

Convergence of Simultaneously and Sequentially Unraveled TRSs for Normal Conditional TRSs

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Oriented Conditional Term Rewriting System (CTRS)

- A set \mathcal{R} of oriented conditional rules $\ell \rightarrow r \leftarrow s_1 \twoheadrightarrow t_1, \dots, s_k \twoheadrightarrow t_k$
- Reduction $\rightarrow_{\mathcal{R}}$ is recursively defined as follows:

$$C[l\sigma] \rightarrow_{\mathcal{R}} C[r\sigma] \text{ iff } \left(\begin{array}{l} \exists \ell \rightarrow r \leftarrow s_1 \twoheadrightarrow t_1, \dots, s_k \twoheadrightarrow t_k \in \mathcal{R}. \\ s_1\sigma \rightarrow_{\mathcal{R}}^* t_1\sigma \wedge \dots \wedge s_k\sigma \rightarrow_{\mathcal{R}}^* t_k\sigma \end{array} \right)$$

Example

$$\mathcal{R}_0 = \left\{ \begin{array}{l} (1) \quad \text{even}(0) \rightarrow \text{true} \\ (2) \quad \text{even}(s(x)) \rightarrow \text{false} \quad \leftarrow \quad \text{even}(x) \twoheadrightarrow \text{true} \\ (3) \quad \text{even}(s(x)) \rightarrow \text{true} \quad \leftarrow \quad \text{even}(x) \twoheadrightarrow \text{false} \end{array} \right\}$$

- $\text{even}(s(s(0)))$

- Analysis of properties for CTRSs is much more complicated than that of TRSs

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- $\text{even}(s(s(0))) \rightarrow_{(3)}$
 - ▶ $\text{even}(s(0))$

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- $\text{even}(s(s(0))) \rightarrow_{(3)} \text{true}$
- $\text{even}(s(s(0)))$
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 - ★ $\text{even}(0) \rightarrow_{(1)} \text{true}$
- $\text{even}(s(s(0))) \rightarrow_{(2)}$
 - ▶ $\text{even}(s(0)) \rightarrow_{(3)}^? \text{true}$

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- $\text{even}(s(s(0))) \rightarrow_{(3)} \text{true}$
 - ▶ $\text{even}(s(0)) \rightarrow_{(2)} \text{false}$
 - ★ $\text{even}(0) \rightarrow_{(1)} \text{true}$
- $\text{even}(s(s(0))) \rightarrow_{(2)}$
 - ▶ $\text{even}(s(0)) \xrightarrow{?}_{(3)} \text{true}$
 - ★ $\text{even}(0) \not\rightarrow_{\mathcal{R}_0} \text{false}$

- Analysis of properties for CTRSs is much more complicated than that of TRSs

Transformational Approach to CTRS Analysis

- Transform a CTRS into an unconditional TRS and analyze the TRS
 - ▶ Techniques for TRSs can be applied
 - ▶ Soundness w.r.t. reduction is necessary for some properties
- Existing transformations are
 - ▶ unravelings [Marchiori, 1996, Marchiori, 1997, Ohlebusch, 2001]
 - ▶ structure-preserving transformations [Viry, 1999, Şerbănuță and Roşu, 2006]

which are defined for **normal 1-CTRSs** and **3-DCTRSs**

Normal 1-CTRSs and 3-DCTRSs

- \mathcal{R} is a **normal 1-CTRS** if $\forall \ell \rightarrow r \Leftarrow s_1 \rightarrow t_1, \dots, s_k \rightarrow t_k \in \mathcal{R}$,
 - ▶ $\text{Var}(\ell) \supseteq \text{Var}(r, s_1, t_1, \dots, s_k, t_k)$, and
 - ▶ t_1, \dots, t_k are ground normal forms of $\mathcal{R}_u = \{\ell \rightarrow r \mid \ell \rightarrow r \Leftarrow c \in \mathcal{R}\}$
- \mathcal{R} is a **3-DCTRS** if $\forall \ell \rightarrow r \Leftarrow s_1 \rightarrow t_1, \dots, s_k \rightarrow t_k \in \mathcal{R}$,
 - ▶ $\text{Var}(\ell, s_1, t_1, \dots, s_k, t_k) \supseteq \text{Var}(r)$, and
 - ▶ $\forall i. \text{Var}(s_i) \subseteq \text{Var}(\ell, t_1, \dots, t_{i-1})$
 - ★ Evaluate conditions from left to right
- Normal 1-CTRSs are 3-DCTRSs

