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THEOREM GENERALIZATION IN PROGRAM VERIFICATION.(U)

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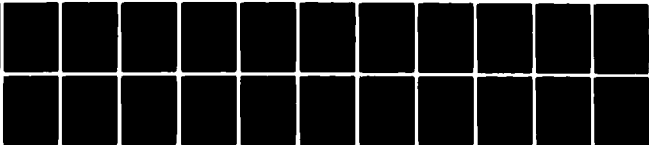
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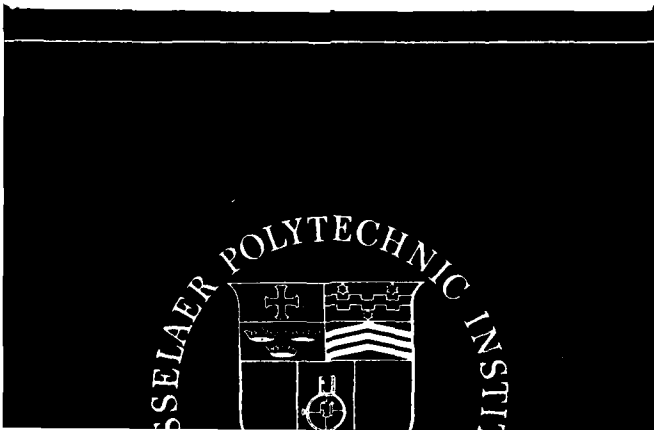
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Technical Report CS-8102

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IN PROGRAM VERIFICATION.

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Prepared for

U.S. Office of Naval Research  
Contract Number N00014-75-C-1026

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SEP 4 1981

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## 1. INTRODUCTION

This paper deals with the generalization of theorems arising in program verification. The theorems of concern here are mostly about the properties of recursively defined functions (derived from program definitions), and their proof involves the use of induction. In proving such theorems, we have to confront three questions: How to find the variables or structures on which to carry out induction, how to choose an appropriate induction schema, and how to find its correct instantiation.

Intuitively, recursion and induction are complementary (see Boyer and Moore [2]): Recursion starts with some structure and decomposes it until some basic structure is obtained; induction starts with some basic structure and builds up. This duality can be used for solving the problems of setting up the induction: we have to induct on those structures that are being recursively decomposed by the function ([1,2]).

In trying to prove theorems about recursively defined functions, it often happens that the induction step fails, that is, the theorem is not strong enough to carry itself through the induction. In such cases we try to find a more general theorem, which should be easier to prove than the one in which we are actually interested. The discovery of helpful generalizations requires a deep understanding of the function's performance. Some heuristics for generalization are based on the analysis of the functions involved: we try to understand the roles being played by the arguments in the computation of the function, and we try to use this knowledge for generalization. This type of heuristics is exemplified by the method of Greif and Waldinger [4], where the symbolic execution of the program for its first few terms is followed by pattern matching to find a closed form expression which generates the series so obtained. Other types of heuristics are represented by the method discovered by Boyer and Moore [2]. Here, expressions common to both sides of equality are replaced with a new variable. It is quite a simple and powerful heuristics that seems to work well for simple list-manipulating functions.

Consider the programs containing iterations. In such programs, some variables are used to accumulate results and are usually initialized with constant values. In the functional definitions obtained from such programs, these variables turn into auxiliary arguments with constant values, or, in the words of Wegbreit [11], specialized arguments. These arguments do not play any role in the functional definition and yet their contribution to the function computation is essential. The effect of their replacement by variable arguments must be understood well if we are to carry out by induction the proof of

some property relevant to such a function.

Since we are given some functional definition and some theorems about the functions so defined, we can, possibly, change either of these to make induction work. Hence we will study two ways to handle the problem caused by argument specialization:

Theorem Generalization Replacing the constant argument by a variable such that a more general theorem than the given one may be provable by induction. We describe how to generalize theorems about two typical classes of functions.

Function Redefinition While the above method removes a specialization by creating a new, stronger theorem, function redefinition uses the specialization by creating a new definition from which all specialized arguments are effectively deleted. This requires a total rearrangement of the computation: it is not a syntactic manipulation. We describe the redefinition procedure for two classes of programs.

There is a duality between the problem of finding invariant assertions and the problem of finding theorem generalization. It is shown in [10,11] that for certain class of functions and theorems, these problems are indeed equivalent: one can get an invariant assertion if one knows the generalization, and vice versa. As a side-benefit of our generalization strategy, we show how to obtain invariant assertions in certain cases.

## 2. BASIC NOTATION AND DEFINITIONS

For defining functions we use the notation of recursive schemas (Manna [5]).

Our usage of letters is as follows:

F,G,H,f,g,h	to denote functions
x,y,z,u,v,w	to denote variables
p,q	to denote variables
c	to denote constants

Subscripts and superscripts may be also added to the letters.

Furthermore we use

IF p THEN e1 ELSE e2	for conditional expressions
e1 <= e2	for defining functions (or predicates) e1 by the expression e2

Subscripts and superscripts may be also used.

Basically, functions are either instances of the recursion schema

$$F(y) \leq \text{IF } p(y) \text{ THEN } f(y) \\ \text{ELSE } h(y, F(g(y)))$$

or of the composition schema

$$F(y) \leq h(y, g(y))$$

where  $f, g, h$  are previously defined functions.

Depending on the domain there is a number of basic functions and basic constants; for example:

#### List theory

basic functions: CONS, CDR, CAR, EQUAL, ATOM  
basic constant: NIL

#### Number theory

basic functions: SUCC, PRED, =  
basic constant: 0

Sometimes we will use well-known arithmetic functions and abbreviations without giving their explicit definitions.

In general we use unsubscripted letters to denote vectors and subscripted ones to denote the components of a vector. We use angular brackets to denote the explicit formation of a vector, and indexing for decomposition. Thus,  $x$  denotes the vector of variables  $\langle x_1, x_2, \dots, x_n \rangle$  for some fixed  $n$ . Further, we reserve letters  $x, y, z$  for the following special purpose: function  $F$  takes the input vector  $x$ , computes on the auxiliary state vector  $y$  and returns the output vector  $z = F(x)$  as the function value.  $c$  denotes a constant vector.

We will not define how to obtain the value of a function when applied to an argument. For our purpose, an intuitive understanding of this process is sufficient (for a detailed discussion see Manna and Pnuelli [6]).

An important subclass of functions is obtained by instantiations of the iterative schema

$$F(y, y') \leq \text{IF } p(y) \text{ THEN } y' \\ \text{ELSE } F(f(y), g(y, y')) \quad (1)$$

This type of functions is obtained when we translate simple programs from a language with iteration (see McCarthy[7]). For instance, the program schema:

```
WHILE p(y) DO (y,y') := (f(y),g(y,y')) OD;      (2)
RESULT := y'
```

where := denotes concurrent assignment, will be translated into the above-mentioned function.

The variable  $y$  tested in the termination condition is a recursion variable. Following Moore [9],  $y'$  is called an accumulator because "if a function modifies an argument during (some) recursive call but does not test the argument in the termination condition, the program considers that variable to be an accumulator".

