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# A FORMAL VERIFICATION OF REVERSIBLE PRIMITIVE PERMUTATIONS

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# Introduction

A **proof assistant** or **theorem prover** is a software designed to help with the development of formal proofs.

# 1. The definition

# 1.1 Reversible computing

Reversible computing is a model of computation in which every process can be run backwards [3]. Simply put, in a reversible setting any program takes inputs and gives outputs (like usual), but can also go the other way around: provided the output it can reconstruct the input. In a mathematical sense, every function is expected to be invertible.

Why do we care about such a thing?

Firstly, having a programming language in which every function (or even a subset of functions) is reversible could lead to interesting and practical applications.

But we can also imagine reversible computers, in which the underlying architecture is inherently reversible: Toffoli gates provide a way to do so. The opposite of reversibility is loss of information, which (for thermodynamic reasons) leads to loss of energy and heat dissipation. This means that a non-reversible gate dissipates energy each time information is discarded, while in principle a reversible computer wouldn't.

Lastly, reversible computing is directly related to quantum computing, as each operation in a quantum computer must be reversible.

#### 1.2 Reversible Primitive Permutations

In the article we decided to formalize [8], the authors focus on providing a functional model of reversible computation. They develop an inductively defined set of functions, called **Reversible Primitive Permutations** or **RPP**, which are expressive enough to represent all Primitive Recursive Functions - that is to say, RPP is PRF-complete (we talk about what this means in section 2.6). Here is the definition that we will use:

**Definition 1** (Reversible Primitive Permutations). The class of **Reversible Primitive Permutations** or RPP is the smallest subset of functions  $\mathbb{Z}^n \to \mathbb{Z}^n$  satisfying the following conditions:

• The *n*-ary **identity**  $\mathsf{Id}_n(x_1,\ldots,x_n)=(x_1,\ldots,x_n)$  belongs to RPP, for all  $n\in\mathbb{N}$ .

$$\begin{array}{c|c} x_1 \\ \vdots \\ x_n \end{array} \operatorname{Id}_n \begin{array}{c} x_1 \\ \vdots \\ x_n \end{array}$$

The meaning of these diagrams should be fairly obvious: if the values on the left of a function are provided as inputs to that function, we get the values on the right as outputs.

• The **sign-change** Ne(x) = -x belongs to RPP.

$$x$$
 Ne  $-x$ 

• The successor function Su(x) = x + 1 belongs to RPP.

$$x$$
 Su  $x+1$ 

• The **predecessor function** Pr(x) = x - 1 belongs to RPP.

$$x \quad \mathsf{Pr} \quad x-1$$

• The swap Sw(x, y) = (y, x) belongs to RPP.

$$\begin{pmatrix} x \\ y \end{pmatrix}$$
 Sw  $\begin{pmatrix} y \\ x \end{pmatrix}$ 

• If  $f: \mathbb{Z}^n \to \mathbb{Z}^n$  and  $g: \mathbb{Z}^n \to \mathbb{Z}^n$  belong to RPP, then the **series composition**  $(f \, ; g): \mathbb{Z}^n \to \mathbb{Z}^n$  belongs to RPP and is such that:

$$(f \, ; g)(x_1, \dots, x_n) = g(f(x_1, \dots, x_n)) = (g \circ f)(x_1, \dots, x_n).$$

We remark that  $f \circ g$  means that f is applied first, and then g, in opposition to the standard functional composition (denoted by  $\circ$ ).

• If  $f: \mathbb{Z}^n \to \mathbb{Z}^n$  and  $g: \mathbb{Z}^m \to \mathbb{Z}^m$  belong to RPP, then the **parallel** composition  $(f||g): \mathbb{Z}^{n+m} \to \mathbb{Z}^{n+m}$  belongs to RPP and is such that:

$$(f||g)(x_1,\ldots,x_n,y_1,\ldots,y_m)=(f(x_1,\ldots,x_n),g(y_1,\ldots,y_m)).$$

• If  $f: \mathbb{Z}^n \to \mathbb{Z}^n$  belongs to RPP, then then finite iteration  $\mathsf{lt}[f]: \mathbb{Z}^{n+1} \to \mathbb{Z}^{n+1}$  belongs to RPP and is such that:

$$\mathsf{lt}[f](x, x_1, \dots, x_n) = (x, (\overbrace{f \circ \dots \circ f})(x_1, \dots, x_n))$$

where  $\downarrow (\cdot) : \mathbb{Z} \to \mathbb{N}$  is defined as

$$\downarrow x = \begin{cases} x, & \text{if } x \ge 0 \\ 0, & \text{if } x < 0 \end{cases}.$$

This means that the function f is applied  $\downarrow x$  times to  $(x_1, \ldots, x_n)$ .

• If  $f, g, h : \mathbb{Z}^n \to \mathbb{Z}^n$  belong to RPP, then the **selection**  $\mathsf{lf}[f, g, h] : \mathbb{Z}^{n+1} \to \mathbb{Z}^{n+1}$  belongs to RPP and is such that:

$$\mathsf{If}[f,g,h](x,x_1,\dots,x_n) = \begin{cases} (x,f(x_1,\dots,x_n)), & \text{if } x > 0\\ (x,g(x_1,\dots,x_n)), & \text{if } x = 0\\ (x,h(x_1,\dots,x_n)), & \text{if } x < 0 \end{cases}$$

We remark that the argument x which determines which among f, g and h must be used cannot be among the arguments of f, g and h, as that would break reversibility.

Remark 1. If we have two functions of different arity, for example  $f: \mathbb{Z}^3 \to \mathbb{Z}^3$  and  $g: \mathbb{Z}^5 \to \mathbb{Z}^5$ , then we will still write  $f \ \ g$  to mean the function with arity  $\max(3,5) = 5$  given by  $(f \| \mathsf{Id}_2) \ g$ . In general, the arity of the "smaller" function

can be enlarged by a suitable parallel composition with the identity. The same goes for the arguments of the selection  $\mathsf{If}[f,g,h]$ .

# 1.3 Some examples

In order to get accustomed to this definition, let's see some examples.

**Increment and decrement** Let's try to imagine what addition should look like in RPP. Of course, addition is usually thought of as a function which takes two inputs and yields their sum: something like add(x,y) = x + y. But notice that this operation is not reversible: given only the output (the value x + y) it is impossible to obtain the original values (x,y). As we will see, every function in RPP is reversible, so we will not be able to define addition in this way.

Instead, we can define a function inc in RPP which, given  $n \in \mathbb{N}$  and  $x \in \mathbb{Z}$ , yields

$$\frac{n}{x}$$
 inc  $\frac{n}{x+n}$ 

If n is negative the output is just (n, x). The fact that the above diagram is only valid for  $n \in \mathbb{N}$  might bother some readers; we'll explain later why it is so, and how we can also make it work for  $n \in \mathbb{Z}$ .

For now let's focus on the output: we don't just have x + n but also n, and indeed, given both n and x + n we can reconstruct n (obviously) and x (by (x + n) - n). As a matter of fact, the following function dec also belongs to RPP:

$$\begin{pmatrix} n \\ x \end{pmatrix} \det \begin{pmatrix} n \\ x-r \end{pmatrix}$$

and if we try to compose inc and dec we get this remarkable result:

$$\begin{bmatrix} n \\ x \end{bmatrix}$$
 inc  $\begin{bmatrix} n \\ x+n \end{bmatrix}$  dec  $\begin{bmatrix} n \\ x \end{bmatrix}$ 

and similarly for  $dec \ \ \ inc.$  So indeed dec is the inverse of inc, and we can write  $dec = inc^{-1}$ .

But we haven't said how to actually define inc. Well, just like this:

$$inc = It[Su]$$

This means that we apply the successor function Su to the value x, for  $\downarrow n$  times. If  $n \in \mathbb{N}$  then  $\downarrow n = n$ , so we effectively add n to the value x. If instead n is negative then  $\downarrow n = 0$  and nothing changes.

Can the reader guess how dec is defined?

In a very similar manner, using the predecessor function:

$$dec = It[Pr]$$

and as we will shortly see, finding the inverse is not something that we have to do by hand.

Multiplication and square We now turn our attention to multiplication. The elementary-school way to define multiplication is by repeated addition, and we can define mul exactly like that:

$$mul = It[inc].$$

As inc had arity 2, mul has arity 2+1=3. If  $n,m\in\mathbb{N}$  and  $x\in\mathbb{Z}$  then we have

$$\begin{bmatrix} n & m & n \\ m & m & m \\ x & x + n \cdot m \end{bmatrix}$$

because we're essentially "incrementing by m" n times; so in this case we preserve both inputs and increase a certain variable x.

What is the inverse  $mul^{-1}$ ? Does it perform division? Well, the truth is rather disappointing:

$$\begin{array}{c|c} n & n \\ m & \text{mul}^{-1} & m \\ x & x - n \cdot m \end{array}$$

We will see a way to calculate division in RPP, but this is not it.

We're now ready to define the function square which is used to calculate the square of a number:

square = 
$$(Id_1||Sw)$$
  $\frac{1}{9}$  inc  $\frac{1}{9}$  mul  $\frac{1}{9}$  dec  $\frac{1}{9}$   $(Id_1||Sw)$ .

That might look like a very complicated expression; thankfully we can make use of diagrams to show what each step does. Given  $n \in \mathbb{N}$  and  $x \in \mathbb{Z}$  we have

so we add the result  $n \cdot n$  to a variable x; we also require an additional value initialized to 0. We will make frequent use of variables initially set to 0 and which come back to 0 after the calculation; these are traditionally called **ancillary arguments** or **ancillaes**, from the latin term used to describe female house slaves in ancient Rome [3].

The reader might be wondering what would happen if n < 0 or the ancilla was different from 0. The truth is, we don't really care. We will often specify the behaviour of these functions given some initial values, and we won't need to know what happens for different initial values because we'll never use those functions in other ways.

# 1.4 Calculating the inverse

Earlier we hinted at the fact that every function in RPP is invertible and the inverse belongs to RPP; furthermore, we don't need to perform the calculation manually, case by case. In other words, there is an effective procedure which produces the inverse  $f^{-1} \in \text{RPP}$  given any  $f \in \text{RPP}$ .

**Proposition 1** (The inverse  $f^{-1}$  of any f). Let  $f: \mathbb{Z}^n \to \mathbb{Z}^n$  belong to RPP. Then the inverse  $f^{-1}: \mathbb{Z}^n \to \mathbb{Z}^n$  exists, belongs to RPP and, by definition, is

- $\operatorname{Id}_n^{-1} = \operatorname{Id}_n$
- $Ne^{-1} = Ne$
- $Su^{-1} = Pr$
- $Pr^{-1} = Su$
- $Sw^{-1} = Sw$
- $(f \circ g)^{-1} = g^{-1} \circ f^{-1}$
- $(f||g)^{-1} = f^{-1}||g^{-1}||$
- $lt[f]^{-1} = lt[f^{-1}]$
- $If[f,g,h]^{-1} = If[f^{-1},g^{-1},h^{-1}]$

*Proof.* By induction on the definition of f.

Well, that was rather succinct.

We invite the reader to check that every listed inverse does indeed make sense; for example, the function  $\mathsf{lt}[f](x,y_1,\ldots,y_n)$  applies  $\downarrow x$  times the function f to the argument  $(y_1,\ldots,y_n)$ . If we want to "undo" this effect we just need to apply  $\downarrow x$  times  $f^{-1}$  to the same argument, so  $\mathsf{lt}[f]^{-1} = \mathsf{lt}[f^{-1}]$ .

Of course, that reasoning only works if in turn f is also invertible and  $f^{-1} \in \mathsf{RPP}$ . This is the reason that the proof is by induction: given an arbitrary  $\mathsf{RPP}$ , if we unfold one step of the definition we get one of the cases listed. We apply the appropriate step and then by inductive hypothesis we can assume that in turn its sub-terms are invertible.

Notice that in this way, if we try to calculate  $\mathsf{inc}^{-1}$  we really do get  $\mathsf{dec}$ , as we had hoped for.

Since RPP is inductively defined, any proposition involving RPP functions can be proven using induction. Not only that, but any function which has for an argument a generic RPP can be defined recursively, and indeed we can also see  $(\cdot)^{-1}$ : RPP  $\to$  RPP as a recursive function. Now that we delve into the Lean theorem prover we will see that induction and recursion can be seen as really the same thing, and that's just one of many similarities between functions and proofs.

# 1.5 First steps with Lean

In this section we take a look at some of Lean's basic features.

In Lean we primarily do three things:

- 1. define data structures
- 2. define functions
- 3. prove theorems about data structures and functions

What sets Lean apart from your average functional programming language (like Haskell) is the third item on the list. Now we will instead focus on the first and second points.

The reader isn't expected to understand every detail of what will follow - a vague understanding of what's going on would be sufficient. Most of the following snippets of code can be run and played with in the online editor<sup>1</sup>, while those pertaining RPP require more set-up<sup>2</sup>.

A simple example of a type Data is defined using the inductive keyword. Here is the typical example of data structure [3]:

```
inductive weekday : Type
| monday : weekday
| tuesday : weekday
| wednesday : weekday
| thursday : weekday
| friday : weekday
| saturday : weekday
| sunday : weekday
```

This defines a *type* called weekday. Days of the week like monday, tuesday, etc. are elements of the type weekday. We can see the type of an element by using the #check command:

```
-- opening the scope weekday (otherwise to refer
-- to an element - for example tuesday - of weekday
-- we have to write weekday.tuesday)
open weekday
#check tuesday -- this outputs "weekday"
and we write this as
tuesday : weekday
```

<sup>&</sup>lt;sup>1</sup>https://leanprover-community.github.io/lean-web-editor/.

<sup>&</sup>lt;sup>2</sup>The code can be found at https://github.com/GiacomoMaletto/RPP/tree/main/Lean, and uses Mathlib [3].

Everything in Lean has a type (and only one). For example, natural numbers have type  $\mathbb{N}$ :

```
#check 3 -- N
```

Even type themselves have a type<sup>3</sup>. Lean's type system is very expressive, and makes it possible to work with complex math in Lean.

We can define functions over the type weekday - for example, the function next:

```
-- Special characters like 
ightarrow will abound.
-- In VS Code and the Lean Web Editor,
-- arrows can be inserted by typing \to and hitting
-- the space bar.
\operatorname{\mathtt{def}} next : weekday \to weekday
             := tuesday
monday
| tuesday
            := wednesday
| wednesday := thursday
| thursday := friday
| friday
             := saturday
| saturday := sunday
sunday
              := monday
#reduce next wednesday -- this outputs "thursday"
\# check \ next \ -- \ next \ has \ type \ "weekday 
ightarrow \ weekday"
```

This function is defined by cases: if we have monday, output tuesday, if we have tuesday, output wednesday, and so on.

