Decision Procedures for Recursive Data Structures with Integer Constraints

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Recursive data structures are essential constructs in programming languages.

To verify programs we need to reason about these data structures.

- Programming languages often involve multiple data domains.
- Common "mixed" constraints are combinations of data structures with integer constraints on the size of those structures.



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Definition 1 A data structure is recursive if

it is partially composed of smaller or simpler instances of the same structure.

No Junk: the data domain is the set of data objects generated exclusively by applying constructors.

No Confusion: each data object is uniquely generated.

Recursive Data Structures = Term Algebras.

Example 1 A tree is composed of subtrees and leaves. Other examples include lists, stacks, counters, and records.



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A recursive data structure \mathfrak{A}_{λ} : $\langle \lambda; \mathcal{A}, \mathcal{C}, \mathcal{S}, \mathcal{T} \rangle$ consists of

- λ : The data domain.
- A: A set of **atoms** (constants): $a, b, c \dots$
- C: A finite set of constructors: α , β , γ , ... each of which is associated with an arity, e.g., $\alpha : \underbrace{\lambda \times \ldots \times \lambda} \to \lambda$.
- S: A finite set of selectors: $s_1^{\alpha}, \ldots, s_k^{\alpha} : \lambda \to \lambda$ for each $\alpha \in C$.
- \mathcal{T} : A finite set of testers: $Is_{\alpha} : \lambda \to \mathcal{B}$ for each $\alpha \in \mathcal{C}$.
- A special predicate $Is_A : \lambda \to B$.



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Construction vs. selection.

 $\mathbf{s}_i^\alpha(x) = y \leftrightarrow \exists \bar{z}_\alpha \big(\alpha(\bar{z}_\alpha) = x \wedge y = z_i) \big) \vee \big(\forall \bar{z}_\alpha(\alpha(\bar{z}_\alpha) \neq x) \wedge x = y \big).$

• Unification closure. $\alpha(\boldsymbol{x}_{\alpha}) = \alpha(\boldsymbol{y}_{\alpha}) \rightarrow \bigwedge_{1 \leq i \leq \operatorname{ar}(\alpha)} x_i = y_i.$

Acyclicity. $t(x) \neq x$, if t is built solely by constructors and t properly contains x.

- Uniqueness. $\alpha(\boldsymbol{x}_{\alpha}) \neq \beta(\boldsymbol{y}_{\beta}), a \neq b$, and $a \neq \alpha(\boldsymbol{x}_{\alpha})$, if a and b are distinct atoms and if α and β are distinct constructors.
- Domain closure.

$$\mathsf{Is}_{\alpha}(x) \leftrightarrow \exists \ \bar{z}_{\alpha}\alpha(\bar{z}_{\alpha}) = x, \qquad \mathsf{Is}_{A}(x) \leftrightarrow \bigwedge_{\alpha \in \mathcal{C}} \neg \mathsf{Is}_{\alpha}(x).$$



Example: LISP lists

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Signature:

 $\langle \mathsf{list}; \{\mathsf{nil}\}; \{\mathsf{cons}\}; \{\mathsf{car}, \mathsf{cdr}\}; \{\mathsf{ls}_\mathsf{A}, \mathsf{ls}_\mathsf{cons}\} \rangle$

Axioms:

(1)
$$ls_A(x) \leftrightarrow \neg ls_{cons}(x)$$
, (2) $car(cons(x,y)) = x$,
(3) $cdr(cons(x,y)) = y$, (4) $ls_A(x) \leftrightarrow \{car, cdr\}^+(x) = x$,
(5) $ls_{cons}(x) \leftrightarrow cons(car(x), cdr(x)) = x$.

Formulas:

cons(y, z) = cons(cdr(x), z) → cons(car(x), y) = x (valid).
 x = cons(y, y) → cons(car(x), y) = x (valid).



Directed Acyclic Graph

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Definition 2 A term t can be represented by a tree T_t such that

- t is a constant or variable, then T_t is a leaf vertex labeled by t,
- if t is in the form $\alpha(t_1, \ldots, t_k)$, then T_t is the tree having the root labeled by t and having T_{t_1}, \ldots, T_{t_k} as its subtrees.

A directed acyclic graph (DAG) G_t of t is obtained from T_t by "factoring out" the common subtrees (subterms).

The DAG of a formula is the DAG representing all terms in the formula.



