

# Chapter 4: Proof and Synthesis of Programs

Learning targets of this chapter:

1. Significance of referential transparency and equational reasoning
2. Structural induction: [natural numbers](#), [lists](#), [trees](#)
3. List laws: [decomposition](#), [duality](#), [fusion](#), [homomorphism](#)
4. Homomorphism in the synthesis of algorithms: [Mergesort](#), [Fibonacci](#)
5. Program transformations for performance optimization:  
[Maximum Segment Sum](#)

# Referential Transparency (1)

Def.: An expression  $E$  is called **referentially transparent**, if every subexpression  $T$  of  $E$  can be replaced by an expression  $T'$  with equal value, without effect on the value of  $E$ .

Referential transparency implies the **Rule of Leibniz**:

$$\frac{T=T'}{E[x:=T]=E[x:=T']}$$

Example:

<code>f x + f x</code>	<code>= {non-strict let}</code>
<code>let y = f x in f x + f x</code>	<code>= {Leibniz}</code>
<code>let y = f x in y + f x</code>	<code>= {Leibniz} crucial point</code>
<code>let y = f x in y + y</code>	<code>= {arithmetic of integer variables}</code>
<code>let y = f x in 2 * y</code>	<code>= {Leibniz}</code>
<code>let y = f x in 2 * f x</code>	<code>= {non-strict let}</code>
<code>2 * f x</code>	

## Referential Transparency (2)

- Language with side-effects  $\implies$  no referential transparency;  
z. B.:  $f\ x + f\ x \neq 2 * f\ x$ , cf. Chap. 1
- Referentially transparent functional languages are called **purely functional**.
- Haskell permits input/output with referential transparency: the meaning of an I/O operation is not the value returned but the operation per se.

Haskell	OCaml
<pre>let outOp = putStr "ha" in do outOp       outOp</pre>	<pre>let outOp = printf "ha" in outOp;       outOp</pre>
output: <b>haha</b>	output: <b>ha</b>

# Proofs of Programs

- **Given:**
  1. specification, i.e., input/output relation
  2. program
- **Goal:** proof that the program satisfies the specification

# Proofs of **Imperative** Programs

Established method: **Hoare calculus** (assertion method)

- Assertions about the **program state** (the values of the variables)
- Specification: pre- and postcondition for the entire program
- Proof outline: pre- and postcondition for every program part
  - loop invariants
  - backward-substitution rule for assignments

# Proof of **Functional** Programs

Established method: **equational reasoning** (proofs with equations)

Specification: input/output relation, what remains to be done?

1. Specification need not be executable, e.g.,
  - equations are not always permissible function definitions
  - conditions that cannot be expressed in Haskell
2. Specification ist executable but grossly inefficient
  - program has equal semantics but more efficient execution

Equational proof: stepwise transformation of the specification to the target program, governed by transformation rules (e.g., Leibniz)

# Principle of Equational Reasoning

- Sequence of equations with a left and a right expression
- Each equation is justified by application of a proof rule

Procedure to justify equation  $P = Q$ :

1. Specify a context  $E$  with variable  $v$ , such that there are expressions  $L'$  and  $R'$  with the properties  $E[v := L'] = P$  and  $E[v := R'] = Q$
2. Choose a suitable equation  $L = R$  (or  $R = L$ ) from the proof rule base
3. Specify a substitution(\*)  $\varphi$ , such that  $L' = \varphi L$  and  $R' = \varphi R$

---

(\*) Substitution  $\varphi T$  is purely syntactic and simultaneous: for every free variable  $x$  in  $T$ , replace every free instance of  $x$  in  $T$  with a fixed expression  $(\varphi x)$

# Example of a Rule Application

**Given:**

- $P = f \ (x * (y + g \ z)) - 1$
- $Q = f \ (x * y + x * g \ z) - 1.$
- In the rule base:  $(a * (b + c)) = a * b + a * c$  (distributivity of  $*$  over  $+$ )

**To prove:**  $P = Q$

1. Specify a context  $E$  with variable  $v$ , such that there are expressions  $L'$  and  $R'$ , with the properties  $E[v:=L'] = P$  and  $E[v:=R'] = Q$

$$E = f \ v - 1, \ L' = x * (y + g \ z), \ R' = x * y + x * g \ z$$

2. Choose a suitable equation  $L = R$  (or  $R = L$ ) from the proof rule base

$$\text{choose distributivity: } L = a * (b + c), \ R = a * b + a * c$$

3. Specify a substitution  $\varphi$ , such that  $L' = \varphi L$  and  $R' = \varphi R$

$$\varphi = [a:=x, \ b:=y, \ c:=g \ z]$$



# Proof Outline

Only the **name of the rule** or an **intuitive explanation** are stated.

`fac 0` `= 1` `-- fac.1`

`fac n | n>0 = n * fac (n-1)` `-- fac.2`

Example (proof outline):

`fac 2` `= {fac.2}`

`2 * fac (2-1)` `= {arithmetic}`

`2 * fac 1` `= {fac.2}`

`2 * (1 * fac (1-1))` `= {arithmetic}`

`2 * (1 * fac 0)` `= {fac.1}`

`2 * (1 * 1)` `= {arithmetic}`

`2 * 1` `= {arithmetic}`

`2`

# Correctness of Equational Reasoning

Haskell has the following important properties:

1. Referential transparency

Each equation maintains partial correctness (correctness modulo termination).

2. Non-strictness of function application (laziness)

Termination behavior remains unchanged

- when using a defining equation as proof rule (e.g., `fac.2`)
- when changing the substitution sequence

3. Static type system

Each expression has a well-defined semantics.

- Equalities like `(/2).(*2) = id = ('div' 2).(*2)` do not hold.
- Rules are type-dependent: `+` is associative for `Rational`, but not for `Float`.

# Varying the Substitution Sequence (1)

```
bridge :: (Float,Float) -> Float -> Float -> Float
bridge (x0,y0) x y = if x==x0 then y0 else y           -- bridge
```

```
f :: Float -> Float
f x = bridge (0,1) x (sin x / x)                       -- f
```

Evaluate the argument first

<code>f 0</code>	<code>= {f}</code>
<code>bridge (0,1) 0 (sin 0 / 0)</code>	<code>= {arithmetic}</code>
<code>bridge (0,1) 0 (0 / 0)</code>	<code>= {arithmetic}</code>
<code>bridge (0,1) 0 ⊥</code>	<code>= {bridge}</code>
<code>if 0==0 then 1 else ⊥</code>	<code>= {==}</code>
<code>if True then 1 else ⊥</code>	<code>= {if-then-else}</code>
<code>1</code>	

## Varying the Substitution Sequence (2)

```
bridge :: (Float,Float) -> Float -> Float -> Float
bridge (x0,y0) x y = if x==x0 then y0 else y          -- bridge
```

```
f :: Float -> Float
f x = bridge (0,1) x (sin x / x)                      -- f
```

Evaluate the defining equation first

<code>f 0</code>	<code>= {f}</code>
<code>bridge (0,1) 0 (sin 0 / 0)</code>	<code>= {bridge}</code>
<code>if 0==0 then 1 else (sin 0 / 0)</code>	<code>= {==}</code>
<code>if True then 1 else (sin 0 / 0)</code>	<code>= {if-then-else}</code>
<code>1</code>	

# Structural Induction

Here: **finite** structures, no consideration of laziness

The natural numbers as (structurally) inductively defined set:

```
data Nat = Z                                zero
         | S Nat                            successor
         deriving (Eq,Ord,Show)
```

Elements of `Nat`: `Z (0)`, `S Z (1)`, `S (S Z) (2)`, `S (S (S Z)) (3)` ...

