

Introduction to Formal Proof

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5: Theories

▷ Inverses are unique

1: $T \circledast T = \iota$	assumption
2: $T \iota$	
3: $= T \circledast \iota$	Fold Theorem $T \circledast \iota = T$
4: $= T \circledast T \circledast \sim T$	Fold Theorem $T \circledast \sim T = \iota$
5: $= (T \circledast T) \circledast \sim T$	Unfold \circledast -ass
6: $= (\iota) \circledast \sim T$	Unfold hyp
7: $= \sim T$	Unfold ι -id



▷ Completely formal proofs using associativity can be ... tedious, for example:

1: $T \circledast \sim T$	
2: $= \iota \circledast T \circledast \sim T$	Fold ι -id
3: $= (\sim(T \circledast \sim T) \circledast T \circledast \sim T) \circledast T \circledast \sim T$	Fold \sim
4: $= \sim(T \circledast \sim T) \circledast ((T \circledast \sim T) \circledast T \circledast \sim T)$	Fold \circledast -ass
5: $= \sim(T \circledast \sim T) \circledast (T \circledast (\sim T \circledast T \circledast \sim T))$	Fold \circledast -ass
6: $= \sim(T \circledast \sim T) \circledast ((T \circledast \sim T) \circledast T \circledast \sim T)$	Unfold \circledast -ass
7: $= \sim(T \circledast \sim T) \circledast (((T \circledast \sim T) \circledast T) \circledast \sim T)$	Unfold \circledast -ass
8: $= \sim(T \circledast \sim T) \circledast ((T \circledast (\sim T \circledast T)) \circledast \sim T)$	Fold \circledast -ass
9: $= \sim(T \circledast \sim T) \circledast ((T \circledast (\iota)) \circledast \sim T)$	Unfold \sim
10: $= \sim(T \circledast \sim T) \circledast (T \circledast (\iota \circledast \sim T))$	Fold \circledast -ass
11: $= \sim(T \circledast \sim T) \circledast (T \circledast (\sim T))$	Unfold ι -id
12: $= \iota$	Unfold \sim

Here lines 3-8 could be summarised as: “by associativity of \circledast ”, and interactive proof assistants should provide some sort of interface that gets on with the details of “flattening, then rebracketing” under the direction of the user.



Example: theory of Natural Numbers

- ▷ Constants: 0
- ▷ Functions: $\text{succ} \cdot, \cdot + \cdot, \cdot \times \cdot, \dots$
- ▷ Laws:²

$$\frac{}{\Gamma \vdash \text{succ}(T) \neq 0} \text{P3 (0 is the beginning)} \quad \frac{}{\Gamma \vdash \text{succ}(T_1) = \text{succ}(T_2) \rightarrow T_1 = T_2} \text{P4 (injectivity)}$$

$$\frac{\Gamma \vdash \phi(0) \quad \Gamma, \phi(m) \vdash \phi(\text{succ}(m))}{\Gamma \vdash \phi(T)} \text{P5 natinduction (m fresh)}$$

- ▷ Nat induction is a schema parameterized by $\phi(\cdot)$ – a formula in which \cdot may appear.
- ▷ The “intended model” is the natural numbers.
- ▷ The even numbers also constitute a model; indeed there are infinitely many models! (why?)



² These were first listed by Dedekind – but are usually attributed to Peano.

▷ Axiom schemas with parameters T_1, T_2 (terms)

$$\frac{}{0 + T_2 = T_2} +.0 \quad \frac{}{\text{succ}(T_1) + T_2 = \text{succ}(T_1 + T_2)} +.1$$

$$\frac{}{0 \times T_2 = 0} \times.0 \quad \frac{}{\text{succ}(T_1) \times T_2 = T_2 + (T_1 \times T_2)} \times.1$$

- ▷ These schemas characterize addition and multiplication (almost) uniquely (but this needs to be proved)
- ▷ Consequences: commutativity and associativity of $+$, \times distributivity of \times through $+$, etc., etc.



