

Confluence Tools

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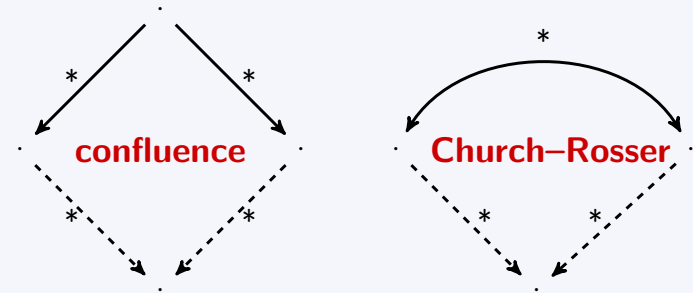
<https://www.jaist.ac.jp/~hirokawa/24isir/>

ARI Format

```
(format TRS)
(fun 0 0)
(fun s 1)
(fun + 2)
(rule (+ 0 x) x)
(rule (+ (s x) y) (s (+ x y)))
(rule (+ x y) (+ y x))
```

Confluence

Definition



Fact

confluence and Church-Rosser property are equivalent

Contents: Proving (Non-)Confluence Automatically

full run of TRS category in CoCo 2024

tool/method	YES	NO
CSI	272	205
ACP	257	168
Hakusan	139	74
CONFident	108	142
FORT-h	34	89
① rule labeling	133	—
② persistency decomposition (RL+KB)	≥ 150	—
③ generating convertible pairs	—	—
④ non-joinability test	—	207

Rule Labeling

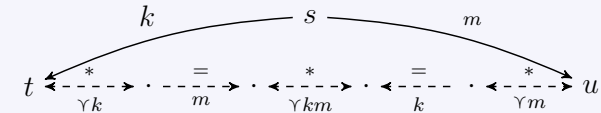
Rule Labeling

given rule labeling function $\phi : \mathcal{R} \rightarrow \mathbb{N}$

- $s \rightarrow_k t$ if $s \rightarrow_\alpha t$ and $\phi(\ell \rightarrow r) \leq k$ for some $\ell \rightarrow r \in \mathcal{R}$
- $s \rightarrow_{\gamma km} t$ if $s \rightarrow_i t$ for some $i < \max\{k, m\}$

Theorem (van Oostrom 2008)

linear TRS is confluent if every critical peak $t \leftarrow s \xrightarrow{\epsilon} u$ is decreasing wrt ϕ , i.e.:



Proof.

immediate from decreasing diagram techniques (van Oostrom 1995) □

Example for Rule Labeling (COPS #20)

consider linear TRS and labeling for rules

$$\begin{array}{lll} \text{hd}(x : y) \xrightarrow{0} x & \text{inc}(x : y) \xrightarrow{0} s(x) : \text{inc}(y) & \text{inc}(\text{tl}(\text{nats})) \xrightarrow{1} \text{tl}(\text{inc}(\text{nats})) \\ \text{tl}(x : y) \xrightarrow{0} y & \text{nats} \xrightarrow{0} 0 : \text{inc}(\text{nats}) & \end{array}$$

confluence follows from decreasingness of critical peak:

$$\begin{array}{ccccc} \text{inc}(\text{tl}(0 : \text{inc}(\text{nats}))) & \xleftarrow{0} & \text{inc}(\text{tl}(\text{nats})) & \xrightarrow{1} & \text{tl}(\text{inc}(\text{nats})) \\ \downarrow 0 & & & & \downarrow 0 \\ \text{inc}(\text{inc}(\text{nats})) & \xleftarrow{0} & \text{tl}(s(0) : \text{inc}(\text{inc}(\text{nats}))) & \xleftarrow{0} & \text{tl}(\text{inc}(0 : \text{inc}(\text{nats}))) \end{array}$$

Note: given join sequences, suitable labeling can be found by SAT/SMT

Parallel Critical Pairs

Definition

$(\ell\sigma)[r_p\sigma]_{p \in P} \leftarrow \ell\sigma \xrightarrow{\epsilon} r\sigma$ is parallel critical peak if