Example (contd.)

$$\mathcal{R}_0 = \left\{ \begin{array}{l} (1) \quad \text{even}(0) \rightarrow \text{true} \\ (2) \quad \text{even}(s(x)) \rightarrow \text{false} \quad \Leftarrow \quad \text{even}(x) \rightarrow \text{true} \\ (3) \quad \text{even}(s(x)) \rightarrow \text{true} \quad \Leftarrow \quad \text{even}(x) \rightarrow \text{false} \end{array} \right\} \text{ is a normal 1-CTRS}$$

- For $\rho : \ell \rightarrow r \Leftarrow s_1 \rightarrow t_1, \dots, s_k \rightarrow t_k \in \mathcal{R}$,

$$\mathbb{U}_{sim}(\rho) = \left\{ \begin{array}{l} \ell \rightarrow U^\rho(s_1, \dots, s_k, \overrightarrow{\text{Var}(\ell)}) \\ U^\rho(t_1, \dots, t_n, \overrightarrow{\text{Var}(\ell)}) \rightarrow r \end{array} \right\}$$

$$\mathbb{U}_{seq}(\rho) = \left\{ \begin{array}{l} \ell \rightarrow U_1^\rho(s_1, \overrightarrow{\text{Var}(\ell)}) \\ U_1^\rho(t_1, \overrightarrow{\text{Var}(\ell)}) \rightarrow U_2^\rho(s_2, \overrightarrow{\text{Var}(\ell, t_1)}) \\ U_2^\rho(t_2, \overrightarrow{\text{Var}(\ell, t_1)}) \rightarrow U_3^\rho(s_3, \overrightarrow{\text{Var}(\ell, t_1, t_2)}) \\ \vdots \\ U_k^\rho(t_k, \overrightarrow{\text{Var}(\ell, t_1, \dots, t_{k-1})}) \rightarrow r \end{array} \right\}$$

where $U^\rho, U_1^\rho, \dots, U_k^\rho$ (U symbols) are newly introduced function symbols

- $\mathbb{U}(\ell \rightarrow r) = \{\ell \rightarrow r\}$ and $\mathbb{U}(\mathcal{R}) = \bigcup_{\rho \in \mathcal{R}} \mathbb{U}(\rho)$ where \mathbb{U} is \mathbb{U}_{sim} or \mathbb{U}_{seq}
- $\rightarrow \mathcal{R} \subseteq \rightarrow_{\mathbb{U}(\mathcal{R})}^+$

Example ([Giesl and Arts, 2001, pp. 42–43], 278.trrs in Cops)

$$\mathcal{R}_1 = \left\{ \begin{array}{l} \alpha : p(y, x) \rightarrow p(a(\text{mp}(\text{slf}, \text{nil}), \text{s2}(x, y)), x) \\ \quad \leftarrow \text{leq}(x, \text{len}(y)) \rightarrow \text{true}, \text{even}(\text{s1}(x, y)) \rightarrow \text{false} \\ \quad \vdots \end{array} \right\}$$

$$\mathbb{U}_{\text{sim}}(\alpha) = \left\{ \begin{array}{l} p(y, x) \rightarrow U^\alpha(\text{leq}(x, \text{len}(y)), \text{even}(\text{s1}(x, y)), y, x) \\ U^\alpha(\text{true}, \text{false}, y, x) \rightarrow p(a(\text{mp}(\text{slf}, \text{nil}), \text{s2}(x, y)), x) \end{array} \right\}$$

$$\mathbb{U}_{\text{seq}}(\alpha) = \left\{ \begin{array}{l} p(y, x) \rightarrow U_1^\alpha(\text{leq}(x, \text{len}(y)), y, x) \\ U_1^\alpha(\text{true}, y, x) \rightarrow U_2^\alpha(\text{even}(\text{s1}(x, y)), y, x) \\ U_2^\alpha(\text{false}, y, x) \rightarrow p(a(\text{mp}(\text{slf}, \text{nil}), \text{s2}(x, y)), x) \end{array} \right\}$$

Operational-Termination and Confluence via Unravelings

Theorem ([Durán et al., 2008])

A 3-DCTRS \mathcal{R} is operationally terminating if $\mathbb{U}_{seq}(\mathcal{R})$ is terminating

