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# Verification of programs with ADTs using Shallow Horn Clauses extended version

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**Abstract** This paper considers verification of relational properties of programs over algebraic data types (ADTs) by translating programs and properties into Constrained Horn clauses (CHCs). Verification reduces to satisfiability of CHCs modulo the theory of algebraic data types, which can be done by exhibiting a Herbrand model of the clauses. Herbrand models of CHCs with *recursive* ADTs are unbounded, so we need a formalism to finitely represent such models. We propose Shallow Horn Clauses (SHoCs), a new formalism for finitely representing unbounded Herbrand models. SHoCs enjoy the usual Boolean closure properties and are strictly more expressive and compact than tree automata and convoluted tree automata, which have previously been used for this purpose. We propose an Implication CounterExample procedure (ICE) for inferring SHoCs. The model inference problem arising from relational verification is undecidable, so we propose an incomplete but sound inference procedure. Experiments show that this procedure performs well in practice w.r.t. state of the art tools, both for verifying properties and for finding counterexamples.

**Keywords:** Formal verification · Relational properties · Algebraic data-types · Model inference

## 1 Introduction

Constrained Horn Clauses (CHCs) have attracted considerable attention as a formalism for program verification [4]. CHCs are Horn clauses with additional constraints expressed in an underlying theory. They unify the representation of the semantics of a program and of properties to verify on it, and proving a property on a program is reduced to checking satisfiability of the combined set of Horn clauses that represent the program and the property. Proving satisfiability can be done using an axiomatic proof or by exhibiting a model (e.g. with a finite model finder). However, when the underlying theory of the CHCs is the theory of *recursive* algebraic data types (ADTs), axiomatic proofs usually require advanced techniques, such as automatic induction [22]. In addition, since models over recursive ADTs are unbounded Herbrand models, a challenge in the model exhibition approach is to find finite representations of these models.

Since these models are sets of atoms, this amounts to finitely representing an unbounded set of atoms. *Tree automata* recognize regular term languages and have proved to be a convenient way to finitely represent unbounded Herbrand models over ADTs [11, 13, 16, 19]. However, ordinary tree automata fail to capture relational information in the model. By recognizing tuples of terms instead of a single term, *convoluted tree automata* successfully represent Herbrand models where it is enough to relate *fixed branches* of a term [18]. This *ad hoc* extension of automata makes it possible to represent some relations that are important in program verification, e.g., the relation between lists and their size. However, the fixed-branch restriction prevents convolution from modelling relations that depend on unpredictable choice of branches, e.g., the relation between a tree and the height of its highest branch.

We overcome this limitation by using *Shallow Horn Clauses* (SHoCs) to represent Herbrand models with relational information. In our setting, programs and properties are still represented using CHCs but Herbrand models of programs and properties are represented using SHoCs instead of tree automata. SHoCs is an addition to the collection of formalisms obtained by imposing syntactic restrictions on Horn clauses. We compare SHoCs with CS-programs [17] in Section 4.1 and with SCF-programs [5] in Section 7. A SHoC is a Horn clause where the head is linear and only contains shallow terms, i.e. a function symbol applied to variables, atoms in the body only contain variables, and every such variable appears in the head. The body of a SHoC may be non-linear. For instance, here are the SHoCs representing the relation  $R_{sh}(t, n)$  between a binary tree  $t$  and a natural number  $n$ , where  $(t, n)$  belongs to the relation if  $t$  is of height smaller or equal to  $n$ :

$$R_{sh}(leaf, z) \quad R_{sh}(leaf, s(N)) \quad R_{sh}(node(T_1, E, T_2), s(N)) \Leftarrow R_{sh}(T_1, N) \wedge R_{sh}(T_2, N)$$

The relation recognized by this SHoCs is the set of tuples of terms  $(t, n)$  such that  $R_{sh}(t, n)$  belongs to the least fixpoint of the clauses. As shown in the next section, this kind of relation cannot be recognized by a (convoluted) tree automaton nor by CS-programs. Our contributions are:

- We formally define SHoCs and their closure properties, and show that SHoCs are strictly more expressive than (convoluted) tree automata.
- We define a Learner-Teacher procedure for learning a set of SHoCs that prove satisfiability of a set of CHCs. This procedure is the key element in proving a property on a set of CHCs representing a program.
- We have implemented and evaluated the Learner-Teacher procedure on a large set of benchmarks. On several examples, we observe that SHoCs are more compact and more generic than their equivalent tree automata or convoluted tree automata.
- We have compared our tool with other tools available for verifying properties over ADTs. Experiments show that verification using SHoCs succeeds on more benchmarks than other approaches. In particular, we succeed on the verification of relational properties on ADTs which are out of the scope of state-of-the-art SMT solvers with ADT support such as Spacer [12], Eldarica [14] and RInGen [20].

## 2 Verification using Tree Automata and Shallow Horn Clauses

This section provides examples of verification using tree automata and con-  
volutions. They are intended to motivate the introduction of shallow Horn  
clauses. Let  $nat ::= z \mid s(nat)$  and  $natTree ::= leaf \mid node(natTree, nat, natTree)$   
be the ADTs of natural numbers and binary trees of *nats*. The following Horn  
clauses define the predicates *leq* (less than or equal), *isEmpty* (is a tree empty),  
*all0* (is a tree full of zeros), *no0* (is a tree free of zeros), *height* (the height of a  
binary tree), and *heightRB* (the height of the rightmost branch of a binary tree).

$$\begin{array}{l} leq(z, z) \quad false \Leftarrow leq(s(X), z) \quad isEmpty(leaf) \\ leq(z, s(X)) \quad leq(s(X), s(Y)) \Leftarrow leq(X, Y) \quad false \Leftarrow isEmpty(node(T_1, E, T_2)) \\ leq(X, Y) \Leftarrow leq(s(X), s(Y)) \end{array}$$

$$\begin{array}{l} all0(leaf) \quad all0(node(T_1, z, T_2)) \Leftarrow all0(T_1) \wedge all0(T_2) \\ false \Leftarrow all0(node(T_1, s(E), T_2)) \quad all0(T_1) \Leftarrow all0(node(T_1, z, T_2)) \\ all0(T_2) \Leftarrow all0(node(T_1, z, T_2)) \end{array}$$

$$\begin{array}{l} no0(leaf) \quad no0(node(T_1, s(E), T_2)) \Leftarrow no0(T_1) \wedge no0(T_2) \\ false \Leftarrow no0(node(T_1, z, T_2)) \quad no0(T_1) \Leftarrow no0(node(T_1, s(E), T_2)) \\ no0(T_2) \Leftarrow no0(node(T_1, s(E), T_2)) \end{array}$$

$$\begin{array}{l} height(leaf, z) \\ height(node(T_1, E, T_2), s(N_1)) \Leftarrow height(T_1, N_1) \wedge height(T_2, N_2) \wedge leq(N_2, N_1) \\ height(node(T_1, E, T_2), s(N_2)) \Leftarrow height(T_1, N_1) \wedge height(T_2, N_2) \wedge leq(N_1, N_2) \\ N = M \Leftarrow height(T, N) \wedge height(T, M) \end{array}$$

$$\begin{array}{l} heightRB(leaf, z) \\ heightRB(node(T_1, E, T_2), s(N)) \Leftarrow heightRB(T_2, N) \\ N = M \Leftarrow heightRB(T, N) \wedge heightRB(T, M) \end{array}$$

All variables are in uppercase and universally quantified. Let  $\mathcal{P}$  denote this  
set of clauses that define the program to verify. Because our clauses intend  
to represent functional programs, the last clause of, e.g., the *height* definition  
ensures that the corresponding relation is, in fact, a function in the Herbrand  
model. We recall that, given a set of function symbols, the Herbrand *structure*  
interprets each function symbol  $f$  as the function that takes terms  $t_1, \dots, t_n$  as  
arguments and maps them to the term  $f(t_1, \dots, t_n)$ . This structure is unique.  
However, Herbrand *models* of a set of clauses may not be unique. A Herbrand  
model is a set of ground atoms satisfying all the clauses. Without the last clause  
of *height*, a Herbrand model where  $height(t, n)$  is true for all trees  $t$  and all  
natural numbers  $n$  is a correct model for the three first clauses of *height*. For  
a terminating function, the added clause ensures that  $\mathcal{P}$  can only be satisfied  
by a single Herbrand model  $M$  representing this function. To prove a property  
 $\phi$  on  $\mathcal{P}$  we have to prove  $\mathcal{P} \models \phi$ . Since there is only one model  $M$  of  $\mathcal{P}$ , this  
reduces to checking that  $M \models \phi$ . We motivate the need for SHoCs using three

properties to prove on  $\mathcal{P}$ :

$$\begin{aligned}\phi_1 &\stackrel{def}{=} \text{all0}(T) \wedge \text{no0}(T) \Rightarrow \text{isEmpty}(T) \\ \phi_2 &\stackrel{def}{=} \text{heightRB}(\text{node}(T_1, E, T_2), X) \wedge \text{heightRB}(T_2, Y) \Rightarrow \text{leq}(Y, X) \\ \phi_3 &\stackrel{def}{=} \text{heightRB}(T, N) \wedge \text{height}(T, M) \Rightarrow \text{leq}(N, M)\end{aligned}$$

Property  $\phi_1$  can be proven by representing  $M$  with a tree automaton. Property  $\phi_2$  cannot be proven with tree automata but can be proven using convoluted tree automata. Finally, property  $\phi_3$  cannot be proven using convoluted tree automata but can be with SHoCs.

## 2.1 Tree automata

First, we focus on proving that  $M \models \phi_1$ . Recall that the Herbrand model  $M$  is the set of atoms satisfying  $\mathcal{P}$ . Let  $M_{\text{isEmpty}} = \{\text{isEmpty}(t) \mid \text{isEmpty}(t) \in M\}$ ,  $M_{\text{all0}} = \{\text{all0}(t) \mid \text{all0}(t) \in M\}$  and  $M_{\text{no0}} = \{\text{no0}(t) \mid \text{no0}(t) \in M\}$  be sets of atoms and subsets of  $M$ . Thus, proving  $\phi_1$  is equivalent to showing that for all terms  $t$ ,

- (1) if  $M \models \text{all0}(t) \wedge \text{no0}(t)$  then  $M \models \text{isEmpty}(t)$ , or equivalently  
(2) if  $\text{all0}(t) \in M_{\text{all0}} \wedge \text{no0}(t) \in M_{\text{no0}}$  then  $\text{isEmpty}(t) \in M_{\text{isEmpty}}$

To prove (2), we need to pick *all* terms  $t$  such that  $\text{all0}(t)$  belong to  $M_{\text{all0}}$ ,  $\text{no0}(t)$  belong to  $M_{\text{no0}}$  and check that the terms  $\text{isEmpty}(t)$  (for the same  $t$ ) belong to  $M_{\text{isEmpty}}$ . For proving this automatically, we need a finite representation of  $M_{\text{all0}}$ ,  $M_{\text{no0}}$  and  $M_{\text{isEmpty}}$ . Those three sets are regular and tree automata recognizing them can be automatically inferred [11, 13, 16, 19]. Tree automata rewrite terms to states. If a term  $t$  rewrites to a state  $q$  then it is said to be *recognized* in  $q$ . Here is a possible tree automaton recognizing terms  $t$  such that  $\text{isEmpty}(t)$  belong to  $M_{\text{isEmpty}}$ :  $\text{leaf} \rightarrow q_{\text{isEmpty}}$ . This automaton only recognizes the empty tree  $\text{leaf}$ . We can do the same for  $\text{no0}$  with the following tree automaton:

$$\begin{aligned}\text{leaf} &\rightarrow q_{\text{no0}} & z &\rightarrow q_0 & s(q_1) &\rightarrow q_1 \\ \text{node}(q_{\text{no0}}, q_1, q_{\text{no0}}) &\rightarrow q_{\text{no0}} & s(q_0) &\rightarrow q_1\end{aligned}$$

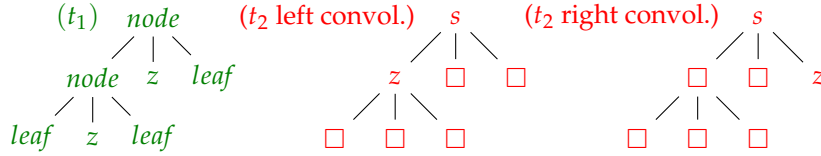
This automaton recognizes  $z$  in  $q_0$  and recognizes all natural numbers greater than 0 in  $q_1$ , e.g.,  $s(z) \rightarrow s(q_0) \rightarrow q_1$ . It also recognizes all trees of natural numbers greater to 0 in state  $q_{\text{no0}}$ . Thus, the language recognized by  $q_{\text{no0}}$  is the set of terms  $t$  such that  $\text{no0}(t)$  belong to  $M_{\text{no0}}$ . Finally, we can do the same for  $\text{all0}$  with the following tree automaton where state  $q_{\text{all0}}$  recognizes terms  $t$  such that  $\text{all0}(t)$  belong to  $M_{\text{all0}}$ :

$$\begin{aligned}\text{leaf} &\rightarrow q_{\text{all0}} & z &\rightarrow q_0 & s(q_1) &\rightarrow q_1 \\ \text{node}(q_{\text{all0}}, q_0, q_{\text{all0}}) &\rightarrow q_{\text{all0}} & s(q_0) &\rightarrow q_1\end{aligned}$$

Thus, to prove (2) it is enough to prove that all terms recognized in both  $q_{\text{all0}}$  and  $q_{\text{no0}}$  are all recognized in  $q_{\text{isEmpty}}$ , i.e., prove that the intersection between the languages of  $q_{\text{all0}}$  and  $q_{\text{no0}}$  is included in the language recognised by  $q_{\text{isEmpty}}$ , which is decidable on tree automata.

## 2.2 Convolved tree automata

Models that can be expressed using regular languages and tree automata have limitations. To prove the property  $\phi_2$  the model needs to preserve the relation that exists between the height of the rightmost branch of  $node(T_1, E, T_2)$  and  $X$ . Verifying  $\phi_2$  cannot follow the previous approach. Losekoot *et al.* [18] use an extension of tree automata with convolutions to recognize regular languages of tuples to prove such properties. A convolution transforms a  $n$ -tuple of terms into a term built on  $n$ -tuples of symbols. To recognize the *binary* relation  $heightRB$ , a convoluted tree automaton recognizes the overlaying of terms  $t_1$  and  $t_2$  for all  $(t_1, t_2)$  belonging to the relation (i.e. such that  $heightRB(t_1, t_2) \in M$ ). For instance, to overlay  $t_1 = node(node(leaf, z, leaf), z, leaf)$  and  $t_2 = s(z)$ , one needs to define a new symbol  $\langle node, s \rangle$  for the convolution of the top symbols of the two terms and then overlay subterms of  $t_1$  and  $t_2$ . Since the number of children of  $node$  and  $s$  are different, a direct overlaying is impossible. Convoluted tree automata solves this by extending the arity of symbols so that they are all the same, and replace non-existent subterms by a padding symbol  $\square$ . However, using such a representation, when overlaying  $t_1$  and  $t_2$  there are many possible trees representing  $t_2$ . As a result, convoluted tree automata are parameterized by a *fixed* overlaying strategy, e.g., the left (resp. right) convolution strategy convolutes the leftmost (resp. rightmost) branches of the two terms together.



