

Quiz

Assuming that a and b are distinct variables, is it possible to find λ -terms M_1 to M_7 that make the following pairs α -equivalent?

- $\lambda a. \lambda b. (M_1 b)$ and $\lambda b. \lambda a. (a M_1)$
- $\lambda a. \lambda b. (M_2 b)$ and $\lambda b. \lambda a. (a M_3)$
- $\lambda a. \lambda b. (b M_4)$ and $\lambda b. \lambda a. (a M_5)$
- $\lambda a. \lambda b. (b M_6)$ and $\lambda a. \lambda a. (a M_7)$

If there is one solution for a pair, can you describe all its solutions?

Nominal Unification

Hitting a Sweet Spot

Christian Urban

initial spark from Roy Dyckhoff in November 2001
joint work with Andy Pitts and Jamie Gabbay

One Motivation

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Typing implemented in Prolog (from a textbook)

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```
type (Gamma, var(X), T) :- member (X,T) Gamma.
```

```
type (Gamma, app(M, N), T') :-  
    type (Gamma, M, arrow(T, T')),  
    type (Gamma, N, T).
```

```
type (Gamma, lam(X, M), arrow(T, T')) :-  
    type ((X, T)::Gamma, M, T').
```

```
member X X::Tail.
```

```
member X Y::Tail :- member X Tail.
```

One Motivation

The problem is that $\lambda x.\lambda x.(x x)$ will have the types

$T \rightarrow (T \rightarrow S) \rightarrow S$ and
 $(T \rightarrow S) \rightarrow T \rightarrow S$

type (Gamma, N, T).

type (Gamma, lam(X, M), arrow(T, T')) :-
type ((X, T)::Gamma, M, T').

member X X::Tail.

member X Y::Tail :- member X Tail.

Higher-Order Unification

State of the art at the time:

- Lambda Prolog with full Higher-Order Unification
(no mgus, undecidable, modulo $\alpha\beta$)
- Higher-Order Pattern Unification
(has mgus, decidable, some restrictions, modulo $\alpha\beta_0$)

Underlying Ideas

- Unification (**only**) up to α

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- Swappings / Permutations

$\lambda a.b$

$\lambda c.b$

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$$\begin{aligned} [b := a] \lambda a. b \\ = \lambda a. a \end{aligned}$$

$$\begin{aligned} [b := a] \lambda c. b \\ = \lambda c. a \end{aligned}$$

Underlying Ideas

- Unification (**only**) up to α
- Swappings / Permutations

$$\begin{array}{ll} (a\ b) \cdot \lambda a.b & (a\ b) \cdot \lambda c.b \\ = \lambda b.a & = \lambda c.a \end{array}$$

$(a\ b) \cdot t \stackrel{\text{def}}{=} \text{swap all occurrences of } b \text{ and } a \text{ in } t$

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$(a\ b) \cdot t \stackrel{\text{def}}{=} \text{swap all occurrences of } b \text{ and } a \text{ in } t$

Unlike for $[b := a] \cdot (-)$, for $(a\ b) \cdot (-)$ we do have if $t =_{\alpha} t'$ then $\pi \cdot t =_{\alpha} \pi \cdot t'$.

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$$\lambda xs. \left(\bullet ys \right)$$

ys are the parameters the hole can depend on

Underlying Ideas

- Unification (**only**) up to α
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$$\lambda x s. \left(\bullet y s \right)$$

$y s$ are the parameters the hole can depend on,
but then you need β_0 -reduction

$$(\lambda x. t) y \longrightarrow_{\beta_0} t[x := y]$$

Underlying Ideas

- Unification (**only**) up to α
- Swappings / Permutations
- Variables (or holes)

$\lambda x s.$



we will record the information about which parameters a hole **cannot** depend on

Terms

- $\langle \rangle$ Units
- $\langle t, t' \rangle$ Pairs