# Addition on **Nat**

Definition of functions on inductively defined types  
by specification of one equation per data constructor

```
add :: Nat -> Nat -> Nat
add x Z          = x           -- add.1
add x (S y)      = S (add x y) -- add.2

add' :: Integer -> Integer -> Integer
add' x 0          = x           -- add'.1
add' x y | y>0 = 1 + add' x (y-1) -- add'.2

add (S Z) (S Z) ~== S (S Z)
add' 1 1 ~== 2
```

## Multiplication on `Nat`

```
mul :: Nat -> Nat -> Nat
```

```
mul x Z          = Z                -- mul.1
```

```
mul x (S y)      = add x (mul x y)  -- mul.2
```

```
mul' :: Integer -> Integer -> Integer
```

```
mul' x 0          = 0                -- mul'.1
```

```
mul' x y | y>0 = x + mul' x (y-1)   -- mul'.2
```

```
mul (S (S Z)) (S (S (S Z))) ~> S (S (S (S (S (S Z)))))
```

```
mul' 2 3 ~> 6
```

# Stepwise Evaluation

```

mul (S (S Z)) (S (S (S Z)))
{mul.2}→ add (S (S Z)) (mul (S (S Z)) (S (S Z)))
{mul.2}→ add (S (S Z)) (add (S (S Z)) (mul (S (S Z)) (S Z)))
{mul.2}→ add (S (S Z)) (add (S (S Z))
                        (add (S (S Z)) (mul (S (S Z)) Z)))
{mul.1}→ add (S (S Z)) (add (S (S Z)) (add (S (S Z)) Z))
{add.1}→ add (S (S Z)) (add (S (S Z)) (S (S Z)))
{add.2}→ add (S (S Z)) (S (add (S (S Z)) (S Z)))
{add.2}→ S (add (S (S Z)) (add (S (S Z)) (S Z)))
{add.2}→ S (add (S (S Z)) (S (add (S (S Z)) Z)))
{add.2}→ S (S (add (S (S Z)) (add (S (S Z)) Z)))
{add.1}→ S (S (add (S (S Z)) (S (S Z))))
{add.2}→ S (S (S (add (S (S Z)) (S Z))))
{add.2}→ S (S (S (S (add (S (S Z)) Z))))
{add.1}→ S (S (S (S (S (S Z)))))

```



# The Inductive Data Type List

```
data List a = Nil           empty list
             | C a (List a) cons
```

In Haskell (not legal source program syntax)

```
-- data [a] = []
--           | a : [a] deriving (Eq, Ord)
```

Elements:	Nil	[]
	C x Nil	x:[]
	C y (C x Nil)	y:x:[]
	C z (C y (C x Nil))	z:y:x:[]
	...	

# The Length Function on Lists

```
len :: List a -> Nat
len Nil      = Z          -- len.1
len (C _ xs) = S (len xs) -- len.2

len' :: [a] -> Int -- Unlimited integer not needed
                    -- since memory smaller than address space

len' []      = 0          -- len'.1
len' (_:xs)  = 1 + len' xs -- len'.2

len (C z (C y (C x Nil))) ~> S (S (S Z))
len' (z:y:x:[]) ~> 3
```

## The Sum Function on Lists

```
su :: List Nat -> Nat
```

```
su Nil      = Z      -- su.1
```

```
su (C x xs) = add x (su xs) -- su.2
```

```
su' :: Num a => [a] -> a
```

```
su' []      = 0      -- su'.1
```

```
su' (x:xs)  = x + su' xs -- su'.2
```

```
su (C (S Z) (C (S (S Z)) (C (S Z) Nil)))  $\rightsquigarrow$  S (S (S (S Z)))
```

```
su' (1:2:1:[])  $\rightsquigarrow$  4
```

# Inductive Definition of List Concatenation

append  $(++)$  joins two lists

$(++) :: [a] \rightarrow [a] \rightarrow [a]$

$[] \quad ++ \text{ys} = \text{ys} \quad \quad \quad -- \text{ } (++) . 1$

$(x:\text{xs}) ++ \text{ys} = x : (\text{xs} ++ \text{ys}) \quad \quad -- \text{ } (++) . 2$

$(1:2:3:[]) ++ (4:5:6:7:8:9:[])$

$\{(++) . 2\} \rightarrow 1:((2:3:[]) ++ (4:5:6:7:8:9:[]))$

$\{(++) . 2\} \rightarrow 1:2:((3:[]) ++ (4:5:6:7:8:9:[]))$

$\{(++) . 2\} \rightarrow 1:2:3:([], ++ (4:5:6:7:8:9:[]))$

$\{(++) . 1\} \rightarrow 1:2:3:4:5:6:7:8:9:[]$

# Inductive Definition of Combinator `map`

```
map :: (a->b) -> [a] -> [b]
map f []      = []           -- map.1
map f (x:xs) = f x : map f xs -- map.2
```

```
map (^2) (1:2:3:4:[])
{map.2}→ (^2) 1 : map (^2) (2:3:4:[])
{(^2)}→ 1 : map (^2) (2:3:4:[])
{map.2}→ 1 : (^2) 2 : map (^2) (3:4:[])
{(^2)}→ 1 : 4 : map (^2) (3:4:[])
{map.2}→ 1 : 4 : (^2) 3 : map (^2) (4:[])
{(^2)}→ 1 : 4 : 9 : map (^2) (4:[])
{map.2}→ 1 : 4 : 9 : (^2) 4 : map (^2) []
{(^2)}→ 1 : 4 : 9 : 16 : map (^2) []
{map.1}→ 1 : 4 : 9 : 16 : []
```

# Structurally Inductive Proof (informal)

- **Axiom of induction:** (to prove an assertion  $P$ )  
for every data constructor  $C$  of an inductively defined type  $S$ :
  1. Let  $x$  be an arbitrary element of  $S$  with root symbol  $C$
  2. **Induction hypothesis:** assume  $P(x_i)$  for **every** strict substructure  $x_i$  of  $x$
  3. Prove  $P(x)$ $\implies P$  holds for all **finite** elements of  $S$
- **Base case**  $\iff$  no  $x_i$  contains an element of type  $S$
- **Induction case**  $\iff$  at least one  $x_i$  contains an element of type  $S$
- Problem: choice of **induction variable**  $x$  in  $P(x)$
- Special cases:
  - **mathematical induction:** constructors  $\mathbf{Z}$  (0) and  $\mathbf{S}$  ( $x \rightarrow x+1$ )
  - **list induction:** constructors  $\mathbf{[]}$  (nil) and  $\mathbf{(:)}$  (cons)

# Axiom of Structural Induction (semiformal)

- Let  $S$  be an algebraic data type with constructors  $\{ C_j \mid j \in \mathbb{N} \wedge 0 \leq j < n \}$
- Let  $\#j$  be the number of arguments of constructor  $C_j$
- Let  $P$  be the predicate to be proved
- Induction axiom

$$\forall j : 0 \leq j < n ::$$

$$\forall x_{j,0}, \dots, x_{j,\#j-1} ::$$

$$(\forall i : (0 \leq i < \#j \wedge x_{j,i} \in S) : P(x_{j,i})) \implies P(C_j x_{j,0} \dots x_{j,\#j-1})$$

---


$$\forall x : x \in S \wedge x \text{ finite} : P(x)$$

- Mathematical induction as special case

$$P(\mathbf{Z}) \wedge (\forall x : x \in \mathbf{Nat} : P(x) \implies P(\mathbf{S} x))$$

---


$$\forall x : x \in \mathbf{Nat} \wedge x \text{ finite} : P(x)$$

Proof: `map f xs ++ map f ys == map f (xs++ys)` {Case.1}

Induction variable: `xs`

{Case.1}: `xs==[]`

`map f xs ++ map f ys`

`{Case.1}== map f [] ++ map f ys`

`{ map.1 }== [] ++ map f ys`

`{(++).1}== map f ys`

`{(++).1}== map f ([]++ys)`

`{Case.1}== map f (xs++ys)`



Proof:  $\text{map } f \text{ } xs ++ \text{map } f \text{ } ys == \text{map } f \text{ } (xs++ys)$  {Case.2}

