# PF-transform: using Galois connections to structure relational algebra

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# Motivation

We motivate this subject by placing some very general questions:

- Why is **programming** "difficult"?
- Is there a generic skill, or competence, that one such acquire to become a "good programmer"?

Surely that of abstract modelling. But, still,

- What is it that makes abstract modelling a challenging task?
- Are there generic conceptual **patterns** that could be used to shorten the path from **problems** to **models**?

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## $\mathsf{Problems} = \mathsf{Easy} + \mathsf{Hard}$

Superlatives in problem statements, eg.

- "... the smallest such number"
- "... the longest such list"
- "... the best approximation"

suggest two layers in specifications:

- the easy layer broad class of solutions (eg. a prefix of a list)
- the difficult layer requires one particular such solution regarded as optimal in some sense (eg. "longest prefix up to a given length").

#### Example — back to the primary school desk

#### The whole division algorithm

7 2  
1 3 
$$2 \times 3 + 1 = 7$$
, "ie."  $3 = 7 \div 2$ 

However

That is: for some r,

$$\begin{array}{c|c} n & d \\ r & q \end{array} \quad q = n \div d \equiv d \times q + r = n \end{array}$$

provided q is the largest such q (r smallest)

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#### Example — specifying $x \div y$

First version (literal):

$$x \div y = \langle \bigvee z :: z \times y \le x \rangle$$
(203)

Second version (involved):

$$z = x \div y \equiv \langle \exists r : 0 \le r < y : x = z \times y + r \rangle$$
(204)

Third version (clever!):

 $z \times y \le x \equiv z \le x \div y$  (y > 0) (205)

- a so-called Galois connection, as we shall soon see.

# Why (205) is better than (203,204)

Equivalence (205),

$$z \times y \le x \equiv z \le x \div y$$
  $(y > 0)$ 

captures the requirements in an elegant way:

It is <u>a</u> solution: x ÷ y multiplied by y approximates x

 $(x \div y) \times y \leq x$ 

— let  $z := x \div y$  in (205) and simplify.

• It is the best solution because it provides the largest such number:

 $z \times y \le x \implies z \le x \div y \qquad (y > 0)$ 

— the  $\Rightarrow$  part of the  $\equiv$  of (205).

# Reasoning

#### Equivalence (205)

$$z \times y \le x \equiv z \le x \div y$$
  $(y > 0)$ 

is not only simple to write but effective to reason about.

Let us see an example: we want to prove the following equality

$$(n \div m) \div d = n \div (d \times m)$$

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What about

- using (203)? too many suprema!
- using (204)? too many existential quantifiers!
- using (205)? easy see the next slide.

# Proving $(n \div m) \div d = n \div (d \times m)$

 $q < (n \div m) \div d$  $\equiv$  { (205) }  $q \times d \leq n \div m$ { (205) } ≡  $(q \times d) \times m \leq n$  $\equiv$  {  $\times$  is associative }  $q \times (d \times m) < n$  $\equiv$  { (205) }  $q < n \div (d \times m)$ { indirection (206) } ::  $(n \div m) \div d = n \div (d \times m)$ 

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# (Generic) indirect equality

Note the use of the (generic) indirect equality rule

$$\langle \forall q :: q \leq x \equiv q \leq y \rangle \equiv (x = y)$$
 (206)

valid for **any** partial order  $\leq$ .

**Exercise 95:** Derive from (205) the two *cancellation* laws

 $q \leq (q \times d) \div d$  $(n \div d) \times d \leq n$ 

and reflexion law:

 $n \div d \ge 1 \quad \equiv \quad d \le n \tag{207}$ 

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#### Galois connections

Equivalence (205) is an example of a Galois connection:



In general, for **preorders**  $(A, \leq)$  and  $(B, \sqsubseteq)$  and



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(f, g) are said to be **Galois connected** iff, for all  $a \in A$  and  $b \in B$ ...

## Galois adjoints



# Still whole division

 $f = (\times 2)$  is the lower adjoint of  $g = (\div 2)$ .

The area below  $g = (\div 2)$  is the same as the area above  $f = (\times 2)$ .

 $f = (\times 2)$  is not surjective.

 $g = (\div 2)$  is not injective.



## Adjoints are "nearly" inverses

Easy to observe:

- $g(f y) = (y \times 2) \div 2 = y f$  is indeed a right inverse for g
- f(g 5) = (5 ÷ 2) × 2 = 2 × 2 = 4 ≤ 5 − g is not a right inverse for f, but it provides an approximation.

In spite of this asymmetry, the connection enables us to reason about

$$g=(\div y)$$

- the "hard" operation - in terms of

 $f = (\times y)$ 

— the "easy" operation. This is the main advantage of a Galois connection (GC).

# Notation

A GC can be expressed by point-wise equivalence (209)

 $f x \leq y \equiv x \sqsubseteq g y$ 

or by the equivalent relational equality (210),

 $f^{\circ} \cdot \leq = \Box \cdot g$ 

as we have seen.

Abbreviated notation

 $f \vdash g \tag{211}$ 

is used instead of (210) wherever the orders are implicit from the context.

### Basic properties

For preorders in



the two cancellation laws hold:

$$(f \cdot g)a \leq a$$
 and  $b \sqsubseteq (g \cdot f)b$  (213)

- recall exercise 95 for the case of whole division.

Distribution laws

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#### Basic properties

These hold wherever both preorder are lattices, that is, wherever suprema

$$b \sqcup b' \sqsubseteq x \equiv b \sqsubseteq x \land b' \sqsubseteq x \tag{216}$$

and infima

$$x \sqsubseteq b \sqcap b' \equiv x \sqsubseteq b \land x \sqsubseteq b'$$
(217)

exist. (Similarly for  $A, \leq, \vee, \wedge$ .)

