



Program Calculation

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1. Manifesto

- programs are *mathematical objects*
- so we should be able to *calculate* with them:
 prove properties, transform, derive
- this requires *clean semantics* and *concise notation*
- I will argue for functional programming—in particular, *lazy*

2. Insertion sort, imperatively

$\{ N \geq 0 \}$

$n := 0;$

while $n \neq N$ **do**

$m := n; x := a[m];$

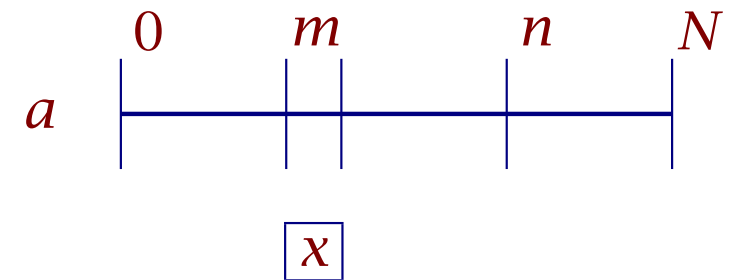
while $m \neq 0 \wedge x \leq a[m-1]$ **do** $a[m] := a[m-1]; m := m-1$ **end**;

$a[m] := x;$

$n := n+1$

end

$\{ a[0..N) \text{ sorted} \}$



2.1. Outer invariant

```
{  $N \geq 0$  }  
 $n := 0$  ;  
{ inv:  $0 \leq n \leq N \wedge a[0..n)$  sorted }  
while  $n \neq N$  do  
  
     $m := n$  ;  $x := a[m]$  ;  
    while  $m \neq 0 \wedge x \leq a[m-1]$  do  $a[m] := a[m-1]$  ;  $m := m-1$  end ;  
     $a[m] := x$  ;  
  
     $n := n+1$   
  
end  
{  $a[0..N)$  sorted }
```

2.2. Outer loop body

```
{  $N \geq 0$  }  
 $n := 0$  ;  
{ inv:  $0 \leq n \leq N \wedge a[0..n)$  sorted }  
while  $n \neq N$  do  
  {  $0 \leq n < N \wedge a[0..n)$  sorted }  
   $m := n$  ;  $x := a[m]$  ;  
  while  $m \neq 0 \wedge x \leq a[m-1]$  do  $a[m] := a[m-1]$  ;  $m := m-1$  end ;  
   $a[m] := x$  ;  
  
   $n := n+1$   
  {  $0 \leq n \leq N \wedge a[0..n)$  sorted }  
end  
{  $a[0..N)$  sorted }
```

2.3. Restoring outer invariant

```
{  $N \geq 0$  }  
 $n := 0$  ;  
{ inv:  $0 \leq n \leq N \wedge a[0..n)$  sorted }  
while  $n \neq N$  do  
  {  $0 \leq n < N \wedge a[0..n)$  sorted }  
   $m := n$  ;  $x := a[m]$  ;  
  while  $m \neq 0 \wedge x \leq a[m-1]$  do  $a[m] := a[m-1]$  ;  $m := m-1$  end ;  
   $a[m] := x$  ;  
  {  $0 \leq n+1 \leq N \wedge a[0..n+1)$  sorted }  
   $n := n+1$   
  {  $0 \leq n \leq N \wedge a[0..n)$  sorted }  
end  
{  $a[0..N)$  sorted }
```

2.4. Inner loop

$\{ 0 \leq n < N \wedge a[0..n) \text{ sorted} \}$

$m := n; x := a[m];$

while $m \neq 0 \wedge x \leq a[m-1]$ **do** $a[m] := a[m-1]; m := m-1$ **end**;

$a[m] := x;$

$\{ 0 \leq n+1 \leq N \wedge a[0..n+1) \text{ sorted} \}$

2.4. Inner loop

$\{ 0 \leq n < N \wedge a[0..n) \text{ sorted} \}$

$m := n; x := a[m];$

while $m \neq 0 \wedge x \leq a[m-1]$ **do**

$a[m] := a[m-1];$

$m := m-1$

end ;

