

# blockDAGs

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**theory** *DAGs*

```

imports Main Graph-Theory.Graph-Theory
begin

```

## 1 DAG

```

locale DAG = digraph +
  assumes cycle-free:  $\neg(v \rightarrow^+_G v)$ 

```

### 1.1 Functions and Definitions

```

fun (in DAG) direct-past:: 'a  $\Rightarrow$  'a set
  where direct-past a = {b. (b  $\in$  verts G  $\wedge$  (a,b)  $\in$  arcs-ends G)}

```

```

fun (in DAG) future-nodes:: 'a  $\Rightarrow$  'a set
  where future-nodes a = {b. b  $\rightarrow^+_G$  a}

```

```

fun (in DAG) past-nodes:: 'a  $\Rightarrow$  'a set
  where past-nodes a = {b. a  $\rightarrow^+_G$  b}

```

```

fun (in DAG) past-nodes-refl :: 'a  $\Rightarrow$  'a set
  where past-nodes-refl a = {b. a  $\rightarrow^*_G$  b}

```

```

fun (in DAG) reduce-past:: 'a  $\Rightarrow$  ('a,'b) pre-digraph
  where
    reduce-past a = induce-subgraph G (past-nodes a)

```

```

fun (in DAG) reduce-past-refl:: 'a  $\Rightarrow$  ('a,'b) pre-digraph
  where
    reduce-past-refl a = induce-subgraph G (past-nodes-refl a)

```

```

fun (in DAG) is-tip:: 'a  $\Rightarrow$  bool
  where is-tip a = ((a  $\in$  verts G)  $\wedge$  (ALL x.  $\neg$  x  $\rightarrow^+_G$  a))

```

```

definition (in DAG) tips:: 'a set
  where tips = {v. is-tip v}

```

### 1.2 Lemmas

```

lemma (in DAG) unidirectional:
  u  $\rightarrow^+_G$  v  $\longrightarrow$   $\neg$ ( v  $\rightarrow^*_G$  u)
  using cycle-free reachable1-reachable-trans by auto

```

#### 1.2.1 Tips

```

lemma (in DAG) del-tips-dag:
  assumes is-tip t
  shows DAG (del-vert t)
  unfolding DAG-def DAG-axioms-def
  proof safe

```

```

show digraph (del-vert t) using del-vert-simps DAG-axioms
  digraph-def
  using digraph-subgraph subgraph-del-vert
  by auto
next
  fix v
  assume v  $\rightarrow^+$  del-vert t v
  then have v  $\rightarrow^+$  v using subgraph-del-vert
    by (meson arcs-ends-mono trancl-mono)
  then show False
    by (simp add: cycle-free)
qed

```

### 1.2.2 Future Nodes

```

lemma (in DAG) future-nodes-not-refl:
  assumes a  $\in$  verts G
  shows a  $\notin$  future-nodes a
  using cycle-free future-nodes.simps reachable-def by auto

```

### 1.2.3 Past Nodes

```

lemma (in DAG) past-nodes-not-refl:
  assumes a  $\in$  verts G
  shows a  $\notin$  past-nodes a
  using cycle-free past-nodes.simps reachable-def by auto

```

```

lemma (in DAG) past-nodes-verts:
  shows past-nodes a  $\subseteq$  verts G
  using past-nodes.simps reachable1-in-verts by auto

```

```

lemma (in DAG) past-nodes-refl-ex:
  assumes a  $\in$  verts G
  shows a  $\in$  past-nodes-refl a
  using past-nodes-refl.simps reachable-refl asms
  by simp

```

```

lemma (in DAG) past-nodes-refl-verts:
  shows past-nodes-refl a  $\subseteq$  verts G
  using past-nodes.simps reachable-in-verts by auto

```

```

lemma (in DAG) finite-past: finite (past-nodes a)
  by (metis finite-verts rev-finite-subset past-nodes-verts)

```

```

lemma (in DAG) future-nodes-verts:
  shows future-nodes a  $\subseteq$  verts G
  using future-nodes.simps reachable1-in-verts by auto

```

```

lemma (in DAG) finite-future: finite (future-nodes a)
  by (metis finite-verts rev-finite-subset future-nodes-verts)

```

```

lemma (in DAG) past-future-dis[simp]: past-nodes a  $\cap$  future-nodes a = {}
proof (rule ccontr)
  assume  $\neg$  past-nodes a  $\cap$  future-nodes a = {}
  then show False
    using past-nodes.simps future-nodes.simps unidirectional reachable1-reachable
by blast
qed

```

#### 1.2.4 Reduce Past

```

lemma (in DAG) reduce-past-arcs:
  shows arcs (reduce-past a)  $\subseteq$  arcs G
  using induce-subgraph-arcs past-nodes.simps by auto

```

```

lemma (in DAG) reduce-past-arcs2:
   $e \in \text{arcs } (\text{reduce-past } a) \implies e \in \text{arcs } G$ 
  using reduce-past-arcs by auto

```

```

lemma (in DAG) reduce-past-induced-subgraph:
  shows induced-subgraph (reduce-past a) G
  using induced-induce past-nodes-verts by auto

```

```

lemma (in DAG) reduce-past-path:
  assumes  $u \rightarrow^+_{\text{reduce-past } a} v$ 
  shows  $u \rightarrow^+_G v$ 
  using assms
proof induct
  case base then show ?case
    using dominates-induce-subgraphD r-into-trancl' reduce-past.simps
    by metis
  next case (step u v) show ?case
    using dominates-induce-subgraphD reachable1-reachable-trans reachable-adjI
    reduce-past.simps step.hyps(2) step.hyps(3) by metis

qed

```

```

lemma (in DAG) reduce-past-pathr:
  assumes  $u \rightarrow^*_{\text{reduce-past } a} v$ 
  shows  $u \rightarrow^*_G v$ 
  by (meson assms induced-subgraph-altdef reachable-mono reduce-past-induced-subgraph)

```

#### 1.2.5 Reduce Past Reflexiv

```

lemma (in DAG) reduce-past-refl-induced-subgraph:
  shows induced-subgraph (reduce-past-refl a) G
  using induced-induce past-nodes-refl-verts by auto

```

```

lemma (in DAG) reduce-past-refl-arcs2:

```

$e \in \text{arcs } (\text{reduce-past-refl } a) \implies e \in \text{arcs } G$   
**using** *reduce-past-arcs* **by** *auto*

**lemma** (in *DAG*) *reduce-past-refl-digraph*:  
**assumes**  $a \in \text{verts } G$   
**shows** *digraph* (*reduce-past-refl*  $a$ )  
**using** *digraphI-induced reduce-past-refl-induced-subgraph reachable-mono* **by** *simp*  
**end**

**theory** *DigraphUtils*  
**imports** *Main Graph-Theory.Graph-Theory*  
**begin**

## 2 Digraph Utilities

**lemma** *graph-equality*:  
**assumes** *digraph*  $G \wedge \text{digraph } C$   
**assumes**  $\text{verts } G = \text{verts } C \wedge \text{arcs } G = \text{arcs } C \wedge \text{head } G = \text{head } C \wedge \text{tail } G = \text{tail } C$   
**shows**  $G = C$   
**by** (*simp add: assms(2)*)

**lemma** (in *digraph*) *del-vert-not-in-graph*:  
**assumes**  $b \notin \text{verts } G$   
**shows** (*pre-digraph.del-vert*  $G$   $b$ ) =  $G$   
**proof** –  
**have**  $v: \text{verts } (\text{pre-digraph.del-vert } G$   $b$ ) =  $\text{verts } G$   
**using** *assms(1)*  
**by** (*simp add: pre-digraph.verts-del-vert*)  
**have**  $\forall e \in \text{arcs } G. \text{tail } G$   $e \neq b \wedge \text{head } G$   $e \neq b$  **using** *digraph-axioms*  
*assms digraph.axioms(2) loopfree-digraph.axioms(1)*  
**by** *auto*  
**then have**  $\text{arcs } G \subseteq \text{arcs } (\text{pre-digraph.del-vert } G$   $b$ )  
**using** *assms*  
**by** (*simp add: pre-digraph.arcs-del-vert subsetI*)  
**then have**  $e: \text{arcs } G = \text{arcs } (\text{pre-digraph.del-vert } G$   $b$ )  
**by** (*simp add: pre-digraph.arcs-del-vert subset-antisym*)  
**then show** *?thesis* **using**  $v$  **by** (*simp add: pre-digraph.del-vert-simps*)  
**qed**