- P is non-empty set of parallel function positions in ℓ
- none of rules $\ell \rightarrow r$ and $\ell_p \rightarrow r_p$ for $p \in P$ shares variable with other rules
- σ is most general unifier of $\{\ell_p \approx (\ell|_p)\}_{p \in P}$, and
- if $P = \{\epsilon\}$ then $\ell_\epsilon \rightarrow r_\epsilon$ is not variant of $\ell \rightarrow r$

$$\text{PCP}(\mathcal{R}) = \{(t, u) \mid t \leftarrow s \xrightarrow{\epsilon} u \text{ is parallel critical peak}\}$$

Exercise

compute $\text{PCP}(\mathcal{R})$ for $\mathcal{R} = \{f(g(x), g(y)) \rightarrow x, g(a) \rightarrow a\}$

Parallel-Critical-Pairs Closing Systems

Theorem (Shintani and Hirokawa 2024)

$CR(\mathcal{S}) \implies CR(\mathcal{R})$ if \mathcal{R} is left-linear, $\mathcal{S} \subseteq \mathcal{R}$, and $PCP(\mathcal{R}) \subseteq \leftrightarrow_{\mathcal{S}}^*$,

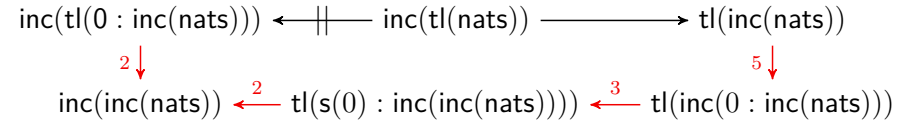
Proof.

$\leftrightarrow_{\mathcal{R}} \cdot \rightarrow_{\mathcal{S}}^*$ has diamond property □

we show confluence of left-linear TRS \mathcal{R} :

$$\begin{aligned} \text{hd}(x : y) &\xrightarrow{1} x & \text{inc}(x : y) &\xrightarrow{3} s(x) : \text{inc}(y) & \text{inc}(\text{tl}(\text{nats})) &\xrightarrow{5} \text{tl}(\text{inc}(\text{nats})) \\ \text{tl}(x : y) &\xrightarrow{2} y & \text{nats} &\xrightarrow{4} 0 : \text{inc}(\text{nats}) \end{aligned}$$

1 parallel critical peak is closed by $\mathcal{S} = \{2, 3, 5\}$:



2 \mathcal{S} is confluent as it is orthogonal

3 hence \mathcal{R} is confluent

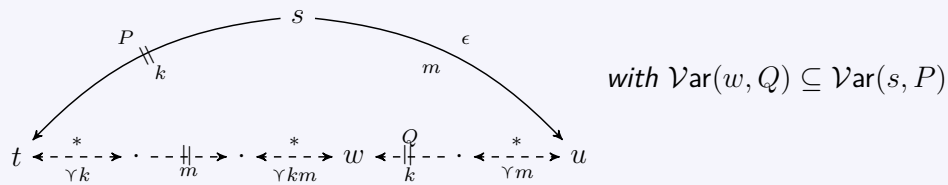
Rule Labeling

Definition

rule labeling for \mathcal{R} is function $\phi : \mathcal{R} \rightarrow \mathbb{N}$

Theorem (Zankl et al. 2015)

left-linear TRS \mathcal{R} is confluent if every parallel critical peak is decreasing wrt ϕ



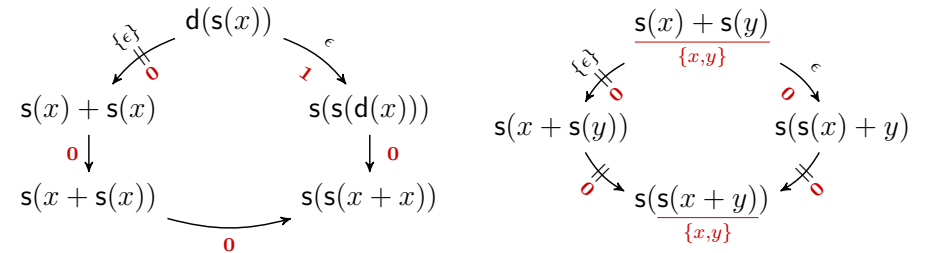
here \rightarrow_k is rewrite step of $\{\ell \rightarrow r \in \mathcal{R} \mid \phi(\ell \rightarrow r) \leq k\}$