Example: DAG Representation

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 $\operatorname{cons}(y,z) = \operatorname{cons}(x,z) \ \land \ \operatorname{cons}(x,y) \neq x.$



n_1	•	cons(x,y)	n_4	•	x
n_2	•	cons(x,z)	n_5	•	y
n_3	•	cons(y,z)	n_6	•	z



Bidirectional Closure

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R: a binary relation.

Unification Closure $R \downarrow$ of R: the smallest equivalence relation extending R such that

$$\alpha(\boldsymbol{x}_{\alpha}) = \alpha(\boldsymbol{y}_{\alpha}) \to \bigwedge_{1 \leq i \leq \operatorname{ar}(\alpha)} x_i = y_i.$$

Congruence Closure $R\uparrow$ of R: the smallest equivalence relation extending R such that

$$\bigwedge_{1 \leq i \leq \operatorname{ar}(\alpha)} x_i = y_i \to \alpha(\boldsymbol{x}_\alpha) = \alpha(\boldsymbol{y}_\alpha).$$

■ Bidirectional Closure $R \ddagger = R \downarrow + R \uparrow$.



Type Completion

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Definition 3 Φ' is a **type completion** of Φ if Φ' is obtained from Φ by adding tester predicates such that

for any term s(t) either $ls_{\alpha}(t)$ (for some constructor α) or $ls_{A}(t)$ is present in Φ' .

Example 2 A possible type completion for y = car(cdr(x)) is

 $y = \operatorname{car}(\operatorname{cdr}(x)) \wedge \operatorname{ls}_{\operatorname{cons}}(x) \wedge \operatorname{ls}_{\operatorname{A}}(\operatorname{cdr}(x)).$

A type completion Φ' is **compatible** with Φ if the satisfiability of Φ implies that Φ' is satisfiable and if any solution of Φ' is a solution of Φ .



Oppen's Algorithm for \mathfrak{A}_{λ}

Algorithm 1 Input

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$\Phi: \underbrace{q_1 = r_1 \land \ldots \land q_k = r_k}_{\Phi_{eq}} \land \underbrace{s_1 \neq t_1 \land \ldots \land s_l \neq t_l}_{\Phi_{ne}}.$

- Guess a type completion Φ and simplify selector terms accordingly. We still use Φ to denote the resulting formula.
 Construct the DAG of Φ.
- 3. Compute the bidirectional closure $R \$ of

$$R = \{ (q_i, r_i) \mid 1 \le i \le k \}.$$

4. Return **FAIL** if $\exists i(s_i, t_i) \in R \ddagger$; return **SUCCESS** otherwise.

Solution = Type Completion + DAG + Bidirectional Closure.



Example: Oppen's Algorithm

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The following graph shows the DAG for

 $\mathsf{Is}_{\mathsf{cons}}(x) \ \land \ \mathsf{cons}(y,z) = \mathsf{cons}(\mathsf{cdr}(x),z) \ \land \ \mathsf{cons}(\mathsf{car}(x),y) \neq x.$





Example (Cont'd): Oppen's Algorithm

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Initial partition.

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 $\{\{n_1\}, \{n_2\}, \{n_3\}, \{n_4\}, \{n_5\}, \{n_6\}, \{n_7\}, \{n_8\}\}\}$ $\blacksquare \text{ Merge } n_3 \text{ and } n_4 \text{ since } n_3 = n_4.$ $\{\{n_1\}, \{n_2\}, \{n_3, n_4\}, \{n_5\}, \{n_6\}, \{n_7\}, \{n_8\}\}\}$

• Merge n_6 and n_7 by unification closure algorithm.

 $\{\{n_1\},\{n_2\},\{n_3,n_4\},\{n_5\},\{n_6,n_7\},\{n_8\}\}$

• Merge n_1 and n_2 by congruence closure algorithm.

 $\{\{n_1, n_2\}, \{n_3, n_4\}, \{n_5\}, \{n_6, n_7\}, \{n_8\}\}$

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\sim The conjunction is unsatisfiable since n_1 \neq n_2.
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Presburger arithmetic (PA): $\mathscr{L}_{\mathbb{Z}}$, $\mathfrak{A}_{\mathbb{Z}}$.

Two-sorted language $\Sigma = \Sigma_{\lambda} \cup \Sigma_{\mathbb{Z}} \cup \{|.|\}$:

1. Σ_{λ} : signature of recursive data structures.

2. $\Sigma_{\mathbb{Z}}$: signature of Presburger arithmetic.