- $F t$ Funct.

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- $\langle \rangle$ Units
- a Atoms
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- $F t$ Funct.

Atoms are constants (infinitely many of them)

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- $\langle t, t' \rangle$ Pairs
- $F t$ Funct.
- a Atoms
- $a.t$ Abstractions

$\lceil \lambda a.a \rceil \mapsto \text{fn } a.a$

constructions like $\text{fn } X.X$ are not allowed

Terms

- $\langle \rangle$ Units
- $\langle t, t' \rangle$ Pairs
- $F t$ Funct.
- a Atoms
- $a.t$ Abstractions
- $\pi \cdot X$ Suspensions

X is a variable standing for a term

π is an explicit permutation $(a_1 b_1) \dots (a_n b_n)$, waiting to be applied to the term that is substituted for X

Permutations

a permutation applied to a term

- $\lambda \cdot c \stackrel{\text{def}}{=} c$
- $(a\ b) :: \pi \cdot c \stackrel{\text{def}}{=} \begin{cases} a & \text{if } \pi \cdot c = b \\ b & \text{if } \pi \cdot c = a \\ \pi \cdot c & \text{otherwise} \end{cases}$

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- $\pi \cdot a.t \stackrel{\text{def}}{=} \pi \cdot a.\pi \cdot t$

Permutations

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- $\pi \cdot a.t \stackrel{\text{def}}{=} \pi \cdot a.\pi \cdot t$
- $\pi \cdot \pi' \cdot X \stackrel{\text{def}}{=} (\pi @ \pi') \cdot X$

Freshness Constraints

Recall $\lambda a.$ ●

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We therefore will identify

$$\text{fn } a.X \approx \text{fn } b.(a b).X$$

provided that ‘ b is fresh for X — ($b \# X$)’, i.e.,
does not occur freely in any ground term that
might be substituted for X .

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If we know more about X , e.g., if we knew that $a \# X$ and $b \# X$, then we can replace $(a\ b).X$ by X .

Equivalence Judgements

Our equality is **not** just

$$t \approx t'$$

α -equivalence

Equivalence Judgements

but judgements

$$\nabla \vdash t \approx t' \quad \alpha\text{-equivalence}$$

where

$$\nabla = \{a_1 \# X_1, \dots, a_n \# X_n\}$$

is a finite set of **freshness assumptions**.

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$$\{a \# X, b \# X\} \vdash \text{fn } a.X \approx \text{fn } b.X$$

Equivalence Judgements

but judgements

$\nabla \vdash t \approx t'$ α -equivalence

$\nabla \vdash a \# t$ freshness

where

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is a finite set of **freshness assumptions**.

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Rules for Equivalence

Excerpt
(i.e. only the interesting rules)

Rules for Equivalence

$$\overline{\nabla \vdash a \approx a}$$

$$\frac{\nabla \vdash t \approx t'}{\nabla \vdash a.t \approx a.t'}$$

$$\frac{a \neq b \quad \nabla \vdash t \approx (a b).t' \quad \nabla \vdash a \# t'}{\nabla \vdash a.t \approx b.t'}$$

Rules for Equivalence

$$\frac{\begin{array}{l} (a \# X) \in \nabla \\ \text{for all } a \text{ with } \pi \cdot a \neq \pi' \cdot a \end{array}}{\nabla \vdash \pi \cdot X \approx \pi' \cdot X}$$

Rules for Equivalence

$$\frac{(a \# X) \in \nabla \text{ for all } a \text{ with } \pi \cdot a \neq \pi' \cdot a}{\nabla \vdash \pi \cdot X \approx \pi' \cdot X}$$

for example

$$\{a \# X, b \# X\} \vdash X \approx (a b) \cdot X$$

Rules for Equivalence

$$\frac{(a \# X) \in \nabla \text{ for all } a \text{ with } \pi \cdot a \neq \pi' \cdot a}{\nabla \vdash \pi \cdot X \approx \pi' \cdot X}$$

