research reported here. The views and conclusions contained herein are those of
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the U.S. Government, or Computational Logic, Inc.

References


18. Free Software Foundation, 1000 Massachusetts Avenue, Cambridge, MA 02138.


(FUNCTIONALLY-INSTANTIATE EVERY-X-IS-0 ()
  (EQUAL X 0)
  Z-IS-0
  ((Z (LAMBDA () X))))

The faulty reasoning goes as follows: To prove EVERY-X-IS-0 we have to prove the functional instance of the constraint on Z, namely,

(IMPLIES (EQUAL X 0)
  (EQUAL (Z X)))

under the functional substitution \{<Z, (LAMBDA () X)>\}. But that instance is the trivial:

(IMPLIES (EQUAL X 0)
  (EQUAL X X)).

That reasoning is correct, as far as it goes. However, the Reference Guide for FUNCTIONALLY-INSTANTIATE goes on to say

FUNCTIONALLY-INSTANTIATE aborts if any of the DEFN, CONSTRAN, or ADD-AIOM formulas to be instantiated and proved uses as a variable any variable that is free in fs. Such an abort can always be avoided by choosing new variable names.

Thus, the above FUNCTIONALLY-INSTANTIATE event is rejected. If we avoid the abort by choosing a different variable, e.g., \( \forall \), we must prove a non-theorem, e.g.,

(IMPLIES (EQUAL X 0)
  (EQUAL \( \forall \) X)),

which is equivalent to having to prove \( \text{EQUAL} \ (\forall \ 0) \).

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Why doesn’t this work? At first glance, one is tempted to say “you can’t prove the functional instance of the \texttt{ADD-AXIOM EVEN-P-ALIAS}.” But this is false, we can prove it: the functional substitution does not include \texttt{P-ALIAS} in its domain and so the instance of the axiom in question is just the axiom itself. So what proof obligation can’t we establish?

Consider what the Reference Guide for \texttt{FUNCTIONALLY-INstantiate} requires:

The formulas that must be proved are the \texttt{fs} instantiations of each user \texttt{DEFN}, \texttt{CONstrain}, and \texttt{ADD-AXIoM} that (a) uses as a function symbol some symbol in the domain of \texttt{fs} and (b) is either (i) an \texttt{ADD-AXIOM} or (ii) a \texttt{DEFN} or \texttt{CONstrain} that introduces a function symbol ancestral in the \texttt{FORMULA-OF} old-name or some \texttt{ADD-AXIOM}.

Consider the \texttt{DEFN} of \texttt{P-ALIAS}. It is a \texttt{DEFN} that (a) uses a function symbol in the domain of our \texttt{fs}, namely \texttt{P}, and (b) introduces a function symbol, namely \texttt{P-ALIAS}, that is ancestral in some \texttt{ADD-AXIOM}, namely \texttt{EVEN-P-ALIAS}. Thus, the functional instance of the definition of \texttt{P-ALIAS} under the substitution \{\texttt{<P, ADD1>}\} must be proved. This produces the goal \(\texttt{(P-ALIAS X)} = \texttt{(ADD1 X)}\), which is unprovable.

We could attempt to remedy this situation by providing an instantiation of \texttt{P-ALIAS}, namely, \texttt{ADD1}, in our functional substitution. But if we did that, the previously considered instance of the \texttt{ADD-AXIOM EVEN-P-ALIAS} would no longer be provable.

### 6.8 Tracking Free Variables

It is necessary for soundness that we check that the variables in the constraints do not intersect the free variables in the \texttt{FUNCTIONALLY-INstantiate} substitutions. The example in this section illustrates this.

Suppose we constrain the constant function \texttt{Z} to be \texttt{0}, but we use the variable \texttt{X} in the constraint

\[(\texttt{CONstrain Z-INTRO (REWRITE) IMPLIES (EQUAL X 0)}\]

\[\quad (\texttt{(EQUAL (Z) X))} \]

\[\quad ((\texttt{(Z (LAMBDA ()) 0)}))\]

because we think we see how to compromise the system with free variable confusion.

We can prove that \texttt{Z} is \texttt{0}:

\[(\texttt{PROVE-LEmma Z-IS-0 (REWRITE) (EQUAL (Z) 0))}\]

Now let us try to prove \(\texttt{(EQUAL X 0)}\), i.e., everything is \texttt{0}, by functionally instantiating \texttt{(Z)} to be \texttt{X}, using the substitution \{\texttt{<Z, (LAMBDA ()) X>}\}. 


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(IF (ZEROP X)
    T
    (IF (EQUAL X 1) F (NOT (EVEN (SUB1 X))))))

(CONSTRAIN FAIR-INTRO (REWRITE)
    (AND (FAIR (FAIR-TRUE-WITNESS N))
        (NOT (FAIR (FAIR-FALSE-WITNESS N)))
        (NOT (LESP (FAIR-TRUE-WITNESS N) N))
        (NOT (LESP (FAIR-FALSE-WITNESS N) N)))
    (FAIR EVEN)
    (FAIR-TRUE-WITNESS (LAMBDA (X) (IF (EVEN X) X (ADD1 X))))
    (FAIR-FALSE-WITNESS (LAMBDA (X) (IF (EVEN X) (ADD1 X) X))))

6.7 Tracking ADD-AXIOMs

In this section we illustrate a functional instantiation that fails. Suppose we constrain P to be an arbitrary unary function:

(CONSTRAIN P-INTRO (REWRITE) T ((P (LAMBDA (X) 0))))

Suppose we define the function P-ALIAS just to be another name for P.

(DEFN P-ALIAS (X) (P X))

but we then "constrain" P-ALIAS to be even by adding an axiom

(ADD-AXIOM EVEN-P-ALIAS (REWRITE)
    (EVEN (P-ALIAS X)))

This implicitly constrains P to be even, as we can now prove:

(PROVE-LEMMA EVEN-P (REWRITE) (EVEN (P X))
    ((USE (EVEN-P-ALIAS)))).

Now a certain flawed line of reasoning goes like this: P was introduced by an unconstrained CONSTRAIN and we have proved P to be even. Therefore, we ought to be able to conclude by functional instantiation that any function, e.g., ADD1, is even.

(FUNCTIONALLY-INSTANTIATE EVEN-ADD1 ()
    (EVEN (ADD1 X))
    EVEN-P
    ((P ADD1)))
(DEFN APP (X Y)
  (IF (NILSTP X)
      Y
      (CONS (CAR X) (APP (CDR X) Y))))

(FUNCTIONALLY-INSTANTIATE ASSOC-OF-APP (REWRITE)
  (EQUAL (APP (APP X Y) Z) (APP X (APP Y Z)))
  TRUE-REC-IS-TRUE
  ((TRUE-REC (LAMBDA (X) (EQUAL (APP (APP X Y) Z) (APP X (APP Y Z))))))))

6.5 Faking Quantifiers

We next illustrate the use of CONSTRAN and FUNCTIONALLY-INSTANTIATE in theorems that resemble proofs in first-order predicate calculus with quantifiers. We first introduce an un constrained unary function \( P \). We then constrain (ALL-X-P-X) so that its truth implies that (P X) is true for all X. We give the analogous constrained meaning to (SOME-X-P-X). Then we prove that the former implies the latter.

(CONSTRAN P-INTRO () T ((P LISTP)))

(CONSTRAN ALL-X-P-X-INTRO (REWRITE)
  (IMPLIEDS (ALL-X-P-X) (P X))
  ((ALL-X-P-X FALSE)))

(CONSTRAN SOME-X-P-X-INTRO (REWRITE)
  (IMPLIEDS (P X) (SOME-X-P-X))
  ((SOME-X-P-X TRUE)))

(PROVE-LEMMA ALL-IMPLIEDS-SOME ()
  (IMPLIEDS (ALL-X-P-X) (SOME-X-P-X))
  ((USE (ALL-X-P-X-INTRO))))

6.6 Fairness

We illustrate a CONSTRAN that expresses that a function is “fair” in the sense that it is infinitely often true and false. This sort of constraint is used in Goldschlag’s NQTHM formalization of Unity[3].

(DEFN EVEN (X)
(DEFN INTERP (S N)
  (IF (ZEROP N)
       S
       (INTERP (STEP S) (SUB1 N)))))

We can then prove two important lemmas about this generic interpreter. The first is that if it is started in a good state then it ends in a good state:

(PROVE-LEMMA STATEP-INTERP (REWRITE)
  (IMPLIES (STATEP S) (STATEP (INTERP S N)))))

The second is that to run it I+J steps starting from some state S is the same as running it I steps from S and then running it J steps more from there.

(PROVE-LEMMA SEQUENTIAL-INTERP (REWRITE)
  (EQUAL (INTERP S (PLUS I J))
         (INTERP (INTERP S I) J)))

If it is desired to conclude these facts about a particular, realistic interpreter, they can be inferred by functional instantiation at the cost only of proving that the constraint on STATEP and STEP is satisfied, i.e., proving that the realistic step function preserves realistic good states.

6.4 The Associativity of APPEND without Induction

Here we follow the lead of Goodstein in [4] and of McCarthy with his recursion induction [5]. We show, using FUNCTIONALLY-INSTANTIATE, that the associativity of APPEND can be proved without explicit appeal to induction. Of course there are inductions hidden all over the place, e.g., in the type-set analysis for TRUE-REC and in the proof of the metatheme that justifies FUNCTIONALLY-INSTANTIATE. Still, this is a startling development to those who regard the associativity of APPEND as the first theorem requiring an inductive proof.

In this example we actually define and use the function APP in place of APPEND, which is predefined in NQTHM, so that the entire development is explicit.

(DEFN TRUE-REC (X)
  (IF (HLISTP X)
      T
      (TRUE-REC (CDR X))))

(PROVE-LEMMA TRUE-REC-IS-TRUE (REWRITE) (TRUE-REC X))
(IF (NLISTP X)
    NIL
    (CONS (PLUS (CAR X) Y) (MAP-PLUS-Y (CDR X) Y))))

(FUNCTIONALLY-INSTANTIATE MAP-PLUS-Y-DISTRIBUTES-OVER-APPEND (REWRITE)
  (EQUAL (MAP-PLUS-Y (APPEND U V) Z)
         (APPEND (MAP-PLUS-Y U Z) (MAP-PLUS-Y V Z)))
  MAP-DISTRIBUTES-OVER-APPEND
  ((FN (LAMBDA (X) (PLUS X Z)))
   (MAP-FN (LAMBDA (X) (MAP-PLUS-Y X Z))))))

6.3 Properties of the Generic Interpreter

NQTHM is often used to formalize programming languages or general computing systems. The typical formalization involves defining an interpreter for the language or system. This interpreter generally takes the form of a function of a “state” and a “clock” and repeatedly applies a “step” function to the state until “time” has run out.