Since the  $heightRB$  relation relates the height of the rightmost branch of the tree with the natural number, the right convolution strategy has to be used. This leads to the following convoluted tree automaton for  $heightRB$ :

$$\begin{array}{l} \langle node, s \rangle (q_t, q_{nat}, q_{hRB}) \rightarrow q_{hRB} \mid \langle node, \square \rangle (q_t, q_{nat}, q_t) \rightarrow q_t \mid \langle z, \square \rangle \rightarrow q_{nat} \\ \langle leaf, z \rangle \rightarrow q_{hRB} \mid \langle leaf, \square \rangle \rightarrow q_t \mid \langle s, \square \rangle (q_{nat}) \rightarrow q_{nat} \end{array}$$

In particular, this automaton recognizes the right convolution of  $t_1$  and  $t_2$  that is  $\langle node, s \rangle (\langle node, \square \rangle (\langle leaf, \square \rangle, \langle z, \square \rangle, \langle leaf, \square \rangle), \langle z, \square \rangle, \langle leaf, z \rangle)$  in state  $q_{hRB}$ . Similarly, it is possible to build a convoluted automaton recognizing the  $leq$  relation. This automaton has the following transitions  $\langle z, z \rangle \rightarrow q_{leq}$ ,  $\langle \square, z \rangle \rightarrow q_{leq}$ ,  $\langle \square, s \rangle (q_{leq}) \rightarrow q_{leq}$ ,  $\langle z, s \rangle (q_{leq}) \rightarrow q_{leq}$ ,  $\langle s, s \rangle (q_{leq}) \rightarrow q_{leq}$ . Then, using these two automata, it is possible to prove  $\phi_2$ : we have to prove that for all  $t_1, t_2, e, x, y$  such that  $(node(t_1, e, t_2), x)$  and  $(t_2, y)$  belong to the language recognized by  $q_{hRB}$ , then the pair  $(y, x)$  is recognized by  $q_{leq}$ . This can easily be proven using standard algorithms on tree automata. Convoluted tree automata successfully model relations for which it is enough to relate a single *fixed* branch of a term (e.g. leftmost or rightmost branch) with another *fixed* branch in another term. Note that for another function, say  $heightLB$  computing the height of the left-

most branch of a binary tree, we would need to choose a different strategy for convolution than the right convolution.

### 2.3 Shallow Horn Clauses

Using the *fixed-branch* restriction enables efficient verification of many list processing programs [18], but it prevents convolution from modelling relations that depend on unpredictable choice of branches, such as the relation *height* between a binary tree and its height. *E.g.*, it is impossible to have a representation for  $M$  (the model of  $\mathcal{P}$ ) sufficiently precise for proving  $M \models \phi_3$ . In this paper, we define a restriction of Horn clauses called Shallow Horn Clauses (SHoCs) to represent such models. In a set of SHoCs, the predicates symbols replace states of tree automata and the language “recognized” by a predicate  $P$  is the set of tuples of terms  $(t_1, \dots, t_n)$  such that  $P(t_1, \dots, t_n)$  belongs to the smallest Herbrand model of the SHoCs (equivalently to the least fixpoint of the SHoCs). For instance, the SHoCs recognizing the *heightRB* relation (and equivalent to the previous convoluted automaton) only consists of the following two simple clauses:

$$R_{heRB}(leaf, z) \quad R_{heRB}(node(T_1, E, T_2), s(N)) \Leftarrow R_{heRB}(T_2, N)$$

Restricting Horn clauses to SHoCs yields decidability of boolean operations like intersection, complement,  $\dots$ , which are necessary for verification. Besides, since SHoCs do not rely on a *fixed* convolution strategy they can precisely model the *height* function and prove property  $\phi_3$ , as illustrated in Section 4.1.

## 3 Prerequisites

We use types, algebraic data types, typed variables, typed terms and typed relation symbols as in SMTLIB [1]. As in SMTLIB, we use a typed alphabet  $\Sigma$  associating symbols to types and  $\mathcal{X}$  a set of typed variables. In the example of Section 1,  $\Sigma$  contains the symbol  $z : nat, s : nat \rightarrow nat, leq : nat \times nat \rightarrow bool$ , etc. The set  $\mathcal{X}$  contains variables  $X : nat, Y : nat$ , etc. and variables  $T : natTree, T_1 : natTree$ , etc. A *relation* symbol is a function symbol whose co-domain is *bool*, e.g.  $leq : nat \times nat \rightarrow bool$ . *Patterns* (ranged over by  $p$ ) are (typed) terms that may contain variables. In the following, we use *terms* (ranged over by  $t$ ) to mean (typed) terms that do not contain variables. The set of all terms over an alphabet  $\Sigma$  is written  $\mathcal{T}(\Sigma)$ . An *atom* is a pattern of type *bool*, e.g.,  $leq(z, X)$  is an atom. A *ground* atom is an atom that does not contain variables, i.e. a term of type *bool*. A tuple  $(e_1, \dots, e_n)$  can be written as  $\vec{e}$  when size can stay implicit. When clear from the context, we omit the typing information on variables, patterns, terms, relations and atoms.

A clause is a first-order formula of the form  $\forall \vec{X}, R_1(\vec{p}_1) \vee \dots \vee R_k(\vec{p}_k) \vee \neg R_{k+1}(\vec{p}_{k+1}) \vee \dots \vee \neg R_n(\vec{p}_n)$  with  $\vec{X}$  a tuple of typed variables,  $1 \leq k \leq n$ , and for all  $i$  in  $[1 \dots n]$ ,  $R_i$  is a relation symbol,  $\vec{p}_i$  is a tuple of patterns, and  $R_i(\vec{p}_i)$  is an atom whose variables are all in  $\vec{X}$ . We use first-order logic with equality, meaning the binary equality predicate is built-in and can be used.

Clauses are also written  $R_1(\vec{p}_1) \vee \dots \vee R_k(\vec{p}_k) \Leftarrow R_{k+1}(\vec{p}_{k+1}) \wedge \dots \wedge R_n(\vec{p}_n)$ , where universal quantification is implicit,  $H = R_1(\vec{p}_1) \vee \dots \vee R_k(\vec{p}_k)$  is called the *head* and  $B = R_{k+1}(\vec{p}_{k+1}) \wedge \dots \wedge R_n(\vec{p}_n)$  the *body*. The head and body of a clause can be manipulated as sets of their atoms, as order usually does not matter and duplicates are useless. The function *Vars* fetches the set of variables contained in a term, pattern, atom, and clause. The height of a pattern  $p$  is written  $ht(p)$  and extends to tuples, sets, and atoms containing patterns, as the maximum of each individual height. A substitution  $\sigma$  is a function replacing variables by patterns in a pattern, atom, or clause.

**Definition 1 (Horn clauses and Strict Horn clauses).** *A Horn clause is a clause  $H \Leftarrow B$  with at most one head atom, i.e.  $|H| \leq 1$ . A Horn clause is called strict if  $|H| = 1$  and its head does not contain the equality predicate.*

**Proposition 1 (Smallest Herbrand model).** *Let  $\mathcal{C}$  be a set of strict Horn clauses. The unique smallest Herbrand model  $\mathcal{H}(\mathcal{C})$  exists and is the smallest set of ground atoms which satisfies every clause of  $\mathcal{C}$  [8].*

**Definition 2 (Language of a relation).** *Given a set of strict Horn clauses  $\mathcal{C}$  and a relation symbol  $R$ ,  $\mathcal{L}(R, \mathcal{C})$  is the set of tuples of terms rooted by  $R$  in  $\mathcal{H}(\mathcal{C})$ , i.e.,  $\mathcal{L}(R, \mathcal{C}) = \{(t_1, \dots, t_n) \mid R(t_1, \dots, t_n) \in \mathcal{H}(\mathcal{C})\}$ .*

*Example 1.* Let  $\mathcal{C}$  be the set of clauses  $R_0(a, b)$ ,  $R_1(f(X), g(Y)) \Leftarrow R_0(X, Y)$ , and  $R_0(f(X), g(Y)) \Leftarrow R_1(X, Y)$ . The smallest Herbrand model  $\mathcal{H}(\mathcal{C})$  is defined by  $\mathcal{H}(\mathcal{C}) = \{R_0(f^{2n}(a), g^{2n}(b)) \mid n \geq 0\} \cup \{R_1(f^{2n+1}(a), g^{2n+1}(b)) \mid n \geq 0\}$ . The language of  $R_0$  is  $\mathcal{L}(R_0, \mathcal{C}) = \{(f^{2n}(a), g^{2n}(b)) \mid n \geq 0\}$ .

In the paper, we use two different types of clauses: *constrained clauses* to represent the verification problem, i.e., the input program  $\mathcal{P}$  and the property  $\phi$  to verify, and *shallow Horn clauses* to represent the model  $M$  such that  $M \models \mathcal{P}$  and  $M \models \phi$ , which are the focus of the next section. Usually, the constraints defining the programs are represented using constrained *Horn* clauses, but our translation yields clauses whose head might contain multiple atoms, so our method must handle non-Horn constrained clauses.

*Constrained clauses* are clauses with additional constraints from a theory  $T$ , i.e., formulas of the shape  $\forall \vec{X}, H \Leftarrow B \wedge \psi(\vec{X})$  with  $\forall \vec{X}, H \Leftarrow B$  a clause and  $\psi(\vec{X})$  a formula over  $\vec{X}$  adding theory-related constraints. In our setting, such constraints are over the theory of inductive data types [2] without tester predicates. Thus, constraints are of the form  $X = f(\vec{X})$ , where  $f \in \Sigma$ ,  $X$  is a typed variable and  $\vec{X}$  is a tuple of typed variables. For simplicity, we usually fold up such constraints, i.e., write  $R(p)$  instead of  $X = p \wedge R(X)$ . A *ground* (constrained) clause is one that has no variables or where every variable's value is completely determined by  $\psi(\vec{X})$ , e.g,  $R(X) \Leftarrow X = Nil$  is considered ground.

## 4 Shallow Horn Clauses (SHoCs)

This section formally defines the notion of Shallow Horn Clause (SHoC) as a strict Horn clause whose head atom is linear and shallow, and whose body



consists of atoms that do not contain any constructors and whose variables are all introduced in the head atom.

**Definition 3 (Linear, flat, and shallow patterns).** A pattern  $p$  is linear if every variable appears at most once in  $p$ . A pattern  $f(\vec{X})$  is flat if  $\vec{X}$  is a tuple of variables (with  $\vec{X}$  empty when  $f$  is a constant). A pattern  $f(\vec{p})$  is shallow if  $\vec{p}$  is a tuple of flat patterns.

For instance  $f(X, g(Y))$  is linear but not flat (because of  $g(Y)$ ) nor shallow (because of  $X$ ),  $f(X, X)$  is not linear but it is flat, and  $f(g(X), h(Y, Z))$  is linear and shallow. By extension, a linear (resp. shallow, flat) atom is a pattern of type *bool* which is linear (resp. shallow, flat).

**Definition 4 (Shallow Horn Clause – SHoC).** A Shallow Horn Clause is a strict Horn clause such that: (a) the head atom  $H$  is linear and shallow, (b) all atoms of the body  $B$  are flat, (c) the clause has no existential variables, i.e.  $\text{Vars}(B) \subseteq \text{Vars}(H)$ .

In the following, we write SHoCs for a finite set of SHoC.

*SHoC definition motivation* The strictness of the clause allows to see them as an induction rule, and a SHoCs as an inductively-defined set of relations. Shallow heads and flat bodies in SHoCs greatly limits the expressivity of such clauses and only allows relations that do not need to keep the value of some parameter while exploring the others recursively. The absence of existential variables is what allows to have a simple top-down membership procedure, as the procedure does not need to find a value (i.e. prove the *existence*) for any existential variable. Linearity in the head simplifies SHoCs manipulation (e.g., removing epsilon clauses, see Section 4.3) while preserving the expressive power since equalities between variables, which are SHoCs-definable, can be used in the body. The body is not required to be linear. This allows to recognize relations that do not only need to build upon terms but also compare them (e.g. the  $R_{sh}$  relation from Section 1).

#### 4.1 Expressivity of SHoCs

We illustrate the expressivity of SHoCs with the relations from the example of Section 1. Automata for *isEmpty*, *no0* and *all0* are replaced by the following seven SHoCs, where  $R_0$  (resp.  $R_s$ ) is an additional predicate recognizing only  $z$  (resp. natural numbers greater to 0).

$$\begin{aligned} R_0(z) \quad R_s(s(X)) \quad R_{isEmpty}(leaf) \\ R_{all0}(leaf) \quad R_{all0}(node(T_1, E, T_2)) &\Leftarrow R_0(E) \wedge R_{all0}(T_1) \wedge R_{all0}(T_2) \\ R_{no0}(leaf) \quad R_{no0}(node(T_1, E, T_2)) &\Leftarrow R_s(E) \wedge R_{no0}(T_1) \wedge R_{no0}(T_2) \end{aligned}$$

The following set of SHoCs named  $S_3$ , with relations  $R_{leq}$ ,  $R_{he}$ , and  $R_{heRB}$ , represent, respectively, the models for *leq*, *height*, and *heightRB* to prove property  $\phi_3$ . The additional relation  $R_{sh}$  is necessary to express *height* has a SHoCs. Recall that the atom  $R_{sh}(t, n)$  is true if tree  $t$  is of height smaller or equal to  $n$ .

$$\begin{array}{ll}
R_{leq}(z, z) & R_{sh}(leaf, z) \\
R_{leq}(z, s(X)) & R_{sh}(leaf, s(N)) \\
R_{leq}(s(X), s(Y)) \Leftarrow R_{leq}(X, Y) & R_{sh}(node(T_1, E, T_2), s(N)) \\
& \Leftarrow R_{sh}(T_1, N) \wedge R_{sh}(T_2, N) \\
R_{he}(leaf, z). & \\
R_{he}(node(T_1, E, T_2), s(N)) & R_{heRB}(leaf, z) \\
\Leftarrow R_{he}(T_1, N) \wedge R_{sh}(T_2, N) & R_{heRB}(node(T_1, E, T_2), s(N)) \\
R_{he}(node(T_1, E, T_2), s(N)) & \Leftarrow R_{heRB}(T_2, N) \\
\Leftarrow R_{sh}(T_1, N) \wedge R_{he}(T_2, N) & 
\end{array}$$

SHoCs are strictly more expressive than convoluted tree automata because any convoluted tree automaton has an equivalent SHoCs (see Section A.2 in appendix), and some SHoCs-definable relations such as  $\{f(t, t) \mid t \in \mathcal{T}(\Sigma)\}$  cannot be represented by a convoluted tree automaton.

There exists a variety of clause-based formalism to represent languages, such as *CS-programs* [17]. A CS-program is a set of CS-clauses, which are strict Horn clauses whose body is flat and linear. A CS-program is also interpreted by the least fixed-point semantics. The expressivity of SHoCs and CS-programs are incomparable. The  $R_{he}$  and  $R_{sh}$  examples cannot be represented using a CS-program because of bodies linearity: CS-programs can only build relations from bottom to top but can not compare two subterms (needed for  $R_{he}$  and  $R_{sh}$ ). On the other hand, since the head of CS-programs is not required to be shallow, it allows them to precisely represent some relations where symbols need to be stacked in the head of the clause. This is the case for the *double* function (Example 2) which is out of the scope of SHoCs but in the scope of CS-programs.

