

Implicit automata in typed λ -calculi

Pierre PRADIC (University of Swansea)

j.w.w. NGUYỄN Lê Thành Dũng (a.k.a. Tito) (Paris Saclay (I think?))

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Syntax

Defined inductively, with x ranging over variables

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- An algebra for anonymous *functions*
- The core functional programming language

$$\lambda x.t \simeq x \mapsto t$$

Real-world examples of extensions: Scheme, ML, Haskell...

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- Introduced by Alonzo Church in the 30s
- An algebra for anonymous *functions*
- The core functional programming language
- Turing-complete

$$\lambda x.t \simeq x \mapsto t$$

Real-world examples of extensions: Scheme, ML, Haskell...

Examples

- The identity function $\lambda x. x$
- Composition $\lambda f g x. f (g x)$
- Church numeral $\underline{2} = \lambda s z. s (s z)$
- Stranger things... $\lambda x. x x$

Some technical details:

- Equality up to renaming of bound variables α -conversion
- Notations: $\lambda x y. t = \lambda x. \lambda y. t$ and $t u v = (t u) v$
- Capture-avoiding substitution $t[u/x]$
 $x[t/x] = t$ $(t u)[v/x] = t[v/x] u[v/x]$ $(\lambda y. t)[u/x] = \lambda y. t[u/x]$ ($x \neq y, y \notin FV(u)$)

One-step β -reduction

\rightarrow_β is the closure under congruence of

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- Call a λ -term t **normal** if $t \not\rightarrow_\beta$

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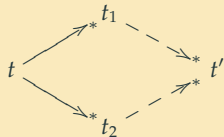
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\rightarrow^* is confluent



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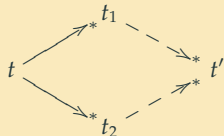
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\rightsquigarrow Well-behaved notion of computation

- Each term reduce to ≤ 1 normal form
- Independent of the evaluation strategy
- Example:

$$\begin{aligned} \lambda s. \underline{1} s (\underline{1} s) &\rightarrow_\beta \lambda s. (\lambda z. s z) (\underline{1} s) \\ &\rightarrow_\beta \lambda s. (\lambda z. s z) (\underline{1} s) \\ &\rightarrow_\beta \lambda s. (\lambda z. s z) (\lambda z. s z) \\ &\rightarrow_\beta \lambda s. s (s z) \end{aligned}$$

Rationale

Classify well-behaved sets of programs

- Practical motivations

Crash-free programs

- Proof-theoretical motivations

Curry-Howard correspondence

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All type systems for λ -calculus **hereafter** will satisfy the following

Subject reduction (SR)

If $t \rightarrow_{\beta} u$ and t has type A ($t : A$), then so does u

“Types are invariant under computation”

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“Types are invariant under computation”

Strong normalization (SN)

If $t : A$, then t will always reduce to a normal form.

“All typed programs terminate (no matter what is the evaluation strategy)”

Simple types

$$A, B ::= o \mid A \rightarrow B$$

o is a fixed ground type

Typing rules

- Axiom rule

$$\frac{}{\Gamma, x : A, \Gamma' \vdash x : A}$$

- λ -abstraction

$$\frac{\Gamma, x : A \vdash t : B}{\Gamma \vdash \lambda x. t : A \rightarrow B}$$

- Application rule

$$\frac{\Gamma \vdash t : A \rightarrow B \quad \Gamma \vdash u : A}{\Gamma \vdash t u : B}$$

Simple types

$$A, B ::= X \mid \forall X. A \mid A \rightarrow B$$

X is a type variable

Typing rules

STLC rules with

- \forall -intro (X free in Γ)

$$\frac{\Gamma \vdash t : A}{\Gamma \vdash t : \forall X. A}$$

- \forall -elim

$$\frac{\Gamma \vdash t : \forall X. A}{\Gamma \vdash t : A[B/X]}$$

- SN much harder to prove
- Convenient for programming

Requires impredicativity

Impredicative encodings

- The type of booleans Bool

$$\forall X. X \rightarrow X \rightarrow X$$
$$\underline{\text{true}} = \lambda x y. x \quad \underline{\text{false}} = \lambda x y. y$$