**Exercise 96:** Resort to indirect equality to prove any of (214) or (215).  $\Box$ 

# Other properties

Conversely,

- If f distributes over  $\sqcup$  then it has an upper adjoint  $g(f^{\#})$
- If g distributes over  $\wedge$  then it has a lower adjoint  $f(g^{\flat})$

Moreover, if (f, g) are Galois connected,

- f and g are monotonic
- f(g) uniquely determines g(f) thus the  $\frac{1}{2}$ ,  $\frac{1}{2}$  notations
- (g, f) are also Galois connected just reverse the orderings

•  $f = f \cdot g \cdot f$  and  $g = g \cdot f \cdot g$ 

etc

# Summary

$(f \ b) \leq a \equiv b \sqsubseteq (g \ a)$			
Description	$f=g^{\flat}$	$g=f^{\sharp}$	
Definition	$f \ b = \bigwedge \{a : b \sqsubseteq g \ a\}$	$g a = \bigsqcup \{b : f b \le a\}$	
Cancellation	$f(g   a) \leq a$	$b \sqsubseteq g(f \ b)$	
Distribution	$f(b \sqcup b') = (f \ b) \lor (f \ b')$	$g(a' \wedge a) = (g \ a') \sqcap (g \ a)$	
Monotonicity	$b \sqsubseteq b' \Rightarrow f \ b \leq f \ b'$	$a \leq a' \Rightarrow g \ a \sqsubseteq g \ a'$	

**Exercise 97:** Derive from (209) that both f and g are monotonic.  $\Box$ 

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# Remark

Galois connections originate from the work of the French mathematician Evariste Galois (1811-1832). Their main advantages,

simple, generic and highly calculational

are welcome in proofs in computing, due to their size and complexity, recall E. Dijkstra:

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 $elegant \equiv simple and$ remarkably effective.

In the sequel we will re-interpret the **relational operators** we've seen so far as Galois adjoints.

#### Examples

Not only

$$\underbrace{(d\times)q}_{f q} \leq n \equiv q \leq \underbrace{n(\div d)}_{g n}$$

but also the two shunting rules,

$$\underbrace{(h \cdot)X}_{f \times} \subseteq Y \equiv X \subseteq \underbrace{(h^{\circ} \cdot)Y}_{g \times}$$
$$\underbrace{X(\cdot h^{\circ})}_{f \times} \subseteq Y \equiv X \subseteq \underbrace{Y(\cdot h)}_{g \times}$$

as well as converse,

$$\underbrace{X^{\circ}}_{f X} \subseteq Y \equiv X \subseteq \underbrace{Y^{\circ}}_{g Y}$$

and so and so forth — are **adjoints** of GCs: see the next slides.

## Converse

$(f X) \subseteq Y \equiv X \subseteq (g Y)$			
Description	$f=g^{\flat}$	$g=f^{\sharp}$	Obs.
converse	(_)°	(_)°	$bR^{\circ}a\equiv aRb$

Thus:

Cancellation $(R^{\circ})^{\circ} = R$ Monotonicity $R \subseteq S \equiv R^{\circ} \subseteq S^{\circ}$ Distributions $(R \cap S)^{\circ} = R^{\circ} \cap S^{\circ}, (R \cup S)^{\circ} = R^{\circ} \cup S^{\circ}$ 

**Exercise 98:** Why is it that converse-monotonicity can be strengthened to an equivalence?  $\Box$ 

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# Example of calculation from the GC

Converse involution:

$$(R^{\circ})^{\circ} = R \tag{218}$$

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Indirect proof of (218):

 $(R^{\circ})^{\circ} \subseteq Y$   $\equiv \{ \circ \text{-universal } X^{\circ} \subseteq Y \equiv X \subseteq Y^{\circ} \text{ for } X := R^{\circ} \}$   $R^{\circ} \subseteq Y^{\circ}$   $\equiv \{ \circ \text{-monotonicity} \}$   $R \subseteq Y$   $:: \{ \text{ indirection } \}$   $(R^{\circ})^{\circ} = R$ 

# Functions

$(f X) \subseteq Y \equiv X \subseteq (g Y)$			
Description	$f = g^{\flat}$	$g=f^{\sharp}$	Obs.
shunting rule	( <i>h</i> ·)	$(h^{\circ}\cdot)$	NB: <i>h</i> is a function
"converse" shunting rule	$(\cdot h^\circ)$	(·h)	NB: <i>h</i> is a function

Consequences:

Functional equality: $h \subseteq g \equiv h = k \equiv h \supseteq k$ Functional division: $R \cdot h = R/h^{\circ}$ 

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**Question:** what does R/S mean?

#### Relational division

In the same way

 $z \times y \leq x \equiv z \leq x \div y$ 

means that  $x \div y$  is the largest **number** which multiplied by y approximates x,

$$Z \cdot Y \subseteq X \equiv Z \subseteq X/Y \tag{219}$$

means that X/Y is the largest **relation** which pre-composed Y approximates X.

What is the pointwise meaning of X/Y?

#### We reason:

First, the types of

 $Z\cdot Y\subseteq X\ \equiv\ Z\subseteq X/Y$ 



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Next, the calculation:

c (X/Y) a  $\equiv \{ \text{ introduce points } C \stackrel{\underline{c}}{\longleftarrow} 1 \text{ and } A \stackrel{\underline{a}}{\longleftarrow} 1 \}$   $x(\underline{c}^{\circ} \cdot (X/Y) \cdot \underline{a})x$   $\equiv \{ \text{ one-point (12)} \}$   $x' = x \Rightarrow x'(\underline{c}^{\circ} \cdot (X/Y) \cdot \underline{a})x$ 

Proceed by going pointfree:

### We reason

$$id \subseteq \underline{c}^{\circ} \cdot (X/Y) \cdot \underline{a}$$

$$\equiv \{ \text{ shunting rules (Galois connections)} \}$$

$$\underline{c} \cdot \underline{a}^{\circ} \subseteq X/Y$$

$$\equiv \{ \text{ rule (219)} - \text{ Galois connection} \}$$

$$\underline{c} \cdot \underline{a}^{\circ} \cdot Y \subseteq X$$

$$\equiv \{ \text{ now shunt } \underline{c} \text{ back to the right} \}$$

$$\underline{a}^{\circ} \cdot Y \subseteq \underline{c}^{\circ} \cdot X$$

$$\equiv \{ \text{ back to points via (47)} \}$$

$$\langle \forall b : a Y b : c X b \rangle$$

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#### Outcome

In summary:

 $c(X/Y) a \equiv \langle \forall b : a Y b : c X b \rangle$ 



Example:

a Y b = passenger a choses flight b c X b = company c operates flight b c (X/Y) a = company c is the only one trusted by passenger a, that is, a only flies c.