**lemma** *del-arc-subgraph*:  
**assumes** *subgraph*  $H$   $G$   
**assumes** *digraph*  $G \wedge \text{digraph } H$   
**shows** *subgraph* (*pre-digraph.del-arc*  $H$   $e2$ ) (*pre-digraph.del-arc*  $G$   $e2$ )

```

using subgraph-def pre-digraph.del-arc-simps Diff-iff
proof –
  have f1:  $\forall p \text{ pa. subgraph } p \text{ pa} = ((\text{verts } p::'a \text{ set}) \subseteq \text{verts } \text{pa} \wedge (\text{arcs } p::'b \text{ set}) \subseteq \text{arcs } \text{pa} \wedge$ 
   $\text{wf-digraph } \text{pa} \wedge \text{wf-digraph } p \wedge \text{compatible } \text{pa } p)$ 
  using subgraph-def by blast
  have arcs  $H - \{e2\} \subseteq \text{arcs } G - \{e2\}$  using assms(1)
  by auto
  then show ?thesis
  unfolding subgraph-def
  using f1 assms(1) by (simp add: compatible-def pre-digraph.del-arc-simps
  wf-digraph.wf-digraph-del-arc)
qed

```

```

lemma graph-nat-induct[consumes 0, case-names base step]:
  assumes

```

```

  cases:  $\bigwedge V. (\text{digraph } V \implies \text{card } (\text{verts } V) = 0 \implies P \text{ } V)$ 
   $\bigwedge W \text{ c. } (\bigwedge V. (\text{digraph } V \implies \text{card } (\text{verts } V) = c \implies P \text{ } V))$ 
   $\implies (\text{digraph } W \implies \text{card } (\text{verts } W) = (\text{Suc } c) \implies P \text{ } W)$ 
shows  $\bigwedge Z. \text{digraph } Z \implies P \text{ } Z$ 
proof –
  fix Z:: ('a,'b) pre-digraph
  assume major: digraph Z
  then show P Z
  proof (induction card (verts Z) arbitrary: Z)
    case 0
    then show ?case
    by (simp add: local.cases(1) major)
  next
    case su: (Suc x)
    assume  $(\bigwedge Z. x = \text{card } (\text{verts } Z) \implies \text{digraph } Z \implies P \text{ } Z)$ 
    show ?case
    by (metis local.cases(2) su.hyps(1) su.hyps(2) su.premis)
  qed
qed
end

```

```

theory blockDAG
  imports DAGs DigraphUtils
begin

```

### 3 blockDAGs

```

locale blockDAG = DAG +
  assumes genesis:  $\exists p. (p \in \text{verts } G \wedge (\forall r. r \in \text{verts } G \longrightarrow r \rightarrow^*_G p))$ 
  and only-new:  $\forall e. (u \rightarrow^*_{(\text{del-arc } e)} v) \longrightarrow \neg \text{arc } e \text{ } (u,v)$ 

```

### 3.1 Functions and Definitions

**fun** (in *blockDAG*) *is-genesis-node* :: 'a  $\Rightarrow$  bool **where**  
*is-genesis-node* v = ((v  $\in$  *verts* G)  $\wedge$  (ALL x. (x  $\in$  *verts* G)  $\longrightarrow$  x  $\rightarrow^*_G$  v))

**definition** (in *blockDAG*) *genesis-node*:: 'a  
**where** *genesis-node* = (SOME x. *is-genesis-node* x)

### 3.2 Lemmas

**lemma** *subs*:  
**assumes** *blockDAG* G  
**shows** DAG G  $\wedge$  digraph G  $\wedge$  fin-digraph G  $\wedge$  wf-digraph G  
**using** *assms blockDAG-def DAG-def digraph-def fin-digraph-def* **by** *blast*

#### 3.2.1 Genesis

**lemma** (in *blockDAG*) *genesisAlt* :  
(*is-genesis-node* a)  $\longleftrightarrow$  ((a  $\in$  *verts* G)  $\wedge$  ( $\forall$  r. (r  $\in$  *verts* G)  $\longrightarrow$  r  $\rightarrow^*_G$  a))  
**by** *simp*

**lemma** (in *blockDAG*) *genesis-existAlt*:  
 $\exists$  a. *is-genesis-node* a  
**using** *genesis genesisAlt blockDAG-axioms-def* **by** *presburger*

**lemma** (in *blockDAG*) *unique-genesis*: *is-genesis-node* a  $\wedge$  *is-genesis-node* b  $\longrightarrow$  a = b  
**using** *genesisAlt reachable-trans cycle-free reachable-refl reachable-reachable1-trans reachable-neq-reachable1*  
**by** (*metis (full-types)*)

**lemma** (in *blockDAG*) *genesis-unique-exists*:  
 $\exists!$  a. *is-genesis-node* a  
**using** *genesis-existAlt unique-genesis* **by** *auto*

**lemma** (in *blockDAG*) *genesis-in-verts*:  
*genesis-node*  $\in$  *verts* G  
**using** *is-genesis-node.simps genesis-node-def genesis-existAlt someI2-ex*  
**by** *metis*

#### 3.2.2 Tips

**lemma** (in *blockDAG*) *tips-exist*:  
 $\exists$  x. *is-tip* x  
**unfolding** *is-tip.simps*  
**proof** (*rule ccontr*)  
**assume**  $\nexists$  x. x  $\in$  *verts* G  $\wedge$  ( $\forall$  y.  $\neg$  y  $\rightarrow^+ x$ )  
**then have** *contr*:  $\forall$  x. x  $\in$  *verts* G  $\longrightarrow$  ( $\exists$  y. y  $\rightarrow^+ x$ )  
**by** *auto*  
**have**  $\forall$  x y. y  $\rightarrow^+ x \longrightarrow$  {z. x  $\rightarrow^+ z$ }  $\subseteq$  {z. y  $\rightarrow^+ z$ }

```

    using Collect-mono tranc1-trans
  by metis
then have sub:  $\forall x y. y \rightarrow^+ x \longrightarrow \{z. x \rightarrow^+ z\} \subset \{z. y \rightarrow^+ z\}$ 
  using cycle-free by auto
have part:  $\forall x. \{z. x \rightarrow^+ z\} \subseteq \text{verts } G$ 
  using reachable1-in-verts by auto
then have fin:  $\forall x. \text{finite } \{z. x \rightarrow^+ z\}$ 
  using finite-verts finite-subset
  by metis
then have trans:  $\forall x y. y \rightarrow^+ x \longrightarrow \text{card } \{z. x \rightarrow^+ z\} < \text{card } \{z. y \rightarrow^+ z\}$ 
  using sub psubset-card-mono by metis
then have inf:  $\forall y. \exists x. \text{card } \{z. x \rightarrow^+ z\} > \text{card } \{z. y \rightarrow^+ z\}$ 
  using fin contr genesis past-nodes.simps psubsetI
  psubset-card-mono reachable1-in-verts(1)
  by (metis Collect-mem-eq Collect-mono)
have all:  $\forall k. \exists x. \text{card } \{z. x \rightarrow^+ z\} > k$ 
proof
  fix k
  show  $\exists x. k < \text{card } \{z. x \rightarrow^+ z\}$ 
  proof(induct k)
    case 0
    then show ?case
      by (metis inf neq0-conv)
  next
    case (Suc k)
    then show ?case
      by (metis Suc-lessI inf)
  qed
qed
then have less:  $\exists x. \text{card } (\text{verts } G) < \text{card } \{z. x \rightarrow^+ z\}$  by simp
also
have  $\forall x. \text{card } \{z. x \rightarrow^+ z\} \leq \text{card } (\text{verts } G)$ 
  using fin part finite-verts not-le
  by (simp add: card-mono)
then show False
  using less not-le by auto
qed

```

```

lemma (in blockDAG) tips-unequal-gen:
  assumes  $\text{card } (\text{verts } G) > 1$ 
  shows  $\exists p. p \in \text{verts } G \wedge \text{is-tip } p \wedge \neg \text{is-genesis-node } p$ 
proof -
  have b1:  $1 < \text{card } (\text{verts } G)$  using assms by linarith
  obtain x where x-in:  $x \in (\text{verts } G) \wedge \text{is-genesis-node } x$ 
    using genesis genesisAlt genesis-node-def by blast
  then have  $0 < \text{card } ((\text{verts } G) - \{x\})$  using card-Suc-Diff1 x-in finite-verts b1
  by auto
  then have  $((\text{verts } G) - \{x\}) \neq \{\}$  using card-gt-0-iff by blast