$a[m] := x;$

$\{ 0 \leq n+1 \leq N \wedge a[0..n+1) \text{ sorted} \}$

2.5. Inner invariant

$\{ 0 \leq n < N \wedge a[0..n) \text{ sorted} \}$

$m := n; x := a[m];$

$\{ \text{inv: } 0 \leq m \leq n < N \wedge a[0..m) \uparrow a[m+1..n) \text{ sorted} \wedge x \leq a[m+1..n) \}$

while $m \neq 0 \wedge x \leq a[m-1]$ **do**

$a[m] := a[m-1];$

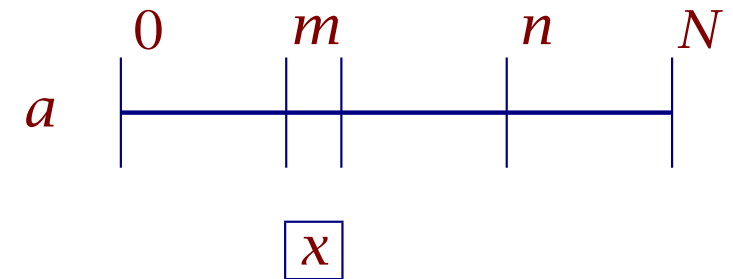
$m := m-1$

end ;

$\{ 0 \leq m \leq n < N \wedge a[0..m) \uparrow a[m+1..n) \text{ sorted} \wedge a[0..m) \leq x \leq a[m+1..n) \}$

$a[m] := x;$

$\{ 0 \leq n+1 \leq N \wedge a[0..n+1) \text{ sorted} \}$



2.6. Inner loop body

```

{  $0 \leq n < N \wedge a[0..n)$  sorted }
 $m := n; x := a[m];$ 
{ inv:  $0 \leq m \leq n < N \wedge a[0..m) \uparrow a[m+1..n)$  sorted  $\wedge x \preceq a[m+1..n)$  }
while  $m \neq 0 \wedge x \leq a[m-1]$  do
  {  $0 < m \leq n < N \wedge a[0..m) \uparrow a[m+1..n)$  sorted  $\wedge x \preceq a[m+1..n) \wedge x \leq a[m-1]$  }
   $a[m] := a[m-1];$ 
   $m := m-1$ 
  {  $0 \leq m \leq n < N \wedge a[0..m) \uparrow a[m+1..n)$  sorted  $\wedge x \preceq a[m+1..n)$  }
end;
{  $0 \leq m \leq n < N \wedge a[0..m) \uparrow a[m+1..n)$  sorted  $\wedge a[0..m) \preceq x \preceq a[m+1..n)$  }
 $a[m] := x;$ 
{  $0 \leq n+1 \leq N \wedge a[0..n+1)$  sorted }

```

2.6. Inner loop body

$\{ 0 < m \leq n < N \wedge a[0..m) + a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \wedge x \leq a[m-1] \}$

$a[m] := a[m-1];$

$m := m-1$

$\{ 0 \leq m \leq n < N \wedge a[0..m) + a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \}$

2.6. Inner loop body

$$\{ 0 < m \leq n < N \wedge a[0..m) \uplus a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \wedge x \leq a[m-1] \}$$
$$a[m] := a[m-1];$$
$$m := m - 1$$
$$\{ 0 \leq m \leq n < N \wedge a[0..m) \uplus a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \}$$

2.7. Restoring inner invariant

$$\{ 0 < m \leq n < N \wedge a[0..m) \uplus a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \wedge x \leq a[m-1] \}$$

$$a[m] := a[m-1];$$

$$\{ 0 \leq m-1 \leq n < N \wedge a[0..m-1) \uplus a[m..n) \text{ sorted} \wedge x \preceq a[m..n) \}$$

$$m := m-1$$

$$\{ 0 \leq m \leq n < N \wedge a[0..m) \uplus a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \}$$

