15-150 Spring 2012 Homework 03

Out: Tuesday, 31 January 2012 Due: Wednesday, 8 February 2012 at 09:00 EST

1 Introduction

This homework will focus on writing functions on lists and proving properties of them. This homework is longer and harder than the previous two: start early!

1.1 Getting The Homework Assignment

The starter files for the homework assignment have been distributed through our git repository as usual.

1.2 Submitting The Homework Assignment

To submit your solutions, place your hw03.pdf and modified hw03.sml files in your handin directory on AFS:

/afs/andrew.cmu.edu/course/15/150/handin/<yourandrewid>/hw03/

Your files must be named exactly hw03.pdf and hw03.sml. After you place your files in this directory, run the check script located at

/afs/andrew.cmu.edu/course/15/150/bin/check/03/check.pl

then fix any and all errors it reports.

Remember that the check script is *not* a grading script—a timely submission that passes the check script will be graded, but will not necessarily receive full credit.

Also remember that your written solutions must be submitted in PDF format—we do not accept MS Word files.

Your hw03.sm1 file must contain all the code that you want to have graded for this assignment and compile cleanly. If you have a function that happens to be named the same as one of the required functions but does not have the required type, it will not be graded.

1.3 Methodology

You must use the five step methodology for writing functions for every function you write on this assignment. In particular, you will lose points for omitting the purpose, examples, or tests even if the implementation of the function is correct.

1.4 Due Date

This assignment is due on Wednesday, 8 February 2012 at 09:00 EST. Remember that this deadline is final and that we do not accept late submissions.

2 Zippidy Doo Da

It's often convenient to take a pair of lists and make one list of pairs from it. For instance, if we have the lists

$$[5, 1, 2, 1]$$
 and $["a", "b"]$

we might be interested in the list

Task 2.1 (5%). Write the function

```
zip : int list * string list -> (int * string) list
```

that performs the transformation of pairing the n^{th} element from the first list with the n^{th} element of the second list. If your function is applied to a pair of lists of different length, the length of the returned list should be the minimum of the lengths of the argument lists. You should ensure that zip is a total function (but you do not need to formally prove this fact).

Task 2.2 (5%). Write the function

```
unzip : (int * string) list -> int list * string list
```

unzip does the opposite of zip in the sense that it takes a list of tuples and returns a tuple of lists, where the first list in the tuple is the list of first elements and the second list is the list of second elements. You should ensure that unzip is a total function (but you do not need to formally prove this fact).

Task 2.3 (10%). Prove Theorem 1.

```
Theorem 1. For all 1: (int * string) list, zip(unzip\ l) \cong l.
```

Be sure to use the template for a proof by *structural induction on lists*; see the Lecture 4 notes. In your proof, be sure to state when you are using valuability, and explain why the expressions in question are valuable. You may use totality of **zip** and **unzip** in your explanation but need to cite such uses carefully.

Solution 2.3

Proof. This proof will be by structural induction on l.

Case for []:

```
To Show: zip (unzip []) \cong [].
```

First we evaluate unzip []:

We now evaluate zip([],[]):

```
zip([],[])
\cong case([],[]) of([],_) => [] | (_,[]) => [] | ... step
\cong []
```

We have shown that zip (unzip []) \cong []. This completes the case.

Case for x::xs:

Inductive Hypothesis: zip (unzip xs) \cong xs

To show: zip (unzip x::xs) \cong x::xs. Because x is a value of type int * string, $x \cong (i,j)$ for some integer i and string j.

Thus, we can calulate as follows:

```
unzip x::xs

\cong case (i,j)::xs of ...

(x1,x2)::xs => let val (l1,l2) = unzip xs ... step

\cong let val (l1,l2) = unzip xs in (i::l1,j::l2) end step
```

By the totality of unzip, we know that unzip 1 is valuable, so unzip $1 \cong (11',12')$ for some two lists l'_1 and l'_2 . Using this, we continue evaluating the ML:

```
\cong let val (11,12) = (11',12') in (i::11,j::12) end step \cong (i::11',j::12') step
```

We have now shown that unzip $x::xs \cong (i::11',j::12')$. We now plug these lists into zip to get:

```
zip (unzip x::xs)
\cong zip (i::11',j::12') substitution
\cong case (i::11',j::12') of ...
(x::xs,y::ys) \Rightarrow (x,y) :: zip(xs,ys) step
\cong (i,j) :: zip(11',12') step
\cong (i,j) :: zip(unzip xs) substitution
\cong (i,j) :: xs By IH
\cong x :: xs substitution
```

Thus, we have established that zip (unzip x::xs) $\cong x::xs$. This finishes the case.