```



```

then obtain  $y$  where  $y\text{-def}: y \in (\text{verts } G) - \{x\}$  by auto
then have  $\text{uneq}: y \neq x$  by auto
have  $y\text{-in}: y \in (\text{verts } G)$  using  $y\text{-def}$  by simp
then have  $\text{reachable1 } G \ y \ x$  using  $\text{is-genesis-node.simps } x\text{-in}$ 
     $\text{reachable-neq-reachable1 } \text{uneq}$  by simp
then have  $\neg \text{is-tip } x$  by auto
then obtain  $z$  where  $z\text{-def}: z \in (\text{verts } G) - \{x\} \wedge \text{is-tip } z$  using  $\text{tips-exist}$ 
     $\text{is-tip.simps}$  by auto
then have  $\text{uneq}: z \neq x$  by auto
have  $z\text{-in}: z \in \text{verts } G$  using  $z\text{-def}$  by simp
have  $\neg \text{is-genesis-node } z$ 
proof (rule ccontr, safe)
  assume  $\text{is-genesis-node } z$ 
  then have  $x = z$  using  $\text{unique-genesis } x\text{-in}$  by auto
  then show  $\text{False}$  using  $\text{uneq}$  by simp
qed
then show  $?thesis$  using  $z\text{-def}$  by auto
qed

lemma (in  $\text{blockDAG}$ )  $\text{del-tips-bDAG}$ :
  assumes  $\text{is-tip } t$ 
  and  $\neg \text{is-genesis-node } t$ 
  shows  $\text{blockDAG } (\text{del-vert } t)$ 
  unfolding  $\text{blockDAG-def } \text{blockDAG-axioms-def}$ 
  proof safe
    show  $\text{DAG}(\text{del-vert } t)$ 
    using  $\text{del-tips-dag } \text{assms}$  by simp
  next
    fix  $u \ v \ e$ 
    assume  $\text{wf-digraph.arc } (\text{del-vert } t) \ e \ (u, v)$ 
    then have  $\text{arc}: \text{arc } e \ (u, v)$  using  $\text{del-vert-simps } \text{wf-digraph.arc-def } \text{arc-def}$ 
      by (metis (no-types, lifting)  $\text{mem-Collect-eq } \text{wf-digraph-del-vert}$ )
    assume  $u \rightarrow^* \text{pre-digraph.del-arc } (\text{del-vert } t) \ e \ v$ 
    then have  $\text{path}: u \rightarrow^* \text{del-arc } e \ v$ 
      by (meson  $\text{del-arc-subgraph } \text{subgraph-del-vert } \text{digraph-axioms}$ 
         $\text{digraph-subgraph } \text{pre-digraph.reachable-mono}$ )
    show  $\text{False}$  using  $\text{arc } \text{path } \text{only-new}$  by simp
  next
    obtain  $g$  where  $\text{gen}: \text{is-genesis-node } g$  using  $\text{genesisAlt } \text{genesis}$  by auto
    then have  $\text{genp}: g \in \text{verts } (\text{del-vert } t)$ 
      using  $\text{assms}(2) \ \text{genesis } \text{del-vert-simps}$  by auto
    have  $(\forall r. r \in \text{verts } (\text{del-vert } t) \longrightarrow r \rightarrow^* \text{del-vert } t \ g)$ 
    proof safe
      fix  $r$ 
      assume  $\text{in-del}: r \in \text{verts } (\text{del-vert } t)$ 
      then obtain  $p$  where  $\text{path}: \text{awalk } r \ p \ g$ 
        using  $\text{reachable-awalk } \text{is-genesis-node.simps } \text{del-vert-simps } \text{gen}$  by auto
      have  $\text{no-head}: t \notin (\text{set } (\text{map } (\lambda s. (\text{head } G \ s)) \ p))$ 
      proof (rule ccontr)

```

```

assume  $\neg t \notin (\text{set } (\text{map } (\lambda s. (\text{head } G s)) p))$ 
then have  $as: t \in (\text{set } (\text{map } (\lambda s. (\text{head } G s)) p))$ 
by auto
then obtain  $e$  where  $tl: t = (\text{head } G e) \wedge e \in \text{arcs } G$ 
  using wf-digraph-def awalk-def path by auto
then obtain  $u$  where  $hd: u = (\text{tail } G e) \wedge u \in \text{verts } G$ 
  using wf-digraph-def tl by auto
have  $t \in \text{verts } G$ 
  using assms(1) is-tip.simps by blast
then have  $\text{arc-to-ends } G e = (u, t)$  using  $tl$ 
  by (simp add: arc-to-ends-def hd)
then have  $\text{reachable1 } G u t$ 
  using dominatesI tl by blast
then show False
  using is-tip.simps assms(1) by auto
qed
have  $\text{neither: } r \neq t \wedge g \neq t$ 
  using del-vert-def assms(2) gen in-del by auto
have  $\text{no-tail: } t \notin (\text{set } (\text{map } (\text{tail } G) p))$ 
proof(rule ccontr)
  assume  $as2: \neg t \notin \text{set } (\text{map } (\text{tail } G) p)$ 
  then have  $tl2: t \in \text{set } (\text{map } (\text{tail } G) p)$  by auto
  then have  $t \in \text{set } (\text{map } (\text{head } G) p)$ 
  proof (induct rule: cas.induct)
    case ( $1 u v$ )
      then have  $v \notin \text{set } (\text{map } (\text{tail } G) [])$  by auto
      then show  $v \in \text{set } (\text{map } (\text{tail } G) []) \implies v \in \text{set } (\text{map } (\text{head } G) [])$ 
        by auto
    next
      case ( $2 u e es v$ )
      then show ?case
        using set-awalk-verts-not-Nil-cas neither awalk-def cas.simps(2) path
        by (metis UnCI tl2 awalk-verts-conv'
          cas-simp list.simps(8) no-head set-ConsD)
  qed
then show False using no-head by auto
qed
have  $\text{pre-digraph.awalk } (\text{del-vert } t) r p g$ 
  unfolding pre-digraph.awalk-def
proof safe
  show  $r \in \text{verts } (\text{del-vert } t)$  using in-del by simp
next
  fix  $x$ 
  assume  $as3: x \in \text{set } p$ 
  then have  $ht: \text{head } G x \neq t \wedge \text{tail } G x \neq t$ 
  using no-head no-tail by auto
  have  $x \in \text{arcs } G$ 
  using awalk-def path subsetD as3 by auto
  then show  $x \in \text{arcs } (\text{del-vert } t)$  using del-vert-simps(2) ht by auto

```

```

next
  have pre-digraph.cas G r p g using path by auto
  then show pre-digraph.cas (del-vert t) r p g
  proof(induct p arbitrary:r)
    case Nil
    then have r = g using awalk-def cas.simps by auto
    then show ?case using pre-digraph.cas.simps(1)
      by (metis)
  next
  case (Cons a p)
  assume pre:  $\bigwedge r. (cas\ r\ p\ g \implies pre-digraph.cas\ (del-vert\ t)\ r\ p\ g)$ 
  and one: cas r (a # p) g
  then have two: cas (head G a) p g
    using awalk-def by auto
  then have t: tail (del-vert t) a = r
    using one cas.simps awalk-def del-vert-simps(3) by auto
  then show ?case
    unfolding pre-digraph.cas.simps(2) t
    using pre two del-vert-simps(4) by auto
  qed
qed
then show  $r \rightarrow^*_{del-vert\ t} g$  by (meson wf-digraph.reachable-awalkI
del-tips-dag assms(1) DAG-def digraph-def fin-digraph-def)
qed
then show  $\exists p. p \in \text{verts } (del-vert\ t) \wedge$ 
 $(\forall r. r \in \text{verts } (del-vert\ t) \longrightarrow r \rightarrow^*_{del-vert\ t} p)$ 
  using gen genp by auto
qed

```

### 3.3 Future Nodes

**lemma** (in *blockDAG*) *future-nodes-ex*:  
 assumes  $a \in \text{verts } G$   
 shows  $a \notin \text{future-nodes } a$   
 using cycle-free future-nodes.simps reachable-def by auto

#### 3.3.1 Reduce Past

**lemma** (in *blockDAG*) *reduce-past-not-empty*:  
 assumes  $a \in \text{verts } G$   
 and  $\neg \text{is-genesis-node } a$   
 shows  $(\text{verts } (\text{reduce-past } a)) \neq \{\}$   
**proof** –  
 obtain g  
 where gen: *is-genesis-node* g using genesis-existAlt by auto  
 have ex:  $g \in \text{verts } (\text{reduce-past } a)$  using reduce-past.simps past-nodes.simps  
 genesisAlt reachable-neq-reachable1 reachable-reachable1-trans gen assms(1) assms(2)  
 by auto  
 then show  $(\text{verts } (\text{reduce-past } a)) \neq \{\}$  using ex by auto  
**qed**

```

lemma (in blockDAG) reduce-less:
  assumes  $a \in \text{verts } G$ 
  shows  $\text{card } (\text{verts } (\text{reduce-past } a)) < \text{card } (\text{verts } G)$ 
proof -
  have  $\text{past-nodes } a \subset \text{verts } G$ 
  using  $\text{assms}(1)$   $\text{past-nodes-not-refl}$   $\text{past-nodes-verts}$  by blast
  then show ?thesis
  by (simp add:  $\text{psubset-card-mono}$ )
qed

```

```

lemma (in blockDAG) reduce-past-dagbased:
  assumes blockDAG  $G$ 
  assumes  $a \in \text{verts } G$ 
  and  $\neg \text{is-genesis-node } a$ 
  shows blockDAG  $(\text{reduce-past } a)$ 
  unfolding blockDAG-def DAG-def blockDAG-def

