# Schrödinger's hats

# A puzzle about parities and permutations

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Meet Schrödinger, who travels the world with an unusually clever clowder of n talking cats. In their latest show, the cats stand in a line. Schrödinger asks a volunteer to take n+1 hats, numbered zero to n, and randomly assign one to each cat, so that there is one spare. Each cat sees all of the hats in front of it, but not its own hat, nor those behind, nor the spare hat. The cats then take turns, each calling out a single number from the set  $\{i \mid 0 \le i \le n\}$ , without repeating any number previously called, and without any other communication. The cats are allowed a single incorrect guess, but otherwise every cat must call out the number on its own hat.

# 1 Introduction

In this article, we will figure out how the cats do this. We'll start with some informal analysis, deriving the solution by asking what properties it must have, and refining these properties until we can realise them with a concrete algorithm. We'll also develop a formal proof in Isabelle/HOL that the method always works.

Along the way, we'll rediscover a fundamental property of permutation groups, and we'll gain some familiarity with basic tools of formal mathematical proof.

For the informal analysis, we'll work from the top down, so you can see the solution unfold gradually. Each refinement will be small, and may seem like it is the only possible step.

We would like to use Isabelle/HOL to make our informal analysis more precise. However, our proof is inherently bottom up, from the solution we ultimately identify to a theorem that it solves the puzzle.

So, to allow us to develop the proof as we work top down, we need to turn the proof upside down. We'll do this by temporarily assuming things we believe must be true for the puzzle to have a solution, but which we don't yet know how to prove. To avoid repeating assumptions, we'll use the *locale* mechanism of Isabelle/HOL to create named bundles of assumptions. Later, we'll discharge assumptions using the locale *interpretataion* mechanism.

To illustrate, we can use a locale to describe the basic setup of the puzzle:

In this locale, we can use a cardinality argument to prove that the hats are numbered distinctly:

```
lemma (in assigned) distinct: "distinct (spare # assigned)"
  apply (rule card_distinct)
  apply (subst assign)
  by auto
```

The proof developed this way turns out to be more convoluted than it needs to be, so the appendix contains a version of the proof written in a more direct style.

### 2 Initial observations

We can begin to structure our thinking by making some initial observations.

# 2.1 Ordering the calls

The rules require each cat to make exactly one call, but do not specify the order in which they do this. We can see that the order we choose affects the distribution of information:

- Visible information remains constant over time, but cats towards the rear see more than cats towards the front.
- Audible information increases over time, but at any particular point in time, all cats have heard the same things.

We observe that the cats can only ever communicate information forwards, never backwards:

- When a cat makes a call, all of the information available to it is already known to all the cats behind it. Therefore, cats towards the rear can never learn anything from the choices made by cats towards the front.
- However, cats towards the front *can* learn things from choices made by cats towards the rear, because those choices might encode knowledge of hats which are not visible from the front.

We propose that the cats should take turns from the rearmost towards the front, ensuring that:

- The cat making the choice is always the one with the most information.
- We maximise the number of cats that may learn something from each call.

We'll use a locale to describe the information flow:

### 2.2 The rearmost cat is special

Each cat sees the hats in front of it, and hears the calls made by those behind it, but otherwise receives no information. In particular, no cat knows the rearmost cat's number. Until Schrödinger reveals it at the end of the performance, it could be either of the two hats that are invisible to all cats.

To guarantee success, the cats must therefore assume the worst: that the rearmost cat got it wrong. But this means that all the other cats *must* get it right!

# 2.3 Reasoning by induction

Knowing which cats must get it right makes our job easier, since we don't need to keep track of whether the cats have used up their free pass. When considering how some cat k makes its choice, we can assume that all the cats  $\{i \mid 0 < i < k\}$ , i.e. those behind it, except the rearmost, have already made the right choices.

