

**New Lower Bounds for the  
Expressiveness and the  
Higher-Order Matching  
Problem in the Simply Typed  
Lambda Calculus**

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## Abstract

The contribution of this paper is three-fold:

1) We analyze expressiveness of the simply typed lambda calculus (STLC) over a single base type, and show how *k-DEXPTIME* computations can be simulated in the order  $k + 6$  STLC. This gives a double order improvement over the lower bound of (Hillebrand & Kanellakis 1996), reducing *k-DEXPTIME* to the order  $2k + 3$  STLC.

2) We show that *k-DEXPTIME* is linearly reducible to the *higher-order matching problem* (in STLC) of order  $k + 7$ . Thus, order  $k + 7$  matching *requires* (lower bound) *k*-level exponential time. This refines over the best

previously known lower bound  $2^{\left. 2^{\dots^2} \right\}^{cn/\log(n)}}$  from (Vorobyov 1997), which holds in assumption that orders of types are *unbounded*, but does not imply any nontrivial lower bounds when the order of variables is *fixed*.

3) These results are based on the new simplified and streamlined proof of Statman's famous theorem. Previous proofs in (Statman 1979, Mairson 1992, Vorobyov 1997) were based on a two-step reduction: proving a non-elementary lower bound for Henkin's higher-order theory  $\Omega$  of propositional types and then encoding it in the STLC. We give a direct generic reduction from *k-DEXPTIME* to the STLC, which is conceptually much simpler, and gives stronger and more informative lower bounds for the fixed-order STLC, in contrast with the previous proofs.

## Keywords

Typed lambda calculus, lower complexity bounds, non-elementary recursive problems.

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# 1 Introduction

The simply typed lambda calculus (STLC) invented by Church is a fundamental formalism underlying different aspects of programming languages semantics. Being one of the oldest, best investigated and understood, it enjoys many prominent and easily stated properties. Still several old and important problems remain open. Here we address two such problems: lower bounds for expressiveness and higher-order matching.

## 1.1 Lower Bounds for Expressiveness

A famous result due to (Statman 1979) that the problem of deciding whether two simply typed terms reduce to the same normal form is not elementary recursive is well known. Less known is the fact that both most well-known existing proofs (Statman 1979, Mairson 1992) imply only a very poor (al-

though non-elementary) lower bound  $2^{\left. 2^{\dots 2} \right\}^{c \log(\log(\log(n)))}$  for the problem, where  $c > 0$  is an (undetermined) constant and  $n$  is the length of input; see (Vorobyov 1997). Such a non-elementary lower bound may be ignored as immaterial, because  $\log(\log(\log(n)))$  is a very slowly growing function, and the undetermined constant  $c$  may be very small, say  $1/100$ , in which case the value of the stack of twos above does not exceed 2 for all  $n$  less than astronomical  $2^{2^{100}}$ . Although the above lower bound was recently im-

proved (Vorobyov 1997) to more significant  $2^{\left. 2^{\dots 2} \right\}^{c \log(n)}$  for explicitly and  $2^{\left. 2^{\dots 2} \right\}^{cn}$  for implicitly typed STLC (thus Statman's result does matter!), the situation is still not completely satisfactory. In fact, none of the proofs (Statman 1979, Mairson 1992, Vorobyov 1997) implies any lower bounds for the fragments of STLC of *bounded order*. Say that the order of the term is the maximal order of type assigned to its subterm. What is the lower bound on the equality in  $\text{STLC}^{\leq k}$  of terms of order up to a fixed  $k$ ? (Statman 1979, Mairson 1992, Vorobyov 1997) do not give the answer and in fact essentially use unboundedly increasing orders to prove the non-elementary lower bound.

Much stronger lower bounds for  $\text{STLC}^{\leq k}$  of bounded orders are given by (Hillebrand, Kanellakis & Mairson 1993, Hillebrand & Kanellakis 1994, Hillebrand & Kanellakis 1996): PTIME for  $\text{STLC}^{\leq 4}$ , PSPACE for  $\text{STLC}^{\leq 5}$ ,  $k$ -DEXPTIME for  $\text{STLC}^{\leq 2k+3}$ , and  $k$ -EXSPACE for  $\text{STLC}^{\leq 2k+4}$ . Still, these results are not completely satisfactory because to jump one level higher in time (space) exponential hierarchy one pays two orders. We make an



It follows immediately that the problem is not elementary recursive and one can ask whether there is any difference, from the practical viewpoint, between an undecidable problem and a problem requiring as much as  $\exp_{\infty}(cn/\log(n))$  time to decide.

The proof of Theorem 1.1 in (Vorobyov 1997) does not imply, however, any nontrivial lower bounds for the higher-order matching of bounded order. The order of an instance of the matching problem is the maximal order of types  $\sigma_i$ 's of sought terms  $s_i$ 's in the instance (see definition above). For fixed bounded orders the lower bounds on matching are only known for order 3, *NP*, (Wolfram 1993), and *NEXPTIME* for order 4 (Wierzbicki 1999). No lower bounds are known for higher orders. In this paper we settle the following generic lower bound for the  $k$ -order matching:

*k-DEXPTIME* is linearly reducible to the *higher-order matching problem* (in STLC) of order  $k + 7$ . Thus, order  $k + 7$  matching *requires* (lower bound)  $k$ -level exponential time.

