,v)$ ,  
then  $SM_{\Delta} \vdash (gf'h, gf'h) : u \rightarrow y$ . By Lemma 3.1, we may assume without  
loss of generality that  $|y| = 1$ .

If  $|\text{cod}(f)| = 1$ , then the result follows by Lemma 3.3. If  $|w| = n > 1$ , then by Lemma 3.1 we have  $SM_{\Delta} \vdash (e_i f, e_i f')$  for  $1 \leq i \leq n$ .

Now construct morphisms  $q_j \in T(v, w)$  for each  $j, (0 \leq j \leq n)$ , so that for each  $i (1 \leq i \leq n)$ ,

$$e_i q_j = \begin{cases} e_i f & i < j \\ e_i f' & i \geq j \end{cases}$$

Thus the  $q_j$  have the property that exactly one component of the product changes from  $e_i f$  to  $e_i f'$  between consecutive  $q_j$ 's.

Hence Lemma 3.3 applies, and for all  $j, 0 \leq j < n$ ,

$SM_{\Delta} \vdash (g q_j h, g q_{j+1} h)$ . By repeated applications of MT,

$SM_{\Delta} \vdash (g q_0 h, g q_n h)$ . But  $q_0 = f$  and  $q_n = f'$ .

So  $SM_{\Delta} \vdash (g f h, g f' h)$ . This completes the induction step. ■

Note that by Lemma 3.2,  $SM_{\Delta}(w, a)$  is the reflexive, symmetric, transitive closure of  $sm_{\Delta}(w, a)$ . Thus  $(f, f') \in E_{\Delta}(w, a)$  iff there exist  $f_0, \dots, f_n \in T(w, a)$  such that  $f = f_0, f_n = f'$ , and for each  $i$ , either  $(f_i, f_{i+1})$  or  $(f_{i+1}, f_i)$  belongs to  $sm_{\Delta}(w, a)$ .

In  $sm_{\Delta}$  only one node of the tree (plus copies) is rewritten at each step. In dealing with tree rewriting systems, it is useful to allow multiple, parallel rewriting at each step. For this we define the operator alphabet of  $\Delta$ -moves and a formal system  $M_{\Delta}$ :

Definition: The operator alphabet  $m_\Delta$  of  $\Delta$ -moves is defined by  
 $m_\Delta(w,a) = \{(f[l,k], f[l,k']) \mid \text{for some } u,v \in S^*, k,k' \in T(w,u),$   
 $f \in T(wu,a), \text{ and for each } i, 1 \leq i \leq |u|, \text{ there exist } g,g' \text{ and } h$   
 $\text{s.t. } e_{\perp} k = gh, e_{\perp} k' = g'h, \text{ and } (g,g') \in \Delta\}$

Thus instead of a single rewriting (as in  $SM_\Delta$ ), we have parallel rewritings in each component of  $k$ .

The formal system  $M_\Delta$  is defined in the same way as  $SM_\Delta$ , except that the axiom scheme  $SM_\Delta$  is replaced by:

If  $(f,f') \in m_\Delta(w,a)$ , then  $\vdash (f,f') : w \rightarrow a \quad M_\Delta$

Theorem 3.2:  $M_\Delta = SM_\Delta = E_\Delta$

Proof: Every axiom in  $SM_\Delta$  is an axiom in  $M_\Delta$ ; every axiom in  $M_\Delta$  is provable (via rule MT only) in  $SM_\Delta$ . The rest is the previous theorem. ■

Corollary 3.1: For any  $w \in S^*$ ,  $a \in S$ ,  $E_\Delta(w,a)$  is the reflexive, symmetric, transitive closure of  $m_\Delta(w,a)$  or of  $sm_\Delta(w,a)$ .

Proof: Theorem 3.2 and Lemma 3.2. ■

As a result, each  $m_\Delta(w,a)$  may be treated as a separate equivalence problem, without worrying about substitution instances or any other morphism set.

#### 4. The Church-Rosser Property

In the previous section we showed how  $E_{\Delta}(w,a)$  could be characterized as the reflexive, symmetric, transitive closure of a set of instances. This characterization does not yield a natural choice of representatives. If, however, we can avoid the symmetric closure, then a natural choice appears: we choose as representatives those morphisms on which no further rewrites may be made. Such a plan is possible if  $m_{\Delta}$  (or  $sm_{\Delta}$ ) has the Church-Rosser property. We first show why this simplification is possible, and then sketch conditions under which  $m_{\Delta}$  (or  $sm_{\Delta}$ ) has the Church-Rosser property. We first show why this simplification is possible, and then

Let  $A$  be a set,  $R \subseteq A \times A$ , and let  $R^*$  be the reflexive transitive closure of  $R$ . We say  $R$  has the Church-Rosser property iff for every  $x,y,z \in A$ , if  $(x,y) \in R^*$  and  $(x,z) \in R^*$ , there is a  $t \in A$  such that  $(y,t) \in R^*$  and  $(z,t) \in R^*$ . We say  $t$  is an R-normal form of  $x$  iff  $(x,t) \in R^*$  and there is no  $u$  such that  $(t,u) \in R$ . If  $R$  has the Church-Rosser property, then every  $x \in A$  has at most one R-normal form. Let  $R\#$  denote the reflexive, symmetric, transitive closure of  $R$ .