Induction variable:  $xs$

{Case.2}:  $xs == (z:zs)$

Induction hypothesis:  $\text{map } f \text{ } zs ++ \text{map } f \text{ } ys == \text{map } f \text{ } (zs++ys)$

$\text{map } f \text{ } xs ++ \text{map } f \text{ } ys$   
{ Case.2 } ==  $\text{map } f \text{ } (z:zs) ++ \text{map } f \text{ } ys$   
{ map.2 } ==  $(f \text{ } z : \text{map } f \text{ } zs) ++ \text{map } f \text{ } ys$   
{ (++) .2 } ==  $f \text{ } z : (\text{map } f \text{ } zs ++ \text{map } f \text{ } ys)$   
{ ind.hyp. } ==  $f \text{ } z : (\text{map } f \text{ } (zs++ys))$   
{ map.2 } ==  $\text{map } f \text{ } (z:(zs++ys))$   
{ (++) .2 } ==  $\text{map } f \text{ } ((z:zs)++ys)$   
{ Case.2 } ==  $\text{map } f \text{ } (xs++ys)$

Proof:  $(\text{map } f \ . \ \text{map } g) \ xs == \text{map } (f \ . \ g) \ xs \ \{\text{Case.1}\}$

$(q \ . \ p) \ x = q \ (p \ x) \quad \text{-- compose}$

Induction variable:  $xs$

$\{\text{Case.1}\}: xs == []$

$(\text{map } f \ . \ \text{map } g) \ xs$

$\{\text{Case.1}\} == (\text{map } f \ . \ \text{map } g) \ []$

$\{\text{compose}\} == \text{map } f \ (\text{map } g \ [])$

$\{\text{map.1}\} == \text{map } f \ []$

$\{\text{map.1}\} == []$

$\{\text{map.1}\} == \text{map } (f \ . \ g) \ []$

$\{\text{Case.1}\} == \text{map } (f \ . \ g) \ xs$

Proof:  $(\text{map } f \ . \ \text{map } g) \ xs == \text{map } (f \ . \ g) \ xs \ \{\text{Case.2}\}$

Induction variable:  $xs$

$\{\text{Case.2}\}: xs == (z:zs)$

Induction hypothesis:  $(\text{map } f \ . \ \text{map } g) \ zs == \text{map } (f \ . \ g) \ zs$

$(\text{map } f \ . \ \text{map } g) \ xs$   
 $\{ \text{Case.2} \} == (\text{map } f \ . \ \text{map } g) \ (z:zs)$   
 $\{ \text{compose} \} == \text{map } f \ (\text{map } g \ (z:zs))$   
 $\{ \text{map.2} \} == \text{map } f \ (g \ z : \text{map } g \ zs)$   
 $\{ \text{map.2} \} == f \ (g \ z) : \text{map } f \ (\text{map } g \ zs)$   
 $\{ \text{compose} \} == (f \ . \ g) \ z : \text{map } f \ (\text{map } g \ zs)$   
 $\{ \text{compose} \} == (f \ . \ g) \ z : (\text{map } f \ . \ \text{map } g) \ zs$   
 $\{ \text{ind.hyp.} \} == (f \ . \ g) \ z : \text{map } (f \ . \ g) \ zs$   
 $\{ \text{map.2} \} == \text{map } (f \ . \ g) \ (z:zs)$   
 $\{ \text{Case.2} \} == \text{map } (f \ . \ g) \ xs$

## Use of Predefined Arithmetic

- Constructor-based evaluation: slow and inflexible
- Better: use built-in arithmetic
- Example: factorial

```
fac :: Integer -> Integer
fac 0      = 1
fac n | n>0 = n * fac (n-1)
```

- Attention: consider value range (termination)
- Inductive proofs analogous with 0 for Z and (+1) for S

# Trees as Inductive Data Types

```
data BinTree1 a    -- only forks have a payload
  = Empty1
  | Fork1 { elem1::a, left1, right1 :: BinTree1 a }
```

```
data BinTree2 a    -- only leaves have a payload
  = Leaf2 { elem2::a }
  | Fork2 { left2, right2 :: BinTree2 a }
```

```
data BinTree3 a    -- forks and leaves have a payload...
  = Leaf3 { elem3::a }
  | Fork3 { elem3::a, left3, right3 :: BinTree3 a }
```

```
data RoseTree a    -- ...plus arbitrary finite number of successors
  = Fork4 { elem4::a, children::[RoseTree a] }
```

## Sum Function `sumT` on `BinTree2`

```
sumT :: Num a => BinTree2 a -> a
sumT (Leaf2 elem)          = elem          -- sumT.1
sumT (Fork2 left right) = sumT left + sumT right -- sumT.2
```

```
sumT (Fork2 (Fork2 (Leaf2 1) (Leaf2 2)) (Leaf2 1))
{sumT.2}→ sumT (Fork2 (Leaf2 1) (Leaf2 2)) + sumT (Leaf2 1)
{sumT.2}→ sumT (Leaf2 1) + sumT (Leaf2 2) + sumT (Leaf2 1)
{sumT.1}→ 1 + sumT (Leaf2 2) + sumT (Leaf2 1)
{sumT.1}→ 1 + 2 + sumT (Leaf2 1)
{  +  }→ 3 + sumT (Leaf2 1)
{sumT.1}→ 3 + 1
{  +  }→ 4
```

Proof:  $\text{leaves } t == \text{forks } t + 1$

```
data BinTree2 a = Leaf2 a
                | Fork2 (BinTree2 a) (BinTree2 a)
```

```
leaves, forks :: BinTree2 a -> Integer
```

```
leaves (Leaf2 _)    = 1                -- leaves.1
```

```
leaves (Fork2 l r) = leaves l + leaves r -- leaves.2
```

```
forks (Leaf2 _)     = 0                -- forks.1
```

```
forks (Fork2 l r) = 1 + forks l + forks r -- forks.2
```

Proof: `leaves t == forks t + 1 {Case.1}`

Induction variable: `t`

`{Case.1}: t == Leaf2 _`

`leaves t`

`{ Case.1 } == leaves (Leaf2 _)`

`{ leaves.1 } == 1`

`{ neutr. + } == 0 + 1`

`{ forks.1 } == forks (Leaf2 _) + 1`

`{ Case.1 } == forks t + 1`



Proof:  $\text{leaves } t == \text{forks } t + 1 \quad \{\text{Case.2}\}$

Induction variable:  $t$

$\{\text{Case.2}\}: t == \text{Fork2 } l \ r$

Induction hypothesis:  $\text{leaves } l == \text{forks } l + 1, \text{leaves } r == \text{forks } r + 1$

$\text{leaves } t$

$\{\text{Case.2}\} == \text{leaves } (\text{Fork2 } l \ r)$

$\{\text{leaves.2}\} == \text{leaves } l + \text{leaves } r$

$\{\text{ind.hyp.}\} == \text{forks } l + 1 + \text{leaves } r$

$\{\text{commut.}\} == 1 + \text{forks } l + \text{leaves } r$

$\{\text{ind.hyp.}\} == 1 + \text{forks } l + \text{forks } r + 1$

$\{\text{forks.2}\} == \text{forks } (\text{Fork2 } l \ r) + 1$

$\{\text{Case.2}\} == \text{forks } t + 1$

InEquational Proof:  $\text{sumT } t \leq \text{leaves } t * \text{maxT } t$

sequence of  $\leq$  and  $=$  for sequence of  $=$

```
leaves (Leaf2 _) = 1 -- leaves.1
```

```
leaves (Fork2 l r) = leaves l + leaves r -- leaves.2
```

```
sumT (Leaf2 x) = x -- sumT.1
```

```
sumT (Fork2 l r) = sumT l + sumT r -- sumT.2
```

```
maxT (Leaf2 x) = x -- maxT.1
```

```
maxT (Fork2 l r) = max (maxT l) (maxT r) -- maxT.2
```

InEquational Proof:  $\text{sumT } t \leq \text{leaves } t * \text{maxT } t \quad \{\text{Case.1}\}$