```

```

proof safe
  show digraph  $(\text{reduce-past } a)$ 
  using digraphI-induced reduce-past-induced-subgraph by auto
next
  show DAG-axioms  $(\text{reduce-past } a)$ 
  unfolding DAG-axioms-def
  using cycle-free reduce-past-path by metis
next
  show blockDAG-axioms  $(\text{reduce-past } a)$ 
  unfolding blockDAG-axioms-def
  proof safe
    fix  $u \ v \ e$ 
    assume  $\text{arc}: \text{wf-digraph.arc } (\text{reduce-past } a) \ e \ (u, v)$ 
    then show  $u \rightarrow^* \text{pre-digraph.del-arc } (\text{reduce-past } a) \ e \ v \implies \text{False}$ 
    proof -
      assume  $e\text{-in}: (\text{wf-digraph.arc } (\text{reduce-past } a) \ e \ (u, v))$ 
      then have  $(\text{wf-digraph.arc } G \ e \ (u, v))$ 
      using  $\text{assms}$   $\text{reduce-past-arcs2}$   $\text{induced-subgraph-def}$   $\text{arc-def}$ 
      proof -
        have  $\text{wf-digraph } (\text{reduce-past } a)$ 
        using  $\text{reduce-past.simps}$   $\text{subgraph-def}$   $\text{subgraph-refl}$   $\text{wf-digraph.wellformed-induce-subgraph}$ 
        by metis
        then have  $e \in \text{arcs } (\text{reduce-past } a) \wedge \text{tail } (\text{reduce-past } a) \ e = u$ 
           $\wedge \text{head } (\text{reduce-past } a) \ e = v$ 
        using  $\text{arc}$   $\text{wf-digraph.arcE}$ 
        by metis
        then show ?thesis
        using  $\text{arc-def}$   $\text{reduce-past.simps}$  by auto
      qed
    qed
  qed

```

```

qed
then have  $\neg u \rightarrow^* \text{del-arc } e \ v$ 
  using only-new by auto
then show  $u \rightarrow^* \text{pre-digraph.del-arc } (\text{reduce-past } a) \ e \ v \implies \text{False}$ 
  using DAG.past-nodes-verts reduce-past.simps blockDAG-axioms subs
    del-arc-subgraph digraph.digraph-subgraph digraph-axioms
    pre-digraph.reachable-mono subgraph-induce-subgraphI
  by metis
qed
next
  obtain  $p$  where gen: is-genesis-node  $p$  using genesis-existAlt by auto
  have  $pe: p \in \text{verts } (\text{reduce-past } a) \wedge (\forall r. r \in \text{verts } (\text{reduce-past } a) \longrightarrow r \rightarrow^* \text{reduce-past } a \ p)$ 
  proof
    show  $p \in \text{verts } (\text{reduce-past } a)$  using genesisAlt induce-reachable-preserves-paths
      reduce-past.simps past-nodes.simps reachable1-reachable induce-subgraph-verts
      assms(2)
      assms(3) gen mem-Collect-eq reachable-neq-reachable1
      by (metis (no-types, lifting))
  next
    show  $\forall r. r \in \text{verts } (\text{reduce-past } a) \longrightarrow r \rightarrow^* \text{reduce-past } a \ p$ 
    proof safe
      fix  $r \ a$ 
      assume in-past:  $r \in \text{verts } (\text{reduce-past } a)$ 
      then have con:  $r \rightarrow^* p$  using gen genesisAlt past-nodes-verts by auto
      then show  $r \rightarrow^* \text{reduce-past } a \ p$ 
      proof -
        have f1:  $r \in \text{verts } G \wedge a \rightarrow^+ r$ 
        using in-past past-nodes-verts by force
        obtain aaa :: 'a set  $\Rightarrow$  'a set  $\Rightarrow$  'a where
          f2:  $\forall x0 \ x1. (\exists v2. v2 \in x1 \wedge v2 \notin x0) = (aaa \ x0 \ x1 \in x1 \wedge aaa \ x0 \ x1 \notin x0)$ 
          by moura
        have  $r \rightarrow^* aaa \ (\text{past-nodes } a) \ (\text{Collect } (\text{reachable } G \ r))$ 
           $\longrightarrow a \rightarrow^+ aaa \ (\text{past-nodes } a) \ (\text{Collect } (\text{reachable } G \ r))$ 
          using f1 by (meson reachable1-reachable-trans)
        then have  $aaa \ (\text{past-nodes } a) \ (\text{Collect } (\text{reachable } G \ r)) \notin \text{Collect } (\text{reachable } G \ r)$ 
           $\vee aaa \ (\text{past-nodes } a) \ (\text{Collect } (\text{reachable } G \ r)) \in \text{past-nodes } a$ 
          by (simp add: reachable-in-verts(2))
        then have  $\text{Collect } (\text{reachable } G \ r) \subseteq \text{past-nodes } a$ 
          using f2 by (meson subsetI)
        then show ?thesis
          using con induce-reachable-preserves-paths reachable-induce-ss
          reduce-past.simps
          by (metis (no-types))
      qed
    qed
  qed

```

```

      qed
    show
       $\exists p. p \in \text{verts } (\text{reduce-past } a) \wedge (\forall r. r \in \text{verts } (\text{reduce-past } a) \longrightarrow r \rightarrow^* \text{reduce-past } a \ p)$ 
      using pe by auto
    qed
  qed

```

### 3.3.2 Reduce Past Reflexiv

```

lemma (in blockDAG) reduce-past-refl-induced-subgraph:
  shows induced-subgraph (reduce-past-refl a) G
  using induced-induce past-nodes-refl-verts by auto

```

```

lemma (in blockDAG) reduce-past-refl-arcs2:
   $e \in \text{arcs } (\text{reduce-past-refl } a) \implies e \in \text{arcs } G$ 
  using reduce-past-arcs by auto

```

```

lemma (in blockDAG) reduce-past-refl-digraph:
  assumes  $a \in \text{verts } G$ 
  shows digraph (reduce-past-refl a)
  using digraphI-induced reduce-past-refl-induced-subgraph reachable-mono by simp

```

```

lemma (in blockDAG) reduce-past-refl-dagbased:
  assumes  $a \in \text{verts } G$ 
  shows blockDAG (reduce-past-refl a)
  unfolding blockDAG-def DAG-def

```

```

proof safe
  show digraph (reduce-past-refl a)
    using reduce-past-refl-digraph assms(1) by simp

```

```

next
  show DAG-axioms (reduce-past-refl a)
    unfolding DAG-axioms-def
    using cycle-free reduce-past-refl-induced-subgraph reachable-mono
    by (meson arcs-ends-mono induced-subgraph-altdef trancl-mono)

```

```

next
  show blockDAG-axioms (reduce-past-refl a)
    unfolding blockDAG-axioms
  proof
    fix u v
    show  $\forall e. u \rightarrow^* \text{pre-digraph.del-arc } (\text{reduce-past-refl } a) \ e \ v \longrightarrow \neg \text{wf-digraph.arc } (\text{reduce-past-refl } a) \ e \ (u, v)$ 
    proof safe
      fix e
      assume a:  $\text{wf-digraph.arc } (\text{reduce-past-refl } a) \ e \ (u, v)$ 
      and b:  $u \rightarrow^* \text{pre-digraph.del-arc } (\text{reduce-past-refl } a) \ e \ v$ 
      have edge:  $\text{wf-digraph.arc } G \ e \ (u, v)$ 
        using assms reduce-past-arcs2 induced-subgraph-def arc-def
      proof —

```

```

    have wf-digraph (reduce-past-refl a)
      using reduce-past-refl-digraph digraph-def by auto
    then have  $e \in \text{arcs } (\text{reduce-past-refl } a) \wedge \text{tail } (\text{reduce-past-refl } a) \ e = u$ 
       $\wedge \text{head } (\text{reduce-past-refl } a) \ e = v$ 
      using wf-digraph.arcE arc-def a
      by (metis (no-types))
    then show  $\text{arc } e \ (u, v)$ 
      using arc-def reduce-past-refl.simps by auto
  qed
have  $u \rightarrow^* \text{pre-digraph.del-arc } G \ e \ v$ 
  using a b reduce-past-refl-digraph del-arc-subgraph digraph-axioms
  pre-digraph.reachable-mono
  by (metis digraphI-induced past-nodes-refl-verts reduce-past-refl.simps
    reduce-past-refl-induced-subgraph subgraph-induce-subgraphI)
then show False
  using edge only-new by simp
qed
next
  obtain p where gen: is-genesis-node p using genesis-existAlt by auto
  have pe:  $p \in \text{verts } (\text{reduce-past-refl } a)$ 
  using genesisAlt induce-reachable-preserves-paths
  reduce-past.simps past-nodes.simps reachable1-reachable induce-subgraph-verts
  gen mem-Collect-eq reachable-neq-reachable1
  assms by force
  have reaches:  $(\forall r. r \in \text{verts } (\text{reduce-past-refl } a) \longrightarrow r \rightarrow^* \text{reduce-past-refl } a$ 
    p)

  proof safe
    fix r
    assume in-past:  $r \in \text{verts } (\text{reduce-past-refl } a)$ 
    then have con:  $r \rightarrow^* p$  using gen genesisAlt reachable-in-verts by simp
    have  $a \rightarrow^* r$  using in-past by auto
    then have reach:  $r \rightarrow^* G \upharpoonright \{w. a \rightarrow^* w\} \ p$ 
    proof(induction)
      case base
      then show ?case
        by (simp add: con induce-reachable-preserves-paths)
    next
      case (step x y)
      then show ?case
        proof -
          have  $\text{Collect } (\text{reachable } G \ y) \subseteq \text{Collect } (\text{reachable } G \ x)$ 
            using adj-reachable-trans step.hyps(1) by force
          then show ?thesis
            using reachable-induce-ss step.IH by blast
        qed
      qed
    show  $r \rightarrow^* \text{reduce-past-refl } a \ p$  using reach reduce-past-refl.simps
      past-nodes-refl.simps by simp
  qed

