



Eidgenössische Technische Hochschule Zürich  
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# Top-Down Inductive Synthesis with Higher-Order Functions

Master Thesis

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## Abstract

**TODO:** write me :)



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## Chapter 1

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# Introduction

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Program synthesis, also known as automatic programming, is the automatic generation of programs from specifications.

In this thesis we consider inductive synthesis of purely functional programs from components. We specify the desired program through input-output examples, that is pairs of inputs with their corresponding expected outputs. This is an intuitive and simple way to specify programs and makes synthesis more accessible to users with a lower level of expertise.

When solving programming tasks, human programmers rely on prior knowledge in form of computational patterns. Such well-known computational patterns are reflected by library components, both first- and higher-order. For example, `map` corresponds to the transformation of each element of a list according to a function and `foldr` easily translates to recursive programs on lists. The program `foldr f init xs` corresponds to the following recursive program. Here and in Section ?? we use Haskell-like syntax for programs.

```
prog [] = init
prog (x:xs) = f x (prog xs)
```

The goal of this thesis is to assess how well the information encoded by such library components can be reused by an automatic synthesiser. We restrict the space of target programs to straight-line functional programs composed from library components. We do not consider the synthesis of lambda expressions, recursive functions, conditionals and pattern matching.

Program synthesis is an active area of research. Section 1.1 offers a very short and incomplete overview of the area. Closely related work is also shortly discussed in Chapter 4. We will return to the problem statement of this thesis in Section 1.2 and state our contributions.

### 1.1 Background

Program synthesis has been explored at least since the late 60s. Since the problem in its generality is very hard to attack, numerous restrictions have been investigated.

Good results were obtained by restricting the programs being synthesised to a specific domain [4, 6, 25, 7, 8]. Recently a system parametrised by an arbitrary domain-specific language [18] was presented. Different instantiations of the domain-specific language produce specific synthesisers for specific domains.

Another way to simplify the problem is explicitly asking the programmer for help, as in `SKETCH` [23], where the programmer provides the high-level structure of the program and the synthesiser is asked to fill in the low-level details.

The approaches explored in the past 50 years were inspired by different areas of research. Early approaches [15] were based on automatic theorem proving and the Curry–Howard correspondence. A complete logical specification of a program is translated into a theorem and a proof of this theorem is then translated into a program satisfying the specification. A drawback of these approaches is that a high level of mathematical maturity is required to formulate a specification as a logical formula.

A more accessible specification, which we use in our synthesis procedure, is represented by input-output examples. Using this specification, two kinds of approaches have been explored: the first one strives to derive a formula or a set of relations from the input-output examples that can be then transformed into a program [24, 12, 11]; the second one, based on program enumeration [3, 2, 17], became popular as the processor speed increased. Our approach is of this kind.

Automatic theorem proving is not the only field that inspired program synthesis. Recently ideas from program verification made their way into synthesis [13, 10, 14]. Type theory also contributes to program synthesis. Recent inductive systems from input-output examples, [3, 17] along with our system, use simple types to prune the search space. More advanced types are even used as a specification [20]. Because of the advantages offered by input-output examples as a specification, a recent system [5] infers those advanced types from input-output examples.

### 1.2 Problem statement

The synthesis procedure we define and evaluate in this thesis aims to synthesise straight-line purely applicative functional programs specified by input-



output examples. We use a simple enumerate-and-test approach. In order to avoid errors due to bad typing, we enumerate only well-typed programs. We rely on a large library of first- and higher-order components reflecting common computational patterns. The synthesiser should compose a program from library components that agrees with the given input-output examples and generalises well to unseen examples.

For example, consider we want to generate `replicate`, the function that takes an integer `n` and an element `x` of any type and returns the list `[x, x, ..., x]` of length `n`. A straight-line purely applicative functional solution composed from standard first- and higher-order components would be:

```
replicate n x = map (const x) (enumTo n)
```

In the above program, `map` is the higher-order function that applies its first argument, a function, to every element of its second argument, a list; `const` is the function that takes two arguments and always returns the first one; `enumTo` is the function that takes an integer `m` and returns the list `[1, 2, ..., m]`. The above program encodes the following insight: in order to generate a list consisting of `n` copies of `x`, we can first generate a list of length `n`, in this case `[1, 2, ..., n]`, and then transform each element of this list into `x`.

In contrast to other systems based on enumeration [17, 3], we do not target recursive programs or programs containing lambda expressions, conditionals or pattern matching. However, those restrictions theoretically do not limit the set of functions we can express, since adding suitable higher-order components<sup>1</sup> to the library makes it possible to express all computable functions.

In practice, we can mimic popular recursive patterns with suitable library components. For example, the program `p n = foldNat f init n` can be translated into the following recursive program.

```
p 0 = init
p n = f (p (n-1))
```

Instantiating `init` with `[]` and `f` with `(x:)` leads to a solution for `replicate` corresponding to the recursive program:

```
replicate 0 x = []
replicate n x = x:(replicate (n-1))
```

Analogously, the component `foldNatNat` mimics the recursive pattern:

```
p 0 = init
p n = f n (p (n-1))
```

---

<sup>1</sup>For example, the *S*, *K*, *I* combinators introduced by Schönfinkel in [22].

This common pattern is used in the recursive definitions of `enumTo`, `sumUnder` and `factorial`.

We are interested in studying how an inductive synthesis algorithm can apply this knowledge in a synthesis task. In particular, we are interested how a library of first- and higher-order components can guide and speed up the synthesis process. To that end, we implement in OCaml a prototype<sup>2</sup> of the synthesis procedure we define in Chapter 2. The main contribution of this thesis is the extensive evaluation of our synthesis procedure and the exploration of the search space. The experiments and the findings are presented in Chapter 5.

The rest of the thesis is structured as follows. In Chapter 2 the top-down synthesis procedure is introduced and formally defined. Chapter 3 describes how to turn this synthesis procedure into a synthesis tool written in OCaml. In Chapter 4 we shortly review four closely related synthesis tools: `SYNQUID` [20],  $\lambda^2$  [3], `ESCHER` [2] and `MYTH` [17]. In Chapter 5 we present the results of the empiric evaluation. Finally, Chapter 6 draws the conclusions and outlines the possibilities for future work.

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<sup>2</sup>**TODO:** Link to the code?

## Chapter 2

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# A type-driven synthesis procedure

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In this chapter we will formally define our type-directed top-down synthesis procedure. We will start with an intuitive description thereof based on an example and move on to the formal definitions, starting with the target programming language and the search space. Finally, we will present some enhancements.

### 2.1 The ‘replicate’ example

Let us illustrate our synthesis procedure with the ‘replicate’ example from Chapter 1. We want to synthesise a program that takes a number  $n$  and an element  $x$ , and returns the list  $[x, \dots, x]$  that consists of  $n$  copies of  $x$ . A typical synthesis task would be specified like this:

```
replicate ::  $\forall X$ . Int  $\rightarrow$  X  $\rightarrow$  List X
replicate 3 1 = [1,1,1]
replicate 2 [] = [], []
```

Here, the user specifies the input-output signature of the program (its type), and a few input-output examples of its intended behaviour. In this case, the user desires that the program can replicate elements of any type  $X$ , hence the type signature is prefixed with the  $\forall X$  quantifier. The ability to work with any type of elements is made evident by the two examples presented after the type signature. In the first one, the number 1 gets replicated three times; in the second one, the empty list  $[]$  gets replicated twice.

In order to solve the synthesis task, we look for a program composed of components from a user-specified *library of components*. Let us assume that in our case the library consists of the standard list combinators `map` and `foldr`. In addition, we include the `enumTo` function that returns a list with the numbers from 1 up to its argument, and also the `const` function that always

returns its first argument. We will also need the standard list constructors `cons` and `[]`, and the standard integer constructors `succ` and `0`.

We search for the goal program by enumerating plausible programs, starting from simpler ones and moving to more complex ones (c.f., Occam’s razor). In the process, we test whether the enumerated programs meet the specified input-output behaviours. Once we find such a program, we give it to the user for approval. The main difficulty with this approach is that the number of candidate programs of a given size grows exponentially, but, on the other hand, very few of them make sense for the synthesis task. For example, the program `replicate n x = n` returns the integer `n` instead of a list of elements, contradicting the specified type signature of ‘`replicate`’.

We address this problem by enumerating only well-typed programs that meet the user-specified type signature. We do that by actually enumerating *partial programs*. Partial programs are just programs with *holes* that are to be filled in later. Every hole has a type that *drives* subsequent search steps: they fill the hole with a partial program matching its type. In our particular example, the search would start with the partial program:

```
replicate n x = ?p
?p :: List X
```

The hole `?p` is treated as a typed fresh symbol that has to be filled in with another partial program. Thus, our task is to find an instantiation for all holes recursively until we end up with a *closed* program (all holes filled in) that satisfies all the input-output examples provided by the user.

We structure the recursive enumeration process as a best-first search. We maintain a set of current partial programs, the *frontier*, whose holes are to be expanded. At each step we select and remove a partial program of minimum *cost* (e.g., size) from the frontier. Then, we fill in one of the holes in the selected program according to a set of rules. The rules produce a set of *successors* that are then added to the frontier. The search continues until we select a closed program that meets all the given input-output examples.

The tricky part in the search are the rules that determine the successors of the selected program. The rules must ensure that only well-typed programs are enumerated. For example, in the above partial program we expand the lone hole `?p`. This hole has type `List X` and we need to find a component in the library that is of this type. This immediately excludes the integer constructors `succ` and `0`. However, it also excludes `enumTo`, as it produces a list of integers, while we need a list of `x`, and `x` could be any type, not necessarily `Int`. All other possibilities are open: we can fill `?p` with the result of a `fold`, a `map`, a `const`, or with the empty list `[]`. Let us begin with `[]`:

```
replicate n x = []
?p = [] :: List X
```

Since this program is closed, we can test it on the input-output examples, but it satisfies none of them. Therefore, we consider the other four possible instantiations of `?p` as well:

```
replicate n x = cons ?x ?xs
?p = cons ?x ?xs :: List X
?x :: X
?xs :: List X

replicate n x = foldr ?f ?init ?xs
?p = foldr ?f ?init ?xs :: List X
?f :: ?Y → List X → List X
?init :: List X
?xs :: List ?Y

replicate n x = const ?xs ?s
?p = const ?xs ?s :: List X
?xs :: List X
?s :: ?Y

replicate n x = map ?f ?xs
?p = map ?f ?xs :: List X
?f :: ?Y → X
?xs :: List ?Y
```

In these programs, `?Y` is a fresh type variable that will be instantiated later. It indicates that we do not know the type of the first argument of `?f`. The only thing we know is that it has to match the type of the elements of `?xs`.

The next step in the procedure is to expand some hole in the least-cost program. In Section 2.4 we discuss several choices for a cost function, but here we just select programs that will lead us to the solution. Let us select the last program for expansion, i.e., `map ?f ?xs`. We have two holes to fill-in: a function `?f` that takes a `?Y` and returns an `X`, and a list `?xs` of `?Y`. We decide to expand the hole `?f` first. Obviously, for that we cannot use `map` or `enumTo`, because they return lists, whereas `?f` must return an `X`. The other two possibilities are `foldr` and `const`, which we add to the frontier:

```
replicate n x = map (foldr ?g ?init) ?xs
?p = map ?f ?xs :: List X
?f = foldr ?g ?init :: List ?Z → X
?g :: ?Z → X → X
?init :: X
?xs :: List (List ?Z)

replicate n x = map (const ?x) ?xs
?f = const ?x :: ?Y → X
?x :: X
?xs :: List ?Y
```

## 2. A TYPE-DRIVEN SYNTHESIS PROCEDURE

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Note that in the first case we instantiated  $?Y$  with `List ?Z`, because `foldr` takes a list as its last argument. This indicates that type-instantiation is a non-trivial task. In particular, it requires solving *unification* constraints between arguments and return values, as discussed in Section 2.2.5.

Now, we need to expand a program in the frontier again. Let us assume that the least-cost program is `map (const ?x) ?xs`. There are two holes to fill in:  $?x$  of type `X` and  $?xs$  of type `List ?Y`. Interestingly, we have only one option for the first hole, and so we take it: `replicate`'s second argument `x`:

```
replicate n x = map (const x) ?xs
?p = map ?f ?xs :: List X
?f = const ?x :: ?Y → X
?x = x :: X
?xs :: List ?Y
```

We select this newly added program from the frontier, and fill in its only hole  $?xs$ . We are now in a situation similar to where the whole search started: we have to generate a list. However, this time the type of the elements is not fixed, and we cannot rule out `enumTo`. Therefore we have a lot of possibilities to instantiate this hole, starting with `[]` and ending with `enumTo ?n` where  $?n$  is a fresh hole of type `Int`.