### Pointwise meaning in full

The full pointwise encoding of Galois connection

 $Z \cdot Y \subseteq X \equiv Z \subseteq X/Y$ 

is:

 $\langle \forall c, b : \langle \exists a : cZa : aYb \rangle : cXb \rangle \equiv \langle \forall c, a : cZa : \langle \forall b : aYb : cXb \rangle \rangle$ 

If we drop variables and regard the uppercase letters as denoting Boolean terms dealing without variable c, this becomes

 $\langle \forall b : \langle \exists a : Z : Y \rangle : X \rangle \equiv \langle \forall a : Z : \langle \forall b : Y : X \rangle \rangle$ 

recognizable as the splitting rule (7) of the Eindhoven calculus.

Put in other words: **existential** quantification is **lower** adjoint of **universal** quantification.

#### Exercises

#### Exercise 99: Prove the equalities

$X \cdot f$	=	$X/f^{\circ}$	(221)
$X/\perp$	=	Т	(222)
$\top / Y$	=	Т	(223)

and check their pointwise meaning.  $\Box$ 

Exercise 100: Define

$$X \setminus Y = (Y^{\circ}/X^{\circ})^{\circ}$$
 (224)

and infer:

$$a(R \setminus S)c \equiv \langle \forall b : b R a : b S c \rangle$$

$$R \cdot X \subseteq Y \equiv X \subseteq R \setminus Y$$
(225)
(225)
(226)

# Relational division

$(f X) \subseteq Y \equiv X \subseteq (g Y)$			
<b>Description</b> $f = g^{\flat}$ $g = f^{\sharp}$ <b>Obs.</b>			
right-division	$(\cdot R)$	( / R)	right-factor
left-division	$(R\cdot)$	$(R \setminus )$	left-factor

that is,

$$X \cdot R \subseteq Y \equiv X \subseteq Y / R$$

$$R \cdot X \subseteq Y \equiv X \subseteq R \setminus Y$$
(227)
(228)

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Immediate:  $(R \cdot)$  and  $(\cdot R)$  are monotonic and distribute over union:

 $R \cdot (S \cup T) = (R \cdot S) \cup (R \cdot T)$ (S \cup T) \cdot R = (S \cdot R) \cup (T \cdot R)

(R) and (R) are monotonic and distribute over  $\cap$ .

## Domain and range

$(f X) \subseteq Y \equiv X \subseteq (g Y)$			
<b>Description</b> $f = g^{\flat}$ $g = f^{\sharp}$ <b>Obs.</b>			Obs.
domain	δ	$(\top \cdot)$	lower $\subseteq$ restricted to coreflexives
range	ρ	$(\cdot \top)$	lower $\subseteq$ restricted to coreflexives

Thus the universal properties of domain and range

$$\begin{split} \delta \, R &\subseteq \Phi &\equiv R \subseteq \top \cdot \Phi \\ \rho \, R &\subseteq \Phi &\equiv R \subseteq \Phi \cdot \top \end{split}$$

— recall (126) and (127) — are Galois connections, and so

 $\delta(S \cup R) = \delta S \cup \delta R$  $\top \cdot (\Phi \cap \Psi) = \top \cdot \Phi \cap \top \cdot \Psi$ 

hold — similarly for  $\rho$  and  $(\cdot\top)$ .

#### Other operators

$(f X) \subseteq Y \equiv X \subseteq (g Y)$			
Description	$f = g^{\flat}$	$g=f^{\sharp}$	Obs.
implication	$(R \cap)$	$(R \Rightarrow)$	$b(R \Rightarrow X)a \equiv bRa \Rightarrow bXa$
difference	$(_{-} - R)$	$(R \cup )$	

Thus the universal properties of implication and difference,

 $R \cap X \subseteq Y \equiv X \subseteq R \Rightarrow Y$  $X - R \subseteq Y \equiv X \subseteq R \cup Y$ 

are GCs — etc, etc

**Exercise 101:** Show that  $R \cap (R \Rightarrow Y) \subseteq Y$  ("modus ponens") holds and that  $R - R = \bot - R = \bot$ .  $\Box$ 

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#### Exercises

**Exercise 102:** Let  $\mathcal{P}A = \{S : S \subseteq A\}$  and let  $A \xleftarrow{\in} \mathcal{P}A$  denote the membership relation  $a \in S$ , for any a and S. What does the relation  $\in \setminus \in$  mean?  $\Box$ 

**Exercise 103:** Show that the relation  $\in \setminus \in$  of the previous exercise is reflexive and transitive.  $\Box$ 

**Exercise 104:** Prove that equality

$$(R \setminus S) \cdot f = R \setminus (S \cdot f)$$
(229)

holds. 🗆

### Exercises

**Exercise 105:** (a) Show that  $R \subseteq \bot/S^{\circ} \equiv \delta R \cap \delta S = \bot$ ; (b) Then use indirect equality to infer the universal property of term  $R \cap \bot/S^{\circ}$  — the largest sub-relation of R whose domain is disjoint of that of S.  $\Box$ 