Induction variable:  $t$

$\{\text{Case.1}\}: t == \text{Leaf2 } x$

$\text{sumT } t$

$\{\text{Case.1}\} == \text{sumT } (\text{Leaf2 } x)$

$\{\text{sumT.1}\} == x$

$\{\text{neutr. } *\} == 1 * x$

$\{\text{leaves.1}\} == \text{leaves } (\text{Leaf2 } x) * x$

$\{\text{maxT.1}\} == \text{leaves } (\text{Leaf2 } x) * \text{maxT } (\text{Leaf2 } x)$

$\{\text{Case.1}\} == \text{leaves } t * \text{maxT } (\text{Leaf2 } x)$

$\{\text{Case.1}\} == \text{leaves } t * \text{maxT } t$

InEquational Proof:  $\text{sumT } t \leq \text{leaves } t * \text{maxT } t \quad \{\text{Case.2}\}$

Induction variable:  $t$

$\{\text{Case.2}\}: t == \text{Fork2 } l \ r$

$\text{sumT } t$

$\{\text{Case.2}\} == \text{sumT } (\text{Fork2 } l \ r)$

$\{\text{sumT.2}\} == \text{sumT } l + \text{sumT } r$

$\{\text{ind.hyp.}\} \leq \text{leaves } l * \text{maxT } l + \text{sumT } r$

$\{\text{ind.hyp.}\} \leq \text{leaves } l * \text{maxT } l + \text{leaves } r * \text{maxT } r$

$\{\text{max}\} \leq \text{leaves } l * (\text{max } (\text{maxT } l) (\text{maxT } r)) + \text{leaves } r * \text{maxT } r$

$\{\text{max}\} \leq \text{leaves } l * (\text{max } (\text{maxT } l) (\text{maxT } r))$   
 $+ \text{leaves } r * (\text{max } (\text{maxT } l) (\text{maxT } r))$

$\{\text{distr.}\} == (\text{leaves } l + \text{leaves } r) * \text{max } (\text{maxT } l) (\text{maxT } r)$

$\{\text{leaves.2}\} == \text{leaves } (\text{Fork2 } l \ r) * \text{max } (\text{maxT } l) (\text{maxT } r)$

$\{\text{maxT.2}\} == \text{leaves } (\text{Fork2 } l \ r) * \text{maxT } (\text{Fork2 } l \ r)$

$\{\text{Case.2}\} == \text{leaves } t * \text{maxT } (\text{Fork2 } l \ r)$

$\{\text{Case.2}\} == \text{leaves } t * \text{maxT } t$

# Observations

- **Multiple** use of the induction hypothesis may be useful or necessary
  - in case of structures with multiple recursive parts (e.g., trees)
  - in case of multiple instances of the induction variable
- Often one can identify a sequence of equations **quickly** if one expands function definitions
  1. top-down towards the middle and
  2. bottom-up towards the middleand then simplifies.
- In case of structures with **one base case** and **one induction case**, the  $\{.1\}$ -rules are usually used in the proof of the **base case** and the  $\{.2\}$ -rules in the proof of the **induction case**.

# List Laws and Fold

Attention: overall restriction to finite lists, not explicitly mentioned

- Decomposition laws: deconstruction of a list
- Duality laws: relation between `foldl` and `foldr`
- Fusion laws: merge of evaluation following `fold` with evaluation of `fold`
- Homomorphism laws: when is a function a list homomorphism?

## Definitions

```
foldl :: (a->b->a) -> a -> [b] -> a
foldl f e []      = e                      -- foldl.1
foldl f e (x:xs) = foldl f (f e x) xs      -- foldl.2

foldr :: (a->b->b) -> b -> [a] -> b
foldr f e []      = e                      -- foldr.1
foldr f e (x:xs) = f x (foldr f e xs)      -- foldr.2
```

# Fold-Decomposition Laws

- (foldl-dec.):  
 $\text{foldl } f \ a \ (xs++ys) = \text{foldl } f \ (\text{foldl } f \ a \ xs) \ ys$
- (foldr-dec.):  
 $\text{foldr } f \ a \ (xs++ys) = \text{foldr } f \ (\text{foldr } f \ a \ ys) \ xs$

If  $f$  **associative** with neutral element  $e$ :

- (foldl-ass.):  
 $\text{foldl } f \ e \ (xs++ys) = f \ (\text{foldl } f \ e \ xs) \ (\text{foldl } f \ e \ ys)$
- (foldr-ass.):  
 $\text{foldr } f \ e \ (xs++ys) = f \ (\text{foldr } f \ e \ xs) \ (\text{foldr } f \ e \ ys)$

Examples: exercise



# First Duality Law (1)

Let  $f$  be associative with neutral element  $e$ .

Then, for every finite list  $xs$ :  $\text{foldr } f \ e \ xs = \text{foldl } f \ e \ xs$

Proof by induction on the structure of  $xs$

{Case.1}:  $xs == []$

$\text{foldr } f \ e \ xs$

{ Case.1 } ==  $\text{foldr } f \ e \ []$

{foldr.1} ==  $e$

{foldl.1} ==  $\text{foldl } f \ e \ []$

{ Case.1 } ==  $\text{foldl } f \ e \ xs$

## First Duality Law (2)

{Case.2}: xs == (y:ys)

foldr f e xs

{ Case.2 } == foldr f e (y:ys)

{ foldr.2 } == f y (foldr f e ys)

{ ind.hyp. } == f y (foldl f e ys)

{ side proof } == foldl f (f y e) ys

{ neut. e } == foldl f y ys

{ neut. e } == foldl f (f e y) ys

{ foldl.2 } == foldl f e (y:ys)

{ Case.2 } == foldl f e xs

# First Duality Law, Side Proof (1) **unsuccessful!**

To prove:  $f\ y\ (\text{foldl}\ f\ e\ ys) = \text{foldl}\ f\ (f\ y\ e)\ ys$

{Case.1}:  $ys == []$

```
                f y (foldl f e ys)
{ Case.1    } == f y (foldl f e [])
{ foldl.1  } == f y e
{ foldl.1  } == foldl f (f y e) []
{ Case.1    } == foldl f (f y e) ys
```

# First Duality Law, Side Proof (2) **unsuccessful!**

To prove:  $f\ y\ (\text{foldl}\ f\ e\ ys) = \text{foldl}\ f\ (f\ y\ e)\ ys$

{Case.2}:  $ys == (z:zs)$

```
      f y (foldl f e ys)
{ Case.2  } == f y (foldl f e (z:zs))
{ foldl.2 } == f y (foldl f (f e z) zs)
{ neut. e } == f y (foldl f z zs)
{   ?   } == foldl f (f y z) zs
{ foldl.2 } == foldl f y (z:zs)
{ neut. e } == foldl f (f y e) (z:zs)
{ Case.2  } == foldl f (f y e) ys
```

In general, **z** is not the neutral element.  
Induction hypothesis must be **generalized!**

# First Duality Law, Side Proof (1) **successful**

To prove:  $f\ y\ (\text{foldl}\ f\ x\ ys) = \text{foldl}\ f\ (f\ y\ x)\ ys$

{Case.1}:  $ys == []$

```
                f y (foldl f x ys)
{ Case.1    } == f y (foldl f x [])
{ foldl.1  } == f y x
{ foldl.1  } == foldl f (f y x) []
{ Case.1    } == foldl f (f y x) ys
```

