



Optimizing Higher-Order Pattern Unification

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Logical Frameworks

- *Logical frameworks*: meta-languages for deductive systems
 - High-level specifications (e.g. logics, type systems)
 - Direct implementations (e.g. proof search, type checking)
 - Feasible meta-reasoning (e.g. cut elimination, type preservation)
- Examples: λ Prolog, Isabelle, Twelf
- Results may apply to other higher-order systems (e.g. Coq, HOL, NuPrl, PVS)

Higher-Order Unification

- *Higher-order unification*: solving equations in the presence of λ -abstraction
- Central in higher-order logic and type theories
 - General proof search
 - Logic program execution
 - Type and term reconstruction
 - Definitional reflection and case analysis
- Undecidable for second order [Huet'73] [Goldfarb'81]

Tractable Cases

- Pre-unification often practical [Huet'75]
 - Some solvable equations are postponed
 - Non-determinism major drawback in practice
- Pattern unification decidable [Miller'91]
 - Restricting β -reduction to β_0 : $(\lambda x.M) y \longrightarrow [y/x]M$
 - Most general unifiers exist!
 - Extends to complex type theories [Pf'91]
 - Higher-order patterns as a calculus of variable binding, variable occurrences, and renaming

Implementation

- In practice, β_0 often too weak [Michaylov & Pf'92]
- Implementation based on constraints
 - Solve all pattern equations
 - Postpone all other equations
- Many equations ($\approx 95\%$) essentially first-order
- First-order equations with first-order efficiency?

Outline

- A logical foundation for meta-variables
- Techniques for efficient implementation
- Experimental results
- Conclusions and future work

Example: Quantifier Manipulation

- Object logic is simple first-order logic

Formulas $A ::= P \mid A \supset A \mid \forall x.A \mid \exists x.A \mid \dots$

- Specifying manipulation of quantifier scope
- Sample rule

$$(\forall x.A(x) \supset B) \Leftrightarrow ((\exists x.A(x)) \supset B)$$

- Proviso: x may not be free in B

Specification in LF

- Language using higher-order abstract syntax

i : type.

o : type.

imp : $o \rightarrow o \rightarrow o$.

forall : $(i \rightarrow o) \rightarrow o$.

exists : $(i \rightarrow o) \rightarrow o$.

- Scope relation $(\forall x.A(x) \supset B) \Leftrightarrow ((\exists x.A(x)) \supset B)$

eq : $o \rightarrow o \rightarrow \text{type}$.

eq_1 : $\Pi A:i \rightarrow o. \Pi B:o$.

$\text{eq} (\text{forall} (\lambda x. \text{imp} (A\ x) B)) (\text{imp} (\text{exists} (\lambda x. A\ x) B))$.

Meta-Variables

- Sample query

?– eq (forall (λy . imp (imp (p y) (p y)) q)) C.

- Copy clause and unify

$$\begin{aligned} & \text{eq (forall } (\lambda x. \text{imp (A x) B)) (imp (exists } (\lambda x. \text{A x)) B)} \\ \doteq & \text{eq (forall } (\lambda y. \text{imp (imp (p y) (p y)) q)) C \end{aligned}$$

- Here $A : i \rightarrow o$, $B : o$, $C : o$ are *meta-variables* (also called *unification variables* or *existential variables* or *logic variables*)

Closed Meta-Variables

- Unification problem

$$\begin{aligned} & \text{eq (forall } (\lambda x. \text{imp (A x) B)) (imp (exists } (\lambda x. \text{A x)) B)} \\ \doteq & \text{ eq (forall } (\lambda y. \text{imp (imp (p y) (p y)) q)) C \end{aligned}$$

- Solution

$$A = \lambda z. \text{imp (p z) (p z)}$$

$$B = q$$

$$C = \text{imp (exists } (\lambda x. \text{A x) B)}$$

$$= \text{imp (exists } (\lambda x. \text{imp (p x) (p x)) q)}$$

- Meta-variables contain no free ordinary variables!
[Huet'75]

Closed Meta-Variables

- A failing query

$$\begin{aligned} & \text{eq (forall } (\lambda x. \text{imp (A x) B)) (imp (exists } (\lambda x. \text{A x)) B)} \\ \doteq & \text{eq (forall } (\lambda y. \text{imp q (imp (p y) (p y)))) C \end{aligned}$$

- No solution

$$A = \lambda z. q$$

$$B = (\text{imp (p y) (p y)}) \quad \text{fails}$$

$$C = \dots$$

- In fact:

$$(\forall x. q \supset (p(x) \supset p(x))) \not\Rightarrow ((\exists x. q) \supset (p(x) \supset p(x)))$$