An inductive proof using substitution (equals-elimination) to rewrite equal subterms within successive formulae

1: $0+(T2+T3)=T2+T3$	$+ '0$
2: $0+T2=T2$	$+ '0$
3: $T2+T3=(T2)+T3$	$=-i$
4: $T2+T3=(0+T2)+T3$	Derived Rule $=-e \leftarrow 2,3$
5: $0+(T2+T3)=(0+T2)+T3$	Derived Rule $=-e \leftarrow 1,4$
6: $m+(T2+T3)=(m+T2)+T3$	assumption
7: $\text{succ}(m)+(T2+T3)=\text{succ}(m+T2)+T3$	$+ '1$
8: $\text{succ}(m)+T2=\text{succ}(m+T2)$	$+ '1$
9: $(\text{succ}(m+T2))+T3=\text{succ}((m+T2)+T3)$	$+ '1$
10: $m+T2+T3=(m+T2)+T3$	hyp 6
11: $\text{succ}((m+T2)+T3)=\text{succ}((m+T2)+T3)$	$=-i$
12: $\text{succ}(m+T2+T3)=\text{succ}((m+T2)+T3)$	Derived Rule $=-e \leftarrow 10,11$
13: $\text{succ}(m+T2+T3)=(\text{succ}(m+T2))+T3$	Derived Rule $=-e \leftarrow 9,12$
14: $\text{succ}(m+T2+T3)=(\text{succ}(m)+T2)+T3$	Derived Rule $=-e \leftarrow 8,13$
15: $\text{succ}(m)+(T2+T3)=(\text{succ}(m)+T2)+T3$	Derived Rule $=-e \leftarrow 7,14$
16: $T1+(T2+T3)=(T1+T2)+T3$	natinduction 5,6-15

The proof consists of successive formulae that are equivalent up to substitution of equal terms



The same proof: using folds and unfolds, and presented in the transformational style

1: $0+(T2+T3)$	
2: $= T2+T3$	Unfold $+ '0$
3: $= (0+T2)+T3$	Fold $+ '0$
4: $m+(T2+T3)=(m+T2)+T3$	assumption
5: $\text{succ}(m)+(T2+T3)$	
6: $= \text{succ}(m+T2)+T3$	Unfold $+ '1$
7: $= \text{succ}((m+T2)+T3)$	Unfold hyp
8: $= (\text{succ}(m+T2))+T3$	Fold $+ '1$
9: $= (\text{succ}(m)+T2)+T3$	Fold $+ '1$
10: $T1+(T2+T3)=(T1+T2)+T3$	natinduction 1-3,4-9

This is not *exactly* the same as the substitutivity proof, but all the “essential” steps in it are the same.



Comparison between the transformational proof and (a compact form) of the substitutive proof

1: $0+(T2+T3)$		1: $T2+T3=(T2)+T3$	$=-i$
2: $= T2+T3$	Unfold $+ '0$	2: $T2+T3=(0+T2)+T3$	$+ '0 1$
3: $= (0+T2)+T3$	Fold $+ '0$	3: $0+(T2+T3)=(0+T2)+T3$	$+ '0 2$
4: $m+(T2+T3)=(m+T2)+T3$	assumption	4: $m+(T2+T3)=(m+T2)+T3$	assumption
5: $\text{succ}(m)+(T2+T3)$		5: $\text{succ}((m+T2)+T3)=\text{succ}((m+T2)+T3)$	$=-i$
6: $= \text{succ}(m+T2)+T3$	Unfold $+ '1$	6: $\text{succ}(m+T2+T3)=\text{succ}((m+T2)+T3)$	hyp 5
7: $= \text{succ}((m+T2)+T3)$	Unfold hyp	7: $\text{succ}(m+T2+T3)=(\text{succ}(m+T2))+T3$	$+ '1 6$
8: $= (\text{succ}(m+T2))+T3$	Fold $+ '1$	8: $\text{succ}(m+T2+T3)=(\text{succ}(m)+T2)+T3$	$+ '1 7$
9: $= (\text{succ}(m)+T2)+T3$	Fold $+ '1$	9: $\text{succ}(m)+(T2+T3)=(\text{succ}(m)+T2)+T3$	$+ '1 8$
10: $T1+(T2+T3)=(T1+T2)+T3$	natinduction 1-3,4-9	10: $T1+(T2+T3)=(T1+T2)+T3$	natinduction 3,4-9