# First Duality Law, Side Proof (2) **successful**

To prove:  $f\ y\ (\text{foldl}\ f\ x\ ys) = \text{foldl}\ f\ (f\ y\ x)\ ys$

{Case.2}:  $ys == (z:zs)$

$f\ y\ (\text{foldl}\ f\ x\ ys)$

{ Case.2 } ==  $f\ y\ (\text{foldl}\ f\ x\ (z:zs))$

{ foldl.2 } ==  $f\ y\ (\text{foldl}\ f\ (f\ x\ z)\ zs)$

{ ind.hyp. } ==  $\text{foldl}\ f\ (f\ y\ (f\ x\ z))\ zs$

{ Ass. f } ==  $\text{foldl}\ f\ (f\ (f\ y\ x)\ z)\ zs$

{ foldl.2 } ==  $\text{foldl}\ f\ (f\ y\ x)\ (z:zs)$

{ Case.2 } ==  $\text{foldl}\ f\ (f\ y\ x)\ ys$

## Second Duality Law (1)

$$\text{foldr } f \ x \ xs = \text{foldl } (\text{flip } f) \ x \ (\text{reverse } xs)$$

Proof by induction on the structure of `xs`

{Case.1}: `xs == []`

`foldr f x xs`

`{Case.1 } == foldr f x []`

`{foldr.1} == x`

`{foldl.1} == foldl (flip f) x []`

`{ rev.1 } == foldl (flip f) x (reverse [])`

`{Case.1 } == foldl (flip f) x (reverse xs)`

## Second Duality Law (2)

{Case.2}: xs == y:ys

foldr f x xs

{ Case.2 } == foldr f x (y:ys)

{ foldr.2 } == f y (foldr f x ys)

{ flip } == flip f (foldr f x ys) y

{ foldl.1 } == foldl (flip f) (flip f (foldr f x ys) y) []

{ foldl.2 } == foldl (flip f) (foldr f x ys) [y]

{ ind.hyp. } == foldl (flip f) (foldl (flip f) x (reverse ys)) [y]

{ foldl-dec. } == foldl (flip f) x (reverse ys ++ [y])

{ reverse.2 } == foldl (flip f) x (reverse (y:ys))

{ Case.2 } == foldl (flip f) x (reverse xs)



# Use of the Second Duality Law

synthesis of an efficient implementation of `reverse`

<code>reverse xs</code>	<code>specification, see below</code>
<code>{ id } == id (reverse xs)</code>	
<code>{ foldr/id } == foldr (:) [] (reverse xs)</code>	
<code>{ 2.Dual } == foldl (flip (:)) [] (reverse (reverse xs))</code>	
<code>{ rev/rev } == foldl (flip (:)) [] xs</code>	<code>implementation in linear time</code>

---

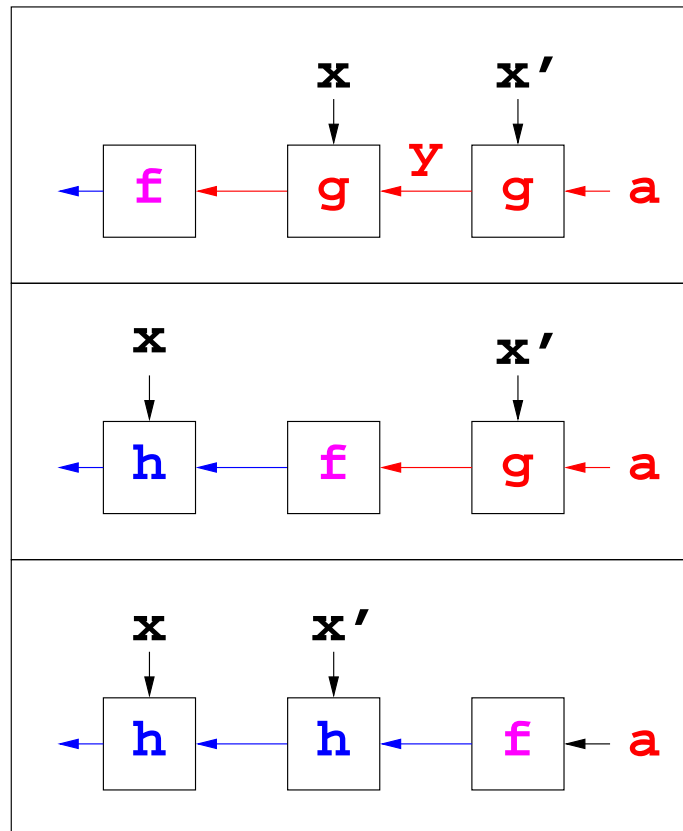
The second duality law uses the specification of `reverse` of quadratic time!

```
reverse []      = []           -- reverse.1
reverse (x:xs) = reverse xs ++ [x] -- reverse.2
```

# Fusion Laws (1: foldr-Fusion)

Let  $f$  be strict and assume  $f (g x y) = h x (f y)$ .

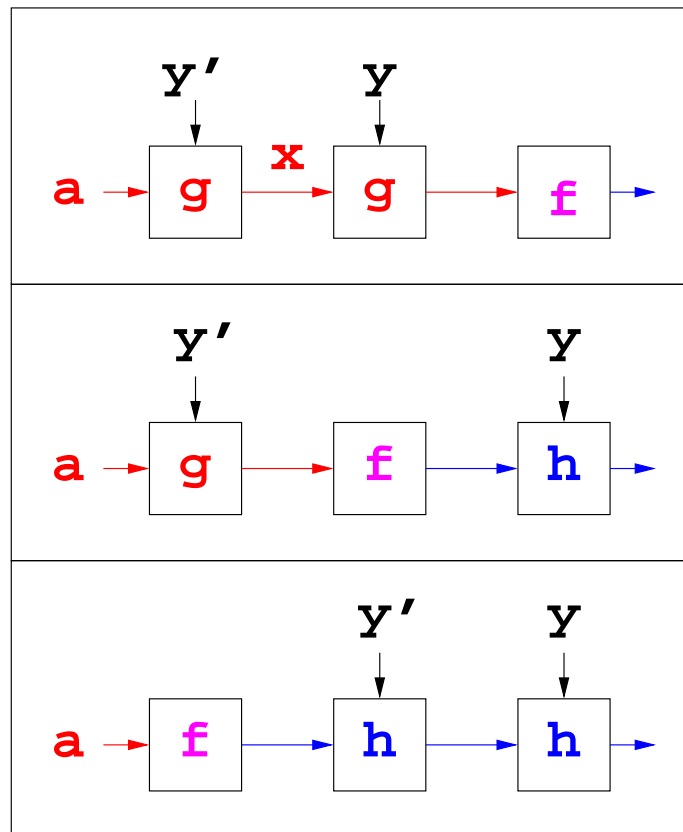
Then:  $f \cdot \text{foldr } g a = \text{foldr } h (f a)$



# Fusion Laws (2: foldl-Fusion)

Let  $f$  be strict and assume  $f (g x y) = h (f x) y$ .

Then:  $f \cdot \text{foldl } g a = \text{foldl } h (f a)$



## Further Fusion Laws

- fold/map-Fusion

`foldr f a . map g = foldr (f . g) a`

- Book-keeping law: for associative `f` with neutral element `e`

`foldr f e . concat = foldr f e . map (foldr f e)`

Instance of book-keeping (`f=(+)`, `e=0`):

`sum . concat = sum . map sum`

# Monoid

Monoid: semigroup with neutral element, notation  $(M, \oplus, e)$

- $M$  set
- $(\oplus): M \rightarrow M \rightarrow M$  total function,  $\oplus$  associative
- $e$  neutral element of  $\oplus$

Haskell examples:

- $(\text{Integer}, +, 0)$ , natural numbers with addition
- $([a], ++, [])$ , (finite) lists with append
- $(a \rightarrow a, ., \text{id})$ , functions with composition

# Monoid Homomorphism

- Let  $\underline{M}_1 = (M_1, \oplus_1, e_1)$  and  $\underline{M}_2 = (M_2, \oplus_2, e_2)$  be monoids
- **Monoid homomorphism**: mapping  $h : M_1 \rightarrow M_2$  with the properties
  1.  $h(e_1) = e_2$
  2.  $\forall m, m' \in M_1 : h(m \oplus_1 m') = h(m) \oplus_2 h(m')$

# List Homomorphisms

Examples of homomorphisms from  $\underline{M}_1 = ([a], ++, [])$  to  $\underline{M}_2 = (\text{Integer}, +, 0)$ :

- `length`
- `sum`
- `sum . map f`

There are many homomorphisms from  $\underline{M}_1$  to  $\underline{M}_2$ .  
Characterization: by the **generating set**

# Generating Set

- Let  $\underline{M} = (M, \oplus, e)$  be a monoid
- **Generating set**: subset  $A \subseteq M$ , such that every  $m \in M$  can be constructed by repeated application of  $\oplus$  from elements of  $A$  and  $e$ .
- Let  $\underline{M}_1 = ([a], ++, [])$
- Theorem: the one-element lists form a generating set for  $\underline{M}_1$   
(Proof: Peter Thiemann, *Grundlagen der funktionalen Programmierung*, Teubner, 1994, Chap. 6.1.)



