

Second-Order Functions and Theorems in ACL2

Alessandro Coglio



Kestrel
Institute

If ACL2 were second-order...

... we could define second-order functions:

```
(defun map (f l)
  (cond ((atom l) nil)
        (t (cons (f (car l)) (map f (cdr l))))))
```

function parameter

individual parameter

f is used as a function

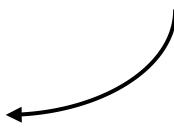
If ACL2 were second-order...

```
(defun map (f l)
  (cond ((atom l) nil)
        (t (cons (f (car l)) (map f (cdr l))))))
```

... we could prove second-order theorems:

```
(defthm len-of-map
  (equal (len (map f l)) (len l)))
```

universally quantified over `f` and `l`



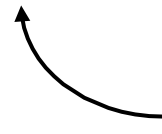
If ACL2 were second-order...

```
(defun map (f l)
  (cond ((atom l) nil)
        (t (cons (f (car l)) (map f (cdr l))))))

(defthm len-of-map
  (equal (len (map f l)) (len l)))
```

... we could apply second-order functions:

```
(defun rev-fix-cons (a x)
  (cons a (map fix (rev x))))
```

 map is applied to the function `fix`

If ACL2 were second-order...

```
(defun map (f l)
  (cond ((atom l) nil)
        (t (cons (f (car l)) (map f (cdr l))))))
```

```
(defthm len-of-map
  (equal (len (map f l)) (len l)))
```

```
(defun rev-fix-cons (a x)
  (cons a (map fix (rev x))))
```

... we could use second-order theorems:

proved using (:rewrite len-of-map)

```
(defthm len-of-rev-fix-cons
  (equal (len (rev-fix-cons a x)) (1+ (len x))))
```

With the SOFT ('Second-Order Functions and Theorems') tool...

... we can define second-order functions:

```
(defunvar f (*) => *)
```

we must declare function variables

```
(defun2 map (f) (l)
  (cond ((atom l) nil)
        (t (cons (f (car l)) (map (cdr l))))))
```

we must use `defun2` (2nd-order version of `defun`)

we must separate function and individual parameters


we must omit
function parameters
in 2nd-order function calls

With the SOFT ('Second-Order Functions and Theorems') tool...

... we can define second-order functions:

```
(defunvar ?f (*) => *)
```

```
(defun2 map[?f] (?f) ()  
  (cond ((atom l) nil)  
        (t (cons (?f (car l)) (map[?f] (cdr l))))))
```

 "restores" omitted
function parameter

possible naming conventions (not enforced by SOFT):

- start function variable names with ?
- include function parameters in names of 2nd-order functions

With the SOFT ('Second-Order Functions and Theorems') tool...

```
(defunvar ?f (*) => *)  
(defun2 map[?f] (?f) (l)  
  (cond ((atom l) nil)  
        (t (cons (?f (car l)) (map[?f] (cdr l)))))))
```

... we can prove second-order theorems:

a regular `defthm`, whose formula references `?f`

```
(defthm len-of-map[?f]  
  (equal (len (map[?f] l)) (len l)))
```

universally quantified over `?f` and `l`

With the SOFT ('Second-Order Functions and Theorems') tool...

```
(defunvar ?f (*) => *)  
(defun2 map[?f] (?f) (l)  
  (cond ((atom l) nil)  
        (t (cons (?f (car l)) (map[?f] (cdr l))))))  
(defthm len-of-map[?f]  
  (equal (len (map[?f] l)) (len l)))
```

... we can apply second-order functions:

```
(defun-inst map[fix]  
  (map[?f] (?f . fix)))  
(defun rev-fix-cons (a x)  
  (cons a (map[fix] (rev x))))
```

named application of `map` to `fix` (an instance of `map`)

binding of actual function parameters to formal function parameters, by name

we must create an instance of `map`

With the SOFT ('Second-Order Functions and Theorems') tool...

```
(defunvar ?f (*) => *)  
(defun2 map[?f] (?f) (l)  
  (cond ((atom l) nil)  
        (t (cons (?f (car l)) (map[?f] (cdr l))))))  
(defthm len-of-map[?f]  
  (equal (len (map[?f] l)) (len l)))  
(defun-inst map[fix]  
  (map[?f] (?f . fix)))  
(defun rev-fix-cons (a x)  
  (cons a (map[fix] (rev x))))
```