For example, in an assembly-level language[6,7], the state might include a “program counter” and some “program space” and “data space.” Often the notion of state is further refined to include just “good states,” i.e., states whose components stand in certain invariant relations to one another e.g., the program counter points to a legal address in program space, program space contains well-formed instructions, etc. Stepping generally involves determining from the initial state some transformation to be performed. For example, if the program counter points to an (ADD a b) instruction in program space, then the step is to compute the sum of the contents of data locations a and b, store that into data location a, and increment the program counter by 1. For realistic languages, the formal definitions of “good state” and “step” often run to a hundred pages.

But if an interpreter is just the iterated application of a step function to an initial state, then many properties of the formal language can be proved without regard for the details. Below we introduce the generic notions of a “good state” and of “stepping” from one good state to another. Then we define the generic interpreter.

(CONSTRAN STATEP-AND-STEP-INTRO (REWRITE)
  (IMPLIES (STATEP S) (STATEP (STEP S)))
  ((STEP (LAMBDA (X) X))
   (STATEP (LAMBDA (X) F)))))

Observe that STEP is constrained to preserve STATEP.
with the commutativity property. More precisely, given any function with the commutativity property, the two analogues of PR-H and AC-H are equal. We show how, with functional instantiation, PR-IS-AC can be used to draw this conclusion about two analogous functions that map with TIMES.

(DEFW PR-TIMES (L Z)
  (IF (NLISTP L)
    Z
    (TIMES (CAR L) (PR-TIMES (CDR L) Z))))

(DEFW AC-TIMES (L Z)
  (IF (NLISTP L)
    Z
    (AC-TIMES (CDR L) (TIMES (CAR L) Z))))

(FUNCTIONALLY-INSTANTIATE PR-TIMES-IS-AC-TIMES (REWRITE)
  (EQUAL (AC-TIMES L Z) (PR-TIMES L Z))
  PR-IS-AC
  ((H TIMES)
    (PR-H PR-TIMES)
    (AC-H (LAMBDA (X Y) (AC-TIMES X Y)))))

6.2 Map-Append

We here define the familiar MAP function that collects the results of applying an arbitrary unary function FN to every element of a list. We show that MAP distributes over the list concatenation function, APPEND, and instantiate the result so that we map with a function that takes two arguments instead of one.

(CONSTRAIN FN-INTRO () T ((FN ADD1)))

(DEFW MAP-FN (X)
  (IF (NLISTP X)
    NIL
    (CONS (FN (CAR X)) (MAP-FN (CDR X)))))

(PROVE-LEMMA MAP-DISTRIBUTES-OVER-APPEND (REWRITE)
  (EQUAL (MAP-FN (APPEND U V))
    (APPEND (MAP-FN U) (MAP-FN V))))

(DEFW MAP-PLUS-Y (X Y)
is the case that \(<t, \text{LAMBDA} (a_1 \ldots a_n) \text{ term}>\) occurs in \(s\) and \(f_2 = \text{LAMBDA} (a_1 \ldots a_n) \text{ term}/s\) where \((\text{LAMBDA} (a_1 \ldots a_n) \text{ term})/s\) is \(\text{LAMBDA} (a_1 \ldots a_n) \text{ term}/s_1\) where \(s_1\) is the result of removing from \(s\) every pair whose first element is one of the \(a_i\). Because no variable free in \(s_2\) occurs in \(p\), \(\text{thm}/s_2\) will be a theorem provided that we check that each relevant \(\exists x/s_2\) is a theorem. Given \(\text{thm}/s_2\), then, how do we derive the desired \(\text{thm}/s_1\)? The answer is that \(\text{thm}/s_1 = \text{thm}/s_2/s_2\), where \(s_2\) is the inverse of \(s\).

6 Examples

6.1 Inside-Outside

Here we introduce a dyadic function \(H\) with the property we call “commutativity2,” and show that one can “map” with such a function in a primitive recursive way (using \(\text{PR-H}\), which computes “inside-out”) or in an accumulator-using way (using \(\text{AC-H}\), which computes “outside-in”), getting the same result either way. The equivalence of these two methods of applying \(H\) to a list is formally stated in \(\text{PR-IS-AC}\) below.

(CONSTRAN INTRO-H
(REWRITE)
(EQUAL (H X (H Y Z))
        (H Y (H X Z)))
((H PLUS)))

(DEFN PR-H (L Z)
  (IF (NLISFP L)
    Z
   (H (CAR L) (PR-H (CDR L) Z))))

(DEFN AC-H (L Z)
  (IF (NLISFP L)
    Z
   (AC-H (CDR L) (H (CAR L) Z))))

(PROVE-LEMMA PR-IS-AC (REWRITE)
  (EQUAL (AC-H L Z) (PR-H L Z))
  ((INDUCT (AC-H L Z))))

Since \(H\) is unconstrained except for having the commutativity2 property, the intuitive force of \(\text{PR-IS-AC}\), above, is that it should hold for any function
**ADD-AXIOM** of $h'$. But $ax$ is not an **ADD-AXIOM** because for every **ADD-AXIOM** axiom, $ax_1$, $ax_1 \backslash fs = ax_1 \backslash fs'$ since the function symbols just introduced and added to make $fs'$ are ancestral in no **ADD-AXIOM**. So $ax$ must be introduced by a **DEFN** or **CONSTRAIN**, which occurs in $h$ after the **DEFN** or **CONSTRAIN** just analogized. Because $fs$ was extensible with respect to $h$, none of the function symbols $g_1, ..., g_n$ introduced with $ax$ is an ancestor of any function symbol in the domain of $fs$ nor ancestral in an **ADD-AXIOM** of $h$; but none of the $g_1, ..., g_n$ introduced with $ax$ is then an ancestor of any function symbol of the domain of $fs'$, since function symbols introduced with later **DEFNs** and **CONSTRAINs** cannot be ancestors of earlier ones. Furthermore, the $g_1, ..., g_n$ introduced with $ax$ are not ancestral in any **ADD-AXIOMs** of $h'$ because the **ADD-AXIOMs** of $h'$ are those of $h$. Q.E.D.

**Lemma.** Justification of Functional Instantiation with Extension.

Suppose

$h$ is a history,

$fs$ is a tolerable functional substitution,

$p$ is a proof of $thm$ with respect to $h$,

no variable free in $fs$ occurs in $p$,

and $<h, fs>$ is extensible, and, furthermore, for each **DEFN** or **CONSTRAIN** of $h$ whose instance under $fs$ is not a theorem of $h$, none of the function symbols introduced by the **DEFN** or **CONSTRAIN** is ancestral in $thm$.

Then $thm \backslash fs$ is a theorem in a **DEFN/CONSTRAIN** extension of $h$.

**Proof.** Because $fs$ and $h$ are extensible, we can keep obviously extending them to $fs'$ and $h'$ such that for each axiom $ax$ used in $p$, $ax \backslash fs'$ is a theorem of $h'$. Hence $thm \backslash fs'$ will be a theorem of $h'$. But no function symbol ancestral in $thm$ will be added to the domain of $fs$ to form $fs'$, hence $thm \backslash fs = thm \backslash fs'$. Thus $thm \backslash fs$ is a theorem of $h'$, a **DEFN/CONSTRAIN** extension of $h$. Q.E.D.

**Note.** Justification of the Implementation of **FUNCTIONALLY-INSTANTIATE**.

The implementation of the new event **FUNCTIONALLY-INSTANTIATE** differs in a minor way from that which is suggested by the Justification of Functional Instantiation with Extension Lemma, namely (i) we permit the free variables of $fs$ to occur in $thm$ and (ii) we cause a simple error if any of the free variables of $fs$ occur in any of the **DEFN**, **CONSTRAIN**, or **ADD-AXIOM** axioms that need instantiation and proof. We now justify (i). If a user wishes to functionally instantiate a theorem $thm$ with a functional substitution $fs$, let $p$ be any proof of $thm$, let $s$ be a 1:1 substitution that maps the free variables of $fs$ to variables that occur nowhere in $p$ or $fs$, and let $fs'$ be the set of pairs $<f_1, f_2>$ such that either $<f_1, f_2>$ occurs in $fs$ and $f_2$ is a symbol or for some term and $(a_1 \ldots a_n)$ it
ax\{\ldots, \langle f^*_i, w^i_1 \rangle, \ldots \}/\{\ldots, \langle f^*_i, w^i_1 \rangle, \ldots \}/A,

which, by the definition of $A$, equals

\[ \text{ax}\{\ldots, \langle f^*_i, w^i_1 \rangle, \ldots \}/A, \]

which is, by the definition of $fs'$,

\[ \text{ax}\{\{\langle f^*_i, (\text{LAMBDA} (x_i, \ldots, x_{i,k_i}) (f^*_i \cdot x_i \ldots x_{i,k_i} \cdot a_i \ldots a_n)) \rangle, \ldots \}\} \{\ldots, \langle f^*_i, w^i_1 \rangle, \ldots \}/A, \]

which, because no $f^*_i$ occurs in $fs$ or $ax$, because no $w^i_1$ has a free variable bound in $fs'$, and because of the theorem on composition of functional substitutions is

\[ \text{ax}\{\{\langle f^*_i, (\text{LAMBDA} (x_i, \ldots, x_{i,k_i}) (w_i \cdot fs'/A))\rangle, \ldots \}/A, \]

which, because of the trivial substitutions, is

\[ \text{ax}\{\{\langle f^*_i, (\text{LAMBDA} (x_i, \ldots, x_{i,k_i}) (w_i \cdot fs'))\rangle, \ldots \}/A, \]

which, because $f^*_i$ occurs in no $w_i$ and $a_i$ occurs in no $w_i$ nor in $fs$ due to the extensibility of $fs$, is

\[ \text{ax}\{\{\langle f^*_i, (\text{LAMBDA} (x_i, \ldots, x_{i,k_i}) (w_i \cdot fs'))\rangle, \ldots \}/A, \]

which, by the composition of functional substitutions, and the observation that no $a_i$ occurs in any $w_i$, is

\[ \text{ax}\{\ldots, \langle f^*_i, (\text{LAMBDA} (x_i, \ldots, x_{i,k_i}) w_i) \rangle, \ldots \}/fs/A \]

Hence what we must prove is only a variant of what we proved when we introduced the original \textsc{Constrain}.

\textbf{End} of the definition of obvious extensions.

\textbf{Theorem.} The obvious extensions of an extensible functional substitution and history are themselves extensible. Proof. To check that in both cases $fs'$ and $h'$ are extensible, we must show that if ax is any axiom of $h'$ such that $\text{ax}\{\{fs'\}$ is not a theorem of $h'$, $ax$ must arise from a \textsc{Defn} or \textsc{Constrain} that introduces functions symbols, none of which is an ancestor of any function symbol in the domain of $fs'$ or ancestral in any \textsc{Add-Axiom} of $h'$. Suppose that ax is an axiom of $h'$ such that $\text{ax}\{fs'\}$ is not a theorem of $h'$. Then $ax$ is not the old \textsc{Defn} or \textsc{Constrain} of $h$ just analogized because $\text{ax}\{fs'\}$ is a variant of the axiom just added to $h$ to form $h'$ and hence is a new a theorem of $h'$ with a proof of length 2. This theorem is not the newly introduced \textsc{Defn} or \textsc{Constrain} axiom, we note that no $f^*$ (the function or functions introduced there) is an ancestor of any function symbol in the domain of $fs'$ nor is it ancestral in any
(IMPLIES (AND \(t_1 \ldots t_k\))
(ORD-LESSP \(m/s \ m\)))\(\text{fs}'/A\),

which is a theorem by the Justification Lemma and instantiation because every axiom used in the proof of

(= (IMPLIES (AND \(t_1 \ldots t_k\))
(ORD-LESSP \(m/s \ m\)))\(\text{fs}'/A\),

is a theorem under \(\text{fs}'\).