2.7. Restoring inner invariant

$$\{ 0 < m \leq n < N \wedge a[0..m) \uplus a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \wedge x \leq a[m-1] \}$$

$$a[m] := a[m-1];$$

$$\{ 0 < m \leq n < N \wedge a[0..m-1) \uplus a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \\ \wedge a[0..m-1) \preceq a[m] \preceq a[m+1..n) \wedge x \leq a[m] \}$$

$$\{ 0 \leq m-1 \leq n < N \wedge a[0..m-1) \uplus a[m..n) \text{ sorted} \wedge x \preceq a[m..n) \}$$

$$m := m-1$$

$$\{ 0 \leq m \leq n < N \wedge a[0..m) \uplus a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \}$$

2.7. Restoring inner invariant

$$\{ 0 < m \leq n < N \wedge a[0..m) \uparrow a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \wedge x \leq a[m-1] \}$$

$$\{ 0 < m \leq n < N \wedge a[0..m-1) \uparrow a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \\ \wedge a[0..m-1) \preceq a[m-1] \preceq a[m+1..n) \wedge x \leq a[m-1] \}$$

$$a[m] := a[m-1];$$

$$\{ 0 < m \leq n < N \wedge a[0..m-1) \uparrow a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \\ \wedge a[0..m-1) \preceq a[m] \preceq a[m+1..n) \wedge x \leq a[m] \}$$

$$\{ 0 \leq m-1 \leq n < N \wedge a[0..m-1) \uparrow a[m..n) \text{ sorted} \wedge x \preceq a[m..n) \}$$

$$m := m-1$$

$$\{ 0 \leq m \leq n < N \wedge a[0..m) \uparrow a[m+1..n) \text{ sorted} \wedge x \preceq a[m+1..n) \}$$

Phew!

3. Insertion sort, declaratively

Insert elements one by one into empty list:

$$\mathit{isort} [] = []$$

$$\mathit{isort} (x:xs) = \mathit{insert} x (\mathit{isort} xs)$$

where

$$\mathit{insert} x [] = [x]$$

$$\mathit{insert} x (y:ys)$$

$$| x \leq y = x:y:ys$$

$$| x > y = y:\mathit{insert} x ys$$

3.1. Checking for sortedness

Define

$$\mathit{sorted} [] = \mathit{True}$$

$$\mathit{sorted} (x:xs) = (x \preceq xs) \wedge \mathit{sorted} xs$$

where ' $x \preceq xs$ ' compares x to every element of xs :

$$x \preceq [] = \mathit{True}$$

$$x \preceq (y:ys) = (x \leq y) \wedge (x \preceq ys)$$

3.2. Lemma 1: comparison with insertion

We show that

$$(z \preceq \textit{insert } x \textit{ } ys) = (z \leq x) \wedge (z \preceq ys)$$

by induction over ys .

The base case is $[\]$:

$$\begin{aligned} & z \preceq \textit{insert } x \textit{ } [\] \\ = & \textit{[[insert]]} \\ & z \preceq [x] \\ = & \textit{[[\preceq]]} \\ & z \leq x \wedge z \preceq [\] \end{aligned}$$

The inductive case...

3.3. Lemma 2: insertion preserves sortedness

We show that

$$\textit{sorted} (\textit{insert } x \textit{ } ys) = \textit{sorted } ys$$

by induction over ys .

The base case is $[]$:

$$\begin{aligned} & \textit{sorted} (\textit{insert } x \textit{ } []) \\ = & \textit{sorted} [\textit{insert } x] \\ = & \textit{sorted} [x] \\ = & \textit{sorted} [x] \\ & (x \preceq []) \wedge \textit{sorted} [] \\ = & \textit{sorted} [x] \end{aligned}$$

The inductive case...