*Example 2.* Let  $double(n, m)$  be the relation s.t.  $m = 2 \times n$ , defined by the CHCs:

$$\begin{array}{l}
double(z, z) \quad double(s(N), s(s(M))) \Leftarrow double(N, M) \\
N = M \Leftarrow double(X, N) \wedge double(X, M)
\end{array}$$

Note that the set consisting of the first two clauses is a valid CS-program for *double*. The relation *double* cannot be recognized by a SHoCs. First, note that the clause  $double(s(N), s(s(M))) \Leftarrow double(N, M)$  is not a SHoC because of the double  $s$  symbol in the head. Then, the idea of the proof is very close to that of the word language  $a^n b^n$  not being recognizable by a finite string automaton. For a SHoCs to recognize *double* we would need predicate symbols to record how many  $s$  symbols have been read on the first parameter while the head symbols for the two parameters were both  $s$  and then, once  $z$  is encountered for the first parameter, check that this number of  $s$ 's is the same for the remainder of the second parameter. For instance, a possible SHoCs representing the finite relation  $\{(s(s(z)), s(s(s(s(z))))))\}$  in  $R$  is  $R(s(X), s(Y)) \Leftarrow R_1(X, Y)$ ,  $R_1(s(X), s(Y)) \Leftarrow R_2(X, Y)$ ,  $R_2(z, s(Y)) \Leftarrow R'_1(Y)$ ,  $R'_1(s(X)) \Leftarrow R'_0(X)$ , and  $R'_0(z)$ . However, representing the *double* relation for all natural numbers would require infinitely many predicate symbols and therefore an infinite SHoCs, which is forbidden.

## 4.2 Compactness of SHoCs

SHoCs enjoy a form of genericity which permits to represent relations in a more compact way than tree automata. This has already been illustrated in Section 1, where the automaton for *heightRB* has 6 convoluted transitions whereas the equivalent SHoCs has 2 clauses. Now, consider the relation  $length(l, n)$  relating lists with their size. A SHoCs for this relation is:

$$length(nil, z) \quad length(cons(E, L), s(N)) \Leftarrow length(L, N)$$

This SHoCs does not constrain the structure of elements in the list. Thus, this SHoCs is valid for lists of elements of any type. This results in a more generic and more compact representation than what tree automata can do for regular languages [11, 13, 16, 19] and for regular relations [18], where the complete structure of elements of the list has to be described explicitly by transitions. This is a general phenomenon that we have observed during the experiments, see Section 6. It significantly improves the efficiency of inference of SHoCs w.r.t. inference of (convoluted) tree automata.

## 4.3 $\epsilon$ -clauses and their elimination

In order to ease the definition of operations such as union or intersection of SHoCs, we introduce a new type of clauses, called  $\epsilon$ -clauses. The  $\epsilon$ -clauses are similar to  $\epsilon$ -transitions of automata that define transitions between states without recognizing any symbol. However, though  $\epsilon$ -clauses simplify the definition of some operations on SHoCs, they are not valid SHoCs (because their heads do not contain any function symbols, *i.e.*, they are flat). Thus, we need a procedure to generate an equivalent SHoCs without  $\epsilon$ -clauses, similar to the removal of  $\epsilon$ -transition in tree automata. For SHoCs, we call this procedure *Extend* and it is defined below. The *Extend* procedure is close to the *unfolding* rule from [17].

**Definition 5 ( $\epsilon$ -clause and  $\epsilon$ -definition).** An  $\epsilon$ -clause is a strict Horn clause  $H \Leftarrow B$  such that (a)  $H$  and  $B$  are flat and linear (b)  $Vars(H) = Vars(B)$ . Given a relation symbol  $R$  and a SHoCs  $S$ , an  $\epsilon$ -definition of  $R$  is a set  $C_R^\epsilon$  of  $\epsilon$ -clauses  $R(\vec{X}) \Leftarrow B$  such that  $R$  does not appear in  $S$  nor in  $B$ .

**Definition 6 (*Extend*( $S, C_R^\epsilon$ )).** Let  $S$  be a SHoCs and suppose that no two clauses in  $S$  share variables and let  $C_R^\epsilon$  be an  $\epsilon$ -definition, then  $Extend(S, C_R^\epsilon) = S \cup \bigcup_{\varphi \in C_R^\epsilon} Ext_\varphi$  where  $Ext_{R(\vec{X}) \Leftarrow R_1(\vec{X}_1) \wedge \dots \wedge R_n(\vec{X}_n)}$  is the following set of SHoCs:

$$\left\{ \sigma(R(\vec{X}) \Leftarrow B_1 \cup \dots \cup B_n) \mid \left[ \bigwedge_{i \in [1..n]} (R_i(\vec{t}_i) \Leftarrow B_i) \in S \right] \wedge [\sigma = MGU(U)] \right\}$$

with  $U = \{(\vec{X}_i, \vec{t}_i) \mid i \in [1..n]\}$ .

*Example 3 ( $\epsilon$ -definition and *Extend*( $S, C_R^\epsilon$ )).* Let  $S$  be a SHoCs with clauses:

$$\begin{array}{ll} (a) & R_1(h(X)) \Leftarrow A(X) & (b) & R_1(h(X)) \Leftarrow B(X) \\ (c) & R_2(f(X), g(Y)) \Leftarrow C(X) & (d) & R_2(f(X), h(Y)) \Leftarrow D(X) \end{array}$$

Let  $C_R^\epsilon$  be the  $\epsilon$ -definition  $\{R(X, Y) \Leftarrow R_1(X) \wedge R_2(Y, X)\}$ . The set  $Extend(S, C_R^\epsilon)$  contains  $S$  and the two new SHoCs:

$$R(h(X), f(Y)) \Leftarrow A(X) \wedge D(Y) \quad R(h(X), f(Y)) \Leftarrow B(X) \wedge D(Y)$$

Note that every clause with head relation  $R_1$ , (a) and (b), has for parameter a pattern the form  $h(X')$ , which constrains  $X$  to be of the form  $h(X')$  for the atom  $R_1(X)$ . This forbids to use the clause (c) for  $R_2(Y, X)$ , as it constrains  $X$  to be of the form  $g(X')$ . The two new clauses of  $Extend(S, C_R^\epsilon)$  result from the combination of the clause (d) with the two clauses (a) and (b).

#### 4.4 Closure properties and decision procedures of SHoCs

This section defines the union, intersection, and complement of SHoCs. We also show that the membership problem is decidable but emptiness is not. First, note that a set  $\{S_1, \dots, S_n\}$  of SHoCs can always be combined into one by taking the set-union  $S_1 \cup \dots \cup S_n$  of the clauses composing them, possibly with some renaming if two SHoCs define different relations with the same name.

**Definition 7 (Closure by intersection of relations).** Let  $S$  be a SHoCs defining a set of relations  $\mathcal{R}$  and let  $\mathcal{R}' \subseteq \mathcal{R}$  a subset of same-type relations. The intersection of  $\mathcal{R}'$  in a fresh relation symbol  $R$  is a SHoCs  $S_\cap$  defined as

$$S_\cap = Extend(S, C_R^\epsilon) \text{ with } C_R^\epsilon = \{R(\vec{X}) \Leftarrow \bigwedge_{R' \in \mathcal{R}'} R'(\vec{X})\}$$

**Definition 8 (Closure by union of relations).** Let  $S$  be a SHoCs defining a set of relations  $\mathcal{R}$  and let  $\mathcal{R}' \subseteq \mathcal{R}$  a subset of same-type relations. The union of  $\mathcal{R}'$  in a fresh relation symbol  $R$  is a SHoCs  $S_\cup$  defined as

$$S_\cup = Extend(S, C_R^\epsilon) \text{ with } C_R^\epsilon = \{R(\vec{X}) \Leftarrow R'(\vec{X}) \mid R' \in \mathcal{R}'\}$$

We have  $\mathcal{L}(R, S_\cap) = \bigcap_{R' \in \mathcal{R}'} \mathcal{L}(R', S)$  and  $\mathcal{L}(R, S_\cup) = \bigcup_{R' \in \mathcal{R}'} \mathcal{L}(R', S)$ . Given a typed set  $E$  of tuples of terms, we denote by  $\bar{E}$  the typed complement of  $E$ , i.e., tuples of terms of the same type but not belonging to  $E$ .

**Definition 9 (Complement specification).** Let  $S$  be a SHoCs defining the set of relations  $\mathcal{R}$ . The complement of  $S$  is a SHoCs  $S^c$  such that  $\forall R \in \mathcal{R}, \mathcal{L}(R, S^c) = \overline{\mathcal{L}(R, S)}$ .

When  $S$  is clear from context, we may simply write  $R^c$  to refer to  $R$  in  $S^c$ . Now, we introduce the projector notation for SHoCs which simplifies the definition of the complement construction by replacing every occurrence of the  $j^{\text{th}}$  variable of the function  $f_i$  by the projector  $\pi_{(i,j)}$ .

**Definition 10 (Projector notation for SHoCs).** Any SHoC

$$R(f_1(X_{(1,1)}, \dots, X_{(1,|f_1|)}), \dots, f_n(X_{(n,1)}, \dots, X_{(n,|f_n|)})) \Leftarrow B$$

can be equivalently written as

$$R(f_1, \dots, f_n) \Leftarrow \sigma(B)$$

with  $\sigma = \{X_{(i,j)} \mapsto i \cdot j \mid i \in [1 \dots n] \wedge j \in [1 \dots |f_i|]\}$ .

*Example 4.* The clause  $R_{sh}(node(T_1, E, T_2), s(N)) \Leftarrow R_{sh}(T_1, N) \wedge R_{sh}(T_2, N)$  can be written as  $R_{sh}(node, s) \Leftarrow R_{sh}(\pi_{(1,1)}, \pi_{(2,1)}) \wedge R_{sh}(\pi_{(1,3)}, \pi_{(2,1)})$

**Definition 11 (Complement construction).** Let  $S$  be a SHoCs and  $\mathcal{R}_S$  be the set of relations that  $S$  defines. For a given relation  $R$  of type  $\tau_1 \times \dots \times \tau_n \rightarrow \text{bool}$ , let  $F(R)$  be the set of tuples of constructors  $(f_1, \dots, f_n)$  such that each constructor  $f_i$  has  $\tau_i$  as output type. Then, the complement of  $S$  is defined as

$$S^c = \bigcup_{R \in \mathcal{R}_S, \vec{f} \in F(R)} \{R(\vec{f}) \Leftarrow B' \mid B' \in \text{Flip}(\{B \mid (R(\vec{f}) \Leftarrow B) \in S\})\}$$

with  $\text{Flip} : \mathcal{P}(\mathcal{P}(A)) \rightarrow \mathcal{P}(\mathcal{P}(A))$  the set of all possible tuples made by selecting one atom per body:

$$\text{Flip}(\{B_1, \dots, B_n\}) = \{\{A_1, \dots, A_n\} \mid (A_1, \dots, A_n) \in B_1 \times \dots \times B_n\}$$

We have that  $\forall R \in \mathcal{R}, \mathcal{L}(R, S^c) = \overline{\mathcal{L}(R, S)}$ .

*Example 5 (Complement).* Let  $S_{sh}$  be the SHoCs defined in Section 1:

$$R_{sh}(leaf, z) \quad R_{sh}(leaf, s(N)) \quad R_{sh}(node(T_1, E, T_2), s(N)) \Leftarrow R_{sh}(T_1, N) \wedge R_{sh}(T_2, N)$$

The complement  $S_{sh}^c$  of  $S_{sh}$  is:

$$R_{sh}^c(node(T_1, E, T_2), z) \\ R_{sh}^c(node(T_1, E, T_2), s(N)) \Leftarrow R_{sh}^c(T_1, N) \quad R_{sh}^c(node(T_1, E, T_2), s(N)) \Leftarrow R_{sh}^c(T_2, N)$$

With notations from the definition, here are the details of the computation, where  $R = R_{sh}$  and  $F(R) = \{(leaf, z), (leaf, s), (node, z), (node, s)\}$ .

- For  $\vec{f} = (node, s)$ , we have:
  - Let  $E_1 = \{B \mid R(\vec{f}) \Leftarrow B \in S\}$ , i.e.,  $E_1 = \{\{R_{sh}(T_1, N), R_{sh}(T_2, N)\}\}$
  - Then,  $\text{Flip}(E_1) = \{\{A\} \mid (A) \in B\}$  with  $B = \{R_{sh}(T_1, N), R_{sh}(T_2, N)\}$ , so  $\text{Flip}(E_1) = \{\{R_{sh}(T_1, N)\}, \{R_{sh}(T_2, N)\}\}$ .
  - This yields the two rules whose head is  $R_{sh}^c(node(T_1, E, T_2), s(N))$ .
- For  $\vec{f} = (leaf, z)$  or  $\vec{f} = (leaf, s)$ , we have:
  - Let  $E_2 = \{B \mid R(\vec{f}) \Leftarrow B \in S\}$ , i.e.,  $E_2 = \{\emptyset\}$
  - We have  $\text{Flip}(E_2) = \emptyset$ , so there is no rule with  $R_{sh}(leaf, z)$  or  $R_{sh}(leaf, s)$  as a head.
- For  $\vec{f} = (node, z)$ , we have:
  - Let  $E_3 = \{B \mid R(\vec{f}) \Leftarrow B \in S\}$ , i.e.,  $E_3 = \emptyset$
  - We have  $\text{Flip}(E_3) = \{\emptyset\}$ , because the neutral element of the cartesian product is  $\{\emptyset\}$ .
  - Thus, there is a rule  $R_{sh}^c(node(T_1, E, T_2), z)$ .

**Theorem 1 (SHoCs emptiness problem is undecidable).** For  $S$  a SHoCs and  $R$  a relation, the SHoCs emptiness problem is to decide whether  $\mathcal{L}(R, S) = \emptyset$ . This problem is undecidable.

The proof uses an encoding of Minsky machines into SHoCs. See Appendix A.1 for details.

**Definition 12 (SHoCs membership problem).** For  $S$  a SHoCs,  $\vec{t}$  a tuple of terms, and  $R$  a relation, the SHoCs membership problem is to decide whether  $\vec{t} \in \mathcal{L}(R, S)$ .

The membership problem is decidable. This is Theorem 4 which is proven in the next section as a corollary of one of the theorems on the teacher.

## 5 Satisfiability as model inference

This section presents a learner-teacher procedure for proving or disproving the satisfiability of a set  $\Gamma$  of constrained clauses. The procedure shows satisfiability of  $\Gamma$  by outputting a SHoCs  $S$  such that  $S \models \Gamma$ . Unsatisfiability is shown by outputting a contradiction in  $\Gamma$ . We have implemented this procedure as an Implication CounterExample (ICE) procedure [9], in which two entities, a *learner* and a *teacher*, communicate SHoCs and counterexamples (ground instances of  $\Gamma$ ). The teacher's role is to verify that a given SHoCs  $S$  satisfies all formulas of  $\Gamma$ , and if not extract a counterexample that is given to the learner. The learner's role is to propose a new SHoCs inferred from counterexamples that the teacher previously gave it.

The learner-teacher loop starts from  $\Gamma$  and an empty SHoCs  $S_0 = \emptyset$ . The teacher verifies whether  $S_0 \models \Gamma$ . If not, it outputs a ground counterexample  $\hat{\varphi}_0$ , i.e., a ground instance of some clause in  $\Gamma$  which is not satisfied by  $S_0$ . The learner builds a new SHoCs  $S_1$  satisfying  $\hat{\varphi}_0$  and gives it back to the teacher. If  $S_1 \not\models \Gamma$ , the teacher outputs a new counterexample  $\hat{\varphi}_2$ . The learner builds a new SHoCs  $S_2$  satisfying  $\hat{\varphi}_0$  and  $\hat{\varphi}_1$ , etc. This loop may go on forever or stop if (a) the learner fails to build a model because the set of counterexamples is unsatisfiable, i.e., we found a counterexample to the verification problem; (b) the teacher succeeds to prove that the current model satisfies  $\Gamma$ , i.e., we proved that  $\Gamma$  is satisfiable, thus, verification succeeds. We begin by introducing the teacher procedure, then the learner procedure, and finally define the learner-teacher loop. This procedure enjoys refutational completeness and a relative positive completeness (see Section 5.3). All the proofs for this section can be found in Appendix A.3.