Confluence Proof by Rule Labeling

left-linear TRS

$$\begin{aligned} d(x) &\xrightarrow{0} x + x & s(x) + y &\xrightarrow{0} s(x + y) & \infty &\xrightarrow{0} s(\infty) \\ d(s(x)) &\xrightarrow{1} s(s(d(x))) & x + s(y) &\xrightarrow{0} s(x + y) \end{aligned}$$

all parallel critical peaks are decreasing; for instance,

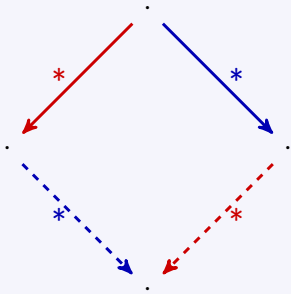


hence TRS is confluent

Commutation

Definition

\rightarrow and \rightarrow commute if



Fact

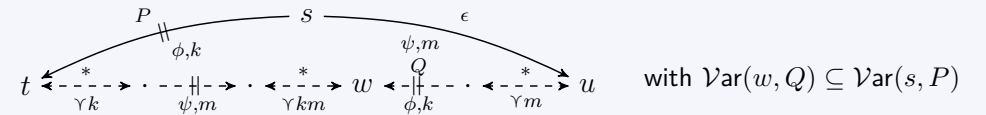
confluence of \mathcal{R} is equivalent to commutation of $\rightarrow_{\mathcal{R}}$ and $\rightarrow_{\mathcal{R}}$

given rule labeling functions $\phi, \psi : \mathcal{R} \rightarrow \mathbb{N}$

- $s \rightarrow_{\phi, k} t$ if $s \rightarrow_{\alpha} t$ and $k \geq \phi(\alpha)$ for some $\alpha \in \mathcal{R}$
- $s \leftrightarrow_{\gamma km} t$ if $s \rightarrow_{\psi, i} t$ or $s \leftarrow_{\phi, i} t$ for some $i < k$ or $i < m$

Definition (parallel version of rule labeling)

parallel critical peak $t \xleftarrow{\phi, k} s \xrightarrow{\psi, m} u$ is (ψ, ϕ) -decreasing if



Theorem

left-linear TRS is confluent if
every parallel critical peak is (ϕ, ψ) - and (ψ, ϕ) -decreasing

Example for Rule Labeling with Two Labelings

TRS

$$x + y \xrightarrow{1,0} y + x \quad (x + y) + z \xrightarrow{1,0} x + (y + z)$$

all parallel critical peaks $t \xleftarrow{1} s \xrightarrow{0} u$ satisfies

$$t \xrightarrow{0}^* u$$

hence TRS is confluent

Remark on Related Criteria

rule labeling based on PCPs subsumes confluence criteria for left-linear TRSs:

- 1 orthogonality (Rozen 1973)
- 2 parallel closedness (Huet 1980)
- 3 almost parallel closedness (Toyama 1988)
- 4 Gramlich's PCP-based parallel closedness (Gramlich 1996)
- 5 Toyama's PCP-based parallel closedness (Toyama 1981)
- 6 repeated application of criterion based on PCP-closing systems (Shintani and Hirokawa 2024)

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Example

TRS

$$x - 0 \rightarrow x \quad s(x) - s(y) \rightarrow x - y \quad x - x \rightarrow 0 \quad c \rightarrow f(c)$$

is **non-left-linear** and **non-terminating**

how to prove confluence? **split it into two subsystems**

Persistency Decomposition

Modularity

Theorem (Toyama 1987)

$$CR(\mathcal{R} \cup \mathcal{S}) \iff CR(\mathcal{R}) \wedge CR(\mathcal{S}) \quad \text{if } \mathcal{F}un(\mathcal{R}) \cap \mathcal{F}un(\mathcal{S}) = \emptyset$$

Proof.