One of the candidate programs, `map (const x) []`, is closed, and we evaluate it on the input-output examples. However, this program does not satisfy any of them, thus we rule it out. Several candidate solutions are added to the frontier at this step, but let us focus on the most promising one:

```
replicate n x = map (const x) (enumTo ?n)
?p = map ?f ?xs :: List X
?f = const ?x :: ?Y → X
?x = x :: X
?xs = enumTo ?n :: List Int
?n :: Int.
```

The only hole to expand is  $?n$  and has type `Int`. Again, we have a lot of possibilities: the number 0, `replicate`'s first argument `n`, the constructor `succ` applied to another integer hole, or the result of invoking `const`. We again look at the closed successors, namely the first two:

```
replicate n x = map (const x) (enumTo 0)

replicate n x = map (const x) (enumTo n)
```

The first successor does not satisfy the input-output examples. On the other hand, the second one does, and we finally arrived at a solution. Further inspection by the user shows that this program indeed captures the desired 'replicate' functionality. Our synthesis task is complete.

### 2.1.1 Superfluous instantiations

The many search choices that we left unexplored indicate that the search space remains quite big even if with the type-directed search that rules out ill-typed programs. That is why, in addition to the type-driven search, we include another mechanism for pruning the search space.

This mechanism (Section 2.5) blacklists *superfluous* hole instantiations that have the same or similar input-output behaviour to instantiations of lower cost. For example, let's go back to the initial partial program:

```
replicate n x = ?p
?p :: List X
```

Recall that one possible way to instantiate `?p` is with the partial program `const ?xs ?s`. Then, we would need to instantiate `?xs` as well. But in this case we could have instantiated `?p` the same way and get exactly the same effect. Thus, we conclude that `const ?xs ?s` is superfluous and so we can safely skip it during search.

### 2.1.2 Summary

**Hole** unknown part of a program that can be instantiated with some other programs. Only its type is known.

**Closed program** a program without holes that can be evaluated on the input-output examples. The terms and the types of our calculus are formally defined in Section 2.2.1.

**Successor** a program derived by filling in a hole of a partial program. In Section 2.3.1 we can find the rules according to which holes are expanded.

**Best-first search** a frontier of programs with holes is maintained, one hole of the least-cost program is expanded in every iteration. The best-first search algorithm is defined in Section 2.3.2 and several cost functions are presented in Section 2.4.

**Superfluous program** a program that is equivalent to a shorter program.

## 2.2 Calculus

This section formally defines the language of our synthesiser. The goal programs consist of applications of library components and input variables, and are based on the terms of System F. During synthesis we also use an additional syntactic construct: the hole. We denote the language based on the application of library components, input variables and holes as the *target*

*language* of our synthesiser. However, we also need another language: the language in which the library components are defined and the programs are evaluated on the input-output examples. In the rest of the chapter we will call this language the *internal language*. It extends System F with holes, parametric types and recursion.

In Section 2.2.1 we present the syntax of the following three calculi.

1. System F
2. The internal language: an extension of System F with holes, input variables, library components, parametric types and recursive terms and types
3. The target language: a subset of the internal language, featuring only application of components, holes and input variables

We provide the syntax of System F only for the sake of completeness, as the other two calculi build upon it. The notation and the exposition follow the excellent book on type systems by Benjamin Pierce [19]. We refer to the book for a thorough introduction to System F and to type systems in general.

Since the target language is a subset of the internal language, Section 2.2.3 and Section 2.2.4 show the evaluation and, respectively, the typing rules only for the internal language. Section 2.2.2 discusses how to encode integers and lists in the internal language. In Section 2.2.5 we address unification over the types of the internal language, needed to determine which library components can be used to fill in a hole of a particular type.

### 2.2.1 Terms and Types

This section presents the syntax of three different calculi: System F, the internal language and the target language.

**System F** System F, also known as the polymorphic lambda calculus, is a calculus that, additionally to term abstraction and term application, features two new kinds of terms: type abstraction  $\Lambda X. \tau$  and type application  $\tau [T]$ . This allows to express polymorphic functions. For example, the polymorphic identity function is defined as  $\Lambda X. \lambda x : X. x$ . Polymorphic functions, defined as type abstractions, have a special type: the *universal* type  $\forall X. T$ . For a more detailed introduction to System F we refer to [19]. The syntax is summarized below.

$$t ::= x \mid \lambda x : T. t \mid t t \mid \Lambda X. t \mid t [T] \quad (\text{terms})$$

$$T ::= X \mid T \rightarrow T \mid \forall X. T \quad (\text{types})$$

$$\Gamma ::= \emptyset \mid \Gamma \cup \{x : T\} \mid \Gamma \cup \{X\} \quad (\text{variable bindings})$$



**Internal language** We extend System F with holes  $?x$ , input variables  $i$  as well as named library components  $c$  and named types  $C$  that can take parameters  $C \ T_1 \ \dots \ T_K$ . The number of type parameters supported by a named type is denoted as  $K$  in its definition. The use of the names enables recursion in the definition of library components and types. Terms that do not contain holes are called *closed*. The syntax of our calculus is summarised below. Evaluation and typing rules for this calculus can be found in the respective subsections.

$$t ::= x \mid \lambda x : T. t \mid t \ t \mid \Lambda X. t \mid t [T] \mid c \mid ?x \mid i \quad (\text{terms})$$

$$T ::= X \mid T \rightarrow T \mid \forall X. T \mid ?X \mid I \mid C \ T \ \dots \ T \quad (\text{types})$$

$$\Gamma ::= \emptyset \mid \Gamma \cup \{x : T\} \mid \Gamma \cup \{X\} \quad (\text{variable bindings})$$

$$\Xi ::= \emptyset \mid \Xi \cup \{?x : T\} \mid \Xi \cup \{?X\} \quad (\text{hole bindings})$$

$$\Phi ::= \emptyset \mid \Phi \cup \{i = t : T\} \mid \Phi \cup \{I = T\} \quad (\text{input variable bindings})$$

$$\Delta ::= \emptyset \mid \Delta \cup \{c = t : T\} \mid \Delta \cup \{C = T : K\} \quad (\text{library components})$$

Note that we have three additional contexts. The first one,  $\Xi$ , collects type and term holes. Moreover, it binds term holes to their types. The second one,  $\Phi$ , is the library of input variables. It contains one concrete instantiation of the input variables. It binds a definition and a type signature to each input term variable and a definition to each input type variable. The third one,  $\Delta$ , is the library of components. Each named term is bound to its definition and to its type signature and each named type is bound to its definition and to the number of parameters it takes.

**Target language** The target language of our synthesiser is a subset of the internal language. We already saw terms of this language in the ‘replicate’ example, but there all type applications were omitted for the sake of clarity. Formally, the target language restricts the internal language to term and type application of library components, input variables and holes as follows.

$$t ::= t \ t \mid t [T] \mid c \mid ?x \mid i \quad (\text{terms})$$

$$T ::= X \mid T \rightarrow T \mid \forall X. T \mid ?X \mid I \mid C \ T \ \dots \ T \quad (\text{types})$$

$$\Xi ::= \emptyset \mid \Xi \cup \{?x : T\} \mid \Xi \cup \{?X\} \quad (\text{hole bindings})$$

$$\Phi ::= \emptyset \mid \Phi \cup \{i = t : T\} \mid \Phi \cup \{I = T : K\} \quad (\text{input variable bindings})$$

$$\Delta ::= \emptyset \mid \Delta \cup \{c = t : T\} \mid \Delta \cup \{C = T : K\} \quad (\text{library components})$$

Since this is a proper subset of the internal language, we do not need separate typing and evaluation rules.

**Program** A program is defined as the 4-tuple  $\{\Xi, \Phi, \Delta \vdash t :: T\}$ , where  $t$  is a term of the target language. A program is called *closed* if  $\Xi$  is empty and  $t$  and  $T$  do not contain holes.

### 2.2.2 Encodings

Familiar types such as booleans, integers or lists do not appear in the definition of the types of the internal language. All these types can be encoded in the type system of the internal language using either Church's or Scott's encoding [1]. We opt for Scott's encoding because it is more efficient in our case.

Scott's booleans coincide with Church's booleans and are encoded as follows.

```

Bool  =  $\forall R. R \rightarrow R \rightarrow R$ 
true  =  $\Lambda R. \lambda x_1 : R. \lambda x_2 : R. x_1$ 
      : Bool
false =  $\Lambda R. \lambda x_1 : R. \lambda x_2 : R. x_2$ 
      : Bool
if-then-else =  $\Lambda X. \lambda b : \text{Bool}. \lambda t : X. \lambda f : X. b [X] t f$ 
              :  $\forall X. \text{Bool} \rightarrow X \rightarrow X \rightarrow X$ 

```

Scott's integers differ from Church's integers as they unwrap the constructor only once. Therefore they are more suitable for pattern matching.

```

Int =  $\forall R. R \rightarrow (\text{Int} \rightarrow R) \rightarrow R$ 
zero =  $\Lambda R. \lambda z : R. \lambda s : \text{Int} \rightarrow R. z$ 
      : Int
succ =  $\lambda n : \text{Int}. \Lambda R. \lambda z : R. \lambda s : \text{Int} \rightarrow R. s n$ 
      :  $\text{Int} \rightarrow \text{Int}$ 
case =  $\Lambda R. \lambda n : \text{Int}. \lambda a : R. \lambda f : \text{Int} \rightarrow R. n [R] a f$ 
      :  $\forall R. \text{Int} \rightarrow R \rightarrow (\text{Int} \rightarrow R) \rightarrow R$ 

```

Analogously to integers, Scott's lists are a recursive type and naturally support pattern matching.

```

List X =  $\forall R. R \rightarrow (X \rightarrow \text{List } X \rightarrow R) \rightarrow R$ 
nil =  $\Lambda X. \Lambda R. \lambda n : R. \lambda c : X \rightarrow \text{List } X \rightarrow R. n$ 
      :  $\forall X. \text{List } X$ 
con =  $\Lambda X. \lambda x : X. \lambda xs : \text{List } X. \Lambda R. \lambda n : R. \lambda c : X \rightarrow \text{List } X \rightarrow R.$ 
       $c x xs$ 
      :  $\forall X. X \rightarrow \text{List } X \rightarrow \text{List } X$ 
case =  $\Lambda X. \Lambda Y. \lambda l : \text{List } X. \lambda n : Y. \lambda c : X \rightarrow \text{List } X \rightarrow Y. l [Y]$ 
       $n c$ 
      :  $\forall X. \forall Y. \text{List } X \rightarrow Y \rightarrow (X \rightarrow \text{List } X \rightarrow Y) \rightarrow Y$ 

```

Other algebraic datatypes, such as trees, can be easily encoded in an analogous manner.

### 2.2.3 Evaluation semantics

In this section we present the evaluation semantics of our internal language, that is the second calculus introduced in Section 2.2.1. The evaluation semantics is a standard eager evaluation and we refer to the excellent book by Benjamin Pierce about type systems [19] for an introduction to the evaluation semantics of System F and evaluation rules in general.

The evaluation judgement  $\Phi, \Delta \vdash t \longrightarrow t'$  means that the term  $t$  evaluates in one step to the term  $t'$  under the free variable bindings library  $\Phi$ , that contains concrete instantiations for the input variables, and the component library  $\Delta$ , that contains the definitions of the library components. Before listing the evaluation rules, let us define *value*  $v$  to be a term to which no evaluation rules apply.

$$\frac{c = t : T \in \Delta}{\Phi, \Delta \vdash c \longrightarrow t} \text{E-Lib}$$

$$\frac{i = t : T \in \Phi}{\Phi, \Delta \vdash i \longrightarrow t} \text{E-Inp}$$

$$\frac{\Phi, \Delta \vdash t_1 \longrightarrow t'_1}{\Phi, \Delta \vdash t_1 t_2 \longrightarrow t'_1 t_2} \text{E-App1}$$

$$\frac{\Phi, \Delta \vdash t_2 \longrightarrow t'_2}{\Phi, \Delta \vdash v_1 t_2 \longrightarrow v_1 t'_2} \text{E-App2}$$

$$\frac{}{\Phi, \Delta \vdash (\lambda x : T_{11}. t_{12}) v_2 \longrightarrow [x \mapsto v_2] t_{12}} \text{E-AppAbs}$$

$$\frac{}{\Phi, \Delta \vdash (\Lambda X. t_2) [T_2] \longrightarrow [X \mapsto T_2] t_2} \text{E-APPABS}$$

Rules E-Lib and E-Inp load the definitions of library components or input variables from the respective library. E-App1 and E-App2 evaluate the left hand side, respectively the right hand side, of a term application. E-AppAbs and E-APPABS get rid of a term and, respectively, type abstraction and substitute the argument into the body.