### 5.1 Teacher

The teacher takes as input a finite set of clauses  $\Gamma$ , representing the program and property to verify, and a SHoCs  $S$ , representing a proposed model that is intended to prove satisfiability of  $\Gamma$ . If  $S \models \Gamma$  then  $Teacher(S, \Gamma)$  returns *None* and the verification algorithm succeeds. If  $S \not\models \Gamma$  then  $Teacher(S, \Gamma)$  returns *Some*( $\hat{\varphi}$ ) where  $\hat{\varphi}$  is a *counterexample* to  $S \models \Gamma$ , i.e. a ground instance of some clause  $\varphi \in \Gamma$  such that  $S \not\models \hat{\varphi}$ . In the following, we use the hat on formulas ( $\hat{\varphi}$ ) and sets of formulas ( $\hat{\Gamma}$ ) to signal that their atoms are ground.

The problem that *Teacher* is trying to solve is undecidable. To see this, let  $S$  be a SHoCs and  $R$  a relation. Then,  $Teacher(S, \{False \Leftarrow R(\vec{X})\}) = None \Leftrightarrow \mathcal{L}(R, S) = \emptyset$ , but the emptiness problem of SHoCs is undecidable (Theorem 1). *Teacher* is based on the *Inhabits* procedure which takes as input a SHoCs  $S$  and  $W = \{R_1(\vec{p}_1), \dots, R_n(\vec{p}_n)\}$  a set of atoms and tries to find a single substitution  $\sigma$  such that every atom of  $\sigma(W)$  is true in  $S$ . Informally,  $\sigma(W)$  is true in  $S$  if every ground instance of  $\sigma(W)$  belongs to  $S$ . Formally, given a set of atoms  $W$ , we say that  $W$  is true in  $S$ , written  $S \models W$ , if for all  $\sigma'$  s.t.  $Vars(\sigma'(W)) = \emptyset$  we have for every atom of the shape  $R(\vec{p})$  in  $W$  that  $\sigma'(\vec{p}) \in \mathcal{L}(R, S)$ . Note

that a substitution  $\sigma$  applied to a set of atom  $W$  is also a set of atoms  $\sigma(W)$ , so the previous definition covers  $S \models \sigma(W)$ . We first define how to *unfold* an atom with a SHoC, which is a core mechanism of the *Inhabits* procedure.

**Definition 13 (unfold an atom along a SHoC).** Let  $A = R(f_1(\vec{p}_1), \dots, f_n(\vec{p}_n))$  be an atom whose root functions are  $(f_1, \dots, f_n)$  and  $\varphi = H \Leftarrow B$  a SHoC with  $H = R(f_1(\vec{X}_1), \dots, f_n(\vec{X}_n))$ . Then  $\text{unfold}(A, \varphi) = \sigma(B)$  with  $\sigma = \{(X_{i,j}, p_{i,j}) \mid i \in [1 \dots n] \wedge j \in [1 \dots |\vec{p}_i|])\}$  a substitution unifying  $A$  and  $H$ .

**Definition 14 (Inhabits).** Let  $S$  be a SHoCs and  $W$  a set of atoms.  $\text{Inhabits}(W, S)$  is a non-deterministic algorithm defined as:

1. Let  $\sigma_0 := \{(X, X) \mid X \in \text{Vars}(W)\}$ ,  $W_0 := W$ , and  $i := 0$ .
2. If  $W_i = \emptyset$ , then return  $\text{Some}(\sigma_i)$ .
3. For each  $A \in W_i$ , choose one SHoC  $\varphi_A = H_A \Leftarrow B_A \in S$ . Let  $U = \{A \stackrel{?}{=} H_A \mid A \in W_i\}$ . If  $U$  is not unifiable, then return  $\text{None}$ . Otherwise, let  $\sigma$  be a most general unifier of  $U$ . Set  $W_{i+1} := \bigcup_{A \in W_i} \text{unfold}(\sigma(A), \varphi_A)$ ,  $\sigma_{i+1} := \sigma \circ \sigma_i$ ,  $i := i + 1$ , and go back to instruction 2.  
If no such choice can be made, i.e. if  $S = \emptyset$ , then also return  $\text{None}$ .

Variables from SHoCs are universally quantified, so we assume no variable collision. In practice, this can be avoided by a renaming. We write  $\text{Inhabits}^{\text{det}}$  for a determinisation of *Inhabits* where the choices are implemented as a breadth-first search until the returned value is a  $\text{Some}(\sigma)$  or all branches return  $\text{None}$ .

*Example 6 (Inhabits).* Let  $W = \{R_{he}(\text{node}(\text{leaf}, X, L), s(s(D)))\}$  and let  $S_3$  the SHoCs from section 4.1. The execution of  $\text{Inhabits}^{\text{det}}(W, S_3)$  returns  $\text{Some}(\sigma)$  with  $\sigma(X) = X$ ,  $\sigma(L) = \text{node}(\text{leaf}, L_2, \text{leaf})$ , and  $\sigma(D) = z$ . By correctness of the *Inhabits* procedure (theorem 2),  $S \models \sigma(W)$ , i.e., for any value  $x$  for  $X$  and  $l_2$  for  $L_2$ ,  $(\text{node}(\text{leaf}, x, \text{node}(\text{leaf}, l_2, \text{leaf})), s(s(z))) \in \mathcal{L}(R_{he}, S_3)$ . See Example 13 in Appendix for a detailed execution.

**Theorem 2 (Inhabits correctness and relative completeness).**

- If  $\text{Inhabits}(W, S)$  terminates with  $\text{Some}(\sigma)$ , then  $S \models \sigma(W)$
- If there exists a substitution  $\sigma$  such that  $S \models \sigma(W)$ , then there exists a terminating execution of  $\text{Inhabits}(W, S)$  returning  $\text{Some}(\sigma')$ .

However, there is no termination guarantee when there exists no substitution  $\sigma$  such that  $S \models \sigma(W)$ .

*Teacher's* procedure uses  $\text{Inhabits}^{\text{det}}$  to search for a counterexample to the claim  $S \models \Gamma$ , i.e., it checks if  $S$  satisfies the *negation* of any formula  $\varphi \in \Gamma$ . For instance, if  $\varphi = R(\vec{p}) \Leftarrow B$ , proving that  $S$  satisfy the negation of  $\varphi$  consists in finding a substitution  $\sigma$  such that  $S \models \sigma(B)$  and  $S \not\models \sigma(R(\vec{p}))$ . Using Definition 9, we can build  $R^c$ , the complement of  $R$ , and this boils down to finding  $\sigma$  such that  $S \models \sigma(B)$  and  $S \models \sigma(R^c(\vec{p}))$ .

**Definition 15 (Negating a clause).** Let  $\varphi$  be the clause  $H \Leftarrow B$ . We write  $W_{\bar{\varphi}}$  for the set  $\{R^c(\vec{p}) \mid R(\vec{p}) \in H\} \cup B$ .

**Proposition 2 (Use *Inhabits* to check a formula w.r.t. a SHoCs).**

$$(S \not\models \varphi) \Leftrightarrow (\exists \sigma, S \models \sigma(B) \text{ and } S \not\models \sigma(H)) \Leftrightarrow (\text{Inhabits}^{\text{det}}(W_{\widehat{\varphi}}, S) = \text{Some}(\_))$$

Because the substitutions that *Inhabits* returns do not necessarily yields ground counterexamples, we need a way to convert a non-ground formula to a ground formula.

**Definition 16 (Smallest grounding).** *The smallest grounding of a variable  $X$ , written  $\text{Grd}(X)$ , is a substitution  $\sigma$  such that: (a)  $\sigma(X)$  is ground (b) for any other substitution  $\sigma'$  such that  $\sigma'(X)$  is ground,  $\text{ht}(\sigma(X)) \leq \text{ht}(\sigma'(X))$ .*

Note that a term may have several smallest grounding. We exploit the minimality of groundings in the proof of Lemma 5. Smallest grounding extends to pattern, tuple, atom, set of atom, clause, and is possible because we only consider inhabited algebraic data types.

**Definition 17 (Teacher).** *Let  $S$  be a SHoCs and  $\Gamma$  be a finite set of clauses.  $\text{Teacher}(S, \Gamma)$  is defined as*

1. *In parallel, run one instance  $\text{Inhabits}^{\text{det}}(W_{\widehat{\varphi}}, S)$  for each formula  $\varphi \in \Gamma$  and enforce the depth of recursive calls (the value  $i$ ) to be the same among instances of  $\text{Inhabits}^{\text{det}}$  that have not yet terminated.*
2. *If some instance  $\text{Inhabits}^{\text{det}}(W_{\widehat{\varphi}}, S)$  returns  $\text{Some}(\sigma)$ , then let  $\sigma' = \text{Grd}(\sigma(W_{\widehat{\varphi}}))$  and  $\widehat{\varphi} = \sigma'(\sigma(\varphi))$ , and return  $\text{Some}(\widehat{\varphi})$ .*
3. *If all instances have returned  $\text{None}$ , then return  $\text{None}$ .*

**Theorem 3 (Teacher correctness and relative completeness).**

- *If  $\text{Teacher}(S, \Gamma)$  terminates with  $\text{Some}(\widehat{\varphi})$ , then  $\widehat{\varphi}$  is a ground instance of some formula  $\varphi \in \Gamma$  and  $S \not\models \widehat{\varphi}$ , so  $S \not\models \Gamma$ .*
- *If  $S \not\models \Gamma$  then there exists  $\widehat{\varphi}$  such that  $\text{Teacher}(S, \Gamma)$  terminates with  $\text{Some}(\widehat{\varphi})$ .*

As a corollary, we can prove that the membership problem for SHoCs (Definition 12) is decidable. The proof of decidability relies on *Inhabits*<sup>det</sup> but, for simplicity, also assumes that SHoCs do not have any 0-ary relation in their bodies. Fortunately, any SHoCs  $S$  that contains 0-ary relations in the body of some clause can be transformed into an equivalent one that do not. Indeed, note that the emptiness of a 0-ary relation can very easily be decided, as they can only use other 0-ary atoms in the body of their clauses. The language of 0-ary relations is either  $\emptyset$  or  $\{()\}$ , so emptiness gives this information. Then, every occurrence of a 0-ary atom  $R()$  in the body of clause can be removed if the language of  $R$  is non-empty, as the atom is trivially true. On the other hand, if a 0-ary atom  $R()$  in the body of the clause has an empty language, then the clause can never be satisfied and can be completely removed from  $S$ . The resulting SHoCs defines the exact same relations and meets the no 0-ary relation in bodies criterion.

**Theorem 4.** *SHoCs membership (see Definition 12) is decidable.*



*Proof.* Let  $S$  be a SHoCs,  $\vec{t}$  a tuple of terms, and  $R$  a relation. Without loss of generality, thanks to the above transformation, we can assume that there is no 0-ary relation symbol in the body of clauses. Let  $W = \{R(\vec{t})\}$ . If we assume that  $Inhabits^{det}(W, S)$  terminates then

$$\vec{t} \in \mathcal{L}(R, S) \Leftrightarrow Inhabits^{det}(W, S) = Some(\sigma)$$

for some substitution  $\sigma$ . Since  $\vec{t}$  is ground, we have that, for any compatible  $\varphi$ ,

$$ht(\text{unfold}(R(\vec{t}), \varphi)) < ht(R(\vec{t})).$$

Besides, we know that the  $Inhabits^{det}(W, S)$  procedure terminates in at most  $ht(\vec{t})$  steps, because  $ht(W_{i+1}) < ht(W_i)$  for all  $i$ , and  $ht(W_i) = 0$  implies that  $W_i = \emptyset$ , which is the halting condition of  $Inhabits$ .

## 5.2 Learner

The learner receives a finite set of ground clauses  $\hat{\Gamma}$  from the teacher. This set is a counterexample to every previous SHoCs proposed by the learner. Starting from  $\hat{\Gamma}$ , the objective of the learner is to build a *new* SHoCs satisfying  $\hat{\Gamma}$ . If  $\hat{\Gamma}$  is contradictory, then the teacher has found a real counterexample to the property and  $Learner(\hat{\Gamma})$  returns *None*. If  $\hat{\Gamma}$  is satisfiable, then  $Learner(\hat{\Gamma}) = Some(S)$  with  $S$  a SHoCs such that  $S \models \hat{\Gamma}$ . We will furthermore ensure that  $S$  is minimal w.r.t the number of relations defined in  $S$  among all possible SHoCs that satisfy  $\hat{\Gamma}$ .

Finding a new SHoCs  $S$  is implemented as a constraint solving problem in the *Answer Set Programming* (ASP) paradigm with support for so-called *choice rules*, of which *Clingo* [10] is the solver we use. From  $\hat{\Gamma}$ , the learner builds a set of constraints  $C(\hat{\Gamma})$  defining all the possible choices to build a valid SHoCs satisfying  $\hat{\Gamma}$ . Then, *all the constraints* of  $C(\hat{\Gamma})$  are given to the ASP solver which returns *one* solution, if it exists. In our definition of  $C(\hat{\Gamma})$ , we use the **choose-one** keyword to ask the ASP solver to pick exactly one atom in a set and check that it is not in contradiction with the other constraints of  $C(\hat{\Gamma})$ . For instance, to satisfy the two constraints **choose-one** $\{x > 1, x < 1\}$  and **choose-one** $\{x > 5, x = 5\}$ , the solver can pick  $x > 1$  from the first constraint and either  $x > 5$  or  $x = 5$  from the second. *A contrario*, picking  $x < 1$  from the first constraint leads to a contradiction with any of the two possibilities for the second constraint.

To guarantee (relative) completeness of the learner-teacher loop, solving  $C(\hat{\Gamma})$  is done incrementally by considering first the smallest solutions w.r.t their number of relation symbols. We write  $i_{step}$  for the number of *new* relation symbols in the inferred SHoCs, i.e., relation symbols that are not already present in  $\hat{\Gamma}$ . The constraints  $C(\hat{\Gamma})$  are checked for satisfiability, starting with  $i_{step} = 0$ , and  $i_{step}$  is incremented as long as the constraints are unsatisfiable. This process can be bounded by an upper-bound on  $i_{step}$ . Our upper-bound for  $i_{step}$  is the number of subterms appearing in  $\hat{\Gamma}$ . Using this upper-bound is sound because, with one relation symbol to recognize exactly one subterm, it becomes immediate to create a SHoCs recognizing all positive atoms occurring in the input set of

(ground) counterexamples. If a solution for the constraints have not been found within this upper-bound, then they are unsatisfiable.