### 3. THEOREM GENERALIZATION

#### 3.1 Generality of Theorems

Suppose that we wish to prove by induction a theorem Th about the function  $F$ , defined over the domain of natural numbers, as an instance of the recursion schema

$$F(y) \Leftarrow \text{IF } p(y) \text{ THEN } g(y) \text{ ELSE } h(y, F(n(y))) \quad (3)$$

To prove  $\text{Th}(F(x))$  by mathematical induction we have to prove

- 1) Basis:  $\text{Th}(F(0))$
- 2) Induction step:  $\text{Th}(F(x)) \rightarrow \text{Th}(F(\text{Succ}(x)))$

Usually the basis can be proven by evaluating  $F(0)$ , but the induction step turns out to be more difficult. To simplify the conclusion in the induction step, we may evaluate  $F(\text{Succ}(x))$ :

$$F(\text{Succ}(x)) = \text{IF } p(\text{Succ}(x)) \text{ THEN } g(\text{Succ}(x)) \\ \text{ELSE } h(\text{Succ}(x), F(n(\text{Succ}(x))))$$

Because the hypothesis is about  $F(x)$ , namely  $\text{Th}(F(x))$ , we have to express  $F(n(\text{Succ}(x)))$  in terms of  $F(x)$ , and if  $n$  is different from the predecessor function it is not at all obvious what to do next. So we can see that mathematical induction, which serves best for proofs of theorems about functions defined by primitive recursive schema, is not always suitable for proofs of theorems about functions defined by recursive schema (3). For carrying out inductive proofs for functions defined by the recursive schema (3), we must, in order to simplify the conclusion in the

induction step, take into the account the way in which the function  $F$  is computed.

Let us observe the evaluation of  $F(x)$ :

$$\begin{aligned} F(x) &= h(x, F(n(x))) = h(x, h(n(x), F(n(n(x)))))) \\ &= \dots = h(x, h(n(x), \dots, h(n^{(k-1)}(x), F(n^{(k)}(x)))))) \end{aligned}$$

The values of  $F$  form the sequence

$$x, n(x), n(n(x)), \dots, n^{(k)}(x)$$

where  $k = \min\{j \mid p(n^{(j)}(x))\}$ .

Thus we can use the following induction rule to prove  $\text{Th}(F(x))$ .

Basis:  $\text{Th}(F(n^{(k)}(x)))$

Induction step:  $\text{Th}(F(n^{(j+1)}(x))) \rightarrow \text{Th}(F(n^{(j)}(x)))$  for all  $j < k$

The schema (3) and the relation  $k = \min\{j \mid p(n^{(j)}(x))\}$  allow us to obtain the following simpler and stronger rule, that we will refer to as the case induction rule.

### Case Induction Rule

Let a total function  $F$  be defined as an instance of the recursion schema

$$F(y) \Leftarrow \text{IF } p(y) \text{ THEN } g(y) \text{ ELSE } h(y, F(n(y)))$$

Then a theorem  $\text{Th}(F(x))$  about  $F$  holds if and only if both of the following conditions are satisfied:

- a) Basis:  $p(y) \rightarrow \text{Th}(F(y))$   
 b) Induction step:  $\neg p(y) \ \& \ \text{Th}(F(n(y))) \rightarrow \text{Th}(F(y))$  (4)

If function  $F$  is a total function then the conditions a) and b) are not only sufficient, as follows from the above discussion, but also necessary. This can be proved by contradiction as follows:

Suppose  $\text{Th}(F(x))$  holds for all  $x$ , but either a) or b) do

not hold, then

If  $p(y) \rightarrow Th(F(y))$  is false for some  $y_0$  then  $Th(F(y_0))$  must be false, since  $Th(F(y_0))$  is defined for all  $y$ . This contradicts the assumption that  $Th(F(x))$  is true for all  $x$ .

If  $\neg p(y) \& Th(F(n(y))) \rightarrow Th(F(y))$  is false for a  $y_0$ ,  $Th(F(y_0))$  must be false, resulting in the same contradiction.

Thus, if the function  $F$  is total, the conditions a) and b) are not only sufficient but also necessary in order for  $Th(F(x))$  to be true.

For functions defined by the recursion schema, the case induction rule (4) is easier to use than mathematical induction, because the evaluation of  $F(y)$  on the right-hand side of the implication gives us the expression

$$\neg p(y) \& Th(F(n(y))) \rightarrow Th(IF p(y) THEN g(y) ELSE h(y, F(n(y))))$$

Since both sides of implication now contain the expression  $F(n(y))$ , it seems to be easier to simplify the conclusion using the hypothesis. This is why in the rest of this chapter, we use the case induction rule (4) to prove theorems by induction.

Suppose we have to prove the theorem

$$IN(x) \rightarrow F(x) = G(x)$$

where  $F$  is a function defined by an instance of the recursion schema (3),  $G$  is some other previously defined function and  $IN$  is a predicate describing the initial values of arguments of function  $F$ . Using case induction we have to prove

Basis:

$$p(x) \rightarrow (IN(x) \rightarrow F(x) = G(x))$$

which can be simplified into

$$p(x) \& IN(x) \rightarrow g(x) = G(x).$$

Induction step:

$$[\neg p(x) \& (IN(n(x)) \rightarrow F(n(x)) = G(n(x)))] \rightarrow [(IN(x) \rightarrow F(x) = G(x))]$$

which can be simplified into

$$[\neg p(x) \& IN(x) \& (IN(n(x)) \rightarrow F(n(x)) = G(n(x)))] \rightarrow [F(x) = G(x)]$$

or

$$[p(x) \ \& \ IN(x) \ \& \ (IN(n(x)) \rightarrow F(n(x)) = G(n(x)))] \rightarrow [h(x, F(n(x))) = G(x)]$$

To simplify the conclusion  $h(x, F(n(x))) = G(x)$ , we have to use the assumption  $IN(n(x)) \rightarrow F(n(x)) = G(n(x))$ . Now, if  $IN(n(x))$  is not true, then we do not know anything about the relation between  $F(n(x))$  and  $G(n(x))$  to simplify the conclusion. But if  $IN(n(x))$  happens to be true because of  $\neg p(x)$  and  $IN(x)$ , then the assumption  $F(n(x)) = G(n(x))$  can be used in simplifying the conclusion, and the theorem to prove would be

$$\neg p(x) \ \& \ IN(x) \rightarrow h(x, G(n(x))) \rightarrow G(n(x)).$$

Thus if  $\neg p(x) \ \& \ IN(x) \rightarrow IN(n(x))$  holds, then we can use the assumption to simplify the conclusion. In other words the theorem in this case is strong enough to carry itself through the induction.

To sum up the discussion, we state the following theorem:

**THEOREM 1:** If a predicate  $IN$  satisfies the condition

$$IN(x) \ \& \ \neg p(x) \rightarrow IN(n(x)) \quad (5)$$

and the function  $F$  defined by (3) above is total on the domain specified by  $IN$ , then the property

$$IN(x) \rightarrow F(x) = G(x)$$

holds iff both

- a)  $p(x) \ \& \ IN(x) \rightarrow g(x) = G(x)$
- b)  $\neg p(x) \ \& \ IN(x) \rightarrow h(x, G(n(x))) = G(x)$

are true.

**PROOF:**

$\leftarrow$  ) By case induction.

**Basis:** We have to prove that

$$p(x) \ \& \ IN(x) \rightarrow F(x) = G(x)$$

but this is immediate from the definition of  $F$ .

**Induction step:** We have to prove that

$$[\neg p(x) \& (IN(n(x)) \rightarrow G(n(x)) = F(n(x)))] \rightarrow [IN(x) \rightarrow G(x) = F(x)]$$

- 1  $\neg p(x) \& IN(x) \rightarrow h(x, G(n(x))) = G(x)$  assumption B
- 2  $\neg p(x) \& IN(n(x)) \& G(n(x)) = F(n(x)) \rightarrow h(x, F(n(x))) = G(x)$   
from 1 using properties of  $\rightarrow$  and  $\&$
- 3  $\neg p(x) \& [IN(x) \& IN(n(x)) \& G(n(x)) = F(n(x))] \rightarrow$   
 $[h(x, F(n(x))) = G(x)]$   
from 2 and (5) using properties of  $\rightarrow$  and  $\&$
- 4  $\neg p(x) \& [IN(n(x)) \rightarrow G(n(x)) = F(n(x))] \rightarrow [IN(x) \rightarrow G(x) = F(x)]$   
from 3 and def. of F, using properties of  $\rightarrow$  and  $\&$

$\rightarrow$  ) By case analysis

CASE 1:  $p(x)$  is true.