Note that E-App2 applies only if the left hand side of the application cannot be evaluated further and that E-AppAbs applies only when the argument of the lambda abstraction is a value, determining the order of evaluation.

### 2.2.4 Type checking

In this section we will present the typing rules of the internal language, that is the second calculus presented in Section 2.2.1. The typing judgement  $\Gamma, \Xi, \Phi, \Delta \vdash t : T$  means the term  $t$  has type  $T$  in the contexts  $\Gamma$  and  $\Xi$ , binding respectively variables and holes, and  $\Phi$  and  $\Delta$ , containing signatures and definitions of respectively input variables and library components. The typing judgement is similar to the typing judgement of System F. As usual, we refer to [19] for more details.

$$\frac{x : T \in \Gamma}{\Gamma, \Xi, \Phi, \Delta \vdash x : T} \text{ T-Var}$$

$$\frac{?x : T \in \Xi}{\Gamma, \Xi, \Phi, \Delta \vdash ?x : T} \text{ T-Hol}$$

$$\frac{i = t : T \in \Phi}{\Gamma, \Xi, \Phi, \Delta \vdash i : T} \text{ T-Inp}$$

$$\frac{c = t : T \in \Delta}{\Gamma, \Xi, \Phi, \Delta \vdash c : T} \text{ T-Lib}$$

$$\frac{\Gamma \cup \{x : T_1\}, \Xi, \Phi, \Delta \vdash t_2 : T_2}{\Gamma, \Xi, \Phi, \Delta \vdash \lambda x : T_1. t_2 : T_1 \rightarrow T_2} \text{ T-Abs}$$

$$\frac{\Gamma, \Xi, \Phi, \Delta \vdash t_1 : T_1 \rightarrow T_2 \quad \Gamma, \Xi, \Phi, \Delta \vdash t_2 : T_1}{\Gamma, \Xi, \Phi, \Delta \vdash t_1 t_2 : T_2} \text{ T-App}$$

$$\frac{\Gamma \cup \{X\}, \Xi, \Phi, \Delta \vdash t_2 : T_2}{\Gamma, \Xi, \Phi, \Delta \vdash \Lambda X. t_2 : \forall X. T_2} \text{ T-ABS}$$

$$\frac{\Gamma, \Xi, \Phi, \Delta \vdash t_1 : \forall X. T_{12}}{\Gamma, \Xi, \Phi, \Delta \vdash t_1 [T_2] : [X \mapsto T_2] T_{12}} \text{ T-APP}$$

The rules T-Var, T-Hol, T-Inp and T-Lib load the signature of variables, holes, input variables and library components respectively from their contexts. T-Abs types a lambda abstraction as an arrow type from the type of its variable to the type of its body. T-ABS gives a type abstraction a universal type in accordance to the type of its body. An application typechecks only if the left hand side has an arrow type and the type of the argument is equal to the type of the argument of the left hand side. Analogously, a type application typechecks only if the left hand side has a universal type.

### 2.2.5 Type unification

In order to identify the library components that can be used to instantiate a hole of a given type, we need type unification. Consider, for example, a hole of type  $\text{List Int} \rightarrow \text{Int}$ . We want to instantiate this hole not only with components that have precisely this type, like `sum` and `prod`, but also components with a more general type that can be matched to the desired type through type application, like `head` ::  $\forall X. \text{List } X \rightarrow X$  and `length` ::  $\forall X. \text{List } X \rightarrow \text{Int}$ .

However, unification on the type system of System F is undecidable [9]. Therefore we choose to restrict our type system to quantifier-free forms. This allows us to completely ignore universal types during unification. Nonetheless, we still want to handle universally quantified library components, that is components whose type has the form  $\forall X_1. \dots \forall X_n. T(X_1, \dots, X_n)$  with a quantifier-free  $T(X_1, \dots, X_n)$ . Towards this end, we represent types of the form  $\forall X_1. \dots \forall X_n. T(X_1, \dots, X_n)$  as  $T(?X_1, \dots, ?X_n)$ , that is we leave out all quantifiers and replace the bound variables with fresh type holes.

The goal of unification is to find a substitution  $\sigma$  that unifies all pairs of types of a set of constraints. A set of constraints  $\mathcal{C}$  is a set containing pairs of types  $(S, T)$  that should be equal under a *substitution* (a mapping from holes to types). That is, for the output of the unification algorithm  $\sigma$  it must hold  $\sigma(S) = \sigma(T)$  for every constraint  $(S, T)$  in  $\mathcal{C}$ .

Our unification algorithm (summarised as Algorithm 1 below) is based on the unification algorithm for typed lambda calculus from [19] and slightly modified to fit our needs.

A type hole unifies with anything. An arrow type  $T_1 \rightarrow T_2$  unifies either with a type hole or with another arrow type  $T_3 \rightarrow T_4$  if  $T_1$  unifies with  $T_3$  and  $T_2$  with  $T_4$ . A named type applied to all of its parameters  $\mathcal{C} T_{11} \dots T_{1k}$  unifies either with a type hole or with the same named type applied to the same number of parameters  $\mathcal{C} T_{21} \dots T_{2k}$  if the respective parameters  $T_{1j}$  and  $T_{2j}$  unify for all  $j = 1, \dots, k$ . Universal types unify only with type holes and should not appear in the set of constraints.

## 2.3 Search

After defining the target language, the evaluation semantics, the type checking and the type unification, we are ready to formally define the problem, the search space and the synthesis procedure.

**Problem definition** Given a library  $\Delta$ , a goal type  $T$  and a list of input-output examples  $[(\Phi_1, o_1), \dots, (\Phi_N, o_N)]$ , find a closed term  $t$  in the target language such that

**Input:** Set of constraints  $\mathcal{C} = \{(T_{11}, T_{12}), (T_{21}, T_{22}), \dots\}$   
**Output:** Substitution  $\sigma$  so that  $\sigma(T_{i1}) = \sigma(T_{i2})$  for every constraint  $(T_{i1}, T_{i2})$  in  $\mathcal{C}$

**Function** *unify*( $\mathcal{C}$ ) **is**  
    **if**  $\mathcal{C} = \emptyset$  **then** []  
    **else**  
        let  $\{(T_1, T_2)\} \cup \mathcal{C}' = \mathcal{C}$  in  
        **if**  $T_1 = T_2$  **then**  
            | *unify*( $\mathcal{C}'$ )  
        **else if**  $T_1 = ?X$  and  $?X$  does not occur in  $T_2$  **then**  
            | *unify*( $[?X \mapsto T_2]\mathcal{C}'$ )  $\circ [?X \mapsto T_2]$   
        **else if**  $T_2 = ?X$  and  $?X$  does not occur in  $T_1$  **then**  
            | *unify*( $[?X \mapsto T_1]\mathcal{C}'$ )  $\circ [?X \mapsto T_1]$   
        **else if**  $T_1 = T_{11} \rightarrow T_{12}$  and  $T_2 = T_{21} \rightarrow T_{22}$  **then**  
            | *unify*( $\mathcal{C}' \cup \{T_{11} = T_{21}, T_{12} = T_{22}\}$ )  
        **else if**  $T_1 = C \ T_{11} \ T_{12} \ \dots \ T_{1k}$  and  $T_2 = C \ T_{21} \ T_{22} \ \dots \ T_{2k}$  **then**  
            | *unify*( $\mathcal{C}' \cup \{T_{11} = T_{21}, T_{12} = T_{22}, \dots, T_{1k} = T_{2k}\}$ )  
        **else**  
            | *fail*  
        **end**  
    **end**  
**end**

**Algorithm 1:** Type unification

- (i) the abstraction of  $t$  over all of its type and term input variables has the goal type under an empty variable binding context and an empty hole binding context, that is  $\emptyset, \emptyset, \Phi_1, \Delta \vdash t' : T$  where  $t'$  is

$$\Lambda X_1. \dots \Lambda X_j. \lambda x_1. \dots \lambda x_k. [I_1 \mapsto X_1, \dots, I_j \mapsto X_j, i_1 \mapsto x_1, \dots, x_k \mapsto x_k]t.$$

- (ii)  $t$  satisfies all input-output examples, that is  $\Phi_n, \Delta \vdash t \longrightarrow^* t'$  and  $\Phi_n, \Delta \vdash o_n \longrightarrow^* t'$  for all  $n = 1, \dots, N$ .

In Section 2.3.1 we define the search space and in Section 2.3.2 we describe the main enumeration algorithm, a standard best-first search.

### 2.3.1 Search space

The search space is structured as a graph, where the vertices correspond to *programs*. Recall that a program is the 4-tuple  $\{\Xi, \Phi, \Delta \vdash t :: T'\}$ , where  $t$  is a term of the target language. The type  $T'$  can be transformed into the goal type  $T$  abstracting over all type and term input variables. That is, if  $\Phi$  contains the type input variables  $I_1, \dots, I_j$  and the signatures of the term input variables  $i_1 : T_1, \dots, i_k : T_k$ , then the goal type  $T$  should be equal to

$$\forall X_1. \dots \forall X_j. [I_1 \mapsto X_1, \dots, I_j \mapsto X_j](T_1 \rightarrow \dots \rightarrow T_k \rightarrow T').$$

There is a directed edge between two programs  $\{\Xi_1, \Phi, \Delta \vdash t_1 :: T'\}$  and  $\{\Xi_2, \Phi, \Delta \vdash t_2 :: T'\}$  if and only if the judgement *derive* (defined below)  $\Xi, \Phi, \Delta \vdash t_1 :: T_1 \Rightarrow \Xi', \Phi, \Delta \vdash t_2 :: T_2$  holds between the two.

To express the rules of the derive judgement in a more compact form, we introduce *evaluation contexts*. An evaluation context is an expression with exactly one syntactic hole  $[]$  in which we can plug in any term. For example, if we have the context  $\mathcal{E}$  we can place the term  $t$  into its hole and denote this new term by  $\mathcal{E}[t]$ .

The derive judgement can be summarised by the following four rules.

D-VarLib replaces a hole  $?x$  with a type application of a library component  $c$  to suitable types, if the type of  $c$  unifies with the type of  $?x$ . D-VarInp replaces a hole  $?x$  with an input variable  $i$  from the context  $\Phi$ , if its type unifies with the type of the hole. D-VarApp turns a hole into a term application of two fresh holes. The rule D-App chooses a hole in the program and expands it according to one of the three rules above.

The notation  $\sigma(\Xi)$  denotes the application of the substitution  $\sigma$  to all types appearing in  $\Xi$ .

$$\frac{\begin{array}{l} c : \forall X_1. \dots \forall X_n. T_c(X_1, \dots, X_n) \in \Delta \\ ?X_1, \dots, ?X_n \text{ are fresh type holes} \\ \sigma \text{ unifies } T \text{ with } T_c(?X_1, \dots, ?X_n) \\ \Xi' = \Xi \cup \{?X_1, \dots, ?X_n\} \setminus \{?x : T\} \end{array}}{\Xi, \Phi, \Delta \vdash ?x :: T \Rightarrow \sigma(\Xi'), \Phi, \Delta \vdash c [\sigma(?X_1)] \dots [\sigma(?X_n)] :: \sigma(T)} \text{ D-VarLib}$$

$$\frac{i : T_i \in \Phi \quad \sigma \text{ unifies } T \text{ with } T_i}{\Xi, \Phi, \Delta \vdash ?x :: T \Rightarrow \sigma(\Xi \setminus \{?x : T\}), \Phi, \Delta \vdash i :: \sigma(T)} \text{ D-VarInp}$$

$$\frac{\begin{array}{l} ?X \text{ is a fresh type variable} \\ \Xi' = \Xi \setminus \{?x : T\} \cup \{?x_1 : ?X \rightarrow T, ?x_2 : ?X, ?X\} \end{array}}{\Xi, \Phi, \Delta \vdash ?x :: T \Rightarrow \Xi', \Phi, \Delta \vdash ?x_1 ?x_2 :: T} \text{ D-VarApp}$$

$$\frac{\Xi, \Phi, \Delta \vdash ?x :: T_1 \Rightarrow \Xi', \Phi, \Delta \vdash t'_1 :: T'_1}{\Xi, \Phi, \Delta \vdash t[?x] :: T \Rightarrow \Xi', \Phi, \Delta \vdash t[t_1] :: [T_1 \mapsto T'_1]T} \text{ D-App}$$

All derived programs are well-typed and, since the types of all derived programs unify with the types of their ancestors, have the desired type.