This might seem like circular reasoning, but it's not. In principle, we build up what we know from the rearmost cat, one cat at a time towards the front, using what we've already shown about cats  $\{i \mid 0 \leq i < k\}$  when we're proving that cat k makes the right choice. Mathematical induction merely says that if all steps are alike, we can take an arbitrary number of them all at once, by considering an arbitrary cat k, and assuming we've already considered all the cats  $\{i \mid 0 \leq i < k\}$  behind it. We'll use a locale to package the induction hypothesis:

```
locale cat_k = called +
  fixes k :: "nat"
  assumes k_min: "0 < k"
  assumes k_max: "k < length assigned"
  assumes IH: "\forall i \in {1 ...< k}. called ! i = assigned ! i"
lemma (in called) called_induct:
  assumes "\bigwedge k. cat_k spare assigned called k \implies called ! k = assigned ! k"
  shows "k \in \{1 ... < length assigned\} \implies called ! k = assigned ! k"
  apply (induct k rule: nat_less_induct)
  apply (rule assms)
  apply (unfold_locales)
  by auto
lemma (in cat_k) k_max_called: "k < length called"</pre>
  using k_max length by simp
lemma (in cat_k) heard_k:
  "heard k = called ! 0 # map (op ! assigned) [Suc 0 .. < k]"
  using heard_def[of k] IH
        take_map_nth[OF less_imp_le, OF k_max_called]
        range_extract_head[OF k_min]
  by auto
```

### 2.4 Candidate selection

According to the rules, no cat may repeat a number already called by another cat behind it. With a little thought, we can also say that no cat may call a number that it can see ahead of it. If it did, there would be at least two incorrect calls.

To see this, suppose some cat k called out a number that it saw on the hat of t who is in front of k. Hat numbers are unique, so k's number must be different from t's, and therefore k's call is wrong. But t may not repeat the number that k called, so t is also wrong.

Each cat k has to choose between exactly two candidate hats: those left over after excluding all the numbers it has seen and heard:

```
definition (in called) "excluded k \equiv heard \ k \ 0 seen k" definition (in called) "candidates k \equiv \{0 \ .. \ 1 + length \ (excluded \ k)\} - set (excluded k)" locale called_candidate = called + assumes called_candidate: "\land i : i < length assigned \implies called ! i \in candidates i"
```

Since none of the cats  $\{i \mid 0 \leq i < k\}$  previously called k's number, k's own number is one of those candidates. Taking into account our assumption that all those  $\{i \mid 0 < i < k\}$  except the rearmost called their own numbers, we can also say that the other candidate will be the same number which the rearmost cat chose *not* to call.

To solve the puzzle, we therefore just need to ensure that every cat k rejects the same number that the rearmost cat rejected.

To formalise this, we'll first assume that the rearmost cat chooses one of its candidates, and define rejected as the other:

```
locale cat_0 = called_candidate + cat_k
lemma (in cat_k) exists_0: "0 < length assigned"</pre>
  using k_min k_max by auto
lemmas (in cat_k) assigned_0
  = Cons_nth_drop_Suc[OF exists_O, simplified]
lemma (in cat_0) candidates_0: "candidates 0 = {spare, assigned ! 0}"
  proof -
   have len: "1 + length (excluded 0) = length assigned"
      unfolding excluded_def heard_def seen_def using exists_0 by simp
    have set: "set (excluded 0) = {0..length assigned} - {spare, assigned ! 0}"
      unfolding excluded_def heard_def seen_def
      using assign assigned_0 distinct
            Diff_insert2 Diff_insert_absorb distinct.simps(2)
            list.simps(15) self_append_conv2 take_0
      by metis
    show ?thesis
      unfolding candidates_def
      unfolding len set
      unfolding Diff_Diff_Int subset_absorb_r
      unfolding assign[symmetric]
      using exists_0
      by auto
 \mathbf{qed}
lemma (in cat_0) called_0: "called ! 0 \in {spare, assigned ! 0}"
  using candidates_0 called_candidate[OF exists_0] by simp
definition (in cat_0)
  "rejected \equiv if called ! 0 = spare then assigned ! 0 else spare"
locale rejected_k = cat_0 +
  assumes rejected_k: "called ! k \neq rejected"
```