We have to prove that

$$p(x) \& IN(x) \rightarrow g(x) = G(x)$$

But this is immediate from the definition of F.

CASE 2:  $\neg p(x)$  is true.

We have to prove

$$\neg p(x) \& IN(x) \rightarrow h(x, G(n(x))) = G(x)$$

- 1  $\neg p(x) \& IN(x) \rightarrow h(x, F(n(x))) = G(x)$   
from assumptions and def. of F using  
properties of  $\&$  and  $\rightarrow$
- 2  $\neg p(x) \& IN(n(x)) \rightarrow \neg p(x) \& F(n(x)) = G(n(x))$   
from assumptions with instantiation of  $x$  as  $n(x)$  using  
properties of  $\&$  and  $\rightarrow$
- 3  $\neg p(x) \& IN(x) \rightarrow \neg p(x) \& IN(n(x))$   
from (5) using properties of  $\&$  and  $\rightarrow$
- 4  $\neg p(x) \& IN(x) \rightarrow \neg p(x) \& F(n(x)) = G(n(x))$   
from 3 and 2
- 5  $\neg p(x) \& IN(x) \rightarrow \neg p(x) \& G(n(x)) = F(n(x))$   
 $\& h(x, F(n(x))) = G(x)$   
from 4 and 1 using properties of  $\rightarrow$  and  $\&$
- 6  $\neg p(x) \& IN(x) \rightarrow h(x, G(n(x))) = G(x)$   
from 5 using properties of  $\rightarrow$  and  $\&$ .

Essentially, the condition

$$\neg p(x) \& IN(x) \rightarrow IN(n(x))$$

is a requirement that IN, the input specification, is strong enough to describe all possible values that the arguments of F can take on during the computation. For example, consider the

case of the theorem

$$F(x,1) = x!$$

where we define

$$F(y_1, y_2) \leq \text{IF } y_1 = 0 \text{ THEN } 1 \text{ ELSE } F(y_1-1, y_1*y_2)$$

In this case

$$\begin{aligned} p(y_1, y_2) &\leq y_1=0 \\ \text{IN}(y_1, y_2) &\leq y_1 \text{ is INT \& } y_2 = 1 \\ n(y_1, y_2) &\leq \langle y_1-1, y_1*y_2 \rangle \\ \text{IN}(y_1, y_2) &= (y_1 \text{ is INT \& } y_2 = 1) \end{aligned}$$

where INT denotes the domain of integers. Condition (5) is not satisfied because

$$\neg p(x) \& \text{IN}(x) \rightarrow \text{IN}(n(x))$$

or

$$[y_1 \text{ is INT \& } y_2=1 \& (y_1 \neq 0)] \rightarrow [(y_1-1) \text{ is INT \& } y_1*y_2=1]$$

or

$$[y_1 \text{ is INT \& } y_2=1 \& (y_1 \neq 0)] \rightarrow [(y_1-1) \text{ is INT \& } y_1*1=1]$$

is not true. The reason is that  $y_2$  is too specialized.

But suppose the theorem and the input specification were to be generalized to be, respectively

$$\begin{aligned} F(x, y) &= y*x! \\ \text{IN}(y_1, y_2) &\leq [y_1 \text{ is INT \& } y_2 \text{ is INT}] \end{aligned}$$

Now condition (5) below clearly holds:

$$\begin{aligned} \text{IN}(y_1, y_2) &= (y_1 \text{ is INT \& } y_2 \text{ is INT}) \\ [y_1 \neq 0 \& (y_1 \text{ is INT \& } y_2 \text{ is INT})] &\rightarrow [(y_1-1) \text{ is INT} \\ &\quad \& (y_1*y_2) \text{ is INT}] \end{aligned}$$

Thus, the input specification IN, must be general enough to satisfy (5). In other words (5) is the criterion for judging whether a certain theorem generalization strategy is useful. If, using the specific generalization strategy, we make it more likely to satisfy condition (5), then that strategy is useful. We do not intend to check whether a specific theorem is strong enough; this we leave to the proof process itself. Our theorem is a special case of the theorem given by Wegbreit [11] but is a more general version than the one given by Misra [8]. In their

papers it was shown moreover that if a function  $F$ , total on the domain specified by  $IN$ , satisfies the conditions

- 1)  $IN(x) \rightarrow F(x) = G(x)$
- 2)  $\neg p(x) \ \& \ IN(x) \rightarrow IN(n(x))$

then a correct invariant assertion is

$$IN(y) \ \& \ G(x) = G(y)$$

Thus, to obtain the invariant assertion for a program in which the input specification is not strong enough, we can first use a generalization strategy to strengthen  $IN$  and then construct the invariant assertion.

### 3.2 Generalization Scheme I

Suppose we have to prove

$$F(x_1, 1) = x_1! \tag{6}$$

where  $F$  is defined:

$$F(y_1, y_2) \Leftarrow \text{IF } y_1=0 \text{ THEN } y_2 \text{ ELSE } F(y_1-1, y_1*y_2)$$

To prove this theorem by induction we have to establish

Basis:  $F(0, 1) = 0!$

Induction Step:  $F(x_1, 1) = x_1! \rightarrow F(x_1+1, 1) = (x_1+1)!$

For basis, we just start with the left-hand-side and substitute the definition of  $F$ .

$$F(0, 1) = \text{IF } (0=0) \text{ THEN } 1 \text{ ELSE } F(0-1, 0*1) = 1=0!$$

This verifies the basis. Now let us try the induction step.

$$\begin{aligned} F(x_1+1, 1) &= \text{IF } (x_1+1=0) \text{ THEN } 1 \text{ ELSE } F(x_1+1-1, (x_1+1)*1) \\ &= F(x_1, x_1+1), \end{aligned}$$

since  $x_1+1 \neq 0$  for any natural number. But now we realize that we are stuck as the induction hypothesis does not help us. It would let us simplify  $F(x_1, 1)$  but not  $F(x_1, x_1+1)$ .

But instead of proving (6) directly, let us try to prove its following generalization.

$$F(x_1, x_2) = x_1*x_2$$

The proof by induction on  $x_1$  goes very smoothly. For the basis,

we just use the definition of F to obtain

$$\begin{aligned} F(0,x_2) &= \text{IF } (0=0) \text{ THEN } x_2 \text{ ELSE } F(x_1-1,0*x_2) = x_2 \\ &= 1*x_2 = 0!*x_2 \end{aligned}$$

For the induction step, we assume  $F(x_1,x_2) = x_1*x_2$ , and then we try to prove  $F(x_1+1,x_2) = (x_1+1)! * x_2$ .

$$\begin{aligned} F(x_1+1,x_2) &= \text{IF } (x_1+1=0) \text{ THEN } x_2 \text{ ELSE } F(x_1+1-1,(x_1+1)*x_2) \\ &= F(x_1,(x_1+1)*x_2), \text{ since } x_1+1 \neq 0 \text{ for any natural} \\ &\quad \text{number} \\ &= x_1!*(x_1+1)*x_2, \text{ by induction hypothesis} \\ &= (x_1+1)!*x_2 \end{aligned}$$

Hence the theorem  $F(x_1,x_2) = x_1!*x_2$  has been established. The weaker theorem  $F(x_1,1) = x_1!$  is just the special case  $x_2=1$  of the theorem  $F(x_1,x_2) = x_1!*x_2$ .

The situation described above is quite common. In a program using iteration, some of the arguments are used as help arguments. Their initial values are usually constant and therefore they will play no role in the original description of the function properties, yet their contribution to the computation is essential and must be understood and expressed in the theorems about function properties. Ideally, the initial values of arguments of a function should be as mutually independent and as general as possible.

