Quicksort program: recursive ಡ of Proof

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This paper gives the proof of a useful and non-trivial program, Quicksort (Hoare, 1961). First the general algorithm is described informally; next a rigorous but informal proof of correctness of the coded program is given; finally some formal methods are introduced. Conclusions are drawn on the possibility of enlisting mechanical aid in the proof process.

(Received January 1971)

1. Introduction

advancement of the art of proving programs may lead to a reduction of the nuisance of programming error in the development and use of computer programs. We attempt here to show how a realistic program which incorporates recursion may be (Hoare, 1971a, 1969, 1971b) It has been suggested

We also attempt to illustrate how the proof of a program can take advantage of a previously published proof; in particular, the proof of any procedure which it calls. This gives grounds for hope that the labour of program proving may eventually be reduced in the same way as that of mathematical theorem proving, by building up on the work of others rather than starting from scratch on each occasion.

A third objective has been to illustrate a method of annotating a program by comments in such a way that a keen and experienced reader may verify the correctness of the program by inspection and study rather than by poring over tedious and often trivial proofs.

applying them to Quicksort. Finally, it is suggested that the Fourthly, an attempt is made to illustrate the adequacy of the formal rules of inference described by Hoare (1971b) by formalisation of proof methods is a possible basis on which a computer can be programmed to assist in the construction and verification of proofs.

2. Description of Quicksort

2.1. Criterion of correctness

A[m] to A[n] of an array into ascending order, while leaving untouched those below A[m] and above A[n]. The desired result of the program is described by two terms. The first states that the elements from A[m] to A[n] are in ascending The purpose of the program Quicksort is to sort the elements

$$\forall p, q(m \leq p \leq q \leq n \supset A[p] \leq A[q])$$

states that the sorted array is equal to the original array for elements below m and above n; and between m and n it has the same elements as the original array but not necessarily in the same order. If A_0 is the initial value of the array, this may be expressed 'A is an m-n permutation of A_0 ', or more briefly: This may be abbreviated as Sorted (A, m, n). The second term

Perm
$$(A, A_0, m, n)$$
.

A is identical to A_0 . Our proof will rely on a knowledge of the elementary properties of permutations; and there is therefore Note that if n < m, Perm (A, A_0, m, n) is taken to assert that no need to define the concept of an m-n permutation in greater detail.

*Except possibly in certain 'critical regions'.

Outline of method

$$A[j+1], \dots, A[n]$$

$$i \qquad j \qquad i \qquad n$$

$$A[m], \dots, A[i-1]$$

Quicksort (A, m, n) works as follows. The elements between A[m] and A[n] are rearranged into two partitions such that those in the lower partition, $A[m], \ldots, A[i-1]$ are less than or equal to those in the upper partition, A[j+1]....A[n] by where j < i $A[m], \ldots, A[i-1]$ The first rearrangement of elements between m and n isoconcived by a call of a procedure Partition which has parameters?

A, i, j, m and n. Noting that elements between j and i are adviced by a call of a procedure Partition which has parameters and j and those between i and n are sorted. This is achieved by land those between i and n are sorted. This is achieved by we recursive calls of Quicksort with parameters (m,j) and (i, n) respectively. Provided that a partition containing less than two elements is recognised as already sorted, and neither two elements is recognised as already sorted, and neither partition is ever as large as the original area to be sorted, this partition is ever as large as the original area to be sorted, this crecursion will successfully terminate.

3. The procedure partition

3. The procedure partition rearranges the elements A[m] to A[n] of an array into two parts, one of smaller and one of largest elements as described in Section 2. The criterion of correctness consists of two terms. The first states the necessary ordering station.

$$j < i \& \forall p, q \ (m \le p < i \& j < q \le n \supset A \ [p] \le A[q])$$

This is abbreviated as Partd (A, i, j, m, n) . The second is

u ĸ an states that the partitioned array must be Perm (A, A_0, m, n) which

3.1.2. Outline of method

permutation of the original array A₀.

ing an arbitrary element, say r, and placing elements smaller than it in the lower partition and elements larger than it in the upper partition. i is initially set to m and j to n. Then i is stepped up for as long as A[i] < r, since these elements belong to the The division into smaller and larger elements is done by

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The only assignments to array members are in the group in the conditional 'if $i \le j$ then...'. Hence only these assignments could cause Perm (A, A_0, m, n) to become untrue. If A' is the value of A after these assignments then, as given by Hoare