If we additionally assume that cat k calculates the expected *candidates*, and rejects the same hat as the rearmost cat, then we can prove that cat k chooses its assigned hat:

```
definition (in cat_0) "view_n ≡ spare # assigned ! 0 # seen 0"
definition (in cat_0) "view_0 ≡ rejected # called ! 0 # seen 0"
definition (in cat_0) "view_k \equiv rejected # heard k @ assigned ! k # seen k"
lemma (in cat_0) view_eq: "view_k = view_0"
  unfolding view_0_def view_k_def heard_k seen_def
  apply (simp add: k_max Cons_nth_drop_Suc)
  apply (subst drop_map_nth[OF less_imp_le_nat, OF k_max])
  apply (subst drop_map_nth[OF Suc_leI[OF exists_0]])
  apply (subst map_append[symmetric])
 apply (rule arg_cong[where f="map _"])
  apply (rule range_app)
  using k_max k_min less_imp_le Suc_le_eq by auto
lemma (in cat_0) distinct_set_n:
  "distinct view_n \land set view_n = {0..length assigned}"
  unfolding view_n_def seen_def
  unfolding assigned_0
  using distinct assign
 by simp
lemma (in cat_0) distinct_set_0:
  "distinct view_0 \( \text{set view_0} = \{0..length assigned}\)"
  using called_0 distinct_set_n
  unfolding view_n_def view_0_def rejected_def
  by (cases "called ! 0 = spare") auto
lemma (in cat_0)
  distinct_k: "distinct view_k" and
  set_k: "set view_k = {0..length assigned}"
  using distinct_set_0 view_eq
  by auto
lemma (in cat_0) candidates_k: "candidates k = {rejected, assigned ! k}"
  proof -
    have len: "1 + length (excluded k) = length assigned"
      using excluded_def[of k] k_min k_max heard_k seen_def[of k] by simp
    have set: "set (excluded k) = {0..length assigned} - {rejected, assigned ! k}"
     apply (rule subset_minusI)
     unfolding excluded_def[of k]
     using view_k_def distinct_k set_k
      by auto
    show ?thesis
      unfolding candidates_def
     unfolding len set
     unfolding Diff_Diff_Int subset_absorb_r
     unfolding assign[symmetric]
      unfolding rejected_def
      using k_max exists_0
     by auto
  qed
lemma (in rejected_k) called_correct: "called ! k = assigned ! k"
```

```
using called_candidate[OF k_max] candidates_k rejected_k by simp
```

```
lemma (in called) rejected_induct: assumes "\bigwedge k. cat_k spare assigned called k \Longrightarrow rejected_k spare assigned called k" shows "k \in \{1 ... < length assigned\} \Longrightarrow called ! k = assigned ! k" using called_induct rejected_k.called_correct[OF assms] by simp
```

This bears repeating, lest we miss its significance!

Working from the rear to the front, if each cat rejects all the numbers it has heard and seen, and of the remaining numbers, additionally rejects the same number as the rearmost cat, then the puzzle is solved.

# 3 The choice function

We'll now derive the method the cats use to ensure all of them reject the same hat. We assume that the cats have agreed beforehand on the algorithm each cat will *individually* apply, and have convinced themselves that the agreed algorithm will bring them *collective* success, no matter how the hats are assigned to them.

We can represent the individual algorithm as a function of the information an individual cat receives. We don't yet know its definition, but we can write its type:

```
type \ synonym \ choice = "nat list \Rightarrow nat list \Rightarrow nat"
```

That is, when it is cat k's turn, we give the list of calls heard from behind, and the list of hats seen in front, both in order, and the function returns the number the cat should call. The lengths of the lists give the position of the cat in the line, so we can use a single function to represent the choices of all cats, without loss of generality.

We can partially implement the *choice* function, first calculating the *candidates* from which we must choose, by eliminating all those *heard* and *seen*. We defer the remaining work to a *classifier* function, which we'll take as a parameter until we know how to implement it:

```
type_synonym classifier = "nat \Rightarrow nat list \Rightarrow bool"

locale classifier = called_candidate +
    fixes classify :: "classifier"
    assumes choice:
    "\Lambda k. called ! k \Rightarrow
        case sorted_list_of_set (candidates k) of
        [a,b] \Rightarrow if (classify a (heard k) b (seen k)) then b else a"
```

The classifier receives the original arguments heard and seen, as well as the two candidates, a and b.