In general, suppose we have to prove

$$F_1(x,c) = F_2(x) \tag{7}$$

where  $F_1$  is an instance of iteration schema

$$F(y,y') \leftarrow \text{IF } p(y) \text{ THEN } y' \text{ ELSE } F(f(y),g(y,y'))$$

Then we observe that the final value of  $y'$  (and therefore the value of  $F_1(x,c)$ ), is built up by repeated application of the function  $g$ . The final value of  $y'$  is thus

$$t(i) = g(f(x), g(f(x), \dots g(f(x), g(x,c))))$$

where  $f^i$  denotes  $f(f(f\dots(x)))$  with  $i$  applications of  $f$ . Suppose we like to generalize (7) by replacing  $c$  with  $h_1(z,c)$  where  $z$  is a new variable. Then the final value of  $y'$  will be

$$g(f(x), g^{(i-1)}(f(x), \dots, g(x, h1(c, z))))$$

Now suppose we can find two functions  $h1$  and  $h2$  with the property

$$g(u, h1(v, w)) = h1(g(u, v), h2(u, v, w)) \quad (8)$$

Then

$$\begin{aligned} g(u, g(u', h1(v, w))) &= g(u, h1(g(u', v), h2(u', v, w))) \\ &= h1(g(u, g(u', v)), h2(u, v, h2(u, v, w))) \end{aligned}$$

In other words if we can find a pair of functions  $h1$  and  $h2$  with the property (8) then the final value of  $y'$  is

$h1(t(i),$

$$\begin{aligned} &h2(f(x), t(i-1), h2^{(i-1)}(f(x), t(i-1), \dots, \\ &h2^2(f(x), t(1), h2(f(x), g(x, c), h2(x, c, z)))))) \end{aligned} \quad (9)$$

The first argument of  $h1$ ,  $t(i)$  is equal to  $F1(x, c)$ , and the second argument of  $h1$  is the iteration of  $h2$  with the first and second arguments having the same values as they have during the evaluation of  $F1$ . Using the definition of  $F1$ , we can define a new function  $F3$  so that  $F3(x, c, z)$  equals the second argument of  $h1$  in (9). This  $F3$  is defined as follows.

$$F3(y, y', y'') \Leftarrow \text{IF } p1(y) \text{ THEN } y'' \\ \text{ELSE } F3(f(y), g(y, y'), h2(y, y', y''))$$

Now the generalization of a theorem should be an expression which

- a) we believe is in fact a theorem
- b) has the original theorem as an instance
- c) is easier to prove

We suggest

$$F1(x, h1(c, z)) = h1(F2(x), F3(x, c, z))$$

as a generalization of (7). It has all the above mentioned properties, as the following theorem shows.

**THEOREM 2:** Let  $g, f, F2$  be some previously defined functions,  $F1$  be defined by the iteration schema

$$F1(y, y') \leq \text{IF } p(y) \text{ THEN } y' \text{ ELSE } F1(f(y), g(y, y'))$$

and F3 be defined by

$$F3(y, y' y'') \leq \text{IF } p(y) \text{ THEN } y'' \\ \text{ELSE } F3(f(y), g(y, y'), h2(y, y' y''))$$

If

$$F1(x, c) = F2(x)$$

and there exist functions h1 and h2 satisfying

$$g(u, h1(v, w)) = h1(g(u, v), h2(u, v, w))$$

then

$$F(x, h1(c, z)) = h1(F2(x), F3(x, c, z)) \quad (10)$$

holds.

LEMMA 1: Under the conditions and definitions of THEOREM 2, it is the case that

$$F1(x, h1(w, z)) = h1(F1(x, w), F3(x, w, z))$$

PROOF: By case induction.

Basis: We have to prove

$$p(x) \rightarrow h1(w, z) = h1(w, F3(x, w, z))$$

This we do as follows

- 1  $p(x)$  assumption
- 2  $F1(x, h1(w, z)) = h1(w, z)$  from 1 and def. of F1
- 3  $= h1(F1(x, w), F3(x, w, z))$  from 1 and def. of F1 and F3

Induction step: We have to prove

$$[\neg p(x) \ \& \ F1(f(x), h1(w, z)) = h1(F1(f(x), F3(f(x), w, z)))] \\ \rightarrow [F(x, h1(w, z)) = h1(F1(x, F3(x, w, z)))]$$

This we do as follows:

- 1  $\neg p(x) \ \& \ F1(f(x), h1(w, z)) = h1(F1(x, w), F3(x, w, z))$  assumption
- 2  $F1(x, h1(w, z)) = F1(f(x), g(x, h1(w, z)))$  from 1 and def. of F1
- 3  $= F1(f(x), h1(g(x, w), h2(x, w, z)))$

$$\begin{aligned}
 & \text{from (8)} \\
 4 & = \text{hl}(\text{F1}(f(x),g(x,w)),\text{F3}(f(x),g(x,w),h2(x,wz))) \\
 & \quad \text{from 1 (instantiate w as } g(x,w) \text{ and z as } (f2(x,w,z)) \\
 5 & = \text{hl}(\text{F1}(x,w),\text{F3}(x,w,z)) \\
 & \quad \text{from def. of F1 and F3}
 \end{aligned}$$

PROOF OF THEOREM 2

$$\begin{aligned}
 1 & \text{ F1}(x,\text{hl}(c,z)) = \text{hl}(\text{F1}(x,c),\text{F3}(x,c,z)) \\
 & \quad \text{from LEMMA 1 (instantiate w as c)} \\
 2 & \text{ F1}(x,\text{hl}(c,z)) = \text{hl}(\text{F2}(x),\text{F3}(x,c,z)) \\
 & \quad \text{from 1 and assumption } \text{F1}(x,c)=\text{F2}(x)
 \end{aligned}$$

The condition

$$g(u,\text{hl}(v,w)) = \text{hl}(g(u,v),h2(u,v,w))$$

does not guarantee that the original expression is an instance of the original theorem. In general, it is difficult to state how to derive  $h1$  and  $h2$  so that the original theorem is an instance of the more general expression (10). Nevertheless, we can say what a sufficient condition is.

THEOREM 3: Under the definitions and conditions of the THEOREM 2, a sufficient condition that  $\text{F1}(x,c) = \text{F2}(x)$  is an instance of  $\text{F1}(x,\text{hl}(c,z) = \text{hl}(\text{F2}(x),\text{F3}(x,c,z)))$  is that for all  $u$  and  $v$ , there exists a  $z$  such that

$$(\text{hl}(u,z) = u \ \& \ h2(u,v,z) = z) \quad (11)$$

PROOF :

Let  $z_0$  be the value of  $z$  satisfying (11). Then

$$\begin{aligned}
 \text{F1}(x,\text{hl}(c,z_0)) &= \text{F1}(x,c) \\
 \text{hl}(\text{F2}(x),\text{F3}(x,c,z_0)) &= \text{hl}(\text{F2}(x),z_0) = \text{F2}(x)
 \end{aligned}$$

Thus, for  $z=z_0$ ,  $\text{F1}(x,\text{hl}(c,z))=\text{hl}(\text{F2}(x),\text{F3}(x,c,z))$  can be simplified to  $\text{F1}(x,c)=\text{F2}(x)$ .

Although (11) is not a necessary condition, experience indicates that it is a natural and easily satisfied requirement.