... we can use second-order theorems:

```
(defthm-inst len-of-map[fix] ← named instance of len-of-map[?f]  
  (len-of-map[?f] (?f . fix)))  
function variable substitution →  
(defthm len-of-rev-fix-cons ← proved using (:rewrite len-of-map[fix])  
  (equal (len (rev-fix-cons a x)) (1+ (len x))))
```

With the SOFT ('Second-Order Functions and Theorems') tool...

```
(defunvar ?f (*) => *)  
(defun2 map[?f] (?f) (l)  
  (cond ((atom l) nil)  
        (t (cons (?f (car l)) (map[?f] (cdr l)))))))  
(defthm len-of-map[?f]  
  (equal (len (map[?f] l)) (len l)))  
(defun-inst map[fix]  
  (map[?f] (?f . fix)))  
(defun rev-fix-cons (a x)  
  (cons a (map[fix] (rev x))))  
(defthm-inst len-of-map[fix]  
  (len-of-map[?f] (?f . fix)))  
(defthm len-of-rev-fix-cons  
  (equal (len (rev-fix-cons a x)) (1+ (len x))))
```

How does this work?

SOFT ('Second-Order Functions and Theorems') is an ACL2 library to mimic second-order functions and theorems in the first-order logic of ACL2.


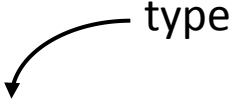
It does not extend the ACL2 logic.

It does not introduce unsoundness or inconsistency on its own.

It provides the following macros:

```
defunvar  
defun2  
defchoose2  
defun-sk2  
defun-inst  
defthm-inst
```

Macro to introduce function variables:

name  type (in the sense of Church) 

```
(defunvar ?f (* ... *) => *)
```

Macro to introduce function variables:

```
(defunvar ?f (* ... *) => *)
```

expand

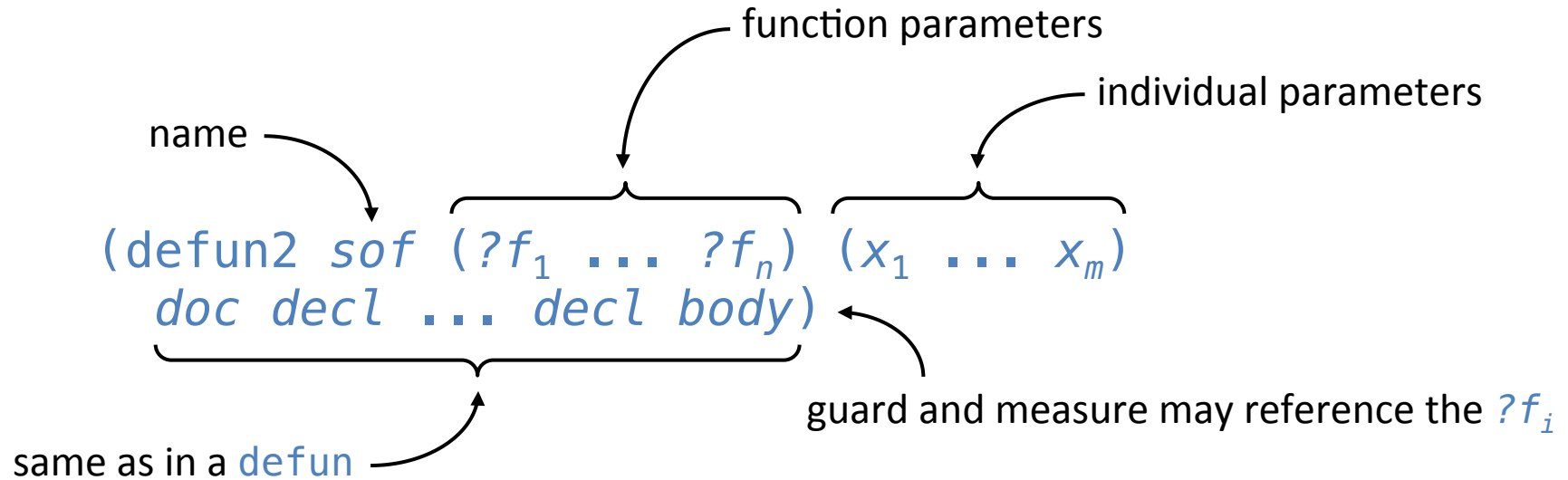
```
(defstub ?f (* ... *) => *)
```

?f is uninterpreted

```
(table ...)
```

records information about ?f

Macro to introduce plain second-order functions:



Macro to introduce plain second-order functions:

```
(defun2 sof (?f1 ... ?fn) (x1 ... xm)  
  doc decl ... decl body)
```

expand

```
(defun sof (x1 ... xm)  
  doc decl ... decl body)
```

```
(table ...)
```

1st-order function

records information about *sof*

SOFT ('Second-Order Functions and Theorems') is an ACL2 library to mimic second-order functions and theorems in the first-order logic of ACL2.

It does not extend the ACL2 logic.

It does not introduce unsoundness or inconsistency on its own.

It provides the following macros:

defunvar

defun2


defchoose2

defun-sk2

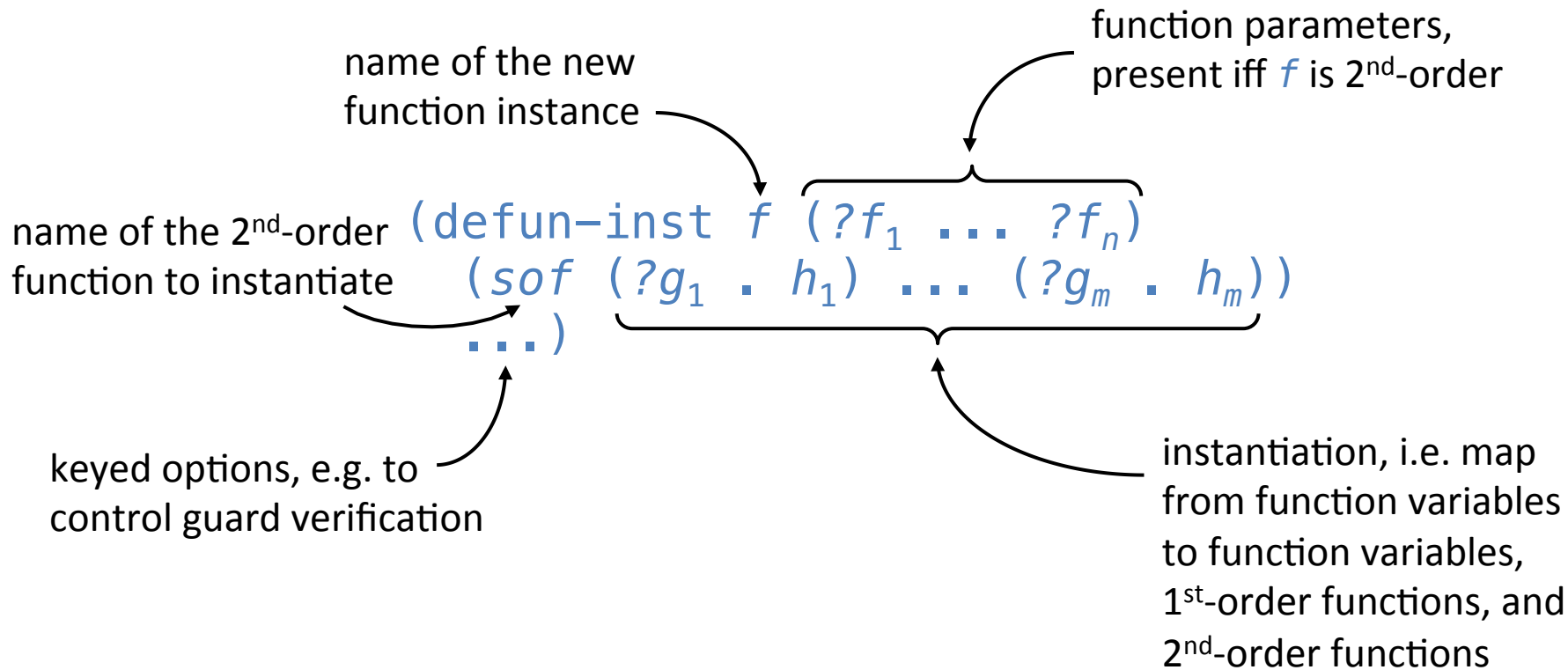
defun-inst

defthm-inst

introduce choice 2nd-order functions
and quantifier 2nd-order functions
(2nd-order versions of `defchoose` and
`defun-sk`; analogous to `defun2`)