(in the compact form, the uses of “ $=-e \leftarrow$ ” are left implicit)



Theories with several types

In which we indicate how to formalize a (rather weak) notion of types thereby supporting proofs in theories in which several “types” are used

- ▷ For example suppose we want to build a theory of lists of numbers
 - We expect to be able to prove things about all numbers
 - We expect to be able to prove things about all lists
 - We expect to be able to characterize functions recursively on lists and on numbers
 - The “untyped” induction and definition rules are no longer quite enough



Example: typed theory of natural numbers

▷ The main idea: supplement signatures with “typing predicates”

- Constants: 0
- Functions: $\text{succ} \cdot, \cdot + \cdot, \cdot \times \cdot, \dots$
- Predicates: $\mathbb{N}(\cdot)$ meaning “ \cdot is a natural number”
- Laws:

$$\frac{}{\mathbb{N}(0)} \text{N0} \qquad \frac{\mathbb{N}(T)}{\mathbb{N}(\text{succ}(T))} \text{Nsucc}$$

$$\frac{\mathbb{N}(T)}{\text{succ}(T) \neq 0} \text{P3} \qquad \frac{\mathbb{N}(T_1) \quad \mathbb{N}(T_2)}{\text{succ}(T_1) = \text{succ}(T_2) \rightarrow T_1 = T_2} \text{P4}$$

$$\frac{\Gamma \vdash \mathbb{N}(T) \quad \Gamma \vdash \phi(0) \quad \Gamma, \mathbb{N}(m), \phi(m) \vdash \phi(\text{succ}(m))}{\Gamma \vdash \phi(T)} \text{ (nat induction)(fresh } m \text{)}$$

(Here $\phi(\cdot)$ is – as usual – a “formula abstraction”)



Example: typed theory of heterogeneous lists

- Constants: nil
- Functions: $\cdot \cdot \cdot, \cdot + \dots$
- Predicates: $\mathbb{L}(\cdot)$
- Laws: (the elements of a *heterogeneous* list need not have the same type)

$$\frac{}{\mathbb{L}(\text{nil})} \text{Lnil} \qquad \frac{\mathbb{L}(TS)}{\mathbb{L}(T : TS)} \text{L}$$

$$\frac{\mathbb{L}(TS)}{T : TS \neq \text{nil}} \text{:-} \qquad \frac{\mathbb{L}(TS) \quad \mathbb{L}(TS')}{T : TS = T' : TS' \rightarrow T = T' \wedge TS = TS'} \text{:inj}$$

$$\frac{\Gamma \vdash \mathbb{L}(T) \quad \Gamma \vdash \phi(\text{nil}) \quad \Gamma, \mathbb{L}(xs), \phi(xs) \vdash \phi(x : xs)}{\Gamma \vdash \phi(T)} \text{ (list induction)(fresh } x, xs \text{)}$$

(Here $\phi(\cdot)$ is – as usual – a “formula abstraction”)



▷ Arithmetic expressions are also typed:

$$\frac{\mathbb{N}(T_1) \quad \mathbb{N}(T_2)}{\mathbb{N}(T_1 + T_2)} \text{N+} \qquad \frac{\mathbb{N}(T_1) \quad \mathbb{N}(T_2)}{\mathbb{N}(T_1 \times T_2)} \text{N}\times$$