difficult (induction on rank) □

Example

non-left-linear and non-terminating TRS

$$x - 0 \xrightarrow{1} x \quad s(x) - s(y) \xrightarrow{2} x - y \quad x - x \xrightarrow{3} 0 \quad c \xrightarrow{4} f(c)$$

is confluent because {1, 2, 3} complete and {4} orthogonal are confluent

Limitation of Modularity

consider TRS

$$s(x) + y \xrightarrow{1} s(x + y) \quad \text{eq}(x, x) \xrightarrow{2} T \quad \text{from}(x) \xrightarrow{4} x : \text{from}(s(x))$$

$$\text{eq}(0, s(x)) \xrightarrow{3} F$$

last modularity result is not applicable because

$$s \in \mathcal{F}\text{un}(\{1, 2, 3\}) \cap \mathcal{F}\text{un}(\{4\})$$

Example of Persistency Decomposition

TRS

$$s(x) + y \xrightarrow{1} s(x + y) \quad \text{eq}(x, x) \xrightarrow{2} T \quad \text{from}(x) \xrightarrow{4} x : \text{from}(s(x))$$

$$\text{eq}(0, s(x)) \xrightarrow{3} F$$

admits many-sorted signature:

$$0 : N \quad T : B \quad (+) : N \times N \rightarrow N \quad \text{eq} : N \times N \rightarrow B$$

$$s : N \rightarrow N \quad F : B \quad (:) : N \times L \rightarrow L \quad \text{from} : N \rightarrow L$$

\mathcal{R} is confluent because ($\mathcal{R}_N = \{1\}$,) $\mathcal{R}_B = \{1, 2, 3\}$, and $\mathcal{R}_L = \{1, 4\}$
orthogonal complete orthogonal

Persistency

Theorem (Aoto 1997)

many-sorted TRS and its untyped version are equi-confluent

Proof.

very similar to proof of modularity □

Definition

\mathcal{R}_α is smallest subsystem of many-sorted TRS \mathcal{R} such that

- $\ell \rightarrow r \in \mathcal{R}_\alpha$ whenever ℓ is of sort α , and
- $\mathcal{R}_\beta \subseteq \mathcal{R}_\alpha$ whenever subterm in \mathcal{R}_α is of sort β

Theorem (van de Pol 1995)

$\text{CR}(\mathcal{R})$ if and only if $\text{CR}(\mathcal{R}_\alpha)$ for all sorts α

Contents: Proving (Non-)Confluence Automatically

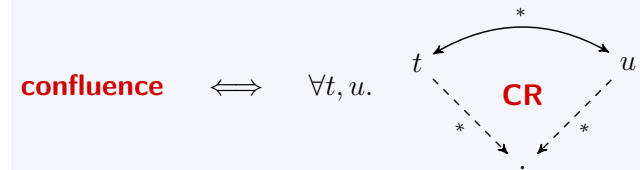
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Non-Confluence Analysis

Proving **Non-Confluence** Automatically

Fact



How To Prove Non-Confluence

- 1 generate convertible pairs $t \leftrightarrow^* u$
- 2 test non-joinability $t \not\downarrow u$

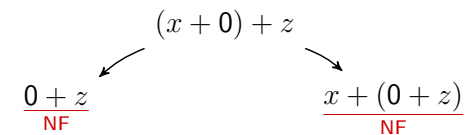
Generating Convertible Pairs

Associativity — **Critical Pairs**

TRS

$$x + 0 \rightarrow x \qquad (x + y) + z \rightarrow x + (y + z)$$

admits non-joinable **critical pair**:



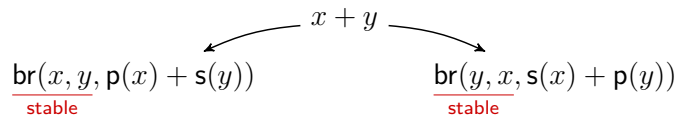
hence \mathcal{R} is **not** confluent

ARI-COPS #493 — Critical Pairs

TRS

$$\begin{array}{lll} \text{br}(0, y, z) \rightarrow y & \text{p}(0) \rightarrow 0 & x + y \rightarrow \text{br}(x, y, \text{p}(x) + \text{s}(y)) \\ \text{br}(\text{s}(x), y, z) \rightarrow z & \text{p}(\text{s}(x)) \rightarrow x & x + y \rightarrow \text{br}(y, x, \text{s}(x) + \text{p}(y)) \end{array}$$

admits non-joinable critical pair:



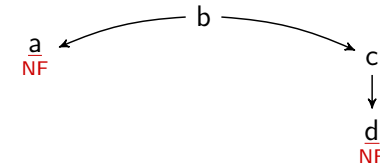
hence \mathcal{R} is **not** confluent

Kleene's Example — Critical Pairs, Normalized

TRS

$$b \rightarrow a \quad b \rightarrow c \quad c \rightarrow b \quad c \rightarrow d$$

admits non-joinable pair originating from critical pair:



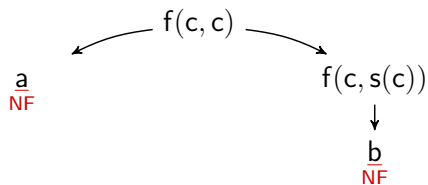
hence \mathcal{R} is **not** confluent

Huet's TRS — No Critical Pairs...

TRS \mathcal{R}

$$f(x, x) \rightarrow a \quad f(x, \text{s}(x)) \rightarrow b \quad c \rightarrow \text{s}(c)$$

has admits non-joinable conversion:



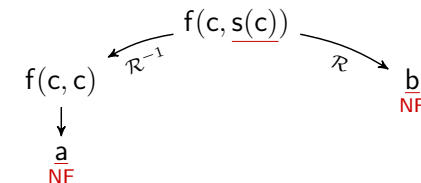
how to find such peak automatically? \Rightarrow peak between \mathcal{R} and \mathcal{R}^{-1}

Huet's Example — Critical Pairs of $\mathcal{R} \cup \mathcal{R}^{-1}$

TRS \mathcal{R}

$$f(x, x) \rightarrow a \quad f(x, \text{s}(x)) \rightarrow b \quad c \rightarrow \text{s}(c)$$

has admits non-joinable critical peak between \mathcal{R} and \mathcal{R}^{-1} :



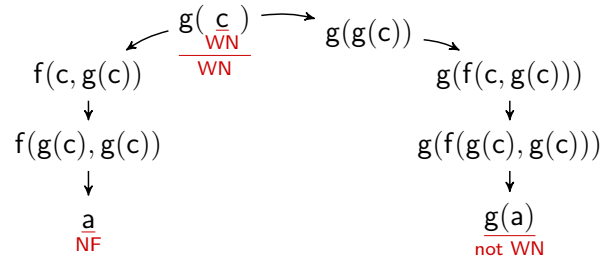
hence \mathcal{R} is not confluent

Klop's Example — Reducing Right-Hand Sides

Klop's TRS

$$f(x, x) \rightarrow a \quad g(x) \rightarrow f(x, g(x)) \quad c \rightarrow \underline{g(c)}$$

admits non-joinable conversion:



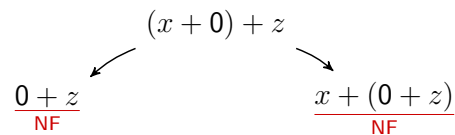
Testing Non-Joinability by tcap

Associativity — Distinct Normal Forms

TRS

$$x + 0 \rightarrow x \quad (x + y) + z \rightarrow x + (y + z)$$

admits non-joinable critical pair:



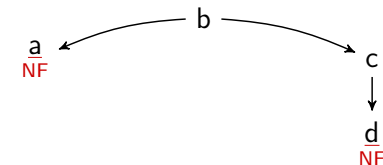
hence \mathcal{R} is **not** confluent

Kleene's Example — Distinct Normal Forms

TRS

$$b \rightarrow a \quad b \rightarrow c \quad c \rightarrow b \quad c \rightarrow d$$

admits non-joinable pair originating from critical pair:



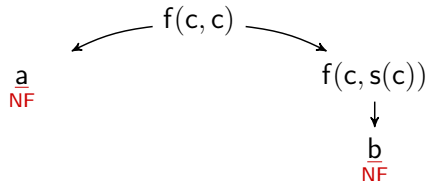
hence \mathcal{R} is **not** confluent

Huet's TRS — Distinct Normal Forms

TRS \mathcal{R}

$$f(x, x) \rightarrow a \quad f(x, s(x)) \rightarrow b \quad c \rightarrow s(c)$$

has admits non-joinable conversion:

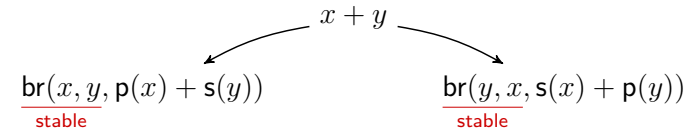


ARI-COPS #493 — No Normal Forms...

