

Axiomatic treatment of variable binding and substitution

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(Draft 12.12.04)

Function symbols: λ (binary), \mathbf{a} (binary), σ (ternary);

Relation symbols: V (unary), FV (binary), red ;

Object variables: $p, q, r, s, t, u, v, w, x, y, z, \dots$

Abbreviations.

$t \in V := V(t)$, $x \in FV(t) := FV(x, t)$, $t \in \text{Abst} := \exists x \exists r (V(x) \wedge t = \lambda x r)$.

Terms are written in the form $f \mathbf{t}_1 \dots \mathbf{t}_n$ or $f(\mathbf{t}_1, \dots, \mathbf{t}_n)$.

Axioms

(A1) $\mathbf{a} r s \notin V \wedge \lambda x r \notin V \wedge \mathbf{a} r s \neq \lambda x r \wedge (\mathbf{a} r s = \mathbf{a} r' s' \rightarrow r = r' \wedge s = s') \wedge (x \in V \wedge \lambda x r = \lambda x r' \rightarrow r = r')$.

(A2.1) $t \in V \rightarrow (y \in FV(t) \leftrightarrow y = t)$.

(A2.2) $y \in FV(\mathbf{a} r s) \leftrightarrow y \in FV(r) \vee y \in FV(s)$.

(A2.3) $x \in V \rightarrow (y \in FV(\lambda x r) \leftrightarrow y \neq x \wedge y \in FV(r))$.

(A3) Induction:

$\forall x \in V \mathcal{F}(x) \wedge \forall r \forall s [\mathcal{F}(r) \wedge \mathcal{F}(s) \rightarrow \mathcal{F}(\mathbf{a} r s)] \wedge \forall t \in \text{Abst} [\forall r (\exists x \in V (t = \lambda x r) \rightarrow \mathcal{F}(r)) \rightarrow \mathcal{F}(t)] \rightarrow \forall t \mathcal{F}(t)$.

(A4.1) $t \in V \wedge x = t \rightarrow \sigma(t, x, q) = q$.

(A4.2) $t \in V \wedge x \neq t \rightarrow \sigma(t, x, q) = t$.

(A4.3) $\sigma(\mathbf{a} r s, x, q) = \mathbf{a} \sigma(r, x, q) \sigma(s, x, q)$.

(A4.4) $x, y \in V \wedge y \neq x \wedge y \notin FV(q) \rightarrow \sigma(\lambda y r, x, q) = \lambda y \sigma(r, x, q)$.

(A4.5) $x \in V \rightarrow \sigma(\lambda x r, x, t) = \lambda x r$.

(A5) $x, y \in V \rightarrow (\lambda x r = \lambda y r' \leftrightarrow y \notin FV(\lambda x r) \wedge r' = \sigma(r, x, y))$.

(A6) $\forall t \exists y \in V (y \notin FV(t))$.

Convention. Informally, the variables x, y, z are considered to range over V . This means that in the following we tacitly assume $x \in V, y \in V, z \in V$, and read $\forall x \mathcal{F}(x)$, $\exists x \mathcal{F}(x)$ as abbreviations for $\forall x (V(x) \rightarrow \mathcal{F}(x))$, $\exists x (V(x) \wedge \mathcal{F}(x))$, resp.

Lemma 0.

$t \in \text{Abst} \rightarrow \exists x \exists r (t = \lambda x r \wedge x \notin FV(s_1) \wedge \dots \wedge x \notin FV(s_n))$.

Proof :

Let $s := \mathbf{a} t \mathbf{a} s_1 \mathbf{a} s_2 \dots \mathbf{a} s_{n-1} s_n$.

1. $\exists x (x \notin FV(s))$ [(A6)],
2. $x \notin FV(s) \rightarrow x \notin FV(t) \wedge x \notin FV(s_1) \wedge \dots \wedge x \notin FV(s_n)$ [(A2.2)]
3. $t \in \text{Abst} \rightarrow \exists y \exists r' (t = \lambda y r')$ [Def]
4. $x \notin FV(t) \wedge t = \lambda y r' \rightarrow t = \lambda y r' = \lambda x \sigma(r', y, x)$ [(A5)].

Lemma 1.