The inductive case is $y : ys$, assuming true for ys . There are two subcases:
 for $x \leq y$: and for $x > y$:

$$\begin{aligned}
 & \text{sorted} (\text{insert } x (y : ys)) \\
 = & \quad [[\text{insert} \quad]] \\
 & \text{sorted} (x : y : ys) \\
 = & \quad [[\text{sorted} \quad]] \\
 & (x \preceq y : ys) \wedge \text{sorted} (y : ys) \\
 = & \quad [[\preceq; \text{sorted} \quad]] \\
 & (x \leq y) \wedge (x \preceq ys) \wedge (y \preceq ys) \\
 & \quad \wedge \text{sorted } ys \\
 = & \quad [[\text{transitivity} \quad]] \\
 & (x \leq y) \wedge (y \preceq ys) \wedge \text{sorted } ys \\
 = & \quad [[\text{case assumption} \quad]] \\
 & (y \preceq ys) \wedge \text{sorted } ys \\
 = & \quad [[\text{sorted} \quad]] \\
 & \text{sorted} (y : ys)
 \end{aligned}$$

$$\begin{aligned}
 & \text{sorted} (\text{insert } x (y : ys)) \\
 = & \quad [[\text{insert} \quad]] \\
 & \text{sorted} (y : \text{insert } x ys) \\
 = & \quad [[\text{sorted} \quad]] \\
 & (y \preceq \text{insert } x ys) \wedge \text{sorted} (\text{insert } x ys) \\
 = & \quad [[\text{inductive hypothesis} \quad]] \\
 & (y \preceq \text{insert } x ys) \wedge \text{sorted } ys \\
 = & \quad [[\text{Lemma 1} \quad]] \\
 & (y \leq x) \wedge (y \preceq ys) \wedge \text{sorted } ys \\
 = & \quad [[\text{case assumption} \quad]] \\
 & (y \preceq ys) \wedge \text{sorted } ys \\
 = & \quad [[\text{sorted} \quad]] \\
 & \text{sorted} (y : ys)
 \end{aligned}$$

3.4. Theorem: *isort* yields a sorted list

We show that

$$\textit{sorted} (\textit{isort} \textit{xs}) = \textit{True}$$

by induction over *xs*.

The base case is $[]$:

$$\begin{aligned} & \textit{sorted} (\textit{isort} []) \\ = & \quad [[\textit{isort}]] \\ & \textit{sorted} [] \\ = & \quad [[\textit{sorted}]] \\ & \textit{True} \end{aligned}$$

The inductive step is $x : \textit{xs}$,
assuming true for *xs*:

$$\begin{aligned} & \textit{sorted} (\textit{isort} (x : \textit{xs})) \\ = & \quad [[\textit{isort}]] \\ & \textit{sorted} (\textit{insert} \ x \ (\textit{isort} \ \textit{xs})) \\ = & \quad [[\textit{Lemma 2}]] \\ & \textit{sorted} (\textit{isort} \ \textit{xs}) \\ = & \quad [[\textit{inductive hypothesis}]] \\ & \textit{True} \end{aligned}$$

4. Reflection

Why was that so much easier?

- functional programs are also *equations*
- evaluation by *substitution of equals for equals*
- reasoning in terms of program text
- no need for a separate 'logical' domain

Plain ordinary *equational reasoning* suffices.

4.1. The possibility of failure

In order really to treat programs as equations, we have to adopt call-by-name (or lazy) semantics.

Consider this program:

constant $x = 3$

Whatever the argument is, the result is 3. Even when the argument is undefined!

constant $(1 / 0) = 3$

We cannot afford call-by-value semantics.