Modal Logic of Necessity

- Modal logic of necessity captures closedness
- In Hilbert Style

$$\frac{\vdash A}{\vdash \Box A}$$

- With proof terms in natural deduction

$$\frac{\bullet \vdash M : A}{\Gamma \vdash \text{box } M : \Box A}$$

- $\Gamma ::= \bullet \mid \Gamma, x:A$
- Rule enforces that M closed

Necessity via Judgments

- Separate judgments from propositions [Martin-Löf'83]
- Extended to modal logic [Pf & Davies'01]
- Two basic judgments
 - A *true* (proposition A is *true*)
 - A *valid* (proposition A is *valid*)
- Form hypothetical judgment

$$\underbrace{A_1 \text{ valid}, \dots, A_n \text{ valid}}_{\Delta}; \underbrace{B_1 \text{ true}, \dots, B_m \text{ true}}_{\Gamma} \vdash C \text{ true}$$

Necessity via Judgments

- Definitional rule for validity

$$\frac{\Delta; \bullet \vdash C \text{ true}}{\Delta \vdash C \text{ valid}}$$

- Hypothesis rule

$$\frac{}{\Delta, A \text{ valid}, \Delta'; \Gamma \vdash A \text{ true}}$$

- Substitution principle

If $\Delta; \bullet \vdash A \text{ true}$ (means: $\Delta \vdash A \text{ valid}$)
and $\Delta, A \text{ valid}; \Gamma \vdash C \text{ true}$
then $\Delta; \Gamma \vdash C \text{ true}$

Adding Proof Terms

- Two kinds of variables for two kinds of hyps
- Modal variables
 - $\Delta ::= \bullet \mid \Delta, u::A$
 - $u::A$ expresses *A valid* (stands for closed terms)
 - Represent (closed) meta-variables
- Ordinary variables
 - $\Gamma ::= \bullet \mid \Gamma, x:A$
 - $x:A$ expresses *A true* (stands for any term)
 - Ordinary variables can be bound by lambda

Adding Proof Terms

- Judgment $\Delta; \Gamma \vdash M : A$
- Hypothesis rule

$$\frac{}{(\Delta, u::A, \Delta); \Gamma \vdash u : A}$$

- Substitution principle (without dependencies)
If $\Delta; \bullet \vdash M : A$
and $\Delta, u::A; \Gamma \vdash N : C$
then $\Delta; \Gamma \vdash \llbracket M/u \rrbracket N : C$
- Need substitution operation $\llbracket M/u \rrbracket N$

Substitution for Meta-Variables

- Terms $M ::= c \mid x \mid u \mid (\lambda x.M) \mid M_1 M_2$

$$\llbracket M/u \rrbracket c = c$$

$$\llbracket M/u \rrbracket x = x$$

$$\llbracket M/u \rrbracket u = M$$

$$\llbracket M/u \rrbracket w = w \quad \text{for } u \neq w$$

$$\llbracket M/u \rrbracket (N_1 N_2) = (\llbracket M/u \rrbracket N_1) (\llbracket M/u \rrbracket N_2)$$

$$\llbracket M/u \rrbracket (\lambda x.N) = \lambda x. \llbracket M/u \rrbracket N$$

- No side condition on last rule (M closed)!
- *Can implement with destructive update!*

Example Revisited

- Recall unification problem with meta-variables

$$\begin{aligned} & \text{eq} (\text{forall} (\lambda x. \text{imp} (A x) B)) (\text{imp} (\text{exists} (\lambda x. A x)) B) \\ \doteq & \text{eq} (\text{forall} (\lambda y. \text{imp} (\text{imp} (p y) (p y)) q)) C \end{aligned}$$

- First meta-variable / term subproblem:

$$z:i \vdash A z \doteq \text{imp} (p z) (p z)$$

- To solve, traverse $\text{imp} (p z) (p z)$
 - Check for occurrences of A (occurs-check)
 - Ensure A is closed (pruning)
 - Build $\lambda z. \text{imp} (p z) (p z)$

Avoiding Term Traversal

- To solve $\Delta; \Gamma \vdash u x_1 \dots x_n \doteq M$ we traverse M
 - Check there is no occurrence of u (occurs-check)
 - Ensure $\{x_1, \dots, x_n\} \subseteq FV(M)$ (pruning to M')
 - Build $u = \lambda x_1 \dots \lambda x_n. M'$
- Goal: avoid traversal of right-hand side M
- Condition: remain sound (unlike Prolog)
- Highly significant optimization for logic programming and theorem proving

