## On Properties of Higher-Order Languages

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### Our Recent Research

(joint work with C. Broadbent, A. Igarashi, K. Matsuda, R. Sato, A. Shinohara, T. Terauchi, T. Tsukada, H. Unno, ...)

- Theory and Practice of Higher-Order Model Checking (model = higher-order grammar)
  - properties of higher-order grammars [LICS13]
  - higher-order model checking algorithms
     [JACM 13, FoSSaCS11,CSL13, ESOP13, APLAS13]
  - automated verification of higher-order programs [JACM 13, PLDI11,FLOPS12,PEPM13,POPL13]
  - data compression (generalization of grammar-based approach) [PEPM12]

## Our Recent Research

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  - data compression (generalization of grammar-based approach) [PEPM12]

# This Talk

- A survey on higher-order (formal) languages
  - what are higher-order languages?
  - solved/open problems
- Applications of  $\lambda\text{-}calculus$  and types to studies of higher-order languages
  - Pumping lemma for higher-order recursion schemes (HORS) [K, LICS13]
  - Context-sensitiveness (ongoing work)

# Outline

- Background
  - What are higher-order languages and what are they for?
  - Some variations
    - deterministic/non-deterministic, safe/unsafe, OI/IO, word/tree
- Solved/open problems
  - decision problems
  - language hierarchy
- · Applications of typed  $\lambda\text{-calculus}$

### Higher-Order Grammars [Maslov74, Wand75,...]

 Extension of CFG where non-terminals take parameters (cf. macro grammar)

Example of order-1 grammar 
$$G_1$$
  
 $S \rightarrow A e$   
 $A \times \rightarrow \times$   
 $A \times \rightarrow a (A (b \times))$   
 $S: o, A: o \rightarrow o$ 

S 
$$\rightarrow$$
 A e  $\rightarrow$  a(A (b e))  $\rightarrow$  a(b e)

$$L(G_1) = \{a^n b^n e \mid n \ge 0\}$$

# Higher-Order Grammars

 Extension of CFG where non-terminals take parameters

Example of order-2 grammar  $G_2$  $S \rightarrow A b$  $T f x \rightarrow f (f x)$  $A f \rightarrow f e$  $A f \rightarrow a (A (T f))$  $S: o, A: (o \rightarrow o) \rightarrow o, T: (o \rightarrow o) \rightarrow o \rightarrow o$ 

$$S \rightarrow A \ b \rightarrow a(A \ (T \ b)) \rightarrow^* a^n(A(T^n \ b)))$$
  
$$\rightarrow a^n(T^n \ b \ e) \rightarrow^* a^n(b^{2^n} e)$$
  
$$L(G_2) = \{a^n b^{2^n} e \mid n \ge 0\}$$

# Why Higher-Order Languages?

- Semantics of programs
   ("recursive program schemes" [Park68, Nivat72,...])
- Natural extension of Chomsky hierarchy
   [Wand74, Damm82,..] (order-0 = regular,
   order-1 = context-free, order-2 = indexed)
- Verification of higher-order programs (higher-order grammars as natural models of functional programs [Knapik+02, Ong06, K09,...])
  - generalization of model checking approach to program verification (order-0 = finite state m.c., order-1 = pushdown m.c.)

#### Classification of model checking

	model	corresponding inclusion problem (*)	software model checkers
finite state m.c.	automata, regular languages	regular ⊆ regular	BLAST (for C)
pushdown m.c.	pushdown, context-free grammars	context-free ⊆ regular	SLAM (for C)
higher-order m.c. [Knapik+02] [Ong06]	higher-order pushdown, higher-order grammars	higher-order ⊆ regular	MoCHi (for ML) [K+ PLDI11]

(\*) infinite words/trees may be considered

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#### Deterministic vs Non-Deterministic Grammars

- Deterministic (aka higher-order recursion schemes):
  - exactly one rule for each non-terminal
  - generates a single (possibly infinite) tree (word, if the arities of terminal symbols are at most 1)
  - models of higher-order model checking [Knapik+ 02,Ong06]
- Non-deterministic:
  - an arbitrary number of rules for each non-terminal
  - generates a language of (usually finite) trees (words, if the arities of terminal symbols are at most 1)
  - further classification based on evaluation order (OI and IO [Damm82])

\$ safe ("derived types" [Damm82])

- The arguments of non-terminals are sorted in the decreasing order of their type-theoretic orders

order(o) = 0 order( $\tau_1 \rightarrow \tau_2$ )=max(order( $\tau_1$ )+1, order( $\tau_2$ ))

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♦ safe

- The arguments of non-terminals are sorted in the decreasing order of type-theoretic orders

$$\checkmark ((0 \rightarrow 0) \rightarrow 0) \rightarrow (0 \rightarrow 0) \rightarrow (0 \rightarrow 0 \rightarrow 0) \rightarrow 0 \rightarrow 0$$
  