### 2.3.2 Best-first search

Our enumeration procedure traverses the search graph defined in the previous section using a standard best-first search. The algorithm maintains a frontier of candidate programs and expands one hole of the most promising program in each iteration. Closed programs are evaluated on the input-output examples. The search terminates when the first program that satisfies all input-output examples is found.

Algorithm 2 is parametrised with respect to the following two questions.

1. Which candidate program is the most promising?
2. Which hole of the most promising program should be expanded?

The first question is addressed by the implementation of the `compare` function over programs. We compare programs based on their *cost*. Section 2.4 presents several cost functions.

The second question is addressed by the implementation of the `successor` function. In particular, the implementation of the D-App rule. There are two easy ways to handle this situation. The first way is to always expand the leftmost hole, the second way is to always expand the oldest hole. Section 5.4.4 discusses the advantages and disadvantages of these two choices.

```

Input: goal type  $T$ , library components  $\Delta$ , list of input-output
        examples  $[(\Phi_1, o_1), \dots, (\Phi_N, o_N)]$ 
Output: closed program  $\{\Xi, \Phi_1, \Delta \vdash t :: T\}$  that satisfies all
        I/O-examples
queue  $\leftarrow$  PriorityQueue.empty compare
queue  $\leftarrow$  PriorityQueue.push queue  $\{\Xi, \Phi_1, \Delta \vdash ?x :: T\}$ 
while not ((PriorityQueue.top queue) satisfies all I/O-examples) do
    successors  $\leftarrow$  successor (PriorityQueue.top queue)
    queue  $\leftarrow$  PriorityQueue.pop queue
    for all  $s$  in successors do
        | queue  $\leftarrow$  PriorityQueue.push queue  $s$ 
    end
end
return PriorityQueue.top queue

```

**Algorithm 2:** Best first search

## 2.4 Cost functions

**TODO:** General TODO: decide how do you want to call your cost functions. Now they are everywhere called *nof-nodes*, *nof-nodes-simple-type* and *no-same-component*. Maybe you want some simpler and shorter name.



The compare function in the best-first search algorithm can be defined as  $\text{cost } p_1 - \text{cost } p_2$ . There are different possibilities to define this cost function. We will present four alternatives. All of them are based on the idea that shorter and simpler programs generalise better to unseen examples, along the lines of the Occam's razor principle [16]. The first three alternatives are evaluated on benchmarks and their effect on performance is discussed in Section 5.4.3.

**nof-nodes** The first cost function is based only on the number of nodes of the term. It prioritises shorter programs and prefers input variables over library components over holes. It is inductively defined over the terms of the target language as follows.

$$\begin{aligned} \text{nof-nodes}(c) &= 1 \\ \text{nof-nodes}(?x) &= 2 \\ \text{nof-nodes}(i) &= 0 \\ \text{nof-nodes}(t_1 \ t_2) &= 1 + \text{nof-nodes}(t_1) + \text{nof-nodes}(t_2) \\ \text{nof-nodes}(t \ [T]) &= 1 + \text{nof-nodes}(t) \end{aligned}$$

**nof-nodes-simple-type** The second cost function adds a factor based on the size of the types appearing in the term. It penalises thus terms with type application depending on the size of the applied types. In particular, arrow types appearing in type applications are heavily penalised. The cost function over types is inductively defined over the quantifier-free subset of the types of the target language.

$$\begin{aligned} \text{nof-nodes-type}(X) &= 1 \\ \text{nof-nodes-type}(?X) &= 0 \\ \text{nof-nodes-type}(I) &= 0 \\ \text{nof-nodes-type}(C \ T_1 \ \dots \ T_k) &= 0 \\ \text{nof-nodes-type}(T_1 \rightarrow T_2) &= 3 + \text{nof-nodes-type}(T_1) + \text{nof-nodes-type}(T_2) \end{aligned}$$

$$\begin{aligned} \text{nof-nodes-term}(c) &= 1 \\ \text{nof-nodes-term}(?x) &= 2 \\ \text{nof-nodes-term}(i) &= 0 \\ \text{nof-nodes-term}(t_1 \ t_2) &= 1 + \text{nof-nodes-term}(t_1) + \text{nof-nodes-term}(t_2) \\ \text{nof-nodes-term}(t \ [T]) &= 1 + \text{nof-nodes-term}(t) + \text{nof-nodes-type}(T) \end{aligned}$$

$$\text{nof-nodes-simple-type}(t) = \text{nof-nodes-term}(t)$$

**no-same-component** The third cost function additionally penalises terms that use the same component more than once.

$$\text{nof-nodes-type}(?X) = 3$$

$$\begin{aligned}
& \text{nof-nodes-type}(I) = 0 \\
& \text{nof-nodes-type}(C \ T_1 \ \dots \ T_k) = \\
& \quad 4 + \text{nof-nodes-type}(T_1) + \dots + \text{nof-nodes-type}(T_k) \\
& \text{nof-nodes-type}(T_1 \rightarrow T_2) = 5 + \text{nof-nodes-type}(T_1) + \text{nof-nodes-type}(T_2) \\
& \text{nof-nodes-term}(c) = 3 \\
& \text{nof-nodes-term}(\text{?}x) = 2 \\
& \text{nof-nodes-term}(i) = 0 \\
& \text{nof-nodes-term}(t_1 \ t_2) = 6 + \text{nof-nodes-term}(t_1) + \text{nof-nodes-term}(t_2) \\
& \text{nof-nodes-term}(t \ [T]) = 5 + \text{nof-nodes-term}(t) + \text{nof-nodes-type}(T) \\
& \text{count}(t) = \sum_{c_i \text{ appears in } t} (\text{occurrences of } c_i \text{ in } t) - 1 \\
& \text{no-same-component}(t) = \text{nof-nodes-term}(t) + 3 \text{ count}(t)
\end{aligned}$$

**string-length** The simplest and most imprecise method to take both the number of nodes and the complexity of the types appearing in the term into account is to define the cost of a term as the length of the string representing that term. This method also allows a simple way to weight differently the various library components by choosing a shorter or longer name. However, we decided not to use this cost function for evaluation.

## 2.5 Black list

Recall the ‘replicate’ example, where we saw the superfluous program `const [?X] ?x1 ?x2`. The best-first enumeration explores many superfluous branches like `foldr [?X] [List ?X] (cons [?X]) (nil [?X]) ?xs` or `add zero ?n`. Such programs can be ruled out only based on the semantics of the library components. A simple way to prune those superfluous branches is to compile a list of undesired patterns and check each generated program against this list. This is what we call *black list pruning*.

A black list is a list of terms of the target language. Programs that contain a subterm that matches a term from the black list are removed from the candidate programs and their successors are ignored.

The relation *matches* over terms is inductively defined as follows.

$$\begin{aligned}
& \text{matches}(\text{?}x, t) \\
& \text{matches}(i, t) \\
& \text{matches}(c, c) \\
& \text{matches}(t_1 \ t_2, t_3 \ t_4) \text{ if } \text{matches}(t_1, t_3) \text{ and } \text{matches}(t_2, t_4) \\
& \text{matches}(t_1 \ [T_1], t_2 \ [T_1]) \text{ if } \text{matches}(t_1, t_2)
\end{aligned}$$

As you can see, holes and input variables in the black list match every sub-term, a library component matches only itself, a term application matches a term application whose respective left- and right hand sides match and a type application matches a type application if the left hand sides match. Note that the types in a type application are completely ignored.

Pruning based on black lists can be easily integrated in Algorithm 2. The result is shown in Algorithm 3, where the differences to the original best-first search are highlighted in blue.

**Input:** goal type  $T$ , library components  $\Delta$ , list of input-output examples  $[(\Phi_1, o_1), \dots, (\Phi_N, o_N)]$ , black list  $[b_1, \dots, b_M]$

```

queue  $\leftarrow$  PriorityQueue.empty
compare
queue  $\leftarrow$  PriorityQueue.push queue  $\{\Xi, \Phi_1, \Delta \vdash ?x :: T\}$ 
while not ((PriorityQueue.top queue) satisfies all I/O-examples) do
  if not ((PriorityQueue.top queue) contains subterm from black list) then
    successors  $\leftarrow$  successor (PriorityQueue.top queue)
    queue  $\leftarrow$  PriorityQueue.pop queue
    for all  $s$  in successors do
      | queue  $\leftarrow$  PriorityQueue.push queue  $s$ 
    end
  else
    | queue  $\leftarrow$  PriorityQueue.pop queue
  end
end
Output: PriorityQueue.top queue

```

**Algorithm 3:** Best first search with black list

In Section 5.3 we discuss how to synthesise such a black list automatically.

## 2.6 Templates

In this section we present a slightly different way to explore the search space. The idea is to fix all higher-order components first, producing a *template* for a program, and then fill in the remaining holes with input variables and first-order components. Since programs usually contain only a few higher-order components, the enumeration of templates takes less time than the enumeration of programs of comparable size. Moreover, templates encode well-known patterns of computation and impose meaningful constraints on the remaining holes. Therefore, it should be easy to find the desired program starting from the right template. This allows us to quickly abandon templates if no program satisfying the input-output examples is found within a short timeout.

Let us formally define a template and describe the procedure.

The library  $\Delta$  is split into two contexts:  $\Delta_h$ , containing all higher-order components, and  $\Delta_f$ , containing the first-order ones. We also need to introduce a new kind of term: the *delayed hole*  $?x$ . This is a hole, whose instantiation is delayed to the first-order search. The context  $\Xi$  binds, additionally to normal holes, delayed holes as well. A *template* is a term in the target language that may contain delayed holes but does not contain input variables. A template is called *closed* if it does not contain holes (it may, however, contain delayed holes).

The synthesis procedure iterates between two phases: enumeration of templates and, as soon as a closed template is found, enumeration of programs as in Algorithm 2 using  $\Delta_f$  for a limited period of time or until a program satisfying all input-output examples is found.

We additionally restrict the space by requiring a template to have no more than  $M$  higher-order components and no more than  $P$  delayed holes. Templates are enumerated according to the rules listed below. Those are very similar to the ones defined in Section 2.3.1, except that we cannot instantiate a hole with an input variable but we can delay a hole. All the rules are modified to take into account the restriction on the number of components and the number of closed holes. In order to do this, we need to pass along  $m$ , the number of higher-order components in the term whose subterms we are traversing.