- The type of natural numbers \mathbb{N}

$$\forall X. (X \rightarrow X) \rightarrow X \rightarrow X$$

- The type of binary strings Str

$$\forall X. (X \rightarrow X) \rightarrow (X \rightarrow X) \rightarrow X \rightarrow X$$

Church encoding $w \mapsto \underline{w}$ of strings $\{a, b\}^*$ into Str

$$abba \quad \mapsto \quad \lambda a b e. a (b (b (a e)))$$

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$$abba \quad \mapsto \quad \lambda a b e. a (b (b (a e)))$$

Consequence of SN

For every $t : \text{Str}$, there is $w \in \{a, b\}^*$ s.t. $t \rightarrow^* \underline{w}$

Resource-aware decomposition of STLC/System F.

Affine/Linear types

$$A, B ::= !A \mid A \otimes B \mid A \multimap B \mid \dots$$

- Terms of type $A \multimap B$ use their arguments at most/exactly once

$$\frac{}{x : A \vdash x : A} \qquad \frac{\Gamma \vdash t : A \multimap B \qquad \Delta \vdash u : A}{\Gamma, \Delta \vdash t u : B}$$

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- $!$ allows duplication and discarding

$$!A \multimap !A \otimes !A \qquad !A \otimes B \multimap B$$

\rightsquigarrow Encode $A \rightarrow B$ as $!A \multimap B$

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Example

Str is isomorphic to

$$\text{Str}^L = \forall X. !(X \multimap X) \multimap !(X \multimap X) \multimap X \multimap X$$

but certainly not to $\forall X. (X \multimap X) \multimap (X \multimap X) \multimap X \multimap X$

Problems

Fix a programming language and a type $\text{Str} \rightarrow \text{Bool}$

\rightsquigarrow class of functions implemented by terms $t : \text{Str} \rightarrow \text{Bool}$?

- Landmark paper: safe recursion

PTIME [Bellantoni-Cook, 1992]

- A few characterizations based on linear λ -calculi

LLL/ μ ELL2 for **PTIME** for instance [Girard 1996, Baillot 2005]

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System F	\simeq	PA2-definable recursive functions

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\rightsquigarrow What about STLC?

Impredicative encodings in STLC

A slight wrinkle: quantification unavailable

- Define $\text{Str}[A] = (A \rightarrow A) \rightarrow (A \rightarrow A) \rightarrow A \rightarrow A$
 $\text{Bool}[A] = A \rightarrow A \rightarrow A$

Definition

We call a language $L \subseteq \{a, b\}^*$ definable in STLC iff there exists

- a simple type A
- a simply-typed λ -term $t : \text{Str}[A] \rightarrow \text{Bool}[A]$

such that for every $w \in \{a, b\}^*$,

$$t \underline{w} \rightarrow^* \underline{\text{true}} \quad \text{iff} \quad w \in L$$

- Note that if $t : \text{Str}[A] \rightarrow \text{Bool}[A]$, then $t : \text{Str} \rightarrow \text{Bool}$ in System F
 \rightsquigarrow SN guarantees $t \underline{w} \rightarrow^* \underline{\text{true}}$ or $t \underline{w} \rightarrow^* \underline{\text{false}}$ for every $w \in \{a, b\}^*$

Theorem [Hillebrand and Kanellakis, 1996]

The STLC definable languages are the regular languages.

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- Interpret types as finite sets with $\llbracket o \rrbracket = \{\text{true}, \text{false}\}$
- At the level of λ -terms, $t : A$ yields $\llbracket t \rrbracket \in \llbracket A \rrbracket$

Set inductively $\llbracket A \rightarrow B \rrbracket = \llbracket B \rrbracket^{\llbracket A \rrbracket}$

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- Note that $w \mapsto wa$ is definable by a term $c_a : \text{Str}[A] \rightarrow \text{Str}[A]$
- Build a DFA $(Q, \llbracket \epsilon \rrbracket, \delta, F)$

$$Q = \llbracket \text{Str}[A] \rrbracket$$

$$\delta(q, a) = \llbracket c_a \rrbracket(q)$$

$$q \in F \Leftrightarrow \llbracket t \rrbracket(q) = \llbracket \text{true} \rrbracket$$