for example

$$\{a \# X, c \# X\} \vdash (a c)(a b) \cdot X \approx (b c) \cdot X$$

because $(a c)(a b)$: $a \mapsto b$ $(b c)$: $a \mapsto a$
 $b \mapsto c$ $b \mapsto c$
 $c \mapsto a$ $c \mapsto b$

disagree at a and c .

Rules for Freshness

Excerpt
(i.e. only the interesting rules)

Rules for Freshness

$$\frac{a \neq b}{\nabla \vdash a \# b}$$

$$\frac{}{\nabla \vdash a \# a.t}$$

$$\frac{a \neq b \quad \nabla \vdash a \# t}{\nabla \vdash a \# b.t}$$

$$\frac{(\pi^{-1} \cdot a \# X) \in \nabla}{\nabla \vdash a \# \pi \cdot X}$$

\approx is an Equivalence

Theorem: \approx is an equivalence relation.

(Reflexivity) $\nabla \vdash t \approx t$

(Symmetry) if $\nabla \vdash t_1 \approx t_2$ then $\nabla \vdash t_2 \approx t_1$

(Transitivity) if $\nabla \vdash t_1 \approx t_2$ and $\nabla \vdash t_2 \approx t_3$
then $\nabla \vdash t_1 \approx t_3$

\approx is an Equivalence

Theorem: \approx is an equivalence relation.

- $\nabla \vdash t \approx t'$ then $\nabla \vdash \pi \cdot t \approx \pi \cdot t'$
- $\nabla \vdash a \# t$ then $\nabla \vdash \pi \cdot a \# \pi \cdot t$

\approx is an Equivalence

Theorem: \approx is an equivalence relation.

- $\nabla \vdash t \approx t'$ then $\nabla \vdash \pi \cdot t \approx \pi \cdot t'$
- $\nabla \vdash a \# t$ then $\nabla \vdash \pi \cdot a \# \pi \cdot t$
- $\nabla \vdash t \approx \pi \cdot t'$ then $\nabla \vdash (\pi^{-1}) \cdot t \approx t'$
- $\nabla \vdash a \# \pi \cdot t$ then $\nabla \vdash (\pi^{-1}) \cdot a \# t$

\approx is an Equivalence

Theorem: \approx is an equivalence relation.

- $\nabla \vdash t \approx t'$ then $\nabla \vdash \pi \cdot t \approx \pi \cdot t'$
- $\nabla \vdash a \# t$ then $\nabla \vdash \pi \cdot a \# \pi \cdot t$
- $\nabla \vdash t \approx \pi \cdot t'$ then $\nabla \vdash (\pi^{-1}) \cdot t \approx t'$
- $\nabla \vdash a \# \pi \cdot t$ then $\nabla \vdash (\pi^{-1}) \cdot a \# t$
- $\nabla \vdash a \# t$ and $\nabla \vdash t \approx t'$ then $\nabla \vdash a \# t'$

Comparison $=_{\alpha}$

Traditionally $=_{\alpha}$ is defined as

least congruence which identifies $a.t$ with $b.[a := b]t$ provided b is not free in t

where $[a := b]t$ replaces all free occurrences of a by b in t .

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For **ground** terms:

Theorem: $t =_{\alpha} t'$ iff $\emptyset \vdash t \approx t'$
 $a \notin FA(t)$ iff $\emptyset \vdash a \# t$

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least congruence which identifies $a.t$ with $b.[a := b]t$ provided b is not free in t

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In general $=_{\alpha}$ and \approx are distinct!

$a.X =_{\alpha} b.X$ but not
 $\emptyset \vdash a.X \approx b.X$ ($a \neq b$)

Comparison $=_{\alpha}$

That is a crucial point: if we had

$$\emptyset \vdash a.X \approx b.X,$$

then applying $[X := a]$, $[X := b]$, \dots
give two terms that are **not** α -equivalent.

The freshness constraints $a \# X$ and $b \# X$
rule out the problematic substitutions.

Therefore

$$\{a \# X, b \# X\} \vdash a.X \approx b.X$$

does hold.

Substitution

- $\sigma(a.t) \stackrel{\text{def}}{=} a.\sigma(t)$
- $\sigma(\pi \cdot X) \stackrel{\text{def}}{=} \begin{cases} \pi \cdot \sigma(X) & \text{if } \sigma(X) \neq X \\ \pi \cdot X & \text{otherwise} \end{cases}$

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for example