Eliminating Occurs-Check

- We obtain left-hand side of

$$\begin{aligned} & \text{eq (forall } (\lambda x. \text{imp (A x) B)}) (\text{imp (exists } (\lambda x. \text{A x)}) \text{B)} \\ \doteq & \text{eq (forall } (\lambda y. \text{imp (imp (p y) (p y)) q)}) \text{C} \end{aligned}$$

by copying

$$\begin{aligned} \text{eq}_1 & : \Pi A : i \rightarrow o. \Pi B : o. \\ & \text{eq (forall } (\lambda x. \text{imp (A x) B)}) (\text{imp (exists } (\lambda x. \text{A x)}) \text{B)}. \end{aligned}$$

- The meta-variables A and B are *fresh*
 - A and B cannot occur on right-hand side
 - Eliminate occurs-check for first variable occurrences

Eliminating Occurs-Check

- Rename duplicate occurrences
- Construct residual equations (variable defns)
- Example: compile

$s : \prod A : o. \text{same } A \ A.$

to

$s' : \prod A : o. \prod A' : o. \text{same } A \ A' \leftarrow A = A'.$

- Technical complication due to dependent types
- See paper in proceedings for solution

Eliminating Pruning

- Recall

$$\begin{aligned} & \text{eq (forall } (\lambda x. \text{imp } (A \ x) \ B)) \ (\text{imp } (\text{exists } (\lambda x. \ A \ x)) \ B) \\ \doteq & \text{eq (forall } (\lambda y. \text{imp } (\text{imp } (p \ y) \ (p \ y)) \ q)) \ C \end{aligned}$$

- Would like to replace $(A \ x)$ by A' such that

$$x:i \vdash A' : o$$

- Yields

$$x:i \vdash A' \doteq \text{imp } (p \ x) \ (p \ x)$$

- Then substitute (with apparent capture)

$$\llbracket \text{imp } (p \ x) \ (p \ x) / A' \rrbracket$$

Eliminating Pruning

- Note that meta-variable A' with $x:i \vdash A' : o$ is no longer closed.
- General form: $\Psi_u \vdash u : A_u$ for context Ψ_u of ordinary variables [Dowek, Hardin, C.Kirchner'95]
- Does it have a logical foundation?
- Generalize validity to *relative validity*

Relative Validity

- Definitional rule for validity

$$\frac{\Delta; \Psi \vdash C \text{ true}}{\Delta \vdash C \text{ valid } \Psi}$$

- Hypothesis rule

$$\frac{\Delta, A \text{ valid } \Psi, \Delta'; \Gamma \vdash B_i \text{ true} \quad \text{for all } B_i \text{ true in } \Psi}{\Delta, A \text{ valid } \Psi, \Delta'; \Gamma \vdash A \text{ true}}$$

- Substitution principle (w/o dependent types)

If $\Delta; \Psi \vdash A \text{ true}$

and $\Delta, A \text{ valid } \Psi; \Gamma \vdash C \text{ true}$

then $\Delta; \Gamma \vdash C \text{ true}$

Adding Proof Terms

- $u::(\Psi \vdash A)$ expresses A valid Ψ
- Need simultaneous substitutions σ
- Generalized hypothesis rule

$$\frac{(\Delta, u::(\Psi \vdash A), \Delta); \Gamma \vdash \sigma : \Psi}{(\Delta, u::(\Psi \vdash A), \Delta); \Gamma \vdash u[\sigma] : A}$$

- Substitution principle (w/o dependent types)

If $\Delta; \Psi \vdash M : A$

and $\Delta, u::(\Psi \vdash A); \Gamma \vdash N : C$

then $\Delta; \Gamma \vdash \llbracket M/u \rrbracket N : C$

Simultaneous Substitution

- Substitutions $\sigma ::= \bullet \mid \sigma, M/x$
- Show the fully dependent case

$$\frac{}{\Delta; \Gamma \vdash (\bullet) : (\bullet)} \quad \frac{\Delta; \Gamma \vdash \sigma : \Psi \quad \Delta; \Gamma \vdash M : [\sigma]A}{\Delta; \Gamma \vdash (\sigma, M/x) : (\Psi, x:A)}$$

- Applying a substitution is straightforward
- Substitution $[\sigma]M$ and $[\sigma]\tau$ is capture avoiding

Meta-Variable Substitution

- Terms $M ::= c \mid x \mid u[\sigma] \mid (\lambda x.M) \mid M_1 M_2$
- Note closures only for meta-variables
- Changed cases in meta-variable substitution

$$\llbracket M/u \rrbracket (u[\sigma]) = \llbracket \llbracket M/u \rrbracket \sigma \rrbracket M$$

$$\llbracket M/u \rrbracket (w[\tau]) = w[\llbracket M/u \rrbracket \tau] \quad \text{for } u \neq w$$