\*  $(0 \rightarrow 0) \rightarrow 0 \rightarrow (0 \rightarrow 0) \rightarrow 0$ 

- Arguments of the same order must be passed at the same time

Non-example: S -> F h a a. F z x y -> f (F (F z y) y (z x)) x. (S:o, F: (o→o)→o→o → o, f:o→o→o, h:o→o, a:o)

#### ♦ safe

- The arguments of non-terminals are sorted in the decreasing order of type-theoretic orders

$$\checkmark ((0 \rightarrow 0) \rightarrow 0) \rightarrow (0 \rightarrow 0) \rightarrow (0 \rightarrow 0 \rightarrow 0) \rightarrow 0 \rightarrow 0$$

- Arguments of the same order must be passed at the same time
- Targets of earlier studies [Damm82, Knapik+02,...]
- Equivalent to higher-order pushdown automata [Maslov74,Knapik+02,...]

#### unsafe

- Without safety restriction
- Targets of recent studies [Ong06,K09,...]
- Equivalent to collapsible pushdown automata [Hague+08]

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  - language hierarchy
- · Applications of typed  $\lambda\text{-calculus}$

# Some decision problems

- · Model Checking
  - Input: deterministic HO grammar (HORS) G regular (or MSO-definable) language R (of infinite trees)
  - Output: Tree(G)  $\in \mathbb{R}$ ?
- · Language inclusion
  - Input: non-deterministic HO grammar G, regular language R (of finite words/trees)
  - Output:  $L(G) \subseteq R$ ?
- Equivalence
  - Input: deterministic HO grammars (HORS)  $G_1$ ,  $G_2$
  - Output: Tree( $G_1$ ) = Tree( $G_2$ )?

### **Problem Status**

	safe	unsafe
model checking	decidable [Knapik+02]	decidable [Ong06]
inclusion	decidable [Damm82?]	decidable
equivalence	open (for order ≥ 2)	open (for order ≥ 2)

### Language hierarchies

- Language/tree classes
  - $LANG_n = \{L(G) \mid G: order-n n.d. word grammar\}$
  - TREE<sub>n</sub> = {Tree(G) | G: order-n HORS}
- Some questions about language hierarchy
  - strictness of word language hierarchy
     LANG<sub>n</sub> ≠ LANG<sub>n+1</sub> for all n?
  - strictness of tree hierarchy

 $TREE_n \neq TREE_{n+1}$  for all n?

- context-sensitiveness

Is L(G) context-sensitive for all G?

- Is safety a genuine restriction?
 SafeLANG<sub>n</sub> = UnsafeLANG<sub>n</sub>? SafeTREE<sub>n</sub> = UnsafeTREE<sub>n</sub>?

### **Problem Status**

	safe	unsafe
strictness of language hierarchy	<b>yes</b> [Engelfriet91]	open
strictness of tree hierarchy	yes [Damm82?]	<b>yes</b> [Kartzow&Parys12]
context sensitiveness	yes [Inaba&Maneth08]	open (for order ≥ 3)
safe trees = unsafe trees?	no [Parys 12]	
safe languages = unsafe languages?	open	

# Outline

- Background
- Solved/open problems
- $\boldsymbol{\cdot}$  Our approach based on typed  $\lambda\text{-calculus}$ 
  - motivation
  - pumping lemma
  - towards context-sensitiveness

### Motivation

- Many results have been obtained through higher-order pushdown systems/transducers
  - -> non-intuitive, complex proofs
- Simpler, more direct reasoning about grammars seems possible through  $\lambda\text{-}calculus$  and types

	safe	unsafe
strictness of language hierarchy	yes <mark>pushdown</mark> [Engelfriet91]	open
strictness of tree	yes	yes <mark>pushdown</mark>
hierarchy	[Damm82?]	[Kartzow&Parys12]
context	yes <mark>pushdown</mark>	open
sensitiveness	[Inaba&Maneth08]	(for order ≥ 3)

### Motivation

- Many results have been obtained through higher-order pushdown systems/trandsducers
  - -> non-intuitive, complex proofs
- Simpler, more direct reasoning about grammars seems possible through  $\lambda$ -calculus and types
  - Demonstration through:
    - pumping lemma (for deterministic case) and application to strictness of tree hierarchy
    - context-sensitiveness (ongoing work, with only preliminary result)

# Outline

- Background
- Solved/open problems
- · Applications of typed  $\lambda\text{-calculus}$ 
  - motivation
  - pumping lemma for deterministic HO tree grammar (HORS)
    - background
    - $\cdot$  statement of the lemma
    - proof sketch
  - towards context-sensitiveness

# Pumping Lemmas

- State properties about "repeated structures" generated by grammars/automata
  - e.g. Pumping lemma for CFL:
    - "Any sufficiently long word s∈L can be decomposed to s = uvwxy (with vx≠ ε) and uv<sup>i</sup>wx<sup>i</sup>y ∈L for every i≥0"
- $\boldsymbol{\cdot}$  Used for separation of language classes

e.g. L =  $\{a^nb^nc^n \mid n \ge 0\}$  is not a CFL.

