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# A Type System Describing Unboundedness\*

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We consider nondeterministic higher-order recursion schemes as recognizers of languages of finite words or finite trees. We propose a type system that allows to solve the simultaneous-unboundedness problem (SUP) for schemes: given a set of letters  $A$  and a scheme  $\mathcal{G}$ , is it the case that for every number  $n$  the scheme accepts a word (a tree) in which every letter from  $A$  appears at least  $n$  times. Using this type system we prove that SUP is  $(m - 1)$ -EXPTIME-complete for word-recognizing schemes of order  $m$ , and  $m$ -EXPTIME-complete for tree-recognizing schemes of order  $m$ . Moreover, we establish the reflection property for SUP: out of an input scheme  $\mathcal{G}$  one can create its enhanced version that recognizes the same language but is aware of the answer to SUP.

**Keywords:** simultaneous-unboundedness problem, higher-order recursion schemes, intersection types, reflection

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## 1 Introduction

The *simultaneous-unboundedness problem* (SUP for short, also known as the *diagonal problem*) in its original formulation over finite words asks, for a set of letters  $A$  and a language of words  $L$ , whether for every  $n \in \mathbb{N}$  there is a word in  $L$  where every letter from  $A$  occurs at least  $n$  times. The same problem can be also considered for a language of finite trees. In this paper, we are interested in solving SUP for languages of finite words and finite trees recognized by nondeterministic higher-order recursion schemes.

*Higher-order recursion schemes* (schemes in short) are used to faithfully represent the control flow of programs in languages with higher-order functions. This formalism is equivalent via direct translations to simply-typed  $\lambda Y$ -calculus (Salvati and Walukiewicz, 2016) and to higher-order OI grammars (Damm, 1982; Kobele and Salvati, 2015). Collapsible pushdown systems (Hague, Murawski, Ong, and Serre, 2008) and ordered tree-pushdown systems (Clemente, Parys, Salvati, and Walukiewicz, 2015) are other equivalent formalisms. Schemes cover some other models such as indexed grammars (Aho, 1968) and ordered multi-pushdown automata (Breveglieri, Cherubini, Citrini, and Crespi-Reghezzi, 1996).

By a recent result by Clemente, Parys, Salvati, and Walukiewicz (2016) we know that SUP for higher-order recursion schemes is decidable. For schemes of order  $m$  their algorithm works in  $f(m)$ -fold exponential time for some quadratic function  $f$  (although the complexity of the algorithm is not mentioned explicitly in the paper, it can be easily estimated as being such). Their solution is based on two transformations that simplify a scheme without changing the answer to SUP. These transformations, repeated alternately, reduce the input scheme to a scheme of order 0 for which solving SUP becomes trivial.

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We analyse SUP for schemes using an appropriate system of intersection types. Intersection types were intensively used in the context of schemes, for several purposes like model-checking (Kobayashi, 2009; Kobayashi and Ong, 2009; Broadbent and Kobayashi, 2013; Ramsay, Neatherway, and Ong, 2014), pumping (Kobayashi, 2013), transformations of schemes (Kobayashi, Inaba, and Tsukada, 2014; Asada and Kobayashi, 2016; Clemente et al., 2016), and so on. Among such type systems we have to distinguish those (Parys, 2016, 2017b), in which the (appropriately defined) size of a type derivation for a term approximates some quantity visible in the Böhm tree of that term. In particular, in our recent work (Parys, 2017b) we have developed a type system that allows to solve SUP for a special case of a single-letter alphabet.

Here, we generalize the last type system mentioned above to multiple letters. In result, a type derivation in this system is labeled by flags of different kinds. The key property lies in some (quite rough) correspondence between words (trees) that can be generated from a term and type derivations for the term, where, for every letter  $a$ , the number of appearances of  $a$  in the generated word (tree) is approximated by the number of appearances of an appropriate flag in the type derivation. In effect, SUP reduces to checking whether there exist type derivations with arbitrarily many flags corresponding to every letter from the input set  $A$ .

Thanks to a careful optimization of the developed type system, we obtain an algorithm solving SUP in the optimal complexity. Namely, we prove that SUP is  $(m - 1)$ -EXPTIME-complete for word-recognizing schemes of order  $m$ , and  $m$ -EXPTIME-complete for tree-recognizing schemes of order  $m$ . The corresponding lower bounds are obtained effortlessly, because already much simpler problems for schemes require such a complexity.

Let us recall from Clemente et al. (2016) that the decidability result for SUP entailed other decidability results for recursion schemes, concerning in particular computability of the downward closure of recognized languages (Zetsche, 2015), and the problem of separability by piecewise testable languages (Czerwiński, Martens, van Rooijen, and Zeitoun, 2015). Although our complexity result for SUP does not influence directly our knowledge on the complexity of the other problems (the aforementioned reductions preserve only decidability, but not complexity), it can be seen as the first step in establishing the complexity of the other problems as well.

Going further, we constitute the reflection property for SUP: out of an input scheme  $\mathcal{G}$  one can create its enhanced version that recognizes the same language, but in every moment of the recognition process it is aware of the answer to SUP. In order to obtain this result, we adopt a construction of Haddad (2012, Section 4.2) to the setting of our type system. The reflection property for SUP allows to solve SUP simultaneously for infinitely many languages at once, if they are all described by a single scheme. This has been already used in our recent paper (Parys, 2018b) to establish decidability of model-checking trees generated by recursion schemes with respect to the WMSO+U logic.

The current paper is a full version of a conference paper (Parys, 2017a). The part about the reflection property (Section 10) comes from another conference paper (Parys, 2018b).

Our paper is structured as follows. In Section 2 we introduce all necessary definitions. In Section 3 we introduce the type system describing simultaneous unboundedness, and in Section 4 we optimize the type system in the special case of word-recognizing schemes. Sections 5-8 are devoted to a proof of correctness of the type system. Next, in Section 9 we show how the type system can be used to solve SUP. Then, in Section 10 we establish the reflection property for SUP. Finally, in Section 11 we comment on relations to the task of computing downward closures of languages.

## 2 Preliminaries

**Infinitary lambda-calculus.** The set of *sorts* (a/k/a simple types), constructed from a unique basic sort  $o$  using a binary operation  $\rightarrow$ , is defined as usual. We omit brackets on the right of an arrow, so e.g.  $o \rightarrow (o \rightarrow o)$  is abbreviated to  $o \rightarrow o \rightarrow o$ . The order of a sort is defined by induction:  $\text{ord}(o) = 0$ , and  $\text{ord}(\alpha_1 \rightarrow \dots \rightarrow \alpha_s \rightarrow o) = 1 + \max(\text{ord}(\alpha_1), \dots, \text{ord}(\alpha_s))$  for  $s \geq 1$ .

A sort  $\alpha_1 \rightarrow \dots \rightarrow \alpha_s \rightarrow o$  is *homogeneous* if  $\text{ord}(\alpha_1) \geq \dots \geq \text{ord}(\alpha_s)$  and all  $\alpha_1, \dots, \alpha_s$  are homogeneous. In the sequel we restrict ourselves to homogeneous sorts (even if not always this is written explicitly).

Let  $\Sigma$  be a set of symbols (alphabet). We assume that  $\Sigma$  is finite. To denote nondeterministic choices we use a symbol  $\text{nd}$ . Assuming that  $\text{nd} \notin \Sigma$ , we denote  $\Sigma^{\text{nd}} = \Sigma \cup \{\text{nd}\}$ . Let also  $\text{Vars} = \{x^\alpha, y^\beta, z^\gamma, \dots\}$  be a set of variables, containing infinitely many variables of every homogeneous sort (sort of a variable is written in superscript).

We consider infinitary, sorted lambda-calculus. *Infinitary lambda-terms* (or just *lambda-terms*) are defined by coinduction, according to the following rules:

- node constructor—if  $a \in \Sigma^{\text{nd}}$ , and  $P_1^o, \dots, P_r^o$  are lambda-terms, then  $(a\langle P_1^o, \dots, P_r^o \rangle)^o$  is a lambda-term,
- variable—every variable  $x^\alpha \in \text{Vars}$  is a lambda-term,
- application—if  $P^{\alpha \rightarrow \beta}$  and  $Q^\alpha$  are lambda-terms, then  $(P^{\alpha \rightarrow \beta} Q^\alpha)^\beta$  is a lambda-term, and
- lambda-binder—if  $P^\beta$  is a lambda-term and  $x^\alpha$  is a variable, then  $(\lambda x^\alpha. P^\beta)^{\alpha \rightarrow \beta}$  is a lambda-term;

in the above,  $\alpha, \beta$ , and  $\alpha \rightarrow \beta$  are homogeneous sorts. We naturally identify lambda-terms differing only in names of bound variables. We often omit the sort annotations of lambda-terms, but we keep in mind that every lambda-term (and every variable) has a particular sort. *Free variables* of a lambda-term are defined as usual. A lambda-term  $P$  is *closed* if it has no free variables.

For a lambda-term  $P$ , the *order* of  $P$  is just the order of its sort, while the *complexity* of  $P$  is the smallest number  $m$  such that the order of all subterms of  $P$  is at most  $m$ . We restrict ourselves to lambda-terms that have finite complexity. We also define the order of a beta-reduction as the order of the involved variable. More precisely, for a number  $k \in \mathbb{N}$ , we say that there is a beta-reduction of order  $k$  from a lambda-term  $P$  to a lambda-term  $Q$ , written  $P \rightarrow_{\beta(k)} Q$ , if  $Q$  is obtainable from  $P$  by replacing a redex  $(\lambda x. R) S$  where  $\text{ord}(x) = k$  with  $R[S/x]$ .

**Trees.** A *tree* is defined as a lambda-term that is built using only node constructors, that is, not using variables, applications, nor lambda-binders. A tree is  $\Gamma$ -*labeled* if only symbols from  $\Gamma$  appear in it.

Let us now define how we resolve nondeterministic choices. Although this is mainly used for trees, we define it for arbitrary lambda-terms. We write  $P \rightarrow_{\text{nd}} Q$  if  $Q$  is obtained from  $P$  by choosing some appearance of the  $\text{nd}$  symbol surrounded only by symbols from  $\Sigma$ , and removing this  $\text{nd}$  symbol together with all but one of its arguments. Formally, we let  $\rightarrow_{\text{nd}}$  to be the smallest relation such that  $\text{nd}\langle P_1, \dots, P_r \rangle \rightarrow_{\text{nd}} P_i$  for  $i \in \{1, \dots, r\}$ , and if  $a \in \Sigma$ , and  $P_i \rightarrow_{\text{nd}} P'_i$  for some  $i \in \{1, \dots, r\}$ , and  $P_j = P'_j$  for all  $j \in \{1, \dots, r\} \setminus \{i\}$ , then  $a\langle P_1, \dots, P_r \rangle \rightarrow_{\text{nd}} a\langle P'_1, \dots, P'_r \rangle$ . For a relation  $r$ , by  $r^*$  we denote the reflexive transitive closure of  $r$ . For a lambda-term  $P$  (which is usually a  $\Sigma^{\text{nd}}$ -labeled, potentially infinite tree), by  $\mathcal{L}(P)$  we denote the set of all finite,  $\Sigma$ -labeled trees  $T$  such that  $P \rightarrow_{\text{nd}}^* T$ .

**Böhm Trees.** We consider Böhm trees only for closed lambda-terms of sort  $o$ . For such a term  $P$ , its *Böhm tree*  $BT(P)$  is constructed by coinduction, as follows: if there is a sequence of beta-reductions from  $P$  to a lambda-term of the form  $a\langle P_1, \dots, P_r \rangle$  (where  $a \in \Sigma^{\text{nd}}$ ), then  $BT(P) = a\langle BT(P_1), \dots, BT(P_r) \rangle$ ;

otherwise  $BT(P) = \text{nd}\langle \rangle$ .

**Higher-Order Recursion Schemes.** We use a very loose definition of schemes. A *higher-order recursion scheme* (or just a *scheme*) is a triple  $\mathcal{G} = (\mathcal{N}, \mathcal{R}, N_0^o)$ , where  $\mathcal{N} \subseteq \text{Vars}$  is a finite set of nonterminals,  $\mathcal{R}$  is a rules function that maps every nonterminal  $N \in \mathcal{N}$  to a finite lambda-term whose free variables are contained in  $\mathcal{N}$  and whose sort equals the sort of  $N$ , and  $N_0^o \in \mathcal{N}$  is a starting nonterminal, being of sort  $o$ . We assume that elements of  $\mathcal{N}$  are not used as bound variables, and that  $\mathcal{R}(N)$  is not a nonterminal. The order of the scheme is defined as the maximum of complexities of  $\mathcal{R}(N)$  over all its nonterminals  $N$ .

For a scheme  $\mathcal{G} = (\mathcal{N}, \mathcal{R}, N_0^o)$ , and for a lambda-term  $P$  (possibly containing some nonterminals from  $\mathcal{N}$ ), let  $\Lambda_{\mathcal{G}}(P)$  be the lambda-term obtained as a limit of applying recursively the following operation to  $P$ : take an appearance of some nonterminal  $N$ , and replace it by  $\mathcal{R}(N)$  (the nonterminals should be chosen so that every nonterminal is eventually replaced). We remark that while substituting  $\mathcal{R}(N)$  for a nonterminal  $N$ , there is no need for any renaming of variables (capture-avoiding substitution), since  $\mathcal{R}(N)$  does not have free variables other than nonterminals. The infinitary lambda-term *represented by*  $\mathcal{G}$  is defined as  $\Lambda_{\mathcal{G}}(N_0^o)$ , and is denoted  $\Lambda(\mathcal{G})$ . Observe that  $\Lambda(\mathcal{G})$  is a closed lambda-term of sort  $o$  and of complexity not greater than the order of the scheme. The *language of*  $\mathcal{G}$  is defined as  $\mathcal{L}(\mathcal{G}) = \mathcal{L}(BT(\Lambda(\mathcal{G})))$ .

We remark that according to our definition all subterms of all lambda-terms (and all nonterminals as well) have homogeneous sorts; usually it is not assumed that sorts used in a scheme are homogeneous. It is, however, the case that any scheme using also non-homogeneous sorts can be converted into one in which all sorts are homogeneous, and that this can be done in logarithmic space (Parys, 2018a). We make the homogeneity assumption for technical convenience. We refer the reader to Appendix A for a comment on other differences between our definition and the usual one.

A *word* is defined as a tree in which every node has at most one child (such a tree can be identified with a word understood in the classic sense). We say that a lambda-term  $P$  is *word-recognizing* if for every its subterm of the form  $a\langle P_1, \dots, P_r \rangle$  with  $a \in \Sigma$  it holds  $r \leq 1$ ; a scheme  $\mathcal{G}$  is *word-recognizing* if  $\Lambda(\mathcal{G})$  is word-recognizing. In this case, all elements of  $\mathcal{L}(BT(P))$  or  $\mathcal{L}(\mathcal{G})$ , respectively, are words.

**Example 2.1.** Consider the higher-order recursion scheme  $\mathcal{G}_1$  with two nonterminals,  $M^o$  (taken as the starting nonterminal) and  $N^{(o \rightarrow o) \rightarrow o}$ , and with rules

$$\mathcal{R}(M) = N(\lambda x. \text{nd}\langle a\langle x \rangle, b\langle x \rangle \rangle), \quad \mathcal{R}(N) = \lambda f. \text{nd}\langle f(c\langle \rangle), N(\lambda y. f(f y)) \rangle.$$

We obtain  $\Lambda(\mathcal{G}_1) = R_1(\lambda x. \text{nd}\langle a\langle x \rangle, b\langle x \rangle \rangle)$ , where  $R_1$  is the unique lambda-term such that  $R_1 = \lambda f. \text{nd}\langle f(c\langle \rangle), R_1(\lambda y. f(f y)) \rangle$ . We have  $BT(\Lambda(\mathcal{G}_1)) = \text{nd}\langle T_{2^0}, \text{nd}\langle T_{2^1}, \text{nd}\langle T_{2^2}, \dots \rangle \rangle \rangle$ , where  $T_0 = c\langle \rangle$  and  $T_{i+1} = \text{nd}\langle a\langle T_i \rangle, b\langle T_i \rangle \rangle$ . In  $\mathcal{L}(\mathcal{G}_1)$  we have words of length  $2^i + 1$  for all  $i \in \mathbb{N}$ , where the first  $2^i$  letters are chosen from  $\{a, b\}$  arbitrarily, and the last letter is  $c$ . In the following examples we continue to consider this scheme, assuming that  $\Sigma = \{a, b, c\}$ ; using our type system, we want to exhibit the fact that in  $\mathcal{L}(\mathcal{G}_1)$  there are words having simultaneously many letters  $a$  and many letters  $b$ .

Let us also define formally the size of a higher-order recursion scheme. The size of a sort  $\alpha$ , denoted  $|\alpha|$ , is defined by induction on the structure of  $\alpha$ :  $|o| = 1$  and  $|\alpha \rightarrow \beta| = |\alpha| + 1 + |\beta|$ . The size of a finite lambda-term  $P$ , denoted  $|P|$ , is also defined by induction on its structure, as follows:

$$\begin{aligned} |a\langle P_1, \dots, P_r \rangle| &= 1 + |P_1| + \dots + |P_r|, & |PQ| &= |P| + 1 + |Q|, \\ |x^\alpha| &= 1, & |\lambda x^\alpha. P| &= |\alpha| + 1 + |P|. \end{aligned}$$

Finally, the size of a scheme  $\mathcal{G} = (\mathcal{N}, \mathcal{R}, N_0)$ , denoted  $|\mathcal{G}|$ , is defined as

$$|\mathcal{G}| = \sum_{N^\alpha \in \mathcal{N}} (|\alpha| + |\mathcal{R}(N^\alpha)|).$$

**Remark.** We notice that to the size of a scheme we include sizes of sorts of all bound variables and all nonterminals. Although in “reasonable cases” lambda-terms using large sorts are large anyway, this is sometimes important. For example, to the size of the lambda-term  $(\lambda x^\alpha \rightarrow^o . a \langle \rangle) (\lambda y^\alpha . a \langle \rangle)$  we prefer to include the size of  $\alpha$ , as otherwise the size of this lambda-term would be small even for a very large  $\alpha$ . Similarly, in  $\mathcal{G}$  we can have a nonterminal  $N$  of some sort  $\alpha$  with rule  $\mathcal{R}(N) = (\lambda x^\alpha . N) (a \langle \rangle)$ ; in such a case we also prefer to include the size of  $\alpha$  to the size of  $\mathcal{G}$ .

### 3 Type System for Simultaneous Unboundedness

In this section we introduce a type system that allows to solve SUP for schemes.

**Definition 3.1.** For a set of trees  $L$  and a set of symbols  $A$ , the predicate  $SUP_A(L)$  holds if for every  $n \in \mathbb{N}$  there is some  $T \in L$  with at least  $n$  occurrences of every symbol from  $A$ . The *simultaneous-unboundedness problem (SUP)* for tree-recognizing order- $m$  schemes is to decide whether  $SUP_A(\mathcal{L}(\mathcal{G}))$  holds, given a scheme  $\mathcal{G}$  of order at most  $m$  and a set  $A$ . SUP for *word-recognizing* order- $m$  schemes is as the above, but with the restriction that  $\mathcal{G}$  is word-recognizing.

We remark that the language of infinite trees  $T$  for which  $SUP_A(\mathcal{L}(T))$  holds is not regular (due to a simple pumping argument)—SUP talks about unboundedness of some quantities. This makes the problem inaccessible for standard methods used for analyzing schemes, as they usually concern only regular properties of the Böhm tree; it was necessary to develop methods accessing some quantities visible in the Böhm tree.

**Intuitions.** The main novelty of our type system lies in labeling nodes of type derivations by two kinds of labels called flags and markers. To each marker we assign a number, called an order. Flags, beside of their order, are also identified by a symbol from  $\Sigma$ ; thus we have  $(k, a)$ -flags for  $k \in \mathbb{N}$  and  $a \in \Sigma$ . While deriving a type for a lambda-term of complexity at most  $m + 1$  (i.e., where every variable has order at most  $m$ ), we use markers of order from the range  $0, \dots, m$ , and flags of order from the range  $0, \dots, m + 1$ .

Let  $P_{m+1}$  be a lambda-term of complexity at most  $m + 1$ . Recall that our goal is to describe a tree  $T \in \mathcal{L}(BT(P_{m+1}))$  using a type derivation for  $P_{m+1}$  itself. While doing that, we want to preserve the information that  $T$  has many appearances of every symbol from a set  $A$ .

Since  $T$  can be found in some finite prefix of  $BT(P_{m+1})$ , in order to find  $T$  it is enough to perform finitely many beta-reductions from  $P_{m+1}$ . Moreover, thanks to the fact that all sorts are homogeneous, the beta-reductions can be rearranged so that those of higher order are performed first. Namely, we can find lambda-terms  $P_0, \dots, P_m$  such that

$$P_{m+1} \rightarrow_{\beta(m)}^* P_m \rightarrow_{\beta(m-1)}^* \dots \rightarrow_{\beta(0)}^* P_0 \quad \text{and} \quad P_0 \rightarrow_{\text{nd}}^* T.$$

Some prefix of  $P_0$  can be seen as a tree, in which we can find all nodes of  $T$ , interleaved with some additional nd-labeled nodes. For every symbol  $a \in \Sigma$ , let us place  $(0, a)$ -flags in all  $a$ -labeled nodes of  $P_0$  that are taken to  $T$ .

Notice that every node constructor of  $P_0$  was created out of some particular appearance of a node constructor in  $P_1$ . Using this correspondence, we would like to move flags from  $P_0$  back to  $P_1$ , and then to  $P_2$ , and so on, so that it would be enough to check the number of flags in the original lambda-term  $P_{m+1}$ . We cannot do this directly, though. The problem is that a single node constructor in  $P_1$  may result in multiple (uncontrollably many) node constructors with a flag in  $P_0$ . We rescue ourselves by considering only  $|\Sigma|$  paths in  $P_0$ , one for each symbol in  $\Sigma$ . Namely, for every symbol  $a \in \Sigma$  we place in  $P_0$  a marker of order 0, choosing in this way the path from the root to the position of this marker. Then, for every node labeled by a  $(0, a)$ -flag we place a  $(1, a)$ -flag in the closest ancestor that lies on the chosen path. Although the number of  $(1, a)$ -flags may be smaller than the number of  $(0, a)$ -flags (the closest ancestor on the path may be the same for multiple  $(0, a)$ -flags), we can ensure that it is smaller only logarithmically; to do so, we choose the marked node in a clever way: starting from the root, we always proceed to this subtree in which the number of  $(0, a)$ -flags is the largest. In effect, if the number of  $(0, a)$ -flags was “very large”, then also the number of  $(1, a)$ -flags remains “very large”.

Once for every  $a \in \Sigma$  all  $(1, a)$ -flags lie on a single path of  $P_0$ , we can transfer them back to  $P_1$ . Namely, we find node constructors of  $P_1$  out of which in  $P_0$  we obtain node constructors with  $(1, a)$ -flags, and we put  $(1, a)$ -flags also in these node constructors of  $P_1$ . The crucial observation is that no two flagged node constructors of  $P_0$  could come out of a single node constructor of  $P_1$ . Indeed, recall that all the beta-reductions between  $P_1$  and  $P_0$  are of order 0. This means that in every such beta-reduction we take a whole subtree (i.e., a lambda-term of sort  $o$ ) of  $P_1$ , and we replace it somewhere, possibly replicating it. But since all  $(1, a)$ -flags lie in  $P_0$  on a single path, they may lie only in at most one copy of the replicated subtree. In effect, the number of appearances of order-1 flags (for every symbol  $a$ ) is the same in  $P_1$  as in  $P_0$ . In order to be able to easily check correctness of the labeling of  $P_1$  by order-1 flags, we transfer there from  $P_0$  not only these flags, but also order-0 flags (whose number may change, though) and order-0 markers.

We continue by repeating the same process until reaching  $P_{m+1}$ : in  $P_2$  we again reduce our considerations to  $|\Sigma|$  paths by introducing markers of order 1, we place  $(2, a)$ -flags on these paths, we transfer all flags and markers back to  $P_2$ , and so on. At the end we obtain some labeling of  $P_{m+1}$  by several kinds of flags and markers. The goal of the type system we develop is, roughly speaking, to ensure that a labeling of  $P_{m+1}$  by flags and markers is actually obtainable in the process as above (in fact, we are not labeling nodes of  $P_{m+1}$  itself, but rather nodes of a type derivation for  $P_{m+1}$ ).

**Type Judgments.** For storing the information about flags and markers used in a derivation of a type we use flag sets and marker multisets. Recall that a flag is parameterized by a pair  $(k, a)$ , where  $k \in \mathbb{N}$  is called an order, and  $a \in \Sigma$  is called a symbol. For flags it is enough to remember for every order whether at least one flag of this order was used, and if so, then also a symbol of this flag (if flags with multiple symbols were used, it is enough for us to remember just one of these symbols). Thus for  $m \geq -1$  we define  $\mathcal{F}_m^\Delta$  to contain sets  $F \subseteq \{0, \dots, m\} \times \Sigma$  such that  $(k, a), (k, b) \in F$  implies  $a = b$ . Such sets  $F$  are called *m-bounded flag  $\Delta$ -sets*.<sup>(i)</sup> For markers the situation is slightly different, as we want to remember precisely how many markers were used. Moreover, markers do not have a symbol, only an order. We thus define  $\mathcal{M}_m^\Delta$  to contain functions  $M: \mathbb{N} \rightarrow \{0, \dots, |\Sigma|\}$  such that  $M(k) = 0$  for all  $k > m$ . Such functions  $M$  are called *m-bounded marker  $\Delta$ -multisets*. The intention is that  $M(k)$  says how many markers of order  $k$  were used.

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<sup>(i)</sup> We use the  $\Delta$  symbol in order to distinguish this type system, working for all tree-recognizing lambda-terms, from the type system introduced in Section 4, working only for word-recognizing lambda-terms.

By  $M + M'$  and  $M - M'$  we mean the coordinatewise sum or difference, respectively. We use  $\mathbf{0}$  to denote a function that maps every element of its domain to 0 (where the domain should be always clear from the context). By  $\{k_1, \dots, k_n\}$  we mean the multiset  $M$  such that  $M(k) = |\{i \in \{1, \dots, n\} \mid k_i = k\}|$  for all  $k \in \mathbb{N}$ . When  $F \in \mathcal{F}_m^\Delta$ ,  $M \in \mathcal{M}_m^\Delta$ ,  $n \in \mathbb{N}$ , and  $\square$  is one of  $\leq, >$ , we write  $F|_{\square n}$  for  $\{(k, a) \in F \mid k \square n\}$ , and  $M|_{\square n}$  for the function that maps every  $k$  to  $M(k)$  if  $k \square n$ , and to 0 if  $\neg(k \square n)$ .

Next, for every sort  $\alpha$  and for  $m \geq -1$  we define three sets: the set  $\mathcal{T}^{\Delta\alpha}$  of  $\Delta$ -types of sort  $\alpha$ , the set  $\mathcal{TT}_m^{\Delta\alpha}$  of  $m$ -bounded type  $\Delta$ -triples of sort  $\alpha$ , and the set  $\mathcal{TC}^{\Delta\alpha}$  of triple  $\Delta$ -containers of sort  $\alpha$  (we often ignore the prefix  $\Delta$ , and we simply talk about types, type triples, etc.). They are defined by mutual induction on the structure of  $\alpha$ .

If  $\alpha = \alpha_1 \rightarrow \dots \rightarrow \alpha_s \rightarrow o$ , the set  $\mathcal{T}^{\Delta\alpha}$  contains types that are of the form  $C_1 \rightarrow \dots \rightarrow C_s \rightarrow o$ , where  $C_i \in \mathcal{TC}^{\Delta\alpha_i}$  for  $i \in \{1, \dots, s\}$ .

Type triples in  $\mathcal{TT}_m^{\Delta\alpha}$  are triples  $(F, M, \tau) \in \mathcal{F}_m^\Delta \times \mathcal{M}_m^\Delta \times \mathcal{T}^{\Delta\alpha}$ , where  $M(k) = 0$  for all  $(k, a) \in F$ . These triples store a type, together with the information about flags and markers used while deriving this type. In order to distinguish type triples from types, the former are denoted by letters with a hat, like  $\hat{\tau}$ . We also define a function  $\text{Mk}$  that extracts the marker multiset out of a type triple:  $\text{Mk}(\hat{\tau}) = M$  for  $\hat{\tau} = (F, M, \tau)$ . A type triple is *balanced* if  $\text{Mk}(\hat{\tau}) = \mathbf{0}$ ; otherwise it is *unbalanced*.

Triple containers are used to store (multi)sets of type triples that have to be derived for an argument of a lambda-term, or for a lambda-term substituted for a free variable. For balanced type triples, triple containers behave like sets, that is, they remember only whether every balanced type triple is required or not. Conversely, for unbalanced type triples, triple containers behave like multisets, that is, they remember precisely how many times every unbalanced type triple is required. Thus, formally, in  $\mathcal{TC}^{\Delta\alpha}$  we have functions  $C: \mathcal{TT}_{\text{ord}(\alpha)}^{\Delta\alpha} \rightarrow \{0, \dots, |\Sigma|\}$  such that  $C(\hat{\tau}) \leq 1$  if  $\text{Mk}(\hat{\tau}) = \mathbf{0}$ . For  $C \in \mathcal{TC}^{\Delta\alpha}$  we define  $\text{Mk}(C) = \sum_{\hat{\tau} \in \mathcal{TT}_{\text{ord}(\alpha)}^{\Delta\alpha}} \sum_{i=1}^{C(\hat{\tau})} \text{Mk}(\hat{\tau})$ . For two triple containers  $C, D \in \mathcal{TC}^{\Delta\alpha}$  we define their sum  $C \sqcup D: \mathcal{TT}_{\text{ord}(\alpha)}^{\Delta\alpha} \rightarrow \mathbb{N}$  so that for every  $\hat{\tau} \in \mathcal{TT}_{\text{ord}(\alpha)}^{\Delta\alpha}$ ,

$$(C \sqcup D)(\hat{\tau}) = \begin{cases} C(\hat{\tau}) + D(\hat{\tau}) & \text{if } \text{Mk}(\hat{\tau}) \neq \mathbf{0}, \\ \max(C(\hat{\tau}), D(\hat{\tau})) & \text{if } \text{Mk}(\hat{\tau}) = \mathbf{0}. \end{cases}$$

We also say that  $C \sqsubseteq D$  if  $C(\hat{\tau}) = D(\hat{\tau})$  for every unbalanced  $\hat{\tau} \in \mathcal{TT}_{\text{ord}(\alpha)}^{\Delta\alpha}$ , and  $C(\hat{\tau}) \leq D(\hat{\tau})$  for every balanced  $\hat{\tau} \in \mathcal{TT}_{\text{ord}(\alpha)}^{\Delta\alpha}$ . We sometimes write  $\{\hat{\tau}_1, \dots, \hat{\tau}_n\}$  or  $\{\hat{\tau}_i \mid i \in \{1, \dots, n\}\}$  to denote the triple container  $C$  such that  $C(\hat{\sigma}) = |\{i \in \{1, \dots, n\} \mid \hat{\tau}_i = \hat{\sigma}\}|$  for every unbalanced type triple  $\hat{\sigma}$ , and  $C(\hat{\sigma}) = 1 \Leftrightarrow \exists i \in \{1, \dots, n\}. \hat{\tau}_i = \hat{\sigma}$  for every balanced type triple  $\hat{\sigma}$ .

A *type  $\Delta$ -environment* is a function  $\Gamma$  that maps every variable  $x^\alpha$  to a triple container from  $\mathcal{TC}_{\text{ord}(\alpha)}^{\Delta\alpha}$ . We use  $\varepsilon$  to denote the type environment mapping every variable to  $\mathbf{0}$ . When  $\Gamma(x) = \mathbf{0}$ , by  $\Gamma[x \mapsto C]$  we denote the type environment that maps  $x$  to  $C$ , and every other variable  $y$  to  $\Gamma(y)$  (whenever we write  $\Gamma[x \mapsto C]$ , we implicitly require that  $\Gamma(x) = \mathbf{0}$ ). For two type environments  $\Gamma, \Gamma'$  we define their sum  $\Gamma \sqcup \Gamma'$  so that  $(\Gamma \sqcup \Gamma')(x) = \Gamma(x) \sqcup \Gamma'(x)$  for every variable  $x$ ; moreover, we say that  $\Gamma \sqsubseteq \Gamma'$  if  $\Gamma(x) \sqsubseteq \Gamma'(x)$  for every variable  $x$ .

A *type  $\Delta$ -judgment* is of the form  $\Gamma \vdash_m^\Delta P: \hat{\tau} \triangleright c$ , where  $\Gamma$  is a type  $\Delta$ -environment,  $m \geq -1$  is called the *order* of the type judgment,  $P$  is a lambda-term,  $\hat{\tau}$  is an  $m$ -bounded type  $\Delta$ -triple of the same sort as  $P$  (i.e.,  $\hat{\tau} \in \mathcal{TT}_m^{\Delta\alpha}$  when  $P$  is of sort  $\alpha$ ), and  $c$  is a function  $\Sigma \rightarrow \mathbb{N}$  called a *flag counter*. Having two functions with values in natural numbers (in particular: two flag counters),  $f, g: X \rightarrow \mathbb{N}$ , we write  $f \leq g$  when  $f(x) \leq g(x)$  for every  $x \in X$ .



As usually for intersection types, the intuitive meaning of a type  $C \rightarrow \tau$  is that a lambda-term having this type can return a lambda-term having type  $\tau$ , while taking an argument for which we can derive all type triples from  $C$ . Let us now explain the meaning of a type judgment  $\Gamma \vdash_m^\Delta P : (F, M, \tau) \triangleright c$ . Obviously  $\tau$  is the type derived for  $P$ , and  $\Gamma$  contains type triples that could be used for free variables of  $P$  in the derivation. As explained above for triple containers, balanced and unbalanced type triples behave differently: all unbalanced type triples assigned to variables by  $\Gamma$  have to be used exactly once in the derivation; conversely, balanced type triples may be used any number of times. Going further, the order  $m$  of the type judgment bounds the order of flags and markers that can be used in the derivation: flags can be of order at most  $m + 1$ , and markers of order at most  $m$ . The multiset  $M$  counts markers used in the derivation, together with those provided by free variables (i.e., we imagine that some derivations, specified by the type environment, are already substituted for free variables in our derivation); we, however, do not include markers provided by arguments of the lambda-term (i.e., coming from the triple containers  $C_i$  when  $\tau = C_1 \rightarrow \dots \rightarrow C_s \rightarrow o$ ). The set  $F$  contains an information about flags of order at most  $m$  used in the derivation. A pair  $(k, a)$  can be contained in  $F$  if a  $(k, a)$ -flag is placed in the derivation itself, or provided by a free variable, or provided by an argument. We do not have to keep in  $F$  all such pairs, that is, if we can derive a type triple with some flag set  $F$ , then we can derive it also with every subset of  $F$  as the flag set. In fact, we cannot keep in  $F$  all such pairs due to two restrictions. First, the definition of a flag set allows to have in  $F$  at most one pair  $(k, a)$  for every order  $k$ . Second, we intentionally remove from  $F$  all pairs  $(k, a)$  for which  $M(k) > 0$ . Finally, in a type judgment we have a flag counter  $c$ , which for each symbol  $a$  counts the number of  $(m + 1, a)$ -flags present in the derivation.

**Type System.** Before giving rules of the type system, let us state two general facts. First, all type derivations are assumed to be finite—although we derive types mostly for infinite lambda-terms, each type derivation analyzes only a finite part of a term. Second, we require that premisses and conclusions of all rules are valid type judgments. For example, when the type environment appearing in the conclusion of a rule is  $\Gamma \sqcup \Gamma'$ , this implies that for all  $x$  and all unbalanced type triples  $\hat{\tau}$  it holds  $\Gamma(x)(\hat{\tau}) + \Gamma'(x)(\hat{\tau}) \leq |\Sigma|$  (so that  $(\Gamma \sqcup \Gamma')(x)$  is indeed a valid triple container). Let us also remark that rules of the type system guarantee that the order  $m$  of all type judgments used in a derivation is the same.

Rules of the type system correspond to particular constructs of lambda-calculus. We start by giving the first three rules:

$$\frac{M \upharpoonright_{\leq \text{ord}(x)} = M'}{\varepsilon[x \mapsto \{(F, M', \tau)\}] \vdash_m^\Delta x : (F, M, \tau) \triangleright \mathbf{0}} \text{ (VAR)} \quad \frac{\Gamma \vdash_m^\Delta P_i : \hat{\tau} \triangleright c \quad i \in \{1, \dots, r\}}{\Gamma \vdash_m^\Delta \text{nd}\langle P_1, \dots, P_r \rangle : \hat{\tau} \triangleright c} \text{ (ND)}$$

$$\frac{\Gamma[x \mapsto C'] \vdash_m^\Delta P : (F, M, \tau) \triangleright c \quad C' \sqsubseteq C}{\Gamma \vdash_m^\Delta \lambda x. P : (F, M - \text{Mk}(C), C \rightarrow \tau) \triangleright c} \text{ (\lambda)}$$

The (VAR) rule allows to have in the resulting marker multiset  $M$  some numbers that do not come from the multiset assigned to  $x$  by the type environment; these are the orders of markers placed in the leaf using this rule. Notice, however, that we allow here only orders greater than  $\text{ord}(x)$ . This is consistent with the intuitive description of the type system (page 5), which says that a marker of order  $k$  can be put in a place that will be a leaf after performing all beta-reductions of order at least  $k$ . Indeed, the variable  $x$  remains a leaf after performing beta-reductions of orders greater than  $\text{ord}(x)$ , but while performing beta-reductions of order  $\text{ord}(x)$  this leaf is replaced by a subterm substituted for  $x$ . Recall also that, by definition of a type judgment, we require that  $(F, M', \tau) \in \mathcal{TT}_{\text{ord}(x)}^{\Delta\alpha}$  and  $(F, M, \tau) \in \mathcal{TT}_m^{\Delta\alpha}$ , for appropriate sort  $\alpha$ ; this introduces a bound on maximal numbers that may appear in  $F$  and  $M$ .

**Example 3.1.** Denoting  $\hat{\rho}_0^{\Delta all} = (\emptyset, \{0, 0, 0\}, o)$  we can derive:

$$\frac{}{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta x : (\emptyset, \{0, 0, 0\}, o) \triangleright \mathbf{0}} \text{ (VAR)}$$

$$\frac{}{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta x : (\emptyset, \{0, 0, 0, 1, 1, 1\}, o) \triangleright \mathbf{0}} \text{ (VAR)}$$

In the second derivation, three markers of order 1 are placed in the conclusion of the rule. We could equally well place one or two such markers (but not four, because in our examples we assume that  $|\Sigma| = 3$ ).

We see that to derive a type for the nondeterministic choice  $\text{nd}\langle P_1, \dots, P_r \rangle$ , we need to derive it for one of the subterms  $P_1, \dots, P_r$ .

For the  $(\lambda)$  rule, recall that  $C' \sqsubseteq C$  means that in  $C'$  we have all unbalanced type triples from  $C$ , and some subset of balanced type triples from  $C$ . Thus in a subderivation concerning the lambda-term  $P$ , we need to use all unbalanced type triples provided by an argument of  $\lambda x.P$ , while balanced type triples may be used or not. Recall also that we intend to store in the marker multiset the markers contained in the derivation itself and those provided by free variables, but not those provided by arguments. Because of this, in the conclusion of the rule we remove from  $M$  the markers provided by  $x$ . It is required, implicitly, that the result remains nonnegative. The set  $F$ , unlike  $M$ , stores also flags provided by arguments, so we do not need to remove anything from  $F$ .

**Example 3.2.** In this example we show how the (ND) and  $(\lambda)$  rules can be used. The derivations work for every flag counter  $c$ . Notice that in the conclusion of the  $(\lambda)$  rule, in both derivations, we remove three 0-s from the marker multiset, because three order-0 markers are provided by  $x$ .

$$\frac{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta a\langle x \rangle : (\{(1, a)\}, \{0, 0, 0\}, o) \triangleright c}{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta \text{nd}\langle a\langle x \rangle, b\langle x \rangle \rangle : (\{(1, a)\}, \{0, 0, 0\}, o) \triangleright c} \text{ (ND)}$$

$$\frac{}{\varepsilon \vdash_1^\Delta \lambda x. \text{nd}\langle a\langle x \rangle, b\langle x \rangle \rangle : (\{(1, a)\}, \mathbf{0}, \{\hat{\rho}_0^{\Delta all}\} \rightarrow o) \triangleright c} \text{ (\lambda)}$$

$$\frac{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta a\langle x \rangle : (\emptyset, \{0, 0, 0, 1, 1, 1\}, o) \triangleright c}{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta \text{nd}\langle a\langle x \rangle, b\langle x \rangle \rangle : (\emptyset, \{0, 0, 0, 1, 1, 1\}, o) \triangleright c} \text{ (ND)}$$

$$\frac{}{\varepsilon \vdash_1^\Delta \lambda x. \text{nd}\langle a\langle x \rangle, b\langle x \rangle \rangle : (\emptyset, \{1, 1, 1\}, \{\hat{\rho}_0^{\Delta all}\} \rightarrow o) \triangleright c} \text{ (\lambda)}$$

The next three rules use a predicate  $\text{Comp}_m$ , saying how flags and markers from premisses contribute to the conclusion. It takes “as input” pairs  $(F_i, c_i)$  for  $i \in I$ , consisting of a flag set  $F_i$  and a flag counter  $c_i$  from some premiss. Moreover, the predicate takes a marker multiset  $M$  that appears in the conclusion of the rule. The goal is to compute a flag set  $F$  and a flag counter  $c$  that should be placed in the conclusion. First, for each  $k \in \{1, \dots, m+1\}$  consecutively, we decide which flags of order  $k$  should be placed in the considered node of a type derivation. We follow here the rules mentioned in the intuitive description. Namely, we place a  $(k, a)$ -flag if we are on the path leading to a marker of order  $k-1$  (i.e., if  $M(k-1) > 0$ ), and simultaneously we receive an information about a  $(k-1, a)$ -flag. By receiving this information we mean that either a  $(k-1, a)$ -flag was placed in the current node, or  $(k-1, a)$  belongs to some set  $F_i$ . Actually, we place multiple  $(k, a)$ -flags: one per each  $(k-1, a)$ -flag placed in the current node, and one per each set  $F_i$  containing  $(k-1, a)$ . Then, we compute  $F$  and  $c$ . In  $c(a)$ , for every  $a \in \Sigma$ , we store the number of  $(m+1, a)$ -flags: we sum all the flag counters  $c_i$ , and we add the number of  $(m+1, a)$ -flags

placed in the current node. In  $F$ , we allow to keep elements of all  $F_i$ , and we allow to add pairs  $(k, a)$  for flags that were placed in the current node, but it can be chosen “nondeterministically” which of them are actually taken to  $F$ , and which are dropped. It is often necessary to drop some elements, since when the set  $F$  is used in a type triple, the definitions of a flag set and of a type triple put additional requirements on this set.

Below we give a formal definition, in which  $f'_{k,a}$  contains the number of  $(k, a)$ -flags placed in the current node, while  $f_{k,a}$  additionally counts the number of premisses for which  $(k, a) \in F_i$ . We say that  $(F, c) \in \text{Comp}_m(M; ((F_i, c_i))_{i \in I})$  when

$$F \subseteq \{(k, a) \mid f_{k,a} > 0\}, \quad \text{and} \quad c(a) = f_{m+1,a} + \sum_{i \in I} c_i(a) \quad \text{for all } a \in \Sigma,$$

where, for  $k \in \{0, \dots, m+1\}$  and  $a \in \Sigma$ ,

$$f_{k,a} = f'_{k,a} + \sum_{i \in I} |F_i \cap \{(k, a)\}|, \quad f'_{k,a} = \begin{cases} 0 & \text{if } k = 0 \text{ or } M(k-1) = 0, \\ f_{k-1,a} & \text{otherwise.} \end{cases}$$

We now present rules for node constructors using symbols other than  $\text{nd}$ :

$$\frac{(F, c) \in \text{Comp}_m(M; (\{(0, a)\}, \mathbf{0})) \quad a \neq \text{nd}}{\varepsilon \vdash_m^\Delta a \langle \rangle : (F, M, o) \triangleright c} \text{ (CON0)}$$

$$\frac{\Gamma_i \vdash_m^\Delta P_i : (F_i, M_i, o) \triangleright c_i \text{ for each } i \in \{1, \dots, r\} \quad M = M_1 + \dots + M_r \quad (F, c) \in \text{Comp}_m(M; (\{(0, a)\}, \mathbf{0}), (F_1, c_1), \dots, (F_r, c_r)) \quad r \geq 1 \quad a \neq \text{nd}}{\Gamma_1 \sqcup \dots \sqcup \Gamma_r \vdash_m^\Delta a \langle P_1, \dots, P_r \rangle : (F, M, o) \triangleright c} \text{ (CON}\geq 1\text{)}$$

By passing the set  $\{(0, a)\}$  to  $\text{Comp}_m$  we express the fact that a  $(0, a)$ -flag is placed in the current node. In the (CON0) rule, that is, if we are in a leaf, we are allowed to place markers of an arbitrary order: the marker multiset  $M$  may be arbitrary.

**Example 3.3.** For  $a \in \{a, b, c\}$ , let  $c_a$  be the flag counter such that  $c_a(a) = 1$  and  $c_a(b) = 0$  for all  $b \in \Sigma$ . The (CON $\geq 1$ ) rule may be instantiated in the following ways:

$$\frac{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta x : (\emptyset, \{\{0, 0, 0\}\}, o) \triangleright \mathbf{0}}{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta a \langle x \rangle : (\{(1, a)\}, \{\{0, 0, 0\}\}, o) \triangleright \mathbf{0}} \text{ (CON}\geq 1\text{)}$$

$$\frac{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta x : (\emptyset, \{\{0, 0, 0, 1, 1, 1\}\}, o) \triangleright \mathbf{0}}{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta a \langle x \rangle : (\emptyset, \{\{0, 0, 0, 1, 1, 1\}\}, o) \triangleright c_a} \text{ (CON}\geq 1\text{)}$$

In the first example,  $(0, a)$ - and  $(1, a)$ -flags are placed in the conclusion of the rule. Indeed, the (CON $\geq 1$ ) rule implies that the pair  $(0, a)$  is passed to the  $\text{Comp}_1$  predicate (a  $(0, a)$ -flag is placed). Because the marker multiset contains 0 (order-0 markers are visible), we do not put  $(0, a)$  to the flag set, but instead we create a  $(1, a)$ -flag. In the second example, additionally a  $(2, a)$ -flag is placed in the conclusion of the rule: since order-1 markers are visible, we do not put  $(1, a)$  to the flag set, but instead we create a  $(2, a)$ -flag, which results in increasing the flag counter.

The last rule describes application:

$$\frac{\begin{array}{l} \Gamma' \vdash_m^\Delta P : (F', M', \{(F_i \upharpoonright_{\leq \text{ord}(Q)}, M_i \upharpoonright_{\leq \text{ord}(Q)}, \tau_i) \mid i \in I\} \rightarrow \tau) \triangleright c' \\ \Gamma_i \vdash_m^\Delta Q : (F_i, M_i, \tau_i) \triangleright c_i \text{ for each } i \in I \quad M = M' + \sum_{i \in I} M_i \quad \text{ord}(Q) \leq m \\ (F, c) \in \text{Comp}_m(M; (F', c'), ((F_i \upharpoonright_{> \text{ord}(Q)}, c_i))_{i \in I}) \quad \{(k, a) \in F' \mid M(k) = 0\} \subseteq F \end{array}}{\Gamma' \sqcup \bigsqcup_{i \in I} \Gamma_i \vdash_m^\Delta P Q : (F, M, \tau) \triangleright c} (@)$$

In this rule, it is allowed (and potentially useful) that for two different  $i \in I$  the type triples  $(F_i, M_i, \tau_i)$  are equal. It is also allowed that  $I = \emptyset$ , in which case no type needs to be derived for  $Q$ . Observe how flags and markers coming from premisses concerning  $Q$  are propagated: only flags and markers of orders  $k \leq \text{ord}(Q)$  are visible to  $P$ , while only flags of orders  $k > \text{ord}(Q)$  are passed to the  $\text{Comp}_m$  predicate. This can be justified if we recall the intuitions staying behind the type system (see page 5). Indeed, while considering flags and markers of order  $k$ , we should imagine the lambda-term obtained from the current lambda-term by performing all beta-reductions of order at least  $k$ ; the distribution of flags and markers of order  $k$  in the current lambda-term actually simulates their distribution in this imaginary lambda-term. Thus, if  $\text{ord}(Q) \geq k$ , then our application will disappear in this imaginary lambda-term, and  $Q$  will be already substituted somewhere in  $P$ ; for this reason we need to pass the information about flags and markers of order  $k$  from  $Q$  to  $P$ . Conversely, if  $\text{ord}(Q) < k$ , then in the imaginary lambda-term the considered application will be still present, and in consequence the subterm corresponding to  $P$  will not see flags and markers of order  $k$  placed in the subterm corresponding to  $Q$ . The condition  $\{(k, a) \in F' \mid M(k) = 0\} \subseteq F$  (saying that flags derived for  $P$  cannot disappear, unless they meet the information about markers of the corresponding order) is added for technical reasons. It turns out to be useful in our proofs, namely, in the proof of Lemma 8.1 on page 39.