Using a new variable  $z$  gives us the opportunity to instantiate the accumulator and therefore increase the likelihood that we will be able to match the accumulators in the hypothesis and in the conclusion. Formally, to guarantee that (10) is a useful generalization, we must have

$$\neg p(x) \ \& \ \text{IN}(x) \ \rightarrow \ \text{IN}(n(x))$$

Let  $R$  denote the range of a function and  $D$  its domain then this condition can be written as

$$[\neg p(y) \& (y \text{ in } D) \& (z \text{ in } D) \& (y' \text{ in } R(h_1(c, z)))] \rightarrow [(g(y, y') \text{ in } R(h_1(c, z)))]$$

It cannot, of course, be guaranteed that an  $h_1$  satisfying (5) will also satisfy the above condition, but the chance that this will happen is always there. In those cases when  $h_1(c, z) = z$ , (5) is always satisfied, namely:

$$[\neg p(y) \& (y \text{ in } D) \& (z \text{ in } D) \& (y' \text{ in } D)] \rightarrow [g(y, y') \text{ in } D]$$

This suggests a possible way of finding function  $h_1$ : depending upon the domain, we know which are identity constants for certain functions (0 is an identity for +, 1 for \*, etc), so depending upon the constants certain functions suggest themselves as candidates for  $h_1$ . The question naturally arises how to find functions  $h_1$  and  $h_2$  more systematically. The functions  $h_1$  and  $h_2$  depend on  $g$  and very often the function  $g$  itself, its some modification or its constituent functions are suitable candidates for  $h_1$  and  $h_2$ . for example if  $g$  is such that

$$\begin{aligned} g(u, g(v, w)) &= g(g(u, v), w) \\ g(c, z) &= z \end{aligned}$$

Then  $h_1$  is  $g$  itself and  $h_2(u, v, w) = w$ . Or, if

$$\begin{aligned} g(u, g(v, w)) &= g(v, g(u, w)) \\ g(c, z) &= z \end{aligned}$$

then  $h_1(u, v) = g(v, u)$  and  $h_2(u, v, w) = w$ .

At present, we do not know how to find  $h_1$  and  $h_2$  more systematically, (if they exist at all), but practical experience has convinced us that very often there are natural candidates for such functions. We hope that forthcoming examples will be convincing enough.

### Summary

To generalize the accumulator in theorems of the type

$$F_1(x, c) = F_2(x)$$

where  $F_1$  is defined by iteration schema

$$F_1(y, y') \leq \text{IF } p(y) \text{ THEN } y' \text{ ELSE } F_1(f(y), g(y, y')),$$

first we have to find functions  $h_1$  and  $h_2$  having the properties

$$g(u, h_1(v, w)) = h_1(g(u, v), h_2(u, v, w))$$

For some  $z$ :  $(h_1(u, z) = u \ \& \ h_2(u, v, z) = z)$

Then the generalization is

$$F_1(x, h_1(c_1, z)) = h_1(F_2(x), F_3(x, c_1, z))$$

where  $F_3$  is defined by

$$F_3(y, y', y'') \leq \text{IF } p(y) \text{ THEN } y'' \\ \text{ELSE } F_3(f(y), g(y, y'), h_2(y, y', y''))$$

Remark

Although we have only considered theorems of the type

$$F_1(x, c_1) = F_2(x),$$

all the results and methods can also be used for more complicated cases, e.g.

$$F_1(m(x), k(x)) = F_2(x)$$

Example 1: Let  $F_1$  be defined by

$$F_1(y_1, y_2) \leq \text{IF } (y_1 = 0) \text{ THEN } y_2 \\ \text{ELSE } F_1(y_1 - 1, y_1 * y_2)$$

Then

$$g(y_1, y_2) \leq y_1 * y_2$$

and we can choose

$$h_1(y_1, y_2) \leq y_1 * y_2 \quad h_2(y_1, y_2, y_3) \leq y_3.$$

Now (8) is satisfied because

$$g(u, h_1(v, w)) = u * (v * w) = (u * v) * w = h_1(g(u, v), h_2(u, v, w))$$

and condition (11) is satisfied for  $z=1$ . The generalization of

$$F_1(x, 1) = x!$$

is then

$$F_1(x, h_1(1, z)) = h_1(x!, F_3(x, 1, z))$$

where

$$F3(y1, y2, y3) \leq \text{IF } (y1=0) \text{ THEN } y3 \text{ ELSE } F3(y1-1, y1*y2, y3)$$

Since  $h2$  is the identity function,  $F3(y1, y2, y3) \leq y3$ .  
Therefore, substituting for  $h1$ , the generalization becomes

$$F1(x, z) = x! * z$$

Example 2: Let  $F1(y1, y2, y3)$  be defined by

$$F1(y1, y2, y3) \leq \text{IF } (y1 = 0) \text{ THEN } y3 \\ \text{ELSE } F1(y1 \text{ div } 2, y2*y2, \\ \text{IF odd}(y1) \text{ THEN } y2*y3 \text{ ELSE } y3)$$

Then we have

$$f(y1, y2) \leq \langle y1 \text{ div } 2, y2*y2 \rangle \\ g(y1, y2, y3) \leq \text{IF odd}(y1) \text{ THEN } y2*y3 \text{ ELSE } y3$$

So we can choose  $h1$  and  $h2$  as

$$h1(y1, y2) \leq y1*y2 \qquad h2(y1, y2, y3, y4) \leq y4$$

Now we have

$$g(y1, y2, h1(y3, y4)) = \text{IF odd}(y1) \text{ THEN } y2*(y3*y4) \\ \text{ELSE } y3*y4 \\ = (\text{IF odd}(y1) \text{ THEN } y2 * y3 \text{ ELSE } y3) * y4 \\ = h1(g(y1, y2, y3), h2(y1, y2, y3, y4))$$

Therefore

$$F1(x2, x1, 1) = x1**x2$$

generalizes to

$$F1(x2, x1, z) = z*(x1**x2).$$

Example 3: Let  $F1$  be defined as follows:

$$F1(y1, y2) \leq \text{IF } y1 = \text{NIL} \text{ THEN } y2 \\ \text{ELSE } F1(\text{cdr}(y1), \text{car}(y1) + 2*y2)$$

Thus  $g$  is:

$$g(y1, y2) = \text{car}(y1) + 2*y2$$

so that

$$g(u, h1(v, w)) = \text{car}(u) + 2*h1(v, w).$$

On the other hand, we have

$$h1(g(u,v),h2(u,v,w)) = h1(car(u) + 2*v,h2(u,v,w))$$

So if we choose  $h1(y1,y2) = y1 + y2$  and  $h2(u,y2,y3) = 2*y3$ , then we will have

$$\begin{aligned} g(u,h1(v,w)) &= car(u) + 2*(v + w) = car(u) + 2*v + 2*w = \\ &= h1(g(u,v),h2(u,v,w)) \end{aligned}$$

F3 is then defined by

$$F3(y1,y2,y3) \leq \text{IF } y1 = \text{NIL THEN } y3 \\ \text{ELSE } F3(\text{cdr}(y1),car(y1)+2*y2,2*y3)$$

or, more simply by

$$F3(y1,y2) \leq \text{IF } y1 = \text{NIL THEN } y2 \\ \text{ELSE } F3(\text{cdr}(y1),2*y2)$$

Thus if the theorem to be proved is

$$F1(x,0) = \text{INTEGER}(x)$$

where INTEGER is some standard function translating a list of 0's and 1's into an integer, then this theorem can be generalized into

$$F1(x,w) = \text{INTEGER}(x) + F3(x,z)$$

### 3.2 Generalization Scheme II

Suppose we have to prove

$$F1(x,c,c') = F2(x) \tag{12}$$

where

$$F1(y1,y2,y3) \leq \text{IF } (y1=y2) \text{ THEN } y3 \\ \text{ELSE } F1(y1,f(y2),g(y2,y3)).$$

To prove this theorem, we have to carry out induction on  $y2$ . But this is impossible because the initial value of  $y$  is constant. Therefore we must generalize (12) by replacing  $c$  with a more general term. In previous heuristics, we replaced a constant with a function  $h(z)$  and then tried to find what is the influence of this change of initial value on the final result. It was easy to see how the change of initial value of an accumulator propagates through the whole computation, because of

the limited role played by an accumulator in the function execution. It is harder to apply the same strategy to the recursion variable. The initial value of the accumulator determines the depth of recursion and at each level of recursion, the value of a recursion variable contributes to the final result of the computation. Consequently, the change in the initial value of the induction variable has a much more complicated influence on the final result of the computation. So the choice of the function  $h$  must be more careful, and is in fact limited. A good strategy would be to replace  $c$  with an expression describing all possible values that the recursion variable can take on during the computation of  $F1(x, c, c')$ . Suppose we can derive the values of the recursion variable and the accumulator at the recursion depth  $z$ , say  $h(z)$  and  $G(z)$ , respectively. Now if (12) holds, then

$$F1(x, h(z), G(z)) = F2(x)$$

would be a good generalization.