(Almost [4]) every expression - like next (next thursday) or 3\*5+2 - have a corresponding reduced form (respectively saturday and 17) which can be displayed using the #reduce command, and is obtained by repeatedly applying functions to their arguments, until the full computation is carried out. In this sense, things like next wednesday and next (next tuesday) (or 2+2 and 1+3) are definitionally equivalent, because they're reduced to the same expression.

An important remark on notation: in math it is customary to call functions by enclosing arguments in parenthesis and separating them with commas, i.e. f(x, y, z). Languages like Lean follow a different convention: the arguments are simply written after the function name, like f x y z. So in our case, what we would write as next(next(thursday)) is instead written next(next(thursday))

<sup>&</sup>lt;sup>3</sup>Types in Lean have a role similar to sets in math. Standard math axioms (like ZFC) dictates that everything is a set, including sets themselves. This basic notion can lead to some contradictory statements, like the famous Russell's paradox (let's consider the set of all sets that do not contain themselves; does this set contain itself?) and if one is not careful in defining types of types, the same thing could happen with type theory. But in fact, type theory was invented in the beginning of the 20th century by Bertrand Russell precisely to avoid Russell's paradox. The approach used in Lean is to define a cumulative hierarchy of universes Type: Type 1: Type 2..., so that it's impossible to invoke objects like "the type of all types" or a type having itself as an element. [4]

(writing next next thursday would be wrong because it would mean that the first argument to next is the function next itself, not next thursday). This leads to no ambiguity and often helps reducing clutter.

An example of an inductive type Right now the reader could be wondering why we used the keyword inductive to define weekday, when there's *clearly* no induction going on at all in its construction. First of all, it depends on what is meant by induction; but it is true that that was a particularly simple case. As an example of a more overtly inductive object, we can define the natural numbers like this:

```
inductive Nat : Type
| Zero : Nat
| Succ (n : Nat) : Nat
```

The name Nat and subsequent objects are capitalized in order to avoid conflict with the definition of nat already present in Lean. We can read this definition as "every element of the type Nat is either Zero or Succ n where n : Nat", which is basically the Peano definition of natural numbers. Some examples of elements of this type:

#### open Nat

```
-- all these outputs "Nat"

#check Zero -- represents 0

#check Succ Zero -- represents 1

#check Succ (Succ Zero) -- represents 2

#check Succ (Succ (Succ Zero)) -- represent 3

#check Zero.Succ.Succ -- also represents 3

-- alternative notation
```

Functions over  $\mathtt{Nat}$  have the possibility of being truly recursive: for example, we can recursively define addition  $\mathtt{Add}$  m n by induction over n.

```
if n = Zero then Add m Zero = m
if n = Succ n' for some n' : Nat,
then Add m (Succ n') = Succ (Add m n').
```

Note that by definition each element of Nat can be either Zero or Succ n' for some n': Nat, so the two cases considered cover all possibilities. Written in Lean,

```
\begin{array}{lll} \textbf{def} & \textbf{Add} & : \; \textbf{Nat} \; \rightarrow \; \textbf{Nat} \; \rightarrow \; \textbf{Nat} \\ \mid \; \textbf{m} \; \; \textbf{Zero} & := \; \textbf{m} \\ \mid \; \textbf{m} \; \; (\textbf{Succ} \; \textbf{n'}) \; := \; \textbf{Succ} \; \; (\textbf{Add} \; \textbf{m} \; \textbf{n'}) \end{array}
```

It may have struck you that the type of Add is not Nat  $\times$  Nat  $\to$  Nat but instead Nat  $\to$  Nat  $\to$  Nat. This is known as currying [3], and it's not as strange as it might look like at first. Consider this: we can think of Add as

a function which takes a pair  $(m,n): Nat \times Nat$  and outputs Add m n: Nat, as is standard in mathematics. But we can also think of it as a function which takes just m: Nat and outputs the function Add m: Nat  $\to$  Nat, which in turn given n: Nat outputs Add m n: Nat. We can think of Add m as a partially applied function, which becomes fully applied when it is given another argument n. From this point of view, Add is a function of type Nat  $\to$  Nat  $\to$  Nat  $\to$  Nat  $\to$  Nat because in Lean the arrow  $\to$  is right associative.

In a certain sense, currying makes functions conceptually simpler; all functions are single variable, it's just that some return other functions.

**Integers and lists** Functions belonging to RPP have  $\mathbb{Z}^n$  as their domain and codomain, so we need a way to represent and work with integer tuples.

The good news is that integers are already defined in Lean. Here is their definition:

```
inductive int : Type
| of_nat (n : \mathbb{N}) : int
| neg_succ_of_nat (n : \mathbb{N}) : int
```

The value of\_nat n represents the natural number  $n: \mathbb{N}$  as an integer, while  $neg\_succ\_of\_nat$  n represents the negative number -(n+1). Of course it's not the definition we've just seen that gives this meaning to the ints; rather, it's the functions defined on them (like addition, subtraction etc.).

Immediately after the definition, some notation is introduced:

- Z stands for int
- in a context in which an integer is expected, if instead a natural number is supplied, the function of\_nat will be automatically applied on the natural number. This convenient feature is called coercion.
- for every n: N, -[1+ n] stands for neg\_succ\_of\_nat n. This notation is almost never used.

```
notation '\mathbb{Z}' := int instance : has_coe nat int := \langle \text{int.of_nat} \rangle notation '-[1+ ' n ']' := int.neg_succ_of_nat n As an example of a function from \mathbb{Z} to \mathbb{Z}, this is negation: def neg : \mathbb{Z} \to \mathbb{Z} | (of_nat n) := neg_of_nat n | -[1+ n] := succ n
```

We're interested not just in integers, but in tuples of integers. We can implement the concept of a tuple in many ways, but a particularly simple one is through the use of lists, a very common data structure in computer science.

Let's consider lists of natural numbers, i.e. the type list  $\mathbb{N}$ . This is a list of 5 elements:

```
open list
#reduce [4, 5, 7, 2, 5] -- [4, 5, 7, 2, 5]

The first element of a list is the head
#reduce head [4, 5, 7, 2, 5] -- 4

while the other elements are the tail.
#reduce tail [4, 5, 7, 2, 5] -- [5, 7, 2, 5]

Given n: N and X: list N we can obtain a new list cons n X (also written as n:: X) such that head (n:: X) = n and head (n:: X) = X

#reduce cons 2 [4, 5, 7, 2, 5] -- [2, 4, 5, 7, 2, 5]
#reduce 2:: [4, 5, 7, 2, 5] -- alternative notation
and ultimately, every list can be obtained by starting with nil, the empty list, and repeatedly using cons.

#reduce nil -- the empty list
#reduce [] -- alternative notation
#reduce cons 4 (cons 5 (cons 7 (cons 2 (cons 5 nil))))
```

```
#reduce cons 4 (cons 5 (cons 7 (cons 2 (cons 5 nil))))

-- [4, 5, 7, 2, 5]

#reduce 4 :: 5 :: 7 :: 2 :: 5 :: []

-- alternative notation
```

This might suggest a definition of lists of naturals: a list\_nat is either the empty list nil\_nat, or cons\_nat hd tl where hd :  $\mathbb{N}$  and tl : list\_nat are respectively the head and tail of the list:

```
inductive list_nat : Type
| nil_nat : list_nat
| cons_nat (hd : N) (tl : list_nat) : list_nat
```

There's nothing special about using natural numbers. We can use the same procedure to define lists of integers:

```
inductive list_int : Type
| nil_int : list_int
| cons_int (hd : Z) (tl : list_int) : list_int
```

but having to define different types of lists for each type of element is pretty cumbersome. Instead, we can define lists for a generic type T using dependent types:<sup>4</sup>

```
inductive list (T : Type) : Type
| nil : list
| cons (hd : T) (tl : list) : list
```

 $<sup>^4</sup>$ a Lean user would probably frown at this, because it would be best to choose an explicit universe u and work with Type u.

Rather than having list\_nat, list\_int... we use list  $\mathbb{N}$ , list  $\mathbb{Z}$ ... list  $\alpha$  where  $\alpha$  is any type.

We can see how useful dependent types are by defining the function length which returns the number of elements of a list:

```
 \begin{array}{lll} \operatorname{def} \ \operatorname{length} \ \{\alpha \ : \ \operatorname{Type*}\} \ : \ \operatorname{list} \ \alpha \to \mathbb{N} \\ | \ [] & := \ 0 \\ | \ (a \ :: \ X) \ := \ \operatorname{length} \ X \ + \ 1 \\ \end{array}
```

Note that we can use  $\{\alpha : \text{Type*}\}\$  to refer to a generic type  $\alpha$ . If instead we had stuck to list\_nat, list\_int... now we would have to define length\_nat, length\_int... separately for each type.

We will identity tuples of n elements  $\mathbb{Z}^n$  with lists in list  $\mathbb{Z}$  of length n.

#### 1.6 The definition in Lean

**Syntax and semantics** Let's now ask ourselves: how can we define in a satisfactory way the class of functions RPP in Lean, using just types and functions? We'd like to be able to do proofs by induction over RPP, like in proposition 1, so we'll need to define an inductive type.

The key is thinking about RPP not as a class of functions, but as a small programming language. In this sense, we can write down "programs" like our square function

```
(Id_1||Sw) ; inc ; mul ; dec ; (Id_1||Sw)
```

but we should not view it only as a function belonging to  $\mathbb{Z}^3 \to \mathbb{Z}^3$ , but also as the sentence " $(Id_1||Sw)$ ; inc; mul; dec;  $(Id_1||Sw)$ " which can then be interpreted as the mathematical function belonging to  $\mathbb{Z}^3 \to \mathbb{Z}^3$ .

We thus separate between the *syntax* and the *semantics* of our language.

- The syntax are the rules which governs how to assemble well-structured sentences. For example, the selection symbol If should be followed by three other RPP functions; if we write If[Su, Pr]; Ne we get a non-valid sentence.
- The semantics is the meaning we give to (well-structured) sentences in our case, they are interpreted as functions  $\mathbb{Z}^n \to \mathbb{Z}^n$ .

A possible way to define RPP functions in Lean is

- define the type RPP which has for elements syntactically-correct sentences of RPP
- define a function evaluate : RPP  $\to (\mathbb{Z}^n \to \mathbb{Z}^n)$  which assigns to each RPP-sentence its intended meaning, namely a function  $\mathbb{Z}^n \to \mathbb{Z}^n$ .

Note that this is not the only way in which this task can be accomplished; we will discuss other methods in section 2.7.

We thus define the type RPP as follows:

```
inductive RPP : Type
| Id (n : \mathbb{N}) : RPP
| Ne : RPP
| Su : RPP
| Pr : RPP
| Sw : RPP
| Co (f g : RPP) : RPP
| Pa (f g : RPP) : RPP
| It (f : RPP) : RPP
| If (f g h : RPP) : RPP
and also introduce custom notation:
-- the numbers 50 and 55 denote the precedence -
-- simply put, Ne ;; Su \parallel Pr is interreted as
-- Ne ;; (Su \parallel Pr), not (Ne ;; Su) \parallel Pr
infix ';;' : 50 := Co
infix '|| ' : 55 := Pa -- \Vert ||
so it's now possible to write expressions like
#check It Su ;; (Id 2 || If Sw Pr Su) -- RPP
```

Remember that by remark 1, it makes sense to consider the series composition of functions of different arity, as long as we give them the meaning specified in the remark.

Talking about arity, how do we deal with it? In order to define evaluate and give meaning to RPP, we must be able to define a concept of arity, otherwise we'll have trouble with parallel composition of two functions  $\mathbf{f} \parallel \mathbf{g}$  - the arity of  $\mathbf{f}$  must be known, otherwise it's impossible to tell what to apply  $\mathbf{g}$  to.

Luckily, we can reconstruct the arity of an RPP just by looking at its symbolic representation:

```
\textcolor{red}{\texttt{def}} \hspace{0.1cm} \texttt{arity} \hspace{0.1cm} : \hspace{0.1cm} \mathtt{RPP} \hspace{0.1cm} \rightarrow \hspace{0.1cm} \mathbb{N}
| (Id n)
                     := n
| Ne
                     := 1
| Su
| Pr
                     := 1
| Sw
                     := 2
| (f ;; g) := max f.arity g.arity
| (f || g)
                    := f.arity + g.arity
                   := f.arity + 1
| (It f)
| (If f g h) := max (max f.arity g.arity) h.arity + 1
```

Note that f.arity is the same as (arity f). This is a recursive function: there are 5 base cases and in the other 4 the value of arity is reconstructed from smaller sub-terms.

It's now possible to define some RPP-sentences in Lean

```
def Id<sub>1</sub> := Id 1 -- _1 \1
```

```
def inc := It Su def dec := It Pr def mul := It inc def square := Id_1 \parallel Sw;; inc ;; mul ;; dec ;; Id_1 \parallel Sw and it's even possible to calculate their arity #reduce square.arity -- outputs "3"
```

but we haven't yet given their meaning as functions.

The ev function We are now ready to define evaluate (ev for short). The function ev should take RPP-sentences and return functions  $\mathbb{Z}^n \to \mathbb{Z}^n$ , so in Lean we will define it as a function of type

```
RPP \rightarrow (list \mathbb{Z} \rightarrow list \mathbb{Z}) which in Lean is the same as
```

 $\mathtt{RPP} \, \to \, \mathtt{list} \, \, \mathbb{Z} \, \to \, \mathtt{list} \, \, \mathbb{Z}.$ 

Here's how we do it:

```
\textcolor{red}{\texttt{def}} \ \texttt{ev} \ : \ \texttt{RPP} \ \rightarrow \ \texttt{list} \ \mathbb{Z} \ \rightarrow \ \texttt{list} \ \mathbb{Z}
| (Id n)
                 X
                                             := X
l Ne
                 (x :: X)
                                             := -x :: X
l Su
                 (x :: X)
                                             := (x + 1) :: X
| Pr
                 (x :: X)
                                             := (x - 1) :: X
| Sw
                 (x :: y :: X)
                                             := y :: x :: X
| (f ;; g)
                 X
                                             := ev g (ev f X)
| (f || g)
                                             := ev f (take f.arity X) ++
                                                 ev g (drop f.arity X)
| (It f)
                 (x :: X)
                                             := x :: ((ev f)^[\downarrow x] X)
                                             := 0 :: ev g X
| (If f g h) (0 :: X)
| (If f g h) (((n : \mathbb{N}) + 1) :: X) := (n + 1) :: ev f X
| (If f g h) (-[1+ n] :: X)
                                         := -[1+ n] :: ev h X
```

```
notation '<' f '>' := ev f -- < f > f
```

We will write  $\langle f \rangle$  to mean the function of type list  $\mathbb{Z} \to \text{list } \mathbb{Z}$  given by ev f.

