

Matching via Explicit Substitutions

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- ▶ Matching is a mechanism extensively used in computation for implementing proof assistants and programming languages.
- ▶ This is useful when we consider low-level implementations in which matching algorithms are to be implemented in the level of the language itself.
- ▶ Explicit substitutions provide an adequate framework, closer to implementations, for reason theoretically about operational aspects of evaluation in the λ -calculus.
- ▶ In this work we present algorithms that decide second and third-order matching problems in the simply typed $\lambda\sigma$ -calculus.

Notation

- ▶ *Matching equation:*

$$a \ll^? b$$

where a and b are two λ -terms of the same type under the same context and b is ground.

- ▶ A substitution σ is a solution of the matching equation $a \ll^? b$ iff $a\sigma =_{\beta\eta} b$.
- ▶ A *second-order (third-order, resp.) matching problem* is a finite set of matching equations in which all meta-variables are at most second-order (third-order, resp.).

A Simple Example

- ▶ $\text{append} (\text{X } 1) (2 \cdot \text{nil}) \lll^? 1 \cdot 1 \cdot 2 \cdot \text{nil}$
- ▶ Solutions:

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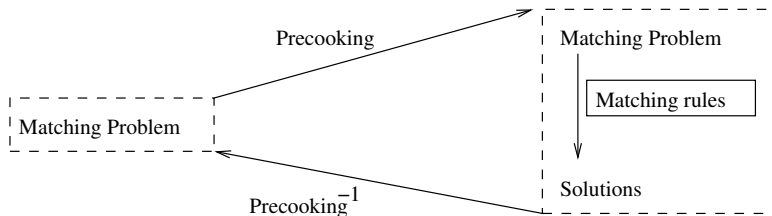
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 - ▶ $X/\lambda y.(y \cdot y \cdot \text{nil})$
 - ▶ Note that there is no more general solution!

The $\lambda\sigma$ -calculus

- ▶ Developed by M. Abadi, L. Cardelli, P.-L. Curien and J.J. Lévy in 1991[ACCL91].
- ▶ It uses two sorts:
 - terms: $t ::= \underline{1} \mid X \mid (t t) \mid \lambda_A.t \mid t[s]$, where $X \in \mathcal{X}$.
 - substitutions: $s ::= id \mid \uparrow \mid t \cdot s \mid s \circ s$
- ▶ Properties of the typed $\lambda\sigma$ -calculus:
 1. Confluent.
 2. Weakly Terminating.

The precooking translation



Language of the Lambda calculus

Substitution

Language of the ES calculus

Grafting

The precooking translation

Definition (Precooking [DHK00])

Let $a \in \Lambda_{dB}(\mathcal{X})$ such that $\Gamma \vdash a : A$. To every meta-variable X of type B in the term a , we associate the type B and the context Γ in the $\lambda\sigma$ -calculus. The *precooking* of a from $\Lambda_{dB}(\mathcal{X})$ to the set $\Lambda_{\lambda\sigma}(\mathcal{X})$ of $\lambda\sigma$ -terms is given by $a_F = F(a, 0)$, where $F(a, n)$ is defined by:

1. $F((\lambda_B.a), n) = \lambda_B.F(a, n + 1)$.
2. $F(\underline{k}, n) = \underline{1}[\uparrow^{k-1}]$.
3. $F((a b), n) = (F(a, n) F(b, n))$.
4. $F(X, n) = X[\uparrow^n]$.

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- ▶ Second-Order Matching (SOM) is decidable for the simply typed λ -calculus [?].
- ▶ The method of Dowek, Hardin and Kirchner does not decide arbitrary second-order $\lambda\sigma$ -matching problems:
- ▶ The counter-example: Consider $m \leq n$ and A an atomic type.

$$X_A^{A \rightarrow A \cdot \Delta} [(\lambda_{A \cdot \underline{1}_A}^{A \cdot \Gamma}) \cdot \uparrow^n \Delta] =_{\lambda\sigma}^? (\underline{m}^{\Gamma} B_1 \rightarrow \dots \rightarrow B_q \rightarrow A \ b_1^{\Gamma} B_1 \dots b_q^{\Gamma} B_q)$$