\textbf{CONSTR} Case. If the event was a \textbf{CONSTR} with axiom ax and justifying functional substitution \(\{\ldots, \langle f_i, (\text{LAMBD}\(A \ (x_{i,1} \ldots x_{i,k_i}) \ w_i)\rangle, \ldots\}\},\) let \(a_1, \ldots, a_n\) be the free variables of \(\text{fs}\), let \(f_i^*\) be distinct function symbols, new for \(h\), that do not occur in \(\text{fs}\), and that have the same arities as the \(f_i\), plus \(n\) more arguments. Let \(a_1^*, \ldots, a_n^*\) be distinct variables not in \(\text{fs}\) or \(h\). Let \(\text{A}\) be the substitution \(\{\ldots, \langle a_i; a_i^*\rangle, \ldots\}\). Then

\(\text{fs}' = \text{fs} \cup \{\ldots, \langle f_i, (\text{LAMBD}\(A (x_{i,1} \ldots x_{i,k_i}) \ (f_i^* x_{i,1} \ldots x_{i,k_i} a_1 \ldots a_n))\rangle, \ldots\}\},\)

and \(h'\) is the extension of \(h\) with the \textbf{CONSTR} event \(\text{ax}/\text{fs}'/A\) and justifying functional substitution \(\{\ldots, \langle f_i^*, w_i'\rangle, \ldots\}\), where

\(w_i' = (\text{LAMBD}\(A (x_{i,1} \ldots x_{i,k_i} a_1^* \ldots a_n^*) w_i)\text{fs}'/A\)).\)

We now check that the \textbf{CONSTR} event added to \(h\) to build \(h'\) is admissible. Note that \(\text{ax}/\{\ldots, \langle f_i, (\text{LAMBD}\(A (x_{i,1} \ldots x_{i,k_i}) \ w_i)\rangle, \ldots\}\) was a theorem of \(h\), checked when \(\text{ax}\) was added. Let \(p\) be the proof used in the introduction of \(\text{ax}\). Because every axiom used in \(p\) has a proof in \(h\) under \(\text{fs}\) (since \(\text{ax}\) is the first axiom not a theorem under \(\text{fs}\)), we have that

\(\text{ax}/\{\ldots, \langle f_i, (\text{LAMBD}\(A (x_{i,1} \ldots x_{i,k_i}) \ w_i)\rangle, \ldots\}\}\text{fs}\)

is a theorem of \(h\). But

\(\text{ax}/\text{fs}'/A/\{\ldots, \langle f_i^*, w_i'\rangle, \ldots\}\),

which is what we must prove to show the admissibility of the new \textbf{CONSTR}, is, because no variable is free in a \(w_i'\), and by using the Commutativity Lemma,
and (b) for each occurrence of a subterm of the form \((f y_1 \ldots y_m)\) in body and the terms \(t_1 \ldots t_k\) governing it, the following formula can be proved directly in \(h\):

\[
\text{(IMPLIES (AND } t_1 \ldots t_k \text{) (ORD-LESSP } m/s \text{ m))}
\]

where \(s\) is the substitution \{\ldots, \langle x_i, y_i \rangle, \ldots\}.

[Observe that, by the Governor's Lemma, for each occurrence \(n\) of a subterm of the form \((f^* y'_1 \ldots y'_m z'_1 \ldots z'_n)\) in the new body, there is an occurrence \(o\) of a subterm of the form \((f y_1 \ldots y_m)\) in the original body such that \(y'_i = y_i/f_s/A, z'_i = a_i^*\), and such that if \(g\) governs \(o\) in the old body, then \(g/f_s/A\) governs \(n\) in the new body.]

We need to check that for each subterm of the form \((f^* y'_1 \ldots y'_{m+n'})\) in body\(/f_s/A, and the terms \(v_i\) governing the occurrence, the following formula can be proved directly in \(h\):

\[
\text{(IMPLIES (AND } v_1 \ldots) (\text{ORD-LESSP } m/f_s/A/s' \text{ } m\text{s}/f_s/A))
\]

where \(s'\) is the substitution \{\ldots, \langle x_i, y_i/f_s/A \rangle, \ldots\} (we can ignore the pairs \langle a_i^*, a_i^*\rangle). We will prove the stronger theorem

\[
\text{(IMPLIES (AND } t_1/f_s/A \ldots t_k/f_s/A \text{) (ORD-LESSP } m/f_s/A/s' \text{ } m\text{s}/f_s/A))
\]

which is stronger because each \(t_i/f_s/A\) is one of the \(v_i\), by the Governor's Lemma.

Note that for all terms \(t, t/A/s' = t/(f_s/s)/A, so we need to prove

\[
\text{(IMPLIES (AND } t_1/f_s/A \ldots t_k/f_s/A \text{) (ORD-LESSP } m/f_s/f_s/s/A \text{ } m\text{s}/f_s/A))}
\]

which by the Commutativity Lemma is

\[
\text{(IMPLIES (AND } t_1/f_s/A \ldots t_k/f_s/A \text{) (ORD-LESSP } m/s/f_s/A \text{ } m\text{s}/f_s/A))}
\]

which by the definition of substitution is
**Definition.** The *obvious extensions* of an extensible functional substitution $fs$ and history $h$ are a new functional substitution $fs'$ and history $h'$ defined as follows.

If there is no axiom $ax$ of $h$ such that $ax\backslash fs$ is not a theorem of $h$, then $fs'$ is $fs$ and $h'$ is $h$.

Otherwise, let $ax$ be the first axiom in $h$ such that $ax\backslash fs$ is not a theorem. Because $fs$ is extensible, $ax$ is a **DEFN** or **CONSTRAIN**, and the function symbols there introduced are not in the domain of $fs$. There are two cases to consider, depending upon whether the event in question is a **DEFN** or a **CONSTRAIN**.

**DEFN Case.** If the event is a **DEFN** of a function symbol $f$, then let $f^*$ be a function symbol new in $h$, one that is used in no **DEFN** or **CONSTRAIN** proofs of $h$. Let $a_1, ..., a_n$ be the free variables of $fs$. Let the arity of $f^*$ be the arity of $f$ plus $n$. Let $a_1^*, ..., a_n^*$ be distinct variables not in $fs$ or $h$. Let $A$ be the substitution $\{ ..., <a_1, a_1^*>, ..., \}$. If the definitional axiom added for $f$ is $(f x_1 ... x_m) = \text{body}$, then $fs'$ is $fs \cup \{ (f, (\text{LAMBDA} (x_1 ... x_m) (f^* x_1 ... x_m a_1^* ... a_n^*)) = \text{body}) \}$ and $h'$ is the history obtained by extending $h$ with the definition $(f^* x_1 ... x_m a_1^* ... a_n^*) = \text{body} / fs' / A$.

Before proceeding to the **CONSTRAIN** case we check that the definition added to $h$ to build $h'$ is admissible. A new function symbol is being introduced, the argument list consists of distinct variables, and the new body is a term that mentions no variable not in the argument list. We now check condition (d) of the principle of definition. We review the argument that led to the introduction of $f$; the argument for $f^*$ is closely analogous, with the analogues noted in square brackets.

there is a term $m$ [we take $m \backslash fs' / A$] such that (a) **ORDINALP** $m$ can be proved directly in $h$ [we need to check that **ORDINALP** $m \backslash fs' / A$] can be be proved directly in $h$. Let $p$ be the proof of **ORDINALP** $m$ used to justify the introduction of $f$. Every axiom used in $p$ is true under $fs$, from the definition of extensible because $ax$ is the first axiom in $h$ such that $ax \backslash fs$ is not a theorem. Because $f$ was new at the time of its definition, the only axiom in $p$ that could mention $f$ as a function symbol would be the equality axiom for $f$. Hence for every axiom used in $p$, $ax \backslash fs'$ is also a theorem. Hence by the Justification of Functional Substitution, **ORDINALP** $m \backslash fs'$ is a theorem of $h$. That $ax \backslash fs'$ can be proved “directly” follows from inspecting the proof constructed in the Justification Lemma, noting that no new functions are defined. **ORDINALP** $m \backslash fs' / A$ is an instance, indeed a variant, of **ORDINALP** $m \backslash fs'$.]


Consider occurrences of a term \( o \) in \( (\text{IF } x \ y \ z)\backslash fs' \) with function symbol \( f^* \). Case 1.1. \( o \) is not \( (\text{IF } x \ y \ z)\backslash fs' \) itself because \( fs' \) is tolerable. Case 1.2. \( o \) occurs in the first argument of \( (\text{IF } x \ y \ z)\backslash fs' \). The governors of \( o \) here are the governors of \( o \) in \( x \), so by induction those governors include the \( fs' \) instances of the governors of a term \( n \) in \( x \), with function symbol \( f \), such that \( n\backslash fs' = o \). Case 1.3. \( o \) occurs in the second argument of \( (\text{IF } x \ y \ z)\backslash fs' \). The one new governor that an occurrence of any term in \( y\backslash fs' \) obtains, when that occurrence is viewed as an occurrence in the second argument of \( (\text{IF } x \ y \ z)\backslash fs' \), is \( x\backslash fs' \), which is an \( fs' \) instance of \( x \). Case 1.4. Analogous to 1.3. Case 2. term has the form \((f \ldots t_1 \ldots)\), so term\( \backslash fs' \) has the form \((f^* \ldots t_1\backslash fs' \ldots)\). The governors of \((f^* \ldots t_1\backslash fs' \ldots)\) in \((f^* \ldots t_1\backslash fs' \ldots)\) is the empty set, which is the governors of \( t \) in \( t \). The governors of an occurrence of term \( o \) with function symbol \( f^* \) in a \( t_1\backslash fs' \) correspond to the governors of \( f \) terms in \( t_1 \) by induction, and no new governors arise. Case 3. term has the form \((g \ldots t_1 \ldots)\), where \( g \) is not \( f \). If \( g \) is not in the domain of \( fs' \), then induction does the job. If \(<g, (\text{LAMBDA } \ldots a_i \ldots) \text{ gterm}> \) is a member of \( fs' \), then term\( \backslash fs' = \text{ gterm}\{\ldots, \langle a_i, t_1\backslash fs' \rangle, \ldots\}. \) Because \( f^* \) does not occur in \( fs \), it does not occur in \text{ gterm}. Hence the only occurrences of \( o \) terms with function symbol \( f^* \) we must consider are those in the \( t_1\backslash fs' \), which are covered by the induction hypothesis. They may pick up additional governors from \text{ gterm}, but they do not lose any. Q.E.D.