If L were CFL, then for sufficiently large n,

 $a^{n}b^{n}c^{n} = uvwxy$  and  $uv^{i}wx^{i}y \in L$  for every  $i \ge 0$ , but this is impossible.

### Pumping lemmas for "higher-order" grammars/PDA

- Pumping lemma for indexed languages [Hayashi 73]
- Pumping lemmas for HPDS/CPDS [Parys 12; Kartzow&Parys 12]
  - strictness of hierarchy of trees/graphs generated by CPDS/HORS [Kartzow&Parys 12]
  - separation between HPDS and CPDS (or "safe" vs "unsafe" trees) [Parys 12]

Proofs are:

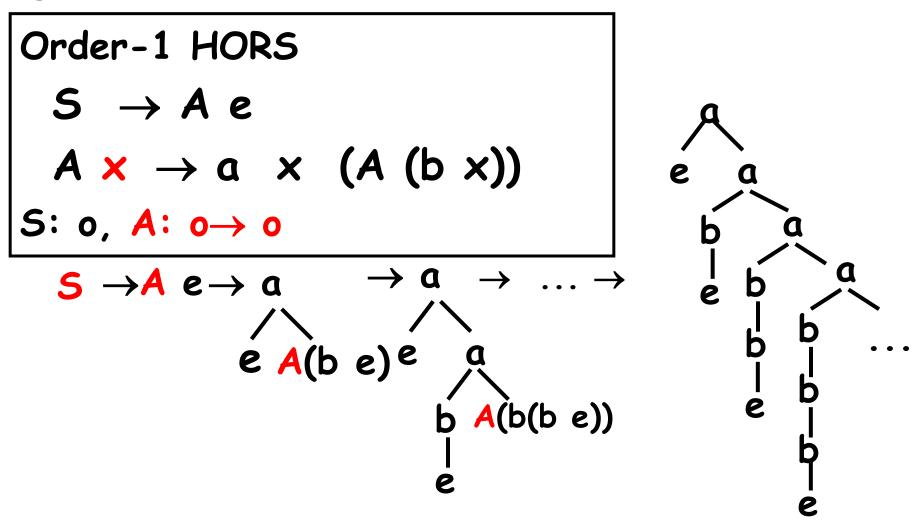
- complex (at least for non-experts on CPDS)
- indirect (for reasoning about HORS)
- (cf. proof of pumping lemma for CFL)

# Outline

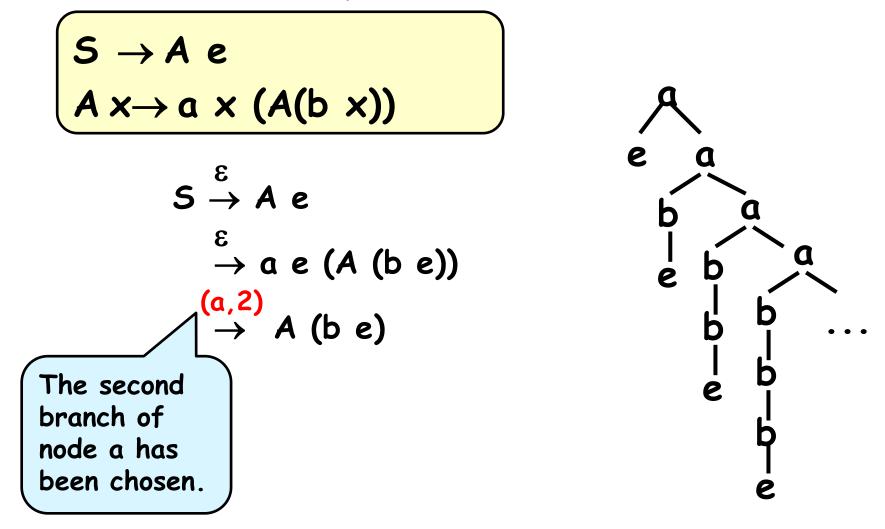
- Background
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    - $\boldsymbol{\cdot}$  statement of the lemma and application
    - proof sketch
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#### Higher-Order Recursion Scheme (HORS)