Analogously to D-VarLib, the rule G-VarLib instantiates a hole with a type application of a higher-order library components to the right types, if the type of the component unifies with the type of the hole. The rule G-VarDelay delays the instantiation of a hole to the first-order search. G-VarApp replaces a hole with a term application of two fresh holes. G-App expands one of the holes of the template according to one of the three rules listed above. Note that there are no rules to expand a delayed hole.

$$\begin{array}{c}
|\Xi| \leq P \text{ and } m < M \\
c : \forall X_1. \dots \forall X_n. T_c(X_1, \dots, X_n) \in \Delta_h \\
?X_1, \dots, ?X_n \text{ are fresh type holes} \\
\sigma \text{ unifies } T \text{ with } T_c(?X_1, \dots, ?X_n) \\
\Xi' = \Xi \cup \{?X_1, \dots, ?X_n\} \setminus \{?x : T\} \\
\hline
\Xi, \Phi, \Delta_h \vdash ?x :: T \Rightarrow \sigma(\Xi'), \Phi, \Delta_h \vdash c [\sigma(?X_1)] \dots [\sigma(?X_n)] :: \sigma(T) \quad \text{G-VarLib}
\end{array}$$
  

$$\begin{array}{c}
|\Xi| \leq P \text{ and } m \leq M \\
\hline
\Xi, \Phi, \Delta_h, m \vdash ?x :: T \Rightarrow \Xi \setminus \{?x : T\} \cup \{?x : T\}, \Phi, \Delta_h, m \vdash ?x :: T \quad \text{G-VarDelay}
\end{array}$$

$$\begin{array}{c}
|\Xi| < P \text{ and } m \leq M \\
?X \text{ is a fresh type variable} \\
\frac{\Xi' = \Xi \setminus \{?x : T\} \cup \{?x_1 : ?X \rightarrow T, ?x_2 : ?X, ?X\}}{\Xi, \Phi, \Delta_h \vdash ?x :: T \Rightarrow \Xi', \Phi, \Delta_h \vdash ?x_1 ?x_2 :: T} \text{G-VarApp}
\end{array}$$

$$\frac{\Xi, \Phi, \Delta \vdash ?x :: T_1 \Rightarrow \Xi', \Phi, \Delta \vdash t'_1 :: T'_1}{\Xi, \Phi, \Delta \vdash t[?x] :: T \Rightarrow \Xi', \Phi, \Delta \vdash t[t_1] :: [T_1 \mapsto T'_1]T} \text{G-App}$$



## Chapter 3

---

# Implementation

---

What could I talk about in this chapter?

- Programming language and compiler version
- put the type definitions and explain them (What are Fun, FUN and BuiltinFun) (built-in integers for speed), De-Bruijn indices (make sure you spell the name correctly)
- Library syntax and the type-checking when added to the library?
- eager evaluation, describe evaluator
- Table of implemented components





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# Related Work

---

In this chapter we look at four state-of-the-art tools closely related to our work. They all synthesise functional programs, are based on inductive enumeration and use type information to restrict the search space. Since simple types are too ambiguous to specify a program, the tools we present either choose to complement type information with input-output examples or resort to more complex and more expressive types that can actually act as a specification, as for example the *refinement types* from [20].

### 4.1 SYNQUID

In [20] SYNQUID is proposed. The code can be found online<sup>1</sup> and there is the possibility to try it in the browser. This tool uses *refinement types* (types decorated with logical predicates) to prune the search space and to specify programs. SMT-solvers are used to satisfy the logical predicates appearing in the types.

Refinement types were already successfully used for verification. In particular, the tool builds upon the liquid types framework [21]. However, it proposes a new procedure for type inference (called modular refinement type reconstruction), which thank to its modularity scales better than other existing inference procedures for refinement types. Programs can therefore be type checked even before they are put together.

This tool targets a language that includes lambda expressions, pattern matching, structural recursion, conditionals and fixpoint. The user can define custom functions and inductive datatypes that can be passed to the synthesiser as components.

A program is specified by providing a type signature. For example, the synthesis goal `replicate` can be specified as follows.

---

<sup>1</sup><https://bitbucket.org/nadiapolikarpova/synquid>

$$n : \text{Nat} \rightarrow x : \alpha \rightarrow \{\text{List } \alpha \mid \text{len } v = n\}$$

This is a dependent function type that denotes functions that, given a natural number  $n$  and an  $x$  of type  $\alpha$ , return a list of  $\alpha$  of length  $n$ . Here  $v$  is a special logical value variable that in this case denotes the runtime return value of the functions and  $\text{len}$  is a measure function defined over lists.

This form of specification can be a disadvantage, since it is not that accessible to users with a lower level of expertise as input-output examples. It is not always easy to see which measure function for a custom datatype will lead to the most simple and intuitive specification. On the other hand, refinement types allow to express programs that manipulate data structures with non-trivial universal and inductive invariants in a concise way. This allows to synthesise programs on sorted lists, unique lists, binary search trees, heaps and red-black trees.

This tool synthesises simple programs over lists and integers in under 0.4 s. It can also handle more complex benchmarks that are out of the scope of this thesis, such as different sorting algorithms and manipulations of data structures with complex invariants. Various sorting algorithms over lists and trees are synthesised in under 5 s. The synthesis of the most complex benchmark, the balancing of a red-black tree, takes up to 20 s.

In contrast to our tool, the number of components provided to the synthesiser for evaluation is small.

### 4.2 $\lambda^2$

The tool proposed in [3] is called  $\lambda^2$  and generates its output in  $\lambda$ -calculus with algebraic types and recursion. The target language also includes 7 higher-order combinators such as `map`, `fold` and `filter` and a flexible set of primitive operators and constants.

The user specifies the desired program providing only input-output examples. No particular knowledge is required from the user, as was demonstrated using randomly generated input-output examples. The goal type is inferred from the examples.

The synthesis algorithm is a combination of inductive generalisation, a limited form of deduction and enumerative search. First, it generates *hypotheses* in a type-aware manner, that is programs with free variables such as  $\lambda x. \text{map } ?f \ x$  where  $?f$  is a placeholder for an unknown program to be synthesised. Then deduction in form of hand-coded rules about the higher-order combinators is used either to refute a hypothesis or infer new input-output examples to guide the synthesis of missing functions. For example, the hypothesis  $\lambda x. \text{map } ?f \ x$  will be refuted if the length of the input list does not match

the length of the output length. Enumerative search is used to enumerate candidate programs to fill in the missing parts of hypotheses. Hypotheses and candidate programs are organised in a priority queue and, at each point of the search, the least-cost candidate is picked.

This tool is able to synthesize programs manipulating recursive data structures like lists, trees and nested data structures such as lists of lists and trees of lists. It synthesises all benchmark programs in under 7 minutes. Half of the benchmarks is synthesised in under 0.43 s. However, the synthesis of `droplast`, the program that drops the last element of a list, takes up to 320 s. The program that removes duplicates from a list, the program that drops the smallest elements of each list of a list of lists and the program that inserts a tree under each leaf of another tree take more than 100 s to synthesise.

Unlike `SYNQUID` and our work, this tool can only use the 7 hard-coded higher-order combinators. The extension of the set of higher-order combinators with own functions is not easily supported.

### 4.3 ESCHER

In [2] `ESCHER` is presented. This tool targets a simple untyped purely functional language consisting of constants, input variables, conditionals and library components applied to all of their arguments, including a special component `self` referring to the program being synthesised. This last component is used to synthesise recursive programs.

The user specifies the desired program as a *closed* set of input-output examples. That is, for each input-output example, all examples needed to evaluate every recursive call must be present. For example, if we want to specify `replicate` as

```
replicate 2 'a' = ['a', 'a'],
```

we also need to provide the input-output examples for the possible recursive calls, that is

```
replicate 1 'a' = ['a']  
replicate 0 'a' = [].
```

This is necessary because recursive programs are evaluated using the input-output examples as an oracle. However, it is not always easy for an inexperienced user to provide such a set.

The search is goal-directed. Programs are associated with value vectors, that is the vector of the outputs of the program on the inputs from the input-output examples. Programs sharing the same value vectors are considered equivalent, that is the search space is pruned based on observational

equivalence. The algorithm alternates between two phases: forward search and conditional inference. During forward search programs are inductively enumerated by adding new components to already synthesised programs. During conditional inference a novel data structure, the *goal graph*, is used to detect when two synthesised programs can be joined by a conditional statement. The alternation between the two phases is guided by a heuristic.

This tool is able to synthesise recursive programs, including tail recursive, mutually recursive and divide-and-conquer. It synthesises all benchmarks in under 11 s and all but three benchmarks in under 1 s. The benchmarks include programs on integers such as `fibonacci` and `isEven`, programs on lists such as `compress` and `insert` and programs on trees such as `nodes-at-level` and `count-leaves`.

Like our work, this tool can handle a flexible set of components. For example, a set of 23 components was used to evaluate all benchmarks. However, there was no higher-order component among them.

### 4.4 MYTH

The tool proposed in [17] is called `MYTH` and targets a subset of OCaml including pattern matching, recursive functions, higher-order functions and algebraic datatypes. The prototype lacks support for polymorphic and product types, but can be extended to handle them as well.

The user specifies the desired program by providing a type signature and several input-output examples. Like in `ESCHER`, in order to generate recursive functions, the set of input-output examples must be *closed*. Unlike `ESCHER`, the user can easily extend the set of library components with own higher-order functions and define own algebraic datatypes.

The technique is inspired by proof search and searches for a term in the target language that has a valid typing derivation. The typing rules are modified to incorporate input-output examples and to push them towards the leaves of the derivation tree. That is, the information contained in the input-output examples is used to prune the search space even before a program that can be evaluated on the examples is generated. The tool also makes use of well-typed term enumeration to guess a term of the goal type that is consistent with the examples. Since enumeration is used to fill in the branches of a pattern matching or the arguments to a constructor, the size of enumerated term is considerably smaller than the size of the program being generated.

This tool is able to generate structurally recursive programs that use pattern matching. The benchmarks were evaluated in the presence of a relatively large set of library components, however, the precise size of this set is not

provided. The benchmarks include programs over booleans, natural numbers, lists and trees. The tool is able to synthesise all benchmark programs in less than 2.5 min, 70% of them are synthesised in less than 0.4 s. The only benchmark that takes more than 1 min to synthesise is `list-compress`.



## Chapter 5

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# Evaluation

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The main goal of this chapter is to give some insights about the factors that affect performance and compare different variants of the synthesis procedure described in Chapter 2. The chapter also puts our synthesis procedure in relation with the related work discussed in Chapter 4.

### 5.1 Experimental set up

This section presents the set up of the two experiments we are going to discuss in the rest of the chapter.

The goal of the first experiment is to assess the quality and the performance of the synthesiser on standard benchmarks. The detailed set up is described in Section 5.2 and the results are discussed in Section 5.2.1. Section 5.4 discusses the factors that affect the runtime.

In the second experiment the synthesiser is used to automatically generate a *black list* that can successively be used to prune the search space. We refer back to Section 2.5 for a description of pruning based on black lists. Section 5.3 describes how we used the synthesis procedure to generate a black list and Section 5.3.1 reviews the quality of the generated black list.

All experiments were run on an Intel quad core 3.2 GHz with 16 GB RAM. Since the code is sequential, the performance could not benefit from the number of cores. The performance numbers are averages from 1 to 3 different executions all sharing the same specification, that is the goal type, the given examples and the set of components do not change between different executions.

## 5.2 Performance evaluation

We evaluated nine variants of our synthesis procedure, crossing the three exploration strategies with three of the cost functions described in Chapter 2. The three exploration strategies we evaluated are the following.

**PLAIN** implements the basic synthesis procedure based on best first search described in Section 2.3.2.

**BLACKLIST** implements the pruning of the search space based on a manually compiled black list provided in Table 5.4. We refer to Section 2.5 for more details.

**TEMPLATE** implements the double best first search introduced in Section 2.6. As you probably recall, the procedure first looks for a *template* featuring at most `nof_comp` higher-order components and at most `nof_hol` holes and as soon as such a template is found the procedure falls back on the **PLAIN** variant up to a certain depth using only the first-order components.

For each exploration strategy, we instantiated the cost function with three of the cost functions described in Section 2.4, that is with *nof-nodes*, *nof-nodes-simple-type* and *no-same-component*. We refer back to the corresponding section for more details.

We exercised the nine different variants of our synthesis procedure on a benchmark of 23 programs over lists, mostly taken from related work or standard functional programming assignments. Table 5.1 summarises the running times. The first three columns summarise the runtimes of the nine variants of our synthesis procedure when the synthesiser is given 36 to 37 components. Columns four to six contain, for each variant, the slowdown with respect to the minimum running time for the respective benchmark. The last three columns show the speedup we obtain if we leave only 18 to 19 components in the library. Table 5.2 lists the benchmarks along with the size of the solution generated by each of the nine variants, expressed in number of nodes.

**Components** In the first three columns of Table 5.1 all benchmarks except for `nth` share the same set of components, listed in Table 5.3. For the synthesis of individual benchmarks appearing in the library as components we took the corresponding component out of the library. In the last three columns of Table 5.1, in order to meet the needs of all benchmarks, we used four different sets of 19 components.

**Timeout** Programs are enumerated only up to a timeout based on the number of programs that have been analysed so far. For the exploration



strategies PLAIN and BLACKLIST the execution had been stopped after examining 2500000 programs (with or without holes). The exploration strategy TEMPLATE was restricted to generate templates with at most 2 higher-order components and at most 5 holes, the depth of the first-order search was limited to 10 calls to the PLAIN procedure. For the cost function *nof-nodes* this corresponds to circa 4 min.