Exercise 106: The relational overriding combinator,

$$R \dagger S = S \cup R \cap \bot / S^{\circ} \tag{230}$$

means the relation which contains the whole of *S* and that part of *R* where *S* is undefined — read  $R \dagger S$  as "*R* overridden by *S*". (a) Show that  $\perp \dagger S = S$  and that  $R \dagger \perp = R$ ; (b) Infer the universal property:

$$X \subseteq R \dagger S \equiv X - S \subseteq R \land \delta (X - S) \cdot \delta S = \bot$$
(231)

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# Binary adjoints

Recall the universal property of  $\cup$  (65),  $R \cup S \subseteq X \equiv R \subseteq X \land S \subseteq X$ , which can be written thus

$$\cup (R,S) \subseteq X \equiv (R,S)(\subseteq \times \subseteq)(X,X)$$

or even as

 $\cup (R,S) \subseteq X \equiv (R,S)(\subseteq \times \subseteq)(\Delta X)$ 

where  $\Delta X = (X, X)$ . Clearly,

#### $\cup \vdash \Delta$

Similarly, the universal property of  $\cap$  (64) can be captured by

 $\Delta \vdash \cap$ 

since  $(X, X) \subseteq (\subseteq X \subseteq) (R, S) \equiv X \subseteq \cap (R, S)$ .

Motivation E+H split Galois connections Application I — Hoare Logic Application II — Optimization calculus Application III —

# A glimpse of GC (generic) algebra

Assume  $f \vdash g$  and  $f' \vdash g'$  hold in:

**Functors** (preorders)  $Ff \vdash Fg$ **Splitting** (lattices)  $\langle f, f' \rangle \vdash \sqcap \cdot (g \times g')$ In particular, for f, f' := id, g, g' := id:  $\wedge \vdash \Box$ (232)for  $\triangle x = (x, x)$ .

Identity

id ⊢ id

Composition

 $f \cdot f' \vdash g' \cdot g$ 

Converse (symmetry)

 $f \vdash g \equiv g \vdash f$ 

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# Application I — Hoare Logic

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## Handling Hoare triples in relation algebra

As application of the above we show next how to handle **Hoare triples** such as

$$\{p\}P\{q\} \tag{233}$$

in relation algebra. First we spell out the meaning of (233):

$$\langle \forall s : p s : \langle \forall s' : s \xrightarrow{P} s' : q s' \rangle \rangle$$
 (234)

that is:

if program P is in state s satisfying condition p, and it moves to state s', then s' satisfies q.

In other words:

Condition p holding before P executes is sufficient for condition q to hold after P executes.

## Handling Hoare triples in relation algebra

Let [P] denote the state transition relation of P, that is s'[P]s means the same as  $s \xrightarrow{P} s'$ .

Then (234) re-writes as follows:

 $\begin{array}{l} \langle \forall \ s \ : \ p \ s : \ \langle \forall \ s' \ : \ s'\llbracket P \rrbracket s : \ q \ s' \rangle \rangle \\ \\ \equiv & \{ \text{ coreflexives } \} \\ \langle \forall \ s \ : \ s \Phi_p s : \ \langle \forall \ s' \ : \ s'\llbracket P \rrbracket s : \ s' \Phi_q s' \rangle \rangle \\ \\ \equiv & \{ \ \top \ ; \text{ coreflexives } \} \\ \langle \forall \ s, s'' \ : \ s \Phi_p s'' : \ \langle \forall \ s' \ : \ s'\llbracket P \rrbracket s : \ s'(\Phi_q \cdot \top) s'' \rangle \rangle \\ \\ \equiv & \{ \text{ recall } (225) \text{ and remove variables } \} \\ \Phi_p \subseteq \llbracket P \rrbracket \setminus (\Phi_q \cdot \top) \end{array}$ 

## Handling Hoare triples in relation algebra

Finally:

$$\begin{aligned} \Phi_p &\subseteq \llbracket P \rrbracket \setminus (\Phi_q \cdot \top) \\ &\equiv & \{ \ \ \mathsf{GC} \ \text{of division} \ (228) \ \} \\ & \llbracket P \rrbracket \cdot \Phi_p \subseteq \Phi_q \cdot \top \\ & \equiv & \{ \ \ (118) \ \} \\ & \llbracket P \rrbracket \cdot \Phi_p \subseteq \Phi_q \cdot \llbracket P \rrbracket \end{aligned}$$

Comparing this with the meaning of **contract**  $\Phi_q \prec \Phi_p$  recall (143) — we realize that they are the same in case  $[\![P]\!]$  is a function — P deterministic and wholly defined.

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#### Hoare triples are contracts

In summary:

The meaning of Hoare triple  $\{p\}P\{q\}$  is the contract

 $\llbracket P \rrbracket \cdot \Phi_p \subseteq \Phi_q \cdot \llbracket P \rrbracket$ (235)

where [P] denotes the state transition semantics of P.

We will write

$$\Phi_p \xrightarrow{P} \Phi_q$$

to mean (235) which, as seen above, is the same as

$$\llbracket P \rrbracket \cdot \Phi_p \subseteq \Phi_q \cdot \top \tag{236}$$

#### Hoare triples are GCs

In turn, (236) is equivalent to

 $\Phi_p \subseteq \llbracket P \rrbracket \setminus (\Phi_q \cdot \top) \cap \mathit{id}$ 

Thanks to GC (127), (236) is also equivalent to

 $\rho\left(\llbracket P\rrbracket \cdot \Phi_p\right) \subseteq \Phi_q$ 

Thus we have the following Galois connection for Hoare triples, where P,  $\Phi$  and  $\Psi$  abbreviate  $[\![P]\!]$ ,  $\Phi_p$  and  $\Phi_q$ , respectively:

$$\underbrace{\rho\left(P \cdot \Phi\right)}_{f \ \Phi} \subseteq \Psi \equiv \Phi \subseteq \underbrace{P \setminus (\Psi \cdot \top) \cap id}_{g \ \Psi}$$
(237)

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Adjoints *f* and *g* are known as **predicate transformers**.