Here's a case-by-case analysis:

- <Id n> X is the original list X, unchanged.
- <Ne> (x :: X) reduces to -x :: X, which is same list but with the head of opposite sign.
- $\bullet$  <Su> (x :: X) reduces to the same list but with the head incremented by one.

- $\bullet$  <Pr>> (x :: X) reduces to the same list but with the head decremented by one.
- $\langle Sw \rangle$  (x :: y :: X) reduces to the same list but with the first two elements swapped.
- <f ;; g> X successively applies <f> and <g> to the list.
- <f || g> X applies <f> to the first f.arity elements of the list, applies <g> to the remaining elements of the list, and then joins the two parts through append (which is the (++) operator).
- $\langle \text{It } f \rangle$  (x :: X) leaves the head unchanged and applies  $\langle f \rangle$  to the tail  $\downarrow x$  times, where  $\downarrow x$  is defined as in definition 1.
- <If f g h> (0 :: X) leaves the head unchanged and applies <g> to the tail.
- <If f g h> (((n : N) + 1) :: X) is the case where the head is a positive number (a natural number plus 1), and as such leaves the head unchanged and applies <f> to the tail.
- <If f g h> (-[1+ n] :: X) is the case where the head is a negative number, and as such leaves the head unchanged and applies <h> to the tail.
- In all cases not considered (for example, applying <Ne> to an empty list) the whole list remains unchanged.

The reader is invited to compare this definition with the one given in definition 1.

Let's see some examples:

```
#check <It Su ;; (Id<sub>1</sub> \parallel If Sw Pr Su)> -- list \mathbb{Z} \to list \mathbb{Z} -- #eval is similar to #reduce -- but in this case gives more readable output #eval <inc> [3, 4] -- [3, 7] #eval <square> [19, 0, 0] -- [19, 361, 0]
```

It magically works. We finally have our definition formalized in Lean.

It is worth noting that even though lists supplied to <f> are supposed to have length equal to f.arity, this is never enforced. So we are free to apply <f> to a list which is too short or too long. If it's too short, unspecified things will happen, we don't care. If it's too long, only the first f.arity items are utilized and affected, and this is guaranteed by theorem  $ev_split$  which we will prove in Lean. So, when we apply RPP functions to a list, we'll have to make sure that f.arity  $\leq X.length$ .

The inverse function It's not hard to convert our proposition 1 into a function definition: inv : RPP  $\rightarrow$  RPP which given f : RPP returns its inverse.

```
\mathtt{def} inv : RPP 	o RPP
| (Id n)
            := Id n
l Ne
            := Ne
| Su
            := Pr
| Pr
            := Su
| Sw
            := Sw
            := inv g ;; inv f
| (f ;; g)
            := inv f || inv g
| (f || g)
| (It f)
           := It (inv f)
| (If f g h) := If (inv f) (inv g) (inv h)
```

Now it's possible to define dec simply as  $inc^{-1}$ .

We will also prove in Lean that  $f^{-1}$  really is the inverse (in the functional sense) of f, but it will require some work.

# 1.7 Differences with the original definition

The definition of RPP functions we've given differs quite a bit from the original one. Every change has been made in the name of simplicity: theorem proving in Lean is hard enough, we don't need to make it harder by choosing inconvenient definitions. Below is a list of changes, not only for completeness' sake but also to illustrate the kind of reasoning which goes on when formalizing definitions in Lean.

- In the original definition, in the iterator It and selection If the last element of the tuple is checked, not the first one (the head). It was more convenient to work with the first element because of the definition of lists: it's much easier to consider a list's head and tail than its last element and the elements before the last.
- We have defined  $\mathsf{Id}_n$  as a n-ary function, while originally it was just unary. Having a n-ary identity function is very useful, because we can use parallel composition as in remark 1, and also because we have the possibility of having a 0-ary function, which is not useless in some cases.
- The original RPP functions are defined as the union  $\cup_{n\in\mathbb{N}} \mathsf{RPP}^n$  where  $\mathsf{RPP}^n$  are the n-ary RPP functions. A similar decision could've been made in Lean by definining RPP n as a dependent type with parameter  $n:\mathbb{N}$ , but it turned out that it was possible to calculate the arity of an RPP simply by looking at the corresponding RPP-sentence, which is what we did when we defined the function  $\mathsf{arity}$ . This rendered superfluous using dependent types and separating RPP based on their arity.

There's a reason we tried to avoid dependent types wherever possible (which also led to the use of lists instead of vectors): at least in Coq (which is another proof assistants we used at the beginning of the project) working with dependent types is often painful, because Coq doesn't recognize that certain types are the same. For example, elements of RPP (n + 1) and RPP (1 + n) cannot be compared even though it is (demonstrably!) true that n + 1 = 1 + n. To get around this, it's possible to use something called John Major's Equality [2] to state the equality of two objects with seemingly different types, but this involves the invocation of an additional axiom and is in general annoying to use. Other ways to deal with the problem exist, but our choice ended up being avoiding dependent types completely. As someone on the internet says,

Coq has this really powerful type system, but... don't use it. [10]

By extension, we also avoided them in Lean, perhaps mistakingly.

• When defining the iterator  $\mathsf{lt}[f](x,x_1,\ldots,x_n)$  it's not immediately clear what to do when x<0. In our definition, nothing happens, as f in general is applied  $\downarrow x=0$  times. In the original definition, f is instead applied |x| times - let's call this iterator  $\mathsf{lta}$ .

Reversibility gifts us with a third option [6]: if x < 0, we can apply f a negative amount of times - or in other words, we can apply  $f^{-1}$  for -x times. Let's call this iterator ltr. Its usage leads to more natural definitions: for example, our function  $\operatorname{inc}(n,x) = \operatorname{lt}[\operatorname{Su}](n,x)$  returns (n,x+n) only if  $n \ge 0$ . If instead we use ltr, suddenly  $\operatorname{ltr}[\operatorname{Su}](n,x) = (n,x+n)$  for all values of  $n \in \mathbb{Z}$ .

So why didn't we use ltr? Because our lt is the most versatile option: we can define both lta and ltr in terms of lt, by using the fact that lt doesn't do anything when the first argument is negative:

$$\begin{split} \operatorname{Ita}[f] &= \operatorname{It}[f] \ \mathring{\circ} \ \operatorname{Ne} \ \mathring{\circ} \ \operatorname{It}[f] \ \mathring{\circ} \ \operatorname{Ne} \\ \operatorname{Itr}[f] &= \operatorname{It}[f] \ \mathring{\circ} \ \operatorname{Ne} \ \mathring{\circ} \ \operatorname{It}[f^{-1}] \ \mathring{\circ} \ \operatorname{Ne} \end{split}$$

For example, in the case of  $\mathsf{Ita}[f](x, x_1, \cdots, x_n)$ , if  $x \geq 0$  then the first  $\mathsf{It}$  applies f for x times, then x changes sign and becomes -x with  $\mathsf{Ne}$ , then the second  $\mathsf{It}$  doesn't do anything because -x < 0, and finally -x changes sign again to x; if instead x < 0, only the second  $\mathsf{It}$  does something.

Another reason to prefer It over Itr is that in the definition of ev, using Itr it's hard to convince Lean (or Coq) that the function terminates (that is, it doesn't run on an infinite loop). Since every function in Lean must terminate (otherwise there would be consistency issues), Lean rejects the definition. There are ways to get around this - but once again we follow the path of least resistance and just get on with It.

After seeing all these changes you might ask yourself - is this still the original RPP? What's the point of formalizing a definition in Lean if in the process we change the definition completely?

We think that yes, we can still identify what we've constructed as the original functions, because in a way, the *essence* of what RPP is has not been altered: a class of functions which is reversible by construction and that is PRF-complete. We shouldn't view definitions as something unchanging and rigid, especially in rapidly evolving fields. Definitions should be molded and modified to fit our needs, because that's why we created them in the first place.

# 2. Theorem proving

Here we finally delve into the main characteristic which distinguishes Lean from usual programming languages: the possibility of formally proving results about the objects defined.

# 2.1 Some examples of Lean proofs

Reflexivity We define the type Nat similarly as before

```
inductive Nat : Type
| O : Nat -- it's a capital o, not a zero
| S (n : Nat) : Nat
open Nat
#reduce 0 -- represents 0
#reduce S O -- represents 1
#reduce O.S -- also represents 1
              -- we'll use this notation
#reduce O.S.S -- represents 2
together with addition
\textcolor{red}{\texttt{def}} \ \texttt{Add} \ : \ \texttt{Nat} \ \rightarrow \ \texttt{Nat} \ \rightarrow \ \texttt{Nat}
l m O
        := m
| m (S n') := (Add m n').S
-- if n \ m: Nat then n + m is defined as Add n \ m
infix '+' := Add
```

Now let's prove some theorems about these objects. Let's start with something simple: we want to prove, beyond the shadow of a doubt, that 0 = 0. We open our code editor and type this:

```
lemma 0_eq_0 : 0 = 0 :=
begin
```

#### end

If we now place the cursor between begin and end this appears in the sidebar:

```
1 goal

⊢ 0 = 0
```

This is called the **tactic state**. The line beginning with the turnstile  $\vdash 0 = 0$  is our **goal**. We can write commands called **tactics** which help us solve goals. In this case, the goal is an equality in which the left-hand side happens to coincide perfectly with the right-hand side, so we can solve our goal using the **refl** command

```
lemma 0_eq_0 : 0 = 0 :=
begin
  refl,
end
```

Placing the cursor just after the comma, a pleasant message appears:

```
goals accomplished
```

The name refl stands for "reflexivity", which is a property of equality (for any a, it is true that a = a). Let's try something more involved: 2 + 2 = 4.

```
lemma two_plus_two : 0.S.S + 0.S.S = 0.S.S.S.S :=
begin
```

#### end

This time the left-hand side and the right-hand side do not look identical. However, there's something interesting to note:

```
#reduce 0.S.S.S.S -- outputs "0.S.S.S.S"
#reduce 0.S.S + 0.S.S -- also outputs "0.S.S.S.S."
```

that is, O.S.S + O.S.S reduces to O.S.S.S.S. Since the left-hand side and the right-hand side reduce to the same element, they are **definitionally equivalent** and so we can use the tactic **refl** again:

```
lemma two_plus_two : 0.S.S + 0.S.S = 0.S.S.S.S :=
begin
  refl, -- goals accomplished
end
```

Remember that by definition of Add, for any  $n \ m : Nat$ , we have that n + m.S = (n + m).S. We can express this with another theorem

```
lemma plus_S (n m : Nat) : n + m.S = (n + m).S :=
begin
  refl, -- goals accomplished
```

which again can be solved using ref1, because n + m.S reduces to (n + m).S. By the way, we could write **theorem** instead of lemma: the difference is only stylistic. Similarly, by definition of Add, n + O = n for all n : Nat

```
lemma plus_0 (n : Nat) : n + 0 = n :=
begin
  refl, -- goals accomplished
end
Induction and rewrite If instead we try to prove in the same way that
0 + n = n
def O_plus (n : Nat) : 0 + n = n :=
begin
  refl,
end
something surprising happens:
invalid apply tactic, failed to unify
    0+n = n
  with
    m_2 = m_2
  state:
  n : Nat
  \vdash 0+n = n
our trusted refl has, alas, failed. This is because 0 + n is not definitionally
equivalent to n: the function Add defines two definitional equivalences (m + 0
= m and m + n.S = (m + n).S) and there's nothing regarding 0 + n when we
have a generic n : Nat. However, two things can still be equal even if they are
not definitionally equivalent.
   To prove O_plus we need something stronger: the tactic induction. Let's
try it:
def O_plus (n : Nat) : 0 + n = n :=
begin
  induction n using n hn,
end
Now the tactic state has become
  2 goals
  case Nat.0
  \vdash 0+0 = 0
  case Nat.S
  n: Nat
  hn: 0+n = n
```

What happened is that we used induction: to prove a property P n (in this case, O + n = n) for all n: Nat, it suffices to prove that P O holds and that

 $\vdash$  0+n.S = n.S

P n implies P n.S. The first subgoal is the base case 0+0=0, and can be solved using refl

```
lemma O_plus (n : Nat) : 0 + n = n :=
begin
  induction n with n hn,
  refl,
end
Only the second goal remains
  1 goal
```

```
case Nat.S

n : Nat

hn : 0+n = n

\vdash 0+n.S = n.S
```

This means that n is an element of Nat and that we have an hypothesis named hn which tells us that 0+n = n. Our goal is to prove that 0+n.S = n.S. A proof of this fact would go somewhat like this:

- 1. by lemma plus\_S we have 0+n.S = (0+n).S
- 2. by the induction hypothesis n we have n = n and by substitution we get n = n.

```
so 0+n.S = (0+n).S = n.S, and this completes the proof.
```

We can capture this act of substituting a term in an equation with an equivalent one using the tactic rw ("rewrite"): for example, rw plus\_S search in the goal for subterms of the form 0+n.S and substitutes them with (0+n).S. More generally, given an equality h : a = b, calling rw h substitutes occurrences of a in the goal with b.

Let's tackle one more theorem: the commutativity of addition

```
lemma plus_comm (n m : Nat) : n + m = m + n :=
begin
```

end

Again, using refl doesn't work, so we use induction. We have a choice: using induction on n or m; note that doing induction on one or the other is not the same, because n and m have asymmetric roles in the definition of Add. In particular, the second argument gets "broken down" at each step (since n + m.S = (n + m).S) while the first argument doesn't change. Thus, in this case the best choice is induction on m.

#### end

We can deal with the base case n+0 = 0+n by using rw with our two lemmas  $plus_0 : n + 0 = n$  and  $0_plus : 0 + n = n$ :

```
rw plus_0, rw 0_plus, -- first goal vanquished
```

So now we have hypothesis hm : n+m = m+n and goal n+m.S = m.S+n. We can use rw plus\_S to change the goal to (n+m).S = m.S+n, and if we could further rewrite it to (n+m).S = (m+n).S then we would use the hypothesis to solve the goal. Problem is, we don't have a theorem which states that m.S+n = (m+n).S - but we leave it as an exercise for the reader. Having called it S\_plus we can thus conclude our proof

```
lemma plus_comm (n m : Nat) : n + m = m + n :=
begin
  induction m with m hm,
  rw plus_0, rw 0_plus,
  rw plus_S, rw S_plus, rw hm, -- goals accomplished
end
```

A remark: since the rules n + m.S = (n + m).S and n + 0 = n are exactly the definition of Add, we don't actually need to write rw plus\_S and rw plus\_0, we can instead use rw Add which includes both these equalities.