3. $|.| : \lambda \to \mathbb{N}$, the length function defined by

$$|t| = \begin{cases} 1 & \text{if } t \text{ is an atom,} \\ \sum_{i=1}^{k} |t_i| & \text{if } t \equiv \alpha(t_1, \dots, t_k). \end{cases}$$

 $\gg |t| :$ generalized integer terms.

Two-sorted structures:

• $\mathfrak{B}^{\omega} = \langle \mathfrak{A}^{\omega}_{\lambda}; \mathfrak{A}_{\mathbb{Z}}; |.| \rangle; \lambda$ contains infinitely many atoms.

• $\mathfrak{B}^{=k} = \langle \mathfrak{A}_{\lambda}^{=k}; \mathfrak{A}_{\mathbb{Z}}; |.| \rangle; \lambda$ contains exactly *k* atoms.



Difficulty of N-O Combination

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Nelson-Oppen combination methods is not directly applicable to the extended theory.

Example 3 Consider in
$$\mathfrak{B}^{=1}$$
 with $\lambda = \{a\}$.

$$\underbrace{|u|=3}_{\Phi_{\mathbb{Z}}} \land \underbrace{u \neq \operatorname{cons}(\operatorname{cons}(a,a),a) \land u \neq \operatorname{cons}(a,\operatorname{cons}(a,a))}_{\Phi_{\lambda}}$$

is unsatisfiable in $\mathfrak{B}^{=1}$, while $\Phi_{\mathbb{Z}}$ is satisfiable in $\mathfrak{A}_{\mathbb{Z}}$ and Φ_{λ} is satisfiable in \mathfrak{A}_{λ} .

There are "hidden" constraints on data structure length.



Length Constraint

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• An arithmetic constraint Φ_{Δ} is a **length constraint** of Φ_{λ} , if

there is one-to-one correspondence between integer variables and terms occurring in Φ_{λ} .

• Φ_{Δ} is sound, if

for any satisfying assignment ν_{λ} of Φ_{λ} , $|\nu_{\lambda}|$ is a satisfying assignment for Φ_{Δ} .

• Φ_{Δ} is complete, if

whenever Φ_{λ} is satisfiable, for any satisfying assignment ν_{Δ} of Φ_{Δ} there exists a satisfying assignment ν_{λ} of Φ_{λ} such that $|\nu_{\lambda}| = \nu_{\Delta}$.

• Φ_{Δ} is **induced** by Φ_{λ} , if

 Φ_Δ is both sound and complete.



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 $\Phi_{\lambda} : \operatorname{cons}(x, y) = z.$

• Φ^1_{Δ} : $|x| < |z| \land |y| < |z|$ is sound but not complete.

Reason: the integer assignment

$$\nu_{\Delta}: \{ |x| = 3, |y| = 3, |z| = 4 \}$$

can not be realized.

• Φ_{Δ}^2 : $|x| + |y| = |z| \land |x| > 5 \land |y| > 0$ is complete but not sound.

Reason: it does not satisfy the data assignment

$$\nu_{\lambda}: \{x = a, y = a, z = \operatorname{cons}(a, a)\}.$$

• $\Phi_{\Delta}: |x| + |y| = |z| \land |x| > 0 \land |y| > 0$ is both sound and complete, and hence is the induced constraint from Φ_{λ} .



Main Theorem

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Main Theorem 1 Let Φ be a mixed constraint in the form $\Phi_{\mathbb{Z}} \wedge \Phi_{\lambda}$ and Φ_{Δ} the induced length constraint with respect to Φ_{λ} . Then Φ is satisfiable in \mathfrak{B} if and only if

- 1. $\Phi_{\Delta} \wedge \Phi_{\mathbb{Z}}$ is satisfiable in $\mathfrak{A}_{\mathbb{Z}}$, and
- 2. Φ_{λ} is satisfiable in \mathfrak{A}_{λ} .

The decision problem for quantifier-free theories reduces to computing the induced length constraints in Presburger arithmetic.



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 $\begin{aligned} \mathsf{Tree}(t) &: \quad \exists x_1, \dots, x_n \ge 0 \left(|t| = \left(\sum_{i=1}^n (d_i - 1) x_i\right) + 1 \right) \\ \mathsf{Node}^{\alpha}(t, \boldsymbol{t}_{\alpha}) &: \quad |t| = \sum_{i=1}^{\delta(\alpha)} |t_i| \\ \mathsf{Tree}^{\alpha}(t) &: \quad \exists \boldsymbol{t}_{\alpha} \left(\mathsf{Node}^{\alpha}(t, \boldsymbol{t}_{\alpha}) \land \bigwedge_{i=1}^{\delta(\alpha)} \mathsf{Tree}(t_i) \right) \end{aligned}$

• t_{α} stands for $t_1, \ldots, t_{ar(\alpha)}$.