**Definition 18 (Constraints generated by the learner  $C(\hat{\Gamma})$ ).** Let  $\hat{\Gamma}$  be a finite set of ground Horn clauses.  $C(\hat{\Gamma})$  is the set of constraints generated by the following rules:

- (a) For each  $i$  in  $[1 \dots i_{step}]$ , **choose-one** type for the relation  $R_i^{new}$  among the tuples of types of sub-terms of  $\hat{\Gamma}$ .
- (b) For each  $\hat{\varphi} \in \hat{\Gamma}$  with  $\hat{\varphi} = R_1(\vec{t}_1) \vee \dots \vee R_n(\vec{t}_n) \vee \neg R'_1(\vec{t}'_1) \dots \vee \neg R'_k(\vec{t}'_k)$ , **choose-one** literal that needs to be true, i.e. choose one  $R'_i(\vec{t}'_i)$  to be false or one  $R_i(\vec{t}_i)$  to be true.
- (c) For each  $R(\vec{t})$  that must be true a new SHoC is be created. If  $\vec{t}$  is of the form  $(f_1(\vec{t}_1), \dots, f_p(\vec{t}_p))$ , the head of the new SHoC will be  $R(f_1(\vec{X}_1), \dots, f_p(\vec{X}_p))$ .
- (d) For each new SHoC  $\varphi = R(\vec{p}) \Leftarrow B$  that is being created, construct its body  $B$ , i.e., choose which atoms  $R'(\vec{X})$  are to be in  $B$ . For any relation  $R'$  and type-compatible variables  $\vec{X}$  among  $\text{Vars}(\vec{p})$ , the following constraint is generated: **choose-one**  $\{R(\vec{X}) \in B, R(\vec{X}) \notin B\}$ , therefore choosing a subset of possible atoms to constitute the body  $B$ .
- (e) For each SHoC  $\varphi = R(\vec{p}) \Leftarrow B$  that has been created because some atom  $R(\vec{t})$  needed to be true, add the constraint that every atom of  $\text{unfold}(R(\vec{t}), \varphi)$  must also be true.
- (f) Add the constraint that no atom  $R'(\vec{t}')$  that must be false is made true by some SHoC.

The following example illustrates the main steps of the learning algorithm.

*Example 7 (Learning the leq relation).* Let  $i_{step} = 0$  and let  $\hat{\Gamma}$  be the set of the following 5 ground examples:

- (1)  $R_{leq}(z, z)$       (2)  $R_{leq}(z, s(z))$       (3)  $R_{leq}(s(z), s(z)) \Leftarrow R_{leq}(z, z)$
- (4)  $R_{leq}(s(z), z) \Leftarrow R_{leq}(s(s(z)), s(z))$       (5)  $false \Leftarrow R_{leq}(s(z), z)$

Since  $i_{step} = 0$ , Rule (a) does not apply. Rule (b) divides all the atoms of the 5 ground examples into two sets: those who should be true and those who should be false. For (1) and (2), there is a unique possibility, i.e.,  $R_{leq}(z, z)$  and  $R_{leq}(z, s(z))$  need to be true. For (3), the constraint to add to  $C(\hat{\Gamma})$  is **choose-one** $\{R_{leq}(s(z), s(z)), \neg R_{leq}(z, z)\}$ . Later, when solved by the ASP solver, this choice operator will have only one possible solution since  $R_{leq}(z, z)$  is already true. In the same way, solving the additional **choose-one** constraints for (4) and (5) has only one solution and yields the positive atoms:  $R_{leq}(z, z)$ ,  $R_{leq}(z, s(z))$ ,  $R_{leq}(s(z), s(z))$ , and the negative ones:  $R_{leq}(s(z), z)$ ,  $R_{leq}(s(s(z)), s(z))$ . Rule (c) generates one SHoC for every atom that must be true, by replacing sub-terms with variables and introducing bodies  $B_1, B_2, B_3$  to be determined:

- $\varphi_1 = R_{leq}(z, z) \Leftarrow B_1$
- $\varphi_2 = R_{leq}(z, s(X)) \Leftarrow B_2$
- $\varphi_3 = R_{leq}(s(X_1), s(X_2)) \Leftarrow B_3$

Rule (d) completes  $C(\hat{\Gamma})$  with constraints on all  $B_i$ . For  $B_1$  this constraint is **choose-one** $\{\emptyset\}$ . For  $B_2$ , this constraint is **choose-one** $\{\emptyset, \{R_{leq}(X, X)\}\}$ . For  $B_3$ , four **choose-one** constraints are generated, one for each atom of  $R_{leq}(X_1, X_1)$ ,  $R_{leq}(X_1, X_2)$ ,  $R_{leq}(X_2, X_1)$ , and  $R_{leq}(X_2, X_2)$ . This yields 16 possible different bodies, including  $\emptyset$ ,  $\{R_{leq}(X_1, X_2)\}$ ,  $\{R_{leq}(X_1, X_2), R_{leq}(X_2, X_1)\}$ ,  $\dots$ . When solving these constraints, the ASP solver can choose  $B_1 = B_2 = B_3 = \emptyset$ . With this choice, constraints added to  $C(\hat{\Gamma})$  by step 5 are trivially satisfied because no new atom is forced to be true. However, the ASP solver cannot choose  $B_3 = \emptyset$ , because constraints added by step 6 yields a contradiction, i.e.,  $R_{leq}(s(s(z)), s(z))$  is made true by  $\varphi_3$  but it belongs to the set of false atoms. Hence, the ASP solver must change some of its choices. One possible change is to define  $B_3 = \{R_{leq}(X_1, X_2)\}$ . The clause  $\varphi_3$  becomes  $R_{leq}(s(X_1), s(X_2)) \Leftarrow R_{leq}(X_1, X_2)$ . Since it was created to recognize  $R_{leq}(s(z), s(z))$ , this forces  $R_{leq}(z, z)$  to be in the set of atoms that need to be true but, since it is already there, nothing changes. With this last SHoC  $S$ , every atom that must be true is still made true by some clause, and no atom that must be false is now made true by any SHoC. Thus, the learner has found a model for  $\hat{\Gamma}$  so it returns  $Some(\{\varphi_1, \varphi_2, \varphi_3\})$ . Note that in this simple example the learner converged in one step, without having to increment  $i_{step} = 0$ . Having  $i_{step} > 0$  would result in introducing  $i_{step}$  additional relation symbols.

**Theorem 5.** *The learner always terminates.*

**Theorem 6 (Learner correctness, completeness, minimality).** *Let  $\hat{\Gamma}$  be a finite set of counterexamples. If  $\Gamma$  is satisfiable, then  $Learner(\hat{\Gamma}) = Some(S)$  with  $S \models \hat{\Gamma}$  and such that  $S$  is minimal among SHoCs that satisfy  $\hat{\Gamma}$  w.r.t the number of relations. If  $\Gamma$  is unsatisfiable, then  $Learner(\hat{\Gamma}) = None$ .*

### 5.3 Satisfiability process

**Definition 19 (The satisfiability procedure  $Sat(\Gamma)$ ).**

*Given  $\Gamma$ , a finite set of constrained clauses, the loop  $Sat(\Gamma)$  proceeds as:*

0. Let  $\hat{\Gamma}_0 := \emptyset$  and  $i := 0$ .
1. If  $Learner(\hat{\Gamma}_i) = None$ , then return “Disproved:  $\hat{\Gamma}_i$ ”.  
If  $Learner(\hat{\Gamma}_i) = Some(S_i)$ , then go to step 2.
2. If  $Teacher(S_i, \Gamma) = None$ , then return “Proved:  $S_i$ ”.  
If  $Teacher(S_i, \Gamma) = Some(\hat{\varphi}_i)$ , let  $\hat{\Gamma}_{i+1} := \hat{\Gamma}_i \cup \{\hat{\varphi}_i\}$ ,  $i := i + 1$ , and go to step 1.

This procedure does not always finish, as its goal is undecidable, but it enjoys refutational completeness and a relative positive completeness.

**Lemma 1 (Progress).** *During the execution  $Sat(\Gamma)$ :*

- *The learner never outputs the same model twice, as the model is either correct or the learner received a counterexample to it.*

- The teacher never outputs the same ground constraint twice, as every model the learner outputs satisfies every ground constraint the teacher sent.

**Theorem 7 (Refutational completeness).** *Let  $\Gamma$  a finite set of contradictory clauses. Then  $Sat(\Gamma)$  terminates with “Disproved”.*

Satisfiability of  $\Gamma$  is undecidable and  $Sat(\Gamma)$  may not terminate for two reasons. The first is that  $\Gamma$  may be satisfiable but not admit a SHoCs, in which case  $Sat$  will run indefinitely. The second is that even if a satisfying  $S_i$  is proposed by the learner, the call to  $Teacher(S_i, \Gamma)$  may not terminate.

**Theorem 8 (Relative completeness).** *Let  $\Gamma$  be a finite set of clauses. If  $\Gamma$  admits a SHoCs satisfying it, then there exists a step  $i \in \mathbb{N}$  in which  $S_i$ , the learner’s SHoCs output at this step, is such that  $S_i \models \Gamma$ .*

## 6 Implementation and Experiments

We implemented the verification algorithm in Ocaml. The implementation is available at <https://gitlab.inria.fr/tlosekoo/auto-forestation.git>. This includes an implementation of SHoCs, model checking and model-inference procedure. The *teacher* closely follows the breadth-first search of the procedure in Section 5. The *learner* delegates learning of SHoCs to the finite-model finder *Clingo* [10].

### 6.1 Approximations

Since the programs we verify are deterministic and terminating, their clausal representation has only one possible model. However, this model may not be representable using a SHoCs. Thus, trying to verify a property using an exact model of the relation will fail on such programs. We circumvent this problem by approximating relations, following the approach proposed in [18]. Assume that we have a relation  $plus(N, M, U)$  relating  $N$  and  $M$  with their sum  $U$  and a relation  $le(N, M)$  relating  $N$  and  $M$  iff  $N < M$ . Let  $\phi_4$  be the property

$$\phi_4 \stackrel{def}{=} plus(N, M, U) \wedge le(z, M) \Rightarrow le(N, U)$$

which cannot be proved straightforwardly using SHoCs because there is no SHoCs representing *exactly* the relation  $plus$ . We can prove this property with an over-approximation of the relation  $plus$ , say  $plus^+$ , such that  $plus^+(N, M, U) \wedge le(z, M) \Rightarrow le(N, U)$  is true. This is the `plus_le.smt2` example of our benchmark. Inspection of the SHoCs inferred by our tool over-approximates the  $plus$  relation by  $\{(s^n(z), z, s^n(z)) \mid 0 \leq n\} \cup \{(s^n(z), s^k(z), s^m(z)) \mid 0 \leq n < m \text{ and } 0 < k\}$  which is enough to carry out the proof.

Predicates on which using an approximation is safe are selected w.r.t. the properties to prove and the relations definition. If the property is implicative and if a relation occurs on the body (resp. head) side of the implication then its

relation can *not* be under- (resp. over-) approximated. If it occurs on both sides its relation cannot be approximated. Moreover, because relations are defined using other relations, then approximating a relation must account for these connections. More precisely, a relation  $R$  which cannot be over-approximated and which contains a defining clause whose body (resp. head) contains another relation  $R'$  forbids  $R'$  to be over- (resp. under-) approximated. The same is true for under-approximations. E.g., for the property  $\phi_4$ , we can over-approximate *plus* but we cannot approximate *le* since it occurs on both sides of the implication. For the property  $\phi_3$  of Section 2, *height* can be over-approximated but *leq* cannot be under-approximated, even only appearing on the head-side of the property, because *leq* also appears in the body of a clause defining *height*, so under-approximating *leq* would propagate and cause an under-approximation of *height*.

Our current implementation focuses on over-approximations but cannot, yet, produce under-approximations. Over-approximations are computed by forgetting about functionality clauses (e.g. the clause  $N = M \Leftarrow \text{heightRB}(T, N) \wedge \text{heightRB}(T, M)$  for the *height* relation). This allows any over-approximation for relations coming from a function in the program. We do not yet have any satisfying way to over-approximate other relations or to under-approximate them.

## 6.2 Benchmarks

For the experiments, we use examples coming from [13], where regular sets are sufficient to carry out the proof, examples coming from [6, 7, 18] where convoluted tree automata are necessary, and add some new examples which are out of the scope of [18], such as the property  $\phi_3$  in Section 2. All of our experimental results are available at <http://people.irisa.fr/Thomas.Genet/AutoForestation//shocs/benchmarks/index.html>. All programs are defined as SMTLIB functions and are transformed into constrained clauses by our tool. On each example, the result of this translation as well as the found SHoCs models can be consulted in the answer log of the tool. On a total of 174 examples, our solver proves 106, disproves 32, and timeouts on 36 after 60s. Further increasing the timeout does not have much of an impact. The 88 positive and negative examples verified by [18] are also verified by our solver, except that some of them need more time. Our solver succeeds on 23 out of the 79 first-order Isaplanner examples in less than 5s. Our approach and [21] seems to be complementary as they succeed on different sets of examples. This can be observed on the Isaplanner benchmark where our technique fails on most of examples that [21] handles (i.e. 4, 5, 29, 30, 39, 42, 50, 62, 67, 71, 86) and succeeds on examples on which they do not report any success (i.e. 10, 11, 17, 18, 20, 21, 22, 23, 24, 25, 31, 32, 33, 34, 45, 65, 68, 69).

Spacer [12], Eldarica [14], and RInGen [20] are powerful general purpose SMT solvers with some ADT support. However, this support for ADTs does not cover relational properties and, unsurprisingly, those solvers do not perform well on positive examples of this benchmark. We used a 60s timeout for Spacer, Eldarica (with a RInGen preprocessing), and RInGen (with CVC4 finite

model finding). The following table sums up the results for positive and negative examples.

	Our solver	[18]	Spacer	Eldarica	RInGen
Positive (143)	106	78	15	9	36
Negative (32)	32	29	4	31	31

Since RInGen is based on regular model inference [16], it succeeds on benchmarks having a regular model but fails on examples needing regular relations. Here are a few examples of properties that are automatically proven using our solver and out of the scope of [18,21] and aforementioned solvers.

1.  $\forall(L_1, L_2 : \text{nat list}). \text{length}(L_1) \leq \text{length}(\text{append}(L_1, L_2))$  (link)
2.  $\forall(T : \text{nat tree}). \text{height}(T) \leq \text{numnodes}(L)$  (link)
3.  $\forall(T : \text{nat tree}). \text{heightRB}(T) \leq \text{height}(T)$  (link)
4.  $\forall(T_1, T_2, T_3 : \text{nat tree}). \text{subtree}(T_1, T_2) \wedge \text{subtree}(T_2, T_3) \Rightarrow \text{subtree}(T_1, T_3)$  (link)
5.  $\forall(L : \text{nat list}). \text{length}(L) = \text{length}(\text{insertionSort}(L))$  (link)

Although the property 1 is in the scope of convoluted tree automata, the solver of [18] fails to prove it on *nat* lists but succeeds on lists of *a*'s and *b*'s. As mentioned in Section 4.2, models represented with SHoCs are generic. In the case of this property, the SHoCs proving the property for *nat* list and for lists of *a*'s and *b*'s are the same. The property 2 is out of the scope of [18] and also requires to take advantage of the genericity of SHoCs. The property 3 is the property  $\phi_3$  from Section 2. Interestingly, the solver builds an over-approximation of the *height* relation which is sufficient to prove  $\phi_3$ . When functions are translated into relations,  $\phi_3$  becomes  $\text{heightRB}(T, N) \wedge \text{height}(T, M) \Rightarrow \text{leq}(N, M)$ , where *heightRB* and *height* occurs only on the left-hand side of the implication. Thus, using over-approximations for these relations for proving this property is safe. Properties 4 and 5 are other challenging properties. In particular, since *insertionSort* is defined using an intermediate function, proving this property using, e.g., automatic induction would require to guess and prove non-trivial intermediate lemmas. Finally, those experiments also reveal that the learner may find a correct SHoCs that our (incomplete) teacher may fail to accept. This can be observed in the log of the example `tree_height_max_node.smt2` where the last model proposed by the teacher for *height* is exactly the SHoCs of Section 4.1 but it is not accepted by the teacher. This property can be proven by splitting the function *height* into two parts (`tree_shallow_taller_node.smt2`). Finally, on examples coming from [13] where using a non-relational model suffices to prove the property, our solving technique succeeds except on some examples such as `timbang_delete_not_member.smt2`.