The theorem in (12) could be proven by induction on  $z$  (which is, in fact, induction on the depth of recursion). So the question is how to find  $h(z)$  and  $G(z)$ . Observe that

$$\begin{aligned} F1(x, c, c') &= F1(x, f(c), g(c, c')) && \text{if } c \neq x \\ &= F1(x, f^2(c), g(f(c), g(c, c'))) && \text{if } f(c) \neq x \\ &\vdots \\ &= F1(x, f^i(c), g(f^{(i-1)}(c), g(f^{(i-2)}(c), \dots, g(c, c')))) && (13) \end{aligned}$$

$$\text{if } i \leq \max_i = \min\{j \mid f^j(c) = x\}$$

$$\text{Thus } G(i) = g(f^{(i-1)}(c), g(f^{(i-2)}(c), \dots, g(c, c')))$$

On the other hand if  $i > \max_i$ , then

$$\begin{aligned} F2(f^i(x)) &= F1(f^i(x), c, c') \\ &= F1(f^i(c), f(c), g(c, c')) \end{aligned}$$

$$\begin{aligned}
&= F1(f^i(c), f^2(c), g(f(c), g(c, c'))) \cdot \\
&\cdot \\
&\cdot \\
&= F1(f^i(c), f^i(c), g(f^{(i-1)}(c), g(f^{(i-2)}(c), \dots, g(c, c')))) \\
&= g(f^{(i-1)}(c), g(f^{(i-2)}(c), \dots, g(c, c'))) \\
&= G(i)
\end{aligned}
\tag{14}$$

Thus  $G(i)$  can be replaced by  $F2(f^i(c))$

**THEOREM 4:** Let  $F1$  be defined by (12), and  $F2$  be some previously defined function, then

$$0 \leq z \leq \max i) \rightarrow F1(x, h(z), F2(h(z))) = F2(x) \tag{15}$$

holds iff

$$F1(x, c, c') = F2(x)$$

holds, where

$$\max i = \min\{j \mid f^j(c) = x\}$$

$$h(z) \leq \text{IF } z = 0 \text{ THEN } c \text{ ELSE } f(h(z-1))$$

**PROOF**

<- ) by above motivation.

-> ) On substituting  $z = 0$ , (12) is obtained from (15).

The expression (15) is a suitable generalization of (12) if the predicate  $IN(y1, y2, y3)$  describing the possible initial values of variables  $y1$ ,  $y2$  and  $y3$  satisfies the condition

$$\neg p(x) \ \& \ IN(x) \rightarrow IN(n(x)).$$

$IN$  can be defined by

$$\begin{aligned}
IN(y1, y2, y3) \leq & (0 \leq z \leq \max i) \rightarrow (y2 = h(z) \ \& \ y3 = F2(y2)) \\
& \ \& \ (x \ \text{and } z \ \text{are natural numbers})
\end{aligned}$$

Intuitively,  $IN$  satisfies the condition (5) because it describes

all possible values of variables during the execution of  $F1(x, c, c')$ . Formally,

$$IN(y1, y2, y3) \ \& \ (y1 \neq y2) \ \rightarrow \ IN(y1, f1(y1), g(y1, y2))$$

If we assume that (12) holds, then the above is really the case which can be proved by substituting the definition of IN and using properties of  $\rightarrow$ .

Remark :

In the above discussion, we used the simplest case of theorem (12). In fact, the initial value of  $y2$  does not have to be constant. It can also be a function of  $x$ , say  $M(x)$ . But to be able to derive the value of the accumulator at the recursion depth  $z$ , it is useful when it is the case that

$$M(h(z, x)) = M(x) \quad \text{for all } 0 \leq z \leq \text{maxi}$$

where  $h$  is defined by

$$h(y1, y2) \leq \text{IF } (y2=0) \text{ THEN } M(y1) \text{ ELSE } f(h(y1, y2-1)).$$

For example, an  $M(x, z)$  which has this property is

$$M(y1) \leq \text{IF } p(y1) \text{ THEN } y1 \text{ ELSE } M(\text{If}(y1)),$$

where  $\text{If}$  is inverse of  $f$ , i.e.  $f(\text{If}(y1)) = y1$ . Now we can write

$$M(x) = M(\text{If}(x)) = M(\overset{2}{\text{If}}(x)) = \dots = M(\overset{\text{maxi}}{\text{If}}(x)) = \overset{\text{maxi}}{\text{If}}(x)$$

$$h(x, z) = \overset{z}{f}(\overset{\text{maxi}}{\text{If}}(x)) = \overset{(\text{maxi}-z)}{\text{If}}(x), \quad \text{for all } 0 \leq z \leq \text{maxi}$$

$$\text{and } M(h(x, z)) = M(\overset{(\text{maxi}-z)}{\text{If}}(x)) = \overset{(\text{maxi})}{\text{If}}(x) = M(x, z)$$

We can therefore generalize  $F(x, M(x), c') = F2(x)$  into

$$0 \leq z \leq \text{maxi} \rightarrow F1(x, h(x, z), F2(h(x, z))) = F2(x)$$

and, using the relation between  $f$  and  $\text{If}$ , this can be rewritten

$$(0 \leq z \leq \text{maxi}') \rightarrow F1(x, h'(x, z), F2(h'(x, z))) = F2(x),$$

where

$$h'(x, z) \leq \text{IF } z = 0 \text{ THEN } x \text{ ELSE } \text{If1}(h'(x, z)) \\ \text{maxi}' = \min\{i \mid p(h'(x, i))\}.$$

Example 4

$$F1(y1, y2, y3) \leq \text{IF } (y1 = y2) \text{ THEN } y3 \\ \text{ELSE } F1(y1, y2+1, (y2+1)*y3)$$

We define h as follows

$$h(z) \leq \text{IF } z = 0 \text{ THEN } 0 \text{ ELSE } h(z-1) + 1$$

or in other words,  $h(z) \leq z$ . So we can generalize  $F1(x, 0, 1) = x!$  into

$$(0 \leq z \leq x) \rightarrow F1(x, z, z!) = x!$$

because  $\text{max}_i = \min\{i \mid (i = x)\} = x$ .

Example 5: Let div denote integer division and mod denote the remainder after the integer division.

$$M(y1, y2) \leq \text{IF } y1 < y2 \text{ THEN } y2 \text{ ELSE } M(y1, 2*y2) \\ F1(y1, y2, y3, y4) \leq \text{IF } (y1 = y2 \text{ THEN } \langle y3, y4 \rangle \\ \text{ELSE IF } (y3 \geq y2 \text{ div } 2) \\ \text{THEN } F1(y1, y2 \text{ div } 2, y3 - y2 \text{ div } 2, 2*y4 + 1) \\ \text{ELSE } F1(y1, y2 \text{ div } 2, y3, 2*y4)$$

Since  $(2*y2) \text{ div } 2 = y2$ , we can apply the above method, generalizing

$$F1(x2, M(x1, x2), x1, 0) = \langle x1 \text{ mod } x2, x1 \text{ div } x2 \rangle$$

into

$$(0 \leq z \leq \text{max}_i) \rightarrow \\ F1(x2, h(x2, z), x1 \text{ mod } h(x2, z), x1 \text{ div } h(x2, z)) = \langle x1 \text{ mod } x2, x1 \text{ div } x2 \rangle$$

where  $h(y1, y2) \leq \text{IF } y2 = 0 \text{ THEN } y1 \text{ ELSE } 2*h(y1, y2-1)$ .