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- Contains HDT0L-transduction
- But we do not know more at the moment

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Simplification: the affine case

We now turn to affine λ -calculus and set

$$\text{Str}^L[A] = !(A \multimap A) \multimap !(A \multimap A) \multimap A \multimap A$$

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- a **!-free** linear type A (i.e., $!o$ or $\text{Str}^L[o]$ unavailable)
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such that for every $u, v \in \{a, b\}^*$,

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- Same niceness properties as for STLC-definable

Regular functions

Assume a λ -calculus for linear intuitionistic logic with additives

- $\lambda^{\rightarrow} x. t : A \rightarrow B$ unrestricted function
- $\lambda^{\circ} x. t : A \multimap B$ linear function (exactly one x in t)
- coproducts $A \oplus B$ and products $A \& B$

Switch in notations:

- Let's use $\text{Str}[A]$ instead of $\text{Str}^L[A]$ for brevity's sake.
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Today's main theorem [Nguyễn & P.]

$f : \Gamma^* \rightarrow \Sigma^*$ is a *regular function*

\iff

f is defined by some $t : \text{Str}_{\Gamma}[A] \multimap \text{Str}_{\Sigma}$ in the intuitionistic linear λ -calculus with A *purely linear*, i.e. containing no ' \rightarrow '

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Regular functions are a classical topic, many equivalent definitions...

One of them: **copyless** *streaming string transducers* [Alur & Černý 2010]

\rightsquigarrow sounds suspiciously like affine types!

Definition

- Finite set of Σ^* -valued *registers* e.g. $R = \{X, Y\}$
- Initial values $R \rightarrow \Sigma^*$ e.g. $X_{\text{init}} = Y_{\text{init}} = \varepsilon$
- *Register update function* e.g. $a \mapsto \begin{cases} X := Xa \\ Y := aY \end{cases} \quad b \mapsto \begin{cases} X := Xb \\ Y := bY \end{cases} \quad c \mapsto \begin{cases} X := aba \\ Y := YabaX \end{cases}$
- “output function” e.g. $\text{out} = XY$

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Execution over *abaa*: **start** with

$$X = \varepsilon \quad Y = \varepsilon$$

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Execution over $abaa$:

$$X = a \quad Y = a$$

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Execution over $abaa$:

$$X = ab \quad Y = ba$$

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Execution over $abaa$:

$$X = aba \quad Y = aba$$

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Execution over $abaa$:

$$X = abaa \quad Y = aaba$$

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Execution over $abaa$: $f(abaa) = \mathbf{abaaaaba}$

$$X = abaa \quad Y = aaba$$

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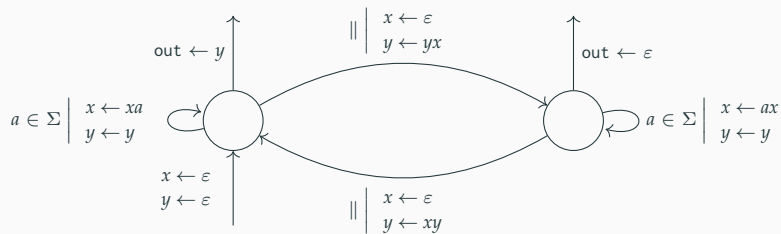
Execution over $abaa$: $f(abaa) = abaaaaaba$

$$X = abaa \quad Y = aaba$$

f restricted to $\{a, b\}^*$: corresponds to $w \mapsto w \cdot \text{reverse}(w)$