▷ Arithmetic operator definitions get the expected typing antecedents, for example:

$$\frac{\mathbb{N}(T_1) \quad \mathbb{N}(T_2)}{0 + T_2 = T_2} \text{+.0} \qquad \frac{\mathbb{N}(T_1) \quad \mathbb{N}(T_2)}{\text{succ}(T_1) + T_2 = \text{succ}(T_1 + T_2)} \text{+.1}$$

▷ Theorems now have type premisses, for example

$$\frac{}{\mathbb{N}(T_1), \mathbb{N}(T_2), \mathbb{N}(T_3) \vdash T_1 + (T_2 + T_3) = (T_1 + T_2) + T_3} \text{+-assoc}$$

▷ The typing antecedents of rules needed in the proof of a theorem are trivial to prove from the typing premisses



▷ Catenation and reverse defined in the usual way but with typing information added

$$\frac{\mathbb{L}(T)}{\mathbb{L}(\text{rev}(T))} \text{Lrev} \qquad \frac{}{\text{rev}(\text{nil}) = \text{nil}} \text{rev.0} \qquad \frac{\mathbb{L}(TS)}{\text{rev}(T : TS) = \text{rev}(T) + (T : \text{nil})} \text{rev.1}$$

$$\frac{\mathbb{L}(TS) \quad \mathbb{L}(TS')}{\mathbb{L}(TS ++ TS')} \text{L++} \qquad \frac{\mathbb{L}(TS)}{\text{nil} ++ TS = TS} \text{++.0} \qquad \frac{\mathbb{L}(TS) \quad \mathbb{L}(TS')}{(T : TS) ++ TS' = T : (TS ++ TS')} \text{++.1}$$

▷ “Typed” theories can be mixed: antecedents stop us inferring nonsense, e.g. $\text{nil} ++ 0 = 0$

▷ Theorems (as expected) have typing premisses, for example:

$$\frac{}{\mathbb{L}(T_1), \mathbb{L}(T_2), \mathbb{L}(T_3) \vdash T_1 ++ (T_2 + T_3) = (T_1 ++ T_2) + T_3} \text{++-assoc}$$

▷ The formal proofs of these theorems are a lot like those we know and love from FP



▷ Some additional, but trivial, work is needed to satisfy the typing antecedents: compare

1: L(T1)	assumption		
2: L(T2)	assumption		
3: L(T3)	assumption		
4: L(T2++T3)	L++ 2,3		
5: nil++T2=T2	++'0 2		
6: nil++(T2++T3)			
7: = T2++T3	++'0 4		
8: = (nil++T2)++T3	rewriteRL 5		
9: L(xs)	assumption		
10: xs++(T2++T3)=(xs++T2)++T3	assumption		
11: L(T2++T3)	L++ 2,3		
12: L(xs++T2)	L++ 9,2		
13: (x:(xs++T2))++T3=x:((xs++T2)++T3)	++'1 12,3		
14: x:xs++T2=x:(xs++T2)	++'1 9,2		
15: x:xs++(T2++T3)			
16: = x:(xs++T2++T3)	++'1 9,11		
17: = x:((xs++T2)++T3)	rewriteLR 10		
18: = (x:(xs++T2))++T3	rewriteRL 13		
19: = (x:xs++T2)++T3	rewriteRL 14		
20: T1++(T2++T3)=(T1++T2)++T3	listinduction 6-8,9-19,1		

1: L(T1)	assumption		
2: L(T2)	assumption		
3: L(T3)	assumption		
4: nil++(T2++T3)			
5: = T2++T3	Unfold ++'0		
6: = (nil++T2)++T3	Fold ++'0,hyp		
7: L(xs)	assumption		
8: xs++(T2++T3)=(xs++T2)++T3	assumption		
9: x:xs++(T2++T3)			
10: = x:(xs++T2++T3)	Unfold ++'1		
11: = x:((xs++T2)++T3)	Unfold 8		
12: = (x:(xs++T2))++T3	Fold ++'1,L++,hyp,hyp,hyp		
13: = (x:xs++T2)++T3	Fold ++'1,hyp,hyp		
14: T1++(T2++T3)=(T1++T2)++T3	listinduction 4-6,7-13,1		