## 7 Related work

Our solver automatically proves properties on programs manipulating ADTs. Proving the property on the program boils down to checking satisfiability of a set of CHCs. Satisfiability is shown by constructing a SHoCs recognizing the

Herbrand model of the set of CHCs. This kind of technique is closely related to [13, 16, 19] where the model is regular and represented by a tree automaton. We have shown that SHoCs generalize tree automata and that, in practice, they succeed to perform the same proofs. Solvers of [13, 19] are complete w.r.t. regular models, i.e., if a regular model exists then it will eventually be found. Since model-checking of SHoCs is undecidable in general, the learner-teacher loop is not guaranteed to find a SHoCs. However, we have shown relative completeness of the loop. Besides, we conjecture that our algorithm for SHoCs solving should also be complete if we restrict SHoCs to recognize only regular sets.

Using SHoCs instead of (convoluted) tree automata significantly improves the efficiency of the solver. First, genericity of SHoCs allows to forget about information which is not relevant for the proof, e.g., forget about the values contained in a tree. This permits to carry out proofs which were out of grasp for [11, 13, 18] not because of expressivity but because of efficiency reasons. Second, expressivity of SHoCs permits to forget about the fixed convolution strategy of [18]. This allows our solver to cover many examples where there is no best convolution strategy, and thus no solution, for [18].

Among clause-based formalism used to represent languages, we mentioned *CS-programs* [17] but there are more recent extensions like *SCF-programs* [5]. We shown in Section 4.1 that expressivity of CS-programs and SHoCs overlap but none is included in the other. SCF-programs are more expressive than CS-programs and SHoCs presented here. In particular, SCF-programs can represent languages of the form  $\{(g^n(a), g^n(b)) \mid n \in \mathbb{N}\}$  (like SHoCs) and also languages of the form  $\{g^n(h(g^n(a))) \mid n \in \mathbb{N}\}$  (out of the scope of SHoCs). However, to the best of our knowledge, there exists no inference procedure for those formalisms such as the one presented in this paper which targets automatic program verification.

## 8 Conclusion and future work

This paper defines a class of Horn clauses, called Shallow Horn clauses or SHoCs, and shows that this class of Horn clauses is particularly useful for automated verification of relational properties of functional programs. SHoCs are strictly more expressive than both ordinary and convoluted tree automata, while at the same time offering a more compact representation compared to tree automata. They constitute a new element in the family of restricted Horn clauses, incomparable to other existing classes such as CS programs. We show how program verification using SHoCs amounts to satisfiability checking of a set of constrained clauses that encode the program and the property to verify. Satisfiability amounts to inferring a model which is done using a learner-teacher algorithm. Experiments show that the SHoCs-based approach leads to an efficient program verifier which can verify strictly more programs than previous tree automata-based algorithms.

Currently, the examples we experiment with are about trees and ADT-like structures. Representing *graphs* using SHoCs would be challenging but not im-

possible. Representing a graph using an adjacency list (a list of pair of nodes) would be of little help since the structure of the graph is not reflected in the list. However, if we fix the number of nodes in the graph, then one line of the adjacency-matrix may be represented as  $(A_1, \dots, A_n)$  with  $A_i$  a boolean representing adjacency of a given node with node  $i$ . This is a bit more structured and should be exploitable. The greatest fixed-point semantics can also be considered for SHoCs, thus allowing them to represent infinite trees.

Further work will consider how the framework can be extended to encompass both relations on algebraic data types and on numeric values, building upon [3, 15]. Secondly, it would be useful to add under-approximations for proving implicational properties where the right-hand side of the implication is a relation which cannot be modelled by a SHoCs, e.g., the *plus* relation. More generally, it would be useful to extend the approximation framework so as to consider the two kinds of approximations for a relation at the same time. For instance, this would permit to prove  $plus(X, s(z), Y) \Rightarrow plus(s(z), X, Y)$  by proving  $plus^+(X, s(z), Y) \Rightarrow plus^-(s(z), X, Y)$ .

Finally, on a practical point of view, we would like to apply our solver on CHCs generated from functional programs. There exists tools to transform functional programs into CHCs and we would like to combine them with our solver to perform automatic verification. We believe that this could also be used to design new tactics in proof assistants for ADT-related properties.

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## A Appendix

### A.1 SHoCs emptiness undecidability

This proof reduces the halting problem of a two-counter Minsky machine to the emptiness problem of SHoCs. The idea of using the undecidability of the halting problem of two-counters Minsky machines is from private communications with Naoki Kobayashi and [21].

#### **Definition 20 (Minsky machine).**

*A Minsky machine is a finite function  $I$  that maps a program counter  $pc$  (a natural number) to its corresponding instruction. An instruction is one of*

$$inc\_goto(i, p_t) \mid dec\_goto(i, p_t, p_e) \mid halt$$

for  $i$  a natural number designating a register and  $p_t, p_e$  program counters. A configuration is a pair  $(R, pc)$  with  $R = [r_1, \dots, r_n]$  an array of natural numbers representing the value of each register and  $pc$  the program counter. Instruction  $inc\_goto(i, p_t)$  increments register  $r_i$  then changes  $pc$  to  $p_t$ . Instruction  $dec\_goto(i, p_t, p_e)$  decrements  $r_i$  and changes  $pc$  to  $p_t$  if the decrement is successful (i.e. if  $r_i > 0$ ), and else leaves  $r_i$  unchanged (at 0) and changes  $pc$  to  $p_e$ . Finally, instruction  $halt$  halts the machine.

*Example 8.* A simple (non terminating) Minsky machine with 1 register  $r_1$ , initial configuration  $([0], 0)$ , and the following program:

```

0 : inc_goto(1,1)
1 : dec_goto(1,0,2)
2 : halt

```

An interesting class of Minsky machines are those with only two counters, as Minsky machines with at least two counters are known for having an undecidable halting problem.

**Definition 21 (From a 2-counter Minsky machine to SHoCs).**

Let  $I$  be a 2-counter Minsky machine. We write  $S_I$  the SHoCs that partially encodes  $I$  defined by the following 8 fixed clauses and one or two clauses defining  $R_{pc}$  for every  $pc \in dom(I)$ :

$$\begin{array}{ll} R_{eq}(z, z) & R_z(z) \\ R_{eq}(s(N), s(M)) \Leftarrow R_{eq}(N, M) & R_{pzz}(pair(N_1, N_2)) \Leftarrow R_z(N_1) \wedge R_z(N_2) \end{array}$$

$$\begin{array}{l} R_{inc}(s(N), s(M)) \Leftarrow R_{inc}(N, M) \\ R_{inc}(z, s(M)) \Leftarrow R_z(M) \end{array}$$

$$\begin{array}{l} R_{inc_1}(pair(N_1, N_2), pair(M_1, M_2)) \Leftarrow R_{inc}(N_1, M_1) \wedge R_{eq}(N_2, M_2) \\ R_{inc_2}(pair(N_1, N_2), pair(M_1, M_2)) \Leftarrow R_{inc}(N_2, M_2) \wedge R_{eq}(N_1, M_1) \end{array}$$

- For every  $pc$  such that  $I(pc) = inc\_goto(i, p_t)$ :  
 $R_{pc}(cons(P_1, L_1), cons(P_2, L_2)) \Leftarrow R_{p_i}(L_1, L_2) \wedge R_{inc_i}(P_1, P_2)$
- For every  $pc$  such that  $I(pc) = dec\_goto(i, p_t, p_e)$ :  
 $R_{pc}(cons(P_1, L_1), cons(P_2, L_2)) \Leftarrow R_{p_i}(L_1, L_2) \wedge R_{inc_i}(P_2, P_1)$   
 $R_{pc}(cons(P_1, L_1), cons(P_2, L_2)) \Leftarrow R_{p_e}(L_1, L_2) \wedge R_{pzz}(P_1)$
- For every  $pc$  such that  $I(pc) = halt$ :  
 $R_{pc}(cons(P_1, L_1), nil)$

Relation  $R_{eq}$  defines equality of natural numbers,  $R_{inc}$  relates any  $n$  with  $s(n)$ ,  $R_{inc_1}$  relates pairs of natural numbers such that the second pair is the same as the first except for the first element that is incremented. Relations  $R_{pc}$  locally simulate the behavior of the Minsky machine at program counter  $pc$ .

**Proposition 3.** Let  $I$  a two-counter Minsky machine and  $S_I$  the associated SHoCs. For any  $pc \in \text{dom}(I)$ , lists  $l$  and  $l'$  of pairs of integers with  $l = \text{cons}(\text{pair}(n_1, n_2), l')$ , we have that  $(l, l') \in \mathcal{L}(R_i, S_I)$  iff  $l$  is the log (list of values that both counters took during the execution) of a terminating run of the Minsky machine  $I$  that started on configuration  $([n_1, n_2], i)$ .

**Lemma 2.** It follows immediately from proposition 3 that a Minsky machine  $I$  halts from the initial configuration  $([0, 0], 0)$  iff there exists a list  $l$  of pairs on integers such that  $(\text{cons}(\text{pair}(z, z), l), l) \in \mathcal{L}(R_0, S_I)$ .

**Definition 22.** We define  $S_{\text{shape}}$  to match the shape constraint, i.e. such that  $\mathcal{L}(R_{\text{shape}}, S_{\text{shape}}) = \{(\text{cons}(\text{pair}(z, z), t), t) \mid t \text{ is a list of pairs of integers}\}$ :

$$\begin{aligned}
R_{\text{shape}}(\text{cons}(X_1, X_2), \text{nil}) &\Leftarrow R_{\text{pzz}}(X_1) \wedge R_{\text{nil}}(X_2) \\
R_{\text{shape}}(\text{cons}(X_1, X_2), \text{cons}(Y_1, Y_2)) &\Leftarrow R_{\text{pzz}}(X_1) \wedge R_{\text{cons}_1}(X_2, Y_1) \wedge R_{\text{cons}_2}(X_2, Y_2) \\
R_{\text{cons}_1}(\text{cons}(X_1, X_2), z) &\Leftarrow R_z(X_1) \\
R_{\text{cons}_1}(\text{cons}(X_1, X_2), s(Y)) &\Leftarrow R_s(X_1, Y) \\
R_{\text{cons}_2}(\text{cons}(X_1, X_2), \text{nil}) &\Leftarrow R_{\text{nil}}(X_2) \\
R_{\text{cons}_2}(\text{cons}(X_1, X_2), \text{cons}(Y_1, Y_2)) &\Leftarrow R_{\text{cons}_1}(X_2, Y_1) \wedge R_{\text{cons}_2}(X_2, Y_2) \\
R_s(s(X), z) &\Leftarrow R_z(X) \\
R_s(s(X), s(Y)) &\Leftarrow R_s(X, Y) \\
R_{\text{nil}}(\text{nil}) & \\
R_{\text{pzz}}(\text{pair}(X_1, X_2)) &\Leftarrow R_z(X_1) \wedge R_z(X_2) \\
R_z(z) &
\end{aligned}$$

**Theorem 9 (Emptiness problem (Theorem 1)).** The SHoCs emptiness problem is undecidable.

*Proof.* Let  $I$  a Minsky machine and  $S_I$  the corresponding SHoCs. Let  $S = S_I \cup S_{\text{shape}}$  and  $(S', R)$  be the resulting SHoCs and relation when intersecting  $\{R_0, R_{\text{shape}}\}$  in  $S$ . From Lemma 2,  $I$  halts iff  $\mathcal{L}(R, S') \neq \emptyset$ .

## A.2 Convoluted automata as SHoCs

**Definition 23 (Tree automaton).** A (bottom-up) tree automaton  $\mathcal{A} = (\mathcal{Q}, \mathcal{Q}_f, \Delta)$  over an alphabet  $\Sigma$  is given by a finite set of states  $\mathcal{Q}$ , a set of final states  $\mathcal{Q}_f \subseteq \mathcal{Q}$ , and a set of transitions (or rules)  $\Delta$  such that transitions are of the form  $f(q_1, \dots, q_{|f|}) \rightarrow q_0$ , where  $f \in \Sigma$  and  $\forall i \in [0 \dots |f|], q_i \in \mathcal{Q}$ .

**Definition 24 (Language recognized by an automaton).** The set of terms recognized (or accepted) in a state  $q$  of an automaton  $\mathcal{A}$  is inductively defined as  $\mathcal{L}(\mathcal{A}, q) = \{f(t_1, \dots, t_n) \mid f(q_1, \dots, q_n) \rightarrow q \in \Delta \wedge \bigwedge_{i \in [1 \dots n]} t_i \in \mathcal{L}(\mathcal{A}, q_i)\}$ . The language recognized by an automaton is  $\mathcal{L}(\mathcal{A}) = \bigcup_{q_f \in \mathcal{Q}_f} \mathcal{L}(\mathcal{A}, q_f)$ .

**Definition 25 (Typed tree automaton).** A typed tree automaton is a tree automaton whose states are typed by types of the alphabet. We write  $\tau(q)$  for the type of the state  $q$ . Transitions have to be compatible with the types of the symbols, i.e., for any rule  $f(q_1, \dots, q_n) \rightarrow q_0 \in \Delta$ , then the type of  $f$  has to be  $f : \tau(q_1) \times \dots \times \tau(q_n) \rightarrow \tau(q_0)$ . All final states must be of the same type.

Convoluted automata are defined w.r.t an operation called *convolution* which transforms an  $n$ -tuple of terms into a unique term whose symbols are  $n$ -tuple of symbols. Intuitively, an automaton defined on this alphabet of tuple reads  $n$  terms at the same time, thereby recognizing a relation. The standard convolution operator amounts to overlaying the (syntax tree of the) terms, starting from the root, and adding a padding symbol  $\square \notin \Sigma$  (of type  $\tau_\square$ ) when there is an arity mismatch between symbols. In the following, we focus on so-called *left convolution*. There exist other convolutions like the right-convolution but the encoding into SHoCs for all convolutions strategies is similar. We first define left-convolution of a tuple of tuple, and then use it to define convolution of terms.

**Definition 26 (Left-convolution).**

$$\oplus((e_1^1, \dots, e_1^{k_1}), \dots, (e_n^1, \dots, e_n^{k_n})) = ((\overline{e_1^1}, \dots, \overline{e_n^1}), \dots, (\overline{e_1^k}, \dots, \overline{e_n^k}))$$

with  $k = \max_{i \in [1 \dots n]} (k_i)$  and

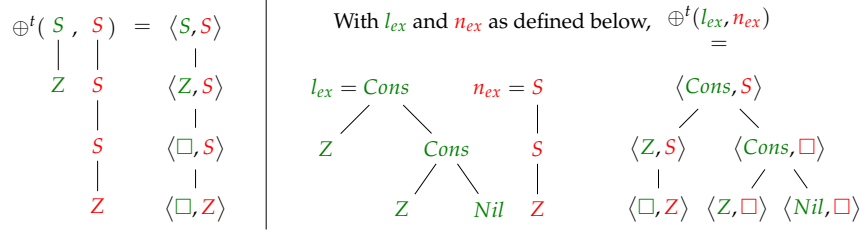
$$\forall i \in [1 \dots n], \forall j \in [1 \dots k], \overline{e_i^j} = e_i^j \text{ if } j \leq k_i \text{ and } \square \text{ otherwise}$$

**Definition 27 (Left-convolution of terms).** The  $n$ -ary left-convolution, written  $\oplus^t$ , takes  $n$  terms  $(t_1, \dots, t_n)$  on an alphabet  $\Sigma$  and returns a term  $\oplus^t(t_1, \dots, t_n)$  on a convoluted alphabet  $\Sigma_\oplus = (\Sigma \cup \{\square\})^n$  whose elements are written  $\langle f_1, \dots, f_n \rangle$  or  $\vec{f}$ . The left-convolution of  $n$  terms is recursively defined as:

$$\oplus^t(f_1(\vec{t}_1), \dots, f_n(\vec{t}_n)) = \langle f_1, \dots, f_n \rangle(\oplus^t(\vec{t}_1), \dots, \oplus^t(\vec{t}_n))$$

with  $(\vec{t}_1, \dots, \vec{t}_k) = \oplus(\vec{t}_1, \dots, \vec{t}_n)$

*Example 9 (Left convoluted terms).* Let  $\Sigma = \{z, s, nil, cons\}$ , with  $z : nat, s : nat \rightarrow nat, nil : natlist, cons : nat \times natlist \rightarrow natlist$ , be a typed alphabet for natural numbers and lists of natural numbers. Following are two examples of left convolution of terms.