Although this does not cover the *NEXPTIME* lower bound for matching of order 4 by Wierzbicki (1999) obtained by specialized techniques (which do not seem to generalize for the higher levels of exponential hierarchy), our larger additive constant is explained by the genericity of reduction and uniform representation of inputs by terms of order 4.

### 1.3 Direct Proof of Statman's Theorem

As a technical contribution of our paper we offer a new direct proof of Statman's theorem. Previous proofs in (Statman 1979, Mairson 1992, Vorobyov 1997) were based on a two-step reduction: proving a non-elementary lower bound for Henkin's higher-order theory  $\Omega$  of propositional types and then encoding it in the STLC. We give a direct reduction from *k-DEXPTIME* to the STLC, which is conceptually much simpler, and gives stronger and more informative lower bounds for the fixed-order STLC, in contrast with the previous proofs.



## 2 Preliminaries

We assume the reader is familiar with the basics of the STLC. Our definitions and notation are consistent with Statman (1979), Statman (1982), Schwichtenberg (1982), Fortune et al. (1983), Barendregt (1984), Hindley & Seldin (1986), Schwichtenberg (1991), Mairson (1992), (Wolfram 1993), Troelstra & Schwichtenberg (1996). In particular, (simple) types are defined inductively:  $\iota$  is a single base type; if  $\sigma$  and  $\tau$  are types, then  $\sigma \rightarrow \tau$  is a type; these are all types. In writing types we omit parentheses assuming that  $\rightarrow$  associates to the right. The *order of the type* is defined by:  $ord(\iota) = 1$  for the base type and  $ord(\sigma \rightarrow \tau) = \max\{1 + ord(\sigma), ord(\tau)\}$ . Simply typed terms are represented in Church style, with explicit type annotations in  $\lambda$ -abstractions. Applications associate to the left. The order of an explicitly typed term is the largest order of the type of its subterms.  $STLC^{\leq k}$  is a fragment of STLC restricted to terms of orders up to  $k$ .

## 3 Refinement of Statman's Theorem

Technically, the main part of the paper is devoted to the construction of the generic reduction from  $k$ -DEXPTIME to  $STLC^{\leq k+6}$ . This constitutes, in familiar terms, the straightforward proof of Statman's theorem. More precisely, we prove the following:

**Theorem 3.1** *Given a (description of a) deterministic Turing machine  $M$  working in time bounded by the  $k$  times iterated exponential function and an input  $\bar{s}$  of size  $n$  one can construct in time polynomial in  $n$  a term  $t$  of size  $O(n)$  and order  $k+6$  such that  $t$  converts to some fixed normal form  $s$  if and only if  $M$  accepts  $\bar{s}$ . It follows that deciding equality in  $STLC^{\leq k+6}$  requires the  $k$ -iterated exponential time (lower bound).  $\square$*

In the sequel we develop the encoding of the generic Turing machine computation within low-order STLC.

## 3.1 Types

We start by defining the types essential for our construction.

### 3.1.1 Type of Projections

For  $m \in \omega$  define the *second-order* type:

$$\pi_m \equiv \underbrace{\iota \rightarrow \dots \rightarrow \iota}_m \rightarrow \iota \quad (1)$$

Type  $\pi_m$  is inhabited by  $m$  projection functions (for  $1 \leq i \leq m$ ):

$$p_i \equiv \lambda x_1: \iota \dots \lambda x_m: \iota. x_i \quad (2)$$

We will use projections of type  $\pi_m$  (with  $m$  to be determined and fixed in the sequel) to encode Turing machine's tape symbols and states.

### 3.1.2 Lists and List Iteration

For a thorough explanation of lists, list iteration, and numerous highly non-trivial examples the reader is referred to (Mairson 1992, Hillebrand et al. 1993, Hillebrand & Kanellakis 1994, Hillebrand & Kanellakis 1996). We only provide basic explanations for the reader's convenience.

Given a set  $\{t_1, t_2, t_3, \dots, t_k\}$  of simply typed terms of the same type  $\alpha$ , consider the term

$$L \equiv \lambda c: \alpha \rightarrow \tau \rightarrow \tau. \lambda n: \tau. c t_1 (c t_2 (c t_3 \dots (c t_{k-1} (c t_k n)))) \quad (3)$$

of type

$$(\alpha \rightarrow \tau \rightarrow \tau) \rightarrow \tau \rightarrow \tau \quad (4)$$

for an *arbitrary but a priori fixed simple type*  $\tau$ . The term  $L$  represents a list of terms  $[t_1, t_2, t_3, \dots, t_k]$  of type  $\alpha$ , the variables  $c$  and  $n$  abstract over the list constructors `cons` and `nil`. Lists are useful to implement primitive recursion. The above cited papers give numerous elaborate examples. We also extensively use list iteration and will provide many examples below.