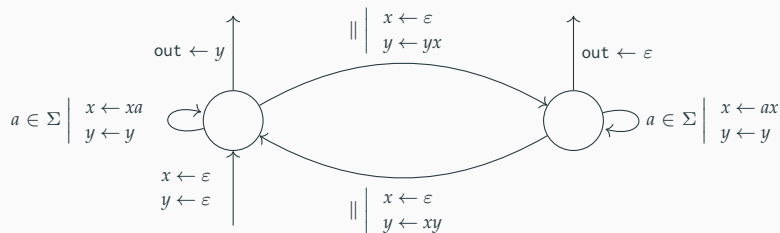
Stateful streaming string transducers

SSTs can also have *states*: their memory is $Q \times (\Sigma^*)^R$ (with $|Q| < \infty$)



Stateful streaming string transducers

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Copylessness restriction

Each register appears *at most once* on RHS of \leftarrow

(for each fixed input letter, at most once among all the associated \leftarrow)

Intuition: memory $M = Q \otimes \Sigma^* \otimes \dots \otimes \Sigma^*$, transitions $M \multimap M$

($Q \cong 1 \oplus \dots \oplus 1$, $\text{concat} : \Sigma^* \otimes \Sigma^* \multimap \Sigma^*$)

A framework for “single-pass” automata [Colcombet & Petrişan 2017]

- internal memory = object of a *category* \mathcal{C}
- transitions = morphisms (and [letter \mapsto transition] = functor $\mathcal{T}_\Sigma \rightarrow \mathcal{C}$)

$$\mathcal{T}_\Sigma = \bullet \longrightarrow \bullet \xrightarrow{a \in \Sigma} \bullet \longrightarrow \bullet \longrightarrow \mathcal{C}$$

- DFA = automata over the category of finite sets
- Copyless SSTs \approx start from a category \mathcal{R} of copyless register updates
+ add states by *free finite coproduct completion* $(-)_\oplus$

Categorical automata

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Formally

A streaming setting \mathfrak{C} with output X is a tuple $(\mathcal{C}, \top, \perp, out)$ with

- \mathcal{C} a category
- \top and \perp objects of \mathcal{C}
- $out : \text{Hom}_{\mathcal{C}}(\top, \perp) \rightarrow X$ a set-theoretic-map

Notion of \mathfrak{C} -automaton

(abusively called \mathcal{C} -automata in the sequel)

The register category with output alphabet Σ

- **Objects:** finite sets R, S think register variables
- **Morphisms:** $\text{Hom}_{\mathcal{R}}(R, S) = \text{maps } S \rightarrow (R + \Sigma)^*$ corresponding to copyless register affectations
$$\sum_{s \in S} |f(s)|_r \leq 1$$
- Monoidal with $\otimes = +$
- Free affine monoidal category over an object $\Sigma^* = \{\bullet\}$, morphisms $\varepsilon, a : \mathbf{I} \rightarrow \Sigma^*$ for $a \in \Sigma$ and $\text{cat} : \Sigma^* \otimes \Sigma^* \rightarrow \Sigma^*$
- For the streaming setting, take $\top = \mathbf{I} = 0$ and $\perp = \Sigma^* = \{\bullet\}$

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Definition of the free finite coproduct completion \mathcal{C}_{\oplus}

- **Objects:** formal finite sums $\bigoplus_{u \in U} C_u$ of objects of \mathcal{C} formally pairs $(U, (C_u)_{u \in U})$, U a finite set, $C_u \in \mathcal{C}_0$
- **Morphisms:** $\text{Hom}_{\mathcal{C}_{\oplus}}(\bigoplus_u C_u, \bigoplus_v D_v) = \prod_u \sum_v \text{Hom}_{\mathcal{C}}(C_u, D_v)$ $\cong \sum_f \prod_u \text{Hom}_{\mathcal{C}}(C_u, D_{f(u)})$
- Morphisms $\bigoplus_{q \in Q} R \rightarrow \bigoplus_{q \in Q} R$ correspond to transitions in a SST
- Canonical embedding $\mathcal{C} \rightarrow \mathcal{C}_{\oplus}$ allows to lift streaming settings

Transductions definable in linear λ -calculus can be turned into automata over a category \mathcal{L} of purely linear λ -terms (w/ $\text{const } f_c : o \multimap o$ for $c \in \Sigma$)

Claim

\mathcal{L} -automata compute the same string functions as λ -terms.