Exp-App

$$X[(\lambda.\underline{1}) \cdot \uparrow^n] =_{\lambda\sigma}^? (\underline{m} b_1 \dots b_q) \rightarrow \mathbf{Exp-App}$$

$$\mathbf{Exp-App} \frac{P \wedge X[a_1 \dots a_p \cdot \uparrow^n] =_{\lambda\sigma}^? (\underline{m} b_1 \dots b_q)}{P' \wedge \bigvee_{r \in R_p \cup R_i} X =_{\lambda\sigma}^? (\underline{x} H_1 \dots H_k)}$$

if X has an atomic type and is not ▶ solved

where $P' = P \wedge X[a_1 \dots a_p \cdot \uparrow^n] =_{\lambda\sigma}^? (\underline{m} b_1 \dots b_q)$,

H_1, \dots, H_k are variables of appropriate types, not occurring in P , with contexts $\Gamma_{H_i} = \Gamma_X$, R_p is the subset of $\{1, \dots, p\}$ such that $(\underline{x} H_1 \dots H_k)$ has the right type, $R_i =$ if $m > n$ then $\{m - n + p\}$ else \emptyset .

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Replace

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Replace

$$\frac{P \wedge X =_{\lambda\sigma}^? t}{\{X \mapsto t\}(P) \wedge X =_{\lambda\sigma}^? t} \text{ if } X \in \mathcal{TVar}(P), X \notin \mathcal{TVar}(t) \text{ and,}$$

if t is a meta-variable then $t \in \mathcal{TVar}(P)$.

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$$(\underline{1} H_1)[(\lambda.\underline{1}) \cdot \uparrow^n] =_{\lambda\sigma}^? (\underline{m} b_1 \dots b_q) \wedge X =_{\lambda\sigma}^? (\underline{1} H_1)$$

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Normalise

$\frac{P \wedge e_1 \stackrel{?}{=}_{\lambda\sigma} e_2}{P \wedge e'_1 \stackrel{?}{=}_{\lambda\sigma} e'_2}$ if e_1 or e_2 is not in η -long normal form, where
 e'_1 (resp. e'_2) is the η -long normal form of e_1 (resp. e_2) if e_1
 (resp. e_2) is not a solved variable and e_1 (resp. e_2) otherwise.

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Characterisation of Matching Problems

Theorem

Let M be a second-order matching problem which is in the image of the precooking translation. Then every flexible term occurring in M' which is in the matching path of M , and of the form $X[a_1 \cdot \dots \cdot a_p \cdot \uparrow^n]$, with $a_1 \cdot \dots \cdot a_p \cdot \uparrow^n$ in σ -normal form, is such that a_1, \dots, a_p are of atomic type.

Graphically:

$$X[\underbrace{a_1 \cdot \dots \cdot a_p}_{\text{atomic type}} \cdot \underbrace{\underline{n+1} \cdot \underline{n+2} \cdot \dots}_{\text{at most } 2^{\text{nd}}\text{-order type}}] \equiv X[a_1 \cdot \dots \cdot a_p \cdot \uparrow^n]$$

Matching Rules

$$\text{Dec}_{m-\lambda} \frac{\langle \sigma, P \cup \{ \lambda_A \cdot a \ll_{\lambda\sigma}^? \lambda_A \cdot b \} \rangle}{\langle \sigma, P \cup \{ a \ll_{\lambda\sigma}^? b \} \rangle}$$

$$\text{Dec}_{m\text{-App}} \frac{\langle \sigma, P \cup \{ (\underline{n} \ a_1 \dots a_p) \ll_{\lambda\sigma}^? (\underline{n} \ b_1 \dots b_p) \} \rangle}{\langle \sigma, P \cup \{ a_1 \ll_{\lambda\sigma}^? b_1, \dots, a_p \ll_{\lambda\sigma}^? b_p \} \rangle}$$

$$\text{Dec}_{m\text{-Fail}} \frac{\langle \sigma, P \cup \{ (\underline{n} \ a_1 \dots a_p) \ll_{\lambda\sigma}^? (\underline{m} \ b_1 \dots b_q) \} \rangle}{\text{Fail}},$$

if $m \neq n$.