(1971a)and down while r < A[j], and this stepping down is interrupted when an A[j] not greater than r is met. The current A[i] and A[j] are now both in the wrong partitions, which situation is stepping up of i is interrupted. The value of j is then stepped corrected by exchanging them. If $i \le j$, is stepped up and j stepped down by one, and i search and j search is continued until the next out of place pair is found. If j < i the lower and upper parts overlap and the partition is complete. It may be seen that these final values of i and j are not specified in advance but are set by the procedure.

lower partition and may be left in position. When an A[i] is encountered which is not less than r and hence out of place, the

2. Informal proof

informally established by Hoare (1971a). However the version The correctness of the body of the procedure Partition has been used in Quicksort is slightly different as it is written as

u + uprocedure and the arbitrary element r is taken as A

Also Perm (A, A_0, m, n) was not directly proved by Hoare (1971a). Hence some additions will be necessary to complete the proof.

An annotated version of Partition may be written as

u so comment Let A_0 be the initial value of an array A. The procedure rearranges the elements between m and that

& Perm (A, A_0, m, n) $A[p] \leq A[q])$ $< i \& \forall p, q \ (m \le p < i \& j < q \le n \supset$

provided that m < n on entry. Partition (A, i, j):(m, n) proc

begin new r, J

invariant; A-invariant -invariant invariant m; j := n; $A[p] \leq r$ $\leq A[q]$): begin new w; w := A[i]; A[i] :=begin while A[i] < r do i := iwhile r < A[j] do j := jcomment $A[j] \leqslant r \leqslant A[i]$; $f := \frac{m+n}{2}$; r := A[f]; i := $j \leqslant n \& \forall q(j < q \leqslant n \supset r$ ∩ *i* ∨ V/ & $m \leqslant i \& \forall p(m \leqslant p)$:: ¥; comment Perm (A, A_0, m, n) A[j]while $i \leqslant j$ do & $m \leqslant f \leqslant n$ if $i \leqslant j$ then

pose of a variable is known as an invariant and is intended to remain true throughout the execution* of the program even when the value of the variable concerned is changed by assign-The annotations for a program include the criterion of correctness and propositions at certain points which are true each time control reaches that point. A proposition expressing the pur-

ables A, f, i and j are given. The proof that those for i and j are invariant over the main loop of Partition is given in lemmas 8, 9, 10 and 11 by Hoare (1971a) with m substituted for 1 and n for N. The f-invariant is unchanged by the loop since f is not reassigned within it. It remains to show the following three In the second comment invariants corresponding to the variresults:

(a) Perm (A, A_0, m, n) is invariant over the main loop.

A'[i] = A[j]A'[j] = A[i]

$$\forall s (s \neq i \& s \neq j \supset A' [s] = A [s])$$

Since at this point $m \leqslant i \leqslant j \leqslant n$ it is obvious that A' is an m-n permutation of A and hence the truth of Perm (A, A_0, m, n) is preserved. (The composition of two permutations is permutation.) (b) The initial values of the variables satisfy the invariants i.e.

(i)
$$m \leqslant \frac{m+n}{2} \leqslant n$$

(ii)
$$m \le m \ \& \ \forall p(m \le p < m \supset A \ [p] \le r)$$

(iii) $n \le n \ \& \ \forall q(n < q \le n \supset r \le A[q])$

$$n \leqslant n \propto \forall q (n < q \leqslant n \supset r \leqslant A[q])$$

are (i) follows from the precondition m < n. (ii) and (iii)

the criterion of correctness is true after each recursive call. Thus Sorted (A_2, m, j) & Perm (A_2, A_1, m, j) is assumed to be true after the first call of Quicksort and Sorted (A, i, n) & The annotations following the recursive calls require some necessary to assume that the recursive calls work, and then prove that the program body works based on these assumptions. Such an assumption means that (a suitably modified version of) explanation. In order to prove a recursive program Perm (A, A_2, i, n) after the second.

ness is true when the body of the main conditional is not executed at all, i.e. when $n \le m$. In this case, the truth of Perm (A, A_0, m, n) follows from $A = A_0$ by the definition of Perm. The truth of The first requirement is to prove that the criterion of correct-

$$\forall p, q(m \leqslant p \leqslant q \leqslant n \supset A[p] \leqslant A[q]]$$

of the specific values of A at certain points. These values are fixed at the time of the snapshot so that the propositions containing them remain true independently of subsequent actions of the program. Hence these propositions are still true at the end of the program, and it must be proved that their follows directly from the unsatisfiability of the antecedent. Next we note that the variables A_1 and A_2 denote 'snapshots'