# Examples of List Homomorphisms

Examples of homomorphisms from  $\underline{M}_1 = ([a], ++, [])$  to  $\underline{M}_2 = (M_2, \oplus, e)$ :

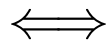
Name	$h \ [x]$	$e$	$(\oplus)$
<code>id</code>	<code>[x]</code>	<code>[]</code>	<code>(++)</code>
<code>map f</code>	<code>[f x]</code>	<code>[]</code>	<code>(++)</code>
<code>reverse</code>	<code>[x]</code>	<code>[]</code>	<code>(flip (++))</code>
<code>length</code>	<code>1</code>	<code>0</code>	<code>(+)</code>
<code>sum</code>	<code>x</code>	<code>0</code>	<code>(+)</code>
<code>product</code>	<code>x</code>	<code>1</code>	<code>(*)</code>
<code>sum . map f</code>	<code>f x</code>	<code>0</code>	<code>(+)</code>
<code>foldr g e . map f (*)</code>	<code>f x</code>	<code>e</code>	<code>g</code>

(\*)  $g$  is associative with neutral element  $e$

# First Homomorphism Law

Original: Richard Bird, 1988

Function  $h :: [a] \rightarrow b$  is a homomorphism



there are

- one associative function  $g$  with neutral element  $e$  and
- one function  $f$  with the property  $f\ x = h\ [x]$ ,

such that  $h$  can be written:  $h = \text{foldr } g\ e\ .\ \text{map } f$

# Definitions

A list function  $h$  is called

- $\oplus$ -left-homomorphic for a binary operator  $\oplus$  if and only if for all elements  $a$  and lists  $y$ :  $h([a] ++ y) = a \oplus h y$
- $\otimes$ -right-homomorphic for a binary operator  $\otimes$  if and only if for all lists  $x$  and elements  $a$ :  $h(x ++ [a]) = h x \otimes a$

Note:  $\oplus$  and  $\otimes$  need not be associative.

# Second Homomorphism Law (Specialization Law)

Original: Richard Bird, 1987

Every list homomorphism can be expressed as left-homomorphic and also as right-homomorphic list function, i.e.,

- Let mapping  $h$  from  $([\alpha], \#, [])$  to  $(\beta, *, e)$  be a homomorphism.
- Then there exist (with  $f\ a := h\ [a]$ ):
  1. an operator  $\oplus$  with  $a \oplus y = f\ a * y$ , such that  $h = foldr\ (\oplus)\ e$ ,
  2. an operator  $\otimes$  with  $x \otimes b = x * f\ b$ , such that  $h = foldl\ (\otimes)\ e$ .

# Third Homomorphism Law

due to Jeremy Gibbons, 1995

If  $h$  is left- and right homomorphic, then it is a homomorphism.

To prove: If  $h$  is left- and right-homomorphic, then there is an operator  $\odot$  such that  $h(x \mathbin{++} y) = h x \odot h y$ .  $\odot$  is associative since  $++$  is associative.

We need an explicit definition of  $\odot$ , i.e., a function  $g$  with

$$1. \ t \odot u = h (g t \mathbin{++} g u)$$

$$2. \ h \circ g \circ h = h$$

Idea:  $g$  yields representatives in the domain of  $h$  that are equivalent to  $x$  and  $y$ .

$$h x \odot h y = h (g (h x) \mathbin{++} g (h y)) = h (x \mathbin{++} y)$$

## Side Lemma 1 for the Proof of the Third Homomorphism Law

Side lemma 1.

For every computable function  $h$  with enumerable domain, there is a computable (possibly non-total) function  $g$  such that:  $h \circ g \circ h = h$ .

Proof. To compute  $g t$ , one can enumerate the domain of  $h$  and return the first  $x$  with:  $h x = t$ . This procedure terminates if  $t$  falls inside the range of  $h$ .

## Side Lemma 2 for the Proof of the Third Homomorphism Law

Side Lemma 2:

List function  $h$  is a homomorphism if and only if for all lists  $v, w, x$  und  $y$ :

$$h\ v = h\ x \wedge h\ w = h\ y \implies h\ (v ++ w) = h\ (x ++ y) .$$

Proof:

- $h$  is homomorphism  $\Rightarrow \exists \oplus :: h(v ++ w) = h\ v \oplus h\ w = h\ x \oplus h\ y = h(x ++ y)$
- Assume  $h\ v = h\ x \wedge h\ w = h\ y \implies h(v ++ w) = h(x ++ y)$  (\*)
  - choose  $g$  such that  $h \circ g \circ h = h$  (Side Lemma 1)
  - define  $\odot$  as  $t \odot u = h(g\ t ++ g\ u)$

$$h\ x \odot h\ y = \{\text{definition of } \odot\}$$

$$h(g(h\ x) ++ g(h\ y)) = \{ \text{let } v = g(h\ x) \text{ and } w = g(h\ y) \}$$

$$h(v ++ w) = \{ h\ v = h\ x \wedge h\ w = h\ y \wedge (*) \}$$

$$h(x ++ y)$$

Thus:  $h$  is homomorphism with operator  $\odot$  (neutral element:  $h\ []$ ).

## Proof of the Third Homomorphism Law

To prove:  $h$  is left- and right-homomorphic  $\implies h$  is homomorphism

- Assume:  $h$  is left- and right-homomorphic:  $h = \text{foldr } (\oplus) e = \text{foldl } (\otimes) e$
- To prove:  $h$  is homomorphism
- Show the according to Side Lemma 2 equivalent property:  
 $h v = h x \wedge h w = h y \implies h(v ++ w) = h(x ++ y)$ 
  - Assume  $h v = h x \wedge h w = h y$
  - To prove:  $h(v ++ w) = h(x ++ y)$  [next slide]



Proof:

$$\begin{aligned}
& h (v ++ w) \\
&= \{ h \text{ is left-homomorphic} \} \\
& foldr (\oplus) e (v ++ w) \\
&= \{ foldr\text{-decomposition} \} \\
& foldr (\oplus) (foldr (\oplus) e w) v \\
&= \{ h w = h y \} \\
& foldr (\oplus) (foldr (\oplus) e y) v \\
&= \{ foldr\text{-decomposition} \} \\
& foldr (\oplus) e (v ++ y) \\
&= \{ h \text{ is left-homomorphic} \} \\
& h (v ++ y) \\
&= \{ h \text{ is right-homomorphic} \} \\
& foldl (\otimes) e (v ++ y) \\
&= \{ foldl\text{-decomposition} \} \\
& foldl (\otimes) (foldl (\otimes) e v) y \\
&= \{ h v = h x \} \\
& foldl (\otimes) (foldl (\otimes) e x) y \\
&= \{ foldl\text{-decomposition} \} \\
& foldl (\otimes) e (x ++ y) \\
&= \{ h \text{ is right-homomorphic} \} \\
& h (x ++ y)
\end{aligned}$$

# Benefits of Homomorphisms

## **Mathematical:**

Homomorphisms are structure-preserving functions. One can operate in either the domain monoid or the range monoid (commuting diagram).

## **For programming:**

Homomorphisms support component-based software composition and generic software.