Matching Rules

Imit

$$\frac{\langle \sigma, P \cup \{X[a_1 \dots a_p \cdot \uparrow^n] \ll_{\lambda\sigma}^? (\underline{m} b_1 \dots b_q)\} \rangle}{\langle \sigma', P\sigma' \cup \{(\underline{m-n+p} H_1 \dots H_q)[a_1\sigma' \dots a_p\sigma' \cdot \uparrow^n] \ll_{\lambda\sigma}^? (\underline{m} b_1 \dots b_q)\} \rangle}$$

if X has atomic type and $m > n$, where
 $\sigma' = \sigma\{X \mapsto (\underline{m-n+p} H_1 \dots H_q)\}$, H_1, \dots, H_q are
 meta-variables with appropriate type and with contexts
 $\Gamma_{H_i} = \Gamma_X (\forall 1 \leq i \leq q)$, and $\underline{m-n+p}$ is at most third order.

Proj

$$\frac{\langle \sigma, P \cup \{X[a_1 \dots a_p \cdot \uparrow^n] \ll_{\lambda\sigma}^? (\underline{m} b_1 \dots b_q)\} \rangle}{\langle \sigma\{X \mapsto \underline{j}\}, \{P\{X \mapsto \underline{j}\} \cup \{a_j\{X \mapsto \underline{j}\} \ll_{\lambda\sigma}^? (\underline{m} b_1 \dots b_q)\} \rangle}$$

if
 X has atomic type, and the j -th element ($1 \leq j \leq p$) of the
 explicit substitution $[a_1 \dots a_p \cdot \uparrow^n]$ has the same type of X .

Termination, Correctness and Completeness

Theorem

Applications of the previous rules to second-order matching problems, whose terms satisfy the previous theorem, always terminate.

Theorem

Solved forms of the algorithm derived from the presented second-order matching rules are in the image of the precooking translation.

Theorem

The presented second-order matching rules are correct and complete, in the sense that the set of matchers remains unchanged by applications of the matching rules.

Third-order Matching via Explicit Substitutions

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- ▶ This is useful when we consider low-level implementations in which matching algorithms are to be implemented in the level of the language itself.
- ▶ The decision procedure is achieved firstly by reducing matching problems to interpolation problems in the language of the $\lambda\sigma$ -calculus.
- ▶ After that we show that if an interpolation problem has a solution then it also has a solution which depends only the initial matching problem.

From Matching Problems to Interpolation Problems

Definition

Let $a \ll_{\lambda\sigma}^? b$ be a matching equation and σ a ground solution to this equation, i.e., the $\lambda\sigma$ -normal form of $a\sigma$ is equal to b . We define the interpolation problem $\Phi(a \ll_{\lambda\sigma}^? b, \sigma)$ inductively over the number of occurrences of a as follows:

- If $a = \lambda_A.c$ then b is also an abstraction of the form $\lambda_A.d$ and then σ is also a solution of $c \ll_{\lambda\sigma}^? d$ and we let $\Phi(a \ll_{\lambda\sigma}^? b, \sigma) = \Phi(c \ll_{\lambda\sigma}^? d, \sigma)$.
- If $a = (\underline{k} c_1 \dots c_m)$ then b is also of the form $(\underline{k} d_1 \dots d_m)$ because $a \ll_{\lambda\sigma}^? b$ is solvable and we let $\Phi(a \ll_{\lambda\sigma}^? b, \sigma) = \bigcup_i \Phi(c_i \ll_{\lambda\sigma}^? d_i, \sigma)$.

From Matching Problems to Interpolation Problems

Definition (cont.)

- If $a = (X[a_1 \dots a_p \cdot \uparrow^n] c_1 \dots c_m)$ then we let

$$\Phi(a \ll_{\lambda\sigma}^? b, \sigma) =$$

$$\{(X[a_1 \dots a_p \cdot \uparrow^n] c_1\sigma \dots c_m\sigma) \ll_{\lambda\sigma}^? b\} \bigcup_i H_i, \text{ where}$$

$$H_i = \begin{cases} \Phi(c_i \ll_{\lambda\sigma}^? c_i\sigma, \sigma), & \text{if the dummy symbol } \diamond \text{ occurs} \\ & \text{in the normal form of} \\ (X\sigma[a_1\sigma \dots a_p\sigma \cdot \uparrow^n] c_1\sigma \dots c_{i-1}\sigma \diamond c_{i+1}\sigma \dots c_m\sigma); \\ \emptyset, & \text{otherwise.} \end{cases}$$

From Matching Problems to Interpolation Problems

Theorem

Let $a \ll_{\lambda\sigma}^? b$ be a matching equation and σ a ground solution to this equation. Then the substitution σ is a solution to $\Phi(a \ll_{\lambda\sigma}^? b, \sigma)$ and, conversely, if σ' is a solution to $\Phi(a \ll_{\lambda\sigma}^? b, \sigma)$ then σ' is also a solution to the matching equation $a \ll_{\lambda\sigma}^? b$.