### 5.2.1 Results

Two variants of our synthesis procedure were able to synthesise all 23 benchmarks in the presence of 36 to 37 library components, all variants synthesised at least 18 benchmark programs within the time limit. 78% of the benchmarks were synthesised within 1 s using BLACKLIST as the exploration strategy and *nof-nodes-simple-type* as the cost function.

The variants that use the BLACKLIST exploration strategy can synthesise the most number of benchmarks: for two cost functions they generate all 23 benchmark programs within the time limit, for the cost function *no-same-component* they fail to synthesise `enumFromTo`. They synthesise half of the benchmarks in under 0.2 s on average and 17 benchmark programs in under 1 s.

The variants that use the PLAIN exploration strategy can synthesise from 21 to 22 benchmark programs depending on the cost function. They are on average 8 times slower than the variant that combines the BLACKLIST exploration strategy with the *nof-nodes-simple-type* cost function. However, 15 benchmarks are synthesised less than 3 times slower and for 3 of them the running times are actually lower. In the case of `enumTo` the solution found by the other variants, `enumTo n = enumFromTo (succ zero) n`, contains a pattern forbidden by the black list we used to prune the search space. The other two benchmarks have very short, simple solutions for which the overhead of checking every program against the black list is not balanced out by a substantial pruning of the search space.

The variants of our synthesis procedure that use the TEMPLATE exploration strategy can synthesise only 18 to 19 benchmark programs within the time out. Moreover, they are on average 1680 times slower than the variant that uses the BLACKLIST exploration strategy combined with the *nof-nodes-simple-type* cost function. However, this value is pushed up by the benchmark factorial. For half of the 18 benchmarks all variants can synthesise this value is less than 20 and 15 of them are no more than 90 times slower than the variant that combines BLACKLIST with *nof-nodes-simple-types*.

## 5. EVALUATION

**Table 5.1:** Runtime of nine variants of our synthesis procedure on 23 benchmarks. Each cell is organised in a  $3 \times 3$  square. The rows of the square are labelled with the exploration strategies and the columns of the square are labelled with the cost functions. The first column shows the runtimes in seconds when 36 to 37 components are provided. The  $j$ -th entry in the  $i$ -th square of the second column is the ratio of the  $j$ -th entry and the minimum of the  $i$ -th square of the first column. The third column shows the speedup with respect to the first column if we provide only 18-19 library components.

Name	M.	Time			Vs. 37-group			Vs. 19-self		
		NODES	TYPES	NoDup	NODES	TYPES	NoDup	NODES	TYPES	NoDup
append	P	0.32	0.10	0.07	4.60	1.39	1.00	5.34	3.29	2.53
	B	0.08	0.07	0.07	1.27	1.00	1.00	2.55	2.64	2.13
	T	1.90	2.63	2.44	1.00	1.38	1.28	2.01	3.47	2.25
concat	P	0.19	0.04	0.24	4.32	1.00	5.51	3.08	1.50	2.29
	B	0.04	0.04	0.19	1.01	1.00	5.02	1.42	1.38	1.80
	T	1.86	2.38	2.30	1.00	1.28	1.24	2.27	3.28	2.07
drop	P	0.02	0.02	0.04	1.19	1.00	2.33	0.74	0.96	2.30
	B	0.04	0.05	0.05	1.00	1.40	1.20	1.19	1.83	2.13
	T	0.87	1.03	0.64	1.37	1.62	1.00	8.35	6.25	3.60
droplast	P	0.09	0.06	0.09	1.43	1.00	1.40	1.97	2.73	2.30
	B	0.06	0.06	0.08	1.08	1.00	1.41	2.52	3.15	2.00
	T	0.76	1.40	–	1.00	1.85	–	2.69	2.66	3.02
dropmax	P	1.64	0.89	0.33	4.93	2.67	1.00	8.36	7.69	7.92
	B	0.72	0.60	0.38	1.90	1.58	1.00	8.51	8.62	9.04
	T	7.58	4.98	0.58	12.98	8.54	1.00	2.99	1.70	1.99
enumFromTo	P	–	–	–	–	–	–	11.02	25.39	10.40
	B	204.04	242.81	–	1.00	1.19	–	32.56	29.66	19.49
	T	–	–	–	–	–	–	5.54	4.30	27.50
enumTo	P	0.02	0.02	0.01	2.56	2.35	1.00	0.55	0.70	0.04
	B	0.07	0.08	0.03	2.91	3.22	1.00	3.69	3.32	0.10
	T	1.67	1.04	0.49	3.38	2.10	1.00	4.27	2.37	1.52
factorial	P	0.00	0.00	0.02	1.00	1.03	4.42	2.09	2.05	6.65
	B	0.00	0.00	0.01	1.00	1.01	2.03	1.88	1.89	3.02
	T	209.97	168.07	0.01	$\approx 19K$	$\approx 16K$	1.00	12.64	11.12	1.64
isEven	P	0.00	0.00	0.00	1.03	1.16	1.00	1.69	1.90	1.64
	B	0.00	0.00	0.00	1.01	1.00	1.01	1.54	1.53	1.55
	T	0.00	0.00	0.00	1.00	1.00	1.09	1.39	1.39	1.51
isNil	P	0.00	0.00	0.01	1.02	1.00	3.68	1.84	1.79	4.07
	B	0.00	0.00	0.01	1.01	1.00	3.82	1.75	1.67	3.91
	T	0.13	0.16	–	1.00	1.21	–	11.78	12.60	9.75
last	P	0.00	0.00	0.01	1.00	1.29	5.74	1.58	1.67	6.20
	B	0.00	0.00	0.00	1.00	1.02	1.63	1.24	1.48	1.43
	T	0.00	0.00	0.00	1.01	1.00	1.54	1.40	1.32	1.46
length	P	49.00	74.95	343.56	1.00	1.53	7.01	9.02	28.21	38.90
	B	4.93	28.44	148.75	1.00	5.76	30.15	14.71	20.08	37.12
	T	16.40	15.36	6.23	2.63	2.46	1.00	5.41	3.44	1.89
mapAdd	P	0.42	0.27	0.56	1.57	1.00	2.12	5.76	4.66	17.03

## 5.2. Performance evaluation

	B	0.28	0.25	0.70	1.13	1.00	2.78	3.27	2.83	16.80
	T	2.93	1.94	2.76	1.52	1.00	1.43	2.76	2.62	8.65
mapDouble	P	55.90	20.45	24.21	2.73	1.00	1.18	33.84	13.03	21.42
	B	14.12	13.12	17.60	1.08	1.00	1.34	13.31	18.72	21.81
	T	–	–	–	–	–	–	5.68	4.43	4.54
maximum	P	0.77	0.50	0.87	1.55	1.00	1.74	11.39	8.89	6.65
	B	0.32	0.24	0.61	1.31	1.00	2.54	4.32	3.70	4.52
	T	–	–	1.91	–	–	1.00	308.95	287.81	1.89
member	P	62.06	28.66	56.56	2.17	1.00	1.97	13.13	7.11	16.34
	B	26.95	22.67	50.65	1.19	1.00	2.23	7.22	6.48	16.41
	T	38.07	34.76	13.07	2.91	2.66	1.00	3.99	4.52	0.25
multfirst	P	0.18	0.08	0.13	2.34	1.00	1.72	0.22	0.24	0.46
	B	0.07	0.06	0.14	1.06	1.00	2.18	0.42	0.44	0.61
	T	13.35	1.95	0.70	19.02	2.78	1.00	2.66	2.43	2.18
multlast	P	7.79	1.32	1.19	6.56	1.12	1.00	0.80	0.40	0.67
	B	0.71	0.59	1.00	1.19	1.00	1.68	0.63	0.68	1.11
	T	201.81	72.08	184.20	2.80	1.00	2.56	5.05	3.34	3.68
nth	P	77.08	0.81	0.24	315.67	3.31	1.00	0.82	0.81	0.47
	B	0.35	0.34	0.20	1.73	1.70	1.00	0.49	0.74	0.49
	T	–	–	–	–	–	–	10.82	10.15	10.08
replicate	P	3.35	0.11	0.12	31.16	1.00	1.15	16.43	2.28	2.11
	B	0.09	0.08	0.14	1.08	1.00	1.63	1.48	1.74	2.05
	T	2.89	1.90	0.70	4.13	2.71	1.00	0.83	1.02	0.64
reverse	P	38.44	5.04	36.47	7.63	1.00	7.24	2.44	9.81	11.84
	B	1.71	0.99	17.43	1.73	1.00	17.68	4.89	3.88	11.12
	T	42.57	33.59	159.53	1.27	1.00	4.75	4.35	2.85	3.87
stutter	P	–	82.82	34.76	–	2.38	1.00	0.87	5.78	8.15
	B	31.91	15.23	24.59	2.10	1.00	1.61	4.84	3.46	10.18
	T	–	–	–	–	–	–	3.24	2.65	2.63
sum	P	0.69	0.37	0.76	1.88	1.00	2.08	13.73	11.28	11.00
	B	0.34	0.32	0.58	1.08	1.00	1.84	13.92	13.25	8.69
	T	1.91	2.11	30.20	1.00	1.11	15.85	2.76	2.98	31.26

**Table 5.2:** Number of nodes of the synthesised solution.

Name	Plain			Blacklist			Templates		
	NODES	TYPES	NoDUP	NODES	TYPES	NoDUP	NODES	TYPES	NoDUP
append	7	7	7	7	7	7	7	7	7
concat	7	7	7	7	7	7	7	7	7
drop	7	7	7	7	7	7	7	7	7
droplast	7	7	7	7	7	7	7	7	7
dropmax	9	9	9	9	9	9	9	9	9
enumFromTo	–	–	–	13	13	–	–	–	–
enumTo	7	7	7	7	7	9	7	7	7
factorial	5	5	5	5	5	5	13	13	5
isEven	3	3	3	3	3	3	3	3	3
isNil	5	5	5	5	5	5	5	5	5

## 5. EVALUATION

last	5	5	5	5	5	5	5	5	5
length	9	11	9	9	11	9	9	9	9
mapAdd	7	7	7	7	7	7	7	7	7
mapDouble	11	11	11	11	11	11	–	–	11
maximum	7	7	7	7	7	7	–	–	7
member	11	11	11	11	11	11	11	11	11
multfirst	9	9	9	9	9	9	9	9	9
multlast	11	11	11	11	11	11	13	11	11
nth	13	13	13	13	13	13	–	–	13
replicate	9	9	9	9	9	9	9	9	9
reverse	9	9	9	9	9	9	9	9	9
stutter	–	13	13	13	13	13	–	–	13
sum	7	7	7	7	7	7	7	7	7

**Table 5.3:** 37 library components used for synthesis

general functions	const, flip
booleans	true, false, not
integer constructors	zero, succ
integer destructors	isZero
integer combinators	foldNat, foldNatNat
arithmetics	add, mul, div, max, eq, neq
list constructors	nil, con
list destructors	head, tail, isNil
list combinators	map, foldr, foldl, filter
list functions	length, append, reverse, replicate, concat
list of integers functions	sum, prod, maximum, member, enumTo, enumFromTo

### 5.3 Automatic black list

We also used our system to generate an automatic black list based on the identity function. We chose not to generate the polymorphic identity function. As during pruning we are ignoring types, holes and input variables, the programs that would have been generated for the polymorphic identity function are also generated for the identity over any specific type. We chose to generate programs corresponding to the identity function over integers, lists of integers and lists of lists of integers.

To that end, we first used the synthesis procedure that combines the `PLAIN` exploration strategy with the *nof-nodes* cost function to synthesise the first 8 programs of type `Int`, respectively `List Int` or `List (List Int)`. For this step we provided only the constructors `con`, `nil`, `succ`, `zero` to the synthesiser. We paired each synthesised program with itself to generate and input-output example.

As a second step, for each of the following goal types

```
Int → Int
List Int → List Int
List (List Int) → List (List Int)
```

we used the synthesis procedure that combines the PLAIN exploration strategy with the *nof-nodes* cost function to synthesise the first 100 programs that satisfy the 8 input-output examples of the corresponding type generated in the previous step. This time we provided the synthesiser with the 37 components listed in Table 5.3.

After removing duplicates and the classical program corresponding to the identity function, that is `id x = x`, we got 212 black list patterns. Section 5.3.1 reviews the quality of the generated black list.