Macro to instantiate second-order functions:



Macro to instantiate second-order functions:

```
(defun-inst f (?f1 ... ?fn)  
  (sof (?g1 . h1) ... (?gm . hm))  
  ...)
```

expand

body, guard, and measure of *f* are the result of applying the instantiation to body, guard, and measure of *sof*

```
{ (defun f ...)  
  (defchoose f ...)  
  (defun-sk f ...)  
  (table ...)
```

one of these, based on the macro used to introduce *sof*

this involves not only replacing ?*g*_{*i*} with *h*_{*i*}, but also 2nd-order functions that depend on ?*g*_{*i*} with suitable *h*_{*i*}-instances

records information about *f*

Macro to instantiate second-order theorems:

name of the 2nd-order theorem to instantiate (defthm-inst thm
name of the new theorem instance
same as in defthm (sothm (?g₁ . h₁) ... (?g_m . h_m))
instantiation, as in defun-inst
:rule-classes cls)

Macro to instantiate second-order theorems:

```
(defthm-inst thm  
  (sothm (?g1 . h1) ... (?gm . hm))  
  :rule-classes cls)
```

↓
expand
↓

result of applying instantiation to formula of *sothm*

```
(defthm thm  
  formula  
  :rule-classes cls  
  :instructions
```

this functional
instance is
formula

replacements of 2nd-order functions
in *sothm* with suitable *h_i*-instances

```
((:use (:functional-instance sothm  
  (?g1 . h1) ... (?gm . hm) more-pairs))  
 (:repeat (:then (:use facts) :prove))))
```

this proves the constraints
generated by *more-pairs*

definitions and axioms of the
h_i-instances in *more-pairs*

SOFT ('Second-Order Functions and Theorems') is an ACL2 library to mimic second-order functions and theorems in the first-order logic of ACL2.

It does not extend the ACL2 logic.

It does not introduce unsoundness or inconsistency on its own.

It provides the following macros:

```
defunvar  
defun2  
defchoose2  
defun-sk2  
defun-inst  
defthm-inst
```

SOFT can be used to formalize algebras and similar mathematical structures in a compositional way, e.g.:

```
(defun-sk2 semigroup[?op] (?op) ()
  (forall (x y z)
    (equal (?op (?op x y) z) (?op x (?op y z)))))

(defun-sk2 identity[?op] (?op) (id)
  (forall x (and (equal (?op id x) x)
    (equal (?op x id) x))))

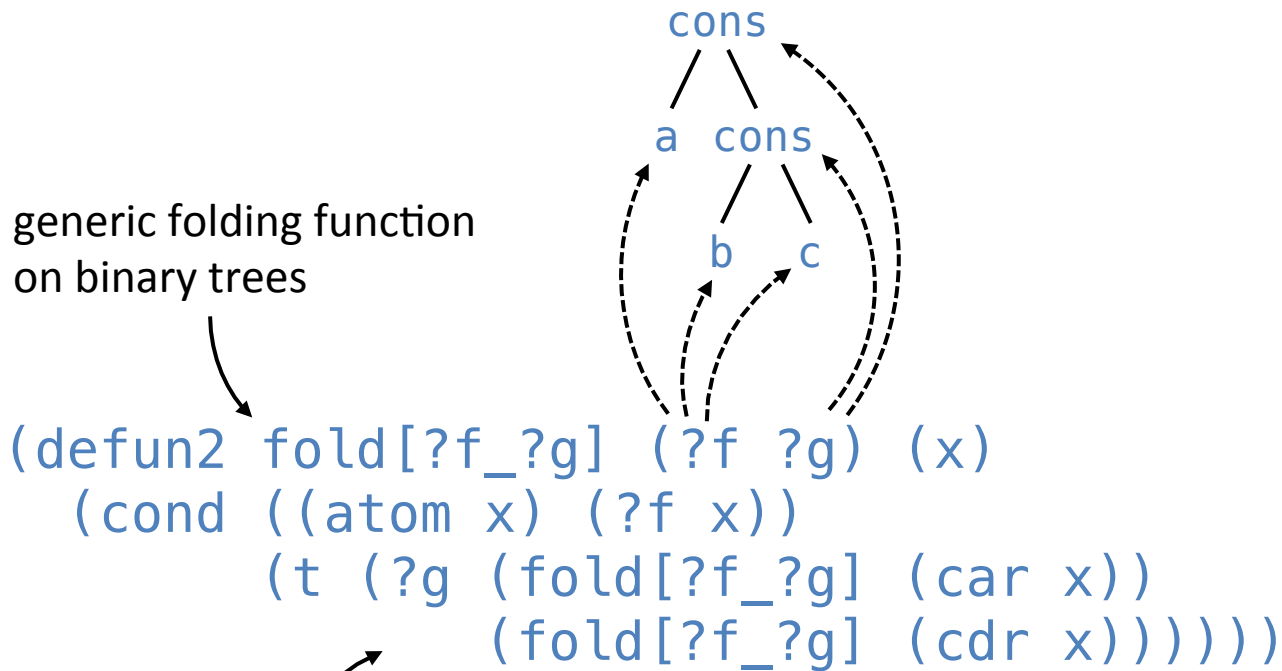
(defun2 monoid[?op] (?op) (id)
  (and (semigroup[?op]) (identity[?op] id)))

(defun-sk2 inverse[?op_?inv] (?op ?inv) (id)
  (forall x (and (equal (?op x (?inv x)) id)
    (equal (?op (?inv x) x) id))))

(defun2 group[?op_?inv] (?op ?inv) (id)
  (and (monoid[?op] id) (inverse[?op_?inv] id)))
```