Proof: syntactic analysis of normal forms

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Compiling into higher-order transducers

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Proof strategy for linear λ -definable \implies regular function

Define a *functor* $\mathcal{L} \rightarrow \mathcal{R}_\oplus$ preserving enough structure

Useful fact: there is a canonical functor from \mathcal{L} to any *symmetric monoidal closed category* with (co)products

Unfortunately \mathcal{R}_\oplus is **not** monoidal closed...

Toward a monoidal closed category

So far, we encountered:

- \mathcal{L} : category of purely linear λ -terms (w/ $\text{const } f_c : o \multimap o$ for $c \in \Sigma$)
- \mathcal{R} : category of finite sets of registers and copyless assignments
- \mathcal{R}_\oplus : free finite coproduct completion of the latter (add states)

Now consider:

- the free finite *product* completion: $\mathcal{C} \mapsto \mathcal{C}_\& = ((\mathcal{C}^{\text{op}})_\oplus)^{\text{op}}$

Objects: formal products $\&_x C_x$

- the composite completion $\mathcal{C} \mapsto \mathcal{C}_\& \mapsto (\mathcal{C}_\&)_\oplus$

Objects: formal sums of products $\bigoplus_u \&_x C_{u,x}$

similar to de Paiva's *Dialectica* categories **DC**, think $\exists u. \forall x. \varphi(u, x)$

Goals toward our main theorem

- Structure: $(\mathcal{R}_\&)_\oplus$ has finite products and is monoidal closed
- Conservativity: $(\mathcal{R}_\&)_\oplus$ -automata and \mathcal{R}_\oplus -automata are equivalent

Tensorial products can be lifted to the completions

- The new tensorial products satisfy the additional laws

$$A \otimes (B \& C) \equiv (A \otimes B) \& (A \otimes C) \quad A \otimes (B \oplus C) \equiv (A \otimes B) \oplus (A \otimes C)$$

- In particular, $(\mathcal{C}_{\&})_{\oplus}$ has distributive cartesian products

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Structure (1): generic remarks $(\mathcal{C}_{\&})_{\oplus}$

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Lemma (folklore observation about dependent Dialectica categories?)

If \mathcal{C} is symmetric monoidal and $(\mathcal{C}_{\&})_{\oplus}$ has the internal homs $A \multimap B$ for all $A, B \in \mathcal{C}$, then $(\mathcal{C}_{\&})_{\oplus}$ is symmetric monoidal closed.

$$\left(\bigoplus_{u \in U} \&_{x \in X_u} A_x \right) \multimap \left(\bigoplus_{v \in V} \&_{y \in Y_v} B_y \right) = \&_{u \in U} \bigoplus_{v \in V} \&_{y \in Y_v} \bigoplus_{x \in X_u} A_x \multimap B_y$$

Lemma

\mathcal{R}_\oplus has the internal homs $A \multimap B$ for all $A, B \in \mathcal{R}$.

The construction appears in the original SST paper [Alur & Černý 2010] without the categorical vocabulary.

$$\begin{cases} X := abXcY \\ Y := ba \end{cases} \rightsquigarrow \text{shape } \begin{cases} X := Z_1XZ_2Y \\ Y := Z_3 \end{cases} + \text{parameters } Z_1 = ab, \dots$$

copyless SST \implies finitely many shapes: use as states; registers for parameters

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Conclusion

$(\mathcal{R}_{\&})_\oplus$ is symmetric monoidal closed (and almost affine).

Conservativity

Lemma

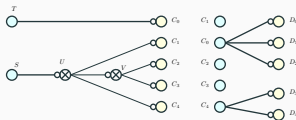
$(\mathcal{C}_{\&})_{\oplus}$ automata are equivalent to non-deterministic \mathcal{C}_{\oplus} automata.

A uniformization (\sim determinization) theorem is enough to conclude

Conservativity

$(\mathcal{R}_{\&})_{\oplus}$ -automata are equivalent to standard SSTs.

- Uniformization already known [Alur & Deshmuk 2011]
- Argument implicitly based on monoidal closure!