**Example 3.4.** Recalling that  $\hat{\rho}_0^{\Delta \text{all}} = (\emptyset, \{0, 0, 0\}, o)$ , denote by  $\hat{\tau}_a$  and  $\hat{\tau}_m$  the type triples derived in Example 3.2:  $\hat{\tau}_a = (\{(1, a)\}, \mathbf{0}, \{\hat{\rho}_0^{\Delta \text{all}}\} \rightarrow o)$  and  $\hat{\tau}_m = (\emptyset, \{1, 1, 1\}, \{\hat{\rho}_0^{\Delta \text{all}}\} \rightarrow o)$ . We can derive:

$$\frac{\frac{\varepsilon[f \mapsto \{\hat{\tau}_a\}] \vdash_1^\Delta f : \hat{\tau}_a \triangleright \mathbf{0} \quad \frac{\varepsilon[f \mapsto \{\hat{\tau}_m\}] \vdash_1^\Delta f : \hat{\tau}_m \triangleright \mathbf{0} \quad \varepsilon[y \mapsto \{\hat{\rho}_0^{\Delta \text{all}}\}] \vdash_1^\Delta y : \hat{\rho}_0^{\Delta \text{all}} \triangleright \mathbf{0}}{\varepsilon[f \mapsto \{\hat{\tau}_m\}, y \mapsto \{\hat{\rho}_0^{\Delta \text{all}}\}] \vdash_1^\Delta f y : (\emptyset, \{0, 0, 0, 1, 1, 1\}, o) \triangleright \mathbf{0}} (@) \quad \frac{\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}_m\}, y \mapsto \{\hat{\rho}_0^{\Delta \text{all}}\}] \vdash_1^\Delta f (f y) : (\emptyset, \{0, 0, 0, 0, 1, 1, 1\}, o) \triangleright c_a}{\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}_m\}] \vdash_1^\Delta \lambda y. f (f y) : \hat{\tau}_m \triangleright c_a} (\lambda)$$

Below the lower (@) rule the information about a  $(1, a)$ -flag (from the first premiss) meets the information about a marker of order 1 (from the second premiss), and thus a  $(2, a)$ -flag is placed, which increases the flag counter.

Denote  $\hat{\rho}_m^{\Delta \text{all}} = (\emptyset, M_m^{\Delta \text{all}}, o)$ , where  $M_m^{\Delta \text{all}} \in \mathcal{M}_m^\Delta$  is such that  $M_m^{\Delta \text{all}}(k) = |\Sigma|$  for all  $k \in \{0, \dots, m\}$ . The key property of the type system is described by the following theorem.

**Theorem 3.2.** Let  $m \geq -1$ , let  $P$  be a closed lambda-term of sort  $o$  and complexity at most  $m + 1$ , and let  $A \subseteq \Sigma$ . Then  $\text{SUP}_A(\mathcal{L}(\text{BT}(P)))$  holds if and only if for every  $n \in \mathbb{N}$  we can derive  $\varepsilon \vdash_m^\Delta P : \hat{\rho}_m^{\Delta \text{all}} \triangleright c_n$  with some  $c_n$  such that  $c_n(a) \geq n$  for all  $a \in A$ .

We postpone the proof of this theorem to Sections 5-8. Before this proof, we give some comments and examples, and in Section 4 we present another variant of the type system, optimized for word-recognizing lambda-terms.

**Remark.** In our type derivations and in  $\hat{\rho}_m^{\Delta all}$  we allow  $|\Sigma|$  markers of every order, but actually, while solving SUP for a set  $A$ , it would be enough to have  $|A|$  of them, since we are not interested in counting letters not in  $A$ . Similarly, it is not necessary to consider  $(k, a)$ -flags for  $a \notin A$ .

**Other Type Systems.** The idea of using intersection types for counting is not completely new. In Parys (2014, 2016) there is a type system that, essentially, allows to estimate the size of the beta-normal form of a (finite) lambda-term just by looking at (the number of some flags in) a derivation of a type for this term. A similar idea, but for higher-order pushdown automata, is present in Parys (2012), where we can estimate the number  $\sharp$  symbols appearing on a particular, deterministically chosen branch of the generated tree. This previous approach also uses intersection types, where the derivations are marked with just one kind of flags, denoting “productive” places of a term (oppositely to our approach, where we have different flags for different orders and letters, and we also have markers). The trouble with the “one-flag” approach is that it works well only in a completely deterministic setting, where looking independently at each node of the Böhm tree we know how it contributes to the result; the method stops working (or at least we do not know how to prove that it works) in our situation, where we first nondeterministically perform some guesses in the Böhm tree (namely, we guess which tree  $T \in \mathcal{L}(BT(P))$  should be considered), and only after that we want to count something that depends on the chosen values.

Our type system and the type system from Parys (2017b) are, to some extent, motivated by the algorithm of Clemente et al. (2016) solving SUP for schemes. This algorithm works by repeating two kinds of transformations of schemes. The first of them turns the scheme into a scheme generating trees having only a fixed number of branches, one per each letter from  $A$ . The branches are chosen nondeterministically out of some tree generated by the original scheme; for every  $a \in A$  there is a choice witnessing that  $a$  appeared many times in the original tree. Then, such a scheme of the special form is turned into a scheme that is of order lower by one, and generates trees having the same nodes as trees generated by the original scheme, but arranged differently (in particular, the new trees may have again arbitrarily many branches). After finitely many repetitions of this procedure, a scheme of order 0 is obtained, and SUP becomes easily decidable. In some sense we do the same, but instead of applying all these transformations one by one, we simulate all of them simultaneously in a single type derivation. In this derivation, for each order  $k$ , we allow to place arbitrarily  $|A|$  markers of order  $k$  (actually,  $|\Sigma|$  of them), which corresponds to the nondeterministic choice of  $|A|$  branches in the  $k$ -th step of the previous algorithm. We also place some  $(k, a)$ -flags, in places that correspond to  $a$ -labeled nodes remaining after the  $k$ -th step of the previous algorithm.

The idea of having balanced types and unbalanced types (where the former can be used arbitrarily many times, while the latter have to be used exactly once) comes from a type system of Asada and Kobayashi (2016).

Let us compare our type system with the type system introduced in Parys (2017b) in order to solve SUP in the case of  $|A| = 1$ . The first difference is that we solve the case of multiple symbols in  $A$ . This is done by replacing a single marker and a single kind of flags of every order by  $|\Sigma|$  markers and  $|\Sigma|$  kinds of flags, one per each symbol of the alphabet  $\Sigma$ . This makes the proofs slightly more complex, but seeing Clemente et al. (2016) and Hague, Kochems, and Ong (2016) it was quite natural that every symbol from  $\Sigma$  (or, at least, every symbol from  $A$ ) requires separate markers and flags.

Conceptually, it was more difficult to establish the optimal complexity. In Parys (2017b) no explicit complexity bound is given, but we can observe that for schemes of order  $m$  a direct adaptation of their algorithm to the multiple-letters case works in  $(m+3)$ -EXPTIME (which drops down to  $(m+2)$ -EXPTIME

for  $|A| = 1$  or, more generally, for fixed  $A$ ); we thus had to save four exponentiations. The previous paper proposes a quite naive algorithm for checking whether there exist type derivations with arbitrarily many flags, which is doubly exponential in the number of type triples, and we replace it by an algorithm that is polynomial in the number of type triples. This saves two exponentiations. Another exponentiation is saved by making the number of order-0 type triples polynomial in  $|A|$ ; this is obtained by making all markers of a fixed order identical (not labeled by a symbol, like flags), and by storing the information only about one, nondeterministically chosen, flag of every order in flag sets, instead of the information about all kinds of flags seen so far. Finally, in the case of word-recognizing schemes one more exponentiation is saved by observing that in this case the number of order-1 types can be also made polynomial. This is possible because in the word case there is a unique leaf in which an order-0 marker may be placed (cf. Section 4).

**Example 3.5.** Beside of the type triples defined previously,

$$\begin{aligned}\hat{\rho}_0^{\Delta all} &= (\emptyset, \{0, 0, 0\}, o), & \hat{\tau}_a &= (\{(1, a)\}, \mathbf{0}, \{\hat{\rho}_0^{\Delta all}\} \rightarrow o), \\ \hat{\rho}_1^{\Delta all} &= (\emptyset, \{0, 0, 0, 1, 1, 1\}, o), & \hat{\tau}_m &= (\emptyset, \{1, 1, 1\}, \{\hat{\rho}_0^{\Delta all}\} \rightarrow o),\end{aligned}$$

let us also define

$$\hat{\tau}_b = (\{(1, b)\}, \mathbf{0}, \{\hat{\rho}_0^{\Delta all}\} \rightarrow o) \quad \text{and} \quad \hat{\sigma}_R = (\emptyset, \{0, 0, 0\}, \{\hat{\tau}_a, \hat{\tau}_b, \hat{\tau}_m\} \rightarrow o).$$

The type judgment  $\varepsilon \vdash_1^{\Delta} R_1 : \hat{\sigma}_R \triangleright \mathbf{0}$  can be derived as follows:

$$\frac{\frac{\frac{\varepsilon[f \mapsto \{\hat{\tau}_m\}] \vdash_1^{\Delta} f : \hat{\tau}_m \triangleright \mathbf{0} \quad (\text{VAR}) \quad \frac{\varepsilon \vdash_1^{\Delta} c \langle \rangle : \hat{\rho}_0^{\Delta all} \triangleright \mathbf{0} \quad (\text{CON0})}{\varepsilon[f \mapsto \{\hat{\tau}_m\}] \vdash_1^{\Delta} f(c \langle \rangle) : \hat{\rho}_1^{\Delta all} \triangleright \mathbf{0} \quad (@)}}{\varepsilon[f \mapsto \{\hat{\tau}_m\}] \vdash_1^{\Delta} \text{nd}(f(c \langle \rangle), R_1(\lambda y. f(f y))) : \hat{\rho}_1^{\Delta all} \triangleright \mathbf{0} \quad (\text{ND})}}{\varepsilon \vdash_1^{\Delta} R_1 : \hat{\sigma}_R \triangleright \mathbf{0} \quad (\lambda)}$$

Notice that in the (CON0) rule two flags are placed: a  $(0, c)$ -flag (because of the symbol  $c$ ) and a  $(1, c)$ -flag (because we have an information about order-0 markers). It is not necessary to remember them in the type triple, and thus we can derive  $\hat{\rho}_0^{\Delta all}$ , having an empty flag set. Notice also that the type triples  $\hat{\tau}_a$  and  $\hat{\tau}_b$  required for the argument by  $\hat{\sigma}_R$  are not used here; recall that the  $(\lambda)$  rule allows to discard them, since they are balanced. On the other hand, the type triple  $\hat{\tau}_m$  is unbalanced, so it could not be discarded, and has to be used exactly once in the derivation.

Next, we derive the same type triple for  $R_1$ , but using the second argument of the  $\text{nd}$  symbol; this results in greater values of the flag counter. In Example 3.4 we have derived the type judgment  $\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}_m\}] \vdash_1^{\Delta} \lambda y. f(f y) : \hat{\tau}_m \triangleright c_a$ . Similarly we can derive  $\varepsilon[f \mapsto \{\hat{\tau}_b, \hat{\tau}_m\}] \vdash_1^{\Delta} \lambda y. f(f y) : \hat{\tau}_m \triangleright c_b$ . We continue by deriving the type triple  $\hat{\tau}_a$  for the subterm  $\lambda y. f(f y)$ :

$$\frac{\frac{\frac{\varepsilon[f \mapsto \{\hat{\tau}_a\}] \vdash_1^{\Delta} f : \hat{\tau}_a \triangleright \mathbf{0} \quad \frac{\varepsilon[y \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^{\Delta} y : \hat{\rho}_0^{\Delta all} \triangleright \mathbf{0} \quad (@)}{\varepsilon[f \mapsto \{\hat{\tau}_a\}, y \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^{\Delta} f y : (\{(1, a)\}, \{0, 0, 0\}, o) \triangleright \mathbf{0} \quad (@)}}{\varepsilon[f \mapsto \{\hat{\tau}_a\}, y \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^{\Delta} f(f y) : (\{(1, a)\}, \{0, 0, 0\}, o) \triangleright \mathbf{0} \quad (\lambda)}}{\varepsilon[f \mapsto \{\hat{\tau}_a\}] \vdash_1^{\Delta} \lambda y. f(f y) : \hat{\tau}_a \triangleright \mathbf{0}}$$

In the above derivation there are no flags nor markers. Similarly we can derive  $\varepsilon[f \mapsto \{\hat{\tau}_b\}] \vdash_1^\Delta \lambda y.f(f y) : \hat{\tau}_b \triangleright \mathbf{0}$ . We continue with the lambda-term  $R_1$  (for an arbitrary flag counter  $c$ ):

$$\frac{\frac{\varepsilon \vdash_1^\Delta R_1 : \hat{\sigma}_R \triangleright c \quad \varepsilon[f \mapsto \{\hat{\tau}_a\}] \vdash_1^\Delta \lambda y.f(f y) : \hat{\tau}_a \triangleright \mathbf{0} \quad \varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}_m\}] \vdash_1^\Delta \lambda y.f(f y) : \hat{\tau}_m \triangleright c_a}{\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}_b, \hat{\tau}_m\}] \vdash_1^\Delta R_1(\lambda y.f(f y)) : \hat{\rho}_1^{\Delta all} \triangleright c + c_a} (@) \\ \frac{\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}_b, \hat{\tau}_m\}] \vdash_1^\Delta R_1(\lambda y.f(f y)) : \hat{\rho}_1^{\Delta all} \triangleright c + c_a}{\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}_b, \hat{\tau}_m\}] \vdash_1^\Delta \text{nd}(f(c\langle \rangle), R_1(\lambda y.f(f y))) : \hat{\rho}_1^{\Delta all} \triangleright c + c_a} (\text{ND}) \\ \frac{\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}_b, \hat{\tau}_m\}] \vdash_1^\Delta \text{nd}(f(c\langle \rangle), R_1(\lambda y.f(f y))) : \hat{\rho}_1^{\Delta all} \triangleright c + c_a}{\varepsilon \vdash_1^\Delta R_1 : \hat{\sigma}_R \triangleright c + c_a} (\lambda)$$

In this fragment of a derivation no flag nor counter is placed. In particular, there is no order-2 flag in conclusion of the (@) rule, although its second and third premisses provide (1, a)- and (1, b)-flags while the last premiss provides markers of order 1. We recall from the definition of the (@) rule that the information about flags and markers coming from the arguments is divided into two parts. Numbers not greater than the order of the argument (which is 1 in our case) are passed to the operator, while only greater numbers (in our case: greater than 1) contribute in creating new flags via the *Comp* predicate.

Similarly, out of  $\varepsilon \vdash_1^\Delta R_1 : \hat{\sigma}_R \triangleright c$  we can derive  $\varepsilon \vdash_1^\Delta R_1 : \hat{\sigma}_R \triangleright c + c_b$ . By composing these two derivation fragments, we can derive  $\varepsilon \vdash_1^\Delta R_1 : \hat{\sigma}_R \triangleright c$  for every  $c$  such that  $c(c) = 0$  (by modifying slightly the initial fragment of the derivation descending to  $f(c\langle \rangle)$  we could also obtain  $c(c) = 1$ , but not  $c(c) > 1$ ). Finally, we apply the argument  $S = \lambda x.\text{nd}(a\langle x \rangle, b\langle x \rangle)$ , and we derive for  $\Lambda(\mathcal{G}_1)$  the type triple  $\hat{\rho}_1^{\Delta all}$ , appearing in Theorem 3.2.

$$\frac{\varepsilon \vdash_1^\Delta R_1 : \hat{\sigma}_R \triangleright c \quad \varepsilon \vdash_1^\Delta S : \hat{\tau}_a \triangleright \mathbf{0} \quad \varepsilon \vdash_1^\Delta S : \hat{\tau}_b \triangleright \mathbf{0} \quad \varepsilon \vdash_1^\Delta S : \hat{\tau}_m \triangleright c_a}{\varepsilon \vdash_1^\Delta \Lambda(\mathcal{G}_1) : \hat{\rho}_1^{\Delta all} \triangleright c + c_a} (@)$$

Recall that from Examples 3.1-3.3 we already know how to derive the three premisses concerning  $S$ . There is a lack of symmetry here with respect to letters a and b, but instead of the last premiss we could equally well use  $\varepsilon \vdash_1^\Delta S : \hat{\tau}_m \triangleright c_b$ , obtaining flag counter  $c + c_b$  at the end. We notice that there is no direct correspondence between the considered derivation and some particular tree in  $\mathcal{L}(P)$ ; we can only say that such a derivation with flag counter  $c + c_a$  talks about trees from  $\mathcal{L}(P)$  having  $2^{c(a)+c(b)} + 1$  nodes, because  $c(a) + c(b)$  times we have descended to the second argument of the *nd* symbol in  $R_1$ . We remark that in every of the above derivations only four flags of order 1 are present (two (1, a)-flags, one (1, b)-flag, and one (1, c)-flag), in the four nodes using rules (CON $\geq 1$ ) or (CON0).

**Example 3.6.** Consider the scheme  $\mathcal{G}_2$ , similar to  $\mathcal{G}_1$ , where

$$\mathcal{R}(M) = N(\lambda x.\text{nd}(a\langle x \rangle, b\langle x \rangle)), \quad \mathcal{R}(N) = \lambda f.\text{nd}(f(c\langle \rangle), N(\lambda y.f y)).$$

The only difference, comparing to  $\mathcal{G}_1$ , is that in  $\mathcal{R}(N)$  we have replaced  $f(f y)$  by  $f y$ . In effect, the lambda-term  $R_2$  (defined analogously to  $R_1$  from Example 2.1) is obtained from  $R_1$  by replacing all appearances of the subterm  $f(f y)$  with  $f y$ . We have  $BT(\Lambda(\mathcal{G}_2)) = \text{nd}(T_1, \text{nd}(T_1, \text{nd}(T_1, \dots)))$ , where  $T_1 = \text{nd}(a\langle c\langle \rangle \rangle, b\langle c\langle \rangle \rangle)$ , and thus  $\mathcal{L}(\mathcal{G}_2) = \{a\langle c\langle \rangle \rangle, b\langle c\langle \rangle \rangle\}$ .

Let us see how the type derivations have to be changed. The type judgment  $\varepsilon \vdash_1^\Delta R_2 : \hat{\sigma}_R \triangleright \mathbf{0}$  can be obtained without any change, as its derivation descends to the first child of the outermost *nd*( $\cdot, \cdot$ ) in  $R_2 = \lambda f.\text{nd}(f(c\langle \rangle), R_2(\lambda y.f y))$ . The type judgment  $\varepsilon[f \mapsto \{\hat{\tau}_a\}] \vdash_1^\Delta \lambda y.f y : \hat{\tau}_a \triangleright \mathbf{0}$ , and a similar one

for  $\hat{\tau}_b$ , can be obtained without any problem, as the type judgments concerning the subterms  $f y$  and  $f (f y)$  were the same. Let us now see what happens to the derivation of the type triple  $\hat{\tau}_m$ :

$$\frac{\frac{\varepsilon[f \mapsto \{\hat{\tau}_m\}] \vdash_1^\Delta f : \hat{\tau}_m \triangleright \mathbf{0} \quad \varepsilon[y \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta y : \hat{\rho}_0^{\Delta all} \triangleright \mathbf{0}}{\varepsilon[f \mapsto \{\hat{\tau}_m\}, y \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta f y : (\emptyset, \{0, 0, 0, 1, 1, 1\}, o) \triangleright \mathbf{0}} (@) \\ \frac{}{\varepsilon[f \mapsto \{\hat{\tau}_m\}] \vdash_1^\Delta \lambda y. f y : \hat{\tau}_m \triangleright \mathbf{0}} (\lambda)$$

In the subterm  $f y$  we have only one appearance of  $f$ , so we cannot use simultaneously both  $\hat{\tau}_a$  and  $\hat{\tau}_m$  (as we did for  $f (f y)$ ); in effect no order-2 flag is placed. Thus if we create a derivation for  $R_2$  that descends to the second child of the outermost  $\text{nd}\langle \cdot, \cdot \rangle$ , out of  $\varepsilon \vdash_1^\Delta R_2 : \hat{\sigma}_R \triangleright c_c$  we derive again  $\varepsilon \vdash_1^\Delta R_2 : \hat{\sigma}_R \triangleright c_c$ , without any change to the flag counter. In effect, the type triple  $\hat{\rho}_1^{\Delta all}$  is derived for  $\Lambda(\mathcal{G}_2)$  with flag counter  $c_a$  (or  $c_b$ , if one prefers). This corresponds to the fact that  $\mathcal{L}(\mathcal{G}_2)$  contains only words with one letter among  $a, b$ .

**Example 3.7.** Consider now the lambda-term  $P_2 = (\lambda g. \Lambda(\mathcal{G}_2)) (\lambda z. P_a)$ , where  $P_a$  is the unique lambda-term such that  $P_a = \text{nd}\langle z, a\langle P_a \rangle \rangle$  (by the way, notice that  $P_2$  is a lambda-term that cannot be described by any scheme). We see that  $P_2$  beta-reduces to  $\Lambda(\mathcal{G}_2)$ , hence the recognized language remains unchanged. Let us see what happens on the side of type derivations. Notice that we can create the following derivation:

$$\frac{\frac{\varepsilon[z \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta z : \hat{\rho}_0^{\Delta all} \triangleright \mathbf{0} \quad \varepsilon[z \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta P_a : \hat{\rho}_0^{\Delta all} \triangleright \mathbf{0}}{\varepsilon[z \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta a\langle P_a \rangle : (\{(1, a)\}, \{0, 0, 0\}, o) \triangleright \mathbf{0}} (\text{CON} \geq 1) \\ \frac{}{\varepsilon[z \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta P_a : (\{(1, a)\}, \{0, 0, 0\}, o) \triangleright \mathbf{0}} (\text{ND}) \\ \frac{}{\varepsilon \vdash_1^\Delta \lambda z. P_a : \hat{\tau}_a \triangleright \mathbf{0}} (\lambda)$$

We notice that the two lines above the  $(\lambda)$  rule can be repeated arbitrarily many times. Then, in the conclusion of every  $(\text{CON} \geq 1)$  rule, a  $(1, a)$ -flag is placed (there are no  $(2, a)$ -flags, though). Such a derivation can be used as a part of a derivation for  $P_2$ :

$$\frac{\varepsilon \vdash_1^\Delta \Lambda(\mathcal{G}_2) : \hat{\rho}_1^{\Delta all} \triangleright c_a \quad \varepsilon \vdash_1^\Delta \lambda g. \Lambda(\mathcal{G}_2) : (\emptyset, \{0, 0, 0, 1, 1, 1\}, \{\hat{\tau}_a\} \rightarrow o) \triangleright c_a}{\varepsilon \vdash_1^\Delta \lambda g. \Lambda(\mathcal{G}_2) : (\emptyset, \{0, 0, 0, 1, 1, 1\}, \{\hat{\tau}_a\} \rightarrow o) \triangleright c_a} (\lambda) \\ \frac{}{\varepsilon \vdash_1^\Delta P_2 : \hat{\rho}_1^{\Delta all} \triangleright c_a} (@)$$

Because  $\hat{\tau}_a$  is balanced, it can be discarded in the  $(\lambda)$  rule, and need not be used in the derivation for  $\Lambda(\mathcal{G}_2)$ . We thus obtain a derivation for  $P_2$  in which there are many  $(1, a)$ -flags (but only one  $(2, a)$ -flag). This shows that in the flag counter we indeed need to count only the number of flags of the maximal order (not, say, the total number of flags of all orders).

**Example 3.8.** In the derivation from Example 3.5 all order-1 markers were placed in the same leaf, corresponding to the subterm  $x$ . Consider, however, a scheme  $\mathcal{G}_3$ , where additionally to  $M$  and  $N$  we have a nonterminal  $M_b$  of sort  $o$ , and the rules are changed to:

$$\mathcal{R}(M) = N(\lambda x. a\langle x \rangle), \quad \mathcal{R}(M_b) = \text{nd}\langle c\langle \rangle, b\langle M_b \rangle \rangle, \\ \mathcal{R}(N) = \lambda f. \text{nd}\langle f M_b, N(\lambda y. f (f y)) \rangle.$$



Here we need to place one order-1 marker (responsible for counting appearances of the  $a$  symbol) in a leaf corresponding to  $x$ , and another order-1 marker (responsible for counting appearances of the  $b$  symbol) in a leaf corresponding to  $c$ . We do not have to care where to put the third available order-1 marker; let put it in a leaf corresponding to  $x$ .

Since we want to place only two order-1 markers in a leaf corresponding to  $x$ , this time we consider the type triple  $\hat{\tau}'_m = (\emptyset, \{1, 1\}, \{\hat{\rho}_0^{\Delta all}\} \rightarrow o)$ . We can derive  $\hat{\tau}'_m$  and  $\hat{\tau}_a = (\{(1, a)\}, \mathbf{0}, \{\hat{\rho}_0^{\Delta all}\} \rightarrow o)$  for  $\lambda x.a(x)$ :

$$\frac{\frac{\frac{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta x : (\emptyset, \{0, 0, 0, 1, 1\}, o) \triangleright \mathbf{0} \quad (\text{VAR})}{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta a(x) : (\emptyset, \{0, 0, 0, 1, 1\}, o) \triangleright c_a} \quad (\text{CON} \geq 1)}{\varepsilon \vdash_1^\Delta \lambda x.a(x) : \hat{\tau}'_m \triangleright c_a} \quad (\lambda)$$

$$\frac{\frac{\frac{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta x : \hat{\rho}_0^{\Delta all} \triangleright \mathbf{0} \quad (\text{VAR})}{\varepsilon[x \mapsto \{\hat{\rho}_0^{\Delta all}\}] \vdash_1^\Delta a(x) : (\{(1, a)\}, \{0, 0, 0\}, o) \triangleright \mathbf{0}} \quad (\text{CON} \geq 1)}{\varepsilon \vdash_1^\Delta \lambda x.a(x) : \hat{\tau}_a \triangleright \mathbf{0}} \quad (\lambda)$$

Denote by  $P_b$  the lambda-term corresponding to  $M_b$ , that is, let  $P_b = \text{nd}\langle c, b(P_b) \rangle$ . We can derive:

$$\frac{\frac{\varepsilon \vdash_1^\Delta c : (\emptyset, \{0, 0, 0, 1\}, o) \triangleright c_c \quad (\text{CON}0)}{\varepsilon \vdash_1^\Delta P_b : (\emptyset, \{0, 0, 0, 1\}, o) \triangleright c_c} \quad (\text{ND}) \quad \frac{\varepsilon \vdash_1^\Delta P_b : (\emptyset, \{0, 0, 0, 1\}, o) \triangleright c \quad (\text{CON} \geq 1)}{\varepsilon \vdash_1^\Delta b(P_b) : (\emptyset, \{0, 0, 0, 1\}, o) \triangleright c + c_b} \quad (\text{ND})$$

Starting with the derivation fragment on the left, and then appending the fragment on the right an appropriate number of times, we can derive  $\varepsilon \vdash_1^\Delta P_b : (\emptyset, \{0, 0, 0, 1\}, o) \triangleright c$  for every flag counter  $c$  such that  $c(a) = 0$  and  $c(c) = 1$  (where  $c(b)$  is arbitrary).

We can derive  $\varepsilon[f \mapsto \{\hat{\tau}_a\}] \vdash_1^\Delta \lambda y.f(f y) : \hat{\tau}_a \triangleright \mathbf{0}$  and  $\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}'_m\}] \vdash_1^\Delta \lambda y.f(f y) : \hat{\tau}'_m \triangleright c_a$ , exactly as in Example 3.5. Let us take  $\hat{\sigma}'_R = (\emptyset, \{0, 0, 0, 1\}, \{\hat{\tau}_a, \hat{\tau}'_m\} \rightarrow o)$ . Consider the lambda-term  $R_3$  corresponding to  $N$ , namely the unique lambda-term such that  $R_3 = \lambda f.\text{nd}\langle f P_b, R_3(\lambda y.f(f y)) \rangle$ . By continuing the above derivation concerning  $P_b$  we obtain:

$$\frac{\frac{\frac{\varepsilon[f \mapsto \{\hat{\tau}'_m\}] \vdash_1^\Delta f : \hat{\tau}'_m \triangleright \mathbf{0} \quad (\text{VAR})}{\varepsilon[f \mapsto \{\hat{\tau}'_m\}] \vdash_1^\Delta f P_b : \hat{\rho}_1^{\Delta all} \triangleright c} \quad (\text{CON} \geq 1)}{\varepsilon[f \mapsto \{\hat{\tau}'_m\}] \vdash_1^\Delta \text{nd}\langle f P_b, R_3(\lambda y.f(f y)) \rangle : \hat{\rho}_1^{\Delta all} \triangleright c} \quad (\text{ND})$$

$$\frac{\varepsilon \vdash_1^\Delta P_b : (\emptyset, \{0, 0, 0, 1\}, o) \triangleright c \quad (\text{CON} \geq 1)}{\varepsilon \vdash_1^\Delta R_3 : \hat{\sigma}'_R \triangleright c} \quad (\lambda)$$

We also have a derivation fragment that increases the flag counter on the first coordinate:

$$\frac{\varepsilon \vdash_1^\Delta R_3 : \hat{\sigma}'_R \triangleright c \quad \varepsilon[f \mapsto \{\hat{\tau}_a\}] \vdash_1^\Delta \lambda y.f(f y) : \hat{\tau}_a \triangleright \mathbf{0} \quad \varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}'_m\}] \vdash_1^\Delta \lambda y.f(f y) : \hat{\tau}'_m \triangleright c_a \quad (\text{CON} \geq 1)}{\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}'_m\}] \vdash_1^\Delta R_3(\lambda y.f(f y)) : \hat{\rho}_1^{\Delta all} \triangleright c + c_a} \quad (\text{ND})$$

$$\frac{\varepsilon[f \mapsto \{\hat{\tau}_a, \hat{\tau}'_m\}] \vdash_1^\Delta \text{nd}\langle f(c), R_3(\lambda y.f(f y)) \rangle : \hat{\rho}_1^{\Delta all} \triangleright c + c_a \quad (\text{CON} \geq 1)}{\varepsilon \vdash_1^\Delta R_3 : \hat{\sigma}'_R \triangleright c + c_a} \quad (\lambda)$$

Notice that, in the last two derivation fragments, the final  $(\lambda)$  rule removes two order-1 markers from the marker multiset of  $\hat{\rho}_1^{\Delta all}$ , so that the marker multiset of  $\hat{\sigma}'_R$  contains one order-1 marker. This is because  $\hat{\tau}'_m$  provides two order-1 markers. In Example 3.5  $\hat{\tau}_m$  provided three order-1 markers, and in effect  $\hat{\sigma}_R$  had no order-1 markers.

By repeating the last derivation fragment, we can derive  $\varepsilon \vdash_1^\Delta R_3 : \hat{\sigma}'_R \triangleright c$  for every  $c$  such that  $c(c) = 1$ . We end the derivation as in Example 3.5:

$$\frac{\varepsilon \vdash_1^\Delta R_3 : \hat{\sigma}'_R \triangleright c \quad \varepsilon \vdash_1^\Delta \lambda x. a \langle x \rangle : \hat{\tau}_a \triangleright 0 \quad \varepsilon \vdash_1^\Delta \lambda x. a \langle x \rangle : \hat{\tau}'_m \triangleright c_a}{\varepsilon \vdash_1^\Delta \Lambda(\mathcal{G}_3) : \hat{\rho}_2^{\Delta all} \triangleright c + c_a} (@)$$

**Example 3.9.** In the final example we consider a tree-recognizing scheme  $\mathcal{G}_4$  with the following rules:

$$\begin{aligned} \mathcal{R}(M) &= N(\lambda x. \lambda y. c \langle x, y \rangle), \\ \mathcal{R}(N) &= \lambda f. \text{nd} \langle f(a \langle \rangle) (b \langle \rangle), N(\lambda x. \lambda y. f(c \langle x, x \rangle) (c \langle y, y \rangle)) \rangle. \end{aligned}$$

In  $\mathcal{L}(\mathcal{G}_4)$  we have full binary trees of height  $k$  for every  $k \geq 1$ , where internal nodes are labeled by  $c$ , first  $2^{k-1}$  leaves are labeled by  $a$ , and remaining  $2^{k-1}$  leaves are labeled by  $b$ . We want to exhibit the fact that  $SUP_{\{a,b,c\}}(\mathcal{L}(\mathcal{G}_4))$  holds.

In this example we are going to derive the following type triples:

$$\begin{aligned} \hat{\sigma}_a &= (\{(0, a)\}, \mathbf{0}, o), & \hat{\rho}_1^{\Delta all} &= (\emptyset, \{0, 0, 0, 1, 1, 1\}, o), \\ \hat{\sigma}_b &= (\{(0, b)\}, \mathbf{0}, o), & \hat{\tau}_f &= (\emptyset, \{1, 1, 1\}, \{\hat{\sigma}_a, \hat{\sigma}_m\} \rightarrow \{\hat{\sigma}_b, \hat{\sigma}'_m\} \rightarrow o), \\ \hat{\sigma}_m &= (\emptyset, \{0\}, o), & \hat{\sigma}_R &= (\emptyset, \{0, 0, 0\}, \{\hat{\tau}_f\} \rightarrow o). \\ \hat{\sigma}'_m &= (\emptyset, \{0, 0\}, o), \end{aligned}$$

Denote subterms of  $\Lambda(\mathcal{G}_4)$  as follows:

$$S = f(a \langle \rangle) (b \langle \rangle), \quad T = \lambda x. \lambda y. f(c \langle x, x \rangle) (c \langle y, y \rangle), \quad R_4 = \lambda f. \text{nd} \langle S, R_4 T \rangle.$$

Using the (CON0) rule we can derive

$$\begin{aligned} \varepsilon \vdash_1^\Delta a \langle \rangle : \hat{\sigma}_a \triangleright \mathbf{0}, & \quad \varepsilon \vdash_1^\Delta b \langle \rangle : \hat{\sigma}_b \triangleright \mathbf{0}, \\ \varepsilon \vdash_1^\Delta a \langle \rangle : \hat{\sigma}_m \triangleright \mathbf{0}, & \quad \varepsilon \vdash_1^\Delta b \langle \rangle : \hat{\sigma}'_m \triangleright \mathbf{0}; \end{aligned}$$

denote this type judgments  $J_{a,a}$ ,  $J_{a,m}$ ,  $J_{b,b}$ , and  $J_{b,m}$ , respectively. Notice that while deriving  $J_{a,m}$  a  $(1, a)$ -flag is created by the *Comp* predicate; we are, however, not obliged to store the information about it in the flag set, and thus we can derive the type triple  $\hat{\sigma}_m$  instead of  $(\{(1, a)\}, \{0\}, o)$ . Continuing, we derive the type triple  $\hat{\sigma}_R$  for  $R_4$  with empty flag counter:

$$\frac{\frac{\frac{\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta f : \hat{\tau}_f \triangleright \mathbf{0}}{\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta f(a \langle \rangle) : (\emptyset, \{0, 1, 1, 1\}, \{\hat{\sigma}_b, \hat{\sigma}'_m\} \rightarrow o) \triangleright \mathbf{0}} \text{ (VAR)} \quad J_{a,a} \quad J_{a,m}}{\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta f(a \langle \rangle) : (\emptyset, \{0, 1, 1, 1\}, \{\hat{\sigma}_b, \hat{\sigma}'_m\} \rightarrow o) \triangleright \mathbf{0}} (@) \quad J_{b,b} \quad J_{b,m}}{(\text{ND})} \quad \frac{\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta S : \hat{\rho}_1^{\Delta all} \triangleright \mathbf{0}}{\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta \text{nd} \langle S, R_4 T \rangle : \hat{\rho}_1^{\Delta all} \triangleright \mathbf{0}} (\text{ND})}{\varepsilon \vdash_1^\Delta R_4 : \hat{\sigma}_R \triangleright \mathbf{0}} (\lambda)$$

Next, we would like to increase the flag counter, by using the second child of the `nd⟨·, ·⟩` node constructor. We start as follows:

In these derivations, the (CON $\geq 1$ ) rule creates a (0, c)-flag. We are not obliged to keep it in the flag set, so in the first derivation we can derive  $\hat{\sigma}_a$  not containing this flag. Actually, in the flag set we cannot store simultaneously (0, a) and (0, c); we have to drop the information about one of these flags. In the latter two derivations, this (0, c)-flag, together with the information about an order-0 marker from the second premiss, results in creating a (1, c)-flag. Moreover, the information about a (0, a)-flag from the first premiss meets the information about an order-0 marker from the second premiss, which results in creating a (1, a)-flag. Again, we cannot store both (1, a) and (1, c) in the flag set; in the former derivation we keep only (1, a), and in the latter only (1, c). Let us denote the conclusions of the above derivations by  $J_{x,a}$ ,  $J_{x,m}$ , and  $J'_{x,m}$ , respectively. Similarly we can derive

Denoting  $c_{ab} = c_a + c_b$ , we continue as follows:

In the (@) rules, the information about order-1 flags from  $J_{x,m}$  and  $J_{y,m}$  meets the information about order-1 markers, and thus order-2 flags are created, which results in increasing the flag counter. In  $J_{x,m}$  and  $J_{y,m}$  we do not have any information about (1, c)-flags. In order to exhibit existence of the symbol c, we can

replace  $J_{x,m}$  and  $J_{y,m}$  by  $J'_{x,m}$  and  $J'_{y,m}$  in the above fragment of a derivation, which results in deriving  $\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta T : \hat{\tau}_f \triangleright c_c$ . Finally, we can derive:

$$\frac{\varepsilon \vdash_1^\Delta R_4 : \hat{\sigma}_R^\Delta \triangleright c \quad \varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta T : \hat{\tau}_f \triangleright c_{ab}}{\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta R_4 T : \hat{\rho}_1^{\Delta all} \triangleright c + c_{ab}} (@)$$

$$\frac{\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta R_4 T : \hat{\rho}_1^{\Delta all} \triangleright c + c_{ab}}{\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta \text{nd}(S, R_4 T) : \hat{\rho}_1^{\Delta all} \triangleright c + c_{ab}} (\text{ND})$$

$$\frac{\varepsilon[f \mapsto \{\hat{\tau}_f\}] \vdash_1^\Delta \text{nd}(S, R_4 T) : \hat{\rho}_1^{\Delta all} \triangleright c + c_{ab}}{\varepsilon \vdash_1^\Delta R_4 : \hat{\sigma}_R^\Delta \triangleright c + c_{ab}} (\lambda)$$

Likewise, out of  $\varepsilon \vdash_1^\Delta R_4 : \hat{\sigma}_R^\Delta \triangleright c$  we can derive  $\varepsilon \vdash_1^\Delta R_4 : \hat{\sigma}_R^\Delta \triangleright c + c_c$ . By repeating these derivation fragments some number of times, we can derive  $\hat{\sigma}_R^\Delta$  for  $R_4$  with arbitrarily large flag counter  $c$  (satisfying  $c(a) = c(b)$ ).

We also need to derive the type triple  $\hat{\tau}_f$  for the subterm  $\lambda x. \lambda y. c(x, y)$ . This is done as follows:

$$\frac{\varepsilon[x \mapsto \{\hat{\sigma}_m\}] \vdash_1^\Delta x : (\emptyset, \{0, 1, 1, 1\}, o) \triangleright \mathbf{0} \quad \varepsilon[y \mapsto \{\hat{\sigma}'_m\}] \vdash_1^\Delta y : \hat{\sigma}'_m \triangleright \mathbf{0}}{\varepsilon[x \mapsto \{\hat{\sigma}_m\}, y \mapsto \{\hat{\sigma}'_m\}] \vdash_1^\Delta c(x, y) : \hat{\rho}_1^{\Delta all} \triangleright c_c} (\text{VAR})$$

$$\frac{\varepsilon[x \mapsto \{\hat{\sigma}_m\}, y \mapsto \{\hat{\sigma}'_m\}] \vdash_1^\Delta c(x, y) : \hat{\rho}_1^{\Delta all} \triangleright c_c}{\varepsilon[x \mapsto \{\hat{\sigma}_m\}] \vdash_1^\Delta \lambda y. c(x, y) : (\emptyset, \{0, 1, 1, 1\}, \{\hat{\sigma}_b, \hat{\sigma}'_m\} \rightarrow o) \triangleright c_c} (\lambda)$$

$$\frac{\varepsilon[x \mapsto \{\hat{\sigma}_m\}] \vdash_1^\Delta \lambda y. c(x, y) : (\emptyset, \{0, 1, 1, 1\}, \{\hat{\sigma}_b, \hat{\sigma}'_m\} \rightarrow o) \triangleright c_c}{\varepsilon \vdash_1^\Delta \lambda x. \lambda y. c(x, y) : \hat{\tau}_f \triangleright c_c} (\lambda)$$

Above, we have put three order-1 markers in the leaf describing the subterm  $x$ . We could equally well put them in the leaf corresponding to  $y$ , or distribute them between these two leaves.

This allows us to finish by applying the (@) rule:

$$\frac{\varepsilon \vdash_1^\Delta R_4 : \hat{\sigma}_R^\Delta \triangleright c \quad \varepsilon \vdash_1^\Delta \lambda x. \lambda y. c(x, y) : \hat{\tau}_f \triangleright c_c}{\varepsilon \vdash_1^\Delta \Lambda(\mathcal{G}_4) : \hat{\rho}_1^{\Delta all} \triangleright c + c_c} (@)$$

## 4 Word-Recognizing Schemes

In this section we observe that the type system can be further optimised in the case of word-recognizing lambda-terms. We thus define another type system, which works correctly only for word-recognizing lambda-terms, and allows to solve SUP for word-recognizing schemes exponentially faster.

Recall (from the intuitive description of the type system; page 5) that by placing order-0 markers we choose leaves of some tree  $T$  in the language recognized by the considered lambda-term. When  $T$  is a word, there is only one leaf, so all available order-0 markers need to be placed in the same leaf. One can see that this was the case in Examples 3.5 and 3.8, concerning word-recognizing schemes. This suggests that it should be enough to allow only one order-0 marker. Coming back to the intuitions, a flag of order 0 is created in every node of the considered tree  $T$ , and a flag of order 1 in the closest ancestor of that node that is on the path to an order-0 marker. When  $T$  is a word, every node of  $T$  is on the path to an order-0 marker. Thus, whenever a  $(0, a)$ -flag is placed in some node, then a  $(1, a)$ -flag is placed in the same node. In effect, we do not need to remember order-0 flags in flag sets.

We now formalize the above observations in particular requirements on the type system. To distinguish the two type systems, we use a parameter  $\kappa \in \{\Delta, \setminus\}$ . For the type system defined previously, we use  $\kappa = \Delta$ . The new type system, dedicated to word-recognizing lambda-terms, is denoted by  $\kappa = \setminus$ .

Denote  $m_0(\Delta) = -1$  and  $m_0(\setminus) = 0$ ; this is the minimal considered value of a parameter  $m$ . Indeed, in the previous section we were assuming that  $m \geq -1$ , but now we only consider  $m \geq 0$ .

We define the set  $\mathcal{F}_m^\backslash$  of *m-bounded flag \-sets* as containing only those  $F \in \mathcal{F}_m^\Delta$  for which  $F \subseteq \{1, \dots, m\} \times \Sigma$ , and we define the set  $\mathcal{M}_m^\backslash$  of *m-bounded marker \-multisets* as containing only those  $M \in \mathcal{M}_m^\Delta$  for which  $M(0) \leq 1$ . Next, by mutual induction on the sort  $\alpha$ , we define the set  $\mathcal{T}^\backslash^\alpha$  of *\-types* of sort  $\alpha$ , the set  $\mathcal{TT}_m^\backslash^\alpha$  of *m-bounded type \-triples* of sort  $\alpha$ , and the set  $\mathcal{TC}^\backslash^\alpha$  of *triple \-containers* of sort  $\alpha$ , and basing on that we define *type \-environments* and *type \-judgments*. They are defined exactly as in the word case, with the exception that:

- we require that  $m \geq 0$ ,
- we use  $\mathcal{F}_m^\backslash$  and  $\mathcal{M}_m^\backslash$  instead of  $\mathcal{F}_m^\Delta$  and  $\mathcal{M}_m^\Delta$ , respectively,
- in the definition of  $\mathcal{TT}_m^\backslash^\alpha$  we add a requirement that  $M(0) + \sum_{i=1}^s \text{Mk}(C_i)(0) = 1$ ; namely,  $\mathcal{TT}_m^\backslash^\alpha$  contains all elements  $(F, M, C_1 \rightarrow \dots \rightarrow C_s \rightarrow o)$  of  $\mathcal{F}_m^\backslash \times \mathcal{M}_m^\backslash \times \mathcal{T}^\backslash^\alpha$  such that  $M(k) = 0$  for all  $(k, a) \in F$ , and  $M(0) + \sum_{i=1}^s \text{Mk}(C_i)(0) = 1$ , and
- in type \-judgments we write  $\vdash_m^\backslash$  instead of  $\vdash_m^\Delta$ .

All rules of the type system remain the same. For the  $(\text{CON} \geq 1)$  rule we remark that the set  $\{(0, a)\}$ , passed to  $\text{Comp}_m$ , is not an element of  $\mathcal{F}_m^\backslash$ . But, the effect of passing this set is that if  $M(0) > 0$  (i.e., we are on the path to the order-0 marker), then  $\text{Comp}_m$  places a  $(1, a)$ -flag in the current node, and maybe also some  $(k, a)$ -flags for higher  $k$ .

We denote  $\hat{\rho}_m^\backslash^{\text{all}} = (\emptyset, M_m^\backslash^{\text{all}}, o)$ , where  $M_m^\backslash^{\text{all}} \in \mathcal{M}_m^\backslash$  is such that  $M_m^\backslash^{\text{all}}(0) = 0$  and  $M_m^\backslash^{\text{all}}(k) = |\Sigma|$  for all  $k \in \{1, \dots, m\}$ . The following theorem is an analogue of Theorem 3.2 for tree-recognizing lambda-terms.

**Theorem 4.1.** *Let  $m \geq 0$ , let  $P$  be a word-recognizing closed lambda-term of sort  $o$  and complexity at most  $m + 1$ , and let  $A \subseteq \Sigma$ . Then  $\text{SUP}_A(\mathcal{L}(\text{BT}(P)))$  holds if and only if for every  $n \in \mathbb{N}$  we can derive  $\varepsilon \vdash_m^\backslash P : \hat{\rho}_m^\backslash^{\text{all}} \triangleright c_n$  with some  $c_n$  such that  $c_n(a) \geq n$  for all  $a \in A$ .*

We prove Theorem 4.1, together with Theorem 3.2, in Sections 5-8.

## 5 Finite Prefixes of Infinite Lambda-terms

Theorems 3.2 and 4.1 talk about infinite lambda-terms, but the properties described by these theorems concern actually only finite prefixes of these lambda-terms. Moreover, while proving these two theorems it is easier to concentrate on finite lambda-terms. For this reason we now formalize the concept of taking a finite prefix of a lambda-term.

We first say what does it mean that one lambda-term is a prefix of another lambda-term. This is described by the relation  $\preceq$  defined as the smallest reflexive relation such that:

- $\lambda x_1^{\alpha_1} \dots \lambda x_s^{\alpha_s} . \text{nd} \langle \rangle \preceq Q$  whenever  $Q$  is of sort  $\alpha_1 \rightarrow \dots \rightarrow \alpha_s \rightarrow o$ ,
- $a \langle P_1, \dots, P_r \rangle \preceq a \langle P'_1, \dots, P'_r \rangle$  if  $P_i \preceq P'_i$  for all  $i \in \{1, \dots, r\}$ ,
- $PQ \preceq P'Q'$  if  $P \preceq P'$  and  $Q \preceq Q'$ , and
- $\lambda x. P \preceq \lambda x. P'$  if  $P \preceq P'$ .

In other words, we allow to replace some subterms  $Q$  by lambda-terms of the form  $\lambda x_1 \dots \lambda x_s . \text{nd} \langle \rangle$  (where the quantity of variables  $x_1, \dots, x_s$  and their sorts are chosen so that the sort of the lambda-term remains unchanged).

The fact that in Theorems 3.2 and 4.1 it is enough to consider finite prefixes of lambda-terms is given by the following two lemmata.

**Lemma 5.1.** *We can derive a type judgment  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$  if and only if for some finite lambda-term  $P'$  such that  $P' \preceq P$  we can derive  $\Gamma \vdash_m^\kappa P' : \hat{\tau} \triangleright c$ .*

**Proof:** For the left-to-right implication we recall that type derivations are finite by assumption. We can thus cut off (i.e., replace by  $\lambda x_1. \dots \lambda x_s. \text{nd}()$ ) those subterms of  $P$  to which we do not descend while deriving  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$ . For the opposite implication we observe that it is impossible to derive any type judgment for a lambda-term of the form  $\lambda x_1. \dots \lambda x_s. \text{nd}()$ , because we cannot apply the (ND) rule to a node constructor without any child. We can thus replace subterms of this form by the actual subterms of  $P$ , without altering the type derivation. Details, being easy, are left to the reader.  $\square$

**Lemma 5.2.** *Let  $P$  be a closed lambda-term of sort  $o$ . For every tree  $T$  it holds that  $T \in \mathcal{L}(BT(P))$  if and only if there exists a finite lambda-term  $P'$  such that  $P' \preceq P$  and  $T \in \mathcal{L}(BT(P'))$ .*

The remaining part of this section is devoted to a formal proof of the above lemma. The first three lemmata are useful while showing its right-to-left implication.

**Lemma 5.3.** *Suppose that  $R' \preceq R$  and  $S' \preceq S$ , where  $R'$  is finite.<sup>(ii)</sup> Then  $R'[S'/x] \preceq R[S/x]$ .*

**Proof:** A trivial induction on the size of  $R'$ .  $\square$

**Lemma 5.4.** *Suppose that  $P' \preceq P$  and  $P' \rightarrow_\beta^* Q'$ , where  $P'$  is finite. Then there exists a lambda-term  $Q$  such that  $Q' \preceq Q$  and  $P \rightarrow_\beta^* Q$ .*

**Proof:** We proceed by induction on the length of the shortest reduction sequence witnessing  $P' \rightarrow_\beta^* Q'$ ; only the base case of a single beta-reduction is interesting, thus assume that  $P' \rightarrow_\beta Q'$ . Internally, we proceed by induction on the depth of the redex concerned in the beta-reduction  $P' \rightarrow_\beta Q'$ . Again, only the base case is interesting, thus assume that  $P' = (\lambda x. R') S'$  and  $Q' = R'[S'/x]$ .

We have two cases. One possibility is that  $P = (\lambda x. R) S$ , where  $R' \preceq R$  and  $S' \preceq S$ . In this case, taking  $Q = R[S/x]$  we have that  $P \rightarrow_\beta^* Q$ , and, by Lemma 5.3,  $Q' \preceq Q$ .