Definition

Let Ψ be a third-order matching problem and σ be a solution to Ψ . We let $\Phi(\Psi, \sigma)$ be the following third-order interpolation problem:

$$\Phi(\Psi, \sigma) = \bigcup_{a \ll_{\lambda\sigma}^? b \in \Psi} \Phi(a \ll_{\lambda\sigma}^? b, \sigma).$$

$\lambda\sigma$ -Böhm Trees

Definition ($\lambda\sigma$ -Böhm Trees)

A $\lambda\sigma$ -Böhm tree is a tree whose nodes are labeled with pairs $\langle l, v_A^\Delta \rangle$ such that l is a positive integer and v_A^Δ is a $\lambda\sigma$ -term of type A under context Δ .

$\lambda\sigma$ -Böhm tree of a $\lambda\sigma$ -term in normal form

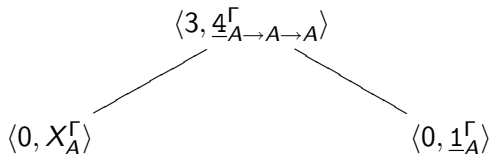
Definition ($\lambda\sigma$ -Böhm tree of a $\lambda\sigma$ -term in normal form)

Let $a_A^\Gamma = \lambda_{A_1} \cdots \lambda_{A_k} \cdot (h_{B_1 \rightarrow \dots \rightarrow B_m \rightarrow B}^\Sigma b_{B_1}^\Sigma \cdots b_{B_m}^\Sigma)$ be a term in $\lambda\sigma$ -nf, where $\Sigma = A_1 \cdot \dots \cdot A_k \cdot \Gamma$. The Böhm tree of a_A^Γ is recursively defined as the tree whose root is labeled with the pair $\langle k, h_{B_1 \rightarrow \dots \rightarrow B_m \rightarrow B}^\Sigma \rangle$ and whose sons are the $\lambda\sigma$ -Böhm trees of:

1. $b_{B_1}^\Sigma, \dots, b_{B_m}^\Sigma$, if $h_{B_1 \rightarrow \dots \rightarrow B_m \rightarrow B}^\Sigma$ is a de Bruijn index;
2. $a_{A_1}^\Sigma, \dots, a_{A_p}^\Sigma, b_{B_1}^\Sigma, \dots, b_{B_m}^\Sigma$, if $h_{B_1 \rightarrow \dots \rightarrow B_m \rightarrow B}^\Sigma$ is a meta-variable of the form $X_A^\Gamma[a_{A_1}^\Sigma \cdots a_{A_p}^\Sigma \cdot \uparrow_{\Delta}^{n\Sigma}]$, where $a_{A_1}^\Sigma \cdots a_{A_p}^\Sigma \cdot \uparrow_{\Delta}^{n\Sigma}$ is a substitution in $\lambda\sigma$ -nf.

Example

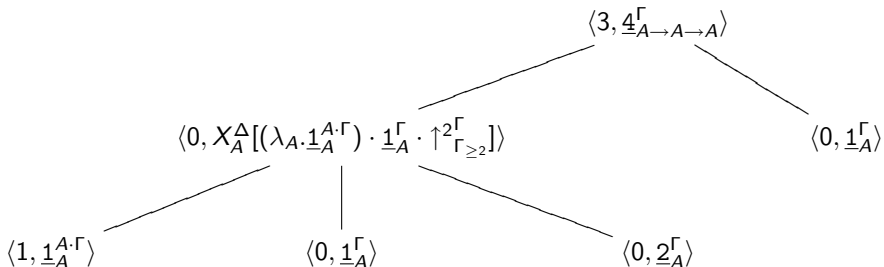
The $\lambda\sigma$ -Böhm tree of the term $\lambda_A \lambda_A \lambda_A. (\underline{4}_A^\Gamma \underline{X}_A^\Gamma \underline{1}_A^\Gamma)$, where $\Gamma = A \cdot A \cdot A \cdot A \rightarrow A \rightarrow A \cdot nil$ is given by:



Another Example

The $\lambda\sigma$ -Böhm tree of the term

$\lambda_A \lambda_A \lambda_A \cdot (4_{A \rightarrow A \rightarrow A}^\Gamma (X_{A \rightarrow A}^\Delta [(\lambda_A \cdot 1_{A \cdot \Gamma}^{A \cdot \Gamma}) \cdot 1_A^\Gamma \cdot \uparrow_{\Gamma \geq 2}^{2\Gamma}] 2_A^\Gamma) 1_A^\Gamma)$, where $\Gamma = A \cdot A \cdot A \cdot A \rightarrow A \rightarrow A \cdot nil$ and $\Delta = A \rightarrow A \cdot A \cdot \Gamma_{\geq 2}$ is given by:



Accessible Occurrence

Definition

Consider an equation of the form $(X[a_1 \cdot \dots \cdot a_p \cdot \uparrow^n] c_1 \dots c_q) = b$ and the term $t = \lambda_{C_1} \dots \lambda_{C_q}.u$ with the same type of X . The set of occurrences in the $\lambda\sigma$ -Böhm tree of t *accessible* w.r.t. the equation $(X[a_1 \cdot \dots \cdot a_p \cdot \uparrow^n] c_1 \dots c_q) = b$ is inductively defined as:

- the root of the $\lambda\sigma$ -Böhm tree of t is accessible.
- if α is an accessible occurrence labeled with a de Bruijn index \underline{j} with $1 \leq j \leq p + q$ and d_j is relevant in its r -th argument then the occurrence $\alpha\langle r \rangle$ is accessible, where:

$$d_j = \begin{cases} a_j & \text{if } q < j \leq p + q, \\ c_{q-i+1} & \text{if } 1 \leq j \leq q. \end{cases}$$

Accessible Occurrence

Definition (cont.)

- if α is an accessible occurrence labeled with a de Bruijn index greater than $p + q$ or with a meta-variable then all the sons of α are accessible.
- if α is an accessible occurrence labeled with a meta-variable then each son of α is accessible.

Accessible term

Definition (Occurrence accessible w.r.t. an interpolation problem [Dow94])

An occurrence is accessible with respect to an interpolation problem if it is accessible with respect to one of the equations of this problem.

Definition ($\lambda\sigma$ -term accessible w.r.t. to an interpolation problem)

A $\lambda\sigma$ -term is accessible with respect to an interpolation problem if all occurrences of its $\lambda\sigma$ -Böhm tree which are not leaves are accessible with respect to this problem.

Accessible Solution

Definition (Accessible solution built from a solution)

Let Φ be an interpolation problem and let σ be a ground solution to this problem. For each meta-variable X occurring in the equations of Φ consider the $\lambda\sigma$ -term t such that $\{X \mapsto t\} \subseteq \sigma$. In the $\lambda\sigma$ -Böhm tree of t , we prune all occurrences non accessible (that are not leaves) with respect to the equations of Φ in which X has an occurrence and put $\lambda\sigma$ -Böhm trees of ground terms of depth 0 of the expected type as leaves. Call t' the term whose $\lambda\sigma$ -Böhm is obtained this way and $\hat{\sigma}$ the resulting substitution.

Accessible Solution

Theorem

Let Φ be an interpolation problem generated from a precooked matching problem and let σ be a ground solution to Φ . Then the accessible solution $\hat{\sigma}$, built from σ , is a solution to Φ .

Compact $\lambda\sigma$ -term

Definition

$\lambda\sigma$ -term $t = \lambda_{C_1} \dots \lambda_{C_q}.u$ (u atomic) is *compact* w.r.t. an interpolation problem Φ if no de Bruijn index \underline{j} with $1 \leq j \leq q$ appears free in a path of the $\lambda\sigma$ -Böhm tree of \bar{u} more than $h + 1$ times, where h is the maximum depth in the $\lambda\sigma$ -Böhm tree of the right-hand side of the equations of Φ .

Compact Solution

Definition

Let Φ be an interpolation problem, $\hat{\sigma}$ be an accessible solution to this problem and h be the maximum depth in the $\lambda\sigma$ -Böhm tree of the right-hand side of the equations of Φ . The grafting $\hat{\sigma}$ is a *compact accessible solution built from an accessible solution* to Φ if, for all meta-variable X occurring in Φ , the term $t = X\hat{\sigma} = \lambda_{C_1} \dots \lambda_{C_q}.u$ (u atomic) is such that there is no path in the $\lambda\sigma$ -Böhm tree of u containing more than $h + 1$ occurrences labeled with the de Bruijn index \underline{j} ($1 \leq j \leq q$). If there exists a path in the $\lambda\sigma$ -Böhm tree of u that has more than $h + 1$ free occurrences of the de Bruijn index \underline{j} ($1 \leq j \leq q$) then the compact accessible solution σ' is built as follows: we replace all these occurrences of \underline{j} by $\lambda_{B_1} \dots \lambda_{B_p}.\underline{x}$.