Theorem

For any monoidal category \mathcal{C} , if \mathcal{C}_{\oplus} has all the internal homsets $A \multimap B$ for $A, B \in \mathcal{C}$, then $(\mathcal{C}_{\&})_{\oplus}$ -automata and \mathcal{C}_{\oplus} -automata are equivalent.

equivalently: ND \mathcal{C}_{\oplus} -automata can be uniformized

I have just discussed

Today's main theorem [Nguyễn & P.]

regular string function \iff definable by some $t : \text{Str}_\Gamma[A] \multimap \text{Str}_\Sigma$
in ILL with A purely linear

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Using similar tools, analogous result for trees over ranked alphabets

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Specific ingredients:

- Bottom-up categorical tree automata over SMCs
- A reasonably elegant multicategory of tree registers transition \mathcal{R}
 - Generated from the corresponding PROP in a principled way (reminiscent from the notion of clone)
 - Argument for \mathcal{R} -monoidal closure argument generalizes to trees
- Regular functions already known to correspond to $\mathcal{R}_{\oplus \&}$ -automata!

Dropping the additives

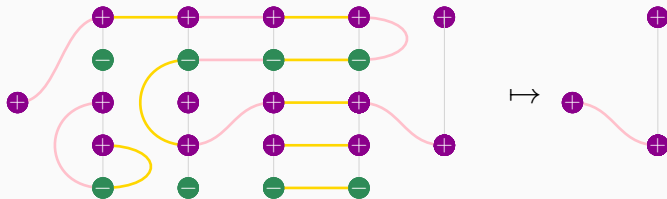
- Allows GoI-style interpretation in categories of diagrams

↪ Interpretation as two-way automata

($\cong \mathbf{Int}(\mathbf{FinPartInj})$)

[Hines 2003]

Define regular languages



Consequence (not interesting)

Every linear term $t : \mathbf{Str}_\Sigma[A] \multimap \mathbf{Bool}$ with $A \rightarrow$ -free defines a regular language.

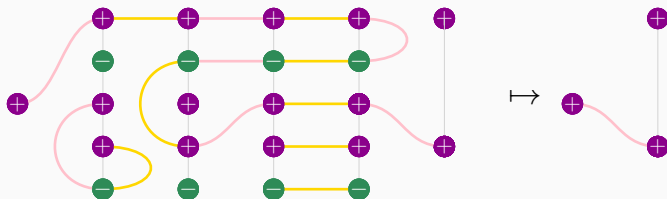
Dropping the additives and commutativity

- Allows GoI-style interpretation in categories of **planar** diagrams

↪ Interpretation as two-way **planar** automata

[Hines 2003,2006]

Define **star-free** languages



Consequence [Nguyễn, P. 2020]

Every **planar** linear term $t : \text{Str}_\Sigma[A] \multimap \text{Str}$ with $A \rightarrow$ -free defines a star-free language.

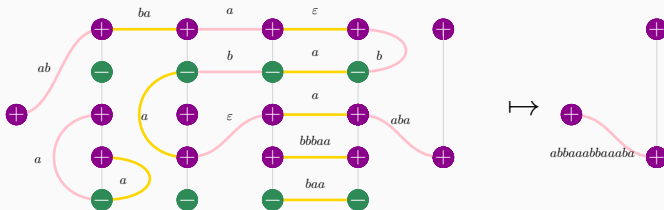
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- Allows GoI-style interpretation in categories of planar **labelled** diagrams

↪ Interpretation as two-way planar **transducers** (2DFTs; w/o registers)

[Hines 2003,2006]

Define **first-order** regular functions



Consequence

Every **planar** linear term $t : \text{Str}_\Sigma[A] \multimap \text{Str}$ with $A \rightarrow$ -free defines a FO-transduction.

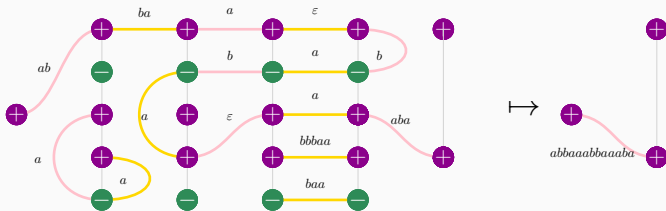
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Consequence

Every **planar** linear term $t : \text{Str}_\Sigma[A] \multimap \text{Str}$ with $A \rightarrow$ -free defines a FO-transduction.