It is also possible that  $R' = \lambda x_1. \dots \lambda x_s. \text{nd}()$ . In this case we simply take  $Q = P$ , and we observe that  $Q' = R' \preceq Q$ .<sup>(iii)</sup>  $\square$

**Lemma 5.5.** *Let  $Q'$  and  $Q$  be closed lambda-terms of sort  $o$  such that  $Q' \preceq Q$ , and let  $T$  be a finite  $\Sigma$ -labeled tree such that  $Q' \rightarrow_{\text{nd}}^n T$ . Then  $BT(Q) \rightarrow_{\text{nd}}^* T$ .*

**Proof:** The proof is by induction on  $|T| + n$ . Since  $Q' \rightarrow_{\text{nd}}^n T$ , necessarily  $Q' = a\langle Q'_1, \dots, Q'_r \rangle$  for some  $a \in \Sigma^{\text{nd}}$ , but  $Q' \neq \text{nd}()$ . Since  $Q' \preceq Q$ , we also have that  $Q = a\langle Q_1, \dots, Q_r \rangle$ , and thus  $BT(Q) = a\langle BT(Q_1), \dots, BT(Q_r) \rangle$ , where  $Q'_i \preceq Q_i$  for all  $i \in \{1, \dots, r\}$ . We have two cases.

Suppose first that  $a \neq \text{nd}$ . Then  $T = a\langle T_1, \dots, T_r \rangle$ , and for all  $i \in \{1, \dots, r\}$  it holds that  $|T_i| < |T|$  and  $Q'_i \rightarrow_{\text{nd}}^{n_i} T_i$  for some  $n_i \leq n$ . For every  $i \in \{1, \dots, r\}$  the induction assumption implies that  $BT(Q_i) \rightarrow_{\text{nd}}^* T_i$ , and thus  $BT(Q) \rightarrow_{\text{nd}}^* T$ , as required.

<sup>(ii)</sup> It is convenient to proceed by induction on the size of  $R'$ , and thus we assume that it is finite, but equally well the lemma could be shown without this assumption.

<sup>(iii)</sup> In the latter case we only know that  $P$  is of the form  $T S$ , but not necessarily  $(\lambda x. R) S$ , so we cannot proceed as in the former case.

Next, suppose that  $a = \text{nd}$ . In this case we have  $Q' \rightarrow_{\text{nd}} Q'_i \rightarrow_{\text{nd}}^{n-1} T$  for some  $i \in \{1, \dots, r\}$ . Then  $BT(Q_i) \rightarrow_{\text{nd}}^* T$  by the induction assumption (used for one fixed  $i$  only), and we can conclude observing that  $BT(Q) \rightarrow_{\text{nd}} BT(Q_i)$ .  $\square$

The first step needed while proving the left-to-right implication of Lemma 5.2 is to show that every tree from  $\mathcal{L}(BT(P))$  can be seen already after performing finitely many beta-reductions from  $P$ .

**Lemma 5.6.** *Let  $P$  be a closed lambda-term of sort  $o$ , and let  $T$  be a finite  $\Sigma$ -labeled tree such that  $BT(P) \rightarrow_{\text{nd}}^n T$ . Then there exists a lambda-term  $Q$  such that  $P \rightarrow_{\beta}^* Q \rightarrow_{\text{nd}}^* T$ .*

**Proof:** The proof is by induction on  $|T| + n$ . Since  $BT(P) \rightarrow_{\text{nd}}^n T$ , necessarily  $BT(P) \neq \text{nd}()$ , and thus  $P \rightarrow_{\beta}^* a\langle P_1, \dots, P_r \rangle$  for some  $a \in \Sigma^{\text{nd}}$  and some lambda-terms  $P_1, \dots, P_r$  such that  $BT(P) = a\langle BT(P_1), \dots, BT(P_r) \rangle$ . We have two cases.

Suppose first that  $a \neq \text{nd}$ . Then  $T = a\langle T_1, \dots, T_r \rangle$ , and for all  $i \in \{1, \dots, r\}$  it holds that  $|T_i| < |T|$  and  $BT(P_i) \rightarrow_{\text{nd}}^{n_i} T_i$  for some  $n_i \leq n$ . For every  $i \in \{1, \dots, r\}$  the induction assumption gives us a lambda-term  $Q_i$  such that  $P_i \rightarrow_{\beta}^* Q_i \rightarrow_{\text{nd}}^* T_i$ . Taking  $Q = a\langle Q_1, \dots, Q_r \rangle$  we obtain  $P \rightarrow_{\beta}^* Q \rightarrow_{\text{nd}}^* T$ , as required.

Next, suppose that  $a = \text{nd}$ . In this case we have  $BT(P) \rightarrow_{\text{nd}} BT(P_i) \rightarrow_{\text{nd}}^{n-1} T$  for some  $i \in \{1, \dots, r\}$ . Then  $P_i \rightarrow_{\beta}^* Q_i \rightarrow_{\text{nd}}^* T$  for some lambda-term  $Q_i$ , by the induction assumption (used for one fixed  $i$  only). Taking  $Q_j = P_j$  for  $j \in \{1, \dots, r\} \setminus \{i\}$  and  $Q = \text{nd}\langle Q_1, \dots, Q_r \rangle$  we obtain  $P \rightarrow_{\beta}^* Q \rightarrow_{\text{nd}}^* Q_i \rightarrow_{\text{nd}}^* T$ , as required.  $\square$

It is convenient to introduce one more relation: we write  $P \approx_l P'$  if the lambda-terms  $P$  and  $P'$  agree up to depth  $l \in \mathbb{N}$ . Formally,  $\approx_l$  is defined by induction on  $l$  as the smallest equivalence relation such that:

- if  $l = 0$ , then  $P \approx_l Q$  for all lambda-terms  $P, Q$  of the same sort,
- $a\langle P_1, \dots, P_r \rangle \approx_l a\langle P'_1, \dots, P'_r \rangle$  if  $l > 0$  and  $P_i \approx_{l-1} P'_i$  for all  $i \in \{1, \dots, r\}$ ,
- $PQ \approx_l P'Q'$  if  $l > 0$ , and  $P \approx_{l-1} P'$ , and  $Q \approx_{l-1} Q'$ , and
- $\lambda x.P \approx_l \lambda x.P'$  if  $l > 0$  and  $P \approx_{l-1} P'$ .

Observe that  $P \approx_l P'$  implies  $P \approx_k P'$  for  $k < l$ . Next, we observe that only a finite prefix of the lambda-term  $Q$  obtained in Lemma 5.6 is important.

**Lemma 5.7.** *Let  $Q$  be a closed lambda-term of sort  $o$ , and let  $T$  be a finite  $\Sigma$ -labeled tree such that  $Q \rightarrow_{\text{nd}}^n T$ . Then  $Q' \rightarrow_{\text{nd}}^* T$  for all lambda-terms  $Q'$  such that  $Q \approx_{|T|+n} Q'$ .*

**Proof:** Again, the proof is by induction on  $|T| + n$ . Since  $Q \rightarrow_{\text{nd}}^n T$  and  $|T| + n \geq 1$ , necessarily  $Q$  and  $Q'$  are of the form  $a\langle Q_1, \dots, Q_r \rangle$  and  $a\langle Q'_1, \dots, Q'_r \rangle$ , respectively, where  $Q_i \approx_{|T|+n-1} Q'_i$  for all  $i \in \{1, \dots, r\}$ . We have two cases.

Suppose first that  $a \neq \text{nd}$ . Then  $T = a\langle T_1, \dots, T_r \rangle$ , and for all  $i \in \{1, \dots, r\}$  it holds that  $|T_i| < |T|$  and  $Q_i \rightarrow_{\text{nd}}^{n_i} T_i$  for some  $n_i \leq n$ . Since  $|T_i| + n_i \leq |T| + n - 1$ , we have that  $Q_i \approx_{|T_i|+n_i} Q'_i$ , hence  $Q'_i \rightarrow_{\text{nd}}^* T_i$  by the induction assumption (for all  $i \in \{1, \dots, r\}$ ). In consequence  $Q' \rightarrow_{\text{nd}}^* T$ .

Next, suppose that  $a = \text{nd}$ . Then  $Q \rightarrow_{\text{nd}} Q_i \rightarrow_{\text{nd}}^{n-1} T$  for some  $i \in \{1, \dots, r\}$ . Since  $Q_i \approx_{|T|+n-1} Q'_i$ , by the induction assumption we obtain that  $Q'_i \rightarrow_{\text{nd}}^* T$ , which together with  $Q' \rightarrow_{\text{nd}} Q'_i$  gives us that  $Q' \rightarrow_{\text{nd}}^* T$ , as required.  $\square$

The next two lemmata describe what happens during a beta-reduction.

**Lemma 5.8.** *If  $P \approx_l P'$  and  $Q \approx_l Q'$  for some  $l \in \mathbb{N}$ , then also  $P[Q/x] \approx_l P'[Q'/x]$ .*

**Proof:** Induction on  $l$ . For  $l = 0$  the lemma is obvious:  $\approx_0$  always holds. When  $l > 0$  and  $P = RS$ , then  $P' = R'S'$  with  $R \approx_{l-1} R'$  and  $S \approx_{l-1} S'$ . By the induction assumption we have  $R[Q/x] \approx_{l-1} R'[Q'/x]$  and  $S[Q/x] \approx_{l-1} S'[Q'/x]$ , and thus  $P[Q/x] \approx_l P'[Q'/x]$ . The cases when  $P = a(P_1, \dots, P_r)$  or  $P = \lambda y.Q$  are similar. Finally, when  $P = P'$  is a variable, the thesis follows immediately from  $Q \approx_l Q'$ .  $\square$

**Lemma 5.9.** *If  $P \approx_{l+2} P'$  and  $P \rightarrow_\beta Q$ , then for some  $Q'$  we have that  $P' \rightarrow_\beta^* Q'$  and  $Q \approx_l Q'$ .*

**Proof:** Induction on  $l$ . If  $l = 0$ , the thesis holds for  $Q' = P'$ . Next, suppose that  $l > 0$  and  $P = (\lambda x.R)S$  and  $Q = R[S/x]$ . Then  $P' = (\lambda x.R')S'$ , where  $R \approx_l R'$  and  $S \approx_{l+1} S'$ . Taking  $Q' = R'[S'/x]$  we have  $P' \rightarrow_\beta Q'$ , and, by Lemma 5.8,  $Q \approx_l Q'$ . The remaining case is that  $l > 0$  and the redex involved in the beta-reduction  $P \rightarrow_\beta Q$  is not located on the front of  $P$ . Then the thesis follows from the induction assumption. Let us consider only a representative example: suppose that  $P = RS$ , and  $Q = TS$ , and  $R \rightarrow_\beta T$ . In this case  $P' = R'S'$  with  $R \approx_{l+1} R'$  and  $S \approx_{l+1} S'$ . The induction assumption gives us  $T'$  such that  $R' \rightarrow_\beta^* T'$  and  $T \approx_{l-1} T'$ . Thus for  $Q' = T'S'$  we have  $P' \rightarrow_\beta^* Q'$  and  $Q \approx_l Q'$ .  $\square$

We can now conclude the proof of Lemma 5.2.

**Proof of Lemma 5.2:** Let us first establish the right-to-left implication. We assume here that  $P' \preceq P$  and  $T \in \mathcal{L}(BT(P'))$  for a finite lambda-term  $P'$ , and we need to prove that  $T \in \mathcal{L}(BT(P))$ . Denote  $Q' = BT(P')$ . Since  $P'$  is finite, we have  $P' \rightarrow_\beta^* Q'$  (the Böhm tree of a finite lambda-term is just its beta-normal form). Lemma 5.4 gives us a lambda-term  $Q$  such that  $Q' \preceq Q$  and  $P \rightarrow_\beta^* Q$ . Since  $T \in \mathcal{L}(BT(P'))$ , by definition of  $\mathcal{L}(\cdot)$ , we have that  $Q' \rightarrow_{nd}^n T$  for some  $n \in \mathbb{N}$ , and that  $T$  is a finite  $\Sigma$ -labeled tree. In such a situation Lemma 5.5 implies  $BT(Q) \rightarrow_{nd}^* T$ . Since  $BT(P) = BT(Q)$ , we obtain  $T \in \mathcal{L}(BT(P))$ , as required.

Let us now prove the opposite implication. We know that  $T \in \mathcal{L}(BT(P))$ , that is, that  $T$  is a finite  $\Sigma$ -labeled tree and  $BT(P) \rightarrow_{nd}^n T$  for some  $n \in \mathbb{N}$ . Then, by Lemma 5.6, there exists a lambda-term  $Q$  such that  $P \rightarrow_\beta^k Q \rightarrow_{nd}^m T$  for some  $k, m \in \mathbb{N}$ . We now take a finite lambda-term  $P'$  such that  $P' \preceq P$  and  $P \approx_{2k+m+|T|} P'$ ; it is easy to obtain such  $P'$ : we simply need to cut off  $P$  at depth  $2k+m+|T|$ . By applying Lemma 5.9 consecutively to every beta-reduction in the reduction sequence witnessing  $P \rightarrow_\beta^k Q$  we obtain a lambda-term  $Q'$  such that  $P' \rightarrow_\beta^* Q'$  and  $Q \approx_{m+|T|} Q'$ . Next, Lemma 5.7 implies that  $Q' \rightarrow_{nd}^* T$ . Finally, we use Lemma 5.5, where we set both  $Q$  and  $Q'$  to  $Q'$ ; it gives us that  $BT(Q') \rightarrow_{nd}^* T$ . Since  $BT(P') = BT(Q')$ , we obtain  $T \in \mathcal{L}(BT(P'))$ , as required.  $\square$

## 6 Properties of Type Judgments

Before actually proving Theorems 3.2 and 4.1 in the next two sections, we state here some properties of those type judgments that can be derived in our type system.

We start by a simple observation, that follows directly from rules of the type system. This observation is used implicitly later.

**Observation.** *If we can derive  $\Gamma \vdash_m^\kappa R : \hat{\tau} \triangleright c$ , and  $x$  is not free in  $R$ , then  $\Gamma(x) = \mathbf{0}$ .*  $\square$

Next, in Lemma 6.1, we formalize the intuition that the marker multiset of a type judgment includes all markers provided by free variables (which are described in the type environment).

**Lemma 6.1.** *Suppose that we can derive  $\Gamma \vdash_m^\kappa R : \hat{\tau} \triangleright c$ . Then  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})$ .*



**Proof:** Fix some derivation of  $\Gamma \vdash_m^\kappa R : \hat{\tau} \triangleright c$ ; the proof is by induction on the structure of this derivation. We analyze the shape of  $R$ .

Suppose first that  $R = x$ . The (VAR) rule says that  $\Gamma = \varepsilon[x \mapsto \{\hat{\tau}'\}]$  for  $\hat{\tau}'$  such that  $\text{Mk}(\hat{\tau}') \leq \text{Mk}(\hat{\tau})$ , which implies that  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})$ .

In the case when  $R = a\langle \rangle$  for  $a \neq \text{nd}$ , the (CON0) rule implies that  $\Gamma = \varepsilon$ , hence  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})$ .

Next, suppose that  $R = \lambda x.P$ . Let  $\Gamma[x \mapsto C'] \vdash_m^\kappa P : \hat{\tau}' \triangleright c$  be the premiss of the final ( $\lambda$ ) rule, and let  $C' \rightarrow \tau$  be the type appearing in the type triple  $\hat{\tau}$ . By conditions of the rule we have  $C' \sqsubseteq C$  and  $\text{Mk}(\hat{\tau}) = \text{Mk}(\hat{\tau}') - \text{Mk}(C)$ . While writing  $\Gamma[x \mapsto C']$  we mean that  $\Gamma(x) = \mathbf{0}$ , so  $\text{Mk}(\Gamma) = \text{Mk}(\Gamma[x \mapsto C']) - \text{Mk}(C)$ . The condition  $C' \sqsubseteq C$  implies that  $\text{Mk}(C) = \text{Mk}(C')$ , and the induction assumption ensures that  $\text{Mk}(\Gamma[x \mapsto C']) \leq \text{Mk}(\hat{\tau}')$ . Putting this together we obtain  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})$ .

Finally, suppose that  $R = a\langle P_1, \dots, P_r \rangle$  where  $r \geq 1$  or  $a = \text{nd}$ , or  $R = PQ$ . Let  $\hat{\tau}_1, \dots, \hat{\tau}_s$  be the type triples derived in premisses of the final rule (which is either (CON $\geq 1$ ), or (ND), or (@)), and let  $\Gamma_1, \dots, \Gamma_s$  be the type environments used there. Each of the three possible rules ensures that  $\text{Mk}(\hat{\tau}) = \text{Mk}(\hat{\tau}_1) + \dots + \text{Mk}(\hat{\tau}_s)$  and  $\Gamma = \Gamma_1 \sqcup \dots \sqcup \Gamma_s$ . The induction assumption gives us inequalities  $\text{Mk}(\Gamma_i) \leq \text{Mk}(\hat{\tau}_i)$  for all  $i \in \{1, \dots, s\}$ . It follows that  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})$ .  $\square$

The next important property of our type system is given in Lemma 6.2.

**Lemma 6.2.** *If a type judgment  $\Delta \vdash_m^\kappa R : \hat{\sigma} \triangleright d$  is used in a derivation of  $\Gamma \vdash_m^\kappa S : \hat{\tau} \triangleright c$ , where  $\text{Mk}(\hat{\tau})(m) = 0$  and  $\text{ord}(S) \leq m$ , then  $\text{Mk}(\hat{\sigma})(m) = 0$ .*

**Proof:** We say that a type triple  $\hat{\sigma} = (F, M, C_1 \rightarrow \dots \rightarrow C_s \rightarrow o)$  is *m-clear* if it holds that  $(M + \sum_{i=1}^s \text{Mk}(C_i))(m) = 0$ . It is enough to prove that, in the considered derivation, there are only type judgments with *m-clear* type triples; then the statement of the lemma follows immediately.

We first notice that if  $\hat{\sigma}$  is derived for a lambda-term having sort  $\alpha$  of order at most  $m$ , and  $\text{Mk}(\hat{\sigma})(m) = 0$ , then  $\hat{\sigma}$  is *m-clear*. Indeed, let us write  $\hat{\sigma} = (F, M, C_1 \rightarrow \dots \rightarrow C_s \rightarrow o)$ . For  $i \in \{1, \dots, s\}$  by definition we have  $C_i \in \mathcal{TC}^{\kappa\alpha_i}$ , where  $\alpha = \alpha_1 \rightarrow \dots \rightarrow \alpha_s \rightarrow o$ ; type triples in  $C_i$  belong to  $\mathcal{TT}_{\text{ord}(\alpha_i)}^{\kappa\alpha_i}$ , so  $\text{Mk}(C_i)$  is  $\text{ord}(\alpha_i)$ -bounded, and because  $\text{ord}(\alpha_i) < \text{ord}(\alpha) \leq m$ , we obtain  $\text{Mk}(C_i)(m) = 0$  as needed. In particular it follows that the type triple  $\hat{\tau}$  derived at the end is *m-clear*.

It remains to prove that if a conclusion of some rule derives an *m-clear* type triple, then all its premisses as well. Let  $\Delta \vdash_m^\kappa R : (F, M, \sigma) \triangleright d$  be the considered conclusion, where  $\sigma = C_1 \rightarrow \dots \rightarrow C_s \rightarrow o$ . We have several cases depending on the shape of  $R$ .

If  $R = x$  or  $R = a\langle \rangle$ , the thesis is immediate, as there are no premisses. If  $R = \text{nd}\langle P_1, \dots, P_r \rangle$ , then the (ND) rule is used, so the type triple derived in the premiss is the same as in the conclusion.

Suppose that  $R = \lambda x.P$ . Then the ( $\lambda$ ) rule is used, and it has a premiss  $\Delta' \vdash_m^\kappa P : (F, M', \sigma') \triangleright d$ , where  $\sigma' = C_2 \rightarrow \dots \rightarrow C_s \rightarrow o$  and  $M' = M + \text{Mk}(C_1)$ . We thus have  $(M' + \sum_{i=2}^s \text{Mk}(C_i))(m) = (M + \sum_{i=1}^s \text{Mk}(C_i))(m) = 0$ .

Next, suppose that  $R = a\langle P_1, \dots, P_r \rangle$ , where  $a \neq \text{nd}$  and  $r \geq 1$ . Then the premisses are  $\Delta_i \vdash_m^\kappa P_i : (F_i, M_i, o) \triangleright d_i$  for  $i \in \{1, \dots, r\}$ , where the (CON $\geq 1$ ) rule ensures that  $M = M_1 + \dots + M_r$ . We thus immediately have  $M_i(m) \leq M(m) = 0$  for all  $i \in \{1, \dots, r\}$ .

Finally, suppose that  $R = PQ$ . Let  $\Delta' \vdash_m^\kappa P : (F', M', C_0 \rightarrow \sigma) \triangleright d'$  and  $\Delta_i \vdash_m^\kappa Q : (F_i, M_i, \sigma_i) \triangleright d_i$  for  $i \in I$  be the premisses of the considered rule, which is (@). The rule implies that  $M = M' + \sum_{i \in I} M_i$ , so  $M'(m) = 0$  and  $M_i(m) = 0$  for all  $i \in I$ . It also implies that  $\text{ord}(Q) \leq m$ , so the type triples  $(F_i, M_i, \sigma_i)$  derived for  $Q$  are *m-clear* (as observed at the beginning). Moreover, the marker multisets in type triples in  $C_0$  are  $M_i \upharpoonright_{\leq \text{ord}(Q)}$ , so  $\text{Mk}(C_0)(m) = 0$ , and thus also  $(F', M', C_0 \rightarrow \sigma)$  is *m-clear*.  $\square$

Out of Lemma 6.2 we easily deduce the following lemma.

**Lemma 6.3.** *Suppose that we can derive  $\Gamma \vdash_m^\kappa S : \hat{\tau} \triangleright c$ , where  $\text{Mk}(\hat{\tau})(m) = 0$  and  $\text{ord}(S) \leq m$ . Then  $c = \mathbf{0}$ .*

**Proof:** Suppose to the contrary that  $c \neq \mathbf{0}$ . Then for some rule used in the derivation, its conclusion  $\Delta \vdash_m^\kappa R : (F, M, \sigma) \triangleright d$  has a nonzero flag counter  $d$ , but flag counters in all premisses are  $\mathbf{0}$ . This is possible only in the following rules: (CON0), (CON $\geq 1$ ), or (@). In these rules we have  $(F, d) \in \text{Comp}_m(M; \dots)$ , where by Lemma 6.2 we have  $M(m) = 0$ . Moreover, in all pairs  $(F_i, c_i)$  passed to this  $\text{Comp}_m$  predicate we have that  $c_i = \mathbf{0}$  and that  $F_i$  is  $m$ -bounded (this is also the case for  $F_i = \{(0, a)\}$  since  $m \geq \text{ord}(S) \geq 0$ ). We see that the numbers  $f'_{m+1,a}$  and  $f_{m+1,a}$  appearing in the definition of  $\text{Comp}_m$  are 0, and thus necessarily  $d = \mathbf{0}$ , contrary to our assumption.  $\square$

One may suspect that Lemma 6.3 can be generalized to lower orders, that is, that whenever we can derive  $\Gamma \vdash_m^\kappa S : (F, M, \tau) \triangleright c$  with  $M(k) = 0$  for all  $k \geq \text{ord}(S)$ , then  $F \upharpoonright_{>\text{ord}(S)} = \emptyset$ . The justification of such a statement would be as those of Lemma 6.3: flags of order  $k + 1 > \text{ord}(S)$  are created only when a marker of order  $k \geq \text{ord}(S)$  is visible, while such markers are not provided neither in the derivation itself (since  $M(k) = 0$ ) nor in the arguments of the lambda-term. Live is not so simple, however: it may be the case that  $\Gamma$  simply provides some flag of order greater than  $\text{ord}(S)$ . This is illustrated by the following example.

**Example 6.1.** In this example we suppose that  $\Sigma = \{a\}$ ; then  $\hat{\rho}_1^{\Delta all} = (\emptyset, \{0, 1\}, o)$ . Denote

$$\hat{\tau}_y = (\{(1, a)\}, \mathbf{0}, \mathbf{0} \rightarrow o) \quad \text{and} \quad \hat{\sigma} = (\{(1, a)\}, \mathbf{0}, \{\hat{\tau}_y\} \rightarrow \mathbf{0} \rightarrow o),$$

and consider the following type derivation, in which  $x$  is of sort  $o$ ,  $y$  is of sort  $o \rightarrow o$ , and  $z$  is of sort  $(o \rightarrow o) \rightarrow o \rightarrow o$ . As in the previous examples,  $c_a$  is the flag counter such that  $c_a(a) = 1$ .

$$\frac{\frac{\varepsilon \vdash_1^\Delta a \langle \rangle : \hat{\rho}_1^{\Delta all} \triangleright c_c \quad \text{(CON0)}}{\varepsilon \vdash_1^\Delta \lambda z. a \langle \rangle : (\emptyset, \{0, 1\}, \{\hat{\sigma}\} \rightarrow o) \triangleright c_c} \quad (\lambda) \quad \frac{\frac{\frac{\varepsilon[y \mapsto \{\hat{\tau}_y\}] \vdash_1^\Delta y : \hat{\tau}_y \triangleright \mathbf{0} \quad \text{(VAR)}}{\varepsilon[y \mapsto \{\hat{\tau}_y\}] \vdash_1^\Delta y x : (\{(1, a)\}, \mathbf{0}, o) \triangleright \mathbf{0}} \quad (@)}{\varepsilon[y \mapsto \{\hat{\tau}_y\}] \vdash_1^\Delta \lambda x. y x : \hat{\tau}_y \triangleright \mathbf{0}} \quad (\lambda)}{\frac{\varepsilon \vdash_1^\Delta \lambda y. \lambda x. y x : \hat{\sigma} \triangleright \mathbf{0}}{\varepsilon \vdash_1^\Delta (\lambda z. a \langle \rangle) (\lambda y. \lambda x. y x) : \hat{\rho}_1^{\Delta all} \triangleright c_c} \quad (@)}$$

The type judgment concerning the subterm  $y x$  is of the considered “illegal” form: it provides a flag of order 1, but does not use any markers. This means two things: first, that such a type judgment can be derived, and second, that it can be used in a derivation concerning a closed lambda-term of sort  $o$ . We notice, however, that this type judgment could appear in the whole derivation only because it is actually ignored ( $\lambda z. a \langle \rangle$  ignores its argument  $z$ ); otherwise, it would be necessary to derive  $\hat{\tau}_y$  for some subterm that would be given as  $y$  to  $\lambda y. \lambda x. y x$ , and this would be impossible, since we cannot create a flag of order 1 without using markers.

We thus have to generalize Lemma 6.3 in a more subtle way, having in mind the above issues. To this end, we proceed in a minimalistic way: in Lemma 6.4 we prove what is really useful for us, although it might be effortless to prove a slightly stronger result. While formulating this lemma we need the following definition. Consider a use of the (@) rule that derives a type judgment  $\Gamma \vdash_m^\kappa PQ : \hat{\tau} \triangleright c$ . We say that this use of the

(@) rule is *wild* if it has a premiss  $\Gamma' \vdash_m^\kappa Q : (F, \mathbf{0}, \sigma) \triangleright c'$  such that for some  $(k, a) \in F \upharpoonright_{> \text{ord}(Q)}$  it holds that  $\text{Mk}(\hat{\tau})(l) > 0$  for all  $l \in \{k, k+1, \dots, m\}$ . A type derivation is *wild* if, at some moment, it uses the (@) rule in a wild way.

**Lemma 6.4.** *There is no wild derivation of  $\Gamma \vdash_m^\kappa P : \hat{\rho}_m^{\kappa \text{all}} \triangleright c$ , where  $P$  is a closed lambda-term of sort  $o$  and complexity at most  $m+1$ .*

This lemma is proven in Section 8. We remark that we do not use this lemma in Sections 7 and 8, only in Section 9. Right now we only prove the following auxiliary lemma.

**Lemma 6.5.** *There is no wild derivation of  $\Gamma \vdash_m^\kappa S : \hat{\tau} \triangleright c$  if  $\text{Mk}(\hat{\tau})(m) = 0$  and  $\text{ord}(S) \leq m$ .*

**Proof:** Suppose that some use of the (@) rule is wild in a derivation of this type judgment. Let  $\Delta \vdash_m^\kappa P Q : \hat{\sigma} \triangleright d$  be the conclusion of this rule. The wildness condition requires in particular that  $\text{Mk}(\hat{\sigma})(m) > 0$ , but by Lemma 6.2 we have  $\text{Mk}(\hat{\sigma})(m) = 0$ , so all this could not happen.  $\square$

## 7 Completeness

In this section we prove the left-to-right implications of Theorems 3.2 and 4.1. We divide the proof into the following four lemmata. Recall that  $P \rightarrow_{\beta(k)} Q$  denotes a beta-reduction of order  $k$ , that is, concerning a redex  $(\lambda x.R) S$  with  $\text{ord}(x) = k$ .

**Lemma 7.1.** *Let  $P$  be a finite closed lambda-term of sort  $o$  and complexity at most  $n$ . Then there exist lambda-terms  $Q_n, Q_{n-1}, \dots, Q_0$  such that  $P = Q_n$ , and for every  $k \in \{0, \dots, n-1\}$ ,  $Q_k$  is of complexity at most  $k$  and  $Q_{k+1} \rightarrow_{\beta(k)}^* Q_k$ , and  $Q_0 = BT(P)$ .*

**Lemma 7.2.** *Suppose that  $T \in \mathcal{L}(P)$ , and that  $c : \Sigma \rightarrow \mathbb{N}$  is such that for every  $a \in \Sigma$ ,  $c(a)$  is the number of appearances of  $a$  in  $T$ . Then we can derive  $\varepsilon \vdash_{-1}^\Delta P : \hat{\rho}_{-1}^{\Delta \text{all}} \triangleright c$ . Moreover, if  $T$  is a word, then we can derive  $\varepsilon \vdash_0^\Delta P : \hat{\rho}_0^{\Delta \text{all}} \triangleright c$ .*

**Lemma 7.3.** *Suppose that  $P \rightarrow_{\beta(m)} Q$ , where  $m \geq 0$ . If we can derive  $\Gamma \vdash_m^\kappa Q : \hat{\tau} \triangleright c$ , then we can also derive  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$ .*

**Lemma 7.4.** *If we can derive  $\varepsilon \vdash_{m-1}^\kappa P : \hat{\rho}_{m-1}^{\kappa \text{all}} \triangleright c$ , where  $m-1 \geq m_0(\kappa)$ , then we can also derive  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa \text{all}} \triangleright c'$  for some  $c'$  such that  $c'(a) \geq \left\lfloor \frac{1}{|\Sigma|} \log_2 c(a) \right\rfloor$  for all  $a \in \Sigma$ .*

Now the left-to-right implication of Theorem 3.2 easily follows. Indeed, take a closed lambda-term  $P$  of sort  $o$  and complexity at most  $m+1$  and a set  $A \subseteq \Sigma$  such that  $\text{SUP}_A(\mathcal{L}(BT(P)))$  holds, and take any  $n \in \mathbb{N}$ . Let us denote  $f_{-1}(l) = l$  and  $f_k(l) = \left\lfloor \frac{1}{|\Sigma|} \log_2 f_{k-1}(l) \right\rfloor$  for  $k \in \mathbb{N}$ . We can find a number  $n'$  such that  $f_m(n') \geq n$ , as well as a tree  $T \in \mathcal{L}(BT(P))$  such that every symbol from  $A$  appears in  $T$  at least  $n'$  times. We first apply Lemma 5.2, obtaining a finite lambda-term  $P'$  such that  $P' \preceq P$  and  $T \in \mathcal{L}(BT(P'))$ . Clearly the complexity of  $P'$  remains at most  $m+1$ . Then we apply Lemma 7.1 to  $P'$ , obtaining lambda-terms  $Q_{m+1}, Q_m, \dots, Q_0$  with  $T \in \mathcal{L}(Q_0) = \mathcal{L}(BT(P'))$ . By Lemma 7.2 we can derive  $\varepsilon \vdash_{-1}^\Delta Q_0 : \hat{\rho}_{-1}^{\Delta \text{all}} \triangleright c_{-1}$  with  $c_{-1}(a) \geq n' = f_{-1}(n')$  for all  $a \in A$ . Then for every  $k \in \{0, \dots, m\}$  we perform two steps. First, we apply Lemma 7.4, obtaining a derivation of  $\varepsilon \vdash_k^\Delta Q_k : \rho_k \triangleright c_k$  for some  $c_k$  such that  $c_k(a) \geq f_1(f_{k-1}(n')) = f_k(n')$  for all  $a \in A$ . Then, we repeatedly apply Lemma 7.3 to every beta-reduction (of order  $k$ ) between  $Q_{k+1}$  and  $Q_k$ , obtaining a derivation of  $\varepsilon \vdash_k^\Delta Q_{k+1} : \rho_k \triangleright c_k$ . We end

up with a derivation of  $\varepsilon \vdash_m^\Delta P' : \rho_m \triangleright c_m$ , where  $c_m(a) \geq f_m(n') \geq n$  for all  $a \in A$ . Using Lemma 5.1 we can convert it into a derivation of  $\varepsilon \vdash_m^\Delta P : \rho_m \triangleright c_m$ , as needed.

Similarly we prove the left-to-right implication of Theorem 4.1, where the lambda-term  $P$  is word-recognizing. We start as previously. The proofs start to diverge when we use Lemma 7.2: this time  $T$  is a word, thus we can obtain a derivation of  $\varepsilon \vdash_0^\Delta Q_0 : \hat{\rho}_0^{\Delta all} \triangleright c_0$  with  $c_0(a) \geq n' \geq \left\lfloor \frac{1}{|\Sigma|} \log_2 n' \right\rfloor = f_0(n')$  for all  $a \in A$ . We continue as for trees, alternately applying Lemmata 7.3 and 7.4, but we omit the first use of Lemma 7.4 (which was used previously to derive  $\varepsilon \vdash_0^\Delta Q_0 : \hat{\rho}_0^{\Delta all} \triangleright c_0$ ). We end up with a derivation of  $\varepsilon \vdash_m^\Delta P : \rho_m^\Delta \triangleright c_m$ , where  $c_m(a) \geq f_m(n') \geq n$  for all  $a \in A$ , as needed.

Lemma 7.1 comes from our previous work (Parys, 2018a, Lemma 11). In the remaining part of this section we prove Lemmata 7.2-7.4.

**Remark.** We notice that Lemma 7.1 would be false if we have allowed lambda-terms involving non-homogeneous sorts. For example, in a lambda-term of the form  $(\lambda x. \lambda y. P) Q R$  with  $\text{ord}(x) = 0$  and  $\text{ord}(y) = 1$  we have to perform a beta-reduction of order 0 concerning  $x$  before a beta-reduction of order 1 concerning  $y$ . Homogeneity of sorts should not be seen, however, as a miracle that is necessary to construct the whole type system considered in the paper; it is rather an assumption made for technical convenience. Indeed, Lemma 7.1 would work also for lambda-terms involving non-homogeneous sorts if we have defined the order of a beta-reduction  $(\lambda x. R) S \rightarrow_\beta R[S/x]$  as  $\text{ord}(\lambda x. R) - 1$ , not as  $\text{ord}(x)$  (notice that these two numbers coincide for homogeneous sorts). However then it would be necessary to alter the definition of a type environment (and similarly the (VAR) rule):  $\Gamma(x)$  should not be  $\text{ord}(x)$ -bounded, but rather  $(\text{ord}(\lambda x. R) - 1)$ -bounded, where  $\lambda x. R$  is the superterm binding the variable  $x$ . This would be uncomfortable, as  $\text{ord}(\lambda x. R) - 1$  is a contextual information, not determined by  $x$  itself. For this reason we prefer to restrict ourselves to homogeneous sorts.

## 7.1 Proof of Lemma 7.2

Basically, in order to prove Lemma 7.2 we simply apply the rules of our type system, namely the rules (CON0), (CON $\geq 1$ ), and (ND), in every nd-labeled node choosing the subtree in which  $T$  continues; then the flag counter computes exactly the number of appearances of every symbol in  $T$ .

Formally, we proceed by induction on  $|T| + n$ , where  $n$  is the smallest number such that  $P \rightarrow_{\text{nd}}^n T$  (recall that  $T \in \mathcal{L}(P)$  by definition means that  $P \rightarrow_{\text{nd}}^n T$  for some  $n \in \mathbb{N}$ ). Take  $\kappa = \Delta$  and  $m = -1$  while proving the first statement, and  $\kappa = \backslash$ ,  $m = 0$  in the case of  $T$  being a word. In both cases, we intend to derive  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa all} \triangleright c$ .

We have two possibilities. One possibility is that  $P = \text{nd}\langle P_1, \dots, P_r \rangle$ . In this case, the reduction sequence witnessing  $P \rightarrow_{\text{nd}}^n T$  starts with  $P \rightarrow_{\text{nd}} P_i$  for some  $i \in \{1, \dots, r\}$ , and then we have a reduction sequence witnessing  $P_i \rightarrow_{\text{nd}}^{n-1} T$ . The induction assumption gives us a derivation of  $\varepsilon \vdash_m^\kappa P_i : \hat{\rho}_m^{\kappa all} \triangleright c$ , where, for all  $a \in \Sigma$ ,  $c(a)$  is the number of appearances of  $a$  in  $T$ . To this type judgment we apply the (ND) rule, deriving  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa all} \triangleright c$ , as needed.

Because  $P \rightarrow_{\text{nd}}^* T$ , and  $T$  is a tree, the only remaining case is that  $P = b\langle P_1, \dots, P_r \rangle$  for some  $b \in \Sigma$ . Then necessarily  $T = b\langle T_1, \dots, T_r \rangle$ , and out of the reduction sequence witnessing  $P \rightarrow_{\text{nd}}^n T$  we can extract a reduction sequences witnessing  $P_i \rightarrow_{\text{nd}}^{n_i} T_i$  for every  $i \in \{1, \dots, r\}$ , where  $n_i \leq n$ . For  $i \in \{1, \dots, r\}$ , by the induction assumption we know that we can derive  $\varepsilon \vdash_m^\kappa P_i : \hat{\rho}_m^{\kappa all} \triangleright c_i$ , where  $c_i : \Sigma \rightarrow \mathbb{N}$  is such that, for all  $a \in \Sigma$ ,  $c_i(a)$  is the number of appearances of  $a$  in  $T_i$ . Obviously,  $c(a) = c_1(a) + \dots + c_r(a)$  for  $a \in \Sigma \setminus \{b\}$ , and  $c(b) = 1 + c_1(b) + \dots + c_r(b)$ . Directly from the definition of the *Comp* predicate it

follows that

$$\begin{aligned} (\emptyset, c) &\in \text{Comp}_{-1}(\mathbf{0}; (\{(0, b)\}, \mathbf{0}), (\emptyset, c_1), \dots, (\emptyset, c_r)), & \text{and} \\ (\emptyset, c) &\in \text{Comp}_0(\{0\}; (\{(0, b)\}, \mathbf{0}), (\emptyset, c_1), \dots, (\emptyset, c_r)), & \text{hence more generally} \\ (\emptyset, c) &\in \text{Comp}_m(\text{Mk}(\hat{\rho}_m^{\kappa \text{all}}); (\{(0, b)\}, \mathbf{0}), (\emptyset, c_1), \dots, (\emptyset, c_r)). \end{aligned}$$

We recall here that  $\text{Mk}(\hat{\rho}_{-1}^{\Delta \text{all}}) = \mathbf{0}$  and  $\text{Mk}(\hat{\rho}_0^{\Delta \text{all}}) = \{0\}$ ; in both cases the flag set in  $\hat{\rho}_m^{\kappa \text{all}}$  is  $\emptyset$ .

If  $r = 0$ , we simply apply the (CON0) rule. Otherwise, we apply the (CON $\geq 1$ ) rule, where we need to notice that  $\text{Mk}(\hat{\rho}_{-1}^{\Delta \text{all}}) + \dots + \text{Mk}(\hat{\rho}_{-1}^{\Delta \text{all}}) = \mathbf{0} = \text{Mk}(\hat{\rho}_{-1}^{\Delta \text{all}})$ . In both cases, the derived type judgment is  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa \text{all}} \triangleright c$ , as needed.

## 7.2 Proof of Lemma 7.3

Before going into details, let us sketch the proof. Knowing that we can derive  $\Gamma \vdash_m^\kappa Q : \hat{\tau} \triangleright c$ , we want to derive the same for a given lambda-term  $P$  such that  $P \rightarrow_{\beta(m)} Q$ . Let us consider the base case when  $P = (\lambda x.R)S$  and  $Q = R[S/x]$ ; the general situation (redex being deeper in  $P$ ) is easily reduced to this one. In the derivation of  $\Gamma \vdash_m^\kappa Q : \hat{\tau} \triangleright c$  we identify the set  $I$  of places (nodes) where we derive a type for  $S$  substituted for  $x$ . For  $i \in I$ , let  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  be the type judgment in  $i$ . We change the nodes in  $I$  into leaves, where we instead derive  $\varepsilon[x \mapsto \{\hat{\sigma}_i\}] \vdash_m^\kappa x : \hat{\sigma}_i \triangleright \mathbf{0}$  (here we need to know that  $\text{ord}(x) = m$ , since a type environment should map  $x$  into an  $\text{ord}(x)$ -bounded triple container, while  $\hat{\sigma}_i$  is  $m$ -bounded). It is tedious but straightforward to repair the rest of the derivation, by changing type environments, replacing  $S$  by  $x$  in lambda-terms, and decreasing flag counters. In this way we obtain derivations of  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for every  $i \in I$ , and a derivation of  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$ , where<sup>(iv)</sup>  $\Upsilon^x = \Upsilon[x \mapsto \{\hat{\sigma}_i \mid i \in I\}]$ , and  $\Gamma = \Upsilon \sqcup \bigsqcup_{i \in I} \Delta_i$ , and  $c = e + \sum_{i \in I} d_i$ . To the latter type judgment we apply the ( $\lambda$ ) rule, and then we merge it with the type judgments for  $S$  using the (@) rule, which results in a derivation of  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$  (where again we use the fact that  $\text{ord}(S) = \text{ord}(x) = m$ ). We remark that different  $i \in I$  may give identical type judgments for  $S$ ; this is absolutely allowed in the (@) rule. We also need to know that  $\{\hat{\sigma}_i \mid i \in I\}$  is indeed a triple container, that is, that every unbalanced type triple appears as  $\hat{\sigma}_i$  for at most  $|\Sigma|$  indices  $i \in I$ ; this is a consequence of Lemma 6.1.

We now come to a lemma that splits a type derivation concerning  $R[S/x]$  into parts concerning  $R$  and concerning  $S$ .

**Lemma 7.5.** *Suppose that we can derive  $\Gamma \vdash_m^\kappa R[S/x] : \hat{\tau} \triangleright c$ , where  $\text{ord}(x) = m$ . Then, for some finite set  $I$ , we can derive  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for every  $i \in I$ , and  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$ , where  $\Upsilon^x = \Upsilon[x \mapsto \{\hat{\sigma}_i \mid i \in I\}]$ , and  $\Gamma = \Upsilon \sqcup \bigsqcup_{i \in I} \Delta_i$ , and  $c = e + \sum_{i \in I} d_i$ .*

**Proof:** One possibility is that  $x$  is not free in  $R$ . Then  $R[S/x] = R$ , and  $\Gamma(x) = \mathbf{0}$ . We can take  $I = \emptyset$ , and  $\Upsilon^x = \Upsilon = \Gamma$ , and  $e = c$ . We need to derive the type judgment  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$ , but it actually equals the type judgment that we can derive by assumption.

In the sequel we assume that  $x$  is free in  $R$ . We have several cases depending on the shape of  $R$ .

Suppose first that  $R = x$  is a variable. Then we take  $I = \{1\}$ , and  $(\Delta_1, \hat{\sigma}_1, d_1) = (\Gamma, \hat{\tau}, c)$ , and  $\Upsilon = \varepsilon$ , and  $e = \mathbf{0}$ . Obviously  $\Gamma = \Upsilon \sqcup \Delta_1$  and  $c = e + d_1$ . Because  $\hat{\sigma}_1$  is  $m$ -bounded, and  $\text{ord}(x) = m$ , we have that  $\Upsilon^x = \Upsilon[x \mapsto \{\hat{\sigma}_1\}]$  is a valid type environment. We can derive  $\Delta_1 \vdash_m^\kappa S : \hat{\sigma}_1 \triangleright d_1$  by assumption, and  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$  using the (VAR) rule.

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<sup>(iv)</sup> Recall that whenever we write  $\Upsilon[x \mapsto \dots]$ , we implicitly assume that  $\Upsilon(x) = \mathbf{0}$ .

Next, suppose that  $R = \text{nd}\langle P_1, \dots, P_r \rangle$ . The original derivation ends with the (ND) rule whose premiss is  $\Gamma \vdash_m^\kappa P_k[S/x] : \hat{\tau} \triangleright c$  for some  $k \in \{1, \dots, r\}$ . By applying the induction assumption for this premiss, we obtain derivations almost as required; we only need to apply again the (ND) rule to the obtained derivation  $\Upsilon^x \vdash_m^\kappa P_k : \hat{\tau} \triangleright e$ .

Next, suppose that  $R = \lambda y.P$ . We have  $y \neq x$ , and, as always during a substitution, we assume (by performing  $\alpha$ -conversion) that  $y$  is not free in  $S$ . The original derivation ends with the ( $\lambda$ ) rule, whose premiss is  $\Gamma[y \mapsto C'] \vdash_m^\kappa P[S/x] : \hat{\tau}' \triangleright c$ . We apply the induction assumption to this premiss, and we obtain a derivation of  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for every  $i \in I$ , and of  $\Upsilon^x[y \mapsto C''] \vdash_m^\kappa P : \hat{\tau}' \triangleright e$ , where  $\Upsilon^x = \Upsilon[x \mapsto \{\hat{\sigma}_i \mid i \in I\}]$ , and  $\Gamma[y \mapsto C'] = \Upsilon[y \mapsto C''] \sqcup \bigsqcup_{i \in I} \Delta_i$ , and  $c = e + \sum_{i \in I} d_i$ . Notice that  $\Delta_i(y) = \mathbf{0}$  for all  $i \in I$ , because  $y$  is not free in  $S$ ; it follows that  $C'' = C'$  and  $\Gamma = \Upsilon \sqcup \bigsqcup_{i \in I} \Delta_i$ . To the type judgment  $\Upsilon^x[y \mapsto C'] \vdash_m^\kappa P : \hat{\tau}' \triangleright e$  we apply again the ( $\lambda$ ) rule, which gives  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$ .

Another possibility is that  $R = a\langle P_1, \dots, P_r \rangle$ , where  $a \neq \text{nd}$ . Then the original derivation ends with the (CON $\geq 1$ ) rule, whose premisses are  $\Gamma_j \vdash_m^\kappa P_j[S/x] : \hat{\tau}_j \triangleright c_j$  for  $j \in \{1, \dots, r\}$ . We apply the induction assumption to these premisses. Assuming without loss of generality that the resulting sets  $I_j$  are disjoint, and taking  $I = \bigcup_{j=1}^r I_j$ , we obtain a derivation of  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for every  $i \in I$ , and of  $\Upsilon_j^x \vdash_m^\kappa P_j : \hat{\tau}_j \triangleright e_j$  for every  $j \in \{1, \dots, r\}$ , where, for every  $j \in \{1, \dots, r\}$ , we have  $\Upsilon_j^x = \Upsilon_j[x \mapsto \{\hat{\sigma}_i \mid i \in I_j\}]$ , and  $\Gamma_j = \Upsilon_j \sqcup \bigsqcup_{i \in I_j} \Delta_i$ , and  $c_j = e_j + \sum_{i \in I_j} d_i$ . Let  $\Upsilon = \bigsqcup_{j=1}^r \Upsilon_j$ . Because  $\Gamma = \bigsqcup_{j=1}^r \Gamma_j$ , we see that  $\Gamma = \Upsilon \sqcup \bigsqcup_{i \in I} \Delta_i$ . For  $j \in \{1, \dots, r\}$  we have by Lemma 6.1 that  $\text{Mk}(\Upsilon_j^x) \leq \text{Mk}(\hat{\tau}_j)$ , hence in particular  $\sum_{i \in I_j} \text{Mk}(\hat{\sigma}_i) \leq \text{Mk}(\hat{\tau}_j)$ . Since  $\text{Mk}(\hat{\tau}) = \sum_{j=1}^r \text{Mk}(\hat{\tau}_j)$  (which follows from the (CON $\geq 1$ ) rule) we obtain that  $\sum_{i \in I} \text{Mk}(\hat{\sigma}_i) \leq \text{Mk}(\hat{\tau})$ . Because  $\text{Mk}(\hat{\tau})$  is a marker multiset (i.e., contains every marker at most  $|\Sigma|$  times), we can deduce that every unbalanced type triple appears as  $\hat{\sigma}_i$  for at most  $|\Sigma|$  indices  $i \in I$ , and thus  $\{\hat{\sigma}_i \mid i \in I\}$  is a valid triple container and  $\Upsilon^x = \Upsilon[x \mapsto \{\hat{\sigma}_i \mid i \in I\}]$  is a valid type environment. Another side condition of the (CON $\geq 1$ ) rule says that  $(F, c) \in \text{Comp}_m(M; (\{(0, a)\}, \mathbf{0}), (F_1, c_1), \dots, (F_r, c_r))$  for appropriate arguments  $M, F, F_j$ . Taking  $e = c + \sum_{j=1}^r (e_j - c_j)$  we also have that  $(F, e) \in \text{Comp}_m(M; (\{(0, a)\}, \mathbf{0}), (F_1, e_1), \dots, (F_r, e_r))$ . Having all this, we can apply the (CON $\geq 1$ ) rule again, deriving  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$ . Simultaneously we observe that  $c = e + \sum_{i \in I} d_i$ .