#### Hoare triples are GCs

The usual notation for  $g \Psi$  is  $P \downarrow \Psi$  — the weakest (liberal) **pre-condition** (WP) for  $\Psi$  to hold on the outputs of P.

Dually,  $f \Phi = \rho (P \cdot \Phi)$  is known as the **strongest post-condition** (SP) holding on all outputs of *P* restricted by  $\Phi$  on the input.

These concepts are independent of their use in Hoare logic. In general, given a binary relation  $B < \stackrel{R}{\longleftarrow} A$  and coreflexives  $A < \stackrel{\Phi}{\longleftarrow} A$  and  $B < \stackrel{\Psi}{\longleftarrow} B$ , we define

$$\Phi \xrightarrow{R} \Psi \equiv R \cdot \Phi \subseteq \Psi \cdot R$$
(238)  
$$\equiv \Phi \subseteq R \bullet \Psi$$
(239)

which extends functional contracts to arbitrary relations.

## Exercise 107: Prove $\Box \qquad id \stackrel{R}{\longleftarrow} \Phi \equiv T_{RUE} \equiv \Phi \stackrel{R}{\longleftarrow} \bot \qquad (240)$ Exercise 108: Prove the special cases: • WP of a function f:

$$f \bullet \Phi_q = \lambda a.q(f a) \tag{241}$$

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• SP of a function f:

 $\rho(f \cdot \Phi_p) = \lambda b.b \in \{f \ a \mid p \ a\}$ (242)

**NB:** recall that (241) has been used several times earlier on in contract calculation.  $\Box$ 

**Exercise 109:** The formal meaning of (imperative) code sequential composition is

#### $\llbracket P; Q \rrbracket = \llbracket Q \rrbracket \cdot \llbracket P \rrbracket$

Show that the following rule of the Hoare logic of programs,

 $\frac{\{p\} P\{q\} , \{q\} Q\{s\}}{\{p\} P; Q\{s\}}$ 

is an instance of the following relational typing rule:

 $\Psi \stackrel{R\cdot S}{\longleftarrow} \Phi \quad \Leftarrow \quad \Psi \stackrel{R}{\longleftarrow} \Upsilon \land \Upsilon \stackrel{S}{\longleftarrow} \Phi \quad (243)$ 

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**Exercise 110:** Prove the "trading rule":

$$\Upsilon \stackrel{R}{\longleftarrow} \Phi \cdot \Psi \equiv \Upsilon \stackrel{R \cdot \Phi}{\longleftarrow} \Psi$$
(244)

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Exercise 111: Re-write the following "contract splitting" rule,

$$\Psi_1 \cdot \Psi_2 \stackrel{R}{\longleftarrow} \Phi \equiv \Psi_1 \stackrel{R}{\longleftarrow} \Phi \land \Psi_2 \stackrel{R}{\longleftarrow} \Phi \quad (245)$$

in Hoare logic. Then prove (245).  $\Box$ 

#### WP calculus

Facts (237) and (239) show that whatever one can do in Hoare logic can be done with Dijkstra's WPs.

Let us show an example by converting (245) to WP-calculus:

 $\Upsilon \cdot \Psi \not\leftarrow \stackrel{R}{\longleftarrow} \Phi \equiv \Upsilon \not\leftarrow \stackrel{R}{\longleftarrow} \Phi \land \Psi \not\leftarrow \stackrel{R}{\longleftarrow} \Phi$   $\equiv \{ WPs (239) \text{ three times} \} \}$   $\Phi \subseteq R \blacktriangleright (\Upsilon \cdot \Psi) \equiv \Phi \subseteq R \blacktriangleright \Upsilon \land \Phi \subseteq R \blacktriangleright \Psi$   $\equiv \{ \text{ coreflexives (112) ; meet-universal (64) } \}$   $\langle \forall \Phi :: \Phi \subseteq R \blacktriangleright (\Upsilon \cdot \Psi) \equiv \Phi \subseteq (R \blacktriangleright \Upsilon) \cap (R \blacktriangleright \Psi) \rangle$   $\equiv \{ \text{ meet of correflexives; indirect equality (69) } \}$   $R \blacktriangleright (\Upsilon \cdot \Psi) = (R \blacktriangleright \Upsilon) \cdot (R \blacktriangleright \Psi)$ 

#### WP calculus

A more interesting example is the transformation of the WP-rule for sequential composition

$$(S \cdot R) \bullet \Phi = R \bullet (S \bullet \Phi)$$
(246)

into a contract:

$$R \blacklozenge (S \blacklozenge \phi) = (S \cdot R) \blacklozenge \phi$$

$$\equiv \{ \text{ indirect equality (69)} \}$$

$$\psi \subseteq R \blacklozenge (S \blacklozenge \phi) \equiv \psi \subseteq (S \cdot R) \blacklozenge \phi$$

$$\equiv \{ (239) \text{ twice } \}$$

$$(S \blacklozenge \phi) \stackrel{R}{\longleftarrow} \psi \equiv \phi \stackrel{(S \cdot R)}{\longleftarrow} \psi \qquad (247)$$

The outcome, still involving the  $\blacklozenge$  operator, is an advantageous replacement for (243), since it is an equivalence.