After seeing some examples of tactics-based proofs, you might come to the conclusion that they are very unreadable and difficult to understand. That's not entirely false, but it's important to notice that the interactive component of Lean is vital to its usage: just reading tactics it's practically impossible to get what's going on, especially for more involved proofs. On the other hand seeing the hypotheses, the goals, and how they change at each steps of the proof immensely clarifies the process of understanding and usage.

So, we've now learned some basics about theorem proving in Lean, but we don't know anything yet about what proofs *are* and how they fit in the general scheme of things. There is a lot to be learned.

# 2.2 Curry-Howard correspondence

The following section is not necessary to understand the rest of the thesis, so the busy reader can skip it.

In Lean, things like propositions and proofs are not completely separated from data objects like types and elements of types. We previously stated that in Lean, everything has a type, and we can see what type a certain object has by using the #check command.

So, let's feed random stuff to #check.

```
#check O -- Nat
#check Nat -- Type
#check Type -- Type 1
#check Type 1 -- Type 2
                 -- it's an infinite family of types
                 -- for each u, Type u is an element of Type (u+1)
\texttt{\#check} \ \mathsf{Add} \ \textit{--} \ \mathit{Nat} \ \rightarrow \ \mathit{Nat} \ \rightarrow \ \mathit{Nat}
\# check  Nat \rightarrow Nat \rightarrow Nat -- Type
-- some theorem names...
#check two_plus_two -- 0.S.S+0.S.S = 0.S.S.S.S
#check O_plus -- \forall (n : Nat), 0+n = n
#check plus_comm -- \forall (n m : Nat), n+m = m+n
-- ..and their statements
#check 0.S.S+0.S.S = 0.S.S.S.S -- Prop
#check \forall (n : Nat), 0+n = n -- Prop
#check \forall (n m : Nat), n+m = m+n -- Prop
#check Prop -- Type
```

So, there is a type called Prop and its elements are propositions. Any proposition, like  $\forall$  (n : Nat), 0+n = n, is in turn a type - but what exactly are its elements?

The elements of a proposition are proofs of that proposition. This means that what we have called two\_plus\_two is a proof of the fact that 0.S.S + 0.S.S.S.S.S.S.S. What we mean by proving a proposition, is finding an element whose type is that proposition. For example, here is the definition of the proposition true:

```
inductive true : Prop -- this is a Prop, not a Type
| intro : true
```

How do we know that true is true? Because it has an element, true.intro (another way to say it is that true.intro is a proof of the proposition true):

The proposition false is defined like this:

```
inductive false : Prop
```

It's a type with no elements, so false can't be proven.

Suppose that A is a proposition in classical logic. Then it is true that  $A \Rightarrow A$  (we can derive it using natural deduction, for example). In Lean this fact can be expressed as the proposition  $A \rightarrow A$ , and it's something provable:

```
lemma A_implies_A (A : Prop) : A \rightarrow A := begin
-- 1 goal
-- A: Prop
-- \vdash A \rightarrow A end
```

At the left of the implication arrow we have A: we can thus turn A into an hypothesis using the intro tactic

```
lemma A_implies_A (A : Prop) : A → A :=
begin
  intro h, -- creates a hypothesis h : A
  -- 1 goal
  -- A : Prop
  -- h : A
  -- ⊢ A
  exact h, -- goals accomplished
```

Let's forget for a moment that A is a proposition, let's think of it as just a type. Then something funny happens: we see that  $A \to A$  is just the type of functions from A to A. If we can exhibit an element of this type, then we have proven that  $A \to A$ . But this is easy enough: we can use the identity function

```
def A_implies_A' (A : Prop) : A \rightarrow A
l h := h
```

and this proves the proposition, but also defines a function. It can be interpreted like this: if we have a proof h: A and we have to prove A then we can just exhibit h: that's it

Amazingly, it turns out all proofs are really just functions: we can see this using the **#print** command, which given a function prints out its definition.

When we proved O\_plus we didn't explicitly write a function, we used tactics, but it's important to notice that the sequence of tactics *isn't* the proof - instead, tactics generate proofs (functions). To further illustrate this point, notice that we can also define the function Add using tactics:

#reduce Add\_tactic 0.S.S 0.S.S.S.S -- 0.S.S.S.S.S.S

And notice! Add is a recursive function, so to define it we had to use induction. Going back to #print Add and #print O\_plus, we can see that both call a function called Nat.rec. Let's investigate:

```
#check Nat.rec -- Nat.rec : ?M_1 0 \rightarrow -- (\Pi (n : Nat), ?M_1 n \rightarrow ?M_1 n.S) \rightarrow -- \Pi (n : Nat), ?M_1 n
```

If we interpret ?M\_1 as a proposition  $P : Nat \rightarrow Prop which ranges over a Nat, then Nat.rec reads off as "if P O holds true and for all <math>n : Nat, P n$  implies

P n.S, then P n holds for all n : Nat" which is the principle of induction. If instead we interpret ?M\_1 as a function  $f: Nat \to T$  with domain Nat and codomain a certain type T, then Nat.rec reads off as "if we define f 0 and for all n: Nat, given f n we define f n.S, then we have defined a function Nat  $\to T$ " which is how we define recursive functions.

Nat.rec is called the **induction principle** of Nat, and is auto-generated as soon as Nat is defined. Every type generates an induction principle - even simple types like our earlier **weekday** - hence every type is defined using the **inductive** keyword. The same induction principle is used both for recursive functions and inductive proofs.

The remarkable thing about Lean is that the concepts of types and propositions, functions and proofs are united in a single mechanism, which results in a particularly simple foundation for mathematics and computing. This concept is called the **Curry-Howard correspondence** and it's not something unique to Lean - it's a common characteristic of many theorem prover, especially those based on (intuitionistic) type theory.

# 2.3 The simplification tactic

A hot topic in proof assistants is automatization. For many, being able to generate automatically new theorems and new math is the ultimate objective of theorem provers. Certainly Lean has value even before such a feat is accomplished, but where automation is already available it would be a waste not to use it.

A simple tool which helps tremendously with theorem proving is the simp tactic [1]. It automatically tries to apply already known theorems in order to simplify a given expression. We illustrate this with an example:

```
lemma many_adds (n : Nat) :
    (0 + (0 + (n.S + (n.S + (0 + n))))) = (n + (n + n)).S.S :=
begin
    rw 0_plus,
    rw 0_plus,
    rw 0_plus,
    rw S_plus,
    rw S_plus,
    rw S_plus,
    rw plus_S, -- goals accomplished
end
```

Using our previous lemmas it's not hard to prove this, but there's a lot of repetition and any slight change to the statement probably results in some misapplied tactics. Equalities like  $0\_plus: 0 + n = n$  makes our expression strictly simpler, so usually there wouldn't be any reason to not rewrite it automatically. We can do such a thing by marking the theorem  $0\_plus$  with the 0[simp] tag

```
@[simp] lemma O_plus (n : Nat) : O + n = n := begin
```

. . .

and then using the simp tactic in the proof of many\_adds:

```
lemma many_adds (n : Nat) :  (0 + (0 + (n.S + (n.S + (0 + n)))) = (n + (n + n)).S.S :=  begin simp, -- 1 goal  -- n : Nat  -- \vdash n.S+(n.S+n) = (n+(n+n)).S.S  end
```

If we also mark lemmas plus\_S and S\_plus with @[simp], then we can conclude many\_adds with a single use tactic:

```
lemma many_adds (n : Nat) :
  (0 + (0 + (n.S + (n.S + (0 + n)))) = (n + (n + n)).S.S :=
begin
  simp, -- goals accomplished
end
```

the simp tactic can be used to simplify the goal, but more often it's used to completely solve it. We can mark with <code>@[simp]</code> theorems which have an equality or a bi-implication as thesis. Notice that we put <code>@[simp]</code> besides theorems that we want to be later utilized by <code>simp</code>, not in theorems where we want to use the tactic <code>simp</code>.

We can also mark definitions and functions, so that direct consequences of the the definition are automatically simplified. For example, marking Add with @[simp] is the same as marking plus\_0 and plus\_S.

This tactic has some more functionalities: if we want to mark certain theorems or definitions th1, th2, def1, ... just for one simp call, we can write simp[th1, th2, def1, ...] and we can also mark every local hypothesis by using the asterisk simp[\*]. Finally, hypotheses themselves can be the target of simplification: if we want to simplify a hypothesis h we write simp at h; if we want to simplify all hypotheses and the goal, we write simp at \*.

Using simp and marking theorems often starts off an avalanche effect: each new theorem makes simp stronger, which helps it prove new theorems. In the following section we will make heavy use of simp on theorems about RPP.

It's usually not a good idea to indiscriminately mark every equality with @[simp], however. That's because simp is very eager to apply every theorem it can each time it has the opportunity. This means that if we mark something like our add\_comm :  $\forall$  (n m : Nat), n+m = m+n then when simp meets a sum n+m, it gets stuck in an infinite loop, endlessly "simplifying" it to m+n and back to n+m. Hence, when we tag an equality as @[simp], it's good practice to make sure that the right-hand side is strictly simpler than the left-hand side, and that no infinite loops can occur.

<sup>&</sup>lt;sup>1</sup>The authors of Mathlib discourages "non-terminal simps", which are uses of the simplifier which doesn't solve the goal.

#### 2.4 Basic theorems about RPP

In the previous chapter we found a meaningful way to express RPP in Lean. Our next objective is proving the most important property of this class of functions: each  $f \in \mathsf{RPP}$  admits an inverse  $f^{-1} \in \mathsf{RPP}$ .

This result was discussed in proposition 1, and we already constructed the function inv: RPP  $\rightarrow$  RPP which given an RPP returns its syntactical inverse. What remains to be done is to show that this *really* provides the inverse function, i.e. that  $\langle f ; ; f^{-1} \rangle X = \langle f^{-1} ; ; f \rangle X = X$  for all f : RPP and  $X : list \mathbb{Z}$ .

To be honest, we could settle for something easier: since we decided that we don't really care about what happens when X.length < f.arity, we could put f.arity < X.length as an hypothesis, making our theorem slightly weaker. However, we will not do this, because it'd mean that at each use of the theorem we'd have to supply that hypothesis; and because the way in which we defined RPP allows us to state the result in full generality.

This is the statement:

```
-- proposition 1 expressed with RPP composition,

-- about the left inverse

theorem inv_co_l (f : RPP) (X : list \mathbb{Z}) :

<f ;; f<sup>-1</sup>> X = X
```

We also need to prove  $inv_co_r$  about the right inverse  $< f^{-1}$ ;; f > X = X, but there's a clever way to derive this fact from  $inv_co_1$  and a lemma called  $inv_ivolute$  which will be our first result about RPP formalized in Lean:

```
@[simp] lemma inv_involute (f : RPP) : (f^{-1})^{-1} = f := by { induction f; simp * } -- by { ... } is equivalent to -- begin ... end
```

We mark this lemma with <code>@[simp]</code> because it is an equality where the right-hand side is strictly simpler than the left-hand side. Using this fact, to prove that

```
<f^{-1} ;; f> X = X
we rewrite it as
<f^{-1} ;; (f^{-1})^{-1}> X = X
```

and then apply theorem inv\_co\_1 with argument  $f^{-1}$ .

We still have to prove that theorem, though. Let's follow in the footsteps of proposition 1 and begin by induction on f:

```
theorem inv_co_1 (f : RPP) (X : list \mathbb{Z}) : \langle f ; ; f^{-1} \rangle X = X := begin induction f, end
```

This generates not less than 9 goals! It's something to be expected, because the inductive definition of RPP is composed of 9 cases. Let's study each one in excruciating detail.

The base cases Seeing all 9 goals at each step is stressful; let's use curly braces to limit our view to just the current goal:

#### begin

end

We're in luck: by definition of ev and inv, <Id n;;Id  $n^{-1}>$  X is definitionally equivalent to X, so refl solves the goal

```
{ refl, }, -- goals accomplished
```

Now we just have 8 left. Here's the second one:

```
case RPP.Ne X : list \mathbb{Z} \vdash \langle Ne;; Ne^{-1} \rangle X = X
```

Sadly, just shoving in refl like before doesn't do much good. We should proceed by cases:

• The simplest case is when X is the empty list []. When this happens, the definitional equality <Ne> (x :: X) = -x :: X doesn't apply because X is not of the form x :: X'. Instead, we fall back to the last case considered in the definition of ev, that is: the whole list remains unchanged. As a consequence, by refl we get that

```
\langle Ne; Ne^{-1} \rangle X = \langle Ne^{-1} \rangle (\langle Ne \rangle []) = [] = X.
```

• If X is not the empty list, i.e. X = x :: X' for some  $x : \mathbb{Z}$  and X' :list  $\mathbb{Z}$ , then by our definitions

The tactic refl would almost solve this, but doesn't because -(-x) is not definitionally equivalent to x. However, that equality is proven elsewhere and is marked as @[simp]. For simp to fully work, it must also use the definitions of inv and ev. Since the functions inv and arity depends only on the syntax and are generally pretty easy to calculate, we mark these two functions as @[simp], so that they are always simplified:

```
@[simp] def inv : RPP 
ightarrow RPP \dots @[simp] def arity : RPP 
ightarrow \mathbb N
```

but we **do not** do the same for ev, because it's a considerably more complicated function which also depends on the list that the RPP function is applied to. When we want simp to simplify ev (like in this case), we will explictly write simp [ev].

How do we consider separately the cases when X is of the form x :: X' or []? By using the tactics cases:<sup>2</sup>

We've successfully solved another goal. The cases Su, Pr, Sw are very similar and we won't discuss them further.

**Series composition** After those we get Co:

```
case RPP.Co X : list \mathbb{Z} f g : RPP hf : <f;;f^{-1} > X = X hg : <g;;g^{-1} > X = X \vdash <f;;g;(f;;g)^{-1} > X = X
```

Rather than jumping straight to Lean, it's very often helpful to sketch proofs on pen and paper, to get an idea of how to proceed:

There's something worrying: we can't apply step (!!!) because the inductive hypothesis hg is too weak, it works only if the applied list is precisely X, while in this case it is <f> X. The proper induction hypothesis would be something like this:

```
\forall (X : list \mathbb{Z}), \langle g; ; g^{-1} \rangle X = X
```

<sup>&</sup>lt;sup>2</sup>Deep down, cases is just an alternative to induction that doesn't generate inductive hypotheses.

and Lean provides a functionality precisely for these instances: at the beginning of the proof, it's sufficient to substitute induction f with induction f generalizing X.