• d_1, \ldots, d_n are the distinct arities of the constructors.

• Tree(t) is true iff |t| is the length of a well-formed tree.

Node^{α}(t, t_{α}) forces the length of an α -typed node with known children to be the sum of the lengths of its children.

Tree^{α}(*t*) states the length constraint for an α -typed tree.



Construction of Φ_{Δ} in \mathfrak{B}^{ω}

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Algorithm 2 Input: 1. Φ_{λ} : a (type-complete) data constraint, 2. G_{λ} : the DAG of Φ_{λ} , 3. $R \ddagger$: the bidirectional closure obtained by Algorithm 1. Initially set $\Phi_{\Delta} = \emptyset$. For each term *t* add the following to Φ_{Δ} .

• |t| = 1, if t is an atom;

$$|t|=|s|$$
 , if $(t,s)\in R$

• Tree(t) if t is an untyped leaf vertex.

• Node^{α}(t, t_{α}) if t is an α -typed vertex with children t_{α} .

• Tree^{α}(*t*) if *t* is an α -typed leaf vertex.



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Input: $\Phi_{\lambda} \wedge \Phi_{\mathbb{Z}}$.

- 1. Guess a type completion Φ'_{λ} of Φ_{λ} .
- 2. Call Algorithm 1 on Φ'_{λ} .
 - **Return FAIL** if Φ'_{λ} is unsatisfiable; continue otherwise.
- 3. Construct Φ_{Δ} from G'_{λ} using Algorithm 2.

• Return SUCCESS if $\Phi_{\Delta} \land \Phi_{\mathbb{Z}}$ is satisfiable.

Return FAIL otherwise.



Example: DP for $\mathsf{Th}^{\forall}(\mathfrak{B}^{\omega})$

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 $|\mathbf{s}_{\mathsf{cons}}(y) \wedge x = \mathsf{cons}(\mathsf{car}(y), y) \wedge |\mathsf{cons}(\mathsf{car}(y), y)| < 2|\mathsf{car}(x)|. \tag{1}$



 n_7 : $\mathsf{cdr}(y)$



Example (Cont'd): DP for $Th^{\forall}(\mathfrak{B}^{\omega})$

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Unification and congruence closure:

 $\{\{n_1, n_2\}, \{n_3, n_5\}, \{n_4, n_6\}, \{n_7\}\}.$

Induced length constraints:

 $|\mathsf{car}(x)| \ge 1 \ \land \ |\mathsf{cdr}(x)| \ge 1 \ \land \ |\mathsf{car}(y)| \ge 1 \ \land \ |\mathsf{cdr}(y)| \ge 1. \ \textbf{(2)}$

 $|x| = |\operatorname{cons}(\operatorname{car}(y), y)| \wedge |\operatorname{car}(x)| = |\operatorname{car}(y)| \wedge |\operatorname{cdr}(x)| = |y|.$ (3)

 $|x| = |\operatorname{car}(x)| + |\operatorname{cdr}(x)| \land |y| = |\operatorname{car}(y)| + |\operatorname{cdr}(y)| \land$ $|\operatorname{cons}(\operatorname{car}(y), y)| = |\operatorname{car}(y)| + |y|.$

(2), (3) and (4) imply $|cons(car(y), y)| \ge 2|car(x)| + 1$.

Constraint (1) is unsatisfiable.

(4)



Complication for $\mathsf{Th}^{\forall}(\mathfrak{B}^{=k})$

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Suppose that the atom domain contains only one atom. Then $|x| = 3 \land Is_A(y) \land$ $x \neq cons(cons(y, y), y) \land x \neq cons(y, cons(y, y))$ (5)

is unsatisfiable while by the previous procedure

$$\begin{split} |y| &= 1 \ \land \ |\mathsf{cons}(y,y)| = 2 \ \land \\ |\mathsf{cons}(\mathsf{cons}(y,y),y)| &= 3 \ \land \ |\mathsf{cons}(y,\mathsf{cons}(y,y)| = 3 \ \ \text{(6)} \end{split}$$

is obviously satisfiable together with |x| = 3.

Need to count how many distinct trees at certain length.



Counting Constraints

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Definition 4 A counting constraint is a predicate $CNT_{k,n}^{\alpha}(x)$ that is **true** if and only if

there are at least n+1 different α -terms of length x in the language with exactly k > 0 distinct atoms.