$$a.(a b) \cdot X \quad [X := \langle b, Y \rangle]$$

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for example

$$\begin{aligned} & \underline{a.(a b) \cdot X [X := \langle b, Y \rangle]} \\ \Rightarrow & \underline{a.(a b) \cdot X [X := \langle b, Y \rangle]} \end{aligned}$$

Substitution

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for example

$$\begin{aligned} & a.(a b) \cdot X \ [X := \langle b, Y \rangle] \\ \Rightarrow & a.(a b) \cdot X [X := \langle b, Y \rangle] \\ \Rightarrow & a.\underline{(a b)} \cdot \langle b, Y \rangle \\ \Rightarrow & a.\langle a, (a b) \cdot Y \rangle \end{aligned}$$

Substitution

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- if $\nabla \vdash t \approx t'$ and $\nabla' \vdash \sigma(\nabla)$
then $\nabla' \vdash \sigma(t) \approx \sigma(t')$

Substitution

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this means

$\nabla' \vdash a \# \sigma(X)$

holds for all

$(a \# X) \in \nabla$

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- if $\nabla \vdash t \approx t'$ and $\nabla' \vdash \sigma(\nabla)$
then $\nabla' \vdash \sigma(t) \approx \sigma(t')$
- $\sigma(\pi \cdot t) = \pi \cdot \sigma(t)$

Equational Problems

An equational problem

$$t \approx? t'$$

is **solved** by

- a substitution σ (terms for variables)
- **and** a set of freshness assumptions ∇

so that $\nabla \vdash \sigma(t) \approx \sigma(t')$.

Unifying equations may entail solving **freshness problems**.

E.g. assuming that $a \neq a'$, then

$$a.t \approx? a'.t'$$

can only be solved if

$$t \approx? (a \ a') \cdot t' \quad \text{and} \quad a \#? t'$$

can be solved.

Freshness Problems

A freshness problem

$a \#? t$

is **solved** by

- a substitution σ
- and a set of freshness assumptions ∇

so that $\nabla \vdash a \# \sigma(t)$.

Existence of MGUs

Theorem: There is an algorithm which, given a nominal unification problem P , decides whether or not it has a solution (σ, ∇) , and returns a **most general** one if it does.

Existence of MGUs

Theorem: There is an algorithm which, given a nominal unification problem P , decides whether or not it has a solution (σ, ∇) , and returns a **most general** one if it does.

most general:
straightforward definition
“iff there exists a τ such that ...”

Existence of MGUs

Theorem: There is an algorithm which, given a nominal unification problem P , decides whether or not it has a solution (σ, ∇) , and returns a **most general** one if it does.

Proof: one can reduce all the equations to ‘solved form’ first (creating a substitution), and then solve the freshness problems (easy).

Remember the Quiz?

Assuming that a and b are distinct variables, is it possible to find λ -terms M_1 to M_7 that make the following pairs α -equivalent?

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- $\lambda a. \lambda b. (M_2 b)$ and $\lambda b. \lambda a. (a M_3)$
- $\lambda a. \lambda b. (b M_4)$ and $\lambda b. \lambda a. (a M_5)$
- $\lambda a. \lambda b. (b M_6)$ and $\lambda a. \lambda a. (a M_7)$

If there is one solution for a pair, can you describe all its solutions?

Answers to the Quiz

$\lambda a.\lambda b.(M_1 b)$ and $\lambda b.\lambda a.(a M_1)$

Answers to the Quiz

$a.b.\langle M_1, b \rangle \approx? b.a.\langle a, M_1 \rangle$

Answers to the Quiz

$$a.b.\langle M_1, b \rangle \approx? b.a.\langle a, M_1 \rangle$$