Theorem ([Gmeiner et al., 2010, Gmeiner et al., 2012, Gmeiner et al., 2013])

- A weakly-left-linear **normal 1-CTRS** \mathcal{R} is confluent if $\mathbb{U}_{sim}(\mathcal{R})$ is confluent
- A weakly-left-linear **3-DCTRS** \mathcal{R} is confluent if $\mathbb{U}_{seq}(\mathcal{R})$ is confluent

- Both \mathbb{U}_{sim} and \mathbb{U}_{seq} are applicable to normal 1-CTRSs
 - ▶ CO3 [Nishida et al., 2015] uses \mathbb{U}_{sim} and \mathbb{U}_{seq} in order
- Which is better to prove OP-termination, confluence, etc, \mathbb{U}_{sim} or \mathbb{U}_{seq} ?
 - ▶ or equivalent?

Purpose and Results

Purpose

Comparison of \mathbb{U}_{sim} and \mathbb{U}_{seq} w.r.t. termination and confluence

Results

We show that for a normal 1-CTRS \mathcal{R} ,

1. $\mathbb{U}_{sim}(\mathcal{R})$ is **orthogonal** iff $\mathbb{U}_{seq}(\mathcal{R})$ is so
 2. if $\mathbb{U}_{sim}(\mathcal{R})$ is terminating, then
 - (i) $\mathbb{U}_{seq}(\mathcal{R})$ is **terminating**
 - (ii) $\mathbb{U}_{sim}(\mathcal{R})$ is **locally confluent** iff $\mathbb{U}_{seq}(\mathcal{R})$ is so
- 2. implies that if $\mathbb{U}_{sim}(\mathcal{R})$ is terminating, then
 - ▶ $\mathbb{U}_{sim}(\mathcal{R})$ is convergent iff $\mathbb{U}_{seq}(\mathcal{R})$ is so
 - CO3 uses the following criteria for confluence
 - ▶ orthogonality
 - ▶ termination and local-confluence (joinability of critical pairs)

Assumption for Readability

- Let \mathcal{R} be a normal 1-CTRS
 - ▶ Then, $\forall i. \text{Var}(\ell, t_1, \dots, t_i) = \text{Var}(\ell)$ because t_1, \dots, t_k are ground
- $k = 2$ for $\rho : \ell \rightarrow r \Leftarrow s_1 \rightarrow t_1, \dots, s_k \rightarrow t_k \in \mathcal{R}$
- Then,

$$\mathbb{U}_{sim}(\rho) = \left\{ \begin{array}{l} \ell \rightarrow U^\rho(s_1, s_2, \overrightarrow{\text{Var}(\ell)}) \\ U^\rho(t_1, t_2, \overrightarrow{\text{Var}(\ell)}) \rightarrow r \end{array} \right\}$$

$$\mathbb{U}_{seq}(\rho) = \left\{ \begin{array}{l} \ell \rightarrow U_1^\rho(s_1, \overrightarrow{\text{Var}(\ell)}) \\ U_1^\rho(t_1, \overrightarrow{\text{Var}(\ell)}) \rightarrow U_2^\rho(s_2, \overrightarrow{\text{Var}(\ell)}) \\ U_2^\rho(t_2, \overrightarrow{\text{Var}(\ell)}) \rightarrow r \end{array} \right\}$$

Contents of This Talk

1. Background
2. Orthogonality
3. Termination
4. Local Confluence
5. Experiments
6. Conclusion

$\mathbb{U}_{sim}(\mathcal{R})$ -Orthogonality = $\mathbb{U}_{seq}(\mathcal{R})$ -Orthogonality

- orthogonal = left-linear + non-overlapping

Theorem

$\mathbb{U}_{sim}(\mathcal{R})$ is orthogonal iff $\mathbb{U}_{seq}(\mathcal{R})$ is so

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Theorem

$\mathbb{U}_{sim}(\mathcal{R})$ is orthogonal iff $\mathbb{U}_{seq}(\mathcal{R})$ is so

Proof (Sketch).