Unlike `encapsulate`, algebraic properties are expressed by predicates, not by axioms attached to the abstract operations.

SOFT can be used to formalize algorithm schemas, e.g.:



divide-and-conquer algorithm schema, specialized to binary trees: to solve a problem on a binary tree, recursively solve the problem on its subtrees and combine the solutions using `?g`; solve the problem on leaves directly using `?f`

SOFT can be used to formalize algorithm schemas, e.g.:

```
(defun2 fold[?f_?g] (?f ?g) (x)
  (cond ((atom x) (?f x))
        (t (?g (fold[?f_?g] (car x))
                (fold[?f_?g] (cdr x))))))
```

```
(defun-sk2 atom-io[?f_?io] (?f ?io) ()
  (forall x (implies (atom x)
                     (?io x (?f x)))))
```

predicate asserting that `?f` yields valid solutions on leaves, w.r.t. an input/output relation `?io` that relates problems with acceptable solutions

SOFT can be used to formalize algorithm schemas, e.g.:

```
(defun2 fold[?f_?g] (?f ?g) (x)
  (cond ((atom x) (?f x))
        (t (?g (fold[?f_?g] (car x))
                (fold[?f_?g] (cdr x))))))
```

```
(defun-sk2 atom-io[?f_?io] (?f ?io) ()
  (forall x (implies (atom x)
                     (?io x (?f x)))))
```

```
(defun-sk2 consp-io[?g_?io] (?g ?io) ()
  (forall (x y1 y2)
    (implies (and (consp x)
                  (?io (car x) y1)
                  (?io (cdr x) y2))
              (?io x (?g y1 y2)))))
```



predicate asserting that `?g` combines valid solutions on subtrees into valid solutions on trees, w.r.t. the input/output relation `?io` that relates problems with acceptable solutions

SOFT can be used to formalize algorithm schemas, e.g.:

```
(defun2 fold[?f_?g] (?f ?g) (x)
  (cond ((atom x) (?f x))
        (t (?g (fold[?f_?g] (car x))
                (fold[?f_?g] (cdr x))))))
```

```
(defun-sk2 atom-io[?f_?io] (?f ?io) ()
  (forall x (implies (atom x)
                      (?io x (?f x)))))
```

```
(defun-sk2 consp-io[?g_?io] (?g ?io) ()
  (forall (x y1 y2)
    (implies (and (consp x)
                  (?io (car x) y1)
                  (?io (cdr x) y2))
              (?io x (?g y1 y2)))))
```

```
(defthm fold-io[?f_?g_?io]
  (implies (and (atom-io[?f_?io])
                (consp-io[?g_?io]))
            (?io x (fold[?f_?g] x))))
```

theorem asserting the correctness of `fold[?f_?g]`, w.r.t. the input/output relation `?io` that relates problems with acceptable solutions