Theorem 4.1: If  $R$  has the Church-Rosser property,  $(x,y) \in R\#$  and  $y$  is R-normal, then  $(x,y) \in R^*$ .

Proof: It is well-known that if  $R$  is Church-Rosser and  $(x,y) \in R\#$ , then there is a  $z$  such that  $(x,z) \in R^*$  and  $(y,z) \in R^*$  (e.g. [7, Thm. 2.1.1]). If  $y$  is R-normal, then  $z = y$ . ■

In combination with Corollary 3.1, this gives us the basic result connecting theories and rewriting systems:

Theorem 4.2: Let  $T$  be an  $S$ -sorted theory, let  $\Delta$  be a set of equations on  $T$ ,  $w \in S^*$ , and  $a \in S$ . If  $m_{\Delta}(w,s)$  has the Church-Rosser property and  $f \in T(w,a)$  is equivalent modulo  $E_{\Delta}$  to some  $m_{\Delta}(w,a)$ -normal morphism  $f'$ , then  $(f,f') \in [m_{\Delta}(w,a)]^*$ .

Proof: Corollary 3.1 and Theorem 4.1. ■

Therefore, if  $m_{\Delta}(w,a)$  has the Church-Rosser property, we can choose  $m_{\Delta}(w,a)$ -normal forms as representatives (when they exist), and compute the representatives of an arbitrary morphism  $f \in T(w,a)$  by rewriting, using  $m_{\Delta}(w,a)$ . Morphisms without normal forms yield non-terminating calculations. This is the mathematical result which underlies the "direct implementation" of [5].

The difference between this and Corollary 3.1 is that the Church-Rosser property relieves the interpreter of the obligation to consider symmetric closure. In the absence of the Church-Rosser property, the interpreter, seeking to find an  $m_{\Delta}(w,a)$ -normal form, would be obliged to apply the rules from right to left as well as left to right. (\*) The OBJ interpreter does just that; in order to avoid repetitions it keeps a table of all trees obtained during the current calculation [3]. By using theorem 4.2, we can obtain an algorithm as follows:

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(\*) Indeed, in the absence of the Church-Rosser property,  $m_{\Delta}(w,a)$ -normal forms may not even be representatives: an equivalence class may contain more than one normal form.



Algorithm 4.1:

Step 1. Initialize a queue with the input tree  $f$ .

Step 2. Remove a tree from the front of the queue. Apply all possible  $sm_{\Delta}$  (or  $m_{\Delta}$ ) moves to it. If any of the resulting trees are normal, stop. Otherwise insert them at the rear of the queue and go to step 2.

Thus we trade generality for space. Luckily, if  $T$  is free theory, and the morphisms of  $T(w,a)$  are just trees, then under fairly weak conditions, each  $m_{\Delta}(w,a)$  has the Church-Rosser property. The following definition and theorem are translations of [10].

Definition. Let  $\Omega$  be an  $S$ -sorted operator alphabet, and let  $\Delta$  be a set of equations on  $F_{\Omega}$ . We say  $\Delta$  has property R iff

(i) if  $(f,f') \in \Delta$ , then  $f'$  has no variable symbols not in  $f$ , and  $f$  is not a projection.

(ii) if  $(f,f') \in \Delta$ , then  $f$  has no repeated variables.

(iii) if  $(f,f'), (g,g') \in \Delta$ , and for some  $h$  and  $h'$ ,  $fh = gh'$ , then  $f=g$  and  $f'=g'$  (no common substitution instances)

and (iv) if  $(f,f') \in \Delta$  and  $(k,k') \in \Delta$  and there exist  $h,p$  s.t.  $fh = g[l,kp]$ , then there exists an  $r$  s.t.  $g=fr$ . (non-overlapping).

Theorem 4.3 (Rosen[10]) if  $\Delta$  has property R, then  $sm_{\Delta}(w,a)$  has the Church-Rosser property for each  $w \in S^*$  and  $a \in S$ .

Proof: Conditions (i) and (ii) assert that  $\Delta$  is a set of

rule-schemata [10, Def. 6.1]. Condition (iii) implies condition (1) of [10, Thm. 6.5] and also implies that the set of instances of  $\Delta$  is unequivocal. Condition (iv) is our transcription of condition (2) of [10, Thm. 6.5]. So the result follows by Theorems 6.5 and 5.6 of [10]. ■

Corollary 4.1. If  $\Delta$  has property R, then  $m_{\Delta}(w,a)$  has the Church-Rosser property for each  $w \in S^*$  and  $a \in S$ . ■

In fact, most sets of axioms, such as those arising from metacircular interpreters [9], have property R. We may combine these theorems to get:

Corollary 4.2. Let  $\Omega$  be an S-sorted operator alphabet, and let  $\Delta$  be a set of equations with property R. If  $f \in F_{\Omega}(w,a)$  is equivalent modulo  $E_{\Delta}$  to some  $m_{\Delta}(w,a)$  - normal morphism  $f'$ , then  $(f,f') \in [m_{\Delta}(w,a)]^*$ . ■

Thus, if  $\Delta$  has property R, then Algorithm 4.1 may be used to compute representatives for the theory presented by  $(\Omega, \Delta)$ . In fact, we can state a stronger result.