$$\mathbb{U}_{sim}(\rho : \ell \rightarrow r \leftarrow s_1 \twoheadrightarrow t_1, s_2 \twoheadrightarrow t_2) = \left\{ \begin{array}{l} \ell \rightarrow \mathbb{U}^\rho(s_1, s_2, \overline{\text{Var}(\ell)}) \\ \mathbb{U}^\rho(t_1, t_2, \overline{\text{Var}(\ell)}) \rightarrow r \end{array} \right\}$$
$$\mathbb{U}_{seq}(\rho) = \left\{ \begin{array}{l} \ell \rightarrow \mathbb{U}_1^\rho(s_1, \overline{\text{Var}(\ell)}) \\ \mathbb{U}_1^\rho(t_1, \overline{\text{Var}(\ell)}) \rightarrow \mathbb{U}_2^\rho(s_2, \overline{\text{Var}(\ell)}) \\ \mathbb{U}_2^\rho(t_2, \overline{\text{Var}(\ell)}) \rightarrow r \end{array} \right\}$$

- Recall that t_1, t_2 are ground normal form of $\mathcal{R}_u = \{\ell \rightarrow r \mid \ell \rightarrow r \leftarrow c \in \mathcal{R}\}$
- $\mathbb{U}_{sim}(\rho)$ is left-linear iff $\mathbb{U}_{seq}(\rho)$ is so
- $\mathbb{U}_{sim}(\rho)$ has no overlap with $\mathbb{U}_{sim}(\mathcal{R})$ iff $\mathbb{U}_{seq}(\rho)$ has no overlap with $\mathbb{U}_{seq}(\mathcal{R})$

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$\mathbb{U}_{sim}(\mathcal{R})$ -Termination Implies $\mathbb{U}_{seq}(\mathcal{R})$ -Termination

Theorem

If $\mathbb{U}_{sim}(\mathcal{R})$ is terminating, then $\mathbb{U}_{seq}(\mathcal{R})$ is so

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Theorem

If $\mathbb{U}_{sim}(\mathcal{R})$ is terminating, then $\mathbb{U}_{seq}(\mathcal{R})$ is so

Proof (Sketch).

An infinite dependency chain of $\mathbb{U}_{seq}(\mathcal{R})$ can be transformed into an infinite dependency chain of $\mathbb{U}_{sim}(\mathcal{R})$

- There exists a tree homomorphism ϕ s.t. [Nishida et al., 2012]
 - ▶ if $s \rightarrow_{\mathbb{U}_{seq}(\mathcal{R})}^* t$, then $\phi(s) \rightarrow_{\mathbb{U}_{sim}(\mathcal{R})}^* \phi(t)$
 - ▶ if $s (\rightarrow_{\varepsilon, DP(\mathbb{U}_{seq}(\mathcal{R}))} \circ \rightarrow_{>\varepsilon, \mathbb{U}_{seq}(\mathcal{R})}^*)^+ t$ and neither s nor t is U-rooted, then $\phi(s) (\rightarrow_{\varepsilon, DP(\mathbb{U}_{sim}(\mathcal{R}))} \circ \rightarrow_{>\varepsilon, \mathbb{U}_{sim}(\mathcal{R})}^*)^+ \phi(t)$

$$\mathbb{U}_{sim}(\rho : \ell \rightarrow r \Leftarrow s_1 \twoheadrightarrow t_1, s_2 \twoheadrightarrow t_2) = \left\{ \begin{array}{l} \ell \rightarrow U^\rho(s_1, s_2, \overrightarrow{\text{Var}(\ell)}) \\ U^\rho(t_1, t_2, \overrightarrow{\text{Var}(\ell)}) \rightarrow r \end{array} \right\}$$
$$\mathbb{U}_{seq}(\rho) = \left\{ \begin{array}{l} \ell \rightarrow U_1^\rho(s_1, \overrightarrow{\text{Var}(\ell)}) \\ U_1^\rho(t_1, \overrightarrow{\text{Var}(\ell)}) \rightarrow U_2^\rho(s_2, \overrightarrow{\text{Var}(\ell)}) \\ U_2^\rho(t_2, \overrightarrow{\text{Var}(\ell)}) \rightarrow r \end{array} \right\}$$

Converse does NOT Hold

Theorem

If $\mathbb{U}_{sim}(\mathcal{R})$ is terminating, then $\mathbb{U}_{seq}(\mathcal{R})$ is so

Example

$$\mathcal{R}_2 = \{ a \rightarrow b \leftarrow c \rightarrow d, a \rightarrow e \}$$

- $\mathbb{U}_{sim}(\mathcal{R}_2) = \left\{ \begin{array}{l} a \rightarrow U_1(c, a) \\ U_1(d, e) \rightarrow b \end{array} \right\}$ is **NOT** terminating
- $\mathbb{U}_{seq}(\mathcal{R}_2) = \left\{ \begin{array}{l} a \rightarrow U_2(c) \\ U_2(d) \rightarrow U_2(a) \\ U_3(e) \rightarrow b \end{array} \right\}$ is terminating