## **For performance:**

Homomorphisms help to avoid intermediate data structures and to gain parallelism. The corresponding optimizations can be identified and applied by the compiler.

# Use: Synthesis of a Sorting Algorithm

Insertion into a sorted list: `ins`

```
ins' a []          = [a]
ins' a (b:x) | a<=b = a : b : x
                | a>b  = b : ins' a x
```

```
ins = flip ins'
```

Sorting based on insertion:

- left-homomorphic: `sort' = foldr ins' []`
- right-homomorphic: `sort = foldl ins []`

Consequence of the third homomorphism law: `sort` is a homomorphism.

# Synthesis of a Sorting Algorithm

- Both the left- and right-homomorphic insertion sort require execution time in  $\Theta(n^2)$  for a list of length  $n$ .
- Goal: solution in which the list is divided into two approx. equally sized parts to reach an execution time in  $\Theta(n \cdot \log n)$ .
- Plan: synthesis of a sorting algorithm that
  - permits the division of an unsorted lists into two arbitrary non-empty parts
  - contains the left- and right-homomorphic insertion sort as special cases
- Specify the implementation of operator  $\odot$ , such that:  
`sort xs  $\odot$  sort ys == sort (xs ++ ys).`
- `sort` is a homomorphism from  $([a], ++, [])$  to  $([a]_{\text{sorted}}, \odot, [])$ .

# Synthesis of a Sorting Algorithm

$$\begin{array}{lcl}
 \{ u, v \text{ sorted} \} & & u \odot v \\
 & & = \\
 \{ \text{sort is homomorphism} \} & & \text{sort } u \odot \text{sort } v \\
 & & = \\
 \{ \text{sort} \} & & \text{sort } (u ++ v) \\
 & & = \\
 \{ \text{foldl-decomposition} \} & & \text{foldl ins [] } (u ++ v) \\
 & & = \\
 \{ \text{sort} \} & & \text{foldl ins (foldl ins [] u) } v \\
 & & = \\
 \{ u \text{ sorted} \} & & \text{foldl ins (sort u) } v \\
 & & = \\
 \{ \text{set mergeQ} = \text{foldl ins } (*) \} & & \text{foldl ins u } v \\
 & & = \\
 & & \text{mergeQ u } v
 \end{array}$$

(\*) Named `mergeQ` because of the following property of `foldl ins`:

$$\begin{aligned}
 \text{mergeQ u []} &== \text{foldl ins u []} == u \\
 \text{mergeQ u (b:v)} &== \text{foldl ins u (b:v)} \\
 &== \text{foldl ins (ins u b) v} == \text{mergeQ (ins u b) v}
 \end{aligned}$$

# Synthesis of a Sorting Algorithm

$u \odot v = \text{mergeQ } u \ v$

$\text{mergeQ } u \ [] = u$

$\text{mergeQ } u \ (b:v) = \text{mergeQ } (\text{ins } u \ b) \ v$

- $\text{mergeQ}$  exploits the property that  $u$  is sorted
- $\text{mergeQ}$  does **not** exploit that  $v$  is sorted  
 $\Rightarrow$  still quadratic execution time!!

Improvement of  $\text{mergeQ}$  to  $\text{merge}$ :

rewrite and exploit the sortedness of  $v$

## Improvement of `mergeQ` to `merge`

Shorthand: let  $a$  be an element and  $v$  a list:

$a \leq v$  means:  $a \leq b$  for all  $b$  in  $v$

Side lemma:

$$a \leq x \wedge a \leq y \Rightarrow (\text{foldl ins } (a:x) y) = (a : \text{foldl ins } x y)$$

Proof: by induction

# Improvement of `mergeQ` to `merge`

- Second list empty

<code>{ merge == mergeQ }</code>	<code>merge u []</code>
	<code>=</code>
<code>{ mergeQ.1 }</code>	<code>mergeQ u []</code>
	<code>=</code>
	<code>u</code>

- First list empty

<code>{ merge == mergeQ }</code>	<code>merge [] v</code>
	<code>=</code>
<code>{ def. mergeQ }</code>	<code>mergeQ [] v</code>
	<code>=</code>
<code>{ sort }</code>	<code>foldl ins [] v</code>
	<code>=</code>
<code>{ v ist sorted }</code>	<code>sort v</code>
	<code>=</code>
	<code>v</code>



# Improvement of `mergeQ` to `merge`

- Both lists not empty

```
{ merge == mergeQ }
  { def. mergeQ }
    { foldl.2 }
      merge (a:u) (b:v)
      =
      mergeQ (a:u) (b:v)
      =
      foldl ins (a:u) (b:v)
      =
      foldl ins (ins (a:u) b) v
      =
      ...
```

continue with case distinction  $a < b$  and  $a \geq b$

# Improvement of `mergeQ` to `merge` ( $a < b$ )

Assume:  $(a:u)$  and  $(b:v)$  sorted and  $a < b$

thus:  $a \leq u$ ,  $a \leq v$  and  $a \leq (\text{ins } u \ b)$

{ steps of previous slide }	<code>merge (a:u) (b:v)</code>
	<code>=</code>
{ <code>ins</code> $\wedge$ $a < b$ }	<code>foldl ins (ins (a:u) b) v</code>
	<code>=</code>
{ side lemma }	<code>foldl ins (a : ins u b) v</code>
	<code>=</code>
{ <code>foldl.2</code> }	<code>a : foldl ins (ins u b) v</code>
	<code>=</code>
{ def. <code>mergeQ</code> }	<code>a : foldl ins u (b:v)</code>
	<code>=</code>
{ <code>merge == mergeQ</code> }	<code>a : mergeQ u (b:v)</code>
	<code>=</code>
	<code>a : merge u (b:v)</code>

# Improvement of `mergeQ` to `merge` ( $a \geq b$ )

Assume:  $(a:u)$  and  $(b:v)$  sorted and  $a \geq b$

thus:  $b \leq (a:u)$  and  $b \leq v$

{ steps of next to previous slide }

{ `ins`  $\wedge$   $a \geq b$  }

{ side lemma }

{ def. `mergeQ` }

{ `merge == mergeQ` }

```

merge (a:u) (b:v)
=
foldl ins (ins (a:u) b) v
=
foldl ins (b:a:u) v
=
b : foldl ins (a:u) v
=
b : mergeQ (a:u) v
=
b : merge (a:u) v

```

# Improvement of `mergeQ` to `merge`, Summary

This yields for `merge` ...

```
merge []      v      = v
merge u      []      = u
merge (a:u) (b:v) | a < b = a : merge u (b:v)
                  | a >= b = b : merge (a:u) v
```

...and the two insertions sorts are special cases:

```
ins' a xs == merge [a] xs
ins xs a == merge xs [a]
```

# Resulting Sorting Algorithm: mergesort

```
mergesort :: Ord a => [a] -> [a]
mergesort [] = [] -- neutral element
mergesort [x] = [x] -- generating set
mergesort xs = let (ys,zs) = splitAt (length xs `div` 2) xs
                u = mergesort ys
                v = mergesort zs
                in merge u v -- operator in the domain
                                -- of the homomorphism

merge :: Ord a => [a] -> [a] -> [a]
merge [] v = v
merge u [] = u
merge (a:u) (b:v) | a<b = a : merge u (b:v)
                  | a>=b = b : merge (a:u) v
```

# Program Transformations

Seminal work by Rod Burstall / John Darlington (1977):

“A transformation system for developing recursive programs”

Use: transform an inefficient to an efficient program.