Alas, planar linear terms are much weaker than FO-transductions

(preserve Parikh images)

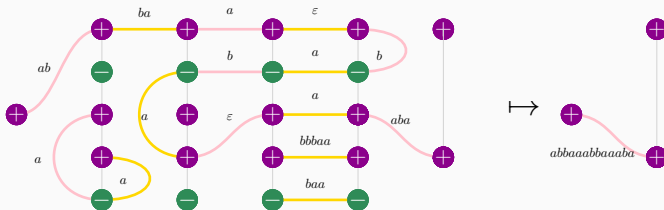
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Define **first-order** regular functions



Conjecture

Every planar **affine** term $t : \text{Str}_\Sigma[A] \multimap \text{Str}$ with $A \rightarrow$ -free defines a FO-transduction.

The converse holds (main ingredient for the proof: the Krohn-Rhodes theorem)

What happened here:

- Connections between Church encodings and automata
- Application of categorical semantics (Dialectica, geometry of interaction (GoI))
- A generic uniformization-like construction $(\mathcal{C}_{\&})_{\oplus} \rightarrow \mathcal{C}_{\oplus}$ for monoidal \mathcal{C} with certain homsets

Some take-aways:

- Important ingredient in uniformization: monoidal closure
- Additive connectives are important for trees
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 - Further links with tree-walking automata?

Broader picture

$\text{Str}_\Sigma[A] \multimap \text{Bool}$ with A linear (adapted as needed):

λ -calculus	languages	status
simply typed	regular	✓ [Hillebrand & Kanellakis 1996]
linear or affine	regular	✓
non-commutative linear or affine	star-free	✓

$\text{Str}_\Gamma[A] \multimap \text{Str}_\Sigma$ with A affine (adapted as needed):

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affine	regular functions	✓
non-commutative affine	first-order regular fn.	✓?
linear/affine with additives	regular functions	✓
parsimonious	polyregular	??
simply typed	variant of CPDA???	???

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Thanks for listening! Questions?

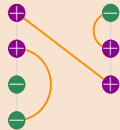
A category of planar diagrams

- Interpret purely linear non-commutative λ -terms in a monoidal closed category
- We consider a non-commutative refinement of Geometry of Interaction

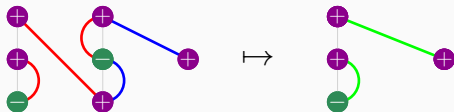
(well-known model of linear logic)

A compact closed category of planar diagrams

- **Objects:** words in $\{+, -\}^*$
- **Morphisms** $u \rightarrow v$: graphs over $|u| + |v|$ with
 - degree ≤ 1 for every node
 - polarity restrictions
 - planarity restriction

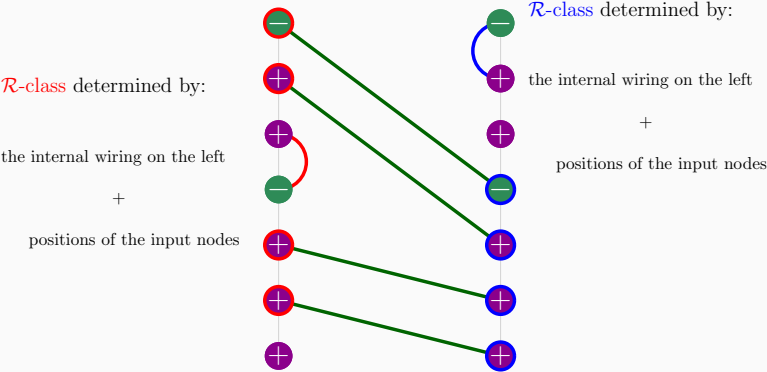


To compute the composition of two morphisms, follow the paths (and forget the middle component)