### 3.1.3 Type of Lists of Projections

Define the *fourth-order* type of *lists of projections* (by fixing  $\alpha$  and  $\tau$  in (4) to be  $\pi_m$ ):

$$\pi_m^* \equiv (\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m \quad (5)$$

Given  $p$  terms  $t_1, \dots, t_p$ , all of type  $\pi_m$ , define the *list*  $[t_1, \dots, t_p]$  of type  $\pi_m^*$  as follows:

$$\lambda c: \pi_m \rightarrow \pi_m \rightarrow \pi_m . \lambda n: \pi_m . c t_1 (c t_2 (c t_3 (\dots (c t_{p-1} (c t_p n)) \dots))) \quad (6)$$

Such lists will be used to encode Turing machine tape configurations.

## 3.2 Turing Machines

For  $k \in \omega$  let  $k$ -*DEXPTIME*( $cn$ ) denote the class of sets (problems) recognizable by one-tape deterministic Turing machines (DTM) in time bounded by

the  $k$  times iterated exponential function  $2^{\left. \begin{matrix} 2^{\dots 2^{cn}} \\ \vdots \\ 2 \end{matrix} \right\}^{k+1}}$ , where  $c > 0$  is a constant and  $n \in \omega$  is the length of input. For example,  $1$ -*DEXPTIME*( $cn$ ) = *DTIME*( $2^{cn}$ ),  $2$ -*DEXPTIME*( $cn$ ) = *DTIME*( $2^{2^{cn}}$ ), etc.

Given a problem  $P \in k$ -*DEXPTIME*( $cn$ ), let  $M$  denote the corresponding DTM recognizing  $P$ . Suppose that  $\Gamma$  and  $Q$  are  $M$ 's tape alphabet (containing the end marker  $\$$ ) and the set of states, and denote by  $N$  the cardinality of  $\Gamma \cup Q$ . Without loss of generality we may suppose that:

1.  $M$  given an input  $s_1 \dots s_n \in \Gamma^*$  of length  $n$  starts in the initial configuration  $\$q_0 s_1 \dots s_n \$$ , where  $q_0 \in Q$  is the initial state;
2.  $M$  stops either with the configuration  $\$q_a \sqcup \dots \sqcup \$$  (accepts) or  $\$q_r \sqcup \dots \sqcup \$$  (rejects), where  $q_a, q_r \in Q$  are two distinguished states, after erasing the tape contents;
3.  $M$  extends the tape (by adding blanks) only on the right end of the tape (replacing  $\$$  with  $\sqcup \$$ ), and never extends it on the left end;
4. in every computation  $M$  writes at least 2 symbols on its tape.

These technical conventions greatly simplify the subsequent presentation.

### 3.2.1 Representing Turing Machine Configurations

Let us describe the representation of a DTM configurations or *instantaneous descriptions* (ID for short). Such an ID keeps the contents of the machine tape together with the position and state of the read/write head. It is convenient for our purposes to represent an ID as a list of type  $\pi_m^*$ , see (5), for an appropriate  $m \in \omega$  to be specified later. For example, the initial ID in which the machine observes the leftmost symbol of the input word *abba* will be represented, according to our conventions, as the term

$$\lambda c: \pi_m \rightarrow \pi_m \rightarrow \pi_m . \lambda n: \pi_m . \\ c [ \$ ] (c [ q_0 ] (c [ a ] (c [ b ] (\dots (c [ b ] (c [ a ] (c [ \$ ] n)) \dots))))))$$

or as a short-hand  $[[ \$ ], [q_0], [a], [b], [b], [a], [ \$ ]]$ , where  $[ \$ ], [q_0], [a], [b]$  are representations of the tape and state symbols by projections of the type  $\pi_m$ , to be discussed below in detail.

**Remark.** Thus the DTM input data is always represented uniformly by closed lambda terms of order four; see the *language uniform typed inputs convention* of (Hillebrand & Kanellakis 1996).

### 3.2.2 Representing Turing Machine Moves

In one move (step) a DTM  $M$  transforms its current ID into the next ID according to the transition rules of  $M$ . Therefore, given an  $M$  we need to represent this transformation as a closed  $\lambda$ -term (of order 5)

$$Move_M : \pi_m^* \rightarrow \pi_m^*$$

The implementation of the term  $Move_M$  is quite tricky and we split the construction into several stages. The key idea is to perform a move in two main stages, as explained by the following diagram:

$$\begin{array}{ccccccc} c & [s_1] & (c & [s_2] & (c & [s_3] & \dots (c & [s_i] & \dots))) \\ c & [s_1 s_2 s_3 s_4] & (c & [s_2 s_3 s_4 s_5] & (c & [s_3 s_4 s_5 s_6] & \dots (c & [s_i s_{i+1} s_{i+2} s_{i+3}] & \dots))) \\ c & [s'_2] & (c & [s'_3] & (c & [s'_4] & \dots (c & [s'_{i+1}] & \dots))) \end{array}$$

The first stage replaces the encoding of each symbol  $s_i$  in the list with the encoding of the quadruple  $s_i s_{i+1} s_{i+2} s_{i+3}$  (i.e., of  $s_i$  together with its three successors in the list; we agree that for the last three symbols  $s_{n-1}$ ,  $s_n$  and  $\$$  in an ID the corresponding quadruples are  $[s_{n-1} s_n \$ \$]$ ,  $[s_n \$ \$ \$]$  and  $[\$ \$ \$ \$]$  respectively).