Example 4 For $\mathfrak{B}_{list}^{=1}$, $CNT_{n,1}^{cons}(x) \equiv x \ge m$ where m is the least number such that the m-th **Catalan number**

$$C_m = \frac{1}{m} \binom{2m-2}{m-1}$$

is greater than n.

 $rightarrow CNT_{k,n}^{\alpha}(x)$ is expressible by a quantifier-free Presburger formula that can be computed in time O(n).



Equality Completion

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Definition 5 (Equality Completion) Let *S* be a set of λ -terms. An **equality completion** θ of *S* is a formula consisting of the following literals:

for any $u, v \in S$, exactly one of u = v and $u \neq v$, and exactly one of |u| = |v| and $|u| \neq |v|$ are in θ .

Example 5 An equality completion of $S = \{x, y, z, \alpha(x, z)\}$ is

$$|y| = |\alpha(x,z)| \wedge |x| = |z| \wedge |y| \neq |x| \wedge \bigwedge_{t,t' \in S; t \not\equiv t'} t \neq t'.$$
 (7)

The notion of equality completion naturally generalizes to a conjunction of literals, e.g., the above is an equality completion of $\theta : y \neq \alpha(x, z)$.



Construction of Φ_{Δ} in $\mathfrak{B}^{=k}$

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Decison Procedure for

Th \forall (\mathfrak{B} = k)

• Complication for

Th \forall (\mathfrak{B} = k)

• Counting Constraints

• Equality Completion

• Construction of \Phi_{\Delta}

• DP for Th^{\forall}(\mathfrak{B} = k)
```

Related Work

Future Work

Let $CLT_{n+1}(t_0, ..., t_n)$ denote that $t_0, ..., t_n$ have the same length but are pairwise unequal.

Algorithm 3 Input:

 Φ_{λ} (type and equality complete), G_{λ} and $R \ddagger$.

1. Call Algorithm 2 to obtain Φ_{Δ} . 2. For each *t* occurring in $CLT_{n+1}(t_0, \ldots, t_n)$, add $CNT_{k,n}^{\alpha}(|t|)$.

Example 6 Formula (5) implies

 $\mathsf{CLT}_3(x, \mathsf{cons}(\mathsf{cons}(y, y), y), \mathsf{cons}(y, \mathsf{cons}(y, y)))$

which gives the counting constraint $|x| \ge 4$. A contradiction.



Decision Procedure for $\mathsf{Th}^{\forall}(\mathfrak{B}^{=k})$

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Decison Procedure for

Th^{\forall}(\mathfrak{B}^{=k})

• Complication for

Th^{\forall}(\mathfrak{B}^{=k})

• Counting Constraints

• Equality Completion

• Construction of \Phi_{\Delta}

• DP for Th^{\forall}(\mathfrak{B}^{=k})
```

Related Work

Future Work

Input : $\Phi_{\lambda} \wedge \Phi_{\mathbb{Z}}$.

- 1. Guess a type and equality completion Φ'_{λ} of Φ_{λ} . 2. Call Algorithm 1 on Φ'_{λ} .
 - Return **FAIL** if Φ'_{λ} is unsatisfiable; continue otherwise.
- 3. Construct Φ_{Δ} from G'_{λ} using Algorithm 3.
 - Return SUCCESS if $\Phi_{\Delta} \wedge \Phi_{\mathbb{Z}}$ is satisfiable.
 - Return FAIL otherwise.



Related Work on Arithmetic Integration

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Related Work

Related Work

Future Work

- Combining integer with sets and multisets [Zar02b, Zar02a].
- Combining integer with lists [Zar01].
- Quantifier-free theory of term algebras with Knuth-Bendix order [KV00, KV01].
- First-order theory of term algebras with Knuth-Bendix order [ZSM04a].
- First-order theory of term algebras with integer constraints [ZSM04b].



Future Work on Arithmetic Integration

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Decison Procedure for $\mathsf{Th}^{\forall}(\mathfrak{B}^{=k})$

Related Work

Future Work

Recursive data structures with subterm relation. E.g., y ≤ cons(x, cons(x, x)) → |y| ≤ |x|.
Queues (flat lists without concatenation). E.g., rcons(rcons(y, a), b) = cons(b, cons(a, y)) → |y| ≡₂ 1.
Word concatenation. E.g.,

$$x \circ a \circ y = y \circ b \circ x \to |x| = |y|.$$

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