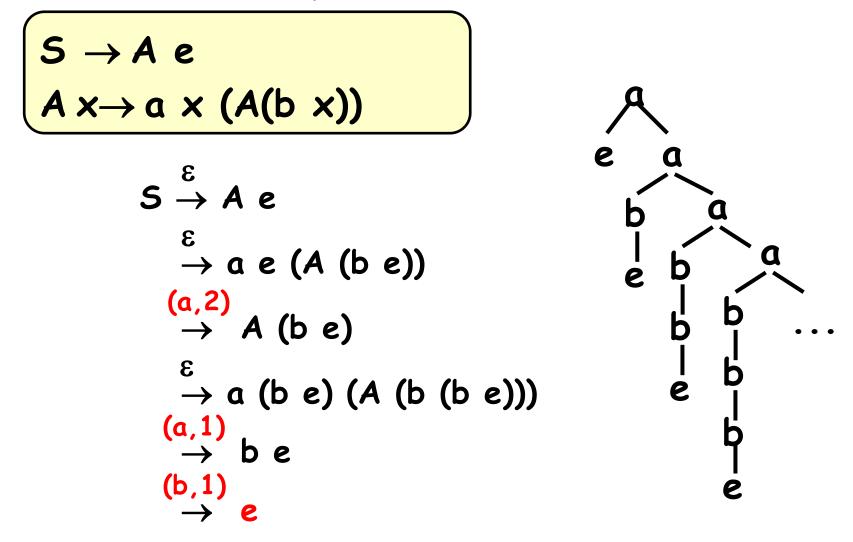
Simply-typed, deterministic, higher-order grammar for an infinite tree



#### HORS as Labeled Transition System [Carayol&Serre, LICS12]



#### HORS as Labeled Transition System [Carayol&Serre, LICS12]

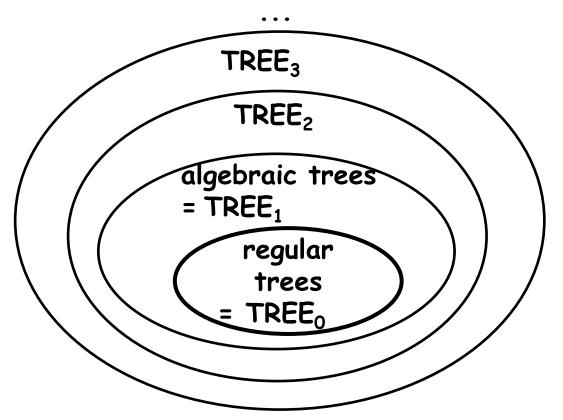


# Pumping Lemma $\forall G: order-n HORS. \exists c,d.$ $S \xrightarrow{w} e$ and $|w| > exp_{n-1}(c)$ imply: **(i)** $S \xrightarrow{W_1} F \underset{v_1}{s_1} \xrightarrow{W_2} F \underset{v_2}{s_2} \xrightarrow{W_3} F \underset{v_3}{s_3} \xrightarrow{W_4} \cdots$ (ii) $|u_m| \le \exp_{n-1}((m+1)c^2)$ for $u_m = w_1 \dots w_m v_m$ (iii) $u_m \neq u_{m'}$ if $|m-m'| \ge d$

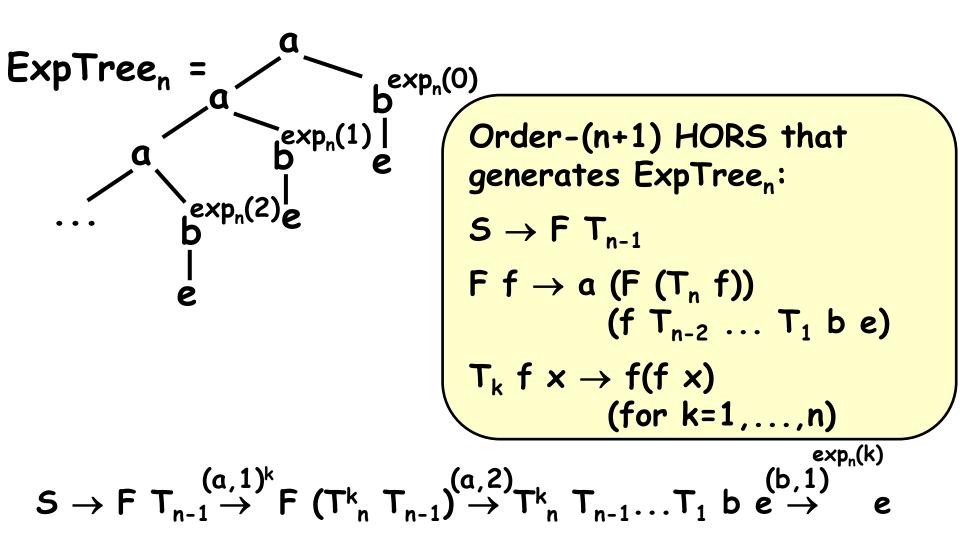
$$\left( exp_{n}(x) = \frac{n}{2} \frac{2}{2} \frac{2}{2} \right)$$