The second stage implements a well known trick; see, e.g., (Stockmeyer 1974, pp. 38–39). It is easy to see that the contents of the  $i + 1$ -th tape cell in the next ID is uniquely determined (for a given DTM) by the contents of the  $i$ -th,  $i + 1$ -st,  $i + 2$ -nd, and  $i + 3$ -rd cells in the current ID. Indeed, if all  $s_i, s_{i+1}, s_{i+2}$  are symbols from  $\Sigma$ , then  $s'_{i+1}$  equals  $s_{i+1}$ . And if one of  $s_i, s_{i+1}, s_{i+2}$  is a state symbol from  $Q$ , then  $s'_{i+1}$  is uniquely determined from  $s_i, s_{i+1}, s_{i+2}, s_{i+3}$ , as the reader can readily check. For example, if  $s_i = a, s_{i+1} = b, s_{i+2} = q, s_{i+3} = a$  and  $M$  has rule  $q, a \rightarrow b, q', left$ , then  $s_{i+1} = q'$ .

Therefore, the ‘global’ move from the current to the succeeding ID is performed as a series of ‘local’ transformations based on observations of quadruples of adjacent symbols. This is one of the basic encoding tricks underlying our construction.

### 3.2.3 Encoding Tape and State Symbols

We now explain the encoding of tape and state symbols from the alphabet  $\Gamma \cup Q$ . The cardinality of this alphabet depends on a DTM  $M$  chosen, but becomes a *constant*, once  $M$  is *fixed*<sup>1</sup>. From the constant cardinality of the alphabet we must determine and fix the parameter  $m$  in the projection type  $\pi_m$ . This will allow us to statically type all the lists and the list transformation terms in the sequel. Indeed, as we explained previously, we need to have enough projections to encode not only the symbols from  $\Gamma \cup Q$ , but also all possible quadruples of such symbols. Therefore, it suffices to choose  $m$  equal to  $|\Gamma \cup Q|^4$ . We stress that this is a *constant*, once the machine  $M$  is fixed *a priori*. Fixing  $m$  will allow us to write a fixed  $\lambda$ -term defining a DTM step, independent of the input and its length.

Let us agree that the symbols from  $\Gamma \cup Q$  are encoded by the first  $|\Gamma \cup Q|$  projection functions, and that the remaining projections are used appropriately to encode tuples, triples, and quadruples of symbols from  $\Gamma \cup Q$ . We will denote such encoding projections by using appropriate subscripts, e.g.,  $p_{a,b,c,q}$  to encode  $abcq$ ,  $p_{q,a,\$,}$  for  $qa\$\$$ . Not all projections are actually used, some of them, like  $p_{q,q,a,a}$ , do not make sense.

### 3.3 Comparing Projections, Booleans, Conditionals

We use the standard encodings for the *second-order* type  $\text{Bool} \equiv \iota \rightarrow \iota \rightarrow \iota$ , boolean constants  $\text{true} : \text{Bool} \equiv \lambda x : \iota . \lambda y : \iota . x$ ,  $\text{false} : \text{Bool} \equiv \lambda x : \iota . \lambda y : \iota . y$ , operations

$$\begin{aligned} \text{and} & : \text{Bool} \rightarrow \text{Bool} \rightarrow \text{Bool} \equiv \lambda u : \text{Bool} . \lambda v : \text{Bool} . \lambda x : \iota . \lambda y : \iota . u(vxy)y, \\ \text{or} & : \text{Bool} \rightarrow \text{Bool} \rightarrow \text{Bool} \equiv \lambda u : \text{Bool} . \lambda v : \text{Bool} . \lambda x : \iota . \lambda y : \iota . ux(vxy), \\ \text{not} & : \text{Bool} \rightarrow \text{Bool} \equiv \lambda u : \text{Bool} . \lambda x : \iota . \lambda y : \iota . uyx. \end{aligned}$$

We define the equality predicate on projections following (Hillebrand & Kanellakis 1996) as

$$\begin{aligned} \text{eq} : \pi_m \rightarrow \pi_m \rightarrow \text{Bool} & \equiv \\ & \lambda p : \pi_m . \lambda q : \pi_m . \lambda x : \iota . \lambda y : \iota . \\ & p(\underbrace{qxy \dots y}_{m-1})(\underbrace{qyx y \dots y}_{m-2}) \dots (\underbrace{qy \dots y xy}_{m-2})(\underbrace{qy \dots y x}_{m-1}) \end{aligned} \quad (7)$$

$\text{eq}$  applied to two projections  $p_i, p_j : \pi_m$ , converts to **true** or **false** depending on whether  $i = j$  or  $i \neq j$ .

---

<sup>1</sup>Note that we first select a DTM and immediately fix it, so the size of the alphabet is always considered a constant.

### 3.4 Computing Symbols Pairing

As a preparation step for computing encodings of the quadruples of tape symbols, we first define *pairing*:

$$\text{pair} : \pi_m \rightarrow \pi_m \rightarrow \pi_m$$

The intention of this function is to combine encodings in the following way, for any  $s, s_1, s_2, s_3, s_4 \in \Gamma \cup Q$ :

$$[s] + [s_1 s_2 s_3 s_4] = [s s_1 s_2 s_3],$$

i.e, the last element in the encoding of the second argument is forgotten, the remaining symbols are shifted right, and the first argument becomes the first in the encoding. We do not need to define pairing of, say,  $[s_1 s_2 s_3 s_4] + [s'_1 s'_2 s'_3 s'_4]$ , when the first operand is not a single symbol, we let it be defined arbitrarily.