```

**then show**  $\exists p. p \in \text{verts } (\text{reduce-past-refl } a) \wedge (\forall r. r \in \text{verts } (\text{reduce-past-refl } a) \rightarrow r \rightarrow^* \text{reduce-past-refl } a \ p)$  **unfolding** *blockDAG-axioms-def* **using** *pe reaches* **by** *auto*  
**qed**  
**qed**

### 3.3.3 Genesis Graph

**definition** (**in** *blockDAG*) *gen-graph::('a,'b) pre-digraph* **where**  
*gen-graph = induce-subgraph G {blockDAG.genesis-node G}*

**lemma** (**in** *blockDAG*) *gen-gen :verts (gen-graph) = {genesis-node}*  
**unfolding** *genesis-node-def gen-graph-def* **by** *simp*

**lemma** (**in** *blockDAG*) *gen-graph-digraph:*  
*digraph gen-graph*  
**using** *digraphI-induced induced-induce gen-graph-def*  
*genesis-in-verts* **by** *simp*

**lemma** (**in** *blockDAG*) *gen-graph-empty-arcs:*  
*arcs gen-graph = {}*  
**proof**(*rule ccontr*)  
**assume**  $\neg \text{arcs } \text{gen-graph} = \{\}$   
**then have** *ex:  $\exists a. a \in (\text{arcs } \text{gen-graph})$*   
**by** *blast*  
**also have**  $\forall a. a \in (\text{arcs } \text{gen-graph}) \rightarrow \text{tail } G \ a = \text{head } G \ a$   
**proof** *safe*  
**fix** *a*  
**assume**  $a \in \text{arcs } \text{gen-graph}$   
**then show**  $\text{tail } G \ a = \text{head } G \ a$   
**using** *digraph-def induced-subgraph-def induce-subgraph-verts*  
*induced-induce gen-graph-def* **by** *simp*  
**qed**  
**then show** *False*  
**using** *digraph-def ex gen-graph-def gen-graph-digraph induce-subgraph-head*  
*induce-subgraph-tail*  
*loopfree-digraph.no-loops*  
**by** *metis*  
**qed**

**lemma** (**in** *blockDAG*) *gen-graph-sound:*  
*blockDAG (gen-graph)*  
**unfolding** *blockDAG-def DAG-def blockDAG-axioms-def*  
**proof** *safe*  
**show** *digraph gen-graph* **using** *gen-graph-digraph* **by** *simp*  
**next**  
**have**  $(\text{arcs-ends } \text{gen-graph})^+ = \{\}$



```

    using tranc-empty gen-graph-empty-arcs by (simp add: arcs-ends-def)
  then show DAG-axioms gen-graph
    by (simp add: DAG-axioms.intro)
next
  fix u v e
  have wf-digraph.arc gen-graph e (u, v) ≡ False
    using wf-digraph.arc-def gen-graph-empty-arcs
    by (simp add: wf-digraph.arc-def wf-digraph-def)
  then show wf-digraph.arc gen-graph e (u, v) ⇒
    u →* pre-digraph.del-arc gen-graph e v ⇒ False
    by simp
next
  have refl: genesis-node →* gen-graph genesis-node
    using gen-gen rtranc-on-refl
    by (simp add: reachable-def)
  have  $\forall r. r \in \text{verts } \text{gen-graph} \longrightarrow r \rightarrow^* \text{gen-graph } \text{genesis-node}$ 
  proof safe
    fix r
    assume r ∈ verts gen-graph
    then have r = genesis-node
      using gen-gen by auto
    then show r →* gen-graph genesis-node
      by (simp add: local.refl)
  qed
  then show  $\exists p. p \in \text{verts } \text{gen-graph} \wedge$ 
     $(\forall r. r \in \text{verts } \text{gen-graph} \longrightarrow r \rightarrow^* \text{gen-graph } p)$ 
    by (simp add: gen-gen)
  qed

lemma (in blockDAG) no-empty-blockDAG:
  shows card (verts G) > 0
proof -
  have  $\exists p. p \in \text{verts } G$ 
    using genesis-in-verts by auto
  then show card (verts G) > 0
    using card-gt-0-iff finite-verts by blast
qed

lemma blockDAG-nat-induct[consumes 1, case-names base step]:
  assumes
  cases:  $\bigwedge V. (\text{blockDAG } V \Longrightarrow \text{card } (\text{verts } V) = 1 \Longrightarrow P \ V)$ 
     $\bigwedge W \ c. (\bigwedge V. (\text{blockDAG } V \Longrightarrow \text{card } (\text{verts } V) = c \Longrightarrow P \ V))$ 
     $\Longrightarrow (\text{blockDAG } W \Longrightarrow \text{card } (\text{verts } W) = (\text{Suc } c) \Longrightarrow P \ W)$ 
  shows  $\bigwedge Z. \text{blockDAG } Z \Longrightarrow P \ Z$ 
proof -
  fix Z:: ('a,'b) pre-digraph
  assume bD: blockDAG Z
  then have bG: card (verts Z) > 0 using blockDAG.no-empty-blockDAG by auto

```

```

show P Z
  using bG bD
proof (induction card (verts Z) arbitrary: Z rule: Nat.nat-induct-non-zero)
  case 1
  then show ?case using cases(1) by auto
next
case su: (Suc n)
show ?case
  by (metis local.cases(2) su.hyps(2) su.hyps(3) su.premis)
qed
qed

```

**lemma** (in blockDAG) blockDAG-size-cases:

```

  obtains (one) card (verts G) = 1
| (more) card (verts G) > 1
  using no-empty-blockDAG
  by linarith

```

**lemma** (in blockDAG) blockDAG-cases-one:

```

  shows card (verts G) = 1  $\longrightarrow$  (G = gen-graph)
proof (safe)
  assume one: card (verts G) = 1
  then have blockDAG.genesis-node G  $\in$  verts G
    by (simp add: genesis-in-verts)
  then have only: verts G = {blockDAG.genesis-node G}
    by (metis one card-1-singletonE insert-absorb singleton-insert-inj-eq')
  then have verts-equal: verts G = verts (blockDAG.gen-graph G)
    using blockDAG-axioms one blockDAG.gen-graph-def induce-subgraph-def
      induced-induce blockDAG.genesis-in-verts
    by (simp add: blockDAG.gen-graph-def)
  have arcs G = {}
proof (rule ccontr)
  assume not-empty: arcs G  $\neq$  {}
  then obtain z where part-of: z  $\in$  arcs G
    by auto
  then have tail: tail G z  $\in$  verts G
    using wf-digraph-def blockDAG-def DAG-def
      digraph-def blockDAG-axioms nomulti-digraph.axioms(1)
    by metis
  also have head: head G z  $\in$  verts G
    by (metis (no-types) DAG-def blockDAG-axioms blockDAG-def digraph-def
      nomulti-digraph.axioms(1) part-of wf-digraph-def)
  then have tail G z = head G z
    using tail only by simp
  then have  $\neg$  loopfree-digraph-axioms G
    unfolding loopfree-digraph-axioms-def
    using part-of only DAG-def digraph-def