We now show that certain functional substitutions can be extended to include \text{ CONSTRAIN}s and \text{ DEFN}s not supplied.

**Definition.** A functional substitution \( fs \) and a history \( h \) are said to be *extendible* provided that no variable free in \( fs \) occurs in \( h \), and for each user \text{ DEFN}, \text{ ADD-AXIOM}, or \text{ CONSTRAIN} axiom \( ax \) of \( h \) either (a) \( ax\backslash fs \) is a theorem of \( h \) or (b) \( ax \) arises from a \text{ DEFN} or \text{ CONSTRAIN} and none of the function symbols there introduced are ancestors of any function symbol in the domain of \( fs \) or are ancestral in any \text{ ADD-AXIOM} of \( h \).

**Convention.** We take the attitude that embedded within a history \( h \) we have the proofs checking the acceptability of the \text{ DEFN}s and \text{ CONSTRAIN}s. We adopt this only to be able to obtain variables and function symbols not in those proofs.

**Note.** The concept introduced next, "obvious extension," is the key to the generation of the definitional extensions we will need in the proof of the Justification of Functional Instantiation with Extension Lemma. With obvious extensions, we can introduce for each irrelevant definition, \((fn \text{ args}) = \text{ body}\), another definition, very roughly \((fn^* \text{ args}) = \text{ body/}fs\backslash \{\text{<fn, fn^*>}\}, \) whose axiom will provide an automatic proof for the \( fs \) instance of \( fn \), which we prefer not to consider.

**Note.** The following definition is several pages long because we prove the well-formedness of the definition as we present it.
\[ t \setminus (f_1 : fs_2) \]
Q.E.D.

**Definition.** A function symbol \( f_1 \) is an *ancestor* of a function symbol \( f_2 \) if \( f_2 \) is introduced by a **DEFN** or **CONSTRAIN** and either \( f_1 \) is one of the function symbols introduced with \( f_2 \) (including \( f_2 \) itself) or \( f_1 \) is an ancestor of a symbol that is used as a function symbol in the axiom(s) added by the introduction of \( f_2 \).

**Definition.** A function symbol \( f \) is *ancestral* in a term \( t \) if and only if \( f \) is an ancestor of some symbol used as a function symbol in \( t \).

**Note.** It is possible that when we do functional instantiation, we pick up new "governors." For example, if we consider the definitional equation

\[
(F1 \ X \ Y) = (IF \ (NLISTP \ X)
\quad NIL
\quad (G1 \ (F1 \ (CDR \ X) \ Y) \ Y))
\]

and consider the functional instantiation

\[
\{<F1, F2>, <G1, (LAMBDA \ (X \ Y) \ (IF \ (G2 \ Y) \ 3))>\}
\]

the resulting instantiated equation is

\[
(F2 \ X \ Y) = (IF \ (NLISTP \ X)
\quad NIL
\quad (IF \ (G2 \ Y)
\quad \quad (F2 \ (CDR \ X) \ Y)
\quad \quad 3))
\]

Note that the recursive call of \( F2 \) is now governed by the additional condition \((G2 \ Y)\). The crucial point for arguing the termination of the instantiated function is that we do not lose any governors.

**Theorem.** The Governor's Lemma. If \( fs \) is a functional substitution, \( f \) is not in the domain of \( fs \), \( f^* \) is not in \( fs \) or term \( n \) nor equal to \( f \), \( fs' = fs \cup \{<f, (LAMBDA \ (x_1 \ldots \ x_n) \ (f^* \ x_1 \ldots \ x_n \ a_1 \ldots \ a_n)>\} \), and \( fs' \) is tolerable, then the governors of an occurrence of a term \( n \) whose function symbol is \( f^* \) in term \( \setminus fs' \) include the \( fs' \) instances of the governors of a term \( n \) in term, with function symbol \( f \), such that \( n \backslash fs' = o \). Proof by induction on the size of term. If term is a variable, nothing governs anything. Case 1. Suppose term has the form \((IF \ x\ldots\ y)\).
Q.E.D.

**Definition.** The *composition* of two functional substitutions $f_{s_1}$ and $f_{s_2}$, denoted $f_{s_1} \circ f_{s_2}$, is defined as follows, provided that no free variable of $f_{s_2}$ occurs bound in $f_{s_1}$. Without loss of generality, assume that each member of the range of $f_{s_1}$ is a **Lambda** expression. Let $f_{s_1} = \{ ..., <x_i, (\text{\textsc{Lambda}} \ (a_j \ ...) \ \text{term}_i)>, \ ... \}$. Let $f_{s_2}'$ be the restriction of $f_{s_2}$ to the complement of the domain of $f_{s_1}$. Then $f_{s_1} \circ f_{s_2}' = \{ ..., <x_i, (\text{\textsc{Lambda}} \ (a_j \ ...) \ \text{term}_i)>, \ ... \} \cup f_{s_2}'$. (This is strictly analogous to the composition of ordinary substitutions.)

**Theorem.** The composition of functional substitutions. If no free variable of $f_{s_2}$ occurs bound in $f_{s_1}$, then $t \backslash f_{s_1} \backslash f_{s_2} = t \backslash (f_{s_1} \circ f_{s_2})$. Proof by induction on the structure of $t$. If $t$ is a variable, then both sides equal $t$. If $t$ has the form $(f \ ... \ t_1 \ ...)$, assume inductively that $t_1 \backslash f_{s_1} \backslash f_{s_2} = t_1 \backslash (f_{s_1} \circ f_{s_2})$.

Suppose that $<f, (\text{\textsc{Lambda}} \ (a_i \ ...) \ \text{fterm})>$ is a member of $f_{s_1}$. Then

\[
t \backslash f_{s_1} \backslash f_{s_2} = (f \ ... \ t_1 \backslash f_{s_1} \ ...) \backslash f_{s_2}
\]
by the definition of functional substitution

\[
t \backslash f_{s_1} \backslash f_{s_2} = (f \ ... \ t_1 \backslash f_{s_1} \ ...) \backslash f_{s_2}
\]
by the Commutativity Lemma, checking that no $a_i$ is free in $f_{s_2}$

\[
t \backslash f_{s_1} \backslash f_{s_2} = (f \ ... \ t_1 \backslash f_{s_1} \ ...) \backslash f_{s_2}
\]
by induction

\[
t \backslash f_{s_1} \backslash f_{s_2} = (f \ ... \ t_1 \backslash f_{s_1} \ ...) \backslash f_{s_2}
\]

On the other hand, suppose that $f$ is not a member of the domain of $f_{s_1}$ but $<f, (\text{\textsc{Lambda}} \ (a_i \ ...) \ \text{fterm})>$ is a member of $f_{s_2}$. Then

\[
t \backslash f_{s_1} \backslash f_{s_2} = (f \ ... \ t_1 \backslash f_{s_1} \ ...) \backslash f_{s_2}
\]
\[
t \backslash f_{s_1} \backslash f_{s_2} = (f \ ... \ t_1 \backslash f_{s_1} \ ...) \backslash f_{s_2}
\]
\[
t \backslash f_{s_1} \backslash f_{s_2} = (f \ ... \ t_1 \backslash f_{s_1} \ ...) \backslash f_{s_2}
\]

Finally, if $f$ is a member of neither the domain of $f_{s_1}$ nor of $f_{s_2}$,

\[
t \backslash f_{s_1} \backslash f_{s_2} = (f \ ... \ t_1 \backslash f_{s_1} \ ...) \backslash f_{s_2}
\]
\[
t \backslash f_{s_1} \backslash f_{s_2} = (f \ ... \ t_1 \backslash f_{s_1} \ ...) \backslash f_{s_2}
\]
for each axiom $ax$ that
(a) results from a user DEFN, ADD-AXIOM, or CONSTRAIN,
(b) uses some member of the domain of $f$s as a function symbol, and
(c) is not one of the SUBRP axioms added by DEFN,

$ax\setminus fs$ is a theorem of $h$.

because in each case in which we no longer bother proving that $ax\setminus fs$ is a theorem, it is the case that $ax\setminus fs = ax$. In particular, it is the case that the function symbols in the SUBRP axioms added by a DEFN (e.g., SUBRP, FORMALS, and BODY) are not permitted in the domain of tolerable functional substitutions.

It is now our intention to develop a somewhat less obvious but more important strengthening of functional instantiation, a strengthening that permits us to ignore instantiating and proving "irrelevant" definitions. Let us say, roughly, that a definition of a function $fn$ in a history $h$ is irrelevant to a theorem $thm$ of $h$ provided that (a) $fn$ is not involved in the statement of $thm$ nor is any function whose definition uses $fn$, etc., and (b) $fn$ is similarly not involved in any ADD-AXIOM. Intuitively speaking, if we (i) ignore the SUBRP axioms that are added when a DEFN occurs and (ii) we embed our logic into a standard first order logic, then it is not hard to see that we need not do functional instantiation and proof on irrelevant definitions when using functional instantiation, because the theorem can be proved in the history that results from dropping away the irrelevant definitions. However, for the actual logic of NQTHM, it is not possible to ignore the SUBRP axioms. Furthermore, we are interested in a constructive proof of the legitimacy of ignoring irrelevant definitions, a proof that does not rely upon the presence of existential quantification in our logic. Therefore, we are about to embark upon a rather tedious proof that we can ignore irrelevant definitions provided we are content with knowing that a functional instantiation $thm\setminus fs$ of a theorem $thm$ of a history $h$ is at least a theorem of a definitional extension of $h$. In preparation for proving the Justification of Functional Instantiation with Extension Lemma, which permits us to ignore irrelevant definition, we first lay some groundwork.

**Theorem.** The generality of LAMBDA. Without loss of generality, we may assume that every element of the range of a functional substitution is a LAMBDA expression. Proof. Let $fs = \{ ..., \langle x_1, y_1 \rangle, ... \}$. Let $fs'$ be the functional substitution obtained by replacing each $y_1$ in the range of $fs$ that is a function symbol with (LAMBDA ($a_1 \ldots a_n$) ($y_1 a_1 \ldots a_n$)), where the $a_i$ are distinct variables and $n$ is the arity of $y_1$. We now prove by induction on the structure of the term $t$ that $t\setminus fs = t\setminus fs'$. If $t$ is a variable, both sides are $t$. So suppose $t = (f \ldots t_i \ldots)$. If $f$ is not in the domain of $fs$, then $t\setminus fs = (f \ldots t_i\setminus fs \ldots)$, which, by induction is $(f \ldots t_i\setminus fs' \ldots) = t\setminus fs'$. But if $f$ is replaced with $f'$ by $fs$ then $t\setminus fs = (f' \ldots t_i\setminus fs \ldots) = (f' \ldots t_i\setminus fs' \ldots) = (f' \ldots a_i \ldots) / \{ ..., \langle a_i, t_i \setminus fs' \rangle, ... \} = t\setminus fs'$. 
(\text{IMPLIES} \ q_i \ (\text{ORD-LESSP} \ m/s_{i,j} \ m))

is part of the proof of thm and hence has a length less than that of
p. Note: the fact that fs passes through calls to functions such as
\text{ORD-LESSP, IMPLIES, etc.}, follows from the fact that fs is tolerable.]