Definition Let  $\Omega$  be an S-sorted operator alphabet and let  $\Delta$  be a set of equations. A move  $(f,f') \in m_{\Delta}(w,a)$  is outermost if each rewrite site has no proper ancestor which is a rewrite site; it is parallel outermost if every outermost rewrite site is rewritten.

Lemma 4.1 If  $\Delta$  has property R, for each  $f \in F_{\Omega}(w,a)$  there exists at most one parallel outermost move  $(f,f') \in m_{\Delta}(w,a)$ .

Proof By condition (iv). ■

Let  $\text{omr}(f)$  denote this unique  $f'$ , if it exists.

Theorem 4.4 (O'Donnell [7]) Let  $\Omega$  be an S-sorted operator alphabet, and let  $\Delta$  be a set of equations with property R. If  $f \in F_{\Omega}(w, a)$  is equivalent modulo  $E_{\Delta}$  to some  $m_{\Delta}(w, a)$ -normal morphism  $f'$ , then  $f'$  is obtainable from  $f$  by some sequence of parallel outermost moves.

Proof If  $\Delta$  has property R, then  $\Delta$  is outer [7, Def. 5.2.2]. Hence Theorems 5.2.2 and 3.4.1 of [7] apply. ■

By Lemma 4.1, this gives a deterministic rewriting strategy which is complete:

```
Algorithm 4.2      x:=f;      (the input morphism)
                    while ~ normal(x) do
                        x:=omr(x);
                    output x
```

Note that the theorems of substance occurred in Section 3. Having reduced  $E_{\Delta}$  to the tree rewriting systems  $M_{\Delta}$  or  $SM_{\Delta}$ , in this section we needed only to apply known results on tree rewriting systems.

## 5. Concluding Remarks

We have shown how the equivalence problem for  $E_{\Delta}$  may be reduced, in many useful cases, to a deterministic transitive closure problem which may be solved using Algorithm 4.2. We believe that the reductions of Section 3 may be independently useful for proof-theoretic analyses of more complicated algebraic systems.

It is also worth noting that from the point of view of operational semantics, there is little difference between single-sorted theories and many-sorted theories. Given an  $S$ -sorted presentation  $(\Omega, \Delta)$ , one can obtain an  $l$ -sorted presentation by identifying each object  $w \in S^*$  with its length. Rewriting in the two theories proceeds in exactly the same fashion. The only difference is that there will be some trees which are legal in the  $l$ -sorted theory, but are not morphisms in the  $S$ -sorted theory (they give each operator the right number of arguments, but some of the types are wrong). Rewriting on these trees proceeds until the type error is discovered, at which time rewriting becomes blocked. The net effect is that "compile-time" errors in the  $S$ -sorted theory turn into "run-time" errors in the  $l$ -sorted theory.

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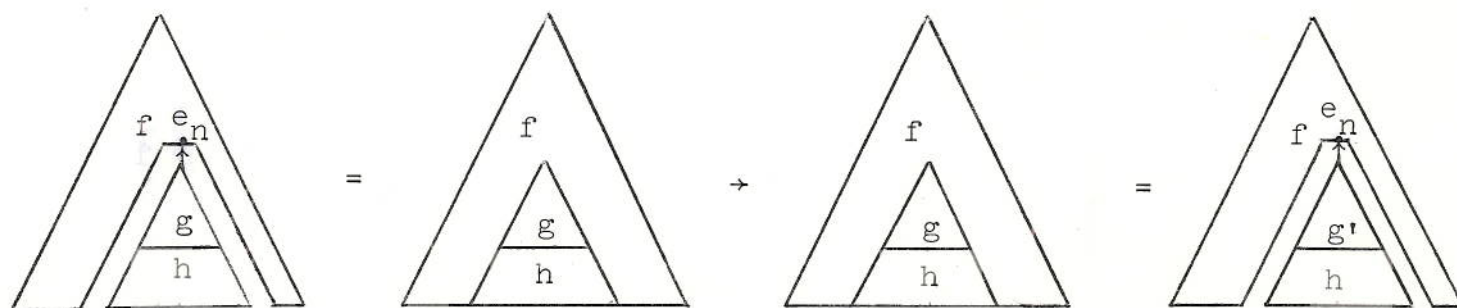


Figure 3.1 The single move  $f[1,gh] \rightarrow f[1,g'h]$