TRS

$$\begin{array}{lll} \text{br}(0, y, z) \rightarrow y & \text{p}(0) \rightarrow 0 & x + y \rightarrow \text{br}(x, y, \text{p}(x) + s(y)) \\ \text{br}(s(x), y, z) \rightarrow z & \text{p}(s(x)) \rightarrow x & x + y \rightarrow \text{br}(y, x, s(x) + p(y)) \end{array}$$

admits non-joinable critical pair:



how to identify stable part? cap function

Non-Reachability by tcap

Definition

$$\text{tcap}_{\mathcal{R}}(t) = \begin{cases} u & \text{if } t = f(t_1, \dots, t_n), u = f(\text{tcap}_{\mathcal{R}}(t_1), \dots, \text{tcap}_{\mathcal{R}}(t_n)), \text{ and } (*) \\ y & \text{otherwise} \end{cases}$$

- (*): u is not unifiable with ℓ for any $\ell \rightarrow r \in \mathcal{R}$, and
- y is fresh variable

Example

$$\text{tcap}_{\mathcal{R}}(s(\underbrace{x}_{y_1} + \underbrace{x}_{y_2}) + a) = s(y_3) + a \quad \text{for } \mathcal{R} = \{x + s(y) \rightarrow s(x + y)\}$$

Lemma

if $t \rightarrow^* u$ then $u = \text{tcap}_{\mathcal{R}}(t)\sigma$ for some σ

Non-Joinability by tcap

Lemma

$t \not\downarrow u$ if $\text{tcap}_{\mathcal{R}}(t)$ and $\text{tcap}_{\mathcal{R}}(u)$ are not unifiable

Proof.

since $t' = \text{tcap}_{\mathcal{R}}(t)$ and $u' = \text{tcap}_{\mathcal{R}}(u)$ have no common variables,

$$t \rightarrow^* v \leftarrow^* u \implies t'\sigma = v = u'\sigma \text{ for some } \sigma$$

hence contraposition holds □

ARI-COPS #493 — tcap ?

TRS

$$\begin{array}{lll} \text{br}(0, y, z) \rightarrow y & \text{p}(0) \rightarrow 0 & x + y \rightarrow \text{br}(x, y, \text{p}(x) + s(y)) \\ \text{br}(s(x), y, z) \rightarrow z & \text{p}(s(x)) \rightarrow x & x + y \rightarrow \text{br}(y, x, s(x) + p(y)) \end{array}$$

by applying tcap to peak

$$\begin{array}{ccc} & x + y & \\ & \swarrow & \searrow \\ t = \text{br}(\underbrace{\underline{x}}_{x_1}, \underbrace{\underline{y}}_{x_2}, \underbrace{\text{p}(\underline{x})}_{x_3} + \underbrace{s(\underline{y})}_{x_5}) & & \text{br}(\underbrace{\underline{y}}_{y_1}, \underbrace{\underline{x}}_{y_2}, \underbrace{s(\underline{x})}_{y_3} + \underbrace{\text{p}(\underline{y})}_{y_4}) = u \\ \hline \underbrace{\quad\quad\quad}_{x_4} \quad \underbrace{\quad\quad\quad}_{x_6} & & \underbrace{\quad\quad\quad}_{y_5} \quad \underbrace{\quad\quad\quad}_{y_6} \\ \hline \underbrace{\quad\quad\quad}_{x_7} & & \underbrace{\quad\quad\quad}_{y_7} \end{array}$$

$\text{tcap}_{\mathcal{R}}(t) = x_7$ and $\text{tcap}_{\mathcal{R}}(u) = y_7$ are **unifiable** ...