By using the encodings of the booleans and equality described previously, one can easily write down the  $\lambda$ -definition of *pair* as a straightforward tedious enumeration of cases (tabulation):

$$\begin{aligned} \text{pair} : \pi_m \rightarrow \pi_m \rightarrow \pi_m &\equiv \\ \lambda p : \pi_m . \lambda q : \pi_m . \lambda x_1 : \iota . \dots . \lambda x_m : \iota . & \\ \text{if } & \text{eq } p \text{ } p_{s_1} \\ \text{then } & \text{if } \text{eq } q \text{ } p_{s_1 s_1 s_1 s_1} \\ & \text{then } x_{s_1 s_1 s_1 s_1} \\ & \text{else if } \text{eq } q \text{ } p_{s_1 s_1 s_1 s_2} \\ & \text{then } x_{s_1 s_1 s_1 s_1} \\ & \dots \\ & \text{else if } \text{eq } q \text{ } p_{s_i s_j s_l s_n} \\ & \text{then } x_{s_1 s_i s_j s_l} \\ & \dots \\ & \text{else if } \text{eq } q \text{ } p_{s_m s_m s_m s_m} \\ & \text{then } x_{s_1 s_m s_m s_m} \\ & \text{else } x_{s_1 s_m s_m s_m} \\ \text{else if } & \text{eq } p \text{ } p_{s_2} \\ \text{then } & \text{if } \text{eq } q \text{ } p_{s_1 s_1 s_1 s_1} \\ & \text{then } x_{s_2 s_1 s_1 s_1} \\ & \text{else if } \text{eq } q \text{ } p_{s_1 s_1 s_1 s_2} \\ & \text{then } x_{s_2 s_1 s_1 s_1} \\ & \dots \\ & \text{else if } \text{eq } q \text{ } p_{s_i s_j s_l s_n} \\ & \text{then } x_{s_2 s_i s_j s_l} \end{aligned}$$

```

...
else if eq q psmsmsmsm
then xs2smsmsm
else xs2smsmsm
...

```

where  $\lambda b: \text{Bool} . \lambda x: \iota . \lambda y: \iota . \text{if } b \text{ then } x \text{ else } y \equiv ((b)(x)(y))$

### 3.5 Computing the Encoding of the First Four Symbols in a List

Our first application of the list iteration consists in  $\lambda$ -defining a term, which being applied to a list of symbols (encoded as projections) converts to the encoding of the first four symbols of the list as follows. Applied to

$$\lambda c . \lambda n . c [s_1] (c [s_2] (c [s_3] (c [s_4] \dots (c [s_i] \dots (c [\$] n)))))) \quad (8)$$

it yields  $[s_1 s_2 s_3 s_4]$ , where  $[ ]$  is an appropriate encoding of symbols and quadruples of symbols by projections. The definition of this term of *order five* is as follows:

$$\begin{aligned} \textit{First-Four} : ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \equiv \\ \lambda L : (\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m . L \textit{ pair } p_{\text{\$}\text{\$}\text{\$}\text{\$}} \end{aligned}$$

It is easy to see that when *First-Four* applies to the list (8), it produces the body of the list, where  $c$  is replaced with *pair* and  $n$  replaced with  $p_{\text{\$}\text{\$}\text{\$}\text{\$}}$ , i.e.,

$$\textit{pair} [s_1] (\textit{pair} [s_2] (\textit{pair} [s_3] (\textit{pair} [s_4] \dots (\textit{pair} [s_i] \dots (\textit{pair} [\$] p_{\text{\$}\text{\$}\text{\$}\text{\$}}))))))$$

Immediate reductions with *pair* afterwards produce the desired result  $[s_1 s_2 s_3 s_4]$ .

### 3.6 Computing the List of Quadruples

Our next aim is to define the closed  $\lambda$ -term *List-of-Quadruples*:  $\pi_m^* \rightarrow \pi_m^*$  (see (5)) of *order five*, which is intended to convert to the second list, when being applied to the first one, as shown below:

$$\begin{aligned} c [s_1] (c [s_2] (c [s_3] \dots (c [s_i] \dots))) \\ c [s_1 s_2 s_3 s_4] (c [s_2 s_3 s_4 s_5] (c [s_3 s_4 s_5 s_6] \dots (c [s_i s_{i+1} s_{i+2} s_{i+3}] \dots))) \end{aligned}$$

Let us define this term as follows:

$$\begin{aligned}
\text{List-of-Quadruples}: & ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \\
& ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m) \equiv \\
\lambda R: & (\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m . \\
\lambda c: & \pi_m \rightarrow \pi_m \rightarrow \pi_m . \lambda n: \pi_m . \\
& R \left( \lambda r: \pi_m . \lambda T: \pi_m . \right. \\
& \left. c (\text{pair } r ((\lambda c: \pi_m \rightarrow \pi_m \rightarrow \pi_m . \lambda n: \pi_m . T) \text{pair } p_m) T) \right) n
\end{aligned}$$

- When *List-of-Quadruples* is applied to a list  $R$ , all constructors  $c$  in applications  $c [s_i] \text{tail}_i$  in its body are replaced with the function  $\lambda r: \pi_m . \lambda T: \pi_m . \dots$ .
- The body of this function then creates the first element of the resulting list  $[s_i s_{i+1} s_{i+2} s_{i+3}]$  by using the first element  $s_i$  bound to  $r$  and the  $\text{tail}_i$  bound to  $t$  and using the *First-Four* described above, and iterates the same transformation along the list.