Finally, suppose that  $R = P Q$ . This case is very similar to the previous one. The original derivation ends with the (@) rule, whose premisses are  $\Gamma_0 \vdash_m^\kappa P[S/x] : \hat{\tau}_0 \triangleright c_0$  and  $\Gamma_j \vdash_m^\kappa Q[S/x] : \hat{\tau}_j \triangleright c_j$  for  $j \in J$ , where we assume that  $0 \notin J$ . We apply the induction assumption to all these premisses. Assuming without loss of generality that the resulting sets  $I_j$  are disjoint, and taking  $I = \bigcup_{j \in \{0\} \cup J} I_j$ , we obtain a derivation of  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for every  $i \in I$ , and of  $\Upsilon_0^x \vdash_m^\kappa P : \hat{\tau}_0 \triangleright e_0$ , and of  $\Upsilon_j^x \vdash_m^\kappa Q : \hat{\tau}_j \triangleright e_j$  for every  $j \in J$ , where, for every  $j \in \{0\} \cup J$ , we have  $\Upsilon_j^x = \Upsilon_j[x \mapsto \{\hat{\sigma}_i \mid i \in I_j\}]$ , and  $\Gamma_j = \Upsilon_j \sqcup \bigsqcup_{i \in I_j} \Delta_i$ , and  $c_j = e_j + \sum_{i \in I_j} d_i$ . Let  $\Upsilon = \bigsqcup_{j \in \{0\} \cup J} \Upsilon_j$ . As previously,  $\Gamma = \Upsilon \sqcup \bigsqcup_{i \in I} \Delta_i$  and using Lemma 6.1 we deduce that  $\Upsilon^x = \Upsilon[x \mapsto \{\hat{\sigma}_i \mid i \in I\}]$  is a type environment. By applying the (@) rule again, we derive  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$ , where  $e = c + \sum_{j \in \{0\} \cup J} (e_j - c_j)$ . Side conditions of this rule remain satisfied, since the derived type triples are the same as in the original derivation. It holds that  $c = e + \sum_{i \in I} d_i$ .  $\square$

**Lemma 7.6.** *If  $F \in \mathcal{F}_m^\kappa$ , and  $M \in \mathcal{M}_m^\kappa$ , and  $M(k) = 0$  for all  $(k, a) \in F$  then*

$$(F', c) \in \text{Comp}_m(M; (F, e), ((\emptyset, d_i))_{i \in I}) \quad \Leftrightarrow \quad F' \subseteq F \wedge c = e + \sum_{i \in I} d_i.$$

**Proof:** Consider the numbers  $f_{k,a}$  and  $f'_{k,a}$  appearing in the definition of the  $\text{Comp}_m$  predicate. Looking

at them consecutively for  $k = 0, \dots, m+1$  we notice that  $f'_{k,a} = 0$  and  $f_{k,a} = |F \cap \{(k, a)\}|$ . Indeed,  $f'_{k,a} = 0$  implies  $f_{k,a} = |F \cap \{(k, a)\}|$ , and if  $k = 0$  or  $M(k-1) = 0$ , we have  $f'_{k,a} = 0$ , while if  $k > 0$  and  $M(k-1) > 0$ , we have  $f'_{k,a} = f_{k-1,a} = |F \cap \{(k-1, a)\}| = 0$ , because  $(k-1, a) \in F$  implies  $M(k-1) = 0$  by assumption. It follows that  $F = \{(k, a) \mid f_{k,a} > 0\}$ , and that  $f_{m+1,a} = |F \cap \{(m+1, a)\}| = 0$  for all  $a \in \Sigma$  (since  $F$  is  $m$ -bounded). Finally, recall that  $(F', c) \in \text{Comp}_m(M; (F, e), ((\emptyset, d_i))_{i \in I})$  if and only if  $F' \subseteq \{(k, a) \mid f_{k,a} > 0\}$  (i.e.,  $F' \subseteq F$ ) and  $c(a) = f_{m+1,a} + e(a) + \sum_{i \in I} d_i(a)$  for all  $a \in \Sigma$  (i.e.,  $c = e + \sum_{i \in I} d_i$ ).  $\square$

**Proof of Lemma 7.3:** Recall that we are given a derivation of  $\Gamma \vdash_m^\kappa Q : \hat{\tau} \triangleright c$ , and a beta-reduction  $P \rightarrow_\beta Q$  that is of order  $m$ , and our goal is to derive  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$ .

Suppose first that  $P = (\lambda x.R) S$  and  $Q = R[S/x]$ , where  $\text{ord}(x) = m$ . From Lemma 7.5 we obtain a derivation of  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for every  $i \in I$  (for some set  $I$ ), and a derivation of  $\Upsilon[x \mapsto C] \vdash_m^\kappa R : \hat{\tau} \triangleright e$ , where  $C = \{\hat{\sigma}_i \mid i \in I\}$ , and  $\Gamma = \Upsilon \sqcup \bigsqcup_{i \in I} \Delta_i$ , and  $c = e + \sum_{i \in I} d_i$ . Let us write  $\hat{\tau} = (F, M, \tau)$ , and  $\hat{\sigma}_i = (F_i, M_i, \sigma_i)$  for  $i \in I$ . To the type judgment  $\Upsilon[x \mapsto C] \vdash_m^\kappa R : \hat{\tau} \triangleright e$  we apply the  $(\lambda)$  rule, deriving  $\Upsilon \vdash_m^\kappa \lambda x.R : (F, M - \text{Mk}(C), C \rightarrow \tau) \triangleright e$ . Notice that  $\text{Mk}(C) \leq \text{Mk}(\Upsilon[x \mapsto C]) \leq M$  by Lemma 6.1, so it makes sense to use  $M - \text{Mk}(C)$ . When  $\kappa = \setminus$  and  $\tau = C_1 \rightarrow \dots \rightarrow C_s \rightarrow o$ , we also need to know that  $(M - \text{Mk}(C) + \text{Mk}(C) + \sum_{i=1}^s \text{Mk}(C_i))(0) = 1$  (see the definition of a type  $\setminus$ -triple, Section 4), but it follows immediately from  $(M + \sum_{i=1}^s \text{Mk}(C_i))(0) = 1$ .

To this type judgment, and to  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for  $i \in I$ , we want to apply the  $(@)$  rule. By definition of a type judgment, the type triples  $\hat{\sigma}_i$ , hence also the sets  $F_i$  and  $M_i$ , are  $m$ -bounded. Recalling that  $\text{ord}(S) = \text{ord}(x) = m$  we have that the type  $\{(F_i \upharpoonright_{\leq \text{ord}(S)}, M_i \upharpoonright_{\leq \text{ord}(S)}, \sigma_i) \mid i \in I\} \rightarrow \tau$  that we have to derive for  $\lambda x.R$  is indeed  $C \rightarrow \tau$ , and the side condition  $\text{ord}(S) \leq m$  is satisfied. The resulting marker multiset is  $(M - \text{Mk}(C)) + \sum_{i \in I} M_i = M$ , and the resulting type environment is  $\Upsilon \sqcup \bigsqcup_{i \in I} \Delta_i = \Gamma$ . Notice that the sets  $F_i \upharpoonright_{> \text{ord}(S)}$  are empty, and that  $M(k) = 0$  for all  $(k, a) \in F$  by definition of a type triple  $(\hat{\tau} = (F, M, \tau))$  is a type triple, and hence  $(F, c) \in \text{Comp}_m(M; (F, e), ((F_i \upharpoonright_{> \text{ord}(S)}, d_i))_{i \in I})$  by Lemma 7.6. The condition  $\{(k, a) \in F \mid M(k) = 0\} \subseteq F$  is clearly satisfied. Thus the  $(@)$  rule can be applied, and it derives  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$ .

It remains to consider the general situation: the redex involved in the beta-reduction  $P \rightarrow_{\beta(m)} Q$  is located somewhere deeper in  $P$ . Then the proof is by a trivial induction on the depth of this redex. Formally, we have several cases depending on the shape of  $P$ , but let us consider only a representative example: suppose that  $P = T U$  and  $Q = T V$  with  $U \rightarrow_{\beta(m)} V$ . In the derivation of  $\Gamma \vdash_m^\kappa Q : \hat{\tau} \triangleright c$  we apply the induction assumption to those premisses of the final  $(@)$  rule that concern the subterm  $V$ , and we obtain type judgments in which  $V$  is replaced by  $U$ . We can apply the  $(@)$  rule to them, and to the premiss talking about  $T$ , and derive  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$ .  $\square$

### 7.3 Proof of Lemma 7.4

Recall that in Lemma 7.4 we are given a type derivation of order  $m-1$ , and we want to convert it into a type derivation of order  $m$ , without decreasing the flag counter too much. The order of the derivation can be raised without any problem, we only need to additionally place  $|\Sigma|$  markers of order  $m$  in some leaves of the derivation. We notice, however, that in the original derivation the flag counter computed the number of order- $m$  flags, while in the new derivation it computes the number of order- $(m+1)$  flags. We thus have to ensure that many order- $(m+1)$  flags are created in the new derivation. To this end, we appropriately choose where the order- $m$  markers are placed. Let us now give more details.

For the rest of the subsection fix an order  $m$  satisfying  $m - 1 \geq m_0(\kappa)$ . We shall see derivations as trees. A *derivation tree* is a finite tree with nodes labeled by type judgments, such that for every node, the label of this node can be obtained by applying some rule of the type system to labels of children of this node. We consider derivation trees only for type judgments of order  $m - 1$  (that is, only the derivation that we receive as the input to the lemma is seen as a tree, not the one that we produce). For a derivation tree  $t$  and for its node  $v$ , by  $t_v$  we denote the subtree of  $t$  starting at  $v$ , and by  $c_v$  we denote the flag counter being part of the type judgment written in  $v$ .

The proof is done in two steps: we first label the derivation tree by some additional flags and markers, and then basing on such a labeling we construct a derivation of order  $m$ . For  $B \subseteq \Sigma$ , and for a derivation tree  $t$ , a  $B$ -labeling of  $t$  assigns some number of order- $m$  markers to every leaf of  $t$ , and for every  $a \in B$ , some number of  $(m, a)$ -flags to every node of  $t$ . In the sequel, we simply talk about assigning markers and  $a$ -flags, having implicitly in mind that they are of order  $m$ . A  $B$ -labeling  $\rho$  of  $t$  is *consistent*, if:

- for every node  $v$  of  $t$  having children  $v_1, \dots, v_k$ , and for every  $a \in B$ ,  $\rho$  assigns at most  $c_v(a) - c_{v_1}(a) - \dots - c_{v_k}(a)$   $a$ -flags to  $v$ , and
- in every subtree of  $t$  in which  $\rho$  assigns no markers,  $\rho$  assigns at most one flag.

Observe that our type system ensures that the number  $c_v(a) - c_{v_1}(a) - \dots - c_{v_k}(a)$  appearing above is always nonnegative: the flag counter in every node is not smaller than the sum of flag counters coming from the premisses.

**Lemma 7.7.** *Let  $t$  be a derivation tree with root  $r$ , and let  $a \in \Sigma$ . Then there exists a consistent  $\{a\}$ -labeling  $\rho_a$  of  $t$  that assigns in total exactly one marker and at least  $\log_2 c_r(a)$   $a$ -flags.*

**Proof:** Induction on the size of  $t$ . If  $t$  consists of a single node, then to this node we assign one marker, and  $c_r(a)$   $a$ -flags. Such a labeling is consistent, and we have  $c_r(a) \geq \log_2 c_r(a)$ .

Suppose now that  $r$  has some children  $v_1, \dots, v_k$  with  $k \geq 1$ . Fix some  $s$  for which  $c_{v_s}(a)$  is maximal, that is, such that  $c_{v_s}(a) \geq c_{v_i}(a)$  for all  $i \in \{1, \dots, k\}$ . We apply the induction assumption to the subtree  $t_{v_s}$ ; it gives us a consistent  $\{a\}$ -labeling of this subtree, which assigns in total exactly one marker and at least  $\log_2 c_{v_s}(a)$   $a$ -flags. Moreover, for every  $i \in \{1, \dots, k\} \setminus \{s\}$  such that  $c_{v_i}(a) > 0$ , we choose some node  $w_i$  in the subtree  $t_{v_i}$  so that  $c_{w_i}(a) > 0$  but  $c_u(a) = 0$  for every child  $u$  of  $w_i$  (clearly such a node exists), and we assign an  $a$ -flag to the chosen node  $w_i$ . Finally, we denote  $l = c_r(a) - c_{v_1}(a) - \dots - c_{v_k}(a)$ , and to the root of  $t$  we assign  $l$   $a$ -flags. It should be clear that the obtained  $\{a\}$ -labeling is consistent.

It remains to observe that the number  $f$  of assigned  $a$ -flags is at least  $\log_2 c_r(a)$ . In the degenerate case of  $c_{v_s}(a) = 0$  we have  $c_{v_i}(a) = 0$  for all  $i \in \{1, \dots, k\}$ , and thus  $f = l = c_r(a) \geq \log_2 c_r(a)$ . Suppose now that  $c_{v_s}(a) > 0$ , and denote  $l' = |\{i \in \{1, \dots, k\} \mid c_{v_i}(a) > 0\}|$ . Then by construction we have  $f \geq l + (l' - 1) + \log_2 c_{v_s}(a)$ . Recalling that  $c_{v_s}(a) > 0$  and  $c_{v_s}(a) \geq c_{v_i}(a)$  for all  $i \in \{1, \dots, k\}$ , we obtain

$$\begin{aligned}
 f &\geq l + l' - 1 + \log_2 c_{v_s}(a) \geq \log_2(l + l') + \log_2 c_{v_s}(a) \\
 &= \log_2((l + l') \cdot c_{v_s}(a)) \\
 &\geq \log_2(l + l' \cdot c_{v_s}(a)) \\
 &\geq \log_2(l + c_{v_1}(a) + \dots + c_{v_k}(a)) = \log_2 c_r(a). \quad \square
 \end{aligned}$$

**Lemma 7.8.** *Let  $t$  be a derivation tree with root  $r$ . Then there exists a consistent  $\Sigma$ -labeling of  $t$  that assigns exactly  $|\Sigma|$  markers and at least  $\left\lfloor \frac{1}{|\Sigma|} \log_2 c_r(a) \right\rfloor$   $a$ -flags, for every  $a \in \Sigma$ .*



**Proof:** We start by applying Lemma 7.7 for every symbol  $a \in \Sigma$ , which results in a consistent  $a$ -labeling  $\rho_a$  of  $t$ . Basing on these labelings we construct the resulting labeling  $\rho$ . For every node  $v$  of  $t$ , if  $k$  among labelings  $\rho_a$  assign a marker to  $v$ , then in  $\rho$  we assign  $k$  markers to  $v$ . This assigns  $|\Sigma|$  markers in total. For every node  $v$  of  $t$  such that  $\rho$  assigns some markers in  $t_v$ , and for every  $a \in \Sigma$ , if  $\rho_a$  assigns  $k$   $a$ -flags to  $v$ , then in  $\rho$  we also assign  $k$   $a$ -flags to  $v$ .

Let now  $V$  be the set of all nodes  $v$  such that  $\rho$  assigns no markers in  $t_v$ , but it assigns some markers in the subtree starting in the parent of  $v$ . In subtrees starting in  $v \in V$  there may be plenty of flags assigned by the labelings  $\rho_a$ , and we have not yet taken these flags to  $\rho$ . We do this now, using the following algorithm: we repeat the *big step* as long as it gives something new. In a big step, we execute the *small step* for every symbol  $a \in \Sigma$ . In a small step concerning some symbol  $a$ , we choose some  $v \in V$  such that  $\rho_a$  assigns an  $a$ -flag to some node  $w$  in the subtree  $t_v$ , but  $\rho$  does not assign any flag in this subtree yet; if such nodes  $v, w$  exist, then in  $\rho$  we assign an  $a$ -flag to  $w$ .

We notice that  $\rho$  assigns in every node of  $t$  at most as many  $a$ -flags as  $\rho_a$  did. Moreover, in every subtree starting in a node of  $V$  (and thus in every subtree of  $t$  in which  $\rho$  assigns no markers),  $\rho$  assigns at most one flag. This means that  $\rho$  is consistent.

It remains to observe that the number of assigned flags is large enough. Fix some  $a \in \Sigma$ . Let  $f_a$  be the total number of  $a$ -flags assigned by  $\rho_a$ ; by Lemma 7.7 we have  $f_a \geq \log_2 c_r(a)$ . These flags are of two kinds: we have  $f_a = g_a + h_a$ , where  $g_a$  is the total number of  $a$ -flags assigned by  $\rho_a$  to nodes  $w$  such that  $\rho$  assigns some marker in  $t_w$ , and  $h_a$  is the number of  $a$ -flags assigned by  $\rho_a$  to remaining nodes. The  $g_a$  flags of the first kind are simply copied to  $\rho$ . Let us now look closer on the flags of the second kind. Every node  $w$  such that  $\rho$  assigns no markers in  $t_w$ , belongs to  $t_v$  for some  $v \in V$ . Moreover, for every  $v \in V$ ,  $\rho_a$  assigns at most one  $a$ -flag in  $t_v$ . It follows that  $h_a$  equals the number of nodes  $v \in V$  such that  $\rho_a$  assigns some  $a$ -flag in  $t_v$ . In every small step we assign a flag in the subtree  $t_v$  for at most one node  $v \in V$ , and thus in every big step we assign a flag in the subtrees  $t_v$  for at most  $|\Sigma|$  nodes  $v \in V$ . This means that during the first  $\left\lfloor \frac{h_a}{|\Sigma|} \right\rfloor$  big steps there still exists a node  $v \in V$  such that  $\rho_a$  assigns an  $a$ -flag in  $t_v$ , but  $\rho$  does not assign any flag in this subtree yet, and thus a new  $a$ -flag is assigned by  $\rho$ . In consequence, the number of  $a$ -flags assigned by  $\rho$  is at least  $g_a + \left\lfloor \frac{h_a}{|\Sigma|} \right\rfloor \geq \left\lfloor \frac{f_a}{|\Sigma|} \right\rfloor \geq \left\lfloor \frac{1}{|\Sigma|} \log_2 c_r(a) \right\rfloor$ .  $\square$

Next, we show how to raise the order of a type derivation basing on a consistent labeling. In this part, it is convenient to assume that the labeling is maximal, in the following sense: a consistent  $\Sigma$ -labeling  $\rho$  of a derivation tree  $t$  is called *maximal* if for every  $a \in \Sigma$  and for every node  $v$  of  $t$  having children  $v_1, \dots, v_k$ , if  $\rho$  assigns some marker in  $t_v$ , then  $\rho$  assigns exactly  $c_v(a) - c_{v_1}(a) - \dots - c_{v_k}(a)$   $a$ -flags to  $v$ . Notice that in such nodes this is the maximal number of flags allowed by the first point in the definition of consistency. We cannot require anything similar from nodes  $v$  such that no marker is assigned in  $t_v$ , as the number of flags in those nodes is strongly restricted by the second point of the definition.

We now define functions  $New_M$  and  $New_{Fc}$ : we say that  $New_M(M, \mu) = M'$  and  $New_{Fc}(F, \mu, f) = (F', c')$  if

- $M'(k) = M(k)$  for  $k \neq m$ , and  $M'(m) = \mu$ ,
- if  $\mu > 0$ , then  $F' = F$  and  $c' = f$ , and
- if  $\mu = 0$ , then  $F' = F \cup \{(m, a) \mid f(a) > 0\}$  and  $c' = \mathbf{0}$ .

The intended meaning is that if  $M$  and  $F$  are a marker multiset and a flag set derived in some node  $v$  of a derivation tree, and in  $t_v$  a labeling assigns  $\mu$  markers and  $f(a)$   $a$ -flags for every  $a \in \Sigma$ , then in the new derivation that we construct, we use  $M'$  as the marker multiset,  $F'$  as the flag set, and  $c'$  as the flag counter.

Notice that the previous value of the flag counter is not taken into account. We now have a lemma saying that the *Comp* predicate remains satisfied after applying the transformation.

**Lemma 7.9.** *Suppose that  $(F, c) \in \text{Comp}_{m-1}(M; ((F_i, c_i))_{i \in I})$ , where  $F \in \mathcal{F}_{m-1}^\kappa$ , and  $m-1 \geq m_0(\kappa)$ . For  $i \in I$  let  $\mu_i \in \mathbb{N}$  and  $f_i: \Sigma \rightarrow \mathbb{N}$ . Suppose also that  $\mu \geq \sum_{i \in I} \mu_i$ , and  $f \leq \sum_{i \in I} f_i + c - \sum_{i \in I} c_i$ , and if  $\mu > 0$  then  $f = \sum_{i \in I} f_i + c - \sum_{i \in I} c_i$ . Finally, for every  $i \in I$  suppose that if  $\mu_i = 0$  then  $f_i(a) \leq 1$  for all  $a \in \Sigma$ , and that either*

- $F_i \in \mathcal{F}_{m-1}^\kappa$ , or
- $f_i = 0$  and  $F_i = \{(0, a)\}$  for some  $a \in \Sigma$ .

*In such a situation,  $\text{New}_{\text{Fc}}(F, \mu, f) \in \text{Comp}_m(\text{New}_M(M, \mu); (\text{New}_{\text{Fc}}(F_i, \mu_i, f_i))_{i \in I})$ .*

**Proof:** Denote  $M' = \text{New}_M(M, \mu)$ ,  $(F', c') = \text{New}_{\text{Fc}}(F, \mu, f)$ , and  $(F'_i, c'_i) = \text{New}_{\text{Fc}}(F_i, \mu_i, f_i)$  for  $i \in I$ . We consider the numbers  $f_{k,a}$  and  $f'_{k,a}$  appearing in the definition of  $\text{Comp}_{m-1}(M; ((F_i, c_i))_{i \in I})$ . We also consider analogous numbers defined by the predicate  $\text{Comp}_m(M'; ((F'_i, c'_i))_{i \in I})$ , and we call them  $g_{k,a}$  and  $g'_{k,a}$ . Since  $M' \upharpoonright_{\leq m-1} = M \upharpoonright_{\leq m-1}$  and  $F'_i \upharpoonright_{\leq m-1} = F_i \upharpoonright_{\leq m-1}$  for  $i \in I$ , for every  $a \in \Sigma$  we clearly have that  $g_{k,a} = f_{k,a}$  for  $k \leq m-1$ , and  $g'_{k,a} = f'_{k,a}$  for  $k \leq m$ . Moreover,  $g_{m+1,a} = g'_{m+1,a} + \sum_{i \in I} |F'_i \cap \{(m+1, a)\}| = g'_{m+1,a}$  since the sets  $F'_i$  are  $m$ -bounded (notice that  $F_i = \{(0, a)\}$  need not to be  $(m-1)$ -bounded, but surely is  $m$ -bounded).

Let us now see that for all  $i \in I$  and  $a \in \Sigma$  it holds that

$$|F_i \cap \{(m, a)\}| + f_i(a) = |F'_i \cap \{(m, a)\}| + c'_i(a). \quad (1)$$

Indeed:

- if  $\mu_i > 0$ , then  $F'_i = F_i$  and  $c'_i = f_i$ ;
- if  $\mu_i = 0$  and  $f_i(a) = 0$ , then  $c'_i(a) = 0$  and  $F'_i = F_i$ ;
- if  $\mu_i = 0$  and  $f_i(a) > 0$ , then  $c'_i(a) = 0$ , and  $(m, a) \notin F_i$  (since  $F_i \in \mathcal{F}_{m-1}^\kappa$ ), and  $F'_i$  contains  $(m, a)$  (by definition of  $F'_i$ ), and  $f_i(a) \leq 1$  (by assumption), which gives Equality (1).

Using Equality (1) we observe that for every  $a \in \Sigma$ ,

$$\begin{aligned} \sum_{i \in I} f_i(a) + c(a) - \sum_{i \in I} c_i(a) &= \sum_{i \in I} f_i(a) + f_{m,a} \\ &= f'_{m,a} + \sum_{i \in I} |F_i \cap \{(m, a)\}| + \sum_{i \in I} f_i(a) \\ &= g'_{m,a} + \sum_{i \in I} |F'_i \cap \{(m, a)\}| + \sum_{i \in I} c'_i(a) \\ &= g_{m,a} + \sum_{i \in I} c'_i(a). \end{aligned} \quad (2)$$

In order to obtain the conclusion of the lemma, we need to prove two facts: that  $F' \subseteq \{(k, a) \mid g_{k,a} > 0\}$ , and that  $c'(a) = g_{m+1,a} + \sum_{i \in I} c'_i(a)$  for all  $a \in \Sigma$ . We first concentrate on the part  $F' \subseteq \{(k, a) \mid g_{k,a} > 0\}$ . By assumption we have that  $F \subseteq \{(k, a) \mid f_{k,a} > 0\}$ , and thus also  $F \subseteq \{(k, a) \mid g_{k,a} > 0\}$  since  $F$  is  $(m-1)$ -bounded, and since  $g_{k,a} = f_{k,a}$  for  $k \leq m-1$ . When  $\mu > 0$ , we have  $F' = F$ , and we are done. Suppose thus that  $\mu = 0$ . Then  $F'$  contains also elements  $(m, a)$  for all  $a \in \Sigma$  such that

$f(a) > 0$ . Concentrate on one such  $a$ . By assumption and by Equality (2) we obtain

$$0 < f(a) \leq \sum_{i \in I} f_i(a) + c(a) - \sum_{i \in I} c_i(a) = g_{m,a} + \sum_{i \in I} c'_i(a).$$

Since  $0 = \mu \geq \sum_{i \in I} \mu_i$ , for every  $i \in I$  we have  $\mu_i = 0 = c'_i(a)$ , and thus  $g_{m,a} > 0$  by the above inequality. We thus have  $(m, a) \in \{(k, a) \mid g_{k,a} > 0\}$ , as required.

Next, we fix some  $a \in \Sigma$ , and we prove that  $c'(a) = g'_{m+1,a} + \sum_{i \in I} c'_i(a)$ , which is what we need since  $g_{m+1,a} = g'_{m+1,a}$ . Suppose first that  $\mu = 0$ . Then  $c'(a) = 0$  and  $c'_i(a) = 0$  for all  $i \in I$ , since  $\mu = 0$  implies  $\mu_i = 0$ . We also have  $M'(m) = \mu = 0$ , and thus  $g'_{m+1,a} = 0$ , which gives the thesis. Next, suppose that  $\mu > 0$ . In such a case, using Equality (2), we obtain that

$$c'(a) = f(a) = \sum_{i \in I} f_i(a) + c(a) - \sum_{i \in I} c_i(a) = g_{m,a} + \sum_{i \in I} c'_i(a) = g'_{m+1,a} + \sum_{i \in I} c'_i(a). \quad \square$$

**Lemma 7.10.** *Let  $t$  be a derivation tree deriving  $\Gamma \vdash_{m-1}^{\kappa} R : (F, M, \tau) \triangleright c$  (where  $m-1 \geq m_0(\kappa)$ ) such that  $\text{ord}(R) \leq m$ , and  $\Gamma(x) \neq \mathbf{0}$  only for variables  $x$  of order at most  $m-1$ . Let also  $\rho$  be a maximal consistent  $\Sigma$ -labeling of  $t$ , which assigns (in total)  $\mu \leq |\Sigma|$  markers and  $f(a)$   $a$ -flags, for every  $a \in \Sigma$ . Then we can derive  $\Gamma \vdash_m^{\kappa} R : (F', M', \tau) \triangleright c'$ , where  $M' = \text{New}_M(M, \mu)$  and  $(F', c') = \text{New}_{\text{Fc}}(F, \mu, f)$ .*

**Proof:** Denote  $\hat{\tau} = (F, M, \tau)$  and  $\hat{\tau}' = (F', M', \tau)$ . We first prove that  $\hat{\tau}'$  is indeed an  $m$ -bounded type  $\kappa$ -triple. By assumption  $\hat{\tau}$  is an  $(m-1)$ -bounded type  $\kappa$ -triple, so  $M \in \mathcal{M}_{m-1}^{\kappa}$ . Since  $M'$  differs from  $M$  only on order  $m$ , and  $M'(m) = \mu \leq |\Sigma|$ , we obtain that  $M' \in \mathcal{M}_m^{\kappa}$  (if  $\kappa = \setminus$ , from  $M(0) \leq 1$  we additionally deduce  $M'(0) \leq 1$  since then  $m \geq 1$ ). We also have  $F \in \mathcal{F}_{m-1}^{\kappa} \subseteq \mathcal{F}_m^{\kappa}$ . The set  $F'$  differs from  $F$  only when  $\mu = 0$ , and then it additionally contains those pairs  $(m, a)$  for which  $f(a) > 0$ . By consistency of  $\rho$  we know that if  $\mu = 0$  (i.e., if  $\rho$  assigns no markers) then  $\sum_{a \in \Sigma} f(a) \leq 1$ . Thus  $(m, a), (m, b) \in F'$  implies  $a = b$ , which establishes that  $F' \in \mathcal{F}_m^{\kappa}$ . We also need to know that  $M'(k) = 0$  for all  $(k, a) \in F'$ . For  $k \leq m-1$  this is the case because  $M' \upharpoonright_{\leq m-1} = M$  and  $F' \upharpoonright_{\leq m-1} = F$ , and by definition of  $F'$  we have  $(m, a) \in F'$  only when  $M'(m) = \mu = 0$ . If  $\kappa = \setminus$ , we additionally need to know that  $M'(0) + \sum_{i=1}^s \text{Mk}(C_i)(0) = 1$ , where  $\tau = C_1 \rightarrow \dots \rightarrow C_s \rightarrow o$ ; this is the case because then  $M(0) + \sum_{i=1}^s \text{Mk}(C_i)(0) = 1$  and  $M'(0) = M(0)$  due to  $m \geq 1$ .

The rest of the proof is by induction on the size of  $t$ . We have several cases depending on the shape of  $R$ .

Suppose first that  $R = x$  is a variable. Then the (VAR) rule used in the only node of  $t$  ensures that  $c = \mathbf{0}$  and that  $\Gamma = \varepsilon[x \mapsto \{(F, M \upharpoonright_{\leq \text{ord}(x)}, \tau)\}]$ . By assumptions of the lemma  $\text{ord}(x) \leq m-1$ , so  $M' \upharpoonright_{\leq \text{ord}(x)} = M \upharpoonright_{\leq \text{ord}(x)}$ . Moreover  $F' = F$  and  $c' = \mathbf{0}$  since  $f \leq c = \mathbf{0}$  by consistency of  $\rho$ . Thus the (VAR) rule can equally well derive  $\Gamma \vdash_m^{\kappa} R : \hat{\tau}' \triangleright c'$  (notice that  $c' = \mathbf{0}$ ).

Next, suppose that  $R = \text{nd}\langle P_1, \dots, P_r \rangle$ . Then the root of  $t$  has exactly one child  $v$ , labeled by the premiss of the (ND) rule,  $\Gamma \vdash_{m-1}^{\kappa} P_i : \hat{\tau} \triangleright c$  for some  $i \in \{1, \dots, r\}$ . Since the flag counter is the same as in the root,  $\rho$  assigns no flags to the root of  $t$  (by consistency of  $\rho$ ). Thus the induction assumption applied to  $t_v$  gives us a derivation of  $\Gamma \vdash_m^{\kappa} P_i : \hat{\tau}' \triangleright c'$ . Applying back the (ND) rule we derive  $\Gamma \vdash_m^{\kappa} R : \hat{\tau}' \triangleright c'$ .

Suppose now that  $R = \lambda x.P$ . Then the root of  $t$  has exactly one child  $v$ , labeled by the premiss of the ( $\lambda$ ) rule,  $\Gamma[x \mapsto C'] \vdash_{m-1}^{\kappa} P : (F, M_{\lambda}, \tau_{\lambda}) \triangleright c$ , where  $\tau = C \rightarrow \tau_{\lambda}$ , and  $M = M_{\lambda} - \text{Mk}(C)$ , and  $C' \sqsubseteq C$ . As in the previous case, no flags are assigned to the root of  $t$ . Because  $\text{ord}(R) \leq m$ , we have  $\text{ord}(P) \leq m$  and  $\text{ord}(x) \leq m-1$ , so assumptions of the lemma are satisfied for  $t_v$ ; the induction assumption gives us a derivation of  $\Gamma[x \mapsto C'] \vdash_m^{\kappa} P : (F', M'_{\lambda}, \tau_{\lambda}) \triangleright c'$ , where  $M'_{\lambda} = \text{New}_M(M_{\lambda}, \mu)$ . The triple container  $C$  is

$\text{ord}(x)$ -bounded, thus since  $\text{ord}(x) \leq m-1$  we have  $M'(m) = \mu = M'_\lambda(m) = M'_\lambda(m) - \text{Mk}(C)(m)$ , and hence  $M' = M'_\lambda - \text{Mk}(C)$ . Thus after applying back the  $(\lambda)$  rule we obtain a derivation of  $\Gamma \vdash_m^\kappa R : \hat{\tau}' \triangleright c'$ .

Next, suppose that  $R = a(P_1, \dots, P_r)$ , where  $a \neq \text{nd}$  and  $r \geq 0$ . The root of  $t$  has exactly  $r$  children  $v_1, \dots, v_r$ , labeled by  $\Gamma_i \vdash_{m-1}^\kappa P_i : (F_i, M_i, o) \triangleright c_i$  for  $i \in \{1, \dots, r\}$ . Take  $I = \{0, 1, \dots, r\}$ ,  $\mu_0 = 0$ ,  $f_0 = \mathbf{0}$ ,  $F_0 = \{(0, a)\}$ ,  $c_0 = \mathbf{0}$ . For  $i \in \{1, \dots, r\}$  denote by  $\mu_i$  the number of markers assigned by  $\rho$  in  $t_{v_i}$ , and by  $f_i(a)$  the number of  $a$ -flags assigned by  $\rho$  in  $t_{v_i}$ , for every  $a \in \Sigma$ . By the induction assumption, for every  $i \in \{1, \dots, r\}$  we can derive  $\Gamma_i \vdash_m^\kappa P_i : (F'_i, M'_i, o) \triangleright c'_i$ , where  $M'_i = \text{New}_M(M_i, \mu_i)$  and  $(F'_i, c'_i) = \text{New}_{F_C}(F_i, \mu_i, f_i)$ . The rule used in the root of  $t$  (which is either  $(\text{CON}0)$  or  $(\text{CON} \geq 1)$ ) ensures that  $\Gamma = \bigsqcup_{i=1}^r \Gamma_i$ , and  $\tau = o$ , and  $(F, c) \in \text{Comp}_{m-1}(M; (F_0, c_0), (F_1, c_1), \dots, (F_r, c_r))$ ; if  $r > 0$  we also have  $M = \sum_{i=1}^r M_i$ . We want to apply Lemma 7.9; let us check its assumptions. Clearly  $\mu \geq \sum_{i \in I} \mu_i$ . By consistency of  $\rho$ , and because  $f_0 = c_0 = \mathbf{0}$ , we have that  $f \leq \sum_{i \in I} f_i + c - \sum_{i \in I} c_i$ , and that for every  $i \in I$ , if  $\mu_i = 0$  then  $f_i(a) \leq 1$  for all  $a \in \Sigma$ . By maximality of  $\rho$  we have that if  $\mu > 0$  then  $f = \sum_{i \in I} f_i + c - \sum_{i \in I} c_i$ . Moreover,  $\text{New}_{F_C}(F_0, \mu_0, f_0) = (F_0, \mathbf{0})$ . Thus, by Lemma 7.9 we obtain that  $(F', c') \in \text{Comp}_m(M'; (F_0, \mathbf{0}), (F'_1, c'_1), \dots, (F'_r, c'_r))$ . Applying back the appropriate rule (namely  $(\text{CON}0)$  if  $r = 0$  and  $(\text{CON} \geq 1)$  if  $r > 0$ ) we can derive  $\Gamma \vdash_m^\kappa R : \hat{\tau}' \triangleright c'$ .

Finally, suppose that  $R = PQ$ . Let  $\Gamma_0 \vdash_{m-1}^\kappa P : (F_0, M_0, C \rightarrow \tau) \triangleright c_0$  and  $\Gamma_i \vdash_{m-1}^\kappa Q : (F_i, M_i, \tau_i) \triangleright c_i$  for each  $i \in I$  be the premisses of the  $(@)$  rule used in the root of  $t$ , where  $C = \{(F_i \upharpoonright_{\leq \text{ord}(Q)}, M_i \upharpoonright_{\leq \text{ord}(Q)}, \tau_i) \mid i \in I\}$ , and where without loss of generality we assume that  $0 \notin I$ . Denote the children of the root of  $t$  having these type judgments as labels by  $v_i$  for  $i \in \{0\} \cup I$ , respectively. For  $i \in \{0\} \cup I$  denote by  $\mu_i$  the number of markers assigned by  $\rho$  in  $t_{v_i}$ , and by  $f_i(a)$  the number of  $a$ -flags assigned by  $\rho$  in  $t_{v_i}$ , for every  $a \in \Sigma$ . The  $(@)$  rule ensures that  $\Gamma = \bigsqcup_{i \in \{0\} \cup I} \Gamma_i$  and  $\text{ord}(Q) \leq m-1$ , and by homogeneity of the sort of  $P$  we obtain that  $\text{ord}(P) \leq \text{ord}(Q) + 1 \leq m$ . This allows us to apply the induction assumption, which gives us derivations of  $\Gamma_0 \vdash_m^\kappa P : (F'_0, M'_0, C \rightarrow \tau) \triangleright c'_0$  and  $\Gamma_i \vdash_m^\kappa Q : (F'_i, M'_i, \tau_i) \triangleright c'_i$  for each  $i \in I$ , where  $M'_i = \text{New}_M(M_i, \mu_i)$  and  $(F'_i, c'_i) = \text{New}_{F_C}(F_i, \mu_i, f_i)$  for all  $i \in \{0\} \cup I$ . To these type judgments we would like to apply the  $(@)$  rule, but we need to check its conditions.

- Since  $F'_i \upharpoonright_{\leq m-1} = F_i \upharpoonright_{\leq m-1}$  and  $M'_i \upharpoonright_{\leq m-1} = M_i \upharpoonright_{\leq m-1}$  for all  $i \in I$ , and  $\text{ord}(Q) \leq m-1$ , we have that  $\bar{C} = \{(F'_i \upharpoonright_{\leq \text{ord}(Q)}, M'_i \upharpoonright_{\leq \text{ord}(Q)}, \tau_i) \mid i \in I\}$ .
- From the original use of the  $(@)$  rule we know that  $M = \sum_{i \in \{0\} \cup I} M_i$ , and  $(F, c) \in \text{Comp}_{m-1}(M; (F_0, c_0), ((F_i \upharpoonright_{> \text{ord}(Q)}, c_i))_{i \in I})$ . Assumptions of Lemma 7.9 are satisfied:  $\mu \geq \sum_{i \in \{0\} \cup I} \mu_i$  by definition;  $f \leq \sum_{i \in \{0\} \cup I} f_i + c - \sum_{i \in \{0\} \cup I} c_i$  by consistency of  $\rho$ ; for every  $i \in \{0\} \cup I$ , if  $\mu_i = 0$  then  $f_i(a) \leq 1$  for all  $a \in \Sigma$ , again by consistency of  $\rho$ ; finally, if  $\mu > 0$  then  $f = \sum_{i \in \{0\} \cup I} f_i + c - \sum_{i \in \{0\} \cup I} c_i$  by maximality of  $\rho$ . Moreover, since the  $\text{New}_{F_C}$  function modifies only order  $m$ , and  $\text{ord}(Q) \leq m-1$ , we have  $\text{New}_{F_C}(F_i \upharpoonright_{> \text{ord}(Q)}, \mu_i, f_i) = (F'_i \upharpoonright_{> \text{ord}(Q)}, c'_i)$ . Thus by Lemma 7.9 we obtain that  $(F', c') \in \text{Comp}_m(M'; (F'_0, c'_0), ((F'_i \upharpoonright_{> \text{ord}(Q)}, c'_i))_{i \in I})$ .
- We also need to prove that  $\{(k, a) \in F'_0 \mid M'(k) = 0\} \subseteq F'$ . We know that  $\{(k, a) \in F_0 \mid M(k) = 0\} \subseteq F$ , and since  $F'_0, M', F'$  differ from  $F_0, M, F$  only on order  $m$ , we only need to check for all  $a \in \Sigma$  that if  $M'(m) = 0$  and  $(m, a) \in F'_0$  then also  $(m, a) \in F'$ . This is clear:  $(m, a) \in F'_0$  may only happen when  $f_0(a) > 0$ , but then  $f(a) \geq f_0(a) > 0$ , which in the case of  $\mu = M'(m) = 0$  implies that  $(m, a) \in F'$ .

All this allows us to apply back the  $(@)$  rule, and derive  $\Gamma \vdash_m^\kappa R : \hat{\tau}' \triangleright c'$ .  $\square$

**Proof of Lemma 7.4:** Consider a derivation tree  $t$  that derives  $\varepsilon \vdash_{m-1}^\kappa P : \hat{\rho}_{m-1}^{\kappa \text{all}} \triangleright c$ . Using Lemma 7.8

we construct a consistent  $\Sigma$ -labeling  $\rho$  of  $t$  that assigns exactly  $|\Sigma|$  markers and at least  $\left\lfloor \frac{1}{|\Sigma|} \log_2 c(a) \right\rfloor$   $a$ -flags, for every  $a \in \Sigma$ . Without loss of generality we can assume that  $\rho$  is maximal: if not, we simply add more flags in some nodes, as required by the maximality condition.<sup>(v)</sup> Then Lemma 7.10 gives us a derivation of  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa all} \triangleright c'$  for some  $c'$  such that  $c'(a) \geq \left\lfloor \frac{1}{|\Sigma|} \log_2 c(a) \right\rfloor$  for all  $a \in \Sigma$ , as required.  $\square$

## 8 Soundness

In this section we prove the right-to-left implication of Theorems 3.2 and 4.1. As a side effect, we also obtain a proof of Lemma 6.4. We, basically, need to reverse the proof from the previous section. We give the following three lemmata.

**Lemma 8.1.** *Suppose that  $P \rightarrow_{\beta(m)} Q$ , where  $m \geq 0$ . If we can derive  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$ , then we can also derive  $\Gamma' \vdash_m^\kappa Q : \hat{\tau} \triangleright c$  for some  $\Gamma' \sqsubseteq \Gamma$ . Moreover, if the original derivation was wild, then the resulting one is also wild.*

**Lemma 8.2.** *Let  $P$  be a closed lambda-term of complexity at most  $m$ . If we can derive  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa all} \triangleright c$ , where  $m - 1 \geq m_0(\kappa)$ , then we can also derive  $\varepsilon \vdash_{m-1}^\kappa P : \hat{\rho}_{m-1}^{\kappa all} \triangleright c'$  for some  $c' \geq c$ . Moreover, if the original derivation was wild, then the resulting one is also wild.*

**Lemma 8.3.** *Suppose that we can derive  $\varepsilon \vdash_{m_0(\kappa)}^\kappa P : \hat{\rho}_{m_0(\kappa)}^{\kappa all} \triangleright c$ , where  $P$  is a lambda-term of complexity 0. Then there exists a tree  $T \in \mathcal{L}(P)$  such that for every  $a \in \Sigma$ , the number of appearances of  $a$  in  $T$  is  $c(a)$ .*

Let us now see how the right-to-left implication of Theorem 3.2 follows from these lemmata. Thus, take a closed lambda-term  $P$  of sort  $o$  and complexity at most  $m + 1$ , and a set  $A \subseteq \Sigma$ , and suppose that for every  $n \in \mathbb{N}$  we can derive  $\varepsilon \vdash_m^\Delta P : \hat{\rho}_m^{\Delta all} \triangleright c_m$  for some  $c_m$  such that  $c_m(a) \geq n$  for all  $a \in A$ . We want to prove that for every  $n \in \mathbb{N}$  there is a tree  $T \in \mathcal{L}(P)$  in which every symbol  $a \in A$  appears at least  $n$  times. To this end, take some  $n \in \mathbb{N}$ , and the type judgment corresponding to this  $n$ . Using Lemma 5.1 we can find a finite lambda-term  $P' \preceq P$  for which we can also derive  $\varepsilon \vdash_m^\Delta P' : \hat{\rho}_m^{\Delta all} \triangleright c_m$ . Then, we apply Lemma 7.1 to  $P'$ , obtaining lambda-terms  $Q_{m+1}, Q_m, \dots, Q_0$  such that, for every  $k \in \{0, \dots, m\}$ , the complexity of  $Q_k$  is at most  $k$ , and  $Q_{k+1} \rightarrow_{\beta(k)}^* Q_k$ , and  $Q_{m+1} = P'$ . Next, consecutively for  $k = m, m-1, \dots, 0$  we perform two steps. First, we repeatedly apply Lemma 8.1 to every beta-reduction (of order  $k$ ) between  $Q_{k+1}$  and  $Q_k$ , obtaining a derivation of  $\varepsilon \vdash_k^\Delta Q_k : \hat{\rho}_k^{\Delta all} \triangleright c_k$ . Then, we apply Lemma 8.2, obtaining a derivation of  $\varepsilon \vdash_{k-1}^\Delta Q_k : \hat{\rho}_{k-1}^{\Delta all} \triangleright c_{k-1}$  for some  $c_{k-1} \geq c_k$ . We end up with a derivation of  $\varepsilon \vdash_{-1}^\Delta Q_0 : \hat{\rho}_{-1}^{\Delta all} \triangleright c_{-1}$ , where  $c_{-1}(a) \geq c_m(a) \geq n$  for all  $a \in A$ . By Lemma 8.3 we can find a tree  $T \in \mathcal{L}(Q_0) = \mathcal{L}(BT(P'))$  such that for every  $a \in A$ , the number of appearances of  $a$  in  $T$  is at least  $n$  (recall that  $m_0(\Delta) = -1$ ). Due to Lemma 5.2, we also have  $T \in \mathcal{L}(BT(P))$ , as needed.

Similarly we prove the right-to-left implication of Theorem 4.1. The only difference is that when we have the type judgment  $\varepsilon \vdash_0^\Delta Q_0 : \hat{\rho}_0^{\Delta all} \triangleright c_0$ , we do not apply Lemma 8.2 for the last time. Instead, we apply Lemma 8.3 directly to the type judgment  $\varepsilon \vdash_0^\Delta Q_0 : \hat{\rho}_0^{\Delta all} \triangleright c_0$  (which is now possible, because  $m_0(\Delta) = 0$ ).

We also obtain a proof of Lemma 6.4. Indeed, suppose that we have a wild derivation of  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa all} \triangleright c_m$  for a closed lambda-term  $P$  of sort  $o$  and complexity at most  $m + 1$ . Lemma 5.1 implies that we

<sup>(v)</sup> We notice that usually the labeling constructed by Lemma 7.8 is not maximal.

can find a finite lambda-term  $P' \preceq P$  for which we can also derive  $\varepsilon \vdash_m^\Delta P' : \hat{\rho}_m^{\Delta all} \triangleright c_m$ . By inspecting the proof of this lemma we notice that if the derivation for  $P$  was wild, then the derivation for  $P'$  is also wild (because this is essentially the same derivation). Then, by applying the same arguments as above, we obtain a derivation of  $\varepsilon \vdash_0^\kappa Q_0 : \hat{\rho}_0^{\kappa all} \triangleright c_0$  for some lambda-term  $Q_0$  of complexity 0. Moreover, this derivation is wild, since Lemmata 8.1 and 8.2 preserve wildness. On the other hand, a lambda-term of complexity 0 does not contain any applications, so our derivation does not use the  $(@)$  rule at all, and hence it cannot be wild. This is a contradiction implying that there could not exist a wild derivation of  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa all} \triangleright c_m$ .

In the remaining part of this section we prove the three lemmata.

### 8.1 Proof of Lemma 8.1

The overall idea of the proof is very simple: when  $P = (\lambda x.R)S$  and  $Q = R[S/x]$ , we perform a surgery on the derivation concerning  $P$  and we obtain a derivation concerning  $S$ . Namely, whenever the subderivation concerning  $R$  uses the  $(\text{VAR})$  rule for the variable  $x$ , we should insert there a subderivation that derives the same type triple for  $S$ . We need to notice that every unbalanced type triple derived for  $S$  is used for exactly one appearance of  $x$  in the derivation concerning  $R$ . Balanced type triples may be used many times, or not used at all, but we can see that duplicating or removing the corresponding derivations for  $S$  is not problematic; in particular it does not change the flag counter, as shown in Lemma 6.3.

We start the proof by showing in Lemma 8.4 how type derivations may be composed during a substitution. This lemma can be seen as a converse of Lemma 7.5.

**Lemma 8.4.** *Suppose that we can derive  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for  $i \in I$ , and  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$ , where  $\Upsilon^x = \Upsilon[x \mapsto \{\hat{\sigma}_i \mid i \in I\}]$  for a variable  $x$  of order  $m$  and of the same sort as  $S$ , and  $\Gamma = \Upsilon \sqcup \bigsqcup_{i \in I} \Delta_i$  is a type environment. Then we can also derive  $\Gamma' \vdash_m^\kappa R[S/x] : \hat{\tau} \triangleright c$  for  $c = e + \sum_{i \in I} d_i$  and for some  $\Gamma' \sqsubseteq \Gamma$ . Moreover, if some of the original derivations is wild, then the resulting derivation is also wild.*

**Proof:** The proof is by induction on the structure of some fixed derivation of  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$ .

One possibility is that  $x$  is not free in  $R$ . In such a situation  $R[S/x] = R$  and  $\Upsilon^x(x) = \mathbf{0}$ , so  $I = \emptyset$ , and  $\Gamma = \Upsilon = \Upsilon^x$ , and  $c = e$ , thus we can derive  $\Gamma \vdash_m^\kappa R[S/x] : \hat{\tau} \triangleright c$  by assumption.

In the sequel we assume that  $x$  is free in  $R$ . We analyze the shape of  $R$ .

Suppose first that  $R = x$  is a variable. Then  $R[S/x] = S$ , and the derivation for  $R$  consists of a single use of the  $(\text{VAR})$  rule, thus  $e = \mathbf{0}$  and  $\Upsilon^x = \varepsilon[x \mapsto \{\hat{\tau}\}]$  (since  $\text{ord}(x) = m$ , no new markers could be added). It means that  $\Upsilon = \varepsilon$ , and  $\{\hat{\tau}\} = \{\hat{\sigma}_i \mid i \in I\}$ . We have two subcases.

- Suppose first that  $\hat{\tau}$  is unbalanced. Then necessarily  $|I| = 1$ , say  $I = \{1\}$ . It follows that  $\Gamma = \Delta_1$ , and  $c = d_1$ , so we can derive  $\Gamma \vdash_m^\kappa R[S/x] : \hat{\tau} \triangleright c$  by assumption.
- The situation of an unbalanced  $\hat{\tau}$  is slightly different. We only know that  $|I| \geq 1$  and  $\hat{\tau} = \hat{\sigma}_i$  for all  $i \in I$ . Then from Lemma 6.1 we obtain that  $\text{Mk}(\Delta_i) \leq \text{Mk}(\hat{\sigma}_i) = \mathbf{0}$  for all  $i \in I$ , that is, that all type triples in all  $\Delta_i$  are balanced. In consequence  $\Delta_i \sqsubseteq \Gamma$  (due to  $\Gamma = \bigsqcup_{i \in I} \Delta_i$ ). Similarly, from Lemma 6.3 we obtain that  $d_i = \mathbf{0}$  for all  $i \in I$ , so  $c = d_i$ . Thus as the resulting derivation we can take  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for any  $i \in I$ .