### 5.3.1 Results

We were able to automatically synthesise 300 programs corresponding to the identity function for three different types using automatically generated input-output examples in under 2 s. Because of their incremental nature, we need 8 automatically synthesised input-output examples as opposed to the 2-3 manual ones that would have been enough. Below that number there is no list of lists of integers that contains something but `nil` or no list of length two. This implies that synthesis using automatically synthesised input-output examples is slower than synthesis using manual ones.

For the evaluation of the benchmarks we preferred compiling a manual black list mainly because of three reasons:

1. All programs in the automatically generated black list correspond to the identity function.
2. Many automatically generated black list programs are unnecessary. For example, `append (append nil nil) _` and `concat (append nil _)` are not needed if the black list already contains `append nil _`.
3. The automatically generated programs are all closed programs and as such they are too concrete. For example, instead of `foldNatNat max _ zero`, `foldNatNat const _ zero` and `foldNatNat drop _ zero` we could just have the one program `foldNatNat _ _ zero` that generalises all the programs with the idea that folding over the integer 0 is the same as taking the initial value, no matter which function is used for folding.

The first two points can be addressed with small modifications to the experimental set up: generate `nil`, `zero`, `undefined` and other constants as well for the first and prune the black list after or during generation for the second. The third point is way more complex. Partial evaluation of programs with

holes could help to some extent, but at the end it is about the ability to abstract and generalise over programs.

### 5.4 Factors affecting runtime

The search space is of exponential nature and depends on many factors: most notably the number of library components and the size of the solution to be synthesised. In the remainder of this section we look at these and other factors and their influence on the runtime.

#### 5.4.1 Number of components

One well known factor that exponentially affects the runtime is the number of components provided to the synthesiser.

With 19 components we could synthesise all benchmarks with all procedures except the ones using the `TEMPLATE` exploration strategy. With 37 components only two variants find all programs.

In particular, with 37 components, even if we provide `enumTo`, the synthesis benchmark `enumFromTo` times out for seven procedures out of nine, whereas with only 19 components this number is reduced to three. Interestingly, if we provide a 38th component, namely `drop`, then six procedures succeed in the synthesis of `enumFromTo`. This has a very simple explanation: `enumFromTo` has a smaller solution that uses `drop`.

Since our synthesis procedures expand holes in a type aware manner, the number of components with the same type has an even higher impact on the running time than just the number of components. For example, if we add a constant of a new type `Foo` to the library, the running time will not increase much, because there are not many places, where we can use this component without causing a type error. On the contrary, if we would add another function from lists to lists like `tail` or `inits`, depending on the goal type we could have a considerable slowdown.

#### 5.4.2 Size of the solution

**TODO:** If you have time, redo the graphics in latex, or at least find a way to move trend line in the legend In the previous sections we mentioned a second factor: the size of the solution to be synthesised. Figure 5.1 shows that the average running time for all nine variants of the synthesis procedure depends exponentially on the number of nodes of the solution found. This goes along with the intuition that a bigger program is more difficult to synthesise.

For example, if we have  $n$  possibilities to generate a program consisting of one node, that is  $?x$  where we have  $n$  possibilities to instantiate the hole  $?x$ , then we will have  $n^2$  possibilities to generate a program with three nodes, that is  $?x_1 ?x_2$  where we have  $n$  possibilities to instantiate each hole.

In our simple intuitive explanation of the exponential dependency of the synthesis time on the size of the solution we completely ignored the contribution of types to search space pruning.

### 5.4.3 Cost functions

Cost functions are an instrument to prioritize some programs over others and as such have an impact on the running time. We extensively evaluated three of the cost functions described in Section 2.4: *nof-nodes*, *nof-nodes-simple-type* and *no-same-component* with three different exploration strategies. In the following we will see how they affect the runtime and which programs they prefer.

**nof-nodes** prioritises shorter programs and prefers input variables to library components to holes, under the hypothesis that smaller programs generalise better to the examples. However, this cost function gives the same cost to the following two programs.

```
head [List Int → List Int] (nil [List Int → List Int])
  ?xs
map Int Int succ ?xs
```

It seems therefore natural that paired with the PLAIN strategy it usually leads to higher running times than other cost functions.

**nof-nodes-simple-type** additionally penalises arrow types appearing in type applications. We can see it in the solution for `length`. Two of the synthesis procedures that use this cost function find the larger solution

```
length [X] xs
  = sum (map [X] [Int] (const [Int] [X] (succ zero))
    xs)
```

instead of the smaller

```
length [X] xs
  = foldr [X] [Int] (const [Int → Int] [X] succ)
    zero xs,
```

because the second one contains an arrow type in a type application.

The impact on the runtime of this cost function is comparable to the introduction of pruning based on black lists. This has to do with the fact that polymorphic functions that apply in many cases but are rarely

needed, like `const` and `flip`, tend to instantiate their type variables with long arrow types. In the `BLACKLIST` exploration strategy those programs are filtered by the black list, the *nof-nodes-simple-type* cost function assigns them a higher cost because of their types.

**no-same-component** prioritises smaller programs with simpler types and additionally penalises the use of the same component more than once. The hope is that without having to inspect programs that take a long time to evaluate like `enumTo (prod (enumTo (prod xs)))`, running times will sink. Against expectations, this is usually not the case. The reason could be that the synthesis procedures that use this cost function examine many larger programs that do not contain any type applications, like `enumTo (mul (succ (div n m)) (succ ?x))`.

#### 5.4.4 Stack vs Queue expansion

As already mentioned in Section 2.3.1, we have two open questions in our best first search:

- a. which program should be expanded first
- b. which hole of this program should be expanded first

In the previous section we addressed the first question with different cost functions. In this section we focus on the second one.

Among all possible heuristics to determine which hole of the least-cost program to expand next, we chose to discuss two. In the first one the open holes of a program are organised as a stack, as opposed to the second one, where the open holes are kept in a queue.

Organising the open holes of a program as a stack leads to the expansion of the holes from left to right. To give some intuition, we provide a derivation of `mapAdd` showing the stack of open holes on the right of the program, where `xs` represents the input list and `n` the amount of the increment.

```
(?x0, [x0]) →
(?x1 ?x2, [?x1, ?x2]) →
(?x3 ?x4 ?x2, [?x3, ?x4, ?x2]) →
(map [Int] ?x4 ?x2, [?x4, ?x2]) →
(map [Int] (?x5 ?x6) ?x2, [?x5, ?x6, ?x2]) →
(map [Int] (add ?x6) ?x2, [?x6, ?x2]) →
(map [Int] (add n) ?x2, [?x2]) →
(map [Int] (add n) xs, [])
```

Left-to-right expansion often leads to faster synthesis, because leftmost holes usually have more constraints on their type. Consider the program `?x3 ?x4 ?x2` from the derivation of `.` We know more about `?x3` than about `?x2`: the first one must be a function that takes two arguments of some type and returns a



list of integers, whereas the second hole could be anything. Furthermore, the instantiation of  $?x_3$  with `map [Int]` imposes some constraints on the types of  $?x_4$  and  $?x_2$ .

Keeping the open holes of a program in a queue leads to the expansion of the hole with the smallest depth first. This could be useful to control the depth of a program, but in practice it has a substantial drawback. Consider again the derivation of `mapAdd`. The first three steps are the same, but in the program  $?x_3 \ ?x_4 \ ?x_2$  we would now try to expand the hole  $?x_2$ , that we have absolutely no information about. Every library component and every input variable are valid instantiations of this hole. Thus, this expanding strategy leads to a higher branching factor and explores many superfluous programs like  $?x_3 \ ?x_4 \ \text{map}$  and `map (?x5 foldr) xs`.

We used the stack-based expansion strategy throughout all runtime evaluations of the benchmarks.

### 5.4.5 Examples

Another factor that greatly impacts on performance is the choice and the number of provided input-output examples. As our procedure evaluates every closed program it synthesises on at least the first input-output example, we must make sure that the first input-output example is

- a. small enough, so that also undesirable programs like `enumTo (prod (enumTo (prod xs)))` do not get stuck or run out of memory trying to construct a list with 479001600 elements, which happens already for the at first sight innocent input `[2,2,3]`;
- b. expressive enough to rule out many programs, so that there is no need to fall back on the other, often bigger, input-output examples.

Clearly, using as few and as small input-output examples as possible has a positive effect on performance. On the other side, too few and too general input-output examples can lead to the synthesis of the wrong program, that is a program that satisfies all provided input-output examples but that does not generalise in the expected way. This was especially a problem with `enumFromTo` and `member`. For example, if we provided `enumFromTo` only with examples that result in a list of length three, we got the program that simply concatenated the first input with its successor with the second input.

```
enumFromTo m n
  ≠ con [Int] m (con [Int] (succ m) (con [Int] n (nil [
    Int])))
```

If we provided `enumFromTo` only with examples starting with 1, the synthesised solution was just a call to `enumTo` with the second input variable as

argument or, depending on the components we gave, the program corresponding to `enumTo n`.

```
enumFromTo m n
  ≠ foldNatNat [List Int] (con [Int]) (nil [Int]) n
```

And for the two examples `enumFromTo 1 2` and `enumFromTo 2 4` that we carefully chose so that the output lists had different lengths and so that the first arguments were different, we got the program that completely ignores the second argument, as it assumes that the length of the resulting list is the successor of the first argument.

```
enumFromTo m n
  ≠ con [Int] m (map [Int] [Int] (b_add m) (enumTo m))
```

### 5.4.6 Blacklist

The search space abounds of superfluous programs that are equivalent to smaller ones. In Section 2.5 we introduced a way to leverage this inconvenience: pruning based on black lists. This approach allows us not to explore further programs that will surely lead to a solution bigger than the optimal one, like `append [X] (nil [X]) ?xs`, or not lead to a solution at all, like `(head [?X1 → ?X2 → X3] (nil [?X1 → ?X2 → X3])) ?x1 ?x2`.

A longer black list allows to prune more superfluous programs and sinks considerably the number of programs our synthesis procedure needs to consider before finding a solution. However, in our implementation black list pruning is extremely expensive. Each element of the black list is matched against every subterm of every program with holes that is generated. That is, there is a trade-off between the length of the black list and the gain in performance that we can get.

Figure 5.4 shows the black list we used to evaluate the benchmarks. We manually compiled it combining unwanted patterns often seen in the search space with some carefully chosen automatically generated identity functions. We also added some rapidly increasing functions. For example, following program computing tetration<sup>1</sup> represents a problem for our evaluator.

```
tetration a n =
  foldNat [Int] (foldNat [Int] (mul a) 1) 1 n
```

---

<sup>1</sup>Tetration, written as  ${}^na$  or  $a \uparrow\uparrow n$ , is the operation defined as

$$\underbrace{a^{a^{\cdot^{\cdot^{\cdot^a}}}}}_{n \text{ times}}.$$

**Table 5.4:** Manually compiled black list patterns used for evaluation in the BLACKLIST exploration strategy.

append nil	head (enumFromTo _ _)
append _ nil	head (enumTo _)
add _ zero	head (map _ _)
add zero	head nil
div _ zero	head (replicate _ _)
div _ (succ zero)	isNil nil
div zero	length (con _ _)
div (succ zero)	length (enumFromTo _ _)
foldNat _ _ zero	length (enumTo _)
foldNat succ zero	length (map _ _)
foldNatNat (foldNatNat _ _ _)	length nil
foldNatNat _ _ zero	length (reverse _)
isZero zero	map _ nil
max zero zero	maximum nil
mul (succ zero)	not (not _)
mul _ (succ zero)	prod (con _ nil)
mul _ zero	prod (con zero _)
mul zero	prod nil
sub _ zero	prod (reverse _)
sub zero	replicate zero
concat nil	reverse (con _ nil)
const _ _	reverse (map _ (reverse _))
enumFromTo (succ zero)	reverse nil
enumTo zero	reverse (reverse _)
enumTo (prod _)	sum (con _ nil)
flip _ _ _	sum nil
foldl _ _ nil	sum (reverse _)
foldr con nil	tail (con _ nil)
foldr _ _ nil	tail (enumFromTo _ _)
head (con _ _)	tail nil

In Table 5.1 we see that the runtime profits the most from the introduction of black list pruning when we use the cost function *nof-nodes*. The running time drops less significantly if we use other cost functions. A possible explanation of this behaviour could be the fact that other cost functions give a higher cost to those programs that are filtered with our black list.