#### Strictness of HORS Tree Hierarchy TREE<sub>n</sub> = { Tree(G) | G: an order-n HORS} Theorem [Kartzow&Parys 12] :

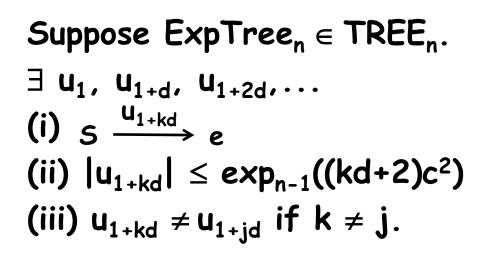
 $\mathsf{TREE}_0 \varsubsetneq \mathsf{TREE}_1 \varsubsetneq \ldots \varsubsetneq \mathsf{TREE}_n \varsubsetneq \mathsf{TREE}_{n+1} \varsubsetneq \ldots$ 

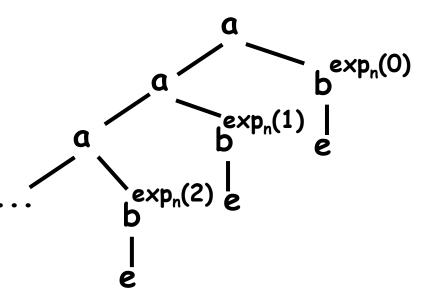


#### Witness of $TREE_n \subsetneq TREE_{n+1}$



#### $ExpTree_n \notin TREE_n$



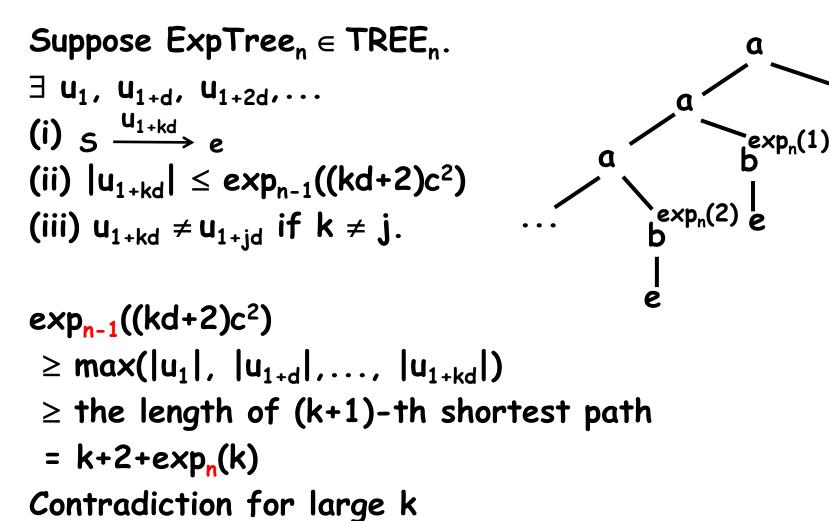


$$\begin{array}{c|c} S \stackrel{w}{\rightarrow} e \text{ and } |w| > exp_{n-1}(c) \text{ imply:} \\ (i) S \stackrel{w_1}{\longrightarrow} F s_1 \stackrel{w_2}{\longrightarrow} F s_2 \stackrel{w_3}{\longrightarrow} F s_3 \stackrel{w_4}{\longrightarrow} \cdots \\ & \downarrow v_1 & \downarrow v_2 & \downarrow v_3 \\ e & e & e \end{array}$$

$$(ii) |u_m| \le exp_{n-1}((m+1)c^2) \text{ for } u_m = w_1 \dots w_m v_m$$

$$(iii) |u_m \neq u_{m'} \text{ if } |m-m'| \ge d$$

#### $ExpTree_n \notin TREE_n$



#### Strictness of HORS Tree Hierarchy $TREE_n = \{ Tree(G) \mid G: an order-n HORS \}$ Theorem [Kartzow&Parys 12] : $TREE_0 \subsetneq TREE_1 \subsetneq \ldots \subsetneq TREE_n \subsetneq TREE_{n+1} \subsetneq \ldots$ order-3 order-2 algebraic trees =order-1 regular trees = order-0

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    - background
    - $\boldsymbol{\cdot}$  statement of the lemma and application
    - proof sketch
  - towards context-sensitiveness

## How to prove pumping lemma? $\forall G: order-n HORS. \exists c, d.$ $S \xrightarrow{w} e$ and $|w| > exp_{n-1}(c)$ imply: (i) $S \xrightarrow{W_1} F \underset{v_1}{s_1} \xrightarrow{W_2} F \underset{v_2}{s_2} \xrightarrow{W_3} F \underset{v_3}{s_3} \xrightarrow{W_4} \cdots$

(ii)  $|u_m| \le \exp_{n-1}((m+1)c^2)$  for  $u_m = w_1 \dots w_m v_m$ (iii)  $u_m \ne u_{m'}$  if  $|m-m'| \ge d$ 

$$\left( exp_{n}(x) = \frac{n}{2} \frac{2}{2} \frac{2}{2} \right)$$

## Pumping Lemma for CFL

"Any sufficiently long word s∈L can be decomposed to s = uvwxy (with vx≠ ε) and uv<sup>i</sup>wx<sup>i</sup>y ∈L for every i≥0"

Proof.