(i) Sorted(A, m, n) and

conjunction implies

(ii) Perm (A, A_0, m, n)

The proof of (ii) is given by

 $m \leqslant i \& j \leqslant n \& \text{Perm}(A_1, A_0, m, n) \& \text{Perm}(A_2, A_1, m, j)$ $\& \text{Perm}(A, A_2, i, n) \supset \text{Perm}(A, A_0, m, n)$

is also an m-n permutation for $m \leqslant i$ and $j \leqslant n$; and that the composition of three m-n permutations is itself an m-n permutation. To prove (i) it will first be established that (a) This follows from the fact that an m-j or i-n permutation the partitioning of the array is not disturbed by the subsequent sorts and (b) the sorting between m and j is not disturbed by the second sort.

(a) Partd (A_1, i, j, m, n) & Perm (A_2, A_1, m, j)

& Perm (A, A_2, i, n) \supset Partd (A, i, j, m, n)

Consider an element A[k] for k < j and an element A[l] for i < l. We need to prove that $A[k] \le A[l]$.

Since A is an i-n permutation of A_2 and k < j < i, $A[k] = A_2[k]$; and there is an I', $(i \le I' \le n)$ such that $A[I] = A_2[I']$. Since A_2 is an m-j permutation of A_1 and $j < i \le I'$, $A_2[I'] = A_1[I']$; and there is a $k'(m \le k' \le j)$ such that $A_2[k] = A_1[k']$. Since A_1 is partitioned, and $m \le k' \le i < i$ and $j < i \le I' \le n$, it follows that:

$$A[k] = A_1[k'] \leqslant A_1[l'] = A[l]$$

(b) $j < i \& \text{Sorted}(A_2, m, j) \& \text{Perm}(A, A_2, i, n) \supset \text{Sorted}$

A is an i-n permutation of A_2 and thus is equal to A_2 for elements below i. Since j < i A is equal to A_2 for elements between m and j. Thus Sorted (A, m, j) follows from sorted (A_2, m, j) .

If now remains to prove that Partd (A, i, j, m, n) & Sorted (A, m, i) & Sorted (A, m, i) and Sorted (A, m, i). The proof of this will be given in greater detail since all the terms may be expanded. On expansion the lemma becomes

- (i) j < i
- (ii) & $\forall p, q(m \le p < i \& j < q \le n \supset A[p] \le A[q])$
 - (iii) & $\forall p, q(m \le p \le q \le j \supset A[p] \le [q])$
- (iv) & $\forall p, q(i \le p \le q \le n \supset A[p] \le A[q]$) $\supset \forall p, q(m \le p \le q \le n \supset A[p] \le A[q])$

A proof by cases is now given. The following is a simple but tedious theorem of ordering. $< i \, \& \, m \leqslant p \leqslant q \leqslant n \supset m \leqslant p < i \, \& \, j <$

$$j < i \& m \le p \le q \le n \supset m \le p < i \& j < q \le n$$

 $v m \le p \le q \le j$
 $v m \le p \le q \le j$
 $v i \le p \le q \le n$

In each of the three cases of the consequent of this theorem, either (ii), (iii), or (iv) state that $A[p] \leq A[q]$.

assumption that the recursive calls work. Hence Quicksort is correct and if $A = A_0$ initially, Sorted (A, m, n) & Perm (A, A_0, m, n) will be true after execution. The body of Quicksort has been proved correct based on the

5. Formal proof

not interested in giving a formal proof of the lemmas of the previous section; that may be done (if desired) by the familiar In formalising the proof given in the previous section, we are apparatus of mathematical logic. However, it does seem worth-

in the domain of mathematics, and the program itself, written to be executed on a computer. This will both help to reassure us that the formulation of the lemmas validly reflects the correctness of the program; it will also illustrate the adequacy of the proof techniques described by Hoare (1971b) for treating a realistic program. The formal proof is given in Appendix 1; the notations it uses are explained by Hoare (1969) while to formalise the relationship between the lemmas proven and the full set of inference rules required is reproduced in Appendix 2.

As with the informal approach it is necessary to assume that the recursive calls are correct and then on this basis prove that the program body is correct; thus the theorem to be proved is used as a hypothesis in the proof of the program body. This hypothesis is line 3 of the proof of Quicksort. Using it the program body is proved correct (line 12), and the desired result (line 13), follows by the rule of recursion. The theorem of line 1 gives the result established informally for the procedure partition.