Next, suppose that  $R = \text{nd}\langle P_1, \dots, P_r \rangle$ . Then the derivation for  $R$  ends with the  $(\text{ND})$  rule, whose premiss is  $\Upsilon^x \vdash_m^\kappa P_k : \hat{\tau} \triangleright e$  for some  $k \in \{1, \dots, r\}$ . The induction assumption applied to this premiss gives us a derivation of  $\Gamma' \vdash_m^\kappa P_k[S/x] : \hat{\tau} \triangleright c$  for some  $\Gamma' \sqsubseteq \Gamma$ . By applying back the  $(\text{ND})$  rule we derive  $\Gamma' \vdash_m^\kappa R[S/x] : \hat{\tau} \triangleright c$ , as required.

Next, suppose that  $R = \lambda y.P$ . We have  $y \neq x$ , and, as always during a substitution, we assume (by performing  $\alpha$ -conversion) that  $y$  is not free in  $S$ . The derivation for  $R$  ends with the  $(\lambda)$  rule, whose premiss is  $\Upsilon^x[y \mapsto C'] \vdash_m^\kappa P : \hat{\tau}' \triangleright e$ . While writing  $\Upsilon^x[y \mapsto C']$  we mean that  $\Upsilon^x(y) = \mathbf{0}$ , and since  $y$  is not free in  $S$ , we have  $\Delta_i(y) = \mathbf{0}$  for  $i \in I$ ; thus we can write  $\Gamma[y \mapsto C'] = \Upsilon^x[y \mapsto C'] \sqcup \bigsqcup_{i \in I} \Delta_i$ . By applying the induction assumption to our premiss we obtain a derivation of  $\Gamma'[y \mapsto C''] \vdash_m^\kappa P[S/x] : \hat{\tau}' \triangleright c$  for some  $\Gamma' \sqsubseteq \Gamma$  and some  $C'' \sqsubseteq C'$ . We then apply again the  $(\lambda)$  rule obtaining  $\Gamma' \vdash_m^\kappa R[S/x] : \hat{\tau} \triangleright c$ , as needed.

Another possibility is that  $R = a\langle P_1, \dots, P_r \rangle$ , where  $a \neq \text{nd}$ . Then the derivation for  $R$  ends with the  $(\text{CON} \geq 1)$  rule, whose premisses are  $\Upsilon_j^x \vdash_m^\kappa P_j : \hat{\tau}_j \triangleright e_j$  for  $j \in \{1, \dots, r\}$ . It holds that  $\Upsilon[x \mapsto \{\hat{\sigma}_i \mid i \in I\}] = \Upsilon^x = \Upsilon_1^x \sqcup \dots \sqcup \Upsilon_r^x$ . Let us see that we can find sets  $I_1, \dots, I_r$  such that  $I = I_1 \cup \dots \cup I_r$  and  $\{\hat{\sigma}_i \mid i \in I_j\} = \Upsilon_j^x(x)$  for all  $j \in \{1, \dots, r\}$ . Indeed, recall that triple containers behave like sets for balanced type triples, and like multisets for unbalanced type triples. Thus if  $\hat{\sigma}_i$  is balanced for some  $i \in I$ , we can simply add this  $i$  to  $I_j$  for all these  $j \in \{1, \dots, r\}$  for which  $\Upsilon_j^x(x)(\hat{\sigma}_i) > 0$ . On the other hand, for an unbalanced type triple  $\hat{\sigma}$ , there exist exactly  $\Upsilon^x(x)(\hat{\sigma})$  elements  $i \in I$  for which  $\hat{\sigma}_i = \hat{\sigma}$ ; simultaneously  $\Upsilon^x(x)(\hat{\sigma}) = \sum_{j=1}^r \Upsilon_j^x(x)(\hat{\sigma})$ , so we can split these elements  $i$  into sets  $I_1, \dots, I_r$  so that exactly  $\Upsilon_j^x(x)(\hat{\sigma})$  of them are taken to  $I_j$  (for  $j \in \{1, \dots, r\}$ ).

Having these sets, for every  $j \in \{1, \dots, r\}$  we can write  $\Upsilon_j^x = \Upsilon_j[x \mapsto \{\hat{\sigma}_i \mid i \in I_j\}]$ . For these  $i \in I$  for which the type triple  $\hat{\sigma}_i$  is balanced, from Lemma 6.1 we obtain that all type triples in  $\Delta_i$  are balanced, and thus  $\Delta_i \sqcup \Delta_i = \Delta_i$ , and from Lemma 6.3 we obtain that  $d_i = \mathbf{0}$ . These lemmata can be used, since  $\text{ord}(S) = \text{ord}(x) = m \leq m$ . If we recall that every  $i \in I$  with unbalanced  $\hat{\sigma}_i$  belongs to exactly one among the sets  $I_j$ , and every  $i \in I$  with balanced  $\hat{\sigma}_i$  belongs to at least one among the sets  $I_j$ , we can observe that  $\bigsqcup_{i \in I} \Delta_i = \bigsqcup_{j=1}^r \bigsqcup_{i \in I_j} \Delta_i$  and  $\sum_{i \in I} d_i = \sum_{j=1}^r \sum_{i \in I_j} d_i$ . In consequence, if we denote  $\Gamma_j = \Upsilon_j \sqcup \bigsqcup_{i \in I_j} \Delta_i$  and  $c_j = e_j + \sum_{i \in I_j} d_i$  for  $j \in \{1, \dots, r\}$ , we have that  $\Gamma = \Gamma_1 \sqcup \dots \sqcup \Gamma_r$  and  $c = c_1 + \dots + c_r$ . In particular  $\Gamma_j(y) \leq \Gamma(y)$  for every  $j \in \{1, \dots, r\}$  and every variable  $y$ , so  $\Gamma_j$  is a type environment (i.e.,  $\Gamma_j(x)$  contains every unbalanced type triple at most  $|\Sigma|$  times).

Now for every  $j \in \{1, \dots, r\}$  we apply the induction assumption to the premiss  $\Upsilon_j^x \vdash_m^\kappa P_j : \hat{\tau}_j \triangleright e_j$  and to type judgments  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  only for  $i \in I_j$ ; we obtain a derivation of  $\Gamma'_j \vdash_m^\kappa P_j[S/x] : \hat{\tau}_j \triangleright c_j$  for  $c_j = e_j + \sum_{i \in I_j} d_i$  and for some  $\Gamma'_j \sqsubseteq \Gamma_j$ . To the obtained type judgments we apply the  $(\text{CON} \geq 1)$  rule, and we derive  $\Gamma' \vdash_m^\kappa R[S/x] : \hat{\tau} \triangleright c$  for  $\Gamma' = \Gamma'_1 \sqcup \dots \sqcup \Gamma'_r$ . We need to notice here that  $c - e = \sum_{j=1}^r (e_j - c_j)$ , and thus if  $(F, e) \in \text{Comp}_m(M; (\{(0, a)\}, \mathbf{0}), (F_1, e_1), \dots, (F_r, e_r))$  for some arguments  $M, F, F_j$  (as ensured by the original use of the rule), then also  $(F, c) \in \text{Comp}_m(M; (\{(0, a)\}, \mathbf{0}), (F_1, c_1), \dots, (F_r, c_r))$  (as needed for the new use of the rule). We also notice that  $\Gamma' \sqsubseteq \Gamma$ .

Finally, suppose that  $R = PQ$ . This case is very similar to the previous one. The derivation for  $R$  ends with the  $(@)$  rule, whose premisses are  $\Upsilon_0^x \vdash_m^\kappa P : \hat{\tau}_0 \triangleright e_0$  and  $\Upsilon_j^x \vdash_m^\kappa Q : \hat{\tau}_j \triangleright e_j$  for  $j \in J$ , where we assume that  $0 \notin J$ . As in the previous case we can find sets  $(I_j)_{j \in \{0\} \cup J}$  such that  $I = \bigcup_{j \in \{0\} \cup J} I_j$  and  $\{\hat{\sigma}_i \mid i \in I_j\} = \Upsilon_j^x(x)$  for all  $j \in \{0\} \cup J$ . Again we write  $\Upsilon^x = \Upsilon_j[x \mapsto \{\hat{\sigma}_i \mid i \in I_j\}]$ , and  $\Gamma_j = \Upsilon_j \sqcup \bigsqcup_{i \in I_j} \Delta_i$ , and  $c_j = e_j + \sum_{i \in I_j} d_i$  for  $j \in \{0\} \cup J$ , and we have that  $\Gamma = \bigsqcup_{j \in \{0\} \cup J} \Gamma_j$  and  $c = \sum_{j \in \{0\} \cup J} c_j$ . We then apply the induction assumption to all premisses, and we obtain derivations of  $\Gamma'_0 \vdash_m^\kappa P[S/x] : \hat{\tau}_0 \triangleright c_0$  and of  $\Gamma'_j \vdash_m^\kappa Q[S/x] : \hat{\tau}_j \triangleright c_j$  for  $j \in J$ , where  $\Gamma'_j \sqsubseteq \Gamma_j$  for  $j \in \{0\} \cup J$ . By applying the  $(@)$  rule again, we derive  $\Gamma' \vdash_m^\kappa R[S/x] : \hat{\tau} \triangleright c$  for  $\Gamma' = \bigsqcup_{j \in \{0\} \cup J} \Gamma'_j \sqsubseteq \Gamma$  (the side conditions of the rule are satisfied, because we consider the same type triples as in the original derivation).

We also need to see that if some of the original derivation is wild, then the resulting derivations is wild as well. To this end, suppose that in the derivation of  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$  there is a wild use of the  $(@)$  rule.

Then in the resulting derivation the (@) rule is used in a similar way, only the type environments and the considered lambda-terms are changed, but this is still a wild use of the (@) rule. Next, suppose that there is a wild use of the (@) rule in the derivation of  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for some  $i \in I$ . By Lemma 6.5 this can happen only when  $\hat{\sigma}_i$  is unbalanced (recall that  $\text{ord}(S) = m$ , which allows us to use this lemma). This means that the derivation is inserted somewhere in the resulting derivation (we discard only derivations for balanced  $\hat{\sigma}_i$ ), and the wild use of the (@) rule remains present.  $\square$

**Proof of Lemma 8.1:** Recall that we are given a derivation of  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$ , and a beta-reduction  $P \rightarrow_\beta Q$  that is of order  $m$ , and our goal is to derive  $\Gamma' \vdash_m^\kappa Q : \hat{\tau} \triangleright c$  for some  $\Gamma' \sqsubseteq \Gamma$ .

Suppose first that  $P = (\lambda x.R) S$  and  $Q = R[S/x]$ , where  $\text{ord}(x) = m$ . Then the given derivation ends with the (@) rule, whose premisses are  $\Upsilon \vdash_m^\kappa \lambda x.R : \hat{\tau}_\lambda \triangleright e$  and  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for  $i \in I$ . Let us write  $\hat{\tau} = (F, M, \tau)$ , and  $\hat{\tau}_\lambda = (F', M', C \rightarrow \tau)$ , and  $\hat{\sigma}_i = (F_i, M_i, \sigma_i)$  for  $i \in I$ . The type judgment for  $\lambda x.R$  is in turn derived by the ( $\lambda$ ) rule, whose premiss is  $\Upsilon^x \vdash_m^\kappa R : (F', M'', \tau) \triangleright e$ , where  $\Upsilon^x = \Upsilon[x \mapsto C']$  for some  $C' \sqsubseteq C$ , and  $M' = M'' - \text{Mk}(C)$ . Because all  $F_i$  and  $M_i$  are  $m$ -bounded, and  $\text{ord}(S) = \text{ord}(x) = m$ , for all  $i \in I$  we have that  $F_i \upharpoonright_{\leq \text{ord}(S)} = F_i$ , and  $M_i \upharpoonright_{\leq \text{ord}(S)} = M_i$ , and  $F_i \upharpoonright_{> \text{ord}(S)} = \emptyset$ . Conditions of the (@) rule imply that:

1.  $\Gamma = \Upsilon \sqcup \bigsqcup_{i \in I} \Delta_i$ ;
2.  $C = \{(F_i \upharpoonright_{\leq \text{ord}(S)}, M_i \upharpoonright_{\leq \text{ord}(S)}, \sigma_i) \mid i \in I\} = \{\hat{\sigma}_i \mid i \in I\}$ ;
3.  $M = M' + \sum_{i \in I} M_i = M'' - \text{Mk}(C) + \sum_{i \in I} M_i = M''$ ;
4.  $(F, c) \in \text{Comp}_m(M; (F', e), ((F_i \upharpoonright_{> \text{ord}(S)}, d_i))_{i \in I})$ , which by Lemma 7.6 implies that  $F \subseteq F'$  and  $c = e + \sum_{i \in I} d_i$  (where  $M(k) = M''(k) = 0$  for all  $(k, a) \in F'$  because  $(F', M'', \tau)$  is a type triple);
5.  $\{(k, a) \in F' \mid M(k) = 0\} \subseteq F$ , so  $F' = F$ , and thus the type triple derived for  $R$  is actually  $\hat{\tau}$ .

Since  $C' \sqsubseteq C$ , we can find some  $I' \subseteq I$  such that  $C' = \{\hat{\sigma}_i \mid i \in I'\}$ . Moreover, for every  $i \in I \setminus I'$  the type triple  $\hat{\sigma}_i$  is necessarily balanced, so  $\text{Mk}(\Delta_i) = \mathbf{0}$  by Lemma 6.1, and  $d_i = \mathbf{0}$  by Lemma 6.3. In consequence  $\Upsilon \sqcup \bigsqcup_{i \in I'} \Delta_i \sqsubseteq \Gamma$  (in particular  $\Upsilon \sqcup \bigsqcup_{i \in I'} \Delta_i$  is a type environment) and  $c = e + \sum_{i \in I'} d_i$ . We apply Lemma 8.4 to  $\Upsilon^x \vdash_m^\kappa R : \hat{\tau} \triangleright e$  and to  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for  $i \in I'$ ; we obtain a derivation of  $\Gamma' \vdash_m^\kappa Q : \hat{\tau} \triangleright c$  for some  $\Gamma' \sqsubseteq \Upsilon \sqcup \bigsqcup_{i \in I'} \Delta_i \sqsubseteq \Gamma$ , as required.

We also need to see that if the original derivation was wild, then the new one is also wild. Notice that the final use of the (@) rule in the original derivation cannot be wild: for its wildness we would need an element  $(k, a) \in F_i \upharpoonright_{> \text{ord}(Q)} = \emptyset$  for some  $i \in I$ . Moreover, the removed subderivations ending with  $\Delta_i \vdash_m^\kappa S : \hat{\sigma}_i \triangleright d_i$  for  $i \in I \setminus I'$  cannot be wild by Lemma 6.5. Thus the wild use of the (@) rule is located in some of the subderivations passed to Lemma 8.4, and thus it is preserved.

It remains to consider the general situation: the redex involved in the beta-reduction  $P \rightarrow_{\beta(m)} Q$  is located somewhere deeper in  $P$ . Then the proof is by an easy induction on the depth of this redex. In the induction step we apply the induction assumption to appropriate premisses of the final rule, and we observe that after applying it, the rule can still be used. For most rules, we only need the trivial observation that if  $\Gamma' \sqsubseteq \Gamma$  and  $\Delta' \sqsubseteq \Delta$  then  $\Gamma' \sqcup \Delta' \sqsubseteq \Gamma \sqcup \Delta$ . We have to be slightly more careful only for the ( $\lambda$ ) rule: if its premiss is  $\Gamma[x \mapsto C'] \vdash_m^\kappa R : (F, M, \tau) \triangleright c$  and its conclusion is  $\Gamma \vdash_m^\kappa \lambda x.R : (F, M - \text{Mk}(C), C \rightarrow \tau) \triangleright c$ , by the induction assumption we obtain a derivation of  $\Gamma'[x \mapsto C''] \vdash_m^\kappa S : (F, M, \tau) \triangleright c$  with  $\Gamma' \sqsubseteq \Gamma$  and  $C'' \sqsubseteq C' \sqsubseteq C$ ; we can then apply the ( $\lambda$ ) rule and derive  $\Gamma' \vdash_m^\kappa S : (F, M - \text{Mk}(C), C \rightarrow \tau) \triangleright c$ .  $\square$

**Remark.** Recall that the ( $\lambda$ ) rule allows to forget about some balanced type triples provided by an argument, that is, we can have  $C' \sqsubseteq C$ . We notice, however, that in derivations constructed in Section 7 we use the



( $\lambda$ ) rule only for  $C' = C$ . This means that Theorem 3.2 holds also for a more restrictive type system in which the condition  $C' \sqsubseteq C$  in the ( $\lambda$ ) rule is replaced by  $C' = C$ . On the other hand, in Lemma 8.4 it is necessary to discard some type judgments for  $S$  (cf. the case of a variable), so the type environment  $\Gamma'$  in the resulting type judgment only satisfies  $\Gamma' \sqsubseteq \Gamma$ , not  $\Gamma' = \Gamma$ . In consequence, in surrounding ( $\lambda$ ) rules it starts to hold  $C' \sqsubseteq C$  instead of  $C' = C$ . Thus even if we start from a derivation in the more restrictive type system (with  $C' = C$ ), in the soundness proof we pass through derivations in the original type system (with  $C' \sqsubseteq C$ ).

## 8.2 Proof of Lemma 8.2

The proof is easy; we simply replace  $\vdash_m^\kappa$  by  $\vdash_{m-1}^\kappa$  in all derived type judgments, and we ignore flags of order  $m+1$  and markers of order  $m$ . To obtain the inequality  $c' \geq c$  we observe that when the complexity is at most  $m$ , the information about flags of order  $m$  goes only from descendants to ancestors, and thus every flag of order  $m+1$  is created because of a different flag of order  $m$ .

We now give more details. The first lemma describes the behaviour of the  $Comp_m$  predicate.

**Lemma 8.5.** *Suppose that  $(F, c) \in Comp_m(M; ((F_i, c_i))_{i \in I})$ , and  $m \geq 0$ , and that  $M(k) = 0$  for all  $(k, a) \in F$ . Suppose also that for every  $i \in I$  either*

- *$F_i \in \mathcal{F}_m^\kappa$ , and  $F'_i = F_i \upharpoonright_{\leq m-1}$ , and  $c'_i: \Sigma \rightarrow \mathbb{N}$  is such that  $c'_i(a) \geq c_i(a) + |F_i \cap \{(m, a)\}|$  for all  $a \in \Sigma$ , or*
- *$(F_i, c_i) = (F'_i, c'_i) = (\{(0, a)\}, 0)$  for some  $a \in \Sigma$ .*

*Then  $(F \upharpoonright_{\leq m-1}, c') \in Comp_{m-1}(M \upharpoonright_{\leq m-1}; ((F'_i, c'_i))_{i \in I})$  for some  $c': \Sigma \rightarrow \mathbb{N}$  such that  $c'(a) \geq c(a) + |F \cap \{(m, a)\}|$  for all  $a \in \Sigma$ .*

**Proof:** We consider the numbers  $f_{k,a}$  and  $f'_{k,a}$  appearing in the definition of  $Comp_m(M; ((F_i, c_i))_{i \in I})$ . We also consider analogous numbers defined by the predicate  $Comp_{m-1}(M \upharpoonright_{\leq m-1}; ((F'_i, c'_i))_{i \in I})$ , and we call them  $g_{k,a}$  and  $g'_{k,a}$ . Since the arguments are the same up to order  $m-1$ , for every  $a \in \Sigma$  we have  $g_{k,a} = f_{k,a}$  for  $k \leq m-1$ , and  $g'_{k,a} = f'_{k,a}$  for  $k \leq m$ . In consequence the requirements given by  $Comp_{m-1}$  on the set  $F$  (i.e., that  $g_{k,a} > 0$  for all  $(k, a) \in F \upharpoonright_{\leq m-1}$ ) follow directly from the requirements given by  $Comp_m$  (saying that  $f_{k,a} > 0$  for all  $(k, a) \in F$ ). We take  $c'(a) = g_{m,a} + \sum_{i \in I} c'_i(a)$  for all  $a \in \Sigma$ , as required by the definition of  $Comp_{m-1}$ .

It remains to prove that  $c'(a) \geq c(a) + |F \cap \{(m, a)\}|$  for all  $a \in \Sigma$ . For the rest of the proof fix some  $a \in \Sigma$ . We have that

$$c'(a) = g_{m,a} + \sum_{i \in I} c'_i(a) = g'_{m,a} + \sum_{i \in I} |F'_i \cap \{(m, a)\}| + \sum_{i \in I} c'_i(a).$$

For every  $i \in I$  we have one of two cases: either

- $c'_i(a) \geq c_i(a) + |F_i \cap \{(m, a)\}|$ , or
- $(F_i, c_i) = (F'_i, c'_i) = (\{(0, b)\}, 0)$  for some  $b \in \Sigma$ .

In both cases we see that  $|F'_i \cap \{(m, a)\}| + c'_i(a) \geq |F_i \cap \{(m, a)\}| + c_i(a)$ . Recalling that  $g'_{m,a} = f'_{m,a}$  we obtain

$$c'(a) \geq f'_{m,a} + \sum_{i \in I} |F_i \cap \{(m, a)\}| + \sum_{i \in I} c_i(a) = f_{m,a} + \sum_{i \in I} c_i(a).$$

Next, let us observe that  $f_{m,a} \geq f'_{m+1,a} + |F \cap \{(m, a)\}|$ . Indeed, if  $M(m) > 0$ , we have  $f'_{m+1,a} = f_{m,a}$  and  $(m, a) \notin F$ . Conversely, if  $M(m) = 0$ , we have  $f'_{m+1,a} = 0$ , and if  $f_{m,a} = 0$  then also  $(m, a) \notin F$ .

Moreover, because all  $F_i$  are  $m$ -bounded ( $m \geq 0$ ), it holds that  $f_{m+1,a} = f'_{m+1,a} + \sum_{i \in I} |F_i \cap \{(m+1, a)\}| = f'_{m+1,a}$ . We thus obtain:

$$\begin{aligned} c'(a) &\geq f'_{m+1,a} + \sum_{i \in I} c_i(a) + |F \cap \{(m, a)\}| \\ &= f_{m+1,a} + \sum_{i \in I} c_i(a) + |F \cap \{(m, a)\}| = c(a) + |F \cap \{(m, a)\}|. \end{aligned} \quad \square$$

The statement of Lemma 8.2 is not suitable for an inductive proof (it talks only about type judgments for closed lambda-terms of sort  $o$ ). Thus, in order to prove this lemma, we now generalize it to arbitrary type judgments.

**Lemma 8.6.** *Let  $P$  be a lambda-term of complexity at most  $m$ , whose all free variables are of order at most  $m-1$ . If we can derive  $\Gamma \vdash_m^\kappa P : (F, M, \tau) \triangleright c$ , where  $m-1 \geq m_0(\kappa)$ , then we can also derive  $\Gamma \vdash_{m-1}^\kappa P : (F|_{\leq m-1}, M|_{\leq m-1}, \tau) \triangleright c'$  for some  $c' : \Sigma \rightarrow \mathbb{N}$  such that  $c'(a) \geq c(a) + |F \cap \{(m, a)\}|$  for all  $a \in \Sigma$ . Moreover, if the original derivation was wild, then the resulting one is also wild.*

**Proof:** Denote  $\hat{\tau} = (F, M, \tau)$  and  $\hat{\sigma} = (F|_{\leq m-1}, M|_{\leq m-1}, \tau)$ . The proof is by induction on the structure of some fixed derivation of  $\Gamma \vdash_m^\kappa P : \hat{\tau} \triangleright c$ . We distinguish several cases depending on the shape of  $P$ .

Suppose first that  $P$  is a variable,  $P = x$ . Then the (VAR) rule used in the derivation implies that  $\Gamma = \varepsilon[x \mapsto (F, M|_{\leq \text{ord}(x)}, \tau)]$ , and  $c = \mathbf{0}$ . By assumption of the lemma we have  $\text{ord}(x) \leq m-1$ , so  $(M|_{\leq m-1})|_{\leq \text{ord}(x)} = M|_{\leq \text{ord}(x)}$  and  $F|_{\leq m-1} = F$  (because  $F$  is  $\text{ord}(x)$ -bounded). In consequence, we can use the (VAR) rule to derive  $\Gamma \vdash_{m-1}^\kappa P : \hat{\sigma} \triangleright \mathbf{0}$ .

Next, suppose that  $P = \text{nd}\langle P_1, \dots, P_r \rangle$ . Then the final (ND) rule has a premiss  $\Gamma \vdash_m^\kappa P_k : \hat{\tau} \triangleright c$  for some  $k \in \{1, \dots, r\}$ . The induction assumption applied to this premiss gives us a derivation of  $\Gamma \vdash_{m-1}^\kappa P_k : \hat{\sigma} \triangleright c'$  with  $c'$  such that  $c'(a) \geq c(a) + |F \cap \{(m, a)\}|$  for all  $a \in \Sigma$ . We apply back the (ND) rule, obtaining  $\Gamma \vdash_{m-1}^\kappa P : \hat{\sigma} \triangleright c'$ .

Next, suppose that  $P = \lambda x.Q$ . Then the final ( $\lambda$ ) rule has a premiss  $\Gamma[x \mapsto C'] \vdash_m^\kappa Q : (F, M', \tau') \triangleright c$ , where  $\tau = C \rightarrow \tau'$ , and  $M = M' - \text{Mk}(C)$ , and  $C' \sqsubseteq C$ . Using the induction assumption for our premiss (which is allowed, because  $\text{ord}(x) \leq \text{ord}(P) - 1 \leq m-1$ ) we obtain a derivation of  $\Gamma[x \mapsto C'] \vdash_{m-1}^\kappa Q : (F|_{\leq m-1}, M'|_{\leq m-1}, \tau') \triangleright c'$  with  $c'$  such that  $c'(a) \geq c(a) + |F \cap \{(m, a)\}|$  for all  $a \in \Sigma$ . Because  $C$  is  $\text{ord}(x)$ -bounded, and  $\text{ord}(x) \leq m-1$ , we have that  $M'|_{\leq m-1} - \text{Mk}(C) = (M' - \text{Mk}(C))|_{\leq m-1} = M|_{\leq m-1}$ , so by applying back the ( $\lambda$ ) rule we derive  $\Gamma \vdash_{m-1}^\kappa P : \hat{\sigma} \triangleright c'$ .

Next, suppose that  $P = b\langle P_1, \dots, P_r \rangle$  with  $b \neq \text{nd}$ . Then  $\tau = o$ , and the final rule (being either (CON0) or (CON $\geq 1$ )) has premisses  $\Gamma_i \vdash_m^\kappa P_i : (F_i, M_i, o) \triangleright c_i$  for  $i \in \{1, \dots, r\}$ . By the induction assumption, for every  $i \in \{1, \dots, r\}$  we can derive  $\Gamma_i \vdash_{m-1}^\kappa P_i : (F_i|_{\leq m-1}, M_i|_{\leq m-1}, o) \triangleright c'_i$  for some  $c'_i$  such that  $c'_i(a) \geq c_i(a) + |F_i \cap \{(m, a)\}|$  for all  $a \in \Sigma$ . If  $r > 0$ , we have a side condition  $M = M_1 + \dots + M_r$ , which implies  $M|_{\leq m-1} = M_1|_{\leq m-1} + \dots + M_r|_{\leq m-1}$ . Another side condition says that  $(F, c) \in \text{Comp}_m(M; (\{(0, b)\}, \mathbf{0}), (F_i, c_i)_{i \in \{1, \dots, r\}})$ , and we need to see that  $(F|_{\leq m-1}, c') \in \text{Comp}_{m-1}(M|_{\leq m-1}; (\{(0, b)\}, \mathbf{0}), (F_i|_{\leq m-1}, c'_i)_{i \in \{1, \dots, r\}})$  for some  $c'$  such that  $c'(a) \geq c(a) + |F \cap \{(m, a)\}|$  for all  $a \in \Sigma$ ; this follows directly from Lemma 8.5. Thus we can apply back the appropriate rule, and derive  $\Gamma \vdash_{m-1}^\kappa P : \hat{\sigma} \triangleright c'$ .

Finally, suppose that  $P = Q R$ . Then the final (@) rule has premisses  $\Gamma' \vdash_m^\kappa Q : (F', M', C \rightarrow \tau) \triangleright e$  and  $\Gamma_i \vdash_m^\kappa R : (F_i, M_i, \tau_i) \triangleright d_i$  for  $i \in I$ , where we have that  $C = \{(F_i \upharpoonright_{\leq \text{ord}(R)}, M_i \upharpoonright_{\leq \text{ord}(R)}, \tau_i) \mid i \in I\}$ . The induction assumption applied to all premisses gives us a derivation of  $\Gamma' \vdash_{m-1}^\kappa Q : (F' \upharpoonright_{\leq m-1}, M' \upharpoonright_{\leq m-1}, C \rightarrow \tau) \triangleright e'$  with  $e'$  such that  $e'(a) \geq e(a) + |F' \cap \{(m, a)\}|$  for all  $a \in \Sigma$ , and, for all  $i \in I$ , a derivation of  $\Gamma_i \vdash_{m-1}^\kappa R : (F_i \upharpoonright_{\leq m-1}, M_i \upharpoonright_{\leq m-1}, \tau_i) \triangleright d'_i$  with  $d'_i$  such that  $d'_i(a) \geq d_i(a) + |F_i \cap \{(m, a)\}|$  for all  $a \in \Sigma$ . The side condition  $M = M' + \sum_{i \in I} M_i$  implies  $M \upharpoonright_{\leq m-1} = M' \upharpoonright_{\leq m-1} + \sum_{i \in I} M_i \upharpoonright_{\leq m-1}$ , and the side condition  $\{(k, a) \in F' \mid M(k) = 0\} \subseteq F$  implies  $\{(k, a) \in F' \upharpoonright_{\leq m-1} \mid M \upharpoonright_{\leq m-1}(k) = 0\} \subseteq F \upharpoonright_{\leq m-1}$ . Another side condition says that  $(F, c) \in \text{Comp}_m(M; (F', e), (F_i \upharpoonright_{> \text{ord}(R)}, d_i)_{i \in I})$ . Because the complexity of  $P$  is at most  $m$ , we have  $\text{ord}(R) \leq \text{ord}(Q) - 1 \leq m - 1$ . In consequence  $d'_i(a) \geq d_i(a) + |F_i \cap \{(m, a)\}| = d_i(a) + |F_i \upharpoonright_{> \text{ord}(R)} \cap \{(m, a)\}|$  for all  $i \in I$  and  $a \in \Sigma$ , thus by Lemma 8.5 we obtain  $(F \upharpoonright_{\leq m-1}, c') \in \text{Comp}_{m-1}(M \upharpoonright_{\leq m-1}; (F' \upharpoonright_{\leq m-1}, e'), ((F_i \upharpoonright_{> \text{ord}(R)}) \upharpoonright_{\leq m-1}, d'_i)_{i \in I})$  for some  $c'$  such that  $c'(a) \geq c(a) + |F \cap \{(m, a)\}|$  for all  $a \in \Sigma$ . Clearly,  $(F_i \upharpoonright_{> \text{ord}(R)}) \upharpoonright_{\leq m-1} = (F_i \upharpoonright_{\leq m-1}) \upharpoonright_{> \text{ord}(R)}$ . Moreover,  $C = \{(F_i \upharpoonright_{\leq m-1}) \upharpoonright_{\leq \text{ord}(R)}, (M_i \upharpoonright_{\leq m-1}) \upharpoonright_{\leq \text{ord}(R)}, \tau_i\} \mid i \in I\}$ , again because  $\text{ord}(R) \leq m - 1$ . Having all this, we can apply back the (@) rule, and derive  $\Gamma \vdash_{m-1}^\kappa P : \hat{\sigma} \triangleright c'$ .

Still staying in the case of  $P = Q R$ , suppose now that the original derivation ends with a wild use of the (@) rule. This means that for some  $i \in I$  and for some  $(k, a) \in F_i \upharpoonright_{> \text{ord}(R)}$  we have  $M_i = \mathbf{0}$  and  $M(l) > 0$  for all  $l \in \{k, k+1, \dots, m\}$ . If  $k = m$ , the type judgment derived by the induction assumption,  $\Gamma_i \vdash_{m-1}^\kappa R : (F_i \upharpoonright_{\leq m-1}, M_i \upharpoonright_{\leq m-1}, \tau_i) \triangleright d'_i$ , satisfies  $M_i \upharpoonright_{\leq m-1} = \mathbf{0}$  and  $d'_i(a) \geq d_i(a) + |F_i \cap \{(m, a)\}| \geq 1$ , which is impossible by Lemma 6.3 (we use here the fact that  $\text{ord}(R) \leq m - 1$ ). Thus  $k < m$ , so we have as well  $(k, a) \in (F_i \upharpoonright_{\leq m-1}) \upharpoonright_{> \text{ord}(R)}$ . It is also true that  $M_i \upharpoonright_{\leq m-1} = \mathbf{0}$  and  $M \upharpoonright_{\leq m-1}(l) > 0$  for all  $l \in \{k, k+1, \dots, m-1\}$ . Thus the (@) rule is used wildly also in the resulting derivation.

We notice that the proof does not remove any fragment of the original derivation. Thus, by the above, if the original derivations contain some wild use of the (@) rule, the resulting derivation also contains a wild use of the (@) rule, in the same place.  $\square$

Lemma 8.2 is obtained by specializing Lemma 8.6 to the situation when  $P$  is closed, and  $(F, M, \tau) = \hat{\rho}_m^{\kappa \text{all}}$ . Notice that then  $(F \upharpoonright_{\leq m-1}, M \upharpoonright_{\leq m-1}, \tau) = \hat{\rho}_{m-1}^{\kappa \text{all}}$ .

### 8.3 Proof of Lemma 8.3

In this lemma, we are given a derivation of  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa \text{all}} \triangleright c$ , where  $m = m_0(\kappa)$ , and where  $P$  is of complexity 0. The proof is by induction on the structure of some fixed derivation of  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa \text{all}} \triangleright c$ . Let us analyze the shape of  $P$ . Because the type environment is empty, and because  $P$  has complexity 0,  $P$  cannot be a variable, nor a lambda-binder, nor an application. Thus  $P$  starts with a node constructor,  $P = b(P_1, \dots, P_r)$ . We have two cases.

An easier case is when  $b = \text{nd}$ . Then the final (ND) rule has one premiss  $\varepsilon \vdash_m^\kappa P_i : \hat{\rho}_m^{\kappa \text{all}} \triangleright c$  for some  $i \in \{1, \dots, r\}$ . The induction assumption gives us a tree  $T$  such that  $P_i \rightarrow_{\text{nd}}^* T$  and for every  $a \in \Sigma$ , the number of appearances of  $a$  in  $T$  is  $c(a)$ . Since  $P \rightarrow_{\text{nd}} P_i$ , this gives the thesis.

Suppose now that  $b \neq \text{nd}$ . Recall that for  $(F, M, \tau) \in \mathcal{TT}_{-1}^{\Delta o}$ , the flag set  $F$  and the marker multiset  $M$  should be  $(-1)$ -bounded, hence  $F = \emptyset$  and  $M = \mathbf{0}$ , and the type  $\tau \in \mathcal{T}^{\Delta o}$  can only be  $o$ . For  $(F, M, \tau) \in \mathcal{TT}_0^{\Delta o}$  we are required that  $\tau = o$ , that  $F$  and  $M$  are 0-bounded, that  $M(0) = 1$  (hence  $M = \{0\}$ ), and that  $M(k) = 0$  for all  $(k, a) \in F$  (hence  $F = \emptyset$ ). In consequence  $\hat{\rho}_m^{\kappa \text{all}}$  is the only type triple in  $\mathcal{TT}_m^{\kappa o}$ . It follows that premisses of the final rule are of the form  $\varepsilon \vdash_m^\kappa P_i : \hat{\rho}_m^{\kappa \text{all}} \triangleright c_i$  for  $i \in \{1, \dots, r\}$ . By the induction assumption, for every  $i \in \{1, \dots, r\}$  we obtain a tree  $T_i$  such that  $P_i \rightarrow_{\text{nd}}^* T_i$  and for every

$a \in \Sigma$ , the number of appearances of  $a$  in  $T_i$  is  $c_i(a)$ . We take  $T = b(T_1, \dots, T_r)$ ; then  $P \rightarrow_{\text{nd}}^* T$ . As in the proof of Lemma 7.2, we observe that  $(\emptyset, c) \in \text{Comp}_m(\text{Mk}(\hat{\rho}_m^{\kappa \text{all}}); (\{(0, b)\}, \mathbf{0}), (\emptyset, c_1), \dots, (\emptyset, c_r))$  holds exactly when  $c(a) = c_1(a) + \dots + c_r(a)$  for  $a \in \Sigma \setminus \{b\}$ , and  $c(b) = 1 + c_1(b) + \dots + c_r(b)$ . It follows that for every  $a \in \Sigma$ , the number of appearances of  $a$  in  $T$  is  $c(a)$ .

## 9 Complexity of SUP

Using our type system we now establish the complexity of SUP for schemes, which is as described by the following theorem.

**Theorem 9.1.** *Let  $m \in \mathbb{N}$ .*

1. *If  $m \geq 1$ , SUP for tree-recognizing order- $m$  schemes is  $m$ -EXPTIME-complete. If  $m = 0$ , it is NP-complete, and it is in FPT when  $|A|$  is viewed as a parameter.*
2. *If  $m \geq 2$ , SUP for word-recognizing order- $m$  schemes is  $(m-1)$ -EXPTIME-complete. If  $m \in \{0, 1\}$ , it is NP-complete, and it is in FPT when  $|A|$  is viewed as a parameter.*

In the rest of this section we prove the above theorem. In the first part we concentrate on the upper bounds; the lower bounds are shown in Section 9.4 by easy reductions. In the proof, we assume that the considered scheme is of order  $m+1$ , rather than of order  $m$ . We are thus given a set  $A$  and a scheme  $\mathcal{G} = (\mathcal{N}, \mathcal{R}, N_0)$  of order at most  $m+1$ , and we want to decide whether  $\text{SUP}_A(\mathcal{L}(\mathcal{G}))$  holds. This should be done:

- in  $(m+1)$ -EXPTIME for  $m \geq 0$ , and in NP for  $m = -1$ , when  $\mathcal{G}$  can be arbitrary, and
- in  $m$ -EXPTIME for  $m \geq 1$ , and in NP for  $m = 0$ , assuming that  $\mathcal{G}$  is word-recognizing.

Set  $\kappa = \Delta$  in the former case, and  $\kappa = \setminus$  in the latter case. In the cases resulting in an NP algorithm (i.e., when  $m = m_0(\kappa)$ ) we also prove that the problem is fixed-parameter tractable when  $|A|$  is viewed as a parameter.

Due to Theorems 3.2 and 4.1, solving SUP boils down to checking whether for every  $n \in \mathbb{N}$  we can derive  $\varepsilon \vdash_m^\kappa \Lambda(\mathcal{G}) : \hat{\rho}_m^{\kappa \text{all}} \triangleright c_n$  with some  $c_n$  such that  $c_n(a) \geq n$  for all  $a \in A$  (here we use the trivial fact that the complexity of  $\Lambda(\mathcal{G})$  is not greater than the order of  $\mathcal{G}$ ).

Before starting the proof, let us give three definitions.

**Definition 9.2.** Two type judgments are *equivalent* if they differ only in values of the flag counter.

**Definition 9.3.** For a set  $A \subseteq \Sigma$ , a derivation is *A-pumpable* if for every symbol  $a \in A$ , there are two equivalent type judgments lying on one branch of the derivation and such that the  $a$  coordinate of their flag counter differs.

**Definition 9.4.** We say that a type judgment  $\Gamma \vdash_m^\kappa Q : \hat{\tau} \triangleright d$  is *useful* (with respect to a scheme  $\mathcal{G}$ ) if  $Q$  is a subterm of  $\Lambda(\mathcal{G})$  and  $\Gamma(x) \neq \mathbf{0}$  only for variables  $x$  that are free in  $Q$ .

Let  $\mathcal{U}^\mathcal{G}$  be the set of useful type judgments  $\Gamma \vdash_m^\kappa Q : \hat{\tau} \triangleright d$  satisfying  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})^{(\text{vi})}$  and let  $\mathcal{U}_{/\sim}^\mathcal{G}$  be the set of equivalence classes of type judgments from  $\mathcal{U}^\mathcal{G}$ .

For every rule of the type system it is easy to see that if the conclusion is useful, then also premisses are useful. Moreover, Lemma 6.1 tells us that all type judgments that can be derived satisfy the inequality  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})$ . It follows that all derivations of  $\varepsilon \vdash_m^\kappa \Lambda(\mathcal{G}) : \hat{\rho}_m^{\kappa \text{all}} \triangleright c$  contain only type judgments from  $\mathcal{U}^\mathcal{G}$ .

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<sup>(vi)</sup> As one can see in the proof, the inequality  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})$  is important only when  $\kappa = \setminus$  and  $m = 0$ .

We now proceed as follows. First, in Section 9.1, we bound the number of equivalence classes in  $\mathcal{U}_{\sim}^{\mathcal{G}}$ . Then, in Section 9.2, we observe that if a flag counter  $c$  is large enough for every symbol  $a \in A$ , then a derivation of  $\varepsilon \vdash_m \Lambda(\mathcal{G}) : \rho_m \triangleright c$  needs to be  $A$ -pumpable. Moreover, the opposite implication also holds: if we have an  $A$ -pumpable type derivation, then we can repeat (as many times as we want) its fragments between all pairs of equivalent type judgments, increasing arbitrarily the flag counter for all  $a \in A$  in the resulting type judgment. This is described in Lemma 9.6. Finally, in Section 9.3 we give an algorithm exploiting this property.

## 9.1 Number of Equivalence Classes

In the first part, we bound the size of  $\mathcal{U}_{\sim}^{\mathcal{G}}$ .

Recall that by  $\Lambda_{\mathcal{G}}(P)$  we denote the lambda-term obtained by recursively expanding all nonterminals in a lambda-term  $P$  (which could contain nonterminals). It is easy to see that every subterm of  $\Lambda(\mathcal{G})$  equals  $\Lambda_{\mathcal{G}}(P)$  for some subterm  $P$  of  $\mathcal{R}(N)$  for some nonterminal  $N \in \mathcal{N}$ . In consequence, there are at most  $|\mathcal{G}|$  subterms of  $\Lambda(\mathcal{G})$ .

Let  $\mathcal{S}_{\mathcal{G}}$  be the set of sorts of all subterms of  $\mathcal{R}(N)$  for all nonterminals  $N$  of  $\mathcal{G}$ , and of all subsorts of these sorts (where we say that a sort  $\alpha$  is a subsort of a sort  $\beta$  either if  $\alpha = \beta$  or if  $\beta = \gamma \rightarrow \delta$  and  $\alpha$  is a subsort of  $\gamma$  or  $\delta$ ). Notice that the sorts of all subterms of  $\Lambda(\mathcal{G})$  also belong to  $\mathcal{S}_{\mathcal{G}}$ .

For  $n \in \{0, \dots, m+1\}$ , denote by  $\eta_n^{\kappa}$  the maximum of  $|\mathcal{T}\mathcal{T}_k^{\kappa\alpha}|$  over all  $k \in \{m_0(\kappa), m_0(\kappa)+1, \dots, n\}$  and over all sorts  $\alpha \in \mathcal{S}_{\mathcal{G}}$  such that  $\text{ord}(\alpha) \leq n$ . In order to bound  $\eta_n^{\kappa}$ , we first prove that if  $P$  of sort  $\alpha$  is a subterm of  $\mathcal{R}(N)$  for some nonterminal  $N \in \mathcal{N}$ , then  $|\alpha| \leq |P| + |\mathcal{G}|$  (so in particular  $|\alpha| \leq 2 \cdot |\mathcal{G}|$  for all  $\alpha \in \mathcal{S}_{\mathcal{G}}$ ).<sup>(vii)</sup> This is induction on the size of  $P$ . When  $P$  starts with a node constructor this is trivial, since  $\alpha = o$ . When  $P = Q R$ , this follows directly from the inequality  $|\beta \rightarrow \alpha| \leq |Q| + |\mathcal{G}|$  obtained from the induction assumption, where  $\beta \rightarrow \alpha$  is the sort of  $Q$ , since  $|\alpha| < |\beta \rightarrow \alpha|$  and  $|Q| < |P|$ . When  $P = \lambda x.Q$ , where  $\alpha = \beta \rightarrow \gamma$ , we obtain the thesis by adding  $1 + |\beta|$  to both sides of the induction assumption  $|\gamma| \leq |Q|$ . When  $P = x$  is a variable bound by some  $\lambda x.Q$  somewhere in  $\mathcal{R}(N)$ , we have  $|\alpha| \leq |\lambda x.Q| \leq |\mathcal{R}(N)| \leq |P| + |\mathcal{G}|$ . Finally,  $P = M$  may be a nonterminal, in which case  $|\alpha|$  is also included in  $|\mathcal{G}|$ .

Let us now take a number  $k \in \{m_0(\kappa), m_0(\kappa) + 1, \dots, n\}$  and a sort  $\alpha = \alpha_1 \rightarrow \dots \rightarrow \alpha_s \rightarrow o \in \mathcal{S}_{\mathcal{G}}$  with  $\text{ord}(\alpha) \leq n$  for which  $\eta_n^{\kappa} = |\mathcal{T}\mathcal{T}_k^{\kappa\alpha}|$ , that is, for which the maximum is reached. A type triple in  $\mathcal{T}\mathcal{T}_k^{\kappa\alpha}$  contains a flag set  $F$ , a marker multiset  $M$ , and a type  $C_1 \rightarrow \dots \rightarrow C_s \rightarrow o$ . In the flag set, for every order in  $l \in \{0, \dots, k\}$  we either have no flags of order  $l$ , or we have an  $(l, a)$ -flag for some  $a \in \Sigma$  (and no other flags of order  $l$ ); this gives  $(|\Sigma| + 1)^{k+1}$  possibilities. In the marker multiset, for every order in  $l \in \{0, \dots, k\}$  the number of order- $l$  markers is in  $\{0, \dots, |\Sigma|\}$ ; this also gives  $(|\Sigma| + 1)^{k+1}$  possibilities. Every triple container  $C_i$  is a function from  $\mathcal{T}\mathcal{T}_{\text{ord}(\alpha_i)}^{\kappa\alpha_i}$  to  $\{0, \dots, |\Sigma|\}$ ; this gives  $(|\Sigma| + 1)^{|\mathcal{T}\mathcal{T}_{\text{ord}(\alpha_i)}^{\kappa\alpha_i}|}$  possibilities. Because  $\text{ord}(\alpha_i) \leq \text{ord}(\alpha) - 1 \leq n - 1$  and  $|\alpha_i| \leq |\alpha| \leq 2 \cdot |\mathcal{G}|$ , we have  $|\mathcal{T}\mathcal{T}_{\text{ord}(\alpha_i)}^{\kappa\alpha_i}| \leq \eta_{n-1}^{\kappa}$ . Since moreover  $s \leq |\alpha| \leq 2 \cdot |\mathcal{G}|$  and  $k \leq n \leq m + 1$ , for  $n \geq 1$  we obtain:

$$\eta_n^{\kappa} = |\mathcal{T}\mathcal{T}_k^{\kappa\alpha}| \leq (|\Sigma| + 1)^{k+1} \cdot (|\Sigma| + 1)^{k+1} \cdot \prod_{i=1}^s (|\Sigma| + 1)^{|\mathcal{T}\mathcal{T}_{\text{ord}(\alpha_i)}^{\kappa\alpha_i}|} \leq (|\Sigma| + 1)^{2m+4+2 \cdot |\mathcal{G}| \cdot \eta_{m-1}^{\kappa}}.$$

<sup>(vii)</sup> One may wonder why we prove that  $|\alpha| \leq 2 \cdot |\mathcal{G}|$  instead of  $|\alpha| \leq |\mathcal{G}|$ , but it is not clear whether the stronger inequality is always true. Surely analogous inequality for lambda-terms is false: for example, the lambda-term  $\lambda x^{\alpha}.x^{\alpha}$  is of size  $2 + |\alpha|$ , while its sort  $\alpha \rightarrow \alpha$  is of size  $2 \cdot |\alpha| + 1$ .

For  $n = 0$  we necessarily have  $s = 0$ , and thus  $\eta_0^\kappa \leq (|\Sigma| + 1)^2$ . It follows that for all  $n \in \mathbb{N}$ ,  $\eta_n^\kappa$  is at most  $n$ -fold exponential in  $|\mathcal{G}|$  and  $|\Sigma|$  (where by “0-fold exponential” we mean “polynomial”).

In the case of  $\kappa = \setminus$  we need a stronger bound. It can be established, because for every type triple  $(F, M, C_1 \rightarrow \dots \rightarrow C_s \rightarrow o) \in \mathcal{TT}_k^{\setminus\alpha}$  we have the additional requirement that  $M(0) + \sum_{i=1}^s \text{Mk}(C_i)(0) = 1$ . For  $\text{ord}(\alpha) = 0$ , this condition implies that  $M(0) = 1$  (since then  $s = 0$ ). In consequence, for  $\text{ord}(\alpha) = 1$  the triple containers  $C_1, \dots, C_s$  can contain altogether only at most one type triple (as every type triple in some  $C_i$  adds one to the sum  $\sum_{i=1}^s \text{Mk}(C_i)(0)$ ). It follows that we only need to remember which one of  $C_1, \dots, C_s$  is nonempty (or that all of them are empty), and which type triple from  $\mathcal{TT}_0^{\setminus o}$  it contains.<sup>(viii)</sup> Thus for  $k$  and  $\alpha$  maximizing  $\eta_1^\setminus$  we obtain:

$$\eta_1^\setminus = |\mathcal{TT}_k^\alpha| \leq (|\Sigma| + 1)^{k+1} \cdot (|\Sigma| + 1)^{k+1} \cdot (1 + s \cdot |\mathcal{TT}_0^o|) \leq (|\Sigma| + 1)^4 \cdot (1 + 2 \cdot |\mathcal{G}| \cdot \eta_0^\setminus).$$

This means that  $\eta_n^\setminus$  for  $n \geq 1$  is at most  $(n - 1)$ -fold exponential in  $|\mathcal{G}|$  and  $|\Sigma|$ .