- (a) $x \in \text{FV}(t) \rightarrow (z \in \text{FV}(\sigma(t, x, s)) \leftrightarrow (x \neq z \wedge z \in \text{FV}(t)) \vee z \in \text{FV}(s)).$
- (b) $x \notin \text{FV}(t) \rightarrow \sigma(t, x, s) = t.$
- (c) $\sigma(t, x, x) = t.$
- (d) $t \in \text{Abst} \rightarrow \sigma(t, x, s) \in \text{Abst}.$

Proof :

(a) Induction: Assume $t = \lambda yr \wedge y \notin \text{FV}(s) \wedge y \neq x.$

- 1. $x \in \text{FV}(r)$ [from $x \in \text{FV}(t)$ by (A2.3)]
- 2. $z \in \text{FV}(\sigma(t, x, s)) \stackrel{(A4.4)}{\leftrightarrow} z \in \text{FV}(\lambda y \sigma(r, x, s)) \stackrel{(A2.3)}{\leftrightarrow} y \neq z \wedge z \in \text{FV}(\sigma(r, x, s)) \stackrel{\text{IH}_1^1}{\leftrightarrow} y \neq z \wedge [(x \neq z \wedge z \in \text{FV}(r)) \vee z \in \text{FV}(s)] \stackrel{y \notin \text{FV}(s)}{\leftrightarrow} (x \neq z \wedge y \neq z \wedge z \in \text{FV}(r)) \vee z \in \text{FV}(s) \stackrel{(A2.3)}{\leftrightarrow} (x \neq z \wedge z \in \text{FV}(t)) \vee z \in \text{FV}(s).$

(b) Induction: Assume $t = \lambda yr \wedge y \neq x \wedge y \notin \text{FV}(s).$

$$x \notin \text{FV}(\lambda yr) \wedge y \neq x \rightarrow x \notin \text{FV}(r) \stackrel{\text{IH}}{\rightarrow} \sigma(r, x, s) = r \stackrel{(A4.4)}{\rightarrow} \sigma(t, x, s) = \lambda y \sigma(r, x, s) = \lambda yr = t.$$

(c) Induction: Assume $t = \lambda yr \wedge y \neq x.$ Then also $y \notin \text{FV}(x)$ by (A2.1).

$$\sigma(t, x, x) = \sigma(\lambda yr, x, x) \stackrel{(A4.4)}{=} \lambda y \sigma(r, x, x) \stackrel{\text{IH}}{=} \lambda yr = t.$$

$$(d) t \in \text{Abst} \stackrel{\text{L.0}}{\rightarrow} \exists y, r (t = \lambda yr \wedge x \neq y \wedge y \notin \text{FV}(s)) \stackrel{(A4.4)}{\rightarrow} \exists y, r (\sigma(t, x, s) = \lambda y \sigma(r, x, s)).$$

Lemma 2.

- (a) $z \neq x \wedge (x \notin \text{FV}(t) \vee z \notin \text{FV}(q)) \rightarrow \sigma(\sigma(t, z, s), x, q) = \sigma(\sigma(t, x, q), z, \sigma(s, x, q)).$
- (b) $x \notin \text{FV}(t) \rightarrow \sigma(\sigma(t, z, x), x, q) = \sigma(t, z, q).$
- (c) $\lambda xr = \lambda yr' \rightarrow \sigma(r, x, s) = \sigma(r', y, s).$

Proof :

(a) Induction:

1. $t \in V:$

- 1.1. $t = z: LHS \stackrel{(A4.1)}{=} \sigma(s, x, q) \stackrel{(A4.1)}{=} \sigma(z, z, \sigma(s, x, q)) \stackrel{(A4.2)}{=} RHS.$
- 1.2. $t = x:$ Then $z \notin \text{FV}(q)$ and thus $LHS \stackrel{(A4.2)}{=} \sigma(t, x, q) \stackrel{(A4.1)}{=} q \stackrel{\text{L.1b}}{=} \sigma(q, z, \sigma(s, x, q)) \stackrel{(A4.1)}{=} RHS.$
- 1.3. $t \neq z \wedge t \neq x: LHS \stackrel{(A4.2)}{=} \sigma(t, x, q) \stackrel{(A4.2)}{=} t \stackrel{(A4.2)}{=} \sigma(t, z, \sigma(s, x, q)) \stackrel{(A4.2)}{=} RHS.$