The derivation of s must contain repeated occurrences of a non-terminal F:

 $S \rightarrow uFy \rightarrow uVFxy \rightarrow uvvxy$  (=s).

By repeating the part  $F \rightarrow * vFx$ ,

 $\mathsf{S} \to \mathsf{*} \mathsf{uFy} \to \mathsf{*} \mathsf{uvFxy} \to \mathsf{*} \mathsf{uvFxxy} \to \mathsf{*} \mathsf{uv}^{\mathsf{i}}\mathsf{Fx}^{\mathsf{i}}\mathsf{y} \to \mathsf{*} \mathsf{uv}^{\mathsf{i}}\mathsf{wx}^{\mathsf{i}}\mathsf{y}$ 

## Pumping for HORS?

 Sufficiently long transition sequence must contain repeated occurrences of non-terminal in the head position?

$$S \xrightarrow{u} F S_1 \xrightarrow{w} F S_2 \xrightarrow{v} e$$

#### Yes!

• Can the part "F  $s_1 \rightarrow$  F  $s_2$ " be pumped?? Not necessarily:

For 
$$G = \{S \rightarrow F(F e), F x \rightarrow x\},\$$
  
 $S \rightarrow F(F e) \rightarrow F e \rightarrow e$ 

but the part " $F(F e) \rightarrow F e$ " cannot be repeated!

#### Conditions for Pumping $F s_1 \rightarrow F s_2$ ?

F should be obtained by unfolding F
 ×F(F e) → F e where F x →x
 ✓ F e →<sup>(a,1)</sup>F (c e) where F x →a (F (c x))
 Sufficient?

No.

For  $G=\{S \rightarrow F I, F f \rightarrow f(F K), I x \rightarrow x, K x \rightarrow e\}$ ,

 $S \rightarrow F I \rightarrow I(F K) \rightarrow F K,$ but F K  $\rightarrow K(F K) \rightarrow e \not \rightarrow^* F \dots$ 

because I and K have different behaviors! (I uses the argument but K ignores it)

#### Conditions for Pumping F $s_1 \rightarrow F s_2$ ?

 F should be obtained by unfolding F **×**  $F(F e) \rightarrow F e$  where  $F \times \rightarrow x$  $\checkmark F e \rightarrow^{(a,1)} F$  (c e) where  $F \times \rightarrow a$  (F (c  $\times$ )) •  $s_2$  should have the same type as  $s_1$ For  $G=\{S \rightarrow F I, F f \rightarrow f(F K), I x \rightarrow x, K x \rightarrow e\}$ ,  $S \rightarrow F I \rightarrow I(F K) \rightarrow F K$ but I:  $r \rightarrow r$  and K:  $T \rightarrow r$ Use an argument

Ignore an argument

#### Intersection Types for **Expressing Reduction Behavior** $\tau$ (types) ::= r

(terms that reduce to e)

 $(\tau_1 \land \dots \land \tau_k) \rightarrow \tau$ 

(functions that use an argument as a value of types  $\tau_1, \ldots, \tau_k$  and return a value of type  $\tau$ )

Types	Examples	Non-examples
r  ightarrow r	λχ.χ, λχ.αχε	λ <b>χ.e</b>
$T \rightarrow r$	λχ.ε, λχ.α χ ε	λ <b>χ.χ</b>
$(r \rightarrow r) \rightarrow r$	$\lambda f.f e, \lambda f.f(f e)$	λf.e

# (inaccurate) Key Lemma

(i)  $F S_1 \rightarrow F S_2$ (ii) F comes from F (iii) F and F have the same type  $\tau$ , then (1)  $F s_2 \rightarrow F s_3$  for some  $s_3$ (2) F comes from F (3) F has type  $\tau$ 

If

#### Proof Sketch of Pumping Lemma

1. A sufficiently long transition sequence is of the form (for a sufficiently large k > #types):

$$S \xrightarrow{u_1} F^{\tau_1} t_1 \xrightarrow{u_2} F^{\tau_2} t_2 \xrightarrow{u_3} \dots \xrightarrow{u_k} F^{\tau_k} t_k \xrightarrow{u_{k+1}} e$$

- 2. Assign an intersection type to each F.
- 3. Pick i and j such that  $\tau_i = \tau_j$  and "pump" the part  $F t_i \xrightarrow{u_{i+1} \dots u_j} F t_j$

$$\begin{array}{c} S \stackrel{w}{\rightarrow} e \text{ and } |w| > exp_{n-1}(c) \text{ imply:} \\ (i) S \stackrel{w_1}{\longrightarrow} F s_1 \stackrel{w_2}{\longrightarrow} F s_2 \stackrel{w_3}{\longrightarrow} F s_3 \stackrel{w_4}{\longrightarrow} \cdots \\ & \downarrow v_1 \qquad \qquad \downarrow v_2 \qquad \qquad \downarrow v_3 \\ e \qquad \qquad e \qquad e \qquad \qquad e \qquad e \qquad \qquad e \qquad \qquad e \qquad \qquad e \qquad \qquad e$$