$$\stackrel{\epsilon}{\Rightarrow} b.\langle M_1, b \rangle \approx? (ab) \cdot a.\langle a, M_1 \rangle, a \#? a.\langle a, M_1 \rangle$$

Answers to the Quiz

$$a.b.\langle M_1, b \rangle \approx? b.a.\langle a, M_1 \rangle$$

$$\stackrel{\epsilon}{\Rightarrow} b.\langle M_1, b \rangle \approx? b.\langle b, (a b) \bullet M_1 \rangle, a \#? a.\langle a, M_1 \rangle$$

Answers to the Quiz

$$a.b.\langle M_1, b \rangle \approx? b.a.\langle a, M_1 \rangle$$

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$$\stackrel{\varepsilon}{\Rightarrow} M_1 \approx? b, b \approx? (a b) \bullet M_1, a \#? a.\langle a, M_1 \rangle$$

$$\stackrel{[M_1 := b]}{\Rightarrow} b \approx? (a b) \bullet b, a \#? a.\langle a, b \rangle$$

Answers to the Quiz

$$a.b.\langle M_1, b \rangle \approx? b.a.\langle a, M_1 \rangle$$

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\Rightarrow *FAIL*

Answers to the Quiz

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$$\stackrel{\varepsilon}{\Rightarrow} M_1 \approx? b, b \approx? (a b) \bullet M_1, a \#? a.\langle a, M_1 \rangle$$

$$\stackrel{[M_1 := b]}{\Rightarrow} b \approx? a, a \#? a.\langle a, b \rangle$$

\Rightarrow *FAIL*

$\lambda a.\lambda b.(M_1 b) =_{\alpha} \lambda b.\lambda a.(a M_1)$ has no solution

Answers to the Quiz

$\lambda a.\lambda b.(b M_6)$ and $\lambda a.\lambda a.(a M_7)$

Answers to the Quiz

$a.b.\langle b, M_6 \rangle \approx? a.a.\langle a, M_7 \rangle$

Answers to the Quiz

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$$\stackrel{\varepsilon}{\Rightarrow} b.\langle b, M_6 \rangle \approx? a.\langle a, M_7 \rangle$$

Answers to the Quiz

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$$\stackrel{\varepsilon}{\Rightarrow} b.\langle b, M_6 \rangle \approx? a.\langle a, M_7 \rangle$$

$$\stackrel{\varepsilon}{\Rightarrow} \langle b, M_6 \rangle \approx? \langle b, (b a) \bullet M_7 \rangle, b \#? \langle a, M_7 \rangle$$

Answers to the Quiz

$$a.b.\langle b, M_6 \rangle \approx? a.a.\langle a, M_7 \rangle$$

$$\stackrel{\varepsilon}{\Rightarrow} b.\langle b, M_6 \rangle \approx? a.\langle a, M_7 \rangle$$

$$\stackrel{\varepsilon}{\Rightarrow} \langle b, M_6 \rangle \approx? \langle b, (b a) \bullet M_7 \rangle, b \#? \langle a, M_7 \rangle$$

$$\stackrel{\varepsilon}{\Rightarrow} b \approx? b, M_6 \approx? (b a) \bullet M_7, b \#? \langle a, M_7 \rangle$$

Answers to the Quiz

$$a.b.\langle b, M_6 \rangle \approx? a.a.\langle a, M_7 \rangle$$

$$\xRightarrow{\varepsilon} b.\langle b, M_6 \rangle \approx? a.\langle a, M_7 \rangle$$

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Answers to the Quiz

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$$\xRightarrow{\emptyset} b \#? a, b \#? \dots$$

$$\xRightarrow{\emptyset} b \#? M_7$$

$$\{b \# M_7\} \xRightarrow{\emptyset} \emptyset$$

$$\lambda a. \lambda b. (b M_6) =_{\alpha} \lambda a. \lambda a. (a M_7)$$

we can take M_7 to be any λ -term that does not contain free occurrences of b , so long as we take M_6 to be the result of swapping all occurrences of b and a throughout M_7

Properties

- An interesting feature of nominal unification is that it does not need to create new atoms.

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$$\{a.X \approx? b.Y\} \Rightarrow (\{a \# Y, c \# Y\}, [X := (ac)(bc) \cdot Y])$$

Is it Useful?

Yes. α Prolog by James Cheney (main developer)