2. $t \in \text{Abst}: \text{Assume } t = \lambda yr \wedge y \neq x \wedge y \neq z \wedge y \notin \text{FV}(s) \wedge y \notin \text{FV}(q) \wedge y \notin \text{FV}(\sigma(s, x, q)).$

By (A2.3) from the premise and $y \neq x$ we obtain $x \notin \text{FV}(r) \vee z \notin \text{FV}(q).$

$$LHS \stackrel{(A4.4)}{=} \sigma(\lambda y \sigma(r, z, s), x, q) \stackrel{(A4.4)}{=} \lambda y \sigma(\sigma(r, z, s), x, q) \stackrel{\text{IH}}{=} \lambda y \sigma(\sigma(r, x, q), z, \sigma(s, x, q)) \stackrel{(A4.4)}{=} \sigma(\lambda y \sigma(r, x, q), z, \sigma(s, x, q)) \stackrel{(A4.4)}{=} RHS.$$

(b) 1. $x = z: \text{L.1c}.$

$$2. x \neq z: \sigma(\sigma(t, z, x), x, q) \stackrel{(a)}{=} \sigma(\sigma(t, x, q), z, \sigma(x, x, q)) \stackrel{\text{L.1b}, (A4.1)}{=} \sigma(t, z, q).$$

$$(c) 1. x = y: \lambda xr = \lambda yr' \stackrel{(A1)}{\rightarrow} r = r' \rightarrow \sigma(r, x, s) = \sigma(r', x, s).$$

$$2. x \neq y: \lambda xr = \lambda yr' \stackrel{(A5)}{\rightarrow} y \notin \text{FV}(r) \wedge r' = \sigma(r, x, y) \rightarrow \sigma(r', y, s) = \sigma(\sigma(r, x, y), y, s) \stackrel{(b)}{=} \sigma(r, x, s).$$

According to Lemma 2c in an *definitional extension* of the present axiom system we can introduce a new function symbol β together with the *axiom*

$$(A7) \quad x \in V \rightarrow \beta(\lambda x r, s) = \sigma(r, x, s).$$

Lemma 3.

- (a) $t = \lambda x r \leftrightarrow x \notin \text{FV}(t) \wedge t \in \text{Abst} \wedge r = \beta(t, x)$.
- (b) $t \in \text{Abst} \wedge z \in \text{FV}(\beta(t, s)) \rightarrow z \in \text{FV}(t) \vee z \in \text{FV}(s)$.

Proof :

$$(a) \quad \text{“}\rightarrow\text{”}: t = \lambda x r \rightarrow \beta(t, x) \stackrel{(A7)}{=} \sigma(r, x, x) \stackrel{\text{L.1c}}{=} r.$$

$$\text{“}\leftarrow\text{”}: x \notin \text{FV}(t) \wedge t \in \text{Abst} \wedge r = \beta(t, x) \rightarrow \exists y, r' (x \notin \text{FV}(t) \wedge t = \lambda y r' \wedge r \stackrel{(A7)}{=} \sigma(r', y, x)) \stackrel{(A5)}{\rightarrow} t = \lambda x r.$$

$$(b) \quad z \in \text{FV}(\beta(\lambda x r, s)) \rightarrow z \in \text{FV}(\sigma(r, x, s)) \stackrel{\text{L.1a,b}}{\rightarrow} (x \neq z \wedge z \in \text{FV}(r)) \vee z \in \text{FV}(s) \stackrel{(A2.3)}{\rightarrow} z \in \text{FV}(\lambda x r) \vee z \in \text{FV}(s).$$

Lemma 4.

$$t \in \text{Abst} \rightarrow \sigma(\beta(t, s), z, q) = \beta(\sigma(t, z, q), \sigma(s, z, q)).$$

Proof :

$$\begin{aligned} \text{By Lemma 0 we can assume } t = \lambda x r \wedge z \neq x \wedge x \notin \text{FV}(q). \text{ Now } \sigma(\beta(t, s), z, q) &\stackrel{(A7)}{=} \sigma(\sigma(r, x, s), z, q) \stackrel{\text{L.2a}}{=} \\ &= \sigma(\sigma(r, z, q), x, \sigma(s, z, q)) \stackrel{(A7)}{=} \beta(\lambda x \sigma(r, z, q), \sigma(s, z, q)) \stackrel{(A4.4)}{=} \beta(\sigma(t, z, q), \sigma(s, z, q)). \end{aligned}$$