Types of transformations:

- **unfold**: replace the instance of a function name by its body
- **fold**: reverse of unfold
- **def**: introduce a local definition (**let**/**where**)
- **spec**: specialize

## Example: Fibonacci Numbers

Starting point: **an extremely inefficient program**

```
fib 0      = 0                -- fib.0
fib 1      = 1                -- fib.1
fib n | n>1 = fib (n-2) + fib (n-1)
fib (n+2)  = fib n + fib (n+1) -- fib.2
```

### Performance-improving transformations

(1) Introduce a local definition:

```
fib (n+2)  = z1 + z2  where (z1,z2) = (fib n, fib (n+1))
```

(2) Define an auxiliary function for the right side of `fib (n+2)`

```
fib2 n = (fib n, fib (n+1))           -- fib2
```

(3) Specialize

(a) `fib2 0 = (fib 0, fib 1) = (0,1)`

(b)

```
{ def. fib2 }    fib2 (n+1)
                  =
                  (fib (n+1), fib (n+2))
  { unfold }      =
                  (fib (n+1), fib (n+1) + fib n)
  { where }       =
                  (z2,z2+z1) where (z1,z2) = fib2 n
```

Thus:

```
{ fib.2 }        fib n
                  =
                  z1 where (z1,z2) = fib2 n
  { fst }         =
                  fst (fib2 n)
```



```
fib2 :: Integer -> (Integer,Integer)
fib2 0      = (0,1)
fib2 n | n>0 = (z2,z2+z1) where (z1,z2) = fib2 (n-1)
```

```
fib :: Integer -> Integer
fib n = fst (fib2 n)
```

or, with `foldl` in place of the recursion

```
fib :: Integer -> Integer
fib n = let f (z1,z2) _ = (z2,z2+z1)
         in fst (foldl f (0,1) [1..n])
```

## Homomorphism Properties of `fib`

- Goal: optimization of the evaluation of `foldl`
- Represent `n` as a list of `()` of length  $n$
- Homomorphism  $h : ([()], \#, []) \rightarrow (\mathbb{N}^2 \rightarrow \mathbb{N}^2, \circ, id)$

```
fib :: Integer -> Integer
```

```
fib n = fst (fibHom [ () | _ <- [1..n] ] (0,1))
```

```
fibHom :: [()] -> ((Integer,Integer)->(Integer,Integer))
```

```
fibHom xs = let f (z1,z2) = (z2,z2+z1)  
             in foldr (.) id (map (const f) xs)
```

## Further Improvements

- Explicit function composition is memory-intensive.
- Find algebraic ways of compacting the composition.

We know:

- $\mathbf{f}$  is a linear function  $\mathbf{f}(z_1, z_2) = (z_2, z_2 + z_1) = \left( \begin{pmatrix} 0 & 1 \\ 1 & 1 \end{pmatrix} \begin{pmatrix} z_1 \\ z_2 \end{pmatrix} \right)^T$ .
- The composition  $(g \circ f)$  of linear functions corresponds to matrix multiplication.

Next step: conversion of operator `foldr` to matrix multiplication.

## Introduction of a Type of 2x2-Matrices

```
data M2 a = M2 {upperLeft,upperRight,lowerLeft,lowerRight::a}  
    deriving (Eq,Show)
```

```
unitMat, fibMat :: M2 Integer
```

```
unitMat = M2 1 0
```

```
    0 1    -- (z1,z2) -> (z1,z2)
```

```
fibMat  = M2 0 1
```

```
    1 1    -- (z1,z2) -> (z2,z1+z2)
```

```
instance Num a => Num (M2 a) where
```

```
    (M2 a b  
     c d) *
```

```
        (M2 e f
```

```
          g h) = M2 (a*e+b*g) (a*f+b*h)
```

```
                (c*e+d*g) (c*f+d*h)
```

## Fibonacci Computation as Matrix Multiplication

```
fib :: Integer -> Integer
fib n = upperRight (fibHom' [ () | _ <- [1..n] ])

fibHom' :: [()] -> M2 Integer
fibHom' xs = foldr (*) unitMat (map (const fibMat) xs)
-- was:      foldr (.) id      (map (const f      ) xs)
```

## Further Optimization: Efficient Computation of Power

```
fibOpt :: Integer -> Integer  
fibOpt n = upperRight (fibMat^n)
```

Execution times (obtained with ghci in seconds, ignoring output)

n	binary rec.	linearly rec.	foldr (.)	foldr (*)	fibOpt
30	5.38	—	—	—	—
31	8.70	—	—	—	—
1000	—	0.01	0.00	0.01	0.00
10000	—	0.12	0.10	0.42	0.00
100000	—	12.19	11.62	87.28	0.01
1000000	—	—	—	—	0.26
10000000	—	—	—	—	8.39

# Maximum Segment Sum

Goal: maximum of the sums of all segments in a list of integer numbers

Bsp.:  $[-3, 4, -7, 2, 4, -5, 2, 3, 7, -2, -1, 9, 3, -15, 6, -2, 9, -7] \rightarrow 22$

Imperative problem solutions (see Jon Bentley: Programming Pearls)

- compute of all segments:  $\Theta(n^3)$
- update partial sums incrementally:  $\Theta(n^2)$
- divide and conquer:  $\Theta(n \cdot \log n)$
- scan algorithm:  $\Theta(n)$

Here: formal synthesis

- functional scan algorithm  $\Theta(n)$

# Maximum Segment Sum

Specification:

```
mss :: [Integer] -> Integer
```

```
mss = let segs = concat . map inits . tails  
      in maximum . map sum . segs
```

- **tails**: final segments, e.g., `tails [1,2,3]  $\rightsquigarrow$  [[1,2,3], [2,3], [3], []]`
- **inits**: initial segment, e.g., `map inits (tails [1,2,3])  $\rightsquigarrow$  [[[], [1], [1,2], [1,2,3]], [[[], [2], [2,3]], [[[], [3]], [[]]]]`
- **segs**: all segments,  
e.g., `segs [1,2,3]  $\rightsquigarrow$  [[[], [1], [1,2], [1,2,3], [], [2], [2,3], [], [3], []]`



## Reduction of the Complexity from $\Theta(n^3)$ to $\Theta(n)$

```

{definition mss}      mss
                      =
                      maximum . map sum . concat . map inits . tails
  {concat/map}        =
                      maximum . concat . map (map sum) . map inits . tails
    {map/.}           =
                      maximum . concat . map (map sum . inits) . tails
{book-keeping}        =
                      maximum . map maximum . map (map sum . inits) . tails
    {map/.}           =
                      maximum . map (maximum . map sum . inits) . tails
      {map/sum}        =
                      maximum . map (maximum . scanl (+) 0) . tails
{def. maximum}        =
                      maximum . map (foldr1 max . scanl (+) 0) . tails
{foldr/scanl}         =
                      maximum . map (foldr (⊙) 0) . tails

                      where x⊙y = max x (x+y)
      {map/foldr}      =
                      maximum . scanr (⊙) 0   where x⊙y = max x (x+y)

```

# Fusion of foldr1 and scanl

Let  $\oplus$  be associative,  $\otimes$  associative,  $e$  neutral wrt.  $\otimes$  and  $\oplus$  left-distributive over  $\otimes$  (i.e.,  $x \oplus (y \otimes z) = (x \oplus y) \otimes (x \oplus z)$ ). Then:

$$\text{foldr1 } \oplus . \text{scanl } \otimes e = \text{foldr } \odot e$$

with  $x \odot y = x \otimes (e \oplus y)$ .

Example of maximum segment sum:

(+) distributes over max, thus:

$$\text{foldr1 max} . \text{scanl } (+) 0 = \text{foldr } (\odot) 0$$

with  $x \odot y = x + \max 0 y = \max x (x+y)$ .

$$\begin{aligned} & (\text{foldr1 } (\oplus) . \text{scanl } (\otimes) e) [a_1, \dots, a_n] \\ &= e \oplus e \otimes a_1 \oplus e \otimes a_1 \otimes a_2 \oplus \dots \oplus e \otimes a_1 \otimes \dots \otimes a_n \\ &= e \otimes (e \oplus a_1 \oplus a_1 \otimes a_2 \oplus \dots \oplus a_1 \otimes \dots \otimes a_n) \\ &= e \otimes (e \oplus a_1 \otimes (e \oplus a_2 \otimes (\dots \otimes (e \oplus a_n)))) \end{aligned}$$