```

```

    by auto
  then show False
    using DAG-def digraph-def blockDAG-axioms blockDAG-def
      loopfree-digraph-def by metis
qed
then have arcs G = arcs (blockDAG.gen-graph G)
  by (simp add: blockDAG-axioms blockDAG.gen-graph-empty-arcs)
then show G = gen-graph
  unfolding blockDAG.gen-graph-def
  using verts-equal blockDAG-axioms induce-subgraph-def
  blockDAG.gen-graph-def by fastforce
qed

lemma (in blockDAG) blockDAG-cases-more:
  shows card (verts G) > 1  $\longleftrightarrow$  ( $\exists b H. (blockDAG H \wedge b \in \text{verts } G \wedge \text{del-vert } b = H)$ )
proof safe
  assume card (verts G) > 1
  then have b1: 1 < card (verts G) using no-empty-blockDAG by linarith
  obtain x where x-in:  $x \in (\text{verts } G) \wedge \text{is-genesis-node } x$ 
    using genesis genesisAlt genesis-node-def by blast
  then have 0 < card ((verts G) - {x}) using card-Suc-Diff1 x-in finite-verts b1
by auto
  then have ((verts G) - {x})  $\neq \{\}$  using card-gt-0-iff by blast
  then obtain y where y-def:  $y \in (\text{verts } G) - \{x\}$  by auto
  then have uneq:  $y \neq x$  by auto
  have y-in:  $y \in (\text{verts } G)$  using y-def by simp
  then have reachable1 G y x using is-genesis-node.simps x-in
    reachable-neq-reachable1 uneq by simp
  then have  $\neg \text{is-tip } x$  by auto
  then obtain z where z-def:  $z \in (\text{verts } G) - \{x\} \wedge \text{is-tip } z$  using tips-exist
    is-tip.simps by auto
  then have uneq:  $z \neq x$  by auto
  have z-in:  $z \in \text{verts } G$  using z-def by simp
  have  $\neg \text{is-genesis-node } z$ 
proof (rule ccontr, safe)
  assume is-genesis-node z
  then have  $x = z$  using unique-genesis x-in by auto
  then show False using uneq by simp
qed
  then have blockDAG (del-vert z) using del-tips-bDAG z-def by simp
  then show ( $\exists b H. blockDAG H \wedge b \in \text{verts } G \wedge \text{del-vert } b = H$ ) using z-def
by auto
next
  fix b and H::('a,'b) pre-digraph
  assume bD: blockDAG (del-vert b)
  assume b-in:  $b \in \text{verts } G$ 
  show card (verts G) > 1
proof (rule ccontr)

```

```

    assume  $\neg 1 < \text{card } (\text{verts } G)$ 
    then have  $1 = \text{card } (\text{verts } G)$  using no-empty-blockDAG by linarith
    then have  $\text{card } (\text{verts } (\text{del-vert } b)) = 0$  using b-in del-vert-def by auto
    then have  $\neg \text{blockDAG } (\text{del-vert } b)$  using bD blockDAG.no-empty-blockDAG
      by (metis less-nat-zero-code)
    then show False using bD by simp
  qed
qed

```

```

lemma (in blockDAG) blockDAG-cases:
  obtains (base) ( $G = \text{gen-graph}$ )
  | (more) ( $\exists b H. (\text{blockDAG } H \wedge b \in \text{verts } G \wedge \text{del-vert } b = H)$ )
  using blockDAG-cases-one blockDAG-cases-more
  blockDAG-size-cases by auto

```

```

lemma (in blockDAG) blockDAG-induct[consumes 1, case-names base step]:
  assumes cases:  $\bigwedge V. \text{blockDAG } V \implies P (\text{blockDAG.gen-graph } V)$ 
     $\bigwedge H.$ 
    ( $\bigwedge b. \text{blockDAG } (\text{pre-digraph.del-vert } H b) \implies b \in \text{verts } H \implies P(\text{pre-digraph.del-vert } H b)$ )
   $\implies (\text{blockDAG } H \implies P H)$ 
  shows  $P G$ 

```

```

proof(induct-tac G rule:blockDAG-nat-induct)
  show blockDAG G using blockDAG-axioms by simp
next
  fix  $V::('a, 'b) \text{ pre-digraph}$ 
  assume bD: blockDAG V
  and  $\text{card } (\text{verts } V) = 1$ 
  then have  $V = \text{blockDAG.gen-graph } V$ 
    using blockDAG.blockDAG-cases-one equal-refl by auto
  then show  $P V$  using bD cases(1)
    by metis

```

```

next
  fix  $c$  and  $W::('a, 'b) \text{ pre-digraph}$ 
  show ( $\bigwedge V. \text{blockDAG } V \implies \text{card } (\text{verts } V) = c \implies P V$ )  $\implies$ 
     $\text{blockDAG } W \implies \text{card } (\text{verts } W) = \text{Suc } c \implies P W$ 
  proof -
    assume ind:  $\bigwedge V. (\text{blockDAG } V \implies \text{card } (\text{verts } V) = c \implies P V)$ 
    and bD: blockDAG W
    and  $\text{size: card } (\text{verts } W) = \text{Suc } c$ 
    have assm2:  $\bigwedge b. \text{blockDAG } (\text{pre-digraph.del-vert } W b)$ 
       $\implies b \in \text{verts } W \implies P(\text{pre-digraph.del-vert } W b)$ 
    proof -
      fix  $b$ 
      assume bD2: blockDAG (pre-digraph.del-vert W b)
      assume in-verts:  $b \in \text{verts } W$ 
      have  $\text{verts } (\text{pre-digraph.del-vert } W b) = \text{verts } W - \{b\}$ 
        by (simp add: pre-digraph.verts-del-vert)
      then have  $\text{card } (\text{verts } (\text{pre-digraph.del-vert } W b)) = c$ 

```

```

    using in-verts fin-digraph.finite-verts bD fin-digraph-del-vert
      size
    by (simp add: fin-digraph.finite-verts
      DAG.axioms blockDAG.axioms digraph.axioms)
    then show P (pre-digraph.del-vert W b) using ind bD2 by auto
  qed
show ?thesis using cases(2)
  by (metis assm2 bD)
qed
qed
end

```

```

theory Spectre
  imports Main Graph-Theory.Graph-Theory blockDAG
begin

```

## 4 Spectre

```

locale tie-breakingDAG =
  fixes G::('a::linorder,'b) pre-digraph
  assumes is-blockDAG: blockDAG G

```

### 4.1 Functions and Definitions

```

fun tie-break-int:: 'a::linorder  $\Rightarrow$  'a  $\Rightarrow$  int  $\Rightarrow$  int
  where tie-break-int a b i =
    (if i=0 then (if (b < a) then -1 else 1) else
      (if i > 0 then 1 else -1))

```

```

fun sumlist-break-acc :: 'a::linorder  $\Rightarrow$  'a  $\Rightarrow$  int  $\Rightarrow$  int list  $\Rightarrow$  int
  where sumlist-break-acc a b s [] = tie-break-int a b s
    | sumlist-break-acc a b s (x#xs) = sumlist-break-acc a b (s + x) xs

```

```

fun sumlist-break :: 'a::linorder  $\Rightarrow$  'a  $\Rightarrow$  int list  $\Rightarrow$  int
  where sumlist-break a b [] = 0
    | sumlist-break a b (x # xs) = sumlist-break-acc a b 0 (x # xs)

```

```

function vote-Spectre :: ('a::linorder,'b) pre-digraph  $\Rightarrow$  'a  $\Rightarrow$  'a  $\Rightarrow$  'a  $\Rightarrow$  int
  where
    vote-Spectre V a b c = (
      if ( $\neg$  blockDAG V  $\vee$  a  $\notin$  verts V  $\vee$  b  $\notin$  verts V  $\vee$  c  $\notin$  verts V) then 0 else
      if (b=c) then 1 else
      if ((a  $\rightarrow^*$  V b)  $\wedge$   $\neg$ (a  $\rightarrow^+$  V c)) then 1 else
      if ((a  $\rightarrow^*$  V c)  $\wedge$   $\neg$ (a  $\rightarrow^+$  V b)) then -1 else
      if ((a  $\rightarrow^+$  V b)  $\wedge$  (a  $\rightarrow^+$  V c)) then
        (sumlist-break b c (map ( $\lambda$ i.
          (vote-Spectre (DAG.reduce-past V a) i b c)) (sorted-list-of-set ((DAG.past-nodes

```

```

V a))))))
else
  sumlist-break b c (map (λi.
    (vote-Spectre V i b c)) (sorted-list-of-set (DAG.future-nodes V a))))
  by auto
termination
proof
let ?R = measures [(λ(V, a, b, c). (card (verts V))), (λ(V, a, b, c). card {e. e
→*V a})]
  show wf ?R
  by simp
next
  fix V::('a::linorder, 'b) pre-digraph
  fix x a b c
  assume bD: ¬ (¬ blockDAG V ∨ a ∉ verts V ∨ b ∉ verts V ∨ c ∉ verts V)
  then have a ∈ verts V by simp
  then have card (verts (DAG.reduce-past V a)) < card (verts V)
    using bD blockDAG.reduce-less
  by metis
  then show ((DAG.reduce-past V a, x, b, c), V, a, b, c)
    ∈ measures
      [λ(V, a, b, c). card (verts V),
       λ(V, a, b, c). card {e. e →*V a}]
  by simp
next
  fix V::('a::linorder, 'b) pre-digraph
  fix x a b c
  assume bD: ¬ (¬ blockDAG V ∨ a ∉ verts V ∨ b ∉ verts V ∨ c ∉ verts V)
  then have a-in: a ∈ verts V using bD by simp
  assume x ∈ set (sorted-list-of-set (DAG.future-nodes V a))
  then have x ∈ DAG.future-nodes V a using DAG.finite-future
    set-sorted-list-of-set bD subs
  by metis
  then have rr: x →+V a using DAG.future-nodes.simps bD subs mem-Collect-eq
  by metis
  then have a-not: ¬ a →*V x using bD DAG.unidirectional subs by metis
  have bD2: blockDAG V using bD by simp
  have ∀ x. {e. e →*V x} ⊆ verts V using subs bD2 subsetI
    wf-digraph.reachable-in-verts(1) mem-Collect-eq
  by metis
  then have fin: ∀ x. finite {e. e →*V x} using subs bD2 fin-digraph.finite-verts
    finite-subset
  by metis
  have x →*V a using rr wf-digraph.reachable1-reachable subs bD2 by metis
  then have {e. e →*V x} ⊆ {e. e →*V a} using rr
    wf-digraph.reachable-trans Collect-mono subs bD2 by metis
  then have {e. e →*V x} ⊂ {e. e →*V a} using a-not
    subs bD2 a-in mem-Collect-eq psubsetI wf-digraph.reachable-refl
  by metis