Compact Solution

Theorem

Let Φ be an interpolation problem, σ a solution to Φ , $\hat{\sigma}$ be the accessible solution built from σ and σ' be the compact accessible solution built from $\hat{\sigma}$. Then σ' is also a solution to Φ .

Compact Solution

Theorem

Let Φ be an interpolation problem, σ be a solution to Φ , $\hat{\sigma}$ be the accessible solution built from σ and σ' be the compact accessible solution built from $\hat{\sigma}$. If h is the maximum depth in the $\lambda\sigma$ -Böhm tree of the right-hand side of the equations of Φ , then for every meta-variable X of arity q , the depth of the $\lambda\sigma$ -Böhm tree of $X\sigma' = \lambda_{C_1} \dots \lambda_{C_q}.u'$ is less than or equal to $(q + 1)(h + 1) - 1$.

Compact Solution

Corollary

Let Φ be a third-order interpolation problem, σ be a solution to Φ , $\hat{\sigma}$ be the accessible solution built from σ and σ' be the compact accessible solution built from $\hat{\sigma}$. If h is the maximum depth in the $\lambda\sigma$ -Böhm tree of the right-hand side of the equations of Φ , then for every meta-variable X of arity q , the depth of the $\lambda\sigma$ -Böhm tree of $X\sigma' = \lambda_{C_1} \dots \lambda_{C_q}.u'$ is less than or equal to $(q + 1)(h + 1) - 1$.

The Decision Procedure

Theorem

The class of third-order $\lambda\sigma$ -matching problems that come from the simply typed λ -calculus is decidable.

Proof.

Let Ψ be a third-order matching problem in the $\lambda\sigma$ -calculus. Enumerate all ground substitutions for the meta-variables occurring in the equations of the form $(X[a_1 \cdot \dots \cdot a_p \cdot \uparrow^n] c_1 \dots c_q) \ll_{\lambda\sigma}^? b$ of Ψ , such that the terms to be substituted for X have depth less than or equal to $(q + 1)(h + 1) - 1$, where h is the depth of the $\lambda\sigma$ -Böhm tree of b . If none of these substitutions is a solution Φ then Φ is not solvable. Otherwise, it is solvable. □

Conclusion

- ▶ We presented a second-order matching algorithm which uses an adequate notation that does not mix graftings with matching equations.
- ▶ This algorithm decides all second-order matching problems that are originated in the simply typed λ -calculus.
- ▶ We adapted the Dowek's decision procedure for third-order matching in the simply-typed $\lambda\sigma$ -calculus.
- ▶ To do so, we defined the notion of $\lambda\sigma$ -Böhm tree, which extends the usual notion of Böhm tree for the $\lambda\sigma$ -calculus.
- ▶ This work is important for considering low-level implementations of languages based on the simply typed λ -calculus in which matching algorithms are to be implemented in the level of the language itself.

Future Work

- ▶ Extension of this work to other styles of explicit substitutions.
- ▶ Implementation of the algorithms to evaluate performance.



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Solved Forms

Definition

A unification problem P is in $\lambda\sigma$ -solved form if all its meta-variables are of atomic type and it is a conjunction of nontrivial equations of the following forms:

- ▶ **Solved:** $X \stackrel{?}{=}_{\lambda\sigma} a$ where the meta-variable X does not appear anywhere else in P and a is in η -long normal form. Such an equation is said to be *solved* in P and the variable X is also said to be solved.
- ▶ **Flexible-flexible:** $X[a_1 \cdot \dots \cdot a_p \cdot \uparrow^n] \stackrel{?}{=}_{\lambda\sigma} Y[b_1 \cdot \dots \cdot b_q \cdot \uparrow^m]$, where $X[a_1 \cdot \dots \cdot a_p \cdot \uparrow^n]$ and $Y[b_1 \cdot \dots \cdot b_q \cdot \uparrow^m]$ are $\lambda\sigma$ -terms in η -long normal form and the equation is not solved.