Now we introduce a new binary relation symbol red together with the *axiom*

$$(A8) \quad \text{red}(t, t') \leftrightarrow \\ t = t' \vee \\ \exists r, r', s, s' (t = \mathbf{a} r s \wedge t' = \beta(r', s') \wedge \text{red}(r, r') \wedge \text{red}(s, s') \wedge r' \in \text{Abst}) \vee \\ \exists r, r', s, s' (t = \mathbf{a} r s \wedge t' = \mathbf{a} r' s' \wedge \text{red}(r, r') \wedge \text{red}(s, s')) \vee \\ \exists r, r', x (x \in V \wedge t = \lambda x r \wedge t' = \lambda x r' \wedge \text{red}(r, r')).$$

Lemma 5.

- (a) $\text{red}(t, t') \wedge z \in \text{FV}(t') \rightarrow z \in \text{FV}(t)$.
- (b) $\text{red}(t, t') \wedge \text{red}(q, q') \rightarrow \text{red}(\sigma(t, x, q), \sigma(t', x, q'))$.
- (c) $\text{red}(\lambda x r, t') \rightarrow \exists r' (t' = \lambda x r' \wedge \text{red}(r, r'))$.
- (d) $\text{red}(t, t') \wedge \text{red}(s, s') \wedge t \in \text{Abst} \rightarrow \text{red}(\beta(t, s), \beta(t', s'))$.

Proof :

$$(d) \quad t \in \text{Abst} \rightarrow \exists x, r (t = \lambda x r).$$

$$t = \lambda x r \wedge \text{red}(t, t') \stackrel{(c)}{\rightarrow} \exists r' (t' = \lambda x r' \wedge \text{red}(r, r')).$$

$$t = \lambda x r \wedge t' = \lambda x r' \wedge \text{red}(r, r') \wedge \text{red}(s, s') \stackrel{(b)}{\rightarrow}$$

$$\beta(t, s) = \sigma(r, x, s) \wedge \beta(t', s') = \sigma(r', x, s') \wedge \text{red}(\sigma(r, x, s), \sigma(r', x, s')).$$

$$(b) \quad \text{Abb.: } \sigma(t) := \sigma(t, x, q) \text{ and } \sigma'(t) := \sigma(t, x, q').$$

$$1. \quad t = \mathbf{a} r s \wedge t' = \beta(r', s') \wedge \text{red}(r, r') \wedge \text{red}(s, s') \wedge r' \in \text{Abst}: \sigma(t) \stackrel{(A4.3)}{=} \mathbf{a} \sigma(r) \sigma(s) \wedge \sigma(t') \stackrel{\text{L.4}}{=} \beta(\sigma(r'), \sigma(s')) \wedge \sigma(r') \stackrel{\text{L.1d}}{\in} \text{Abst} \text{ and } \text{red}(\sigma(r), \sigma'(r')) \wedge \text{red}(\sigma(s), \sigma'(s')) \text{ by IH.}$$

$$\text{Further } \sigma(t) = \mathbf{a} \sigma(r) \sigma(s) \text{ and } \sigma'(t') = \beta(\sigma'(r'), \sigma'(s')). \text{ Hence } \text{red}(\sigma(t), \sigma'(t')) \text{ by (A8).}$$

2. $t = \lambda yr \wedge t' = \lambda yr' \wedge \text{red}(r, r')$:

By L.0 there exist z with $z \neq x \wedge z \notin \text{FV}(t) \wedge z \notin \text{FV}(t') \wedge z \notin \text{FV}(q)$.

(A5) $\rightarrow t = \lambda z \sigma(r, y, z) \wedge t' = \lambda z \sigma(r', y, z)$.

$t = \lambda yr = \lambda z \sigma(r, y, z) \wedge \text{red}(r, r') \xrightarrow{\text{IH}} \text{red}(\sigma(r, y, z), \sigma(r', y, z))$.