Formal proofs such as those of Appendix 1 are tedious to write and check. Their only purpose is to expose the lemmas on which the proof of correctness depends, e.g. line 11 in the proof of Quicksort. Hence it would be useful to have a mechanical means of generating these lemmas from the text of the program. Such a mechanical procedure is possible provided that certain comment information is given in addition to the program text as in Section 3.2. This information includes the criterion of correctness of the program as a whole, and sufficiently powerful invariant for each loop of the program. If the correctness of the program depends on an initial precondition (e.g. m < n in the case of Partition) this must be given and if the program contains a procedure call the theorem expressing the correctness of this procedure must also

supplied.

The lemma generator works as follows. For each command type there is a rule of inference permitting the mechanical construction of the 'weakest' proposition which is 'provably true before execution of the command if a certain proposition is true after it. Consider assignment, for example. The rule for assignment is

$$R_e^x \{x := e\} R$$

If the proposition R is true after the assignment x := e then \overrightarrow{R} with e substituted for x must have been true before it. \overrightarrow{C} The criterion of correctness specified by the programmer must be true at the end of a program. Using the relevant rule \overrightarrow{M} inference a machine can construct a proposition true before execution of the last command. This proposition can then be moved back' through the penultimate command and so on for proposition true before execution of the first command will be produced. Call it 'Precondition'. If 'Initial' is required to be true before execution one of the basic lemmas produced by the each command of the program in turn. Eventually the weakest machine will be

The machine will also produce lemmas for each loop of the program in accordance with the Rule of Iteration. It is fairly obvious how the basic lemma (line 11) in the proof

of Quicksort could be generated, given lines 1 and 13. The Rule of Adaptation is used to generate the weakest proposition true before the recursive and non-recursive procedure calls. Thus the lemma generator would begin with line 7, using this rule to move the criterion of correctness back through the second recursive call to give the proposition LT. This application of the rule uses line 6, which may be derived mechanically by substitution from line 3. The parameters of the recursive call are substituted in the hypothesis for the formal parameters

of the program, and the variables to be existentially quantified are given different names if they clash with any variables in the proposition to be moved back through the recursive call. For example A_0 occurs on the right of line 7 and hence must be replaced by a different variable (i.e., A_2) in the substituted version of the hypothesis.

L7 would then be moved back through the first recursive call to give L5 and L5 moved through the call of Partition to give L2. L2 moved back through the conditional would give the Precondition, L10. Since for Quicksort 'Initial' is ' $A = A_0$ ' the

Appendix

lemma produced would be (line 11):

$$=A_0\supset \text{if }m< n \text{ then }L2 \text{ else Sorted }(A,m,n)$$
 &

N.B. Note that this 'Initial' does not impose necessary constraints on the initial values of the program variables. It is merely a 'snapshot' necessary to define the A_0 used in the criterion of correctness. Only one lemma would be generated for Quicksort since it contains no loops. Written in full this lemma is Perm (A, A_0, m, n)

=
$$A_0 \supset$$
 if $m < n$ then
$$\exists A_0(A = A_0 \& m < n \& VA, i, j(\text{Partd}(A, i, j, m, n) \& \text{Perm}(A, A_0, m, n) \supset A_1(A = A_1 \& VA(\text{Sorted}(A, m, j) \& \text{Perm}(A, A_1, m, j) \supset A_2(A = A_2 \& VA(\text{Sorted}(A, i, n) \& \text{Perm}(A, A_1, m, j) \supset A_2(A = A_2 \& VA(\text{Sorted}(A, i, n) \& \text{Perm}(A, A_2, i, n) \supset Sorted(A, m, n) \& \text{Perm}(A, A_0, m, n))))))$$

eliminating quantifiers and performing other obvious Sorted (A, m, n) & Perm $(A, A_0, m, n))))))$ else Sorted (A, m, n) & Perm (A, A_0, m, n)

(a)
$$7m < n \supset \text{Sorted}(A, m, n) \& \text{Perm}(A, A_0, m, n)$$

simplifications this becomes

(b)
$$m < n \& \text{Partd}(A_1, i, j, m, n) \& \text{Perm}(A_1, A_0, m, n)$$

& Sorted
$$(A_2, m, j)$$
 & Perm (A_2, A_1, m, j) & Sorted (A, i, n) & Perm (A, A_2, i, n)

& Sorted
$$(A, i, n)$$
 & Perm (A, A_2, i, n)
 \supset Sorted (A, m, n) & Perm (A, A_0, m, n)

which is the same as the lemma derived informally from the annotated program.