After this is done, the simp tactics makes short work of the goal:

**Parallel composition** Parallel composition turns out to be the most troublesome case.

```
case RPP.Pa X : list \mathbb{Z} f g : RPP hf : <f;;f^{-1}> X = X hg : <g;;g^{-1}> X = X \vdash <f\|g;;(f\|g)^{-1}> X = X
```

This is what we'd like to do:

```
<f||g;;(f||g)^{-1}> X = <f||g;;f^{-1}||g^{-1}> X
(!!!) = <(f;;f^{-1})||(g;;g^{-1})> X
= <f;;f^{-1}> (take f.arity X) ++ < g;;g^{-1}> (drop f.arity X)
= take f.arity X ++ drop f.arity X
= X
```

The tactic simp is able to take care of each step, except for (!!!), which is not obvious at all and must be proven:

```
lemma pa_co_pa (f f' g g' : RPP) (X : list \mathbb{Z}) : f.arity = f'.arity \rightarrow <f \parallel g ;; f' \parallel g'> X = <(f ;; f') \parallel (g ;; g')> X
```

The proof of this fact is rather tedious, partly because there are no hypotheses on the length of the list X, so multiple cases have to be considered.

There is, however, the hypothesis f.arity = f'.arity, without which the lemma is false. Returning to the main proof, we can use our newly proven pa\_co\_pa together with simp to prove the goal, but Lean requires the hypothesis to be satisfied:

```
f.arity = f^{-1}.arity
```

Yet another lemma needs to be proven and used

```
@[simp] lemma arity_inv (f : RPP) : f^{-1}.arity = f.arity := by { induction f; simp [*, max_comm] }
```

after which everything goes smoothly.

Iteration and selection This is the It case:

```
case RPP.It

f: RPP

hf: \forall (X: list \mathbb{Z}), \langle f; f^{-1} \rangle X = X

X: list \mathbb{Z}

\vdash \langle It f; It f^{-1} \rangle X = X

Let's start by using cases X to split the proof:

case list.nil RPP.It

f: RPP

hf: \forall (X: list \mathbb{Z}), \langle f; f^{-1} \rangle X = X

\vdash \langle It f; It f^{-1} \rangle [] = []

case list.cons RPP.It
```

f: RPP hf:  $\forall$  (X : list  $\mathbb{Z}$ ),  $\langle f; f^{-1} \rangle$  X = X x :  $\mathbb{Z}$ X': list  $\mathbb{Z}$  $\vdash$   $\langle \text{It } f; \text{It } f^{-1} \rangle$  (x :: X') = x :: X'

The first case is trivially solvable using refl. In the second one, running simp turns the goal state into

```
f: RPP x : \mathbb{Z} X' : list \mathbb{Z} hf : \forall (X : list \mathbb{Z}), \langle f^{-1} \rangle (\langle f \rangle X) = X \vdash \langle f^{-1} \rangle \cap [\downarrow x] (\langle f \rangle \cap [\downarrow x] X') = X'
```

The notation  $\langle f \rangle^{[\downarrow x]}$  means " $\langle f \rangle$  applied  $\downarrow x$  times". Our objective is essentially "given that  $\langle f^{-1} \rangle$  is the left inverse of  $\langle f \rangle$  (hypothesis hf), prove that  $\langle f^{-1} \rangle^{[\downarrow x]}$  is the left inverse of  $\langle f \rangle^{[\downarrow x]}$  (goal)".

This fact is true in general and luckily, it's a result already present in Mathlib:

```
theorem left_inverse.iterate \{g: \alpha \to \alpha\} (hg : left_inverse g f) (n : \mathbb{N}) : left_inverse (g^[n]) (f^[n])
```

where left\_inverse is a proposition defined like this:

```
def left_inverse (g : \beta \rightarrow \alpha) (f : \alpha \rightarrow \beta) : Prop := \forall x, g (f x) = x
```

so applying function.left\_inverse.iterate solves our goal. Hopefully it's clear how useful having an extensive underlying math library is when proving things: most basic facts are already present, so we can concentrate on more specific matters.

Finally, the If case is not that hard, we just split it into many sub-cases: X is equal to [] or x :: X' with  $x : \mathbb{Z}$  and  $X' : list \mathbb{Z}$ , and x is either 0, a positive or a negative number. Each of the sub-goals is solved using simp.

Wrapping it all up Well, that was rather prolix.

The resulting proof, however, is not so large:

```
theorem inv_co_l (f : RPP) (X : list \mathbb{Z}) :
  \{f ; f^{-1} \} X = X :=
begin
  induction f generalizing X,
  { refl, },
  { cases X with x X', refl, simp [ev], },
  { cases X with x X', refl, simp [ev], },
  { cases X with x X', refl, simp [ev], },
  { cases X with x X', refl,
    cases X' with y X'', refl, refl, },
  { simp [ev, *] at *, },
  { rw [inv, pa_co_pa], simp [ev, *] at *, rw arity_inv, },
  { cases X with x X', refl, simp [ev] at *,
    exact function.left_inverse.iterate f_ih (\downarrow x) X', },
  { cases X with x X', refl,
    cases x, cases x,
    simp [ev, *] at *, simp [ev, *] at *, simp [ev, *] at *, },
end
and by knowing some more tactics, it can be further shortened to
theorem inv_co_1 (f : RPP) (X : list \mathbb{Z}) :
  \langle f ; f^{-1} \rangle X = X :=
begin
  induction f generalizing X; cases X with x X,
  any_goals {simp [ev, *], done},
  { cases X with y X, refl, simp [ev] },
  { simp [ev, *] at * },
  { rw [inv, pa_co_pa], simp [ev, *] at *, rw arity_inv },
  { simp [ev] at *, apply function.left_inverse.iterate f_ih },
  { rcases x with (n, n); simp [ev, *] at * }
end
```

We've successfully proved a non-trivial result in Lean! It is possible to express it in a more convenient, simp-friendly way, which will become useful later:

It's natural to compare the Lean proof to "the LATEX one" given in proposition 1. The traditional proof is short and ignores a lot of finer points; the Lean one is considerably longer, practically unreadable without looking at the proof

state and absolutely precise in every detail. They both have their strengths and weaknesses, and what we will hopefully see in the future of mathematics is a joyful collaboration between these two types of data.

We state just two more general results: the first is that RPP functions don't alter the length of a list:

```
@[simp] lemma ev_length (f : RPP) (X : list \mathbb{Z}) : (<f> X).length = X.length
```

The second is that applying <f> to a list X is equivalent to applying <f> to the first f.arity elements of X and then appending the remaining ones, like this:

```
theorem ev_split (f : RPP) (X : list \mathbb{Z}) : \langle f \rangle X = \langle f \rangle (take f.arity X) ++ drop f.arity X
```

Marking this theorem as <code>@[simp]</code> would be a very bad idea, because the right-hand side is more complicated than the left one, so an infinite loop would occur.

### 2.5 A library of functions

In this section we show that many common functions have a RPP counterpart. Some arguments will be declared as natural numbers (usually denoted with variables n, m): we do not care about the behaviour of these functions when a negative number is supplied in place of a natural number. We agree that composition ( $\parallel$ ) has higher precedence than the series composition ( $\S$ ), so for example  $f \parallel g \S h$  is interpreted as  $(f \parallel g) \S h$ .

For reference, here's a summary of already defined functions:

Rewiring permutations We call a function a rewiring permutation if it only results in a finite permutation of the positions of its arguments [8]. It should be clear that any rewiring permutation can be expressed in RPP by a suitable combination of the identity  $\mathsf{Id}_n$ , parallel composition  $\parallel$ , swap  $\mathsf{Sw}$  and series composition  $\S$ .

We use the following notation: given  $I = \{i_0, \ldots, i_n\} \subseteq \{0, \ldots, m\}$  with all  $i_k$  distinct, let  $J = \{j_1, \ldots, j_{m-n}\} := \{0, \ldots, m\} \setminus I$  be the set of remaining indices, ordered such that each  $j_k < j_{k+1}$ . Then we define the rewiring permutation  $|i_0, \ldots, i_n|$  to be the function such that

$$[i_0, \ldots, i_n](x_0, \ldots, x_m) = (x_{i_0}, \ldots, x_{i_n}, x_{j_1}, \ldots, x_{j_{m-n}}).$$

For example, [3, 1, 4](a, b, c, d, e, f) = (d, b, e, a, c, f). In our usual diagrams,

Of course, every rewiring permutation can be written in such a way.

To express this function in Lean we begin by defining a function call n which moves the argument found in position n to position 0, like so:

```
\begin{array}{lll} \textbf{def call} &: \ \mathbb{N} \ \rightarrow \ \texttt{RPP} \\ \mid \ \texttt{0} &:= \ \texttt{Id}_1 \\ \mid \ (\texttt{i} + \texttt{1}) \ := \ \texttt{Id} \ \texttt{i} \ \parallel \ \texttt{Sw} \ \texttt{;}; \ \texttt{call} \ \texttt{i} \end{array}
```

We can see it as a long chain of swaps Sw that progressively move the argument in position n to position n-1, then n-2 etc.

The function rewire: list  $\mathbb{N} \to \text{RPP}$  takes a list of indices  $\mathbf{i}_0$ ,  $\mathbf{i}_1$ , ...,  $\mathbf{i}_n$  and returns an RPP that performs the permutation  $\lfloor \mathbf{i}_0$ ,  $\mathbf{i}_1$ , ...,  $\mathbf{i}_n \rfloor$ , through a clever repeated use of call. We do not mark rewire as  $\mathbb{C}[\text{simp}]$  because it would lead to extremely messy goal states, but instead mark every auxiliary function used in the definition of rewire, so that when we do need to use simp, we just have to write simp[rewire] without having to also list all the auxiliary functions.

A comparison function The following function takes two naturals  $n\ m: \mathbb{N}$  and a number set to 0, and changes it to 1 if n < m. The logic behind it is straightforward.

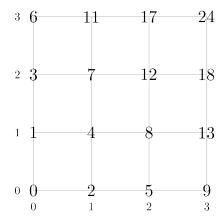
$$\begin{aligned} & \operatorname{less} = \operatorname{dec} \, {}^\circ_\circ \operatorname{Id}_1 \|\operatorname{If}[\operatorname{Su},\operatorname{Id}_1,\operatorname{Id}_1] \, {}^\circ_\circ \operatorname{inc} \\ & n & m & \operatorname{dec} \\ & 0 & 0 & \operatorname{If}[\operatorname{\mathbf{Su}},\operatorname{Id}_1,\operatorname{Id}_1] & m-n & \operatorname{inc} \\ & n & 1 & 1 & 1 \\ & n \geq m & m & \operatorname{dec} \\ & n & 0 & \operatorname{If}[\operatorname{Su},\operatorname{Id}_1,\operatorname{Id}_1] & m-n & \operatorname{inc} \\ & n & 0 & 0 & 0 & 0 \\ & n & 0 & 0 & 0 & 0 \end{aligned}$$

Division, Cantor unpairing & square root Here we learn that division, Cantor unpairing and the square root function are (almost) the same thing.

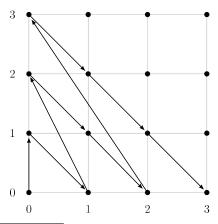
We define the Cantor pairing as the function  $cp : \mathbb{N}^2 \to \mathbb{N}$  such that

$$cp(x,y) = \sum_{i=1}^{x+y} i + x = \frac{(x+y)(x+y+1)}{2} + x.$$

What's special about this function is that it's a bijection between  $\mathbb{N}^2$  and  $\mathbb{N}$  (maybe the only polynomial to be so<sup>3</sup>). We can imagine it to be an enumeration of the square grid  $\mathbb{N}^2$ , which assignes to each coordinate (x,y) a unique number  $\mathsf{cp}(x,y)$ :



But also as a "path" taken on the same grid, which traverses each point exactly once:



<sup>&</sup>lt;sup>3</sup>It's currently an open question whether there are other polynomials which are bijection  $\mathbb{N}^2 \to \mathbb{N}$ .

Naturally, being bijective means that there exists an inverse function  $cu = (cu_1, cu_2) : \mathbb{N} \to \mathbb{N}^2$ , called the **Cantor unpairing**, which is usually expressed as

$$\operatorname{cu}(n) = \left(n - \frac{i(1+i)}{2}, \frac{i(3+i)}{2} - n\right)$$

where  $i = \left\lfloor \frac{\sqrt{8n+1}-1}{2} \right\rfloor$ . We want to implement cu inside RPP, but there's a more natural way to define it than this.

Instead of thinking about cu analytically, let's imagine it again as a path in  $\mathbb{N}^2$ : we start at position (0,0) and successively apply a series of steps, moving to (x+1,y-1) if y>0 or to (0,x+1) if y=0. If we're able to find  $\operatorname{cu}_{\mathsf{step}} \in \mathsf{RPP}$  such that

$$\operatorname{cu}_{\operatorname{step}}(x,y) = \begin{cases} (x+1,y-1) & y>0 \\ (0,x+1) & y=0 \end{cases}$$

then we can define  $\mathsf{cu}_\mathsf{input} = \mathsf{lt}[\mathsf{cu}_\mathsf{step}]$ , so that  $\mathsf{cu}_\mathsf{input}(n,0,0)$  applies n steps in the path, and reaches  $(n,\mathsf{cu}_1(n),\mathsf{cu}_2(n))$  (the subscript  $\mathsf{input}$  is motivated by the fact that we keep the input n).

It turns out that it's indeed possible to express  $cu_{step}$  in RPP:

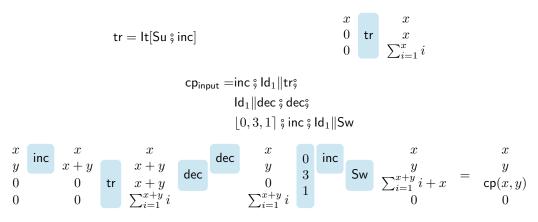
$$\begin{array}{ll} \mathsf{cu}_{\mathsf{step}} &= \mathsf{Id}_1 \| \mathsf{If}[\mathsf{Su},\mathsf{Id}_1,\mathsf{Id}_1] \$ \\ & \quad \lfloor 2,0,1 \rceil \$ \\ & \quad \mathsf{If}[\mathsf{Su} \| \mathsf{Pr}, \ \mathsf{Su} \ \$ \, \mathsf{Sw}, \ \mathsf{Id}_1] \$ \\ & \quad \mathsf{Sw} \ \$ \, \mathsf{If}[\mathsf{Pr},\mathsf{Id}_1,\mathsf{Id}_1] \$ \\ & \quad \mathsf{Id}_1 \| \mathsf{Sw} \end{array}$$

Notice that we can't directly use y as the condition for the selection If, because we also want to manipulate y in those calculations. We get around this limitation by using an ancillary variable initially set to 0, which assumes value 1 or 0 depending on whether y > 0 or y = 0, and is then set back to 0 using a variable that we know is positive or equal to zero depending on the case considered.