Aperiodicity

To conclude, we need to show that every $(\text{Hom}(A, A), \circ)$ is finite and aperiodic for every A



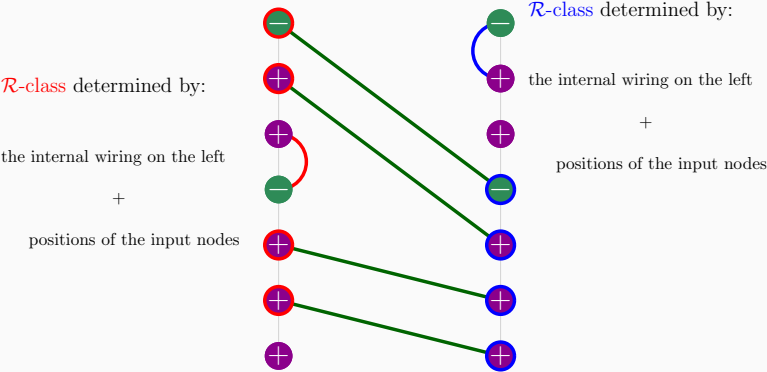
Therefore: planar $\implies \mathcal{H}$ -trivial

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(e.g. order+Kleene's theorem)

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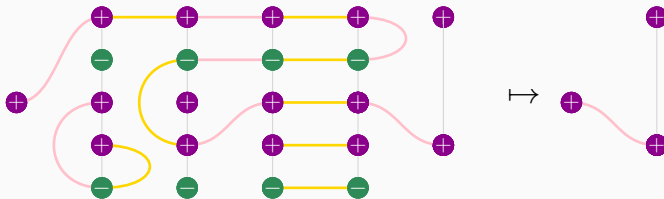
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- More elementary proofs w/o Green relations possible
- Planarity restriction is essential (consider )

(e.g. order+Kleene's theorem)

Diagrams and two-way automata

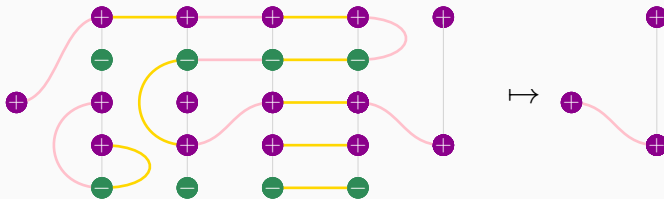
Non-planar diagrams (with crossings): reminiscent of runs in 2DFAs!



- Transition functions $\delta : \Sigma \rightarrow \text{Hom}(Q, Q)$ for some object Q $Q \approx$ set of directed states
- (actually, should also incorporate boundary morphisms $\text{Hom}(+, Q)$ and $\text{Hom}(Q, F)$)
- Planarity restriction \Rightarrow the transition flow monoid is aperiodic
- (links between GoI and planar 2DFAs already considered by (Hines 2003))

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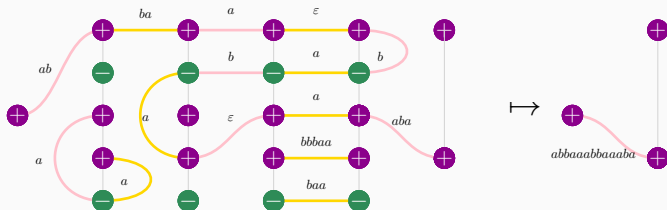
Theorem

Star-free languages are exactly those recognized by planar 2DFAs.

More generally: first-order transductions

Consider a richer category of diagrams where edges are labelled by output words

(labels of compositions given by concatenation)



Much like before, corresponding notion of (planar) 2DFTs.

Theorem

First-order transduction (FO regular functions) are those computed by reversible planar 2DFTs.

- 2DFTs with aperiodic transition monoid = FO regular functions [Carton&Dartois 2015]
(hence reversible planar 2DFTs \subseteq FO-transductions)
- FO transduction \subseteq reversible planar 2DFTs: closure by composition and Krohn–Rhodes
(see <http://nguyentito.eu/2021-01-links.pdf>)