Task 2.4 (4%). Prove or disprove Theorem 2.

Theorem 2. For all 11: int list and 12: string list,

```
unzip(zip\ (l1, l2)) \cong (l1, l2)
```

Solution 2.4 This is false. Consider the case where 11 = [1,2] and 12 = ["apple"]. Then unzip(zip(11,12)) evaluates as follows:

```
unzip(zip([1,2],["apple"]))

\(\times \text{unzip(case ([1,2],["apple"]) of ... (1::[2],"apple"::[]) => ...)}
\(\times \text{unzip((1,"apple")::zip([2],[]))}
\(\times \text{unzip((1,"apple")::[])}
\(\times \text{([1],["apple"])}\)
```

[1] does not equal [1,2]. Therefore unzip(zip(11,12)) does not always evaluate to the original lists (11,12).

3 Conway's Lost Cosmological Theorem

3.1 Definition

If l is any list of integers, the look-and-say list of s is obtained by reading off adjacent groups of identical elements in s. For example, the look-and-say list of

$$l = [2, 2, 2]$$

is

because l is exactly "three twos.". Similarly, the look-and-say sequence of

$$l = [1, 2, 2]$$

is

because l is exactly "one ones, then two twos."

We will use the term *run* to mean a maximal length sublist of a list with all equal elements. For example,

$$[1, 1, 1]$$
 and $[5]$

are both runs of the list

but

$$[1,1]$$
 and $[5,2]$ and $[1,2]$

are not: [1, 1] is not maximal, [5, 2] has unequal elements, and [1, 2] is not a sublist.

You will now define a function look_and_say that computes the look-and-say sequence of its argument using a helper function and a new pattern of recursion.

3.2 Implementation

To help define the look_and_say function, you will write a helper function lasHelp with the following spec. lasHelp takes three arguments

- 1 : int list, the tail of the list
- x : int, the number found in the current run
- acc: int, the number of times the current number has already been seen in the run.

From these arguments, the lasHelp computes the pair (tail, total) where

ullet tail : int list is the tail of 1 following the last number equal to x at the front of the list

• total: int is the total length of the current run (i.e., the sum of acc and the length of the run of numbers equal to x at the front of 1).

For example,

$$\label{eq:lasHelp} \begin{split} & \texttt{lasHelp}([1,2,3],4,1) \cong ([1,2,3],1) \\ & \texttt{lasHelp}([2,2,6,3],2,2) \cong ([6,3],4) \end{split}$$

Task 3.1 (10%). Write the function

```
lasHelp : int list * int * int -> int list * int
```

according to the given specification. Note that you can use the function inteq in hw03.sml to compare integers for equality. Now, write the function

```
look_and_say : int list -> int list
using this helper function.¹
```

3.3 Cultural Aside

The title of this problem comes from a theorem about the sequence generated by repeated applications of the "look and say" operation. As look_and_say has type int list -> int list, the function can be applied to its own result. For example, if we start with the list of length one consisting of just the number 1, we get the following first 6 elements of the sequence:

```
[1]
[1,1]
[2,1]
[1,2,1,1]
[1,1,1,2,2,1]
[3,1,2,2,1,1]
```

Conway's theorem states that any element of this sequence will "decay" (by repeated applications of look_and_say) into a "compound" made up of combinations of "primitive elements" (there are 92 of them, plus 2 infinite families) in 24 steps. If you are interested in this sequence, you may wish to consult [?] or other papers about the "look and say" operation.

¹ *Hint:* The recursive call in the inductive case of <code>look_and_say</code> will sometimes be on a list that is more than one element shorter. This corresponds to the notion of well-founded recursion discussed in lecture.

4 Prefix-Sum

The prefix-sum of a list 1 is a list s where the i^{th} element of s is the sum of the first i+1 elements of 1. For example,

```
prefixSum [] \cong []
prefixSum [1,2,3] \cong [1,3,6]
prefixSum [5,3,1] \cong [5,8,9]
```

Task 4.1 (5%).