At this point we can define  $cu_i$  like so:

$$\begin{aligned} \mathsf{cu}_\mathsf{input} = \mathsf{It}[\mathsf{cu}_\mathsf{step}] & & \begin{matrix} n \\ 0 \\ 0 \\ 0 \end{matrix} & & \begin{matrix} \mathsf{cu}_\mathsf{input} \\ \mathsf{cu}_2(n) \\ 0 \end{matrix} \\ \end{aligned}$$

The function in the other direction is less intricate to define  $(cp_{input}$  also keeps the input around, hence the subscript):

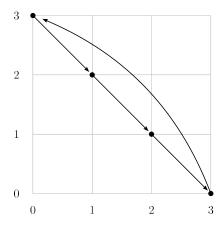


We can combine  $cp_i$  and  $cu_i$  to get rid of the input values they both leave behind:

$$\begin{aligned} \mathsf{cp} &= \mathsf{cp}_\mathsf{input} \ \ ^{\circ} \ \lfloor 2, 0, 1 \rceil \ \ ^{\circ} \ \mathsf{cu}_\mathsf{input}^{-1} \\ \mathsf{cu} &= \mathsf{cp}^{-1} \end{aligned}$$
 
$$\begin{matrix} x & 2 & \mathsf{cp}(x,y) \\ y & 0 & x \\ \mathsf{cp}(x,y) & 1 & y \\ 0 & 0 & 0 \end{matrix} \qquad \begin{matrix} \mathsf{cu}_\mathsf{input}^{-1} & 0 \\ 0 & 0 \\ 0 & 0 \end{matrix}$$

This is very powerful: we succesfully defined a function which stores data from two positions to just one. We will discuss pairings at greater lengths in the next paragraphs; for now, let's focus on the technique we used. In defining the function  $cu_{input}$  we framed it as a "path" in a two-dimensional grid. By slightly tweaking  $cu_{step}$  we can trace out other paths which helps us solve new problems.

For example, let's imagine starting on coordinates (0, n) and moving each turn in direction (+1, -1) (like before) but now when we reach (n, 0), instead of jumping to (0, n + 1) we land again on (0, n), looping in the same diagonal forever:

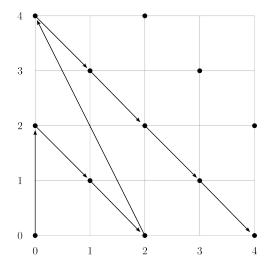


If we call  $\mathsf{div}_{\mathsf{step}}$  the function which performs one step of this diagram, by iterating it with  $\mathsf{It}[\mathsf{div}_{\mathsf{step}}]$  we've essentially found a way to do modular arithmetic: since it takes n+1 steps to get to where we started, if we perform m steps the x coordinate will be such that  $x \equiv m \pmod{n+1}$  and  $0 \le x \le n$ . Furthermore, if we increase a counter by one each time we land on (0,n) we can calculate integer division. The differences between such a  $\mathsf{div}_{\mathsf{step}}$  and  $\mathsf{cu}_{\mathsf{step}}$  are minimal (highlighted in bold):

$$\begin{array}{lll} \mathsf{div}_{\mathsf{step}} &= \mathsf{Id}_1 \|\mathsf{If}[\mathsf{Su},\mathsf{Id}_1,\mathsf{Id}_1] \\^\circ & & \lfloor 2,0,1 \rceil \\^\circ & & |\mathsf{If}[\mathsf{Su}\|\mathsf{Pr},\,\, \mathbf{Sw}\|\mathbf{Su},\,\, \mathsf{Id}_1] \\^\circ & & 0 & m & m \\ & & 0 & m & m \\ & & & 0 & m \\ & & & & n & \mathsf{div} \\ & & & & 1d_1 \\^\circ & \mathsf{Sw} & & 0 & 0 \\ & & & & 0 & q \end{array}$$

where m = q(n+1) + r is the division with remainder of m by n+1.

Lastly, there's a way in which we can express the truncated square root function  $\lfloor \sqrt{n} \rfloor$  in RPP. Of course, the square root is not an invertible function, like division - and like division, we can get a "remainder" which is the difference  $n-\lfloor \sqrt{n} \rfloor^2$ . We get  $\mathsf{sqrt}_{\mathsf{step}}$  by tweaking  $\mathsf{cu}_{\mathsf{step}}$  a little - we start off at (0,0) again, but whenever we reach (x,0) we jump to (0,x+2) and increase a counter by one:



The first jump is performed 1 step from the starting position (0,0); the next one is performed after 3 steps, then 5, 7 etc. It's well known that for each k, the sum of the first k odd numbers is  $1 + 3 + \cdots + (2k - 1) = k^2$ , so when we reach the number  $k^2$  we've performed k jumps - hence, we calculated a square

root (because  $k = \sqrt{k^2}$ ).

Again, we highlight the (minor) differences with  $\mathsf{cu}_{\mathsf{step}}$ :

$$\begin{split} \mathsf{sqrt}_\mathsf{step} = & \mathsf{Id}_1 \|\mathsf{If}[\mathsf{Su},\mathsf{Id}_1,\mathsf{Id}_1] ^\circ \\ & \quad \lfloor 2,0,1 \rceil ^\circ , \\ & \quad \mathsf{If}[\mathsf{Su}\|\mathsf{Pr},\ \mathbf{Su}\ ^\circ , \mathbf{Sw}\ ^\circ , \mathbf{Sw}\|\mathbf{Su},\ \mathsf{Id}_1] ^\circ , \\ & \quad \mathsf{Sw}\ ^\circ , \mathsf{If}[\mathsf{Pr},\mathsf{Id}_1,\mathsf{Id}_1] ^\circ , \\ & \quad \mathsf{Id}_1\ ^\circ , \mathsf{Sw} \\ & \quad \mathsf{O} \\ & \quad \mathsf{O} \\ \end{split} \qquad \begin{array}{c} n \\ n \\ r \\ \\ 0 \\ \mathsf{Sqrt} \\ 0 \\ 0 \\ \boxed{\sqrt{n}} - r \\ 0 \\ \boxed{\sqrt{n}} \\ \\ \end{array}$$

 $sqrt = It[sqrt_{step}]$ 

where  $\lfloor \sqrt{n} \rfloor$  is the truncated square root and  $r = n - \lfloor \sqrt{n} \rfloor^2$  our "square root remainder".

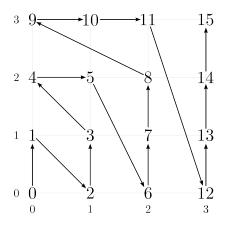
Another pairing function The Cantor pairing is not the only bijection  $\mathbb{N}^2 \to \mathbb{N}$ . Another one is mkpair [5], which we will also denote with quotation marks  $\langle \cdot, \cdot \rangle$ :

$$\mathsf{mkpair}(x,y) = \langle\!\langle x,y \rangle\!\rangle = \begin{cases} y^2 + x & x < y \\ x^2 + x + y & \mathsf{otherwise} \end{cases}$$

with inverse unpair =  $((\cdot)_1, (\cdot)_2) : \mathbb{N} \to \mathbb{N}^2$ :

$$\mathsf{unpair}(n) = \left( (n)_1, (n)_2 \right) = \begin{cases} \left( n - \lfloor \sqrt{n} \rfloor^2, \lfloor \sqrt{n} \rfloor \right) & n - \lfloor \sqrt{n} \rfloor^2 < \lfloor \sqrt{n} \rfloor \\ \left( \lfloor \sqrt{n} \rfloor, n - \lfloor \sqrt{n} \rfloor^2 - \lfloor \sqrt{n} \rfloor \right) & \text{otherwise} \end{cases}$$

We want to express mkpair as an RPP function, because we'll need it later. Similarly to cp, we first define functions mkpair<sub>input</sub>, unpair<sub>input</sub> which keep their original input, and then combine them to "erase" the inputs and get the true mkpair and unpair.



The definitions of mkpair and unpair only involve sums, subtractions, squares, comparisons between naturals and truncated square roots; we already know how to deal with all of these, so the construction isn't particularly interesting. For reference, here's the definitions:

where 
$$s=-1$$
 if  $n-\lfloor \sqrt{n}\rfloor^2<\lfloor \sqrt{n}\rfloor,$  and  $s=0$  otherwise.

With unpair<sub>input</sub> we make use of *Bennet's trick* [9]: we perform a computation unpair<sub>input, \rightarrow</sub> which gives us the result we need, alongside some other useless data. The obvious next step would be to throw away the useless data and just keep the result, but in reversible computing we can't erase information. Instead, we

store the result and then run the whole computation backwards: in this way, we get to where we started but with our result.

In general, reversible programs must always face the following problem: how to best manage information? Where do we put things we don't need? This is something we'll have to think about when we analyze PRF-completeness, and pairing functions will be the key.

**Verifying the behaviour** We've looked at some functions which can be defined within RPP. Using Lean we can input the definitions and then test them in a concrete way, to check if they work correctly:

But we can do much more: we can *prove* that they work correctly, in the same environment where we defined them.

This is a big step over defining them in a standard programming language and then writing a proof of their correctness on "pen and paper", because in that case there's no guarantee that what has been defined on machine is the same thing as what is being discussed in the proof: they're two different objects living in different worlds, linked only by our commitment to avoid mistakes in any of the two.

Instead, in Lean we can define square and then write on the following line

and if there's a typo in the definition, or a hole in the argumentation, the proof will just fail.

Even better: if square is used in the definition of other functions, like  $mkpair_i$ , when we verify the correctness of  $mkpair_i$  we'll already have the theorem about square at our disposal.

As an example let's see some of these theorems:

The proof is by induction on n and it's nothing remarkable. What's interesting is that we mark this lemma as @[simp]. The next proof is about dec := inc<sup>-1</sup>:

```
lemma dec_def (n : \mathbb{N}) (x : \mathbb{Z}) (X : list \mathbb{Z}) : <dec> (n :: x :: X) = n :: (x - n) :: X :=
```

```
begin

-- \vdash < dec> (n :: x :: X) = n :: (x - n) :: X

rw dec,

-- \vdash < inc^{-1}> (n :: x :: X) = n :: (x - n) :: X

rw inv_iff,

-- \vdash < inc> (n :: (x - n) :: X) = n :: x :: X

rw inc_def,

-- \vdash n :: (x - n + n) :: X = n :: x :: X

simp,

-- goals accomplished
```

We made good use of our lemma inc\_def. However, since we marked it as simp, the proof can be greatly shortened:

and in turn we mark dec\_def as @[simp], commencing our snowball of automation.

Indeed, each one of these theorems can be proven with (relatively) little effort by first setting things up right and then unleashing the simplifier. As an example, here's sqrt\_def:

```
\mathbb{Q}[\text{simp}] lemma \text{sqrt\_def} (n : \mathbb{N}) (X : list \mathbb{Z}) :
  <sqrt> (n :: 0 :: 0 :: 0 :: X) =
  n :: (n - \sqrt{n} * \sqrt{n}) :: (\sqrt{n} + \sqrt{n} - (n - \sqrt{n} * \sqrt{n}))
    :: 0 :: \sqrt{n} :: X :=
begin
  -- initial set up
  simp [sqrt, ev],
  induction n with n hn,
  rw [function.iterate_succ_apply', hn], clear hn,
  -- divides the proof in two cases
  cases (sqrt_succ_or n) with h h,
  -- first case
  -- the tactic have introduces a new goal
  -- which is added to the hypotheses once solved
  have H<sub>1</sub> := sqrt_lemma_1 n h,
  have H_2: (0 : \mathbb{Z}) < n - \sqrt{n} * \sqrt{n} + 1,
    by { have h := nat.sqrt_le n, norm_cast, linarith },
  simp[sqrt_step, ev, rewire, *], split, ring, ring,
  -- second case
```

```
have H_1 := sqrt_lemma_2 n h,
have H_2 : (n : \mathbb{Z}) = \sqrt{n} + \sqrt{n} + \sqrt{n} * \sqrt{n},
by { symmetry, rw \leftarrowsub_eq_zero, rw \leftarrowH<sub>1</sub>, ring },
simp[sqrt_step, ev, rewire, *], split, ring, ring
```

There's an initial set up, then it splits into two cases. In each, some hypothesis are added to aid simp and ring, which are subsequently called to finish the job.

Since we're interested in using the simplifier as much as possible, we've been careful stating our theorems. Another way to express <code>inc\_def</code> would've been

but this can be applied only when the input list is of length exactly 2; often we have something like <inc> (n :: x ::X) with X : list  $\mathbb{Z}$ . By theorem ev\_split we know that

```
\langle inc \rangle (n :: x :: X) = \langle inc \rangle [n, x] ++ X
```

but remember that we can't mark ev\_split as @[simp] because that would lead to infinite loops. Thus, that formulation of the properties of inc is not very simp-friendly. By framing inc\_def as we did, this problem disappears.

We restate that the purpose of Lean is not being an automatic theorem prover. However, it's nice when it can be used in that way.

# 2.6 PRF-completeness

We've just seen that the class of functions RPP is not quite as limited as it might seem at first sight, containing things like square roots and pairings. At this point we could ask ourselves - what exactly *can* (or can't) we express in RPP? Given a function, is there a quick way to tell if it's possible to include it in RPP or not?

The answer is yes - in fact, RPP were created already with this question in mind. Specifically, they can be thought of as the reversible counterpart to another, more famous class of function: the *Primitive Recursive Functions* [7].

**Definition 2** (Primitive Recursive Functions). The class of **Primitive Recursive Functions** is the smallest subset of function  $\mathbb{N}^n \to \mathbb{N}$  satisfying the following conditions:

- The **constant function** O(x) = 0 belongs to PRF.
- The successor function S(x) = x + 1 belongs to PRF.
- The *n*-ary **projection function**  $P_i^n(x_1,...,x_n) = x_i$  belongs to PRF for all  $n \in \mathbb{N}$  and  $1 \le i \le n$ .
- If  $F_1, \ldots, F_m : \mathbb{N}^n \to \mathbb{N}$  and  $G : \mathbb{N}^m \to \mathbb{N}$  belong to PRF, then the **composition**  $G(F_1(\boldsymbol{x}), \ldots, F_m(\boldsymbol{x}))$  belongs to PRF.