Then thm is a theorem [i.e. thm\textbackslash fs will be a theorem] if

\[(\text{IMPLIES} \ (\text{AND} \ ... \ (\text{NOT} \ q_i) \ ...) \ \text{thm})\]

is a theorem

[we need to check that

\[(\text{IMPLIES} \ (\text{AND} \ ... \ (\text{NOT} \ q_i \text{\textbackslash fs}) \ ...) \ \text{thm}\textbackslash fs)\]

is a theorem, but this follows by induction]

and for \(1 \leq i \leq k\),

\[(\text{IMPLIES} \ (\text{AND} \ q_i \ \text{thm}\textbackslash fs/s_{i,1} \ ... \ \text{thm}\textbackslash fs/s_{i,h_i}) \ \text{thm})\]

[we need to check that

\[(\text{IMPLIES} \ (\text{AND} \ q_i \text{\textbackslash fs} \ \text{thm}\textbackslash fs/(fs\%s_{i,1}) \ ... \ \text{thm}\textbackslash fs/(fs\%s_{i,h_i}))
\text{thm}\textbackslash fs)\]

is a theorem but this, by the Commutativity Lemma, is the same as

\[(\text{IMPLIES} \ (\text{AND} \ q_i \text{\textbackslash fs} \ \text{thm}\textbackslash s_{i,1}\text{\textbackslash fs} \ ... \ \text{thm}\textbackslash s_{i,h_i}\text{\textbackslash fs}) \ \text{thm}\textbackslash fs)\]

which is the same as

\[(\text{IMPLIES} \ (\text{AND} \ q_i \text{\textbackslash thm}\textbackslash s_{i,1} \ ... \ \text{thm}\textbackslash s_{i,h_i}) \ \text{thm})\textbackslash fs\]

which follows by induction.]

Q.E.D.

\textbf{Note.} The theorem we have just proved can be strengthened by weakening
the hypothesis

for each axiom ax that results from a user \texttt{DEFN, ADD-AIOM, or CONSTRAINT},

\texttt{ax\textbackslash fs} is a theorem of \texttt{h}.

\texttt{to}
Induction Step. Suppose that the theorem holds when the length of \( p \) is \( k \)
or less and suppose \( \text{thm} \) has a proof of length \( k+1 \). The rules of inference are
the propositional rules, instantiation, and induction. The Propositional and Instantiation Rule of Inference Lemmas handle everything except induction. Note
that the hypothesis that no variable free in \( fs \) occurs in \( p \) yields the necessary
condition for the Instantiation Rule of Inference that no variable in the domain
of an ordinary substitution used is free in \( fs \).

Suppose then that \( \text{thm} \) has been proved by induction. We check the
conditions for the inductive proof of \( \text{thm} \backslash fs \), inside square brackets, as we walk
through the conditions that were checked in the proof of \( \text{thm} \).

\( \text{thm} \) is a term [but so is \( \text{thm} \backslash fs \)]
\( m \) is a term [we will use \( m \backslash fs \)]
\( q_1 \ldots q_n \) are terms [we will use \( q_1 \backslash fs \ldots q_n \backslash fs \), which are terms]
\( h_1 \ldots h_n \) are positive integers [same]
it is a theorem that \( (\text{ORDINALP } m) \)
[we need to check that \( (\text{ORDINALP } m \backslash fs) \) but this follows by induc-
tion, provided we have defined “proof” so that inductive proofs have
such theorems as parts of them]
for \( 1 \leq i \leq k \) and \( 1 \leq j \leq h_i \), \( s_{i,j} \) is a substitution
[we will use the \( fs\%s_{i,j} \) as our new substitutions; note that because
no variable free in \( fs \) occurs in \( p \), the Commutativity Lemma can be
applied to show that for any \( t, t/s_{i,j} \backslash fs = t\backslash fs/f_s\%s_{i,j} \). This depends
on the somewhat peculiar, Shankar[10] style definition of “proof” in
such a way that substitutions are explicitly embedded in proofs.]
it is a theorem that

\[
(\text{IMPLIES } q_i (\text{ORD-LESSP } m/s_{i,j} \backslash m))
\]

[we need to check that

\[
(\text{IMPLIES } q_i \backslash fs (\text{ORD-LESSP } m \backslash fs/\{fs\%s_{i,j}\} \backslash m \backslash fs))
\]

but this is

\[
(\text{IMPLIES } q_i (\text{ORD-LESSP } m/s_{i,j} \backslash m)) \backslash fs
\]
by the Commutativity Lemma and we have

\[
(\text{IMPLIES } q_i (\text{ORD-LESSP } m/s_{i,j} \backslash m)) \backslash fs
\]
by induction since the proof of
**Definition.** Suppose that $s$ is a substitution and $fs$ is a functional substitution. Then $fs\%s$ is defined to be \{<x,y\%fs>; <x,y> is a member of s\}. In other words, to obtain $fs\%s$, we apply $fs$ to each element of the range of $s$.

**Commutativity Lemma.** If $t$ is a term, $fs$ is a functional substitution, $s$ is a substitution, and no variable free in $fs$ occurs in the domain of $s$, then $t\%fs/(fs\%s) = t/s\%fs$. Proof by induction on the structure of $t$. If $t$ is a variable and for some $v$, $<t,v>$ is in $s$, then $t\%fs/(fs\%s) = t/(fs\%s) = v\%fs = t/s\%fs$; if $t$ is a variable not in the domain of $s$, then $t\%fs/(fs\%s) = t = t/s\%fs$. If $t$ is not a variable but has the form (f ... $t_i$ ...) and $f$ is not in the domain of $fs$ or is mapped by $fs$ to a function symbol, then $t\%fs/(fs\%s) = (f' ... $t_i\%fs/(fs\%s)$ ...) = (f' ... $t_i/s\%fs$ ...) = $t/s\%fs$, by induction, where $f'$ is $f$ or its image under $fs$. Finally, if $f$ is mapped to (LAMBDA ($a_1$ ... $a_n$) term) by $fs$, then $t\%fs/(fs\%s) = (\text{term}/\{..., <a_i, t_i\%fs/(fs\%s)>,...\})/(fs\%s) = \text{term/}\{..., <a_i, t_i\%fs/(fs\%s)>,...\}$ because no free variable of (LAMBDA ($a_1$ ... $a_n$) term) is in the domain of $fs\%s$ since no such variable is in the domain of $s$; but $\text{term/}\{..., <a_i, t_i\%fs/(fs\%s)>,...\} = \text{term/}\{..., <a_i, t_i/s\%fs>,...\}$ by induction, and $\text{term/}\{..., <a_i, t_i/s\%fs>,...\} = t/s\%fs$. Q.E.D.

**Instantiation Rule of Inference Lemma.** If $t$ is a term, $fs$ is a functional substitution, $s$ is an ordinary substitution, no variable in the domain of $s$ is free in $fs$, and $t\%fs$ is a theorem, then so is $t/s\%fs$. Proof. $t/s\%fs = t\%fs/(fs\%s)$ by the Commutativity Lemma. Hence $t/s\%fs$ is a theorem by instantiation of $t\%fs$ with $(fs\%s)$. Q.E.D.

**Justification of Functional Instantiation.**

Suppose

- $h$ is a history,
- $fs$ is a tolerable functional substitution,
- $p$ is a proof of $thm$ with respect to $h$,
- no variable free in $fs$ occurs in $p$, and
- for each axiom $ax$ that results from a user DEFN, ADD-AIOM, or CONSTRAINT, $ax\%fs$ is a theorem of $h$.

Then $thm\%fs$ is a theorem of $h$.

Proof by induction on the length of $p$.

**Base Case.** If the length is 1, then $thm$ must be an axiom of $h$. If $ax$ is a propositional or equality axiom, then $thm\%fs$ is also an axiom, as proved above. If $thm$ is another sort of GROUND-ZERO axiom or the result of a user shell invocation, it mentions no function symbol in the domain of $fs$ by the hypothesis that $fs$ is tolerable, and hence $thm\%fs = thm$. If $thm$ is any other user axiom, it must come from an ADD-AIOM, CONSTRAINT, DCL or DEFN. DCL adds no axiom, and in the other three cases, $thm\%fs$ is a theorem of $h$ by hypothesis.
**Propositional axiom lemma.** The functional instantiation of every propositional axiom is an axiom. Proof. \((\phi \lor \neg\phi) \landfs = (\phi \landfs \lor (\neg\phi \landfs))\), which is a propositional axiom itself. Q.E.D.

**Equality axiom lemma.** If \(fs\) is a functional substitution, and \(eq\) is an equality axiom, then \(eq \landfs\) is a theorem. Proof. Suppose the axiom is \(x_1 = y_1 \land \ldots \land x_n = y_n \rightarrow (f \ x_1 \ldots \ x_n) = (f \ y_1 \ldots \ y_n)\). If \(f\) is not in the domain of \(fs\), the instantiation does not change \(eq\). If \(fs\) replaces \(f\) with function symbol \(f'\), we note that the instance is another equality axiom, about \(f'\). If \(fs\) replaces \(f\) with \((\texttt{LAM}\ \ (a_1 \ldots \ a_n) \ \texttt{term})\), then the instance is \(x_1 = y_1 \land \ldots \land x_n = y_n \rightarrow \texttt{term}/\{..., \ (a_1, x_1), ..., \} = \texttt{term}/\{..., \ (a_1, y_1), ..., \}\). We now prove that for all terms, \(x_i, y_i\), and \(a_i\), that \(x_1 = y_1 \land \ldots \land x_n = y_n \rightarrow \texttt{term}/\{..., \ (a_i, x_i), ..., \} = \texttt{term}/\{..., \ (a_i, y_i), ..., \}\) is a theorem by induction on \(term\). If \(term\) is a variable then we consider the cases. If \(term\) is one of the \(a_i\), then the theorem in question has the form \(x_1 = y_1 \land \ldots \land x_n = y_n \rightarrow x_1 = y_1\), which is a tautology.

If \(term\) is not one of the \(a_i\), then the theorem in question has the form \(x_1 = y_1 \land \ldots \land x_n = y_n \rightarrow \texttt{term} = \texttt{term}\), which follows from \(x = x\). If \(term\) is not a variable, suppose it is \((f \ t_1 \ldots t_n)\). By induction, we have \(x_1 = y_1 \land \ldots \land x_n = y_n \rightarrow t_i/\{..., \ (a_i, x_i), ..., \} = t_i/\{..., \ (a_i, y_i), ..., \}\). Q.E.D.