Implement the function

```
prefixSum : int list -> int list
```

that computes the prefix-sum. You must use the add_to_each function provided, which adds an integer to each element of a list, and your solution must be in $O(n^2)$ but not in O(n). This implementation will be simple, but inefficient.

Task 4.2 (5%). Write a recurrence for the work of prefixSum, $W_{\text{prefixSum}}(n)$, where n is the length of the input list. Give a closed form for this recurrence. Argue that your closed form does indeed indicate that $W_{\text{prefixSum}}(n)$ is $O(n^2)$.

You may use variables k_0, k_1, \ldots for constants. You should assume that add_to_each is a linear time function: add_to_each 1 evaluates to a value in kn steps where n is the length of 1 and k is some constant; your recurrence should involve the constant k.

Solution 4.2

$$W_{\rm PS}(n) = \begin{cases} k_0 & \text{if } n = 0\\ k_1 n + W_{\rm PS}(n-1) & \text{if } s > 0 \end{cases}$$

The closed form of this recurrence is

$$W_{\rm PS}(n) = k_2 n^2 + k_2 n + k_0$$

We have seen in lecture that this type of recurrence is in the set $O(n^2)$. Thus prefixSum runs in $O(n^2)$ time.

The above is a fine answer to a "what is the recurrence" question. However, if you are curious how we derived this recurrence from the code, here is an explanation: In the case for [], the code steps as follows:

```
prefixSum []
|-> case [] of [] => [] | x :: xs => x :: add_to_list (prefixSum xs, x)
|-> []
```

Therefore, $W_{PS}(0) = 2$, which is constant.

In the case for x::xs, we calculate as follows:

```
prefixSum (n::1)
|-> case n::1 of nil => nil | x :: xs => x :: add_to_list (prefixSum xs, x)
|-> x :: add_to_list (prefixSum xs, x)
|->* x :: add_to_list (l1, n)
|->* 12
```

As it takes $W_{PS}(n-1)$ steps to evaluate prefixSum 1 and it takes k(n-1) steps to evaluate add_to_list, it follows that $W_{PS}(n) = 2 + k(n-1) + W_{PS}(n-1)$.

It is sufficient to replace the numbers with constants, k_0 and k_1 , yielding the above recurrence.

To find the closed form of the recurrence, we can visualize it by expanding the recurrence as in lecture. By doing so we get

$$W_{PS}(n) = k_1 n + k_1 (n-1) + k_1 (n-2) + ... + k_0$$

This is equivalent to $\sum_{i=0}^{n} k_1 i + k_0$. We can expand this using properties of aritmetic and sums to get

$$\sum_{i=0}^{n} k_1 i + k_0 = k_1 \frac{n(n+1)}{2} + k_0$$
$$= \frac{k_1}{2} n^2 + \frac{k_1}{2} n + k_0$$
$$= k_2 n^2 + k_2 n + k_0$$

This closed form is $O(n^2)$, as it is clearly quadratic, and the n^2 term will dominate for large n.

In order to compute the prefix sum operation in linear time, we will use the technique of adding an additional argument: harder problems can be easier.

Task 4.3 (10%). Write the prefixSumHelp function that uses an additional argument to compute the prefix sum operation in linear time. You must determine what the additional argument should be. Once you have defined prefixSumHelp, use it to define the function

prefixSumFast : int list -> int list

that computes the prefix sum.

Solution 4.3 See hw03-sol.sml

Task 4.4 (5%). Write a recurrence for the work of prefixSumFast, $W_{\texttt{prefixSumFast}}(n)$, where n is the length of the input list. Give a closed form for this recurrence. Argue that your closed form does indeed indicate that prefixSumFast is in O(n).

Solution 4.4 Let $W_{\text{PSH}}(n)$ be the time for prefixSumHelp on a list of length n, and $W_{\text{PSF}}(n)$ be the time for prefixSumFast on a list of length n.

$$W_{\text{PSH}}(n) = \begin{cases} k_0 & \text{if } n = 0\\ k_1 + W_{\text{PSH}}(n-1) & \text{if } n > 0 \end{cases}$$

$$W_{\text{PSF}}(n) = k_2 + W_{\text{PSH}}(n)$$

The closed form of this recurrence is

$$W_{PSF}(n) = k_3 + k_1 n$$

Clearly this closed form is O(n), as the dominating term is a factor of n for large values of n. Thus prefixSumFast must run in O(n) time.