```
type (Gamma, var(X), T) :- member (X,T) Gamma.
```

```
type (Gamma, app(M, N), T') :-  
    type (Gamma, M, arrow(T, T')),  
    type (Gamma, N, T).
```

```
type (Gamma, lam(x.M), arrow(T, T')) / x # Gamma :-  
    type ((x, T)::Gamma, M, T').
```

```
member X X::Tail.
```

```
member X Y::Tail :- member X Tail.
```

One problem: If we ask whether

$\text{?- type } (\{(x, T')\}, \text{lam}(x.\text{Var}(x)), T)$

is typable, we expect an answer for T .

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$?- \text{type}(\{(x, T')\}, \text{lam}(x.\text{Var}(x)), T)$

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Solution: Before back-chaining freshen all variables and atoms in a program (clause).

$\text{type}(\text{Gamma}, \text{lam}(x.M), \text{arrow}(T, T')) / x \# \text{Gamma} :-$
 $\text{type}((x, T)::\text{Gamma}, M, T').$

$\text{member } X \text{ } X::\text{Tail}.$

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Equivariant Unification

James Cheney proposed

$$t \approx? t' \stackrel{\nabla, \sigma, \pi}{\iff} \nabla \vdash \sigma(t) \approx \pi \cdot \sigma(t')$$

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But he also showed this problem is undecidable in general. :(

Taking Atoms as Variables

Instead of $a.X$, have $A.X$.

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Unfortunately this breaks the mgu-property:

$$a.Z \approx? X.Y.v(a)$$

can be solved by

$$[X := a, Z := Y.v(a)] \text{ and} \\ [Y := a, Z := Y.v(Y)]$$

HOPU vs. NOMU

- James Cheney showed

$$HOPU \Rightarrow NOMU$$

- Jordi Levy and Mateu Villaret established

$$HOPU \Leftarrow NOMU$$

The translations ‘explode’ the problems quadratically.

From: Zhenyu Qian <zhqian@microsoft.com>
To: Christian Urban <urbanc@in.tum.de>
Subject: RE: Linear Higher-Order Pattern Unification
Date: Mon, 14 Apr 2008 09:56:47 +0800

Hi Christian,

Thanks for your interests and asking. I know that that paper is complex. As I told Tobias when we met last time, I have raised the question to myself many times whether the proof could have some flaws, and so making it through a theorem prover would definitely bring piece to my mind (no matter what the result would be). The only problem for me is the time.

...

Thanks/Zhenyu

Complexity

- Christopher Calves and Maribel Fernandez showed first that it is polynomial and then also quadratic
- Jordi Levy and Mateu Villaret showed that it is quadratic by a translation into a subset of NOMU and using ideas from Martelli/Montenari.

Conclusion

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- Nominal Unification is a completely first-order language, but implements unification modulo α . (verification...Ramana Kumar and Michael Norrish)
- NOMU has been applied in term-rewriting and logic programming. (Maribel Fernandez et al has a KB-completion procedure.) I hope it will also be used in typing systems.
- NOMU and HOPU are 'equivalent' (it took a long time and considerable research to find this out).
- The question about complexity is still an ongoing story.

Thank you very much!
Questions?

Most General Unifiers

Definition: For a unification problem P , a solution (σ_1, ∇_1) is **more general** than another solution (σ_2, ∇_2) , iff there exists a substitution τ with

- $\nabla_2 \vdash \tau(\nabla_1)$
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$\nabla_2 \vdash \sigma_2(X) \approx \sigma(\sigma_1(X))$ holds for all
 $X \in \text{dom}(\sigma_2) \cup \text{dom}(\sigma \circ \sigma_1)$