**Exercise 112:** Show that  $\rho R \prec R \to \delta R$  holds. However, WP  $R \bullet (\rho R) = id$  rather than  $\delta R$ . Explain why.  $\Box$ 

**Exercise 113:** Show that  $\rho R \stackrel{R}{\longleftarrow} \delta R$  holds. However, WP  $R \triangleright (\rho R) = id$  rather than  $\delta R$ . Explain why.  $\Box$ 

**Exercise 114:** The two "shunting" rules for S a simple relation,

 $S \cdot R \subseteq Q \equiv (\delta S) \cdot R \subseteq S^{\circ} \cdot Q$  (248)

 $R \cdot S^{\circ} \subseteq Q \equiv R \cdot \delta S \subseteq Q \cdot S$ (249)

are "almost" Galois connections. (a) Derive the following variants concerning coreflexives,

 $R \cdot \Phi \subseteq S \equiv R \cdot \Phi \subseteq S \cdot \Phi$  $\Phi \cdot R \subseteq S \equiv \Phi \cdot R \subseteq \Phi \cdot S$ 

referred to earlier on as the *closure properties* (113) and (114), respectively; (b) prove either (248) or (249) by cyclic implication (yulg.

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## Application II — Optimization calculus

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## Programming is optimization

**Abstract** models are derived from requirements by ignoring unnecessary detail.

This often results in models whose operations are **vague** or **non-deterministic**.

Such operations, often recorded as pre/post condition pairs, are binary relations.

As computers cannot handle vagueness, deriving code for such operations calls for **determinization** — some way to convert such relations into functions.

This process is known as **model refinement**, and it is performed in a stepwise manner; however, how does one control it? What is the **guiding principle** (if any)?

## Programming is optimization

Recall (203), one of the definitions given for whole division:

 $x \div y = \langle \bigvee z :: z \times y \le x \rangle$ 

Given some y, term  $z \times y \leq x$  denotes a binary relation with input x and output z. But not every output z is acceptable — (203) tells that one wants **the largest** such z.

So there is an **ordering** ( $\leq$ ) on the outputs ( $\mathbb{N}_0$ ) telling what the **optimization** principle should be: *largest* wrt.  $\mathbb{N}_0 \ll \mathbb{N}_0$ .

Whole division is (perhaps) the first **optimization** problem one solves at school; programmers do it **all the time**, most often unconsciously!

## Programming is optimization

Another example is provided by the Galois connection which specifies the *take* function available in Haskell, for instance:

length  $ys \leq n \land ys \leq xs \equiv ys \leq take \ n \ xs$  (250)

Here the ordering on outputs is the **prefix** relation  $(\leq)$  on lists.

For each *n*, term length  $ys \le n \land ys \le xs$  tells which outputs ys are candidates for *take n xs*.

But only one of these is acceptable — the **longest** such prefix, which is **optimal** with respect to the prefix ordering.

**Exercise 115:** Before implementing *take* one can start proving properties about this function solely relying on (250):

• Show that

```
take (length xs) xs = xs
```

holds.

Resort to indirect equality over ≤ in proving

take n (take m xs) = take (min n m) xs

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where *min*, the minimum of two natural numbers, is given by the obvious Galois connection.

#### Optimization in an abstract setting

Let us once again go back to (203) and spell out the meaning of its supremum:

$$z(\div y)x \equiv z \times y \le x \land \langle \forall z' : z' \times y \le x : z \ge z' \rangle$$
  
$$\equiv \{ \text{ define } z \ R \ x = z \times y \le x \}$$
  
$$\underbrace{z \times y \le x}_{z \ R \ x} \land \underbrace{\langle \forall z' : \underbrace{z' \times y \le x}_{x \ R^{\circ} \ z'} : z \ge z' \rangle}_{z(\ge/R^{\circ})x}$$

Im summary:

$$(\div y) = R \cap \ge /R^{\circ} \text{ where } R = (\times y)^{\circ} \cdot \le x \quad (251)$$

$$z \xleftarrow{\geq} R^{\circ} \qquad x \qquad z' (\forall)$$

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### Optimization in an abstract setting

**Generalization**: given any relation  $B \stackrel{R}{\longleftarrow} A$  and an **optimization** criterion  $B \stackrel{S}{\longleftarrow} B$  on its outputs,



define a new relational combinator  $R \upharpoonright S$  (read: R optimized by S, or R "shrunk" by S) as follows:

$$R \upharpoonright S = \underbrace{R}_{easy} \cap \underbrace{S/R^{\circ}}_{hard}$$
(252)

The "hard" term specifies the optimization taking place.

## Optimization in an abstract setting

By standard application of **indirect equality** to (252) one obtains the **universal property** of the "shrinking" operator:

$$X \subseteq R \upharpoonright S \equiv X \subseteq R \land X \cdot R^{\circ} \subseteq S$$
(253)

This ensures  $R \upharpoonright S$  as the largest sub-relation X of R such that, for all  $b', b \in B$ , if there exists  $a \in A$  such that  $b'Xa \land bRa$ , then b'Sb holds ("b' better than b").



(253) can be regarded as a GC between the set of all **subrelations** of R and the set of **optimization criteria** on its outputs.

## **Optimization calculus**

Both the definition of  $R \upharpoonright S$  and its universal property (253) provide a rich setting for exploiting **generic properties** of **optimization** in this abstract setting.

Below we give a brief account of such algebra, as obtained using relational calculus.

The interested reader is referred to the works by Mu and Oliveira (2012) and Oliveira and Ferreira (2012) for a more complete account of optimization by shrinking, with applicatons to software design.

Chaotic optimization:

$$R \upharpoonright \top = R \tag{254}$$

Impossible optimization:

```
R \upharpoonright \bot = \bot \tag{255}
```

"Brute force" determinization:

 $R \upharpoonright id =$  largest deterministic fragment of R (256)

Thus  $R \upharpoonright id$  is the part of R which cannot be further refined.