5. Program calculation

Here's a naive definition of list reversal:

$$\begin{aligned} \textit{reverse} [] &= [] \\ \textit{reverse} (x:xs) &= \textit{reverse} xs ++ [x] \end{aligned}$$

where list concatenation is as follows:

$$\begin{aligned} [] ++ ys &= ys \\ (x:xs) ++ ys &= x:(xs ++ ys) \end{aligned}$$

Time for $++$ is proportional to length of left-hand argument.
Therefore *reverse* takes quadratic time.

Can we do better?

5.1. Accumulating parameter

Introduce an additional argument:

$$\mathit{revCat} \ xs \ ys = \mathit{reverse} \ xs \ ++ \ ys$$

Of course, this is a generalization:

$$\mathit{reverse} \ xs = \mathit{reverse} \ xs \ ++ \ [] = \mathit{revCat} \ xs \ []$$

This specification of *revCat* is no faster...

...but we can improve it, by calculation.

$$\begin{aligned}
 & \text{revCat } [] \text{ } ys \\
 = & \quad [[\text{specification} \quad]] \\
 & \text{reverse } [] \text{ } ++ \text{ } ys \\
 = & \quad [[\text{reverse} \quad]] \\
 & \quad [] \text{ } ++ \text{ } ys \\
 = & \quad [[++ \quad]] \\
 & \quad ys
 \end{aligned}$$

$$\begin{aligned}
 & \text{revCat } (x : xs) \text{ } ys \\
 = & \quad [[\text{specification} \quad]] \\
 & \text{reverse } (x : xs) \text{ } ++ \text{ } ys \\
 = & \quad [[\text{reverse} \quad]] \\
 & \quad (\text{reverse } xs \text{ } ++ \text{ } [x]) \text{ } ++ \text{ } ys \\
 = & \quad [[++ \text{ is associative} \quad]] \\
 & \quad \text{reverse } xs \text{ } ++ \text{ } ([x] \text{ } ++ \text{ } ys) \\
 = & \quad [[++ ; \text{specification} \quad]] \\
 & \quad \text{revCat } xs \text{ } (x : ys)
 \end{aligned}$$

We have calculated a different program:

$$\begin{aligned}
 & \text{revCat } [] \text{ } \quad ys = ys \\
 & \text{revCat } (x : xs) \text{ } ys = \text{revCat } xs \text{ } (x : ys)
 \end{aligned}$$

This one takes just linear time, not quadratic.

5.2. Maximum segment sum: a parting shot

$$\begin{aligned}
 & \textit{maximum} \circ \textit{map sum} \circ \textit{segs} \\
 = & \quad \llbracket \text{definition of } \textit{segs} \rrbracket \\
 & \textit{maximum} \circ \textit{map sum} \circ \textit{concat} \circ \textit{map inits} \circ \textit{tails} \\
 = & \quad \llbracket \text{polymorphism of } \textit{concat} \rrbracket \\
 & \textit{maximum} \circ \textit{concat} \circ \textit{map} (\textit{map sum}) \circ \textit{map inits} \circ \textit{tails} \\
 = & \quad \llbracket \text{bookkeeping law} \rrbracket \\
 & \textit{maximum} \circ \textit{map maximum} \circ \textit{map} (\textit{map sum}) \circ \textit{map inits} \circ \textit{tails} \\
 = & \quad \llbracket \textit{map} \text{ distributes over composition} \rrbracket \\
 & \textit{maximum} \circ \textit{map} (\textit{maximum} \circ \textit{map sum} \circ \textit{inits}) \circ \textit{tails} \\
 = & \quad \llbracket \text{definition of } \textit{scanl} \rrbracket \\
 & \textit{maximum} \circ \textit{map} (\textit{maximum} \circ \textit{scanl} (+) 0) \circ \textit{tails} \\
 = & \quad \llbracket \text{Horner's rule: let } h \ x \ y = 0 \ \textit{'max'} \ (x + y) \rrbracket \\
 & \textit{maximum} \circ \textit{map} (\textit{foldr} \ h \ 0) \circ \textit{tails} \\
 = & \quad \llbracket \text{definition of } \textit{scanr} \rrbracket \\
 & \textit{maximum} \circ \textit{scanr} \ h \ 0
 \end{aligned}$$