In a more standard notation,  $h(y1, y2) = 2^{\frac{y2}{y1}}$

and  $\text{max}_i$  is then  $\min\{i \mid 2^i * x2 > x1\}$

## 4. REDEFINITIONS

The reason why some theorems are not strong enough to carry themselves through induction is that the input specification is not general enough; that is the condition

$$\neg p(x) \ \& \ IN(x) \ \rightarrow \ IN(n(x))$$

is not satisfied. Theorem generalization removes this limitation by modifying IN. Another possible strategy is to try to redefine the function. We now describe how redefinition can be performed for two classes of programs.

Consider the example  $F(x,1) = x!$ , where F is defined by

$$F1(y1,y2) \ \Leftarrow \ \text{IF } y1=0 \ \text{THEN } y2 \ \text{ELSE } F1(y1-1,y1*y2))$$

The function F has two arguments, but we are interested in the behavior of F with one argument ( $y2$ ) very specialized in its use: its initial value is constant. For all purposes, F has degenerated into a one-variable function. So if we can translate  $F(x1,1)$  into a true one-argument function, it would become easier to manage.

Let  $F(x1,1) = F'(x1)$  where

$$F'(y1) \ \Leftarrow \ \text{IF } y1=0 \ \text{THEN } 1 \ \text{ELSE } y1 * F'(y1-1)$$

and let the theorem to prove be

$$F'(x1) = x1!$$

Now if  $F'(x) = x!$ , then we have

$$\begin{aligned} & F'(x1+1) \\ &= (x1+1) * F'(x1) && \text{from the def. of } F' \\ &= (x1+1) * x1! && \text{from the hypothesis} \\ &= (x1+1)! && \text{property of !} \end{aligned}$$

#### 4.1 Redefinition Scheme I

**THEOREM 5:** Let F1 be defined by iteration.

$$F1(y,y') \ \Leftarrow \ \text{IF } p(y) \ \text{THEN } y' \ \text{ELSE } F(f(y),g(y,y'))$$

Suppose we can find the functions  $h1$  and  $h2$  with the properties

$$g(z,c) = h1(c,z) \tag{16}$$

and

$$g(u, h1(v, w)) = h1(g(u, v), h2(w))$$

Then we can define functions F and F3 by

$$\begin{aligned} F(y) &\leq \text{IF } p(y) \text{ THEN } c \\ &\quad \text{ELSE } h1(F(f(y)), F3(f(y), y)) \\ F3(y, y') &\leq \text{IF } p(y) \text{ THEN } y' \\ &\quad \text{ELSE } F3(f(y), h2(y')) \end{aligned}$$

such that

$$F1(x, c) = F(x)$$

PROOF: By case induction.

Basis: Assume  $p(x)$  is true, then from the definitions of F and F3 it follows that

$$F(x) = c = F1(x, c).$$

Induction step:

Assume  $\neg p(x)$  and  $F(f(x)) = F1(f(x), c)$  then

$$\begin{aligned} F(x) &= h1(F(f(x)), F3(f(x), x)) && \text{from def. of } F \\ &= h1(F1(f(x), c), F3(f(x), c)) && \text{from assumption} \\ F1(x, c) &= F1(f(x), g(x, c)) && \text{from def. of } F1 \\ &= F1(f(x), h1(c, x)) && \text{from property (16)} \end{aligned}$$

Thus we have to prove

$$F1(f(x), h1(c, x)) = h1(F1(f(x), c), F3(f(x), c)).$$

But this is just an instance of LEMMA 1 with  $x$  instantiated as  $f(x)$ ,  $w$  as  $c$ , and  $z$  as  $x$ .

### Example 6

$$\begin{aligned} F1(y1, y2) &\leq \text{IF } y1 = \text{NIL} \text{ THEN } y2 \\ &\quad \text{ELSE } F(\text{cdr}(y1), \text{APPEND}(y2, \text{car}(y1))) \\ \text{APPEND}(y1, y2) &\leq \text{IF } \text{atom}(y1) \text{ THEN } y2 \\ &\quad \text{ELSE } \text{cons}(\text{car}(y1), \text{APPEND}(\text{cdr}(y1), y2)) \end{aligned}$$

and we have to redefine

$$F1(x, \text{NIL})$$

We proceed by defining

$$g(y_1, y_2) \leq \text{APPEND}(y_2, \text{car}(y_1))$$

We can choose  $h_1$  and  $h_2$  as

$$h_1(y_1, y_2) \leq \text{APPEND}(y_2, y_1) \text{ and } h_2(y_1, y_2, y_3) \leq y_3$$

because

$$\begin{aligned} g(u, h_1(v, w)) &= \text{APPEND}(\text{APPEND}(w, v), \text{car}(u)) \\ &= \text{APPEND}(w, \text{APPEND}(v, \text{car}(u))) = h_1(g(u, v), h_2(u, v, w)). \end{aligned}$$

Also

$$g(x, \text{nil}) = \text{APPEND}(x, \text{NIL}) = h_1(\text{NIL}, x)$$

Thus  $F_1(x, \text{NIL})$  can be redefined as

$$F(y) \leq \text{IF } y = \text{NIL} \text{ THEN NIL ELSE APPEND}(\text{car}(y), F(\text{cdr}(y)))$$

#### 4.2 Redefinition Scheme II

THEOREM 6: Let  $F_1$  be defined by

$$F_1(y, y') \leq \text{IF } p(y) \text{ THEN } G(y, y') \text{ ELSE } F_1(f(y), y')$$

where

$$G(y, y') \leq \text{IF } q(y) \text{ THEN } y' \text{ ELSE } G(\text{If}(y), g(y, y')).$$

Provided that we have

$$\text{If}(f(x)) = x \tag{17}$$

$$\max\{j \mid q(f^j(x))\} = 0 \tag{18}$$

we can transform  $F_1(x, c)$  into  $F(x)$ , where

$$F(y) \leq \text{IF } p(y) \text{ THEN } c \text{ ELSE } g(f(y), F(f(y))).$$

PROOF

Let  $\text{max}_i = \min\{j \mid p(f^j(x))\}$ .

From the definition it follows that

$$\begin{aligned}
 F_1(x,c) &= F_1(f(x),c) = F_1(f^2(x),c) = \dots = F_1(f^{\text{maxi}}(x),c) \\
 &= G(f^{\text{maxi}}(x),c)
 \end{aligned}$$

Because of (18) it also follows that

$$\begin{aligned}
 G(f^{\text{maxi}}(x),c) &= G(\text{If}(f^{\text{maxi}}(x)),g(f^{\text{maxi}}(x),c)) \\
 &= G(f^{(\text{maxi}-1)}(x),g(f^{\text{maxi}}(x),c)) \\
 &\quad \vdots \\
 &= G(x,g(f(x),g(f^2(x),\dots,g(f^{\text{maxi}}(x),c)))) \\
 &= g(f(x),g(f^2(x),\dots,g(f^{\text{maxi}}(x),c)))
 \end{aligned}$$

Now we can evaluate  $F(x)$  as follows:

$$\begin{aligned}
 F(x) &= g(f(x),F(f^2(x))) = g(f(x),g(f^2(x),F(f^2(x)))) \\
 &= \dots = g(f(x),g(f^2(x),\dots,g(f^{\text{maxi}}(x),F(f^{\text{maxi}}(x)))) \\
 &= g(f(x),g(f^2(x),\dots,g(f^{\text{maxi}}(x),c)))
 \end{aligned}$$

Hence we conclude that  $F_1(x,c) = F(x)$ .