5 Sublist

When programming with lists, we often need to work with a segment of a larger list. For example, one might need to access only the last three elements of a list or only the middle element. Any such segment is called a *sublist*.

More formally: if L is any list, we say that S is a sublist of L starting at i if and only if there exist 11 and 12 such that

$$11@S@12 \cong L$$

and

length
$$11 \cong i$$

For example, [1, 2] is a sublist of [1, 2, 3] starting at 0 because

$$[]@[1,2]@[3] \cong [1,2,3]$$
 and length $[]\cong 0$

Task 5.1 (2%). The spec for a function that computes sublists as defined above will have the form:

For all 1:int list, i:int, k:int, if _____ then there exists an S such that S is the sublist of 1 starting at i, and

$$length S \cong k$$

, and

$$\mathtt{sublist}(\mathtt{i},\mathtt{k},\mathtt{l})\cong\mathtt{S}$$

The blank is called the *preconditions*, and represents assumptions about the input. Fill in the blank to complete this spec correctly.

Solution 5.1 There are three preconditions that must hold for sublist to work properly.

- The index i must be non-negative, meaning 0 \leq i.
- The length of the sublist k must be non-negative, meaning $0 \le k$.
- The sublist must be contained within the list L. That is, i + k <= length L

Task 5.2 (6%). Implement a function

```
sublist : int * int * int list -> int list
```

that meets the spec you gave above.

Because the spec has the form of an implication, in the body of sublist you should assume that whatever preconditions you required in Task 5.1 are met: if they are not, your function can do anything you want and still meet its spec!

Note that the definition above implies that we index lists from zero, so

sublist
$$(0, 3, [1,2,3,4]) \cong [1,2,3]$$

|Solution 5.2| See hw03-sol.sml

The spec that you completed above is good because it closely mirrors the abstract notion of a sublist, but bad because it's very stringent: any code calling sublist must ensure that the assumptions about the input hold or else it will fail. Since the exact mode of failure is not documented in the type or in the spec, this can produce behaviour that's very hard to debug.

Sometimes, the caller will be able to prove that these assumptions hold because of other specification-level information. Other times, the information available at compile-time will not be enough to ensure that these assumptions are met. In these circumstances, you can use a run-time check to bridge the gap.

Task 5.3 (5%).

Implement a function

```
sublist_check : int * int * int list -> int list
```

where sublist_check(i,k,1) evaluates to the sublist of 1 starting at i with length k if possible, or raises an exception explaining why it's not possible.

sublist_check should explicitly check the preconditions you listed in Task 5.1. If all of the conditions are met, it should call sublist to compute the sublist—do not reimplement sublist! If any one is not met, it should raise a Fail exception with a helpful error message describing what's wrong with the arguments.

If any call that your sublist_check makes to sublist can raise an exception or produce an incorrect result: your solution is broken! This may be because your spec in 5.1 is not strong enough or you forgot to check a precondition.

Note on testing: your tests for sublist_check should show that it raises the appropriate exceptions when the preconditions are violated. You should do these tests at the REPL and then copy them into a comment in your hw03.sml file (otherwise your file will be subject to a grade penalty for not loading cleanly). We will show you how to regression-test code that raises exceptions later in the course.

Solution 5.3 See hw03-sol.sml

6 Subset sum

A multiset is a slight generalization of a set where elements can appear more than once. A submultiset of a multiset M is a multiset, all of whose elements are elements of M. To avoid too many awkward sentences, we will use the term subset to mean submultiset.

It follows from the definition that if U is a sub(multi)set of M, and some element x appears in U k times, then x appears in M at least k times. If M is any finite multiset of integers, the sum of M is

$$\sum_{x \in M} x$$

With these definitions, the multiset subset sum problem is answering the following question.

Let M be a finite multiset of integers and n a target value. Does there exists any subset U of M such that the sum of U is exactly n?