SOFT can be used to formalize algorithm schemas, e.g.:

```
(defun2 fold[?f_?g] (?f ?g) (x)
  (cond ((atom x) (?f x))
        (t (?g (fold[?f_?g] (car x))
              (fold[?f_?g] (cdr x))))))

(defun-sk2 atom-io[?f_?io] (?f ?io) ()
  (forall x (implies (atom x)
                    (?io x (?f x)))))

(defun-sk2 consp-io[?g_?io] (?g ?io) ()
  (forall (x y1 y2)
    (implies (and (consp x)
                  (?io (car x) y1)
                  (?io (cdr x) y2))
             (?io x (?g y1 y2)))))

(defthm fold-io[?f_?g_?io]
  (implies (and (atom-io[?f_?io])
                (consp-io[?g_?io]))
           (?io x (fold[?f_?g] x))))
```

Algorithm schemas are useful for program refinement.

SOFT can be used for program refinement.

this could be
a `defun-sk2`

requirements over $n \geq 1$ target functions
are specified by a 2nd-order predicate

`(defun2 spec0 (?f1 ... ?fn) ...)`

unlike `encapsulate`, no witnesses
for the n functions are needed; it is
the goal of refinement to generate
witnessing implementations

goal: solve `spec0` for `?f1, ..., ?fn`

inconsistent requirements amount to
`spec0` being always false, without
introducing inconsistencies; no
`defaxiom` is used

SOFT can be used for program refinement.

(defun2 $spec_0$ ($?f_1 \dots ?f_n$) ...)



(defun2 $spec_1$ ($?f_1 \dots ?f_n$) ...)



(defun2 $spec_2$ ($?f_1 \dots ?f_n$) ...)



⋮

the refinement relation
is logical implication

the specification is stepwise refined
by a sequence of increasingly
strong 2nd-order predicates

each predicate narrows down
the possible implementations
or rephrases their description
towards their determination

SOFT can be used for program refinement.

(defun2 *spec*₀ (?*f*₁ ... ?*f*_{*n*}) ...)



(defun2 *spec*₁ (?*f*₁ ... ?*f*_{*n*}) ...)



(defun2 *spec*₂ (?*f*₁ ... ?*f*_{*n*}) ...)



·
·
·



(defun2 *spec*_{*m*} (?*f*₁ ... ?*f*_{*n*}) ()
 (and (equal ?*f*₁ *f*₁)

·
·
·
 (equal ?*f*_{*n*} *f*_{*n*})))

almost
like this

$\langle f_1, \dots, f_n \rangle$ is the obtained
implementation of *spec*₀

*f*₁, ..., *f*_{*n*} are executable functions,
constructed as part of the
refinement process, along with
*spec*₁, ..., *spec*_{*m*}

the sequence ends with a 2nd-order
predicate that provides explicit solutions
*f*₁, ..., *f*_{*n*} for the target functions

SOFT can be used for program refinement.

```
(defun2 spec0 (?f1 ... ?fn) ...)
```



```
(defun2 spec1 (?f1 ... ?fn) ...)
```



```
(defun2 spec2 (?f1 ... ?fn) ...)
```

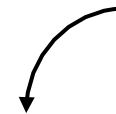


⋮

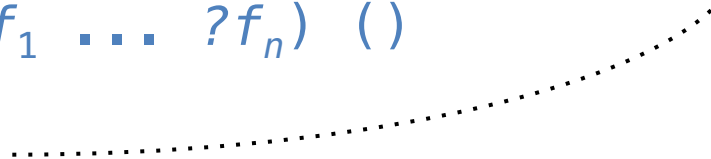


```
(defun2 specm (?f1 ... ?fn) ()  
  (and (def1)  
    ...  
    (defn)))
```

1st-order expression of
the 2nd-order equality



```
(defun-sk2 defi (?fi) ()  
  (forall args  
    (equal (?fi args)  
            (fi args))))
```



SOFT can be used for program refinement.