We could also empirically see that pruning using black lists is very helpful in the presence of polymorphic functions that apply in many cases but are rarely needed, for example *flip*, *const* or *uncurry*. Forbidding a fully applied *flip*, *const* or *uncurry* has a comparable effect on performance to taking those components out of the library. However, since we are not taking

those components out of the library, we are still able to synthesise functions that need them.

### 5.4.7 Templates

In Table 5.1 we see that the synthesis procedures that use the `TEMPLATE` exploration strategy fail more often to find a solution within the timeout. Moreover, even if they find a solution, they tend to be 10 times slower than the other synthesis procedures, `length`, `member`, `replicate` and `reverse` being an exception.

The main reason for this slowdown resides in our implementation. In particular, in the successor rules we presented in Section 2.6. Consider following derivation of a template for `replicate`, where `X` represent the input type variable, `n` is the first argument and `x` is the second. The list on the right of each program shows the type of its not delayed holes.

$$\begin{array}{l} (?x_0, \quad [?x_0 :: \text{List } X]) \longrightarrow \\ (?x_1 \ ?x_2, \quad [?x_1 :: ?Y \rightarrow \text{List } X, \ ?x_2 :: ?Y]) \longrightarrow \\ (\underline{?x_1} \ ?x_2, \quad [?x_2 :: ?Y]) \longrightarrow \\ (\underline{?x_1} \ (\text{foldr } [?Z_1] \ [?Z_2])), \quad [] \end{array}$$

Note that the only thing we can do with `?x1` is to delay it, because in our library there is no higher-order component that takes only one argument. On the other hand, `?x2` can be instantiated with every higher-order function of the library, because delaying `?x1` does not constrain its type in any way. This means that, before having a chance to explore a sensible template with 4 leaves like `foldl [?X] [?Y] ?f ?init ?xs`, the synthesiser must explore up to a certain depth many non that sensible but smaller templates like `?x (foldr [?X] [?Y])`.

The solutions synthesised by the synthesis procedures that use the `TEMPLATE` exploration strategy tend to contain more higher-order components and in two cases are surprisingly long. In Table 5.2 we can see that two variants of our synthesis procedure synthesise a program with 13 nodes for `factorial`, whereas all other variants find one with only 5 nodes.

Despite of those drawbacks, the `TEMPLATE` exploration strategy is still interesting: it is more resilient to the choice of input-output examples compared to the other two. For example, if we provide a slightly larger input-output example for `dropmax`, six variants of our synthesis procedure run out of memory, whereas the three variants that use the `TEMPLATE` exploration strategy still find the solution in under 8 s.

### 5.4.8 Unknown factors

Individual results show that there must be other factors influencing the runtime. Take, for example, `enumFromTo`, `stutter` and `nth`. All three of them have a solution with exactly 13 nodes, but their runtimes differ at least by an order of magnitude for the synthesis procedures that do not time out on `stutter`. What does make `nth` generate in less than 1s, `stutter` a hundred times slower and `enumFromTo` to time out in most of the cases?

## 5.5 Synthesised solutions

Most of the synthesised solutions are precisely the ones we would have written by hand. For some programs different variants of the synthesis procedure find two different valid programs of the same size. For example, for `replicate` we find following two solutions.

```
replicate [X] n x
  = map Int [X] (const [X] Int x) (enumTo n)

replicate [X] n x
  = foldNat [List X] (con [X] x) (nil [X]) n
```

For the few benchmarks that can use `foldl` and `foldr` interchangeably, like `concat`, `maximum` and `sum`, different variants find different programs. The different variants of the synthesis procedure do not show clear preference for the one or the other. They can use `foldr` for one of such programs and `foldl` for the other.

Interesting is the case of `multfirst` and `multlast`, where following two solutions are found.

```
multfirst [X] xs
  = map [X] [X] (const [X] [X] (head [X] xs)) xs

multfirst [X] xs
  = replicate [X] (length [X] xs) (head [X] xs)
```

We omit the analogous solutions for `multlast` for brevity. The different synthesis procedures show a clear preference for the one or the other. For example, all synthesis procedures using the `TEMPLATE` exploration strategy seem to prefer the use of the higher-order `map` to the first-order `replicate`. This has to do with the depth of the first-order search. The search from a particular template (in this case the template with no higher-order functions) times out before reaching programs with three components. On the other hand, the search starting from the template `map [?Y] [X] (const [?Y] [X] ?x1) ?x2` succeeds within the timeout.

The preference of the `TEMPLATE` exploration strategy for solutions containing higher-order functions leads to unexpectedly large programs. For example, one of the solutions for `factorial` is

```
factorial n
  = prod (foldr [List Int] [List Int]
    (foldl [List Int] [Int] (const [List Int] [Int]))
    (enumTo n)
    (nil [List Int]))
```

instead of the much simpler `prod (enumTo n)`. Note that since we are folding over an empty list, the two programs are completely equivalent.

There is a tendency to represent the constant integer 1 as `prod (nil [Int])` instead of `succ zero`. And even if we forbid with a black list the patterns

```
enumFromTo (succ zero) _
prod nil
```

the synthesis procedure with the `BLACKLIST` exploration strategy still finds a way to express `enumTo` using `enumFromTo`: It simply falls back to

```
enumTo n
  = enumFromTo (div n n) n.
```

Of course, if we take the component `enumFromTo` out of the library we can generate the desired program

```
enumTo n
  = foldNatNat [List Int] (con [Int]) (nil [Int]) n.
```

Small programs are not always efficient. For example, for `enumFromTo` we find the solution

```
enumFromTo m n
  = con [Int] m (foldNat [List Int] (tail [Int]) (enumTo
    n) m)
```

that corresponds to generating a list from 1 to the second input and then dropping the first part of the list. The more efficient solution

```
enumFromTo m n
  = con [Int] m (map [Int] [Int] (add m) (enumTo (sub n
    m)))
```

is larger and thus it is generated only if we take `foldNat` out of the library.

Sometimes the solution found by the synthesiser suggested other benchmarks we could try to synthesise. For example, after examining the aforementioned solution for `enumFromTo` we realized that `drop` can be implemented as

```
drop [X] n xs
  = foldNat [List X] (tail [X]) xs n
```

Analogously, a “wrong” solution for `member` turned out to be a clever implementation of `isEven`, namely `foldNat not true n`. Folding over an integer is similar to recursion over that integer. In this case the base case of the recursion is `true` and in the inductive case we negate `isEven (n-1)`.

Another unexpectedly clever solution is due to the absence of a polymorphic equality function. We only had equality over integers, thus the benchmark `member` is not polymorphic but has the type `Int → List Int → Bool`. This allowed the synthesiser to generate, along with the expected solution

```
member n xs
  = not (is_nil [Int] (filter [Int] (eq n) xs)),
```

a special version that makes use of the fact that the product of a list is 0 if the list contains at least one 0 and that two numbers are equal if their difference is 0.

```
member n xs
  = is_zero (prod (map [Int] [Int] (sub n) xs))
```

This works in our implementation because our built-in integers can have negative values.

## 5.6 Comparison to related work

We compare our synthesis procedure that uses the `BLACKLIST` exploration strategy combined with the *nof-nodes-simple-type* cost functions with the state-of-the-art tools reported in Chapter 4. The results are summarised in Table 5.5, where for each tool we provide the specification size (expressed in number of examples for example-based tools and in AST nodes for `SYNQUID`) and the runtime.

Since the running times were taken from the respective papers and were not run on the same machine, we cannot directly compare performance. However, the case of `droplast`, where  $\lambda^2$  takes around 300 s and our tool only 0.06 s, cannot be explained only by the difference in the hardware. Providing the right components, in this case `reverse` and `tail`, helps the synthesis tool to find a solution faster.

Another thing that impedes direct comparison of the running time is that the other tools generate a richer class of programs. All of them are capable of generating recursive functions and most of them have support for conditionals and pattern matching, whereas the target language of our tool includes only application of components and input variables. On the other hand, components can encode well-known recursion patterns. For example,

programs that use the component `foldNat` naturally translate to a recursive program, as we see from the example of `isEven`.

```
isEven n = foldNat not true n

isEven n = match n with
| 0 → true
| 1 + m → not (isEven m)
```

It might be a consequence of the simplicity of our target language, but as we can see in Table 5.5, our tool needs less input-output examples to synthesise the benchmarks than the other example-based tools. `SYNQUID` relies on a different specification that requires a higher level of expertise, which makes direct comparison difficult.

The number of provided components also changes across the tools. With 36 to 37 components, we provide the largest library to our tool. On the second place, `ESCHER` uses a library of 23 components to evaluate all benchmarks. Other tools handle less components. For example `SYNQUID` does not provide more than 5 components and 6 measure functions over the needed data types to any of its benchmarks.

Considering that our tool is just standard type-aware best-first enumeration, it is surprising that only four benchmarks show a considerably worse (about two orders of magnitude) performance than the state-of-the-art.

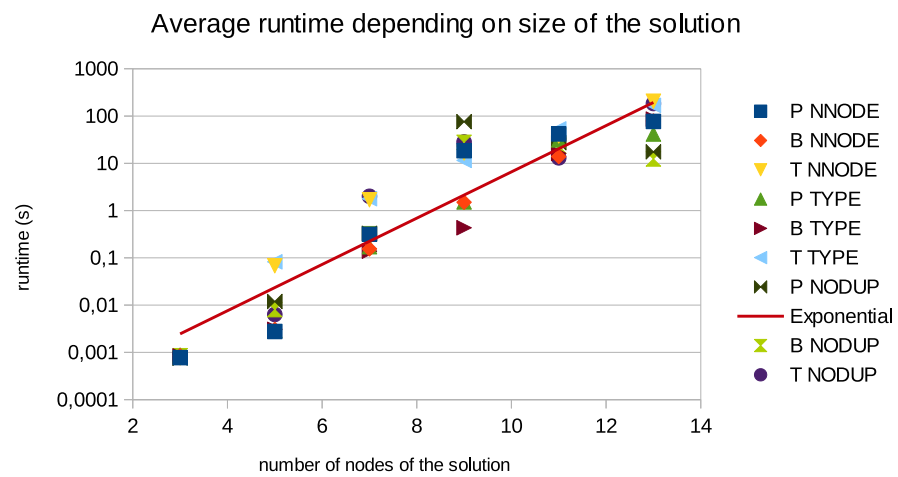


**Table 5.5:** Comparison of our tool with the state-of-the-art. For our tool,  $\lambda^2$  and MYTH the *spec* column shows the number of examples, for SYNQUID it shows the specification size in AST nodes. For all tools the *time* columns show the runtime in seconds. The cells corresponding to benchmarks that were not tested with the respective tool are left empty.

Name	Our tool		SYNQUID		$\lambda^2$		ESCHER		MYTH	
	spec	time	spec	time	spec	time	spec	time	spec	time
append	2	0.07	8	0.05	3	0.23			12	0.01
concat	2	0.04	5	0.05	5	0.13	–	0.06	6	0.02
drop	2	0.05	14	0.29			–	0.02	13	1.29
droplast	2	0.06			6	316.39				
dropmax	2	0.60			3	0.12				
isEven	2	0.00					–	0.02	4	0.01
isNil	2	0.00	6	0.02						
last	2	0.00			4	0.02	–	0.02	6	0.09
length	2	28.44	4	0.10	4	0.01	–	0.01	3	0.02
mapAdd	2	0.25			5	0.04				
mapDouble	3	13.12	7	0.06	3	0.11				
maximum	3	0.24			7	0.46				
member	7	22.67	6	0.03	8	0.35				
multfirst	2	0.06			4	0.01				
multlast	2	0.59			4	0.08				
nth	3	0.34							24	0.96
replicate	3	0.08	7	0.06						
reverse	2	0.99	11	0.29	4	0.01	–	0.22		
stutter	2	15.23					–	0.55	3	0.02
sum	2	0.32			4	0.01	–	0.06	3	0.01

## 5. EVALUATION

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**Figure 5.1:** Average running time of the variants of the synthesis procedure depending on the number of nodes of the solution.

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## Conclusions

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### 6.1 Conclusions

The baseline is not that bad. Gathered some data about the search space. Incremental development (synthesise `enumTo` before synthesising `enumFromTo` and use it as a component).

### 6.2 Future Work

Templates done well, augmented examples?



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