Finally, convoluted tree automata are (typed) tree automata recognizing regular languages of convoluted terms. Here is an example of a convoluted tree automaton recognizing the relation  $<$  on natural numbers.

*Example 10 (Convoluted automata).* Let  $\mathcal{A}_<$  be the automaton with states  $\{q, q_f\}$ , where  $q_f$  is final, and transitions  $\{\langle \square, z \rangle() \rightarrow q, \langle \square, s \rangle(q) \rightarrow q, \langle z, s \rangle(q) \rightarrow q_f, \langle s, s \rangle(q_f) \rightarrow q_f\}$ .  $\mathcal{L}(\mathcal{A}_<) = \{(s^n(z), s^m(z)) \mid 0 \leq n < m\}$ . For instance the tuple  $(z, s(z))$  is recognized by  $\mathcal{A}_<$  because its equivalent convoluted term  $\langle z, s \rangle(\langle \square, z \rangle)$  is recognized by  $\mathcal{A}_<$  as follows:  $\langle z, s \rangle(\langle \square, z \rangle) \rightarrow \langle z, s \rangle(q) \rightarrow q_f$ . On the opposite, the tuple  $(s(z), z)$  that is equivalent to  $\langle s, z \rangle(\langle z, \square \rangle)$  is not recognized because  $\langle z, \square \rangle$  cannot be rewritten into a state by the bottom-up automaton  $\mathcal{A}_<$ .

An intermediate step for encoding convoluted tree automata into SHoCs is to remove padding in convoluted tree automata. Ruling out padding symbols allows to avoid having different states recognizing similar relations and simplify the formalism. For instance, symbols  $\langle \square, \square, z \rangle$ ,  $\langle \square, z, \square \rangle$  and  $\langle z, \square, \square \rangle$  are different but all represent the unary tuple  $(z)$ .

The only information that the padding carry is its position in the tuple, which is redundant with the fact that every rule  $\vec{f}(\vec{q}) \rightarrow q$  is typed, and so arity of every  $f \in \vec{f}$  is known, which is what determines the padding position. For example, confusing  $\langle \square, z \rangle$  with  $\langle z, \square \rangle$  have no influence with distinguish  $\oplus^t(z, s(z))$  from  $\oplus^t(s(z), z)$ , as symbols  $\langle z, s \rangle$  would have padding at the first position in the subtree and  $\langle s, z \rangle$  at the second position.

Removing padding symbols therefore do not add any ambiguity and is a simpler notation.

*Example 11 (Padding-free convoluted automata).* Let  $\mathcal{A}'_<$  be the automaton with states  $\{q', q'_f\}$ , where  $q'_f$  is final, and transitions  $\{\langle z \rangle() \rightarrow q', \langle s \rangle(q') \rightarrow q', \langle z, s \rangle(q') \rightarrow q'_f, \langle s, s \rangle(q'_f) \rightarrow q'_f\}$ . Still  $\mathcal{L}(\mathcal{A}'_<) = \{(s^n(z), s^m(z)) \mid 0 \leq n < m\}$ . For instance the tuple  $(z, s(z))$  is recognized because its equivalent padding-free convoluted term  $\langle z, s \rangle(\langle z \rangle)$  is recognized as follows:  $\langle z, s \rangle(\langle z \rangle) \rightarrow \langle z, s \rangle(q') \rightarrow q'_f$ . On the opposite, the tuple  $(s(z), z)$  which is equivalent to  $\langle s, z \rangle(\langle z \rangle)$  is not recognized because  $\langle s, z \rangle(\langle z \rangle) \rightarrow \langle s, z \rangle(q')$ , but the convoluted term  $\langle s, z \rangle(q')$  cannot be rewritten.

Here is the translation of left-convoluted tree automata into SHoCs. The translation of right-convoluted tree automata is similar. In the following, we make no difference between convolutions of symbols  $\langle f_1, \dots, f_n \rangle$  and tuples of symbols  $(f_1, \dots, f_n)$  and use the same notation  $\vec{f}$  for the two. We also use the projector notation for SHoCs of Definition 10.

**Definition 28 (Left-convoluted automata as SHoCs).** Let  $\mathcal{A}$  be a left-convoluted automaton. Let

$$S_{\mathcal{A}} = \{R_q(\vec{f}) \Leftarrow R_{q_1}(\vec{\pi}_1) \wedge \dots \wedge R_{q_k}(\vec{\pi}_k) \mid \vec{f}(q_1, \dots, q_k) \rightarrow q \in \mathcal{A}\}$$

$$\text{with, for all } i \text{ in } [1 \dots k], \vec{\pi}_i = (\pi_{(j,i)})_{j \in ([1 \dots k] \cap \{j \mid i \leq |f_j|\})}$$

with  $[1 \dots k] \cap \{j \mid i \leq |f_j|\}$  the tuple of indices  $j$  without those such that  $|f_j| > i$ .

We then have, for any state  $q$  of  $\mathcal{A}$ ,  $\mathcal{L}(R_q, S_{\mathcal{A}}) = \mathcal{L}(q, \mathcal{A})$ .

*Example 12.* Let  $\mathcal{A}$  be the left-convoluted automaton recognizing the *heightLB* relation which relates a tree to the height of its leftmost branch. This automaton (without padding) has a unique final state  $q_f$  and the six following transitions:

$$\begin{array}{ll} \langle \text{leaf}, z \rangle () \rightarrow q_f & \langle \text{node}, s \rangle (q_f, q_n, q_t) \rightarrow q_f \\ \langle \text{leaf} \rangle () \rightarrow q_t & \langle \text{node} \rangle (q_t, q_n, q_t) \rightarrow q_t \\ \langle z \rangle () \rightarrow q_n & \langle s \rangle (q_n) \rightarrow q_n \end{array}$$

Its SHoCs translation, using projector notation, is:

$$\begin{array}{ll} R_f(\text{leaf}, z) & R_f(\text{node}, s) \Leftarrow R_f(\pi_{(1,1)}, \pi_{(2,1)}) \wedge R_n(\pi_{(1,2)}) \wedge R_t(\pi_{(1,3)}) \\ R_t(\text{leaf}) & R_t(\text{node}) \Leftarrow R_t(\pi_{(1,1)}) \wedge R_n(\pi_{(1,2)}) \wedge R_t(\pi_{(1,3)}) \\ R_n(z) & R_n(s) \Leftarrow R_n(\pi_{(1,1)}) \end{array}$$

Using the standard notation, we obtain the following SHoCs:

$$\begin{array}{ll} R_f(\text{leaf}, z) & R_f(\text{node}(X_1, X_2, X_3), s(Y_1)) \Leftarrow R_f(X_1, Y_1) \wedge R_n(X_2) \wedge R_t(X_3) \\ R_t(\text{leaf}) & R_t(\text{node}(X_1, X_2, X_3)) \Leftarrow R_t(X_1) \wedge R_n(X_2) \wedge R_t(X_3) \\ R_n(z) & R_n(s(X_1)) \Leftarrow R_n(X_1) \end{array}$$

This is not the smallest SHoCs that recognizes this relation *heightLB* but this is the one corresponding to the automaton  $\mathcal{A}$ .

### A.3 Learner/Teacher detailed examples and proofs

*Example 13.* This example details the computation of Example 6. Let us recall and name some of the clauses used in this example.

$$\begin{aligned}
\varphi_1^{he} &\stackrel{def}{=} R_{he}(leaf, z) \\
\varphi_2^{he} &\stackrel{def}{=} R_{he}(node(T_1, E, T_2), s(N)) \Leftarrow R_{he}(T_1, N) \wedge R_{sh}(T_2, N) \\
\varphi_3^{he} &\stackrel{def}{=} R_{he}(node(T_1, E, T_2), s(N)) \Leftarrow R_{sh}(T_1, N) \wedge R_{he}(T_2, N) \\
\\
\varphi_1^{sh} &\stackrel{def}{=} R_{sh}(leaf, z) \\
\varphi_2^{sh} &\stackrel{def}{=} R_{sh}(leaf, s(N)) \\
\varphi_3^{sh} &\stackrel{def}{=} R_{sh}(node(T_1, E, T_2), s(N)) \Leftarrow R_{sh}(T_1, N) \wedge R_{sh}(T_2, N)
\end{aligned}$$

Here is a detailed execution of  $Inhabits^{det}(W, S_3)$ :

1. Let  $\sigma_0 = \{X \mapsto X; L \mapsto L; D \mapsto D\}$ ,  $W_0 = W$ , and  $i = 0$ .
- 2<sub>0</sub>.  $W_0$  is not empty. The only atom of  $W_0$  is  $A = R_{he}(node(leaf, X, L), s(s(D)))$ .
- 3<sub>0</sub>. Of all the SHoCs  $H \Leftarrow B$  of  $S$ , only two are *compatible with A*, i.e., such that  $H$  is unifiable with  $A$ , namely
  - $\varphi_2^{he}$  with MGU  $\sigma = \{T_1 \mapsto leaf; E \mapsto X; T_2 \mapsto L; N \mapsto s(D)\}$
  - $\varphi_3^{he}$  with the same MGU  $\sigma$ .
- 3<sub>0</sub><sup>a</sup>. In a scenario  $a$ , suppose we choose  $\varphi_2^{he}$  for atom  $A$ .  
Then  $W_1^a = unfold(\sigma(A), \varphi_2^{he}) = \{R_{he}(leaf, s(D)), R_{sh}(L, s(D))\}$  and  $\sigma_1^a = \sigma \circ \sigma_0 = \sigma_0$ .
- 2<sub>1</sub><sup>a</sup>.  $W_1^a$  is not empty, so the algorithm continues.
- 3<sub>1</sub><sup>a</sup>. Two clauses of  $S_3$  are compatible with  $R_{sh}(L, s(D))$ ,  $\varphi_2^{sh}$  and  $\varphi_3^{sh}$ , but none is compatible with  $R_{he}(leaf, s(D))$ , therefore any choice yields a non-unifiable set  $U$  and the search is unsuccessful (returns *None*) and this branch is abandoned.
- 3<sub>0</sub>. Backtracking into scenario  $b$ , suppose we choose  $\varphi_3^{he}$  for  $A$  instead of  $\varphi_2^{he}$ .  
Then  $W_1 = unfold(A, \varphi_3^{he}) = \{R_{sh}(leaf, s(D)), R_{he}(L, s(D))\}$  and  $\sigma_1 = \sigma_0$ .
- 2<sub>1</sub>.  $W_1$  is not empty, so the algorithm continues.
- 3<sub>1</sub>. Only one clause of  $S_3$ ,  $\varphi_2^{sh}$ , is compatible with  $R_{sh}(leaf, s(D))$ .  
Clauses  $\varphi_2^{he}$  and  $\varphi_3^{he}$  are both compatible with  $R_{he}(L, s(D))$ . By symmetry, we only explore the choice of  $\varphi_2^{he}$  for  $R_{he}(L, s(D))$  in this example.  
Once variables of  $\varphi_2^{sh}$  and  $\varphi_2^{he}$  have been renamed to prevent unwanted clashes, we have  $U = \{R_{sh}(leaf, s(D)) \stackrel{?}{=} R_{sh}(leaf, s(M)), R_{he}(L, s(D)) \stackrel{?}{=} R_{he}(node(T'_1, E, T'_2), s(N'))\}$ . An MGU of  $U$  is  $\sigma = \{L \mapsto node(L_1, L_2, L_3); T'_1 \mapsto L_1; E' \mapsto L_2; T'_2 \mapsto L_3; N' \mapsto D; M \mapsto D\}$ .  
This leads to  $W_2 = \{R_{he}(L_1, D), R_{sh}(L_3, D)\}$  and  $\sigma_2 = \sigma \circ \sigma_1 = \{X \mapsto X; L \mapsto node(L_1, L_2, L_3); D \mapsto D\}$ .
- 2<sub>2</sub>.  $W_2$  is not empty so a last iteration begins.
- 3<sub>2</sub>.  $R_{he}(L_1, D)$  is compatible with any clause of  $\{\varphi_1^{he}, \varphi_2^{he}, \varphi_3^{he}\}$ , and  $R_{sh}(L_3, D)$  with any clause of  $\{\varphi_1^{sh}, \varphi_2^{sh}, \varphi_3^{sh}\}$ .  
However, as  $D$  appears in both atoms of  $W_2$ , not every such choice of SHoCs yields a unifiable  $U$ . This forces to only choose  $\varphi_1^{he}$  with  $\varphi_1^{sh}$ ,  $\varphi_2^{he}$  with  $\varphi_3^{sh}$ , This forces to only choose  $\varphi_1^{he}$  with  $\varphi_1^{sh}$ ,  $\varphi_2^{he}$  with  $\varphi_3^{sh}$ , or  $\varphi_3^{he}$  with  $\varphi_3^{sh}$ .  
We choose to recognize  $R_{he}(L_1, D)$  with  $\varphi_1^{he}$  and  $R_{sh}(L_3, D)$  with  $\varphi_1^{sh}$ .

Then,  $U = \{R_{he}(L_1, D) \stackrel{?}{=} R_{he}(leaf, z), R_{sh}(L_3, D) \stackrel{?}{=} R_{sh}(leaf, z)\}$ .

The MGU of  $U$  is  $\sigma = \{L_1 \mapsto leaf; L_3 \mapsto leaf; D \mapsto z\}$ .

Then,  $W_3 = \emptyset$  and  $\sigma_3 = \sigma \circ \sigma_2 = \{X \mapsto X; L \mapsto node(leaf, L_2, leaf); D \mapsto Z\}$ .

23.  $W_3 = \emptyset$ , so the procedure returns  $Some(\sigma_3)$ .

**Lemma 3 (Inhabits ground bounded completeness).**

Let  $W$  be a set of atoms and  $S$  a SHoCs. If there exists a substitution  $\sigma$  such that  $Vars(\sigma(W)) = \emptyset$  and for every atom of the shape  $R(\vec{t})$  in  $\sigma(W)$  we have  $\vec{t} \in \mathcal{L}(R, S)$ , then there exists an execution of  $Inhabits(W, S)$  which stops in at most  $ht(\sigma(W))$  steps by returning  $Some(\_)$ .

*Proof.* Let  $\sigma$  be a substitution such that  $Vars(\sigma(W)) = \emptyset$  and for every atom of the shape  $R(\vec{t})$  in  $\sigma(W)$  we have  $\vec{t} \in \mathcal{L}(R, S)$ .