```

```

then have card {e. e →*V x} < card {e. e →*V a} using fin
by (simp add: psubset-card-mono)
then show ((V, x, b, c), V, a, b, c)
  ∈ measures
  [λ(V, a, b, c). card (verts V), λ(V, a, b, c). card {e. e →*V a}]
by simp
qed

```

**definition** (in tie-breakingDAG) SpectreOrder:  
 SpectreOrder  $\equiv \{(a,b). \text{sumlist-break } a \ b \ (\text{map } (\lambda i. \text{vote-Spectre } G \ i \ a \ b)) \ (\text{sorted-list-of-set } (\text{verts } G))) = 1\}$

#### 4.1.1 Lemmas

```

lemma domain-tie-break:
  shows tie-break-int a b c ∈ {-1, 0, 1}
  using tie-break-int.simps by simp

lemma domain-sumlist-acc:
  shows sumlist-break-acc a b c d ∈ {-1, 0, 1}
proof(induction d arbitrary: a b c)
  case Nil
  then show ?case by auto
next
  case (Cons d2 d)
  then show ?case using Spectre.sumlist-break-acc.simps(2) by metis
qed

```

```

lemma domain-sumlist:
  shows sumlist-break a b c ∈ {-1, 0, 1}
  using domain-sumlist-acc sumlist-break.simps(1)
  by (metis insertCI sumlist-break.elims)

```

```

lemma Spectre-casesAlt:
  obtains (no-bD) (¬ blockDAG V ∨ a ∉ verts V ∨ b ∉ verts V ∨ c ∉ verts V)
  | (equal) (blockDAG V ∧ a ∈ verts V ∨ b ∈ verts V ∨ c ∈ verts V) ∧ b = c
  | (one) (blockDAG V ∧ a ∈ verts V ∨ b ∈ verts V ∨ c ∈ verts V) ∧
    b ≠ c ∧ ((a →*V b) ∧ ¬(a →+V c))
  | (two) (blockDAG V ∧ a ∈ verts V ∨ b ∈ verts V ∨ c ∈ verts V) ∧ b ≠ c ∧
    ¬((a →*V b) ∧ ¬(a →+V c)) ∧ ((a →*V c) ∧ ¬(a →+V b))
  | (three) (blockDAG V ∧ a ∈ verts V ∨ b ∈ verts V ∨ c ∈ verts V) ∧ b ≠ c ∧
    ¬((a →*V b) ∧ ¬(a →+V c)) ∧ ¬((a →*V c) ∧ ¬(a →+V b)) ∧ ((a →+V b) ∧
    (a →+V c))
  | (four) (blockDAG V ∧ a ∈ verts V ∨ b ∈ verts V ∨ c ∈ verts V) ∧ b ≠ c ∧
    ¬((a →*V b) ∧ ¬(a →+V c)) ∧ ¬((a →*V c) ∧ ¬(a →+V b)) ∧ ¬((a →+V b) ∧
    (a →+V c))
  by auto

```

```

lemma Spectre-theo:

```

```

assumes  $P\ 0$ 
and  $P\ 1$ 
and  $P\ (-1)$ 
and  $P\ (\text{sumlist-break } b\ c\ (\text{map } (\lambda i.
(\text{vote-Spectre } (\text{DAG.reduce-past } V\ a)\ i\ b\ c))\ (\text{sorted-list-of-set } ((\text{DAG.past-nodes }
V\ a))))))$ 
and  $P\ (\text{sumlist-break } b\ c\ (\text{map } (\lambda i.
(\text{vote-Spectre } V\ i\ b\ c))\ (\text{sorted-list-of-set } (\text{DAG.future-nodes } V\ a))))$ 
shows  $P\ (\text{vote-Spectre } V\ a\ b\ c)$ 
using assms vote-Spectre.simps
by auto

```

```

lemma domain-Spectre:
shows  $\text{vote-Spectre } V\ a\ b\ c \in \{-1, 0, 1\}$ 
proof(rule Spectre-theo)
show  $0 \in \{-1, 0, 1\}$  by simp
show  $1 \in \{-1, 0, 1\}$  by simp
show  $-1 \in \{-1, 0, 1\}$  by simp
show  $\text{sumlist-break } b\ c$ 
 $(\text{map } (\lambda i. \text{vote-Spectre } (\text{DAG.reduce-past } V\ a)\ i\ b\ c)\ (\text{sorted-list-of-set } (\text{DAG.past-nodes }
V\ a))))$ 
 $\in \{-1, 0, 1\}$  using domain-sumlist by simp
show  $\text{sumlist-break } b\ c\ (\text{map } (\lambda i. \text{vote-Spectre } V\ i\ b\ c)$ 
 $(\text{sorted-list-of-set } (\text{DAG.future-nodes } V\ a)))) \in \{-1, 0, 1\}$  using domain-sumlist
by simp
qed

```

```

lemma antisymmetric-tie-break:
shows  $b \neq c \wedge i = 0 \implies \text{tie-break-int } b\ c\ i = -\ \text{tie-break-int } c\ b\ i$ 
unfolding tie-break-int.simps using less-not-sym by auto

```

```

lemma antisymmetric-sumlist-acc:
shows  $b \neq c \implies \text{sumlist-break-acc } b\ c\ s\ l1 = -\ \text{sumlist-break-acc } c\ b\ (-s)\ ($ 
 $\text{map } (\lambda x. -x)\ l1)$ 
proof(induction l1 arbitrary: b c s)
case Nil
then show ?case using sumlist-break-acc.simps(1) antisymmetric-tie-break by
auto
next
case (Cons a l)
then show ?case unfolding list.simps(9) sumlist-break-acc.simps(2) by auto
qed

```

```

lemma antisymmetric-sumlist:
shows  $b \neq c \wedge l \neq [] \implies \text{sumlist-break } b\ c\ l = -\ \text{sumlist-break } c\ b\ (\text{map } (\lambda x. -x)$ 
 $l)$ 

```



```

using antisymmetric-sumlist-acc sumlist-break.simps(2) by (cases l) auto

lemma Spectre-antisymmetric:  $b \neq c \implies (\text{vote-Spectre } V \ a \ b \ c) = - (\text{vote-Spectre } V \ a \ c \ b)$ 
oops

lemma (in tie-breakingDAG) total-on (verts G) SpectreOrder
unfolding total-on-def SpectreOrder
oops

end

theory Composition
imports Main blockDAG Spectre
begin

```

## 5 Composition

```

locale composition = blockDAG +
  fixes C :: 'a set
  assumes C  $\subseteq$  verts G
  and blockDAG (G  $\upharpoonright$  C)
  and same-rel:  $\forall v \in ((\text{verts } G) - C).$ 
     $(\forall c \in C. (c \rightarrow^*_G v)) \vee (\forall c \in C. (v \rightarrow^*_G c))$ 
     $\vee (\forall c \in C. \neg(v \rightarrow^*_G c) \wedge \neg(v \rightarrow^*_G c))$ 

locale compositionGraph = blockDAG +
  fixes G' :: ('a set, 'b) pre-digraph
  assumes  $\forall C \in (\text{verts } G'). \text{composition } G \ C$ 
  and  $\forall C1 \in (\text{verts } G'). \forall C2 \in (\text{verts } G'). C1 \cap C2 \neq \{\} \longrightarrow C1 = C2$ 
  and  $\bigcup (\text{verts } G') = \text{verts } G$ 

locale linorderSet =
  fixes le :: 'a :: linorder set  $\Rightarrow$  'a set  $\Rightarrow$  bool and l :: 'a set  $\Rightarrow$  'a set  $\Rightarrow$  bool
  assumes class.linorder le l

locale tie-break-compositionGraph = tie-breakingDAG +
  fixes G' :: ('a set, 'b) pre-digraph
  fixes le :: 'a :: linorder set  $\Rightarrow$  'a set  $\Rightarrow$  bool and l :: 'a set  $\Rightarrow$  'a set  $\Rightarrow$  bool
  assumes  $\forall C \in (\text{verts } G'). \text{composition } G \ C$ 
  and  $\forall C1 \in (\text{verts } G'). \forall C2 \in (\text{verts } G'). C1 \cap C2 \neq \{\} \longrightarrow C1 = C2$ 
  and  $\bigcup (\text{verts } G') = \text{verts } G$ 
  assumes class.linorder le l