▷ Using the list induction recipe blindly we start the proof as follows:

1: L(T1)	assumption		
2: L(T2)	assumption		
3: nil++T2			
4: = T2	Unfold ++'0,hyp		
5: = nil++T2	Fold ++'0,hyp		
6: = rev nil++T2	Fold rev'0		
7: L(xs)	assumption		
8: xs++T2=rev xs++T2	assumption		
9: x:xs++T2			
10: = [xs++(x:T2)]	Unfold ++'1		
11: ...			
12: = rev xs++(x:(T2))			
13: = rev xs++(x:(nil++T2))	Fold ++'0,hyp		
14: = rev xs++(x:nil++T2)	Fold ++'1,Lnil,hyp		
15: = (rev xs++(x:nil))++T2	Unfold Theorem L(T1), L(T2), L(T3) = T1++(T2++T3)=(T1++T2)++T3, L.rev,hyp.L:,Lnil,hyp		
16: = rev(x:xs)++T2	Fold rev'1,hyp		
17: T1++T2=rev T1++T2	hyp 1 listinduction 3-6,7-15,16		

- ▷ But the proof stalls (why?) at the crux – on attempting use the induction hypothesis (8) to bridge 10 and 11
- ▷ At this point a lecturer or tutor usually uses the mantra: “there is nothing special about T₂”
- ▷ This appears to allow the proof to be completed, but the result is highly informal.

Formal treatment of generalised induction hypotheses

▷ Notice that we have not used the logical quantifiers in the inductive proof of ++-assoc.

▷ Consider the “catenate-reverse-to” function +<+ defined by

$$\frac{\mathbb{L}(T_1) \quad \mathbb{L}(T_2)}{\mathbb{L}(T_1 +\<+ T_2)} \text{L+\<+} \quad \frac{\mathbb{L}(T_2)}{\text{nil} +\<+ T_2 = T_2} +\<+.0 \quad \frac{\mathbb{L}(T_1) \quad \mathbb{L}(T_2)}{(T : T_1) +\<+ T_2 = T_1 +\<+ (T : T_2)} +\<+.1$$

▷ We want to prove (by induction on T₁) that

$$\mathbb{L}(T_1), \mathbb{L}(T_2) \vdash T_1 +\<+ T_2 = \text{rev}(T_1) ++ T_2$$

This problem can (only) be overcome by proving a more general result.

1: L(xs)	assumption		
2: L(ys)	assumption		
3: nil++ys			
4: = ys	Unfold ++'0		
5: = nil++ys	Fold ++'0,hyp		
6: = rev nil++ys	Fold rev'0		
7: L(ys) → nil++ys=rev nil++ys	→ 2-6		
8: yvs L(ys) → nil++ys=rev nil++ys	→ v 7		
9: L(xs1)	assumption		
10: yvs L(ys) → xs1++ys=rev xs1++ys	assumption		
11: L(ys)	assumption		
12: L(x:ys) → xs1++x:ys=rev xs1++x:ys	assumption		
13: L(x:ys)	L: 11		
14: xs1++x:ys=rev xs1++x:ys	assumption		
15: xs1++(x:ys)=rev xs1++(x:ys)	→ 12,13,14-14		
16: x:xs1++ys			
17: = xs1++(x:ys)	Unfold ++'1		
18: = rev xs1++(x:ys)	→ 10,12-15		
19: = rev xs1++(x:nil++ys)	Fold ++'0,hyp		
20: = rev xs1++(x:nil++ys)	Fold ++'1,Lnil,hyp		
21: = (rev xs1++(x:nil))++ys	Unfold Theorem L(T1), L(T2), L(T3) = T1++(T2++T3)=(T1++T2)++T3, L.rev,hyp.L:,Lnil,hyp		
22: = rev(x:xs1)++ys	Fold rev'1,hyp,rev'1,hyp,rev'1,hyp		
23: L(ys) → x:xs1++ys=rev(x:xs1)++ys	→ 11-22		
24: yvs L(ys) → x:xs1++ys=rev(x:xs1)++ys	→ v 23		
25: yvs L(ys) → xs1++ys=rev xs1++ys	listinduction 8,9-24,1		
26: L(xs) → (yvs L(ys) → xs++ys=rev xs++ys)	→ 1-25		
27: vxs L(xs) → (yvs L(ys) → xs++ys=rev xs++ys)	→ v 26		