The order in which we pass these arguments is suggestive of one of the two possible orderings of the full set of hats consistent with what is heard and seen by the cat making the choice. The cat imagines hat b on its head, between those it has heard and seen, and imagines hat a placed on the floor behind the rearmost cat.

The classifier then returns a **bool** that indicates whether the given ordering should be accepted or rejected. If accepted, the cat calls the hat it had imagined on its own head. If rejected, it calls the other.

Since there must always be exactly one correct call, we require that the classifier accepts an ordering if and only if it would reject the alternative:

#### definition

```
classifier_correct :: "classifier \Rightarrow bool" where

"classifier_correct classify \equiv

\forall a heard b seen. distinct (a # heard @ b # seen) \longrightarrow

(classify a heard b seen \longleftrightarrow \neg classify b heard a seen)"
```

This means that we can say which is the accepted ordering, regardless of which ordering we actually passed to the classifier.

Although the refinement from choice to classifier might seem trivial, it gives us a different way of looking at the problem. Instead of asking what is the correct hat number, which is different for each cat, we can consider orderings of the complete set of hats, and whether or not those orderings are consistent with the information available to *all* of the cats.

In particular, we notice that for all but the rearmost cat to choose the correct hats, the accepted orderings must be the same for all cats. This is because the correct call for any cat must be what was seen by all cats to the rear, and will also be heard by all cats towards the front.

Surprisingly, this is true even for the rearmost cat! The only thing special about the rearmost cat is that its assigned number is irrelevant. The task of the rearmost cat is not to guess its assigned number, but to inform the other cats which ordering is both consistent with the information they will have, and also accepted by the classifier.

We can write down the required property that the accepted orderings must be consistent:

#### definition

So far, we have investigated some properties that a *classifier* must have, but have not thrown away any information. The classifier is given everything known to each cat. The lengths of the arguments *heard* and *seen* encode the cat's position in the line, so we even allow the classifier to behave differently for each cat.

But the property classifier\_well\_behaved suggests that the position in the line is redundant, and we can collapse the classifier's arguments into a single list. Given an existing classifier, we can derive such a function:

```
type_synonym parity = "nat list \Rightarrow bool"

definition
   parity_of_classifier :: "classifier \Rightarrow parity"
where
   "parity_of_classifier classify hats \Emptyset case hats of a # b # seen \Rightarrow classify a [] b seen"
```

We can prove that all the behaviours of a well-behaved classifier are captured by the *parity* function derived from it. This confirms that we have not thrown away anything:

We can also restate the required *classifier\_correct* property in terms of *parity* functions, and prove a suitable equivalence:

```
definition
```

Now that we're confident that a parity function is sufficient, so we can rephrase the choice function in terms of a parity function, and forget about classifier functions altogether:

Based on the informal derivation so far, our claim is that any function satisfying <code>parity\_correct</code> is sufficient to solve the puzzle. Next, we'll derive an implementation of such a <code>parity</code> function, and then formally prove that it solves the puzzle.

# 4 The parity function

# 5 Proof

## 5.1 Parity of a list permutation

Define the parity of a list xs as the evenness of the number of inversions. Count an inversion for every pair of indices i and j, such that i < j, but xs!i > xs!j.

```
primrec
```

```
parity :: "nat list \Rightarrow bool" where "parity [] = True" | "parity (x # ys) = (parity ys = even (length [y \leftarrow ys. x > y]))"
```

In a list that is sufficiently distinct, swapping any two elements inverts the parity.

```
lemma parity_swap_adj:
```

```
"b \neq c \Longrightarrow parity (as @ b # c # ds) \longleftrightarrow ¬ parity (as @ c # b # ds)" by (induct as) auto
```

lemma parity\_swap:

```
assumes "b \neq d \wedge b \notin set cs \wedge d \notin set cs" shows "parity (as @ b # cs @ d # es) \longleftrightarrow ¬ parity (as @ d # cs @ b # es)" using assms proof (induct cs arbitrary: as) case Nil thus ?case using parity_swap_adj[of b d as es] by simp next case (Cons c cs) show ?case using parity_swap_adj[of b c as "cs @ d # es"] parity_swap_adj[of d c as "cs @ b # es"] Cons(1)[where as="as @ [c]"] Cons(2) by simp qed
```