**Propositional Rule of Inference Lemmas.** The propositional rules "commute" with functional instantiation. We show for each of the following four rules of inference that if \(\alpha\) is a consequence of \(\beta\) (and perhaps \(\gamma\)), then \(\alpha \landfs\) is a consequence of \(\beta \landfs\) (and \(\gamma \landfs\)).

**Expansion.** \(\beta \land \alpha\) follows from \(\alpha\).

\((\beta \land \alpha) \landfs\) follows from \(\alpha \landfs\) because \((\beta \land \alpha) \landfs = \beta \landfs \land \alpha \landfs\), which follows from \(\alpha \landfs\) by expansion.

**Contraction.** \(\alpha\) follows from \(\alpha \land \alpha\).

\(\alpha \landfs\) follows from \((\alpha \land \alpha) \landfs\) because \((\alpha \land \alpha) \landfs = \alpha \landfs \land \alpha \landfs\).

**Associativity.** \(\alpha \land \beta \land \gamma\) follows from \((\alpha \land \beta) \land \gamma\).

\((\alpha \land \beta \land \gamma) \landfs\) follows from \((\alpha \land \beta) \landfs \land \gamma \landfs\) because \((\alpha \landfs \land \beta \landfs \land \gamma \landfs)\) follows from \((\alpha \landfs \land \beta \landfs) \land \gamma \landfs\).

**Cut.** \(\beta \land \gamma\) follows from \(\alpha \land \beta\) and \(\neg \alpha \land \gamma\).

\((\beta \land \gamma) \landfs\) follows from \((\alpha \land \beta) \landfs\) and \((\neg \alpha \land \gamma) \landfs\) because \((\beta \landfs \land \gamma \landfs)\) follows from \((\alpha \landfs \land \beta \landfs)\) and \((\neg \alpha \landfs) \land \gamma \landfs\).

**Notational Convention.** \(a\land b\land c\) means \((a\land b)\land c\), and \(a\land b\land c\) means \((a\land b)\land c\).
5 Correctness

5.1 The Conservative Nature of Constrain

Suppose we embed our theory into a traditional first order logic, such as that of [8], turning the induction principle into a collection of axioms, admitting existential quantifiers and the existential-quantifier introduction-rule. Then the introduction of constrained functions, as defined above, results in a conservative extension of the previous theory. Proof. Suppose that we can satisfy the conditions for adding the constraint, ax, to a theory T with the functional substitution \{\ldots, \langle \text{new}_1, \text{old}_1 \rangle, \ldots\}. Extend the current theory T to a new theory T' by adding definitions (Shoenfield style definitions: no SUBRP axioms) that equate each new\textsubscript{i} with the corresponding old\textsubscript{i}. Of course, T' is a conservative extension of T since definition is proved by Shoenfield to produce conservative extensions. Note that ax is a theorem in T' because we have assumed that \text{ax}\backslash\{\ldots, \langle \text{new}_1, \text{old}_1 \rangle, \ldots\} can be proved in T. Form T'' from T' by throwing out the definitions of new\textsubscript{i} but adding ax as an axiom. T'' is a conservative extension of T because it is an extension of T and because any formula of T that can be proved in T'' can be proved in T' and hence in T. Q.E.D.

Although NQTHM's definitional principle is not, strictly speaking, conservative (because of the SUBRP axioms), an NQTHM definitional extension of a theory T is a conservative extension of the extension of T produced by adding the SUBRP axioms. Also, an NQTHM definitional extension has what Shoenfield calls a translation property: If a formula is provable in the new theory, there is a syntactically very similar theorem provable in the old theory, extended by the SUBRP axioms, which "says the same thing" as the formula.

5.2 Functional Instantiation as a Derived Rule

We prove that functional instantiation is a correct derived rule of inference. We enter into great, nay tedious, detail to show that functional instantiation is correct for the actual logic of NQTHM, with its constructive character, and not merely for first-order logic, which is non-constructive. A proof for first-order logic alone would be somewhat shorter, since handling the quantifier axioms would require less work than handling our induction and definition principles. Essentially, the proof is inductive, showing that if we have proved a theorem thm and we wish to instantiate thm with a functional substitution fs, then we can, in effect, instantiate the entire proof of thm with fs to obtain a proof of the desired instance of thm. Because the inductive proof would otherwise be a little long, we first break out a few important, simple lemmas about the standard rules of inference.
4.2 FUNCTIONALLY-INSTANTIATE

General Form:
(FUNCTIONALLY-INSTANTIATE name types term old-name fs &OPTIONAL hints)

Example Form:
(FUNCTIONALLY-INSTANTIATE PR-TIMES-IS-AC-TIMES (REWRITE)
  (EQUAL (AC-TIMES L Z) (PR-TIMES L Z))
  PR-IS-AC
  ((H TIMES)
   (PR-H PR-TIMES)
   (AC-H (LAMBDA (X Y) (AC-TIMES X Y)))))

FUNCTIONALLY-INSTANTIATE is like PROVE-LEMMA in that it proves a theorem, term, and adds it to the database as a lemma with name name and types types. FUNCTIONALLY-INSTANTIATE requires that fs be a tolerable functional substitution, that old-name be a symbol that names some previously added event, and that term be the result of functionally instantiating the FORMULA-OF old-name with fs. (If term is the symbol *AUTO*, then term is automatically arranged to be just this instantiation.) To succeed FUNCTIONALLY-INSTANTIATE must prove the conjunction of instances under fs of some of the DEFNS, CONSTRAINTs, and ADD-AXIOMs, for which proof attempt the hints are used. The formulas that must be proved are the fs instantiations of each user DEFN, CONSTRAINT, and ADD-AXIOM that (a) uses as a function symbol some symbol in the domain of fs and (b) is either (i) an ADD-AXIOM or (ii) a DEFN or CONSTRAINT that introduces a function symbol ancestral\(^2\) in the FORMULA-OF old-name or some ADD-AXIOM.

We wish to make it convenient to apply the same functional substitution to several different theorems in a sequence of FUNCTIONALLY-INSTANTIATE events, without having to prove the same constraints repeatedly. Therefore, FUNCTIONALLY-INSTANTIATE does not bother to prove any\(\text{\textbackslash}fs\) if any previous FUNCTIONALLY-INSTANTIATE did prove it. If you would like to limit the set of previous FUNCTIONALLY-INSTANTIATE events considered to some particular set \{ev1,...,evn\}, then use (old-name ev1 ... evn) for old-name.

FUNCTIONALLY-INSTANTIATE aborts if any of the DEFN, CONSTRAINT, or ADD-AXIOM formulas to be instantiated and proved uses as a variable any variable that is free in fs. Such an abort can always be avoided by choosing new variable names.

Note. Observe that the mechanization of FUNCTIONALLY-INSTANTIATE does not require that we prove the fs instantiation of every axiom.

\(^2\)The concept "ancestral" is defined in the next section, on p. 20.
4 Reference Guide

4.1 CONSTRRAIN

General Form:

CONSTRRAIN name types ax

(... (new_1 old_1) ...) &OPTIONAL hints)

Example Form:

CONSTRRAIN H-COMMUTATIVITY2 (REWRITE)

(EQUAL (H X (H Y Z))
 (H Y (H X Z)))
 ((H PLUS))
 ((USE (PLUS-COMMUTATIVITY2)))

CONSTRRAIN creates a new event. It does not evaluate its arguments. CONSTRRAIN
checks that <name, ..., new_1, ...> is a sequence of distinct new names; that each
old_1 is an old function symbol or a LAMBDA expression in old function symbols,
without free variables, but with the same arity as new_1; that types is a legit-
imate set of types for storing lemmas; that ax is a formula; and that ax\{..., <new_1,old_1>, ...} is a theorem of the current history. The result of a CONSTRRAIN
is to add ax as an axiom according to the types and to declare the arity of each
new_1 to be that of old_1.

Note. We sometimes refer to the “old_1” used in a CONSTRRAIN event as
witnesses.

Examples. In the Example Form shown above we introduce a dyadic func-
tion H that has what we call the “commutativity2” property, namely, (H X
(H Y Z)) = (H Y (H X Z)). We use the Peano PLUS function as the witness.
The USE hint supplied to CONSTRRAIN says that the proof that the witness satis-
fies the commutativity2 property follows from the previously proved lemma
PLUS-COMMUTATIVITY2. On page 27 we show how such a constrained H might
be used to state and use the fact that to apply such a function iteratively to the
elements of a list one may proceed either “outside in” or “inside out.”

Below we use CONSTRRAIN to introduce three functions, P, Q, and R, each of
one argument. The functions are unconstrained, i.e., the constraining axiom
added is T. We use the identity function as the witness for each.

CONSTRRAIN P-Q-R-INTRO (REWRITE) T

((P (LAMBDA (X) X))
 (Q (LAMBDA (X) X))
 (R (LAMBDA (X) X)))
\( \phi \) under \( \text{fs} \). If \( \phi \) is \( x = y \), then the result is \( x' = y' \), where \( x' \) and \( y' \) are the functional instantiations of \( x \) and \( y \) under \( \text{fs} \).

**Definition.** A variable \( v \) is said to be free in \((\text{lambda} \ (a_1 \ldots a_n) \ \text{term})\) if and only if \( v \) is a variable of term and \( v \) is not among the \( a_i \). A variable \( v \) is said to be free in a functional substitution if and only if it is free in a \text{lambda} \ expression in the range of the substitution. A variable \( v \) is said to be *bound* in \((\text{lambda} \ (a_1 \ldots a_n) \ \text{term})\) if and only if \( v \) is among the \( a_i \).

**Definition.** The aspects of a \text{lambda} \ expression. A \text{lambda} \ expression is a triple of the form \((\text{lambda} \ (a_1 \ldots a_n) \ \text{body})\). For such a \text{lambda} \ expression, we say its *arity* is \( n \), its *argument list* is \((a_1 \ldots a_n)\), and its *body* is body.

**Notation.** We denote functional instantiation with \( \backslash \) to distinguish it from ordinary (variable) substitution, which is denoted with \( / \).

**Example.** If \( \rho \) is the functional substitution \{<\text{plus}, (\text{lambda} \ (\text{u v}) \ (\text{add1} \ \text{u}))>\} \) then \((\text{plus} \ \text{x} \ \text{y})\) \( \rho \) is \((\text{add1} \ \text{x})\).

**Derived Rule of Inference.** Conservatively constraining new function symbols.

It is permissible to add the term \( ax \) as an axiom to extend a history \( h \) provided there exists a functional substitution \( \text{fs} \) such that

1. the domain of \( \text{fs} \) is a set of new function symbols,

2. each member of the range of \( \text{fs} \) is either an old function symbol or is a \text{lambda} \ expression whose body is formed of variables and old function symbols,

3. no variable is free in any \text{lambda} \ expression in the range of \( \text{fs} \), and

4. \( ax\backslash\text{fs} \) is a theorem of \( h \).