- ▷ The technique we use is to arrange to prove a *more general* result by induction on xs , namely:

$$\mathbb{L}(xs) \vdash \forall ys \cdot \mathbb{L}(ys) \rightarrow xs \text{ +<+ } ys = rev(xs) \text{ ++ } ys$$

which will give us the more general induction hypothesis we were seeking in the stalled proof.

- ▷ This is done by setting up a proof of the more general theorem

$$\vdash \forall xs \cdot \mathbb{L}(xs) \rightarrow \forall ys \cdot \mathbb{L}(ys) \rightarrow xs \text{ +<+ } ys = rev(xs) \text{ ++ } ys$$

- ▷ The result we originally set out to prove, namely:

$$\mathbb{L}(T_1), \mathbb{L}(T_2) \vdash T_1 \text{ +<+ } T_2 = rev(T_1) \text{ ++ } T_2$$

can now be established (by \forall -e followed by \rightarrow -e) from this theorem.



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**Note 1:**

The proof trees shown here were made with Jape, using a system including derived equational “rewrite” rules

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$$\frac{\Gamma \vdash T_1 = T_2}{\Gamma \vdash T[T_1/\lambda] = T[T_2/\lambda]} \text{rewriteLR}$$

$$\frac{\Gamma \vdash T_1 = T_2}{\Gamma \vdash T[T_2/\lambda] = T[T_1/\lambda]} \text{rewriteRL}$$

These rules enable the direct use of (equational) laws to rewrite one side or the other of an equation while conducting a goal-directed proof search in an equational theory.

The rule *rewriteLR* is used when we make an “Unfold” goal transformation, such as the move at the top right of the tree where we use the theorem $(T \otimes \sim T) = \iota$ to transform the proof goal $(T \otimes \sim T) \otimes T = T$ into the proof goal $\iota \otimes T = T$ – whence it is closed by application of the ι -id axiom.

The rule *rewriteRL* is used when we make a “Fold” goal transformation, such as the move at the top left of the tree where the rule the goal $T \otimes \iota = T \otimes (\sim T \otimes T)$ is transformed by using the \sim axiom $\sim T \otimes T = \iota$ to rewrite $T \otimes \iota$ as $T \otimes (\sim T \otimes T)$.

Note 2:

By convention we may omit the “ $\Gamma \vdash$ ” in presenting P3 and P4; because they are free of antecedents. It should be clear that we cannot do so in presenting the induction rule, since one of its antecedents transforms the collection of hypotheses.

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Note 3:

Here, and in future, we apply the convention of omitting the $\Gamma \vdash$ when presenting antecedent-free rules.

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Note 4: A derived equality rule

In our inductive proof of associativity of $+$ we used the derived rule

$$\frac{T_1 = T_2 \quad \varphi[T_2/\lambda]}{\varphi[T_1/\lambda]} =\text{e}\leftarrow$$

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to simplify the backward proof-search we did in Jape.

Note 5:

There are two different views of a single proof shown here. The proof was made with Jape set up to satisfy the typing laws automatically.

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