We now bound the size of  $\mathcal{U}_{\sim}^{\mathcal{G}}$ , that is, the number of equivalence classes of useful type judgments  $\Gamma \vdash_m^\kappa Q : \hat{\tau} \triangleright d$  satisfying  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})$ . As already said, there are at most  $|\mathcal{G}|$  choices for  $Q$ . The order of  $Q$  is at most  $m + 1$ , and the sort of  $Q$  belongs to  $\mathcal{S}_{\mathcal{G}}$ , so there are at most  $\eta_{m+1}^\kappa$  choices for  $\hat{\tau}$ . We now bound the number of choices for the type environment  $\Gamma$ . Recall that we may take  $\Gamma(x) \neq 0$  only for variables  $x$  that are free in  $Q$ . All such variables are subterms of  $\Lambda(x)$ , so there exist at most  $|\mathcal{G}|$  of them. Moreover, every free variable  $x$  of  $Q$  is bound by some subterm  $\lambda x.R$  in  $\Lambda(\mathcal{G})$ ; since  $\text{ord}(\lambda x.R) \leq m + 1$ , we have  $\text{ord}(x) \leq m$ . We now consider three cases, depending on  $m$ .

- Suppose first that  $\kappa = \Delta$  and  $m \geq 0$ , or  $\kappa = \setminus$  and  $m \geq 1$ . Consider a free variable  $x^\alpha$  of  $Q$ . Its sort  $\alpha$  belongs to  $\mathcal{S}_{\mathcal{G}}$ , so we obtain  $|\mathcal{TT}_{\text{ord}(\alpha)}^{\kappa\alpha}| \leq \eta_m^\kappa$ . The type environment  $\Gamma$  assigns to  $x^\alpha$  a triple container from  $\mathcal{TC}^{\kappa\alpha}$ , that is a function from  $\mathcal{TT}_{\text{ord}(\alpha)}^{\kappa\alpha}$  to  $\{0, \dots, |\Sigma|\}$ . The number of such functions is at most  $(|\Sigma| + 1)^{\eta_m^\kappa}$ . By taking a product over all free variables of  $Q$ , we obtain that the number of possible type environments  $\Gamma$  is at most  $(|\Sigma| + 1)^{|\mathcal{G}| \cdot \eta_m^\kappa}$ . This number is at most  $(m + 1)$ -fold exponential in  $|\mathcal{G}|$  and  $|\Sigma|$  for  $\kappa = \Delta$ , and at most  $m$ -fold exponential in  $|\mathcal{G}|$  and  $|\Sigma|$  for  $\kappa = \setminus$ .
- Suppose now that  $\kappa = \setminus$  and  $m = 0$  (then the bound from the previous item is exponential, while we need a polynomial one). In this case all free variables of  $Q$  are of order 0 (thus of sort  $o$ ). As already noticed, we have  $\text{Mk}(\hat{\sigma})(0) = 1$  for all  $\hat{\sigma} \in \mathcal{TT}_0^{\setminus o}$ . On the other hand  $\text{Mk}(\hat{\tau})(0) \leq 1$  (by definition of a marker multiset). Since we only consider type judgments satisfying  $\text{Mk}(\Gamma) \leq \text{Mk}(\hat{\tau})$ , the whole  $\Gamma$  assigns at most one type triple, to at most one variable. We thus only need to remember which type triple it is, and to which variable it is assigned. We have at most  $1 + |\mathcal{G}| \cdot \eta_0^\setminus$  possibilities (thus polynomially many).
- Finally, suppose that  $\kappa = \Delta$  and  $m = -1$ . In this case  $Q$  has no free variables, so necessarily  $\Gamma = \varepsilon$ .

Notice that without loss of generality we can assume that  $|\Sigma| \leq |\mathcal{G}|$ , since in  $\Sigma$  we do not need symbols not appearing in  $\mathcal{G}$  (actually, we can even assume that  $|\Sigma| = |A| + 1$ , since a single symbol name can be used for all symbols that are not in  $A$ ). Altogether, it follows that  $|\mathcal{U}_{\sim}^{\mathcal{G}}|$  is at most  $(m + 1)$ -fold exponential in  $|\mathcal{G}|$  for  $\kappa = \Delta$ , and at most  $m$ -fold exponential in  $|\mathcal{G}|$  for  $\kappa = \setminus$ .

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(viii) Actually,  $\mathcal{TT}_0^{\setminus o}$  contains only one element, namely  $\hat{\rho}_0^{\setminus all} = (\emptyset, \{0\}, o)$ , but this is irrelevant here.

## 9.2 Pumpable Derivations

In the second subsection, we argue that we are actually interested in finding an  $A$ -pumpable derivation. We shall see here derivations as trees, similarly as in Section 7.3. For a node  $v$  of a derivation tree, by  $c_v$  we denote the flag counter being part of the type judgment written in  $v$ . We start by the following lemma, saying that the flag counter cannot grow too much in a single place.

**Lemma 9.5.** *When  $\kappa$ ,  $m$ ,  $\Sigma$ , and  $r_{\max} \in \mathbb{N}$  are fixed, there exists a constant  $C$  such that for every  $a \in \Sigma$ , for every closed lambda-term  $S$  of sort  $o$  in which all node constructors have arity at most  $r_{\max}$ , for every derivation tree  $t$  that derives  $\varepsilon \vdash_m^\kappa S : \hat{\rho}_m^{\kappa all} \triangleright d$  (for some  $d$ ), and for every node  $u$  of  $t$ , if  $c_u(a) \geq C$ , then there exists a child  $v$  of  $u$  such that  $c_v(a) \geq \frac{1}{C} \cdot c_u(a)$ .*

**Proof:** As  $C$  we take a number such that

$$C \geq (m+3) \cdot (r_{\max} + 1) \quad \text{and} \quad C > (m+3) \cdot (1 + |\Sigma| \cdot (m+1)).$$

Fix now some  $a \in \Sigma$ , and consider a type judgment  $\Gamma \vdash_m^\kappa R : (F, M, \tau) \triangleright c$  appearing in  $t$ , such that  $c(a) \geq C$ . We have several cases, depending on the rule used to derive this type judgment. This cannot be the (VAR) rule, since it requires that  $c(a) = 0$ , while we have  $c(a) \geq C > 0$ . If this is the (ND) rule or the ( $\lambda$ ) rule, the flag counter in the unique premiss of the rule is also  $c$ , so we trivially have  $c(a) \geq \frac{1}{C} \cdot c(a)$ .

Suppose now that the considered type judgment is derived using one of the rules (CON0) or (CON $\geq 1$ ), that is, that  $R$  is of the form  $b\langle P_1, \dots, P_r \rangle$ , where  $b \neq \text{nd}$ . Let  $\Gamma_i \vdash_m^\kappa P_i : (F_i, M_i, \tau_i) \triangleright c_i$  for  $i \in \{1, \dots, r\}$  be the premisses of this rule. It holds that  $(F, c) \in \text{Comp}_m(M; (\{(0, b)\}, \mathbf{0}), (F_1, c_1), \dots, (F_r, c_r))$ . Consider the numbers  $f_{k,a}$  and  $f'_{k,a}$  as in the definition of the  $\text{Comp}_m$  predicate. We have that  $f_{k,a} = f'_{k,a} + |\{(0, b)\} \cap \{(k, a)\}| + \sum_{i=1}^r |F_i \cap \{(k, a)\}| \leq f'_{k,a} + 1 + r$  for  $k \in \{0, \dots, m+1\}$ , and  $f'_{k,a} \leq f_{k-1,a}$  for  $k \in \{1, \dots, m+1\}$ , and  $f'_{0,a} = 0$ . It follows that  $f_{m+1,a} \leq (m+2) \cdot (r+1) \leq (m+2) \cdot (r+1) \cdot \frac{1}{C} \cdot c(a)$  (the latter inequality holds because  $c(a) \geq C$ ). Suppose now, contrary to the thesis, that  $c_i(a) < \frac{1}{C} \cdot c(a)$  for all  $i \in \{1, \dots, r\}$ . Then we have that

$$c(a) = f_{m+1,a} + c_1(a) + \dots + c_r(a) \leq (m+2) \cdot (r+1) \cdot \frac{1}{C} \cdot c(a) + r \cdot \frac{1}{C} \cdot c(a),$$

which gives

$$C \leq (m+3) \cdot (r+1) - 1.$$

Since  $r \leq r_{\max}$ , this contradicts the assumption that  $C \geq (m+3) \cdot (r_{\max} + 1)$ , thus necessarily  $c_i(a) \geq \frac{1}{C} \cdot c(a)$  for some  $i \in \{1, \dots, r\}$ .

It remains to consider the case of the (@) rule, when  $R = PQ$ . Premises of this rule are  $\Gamma_0 \vdash_m^\kappa P : (F_0, M_0, \tau_0) \triangleright c_0$  and  $\Gamma_i \vdash_m^\kappa Q : (F_i, M_i, \tau_i) \triangleright c_i$  for  $i \in I$ , where we assume that  $0 \notin I$ . It holds that  $(F, c) \in \text{Comp}_m(M; (F_0, c_0), ((F_i \upharpoonright_{> \text{ord}(Q)}, c_i))_{i \in I})$ . Again, we consider the numbers  $f_{k,a}$  and  $f'_{k,a}$ . Let  $l$  be the smallest natural number such that  $M(k) > 0$  for all  $k \in \{l, l+1, \dots, m\}$  (when  $M(m) = 0$ , we simply take  $l = m+1$ ). Then by definition we have  $f'_{l,a} = 0$  (since either  $l = 0$  or  $M(l-1) = 0$ ) and  $f'_{k,a} = f_{k-1,a}$  for all  $k \in \{l+1, l+2, \dots, m+1\}$ . We now prove that for all  $k \in \{l, l+1, \dots, m+1\}$ ,

$$f_{k,a} \leq f'_{k,a} + 1 + |\Sigma| \cdot (m+1). \quad (3)$$

To this end, we consider two cases. Suppose first that  $l \leq k \leq \text{ord}(Q)$ . Then  $F_i \upharpoonright_{>\text{ord}(Q)} \cap \{(k, a)\} = \emptyset$  for all  $i \in I$ , so we obtain Inequality (3):

$$\begin{aligned} f_{k,a} &= f'_{k,a} + |F_0 \cap \{(k, a)\}| + \sum_{i \in I} |F_i \upharpoonright_{>\text{ord}(Q)} \cap \{(k, a)\}| \\ &\leq f'_{k,a} + 1 \leq f'_{k,a} + 1 + |\Sigma| \cdot (m + 1). \end{aligned}$$

Next, suppose that  $\max(\text{ord}(Q) + 1, l) \leq k \leq m + 1$ . Notice that every index  $i \in I$  with  $M_i \neq \mathbf{0}$  adds at least one to the sum  $\sum_{i \in I} \sum_{j=0}^{\infty} M_i(j)$ . This sum cannot be greater than  $|\Sigma| \cdot (m + 1)$ , since  $\sum_{i \in I} M_i \leq \sum_{i \in \{0\} \cup I} M_i = M \in \mathcal{M}_m^\kappa$ . It follows that there are at most  $|\Sigma| \cdot (m + 1)$  indices  $i \in I$  for which  $M_i \neq \mathbf{0}$ . On the other hand, from Lemma 6.4 we know that the derivation is not wild; in particular the considered use of the (@) rule is not wild. This means that for all  $i \in I$  with  $M_i = \mathbf{0}$  we have  $(k, a) \notin F_i \upharpoonright_{>\text{ord}(Q)}$  (since  $k \geq l$ , we have  $M(j) > 0$  for all  $j \in \{k, k+1, \dots, m\}$ , so  $(k, a) \in F_i \upharpoonright_{>\text{ord}(Q)}$  implies wildness). Thus, Inequality (3) follows also in this case:

$$f_{k,a} = f'_{k,a} + |F_0 \cap \{(k, a)\}| + \sum_{i \in I} |F_i \upharpoonright_{>\text{ord}(Q)} \cap \{(k, a)\}| \leq f'_{k,a} + 1 + |\Sigma| \cdot (m + 1).$$

Using Inequality (3) for all possible  $k$ , and the assumption that  $c(a) \geq C$ , we obtain that

$$f_{m+1,a} \leq (m - l + 2) \cdot (1 + |\Sigma| \cdot (m + 1)) \leq (m + 2) \cdot (1 + |\Sigma| \cdot (m + 1)) \cdot \frac{1}{C} \cdot c(a).$$

Suppose now, contrary to the thesis, that  $c_i(a) < \frac{1}{C} \cdot c(a)$  for all  $i \in \{0\} \cup I$ . For every  $i \in I$  such that  $M_i = \mathbf{0}$ , by Lemma 6.3 (which can be applied because  $\text{ord}(Q) \leq m$ ) we actually have that  $c_i(a) = 0$ . There are at most  $|\Sigma| \cdot (m + 1)$  indices  $i \in I$  for which  $M_i \neq \mathbf{0}$ , that is, for which  $c_i(a)$  can be nonzero (plus one more index  $i = 0$ ). We thus obtain:

$$\begin{aligned} c(a) &= f_{m+1,a} + \sum_{i \in \{0\} \cup I} c_i(a) \\ &\leq (m + 2) \cdot (1 + |\Sigma| \cdot (m + 1)) \cdot \frac{1}{C} \cdot c(a) + (1 + |\Sigma| \cdot (m + 1)) \cdot \frac{1}{C} \cdot c(a), \end{aligned}$$

which gives

$$C \leq (m + 3) \cdot (1 + |\Sigma| \cdot (m + 1)).$$

This contradicts the assumption that  $C > (m + 3) \cdot (1 + |\Sigma| \cdot (m + 1))$ , thus necessarily  $c_i(a) \geq \frac{1}{C} \cdot c(a)$  for some  $i \in \{0\} \cup I$ .  $\square$

In the next lemma we argue that it is enough to consider  $A$ -pumpable derivations.

**Lemma 9.6.** *Let  $S$  be a closed lambda-term of sort  $o$ , in which there is finite bound on the arity of node constructors (for example  $S = \Lambda(\mathcal{G})$ ). There exists an  $A$ -pumpable derivation of  $\varepsilon \vdash_m^\kappa S : \hat{\rho}_m^{\kappa \text{all}} \triangleright c$  if and only if for every  $n \in \mathbb{N}$  we can derive  $\varepsilon \vdash_m^\kappa S : \hat{\rho}_m^{\kappa \text{all}} \triangleright c_n$  with some  $c_n$  such that  $c_n(a) \geq n$  for all  $a \in A$ .*

**Proof:** Let us first justify the left-to-right implication. Suppose that a derivation tree  $t$  that derives  $\varepsilon \vdash_m^\kappa S : \hat{\rho}_m^{\kappa \text{all}} \triangleright c$  is  $A$ -pumpable. By definition, this means that for every symbol  $a \in A$ , there are



two nodes  $u_a, v_a$  of  $t$  such that  $u_a$  is an ancestor of  $v_a$ , they contain equivalent type judgments, and  $c_{u_a}(a) \neq c_{v_a}(a)$ . Our type system has the property that the flag counter in the conclusion of a rule is always not smaller than the flag counter in all the premisses, which implies that  $c_{u_a}(a) > c_{v_a}(a)$ , and  $c_{u_a}(b) \geq c_{v_a}(b)$  for all  $b \in \Sigma$ . In the considered situation, for every  $a \in A$  we can repeat (as many times as we want) the fragment of the derivation between the nodes  $u_a$  and  $v_a$ , increasing arbitrarily the  $a$  coordinate of the flag counter in the resulting type judgment. This is possible thanks to the following additivity property of our type system: if out of  $\Gamma \vdash_m^\kappa P : \hat{\sigma} \triangleright c$  we can derive  $\Gamma' \vdash_m^\kappa P' : \hat{\sigma}' \triangleright c'$ , then out of  $\Gamma \vdash_m^\kappa P : \hat{\sigma} \triangleright d$  we can derive  $\Gamma' \vdash_m^\kappa P' : \hat{\sigma}' \triangleright c' + d - c$ .

We now prove the right-to-left implication. Let  $C$  be the constant from Lemma 9.5 (where as  $r_{\max}$  we take the maximal arity of a node constructor appearing in  $S$ , which by assumption is finite), and let  $K = |\mathcal{U}_{/\sim}^\mathcal{G}|$ . Take  $n = C^K$ , and consider a derivation tree  $t$  that derives  $\varepsilon \vdash_m^\kappa S : \hat{\rho}_m^{\kappa all} \triangleright c_n$  for some  $c_n$  such that  $c_n(a) \geq n$  for all  $a \in A$ ; it exists by assumption. We claim that  $t$  is  $A$ -pumpable. In order to prove this, take some symbol  $a \in A$ . As already mentioned, whenever  $w$  is a child of  $u$  in  $t$ , it holds that  $c_w(a) \leq c_u(a)$ . We now construct a sequence  $v_0, \dots, v_K$  of  $K + 1$  nodes lying on one branch in  $t$ , such that  $c_{v_i}(a) \geq C^{K-i}$  for  $i \in \{0, \dots, K\}$ , and  $c_{v_i}(a) < c_{v_{i-1}}(a)$  for  $i \in \{1, \dots, K\}$ . As  $v_0$  we take the root of  $t$ ; then  $c_{v_0}(a) = c_n(a) \geq C^K$ . Next, suppose that  $v_0, \dots, v_{i-1}$  are already constructed, and we want to construct  $v_i$  (we do this by induction, for  $i = 1, 2, \dots, K$ ). Let  $u$  be some node in the subtree starting in  $v_{i-1}$ , such that  $c_u(a) = c_{v_{i-1}}(a)$  but  $c_w(a) < c_{v_{i-1}}(a)$  for all children  $w$  of  $u$  (such a node  $u$  has to exist, as  $t$  is finite). Then, as  $v_i$  we take a child of  $u$  such that  $c_{v_i}(a) \geq \frac{1}{C} \cdot c_u(a)$ , which exists by Lemma 9.5. Because  $c_u(a) = c_{v_{i-1}}(a) \geq C^{K-i+1}$ , it follows that  $c_{v_i}(a) \geq C^{K-i}$ ; we also have  $c_{v_i}(a) < c_{v_{i-1}}(a)$ .

Once  $v_0, \dots, v_K$  are constructed, we notice that there is more of them than equivalence classes in  $\mathcal{U}_{/\sim}^\mathcal{G}$ . As already noticed, only type judgments from  $\mathcal{U}_{/\sim}^\mathcal{G}$  may appear in  $t$ . It follows that among the nodes  $v_0, \dots, v_K$  there are two,  $v_i$  and  $v_j$  for  $i < j$ , labeled by equivalent type judgments. By construction  $v_i$  and  $v_j$  are located on the same branch, and we have that  $c_{v_i}(a) > c_{v_j}(a)$ . Such a pair of nodes can be found for every  $a \in A$ , so  $t$  is  $A$ -pumpable.  $\square$

### 9.3 Algorithms

We now give two algorithms that check whether an  $A$ -pumpable derivation of  $\varepsilon \vdash_m \Lambda(\mathcal{G}) : \rho_m \triangleright c$  exists for some  $c$ ; in effect they solve SUP for schemes. Recall that Parys (2017b) proposes an approach that is doubly exponential in  $\mathcal{U}_{/\sim}^\mathcal{G}$ : list all type derivations of height smaller than some number, and search among them for an  $A$ -pumpable derivation. We show how to search for  $A$ -pumpable derivations in a more systematic way. Our first algorithm is deterministic, and works in time polynomial in  $|\mathcal{U}_{/\sim}^\mathcal{G}| + |\mathcal{G}| + f(|A|)$  for some exponential function  $f$  (notice that when  $|\mathcal{U}_{/\sim}^\mathcal{G}|$  is exponential in  $|\mathcal{G}|$ , the component  $f(|A|)$  is anyway dominated by  $|\mathcal{U}_{/\sim}^\mathcal{G}|$ ). The second algorithm is nondeterministic, and works in time polynomial in  $|\mathcal{U}_{/\sim}^\mathcal{G}| + |\mathcal{G}|$ , so it avoids the exponential dependence on  $|A|$ . The existence of these algorithms proves upper bounds required by Theorem 9.1, once we recall the bounds on  $\mathcal{U}_{/\sim}^\mathcal{G}$  from Section 9.1.

A type judgment is called *basic* if its flag counter is  $\mathbf{0}$ . Basic type judgments can be used to represent equivalence classes of type judgments, as in every equivalence class there is exactly one basic type judgment.

We denote type judgments using letters  $J, K$ , and  $L$  (possibly with some subscripts or superscripts). While denoting basic type judgments, we put  $\mathbf{0}$  in the superscript, like in  $J^{\mathbf{0}}$ . For a type judgment  $J$ , let  $J \downarrow$

be the basic type judgment equivalent to  $J$ , and let  $c_J$  be the flag counter appearing in  $J$ .

Our algorithm computes several sets, which we now define. The set  $\mathcal{D}$  (containing basic type judgments from  $\mathcal{U}^G$ ) is the smallest set such that:

- if by applying a rule to type judgments  $J_1^0, \dots, J_r^0 \in \mathcal{D}$  one can derive a type judgment  $J \in \mathcal{U}^G$ , then  $J \downarrow \in \mathcal{D}$ .

In the above definition we allow any  $r \geq 0$  (in particular, we also consider rules that do not need any premisses). The set  $\mathcal{E}$  (being a subset of  $\mathcal{D} \times \mathcal{D}$ ) is the smallest set such that:

- $(J^0, J^0) \in \mathcal{E}$  for all  $J^0 \in \mathcal{D}$ , and
- if by applying a rule to type judgments  $J_1^0, \dots, J_r^0 \in \mathcal{D}$  one can derive a type judgment  $J \in \mathcal{U}^G$ , and  $(J_l^0, K^0) \in \mathcal{E}$  for some  $l \in \{1, \dots, r\}$ , then  $(J \downarrow, K^0) \in \mathcal{E}$ .

For every  $a \in A$ , the set  $\mathcal{D}_a$  (being a subset of  $\mathcal{D}$ ) is the smallest set such that:

- if  $J_1^0, \dots, J_r^0 \in \mathcal{D}$ , and  $J_k^0 \in \mathcal{D}_a$  for some  $k \in \{1, \dots, r\}$ , and by applying a rule to  $J_1^0, \dots, J_r^0$  one can derive a type judgment  $J \in \mathcal{U}^G$ , then  $J \downarrow \in \mathcal{D}_a$ , and
- if by applying a rule to type judgments  $J_1^0, \dots, J_r^0 \in \mathcal{D}$  one can derive a type judgment  $J \in \mathcal{U}^G$  satisfying  $c_J(a) > 0$ , then  $J \downarrow \in \mathcal{D}_a$ .

Finally, for every  $a \in A$ , the set  $\mathcal{E}_a$  (being a subset of  $\mathcal{D}_a \times \mathcal{D}$ ) is the smallest set such that:

- if by applying a rule to type judgments  $J_1^0, \dots, J_r^0 \in \mathcal{D}$  one can derive a type judgment  $J \in \mathcal{U}^G$ , and  $(J_l^0, K^0) \in \mathcal{E}_a$  for some  $l \in \{1, \dots, r\}$ , then  $(J \downarrow, K^0) \in \mathcal{E}_a$ ,
- if  $J_1^0, \dots, J_r^0 \in \mathcal{D}$ , and  $J_k^0 \in \mathcal{D}_a$  for some  $k \in \{1, \dots, r\}$ , and by applying a rule to  $J_1^0, \dots, J_r^0$  one can derive a type judgment  $J \in \mathcal{U}^G$ , and  $(J_l^0, K^0) \in \mathcal{E}$  for some  $l \in \{1, \dots, r\} \setminus \{k\}$ , then  $(J \downarrow, K^0) \in \mathcal{E}_a$ , and
- if by applying a rule to type judgments  $J_1^0, \dots, J_r^0 \in \mathcal{D}$  one can derive a type judgment  $J \in \mathcal{U}^G$  satisfying  $c_J(a) > 0$ , and  $(J_l^0, K^0) \in \mathcal{E}$  for some  $l \in \{1, \dots, r\}$ , then  $(J \downarrow, K^0) \in \mathcal{E}_a$ .

**Lemma 9.7.** *In the setting as above:*

- the set  $\mathcal{D}$  consists of projections  $J \downarrow$  of all type judgments  $J \in \mathcal{U}^G$  that can be derived,
- the set  $\mathcal{E}$  consists of pairs  $(J \downarrow, K \downarrow)$  for all type judgments  $J \in \mathcal{U}^G$  that can be derived so that  $K$  appears in a derivation of  $J$ ,
- for every  $a \in A$ , the set  $\mathcal{D}_a$  consists of projections  $J \downarrow$  of all type judgments  $J \in \mathcal{U}^G$  that can be derived and that satisfy  $c_J(a) > 0$ , and
- for every  $a \in A$ , the set  $\mathcal{E}_a$  consists of pairs  $(J \downarrow, K \downarrow)$  for all type judgments  $J \in \mathcal{U}^G$  that can be derived so that  $K$  appears in a derivation of  $J$ , and where  $c_J(a) > c_K(a)$ .

**Proof:** We first argue that every element in  $\mathcal{D}$  (in  $\mathcal{D}_a$ ) is of the form  $J \downarrow$  for some type judgment  $J \in \mathcal{U}^G$  that can be derived (and satisfies  $c_J(a) > 0$ , respectively). This is shown by induction on the order in which type judgments are added to the set  $\mathcal{D}$  (or  $\mathcal{D}_a$ ) in its definition. By definition, some  $J' \downarrow$  is added to  $\mathcal{D}$ , if it can be derived by applying some rule to basic type judgments  $J_1^0, \dots, J_r^0 \in \mathcal{D}$ , where from the induction assumption we know for  $i \in \{1, \dots, r\}$  that  $J_i^0 = J_i \downarrow$  for some type judgment  $J_i \in \mathcal{U}^G$  that can be derived. The same rule can be applied to the type judgments  $J_1, \dots, J_r$ , and results in a type judgment  $J$  equivalent to  $J'$ , where  $c_J = c_{J'} + c_{J_1} + \dots + c_{J_r}$ . If  $J_k^0 \in \mathcal{D}_a$  for some  $k \in \{1, \dots, r\}$  (the first item in the definition of  $\mathcal{D}_a$ ), by the induction assumption we actually know that  $c_{J_k}(a) > 0$ , so also  $c_J(a) > 0$ . If  $c_{J'}(a) > 0$  (the second item in the definition of  $\mathcal{D}_a$ ) then automatically also  $c_J(a) > 0$ .

The opposite inclusion is shown by induction on the size of a fixed derivation of the considered derivable type judgment  $J \in \mathcal{U}^G$ . Consider the final rule used in the derivation; let  $J_1, \dots, J_r$  be its premisses. As already said,  $J_1, \dots, J_r$  necessarily belong to  $\mathcal{U}^G$ . By the induction assumption we have

that  $J_1 \downarrow, \dots, J_r \downarrow \in \mathcal{D}$ . The application of the final rule remains valid if we replace the flag counters in  $J_1, \dots, J_r$  by  $\mathbf{0}$ , and we appropriately decrease the flag counter in  $J$ . This proves that  $J \downarrow \in \mathcal{D}$ .

When additionally  $c_J(a) > 0$ , and we want to prove that  $J \downarrow \in \mathcal{D}_a$ , we have two cases.

- If  $c_{J_k}(a) > 0$  for some  $k \in \{1, \dots, r\}$ , then we have  $J_k \downarrow \in \mathcal{D}_a$  by the induction assumption, so  $J \downarrow \in \mathcal{D}_a$  according to the first item in the definition of  $\mathcal{D}_a$ .
- Otherwise,  $c_{J_i}(a) = 0$  for all  $i \in \{1, \dots, r\}$ . Then, while replacing the flag counters in  $J_1, \dots, J_r$  by  $\mathbf{0}$ , we do not change the  $a$  coordinate of the flag counter in  $J$ , so it remains positive. Thus  $J \downarrow \in \mathcal{D}_a$  according to the second item in the definition of  $\mathcal{D}_a$ .

The argumentation for the sets  $\mathcal{E}$  and  $\mathcal{E}_a$  is actually very similar, and thus it is left to the reader.  $\square$

We now come to pumpable derivations. Here we need one more definitions: for a nonempty subset  $B$  of  $A$  we define a  $B$ -skeleton (we use  $B$ -skeletons to describe a general shape of  $B$ -pumpable derivations). For  $B = \{a\}$  we have only one  $B$ -skeleton, which is  $a$ . For  $B$  of size at least 2, a  $B$ -skeleton is of the form either:

- $a[S]$ , where  $S$  is a  $(B \setminus \{a\})$ -skeleton, or
- $(S_1), \dots, (S_s)$ , where  $S_i$  is a  $B_i$ -skeleton for  $i \in \{1, \dots, s\}$ , for some partition of  $B$  into disjoint nonempty subsets  $B_1, \dots, B_s$ , where  $s \geq 2$ .

Example  $\{a, b, c\}$ -skeletons are  $a[b[c]]$ , and  $c[(b), (a)]$ , and  $(b), (a), (c)$ , and  $(a), ((b), (c))$ . It should be clear that an  $A$ -skeleton can be represented in a space polynomial in  $|A|$ , so the number of  $A$ -skeletons is at most exponential in  $A$ .

Below, we assume that premisses of a rule are always listed in some order, so that in the  $(\text{CON} \geq 1)$  rule consecutive premisses concern consecutive subterms  $P_1, \dots, P_r$  of the considered lambda-term  $a(P_1, \dots, P_r)$ , and in the  $(@)$  rule we first have a premiss concerning the function and then premisses concerning the argument (listed in any order).

For every skeleton  $S$  we define a set  $\mathcal{P}_S$  as the smallest set such that:

- if  $J_1^0, \dots, J_r^0 \in \mathcal{D}$ , and  $J_k^0 \in \mathcal{P}_S$  for some  $k \in \{1, \dots, r\}$ , and by applying a rule to  $J_1^0, \dots, J_r^0$  one can derive a type judgment  $J \in \mathcal{U}^g$ , then  $J \downarrow \in \mathcal{P}_S$ ,
- if  $S$  equals  $a$ , and  $(J^0, J^0) \in \mathcal{E}_a$ , then  $J^0 \in \mathcal{P}_S$ ,
- if  $S$  equals  $a[S']$ , and  $(J^0, J^0) \in \mathcal{E}_a$ , and  $J^0 \in \mathcal{P}_{S'}$ , then  $J^0 \in \mathcal{P}_S$ , and
- if  $S$  equals  $(S_1), \dots, (S_s)$ , and  $J_1^0, \dots, J_r^0 \in \mathcal{D}$ , and there is a subsequence  $J_{j_1}^0, \dots, J_{j_s}^0$  of  $J_1^0, \dots, J_r^0$  (with  $j_1 < \dots < j_s$ ) satisfying  $J_{j_i}^0 \in \mathcal{P}_{S_i}$  for  $i \in \{1, \dots, s\}$ , and by applying a rule to  $J_1^0, \dots, J_r^0$  one can derive a type judgment  $J \in \mathcal{U}^g$ , then  $J \downarrow \in \mathcal{P}_S$ .

**Lemma 9.8.** *Let  $J^0 \in \mathcal{U}^g$  be a basic type judgment, and let  $B \subseteq A$  be nonempty. Then there exists a  $B$ -pumpable derivation of a type judgment equivalent to  $J^0$  if and only if  $J^0 \in \mathcal{P}_S$  for some  $B$ -skeleton  $S$ .*

**Proof:** We first suppose that  $J^0 \in \mathcal{P}_S$  for some  $B$ -skeleton  $S$ , and we show a  $B$ -pumpable derivation for a type judgment equivalent to  $J^0$ . This is induction on the size of  $B$ , and internally on the order in which type judgments are added to  $\mathcal{P}_S$ . We have several cases:

- Suppose that  $J_1^0, \dots, J_r^0 \in \mathcal{D}$ , and  $J_k^0 \in \mathcal{P}_S$  for some  $k \in \{1, \dots, r\}$ , and by applying a rule to  $J_1^0, \dots, J_r^0$  one can derive a type judgment equivalent to  $J^0$  (the first item in the definition). Then by the induction assumption we have a  $B$ -pumpable derivation for a type judgment equivalent to  $J_k^0$ , and for  $i \in \{1, \dots, r\} \setminus \{k\}$  by Lemma 9.7(a) we have a derivation for a type judgment equivalent to  $J_i^0$ . We finish the derivation by applying the considered rule, and we obtain a  $B$ -pumpable derivation for a type judgment equivalent to  $J^0$ .

- Suppose that  $S$  equals  $a$ , and  $(J^0, J^0) \in \mathcal{E}_a$  (the second item in the definition). In this case  $B = \{a\}$ . Lemma 9.7(d) implies that there is a derivation for a type judgments  $J_1$  equivalent to  $J^0$  in which some  $J_2$  equivalent to  $J^0$  appears, where  $c_{J_1}(a) > c_{J_2}(a)$ . By definition such a derivation is  $B$ -pumpable.
- Suppose that  $S$  equals  $a[S']$ , and  $(J^0, J^0) \in \mathcal{E}_a$ , and  $J^0 \in \mathcal{P}_{S'}$  (the third item in the definition). Recall that  $S'$  is a  $B'$ -skeleton for  $B' = B \setminus \{a\}$ . Lemma 9.7(d) implies that there is a derivation tree  $t$  for a type judgments  $J_1$  equivalent to  $J^0$  in which some  $J_2$  equivalent to  $J^0$  appears, where  $c_{J_1}(a) > c_{J_2}(a)$ . Moreover, the induction assumption implies that there is a  $B'$ -pumpable derivation tree  $t'$  of a type judgment  $J_3$  equivalent to  $J^0$ . We now insert  $t'$  in a node of  $t$  in which  $J_2$  was written (cutting off all children of that node), and we modify appropriately flag counters on the path from this node to the root of  $t$ . This way, we obtain a  $B$ -pumpable derivation of a type judgment equivalent to  $J^0$ .
- Finally, suppose that  $S$  equals  $(S_1), \dots, (S_s)$ , and  $J_1^0, \dots, J_r^0 \in \mathcal{D}$ , and there is a subsequence  $J_{j_1}^0, \dots, J_{j_s}^0$  of  $J_1^0, \dots, J_r^0$  (with  $j_1 < \dots < j_s$ ) satisfying  $J_{j_i}^0 \in \mathcal{P}_{S_i}$  for  $i \in \{1, \dots, s\}$ , and by applying a rule to  $J_1^0, \dots, J_r^0$  one can derive a type judgment equivalent to  $J^0$ . Then  $B = B_1 \cup \dots \cup B_s$ , where  $S_i$  is a  $B_i$ -skeleton for  $i \in \{1, \dots, s\}$ . For  $i \in \{1, \dots, s\}$ , by the induction assumption we have a  $B_i$ -pumpable derivation of a type judgment equivalent to  $J_{j_i}^0$ . Moreover, for  $i \in \{1, \dots, r\} \setminus \{j_1, \dots, j_s\}$  by Lemma 9.7(a) we have a derivation of a type judgment equivalent to  $J_i^0$ . We finish the derivation by applying the considered rule, and we obtain a  $B$ -pumpable derivation for a type judgment equivalent to  $J^0$ .

Next, we prove the opposite implication. Consider thus a  $B$ -pumpable derivation of a type judgment  $J$  equivalent to  $J^0$ . We proceed by induction on the size of this derivation. Let  $J_1, \dots, J_r$  be the premisses of the final rule used in this derivation. We have several possibilities here:

- It is possible that already a subderivation resulting in  $J_k$  for some  $k \in \{1, \dots, r\}$  is  $B$ -pumpable. Then, by the induction assumption,  $J_k \downarrow \in \mathcal{P}_S$  for some  $B$ -skeleton  $S$ . Moreover,  $J_1 \downarrow, \dots, J_r \downarrow \in \mathcal{D}$  by Lemma 9.7(a). By scaling down flag counters in the rule used in the root of the derivation, we obtain a situation as in the first item of the definition, so  $J^0 \in \mathcal{P}_S$ .
- Suppose now that a type judgment  $J'$  equivalent to  $J^0$  appears somewhere in  $D$ , with  $c_J(a) > c_{J'}(a)$  for some  $a \in B$ . Then  $(J^0, J^0) \in \mathcal{E}_a$  by Lemma 9.7(d). If  $B = \{a\}$ , as  $S$  we take  $a$ , and we obtain  $J^0 \in \mathcal{P}_S$  by the second item of the definition. Suppose thus that  $|B| \geq 2$ . Let  $B' = B \setminus \{a\}$ . A  $B$ -pumpable derivation is also  $B'$ -pumpable, so by the induction assumption we have that  $J^0 \in \mathcal{P}_{S'}$  for some  $B'$ -skeleton  $S'$ . As  $S$  we take  $a[S']$ , and then  $J^0 \in \mathcal{P}_S$  by the third item of the definition.
- Finally, suppose that the two above possibilities do not hold. Then necessarily there is a subsequence  $J_{j_1}, \dots, J_{j_s}$  of  $J_1, \dots, J_r$ , and a partition of  $B$  to disjoint nonempty subsets  $B_1, \dots, B_s$  (where  $s \geq 2$ ) such that for all  $i \in \{1, \dots, s\}$  the subderivation resulting in  $J_{j_i}$  is  $B_i$ -pumpable. Then for all  $i \in \{1, \dots, s\}$  by the induction assumption we have that  $J_{j_i} \downarrow \in \mathcal{P}_{S_i}$  for some  $B_i$ -skeleton  $S_i$ . Moreover,  $J_1 \downarrow, \dots, J_r \downarrow \in \mathcal{D}$  by Lemma 9.7(a). By scaling down flag counters in the rule used in the root of the derivation, we obtain a situation as in the fourth item of the definition, so  $J^0 \in \mathcal{P}_S$ .  $\square$

Finally, let us see that all the sets can be quickly computed. We start by a lemma describing a single rule.

**Lemma 9.9.** *Given a set of basic type judgments  $\mathcal{D} \subseteq \mathcal{U}^G$ , and its subsets  $\mathcal{D}_1, \dots, \mathcal{D}_s \subseteq \mathcal{D}$ , and a basic type judgment  $J^0 \in \mathcal{U}^G$ , and a symbol  $a_+ \in \Sigma$ , it can be decided in time polynomial in  $|\mathcal{U}_{\sim}^G| + |G| + s$  whether there exist type judgments  $J_1^0, \dots, J_r^0 \in \mathcal{D}$  such that a subsequence  $J_{j_1}^0, \dots, J_{j_s}^0$  of  $J_1^0, \dots, J_r^0$*

(with  $j_1 < \dots < j_s$ ) satisfies  $J_{j_i}^0 \in \mathcal{D}_i$  for  $i \in \{1, \dots, s\}$ , and such that by applying a type system rule to  $J_1^0, \dots, J_r^0$  (listed in this order) one can derive:

- (a) a type judgment  $J$  that is equivalent to  $J^0$ ;
- (b) a type judgment  $J$  that is equivalent to  $J^0$  and such that  $c_J(a_+) > 0$ .

**Proof:** This lemma is not completely obvious, as the number  $r$  of premisses can be arbitrarily large (the same type judgment can be even repeated in the list of premisses), so we cannot iterate through all possible lists of type judgments from  $\mathcal{D}$ . But let analyze every rule separately.

The rules (VAR) and (CON0) have no premisses, so they require  $s = 0$ . It can be easily checked whether some  $J$  equivalent to  $J^0$  can be derived, and whether its flag counter  $c_J$  can satisfy  $c_J(a_+) > 0$ .

For the rules (ND) and ( $\lambda$ ) the situation is also easy, as they require exactly one premiss. We can thus loop over all type judgments  $J_1^0 \in \mathcal{D}$ . For  $s = 1$  we require that  $J_1^0 \in \mathcal{D}_1$ , and for  $s \geq 2$  we always fail. When the premiss and the conclusion are fixed (modulo the value of the flag counter in the conclusion), it is straightforward to check whether the rule can be applied, and whether the flag counter  $c$  in the conclusion can satisfy  $c(a_+) > 0$ .

In the rules (CON $\geq 1$ ) and (@) it is useful to consider a predicate  $Comp'_m(k, a, M, F')$  which is true if  $k \in \{0, \dots, m+1\}$ , and  $a \in \Sigma$ , and there exists  $l \in \{0, \dots, k\}$  such that  $(l, a) \in F'$  and  $M(i) > 0$  for all  $i$  satisfying  $l \leq i \leq k-1$ . It follows directly from the definition of  $Comp_m$  that for any  $M, F_1, \dots, F_n$  the set

$$\{F \mid (F, c) \in Comp_m(M; (F_1, \mathbf{0}), \dots, (F_n, \mathbf{0})) \text{ for some } c\}$$

contains exactly these sets  $F$  for which

$$\forall (k, a) \in F. \exists i \in \{1, \dots, n\}. Comp'_m(k, a, M, F_i).$$

Moreover, the set

$$\{F \mid (F, c) \in Comp_m(M; (F_1, \mathbf{0}), \dots, (F_n, \mathbf{0})) \text{ for some } c \text{ with } c(a_+) > 0\}$$

contains exactly these sets  $F$  for which

$$\forall (k, a) \in F \cup \{(m+1, a_+)\}. \exists i \in \{1, \dots, n\}. Comp'_m(k, a, M, F_i).$$

Consider now the (CON $\geq 1$ ) rule, whose conclusion should be  $\Gamma \vdash_m^\kappa b\langle P_1, \dots, P_r \rangle : (F, M, o) \triangleright c$  for some  $c$ . Its premisses should be of the form  $\Gamma_i \vdash_m^\kappa P_i : (F_i, M_i, o) \triangleright \mathbf{0}$  for  $i \in \{1, \dots, r\}$ , where we have a big choice for  $\Gamma_i, M_i, F_i$ . The key point is that we do not need to know all premisses simultaneously. Indeed, after scanning through the first  $n$  premisses, the only things that we need to remember are:

- the union  $\Gamma'_n = \Gamma_1 \sqcup \dots \sqcup \Gamma_n$ ,
- the sum  $M'_n = M_1 + \dots + M_n$ ,
- the set  $F'_n$  of these  $(k, a) \in F \cup \{(m+1, a_+)\}$  for which  $Comp'_m(k, a, M, F_i)$  is satisfied for some  $i \in \{1, \dots, n\}$ , and
- the maximal number  $s_n$  such that a subsequence  $J_{j_1}^0, \dots, J_{j_{s_n}}^0$  of the list of these  $n$  premisses satisfies  $J_{j_i}^0 \in \mathcal{D}_i$  for  $i \in \{1, \dots, s_n\}$ .

These tuples  $(\Gamma'_n, M'_n, F'_n, s_n)$  satisfy  $\Gamma'_n \leq \Gamma$ , and  $M'_n \leq M$ , and  $F'_n \subseteq F \cup \{(m+1, a_+)\}$ , and  $s_n \leq s$ . The number of such tuples is at most  $2 \cdot |\mathcal{U}_{/\sim}^{\mathcal{G}}|^3 \cdot (s+1)$ , because all possible choices for  $\Gamma'_n$  (and similarly for  $M'_n$  and for  $F'_n \cap F$ ) can appear in some type judgments from  $\mathcal{U}^{\mathcal{G}}$ . Thus in the algorithm we make a loop over  $n \in \{1, \dots, r\}$ , where after each step we remember the set of all tuples  $(\Gamma'_n, M'_n, F'_n, s_n)$  that can be obtained after considering any choice of the first  $n$  premisses. For every such  $n$  we consider all possible candidates for the  $n$ -th premiss, and basing on the set of obtainable tuples  $(\Gamma'_{n-1}, M'_{n-1}, F'_{n-1}, s_{n-1})$  we compute the set of obtainable tuples  $(\Gamma'_n, M'_n, F'_n, s_n)$ . Knowing which tuples  $(\Gamma'_r, M'_r, F'_r, s_r)$  can be obtained after choosing all premisses, we can determine whether the considered conclusion can be derived in the required way. Such an algorithm is polynomial (we remark that  $r$  can be larger than  $|\mathcal{U}_{/\sim}^{\mathcal{G}}|$ , but surely  $r \leq |\mathcal{G}|$ ).

For the  $(@)$  rule the situation is similar. Let  $\Gamma \vdash_m^{\kappa} P Q : (F, M, \tau) \triangleright c$  be the considered conclusion (where  $c$  is not fixed). We need to have one premiss concerning  $P$ , so we can iterate over all candidates. Fix some such candidate  $\Gamma_0 \vdash_m^{\kappa} P : (F_0, M_0, C \rightarrow \tau) \triangleright \mathbf{0}$ . Having some number of premisses concerning  $Q$ , namely  $\Gamma_i \vdash_m^{\kappa} Q : (F_i, M_i, \tau_i) \triangleright \mathbf{0}$  for  $i \in \{1, \dots, n\}$ , we only need to remember:

- the union  $\Gamma' = \Gamma_1 \sqcup \dots \sqcup \Gamma_n$ ,
- the sum  $M' = M_1 + \dots + M_n$ ,
- the set  $F'$  of these  $(k, a) \in F \cup \{(m+1, a_+)\}$  for which  $\text{Comp}'_m(k, a, M, F_i \upharpoonright_{>\text{ord}(Q)})$  is satisfied for some  $i \in \{1, \dots, n\}$ ,
- the triple container  $C' = \{(F_i \upharpoonright_{\leq \text{ord}(Q)}, M_i \upharpoonright_{\leq \text{ord}(Q)}, \tau_i) \mid i \in \{1, \dots, n\}\}$ , and
- the maximal number  $s'$  such that a subsequence  $J_{j_1}^0, \dots, J_{j_{s'}}^0$  of the list containing the premiss for  $P$  and the  $n$  premisses for  $Q$  satisfies  $J_{j_i}^0 \in \mathcal{D}_i$  for  $i \in \{1, \dots, s'\}$ .

We necessarily have that  $\Gamma' \leq \Gamma$ , and  $M' \leq M$ , and  $F' \subseteq F \cup \{(m+1, a_+)\}$ , and  $C' \leq C$ , and  $s' \leq s$ , so the number of possible tuples  $(\Gamma', M', F', C', s')$  is at most  $2 \cdot |\mathcal{U}_{/\sim}^{\mathcal{G}}|^4 \cdot s$ . Having an obtainable tuple, and some candidate for a premiss, we can easily compute the tuple obtained after including this premiss. When this set is computed, we can easily determine whether the conclusion can be derived in the required way.  $\square$

Having established Lemma 9.9, we come back to the main algorithm, where we want to compute all the sets. Let us start with the set  $\mathcal{D}$ . It can be computed by a saturation algorithm, following its definition. We start by taking  $\mathcal{D} = \emptyset$ . Then, in a loop, we check for every basic type judgment  $J^0 \in \mathcal{U}^{\mathcal{G}}$  whether some type judgment  $J$  equivalent to  $J^0$  can be obtained by applying some rule to some type judgments  $J_1^0, \dots, J_r^0$  belonging to the current version of  $\mathcal{D}$ ; if so, we add  $J^0$  to  $\mathcal{D}$ . Every such check can be done quickly due to Lemma 9.9(a) (where we take  $s = 0$ ). We enlarge the set  $\mathcal{D}$  at most  $|\mathcal{U}_{/\sim}^{\mathcal{G}}|$  times, and after every change of  $\mathcal{D}$  we need to check at most  $|\mathcal{U}_{/\sim}^{\mathcal{G}}|$  basic type judgments. Overall, the computation works in time polynomial in  $|\mathcal{U}_{/\sim}^{\mathcal{G}}| + |\mathcal{G}|$ .

The sets  $\mathcal{D}_a$  can be computed similarly. Here, we need to check whether some type judgment  $J$  equivalent to  $J^0$  can be obtained by applying some rule to some type judgments  $J_1^0, \dots, J_r^0$  belonging to the current version of  $\mathcal{D}$ , where  $J_k^0$  for some  $k \in \{1, \dots, r\}$  belongs to  $\mathcal{D}_a$  (the first item of the definition); this can be done by Lemma 9.9(a), where as  $\mathcal{D}_1$  we take  $\mathcal{D}_a$ , and  $s = 1$ . We also need to check whether some type judgment  $J$  equivalent to  $J^0$  and with flag counter satisfying  $c_J(a) > 0$  can be obtained by applying some rule to some type judgments  $J_1^0, \dots, J_r^0$  belonging to the current version of  $\mathcal{D}$  (the second item of the definition); this can be done by Lemma 9.9(b) (where  $s = 0$  and  $a_+ = a$ ).

The set  $\mathcal{E}$  is also computed by a saturation algorithm. Here we loop over triples of basic type judgments

$J^0, K^0, L^0$  such that  $(L^0, K^0) \in \mathcal{E}$ , and in a simple check we fire Lemma 9.9(a) with  $\mathcal{D}_1 = \{L^0\}$  and  $s = 1$ . While computing sets  $\mathcal{E}_a$  we have three kinds of checks, but again all of them can be handled by Lemma 9.9, where  $s \leq 2$ .

Finally, we want to compute the set  $\mathcal{P}_S$  for some skeleton  $S$ , assuming that we have already computed the set  $\mathcal{P}_{S'}$  if  $S = a[S']$ , and the sets  $\mathcal{P}_{S_1}, \dots, \mathcal{P}_{S_s}$  if  $S$  equals  $(S_1), \dots, (S_s)$ . Here we have four kinds of checks, corresponding to the four items of the definition. The first of them is similar to what we did previously. The next two do not even require to use Lemma 9.9. The fourth item is more complicated, but Lemma 9.9(a) is perfectly suited to solve it.

At the end, due to the equivalence given by Lemma 9.8, we need to check whether the type judgment  $\varepsilon \vdash_m^\kappa \Lambda(\mathcal{G}) : \hat{\rho}_m^{\kappa_{all}} \triangleright \mathbf{0}$  belongs to  $\mathcal{P}_S$  for some  $A$ -skeleton  $S$ . Here is the only place where nondeterminism helps. If we can proceed nondeterministically, then we simply guess an  $A$ -skeleton  $S$ , we compute  $\mathcal{P}_S$  only for this skeleton (and recursively for its subskeletons), and we check whether the type judgment belongs there. As already said, a single set  $\mathcal{P}_S$  can be computed in polynomial time. If we want to be deterministic, we compute the sets  $\mathcal{P}_S$  for all  $A$ -skeletons  $S$  (their number is exponential in  $|A|$ ), and we check whether the type judgment belongs to some of them.