### 3.7 Computing a Turing Machine Step

Our next aim consists in  $\lambda$ -defining the *fifth-order* term

$$\text{Step}_M: ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m) \rightarrow ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m)$$

which implements the second part of the ID transformation by a given deterministic Turing machine, i.e.,

$$\begin{array}{ccccccc}
c [s_1 s_2 s_3 s_4] & (c [s_2 s_3 s_4 s_5] & (c [s_3 s_4 s_5 s_6] & \dots & (c [s_i s_{i+1} s_{i+2} s_{i+3}] & \dots))) \\
c [s'_2] & (c [s'_3] & (c [s'_4] & \dots & (c [s'_{i+1}] & \dots)))
\end{array}$$

where  $s'_i$  in the next ID are uniquely determined by adjacent quadruples of adjacent symbols  $s_{i-1} s_i s_{i+1} s_{i+2}$ ; see Section 3.2.2. Although the very first symbol  $s'_1$  in the next ID remains undetermined, by our convention in Section 3.2, the leftmost tape symbol  $\$$  remains always unchanged, therefore we can subsequently add it in the head of the list explicitly.

The definition of  $\text{Step}_M$  once again uses the list iteration:

$$\begin{aligned}
\text{Step}_M: & ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \\
& ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m) \equiv \\
\lambda L: & (\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m . \\
\lambda c: & \pi_m \rightarrow \pi_m \rightarrow \pi_m . \lambda n: \pi_m . \\
& L \left( \lambda r: \pi_m . \lambda t: \pi_m . c (\text{trans}_M r) t \right) n
\end{aligned}$$



When applied to a list of quadruples of symbols,  $Step_M$  walks down the list and transforms every quadruple encoding  $[s_{i-1}s_i s_{i+1}s_{i+2}]$  bounded to  $r$  into the encoding of  $[s_i]'$ , by using the function  $trans_M$ , which describes, for a given DTM  $M$  the desired uniquely determined transformation.

For any given DTM  $M$  this function  $trans_M$  is easy to define by tabulation (finite tedious case analysis). For example, if  $M$  has command  $q, a \rightarrow b, q', L$  (in state  $q$  seeing  $a$  write  $b$  and move left), the  $\lambda$ -definition of  $trans_M$  will contain:

$$\begin{aligned} trans_M: \pi_m \rightarrow \pi_m &\equiv \\ \lambda s: \pi . \lambda x_1: \iota \dots \lambda x_m: \iota . & \\ \dots & \\ \text{if } \text{eq } s \text{ } p_{baqa} & \\ \text{then } p_{q'} x_1 x_2 \dots x_m & \\ \dots & \end{aligned}$$

Indeed if we know that in the preceding ID  $s_{i-1}s_i s_{i+1}s_{i+2} = baqa$ , then in the next ID  $s'_i$  is uniquely determined as  $q'$ , encoded by the projection  $p_{q'}$  according to our convention.

Finally, the desired *fifth-order* term  $Move_M$  describing the full one-step ID transformation is defined by

$$\begin{aligned} Move_M: ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m) \rightarrow & \\ ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m) \equiv & \\ \lambda L: (\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m . & \\ \lambda c: \pi_m \rightarrow \pi_m \rightarrow \pi_m . \lambda n: \pi_m . & \\ c \text{ } [\text{\$}] ((Step_M (List-of-Quadruples L)) c \text{ } n) & \end{aligned}$$

Recall from Section 3.2.2 that *List-of-Quadruples* first transforms  $L$  into a list of (encodings of) quadruples of adjacent tape symbols, then  $Step_M$  performs the global ID transformation by ‘local’ transformations of quadruples. Finally, we add the fist unchanged end marker  $\text{\$}$  on the left of the tape.

This finishes the definition of a single ID transformation step by a DTM within the  $STLC^{\leq 5}$ . Indeed, all terms defined are of order *at most five*.

### 3.8 Iterating Turing Machine Steps

Now we need to iterate the one-step ID transformations implemented by  $Move_M$  the desired  $k$ -exponential number of times in order to be able to model any  $k$ -exponential time bounded computations. This is achieved by using the iterated exponentiation arithmetic on Church numerals over varying domains; see (Fortune et al. 1983).