**Definition.** A functional substitution \( \text{fs} \) is *tolerable* with respect to a history \( h \) provided that the domain of \( \text{fs} \) contains only function symbols introduced into \( h \) by the user on top of the \text{ground-zero} logic, via \text{CONSTRAIN}, \text{DCL}, or \text{DEPN}, but not \text{ADD-SHELL}.

**Note.** We do not want to consider functionally substituting for built-in function symbols or shell function symbols because the axioms about them are so diffuse in the implementation. We especially do not want to consider substituting for such function symbols as \text{ord-less}, because they are used in the principle of induction.

**Derived Rule Of Inference.** Functional Instantiation.

If \( h \) is a history, \( \text{fs} \) is a tolerable functional substitution, \( p \) is a proof of \( \text{thm} \) in \( h \), no free variable of \( \text{fs} \) occurs in \( p \), and the \( \text{fs} \) instance of every axiom of \( h \) can be proved in \( h \), then \( \text{thm}\backslash\text{fs} \) can be proved in \( h \).
mechanization. In the next section we document the mechanization of the new rules, in a discussion analogous to Chapter 12 of [1], "Reference Guide." Our mechanization of functional instantiation is somewhat more efficient than its formal description would suggest. After presenting the logical description and the reference guide material, we derive the new rules and show that our mechanization is correct.

Henceforth the reader is assumed to be familiar with the logic of NQTHM described in [1], especially with the concept of "proof" described there. Roughly speaking, that notion of proof consists of a standard first-order logic [8] minus the rules concerning quantification but plus new principles of recursive definition and induction. Ignoring the infrequently used axioms about the function $\forall \& \exists$, this logic is very constructive, even computational, and is similar in power to that of [4].

**Definition.** A *functional substitution* is a function on a finite set of function symbols such that for each pair $<f_1, f_2>$ in the substitution, either (a) $f_2$ is also a symbol and the arity of $f_1$ is the arity of $f_2$ or (b) $f_2$ has the form $(\text{LAMBDA} \ (a_1 \ldots \ a_n) \ \text{term})$ where the $a_i$ are distinct variables, the arity of $f_1$ is $n$, and term is a term.

**Definition.** We recursively define the *functional instantiation of a term $t$ under a functional substitution $f$s*. If $t$ is a variable, the result is $t$. If $t$ is the term $(t_1 \ldots t_n)$, let $t'_i$ be the functional instantiation of $t_i$, for $i$ from 1 to $n$ inclusive, under $f$s. If, for some function symbol $f'$, the pair $<f, f'>$ is in $f$s, the result is $(f' \ t'_1 \ldots t'_n)$. If a pair $<f, (\text{LAMBDA} \ (a_1 \ldots \ a_n) \ \text{term})>$ is in $f$s, the result is $\text{term/}\{\ldots, <a_i, t'_i>, \ldots\}$. Otherwise, the result is $(f \ t'_1 \ldots t'_n)$.

**Note.** Recall from [1] that "term/$\sigma$" denotes the result of applying the ordinary (variable) substitution $\sigma$ to term. If $\sigma$ is the variable substitution $\{<X, (\text{FN} \ A)>, <Y, B>\}$, then $(\text{PLUS} \ X \ Y)/\sigma$ is $(\text{PLUS} \ (\text{FN} \ A) \ B)$.

**Example.** The functional instantiation of the term

$$(\text{PLUS} \ (\text{FN} \ X) \ (\text{TIMES} \ Y \ Z))$$

under the functional substitution

$$\{<\text{PLUS}, \text{DIFFERENCE}>, <\text{FN}, (\text{LAMBDA} \ (V) \ (\text{QUOTIENT} \ V \ A))>\}$$

is the term

$$(\text{DIFFERENCE} \ (\text{QUOTIENT} \ X \ A) \ (\text{TIMES} \ Y \ Z)).$$

**Definition.** We recursively define the *functional instantiation of a formula $\phi$ under a functional substitution $f$s*. If $\phi$ is $\phi_1 \lor \phi_2$, then the result is $\phi'_1 \lor \phi'_2$, where $\phi'_1$ and $\phi'_2$ are the functional instantiations of $\phi_1$ and $\phi_2$ under $f$s. If $\phi$ is $\neg \phi_1$, then the result is $\neg \phi'_1$, where $\phi'_1$ is the functional instantiation of
(DEFN INSERT-LESSP (X L)
  (IF (LISTP L)
      (IF (LESSP X (CAR L))
         (CONS X L)
         (CONS (CAR L) (INSERT-LESSP X (CDR L))))
      (LIST X)))

(DEFN SORT-LESSP (L)
  (IF (LISTP L)
      (INSERT-LESSP (CAR L) (SORT-LESSP (CDR L)))
      NIL))

While having virtually to repeat previous definitions may strike many readers as inelegant, three remarks can be made in its defense. First, generating the analogous definitions (with a good text editor such as Emacs[9]) is easy and represents almost no burden on the user. Second, keeping the logic first-order is extraordinarily valuable, especially in light of the desire to mechanize it. Finally, thanks to the new functional instantiation derived rule of inference, the properties of these new functions can be deduced at minimal cost from the theorems about the old functions. In particular, we can immediately conclude from the generic result, ORDERED-SORT-LT, that the particular program SORT-LESSP produces ORDERED-LESSP output, at the cost of establishing that LESSP is antisymmetric.

(FUNCTIONALLY-INSTANTIATE ORDERED-SORT-LESSP (REWRITE)
  (ORDERED-LESSP (SORT-LESSP L))
ORDERED-SORT-LT
  ((LT    LESSP)
   (ORDERED-LT ORDERED-LESSP)
   (INSERT-LT INSERT-LESSP)
   (SORT-LT SORT-LESSP)))

3 Precise Description of the Derived Rules of Inference

In this section we give a precise description of two new derived rules of inference. This discussion is analogous to that in Chapter 4 of [1], “A Precise Description of the Logic,” in which we describe the logic precisely without regard for its
(DEFN ORDERED-LT (L)
    (IF (LISTP L)
        (IF (LISTP (CDR L))
            (IF (LT (CADR L) (CAR L))
                F
                (ORDERED-LT (CDR L)))
            T)
        T))

(DEFN INSERT-LT (X L)
    (IF (LISTP L)
        (IF (LT X (CAR L))
            (CONS X L)
            (CONS (CAR L) (INSERT-LT X (CDR L))))
        (LIST X)))

(DEFN SORT-LT (L)
    (IF (LISTP L)
        (INSERT-LT (CAR L) (SORT-LT (CDR L)))
        NIL))

(PROVE-LEMMA ORDERED-SORT-LT (REWRITE)
    (ORDERED-LT (SORT-LT L)))

The generic insertion sort routine is of no computational value – i.e., we cannot execute it – because LT is not defined.

But now suppose that in some application we need to sort lists of natural numbers according to the usual “less than” ordering on the naturals, LESSP. Because our logic is not higher-order, we have to define analogues of the functions above, only using LESSP in place of LT.

(DEFN ORDERED-LESSP
    (L)
    (IF (LISTP L)
        (IF (LISTP (CDR L))
            (IF (LESSP (CADR L) (CAR L))
                F
                (ORDERED-LESSP (CDR L)))
            T)
        T))
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a literal interpretation of our proof obligation would require us to instantiate
the definition of \texttt{MAP-FN} and prove the result. But instantiating the definition of
\texttt{MAP-FN} with the substitution above would change its call of \texttt{FN} to a call of \texttt{TIMES}
and make no other changes. Clearly, the new equation would not be provable,
since \texttt{MAP-FN} won’t satisfy two different recurrence equations (one about \texttt{FN} and
one about \texttt{TIMES}). To make such an instantiation provable we would have to
define the analogue of \texttt{MAP-FN}, say \texttt{MAP-TIMES}, and include that pair in the
substitution. We would then have to handle definitions involving \texttt{MAP-FN} since
it is now in the substitution, etc. Fortunately, we show that we do not have to
instantiate such irrelevant definitions; the program of extending the logic in the
obvious way to accommodate such functions can be shown always to work.

One might be tempted to view the arguments presented in this example as in-
volving “higher-order reasoning.” In fact, our choice of the name \texttt{FUNCTIONALLY-INSTANTIATE}
seems a deliberate provocation of that perception. Although we agree that such
reasoning has a somewhat higher-order feel, we reiterate that functional in-
stantiation is a derived rule of inference for first-order logic: any theorem that
can be proved with \texttt{FUNCTIONALLY-INSTANTIATE} can be proved in first-order
logic without it. No new higher-order axioms, no functional variables, no typed
lambda calculus syntax have been added to the logic. We believe that a similar
derived rule of inference could be attached to any first-order logic prover, e.g.,
a resolution based theorem-prover.

2.2 Sorting

We briefly present another example. In this example we define a “generic”
insertion sort program that sorts according to an undefined ordering function
\texttt{LT}. For the insertion sort to work (in the sense that it produce \texttt{LT}-ordered
output), \texttt{LT} must be antisymmetric. No other properties of \texttt{LT} are required.

Therefore, it is feasible to constrain \texttt{LT} to be antisymmetric, define the sort
function and the related sense of orderedness in terms of \texttt{LT} and prove that the
sort function produces ordered output. This is attractive because it permits us
to construct the proof of the sort program in isolation from the details of any
particular ordering relation. In a mechanized setting, where details often over-
whelm strategic heuristics, this offers more than mere mathematical elegance.

Below we reproduce the script necessary to justify the generic insertion sort.
Observe that we can use a trivial witness for the introduction of \texttt{LT}.

\begin{verbatim}
(CONSTRANS LT-INTRO (REWRITE)
 (IMPLIES (LT X Y)
   (NOT (LT Y X)))
 ((LT (LAMBDA (X Y) F))))
\end{verbatim}
correspondences between the old (FN-based) function symbols and the new
(TIMES-based) symbols. This functional substitution is applied to the for-

mula of FOLDR-IS-FOLDL and must produce the formula to be deduced. Since
FOLDR-IS-FOLDL is

\[
\begin{align*}
\text{(EQUAL (FOLDR-FN X N))} \\
\quad \left(\text{(FOLDL-FN (REVERSE X) N)}\right)
\end{align*}
\]

we have to replace FOLDR-FN by FOLDR-TIMES and FOLDL-FN by FOLDL-TIMES
to produce the claimed relationship between the new functions. Observe that
the substitution also replaces FN by TIMES, even though FN is not involved in
the statement of the theorem we are instantiating. We explain below.