#### Proof Sketch

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$$S \xrightarrow{u_1} F^{\tau_1} t_1 \xrightarrow{u_2} F^{\tau_2} t_2 \xrightarrow{u_3} \dots \xrightarrow{u_k} F^{\tau_k} t_k \xrightarrow{u_{k+1}} e$$

- 2. Assign an intersection type to each F.
- 3. Pick i and j such that  $\tau_i = \tau_j$  and "pump" the part  $F t_i \xrightarrow{u_{i+1} \dots u_j} F t_j$  and obtain:

#### Proof Sketch

3. Pick i and j such that  $\tau_i = \tau_i$  and "pump" the part  $F_{i} \xrightarrow{u_{i+1} \ldots u_{j}} F_{i}$  and obtain:  $S \xrightarrow{w_1} F s_1 \xrightarrow{w_2} F s_2 \xrightarrow{w_3} F s_3 \xrightarrow{w_4} \cdots$  $v_1 v_2 v_3$ 4. To obtain the bound  $|w_1 \dots w_m v_m| \leq \exp_{n-1}((m+1)c^2)$ , simulate  $s \xrightarrow{w_1 \dots w_m v_m} e$ 

by: 
$$t \xrightarrow{w_1 \dots w_m v_m} e$$

. . .

for a  $\lambda$ -term t (obtained by unfolding S).  $|w_1...w_mv_m|$  is bounded by the size of  $\beta$ -normal form of t [Beckmann 01]

#### Pumping Lemma for HORS: summary

- The same reasoning as for context-free languages is possible, with a help of types
  - A sufficiently long transition sequence must contain repeated occurrences of the same non-terminal
  - The part where the same non-terminal is used as the same type can be pumped
  - The length of pumped words can be bounded by using the standard result on the size of  $\beta$ -normal form of simply typed  $\lambda$ -terms

## Pumping Lemma for Word Language Grammar?

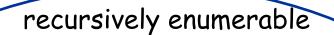
$$\begin{array}{c} & \overset{\textbf{W}}{\rightarrow} e \text{ and } |\textbf{w}| > exp_{n-1}(c) \text{ imply:} \\ (i) & \overset{\textbf{W}_{1}}{\longrightarrow} F s_{1} \xrightarrow{\textbf{W}_{2}} F s_{2} \xrightarrow{\textbf{W}_{3}} F s_{3} \xrightarrow{\textbf{W}_{4}} \cdots \\ & & \downarrow v_{1} & \downarrow v_{2} & \downarrow v_{3} \\ e & e & e \end{array}$$
$$\begin{array}{c} & \checkmark & (ii) |\textbf{u}_{m}| \leq exp_{n-1}((m+1)c^{2}) \text{ for } \textbf{u}_{m} = w_{1} \dots w_{m}v_{m} \\ & \checkmark & (iii) |\textbf{u}_{m}'| \leq exp_{n-1}((m+1)c^{2}) \text{ for } \textbf{u}_{m} = w_{1} \dots w_{m}v_{m} \end{array}$$

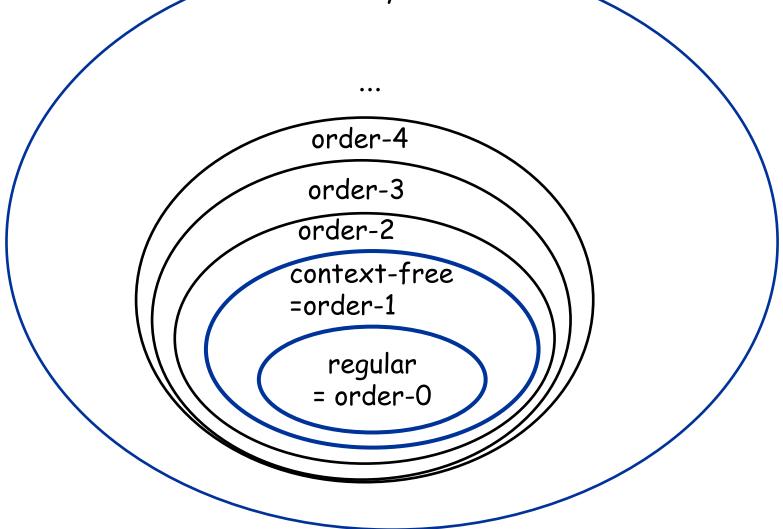
 $\rightarrow$  A further twist is required