**Exercise 116:** Prove the two first equalities above.  $\Box$ 

 $R \upharpoonright id$  is the extreme case of the fact which follows:

 $R \upharpoonright S$  is simple  $\leftarrow S$  is anti-symmetric (257)

Thus anti-symmetric criteria always lead to determinism, possibly at the sacrifice of totality. Clearly: for R simple,

$$R \upharpoonright S = R \equiv \operatorname{img} R \subseteq S \tag{258}$$

Thus (functions)

 $f \upharpoonright S = f \quad \Leftarrow \quad S \text{ is reflexive}$  (259)

Pre-condition fusion:

$$(R \upharpoonright S) \cdot \Phi = (R \cdot \Phi) \upharpoonright S$$
(260)

Two function fusion rules

$$(R \upharpoonright S) \cdot f = (R \cdot f) \upharpoonright S$$
(261)  
$$(f \cdot R) \upharpoonright S = f \cdot (R \upharpoonright S_f)$$
(262)

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where  $S_f$  abbreviates  $f^{\circ} \cdot S \cdot f$ .

**Exercise 117:** Show that, for *S* a preorder,  $S_f$  above is also a preorder.

Union:

$$(R \cup S) \upharpoonright Q = (R \upharpoonright Q) \cap Q/S^{\circ} \cup (S \upharpoonright Q) \cap Q/R^{\circ}$$
 (263)

This has a number of corollaries, namely a conditional rule,

 $(p \rightarrow R, T) \upharpoonright S = p \rightarrow (R \upharpoonright S), (p \upharpoonright S)$  (264)

the distribution over alternatives (77),

$$[R, S] \upharpoonright U = [R \upharpoonright U, S \upharpoonright U]$$
(265)

and the "function competition" rule:

 $(f \cup g) \upharpoonright S = (f \cap S \cdot g) \cup (g \cap S \cdot f)$ (266)

since  $S/g^{\circ} = S \cdot g$ .

#### "Function competition" rule

With points:

$$y((f \cup g) \upharpoonright S) x \equiv \begin{cases} y = f \times \wedge (f \times)S(g \times) \\ \lor \\ y = g \times \wedge (g \times)S(f \times) \end{cases}$$

that is: f (resp. g) "wins" wherever it is better than g (resp. f) wrt. S. For instance,

 $abs = (id \cup sim) \upharpoonright \geq$ 

for sim x = -x, cf.

 $y = abs \ x \equiv y = x \land x \ge -x \lor y = -x \land -x \ge x$  $\equiv y = x \land x \ge 0 \lor y = -x \land 0 \ge x$ 

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## $R \upharpoonright S$ on data

Combinator  $R \upharpoonright S$  also makes sense when R and S are finite, relational data structures (eg. tables in a database).

Example of  $R \upharpoonright S$  in **data-processing**: given

(	Examiner	Mark	Student \	
	Smith	10	John	
	Smith	11	Mary	
	Smith	15	Arthur	
	Wood	12	John	
	Wood	11	Mary	
	Wood	15	Arthur /	

and wishing to "choose the best mark", project over Mark, Student and optimize over the  $\geq$  ordering on Mark (next slide):

 $R \upharpoonright S$  on data

(	Mark	Student		Mark	Student
	10	John	$= \leq 1$	IVIAI K	Student
	11	Many		11	Mary
	11	iviary		12	John
	12	John		15	Arthur
l	15	Arthur		10	Arthur

Relational shrinking can also be used for induction-free reasoning about sequences (lists), welcome in **Alloy** where no explicit recursion is available.

Example of  $R \upharpoonright S$  in **list-processing**: given a sequence  $A \stackrel{S}{\leftarrow} \mathbb{N}$ ,

 $A \stackrel{nub \ S}{\leftarrow} \mathbb{N} \triangleq (S^{\circ} \upharpoonright \leq)^{\circ}$ 

removes all duplicates while keeping the first instances. (Data in  $\mathbb{N}$  could be regarded as "time stamps".)

## Galois connections (211) as optimization problems

 $f^{\circ} \cdot (\leq) = (\Box) \cdot g$  $\equiv$  { ping-pong }  $(\Box) \cdot g \subset f^{\circ} \cdot (<) \land f^{\circ} \cdot (<) \subset (\Box) \cdot g$ { converses }  $\equiv$  $(\sqsubseteq) \cdot g \subseteq f^{\circ} \cdot (\leq) \land (f^{\circ} \cdot (\leq))^{\circ} \subseteq g^{\circ} \cdot (\sqsupseteq)$  $\equiv$  $\{ \text{ since } f \text{ is monotonic (see exercise 119 below) } \}$  $\underbrace{g \subseteq f^{\circ} \cdot (\leq)}_{\text{"easy"}} \land \underbrace{g \cdot (f^{\circ} \cdot (\leq))^{\circ} \subseteq (\beth)}_{\text{"hard"}},$ { universal property (253) }  $\equiv$  $g \subset (f^{\circ} \cdot (<)) \upharpoonright (\Box)$ (267) < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > < □ > <

## Galois connections as optimization problems

Comments:

- Given the two orderings (≤) and (□) and the "easy adjoint" f, implementing the "hard adjoint" amounts to solving the inequation (267) for g.
- We have already seen an instance of this result in (251), for whole division.

Question:

Implementations are usually recursive. Where in (267) is the "guideline" for introducing recursion in the calculations ?

Since  $g \subseteq (f^{\circ} \cdot (\leq)) \upharpoonright (\supseteq)$  expresses an optimization by  $(\supseteq)$ , it is this ordering which controls the implementation process. How?

Assume a generic Galois connection  $f^{\circ} \cdot \leq = \Box \cdot g$  in the following exercises.

**Exercise 118:** Show that f monotonicity,  $x \sqsubseteq y \Rightarrow f x \le f y$ , can be written point-free as

$$(\sqsubseteq) \cdot f^{\circ} \subseteq f^{\circ} \cdot (\leq), \tag{268}$$

**Exercise 119:** Show that, once (268) is assumed, the following equivalence holds:

$$g \subseteq f^{\circ} \cdot (\leq) \equiv (\sqsubseteq) \cdot g \subseteq f^{\circ} \cdot (\leq)$$
 (269)

Suggestion: do a "ping-pong" proof. □

Motivation E+H split Galois connections Application I - Hoare Logic Application II - Optimization calculus Application III -

## Application III — Optimization versus induction

## Optimizing over inductive relations

As shown in (Bird and de Moor, 1997) and (Mu and Oliveira, 2012), most often the orderings involved in **program optimization** are **inductive** relations.