## 9.4 Lower Bounds

We now prove lower bound appearing in Theorem 9.1. We base here on the problem of nonemptiness of  $\mathcal{L}(\mathcal{G})$ . The complexity of this problem was established by Engelfriet (1991) for higher-order pushdown automata, which are equivalent to a subclass of higher-order recursion schemes (Knapik, Niwiński, and Urzyczyn, 2002). For us it is more convenient to use results of Kobayashi and Ong (2011), as they talk directly about schemes.

Kobayashi and Ong (2011, Theorem 4.3) prove that for  $m \geq 2$  the following problem is  $(m - 1)$ -EXPTIME-hard: given a scheme  $\mathcal{G}$  of order at most  $m$ , and a disjunctive alternating parity tree automaton  $\mathcal{B}$ , decide whether  $\mathcal{B}$  accepts  $BT(\Lambda(\mathcal{G}))$ . Instead of recalling the definition of a disjunctive alternating parity tree automaton, we notice that  $\mathcal{G}$  and  $\mathcal{B}$  produced by their reduction are of a special form. Namely,  $BT(\Lambda(\mathcal{G}))$  consists of binary nodes labeled by  $\text{br}_2$  and leaves labeled by  $\text{e}$ . The automaton  $\mathcal{B}$  is always the same, and it accepts those trees, which contain an  $\text{e}$ -labeled leaf. Let us rename all  $\text{br}_2$  symbols appearing in  $\mathcal{G}$  to  $\text{nd}$ ; call the resulting scheme  $\mathcal{G}'$ . Then  $\mathcal{B}$  accepts  $BT(\Lambda(\mathcal{G}))$  if and only if  $\mathcal{L}(\mathcal{G}')$  is nonempty. Moreover,  $\mathcal{G}'$  is word-recognizing. It follows that for  $m \geq 2$  the following problem is  $(m - 1)$ -EXPTIME-hard: given a word-recognizing scheme  $\mathcal{G}'$  of order at most  $m$ , decide whether  $\mathcal{L}(\mathcal{G}')$  is nonempty.

Kobayashi and Ong (2011, Corollary 3.7) also prove that for  $m \geq 1$  the following problem is  $m$ -EXPTIME-hard: given a scheme  $\mathcal{G}$  of order at most  $m$ , and a trivial alternating parity tree automaton  $\mathcal{B}$ , decide whether  $\mathcal{B}$  accepts  $BT(\Lambda(\mathcal{G}))$ . In this reduction, the tree  $BT(\Lambda(\mathcal{G}))$  consists of  $n$ -ary nodes (for some  $n \in \mathbb{N}$ ) labeled by  $\text{A}$  or  $\text{E}$ , and of leaves labeled by  $\text{T}$  or  $\text{R}$ . Let  $L$  be the smallest language such that:

- $L$  contains the tree  $\text{T}()$ ,
- if  $L$  contains a tree  $T$ , then  $L$  contains every tree of the form  $\text{E}\langle T_1, \dots, T_n \rangle$  in which  $T = T_i$  for some  $i \in \{1, \dots, n\}$ , and
- if  $L$  contains trees  $T_1, \dots, T_n$ , then  $L$  contains the tree  $\text{A}\langle T_1, \dots, T_n \rangle$ .

The automaton  $\mathcal{B}$  produced in the reduction is always the same (modulo the fact that  $n$  can vary), and it accepts those trees of the above form that do not belong to  $L$ . Let us rename all  $\text{E}$  and  $\text{R}$  symbols appearing in  $\mathcal{G}$  to  $\text{nd}$ ; call the resulting scheme  $\mathcal{G}'$ . It is not difficult to see that  $BT(\Lambda(\mathcal{G})) \in L$  (i.e.,  $\mathcal{B}$  rejects  $BT(\Lambda(\mathcal{G}))$ ) if and only if  $\mathcal{L}(\mathcal{G}')$  is nonempty. The  $m$ -EXPTIME complexity class is closed under taking

the complement of a language. It follows that for  $m \geq 1$  the following problem is  $m$ -EXPTIME-hard: given a scheme  $\mathcal{G}'$  of order at most  $m$ , decide whether  $\mathcal{L}(\mathcal{G}')$  is nonempty.

For the special case of  $A = \emptyset$ , SUP checks precisely whether the language is nonempty, that is,  $SUP_{\emptyset}(\mathcal{L}(\mathcal{G}))$  holds if and only if  $\mathcal{L}(\mathcal{G}) \neq \emptyset$ . Thus from the above we immediately obtain that for  $m \geq 2$  SUP for word-recognizing order- $m$  schemes is  $(m - 1)$ -EXPTIME-hard, and that for  $m \geq 1$  SUP for arbitrary order- $m$  schemes is  $m$ -EXPTIME-hard.

One may wonder whether the hardness results also hold when  $A$  is nonempty or, in particular, when  $A$  contains all letters appearing in the scheme. As expected, this is the case. Let us reduce from the problem of nonemptiness of  $\mathcal{L}(\mathcal{G})$  to the problem of deciding  $SUP_{\{a\}}(\mathcal{L}(\mathcal{G}'))$ , where  $\mathcal{G}'$  is a scheme using only one symbol  $a$  (beside of the  $\text{nd}$  symbol). To produce  $\mathcal{G}'$  we add to  $\mathcal{G}$  a fresh starting nonterminal  $N'_0$  with rule  $\mathcal{R}(N'_0) = \text{nd}\langle N_0, a\langle N'_0 \rangle \rangle$ , where  $N_0$  is the starting nonterminal of  $\mathcal{G}$ . Moreover, we rename every symbol appearing in  $\mathcal{G}$ , other than  $\text{nd}$ , to  $a$ . Notice that  $\mathcal{G}'$  allows to precede every tree from  $\mathcal{L}(\mathcal{G})$  by a sequence of any number of  $a$  symbols; thus  $SUP_{\{a\}}(\mathcal{L}(\mathcal{G}'))$  holds if and only if  $\mathcal{L}(\mathcal{G}) \neq \emptyset$ . Moreover, the orders of  $\mathcal{G}$  and  $\mathcal{G}'$  are the same, and if  $\mathcal{G}$  was word-recognizing, so is  $\mathcal{G}'$ .

In the last part, we prove that SUP for order-0 word-recognizing schemes is NP-hard. Of course this problem is a special case of SUP for order-1 word-recognizing schemes, and of SUP for order-0 tree-recognizing schemes, so the latter two problems are also NP-hard. We reduce from the undirected Hamiltonian cycle problem, known to be NP-complete (Karp, 1972). We are thus given an undirected graph  $G$ , and we construct a word-recognizing scheme  $\mathcal{G}$  of order 0 such that  $SUP_A(\mathcal{G})$  holds if and only if there exists a Hamiltonian cycle in  $G$ . Suppose that the nodes of  $G$  are named  $1, \dots, s$ , and  $s \geq 2$ . In  $\mathcal{G}$  we use symbols  $a_1, \dots, a_s$ , and we take all of them to  $A$ . The nonterminals of  $\mathcal{G}$  are  $N_j^i$  for  $i \in \{0, \dots, s\}$  and  $j \in \{1, \dots, s\}$ , all of sort  $o$ . For  $i, j \in \{1, \dots, s\}$  the rules are:

$$\mathcal{R}(N_j^i) = a_j \langle \text{nd}\langle N_j^i, N_{v_1}^{i-1}, \dots, N_{v_r}^{i-1} \rangle \rangle,$$

where  $v_1, \dots, v_r$  are all neighbors of  $j$  in  $G$ . Moreover,

$$\begin{aligned} \mathcal{R}(N_1^0) &= a_1 \langle \rangle, & \text{and} \\ \mathcal{R}(N_j^0) &= \text{nd}\langle \rangle & \text{for } j \in \{2, \dots, s\}. \end{aligned}$$

As the starting nonterminal we take  $N_1^s$ .

By induction on  $i \in \{0, \dots, s\}$  we can see that  $\mathcal{L}(BT(\Lambda_{\mathcal{G}}(N_j^i)))$  contains words of the form

$$(a_{j_i})^{n_i} (a_{j_{i-1}})^{n_{i-1}} \dots (a_{j_1})^{n_1} a_{j_0},$$

where  $n_1, \dots, n_i$  are arbitrary positive numbers, and  $j_i, j_{i-1}, \dots, j_0$  is a path in  $G$  such that  $j_i = j$  and  $j_0 = 1$ . It follows that  $\mathcal{L}(\mathcal{G})$  contains words of the form  $(a_{j_s})^{n_s} (a_{j_{s-1}})^{n_{s-1}} \dots (a_{j_1})^{n_1} a_{j_0}$ , where  $n_1, \dots, n_s$  are arbitrary positive numbers, and  $j_s, j_{s-1}, \dots, j_0$  is a path in  $G$  such that  $j_s = j_0 = 1$ . If  $G$  contains Hamiltonian cycles, as  $j_s, j_{s-1}, \dots, j_0$  we can take one of them, starting and ending in node 1 (by definition all Hamiltonian cycles have length  $s$ ). Then the words  $(a_{j_s})^n (a_{j_{s-1}})^n \dots (a_{j_1})^n a_{j_0}$  for all  $n \geq 1$  are in  $\mathcal{L}(\mathcal{G})$  and contain every symbol from  $a_1, \dots, a_s$  at least  $n$  times, so they witness that  $SUP_A(\mathcal{G})$  holds. Oppositely, if  $G$  does not contain Hamiltonian cycles, then on every path  $j_s, j_{s-1}, \dots, j_0$  with  $j_s = j_0 = 1$  some node  $k \in \{2, \dots, s\}$  is missing. In consequence, in every word  $(a_{j_s})^{n_s} (a_{j_{s-1}})^{n_{s-1}} \dots (a_{j_1})^{n_1} a_{j_0} \in \mathcal{L}(\mathcal{G})$  some letter  $a_k \in A$  does not appear at all, so  $SUP_A(\mathcal{G})$  does not hold. This proves that the reduction is correct.



## 10 Reflection for SUP

In this section we establish the reflection property for SUP (Theorem 10.1).

The notion of reflection can be defined for an arbitrary property of trees. We describe the property by a relation  $\Xi$  between trees and symbols. Having fixed such a relation, we define by coinduction when a tree  $T'$  is a  $\Xi$ -reflection of a tree  $T$ : if  $T = a\langle T_1, \dots, T_r \rangle$ , and  $T' = b\langle T'_1, \dots, T'_r \rangle$ , and  $(T, b) \in \Xi$ , and  $T'_i$  is a  $\Xi$ -reflection of  $T_i$  for every  $i \in \{1, \dots, r\}$ , then  $T'$  is a  $\Xi$ -reflection of  $T$ . In other words, a  $\Xi$ -reflection of  $T$  has the same shape as  $T$  and is obtained by replacing the label of every node  $v$  in  $T$  by a symbol that is related by  $\Xi$  to the subtree of  $T$  starting in  $v$ . Notice that if  $\Xi$  is a function, then every tree has a unique  $\Xi$ -reflection (while in general there may be multiple choices for the new labels).

We describe SUP using the function  $\Xi_{SUP}$  defined by  $\Xi_{SUP}(T) = (a, \{A \subseteq \Sigma \mid SUP_A(\mathcal{L}(T))\})$  if  $T = a\langle T_1, \dots, T_r \rangle \neq \text{nd}\langle \rangle$ , and  $\Xi_{SUP}(\text{nd}\langle \rangle) = \text{nd}$ . This implies that in the  $\Xi_{SUP}$ -reflection of  $T$  we decorate every node  $v$  by the collection of all sets  $A$  for which the answer to SUP for  $A$  and for the subtree of  $T$  starting in  $v$  is positive. For technical convenience we do not relabel nd-labeled leaves to  $(\text{nd}, \{\emptyset\})$ , but rather we leave them nd-labeled (the reason is that some nd-labeled leaves in a Böhm tree are not created explicitly by a node constructor, but rather because some subterms do not reduce to terms starting with a node constructor, and we do not want to detect these subterms).

In Theorem 10.1 we claim that  $\Xi_{SUP}$ -reflections of trees generated by schemes are also generated by schemes.

**Theorem 10.1.** *Let  $m \in \mathbb{N}$ . For every scheme  $\mathcal{G}$  of order at most  $m$  one can construct a scheme  $\mathcal{G}_{SUP}$  of order at most  $m$  such that  $BT(\Lambda(\mathcal{G}_{SUP}))$  is a  $\Xi_{SUP}$ -reflection of  $BT(\Lambda(\mathcal{G}))$ . Moreover,  $\mathcal{G}_{SUP}$  can be constructed in time at most  $\max(m, 1)$ -fold exponential in  $|\mathcal{G}|$ , and doubly exponential in  $|\Sigma|$ ; if  $\mathcal{G}$  is word-recognizing, then  $\mathcal{G}_{SUP}$  can be constructed in time at most  $\max(m - 1, 1)$ -fold exponential in  $|\mathcal{G}|$ , and doubly exponential in  $|\Sigma|$  (in both cases, this is simultaneously a bound on the size of  $\mathcal{G}_{SUP}$ ).*

It can be assumed that  $|\Sigma| \leq |\mathcal{G}|$ , so the part saying that the running time is doubly exponential in  $|\Sigma|$  is meaningful only when the complexity in  $|\mathcal{G}|$  would be singly exponential (i.e., when  $m \leq 1$  for general schemes, and when  $m \leq 2$  for word-recognizing schemes).

Theorem 10.1 is obtained by instantiating (and adapting) a general construction of Haddad (2012, Section 4.2), which allows to obtain reflection for any property described by a morphism from closed lambda-terms to a finitary applicative structure. An *applicative structure*  $D$  consists of a set  $D[\alpha]$  for each sort  $\alpha$ , and of an application operation that to all elements  $\chi \in D[\alpha \rightarrow \beta]$  and  $\chi' \in D[\alpha]$  assigns an element  $(\chi \chi') \in D[\beta]$ . We say that  $D$  is *finitary* when  $D[\alpha]$  is finite for every sort  $\alpha$ . A *morphism*  $\mathcal{M}$  to an applicative structure  $D$  is defined as a mapping that to each closed lambda-term  $P^\alpha$  assigns an element of  $D[\alpha]$  denoted  $\llbracket P \rrbracket_{\mathcal{M}}$ , so that for every closed lambda-term that is an application  $PQ$  it holds that  $\llbracket P \rrbracket_{\mathcal{M}} \llbracket Q \rrbracket_{\mathcal{M}} = \llbracket PQ \rrbracket_{\mathcal{M}}$ . For such a morphism  $\mathcal{M}$ , we let  $\Xi_{\mathcal{M}}$  to be the set of pairs  $(BT(P), (a, \llbracket P \rrbracket_{\mathcal{M}}))$  over all closed lambda-terms  $P$ , where  $a$  is the label of the root of  $BT(P)$ , containing additionally the pair  $(\text{nd}\langle \rangle, \text{nd})$ . Notice that in a  $\Xi_{\mathcal{M}}$ -reflection we decorate every node  $v$  by  $\llbracket P \rrbracket_{\mathcal{M}}$  for some closed lambda-term  $P$  such that  $BT(P)$  equals the subtree starting in  $v$ . There are multiple choices for the lambda-term  $P$ , and in general  $\llbracket P \rrbracket_{\mathcal{M}}$  may depend on the choice of  $P$  (but clearly at least one such  $P$  exists, namely  $P$  equal to the subtree starting in  $v$  itself; thus every tree has some  $\Xi_{\mathcal{M}}$ -reflection). The construction of Haddad can be summarized by the following lemma (recall from Section 9.1 that  $\mathcal{S}_{\mathcal{G}}$  denotes the set of all sorts appearing in  $\mathcal{G}$ ).

**Lemma 10.2.** *Let  $m \in \mathbb{N}$ . For every scheme  $\mathcal{G}$  of order at most  $m$ , and for every morphism  $\mathcal{M}$  to a finitary*

applicative structure  $D$ , one can construct a scheme  $\mathcal{G}_{\mathcal{M}}$  of order at most  $m$  such that  $BT(\Lambda(\mathcal{G}_{\mathcal{M}}))$  is a  $\Xi_{\mathcal{M}}$ -reflection of  $BT(\Lambda(\mathcal{G}))$ . Moreover,

$$|\mathcal{G}_{\mathcal{M}}| \leq |\mathcal{G}| \cdot \left( \max_{\substack{\alpha \in \mathcal{S}_{\mathcal{G}} \\ \text{ord}(\alpha) \leq m-1}} |D[\alpha]| \right)^{|\mathcal{G}|^2},$$

and  $\mathcal{G}_{\mathcal{M}}$  can be constructed in time polynomial in

- $|\mathcal{G}_{\mathcal{M}}|$ ,
- the time needed to compute  $\llbracket \lambda x_1^{\alpha_1} \dots \lambda x_s^{\alpha_s} . \Lambda_{\mathcal{G}}(P) \rrbracket_{\mathcal{M}} \chi_1 \dots \chi_s$ , where  $P$  is a subterm of  $\mathcal{R}(N)$  for some nonterminal  $N$ , and  $x_1, \dots, x_s$  are all free variables of  $\Lambda_{\mathcal{G}}(P)$ , and  $\chi_1, \dots, \chi_s$  are some elements of  $D[\alpha_1], \dots, D[\alpha_s]$ , respectively, and
- the time needed to enumerate all elements of  $D[\alpha]$  for  $\alpha \in \mathcal{S}_{\mathcal{G}}$  such that  $\text{ord}(\alpha) \leq m - 2$ .

A construction of  $\mathcal{G}_{\mathcal{M}}$  is presented in Haddad (2012, Section 4.2) for a particular morphism  $\mathcal{M}$ . In Haddad (2013b, Theorem 4) (with a proof in an unpublished appendix (Haddad, 2013a, Appendix A)) it is claimed to work for an arbitrary morphism that is invariant under beta-reductions, which means that if  $P \rightarrow_{\beta} Q$  then necessarily  $\llbracket P \rrbracket_{\mathcal{M}} = \llbracket Q \rrbracket_{\mathcal{M}}$ . We remark that our morphism that we define below is not invariant under beta-reductions. Nevertheless, one can notice that the construction remains correct even without this assumption. Indeed, the only problem that may be caused by lack of invariance under beta-reductions is that some node, instead of being annotated by  $\llbracket P \rrbracket_{\mathcal{M}}$  for some  $P$ , will be annotated by  $\llbracket Q \rrbracket_{\mathcal{M}}$  for some  $Q$  that is beta-equivalent to  $P$ . This is not a problem, though, since for beta-equivalent lambda-terms we have  $BT(P) = BT(Q)$ , and thus if  $(T, (a, \llbracket P \rrbracket_{\mathcal{M}}))$  is in  $\Xi_{\mathcal{M}}$  then also  $(T, (a, \llbracket Q \rrbracket_{\mathcal{M}}))$  is in  $\Xi_{\mathcal{M}}$ . For completeness, we give the construction and we justify its correctness in details in Appendix B.

We remark that Salvati and Walukiewicz (2015, Section 5) give another construction proving Lemma 10.2. It has the disadvantage that the resulting scheme  $\mathcal{G}_{\mathcal{M}}$  is not of the same order as  $\mathcal{G}$ ; the order grows by one. For this reason we prefer to refer to the construction of Haddad.

We now show how Theorem 10.1 follows from Lemma 10.2. To this end, fix some number  $m \geq -1$  and some scheme  $\mathcal{G}$  of order at most  $m + 1$  (notice the shift by 1 with respect to the statement of the theorem). Let  $\kappa = \setminus$  if  $\mathcal{G}$  is word-recognizing and  $m \geq 0 = m_0(\kappa)$ , and let  $\kappa = \Delta$  otherwise.

Having in mind some fixed  $\kappa$  and  $m$ , we define the *value* of a closed lambda-term  $P$ , denoted  $\llbracket P \rrbracket_{\mathcal{M}}$ , as the set of pairs  $(A, \hat{\tau})$  for which there exists an  $A$ -pumpable derivation of  $\varepsilon \vdash_m^{\kappa} P : \hat{\tau} \triangleright c$  for some  $c$ . When  $P$  is of sort  $\alpha$ ,  $\llbracket P \rrbracket_{\mathcal{M}}$  belongs to the finite set  $D[\alpha] = \mathcal{P}(\mathcal{P}(\Sigma) \times \mathcal{T}\mathcal{T}_m^{\kappa\alpha})$ .

We remark that  $\llbracket P \rrbracket_{\mathcal{M}}$  contains in particular pairs of the form  $(\emptyset, \hat{\tau})$  (i.e., with  $A = \emptyset$ ), which simply contain all type triples that can be derived for  $P$ .

We now equip  $D$  with an application operation, and we prove that  $\mathcal{M}$  is a morphism. Given  $\chi \in D[\alpha \rightarrow \beta]$  and  $\chi' \in D[\alpha]$ , let  $\chi \chi' \in D[\beta]$  be the set of pairs  $(A, \hat{\tau})$  such that for some pairs  $(A_0, \hat{\sigma}_0) \in \chi$  and  $(A_1, \hat{\sigma}_1), \dots, (A_n, \hat{\sigma}_n) \in \chi'$  with  $A = A_0 \uplus A_1 \uplus \dots \uplus A_n$  one can apply the  $(@)$  rule to type judgments  $\varepsilon \vdash_m^{\kappa} P : \hat{\sigma}_0 \triangleright c_0$  and  $\varepsilon \vdash_m^{\kappa} Q : \hat{\sigma}_i \triangleright c_i$  for  $i \in \{1, \dots, n\}$  and derive  $\varepsilon \vdash_m^{\kappa} P Q : \hat{\tau} \triangleright c$  (for some lambda-terms  $P^{\alpha \rightarrow \beta}, Q^{\beta}$  and some flag counters  $c, c_0, c_1, \dots, c_n$  that are irrelevant here).

**Lemma 10.3.** *For every closed lambda-term  $P Q$  it holds that  $\llbracket P \rrbracket_{\mathcal{M}} \llbracket Q \rrbracket_{\mathcal{M}} = \llbracket P Q \rrbracket_{\mathcal{M}}$ .*

**Proof:** Suppose that  $(A, \hat{\tau}) \in \llbracket P Q \rrbracket_{\mathcal{M}}$ . This implies that there exists an  $A$ -pumpable derivation tree  $t$  for  $\varepsilon \vdash_m^{\kappa} P Q : \hat{\tau} \triangleright c$  for some  $c$ . By definition of  $A$ -pumpability, for every  $a \in A$  there is a pair of nodes

$u_a, v_a$  of  $t$  such that  $u_a$  is an ancestor of  $v_a$ , the type judgments in  $u_a$  and in  $v_a$  are equivalent, and the flag counters in  $u_a$  and in  $v_a$  differ on the  $a$  coordinate.

First, let us justify that without loss of generality we can assume that none of  $u_a$  points to the root of  $t$ . To this end, suppose that  $u_a$  for some  $a$  is located in the root of  $t$ . Then we copy the fragment of  $t$  lying between  $u_a$  and  $v_a$ , we adjust appropriately flag counters on the path from  $u_a$  to  $v_a$  in the copy, and we attach the copy above  $u_a$  (i.e., above the previous root). In this way we obtain a new derivation tree  $t'$ , which derives  $\varepsilon \vdash_m^\kappa P Q : \hat{\tau} \triangleright c'$  for some  $c'$ , and which is again  $A$ -pumpable, but now none of  $u_a$  equals the root of  $t'$ , because all  $u_a$  and  $v_a$  belong to  $t$ , which is a proper subtree of  $t'$ .

Thus, we assume that none of  $u_a$  points to the root of  $t$ . Let  $w_0, w_1, \dots, w_n$  be the children of the root of  $t$  (with  $w_0$  corresponding to  $P$ ), and, for  $i \in \{0, \dots, n\}$ , let  $A_i$  be the set of those  $a \in A$  for which  $u_a$  and  $v_a$  belong to the subtree of  $t$  starting in  $w_i$ . Clearly  $A = A_0 \uplus A_1 \uplus \dots \uplus A_n$ , and the subtree starting in  $w_i$  is  $A_i$ -pumpable, for every  $i \in \{0, \dots, n\}$ . If the type judgment in  $w_i$  is  $\varepsilon \vdash_m^\kappa R_i : \hat{\sigma}_i \triangleright c_i$  (where  $R_i$  equals either  $P$  or  $Q$ ), we have that  $(A_i, \hat{\sigma}_i) \in \llbracket R_i \rrbracket_{\mathcal{M}}$ . By definition of the application operation in  $D$ , it follows that  $(A, \hat{\tau}) \in \llbracket P \rrbracket_{\mathcal{M}} \llbracket Q \rrbracket_{\mathcal{M}}$ .

For the opposite inclusion, consider a pair  $(A, \hat{\tau}) \in \llbracket P \rrbracket_{\mathcal{M}} \llbracket Q \rrbracket_{\mathcal{M}}$ . By definition of the application operation in  $D$ , there are some pairs  $(A_0, \hat{\sigma}_0) \in \llbracket P \rrbracket_{\mathcal{M}}$  and  $(A_1, \hat{\sigma}_1), \dots, (A_n, \hat{\sigma}_n) \in \llbracket Q \rrbracket_{\mathcal{M}}$  with  $A = A_0 \uplus A_1 \uplus \dots \uplus A_n$  such that one can apply the  $(@)$  rule to type judgments  $\varepsilon \vdash_m^\kappa P' : \hat{\sigma}_0 \triangleright c'_0$  and  $\varepsilon \vdash_m^\kappa Q' : \hat{\sigma}_i \triangleright c'_i$  for  $i \in \{1, \dots, n\}$  and derive  $\varepsilon \vdash_m^\kappa P Q : \hat{\tau} \triangleright c'$ , for some lambda-terms  $P', Q'$  and some flag counters  $c', c'_0, c'_1, \dots, c'_n$ . Moreover, by definition of  $\llbracket P \rrbracket_{\mathcal{M}}$  and  $\llbracket Q \rrbracket_{\mathcal{M}}$ , there is an  $A_0$ -pumpable derivation of  $\varepsilon \vdash_m^\kappa P : \hat{\sigma}_0 \triangleright c_0$ , and  $A_i$ -pumpable derivations of  $\varepsilon \vdash_m^\kappa Q : \hat{\sigma}_i \triangleright c_i$  for  $i \in \{1, \dots, n\}$  for some flag counters  $c_0, c_1, \dots, c_n$ . Notice that in the  $(@)$  rule we can be harmlessly change the lambda-terms  $P', Q'$  to  $P, Q$ , and the flag counters  $c'_0, c'_1, \dots, c'_n$  to  $c_0, c_1, \dots, c_n$ . Thus by applying the  $(@)$  rule to our  $A_i$ -pumpable derivations, we obtain an  $A$ -pumpable derivation of  $\varepsilon \vdash_m^\kappa P Q : \hat{\tau} \triangleright c$ , for some flag counter  $c$ . This implies that  $(A, \hat{\tau}) \in \llbracket P Q \rrbracket_{\mathcal{M}}$ .  $\square$

We are now ready to apply Lemma 10.2. It gives us a scheme  $\mathcal{G}_{\mathcal{M}}$  of order at most  $m + 1$  such that  $BT(\Lambda(\mathcal{G}_{\mathcal{M}}))$  is a  $\Xi_{\mathcal{M}}$ -reflection of  $BT(\Lambda(\mathcal{G}))$ .

In order to obtain a  $\Xi_{SUP}$ -reflection, it remains to relabel nodes of the  $\Xi_{\mathcal{M}}$ -reflection. Namely, we change the label in every node constructor of  $\mathcal{G}_{\mathcal{M}}$  from  $(a, \chi)$  to  $(a, \{A \mid (A, \hat{\rho}_m^{\kappa all}) \in \chi\})$ ; there is one exception: node constructors of the form  $(\text{nd}, \chi) \langle \rangle$  are changed to  $\text{nd} \langle \rangle$ . The resulting scheme, called  $\mathcal{G}_{SUP}$ , is of order at most  $m + 1$ , as needed.

Clearly  $BT(\Lambda(\mathcal{G}_{SUP}))$  is of the same shape as  $BT(\Lambda(\mathcal{G}))$ . Consider now a subtree  $T$  of  $BT(\Lambda(\mathcal{G}))$ , and the roots  $r_{\mathcal{M}}$  and  $r_{SUP}$  of the corresponding subtrees of  $BT(\Lambda(\mathcal{G}_{\mathcal{M}}))$  and  $BT(\Lambda(\mathcal{G}_{SUP}))$ , respectively. If  $T = \text{nd} \langle \rangle$ , then  $r_{\mathcal{M}}$  is either labeled by  $\text{nd}$  or by  $(\text{nd}, \chi)$  for some  $\chi$ , and thus  $r_{SUP}$  is labeled by  $\text{nd}$ . Otherwise, the label of  $r_{\mathcal{M}}$  is  $(a, \llbracket P \rrbracket_{\mathcal{M}})$ , where  $a$  is the label of the root of  $T$ , and  $P$  is some closed lambda-term of sort  $o$  such that  $BT(P) = T$ . In effect, the label of  $r_{SUP}$  is  $(a, \{A \mid (A, \hat{\rho}_m^{\kappa all}) \in \llbracket P \rrbracket_{\mathcal{M}}\})$ . By definition, a pair  $(A, \hat{\rho}_m^{\kappa all})$  belongs to  $\llbracket P \rrbracket_{\mathcal{M}}$  if and only if there is an  $A$ -pumpable derivation of  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa all} \triangleright c$  for some  $c$ . By Lemma 9.6 the latter holds if for every  $n \in \mathbb{N}$  we can derive  $\varepsilon \vdash_m^\kappa P : \hat{\rho}_m^{\kappa all} \triangleright c_n$  with some  $c_n$  such that  $c_n(a) \geq n$  for all  $a \in A$ , which by Theorems 3.2 and 4.1 is equivalent to  $SUP_A(\mathcal{L}(BT(P)))$ , that is, to  $SUP_A(\mathcal{L}(T))$ . This implies that  $BT(\Lambda(\mathcal{G}_{SUP}))$  is indeed the  $\Xi_{SUP}$ -reflection of  $BT(\Lambda(\mathcal{G}))$ .

It remains to bound the running time. In this part, we assume that  $m \geq 0$  for  $\kappa = \Delta$  and  $m \geq 1$  for  $\kappa = \setminus$ . Considering smaller  $m$  does not make sense, as anyway we want to prove that the complexity is at most  $\max(m + 1, 1)$ -fold exponential in  $|\mathcal{G}|$  for  $\kappa = \Delta$  and at most  $\max(m, 1)$ -fold exponential in  $|\mathcal{G}|$  for  $\kappa = \setminus$ .

(and at most doubly exponential in  $|\Sigma|$ , in both cases). Moreover, without loss of generality we assume that  $|\Sigma| \leq |\mathcal{G}|$ ; symbols not appearing in  $\mathcal{G}$  are irrelevant anyway. In order to bound  $|\mathcal{G}_{\mathcal{M}}|$ , take a sort  $\alpha \in \mathcal{S}_{\mathcal{G}}$  of order at most  $m$ . Recalling that  $D[\alpha] = \mathcal{P}(\mathcal{P}(\Sigma) \times \mathcal{T}\mathcal{T}_m^{\kappa\alpha})$  we see that  $|D[\alpha]| = 2^{2^{|\Sigma|} \cdot |\mathcal{T}\mathcal{T}_m^{\kappa\alpha}|}$ . In Section 9.1 we have defined a number  $\eta_m^\kappa$  such that  $|\mathcal{T}\mathcal{T}_m^{\kappa\alpha}| \leq \eta_m^\kappa$  (assuming  $\alpha \in \mathcal{S}_{\mathcal{G}}$  and  $\text{ord}(\alpha) \leq m$ ), and we have shown that  $\eta_m^\Delta$  is at most  $m$ -fold exponential in  $|\mathcal{G}|$ , and that  $\eta_m^\backslash$  is at most  $(m-1)$ -fold exponential in  $|\mathcal{G}|$  (where “0-fold exponential” means “polynomial”). In effect  $D[\alpha]$  is at most  $(m+1)$ -fold exponential in  $|\mathcal{G}|$  and doubly exponential in  $|\Sigma|$  for  $\kappa = \Delta$ , while it is at most  $m$ -fold exponential in  $|\mathcal{G}|$  and doubly exponential in  $|\Sigma|$  for  $\kappa = \backslash$ . As stated in Lemma 10.2 the same is true for  $|\mathcal{G}_{\mathcal{M}}|$ .

Beside of bounding  $|\mathcal{G}_{\mathcal{M}}|$ , we need to prove that the two operations described by Lemma 10.2 can be performed quickly. Enumerating all elements of  $D[\alpha]$  is trivial. What we need is thus to compute  $\llbracket \lambda x_1^{\alpha_1} \dots \lambda x_s^{\alpha_s} . \Lambda_{\mathcal{G}}(P) \rrbracket_{\mathcal{M}} \chi_1 \dots \chi_s$ , where  $P$  is a subterm of  $\mathcal{R}(N)$  for some nonterminal  $N$ , and  $x_1, \dots, x_s$  are all free variables of  $\Lambda_{\mathcal{G}}(P)$ , and  $\chi_1, \dots, \chi_s$  are some elements of  $D[\alpha_1], \dots, D[\alpha_s]$ . Denote  $Q = \lambda x_1^{\alpha_1} \dots \lambda x_s^{\alpha_s} . \Lambda_{\mathcal{G}}(P)$ .

The value  $\llbracket Q \rrbracket_{\mathcal{M}}$  can be computed by adapting the algorithm given in Section 9.3. Although originally the algorithm works only for subterms of  $\Lambda(\mathcal{G})$ , it is not a problem to use it for the lambda-term  $Q$  (one way of seeing this is to consider a modified scheme  $\mathcal{G}_P$ , which is obtained from  $\mathcal{G}$  by adding a fresh starting nonterminal  $N_P$  with rule  $\mathcal{R}(N_P) = (\lambda x_1^{\alpha_1} \dots \lambda x_s^{\alpha_s} . P) R_1 \dots R_s$  for some lambda-terms  $R_1, \dots, R_s$  of sorts  $\alpha_1, \dots, \alpha_s$ , respectively; then  $Q$  is a subterm of  $\Lambda(\mathcal{G}_P)$ ). More precisely, we compute the sets  $\mathcal{P}_S$  for all  $A$ -skeletons, for all  $A \subseteq \Sigma$ . The running time is at most  $(m+1)$ -fold exponential in  $|\mathcal{G}|$  for  $\kappa = \Delta$ , and at most  $m$ -fold exponential in  $|\mathcal{G}|$  for  $\kappa = \backslash$  (notice that the number of skeletons  $S$  is only exponential in  $|\Sigma|$ ). Then, we compute  $\llbracket Q \rrbracket_{\mathcal{M}}$  following Lemma 9.8: a pair  $(A, \hat{\tau})$  is in  $\llbracket Q \rrbracket_{\mathcal{M}}$  if and only if the basic type judgment  $\varepsilon \vdash_m^\kappa Q : \hat{\tau} \triangleright \mathbf{0}$  belongs to  $\mathcal{P}_S$  for some  $A$ -skeleton  $S$ .

It remains to explain how to compute an application  $\chi \chi'$ . Suppose that we want to check that  $(A, \hat{\tau}) \in (\chi \chi')$ . To this end, we need to choose pairs  $(A_0, \hat{\sigma}_0) \in \chi$  and  $(A_1, \hat{\sigma}_1), \dots, (A_k, \hat{\sigma}_k) \in \chi'$  such that  $A_i$  for  $i \in \{1, \dots, k\}$  are nonempty and  $A = A_0 \uplus A_1 \uplus \dots \uplus A_k$ . Then, we need to check whether the type triple  $\hat{\tau}$  can be derived by the  $(@)$  rule when for the operator we use the type triple  $\hat{\sigma}_0$ , and for the argument we use the type triples  $\hat{\sigma}_1, \dots, \hat{\sigma}_k$  and, additionally, an arbitrary number of type triples  $\hat{\sigma}$  such that  $(\emptyset, \hat{\sigma}) \in \chi'$ . Such a check can be performed using Lemma 9.9.

## 11 Downward Closure

The downward closure of a language of words  $L$ , denoted  $L\downarrow$ , is the set of all scattered subwords (subsequences) of words from  $L$ . Recall that the downward closure of any set is always a regular language; moreover, it is a finite union of *ideals*, that is, languages of the form  $Y_0^* \{x_1, \varepsilon\} Y_1^* \dots \{x_n, \varepsilon\} Y_n^*$ , where  $x_1, \dots, x_n$  are letters, and  $Y_0, \dots, Y_n$  are sets of letters. The main interest on SUP comes from the fact that this problem is closely related to computability of the downward closure of a language of words (where we aim in presenting the result by a list of ideals, or by a finite automaton). Indeed, having a word-recognizing scheme  $\mathcal{G}$ , it is not difficult to compute  $\mathcal{L}(\mathcal{G})\downarrow$  by performing multiple calls to a procedure solving SUP (for products of  $\mathcal{G}$  and some finite automata). The complexity of this algorithm is directly related to the size of its output. We, however, do not know any upper bound on the size of (a representation of)  $\mathcal{L}(\mathcal{G})\downarrow$ . A recently developed pumping lemma for nondeterministic schemes (Asada and Kobayashi, 2017) may shed some new light on this subject (while pumping lemmata for deterministic schemes (Kartzow and Parys, 2012; Kobayashi, 2013) seem irrelevant here).

Instead of actually computing the downward closure, Zetsche (2016) proposed to consider the following

decision problem of downward-closure inclusion: given two word-recognizing schemes  $\mathcal{G}, \mathcal{H}$  of order at most  $m$ , check whether  $\mathcal{L}(\mathcal{G})\downarrow \subseteq \mathcal{L}(\mathcal{H})\downarrow$ ; he proved that this problem is co- $m$ -NEXPTIME-hard. It would be interesting to give some upper bound on the complexity of this problem. Although, again, we do know how to do this, we can at least give a partial result.

**Theorem 11.1.** *Let  $m \geq 2$ . Given a word-recognizing scheme  $\mathcal{H}$  of order at most  $m$ , and an ideal  $I$ , the problem of deciding whether  $I \subseteq \mathcal{L}(\mathcal{H})\downarrow$  is  $(m-1)$ -EXPTIME-complete.*

We remark that schemes of order 0 are equivalent to nondeterministic finite automata, and schemes of order at most 1 are equivalent to context-free grammars (and translations between these formalisms can be performed in logarithmic space). Thus from Zetsche (2016) it follows that the problem of deciding whether  $I \subseteq \mathcal{L}(\mathcal{H})\downarrow$  is NL-complete for  $\mathcal{H}$  of order 0, and P-complete for  $\mathcal{H}$  of order at most 1.

**Proof of Theorem 11.1:** Let us first see that the problem is  $(m-1)$ -EXPTIME-hard. This follows directly from  $(m-1)$ -EXPTIME-hardness of the problem of deciding whether  $\mathcal{L}(\mathcal{H})$  is nonempty (cf. Section 9.4). Indeed,  $\mathcal{L}(\mathcal{H}) \neq \emptyset$  if and only if  $\{\varepsilon\} \subseteq \mathcal{L}(\mathcal{H})\downarrow$ ; we notice that the singleton containing the empty word is a special case of an ideal.

In the remaining part of this section we prove that the problem can be actually solved in  $(m-1)$ -EXPTIME. We follow here the approach of Zetsche (2015, 2016). He has shown (Zetsche, 2015, Proof of Theorem 1) that basing on an ideal  $I$  one can construct a nondeterministic finite-state transducer  $\mathcal{T}$  and a set of symbols  $A$  such that for every language  $L$  we have that  $I \subseteq L\downarrow$  if and only if  $SUP_A(\mathcal{T}(L))$  holds.<sup>(ix)</sup> Here by  $\mathcal{T}(L)$  we mean the effect of applying the transformation defined by  $\mathcal{T}$  to the language  $L$  (i.e., the set of all words  $w$  such that for some  $v \in L$  the pair  $(v, w)$  is in the relation recognized by  $\mathcal{T}$ ). The construction of  $\mathcal{T}$  and  $A$  can be performed in polynomial time, and SUP for word-recognizing schemes of order at most  $m$  can be solved in  $(m-1)$ -EXPTIME.

It remains to see that  $\mathcal{H}$  and  $\mathcal{T}$  can be combined (in polynomial time) into a scheme  $\mathcal{H}_{\mathcal{T}}$  such that  $\mathcal{L}(\mathcal{H}_{\mathcal{T}}) = \mathcal{T}(\mathcal{L}(\mathcal{H}))$ . To this end, we perform the following steps.

- Treating `nd` as any other symbol, we translate  $\mathcal{H}$  into a deterministic tree-generating collapsible pushdown automaton (CPDA)  $\mathcal{A}$  that generates  $BT(\Lambda(\mathcal{H}))$ . Preferably, we refer here to the translation of Salvati and Walukiewicz (2016, Sections 3.1 and 4), as this translation is given for schemes defined similarly as in the current paper, and thus it can be easily adopted. In particular, it works well when as  $\mathcal{R}(N)$  we allow arbitrary lambda-terms (cf. Appendix A.3). It can be seen that their translation works in polynomial time. We shall only remark that the size of  $\lambda Y$ -terms (appearing in their paper as intermediate objects) should be defined as the number of different subterms; in other words,  $\lambda Y$ -terms should be represented as (directed, acyclic) graphs, without expanding them into trees.
- We change the deterministic tree-generating CPDA  $\mathcal{A}$  into a nondeterministic word-recognizing CPDA  $\mathcal{B}$ : whenever  $\mathcal{A}$  was generating a node with `nd` as its label and with  $r$  children, in  $\mathcal{B}$  we nondeterministically choose one of the  $r$  options; whenever  $\mathcal{A}$  was generating a node with some other symbol as its label (and with at most one child), in  $\mathcal{B}$  we allow to read this symbol, and if this symbol had no children, we accept. As a result of this construction we obtain an automaton  $\mathcal{B}$  that recognizes the language  $\mathcal{L}(\mathcal{H})$ , seen as a language of words.

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<sup>(ix)</sup> Definitions of finite-state transducers and collapsible pushdown automata are omitted here. We describe our procedure only on a high level of abstraction, so details of these definitions are actually irrelevant for us. It is standard to adopt the constructions proposed here to concrete formal definitions.

- We combine  $\mathcal{B}$  with our finite-state transducer  $\mathcal{T}$ , so that the resulting CPDA  $\mathcal{C}$  recognizes  $\mathcal{T}(\mathcal{L}(\mathcal{H}))$ . This amounts to taking as the state set of  $\mathcal{C}$  the product of state sets of  $\mathcal{B}$  and  $\mathcal{T}$ , and appropriately combining their transitions.
- We change the word-recognizing nondeterministic CPDA  $\mathcal{C}$  back to a deterministic tree-generating CPDA  $\mathcal{D}$ ; in particular, in all configurations with multiple successors, we generate an nd-labeled node with multiple children (and in configurations with no successors, we generate an nd-labeled leaf). The CPDA  $\mathcal{D}$  generates a tree  $T$  such that  $\mathcal{L}(T) = \mathcal{T}(\mathcal{L}(\mathcal{H}))$ .
- We translate  $\mathcal{D}$  back to a recursion scheme  $\mathcal{H}_{\mathcal{T}}$  such that  $BT(\Lambda(\mathcal{H}_{\mathcal{T}})) = T$  (Hague et al., 2008), that is,  $\mathcal{L}(\mathcal{H}_{\mathcal{T}}) = \mathcal{T}(\mathcal{L}(\mathcal{H}))$ .
- Finally, we notice that all the modifications can be performed in polynomial time (so, in particular,  $\mathcal{H}_{\mathcal{T}}$  is of polynomial size). Moreover, none of them increases the order, and thus the order of  $\mathcal{H}_{\mathcal{T}}$  is at most  $m$ , as required.  $\square$

**Downward Closure for Trees.** One can also consider the downward closure of a language of trees, defined as a set of all trees that can be homeomorphically embedded in trees from the language. By Kruskal’s tree theorem (Kruskal, 1960) downward closures of tree languages are regular languages of trees. We notice, however, that (unlike for words) an algorithm solving SUP is highly insufficient for the purpose of computing the downward closure. Even in the single-letter case, in order to compute  $L\downarrow$ , one has to check, in particular, whether for every  $n \in \mathbb{N}$ , a full binary tree of depth  $n$  can be embedded in some tree from  $L$ ; using SUP, we can only determine whether  $L$  contains arbitrarily large trees. Extending our techniques to this kind of problems is an interesting direction for further work.

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## A Our Definition of Schemes<sup>(x)</sup>

In this section we comment on differences between definitions contained in our paper and those that appear usually.

### A.1 Symbols Are Unranked

In the context of higher-order recursion schemes one usually considers alphabets that are ranked. This means that every symbol  $a \in \Sigma$  has assigned a number  $\text{rank}(a)$ , so that every  $a$ -labeled node has  $\text{rank}(a)$  children. Since our definition is less restrictive, our type system and our algorithm carry over to the situation of a ranked alphabet. On the other hand, reductions of our hardness proofs (Section 9.4) can be easily adopted to produce schemes using a ranked alphabet.

### A.2 Node Constructors

The usual definition of lambda-terms does not include node constructors. Instead, for every symbol  $a$  of rank  $r$  one has a lambda-term  $a$  of sort  $\underbrace{o \rightarrow \dots \rightarrow o}_r \rightarrow o$ ; after applying  $r$  arguments  $P_1, \dots, P_r$

we obtain a lambda-term equivalent to our  $a\langle P_1, \dots, P_r \rangle$ . There are easy translations between lambda-terms in these formalisms:  $a\langle P_1, \dots, P_r \rangle$  can be replaced by  $a P_1 \dots P_r$ , and  $a$  can be replaced by  $\lambda x_1. \dots \lambda x_r. a\langle x_1, \dots, x_r \rangle$ ; these translations preserve Böhm trees, and can be performed in logarithmic space.

### A.3 Looser Definition of Schemes

Let us recall the classic definition of a nondeterministic recursion scheme, and of a language recognized by such a scheme. In this definition, instead of a function  $\mathcal{R}$ , we have a set  $\mathcal{R}_{cl}$  of rules of the form  $N^{\alpha_1} \rightarrow \dots \rightarrow \alpha_s \rightarrow o \ x_1^{\alpha_1} \dots x_s^{\alpha_s} \rightarrow P^o$ , where  $N \in \mathcal{N}$  is a nonterminal, and  $P$  is a finite *applicative* term whose all free variables are contained  $\mathcal{N} \cup \{x_1^{\alpha_1}, \dots, x_s^{\alpha_s}\}$ , and where the  $\text{nd}$  symbol is not used. By an applicative term we understand a lambda-term that does not contain lambda-binders. Having a scheme  $\mathcal{G}_{cl}$ , we define  $\rightarrow_{\mathcal{G}_{cl}}$  as the smallest relation such that

- $N P_1 \dots P_s \rightarrow_{\mathcal{G}_{cl}} Q[P_1/x_1, \dots, P_s/x_s]$  if  $(N x_1 \dots x_s \rightarrow Q) \in \mathcal{R}_{cl}$ , and
- $a\langle P_1, \dots, P_r \rangle \rightarrow_{\mathcal{G}_{cl}} a\langle P'_1, \dots, P'_r \rangle$  if  $P_i \rightarrow_{\mathcal{G}_{cl}} P'_i$  for some  $i \in \{1, \dots, r\}$  and  $P_j = P'_j$  for all  $j \in \{1, \dots, r\} \setminus \{i\}$ .

The language recognized by  $\mathcal{G}_{cl}$ , denoted  $\mathcal{L}_{cl}(\mathcal{G}_{cl})$ , contains all finite trees  $T$  such that  $N_0 \rightarrow_{\mathcal{G}_{cl}}^* T$  (where  $N_0$  is the starting nonterminal). The order of  $\mathcal{G}_{cl}$  is defined as the maximum of orders of its nonterminals.

**Proposition A.1.** *For every scheme  $\mathcal{G}_{cl}$  understood in the classic sense one can construct in logarithmic space a scheme  $\mathcal{G}$  that sticks to our definition, is of the same order, and such that  $\mathcal{L}(\mathcal{G}) = \mathcal{L}_{cl}(\mathcal{G}_{cl})$ .*

**Proof:** Consider a scheme  $\mathcal{G}_{cl} = (\mathcal{N}, \mathcal{R}_{cl}, N_0)$  understood in the classic sense. Out of it, we construct a scheme  $\mathcal{G} = (\mathcal{N}, \mathcal{R}, N_0)$  sticking to our definition: for every nonterminal  $N$  we consider all rules  $(N x_1 \dots x_s \rightarrow P_1), \dots, (N x_1 \dots x_s \rightarrow P_m)$  of  $\mathcal{G}_{cl}$  concerning this nonterminal, and we take  $\mathcal{R}(N) = \lambda x_1. \dots \lambda x_s. \text{nd}\langle P_1, \dots, P_m \rangle$ . Notice that  $\mathcal{R}(N)$  never equals a nonterminal, as required by our definition. Clearly this translation preserves the order of the scheme and can be performed in logarithmic space. We now show that  $\mathcal{L}(\mathcal{G}) = \mathcal{L}_{cl}(\mathcal{G}_{cl})$ .

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<sup>(x)</sup> To reviewers and editors: our intention is to publish the two appendices as an integral part of the paper.

Denote by  $\xrightarrow{h}_\beta$  the *head beta-reduction*, that is,  $P \xrightarrow{h}_\beta Q$  if  $P = (\lambda x.R) S S_1 \dots S_s$  and  $Q = R[S/x] S_1 \dots S_s$ . It is a well-known fact that while generating the Böhm tree of a lambda-term it is enough to consider outermost beta-reductions only, that is,  $BT(P) = a\langle BT(P_1), \dots, BT(P_r) \rangle$  if  $P \xrightarrow{h}_\beta^* a\langle P_1, \dots, P_r \rangle$ , and  $BT(P) = \text{nd}\langle \rangle$  if there is no sequence of head beta-reductions to a lambda-term of the form  $a\langle P_1, \dots, P_r \rangle$ .