### 5.2 Solving the puzzle

### 5.2.1 Individual choice function

Given a list of all hat numbers either seen or heard, we can reconstruct the set of all hat numbers from the length of that list. Excluding the members from the

```
definition
```

```
"candidates xs ≡ {0 .. 1 + length xs} - set xs"

definition
  choice :: "nat list ⇒ nat list ⇒ nat"
where
  "choice heard seen ≡
   case sorted_list_of_set (candidates (heard @ seen)) of
      [a,b] ⇒ if parity (a # heard @ b # seen) then b else a"
```

### 5.2.2 Group choice function

definition "choices  $\equiv$  choices' []"

# 5.2.3 Examples

```
definition "example_even = [4,2,3,6,0,5]"
lemma "parity (1 # example_even)" by eval
lemma "choices example_even = [4,2,3,6,0,5]" by eval
definition "example_odd = [4,0,3,6,2,5]"
lemma "¬ parity (1 # example_odd)" by eval
lemma "choices example_odd = [1,0,3,6,2,5]" by eval
```

### 5.2.4 Group choice does not cheat

lemma choices':

```
assumes "i < length assigned"
  assumes "spoken = choices' heard assigned"
  shows "spoken ! i = choice (heard @ take i spoken) (drop (Suc i) assigned)"
  using assms proof (induct assigned arbitrary: i spoken heard)
    case Cons thus ?case by (cases i) (auto simp: Let_def)
  qed simp
lemma choices:
  assumes "i < length assigned"
 assumes "spoken = choices assigned"
 shows "spoken ! i = choice (take i spoken) (drop (Suc i) assigned)"
 using assms by (simp add: choices_def choices')
5.2.5 Group choice has the correct length
lemma choices'_length: "length (choices' heard assigned) = length assigned"
  by (induct assigned arbitrary: heard) (auto simp: Let_def)
lemma choices_length: "length (choices assigned) = length assigned"
  by (simp add: choices_def choices'_length)
5.3 Correctness of choice function
context
 fixes spare :: "nat"
 fixes assigned :: "nat list"
 assumes assign: "set (spare # assigned) = {0 .. length assigned}"
begin
lemma distinct: "distinct (spare # assigned)"
 apply (rule card_distinct)
  apply (subst assign)
 by auto
{\bf lemma~\textit{distinct\_pointwise:}}
  assumes "i < length assigned"
  shows "spare \neq assigned ! i
           \land (\forall j < length assigned. i \neq j \longrightarrow assigned ! i \neq assigned ! j)"
  using assms distinct by (auto simp: nth_eq_iff_index_eq)
context
  fixes spoken :: "nat list"
  assumes spoken: "spoken = choices assigned"
lemma spoken_length: "length spoken = length assigned"
 using choices_length spoken by simp
lemma spoken_choice:
  "i < length assigned \Longrightarrow spoken ! i = choice (take i spoken) (drop (Suc i) assigned)"
  using choices spoken by simp
```