- Inductive orderings lead to recursive programs
- "Greedy algorithms" and "dynamic programming" studied in this way in the *Algebra of Programming* book (Bird and de Moor, 1997).
- Complexity of the approach puts many readers off (need for always transposing relations to powerset functions; ...)

What's new in (Mu and Oliveira, 2012):

 $R \upharpoonright S$  algebra greatly simplifies and generalizes the calculation of programs from such specifications. (Notably, there is no need for power transpose.)

## Folds ( $k\alpha\tau\alpha$ s)

In general, for F a polynomial functor (relator) and initial  $\mu F \prec \frac{in}{\mu} F(\mu F)$ ,



there is a unique solution to equation  $X = R \cdot F X \cdot in^{\circ}$  — thus universal property:

 $X = (|R|) \equiv X \cdot in = R \cdot F X \tag{270}$ 

(Read (|R|) as "fold R" or " $\kappa \alpha \tau \alpha R$ ".)

## Relational folds

It is very easy to show that

$$(|in|) = id \tag{271}$$

holds — just make X = id in (270) and solve for R (this is known as the **reflexion** property).

Example: in = [nil, cons] for lists. Reflexion (271) means that the function f = ([nil, cons]) is bound to be the identity, cf.

f[] = []f(cons(a, x)) = cons(a, f x)

Now suppose we have  $R = [nil, cons \cup nil]$  in (270). What is the meaning of  $([nil, cons \cup nil])$ ?
#### Relational folds

Unfolding  $X = ([nil, cons \cup nil])$  we get

 $X \cdot [nil, cons] = [nil, cons \cup nil] \cdot (id + id \times X)$ 

that is,  $X \cdot nil = nil$  and  $X \cdot cons = (cons \cup nil) \cdot (id \times X)$ .

Introducing variables in  $X \cdot nil = nil$  we get  $y X [] \equiv y = []$  since  $nil_{-} = []$ . That is,  $[] X [] \equiv \text{TRUE}$ . Doing the same for the other clause we get:

 $y X (a:x) \equiv y = [] \lor \langle \exists x' : x' X x: y = a:x' \rangle$ 

Thus  $([nil, cons \cup nil])$  is the **prefix** relation:

 $(\preceq) = ([nil, cons \cup nil])$ 

#### The "Greedy" theorem

 $(|R \upharpoonright S|) \subseteq (|R|) \upharpoonright S \iff S^{\circ} \xleftarrow{R} F S^{\circ}$ (272)

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for *S* transitive. (**NB**:  $R \stackrel{X}{\longleftarrow} S$  means  $X \cdot S \subseteq R \cdot X$ ) In a diagram, where the side condition is depicted in dashed arrows:



Proof: see (Mu and Oliveira, 2012).

The *msp* problem ("maximum sum prefix"), whose spec  $msp :: [Int] \leftarrow [Int]$  y msp x = y is a prefix of x that yields the maximum sum

translates into  $(\leq = ([nil, cons \cup nil])$  is the prefix ordering)

 $y msp x \Rightarrow y \leq x \land \langle \forall z : z \leq x : sum y \geq sum z \rangle$ 

which in turn PF-transforms into

 $msp \subseteq \preceq \restriction \geq_{sum}$ 

(**NB:** not a GC, it is nevertheless a good example to understand greedy programming.)

We calculate:

 $msp \subset \prec \upharpoonright >_{sum}$ { definition of prefix ordering }  $\equiv$  $msp \subseteq ([nil, cons \cup nil]) \upharpoonright >_{sum}$ { greedy theorem (272) }  $\Leftarrow$  $msp \subseteq ([nil, cons \cup nil] \upharpoonright >_{sum})$ { junc-rule (265) ; determinism of *nil* }  $\equiv$  $msp \subseteq ([nil, (cons \cup nil) \upharpoonright \geq_{sum}))$ { function competition rule (266) }  $\equiv$  $msp \subseteq ([nil, (cons \cap \geq_{sum} \cdot nil) \cup (nil \cap \geq_{sum} \cdot cons)])$ 

(Side condition ignored for brevity.)

Let R abbreviate the inductive step

 $(\mathit{nil} \cap \geq_{\mathit{sum}} \cdot \mathit{cons}) \cup (\mathit{cons} \cap \geq_{\mathit{sum}} \cdot \mathit{nil})$ 

Then y R (a : x) means

 $y = [] \land 0 \ge a + sum x \lor y = a : x \land a + sum x \ge 0$ 

The case a + sum x = 0 is **ambiguous**, in the sense that the algorithm may either stop yielding y = [] or yield y = a : x, where x is the outcome of the recursive step.

As we still have non-determinism, we need to further shrink what we started from,  $msp = ( \prec \uparrow \geq_{sum}) \uparrow \prec$  (273)

to obtain the function which yields the shortest such prefix.

Putting everything together, the overall outcome will be, in Haskell syntax:

See more theorems and examples in (Mu and Oliveira, 2012) covering also optimizations which lead to hylomorphisms and anamorphisms.

It turns out that whole division  $(x \div y)$ , *take* etc end up being anamorphisms.

Motivation E+H split Galois connections Application I - Hoare Logic Application II - Optimization calculus Application III -

- R. Bird and O. de Moor. *Algebra of Programming*. Series in Computer Science. Prentice-Hall, 1997.
- S.-C. Mu and J.N. Oliveira. Programming from Galois connections. *JLAP*, 81(6):680–704, 2012.

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J.N. Oliveira and M.A. Ferreira. Alloy meets the algebra of programming: a case study, 2012. To appear in IEEE Transactions on Software Engineering.