1.  $add: I_k \rightarrow I_k \rightarrow I_k$  is  $\lambda$ -definable addition on Church numerals over  $B_k$ .
2.  $[ [\text{\$}], [s_1], [s_2], \dots, [s_{n-1}], [s_n], [\text{\$}] ]: \underbrace{(\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m}_{B_0}$   
is the list encoding of the initial machine's tape of size  $O(n)$ ;
3.  $Move_M: \underbrace{((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m)}_{B_0} \rightarrow \underbrace{((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m)}_{B_0}$   
is the lambda term described above implementing a single step of  $M$ ;
4.  $k\text{-EXP}(\underbrace{add\ n(\dots(add\ n\ n)\dots)}_{d-1}): (B_0 \rightarrow B_0) \rightarrow (B_0 \rightarrow B_0)$   
is a Church numeral, which converts to the normal form representing  $\left. \begin{matrix} 2 \cdot 2^{k+1} \\ \dots \\ 2 \end{matrix} \right\} dn$  over domain  $B_0$ ;
5. therefore, the term (10) iterates the moves of the DTM the required  $k$ -exponential number of times;
6. the order of the term (10) is therefore  $k + 6$ ; indeed, the order of  $B_0$  is 4, the order of  $I_k = (B_k \rightarrow B_k) \rightarrow (B_k \rightarrow B_k)$  is  $ord(B_k) + 2$ , and  $ord(B_{i+1}) = ord(B_i) + 1$ ; therefore, the order of  $I_k$  (maximal type in (10)) is  $k + 6$ .
7. *Result*:  $((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m)$  is the lambda term extracting the result, either

- (a)  $\lambda c: \pi_m \rightarrow \pi_m \rightarrow \pi_m . \lambda n: \pi_m . c [\text{\$}] (c [q_a] (c [\text{\$}] n))$  (accept) or
- (b)  $\lambda c: \pi_m \rightarrow \pi_m \rightarrow \pi_m . \lambda n: \pi_m . c [\text{\$}] (c [q_r] (c [\text{\$}] n))$  (reject)

from the lists remaining after DTM's computations (respectively)

- (a)  $[ [\text{\$}], [q_a], [\square], [\square], \dots, [\square], [\text{\$}] ]$  or
- (b)  $[ [\text{\$}], [q_r], [\square], [\square], \dots, [\square], [\text{\$}] ]$ ,

where the last two lists may have varying length (recall that by convention DTMs are standardized and in the end of the work replace all occupied tape cells with blanks, move to the leftmost tape position, and enter accepting/rejecting state).

The function *Result* is  $\lambda$ -defined immediately:

$$\begin{aligned} \text{Result: } & ((\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \text{Bool} \equiv \\ & \lambda L: (\pi_m \rightarrow \pi_m \rightarrow \pi_m) \rightarrow \pi_m \rightarrow \pi_m \cdot \mathbf{eq} \, p_{\$q_a \sqcup \sqcup} (L \text{ pair } p_{\$ \$ \$ \$}), \end{aligned}$$

(recall that we assume (wlog) that  $M$  uses at least two tape cells in any computation).

This finishes the linearly bounded reduction from  $k$ -*DEXPTIME* to deciding equality in  $\text{STLC}^{\leq k+6}$  between two terms one of which may be fixed to the fourth-order term

$$\lambda c: \pi_m \rightarrow \pi_m \rightarrow \pi_m \cdot \lambda n: \pi_m \cdot c \, [\$] (c \, [q_a] (c \, [\$] n)) \quad (\text{DTM accepts}) \quad (11)$$

Therefore, deciding equality in  $\text{STLC}^{\leq k+6}$  requires  $k$ -times iterated exponential time, or is  $k$ -*DEXPTIME*-hard. This completes the proof of Theorem 3.1.

## 4 Complexity of the Bounded-Order Higher-Order Matching

As an application of the preceding results we now turn to improving lower bounds for the higher-order matching problem of fixed bounded order. Recall that the problem consists, given closed normalized terms  $t$  of type  $\sigma_1 \rightarrow \dots \rightarrow \sigma_n \rightarrow \tau$  and  $u$  of type  $\tau$  to determine whether there exist terms  $x_i$  of types  $\sigma_i$  (for  $1 \leq i \leq n$ ) such that  $tx_1 \dots x_n =_{\beta\eta} u$ . The order of the instance  $tx_1 \dots x_n \stackrel{?}{=} u$  of the problem is defined as  $\max\{\text{ord}(\sigma_1), \dots, \text{ord}(\sigma_n)\}$ , i.e., the maximal order of type of a free variable on the left. Note that in an instance of the matching problem the instantiable variables are only allowed on the left (in contrast to unification, where variables are allowed on both sides and which is undecidable for order three without constants and for order two with constants, due to Huet-Goldfarb).

While the decidability status of the higher-order matching problem remains open, it makes sense to provide compelling evidence of the inherent difficulty of the problem by proving non-trivial lower bounds (Compton & Henson 1990, Problem 10.11, p. 75). As we mentioned in the Introduction (Theorem 1.1), if one does not impose the bound on the orders of variables in instances, then the higher-order matching problem has a strong non-elementary lower bound, but this result does not imply any lower bounds for the  $k$ -order bounded matching ( $k \in \omega$ ). Now we have enough machinery to settle this problem.

Note that we spent additional effort (e.g., in Section 3.8 and in the whole construction) to guarantee that the term appearing on the right of equalities in the reduction class is *fixed* and does not depend neither on input, nor on the machine description, which is important for our current development.