Consider the subset sum problem given by

$$M = \{1, 2, 1, -6, 10\}$$
 $n = 4$

The answer is "yes" because there exists a subset of M that sums to 4, specifically

$$U_1 = \{1, 1, 2\}$$

It's also yes because

$$U_1 = \{-6, 10\}$$

sums to 4 and is a subset of M. However,

$$U_3 = \{2, 2\}$$

is not a witness to the solution to this instance. While U_3 sums to 4 and each of its elements occurs in M, it is not a subset of M because 2 occurs only once in M but twice in U_2 .

Representation You'll implement three solutions to the subset sum problem. In all three, we represent multisets of integers as SML values of type int list, where the integers may be negative. You should think of these lists as just an enumeration of the elements of a particular multiset. The order that the elements appear in the list is not important.

6.1 Basic solution

Task 6.1 (12%). Write the function

subset_sum : int list * int -> bool

that returns **true** if and only if the input list has a subset that sums to the target number. As a convention, the empty list [] has a sum of 0. Start from the following useful fact: each element of the set is in the subset, or it isn't.²

Solution 6.1 See hw03-sol.sml

6.2 NP-completeness and certificates

Subset sum is an interesting problem because it is *NP-complete*. NP-completeness has to do with the time-complexity of algorithms, and is covered in more detail in courses like 15-251, but here's the basic idea:

- A problem is in P if there is a polynomial-time algorithm for it—that is, an algorithm one whose work is in O(n), or $O(n^2)$, or $O(n^{14})$, etc.
- A problem is in NP if an affirmative answer can be *verified* in polynomial time.

Subset sum is in NP. Suppose that you're presented with a multiset M, another multiset U, and an integer n. You can easily *check* that the sum of U is actually n and that U is a subset of M in polynomial time. This is exactly what the definition of NP requires.

This means we can write an implementation of subset sum which produces a *certificate* on affirmative instances of the problem—an easily-checked witness that the computed answer is correct. Negative instances of the problem—when there is no subset that sums to n—are not so easily checked.

You will now prove that subset_sum is in NP by implementing a certificate-generating version.

Task 6.2 (8%). Write the function

```
subset_sum_cert : int list * int -> bool * int list
```

which, if the input multiset M has a subset that sums to the target number n, returns (true, U) where U is a subset of M which sums to n. If no such subset exists, it should return (false, nil).

```
Solution 6.2 See hw03-sol.sml
```

² Hint: It's easy to produce correct and unnecessarily complicated functions to compute subset sums. It's almost certain that your solution will have $O(2^n)$ work, so don't try to optimize your code too much. There is a very clean way to write this in a few (5-10ish) elegant lines.

³You'll note that the empty list returned when a qualifying subset does not exist is superfluous; soon, we'll cover a better way to handle these kinds of situations, called option types.

NP-Completeness The P = NP problem, which is one of the biggest open problems in computer science, asks whether there are polynomial-time algorithms for *all* of the problems in NP. Right now, there are problems in NP, such as subset sum, for which only exponential-time algorithms are known. However, subset sum is *NP-complete*, which means that if you could solve it in polynomial time, then you could solve all problems in NP in polynomial time, so P = NP.4

6.3 Double Checking

subset_sum_cert produces a certificate C along with its boolean response. Consequently, we can use it to build trust-worthy code, without knowing anything about the correctness of subset_sum_cert. This is a process called double-checking.

Suppose $subset_sum_cert$ might be buggy. We can still use it in client code by double-checking the certificate C. For example, consider some client code that calls $subset_sum_cert$. If it's buggy, it might say false when there is a subset that sums to the target, or it might say true when there isn't. But in the latter case, it has to give you a certificate C, which you can independently check. If this certificate passes the checks, then you know that even though $subset_sum_cert$ might sometimes give you the wrong answer, in this particular case, it did the right thing.

Task 6.3 (5%). We can wrap this double-checking up as a function

```
subset_sum_dc : int list * int -> bool
```

which is a double-checking version of subset sum. It should call subset_sum_cert on its input. In the affirmative instances, it should then check the certificate that was produced, and return true when the certificate is valid, and raise an exception Fail "invalid certificate" when the certificate fails to verify. For the negative instances, subset_sum_cert does not return a certificate, so subset_sum_dc should just return false.