## Outline

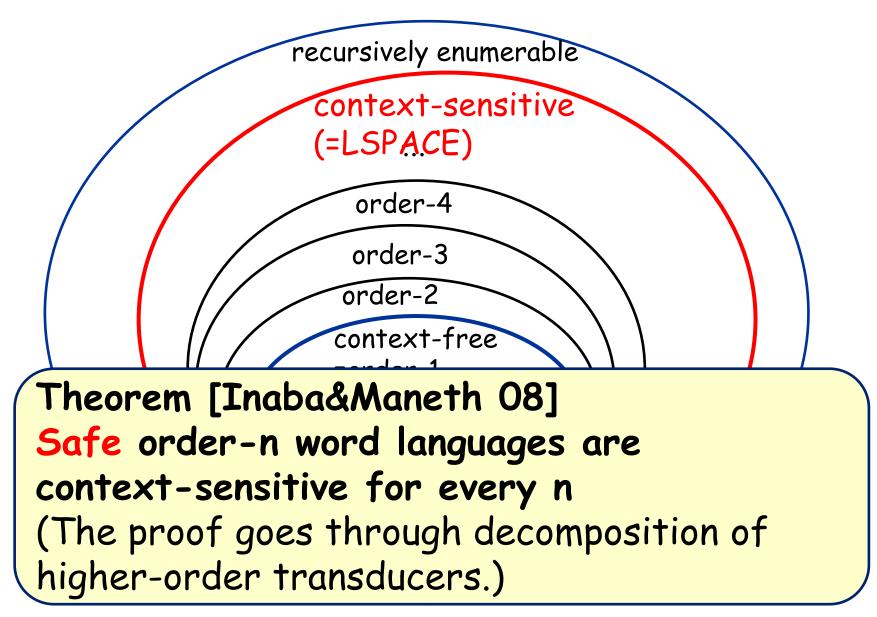
- Background
- Solved/open problems
- Applications of typed  $\lambda$ -calculus
  - motivation
  - pumping lemma
  - towards context-sensitiveness of unsafe languages (ongoing work with Kazuhiro Inaba and Takeshi Tsukada)

#### Chomsky hierarchy and HO languages



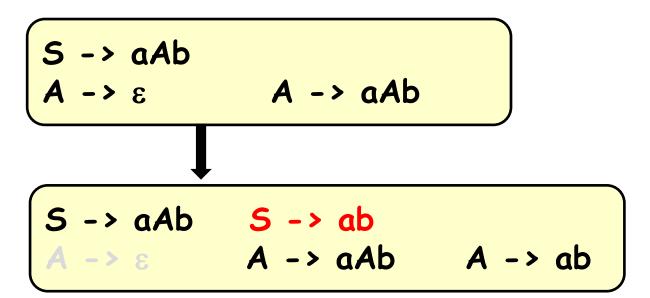


#### Chomsky hierarchy and HO languages



## Context-sensitiveness of Context-free languages

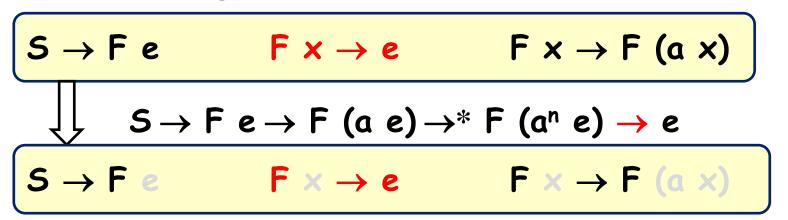
 $\bullet$  Eliminate  $\epsilon$ -generating rules



The normalized grammar has only monotonically increasing production sequences
(S → t<sub>1</sub> → t<sub>2</sub> → ... →w implies |S|≤|t<sub>1</sub>|≤|t<sub>2</sub>|≤... ≤|w|)
⇒ membership is NLINSPACE

## Context-sensitiveness of Order-1 tree grammar?

- What should be removed to ensure the monotonicity of production sequence?
  - Redundant arguments



cf. type-based useless code elimination [Damiani&Prost 96, K 2000]

## Context-sensitiveness of Order-1 tree grammar?

- What should be removed to ensure the monotonicity of production sequence?
  - Redundant arguments

 $\left[ S \rightarrow F e \qquad F \times \rightarrow e \qquad F \times \rightarrow F (a \times) \right]$ 

- Identity functions

## Context-sensitiveness of Order-2 tree grammar?

- What should be removed to ensure the monotonicity of production sequence?
  - Redundant arguments
  - Identity functions
  - Permutators (+ $\alpha$ )

### **Open Problems**

#### (for proving context-sensitiveness)

- What should be removed to ensure the monotonicity of production sequence for grammars of arbitrary orders?
  - Removing hereditary permutators is necessary, but not sufficient
- Is there a systematic transformation that removes them?
- A positive answer would imply context-sensitiveness of (unsafe) higher-order languages

## Summary

- A survey of properties of higher-order languages
  - Many problems have been solved for safe languages, but open for unsafe ones
- $\lambda\text{-}calculus$  and types seem to be a promising approach to studies of unsafe languages
  - simpler proof of strictness of tree hierarchy
  - work is under way for proving context-sensitiveness of HO languages
  - "safety" is natural for HPDS, but "unsafety" is more natural for  $\lambda$ -calculus