Let  $P(i)$  be the property that there exists an execution of  $Inhabits(W, S)$  that either terminated with  $Some(\_)$  before step  $i$  or else reached step  $i$  and is such that there exists a substitution  $\sigma'$  with  $Vars(\sigma'(W_i)) = \emptyset$  and for every atom of the shape  $R(\vec{t})$  in  $\sigma'(W_i)$  we have  $\vec{t} \in \mathcal{L}(R, S)$  and  $ht(\sigma'(W_i)) \leq ht(\sigma(W)) - i$ . Then,  $P(i)$  can be proven by induction on  $i$ :

$i = 0$ : Immediate by hypothesis

$i > 0$ : Suppose  $P(i)$  true. Then an execution either has terminated already and  $P(i + 1)$  is true, or else there exists  $\sigma'$  a substitution such that  $Vars(\sigma'(W_i)) = \emptyset$  and for every atom of the shape  $R(\vec{t})$  in  $\sigma'(W_i)$  we have  $\vec{t} \in \mathcal{L}(R, S)$  and  $ht(\sigma'(W_i)) \leq ht(\sigma(W)) - i$ .

Now, either  $W_i$  is empty and then the execution terminates and  $P(i + 1)$  is true, or else  $W_i$  is non-empty. In that case, and by definition of  $\mathcal{L}(R, S)$ , there then exists a SHoC  $\varphi_A$  for each atom  $A \in W_i$  such that  $W_{i+1} = \bigcup_{A \in W_i} unfold(\sigma(A), \varphi_A)$  admits a substitution  $\sigma''$  such that  $Vars(\sigma''(W_{i+1})) = \emptyset$  and for every atom of the shape  $R(\vec{t})$  in  $\sigma''(W_{i+1})$  we have  $\vec{t} \in \mathcal{L}(R, S)$  and  $ht(\sigma''(W_{i+1})) < ht(\sigma'(W_i))$ . So  $P(i + 1)$  is true.

Now, because the height of the substitution  $\sigma'$  in  $P(i)$  is smaller than  $ht(\sigma(W)) - i$ , we know that there exists no such substitution when  $i > ht(\sigma(W))$ . Therefore, because  $P(i)$  is true, we know that there exists an execution of  $Inhabits(W, S)$  that terminated with  $Some(\_)$  in at most  $i$  steps.

**Theorem 2 (Inhabits correctness and relative completeness)**

- If  $Inhabits(W, S)$  terminates with  $Some(\sigma)$ , then  $S \models \sigma(W)$
- If there exists a substitution  $\sigma$  such that  $S \models \sigma(W)$ , then there exists a terminating execution of  $Inhabits(W, S)$  returning  $Some(\sigma')$ .

*Proof.* Correctness stems from the fact that each new  $W_{i+1}$  comes from  $W_i$  by applying one SHoC to each atom, so a proof that  $W_{i+1}$  can be satisfied in  $S$  can be transformed into a proof that  $W_i$  can be satisfied in  $S$ .

Relative completeness is immediate from Lemma 3.



**Lemma 4 (Inhabits height boundness).** *If  $Inhabits(W, S)$  terminates at step  $i$  with  $Some(\sigma)$ , then  $i \leq ht(\sigma(W)) \leq ht(W) + i$ .*

*Proof.*

$i \leq ht(\sigma(W))$  can be proven by noticing that, at each step  $j \in [0 \dots i]$ ,  $j \leq ht(\sigma_j(W))$ .

$ht(\sigma(W)) \leq ht(W) + i$  can be proven by noticing that, at each step  $j \in [1 \dots i]$ ,  $ht(\sigma_j(W)) \leq ht(W) + j$ .

**Theorem 3 (Teacher correctness and relative completeness)**

- If  $Teacher(S, \Gamma)$  terminates with  $Some(\widehat{\varphi})$ , then  $\widehat{\varphi}$  is a ground instance of some formula  $\varphi \in \Gamma$  and  $S \not\models \widehat{\varphi}$ , so  $S \not\models \Gamma$ .
- If  $S \not\models \Gamma$  then there exists  $\widehat{\varphi}$  such that  $Teacher(S, \Gamma)$  terminates with  $Some(\widehat{\varphi})$ .

*Proof.*

Both properties can be proven by the following equivalence chain:

$Teacher(S, \Gamma)$  terminates with  $Some(-)$   
iff (by the *Teacher* procedure)  
there exists  $\varphi \in \Gamma$  and a substitution  $\sigma$  such that  $Inhabits^{det}(W_{\widehat{\varphi}}, S)$   
terminates with  $Some(\sigma)$   
iff (by Theorem 2)  
there exists  $\varphi \in \Gamma$  and a substitution  $\sigma$  such that  $S \models \sigma(W_{\widehat{\varphi}})$   
iff (By Proposition 2)  
there exists  $\varphi \in \Gamma$  such that  $S \not\models \varphi$   
iff  
 $S \not\models \Gamma$ .

The assertion that if  $Teacher(S, \Gamma) = Some(\widehat{\varphi})$  then  $\widehat{\varphi}$  is a ground instance of some formula  $\varphi \in \Gamma$  and  $S \not\models \widehat{\varphi}$  immediately comes from the definition of *Teacher* and Proposition 2.

**Lemma 5 (Teacher height boundness).** *If  $Teacher(S, \Gamma) = Some(\widehat{\varphi})$  then for any other counterexample  $\widehat{\varphi}'$  of  $S \models \Gamma$ ,  $ht(\widehat{\varphi}) \leq ht(\widehat{\varphi}') + dh$  with  $dh$  only depending on  $\Gamma$ .*

*Proof.* Let  $dh = ht(\Gamma) + d$ , with  $d$  being is the max, among every type, of the height of the smallest term of this type.

Suppose  $Teacher(S, \Gamma)$  terminates with  $Some(\widehat{\varphi})$ . Then there exists  $\varphi \in \Gamma$  such that  $Inhabits^{det}(W_{\widehat{\varphi}}, S)$  terminates with  $Some(\sigma)$ ,  $\sigma_{Gr} = Grd(\sigma(W_{\widehat{\varphi}}))$ , and  $\widehat{\varphi} = \sigma_{Gr}(\sigma(\varphi))$ . Let  $i$  be the step at which  $Inhabits^{det}(W_{\widehat{\varphi}}, S)$  terminated. By Lemma 4,  $ht(\sigma(W_{\widehat{\varphi}})) \leq i + ht(W_{\widehat{\varphi}})$ , so  $ht(\sigma(\varphi)) \leq i + ht(\varphi)$ .

By the *Teacher* synchronisation of parallel calls to  $Inhabits^{det}$ , for any other formula  $\varphi' \in \Gamma$ ,  $Inhabits^{det}(W_{\widehat{\varphi}'}, S)$  either terminates with *None* or terminates after  $Inhabits^{det}(W_{\widehat{\varphi}}, S)$ , i.e., after step  $i$ .

Let  $\widehat{\varphi}'$  be a smallest ground counterexample to  $S \models \Gamma$ . Because  $\widehat{\varphi}'$  is ground,  $S \models W_{\widehat{\varphi}'}$  means that for every atom of the shape  $R(\vec{t})$  in  $W_{\widehat{\varphi}'}$  we have  $\vec{t} \in$

$\mathcal{L}(R, S)$ .  $\widehat{\varphi}'$  can be written as  $\sigma'(\varphi')$  for  $\sigma'$  a substitution and  $\varphi' \in \Gamma$ . By lemma 3 and the fact that no *Inhabits<sup>det</sup>* call, despite being implemented as breadth-first search, has stopped before step  $i$ , we have  $i \leq ht(\widehat{\varphi}')$ .

Combining these two inequalities, we have  $ht(\sigma(\varphi)) \leq ht(\widehat{\varphi}') + ht(\varphi)$ .

Bounding  $ht(\varphi)$  by  $ht(\Gamma)$ , we find  $ht(\sigma(\varphi)) \leq ht(\widehat{\varphi}') + ht(\Gamma)$ .

The teacher finishes by returning  $\widehat{\varphi} = \sigma_{Gr}(\sigma(\varphi))$ . For  $e$  a variable, pattern, atom, set of atom, or clause,  $ht(Grd(e)(e)) \leq ht(e) + d$ , so  $ht(\widehat{\varphi}) \leq ht(\widehat{\varphi}') + dh$ .

**Theorem 5** *The learner always terminates.*

*Proof.* Because we use an upper-bound on  $i_{step}$ , the learner procedure terminates if the constraint solving for any fixed  $i_{step}$  terminates.

Let some fixed  $i_{step}$ . We argue that the number of choices to be made is bounded, and therefore all of the search space can be explored in a finite time.

There are three types of choices in the constraints. Two are clearly finite: (a) The choice of the types of the new relations (constraint (a)). Each relation can take one type from a finite set of possible types. (b) The choice of one literal that needs to be true per initial counterexample (constraint (b)).

The third type of choice is that of the body of the SHoC created for each atom  $R(\vec{t})$  that needs to be true (constraint (d)). For the body atoms (constraint (d)), there is one binary choice, whether to include the atom or not, per relation and compatible variables. One SHoC creation thus only needs a finite number of choices.

However, note that each SHoC  $\varphi \stackrel{def}{=} H \Leftarrow \varphi$  created by the need of an atom  $R(\vec{t})$  to be true leads to the need of every atom from  $unfold(R(\vec{t}), \varphi)$  to be true too (constraint (e)). The procedure still terminates, as  $ht(unfold(R(\vec{t}), \varphi)) < ht(R(\vec{t}))$ , so any atom that is set to be true by the creation of  $\varphi$  is of strictly lower height than  $R(\vec{t})$ , so this retroactive "loop" can only go for at most  $ht(\widehat{\Gamma})$ .

**Theorem 6 (Learner correctness, completeness, minimality)**

*Let  $\widehat{\Gamma}$  be a finite set of counterexamples, i.e., ground clauses. If  $\Gamma$  is satisfiable, then  $Learner(\widehat{\Gamma}) = Some(S)$  with  $S \models \widehat{\Gamma}$  and such that  $S$  is minimal among SHoCs that satisfy  $\widehat{\Gamma}$  w.r.t the number of relations. If  $\Gamma$  is unsatisfiable, then  $Learner(\widehat{\Gamma}) = None$ .*

*Proof.* A satisfiable, finite, ground set of formulas  $\widehat{\Gamma}$  has a first-order Herbrand structure with a finite number of true atoms. Any first-order Herbrand structure with a finite number of true atoms can be represented by a SHoCs by introducing additional intermediate relation symbols to ensure that all clauses are shallow (and becomes a SHoC). Hence, if the set  $\widehat{\Gamma}$  is satisfiable then there exists a SHoCs satisfying it such that its number of relations is no more than the number of subterms appearing in  $\Gamma$ , which is the bound used for  $i_{step}$ .

To satisfy  $\widehat{\Gamma}$ , at least one literal of each clause  $\varphi \in \widehat{\Gamma}$  must be true. Choosing such literals is the role of constraint (b). Having the generated SHoCs to satisfy every chosen positive literal is ensured by constraints (c) and (e). Constraint (c) creates a SHoC for each chosen positive literal, so we know that each

atom that must be true leads to the creation of a SHoC to recognize it. Ensuring that the created SHoC indeed recognizes the atom is the role of constraint (e). Having the generated SHoCs to not satisfy any chosen negative literal is directly ensured by constraint (f). Therefore if  $Learner(\hat{\Gamma}) = Some(S)$ , we have  $S \models \hat{\Gamma}$ . The minimality is a consequence of the incremental solving. Conversely, if  $\hat{\Gamma} = None$ , then no matter the choice of literal, no SHoCs can verify  $\hat{\Gamma}$ , so  $\hat{\Gamma}$  is unsatisfiable.

**Theorem 7 (Refutational completeness)**

Let  $\Gamma$  a finite set of contradictory clauses. Then  $Sat(\Gamma)$  terminates with “Disproved”.

*Proof.* Let  $Grd(\Gamma)$  be the set of ground instances of  $\Gamma$ . By definition of Herbrand models (every element of the domain can be expressed as a term) and because  $\Gamma$  is contradictory,  $Grd(\Gamma)$  is contradictory too. By first-order logic compactness theorem, we know that a set of formulas is contradictory iff there exists a finite subset of contradictory formulas, so let  $F \subseteq Grd(\Gamma)$  be such a set.

Let  $H = \max_{\hat{\varphi} \in F} (ht(\hat{\varphi}))$  be the height of a highest clause in  $F$ . Let  $dh$  be the value defined from  $\Gamma$  as mentioned in Lemma 5. Let  $Cl(F) = \{\hat{\varphi} \mid \hat{\varphi} \in Grd(\Gamma) \wedge ht(\hat{\varphi}) \leq H + dh\}$ .  $Cl(F)$  is finite and also contradictory, as  $F \subseteq Cl(F)$ .

For any step  $i$  of  $Sat(\Gamma)$  such that  $Learner(\Gamma_i) = Some(S_i)$ , we have  $S_i \not\models F$  and so let  $h'$  be the height of a smallest counterexample of  $S_i \models F$ . By Theorem 6,  $Teacher(S_i, \Gamma) = Some(\hat{\varphi})$  with  $\hat{\varphi}$  a ground instance of some formula  $\varphi \in \Gamma$  such that  $ht(\hat{\varphi}) \leq h' + dh$ . Thus  $\hat{\varphi}_i \in Cl(F)$ .

Because every counterexample  $\hat{\varphi}_i$  that the teacher outputs is contained in  $Cl(F)$  and of Lemma 1, the ground clauses  $\hat{\Gamma}_{|Cl(F)|}$  accumulated by the learner at step  $|Cl(F)|$  would necessarily be such that  $F \subseteq \hat{\Gamma}_{|Cl(F)|}$ . Therefore there exists a step  $i_{unsat} \in [0 \dots |Cl(F)|]$  such that  $\hat{\Gamma}_{i_{unsat}}$  is unsatisfiable, and the  $Sat(\Gamma)$  procedure stops at this step with “Disproved”.

**Theorem 8 (Relative completeness)**

Let  $\Gamma$  be a finite set of clauses. If  $\Gamma$  admits a SHoCs satisfying it, then there exists a step  $i \in \mathbb{N}$  in which  $S_i$ , the learner’s SHoCs output at this step, is such that  $S_i \models \Gamma$ .

*Proof.* In this proof, we call *size* of a SHoCs the number of relations that it defines. Suppose that  $\Gamma$  admits a SHoCs. Let  $N$  be the size of a smallest SHoCs  $S$  such that  $S \models \Gamma$ . Any first-order model of  $\Gamma$  is also a model of  $Grd(\Gamma)$  and of every subset of it, so, for any step  $i$  of the  $Sat$  procedure,  $S \models \hat{\Gamma}_i$ . Therefore any smallest SHoCs of a subset  $\hat{\Gamma}_i \subseteq Grd(\Gamma)$  is smaller or equal than  $N$ . Because of learner minimality (Theorem 6), any SHoCs the learner proposes is of size smaller or equal to  $N$ .

Because the number of SHoCs of any fixed size is finite (modulo relation and variable names), we know that the number of SHoCs (that do not satisfy  $\Gamma$  and) that are smaller or equal than  $N$  is finite.

Because of lemma 1, we know that the learner never outputs twice the same SHoCs. We know that the learner always terminates (Theorem 5) and, as long

as the learner proposes SHoCs that do not satisfy  $\Gamma$ , the teacher terminates too (Theorem 3).  
Therefore the learner will end up proposing a (smallest) SHoCs satisfying  $\Gamma$ .