For checking the certificate, we have provided functions sum_list : int list -> int, which sums a list, and contained : int list * int list -> bool, which determines whether its first argument is a submultiset of its second.

```
Solution 6.3 See hw03-sol.sml
```

Because only the affirmative instances are certified, the best we can say about the behavior of subset_sum_dc is the following partial correctness spec:

Theorem 3. If $subset_sum_dc$ $(s,t) \cong true$ then there is some subset of s that sums to t.

This says that subset_sum_dc is correct (with respect to the mathematical definition of subset-sum) when it returns true. You can prove this without reasoning about the

⁴So: extra credit, several million dollars, and a PhD, for a polynomial time algorithm.

correctness of subset_sum_cert. Theorem 3 intentionally does not say anything about what happens when subset_sum_dc returns false, because we cannot establish correctness in this case without reasoning about the code of subset_sum_cert.

Task 6.4 (3%). Prove Theorem 3. Your proof should be very short, and should correctly prove the result even if there is a bug in your implementation of subset_sum_cert.

As lemmas, you may assume that sum_list and contained behave as described above, and you may assume the following fact about equivalence:

If case e of
branches> is valuable, then e is valuable.

Be sure to cite when you use these lemmas.

Solution 6.4

For reference, here is the code:

Here's the idea of the proof: we assume that subset_sum_dc(1,s) == true. This means it must have taken the branch where inteq (s, sum_list 1') and also contained (1' is true: the other two branches raise an exception or return false, which contradicts the assumption that it evaluates to true. When inteq (s, sum_list 1') and contained (1', 1) are true, the specs for these functions tell us that 1' sums to s and is a sublist of 1, which is what we needed to show.

We can prove this formally as follows:

Proof. Suppose subset_sum_dc (1,s) == true. We know that

We'll call this whole case expression E. By transitivity, we know that E == true. In the problem statement, we told you to use the fact that if a case is equal to

In the problem statement, we told you to use the fact that if a case is equal to a value, then the expression being cased-on (the "scurtinee") is valuable (the

intuition is that, if the scurtinee diverged or raised an exception, the whole case would, and therefore would not be equal to a value). Here, we know that subset_sum_cert (1, s) is equal to some value. Every value of type bool * int list is of the form (v1 : bool, v2 : int list), and every value of type bool is either true or false. So subset_sum_cert (1, s) is either equal to (true,l') or (false,l') for some value l' : int list. So we have two cases:

```
• In the first, subset_sum_cert (1, s) == (true,1') for some 1', so
  == case (true,l') of
        (true, 1') => (case inteq (s, sum_list 1') and also contained (1', 1) of
                           true => true
                         | false => raise Fail "invalid certificate")
      | (false, _) => false
                                                                                 [step]
  == (case integ (s, sum_list 1') and also contained (1', 1) of
                           true => true
                         | false => raise Fail "invalid certificate")
  Call the case expression in the last step F. We know by assumption that
  subset_sum_dc (1, s) == E == true, so F == true by transitivity.
  Because F is valuable, the scrutinee inteq (s, sum_list 1') and also contained (1', 1)
  is valuable, and because the only values of type bool are true and false,
  we have two subcases:
   - In the first,
      inteq (s, sum_list l') and also contained (l', l) == true
      By definition of andalso, this means that inteq (s, sum_list 1') == true
      and contained (1', 1) == true. By the lemmas given in the prob-
      lem, the former implies that the sum of 1' is s, and the latter implies
      that 1' is a submultiset of 1. Thus, 1' is a subset that sums to s, as
      we needed to show.
   - In the second,
      inteq (s, sum_list 1') and also contained (1', 1) == false
      so
         E
      == (case false of
             true => true
           | false => raise Fail "invalid certificate")
      == raise Fail "invalid certificate"
                                                                  [step]
     But we know that subset_sum_dc(1,s) == E == true by assumption,
```

so by transitivity raise Fail "invalid certificate" == true. This

is a contradiction, because one side raises an exception and the other is a value. Because anything follows from a contradiction, the result holds in this case.

But we know by assumption that subset_sum_dc(1,s) == E == true, so this implies that true == false, which is a contradiction. Because anything follows from a contradiction, the result holds in this case.

== false