```

## 5.1 Functions and Definitions

## 5.2 Lemmas

**lemma** (in *blockDAG*) *trivialComposition*:

```

  assumes  $C = \text{verts } G$ 
  shows composition  $G \ C$ 
proof –
  show composition  $G \ C$ 
    unfolding composition-axioms-def composition-def
  proof
    show blockDAG  $G$  using blockDAG-axioms by simp
  next
    have subset:  $C \subseteq \text{verts } G$  using assms by auto
    then have  $G \upharpoonright C = G$  unfolding assms induce-subgraph-def
      using induce-eq-iff-induced induced-subgraph-refl assms by auto
    then have bD: blockDAG  $(G \upharpoonright C)$  using blockDAG-axioms by simp
    have  $\nexists v. v \in (\text{verts } G) - C$  using assms by simp
    then have  $(\forall v \in \text{verts } G - C. (\forall c \in C. c \rightarrow^* v) \vee (\forall c \in C. v \rightarrow^* c) \vee (\forall c \in C. \neg v \rightarrow^* c \wedge \neg v \rightarrow^* c \wedge \neg v \rightarrow^* c))$ 
      by auto
    then show  $C \subseteq \text{verts } G \wedge$ 
      blockDAG  $(G \upharpoonright C) \wedge$ 
       $(\forall v \in \text{verts } G - C. (\forall c \in C. c \rightarrow^* v) \vee (\forall c \in C. v \rightarrow^* c) \vee (\forall c \in C. \neg v \rightarrow^* c \wedge \neg v \rightarrow^* c))$ 
      using subset bD by simp
    qed
  qed

```

**lemma** (in *blockDAG*) *compositionExists*:

```

  shows  $\exists C. \text{composition } G \ C$ 
proof
  let  $?C = \text{verts } G$ 
  show composition  $G \ ?C$  using trivialComposition by auto
qed

```

**lemma** (in *blockDAG*) *compositionGraphExists*:

```

  shows  $\exists G'. \text{compositionGraph } G \ G'$ 
proof –
  obtain  $C$  where c-def:  $C = \text{verts } G$  by auto
  then have composition  $G \ C$  using trivialComposition by simp
  obtain  $G'::('a \text{ set}, 'b) \text{ pre-digraph}$ 
  where g'-def:  $\text{verts } G' = \{C\}$ 
    by (metis induce-subgraph-verts)
  have compositionGraph  $G \ G'$  unfolding compositionGraph-axioms-def compositionGraph-def
    g'-def c-def
  proof safe
    show blockDAG  $G$  using blockDAG-axioms by simp
  next

```

```

    show composition G (verts G) using trivialComposition by simp
next
  fix x
  assume x ∈ verts G
  then show x ∈ ⋃ {verts G} by simp
qed
then show ?thesis by auto
qed
end
theory SpectreComposition
  imports Main Graph-Theory.Graph-Theory blockDAG Composition Spectre
begin

context tie-break-compositionGraph
begin

fun tie-break-comp-int :: 'a set ⇒ 'a set ⇒ int ⇒ int
  where tie-break-comp-int a b i =
    (if i=0 then (if (le a b) then 1 else -1) else
      (if i > 0 then 1 else -1))

fun sumlist-break-comp-acc :: 'a set ⇒ 'a set ⇒ int ⇒ int list ⇒ int
  where sumlist-break-comp-acc a b s [] = tie-break-comp-int a b s
    | sumlist-break-comp-acc a b s (x#xs) = sumlist-break-comp-acc a b (s + x) xs

fun sumlist-break-comp :: 'a set ⇒ 'a set ⇒ int list ⇒ int
  where sumlist-break-comp a b [] = 0
    | sumlist-break-comp a b (x # xs) = sumlist-break-comp-acc a b 0 (x # xs)

function vote-SpectreComp :: ('a set, 'b) pre-digraph ⇒ 'a set ⇒ 'a set ⇒ 'a set ⇒
int
  where
    vote-SpectreComp V a b c = (
      if (¬ blockDAG V ∨ a ∉ verts V ∨ b ∉ verts V ∨ c ∉ verts V) then 0 else
      if (b=c) then card a else
      if ((a →*V b) ∧ ¬(a →+V c)) then card a else
      if ((a →*V c) ∧ ¬(a →+V b)) then - card a else
      if ((a →+V b) ∧ (a →+V c)) then
        (card a) * (sumlist-break-comp b c (map (λi.
          (vote-SpectreComp (DAG.reduce-past V a) i b c)) (linorder.sorted-list-of-set le
            ((DAG.past-nodes V a))))))
      else
        (card a) * sumlist-break-comp b c (map (λi.
          (vote-SpectreComp V i b c)) (linorder.sorted-list-of-set le (DAG.future-nodes V
            a))))
    by auto
termination
proof

```

```

let ?R = measures [( $\lambda(V, a, b, c). (\text{card } (\text{verts } V)))$ , ( $\lambda(V, a, b, c). \text{card } \{e. e \rightarrow^*_{\text{V}} a\}$ )]
show wf ?R
by simp
next
fix V::('a set, 'b) pre-digraph
fix x a b c
assume bD:  $\neg (\neg \text{blockDAG } V \vee a \notin \text{verts } V \vee b \notin \text{verts } V \vee c \notin \text{verts } V)$ 
then have  $a \in \text{verts } V$  by simp
then have  $\text{card } (\text{verts } (\text{DAG.reduce-past } V a)) < \text{card } (\text{verts } V)$ 
using bD blockDAG.reduce-less
by metis
then show ((DAG.reduce-past V a, x, b, c), V, a, b, c)
 $\in \text{measures}$ 
 $[\lambda(V, a, b, c). \text{card } (\text{verts } V),$ 
 $\lambda(V, a, b, c). \text{card } \{e. e \rightarrow^*_{\text{V}} a\}]$ 
by simp
next
fix V::('a set, 'b) pre-digraph
fix x a b c
assume bD:  $\neg (\neg \text{blockDAG } V \vee a \notin \text{verts } V \vee b \notin \text{verts } V \vee c \notin \text{verts } V)$ 
then have a-in:  $a \in \text{verts } V$  using bD by simp
assume  $x \in \text{set } (\text{linorder.sorted-list-of-set } \text{le } (\text{DAG.future-nodes } V a))$ 
then have  $x \in \text{DAG.future-nodes } V a$  using DAG.finite-future
linorder.set-sorted-list-of-set bD subs tie-break-compositionGraph-axioms
tie-break-compositionGraph-def tie-break-compositionGraph-axioms-def
by metis
then have rr:  $x \rightarrow^+_{\text{V}} a$  using DAG.future-nodes.simps bD subs mem-Collect-eq
by metis
then have a-not:  $\neg a \rightarrow^*_{\text{V}} x$  using bD DAG.unidirectional subs by metis
have bD2: blockDAG V using bD by simp
have  $\forall x. \{e. e \rightarrow^*_{\text{V}} x\} \subseteq \text{verts } V$  using subs bD2 subsetI
wf-digraph.reachable-in-verts(1) mem-Collect-eq
by metis
then have fin:  $\forall x. \text{finite } \{e. e \rightarrow^*_{\text{V}} x\}$  using subs bD2 fin-digraph.finite-verts
finite-subset
by metis
have  $x \rightarrow^*_{\text{V}} a$  using rr wf-digraph.reachable1-reachable subs bD2 by metis
then have  $\{e. e \rightarrow^*_{\text{V}} x\} \subseteq \{e. e \rightarrow^*_{\text{V}} a\}$  using rr
wf-digraph.reachable-trans Collect-mono subs bD2 by metis
then have  $\{e. e \rightarrow^*_{\text{V}} x\} \subset \{e. e \rightarrow^*_{\text{V}} a\}$  using a-not
subs bD2 a-in mem-Collect-eq psubsetI wf-digraph.reachable-refl
by metis
then have  $\text{card } \{e. e \rightarrow^*_{\text{V}} x\} < \text{card } \{e. e \rightarrow^*_{\text{V}} a\}$  using fin
by (simp add: psubset-card-mono)
then show ((V, x, b, c), V, a, b, c)
 $\in \text{measures}$ 
 $[\lambda(V, a, b, c). \text{card } (\text{verts } V), \lambda(V, a, b, c). \text{card } \{e. e \rightarrow^*_{\text{V}} a\}]$ 
by simp

```

qed

end

end