For a fixed  $k \in \omega$  consider the instances, for varying input strings  $s_1 \dots s_n$ , of closed equations

$$(10) \stackrel{?}{=} (11) \tag{12}$$

where the term (11) on the right is normalized. We now turn in linear time the equation instance (12) into an instance of the higher-order matching problem. The key obstacle is that the term (10) on the left of the instance (12) is not normalized. The trick we already used in (Vorobyov 1997) is as follows. Let us work with finite systems of instances of the matching problem rather than with single instances. Start with the system  $S$  containing a single input equation (12). Replace every  $\beta$ -redex  $(\lambda x: \sigma. M)^{\sigma \rightarrow \tau} N^\sigma$  in (12) with the (non-redex) term  $((f^{(\sigma \rightarrow \tau) \rightarrow \sigma \rightarrow \tau} (\lambda x: \sigma. M)^{\sigma \rightarrow \tau}) N^\sigma)$ , where  $f: (\sigma \rightarrow \tau) \rightarrow \sigma \rightarrow \tau$  is a fresh free variable, and add equation  $f = \lambda g: \sigma \rightarrow \tau. \lambda z: \sigma. gz$  to system  $S$ . The variable  $f$  plays the role of *apply*: it takes two arguments and applies the first one to the second one.

Similarly, replace every  $\eta$ -redex  $\lambda x: \sigma. M^{\sigma \rightarrow \tau} x^\sigma$  ( $x$  not free in  $M$ ) in (12) with the (non-redex) term  $\lambda x: \sigma. f^{\sigma \rightarrow \sigma}(M^{\sigma \rightarrow \tau} x^\sigma)$ , where  $f: \sigma \rightarrow \sigma$  is a fresh free variable, and add equation  $f = \lambda u: \sigma. u$  to  $S$ .

The resulting system  $S$  contains free variables only on the left-hand sides and all terms on the left and right-hand sides are normalized. It remains to reduce the system of equations  $S$  to *just one equation* by tupling:  $\bigwedge_{i=1}^n M_i = N_i \Leftrightarrow \lambda f. f M_1 \dots M_k = \lambda f. f N_1 \dots N_k$ . Note that the resulting equation *does not contain variables on the right*, so we translated the initial equation (12) to the instance of the higher-order matching problem with normalized terms. Note that the right-hand side of (12) reduces to the right-hand side of (12) if and only if the obtained instance of the matching problem has a solution. It remains to notice that the order of the matching problem is *by one greater* than the maximal order of subterm in (10). This is because the maximal order subterm (redex)  $(n^{I_k} 2^{I_{k-1}})$  (see (10), (9)) introduces, while eliminating the  $\beta$ -redex, the free variable  $f: I_k \rightarrow I_{k-1} \rightarrow I_{k-1}$ . Thus the maximal order of a variable in the resulting matching instance is by one larger the largest order of subterm in (10). Summarizing, we obtain the promised

**Theorem 4.1**  *$k$ -DEXPTIME is linearly reducible to the higher-order matching problem (in STLC) of order  $k + 7$ . Thus, order  $k + 7$  matching requires (lower bound)  $k$ -level exponential time.*

More precisely, given a description of a problem  $P$  and input  $x$  of size  $n$  one can construct in polynomial time an instance  $S$  of the higher-order matching problem of order  $k + 7$  such that  $x \in P$  if and only if  $S$  has a solution.  $\square$

This gives an improvement (lower bounds for the fixed order matching) over the result of (Vorobyov 1997), which does not imply any lower bounds for the bounded order matching.

## 5 Conclusions

In this paper we settled the optimal (up to an additive constant 6) lower bound for the equality in the order bounded fragments  $\text{STLC}^{\leq k}$  (for fixed  $k$ ) of the simply typed lambda calculus  $\text{STLC}$ . It is now known that checking whether a given term of order  $k + 6$  normalizes to a fixed normal form is as hard as deciding a  $k$ -*DEXPTIME*-complete problem. Thus comparing  $\beta\eta$ -equality of terms of  $\text{STLC}^{\leq k+6}$  requires the  $k$ -times iterative exponential time.

This result improves upon previous results (Statman 1979, Mairson 1992, Vorobyov 1997), which did not imply any nontrivial lower bounds for fixed orders (however the strong lower bound of (Vorobyov 1997) for unbounded orders persists and is not superceded by the present result), and over the result of (Hillebrand & Kanellakis 1996), reducing  $k$ -*DEXPTIME* to the order  $2k + 3$   $\text{STLC}$  (we thus get a double increase, in terms of heights of exponentiation towers, of lower complexity bounds).

As an application, we obtained new strong lower bound for the fixed-order higher-order matching, still an open problem. It turns out that for every  $k \in \omega$  deciding matchability of order  $k + 7$  is at least as difficult as deciding an arbitrary (complete) problem in  $k$ -*DEXPTIME*. Thus  $k + 7$ -order matching requires the  $k$ -times iterative exponential time. Earlier results either gave nontrivial lower bounds for unbounded order matching (Vorobyov 1997), or for the specific orders up to four only (Wierzbicki 1999).

Methodologically, we obtained our results as consequences of the streamlined and immediate proof of Statman's theorem by a single step generic reduction. This gives a conceptually simpler proof yielding stronger lower bounds and bound for fixed orders, in contrast with the previous two-step reduction proofs of (Statman 1979, Mairson 1992, Vorobyov 1997).

It remains open whether the additive constants 6 and 7 in our lower bounds could be diminished to give stronger results.

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