• If  $F: \mathbb{N}^n \to \mathbb{N}$  and  $G: \mathbb{N}^{n+2} \to \mathbb{N}$  belong to PRF, then the function obtained by **primitive recursion**  $H: \mathbb{N}^{n+1} \to \mathbb{N}$  such that

$$H(\boldsymbol{x},0) = F(\boldsymbol{x})$$

$$H(\boldsymbol{x}, y+1) = G(\boldsymbol{x}, y, h(\boldsymbol{x}, y))$$

belongs to PRF.

Primitive recursion is a way to express iteration on the variable y, in a way somewhat similar to the Nat induction principle Nat.rec present in Lean: if we've defined z = H(x, y) then we can define H(x, y + 1) as G(x, y, z), which is something that only depends on the parameter x, the iterator y and the previously calculated value z.

The importance of this class of functions lies in the simplicity of the definition, and the fact that most commonly used functions  $\mathbb{N}^n \to \mathbb{N}$  belong to PRF.

For example here's our good friend ADD:  $\mathbb{N}^2 \to \mathbb{N}$ :

$$\begin{split} & \operatorname{ADD}(x,0) = & \operatorname{P}^1_1(x) = x \\ & \operatorname{ADD}(x,y+1) = & \operatorname{S}\left(\operatorname{P}^3_3\big(x,y,\operatorname{ADD}(x,y)\big)\right) = \operatorname{S}(\operatorname{ADD}(x,y)) = \operatorname{ADD}(x,y) + 1 \end{split}$$

which is obtained by primitive recursion using  $P_1^1$  and  $S \circ P_3^3$ .

Primitive recursive functions are a thoroughly studied object and we know many facts about them. For example, not all functions are primitive recursive, even if those functions are effectively computable: an example is given by the Ackermann function

$$\begin{aligned} & \operatorname{ACK}(0,n) &= n+1 \\ & \operatorname{ACK}(m+1,0) &= \operatorname{ACK}(m,1) \\ & \operatorname{ACK}(m+1,n+1) &= \operatorname{ACK}(m,\operatorname{ACK}(m+1,n)) \end{aligned}$$

We know that this can't possibly belong to PRF because there's a limit on how rapidly primitive recursive functions can grow, and ACK exceeds this limit. Even small inputs lead to enormous outputs - for example,  $ACK(4,2) = 2^{65536} - 3$ .

Here we delineate the relationship between PRF and RPP:

**Theorem 1** (PRF-completeness). Let  $F: \mathbb{N}^k \to \mathbb{N}$  belong to PRF. Then, there exists  $a \in \mathbb{N}$  and  $f: \mathbb{Z}^{1+k+a} \to \mathbb{Z}^{1+k+a}$  in RPP such that for all  $z \in \mathbb{Z}$  and  $x \in \mathbb{N}^k$ ,

$$\begin{array}{c|c} z & z + F(x) \\ x & x \\ 0 & 0 \end{array}$$

where  $\mathbf{0} = (0, \dots, 0)$  is a tuple of length a.

Claim 1 (PRF-soundness). Every  $f \in \mathsf{RPP}$  has a representative inside PRF obtainable via the bijection which exists between  $\mathbb{Z}$  and  $\mathbb{N}$ .

These two statements together mean that, in a sense, RPP and PRF are equivalent: anything expressible in PRF can also be encoded in RPP and vice versa. So, no matter how hard we try, we'll never be able to implement something like ACK in RPP.

Theorem 1 has been successfully verified in Lean (and also Coq): we will focus on this in the following paragraph. On the other hand, claim 1 is intuitively true for those familiar with PRF functions and annoying to write down precisely, so for the moment no energies have been spent in trying to formalize it in a proof assistant.

PRF-completeness in Lean As usual, there's more than one way in which our result can be proven. We could come up with our definition of PRF in Lean, but actually in Mathlib there's already one present. By stating our theorem in terms of the already-defined PRF, we "link" our object (RPP functions) with already established ones; building on top of what has already been done is both convenient and effective.

Truth to be told, there are at least two notions of PRF in Mathlib [5]. First the one that most closely resembles the definition we've given:

```
inductive primrec': \forall {n}, (vector \mathbb{N} n \rightarrow \mathbb{N}) \rightarrow Prop | zero: @primrec' 0 (\lambda_, 0) | succ: @primrec' 1 (\lambda v, succ v.head) | nth {n} (i: fin n): primrec' (\lambda v, v.nth i) | comp {m n f} (g: fin n \rightarrow vector \mathbb{N} m \rightarrow \mathbb{N}): primrec' f \rightarrow (\forall i, primrec' (g i)) \rightarrow primrec' (\lambda a, f (of_fn (\lambda i, g i a))) | prec {n f g}: @primrec' n f \rightarrow @primrec' (n+2) g \rightarrow primrec' (\lambda v: vector \mathbb{N} (n+1), v.head.elim (f v.tail) (\lambda y IH, g (y::v IH::v v.tail)))
```

Notice the type: it's a function that takes as inputs a number  $n:\mathbb{N}$ , a function vector  $\mathbb{N}$   $n\to\mathbb{N}$  and returns a proposition Prop - in short, it's an **inductive proposition**. The meaning of this, is that we're defining inductively the statement "this is a primitive recursive function". For example, the third base case nth tells us that the function ( $\lambda$  v, v.nth i) which given a vector v returns its i-th element, is a primitive recursive function. This is stated by the fact primrec' ( $\lambda$  v, v.nth i), which is a proposition. The last case prec takes as input the statements that functions f and g are primitive recursive, and declares that a more complicated function (given by primitive recursion of f and g) is also primitive recursive.

Even if primrec' matches our notion of PRF, it's pretty complicated. Its power makes it a good definition if we want to prove that something is a primitive recursive function, but a bad one if instead we want to show a result about PRF. For that, it's better to use another definition:

<sup>&</sup>lt;sup>4</sup>We could've used the same approach with RPP, inductively defining the proposition "this is a reversible primitive permutation". We haven't explored this alternative.

```
inductive primrec : (\mathbb{N} \to \mathbb{N}) \to \operatorname{Prop} | zero : primrec (\lambda \text{ n, 0}) | succ : primrec succ | left : primrec (\lambda \text{ n, n.unpair.1}) | right : primrec (\lambda \text{ n, n.unpair.2}) | pair {f g} : primrec f \to primrec g \to primrec (\lambda \text{ n, mkpair (f n) (g n)}) | comp {f g} : primrec f \to primrec g \to primrec {f g} : primrec f \to primrec g \to primrec (unpaired (\lambda \text{ z n, n.elim (f z)} (\lambda \text{ (y IH : }\mathbb{N}), \text{ g (nat.mkpair z (nat.mkpair y IH))})
```

At first sight, this looks like something totally different. It's still an inductive proposition, but takes as argument just unary functions  $\mathbb{N} \to \mathbb{N}$ , not of arbitrary arity. The first two cases zero and succ are straightforward but the third and fourth are somewhat alien - investigating further, we discover that unpair is the unpair function introduced in the previous section! It's also present mkpair, not only in the base case pair but also in the primitive recursive case prec. What's going on is that we use pairing functions to work with functions  $\mathbb{N} \to \mathbb{N}$  instead of n-ary ones. Composition becomes a lot easier, and to express functions with higher arity we use pair to "join" two values, which can then be retrieved using the functions left and right.

The definition primrec might seem weird, but to be honest, that's not something we have to worry about: in Mathlib it's already proven that primrec and primrec' are equivalent definitions - meaning, every primrec is primrec', and there's a certain sense in which every primrec' can be encoded as a primrec.

At this point the choice is obvious: we have to prove that all PRF are expressable as RPP, and showing that using primrec is much simpler than with primrec'. To state the theorem we first define the proposition encode F f which means "F :  $\mathbb{N} \to \mathbb{N}$  can be encoded in RPP through f":

```
def encode (F : \mathbb{N} \to \mathbb{N}) (f : RPP) := \forall (z : \mathbb{Z}) (n : \mathbb{N}), <f> (z :: n :: repeat 0 (f.arity-2)) = (z + F n) :: n :: repeat 0 (f.arity-2)
```

Our main thesis becomes

```
theorem completeness (F : \mathbb{N} \to \mathbb{N}) : nat.primrec F \to \exists f : RPP, encode F f
```

that is: for all  $F: \mathbb{N} \to \mathbb{N}$  such that primrec F, there exists f: RPP which encode F.

To show this result we proceed by induction on the proposition nat.primrec F, generating 7 goals (one for each case in the definition of primrec). Let's see the second one, involving primrec.succ:

By definition of encode, this means we have to find an f: RPP such that

```
<f> (z :: n :: repeat 0 (f.arity - 2)) = (z + n.succ) :: n :: repeat 0 (f.arity - 2)
```

Our candidate is succ := Su ;; Sw ;; inc ;; Sw, which has the following behaviour:

```
lemma succ_def (z : \mathbb{Z}) (n : \mathbb{N}) :
   <succ> [z, n] = [z + n.succ, n] :=
by { simp [succ, ev], ring }
```

which is just another way to rephrase encode nat.succ succ. To present a witness of an existential proposition we use the tactics use:

```
-- ⊢ ∃ (f : RPP), encode nat.succ f
use succ,
-- ⊢ encode nat.succ succ
exact succ_def,
-- goals accomplished
```

We proceed like this for each case: we construct a suitable function f: RPP and then prove encode F f for the given F. For the base cases this is something very simple; for the inductive cases more care is needed.

To illustrate this, here's the case primrec.comp:

```
\begin{array}{l} \texttt{G}_1, \ \texttt{G}_2 \ : \ \mathbb{N} \ \rightarrow \ \mathbb{N} \\ \texttt{h}_1 \ : \ \texttt{nat.primrec} \ \texttt{G}_1 \\ \texttt{h}_2 \ : \ \texttt{nat.primrec} \ \texttt{G}_2 \\ \texttt{ih}_1 \ : \ \exists \ (\texttt{f} \ : \ \texttt{RPP}) \ , \ \texttt{encode} \ \texttt{G}_1 \ \texttt{f} \\ \texttt{ih}_2 \ : \ \exists \ (\texttt{f} \ : \ \texttt{RPP}) \ , \ \texttt{encode} \ \texttt{G}_2 \ \texttt{f} \\ \vdash \ \exists \ (\texttt{f} \ : \ \texttt{RPP}) \ , \ \texttt{encode} \ (\lambda \ (\texttt{n} \ : \ \mathbb{N}) \ , \ \texttt{G}_1 \ (\texttt{G}_2 \ \texttt{n})) \ \texttt{f} \end{array}
```

We will ultimately solve this by proposing as witness the function pair f g: RPP, and then proving it's the right one through the lemma pair\_def. To guarantee its correct behaviour, the inductive hypotheses  $ih_1$  and  $ih_2$  are crucial. Let's study the first one:  $ih_1$  can be broken down using the cases tactics, giving us the hypothesis

```
g_1: RPP ih_1: encode G_1 g_1 which means (g_1) (z :: n :: repeat 0 (g_1.arity - 2)) = (z + G_1 n) :: n :: repeat 0 (g_1.arity - 2)
```

The problem with this hypothesis is that it requires us to have exactly  $g_1$  arity - 2 trailing zeroes, so if there's actually more than that, simp can't use the hypothesis. To solve this we strengthen our hypothesis to encode\_le  $G_1$   $g_1$  which works for any number of trailing zeroes greater than  $g_1$  arity - 2:

```
-- encode_le G_1 g_1: \forall (a : \mathbb{N}), f.arity-2 \leq a \rightarrow
```

```
\langle g_1 \rangle (z :: n :: repeat 0 a) = (z + G<sub>1</sub> n) :: n :: repeat 0 a)
```

Actually, encode\_le is a lemma that states precisely the fact that we can indeed strenghten our hypotheses like this.

We've solved a problem but created another one: usually in the goal the trailing zeroes look something like

```
-- pair_fwd f g is an auxiliary function
-- used in the definition of pair
repeat 0 ((pair_fwd f g).arity - 3)
```

and so to use  $encode_le \ G_1 \ g_1$  we need to make sure that that number of zeroes is larger than f.arity-2, i.e.

```
f.arity-2 \le (pair_fwd f g).arity - 3
```

For this reason, we first prove a lemma which controls the arity of pair\_fwd f g:

```
lemma pair_fwd_arity (f g : RPP) : ∃ a,
  (pair_fwd f g).arity = a + 7 ∧
  f.arity-2 ≤ a + 4 ∧
  g.arity-2 ≤ a + 3
```

which is stated in an odd way using existentials to make it more simp-friendly. After these preparations, the proof of pair\_fwd\_def (and of pair\_def) consists of nothing more than an initial setup and then a call to the simplifier.

The most complicated - and the most interesting - case is the last one, about primitive recursion. Let's look at the definition again:

```
prec {f g} : primrec f \rightarrow primrec g \rightarrow primrec (unpaired (\lambda z n, n.elim (f z) (\lambda (y IH : N), g (nat.mkpair z (nat.mkpair y IH)))
```

Given  $F, G \in \mathsf{PRF}$  let's call H the function given by  $\mathsf{primrec.prec}$  (which isn't just standard primitive recursion!). Let  $(x, y) = \mathsf{mkpair}(x, y)$  and  $((n)_1, (n)_2) = \mathsf{unpair}(n)$ , then H is given by

$$H(x) = R[F, G]((x)_1, (x)_2)$$

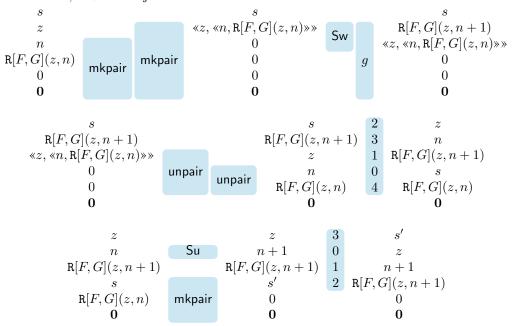
where we define  $R[F,G]: \mathbb{N}^2 \to \mathbb{N}$  as

$$\begin{split} & \mathbf{R}[F,G](z,0) \ = F(z) \\ & \mathbf{R}[F,G](z,n+1) \ = G\big( \leqslant z, \leqslant n, \mathbf{R}[F,G](z,n) \rangle \rangle \big) \end{split}$$

Let's assume that  $f,g\in\mathsf{RPP}$  encode respectively  $F,G\in\mathsf{PRF}$ , i.e.  $f(z,n,\mathbf{0})=(z+F(n),n,\mathbf{0})$  and  $g(z,n,\mathbf{0})=(z+G(n),n,\mathbf{0})$ . Then, we simulate a single iteration of  $\mathsf{R}[F,G]$  by  $\mathsf{prec}_{\mathsf{step}}[g]\in\mathsf{RPP}$  given by

$$\begin{split} \mathsf{prec}_\mathsf{step}[g] &= \mathsf{Id}_2 \| \mathsf{mkpair} ^\circ_{\mathfrak{p}} \\ & \mathsf{Id}_1 \| \mathsf{mkpair} ^\circ_{\mathfrak{p}} \\ & \mathsf{Id}_1 \| (\mathsf{Sw} \, ^\circ_{\mathfrak{p}} \, g) ^\circ_{\mathfrak{p}} \\ & \mathsf{Id}_2 \| \mathsf{unpair} ^\circ_{\mathfrak{p}} \\ & \mathsf{Id}_3 \| \mathsf{unpair} ^\circ_{\mathfrak{p}} \\ & \mathsf{Id}_3 \| \mathsf{unpair} ^\circ_{\mathfrak{p}} \\ & \mathsf{Id}_1 \| \mathsf{Su} \| \mathsf{Id}_1 \| \mathsf{mkpair} ^\circ_{\mathfrak{p}} \\ & \mathsf{Id}_1 \| \mathsf{Su} \| \mathsf{Id}_1 \| \mathsf{mkpair} ^\circ_{\mathfrak{p}} \\ & \mathsf{Id}_3 \, [3,0,1,2] \end{split}$$

Below is a diagram showing each step of the computations of  $\mathsf{prec}_{\mathsf{step}}[g]$ . The variables  $s, s' \in \mathbb{N}$  are "junk" whose values we don't care about.