(defun2 *spec*₀ (?*f*₁ ... ?*f*_{*n*}) ...)



(defun2 *spec*₁ (?*f*₁ ... ?*f*_{*n*}) ...)



(defun2 *spec*₂ (?*f*₁ ... ?*f*_{*n*} ?*f*_{*n*+1}) ...)



⋮

⋮



(defun2 *spec*_{*m*} (?*f*₁ ... ?*f*_{*n*} ... ?*f*_{*n*+*p*})
(and (def₁)

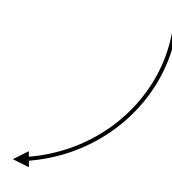
⋮

(def_{*n*})

⋮

(def_{*n*+*p*})))

auxiliary target functions may
be introduced along the way



SOFT can be used for program refinement.

(defun2 $spec_0$ ($?f_1$... $?f_n$) ...)
↑↑
(defun2 $spec_1$ ($?f_1$... $?f_n$) ...)
↑↑
(defun2 $spec_2$ ($?f_1$... $?f_n$ $?f_{n+1}$) ...)

↑↑
·
·
·
↑↑

(defun2 $spec_m$ ($?f_1$... $?f_n$... $?f_{n+p}$) ()
 (and (def_1)
 ...
 (def_n)
 ...
 (def_{n+p})))

this approach to program
refinement is called
'shallow pop-refinement'
(see paper for details)

Example of program refinement using SOFT:

```
(defun leaf (e bt)
  (cond ((atom bt) (equal e bt))
        (t (or (leaf e (car bt))
                (leaf e (cdr bt))))))
```

```
(defun-sk io (x y)
  (forall e (iff (member e y)
                 (and (leaf e x)
                      (natp e)))))
```

```
(defun-sk2 spec[?h] (?h) ()
  (forall x (io x (?h x))))
```

requirements specification

input/output relation

return a list of all and only
the leaves that are naturals
(in no particular order and
possibly with duplicates)

Example of program refinement using SOFT:

since the specification involves binary trees, we use the divide-and-conquer algorithm schema for binary trees

```
(defun-sk2 spec[?h] (?h) ()  
  (forall x (io x (?h x))))
```

strict implication; this refinement step reduces the set of possible implementations

```
(defun2 spec1[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (forall x (io x (?h x)))))
```

we constrain `?h` to be `fold[?f_?g]` for some `?f` and `?g`

this refinement step introduces auxiliary target functions; `?h` is determined when `?f` and `?g` are determined

2nd-order equalities and inlined quantifiers are artistic licenses (the real version uses suitable `defun-sk2s`)

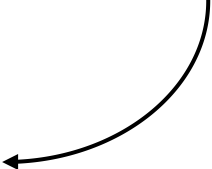
Example of program refinement using SOFT:

```
(defun-sk2 spec[?h] (?h) ()  
  (forall x (io x (?h x))))
```



```
(defun2 spec1[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (forall x (io x (?h x)))))
```

we use the first conjunct to
rewrite the second conjunct



non-strict
refinement
(equivalence)



```
(defun2 spec2[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (forall x (io x (fold[?f_?g] x)))))
```

Example of program refinement using SOFT:

```
(defun-sk2 spec[?h] (?h) () ...)
```



```
(defun2 spec1[?h_?f_?g] (?h ?f ?g) () ...)
```



```
(defun2 spec2[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (forall x (io x (fold[?f_?g] x)))))
```

we apply the correctness theorem of the divide-and-conquer algorithm schema backwards



```
(defthm fold-io[?f_?g_?io]  
  (implies (and (atom-io[?f_?io])  
                (consp-io[?g_?io])  
                (?io x (fold[?f_?g] x))))
```

correctness theorem of the divide-and-conquer algorithm schema



Example of program refinement using SOFT:

```
(defun-sk2 spec[?h] (?h) () ...)
```



```
(defun2 spec1[?h_?f_?g] (?h ?f ?g) () ...)
```



```
(defun2 spec2[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (forall x (io x (fold[?f_?g] x)))))
```