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ARI-COPS #493 — tcap and Grounding

TRS

$$\begin{array}{lll} \text{br}(0, y, z) \rightarrow y & \text{p}(0) \rightarrow 0 & x + y \rightarrow \text{br}(x, y, \text{p}(x) + s(y)) \\ \text{br}(s(x), y, z) \rightarrow z & \text{p}(s(x)) \rightarrow x & x + y \rightarrow \text{br}(y, x, s(x) + p(y)) \end{array}$$

by applying tcap to peak

$$\begin{array}{ccc} & c_x + c_y & \\ & \swarrow & \searrow \\ t = \text{br}(c_x, c_y, \underbrace{\text{p}(c_x) + s(c_y)}_{x_1}) & & \text{br}(c_y, c_x, \underbrace{s(c_x) + \text{p}(c_y)}_{y_1}) = u \end{array}$$

$t \not\downarrow u$ follows from **non-unifiability** of $\begin{cases} \text{tcap}_{\mathcal{R}}(t) = \text{br}(c_x, c_y, x_1) \\ \text{tcap}_{\mathcal{R}}(u) = \text{br}(c_y, c_x, y_1) \end{cases}$

Confluence Tools

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Summary of tcap

Definition

$$\hat{t} = t\{x \mapsto c_x \mid x \in \text{Var}(t)\} \quad \text{where } c_x \text{ is fresh constant}$$

Theorem (Zankl et al. 2011)

$t \not\downarrow u$ if $\text{tcap}_{\mathcal{R}}(\hat{t})$ and $\text{tcap}_{\mathcal{R}}(\hat{u})$ are not unifiable

Fact

$\text{tcap}_{\mathcal{R}}(\hat{t})$ and $\text{tcap}_{\mathcal{R}}(\hat{u})$ are not unifiable if t and u are distinct normal form

Proof.

$\text{tcap}_{\mathcal{R}}(\hat{t}) = \hat{t}$ if t is ground normal form □

Confluence Tools

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Testing Non-Joinability by Tree Automata

Confluence Tools

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Klop's Example — No Stable Part...

TRS

$$f(x, x) \rightarrow a \quad g(x) \rightarrow f(x, g(x)) \quad c \rightarrow g(c)$$

admits conversion:

$$a \xleftarrow{*} \underline{g(a)}_{y_1}$$

$\text{tcap}_{\mathcal{R}}(a) = a$ and $\text{tcap}_{\mathcal{R}}(g(a)) = y_1$ are **unifiable** ...

Klop's Example — Disjoint Closed Sets

TRS \mathcal{R}

$$f(x, x) \rightarrow a \quad g(x) \rightarrow f(x, g(x)) \quad c \rightarrow g(c)$$

admits conversion:

$$a \xleftarrow{*} g(a)$$

define

$$T = \{a\} \quad U = \{g(a), f(a, g(a)), f(a, f(a, g(a))), \dots\}$$

because T and U are disjoint and closed under rewriting, $a \not\downarrow g(a)$

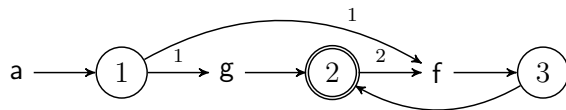
↔ automatable if T and U are represented by tree automata

Tree Automata Construction

TRS \mathcal{R} :

$$f(x, x) \rightarrow a \quad g(x) \rightarrow f(x, g(x)) \quad c \rightarrow g(c)$$

tree automaton M :



1 $g(a) \in L(M)$

2 $g(1) \xrightarrow{*}_M 2$ demands $f(1, g(1)) \xrightarrow{*}_M 2$

3 completed; $L(M) = \{g(a), f(a, g(a)), f(a, f(a, g(a))), \dots\}$

Summary of Tree Automata Techniques

Theorem

$t \not\downarrow u$ if there exist tree automata M and N such that

- $t \in L(M), u \in L(N)$,
- T and U are closed under rewriting, and
- $T \cap U = \emptyset$

decidable
decidable

Fact (simulation of tcap by tree automata)

for every ground term t there exists tree automaton M such that

$$L(M) = \{u \mid u \text{ is ground instance of } \text{tcap}_{\mathcal{R}}(t)\}$$

and $L(M)$ is closed under \mathcal{R} -rewriting

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References for Tree Automata Techniques

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9th RTA, LNCS 1379, pp. 151–165, 1998.
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