$t = \lambda z \sigma(r, y, z) \wedge \text{red}(\sigma(r, y, z), \sigma(r', y, z)) \xrightarrow{\text{IH}} \text{red}(\sigma(\sigma(r, y, z), x, q), \sigma(\sigma(r', y, z), x, q)) \rightarrow$
 $\rightarrow \text{red}(\lambda z \sigma(\sigma(r, y, z), x, q), \lambda z \sigma(\sigma(r', y, z), x, q))$.

$t = \lambda z \sigma(r, y, z) \wedge t' = \lambda z \sigma(r', y, z) \wedge x \neq z \wedge z \notin \text{FV}(q) \rightarrow$

$\rightarrow \sigma(t, x, q) = \lambda z \sigma(\sigma(r, y, z), x, q) \wedge \sigma(t', x, q) = \lambda z \sigma(\sigma(r', y, z), x, q)$.

(a) 1. $z \in \text{FV}(\beta(r', s')) \xrightarrow{\text{L-3b}} z \in \text{FV}(r') \vee z \in \text{FV}(s') \xrightarrow{\text{IH}} z \in \text{FV}(r) \vee z \in \text{FV}(s) \rightarrow z \in \text{FV}(\mathbf{a}rs)$.

2. $z \in \text{FV}(\lambda xr') \rightarrow z \neq x \wedge z \in \text{FV}(r') \xrightarrow{\text{IH}} z \neq x \wedge z \in \text{FV}(r) \rightarrow z \in \text{FV}(\lambda xr)$.

(c) $\text{red}(\lambda xr, t') \rightarrow \exists p, p', y (\lambda xp = \lambda yp \wedge t' = \lambda yp' \wedge \text{red}(p, p'))$.

$\lambda xr = \lambda yp \wedge t' = \lambda yp' \wedge \text{red}(p, p') \rightarrow x \notin \text{FV}(\lambda yp) \wedge t' = \lambda yp' \wedge \text{red}(p, p') \rightarrow x \notin \text{FV}(t')$;

$t' = \lambda yp' \wedge x \notin \text{FV}(t') \rightarrow t' = \lambda x \sigma(p', y, x)$;

$\text{red}(p, p') \wedge r = \sigma(p, y, x) \rightarrow \text{red}(r, \sigma(p', y, x))$.

Theorem. $\text{red}(t, t') \wedge \text{red}(t, t'') \rightarrow \exists \tilde{t} (\text{red}(t', \tilde{t}) \wedge \text{red}(t'', \tilde{t}))$.

Proof by induction on t :

1. $t = \mathbf{a}rs \wedge t' = \beta(r', s') \wedge \text{red}(r, r') \wedge \text{red}(s, s') \wedge r' \in \text{Abst}$:

1.1. $t'' = \beta(r'', s'') \wedge \text{red}(r, r'') \wedge \text{red}(s, s'') \wedge r'' \in \text{Abst}$:

By I.H. there are \tilde{r}, \tilde{s} such that $\text{red}(r', \tilde{r}), \text{red}(r'', \tilde{r}), \text{red}(s', \tilde{s}), \text{red}(s'', \tilde{s})$.

Hence by Lemma 5d $\text{red}(\beta(r', s'), \beta(\tilde{r}, \tilde{s}))$ and $\text{red}(\beta(r'', s''), \beta(\tilde{r}, \tilde{s}))$.

1.2. $t'' = \mathbf{a}r''s'' \wedge \text{red}(r, r'') \wedge \text{red}(s, s'')$:

By I.H. there are \tilde{r}, \tilde{s} such that $\text{red}(r', \tilde{r}), \text{red}(r'', \tilde{r}), \text{red}(s', \tilde{s}), \text{red}(s'', \tilde{s})$.

Hence by Lemma 5d $\text{red}(\beta(r', s'), \beta(\tilde{r}, \tilde{s}))$ and $\text{red}(\mathbf{a}r''s'', \beta(\tilde{r}, \tilde{s}))$.

2. $t = \mathbf{a}rs \wedge t' = \mathbf{a}r's' \wedge t'' = \mathbf{a}r''s''$: immediate by I.H.

3. $t = \lambda xr, t' = \lambda xr' \wedge \text{red}(r, r')$:

By Lemma 5c we then have $t'' = \lambda xr''$ with $\text{red}(r, r'')$, and the claim follows immediately by the I.H.

4. $t \in V$: trivial.