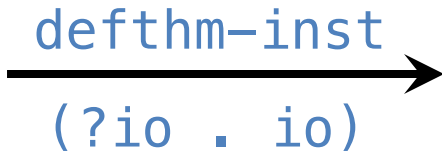
we apply the correctness theorem of the divide-and-conquer algorithm schema backwards



match

```
(?io x (fold[?f_?g] x))
```

```
(io x (fold[?f_?g] x))
```



```
(and (atom-io[?f_?io])  
      (consp-io[?g_?io]))
```

```
(and (atom-io[?f_io])  
      (consp-io[?g_io]))
```

Example of program refinement using SOFT:

```
(defun-sk2 spec[?h] (?h) () ...)
```



```
(defun2 spec1[?h_?f_?g] (?h ?f ?g) () ...)
```

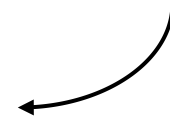


```
(defun2 spec2[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (forall x (io x (fold[?f_?g] x)))))
```



```
(defun2 spec3[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (atom-io[?f_io])  
        (consp-io[?g_io])))
```

we apply the
correctness theorem
of the divide-and-
conquer algorithm
schema backwards



Example of program refinement using SOFT:

```
(defun-sk2 spec[?h] (?h) () ...)
```



```
(defun2 spec1[?h_?f_?g] (?h ?f ?g) () ...)
```



```
(defun2 spec2[?h_?f_?g] (?h ?f ?g) () ...)
```



```
(defun2 spec3[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (atom-io[?f_io])  
        (consp-io[?g_io])))
```

these are requirements
specifications for **?f** and **?g**
that can be stepwise refined
independently

Example of program refinement using SOFT:

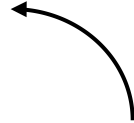
`(atom-io[?f_io])`



⋮



`(equal ?f f)`



for some `(defun f ...)`

Example of program refinement using SOFT:

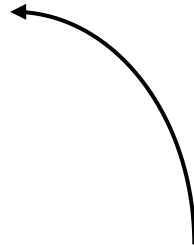
(atom-io[?f_io])



·
·
·



(equal ?f f)



we apply this implication backwards
in the main refinement sequence

Example of program refinement using SOFT:

```
(defun-sk2 spec[?h] (?h) () ...)
```



```
(defun2 spec1[?h_?f_?g] (?h ?f ?g) () ...)
```



```
(defun2 spec2[?h_?f_?g] (?h ?f ?g) () ...)
```



```
(defun2 spec3[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (atom-io[?f_io])  
        (consp-io[?g_io])))
```



```
(defun2 spec4[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (equal ?f f)  
        (consp-io[?g_io])))
```

Example of program refinement using SOFT:

```
(defun-sk2 spec[?h] (?h) () ...)
```

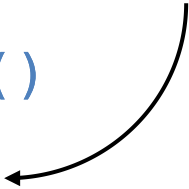


·
·
·



```
(defun2 spec4[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (equal ?f f)  
        (consp-io[?g_io])))
```

we proceed analogously for ?g



```
(consp-io[?g_io])
```



```
(equal ?g g)
```

Example of program refinement using SOFT:

```
(defun-sk2 spec[?h] (?h) () ...)
```



·
·
·



```
(defun2 spec4[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (equal ?f f)  
        (consp-io[?g_io])))
```



```
(defun2 spec5[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (equal ?f f)  
        (equal ?g g)))
```

Example of program refinement using SOFT:

```
(defun-sk2 spec[?h] (?h) () ...)
```

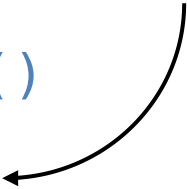


·
·
·



```
(defun2 spec5[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[?f_?g])  
        (equal ?f f)  
        (equal ?g g)))
```

we use the second and third conjuncts to rewrite the first conjunct



Example of program refinement using SOFT:

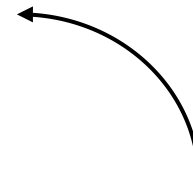
```
(defun-sk2 spec[?h] (?h) () ...)
```



·
·
·



```
(defun2 spec5[?h_?f_?g] (?h ?f ?g) ()  
  (and (equal ?h fold[f_g])  
        (equal ?f f)  
        (equal ?g g)))
```



⟨fold[f_g] f, g⟩
is the obtained
implementation
of spec



the implementation
witnesses the
consistency of spec

SOFT is available in the ACL2 community books:

`tools/soft.lisp`

`tools/soft-paper-examples.lisp`