Suppose that instead of knowing the complete definition of  $F_1$  we have only a definition of  $G$ . We can rewrite  $G$  provided we can find suitable  $f$  and  $p$ . The function  $f$  must satisfy the properties (17) and (18), and, moreover,  $p$  must also satisfy the condition

$$\min\{j \mid p(f^j(x))\} = \min\{j \mid q(\text{If}^j(x))\} \quad (19)$$

In some cases it is possible to find such  $p$  and  $f$  quite easily. For example let  $G$  be defined as

$$G(y_1, y_2, y_3) \leq \text{IF } y_1 = y_2 \text{ THEN } y_3 \text{ ELSE } G(y_1, \text{If}(y_2), g(y_2, y_3))$$

and let us try to redefine  $G(x, c, c^n)$ . Suppose we can find  $f$  such that

$$\text{If}(f(x)) = f(\text{If}(x)) = x$$

then

$$p(y) \leq (y = c).$$

We can prove by contradiction that  $p(y)$  satisfies (19).

Let  $k = \min\{j \mid \text{If}^j(c) = x\}$

Suppose there is a  $m < k$  such that  $c = f^m(x)$ , then

$$\text{If}(c) = f^{(m-1)}(x)$$

$$\text{If}^2(c) = f^{(m-2)}(x)$$

⋮

$$\text{If}^m(c) = x$$

which is contrary to our assumption.

### Example 7

$F1(y_0, y_1, y_2, y_3) \leq \text{IF } y_0 < y_2 \text{ THEN } G(y_0, y_1, y_2, y_3)$   
 $\text{ELSE } F1(y_0, y_1, 2*y_2, y_3)$

$G(y_0, y_1, y_2, y_3) \leq \text{IF } y_1 = y_2 \text{ THEN } y_3$   
 $\text{ELSE IF } (y_3 \geq y_2 \text{div } 2)$   
 $\text{THEN } G(y_0, y_1, y_2 \text{div } 2, y_3 - y_2 \text{div } 2)$   
 $\text{ELSE } G(y_0, y_1, y_2 \text{div } 2, y_3).$

We will redefine  $F1(x_1, x_2, x_2, x_1)$ . Since

$$y = \langle y_0, y_1, y_2 \rangle,$$

$$f(y) = \langle y_0, y_1, 2*y_2 \rangle,$$

$$\text{If}(y) = \langle y_0, y_1, y_2 \text{div } 2 \rangle,$$

the conditions (17) and (18) are satisfied:

$$\text{If}(f(y)) = \text{If}(\langle y_0, y_1, y_2 * 2 \rangle = \langle y_0, y_1, (y_2 * 2) \underline{\text{div}} 2 \rangle = y$$

$$\max\{j \mid x_2 = 2^j * x_2\} = 0$$

The function F is then

$$F(y_0, y_1, y_2) \leq \text{IF } y_0 < y_2 \text{ THEN } x_1 \\ \text{ELSE IF } (F(y_0, y_1, 2 * y_2) \geq (2 * y_2) \underline{\text{div}} 2) \\ \text{THEN } F(y_0, y_1, 2 * y_2) - (2 * y_2) \underline{\text{div}} 2 \\ \text{ELSE } F(y_0, y_1, 2 * y_2).$$

We can simplify this definition to

$$F(y_1, y_2) \leq \text{IF } y_1 < y_2 \text{ THEN } y_0 \\ \text{ELSE IF } (F(y_1, 2 * y_2) \geq y_2) \\ \text{THEN } F(y_1, 2 * y_2) - y_2 \\ \text{ELSE } F(y_1, 2 * y_2).$$

### Example 8

$$F_1(y_1, y_2, y_3) \leq \text{IF } y_1 = y_2 \text{ THEN } y_3 \text{ ELSE } F_1(y_1, y_2 + 1, (y_2 + 1) * y_3)$$

We would like to redefine  $F_1(x, 0, 1)$ . Since  $\text{If}(y_2) \leq y_2 + 1$ , we can define  $f(y_2) \leq y_2 - 1$ . Now we have

$$\text{If}(f(y_2)) = \text{If}(y_2 + 1) = (y_2 + 1) - 1 = y_2 = (y_2 - 1) + 1 = f(\text{If}(y_2))$$

Therefore  $p(y_2)$ , which satisfies the requirement (19), is

$$p(y_2) \leq (y_2 = 0)$$

and the new definition of  $F_1(x, 0, 1)$  is

$$F(y_1) \leq \text{IF } y_1 = 0 \text{ THEN } 1 \text{ ELSE } ((y_1 - 1) + 1) * F(y_1 - 1).$$

Or, after some simplifications, we can define

$$F(y_1) \leq \text{IF } y_1 = 0 \text{ THEN } 1 \text{ ELSE } y_1 * F(y_1 - 1).$$

## 5. CONCLUSION

We have developed some methods for generalizing theorems about recursively defined functions, so that the generalized form of these theorems is more suitable for proof by induction. We have given some heuristics to carry out the generalization for certain patterns of theorems and recursive definitions. Invariant assertions are sometimes obtained as a by-product in

this generalization.

Our generalization are heuristics are based on an analysis of defined functions. Whenever these heuristics are applicable, the generalized theorems are true iff the original theorems are. This is not the case with the heuristics in Boyer and Moore [2]. In their heuristics (replacing the terms common to both sides of equality or implication), the above relation is missing. Furthermore, our heuristics are based on an analysis of definitional schemas. Given a function, we find a matching schema and obtain information about the function that will enable us to generalize. Aubin [1], on the other hand, analyses functions ad hoc to replace a constant with an expression describing all the possible values this argument could acquire. Our choice of expressions to replace constants, however, takes into account the influence this change of the initial value will have on the final result of the computation.

We believe it is possible to apply our generalization method to other types of definitional schemas and develop a catalog of heuristics for different classes of programs. This seems more useful than generalizing the same heuristics for very large class of programs, since that would complicate the test of the heuristic's applicability.

In the literature, the work on redefinition of functions has been done for other purposes: e.g. when defining functions by recursion, one may try to find a more compact definition of composition of such functions (Chatelin [3]). We have given methods to redefine functions in order, again, to simplify the proof of certain theorems describing the properties of recursively defined functions. With these redefined functions, theorems become much easier to prove than with the original definitions.

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Unclassified

SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER CS-8102	2. GOVT ACCESSION NO. AD-A103 749	3. RECIPIENT'S CATALOG NUMBER
4. TITLE (and Subtitle) THEOREM GENERALIZATION IN PROGRAM VERIFICATION		5. TYPE OF REPORT & PERIOD COVERED Technical Report
		6. PERFORMING ORG. REPORT NUMBER
7. AUTHOR(s) Jan Vytopil S. Kamal Abdali		8. CONTRACT OR GRANT NUMBER(s) ONR N00014-75-C-1026
9. PERFORMING ORGANIZATION NAME AND ADDRESS Mathematical Sciences Department Rensselaer Polytechnic Institute Troy, N. Y. 12181		10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS
11. CONTROLLING OFFICE NAME AND ADDRESS Office of Naval Research Resident Representative 715 Broadway-5th Floor, N.Y., N.Y. 10003		12. REPORT DATE June 1981
		13. NUMBER OF PAGES 31
14. MONITORING AGENCY NAME & ADDRESS (if different from Controlling Office)		15. SECURITY CLASS. (of this report)  Unclassified
		15a. DECLASSIFICATION/DOWNGRADING SCHEDULE

16. DISTRIBUTION STATEMENT (of this Report)

**DISTRIBUTION STATEMENT A**

Approved for public release;  
Distribution Unlimited

17. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report)

18. SUPPLEMENTARY NOTES

19. KEY WORDS (Continue on reverse side if necessary and identify by block number)

Program verification, theorem generalization,  
invariant assertion

20. ABSTRACT (Continue on reverse side if necessary and identify by block number)

(see back-side of page)

Unclassified

SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

The generalization of theorems about programs obtained from recursive schemas is discussed. Methods are given to generalize theorems about two classes of programs to make the theorems easier to prove by induction. Invariant assertions are obtained as a by-product of the generalization process. Also, methods are given to redefine the functions representing programs so as to simplify the proof of program properties in certain cases.

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