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$\mathbb{U}_{sim}(\mathcal{R})$ -LCR Implies $\mathbb{U}_{seq}(\mathcal{R})$ -LCR under Termination

Theorem

If $\mathbb{U}_{sim}(\mathcal{R})$ is terminating, then

- $\mathbb{U}_{sim}(\mathcal{R})$ is locally confluent iff $\mathbb{U}_{seq}(\mathcal{R})$ is so

$\mathbb{U}_{sim}(\mathcal{R})$ -LCR Implies $\mathbb{U}_{seq}(\mathcal{R})$ -LCR under Termination

Theorem

If $\mathbb{U}_{sim}(\mathcal{R})$ is terminating, then

- $\mathbb{U}_{sim}(\mathcal{R})$ is locally confluent iff $\mathbb{U}_{seq}(\mathcal{R})$ is so

Proof (Sketch).

Let \rightarrow be $\rightarrow_{\mathbb{U}_{seq}(\mathcal{R})}$, and \rightarrow be $\rightarrow_{\mathbb{U}_{sim}(\mathcal{R})}$

$\mathbb{U}_{sim}(\mathcal{R})$ -LCR Implies $\mathbb{U}_{seq}(\mathcal{R})$ -LCR under Termination

Theorem

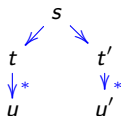
If $\mathbb{U}_{sim}(\mathcal{R})$ is terminating, then

- $\mathbb{U}_{sim}(\mathcal{R})$ is locally confluent iff $\mathbb{U}_{seq}(\mathcal{R})$ is so

Proof (Sketch).

Let \rightarrow be $\rightarrow_{\mathbb{U}_{seq}(\mathcal{R})}$, and \rightarrow be $\rightarrow_{\mathbb{U}_{sim}(\mathcal{R})}$

(\Rightarrow) ▶ Assume



with $\mathbb{U}_{seq}(\mathcal{R})$ -nfs u, u' ,

$\mathbb{U}_{sim}(\mathcal{R})$ -LCR Implies $\mathbb{U}_{seq}(\mathcal{R})$ -LCR under Termination

Theorem

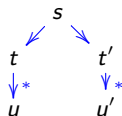
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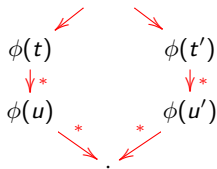
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(\Rightarrow) ▶ Assume



with $\mathbb{U}_{seq}(\mathcal{R})$ -nfs u, u' ,

▶ Then, $\phi(s)$



$\mathbb{U}_{sim}(\mathcal{R})$ -LCR Implies $\mathbb{U}_{seq}(\mathcal{R})$ -LCR under Termination

Theorem

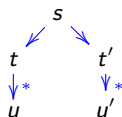
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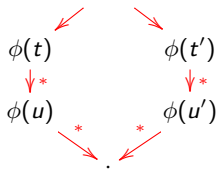
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(\Rightarrow) ▶ Assume



with $\mathbb{U}_{seq}(\mathcal{R})$ -nfs u, u' ,

▶ Then, $\phi(s)$ Then, $u = u'$



$\mathbb{U}_{sim}(\mathcal{R})$ -LCR Implies $\mathbb{U}_{seq}(\mathcal{R})$ -LCR under Termination

Theorem

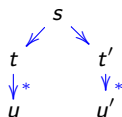
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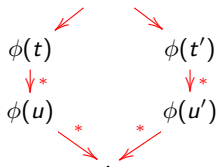
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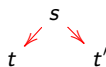


with $\mathbb{U}_{seq}(\mathcal{R})$ -nfs u, u' ,

▶ Then, $\phi(s)$ Then, $u = u'$



(\Leftarrow) ▶ Assume



$\mathbb{U}_{sim}(\mathcal{R})$ -LCR Implies $\mathbb{U}_{seq}(\mathcal{R})$ -LCR under Termination