Roughly speaking, the proof obligation incurred in the use of functional
instantiation is that every axiom about the old symbols must hold of the new
symbols. Consider the axiom about FOLDR-FN, namely its definition:

\[
\begin{align*}
\text{(EQUAL (FOLDR-FN X N))} \\
\quad \left(\text{(IF (LISTP X)} \\
\quad \quad \left(\text{(FN (CAR X) (FOLDR-FN (CDR X) N))} \\
\quad \quad \quad \text{N)}\right)\right)
\end{align*}
\]

We must apply the functional substitution to this axiom (producing a formula
about the new symbols) and prove the result:

\[
\begin{align*}
\text{(EQUAL (FOLDR-TIMES X N))} \\
\quad \left(\text{(IF (LISTP X)} \\
\quad \quad \left(\text{(TIMES (CAR X) (FOLDR-TIMES (CDR X) N))} \\
\quad \quad \quad \text{N)}\right)\right)
\end{align*}
\]

Observe that this is just the definition of FOLDR-TIMES, so the proof is immediate.\(^1\)
Had we not mapped FN to TIMES in our functional substitution, the formula
above would call FN instead of TIMES and the result would have been unpro-
vable. This is why the functional substitution must make explicit all the “ancestral”
correspondences and not just those arising immediately in the theorem to
be instantiated. By “ancestral” we mean to include all the functions reachable
from the theorem to be instantiated by tracing back through definitions.

We characterized our proof obligation, above, as requiring the proof of the
functional instance of every axiom about the old symbols. This can be weakened.
Imagine that we had also used FN in some other definition, e.g., that of MAP-FN,
not involved (ancestrally) in the theorem being instantiated. Since the axiom
about MAP-FN mentions FN, one of the functions in our functional substitution,

\(^1\)Note that it is not necessary that FOLDR-TIMES be syntactically analogous to FOLDR-FN,
only that the functional instantiation of FOLDR-FN be provable.
Observe that the last argument to \texttt{CONTRAIN} is a “functional substitution” that supplies the “witnesses” for the about-to-be introduced functions. In this case we use the Peano addition function, \texttt{PLUS}, as the witness for a commutative function. The system confirms that \texttt{PLUS} has the property required of \texttt{FN}, thus establishing the satisfiability of the proposed constraint, and then declares \texttt{FN} to be a function symbol of two arguments and adds the constraining axiom about \texttt{FN}.

The second problem noted above is that \texttt{FOLDR-IS-FOLDL} is not very useful to the NQTHM user, even if he informally understands its logical content. In particular, if the user defines two recursive functions, say \texttt{FOLDR-TIMES} and \texttt{FOLDL-TIMES} that are just instances of the two “schemas” above but use the defined function \texttt{TIMES} in place of \texttt{FN}, there is no direct way to use \texttt{FOLDR-IS-FOLDL} to deduce that the two new functions are equivalent. Of course, the two new functions could be proved equivalent: the proof would go just like the proof of \texttt{FOLDR-IS-FOLDL}, except that where the old proof appeals to the commutativity of \texttt{FN} the new one would appeal to the commutativity of \texttt{TIMES}.

We don’t consider reconstructing the proof for two reasons. The first is merely practical: while we know a proof exists, it might take the system a long time to find it. This is especially true if the original proof was complicated or, more likely, the instantiation of the schemas is complicated. For example, if in the instantiation we replace \texttt{FN} by several pages of propositional logic, chances are NQTHM would fail to reproduce the analogous proof because its normalization procedures would trigger a combinatorial explosion. More importantly, the whole point of proving lemmas is to avoid the necessity of proving their instances. It does us no good to “informally regard” \texttt{FOLDR-IS-FOLDL} as the NQTHM statement of the equivalence if NQTHM cannot deduce the obvious from it.

To that end we introduce a new derived rule of inference, called “functional instantiation” by which we permit the immediate deduction of the equivalence of \texttt{FOLDR-TIMES} and \texttt{FOLDL-TIMES} from \texttt{FOLDR-IS-FOLDL} once it has been established that \texttt{TIMES} satisfies the constraints on \texttt{FN}. An example of the implemented event is

\begin{verbatim}
(FUNCTIONALLY-INSTANTIATE FOLDR-TIMES-IS-FOLDL-TIMES (REWRITE)
  (EQUAL (FOLDR-TIMES X N)
    (FOLDL-TIMES (REVERSE X) N))
  FOLDR-IS-FOLDL
  ((FOLDR-FN FOLDR-TIMES)
   (FOLDL-FN FOLDL-TIMES)
   (FN TIMES)))
\end{verbatim}

The last argument above is a functional substitution that makes explicit the
∀ X ∀ Y (EQUAL (FN X Y) (FN Y X))
→
  (EQUAL (FOLDR-FN X N) (FOLDL-FN (REVERSE X) N)).

But this statement requires the universal quantifier, which is also outside of the
NQTHM logic.

To tackle that problem we could add an axiom about FN, e.g.,

(ADD-AXIOM FN-IS-COMMUTATIVE (REWRITE)
  (EQUAL (FN X Y) (FN Y X)))

Since axioms (and theorems in general) are implicitly universally quantified this
axiom accomplishes our goal of constraining FN to be commutative. (The token
REWRITE has no logical significance; it only tells the system to use this equality
as a rewrite rule.)

We could then state our first result:

(PROVE-LEMMA FOLDR-IS-FOLDL ()
  (EQUAL (FOLDR-FN X N) (FOLDL-FN (REVERSE X) N)))

This theorem can be proved automatically by NQTHM.

If there are no other axioms about FN we can informally regard FOLDR-FN
and FOLDL-FN as two recursion schemas expressed in terms of an arbitrary com-
mutative function FN, and we could regard FOLDR-IS-FOLDL as expressing the
equivalence of those schemes (modulo the REVERSE). There are two problems
however.

First, how do we know the axiom we added did not render the system in-
consistent? In general, adding axioms to a logic as rich as NQTHM’s is treacherous.
Our solution is to avoid the addition of arbitrary axioms and instead encour-
ge the use of a new, derived logical act, implemented as the CONSTRAINT event,
which permits the introduction of new function symbols that are constrained by
a given formula relating them. Logically speaking, CONSTRAINT requires that the
constraint formula be satisfiable. The implementation enforces this by requiring
the user to supply “witnesses” for the new symbols that make the constraint
a theorem. That is, the user must show that existing functions of the logic
have the desired relationship in order to constrain new functions to have that
relationship.

For example, rather than DCL FN and then use ADD-AXIOM we could introduce
FN with the new event

(CONSTRAIN FN-COMMUTATIVE (REWRITE)
  (EQUAL (FN X Y) (FN Y X))
  ((FN PLUS))).
theorem about that function symbol, and then forgetting the defining equation while remembering the theorem. In fact, in the implementation of Constraining, we insist that the user provide us with an already defined “witness” function and we check that the proposed new axiom is satisfied by the witness.

Functionally-Instantiate implements a derived rule of inference. That is, anything that can be proved with Functionally-Instantiate can be proved without it. Functionally-Instantiate permits one to infer about a function symbol \( f \) anything that one has inferred about a function symbol \( g \) provided that the relevant axioms about \( g \) can be proved about \( f \). It is intended that Functionally-Instantiate will be used in coordination with Constraining.

2 Motivating Examples

2.1 Foldr v. Foldl

Consider the idea of iteratively applying some dyadic function \( \oplus \) to the elements of a list, \( x \), starting with some base value \( n \). Let us denote the elements of the list by \( x_1 \), \( x_2 \), ... \( x_k \). Two algorithms come to mind. The first proceeds in an “inside-out” fashion and computes \( x_1 \oplus (x_2 \oplus (\ldots (x_k \oplus n)\ldots)) \). The second algorithm proceeds in an “outside-in” fashion and computes \( \ldots ((n \oplus x_1) \oplus x_2) \oplus \ldots) \oplus x_k \). In the functional programming language SASL[11] the inside-out result is produced by \textit{foldr}(\( \oplus \), \( x \), \( n \)) while the outside-in result is \textit{foldl}(\( \oplus \), \( x \), \( n \)). We use those names below.

If \( \oplus \) is commutative and the \textit{foldl} algorithm is applied to the reverse of the original list, \( '(x_k \ldots x_2 x_1) \), the result is the same as the \textit{foldr} algorithm. How can we say this in the first-order, quantifier-free logic of NQTHM?

We cannot define \textit{foldr} and \textit{foldl} to take functions as arguments. However, we could declare \textsc{fn} (with NQTHM’s DCL command) to be an undefined function symbol of two arguments and then define the two folders to use \textsc{fn} explicitly:

\begin{verbatim}
(defn foldr-fn (x n)  
  (if (listp x)  
      (fn (car x) (foldr-fn (cdr x) n))  
      n))

(defn foldl-fn (x n)  
  (if (listp x)  
      (foldl-fn (cdr x) (fn n (car x)))  
      n))
\end{verbatim}

After defining the \textit{reverse} function we could then claim that \( (\text{foldr-fn} x n) \) is \( (\text{foldl-fn} (\text{reverse} x) n) \), provided \textsc{fn} is commutative:
Abstract

We describe a new facility, for a first-order-logic theorem prover [1], that permits the instantiation of theorems by the replacement of function symbols with new function symbols, provided certain axioms about the original function symbols can be proved about the new function symbols. Although this facility in effect provides something of the spirit of higher order logic, the underlying first-order logic itself is in no way extended. A proof of the correctness of the facility is provided, and many examples are given.

1 Introduction

In this paper we describe CONSTRAINT and FUNCTIONALLY-INSTANTIATE, two new user commands (events) that we have added to the "NQTHM" prover [1]. FUNCTIONALLY-INSTANTIATE implements a derived rule of inference that provides something of the flavor of higher order logic in that it permits one to infer new theorems by instantiating function symbols instead of variables. To be sure that such an instantiation actually produces a theorem, we first check that the formulas that result from similarly instantiating certain of the axioms about the function symbols being replaced are also theorems. Intuitively speaking, the correctness of this derived rule of inference consists of little more than the trivial observation that one may systematically change the name of a function symbol to a new name in a first-order theory without losing any theorems, modulo the renaming. However, we have found that this trivial observation has important potential practical ramifications in reducing mechanical proof efforts. We also find that this observation leads to superficially shocking results, such as the proof of the associativity of APPEND by instantiation rather than induction. And finally, we are intrigued by the extent to which such techniques permit one to capture the power of higher-order logic within first-order logic.

In order to make effective use of FUNCTIONALLY-INSTANTIATE, we have found it necessary to augment our facility for defining functions, DEFN, with a facility for constraining, but not completely characterizing, new function symbols. CONSTRAINT events are like DEFN events in that they add axioms about new function symbols consistently, i.e., an NQTHM history free of any use of ADD-AXIOM (the mechanism for adding an arbitrary axiom) is consistent, even if DEFN and CONSTRAINT are used repeatedly. We permit the introduction of several function symbols simultaneously with a single CONSTRAINT, CONSTRAINT is weaker than DEFN in the following sense. In general, any application of CONSTRAINT can be replaced by one or more DEFNs, and the axiom added by the CONSTRAINT can be proved after the DEFNs have been added. Intuitively, a good way to think about a CONSTRAINT event is to imagine defining a new function symbol, proving a
Functional Instantiation
in First Order Logic

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