What's interesting about this procedure is that we use the function mkpair for two completely different purposes:

• The first two calls to mkpair are just there to create the value

$$\ ^{\leqslant z,\ \leqslant n,\ \aleph[F,G](z,n) \gg \gg}$$

which is needed in order to calculate R[F,G](z,n+1), while the two unpair unwind the previous pairings.

• The last mkpair is instead our answer to the problem of how to store information in excess. Because we have a problem: there's a point in which both R[F,G](z,n+1) and R[F,G](z,n) are present at the same time. We're interested in going forward with the iteration, so we don't need R[F,G](z,n) anymore; but we can't just replace it with 0 because that's not a reversible action, and we also can't store each iteration R[F,G](z,0), R[F,G](z,1), ... in separate cells because there's a limited number of them. So instead, we put all our "junk" in the same cell using the pairing function: by calling mkpair with arguments s, R[F,G](n,z) we obtain in the first cell a new junk value s', but more importantly we free our second cell so that we have the same number of free cells as before the iteration.

After having defined  $\mathsf{prec}_\mathsf{step}[g]$  which performs a single step of the iteration, we use the iterator lt to get to the result we're interested in, and finally use Bennet's trick to retrieve the result and then revert everything back.

Proof-wise, we use techniques similar to the ones discussed in the primrec. comp case. This concludes our discussion of the proof of completeness.

## 2.7 Alternative paths

There's a number of different ways in which we could have (or actually have) achieved our goals - more specifically, we present an alternative approach to define RPP in Lean, and another way to express and prove PRF-completeness.

The relational approach In our discussion of the formalization of RPP in Lean, we immediately assumed we'd end up with a class of concrete functions which mimics the ones given definition 1; that means that giving input X to a function f and getting ouput Y is expressed as

```
\langle f \rangle X = Y
```

but we could also see it as a **relation** [3] between tuples X, Y and function f,

```
X \Leftarrow [f] \Rightarrow Y
```

which says "X through f becomes Y" - a proposition. For example, if we know that  $X \Leftarrow [f] \Rightarrow Y$  and  $Y \Leftarrow [g] \Rightarrow Z$  then it follows that  $X \Leftarrow [f] \Rightarrow Y$  (or rel f X Y) should be an inductively defined proposition. Here's a way to do it:

```
\mathtt{inductive} \ \mathtt{rel} : \mathtt{RPP} \to \mathtt{list} \ \mathbb{Z} \to \mathtt{list} \ \mathbb{Z} \to \mathtt{Prop}
  id: \forall \{n X\}, length X = n \rightarrow rel (Id n) X X
  ne : \forall x, rel Ne [x] [-x]
   su: \forall x, rel Su[x][x.succ]
  pr : \forall x, rel Pr [x] [x.pred]
  \mathtt{sw}: \forall \ \mathtt{x} \ \mathtt{y}, \ \mathtt{rel} \ \mathtt{Sw} \ [\mathtt{x}, \ \mathtt{y}] \ [\mathtt{y}, \ \mathtt{x}]
| co : \forall \{f g X Y Z\},
       \mathtt{rel}\;\mathtt{f}\;\mathtt{X}\;\mathtt{Y}\to\mathtt{rel}\;\mathtt{g}\;\mathtt{Y}\;\mathtt{Z}\to
       rel (f ;; g) X Z
\mid pa : \forall \{f g X_1 X_2 Y_1 Y_2\},
       \mathtt{rel}\;\mathtt{f}\;\mathtt{X}_1\;\mathtt{Y}_1\to\mathtt{rel}\;\mathtt{g}\;\mathtt{X}_2\;\mathtt{Y}_2\to
       \mathtt{rel}\ (\mathtt{f}\ \|\ \mathtt{g})\ (\mathtt{X}_1\ ++\ \mathtt{X}_2)\ (\mathtt{Y}_1\ ++\ \mathtt{Y}_2)
| itz : \forall {f X}, length X = arity f \rightarrow
       \mathtt{rel}\ (\mathtt{It}\ \mathtt{f})\ (0:: \mathtt{X})\ (0:: \mathtt{X})
| itp : \forall {f x X Y Z}, rel f Y Z \rightarrow
       rel (It f) (x :: X) (x :: Y) \rightarrow
       rel (It f) (x.succ :: X) (x.succ :: Z)
| itn : \forall {f x X Y Z}, rel f Z Y \rightarrow
       \mathtt{rel}\;(\mathtt{It}\;\mathtt{f})\;(\mathtt{x}\;::\;\mathtt{X})\;(\mathtt{x}\;::\;\mathtt{Y})\;\rightarrow\;
       rel (It f) (x.pred :: X) (x.pred :: Z)
| ifp : \forall {f g h x X Y<sub>1</sub> Y<sub>2</sub> Y<sub>3</sub>},
       \mathtt{rel}\;\mathtt{f}\;\mathtt{X}\;\mathtt{Y}_1\to\mathtt{rel}\;\mathtt{g}\;\mathtt{X}\;\mathtt{Y}_2\to\mathtt{rel}\;\mathtt{h}\;\mathtt{X}\;\mathtt{Y}_3\to
       x > 0 \rightarrow rel (If f g h) (x :: X) (x :: Y_1)
| ifz : \forall {f g h X Y<sub>1</sub> Y<sub>2</sub> Y<sub>3</sub>},
       \mathtt{rel}\;\mathtt{f}\;\mathtt{X}\;\mathtt{Y}_1\to\mathtt{rel}\;\mathtt{g}\;\mathtt{X}\;\mathtt{Y}_2\to\mathtt{rel}\;\mathtt{h}\;\mathtt{X}\;\mathtt{Y}_3\to
       rel (If f g h) (0 :: X) (0 :: Y_2)
| ifn : \forall {f g h x X Y<sub>1</sub> Y<sub>2</sub> Y<sub>3</sub>},
       \mathtt{rel}\;\mathtt{f}\;\mathtt{X}\;\mathtt{Y}_1\to\mathtt{rel}\;\mathtt{g}\;\mathtt{X}\;\mathtt{Y}_2\to\mathtt{rel}\;\mathtt{h}\;\mathtt{X}\;\mathtt{Y}_3\to
```

```
\mathtt{x} < 0 \rightarrow \mathtt{rel} \; (\mathtt{If} \; \mathtt{f} \; \mathtt{g} \; \mathtt{h}) \; (\mathtt{x} :: \mathtt{X}) \; (\mathtt{x} :: \mathtt{Y}_3) notation \mathtt{X} \; '\Leftarrow [`\; \mathtt{f} \; '] \Rightarrow `\; \mathtt{Y} := \mathtt{rel} \; \mathtt{f} \; \mathtt{X} \; \mathtt{Y} \#\mathtt{check} \; \mathtt{rel.sw} \; -- \; \forall \; (x \; y \; : \; \mathbb{Z}), \; [x, \; y] \Leftarrow [Sw] \Rightarrow [y, \; x]
```

To give an idea of what this means, notice that what we said earlier about composition is expressed in the rel.co case: if rel f X Y and rel g Y Z hold true then rel (f;; g) X Z also does.

Here's what a proof which uses this definition looks like:

```
def inc := It Su

lemma inc_def (n : N) (x : Z) :
    [n, x] ←[inc] ⇒ [n, x+n] :=
begin
    -- just showing it's something provable
    rw inc, induction n with n hn,
    simp [rel.itz],
    refine rel.itp _ hn,
    rw [int.coe_nat_succ, ←add_assoc],
    apply rel.su
end
```

Why should one use this approach? The big advantage over using something like our function ev is that instead of a class of functions, we could have a class of *programs* which might not terminate (for example an infinite loop), and because every function in Lean must terminate we'd not be able to work with those programs by formalizing them as functions. But there'd be no problem if instead we switched to the relational approach: there could well be inputs X and programs P such that there's no P such that P (P) P, no big deal.

However, with RPP we don't really have this problem, because there are no "functions which do not terminate". Furthermore, using functions makes it possible to do explicit computations, and most importantly, we can often prove things directly by definitional equality and the simp tactic, which is something that cannot be achieved with the relational approach.

The function convert We formalized RPP as an inductive type RPP (the type of RPP-sentences) together with a function  $ev : RPP \to list \mathbb{Z} \to list \mathbb{Z}$  which gives to each f : RPP its interpretation as a function  $list \mathbb{Z} \to list \mathbb{Z}$ .

Something similar can be done with PRF: we can define the inductive type PRF with elements PRF-sentences, together with a function EV: PRF  $\rightarrow$  list  $\mathbb{N} \rightarrow \mathbb{N}$ .

In this way, PRF-completeness can be expressed in another way: we can provide a function convert: PRF  $\rightarrow$  RPP which given F: PRF returns f = convert F: RPP such that f is an encoding of F in the sense given in theorem 1.

This approach has been successfully followed using another proof assistant called Coq, but it's noticeably more complicated than what has been presented in this thesis, and the author prefer not to speak of it again.

# 3. Conclusion

Our efforts in providing a formal verification of the definition and properties of reversible primitive permutations have been succesful. We showed that it is possible to turn the contents of a traditional paper into a mechanical format provided enough time and experience with proof assistants. Furthermore, the search for simpler and simpler terms in which to reframe our definitions and problems had a beneficial effect: many concepts about RPP functions have been refined - particularly, the construction of the Cantor pairing and the generality of the "path" algorithm, the relationship between different types of iterators, the usage of a lighter, simpler notation and the development of diagrams to visualize complicated functions step-by-step. We set up an environment in which it is easy to try out, develop and reason about new RPP functions, together with the possibility of proving facts about them in a semi-automated way.

#### 3.1 Future work

In the future, a formalization of PRF-soundness could be provided. But a more interesting direction is the exploration of possible extensions and generalization of reversible primitive permutations.

For example, one idea (which is suggested by the presence of pairing functions) is to consider functions with different input and ouput arity - in other words, in which the number of available cells can grow and shrink during the computations. Currently, most functions require a large number of ancillae - that is, values set to 0 before and after the computation - and if one is not careful in providing enough clear cells, computations can break. Having the possibility of creating and removing ancillae on the fly would solve this problem. In the formalization of PRF-completeness we mention another problem, which is that excess information can only be stored "vertically", piling it through repeated use of pairing functions. This however is computationally ineffective, because the values created by pairing functions grow very rapidly. By varying the number of available cells another possibility would be open: storing information "horizontally", farther and farther away in memory. Lastly, flexible input and output arity could lead to a stronger class of functions which go beyond PRF-soundness and let us express other functions.

A possible way to do have varying arity is to extend RPP to a new class RPP<sub>0</sub>

with two new base functions: Ze, which adds in the first position a new cell initialized to 0; and its inverse Ez, which removes the first cell if its value is set to 0 (and otherwise leaves things unchanged). This destroys a nice properties of the original RPP functions, namely that the input and output arity of a reversible primitive permutation is completely characterized by its syntax and doesn't depend on the argument the function is applied to. Since our definition of parallel composition  $\parallel$  depends on this property, if we want to add Ze and Ez we have to weaken parallel composition of two functions  $f \parallel g \in \text{RPP}$  to a simple offset  $n \parallel f$  where n is a natural number which tells by how many positions the application of f should be offset. In addition, the concept of an n-ary identity function doesn't make sense anymore since arity is not tracked, so we can weaken it to the notion of a 0-ary function Nu. With these considerations, we can define an evaluation function

```
\textcolor{red}{\texttt{def}} \ \texttt{ev} \ : \ \texttt{RPP}_0 \ \rightarrow \ \texttt{list} \ \mathbb{Z} \ \rightarrow \ \texttt{list} \ \mathbb{Z}
l Nu
                                               := -x :: 1
| Ne
                  (x :: 1)
                                               := (x + 1) :: 1
| Su
                  (x :: 1)
                                               := (x - 1) :: 1
| Pr
                  (x :: 1)
| Sw
                  (x :: y :: 1)
                                              := y :: x :: 1
| (f ;; g)
                                               := ev g (ev f 1)
| (n \parallel g)
                 1
                                              := take n 1 ++ ev g (drop n 1)
| (It f)
                  (x :: 1)
                                               := x :: ((ev f)^[\downarrow x] 1)
| (If f g h) (0 :: 1)
                                               := 0 :: ev g l
| (If f g h) (((n : \mathbb{N}) + 1) :: 1) := (n + 1) :: ev f l
| (If f g h) (-[1+ n] :: 1)
                                               := -[1+ n] :: ev h 1
                                               := 0 :: 1
| Ze
                  1
l Ez
                  (0 :: 1)
                                               := 1
                                               := 1
```

An example of a function which is now possible to define is bin:  $RPP_0$  which given a value returns its binary-number representation.

Other options include adding directly an arity-changing pairing function like the Cantor pairing, or euclidean division.

In our work, an effort has been made to develop a small, imperative programming language inspired by RPP with memory managed by dictionaries instead of tuples - but without much success. More effort could be put in this direction.

Lastly, it could be interesting to study classes of functions which are "partially reversible", meaning that even though not all functions have an inverse, nonetheless each one can be broken down in a "reversible" and "non-reversible" part.

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