6. Conclusion

- programs are *mathematical objects*
- so we should be able to *calculate* with them:
 prove properties, transform, derive
- this requires *clean semantics* and *concise notation*
- lazy functional programming provides both

The ‘maximum segment sum’ example is from Richard Bird’s *Algebraic Identities for Program Calculation*; see also my blog post <https://patternsinfp.wordpress.com/2011/05/05/horners-rule/>.

7. Appendix: definitions for MSS

7.1. Folds on lists

Fold right on lists, eg for *concat* and *map*:

$$\text{foldr } f \ e \ [] = e$$

$$\text{foldr } f \ e \ (x:xs) = f \ x \ (\text{foldr } f \ e \ xs)$$

$$\text{concat} = \text{foldr } (++) \ []$$

$$\text{map } f = \text{foldr } (\lambda x \ ys \rightarrow f \ x:ys) \ []$$

Fold left (accumulating fold) on lists, eg for *sum*:

$$\text{foldl } f \ e \ [] = e$$

$$\text{foldl } f \ e \ (x:xs) = \text{foldl } f \ (f \ e \ x) \ xs$$

$$\text{sum} = \text{foldl } (+) \ 0$$

Fold on non-empty lists, eg for *maximum*:

$$\text{foldr}_1 \ f \ [x] = x$$

$$\text{foldr}_1 \ f \ (x:xs) = f \ x \ (\text{foldr}_1 \ f \ xs)$$

$$\text{maximum} = \text{foldr}_1 \ \text{max}$$

7.2. Partitioning lists

Tail segments:

$$\mathit{tails} [] = [[]]$$

$$\mathit{tails} (x : xs) = (x : xs) : \mathit{tails} xs$$

Initial segments:

$$\mathit{inits} [] = [[]]$$

$$\mathit{inits} (x : xs) = [] : \mathit{map} (x:) (\mathit{inits} xs)$$

All segments:

$$\mathit{segs} = \mathit{concat} \circ \mathit{map} \mathit{inits} \circ \mathit{tails}$$

7.3. Scans on lists

Scan right:

$$\mathit{scanr} f e = \mathit{map} (\mathit{foldr} f e) \circ \mathit{tails}$$

from which we can calculate:

$$\begin{aligned} \mathit{scanr} f e [] &= [e] \\ \mathit{scanr} f e (x:xs) &= \mathbf{let} \ ys = \mathit{scanr} f e \ xs \\ &\quad \mathbf{in} \ f \ x \ (\mathit{head} \ ys) : ys \end{aligned}$$

Scan left:

$$\mathit{scanl} f e = \mathit{map} (\mathit{foldl} f e) \circ \mathit{inits}$$

from which we can calculate:

$$\begin{aligned} \mathit{scanl} f e [] &= [e] \\ \mathit{scanl} f e (x:xs) &= e : \mathit{scanl} f (f e x) \ xs \end{aligned}$$

7.4. Lemmas

Polymorphism of *concat*:

$$\text{map } f \circ \text{concat} = \text{concat} \circ \text{map } (\text{map } f)$$

‘Bookkeeping law’: for associative *op*,

$$\text{foldr}_1 \text{ op} \circ \text{concat} = \text{foldr}_1 \text{ op} \circ \text{map } (\text{foldr}_1 \text{ op})$$

Distribution of *map* over composition:

$$\text{map } (f \circ g) = \text{map } f \circ \text{map } g$$

Horner’s rule: if *g* is associative with unit *e*, and *g* distributes over *f*, then

$$\text{foldr}_1 f \circ \text{scanl } g \ e = \text{foldr } h \ e$$

where $h \ x \ y = f \ e \ (g \ x \ y)$.