Consider a finite  $\Sigma$ -labeled tree  $T = a\langle T_1, \dots, T_r \rangle$ , and a finite applicative term  $P$  with free variables in  $\mathcal{N}$ , and not using the  $\text{nd}$  symbol. We are going to prove by induction on  $n + |T|$  that  $P \rightarrow_{\mathcal{G}_{cl}}^n T$  if and only if  $BT(\Lambda_{\mathcal{G}}(P)) \rightarrow_{\text{nd}}^n T$ . This equivalence implies that  $\mathcal{L}(\mathcal{G}) = \mathcal{L}_{cl}(\mathcal{G}_{cl})$ , since by definition  $\mathcal{L}(\mathcal{G})$  contains finite  $\Sigma$ -labeled trees  $T$  such that  $BT(\Lambda_{\mathcal{G}}(N_0)) \rightarrow_{\text{nd}}^n T$  for some  $n \in \mathbb{N}$ , while  $\mathcal{L}_{cl}(\mathcal{G}_{cl})$  contains finite trees  $T$  such that  $N_0 \rightarrow_{\mathcal{G}_{cl}}^n T$  for some  $n \in \mathbb{N}$  (all the latter trees are also  $\Sigma$ -labeled since  $\mathcal{G}_{cl}$  does not use the  $\text{nd}$  symbol). There are two possible shapes of  $P$ . Suppose first that  $P = N Q_1 \dots Q_s$ , where  $N$  is a nonterminal. Let  $(N x_1 \dots x_s \rightarrow R_1), \dots, (N x_1 \dots x_s \rightarrow R_m)$  be all rules of  $\mathcal{G}_{cl}$  concerning  $N$ . We have that  $P \rightarrow_{\mathcal{G}_{cl}}^n T$  if and only if  $P = N Q_1 \dots Q_s \rightarrow_{\mathcal{G}_{cl}} R_i[Q_1/x_1, \dots, Q_s/x_s] \rightarrow_{\mathcal{G}_{cl}}^{n-1} T$  for some  $i \in \{1, \dots, m\}$ . On the other hand,

$$\begin{aligned} \Lambda_{\mathcal{G}}(P) &= (\lambda x_1. \dots \lambda x_s. \text{nd}\langle \Lambda_{\mathcal{G}}(R_1), \dots, \Lambda_{\mathcal{G}}(R_m) \rangle) \Lambda_{\mathcal{G}}(Q_1) \dots \Lambda_{\mathcal{G}}(Q_s) \\ &\xrightarrow{\beta}_s \text{nd}\langle \Lambda_{\mathcal{G}}(R_1[Q_1/x_1, \dots, Q_s/x_s]), \dots, \Lambda_{\mathcal{G}}(R_m[Q_1/x_1, \dots, Q_s/x_s]) \rangle. \end{aligned}$$

Thus  $BT(\Lambda_{\mathcal{G}}(P)) \rightarrow_{\text{nd}}^n T$  if and only if

$$BT(\Lambda_{\mathcal{G}}(P)) \rightarrow_{\text{nd}} BT(\Lambda_{\mathcal{G}}(R_i[Q_1/x_1, \dots, Q_s/x_s])) \rightarrow_{\text{nd}}^{n-1} T \quad \text{for some } i \in \{1, \dots, m\}.$$

We have  $R_i[Q_1/x_1, \dots, Q_s/x_s] \rightarrow_{\mathcal{G}_{cl}}^{n-1} T$  if and only if  $BT(\Lambda_{\mathcal{G}}(R_i[Q_1/x_1, \dots, Q_s/x_s])) \rightarrow_{\text{nd}}^{n-1} T$  by the induction assumption.

The other possible case is that  $P = b\langle P_1, \dots, P_k \rangle$ , where  $b \neq \text{nd}$ . Then  $P \rightarrow_{\mathcal{G}_{cl}}^n T$  if and only if  $b = a$ ,  $k = r$ , and  $P_i \rightarrow_{\mathcal{G}_{cl}}^{n_i} T_i$  for all  $i \in \{1, \dots, r\}$ , where  $n = n_1 + \dots + n_r$ . On the other hand,  $BT(\Lambda_{\mathcal{G}}(P)) \rightarrow_{\text{nd}}^n T$  if and only if  $b = a$ ,  $k = r$ , and  $BT(\Lambda_{\mathcal{G}}(P_i)) \rightarrow_{\text{nd}}^{n_i} T_i$  for all  $i \in \{1, \dots, r\}$ , where  $n = n_1 + \dots + n_r$ . We have  $P_i \rightarrow_{\mathcal{G}_{cl}}^{n_i} T_i$  if and only if  $BT(\Lambda_{\mathcal{G}}(P_i)) \rightarrow_{\text{nd}}^{n_i} T_i$  by the induction assumption. This finishes the proof of the equality  $\mathcal{L}(\mathcal{G}) = \mathcal{L}_{cl}(\mathcal{G}_{cl})$ .  $\square$

Due to the above translation, our algorithm can be applied to schemes conforming to the classic definition. On the other hand, it is easy to modify the hardness proof so that the reductions used there will produce schemes conforming to the classic definition, which will show hardness also for such schemes.<sup>(xi)</sup>

## B Proof of Lemma 10.2

In this section we recall from Haddad (2012, Section 4.2) the construction of a scheme  $\mathcal{G}_{\mathcal{M}}$  generating a  $\Xi_{\mathcal{M}}$ -reflection of a given scheme  $\mathcal{G}$ , and we prove its correctness. We need to adapt the construction slightly, because Haddad uses the more restrictive definition of recursion schemes described in Appendix A.3 (without lambda-binders inside right sides of rules), and because he uses constants instead of node constructors.

For the rest of this section we fix a morphism  $\mathcal{M}$  to a finitary applicative structure  $D$ , and a recursion scheme  $\mathcal{G} = (\mathcal{N}, \mathcal{R}, N_0)$ .

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<sup>(xi)</sup> A translation in the opposite direction is also possible, but we do not give it here, as it is more technical.

### B.1 Transformation of the Scheme.

For every sort  $\alpha = \alpha_1 \rightarrow \dots \rightarrow \alpha_s \rightarrow o$  let  $Arg^\alpha = D[\alpha_1] \times \dots \times D[\alpha_s]$ ; fix also some (arbitrary) linear order  $\preceq$  on elements of  $Arg^\alpha$ , for every  $\alpha$ . Moreover, for every lambda-term  $P$ , let  $Free^\uparrow(P)$  be the set of lists of the form  $[(x_1, \chi_1), \dots, (x_n, \chi_n)]$ , where the variables  $x_1, \dots, x_n \in Vars \setminus \mathcal{N}$  are pairwise distinct, where  $\chi_i \in D[\alpha_i]$  for  $\alpha_i$  being the sort of  $x_i$ , for all  $i \in \{1, \dots, n\}$ , and where every free variable of  $P$  not being a nonterminal appears as  $x_i$  for some  $i$ . Furthermore, let  $Free(P) \subseteq Free^\uparrow(P)$  contain only those lists, where every variable  $x_i$  is free in  $P$ . Given a list  $\nu \in Free^\uparrow(P)$ , by  $\nu \upharpoonright_P$  we denote the sublist in  $Free(P)$  obtained from  $\nu$  by removing all pairs  $(x, \chi)$  with  $x$  not being free in  $P$ . Elements of  $Arg^\alpha$  and  $Free(P)$  are used to store values of the morphism for all arguments of a lambda-term  $P$  of sort  $\alpha$ , and for all its free variables (other than nonterminals), respectively.

Next, we extend our morphism to lambda-terms that are not closed: for a lambda-term  $P$ , and for a list  $\nu = [(x_1, \chi_1), \dots, (x_n, \chi_n)] \in Free(P)$ , we let  $\llbracket P \rrbracket_{\mathcal{M}}^\nu = \llbracket \lambda x_1. \dots \lambda x_n. P \rrbracket_{\mathcal{M}} \chi_1 \dots \chi_n$ . Notice that if  $P$  is closed, then the list  $\nu$  is empty, and in effect  $\llbracket P \rrbracket_{\mathcal{M}}^\nu$  is just  $\llbracket P \rrbracket_{\mathcal{M}}$ .

For a finite lambda-term  $R$  of sort  $\alpha$  (possibly containing nonterminals), and for  $\zeta \in Arg^\alpha$  and  $\nu \in Free(R)$ , we define a lambda-term  $\theta(R, \zeta, \nu)$  of sort  $\alpha^\bullet$ , where sorts  $\alpha^\bullet$  are defined by induction:

$$o^\bullet = o \quad \text{and} \quad (\beta \rightarrow \gamma)^\bullet = \underbrace{\beta^\bullet \rightarrow \dots \rightarrow \beta^\bullet}_{|Arg^\beta|} \rightarrow \gamma^\bullet.$$

The translation is defined by induction on the structure of  $R$  as follows:

- if  $R = a(P_1, \dots, P_r)$ , let  $\theta(R, \zeta, \nu) = (a, \llbracket \Lambda_{\mathcal{G}}(R) \rrbracket_{\mathcal{M}}^\nu (\theta(P_1, \zeta, \nu \upharpoonright_{P_1}), \dots, \theta(P_r, \zeta, \nu \upharpoonright_{P_r}))$ ;
- if  $R = x^\alpha$  (including the case when it is a nonterminal), let  $\theta(R, \zeta, \nu) = x_{\zeta}^{\alpha^\bullet}$ ;
- if  $R = P^{\beta \rightarrow \gamma} Q^\beta$ , let  $\theta(R, \zeta, \nu) = \theta(P, \llbracket Q \rrbracket_{\mathcal{M}}^{\nu \upharpoonright_Q} :: \zeta, \nu \upharpoonright_P) \theta(Q, \xi_1, \nu \upharpoonright_Q) \dots \theta(Q, \xi_n, \nu \upharpoonright_Q)$ , where  $\xi_1, \dots, \xi_n$  are all the elements of  $Arg^\beta$ , ordered by  $\preceq$ ;
- if  $R = \lambda x^\beta. P$  and  $\zeta = \chi :: \zeta'$ , let  $\theta(R, \zeta, \nu) = \lambda x_{\xi_1}^{\beta^\bullet} \dots \lambda x_{\xi_n}^{\beta^\bullet}. \theta(P, \zeta', \nu :: (x^\beta, \chi) \upharpoonright_P)$ , where  $\xi_1, \dots, \xi_n$  are all the elements of  $Arg^\beta$ , ordered by  $\preceq$ .

To the resulting scheme  $\mathcal{G}_{\mathcal{M}}$  we take a nonterminal  $N_{\zeta}^{\alpha^\bullet}$  for every nonterminal  $N^\alpha$  of  $\mathcal{G}$  and every  $\zeta \in Arg^\alpha$ . In particular, for the starting nonterminal  $N_0^o$  of  $\mathcal{G}$  this results in  $N_{0, ()}^o$  (notice that the only element of  $Arg^o$  is  $()$ ), which we take as the starting nonterminal of  $\mathcal{G}_{\mathcal{M}}$ . The rules are defined by  $\mathcal{R}_{\mathcal{M}}(N_{\zeta}^{\alpha^\bullet}) = \theta(\mathcal{R}(N^\alpha), \zeta, [])$ .

### B.2 Correctness Proof

Once the resulting scheme  $\mathcal{G}_{\mathcal{M}}$  is defined, we need to prove that it indeed generates a  $\Xi_{\mathcal{M}}$ -reflection of  $BT(\Lambda(\mathcal{G}))$ . To this end, we need to relate lambda-terms obtained while reducing  $\Lambda(\mathcal{G})$  to lambda-terms obtained while reducing  $\Lambda(\mathcal{G}_{\mathcal{M}})$ . We now define an appropriate relation.

First, for every lambda-term  $P$ , and for every list  $\nu = [(x_1, \chi_1), \dots, (x_n, \chi_n)] \in Free(P)$ , we let  $Val(P, \nu)$  to be the set of values  $\llbracket Q \rrbracket_{\mathcal{M}} \chi_1 \dots \chi_n$  over all closed lambda-terms  $Q$  such that  $Q \rightarrow_{\beta}^* \lambda x_1 \dots \lambda x_n. P$ . Notice that elements of  $Val(P, \nu)$  are similar to  $\llbracket P \rrbracket_{\mathcal{M}}^\nu$ , with the exception that in the definition we allow to replace  $\lambda x_1 \dots \lambda x_n. P$  by an arbitrary closed lambda-term  $Q$  such that  $Q \rightarrow_{\beta}^* \lambda x_1 \dots \lambda x_n. P$ . In particular, by taking  $Q = \lambda x_1 \dots \lambda x_n. P$  we obtain the following lemma.

**Lemma B.1.** *For every lambda-term  $P$  and for every  $\nu \in Free(P)$  it holds that  $\llbracket P \rrbracket_{\mathcal{M}}^\nu \in Val(P, \nu)$ .  $\square$*

Next, for a lambda-term  $R$  of sort  $\alpha$ , for  $\zeta \in \text{Arg}^\alpha$ , and for  $\nu \in \text{Free}(R)$ , we define a set  $\Theta(R, \zeta, \nu)$  of lambda-terms of sort  $\alpha^\bullet$ , by coinduction on the structure of  $R$ :

- if  $R = a\langle P_1, \dots, P_r \rangle$ , then  $\Theta(R, \zeta, \nu)$  contains lambda-terms  $(a, \chi)\langle S_1, \dots, S_r \rangle$  such that  $\chi \in \text{Val}(R, \nu)$  and  $S_i \in \Theta(P_i, \zeta, \nu \upharpoonright_{P_i})$  for  $i \in \{1, \dots, r\}$ ;
- if  $R = x^\alpha$ , then  $\Theta(R, \zeta, \nu) = \{x_\zeta^{\alpha^\bullet}\}$ ;
- if  $R = P^{\beta \rightarrow \alpha} Q^\beta$ , then  $\Theta(R, \zeta, \nu)$  contains lambda-terms  $S U_1 \dots U_n$  such that  $S \in \Theta(P, \chi :: \zeta, \nu \upharpoonright_P)$  for some  $\chi \in \text{Val}(Q, \nu \upharpoonright_Q)$ , and  $U_i \in \Theta(Q, \xi_i, \nu \upharpoonright_Q)$  for all  $i \in \{1, \dots, n\}$ , where  $\xi_1, \dots, \xi_n$  are all the elements of  $\text{Arg}^\beta$ , ordered by  $\preceq$ ;
- if  $R = \lambda x^\beta. P$  and  $\zeta = \chi :: \zeta'$ , then  $\Theta(R, \zeta, \nu)$  contains lambda-terms  $\lambda x_{\xi_1}^{\beta^\bullet} \dots \lambda x_{\xi_n}^{\beta^\bullet}. S$  such that  $S \in \Theta(P, \zeta', \nu :: (x^\beta, \chi) \upharpoonright_P)$ , where  $\xi_1, \dots, \xi_n$  are all the elements of  $\text{Arg}^\beta$ , ordered by  $\preceq$ .

Easy coinduction shows that elements of  $\Theta(R, \zeta, \nu)$  have the same free variables as  $R$ , up to an appropriate renaming.

**Lemma B.2.** *If  $R' \in \Theta(R^\alpha, \zeta, \nu)$  for some  $\zeta \in \text{Arg}^\alpha$  and  $\nu \in \text{Free}(R)$ , and if  $z^\beta$  is not free in  $R$ , then  $z_\xi^{\beta^\bullet}$  is not free in  $R'$  for any  $\xi \in \text{Arg}^\beta$ .*  $\square$

In the next lemma we notice that  $\theta$  is a special case of  $\Theta$ .

**Lemma B.3.** *Let  $R$  be a finite lambda-term of sort  $\alpha$ , let  $\zeta \in \text{Arg}^\alpha$ , and let  $\nu \in \text{Free}(R)$ . Then  $\Lambda_{\mathcal{G}_M}(\theta(R, \zeta, \nu)) \in \Theta(\Lambda_{\mathcal{G}}(R), \zeta, \nu)$ .*

Notice that  $R$  and  $\Lambda_{\mathcal{G}}(R)$  have the same free variables (except for nonterminals used in  $R$ ), and thus we have  $\nu \in \text{Free}(\Lambda_{\mathcal{G}}(R))$ . We use the same observation in the proof below, while saying that  $\nu \upharpoonright_P$  equals  $\nu \upharpoonright_{\Lambda_{\mathcal{G}}(P)}$ , for any subterm  $P$  of  $R$ .

**Proof of Lemma B.3:** The proof is by coinduction on the structure of  $\Lambda_{\mathcal{G}}(R)$ . Suppose first that  $R = N^\alpha$  is a nonterminal. Then we have  $\Lambda_{\mathcal{G}}(R) = \Lambda_{\mathcal{G}}(\mathcal{R}(N^\alpha))$  and  $\nu = []$ . Observe that  $\Lambda_{\mathcal{G}_M}(\theta(R, \zeta, \nu)) = \Lambda_{\mathcal{G}_M}(N_\zeta^{\alpha^\bullet}) = \Lambda_{\mathcal{G}_M}(\mathcal{R}_M(N_\zeta^{\alpha^\bullet})) = \Lambda_{\mathcal{G}_M}(\theta(\mathcal{R}(N^\alpha), \zeta, []))$ . We can thus equally well consider  $\mathcal{R}(N^\alpha)$  instead of  $R$ . Recalling that  $\mathcal{R}(N^\alpha)$  cannot be equal to a nonterminal, we have reduced this case to the case when  $R$  is not a nonterminal. Thus, for the remaining part of the proof we suppose that  $R$  is not a nonterminal.

We have four cases depending on the shape of  $R$ . Suppose first that  $R = a\langle P_1, \dots, P_r \rangle$ . Then  $\theta(R, \zeta, \nu) = (a, \llbracket \Lambda_{\mathcal{G}}(R) \rrbracket_M^\nu) \langle \theta(P_1, \zeta, \nu \upharpoonright_{P_1}), \dots, \theta(P_r, \zeta, \nu \upharpoonright_{P_r}) \rangle$ , and thus

$$\Lambda_{\mathcal{G}_M}(\theta(R, \zeta, \nu)) = (a, \llbracket \Lambda_{\mathcal{G}}(R) \rrbracket_M^\nu) \langle \Lambda_{\mathcal{G}_M}(\theta(P_1, \zeta, \nu \upharpoonright_{P_1})), \dots, \Lambda_{\mathcal{G}_M}(\theta(P_r, \zeta, \nu \upharpoonright_{P_r})) \rangle.$$

On the other hand,  $\Lambda_{\mathcal{G}}(R) = a\langle \Lambda_{\mathcal{G}}(P_1), \dots, \Lambda_{\mathcal{G}}(P_r) \rangle$ . By the assumption of coinduction we obtain that  $\Lambda_{\mathcal{G}_M}(\theta(P_i, \zeta, \nu \upharpoonright_{P_i})) \in \Theta(\Lambda_{\mathcal{G}}(P_i), \zeta, \nu \upharpoonright_{P_i})$  for all  $i \in \{1, \dots, r\}$ , and due to Lemma B.1 we have that  $\llbracket \Lambda_{\mathcal{G}}(R) \rrbracket_M^\nu \in \text{Val}(\Lambda_{\mathcal{G}}(R), \nu)$ . Thus from the definition of  $\Theta$  we can deduce that  $\Lambda_{\mathcal{G}_M}(\theta(R, \zeta, \nu)) \in \Theta(\Lambda_{\mathcal{G}}(R), \zeta, \nu)$ .

Next, suppose that  $R = x^\alpha$ . Recall that  $R$  is not a nonterminal, thus we have  $\Lambda_{\mathcal{G}}(R) = x^\alpha$  and  $\Lambda_{\mathcal{G}_M}(\theta(x^\alpha, \zeta, \nu)) = \Lambda_{\mathcal{G}_M}(x_\zeta^{\alpha^\bullet}) = x_\zeta^{\alpha^\bullet}$ . It follows from the definition of  $\Theta$  that  $x_\zeta^{\alpha^\bullet} \in \Theta(x^\alpha, \zeta, \nu)$ .

Suppose now that  $R = P Q$ . Let  $\xi_1, \dots, \xi_n$  be all the elements of  $\text{Arg}^\beta$ , ordered by  $\preceq$ , where  $\beta$  is the sort of  $Q$ . Then  $\theta(R, \zeta, \nu) = \theta(P, \llbracket Q \rrbracket_M^{\nu \upharpoonright_Q} :: \zeta, \nu \upharpoonright_P) \theta(Q, \xi_1, \nu \upharpoonright_Q) \dots \theta(Q, \xi_n, \nu \upharpoonright_Q)$ , and thus

$$\Lambda_{\mathcal{G}_M}(\theta(R, \zeta, \nu)) = \Lambda_{\mathcal{G}_M}(\theta(P, \llbracket Q \rrbracket_M^{\nu \upharpoonright_Q} :: \zeta, \nu \upharpoonright_P)) \Lambda_{\mathcal{G}_M}(\theta(Q, \xi_1, \nu \upharpoonright_Q)) \dots \Lambda_{\mathcal{G}_M}(\theta(Q, \xi_n, \nu \upharpoonright_Q)).$$

On the other hand,  $\Lambda_{\mathcal{G}}(R) = \Lambda_{\mathcal{G}}(P) \Lambda_{\mathcal{G}}(Q)$ . By the assumption of coinduction we obtain that

$$\begin{aligned} \Lambda_{\mathcal{G}\mathcal{M}}(\theta(P, \llbracket Q \rrbracket_{\mathcal{M}}^{\nu \upharpoonright_Q} :: \zeta, \nu \upharpoonright_P)) &\in \Theta(\Lambda_{\mathcal{G}}(P), \llbracket Q \rrbracket_{\mathcal{M}}^{\nu \upharpoonright_Q} :: \zeta, \nu \upharpoonright_P) & \text{and} \\ \Lambda_{\mathcal{G}\mathcal{M}}(\theta(Q, \xi_i, \nu \upharpoonright_Q)) &\in \Theta(\Lambda_{\mathcal{G}}(Q), \xi_i, \nu \upharpoonright_Q) & \text{for all } i \in \{1, \dots, n\}, \end{aligned}$$

and due to Lemma B.1 we have that  $\llbracket \Lambda_{\mathcal{G}}(Q) \rrbracket_{\mathcal{M}}^{\nu \upharpoonright_Q} \in \text{Val}(\Lambda_{\mathcal{G}}(Q), \nu \upharpoonright_Q)$ . Thus from the definition of  $\Theta$  we can deduce that  $\Lambda_{\mathcal{G}\mathcal{M}}(\theta(R, \zeta, \nu)) \in \Theta(\Lambda_{\mathcal{G}}(R), \zeta, \nu)$ .

Finally, suppose that  $R = \lambda x^\beta . P$ . Again, let  $\xi_1, \dots, \xi_n$  be all the elements of  $\text{Arg}^\beta$ , ordered by  $\preceq$ . Let also  $\zeta = \chi :: \zeta'$ . Then  $\theta(R, \zeta, \nu) = \lambda x_{\xi_1}^{\beta \bullet} \dots \lambda x_{\xi_n}^{\beta \bullet} . \theta(P, \zeta', \nu :: (x^\beta, \chi) \upharpoonright_P)$ , and thus

$$\Lambda_{\mathcal{G}\mathcal{M}}(\theta(R, \zeta, \nu)) = \lambda x_{\xi_1}^{\beta \bullet} \dots \lambda x_{\xi_n}^{\beta \bullet} . \Lambda_{\mathcal{G}\mathcal{M}}(\theta(P, \zeta', \nu :: (x^\beta, \chi) \upharpoonright_P)).$$

On the other hand,  $\Lambda_{\mathcal{G}}(R) = \lambda x^\beta . \Lambda_{\mathcal{G}}(P)$ . By the assumption of coinduction we obtain

$$\Lambda_{\mathcal{G}\mathcal{M}}(\theta(P, \zeta', \nu :: (x^\beta, \chi) \upharpoonright_P)) \in \Theta(\Lambda_{\mathcal{G}}(P), \zeta', \nu :: (x^\beta, \chi) \upharpoonright_P).$$

Thus from the definition of  $\Theta$  we can deduce that  $\Lambda_{\mathcal{G}\mathcal{M}}(\theta(R, \zeta, \nu)) \in \Theta(\Lambda_{\mathcal{G}}(R), \zeta, \nu)$ .  $\square$

Next, we prove that the relation  $\Theta$  is preserved during head beta-reductions (Lemma B.6). Before that, we need auxiliary lemmata for substitution (Lemmata B.4 and B.5).

**Lemma B.4.** *Let  $R^\alpha$  and  $S^\gamma$  be lambda-terms, where  $S$  is closed, let  $z^\gamma$  be a variable, let  $\nu \in \text{Free}(R[S/z])$ , and let  $\chi \in \text{Val}(S, [])$ . Then  $\text{Val}(R, (z, \chi) :: \nu \upharpoonright_R) \subseteq \text{Val}(R[S/z], \nu)$ .*

**Proof:** If  $z$  is not free in  $R$ , we have  $R[S/z] = R$  and  $(z, \chi) :: \nu \upharpoonright_R = \nu$ , which immediately gives the thesis. In the sequel we assume that  $z$  is free in  $R$ ; then, in particular,  $(z, \chi) :: \nu \upharpoonright_R = (z, \chi) :: \nu$ . Denote  $\nu = [(x_1, \chi_1), \dots, (x_n, \chi_n)]$ . Take some element of  $\text{Val}(R, (z, \chi) :: \nu)$ ; by definition it is of the form  $\llbracket P \rrbracket_{\mathcal{M}} \chi \chi_1 \dots \chi_n$  for some closed lambda-term  $P$  such that  $P \rightarrow_\beta^* \lambda z . \lambda x_1 \dots \lambda x_k . R$ . Moreover, because  $\chi \in \text{Val}(S, [])$ , there is a closed lambda-term  $Q$  such that  $Q \rightarrow_\beta^* S$  and  $\chi = \llbracket Q \rrbracket_{\mathcal{M}}$ . We have that  $P Q \rightarrow_\beta^* (\lambda z . \lambda x_1 \dots \lambda x_k . R) S \rightarrow_\beta^* \lambda x_1 \dots \lambda x_k . R[S/z]$ . Because  $\mathcal{M}$  is a morphism, we have that  $\llbracket P \rrbracket_{\mathcal{M}} \llbracket Q \rrbracket_{\mathcal{M}} = \llbracket P Q \rrbracket_{\mathcal{M}}$ , and in effect  $\llbracket P \rrbracket_{\mathcal{M}} \chi \chi_1 \dots \chi_n = \llbracket P Q \rrbracket_{\mathcal{M}} \chi_1 \dots \chi_n \in \text{Val}(R[S/z], \nu)$ , as needed. Notice that in this lemma it is rather important that the pair  $(z, \chi)$  is the first element of the list  $(z, \chi) :: \nu$ .  $\square$

**Lemma B.5.** *Let  $R^\alpha$  and  $S^\gamma$  be lambda-terms, where  $S$  is closed, let  $z^\gamma$  be a variable, let  $\zeta \in \text{Arg}^\alpha$ , let  $\nu \in \text{Free}(R[S/z^\gamma])$ , and let  $\chi' \in \text{Val}(S, [])$ . Let  $\xi'_1, \dots, \xi'_m$  be all the elements of  $\text{Arg}^\gamma$ , ordered by  $\preceq$ . Let also  $R' \in \Theta(R, \zeta, (z^\gamma, \chi') :: \nu \upharpoonright_R)$ , and let  $S_j \in \Theta(S, \xi'_j, [])$  for  $j \in \{1, \dots, m\}$ . Then it holds that  $R'[S_1/z_{\xi'_1}^{\gamma \bullet} \dots S_m/z_{\xi'_m}^{\gamma \bullet}] \in \Theta(R[S/z^\gamma], \zeta, \nu)$ .*

**Proof:** To shorten the notation, denote  $\eta(P) = P[S_1/z_{\xi'_1}^{\gamma \bullet} \dots S_m/z_{\xi'_m}^{\gamma \bullet}]$  for any lambda-term  $P$ .

The proof is by coinduction on the structure of  $R$ . Observe first that if  $z^\gamma$  is not free in  $R$ , then  $\eta(R') = R$  (the variables  $z_{\xi'_j}^{\gamma \bullet}$  are not free in  $R'$  by Lemma B.2), and  $R[S/z^\gamma] = R$ , and  $(z^\gamma, \chi') :: \nu \upharpoonright_R = \nu$ , which immediately gives the thesis. In the sequel we assume that  $z^\gamma$  is free in  $R$ ; then in particular  $(z^\gamma, \chi') :: \nu \upharpoonright_R = (z^\gamma, \chi') :: \nu$ . We have four cases depending on the shape of  $R$ .

Suppose first that  $R = a\langle P_1, \dots, P_r \rangle$ . Then  $R' \in \Theta(R, \zeta, (z^\gamma, \chi') :: \nu)$  implies by the definition of  $\Theta$  that  $R'$  is of the form  $(a, \chi)\langle Q_1, \dots, Q_r \rangle$ , where  $\chi \in \text{Val}(R, (z^\gamma, \chi') :: \nu)$  and  $Q_i \in \Theta(P_i, \zeta, (z^\gamma, \chi') :: \nu \upharpoonright_{P_i})$  for  $i \in \{1, \dots, r\}$ . We have that  $\chi \in \text{Val}(R[S/z^\gamma], \nu)$  by Lemma B.4, and  $\eta(Q_i) \in \Theta(P_i[S/z^\gamma], \zeta, \nu \upharpoonright_{P_i})$  for all  $i \in \{1, \dots, r\}$  by the assumption of coinduction. Thus, by the definition of  $\Theta$ ,

$$\eta(R') = (a, \chi)\langle \eta(Q_1), \dots, \eta(Q_r) \rangle \in \Theta(a\langle P_1[S/z^\gamma], \dots, P_r[S/z^\gamma] \rangle, \zeta, \nu) = \Theta(R[S/z^\gamma], \zeta, \nu).$$

Next, suppose that  $R = z^\gamma$  (recall that  $z^\gamma$  is free in  $R$ , so  $R$  cannot be a variable other than  $z^\gamma$ ). Then  $R' \in \Theta(R, \zeta, (z^\gamma, \chi') :: \nu)$  implies by the definition of  $\Theta$  that  $R' = z_{\xi_j'}^\gamma$ . Moreover,  $\zeta = \xi_j'$  for some  $j \in \{1, \dots, m\}$ , and  $\nu = []$ . Because  $S$  is closed, by Lemma B.2 we have that variables  $z_{\xi_i'}^\gamma$  are not free in  $S_j$ . Thus  $\eta(R') = S_j[S_{j+1}/z_{\xi_{j+1}'}^\gamma] \dots [S_m/z_{\xi_m'}^\gamma] = S_j \in \Theta(S, \xi_j', []) = \Theta(R[S/z^\gamma], \zeta, \nu)$ .

Suppose now that  $R = PQ$ . Let  $\xi_1, \dots, \xi_n$  be all the elements of  $\text{Arg}^\beta$ , ordered by  $\preceq$ , where  $\beta$  is the sort of  $Q$ . Then  $R' \in \Theta(R, \zeta, (z^\gamma, \chi') :: \nu)$  implies by the definition of  $\Theta$  that  $R'$  is of the form  $P'Q_1 \dots Q_n$ , where  $P' \in \Theta(P, \chi :: \zeta, (z^\gamma, \chi') :: \nu \upharpoonright_P)$  for some  $\chi \in \text{Val}(Q, (z^\gamma, \chi') :: \nu \upharpoonright_Q)$ , and  $Q_i \in \Theta(Q, \xi_i, (z^\gamma, \chi') :: \nu \upharpoonright_Q)$  for all  $i \in \{1, \dots, n\}$ . We have that  $\eta(P') \in \Theta(P[S/z^\gamma], \chi :: \zeta, \nu \upharpoonright_P)$  and  $\eta(Q_i) \in \Theta(Q[S/z^\gamma], \xi_i, \nu \upharpoonright_Q)$  for all  $i \in \{1, \dots, n\}$  by the assumption of coinduction, and  $\chi \in \text{Val}(Q[S/z^\gamma], \nu \upharpoonright_Q)$  by Lemma B.4. Thus

$$\eta(R') = \eta(P')\eta(Q_1) \dots \eta(Q_n) \in \Theta(P[S/z^\gamma]Q[S/z^\gamma], \zeta, \nu) = \Theta(R[S/z^\gamma], \zeta, \nu)$$

by the definition of  $\Theta$ .

Finally, suppose that  $R = \lambda x^\beta.P$ . Let  $\xi_1, \dots, \xi_n$  be all the elements of  $\text{Arg}^\beta$ , ordered by  $\preceq$ , and let  $\zeta = \chi :: \zeta'$ . Since  $z^\gamma$  is free in  $R$ , we have  $x^\beta \neq z^\gamma$ . Then  $R' \in \Theta(R, \zeta, (z^\gamma, \chi') :: \nu)$  implies by the definition of  $\Theta$  that  $R' = \lambda x_{\xi_1}^{\beta \bullet} \dots \lambda x_{\xi_n}^{\beta \bullet}.Q$ , where  $Q \in \Theta(P, \zeta', (z^\gamma, \chi') :: \nu :: (x^\beta, \chi) \upharpoonright_P)$ . By the assumption of coinduction we obtain that  $\eta(Q) \in \Theta(P[S/z^\gamma], \zeta', \nu :: (x^\beta, \chi) \upharpoonright_P)$ , thus  $\eta(R') = \lambda x_{\xi_1}^{\beta \bullet} \dots \lambda x_{\xi_n}^{\beta \bullet}.\eta(Q) \in \Theta(\lambda x^\beta.P[S/z^\gamma], \zeta, \nu) = \Theta(R[S/z^\gamma], \zeta, \nu)$  by the definition of  $\Theta$ .  $\square$

**Lemma B.6.** *Let  $P$  and  $Q$  be closed lambda-terms of sort  $\alpha$  such that  $P \xrightarrow{h}_\beta Q$ . If  $U \in \Theta(P, (), [])$ , then there exists  $V \in \Theta(Q, (), [])$  such that  $U \xrightarrow{h}_\beta^+ V$ .*

**Proof:** The condition  $P \xrightarrow{h}_\beta Q$  implies that  $P$  is of the form  $(\lambda x^{\alpha_0}.R)S_0S_1 \dots S_s$ , and then  $Q = R[S_0/x^{\alpha_0}]S_1 \dots S_s$ . For  $i \in \{0, \dots, s\}$ , let  $\alpha_i$  be the sort of  $S_i$ , and let  $\xi_{i,1}, \dots, \xi_{i,n_i}$  be all the elements of  $\text{Arg}^{\alpha_i}$ , ordered by  $\preceq$ . From the definition of  $\Theta$  we deduce that  $R$  is of the form

$$(\lambda x_{\xi_{0,1}}^{\alpha_0 \bullet} \dots \lambda x_{\xi_{0,n_0}}^{\alpha_0 \bullet}.R')S_{0,1} \dots S_{0,n_0}S_{1,1} \dots S_{1,n_1} \dots S_{s,1} \dots S_{s,n_s},$$

where  $R' \in \Theta(R, (\chi_1, \dots, \chi_s), [(x^{\alpha_0}, \chi_0)] \upharpoonright_R)$ , and  $\chi_i \in \text{Val}(S_i, [])$  for  $i \in \{0, \dots, s\}$ , and  $S_{i,j} \in \Theta(Q, \xi_{i,j}, [])$  for  $i \in \{0, \dots, s\}$  and  $j \in \{1, \dots, n_i\}$ . As  $V$  we take

$$R'[S_{0,1}/x_{\xi_{0,1}}^{\alpha_0 \bullet}] \dots [S_{0,n_0}/x_{\xi_{0,n_0}}^{\alpha_0 \bullet}]S_{1,1} \dots S_{1,n_1} \dots S_{s,1} \dots S_{s,n_s}.$$

Clearly  $U \xrightarrow{h}_{\beta}^{n_0} V$ , and  $n_0 \geq 1$ . From Lemma B.5 we obtain that  $R'[S_{0,1}/x_{\xi_{0,1}}^{\alpha_0 \bullet}] \dots [S_{0,n_0}/x_{\xi_{0,n_0}}^{\alpha_0 \bullet}] \in \Theta(R[S_0/x^{\alpha_0}], (\chi_1, \dots, \chi_s), [])$ . Using again the definition of  $\Theta$  we conclude that  $V \in \Theta(Q, (), [])$ .  $\square$



**Lemma B.7.** *Let  $P$  be a closed lambda-term of sort  $o$ . If  $U \in \Theta(P, (), [])$  then  $BT(U)$  is a  $\Xi_{\mathcal{M}}$ -reflection of  $BT(P)$ .*

**Proof:** Coinduction on the structure of  $BT(P)$ . Suppose first that  $P \rightarrow_{\beta}^* a\langle Q'_1, \dots, Q'_r \rangle$ . It is a folklore that then some (not necessarily the same) lambda-term of the form  $a\langle Q_1, \dots, Q_r \rangle$  can be reached from  $P$  by using only head beta-reductions:  $P \xrightarrow{\beta}^* a\langle Q_1, \dots, Q_r \rangle$ . We have that  $BT(P) = a\langle BT(Q_1), \dots, BT(Q_r) \rangle$ . Because  $U \in \Theta(P, (), [])$ , using Lemma B.6 consecutively for every head beta-reduction in a sequence witnessing that  $P \xrightarrow{\beta}^* a\langle Q_1, \dots, Q_r \rangle$ , we obtain a lambda-term  $V \in \Theta(a\langle Q_1, \dots, Q_r \rangle, (), [])$  such that  $U \xrightarrow{\beta}^* V$ . From the definition of  $\Theta$  it follows that  $V$  is of the form  $(a, \chi)\langle R_1, \dots, R_r \rangle$ , where  $R_i \in \Theta(Q_i, (), [])$  for  $i \in \{1, \dots, r\}$ , and  $\chi \in Val(a\langle Q_1, \dots, Q_r \rangle, [])$ . By the assumption of coinduction we have that  $BT(R_i)$  is a  $\Xi_{\mathcal{M}}$ -reflection of  $BT(Q_i)$ . Moreover, by the definition of  $Val$ , there is a closed lambda-term  $Q$  such that  $\chi = \llbracket Q \rrbracket_{\mathcal{M}}$  and  $Q \rightarrow_{\beta}^* a\langle Q_1, \dots, Q_r \rangle$ . Then  $BT(Q) = BT(a\langle Q_1, \dots, Q_r \rangle) = BT(P)$ , so  $(BT(P), (a, \chi)) \in \Xi_{\mathcal{M}}$ . It follows that  $BT(U)$  is a  $\Xi_{\mathcal{M}}$ -reflection of  $BT(P)$ .

It remains to consider the situation when there is no sequence of beta-reductions from  $P$  to a lambda-term starting with a node constructor. Then we have one of two cases:

- there is an infinite sequence of head beta-reductions starting in  $P$ , or
- $P \xrightarrow{\beta}^* Q$  for a lambda-term  $Q$  from which no head beta-reduction can be performed, and which does not start with a node constructor.

Moreover,  $BT(P) = \text{nd}(\rangle)$  and  $(\text{nd}(\rangle), \text{nd}(\rangle) \in \Xi_{\mathcal{M}}$ , so it is enough to prove that  $BT(U) = \text{nd}(\rangle)$ . In the former case we can apply Lemma B.6 to every reduction in the infinite sequence of head beta-reductions starting from  $P$ , and we obtain an infinite sequence of head beta-reductions starting from  $U$ . This implies that from  $U$  we cannot reach a lambda-term starting with a node constructor, and thus indeed  $BT(U) = \text{nd}(\rangle)$ . In the latter case, we observe that the only possible form of a closed lambda-term  $Q$  of sort  $o$  from which no head beta-reduction can be performed and which does not start with a node constructor is an infinite sequence of applications  $Q = \dots Q_3 Q_2 Q_1$ . By applying Lemma B.6 consecutively for every head beta-reduction in a sequence witnessing  $P \xrightarrow{\beta}^* Q$ , we obtain a lambda-term  $V \in \Theta(Q, (), [])$  such that  $U \xrightarrow{\beta}^* V$ . From the definition of  $\Theta$  it follows that  $V$  is also an infinite sequence of applications, which implies that  $BT(U) = \text{nd}(\rangle)$ , as needed.  $\square$

Having all this, we can easily finish the correctness proof. Indeed,  $\Lambda(\mathcal{G}_{\mathcal{M}}) = \Lambda_{\mathcal{G}_{\mathcal{M}}}(N_{0,()}) = \Lambda_{\mathcal{G}_{\mathcal{M}}}(\theta(N_0, (), [])) \in \Theta(\Lambda_{\mathcal{G}}(N_0), (), []) = \Theta(\Lambda(\mathcal{G}), (), [])$  by Lemma B.3, and thus  $BT(\Lambda(\mathcal{G}_{\mathcal{M}}))$  is a  $\Xi_{\mathcal{M}}$ -reflection of  $BT(\Lambda(\mathcal{G}))$  by Lemma B.7.

### B.3 Size and Running Time

It remains to bound the size of  $\mathcal{G}_{\mathcal{M}}$ , and the time needed to construct it. Denote

$$d = \left( \max_{\substack{\alpha \in \mathcal{S}_{\mathcal{G}} \\ \text{ord}(\alpha) \leq m-1}} |D[\alpha]| \right)^{|\mathcal{G}|}.$$

Our goal is to prove that  $|\mathcal{G}_{\mathcal{M}}| \leq |\mathcal{G}| \cdot d^{|\mathcal{G}|}$ . This is done in subsequent lemmata. First, we bound the size of the sets  $Arg^{\alpha}$  and of the new sorts  $\alpha^{\bullet}$ .

**Lemma B.8.** *For every  $\alpha \in \mathcal{S}_G$  it holds that  $|Arg^\alpha| \leq d$ .*

**Proof:** Denoting  $\alpha = \alpha_1 \rightarrow \dots \rightarrow \alpha_s \rightarrow o$  we recall that  $Arg^\alpha = D[\alpha_1] \times \dots \times D[\alpha_s]$ . In Section 9.1 we have shown that  $|\alpha| \leq 2 \cdot |\mathcal{G}|$  for  $\alpha \in \mathcal{S}_G$ , hence  $s \leq |\mathcal{G}|$ . Moreover, because  $\alpha \in \mathcal{S}_G$  we have  $ord(\alpha) \leq m$ , and thus  $ord(\alpha_i) \leq m - 1$  for all  $i \in \{1, \dots, s\}$ . We easily conclude recalling the definition of  $d$ .  $\square$

**Lemma B.9.** *For every  $\alpha \in \mathcal{S}_G$  it holds that  $|\alpha^\bullet| \leq |\alpha| \cdot d^{|\alpha|}$ .*

**Proof:** The proof is by induction on the structure of  $\alpha$ . For  $\alpha = o$  also  $\alpha^\bullet = o$ , and the thesis is immediate. Consider the case when  $\alpha = \beta \rightarrow \gamma$ ; then

$$\alpha^\bullet = \underbrace{\beta^\bullet \rightarrow \dots \rightarrow \beta^\bullet}_{|Arg^\beta|} \rightarrow \gamma^\bullet.$$

Recall that  $|\alpha| = |\beta| + 1 + |\gamma|$ . Using the induction assumption and Lemma B.8 we obtain that

$$|\alpha^\bullet| = (|\beta^\bullet| + 1) \cdot |Arg^\beta| + |\gamma^\bullet| \leq |\beta| \cdot d^{|\beta|} \cdot d + d + |\gamma| \cdot d^{|\gamma|} \leq (|\beta| + 1 + |\gamma|) \cdot d^{|\alpha|} = |\alpha| \cdot d^{|\alpha|}. \quad \square$$

Next, we bound the size of lambda-terms.

**Lemma B.10.** *When  $R^\alpha$  is a subterm of  $\mathcal{R}(N)$  for some nonterminal  $N$ , and  $\zeta \in Arg^\alpha$ , and  $\nu \in Free(P)$ , it holds that  $|\theta(R, \zeta, \nu)| \leq |R| \cdot d^{|R|}$ .*

**Proof:** The proof is by induction on the structure of  $R$ . We have four cases, depending on the shape of  $R$ .

Suppose first that  $R = a\langle P_1, \dots, P_r \rangle$ . Then,  $|R| = 1 + |P_1| + \dots + |P_r|$ , and, by the induction assumption,  $|\theta(P_i, \zeta, \nu \upharpoonright_{P_i})| \leq |P_i| \cdot d^{|P_i|} \leq |P_i| \cdot d^{|R|}$  for all  $i \in \{1, \dots, r\}$ . We thus have

$$\begin{aligned} |\theta(R, \zeta, \nu)| &= |(a, \llbracket \Lambda_G(R) \rrbracket_{\mathcal{M}}^\nu)(\theta(P_1, \zeta, \nu \upharpoonright_{P_1}), \dots, \theta(P_r, \zeta, \nu \upharpoonright_{P_r}))| \\ &= 1 + |\theta(P_1, \zeta, \nu \upharpoonright_{P_1})| + \dots + |\theta(P_r, \zeta, \nu \upharpoonright_{P_r})| \\ &\leq d^{|R|} + |P_1| \cdot d^{|R|} + \dots + |P_r| \cdot d^{|R|} = |R| \cdot d^{|R|}. \end{aligned}$$

In the case of  $R = x^\alpha$  we simply have that  $|\theta(R, \zeta, \nu)| = |x^{\alpha^\bullet}| = 1 \leq |R| \cdot d^{|R|}$ .

Suppose now that  $R = P^\beta \rightarrow^\gamma Q^\beta$ . Let  $\xi_1, \dots, \xi_n$  be all the elements of  $Arg^\beta$ , ordered by  $\preceq$ . Clearly  $\beta \in \mathcal{S}_G$ , so  $n = |Arg^\beta| \leq d$  by Lemma B.8. Using the induction assumption we conclude that

$$\begin{aligned} |\theta(R, \zeta, \nu)| &= |\theta(P, \llbracket Q \rrbracket_{\mathcal{M}}^{\nu \upharpoonright_Q} :: \zeta, \nu \upharpoonright_P) \theta(Q, \xi_1, \nu \upharpoonright_Q) \dots \theta(Q, \xi_n, \nu \upharpoonright_Q)| \\ &= |\theta(P, \llbracket Q \rrbracket_{\mathcal{M}}^{\nu \upharpoonright_Q} :: \zeta, \nu \upharpoonright_P)| + 1 + |\theta(Q, \xi_1, \nu \upharpoonright_Q)| + \dots + 1 + |\theta(Q, \xi_n, \nu \upharpoonright_Q)| \\ &\leq |P| \cdot d^{|P|} + d \cdot (1 + |Q| \cdot d^{|Q|}) \leq (|P| + 1 + |Q|) \cdot d^{|R|} = |R| \cdot d^{|R|}. \end{aligned}$$

Finally, suppose that  $R = \lambda x^\beta. P^\gamma$ . Let  $\zeta = \chi :: \zeta'$ , and let  $\xi_1, \dots, \xi_n$  be all the elements of  $Arg^\beta$ , ordered by  $\preceq$ . Again  $n \leq d$  by Lemma B.8. Using the induction assumption and Lemma B.9 we conclude that

$$\begin{aligned} |\theta(R, \zeta, \nu)| &= |\lambda x_{\xi_1}^{\beta^\bullet} \dots \lambda x_{\xi_n}^{\beta^\bullet} . \theta(P, \zeta', \nu :: (x^\beta, \chi) \upharpoonright_P)| \\ &= n \cdot (|\beta^\bullet| + 1) + |\theta(P, \zeta', \nu :: (x^\beta, \chi) \upharpoonright_P)| \\ &\leq d \cdot (|\beta| \cdot d^{|\beta|} + 1) + |P| \cdot d^{|P|} \leq (|\beta| + 1 + |P|) \cdot d^{|R|} = |R| \cdot d^{|R|}. \quad \square \end{aligned}$$

Finally, recall that

$$|\mathcal{G}| = \sum_{N^\alpha \in \mathcal{N}} (|\alpha| + |\mathcal{R}(N^\alpha)|) \quad \text{and} \quad |\mathcal{G}_\mathcal{M}| = \sum_{N^\alpha \in \mathcal{N}} \sum_{\zeta \in \text{Arg}^\alpha} (|\alpha^\bullet| + |\mathcal{R}_\mathcal{M}(N_\zeta^{\alpha^\bullet})|).$$

For every nonterminal  $N^\alpha \in \mathcal{N}$  and for every  $\zeta \in \text{Arg}^\alpha$ , recalling that  $\mathcal{R}_\mathcal{M}(N_\zeta^{\alpha^\bullet}) = \theta(\mathcal{R}(N^\alpha), \zeta, [])$ , from Lemma B.10 we obtain  $|\mathcal{R}_\mathcal{M}(N_\zeta^{\alpha^\bullet})| \leq |\mathcal{R}(N^\alpha)| \cdot d^{|\mathcal{R}(N^\alpha)|}$ . Using also Lemmata B.8 and B.9, for every  $N^\alpha \in \mathcal{N}$  we have that

$$\sum_{\zeta \in \text{Arg}^\alpha} (|\alpha^\bullet| + |\mathcal{R}_\mathcal{M}(N_\zeta^{\alpha^\bullet})|) \leq d \cdot (|\alpha| \cdot d^{|\alpha|} + |\mathcal{R}(N^\alpha)| \cdot d^{|\mathcal{R}(N^\alpha)|}) \leq (|\alpha| + |\mathcal{R}(N^\alpha)|) \cdot d^{|\mathcal{G}|}.$$

In consequence,  $|\mathcal{G}_\mathcal{M}| \leq \sum_{N^\alpha \in \mathcal{N}} (|\alpha| + |\mathcal{R}(N^\alpha)|) \cdot d^{|\mathcal{G}|} = |\mathcal{G}| \cdot d^{|\mathcal{G}|}$ , as we wanted.

We notice that the transformation is defined in a straightforward way, and thus the running time is essentially proportional to the size of the resulting scheme  $\mathcal{G}_\mathcal{M}$ . However, in the case of a node constructor and in the case of an application, we need to compute  $\llbracket \Lambda_\mathcal{G}(R) \rrbracket_\mathcal{M}^\nu$  for some subterms  $R$  appearing in  $\mathcal{G}$ . Moreover, in the case of an application and in the case of a lambda-binder, we need to enumerate all elements of  $\text{Arg}^\beta$ . We notice that  $\text{ord}(\beta) \leq m - 1$ , because a sort  $\beta \rightarrow \gamma$  also appears there, and  $\text{ord}(\beta) < \text{ord}(\beta \rightarrow \gamma) \leq m$ . When  $\beta = \alpha_1 \rightarrow \dots \rightarrow \alpha_s \rightarrow o$ , by definition  $\text{Arg}^\beta = D[\alpha_1] \times \dots \times D[\alpha_s]$ , thus we actually need to enumerate all elements of  $D[\alpha_i]$  for all  $i \in \{1, \dots, s\}$ , where  $\text{ord}(\alpha_i) \leq \text{ord}(\beta) - 1 \leq m - 2$ .