- Can still substitute in place (grafting) if $\llbracket \llbracket M/u \rrbracket \sigma \rrbracket M$ is postponed
- Implemented via a calculus of explicit substitutions

Abstraction Over Meta-Variables

- We can directly abstract over meta-variables
- Modal logic and judgments dictate the rules
- New type $\Pi^{\square}u::(\Psi \vdash A). B$
- New application and abstraction

$$M ::= \dots \mid \lambda^{\square}u.M \mid M_1 \square M_2$$

- Theory not yet fully investigated
- Currently only used in prefix form

Example Revisited

- Recall

$$\text{eq}_1 : \Pi A:i \rightarrow o. \Pi B:o. \\ \text{eq} (\text{forall} (\lambda x. \text{imp} (A x) B)) (\text{imp} (\text{exists} (\lambda x. A x) B)).$$

- Compile as

$$\text{eq}_1 : \Pi^{\square} A'::(x:i \vdash o). \Pi^{\square} B'::(x:i \vdash o). \\ \Pi^{\square} A''::(x:i \vdash o). \Pi^{\square} B''::(x:i \vdash o). \\ \Pi^{\square} B::(\bullet \vdash o). \\ \text{eq} (\text{forall} (\lambda x. \text{imp} A'[\text{id}] B'[\text{id}])) \\ (\text{imp} (\text{exists} (\lambda x. A''[\text{id}]) B''[\text{id}])) \\ \leftarrow (\Pi x:i. A'[\text{id}] = A''[\text{id}]) \\ \leftarrow (\Pi x:i. B[\bullet] = B'[\text{id}] = B''[\text{id}]).$$

Operational Semantics

- Unification in clause head always by *assignment*
 - No occurs-check
 - No pruning
 - No copying
- Assignment as in-place update (as in Prolog), but safe
- Residual equations solved by ordinary pattern unification (almost)

Experimental Results

- Meta-interpreter for ordered linear logic

example	opt	stand	speed-up	residual eqns	
				none	fail
sqnt (bf)	0.84	2.09	149%	44%	46%
sqnt (dfs)	0.93	2.35	152%	44%	47%
sqnt (perm)	4.44	7.11	60%	44%	52%
sqnt (rev)	1.21	1.70	40%	45%	48%
sqnt (mergesort)	2.26	3.39	50%	46%	53%

Experimental Results

- Foundational proof-carrying code

example	opt	stand	speed-up	residual eqns	
				none	fail
inc	5.8	9.19	58%	64%	46%
switch	36.00	49.69	38%	64%	48%
mul2	5.51	9.520	72%	64%	46%
div2	121.96	153.610	26%	63%	48%
divx	333.69	1133.150	239%	63%	50%
listsum	1073.33	∞	∞	65%	45%
polyc	2417.85	∞	∞	65%	41%
pack	197.07	1075.610	445%	66%	45%

Experimental Results

- Intuitionistic sequent calculus

example	opt	stand	speed-up	residual eqns	
				none	fail
dist-1	53.00	57.11	8%	100%	0%
distImp	0.40	0.44	10%	100%	0%
pierce	1520.77	1563.35	3%	100%	0%
trans	0.13	0.13	0%	100%	0%

Experimental Results

- Proof search in classical natural deduction

example	opt	stand	speed-up	residual eqns	
				none	fail
andEff1-nk	7.67	13.14	71%	100%	0%
andEff2-nk	3.86	6.58	70%	100%	0%
assocAnd-nk	2.24	3.74	67%	100%	0%
combS-nk	3.85	6.64	72%	100%	0%

Summary

- A foundation for meta-variables in modal logic
- Resulting techniques for efficient implementation
- Clearly significant in practice
 - Logic programming
 - Generic theorem proving
- Also insights into some internal invariants (“just because”)

Some Related Work

- Higher-order unification via explicit substitutions
[Dowek, Hardin, C.Kirchner'95] [Dowek, Hardin, C.Kirchner, Pf'96]
 - Meta-variables $\Gamma_X \vdash X : A_X$
 - Substitution via grafting, missing other optimizations
 - No dependent types
 - No logical explanation
- Teyjus compiler for λ Prolog [Nadathur et al.]
 - WAM-style optimization for occurs-check
 - Uses Huet's algorithm, not constraint-based patterns
 - No dependent types

Future Work

- Higher-order term indexing [Pientka'03]
- Internal redundancy elimination [Michaylov & Pf'93] [Necula & Lee'98]
 - Specific to dependent types
 - Avoid some unifications altogether
 - Interacts with linearization
- Accounting for mode information
- More on modal type theory [Nanevski, Pientka, Pf'03]