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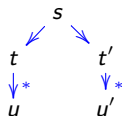
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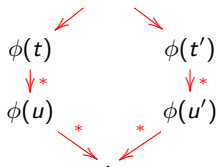
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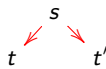


with $\mathbb{U}_{seq}(\mathcal{R})$ -nfs u, u' ,

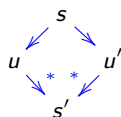
▶ Then, $\phi(s)$ Then, $u = u'$



(\Leftarrow) ▶ Assume



▶ Then,



with $\phi(u) = t$ and $\phi(u') = t'$

$\mathbb{U}_{sim}(\mathcal{R})$ -LCR Implies $\mathbb{U}_{seq}(\mathcal{R})$ -LCR under Termination

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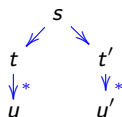
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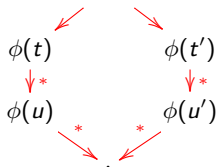
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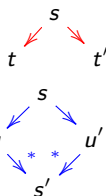


with $\mathbb{U}_{seq}(\mathcal{R})$ -nfs u, u' ,

▶ Then, $\phi(s)$ Then, $u = u'$



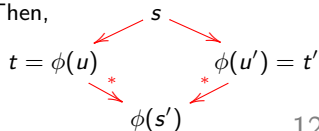
(\Leftarrow) ▶ Assume



▶ Then,

with $\phi(u) = t$ and $\phi(u') = t'$

▶ Then,



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Decidability

- Both orthogonality and local confluence under termination are decidable
 - ▶ A proof for $\mathbb{U}_{sim}(\mathcal{R})$ exists iff a proof for $\mathbb{U}_{seq}(\mathcal{R})$ exists
- Termination is undecidable in general
 - ▶ Not easy to compare \mathbb{U}_{sim} and \mathbb{U}_{seq} w.r.t. all existing criteria
 - ▶ Empirical comparison for 4 benchmarks from Cops with termination provers
 - ★ 51 normal 1-CTRSs
 - ★ 10 of 51 are transformed into TRSs by removing infeasible rules
 - ★ 37 of 41 have at most one condition, i.e., $\mathbb{U}_{sim} = \mathbb{U}_{seq}$ for them

| result | AProVE | | NaTT | | CO3 | |
|--------|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| | \mathbb{U}_{sim} | \mathbb{U}_{seq} | \mathbb{U}_{sim} | \mathbb{U}_{seq} | \mathbb{U}_{sim} | \mathbb{U}_{seq} |
| YES | 4 | 4 | 1 | 1 | 1 | 1 |
| NO | 0 | 0 | 0 | 0 | — | — |
| MAYBE | 0 | 0 | 3 | 3 | 3 | 3 |

Proving Confluence by CO3

- 4 normal 1-CTRSs from Cops

| result | CO3 | |
|--------|--------------------|--------------------|
| | \mathbb{U}_{sim} | \mathbb{U}_{seq} |
| YES | 1 | 1 |
| NO | 1 | 1 |
| MAYBE | 2 | 2 |

- Their powers for proving confluence are equivalent, except for termination

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Conclusion

We showed that for a normal 1-CTRS \mathcal{R} ,

- $\mathcal{U}_{sim}(\mathcal{R})$ is orthogonal iff $\mathcal{U}_{seq}(\mathcal{R})$ is so
- if $\mathcal{U}_{sim}(\mathcal{R})$ is terminating, then
 - ▶ $\mathcal{U}_{seq}(\mathcal{R})$ is terminating
 - ▶ $\mathcal{U}_{sim}(\mathcal{R})$ is locally confluent iff $\mathcal{U}_{seq}(\mathcal{R})$ is so

Future Work

- Compare \mathcal{U}_{seq} and \mathcal{U}_{conf} [Gmeiner et al., 2013]
- Compare \mathcal{U}_{sim} , \mathcal{U}_{seq} , and \mathcal{U}_{conf} w.r.t. other confluence criteria

| result | CO3 1.4 | CO3 1.5 | | | |
|--------|--------------------------------------------|---------------------|-----------------------|---------------------|----------------------|
| | $\mathcal{U}_{sim}^+ + \mathcal{U}_{conf}$ | \mathcal{U}_{sim} | \mathcal{U}_{sim}^+ | \mathcal{U}_{seq} | \mathcal{U}_{conf} |
| YES | 22 | 17 | 21 | 17 | 22 |
| NO | 12 | 12 | 12 | 12 | 12 |
| MAYBE | 17 | 22 | 18 | 22 | 17 |

- CO3 1.5 doesn't use \mathcal{U}_{sim}

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