context

```
assumes exists: "0 < length assigned"
  notes parity.simps(2) [simp del]
begin
lemmas assigned_0
  = Cons_nth_drop_Suc[OF exists, simplified]
lemma candidates_0:
  "candidates (drop (Suc 0) assigned) = {spare, assigned ! 0}"
  proof -
    have len: "1 + length (drop (Suc 0) assigned) = length assigned"
      using exists by simp
    have set: "set (drop (Suc 0) assigned) = {0..length assigned} - {spare, assigned ! 0}"
     using Diff_insert2 Diff_insert_absorb assign assigned_0 distinct
            distinct.simps(2) list.simps(15)
     by metis
    show ?thesis
     unfolding candidates_def len set
     {\bf unfolding} \ {\tt Diff\_Diff\_Int} \ {\tt subset\_absorb\_r}
     unfolding assign[symmetric]
      using exists by auto
  qed
lemma spoken_0:
  "spoken ! 0 = (if parity (spare # assigned) then assigned ! 0 else spare)"
  unfolding spoken_choice[OF exists] choice_def take_O append_Nil candidates_O
  using parity_swap_adj[where as="[]"] assigned_0 distinct_pointwise[OF exists]
  by (cases "assigned ! 0 < spare") auto
context
  fixes rejected :: "nat"
  fixes initial_order :: "nat list"
  assumes rejected: "rejected = (if parity (spare # assigned) then spare else assigned ! 0)"
  assumes initial_order: "initial_order = rejected # spoken ! 0 # drop (Suc 0) assigned"
begin
lemma parity_initial: "parity initial_order"
  unfolding initial_order spoken_0 rejected
  using parity_swap_adj[of "assigned ! 0" "spare" "[]"]
        distinct_pointwise[OF exists] assigned_0
  by auto
lemma distinct_initial: "distinct initial_order"
  unfolding initial_order rejected spoken_0
  using assigned_0 distinct distinct_length_2_or_more
  by (metis (full_types))
lemma set_initial: "set initial_order = {0..length assigned}"
  unfolding initial_order assign[symmetric] rejected spoken_0
  using arg_cong[where f=set, OF assigned_0, symmetric]
  by auto
lemma spoken_correct:
```

```
"i \in {1 ..< length assigned} \Longrightarrow spoken ! i = assigned ! i"
proof (induction i rule: nat_less_induct)
 case (1 i)
 have
   LB: "0 < i" and UB: "i < length assigned" and US: "i < length spoken" and
    IH: "\forall j \in \{1 ... < i\}. spoken ! j = assigned ! j"
    using 1 spoken_length by auto
 let ?heard = "take i spoken"
 let ?seen = "drop (Suc i) assigned"
 have heard: "?heard = spoken ! 0 # map (op ! assigned) [Suc 0 ..< i]"
    using IH take_map_nth[OF less_imp_le, OF US] range_extract_head[OF LB] by auto
 let ?my_order = "rejected # ?heard @ assigned ! i # ?seen"
 have initial_order: "?my_order = initial_order"
   unfolding initial_order heard
   apply (simp add: UB Cons_nth_drop_Suc)
   apply (subst drop_map_nth[OF less_imp_le_nat, OF UB])
   apply (subst drop_map_nth[OF Suc_leI[OF exists]])
   apply (subst map_append[symmetric])
   apply (rule arg_cong[where f="map _"])
   apply (rule range_app)
   using UB LB less_imp_le Suc_le_eq by auto
 have distinct_my_order: "distinct ?my_order"
    using distinct_initial initial_order by simp
 have set_my_order: "set ?my_order = {0..length assigned}"
    using set_initial initial_order by simp
 have set: "set (?heard @ ?seen) = {0..length assigned} - {rejected, assigned ! i}"
   apply (rule subset_minusI)
    using distinct_my_order set_my_order by auto
 have len: "1 + length (?heard @ ?seen) = length assigned"
    using LB UB heard by simp
 have candidates: "candidates (?heard @ ?seen) = {rejected, assigned ! i}"
   unfolding candidates_def len set
   unfolding Diff_Diff_Int subset_absorb_r
   unfolding assign[symmetric]
   unfolding rejected
    using UB exists by auto
 show ?case
    apply (simp only: spoken_choice[OF UB] choice_def candidates)
   apply (subst sorted_list_of_set_distinct_pair)
    using distinct_my_order apply auto[1]
   apply (cases "assigned ! i < rejected"; clarsimp)
    apply (subst (asm) parity_swap[of _ _ _ "[]", simplified])
```

```
apply (simp add: distinct_my_order[simplified])
        unfolding initial_order
        \mathbf{using}\ parity\_initial
        by auto
  qed
\quad \mathbf{end} \quad
\quad \mathbf{end} \quad
end
lemma choices_correct:
  "i \in {1 ..< length assigned} \Longrightarrow choices assigned ! i = assigned ! i"
  apply (rule spoken_correct) by auto
lemma choices_distinct: "distinct (choices assigned)"
  \mathbf{proof} \ (\texttt{cases "0 < length assigned"})
    {\bf case}\ {\it True}\ {\bf show}\ {\it ?thesis}
    apply (clarsimp simp: distinct_conv_nth_less choices_length)
    apply (case_tac "i = 0")
    using True choices_correct spoken_0[OF _ True] distinct_pointwise
    by (auto split: if_splits)
    case False thus ?thesis using choices_length[of assigned] by simp
  qed
```