Conclusion

The lemmas on which proof depends may be generated by machine as has been indicated. However this can be regarde

as merely isolating the problem, as for complex programs the proof of the lemmas will be the major part of the proof of correctness. This suggests that mechanical aids in proving the lemmas should therefore also be sought.

The obvious first suggestion is an automatic theorem prover. King (1969) has successfully proved small programs using such an aid, but general purpose theorem provers are not powerful enough to handle complex lemmas. Another possibility is the use of proof checking rather than proof generation. The machine is supplied with an abbreviated proof of a lemma and then fills in the gaps and checks the complete proof. Such an approach has been implemented by Abrahams (1963) but again machine co-operation. This seems a promising approach Good (1970) suggests that the answer lies in combining simplification methods, special purpose automatic theorem provers (preferably decision procedures) and man-machine interaction. Burstall (1970) has used such interaction to guide a so far satisfactory only for simple examples. Finally there i the possibility of constructing proofs by some form of man resolution-based theorem prover, but reports that the proces was rather laborious.

Acknowledgement

This work was carried out with the aid of a grant from the Ministry of Education, Northern Ireland.

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Assignment	Consequence	Composition	Iteration	Condition	Recursion	Substitution	Adaptation	SS Declaration		ormulae nents	s P or R)		ression ame	ocal variables of Q		et variables	a list of expressions, not containing	any of the variables not free in x, v	a list of variables not free in a, e, S	if P is true of the program variables before executing the first statement	of the program Q , and if Q terminates, then R will be true of the program variables after execution	ete	replac x in S	or x in S , a preliminary change of bound vari-	ables is assumed to be made a rule of inference which states	a liave boon proves, e deduced	of inference which permits	S if R and P_2 are ever, it also permits not as a hypothesis in	the proof of P_2 . The deduction of P_2 , from P_1 is known as a sub-	
			$\frac{P_1\{Q\}P}{R}$	n Q}R	R.		(a):(e) R S)){call $p(a)$:(e) S	(where y is not in Q unless y and x are the same)		propositional formulae program statements			r a Boolean expression r a procedure name	•							of the program minates, then R program variabl		the result occurrences	not free for x systematic cha		then S may be deduced	a rule	deduction of S if R proved; however, it	The proof of P_2 . The deduce P_2 , from P_1 is known as	sidiary deduct
•	+ S S R S R	2.3R R	$\frac{1}{B}$ do $\frac{2}{A}$	$P\{Q\}R$ See $R\{$ if B the	$p(\mathbf{x})$:(v) proc Q $1 p(\mathbf{x})$:(v) $R + P\{Q\}$ $P\{\text{call } p(\mathbf{x})$:(v) R	$P\{\operatorname{call} p(\mathbf{x}):(\}\mathbf{v}\}R$ $\frac{x}{a_e}\operatorname{call} p(\mathbf{a}):(\mathbf{e})\}R_{k,a_e}^{k,x_v}$	$P\{\operatorname{call} p(\mathbf{a}) : (\mathbf{e})\} R$ $\frac{1}{4} R(R \supset S) \{\operatorname{call} p\}$			S stand for stand for	stand for	stands for	stands for	stands for	stands for	stands for	stands for	stands for	stands for	stands for			stands for		stands for		stands for			
$R^{x}\{x := e\} R$, 78/8		$P \supset \text{if } B \text{ then } P_1$ $P\{\text{while } B\}$	$P\{Q\}R$ if B then P else $R\{$ if B then	$P\{\text{call } p(\mathbf{x}): (\mathbf{v}) \text{ proc } Q$ $P\{\text{call } p(\mathbf{x}): (\mathbf{v})\}R + P\{Q\}R$ $P\{\text{call } p(\mathbf{x}): (\mathbf{v})\}R$	$\frac{P\{\operatorname{call} p(\mathbf{x}): (\}^{\mathbf{y}}\}R}{P\{\mathbf{c}_{k,a,e}^{k,x,y} \operatorname{call} p(\mathbf{a}): (\mathbf{e})\}R_{k,a,e}^{k,x,y}}$	$\frac{P\{\text{call }p\}}{\exists k'(P \& \forall \mathbf{a}(R \supset$	$\frac{P\{Q_y^x\}R}{P\{\text{new }x;\ Q\}R}$	Explanation	P, P_1, P_2, R, S Q, Q_1, Q_2	x, y	e	В	x	>	æ	: 0	K	<i>k'</i>	$P\{Q\}R$			Sx e		$\frac{P,R}{c}$	n f	$\frac{R}{P_1 + P_2}$	Ø		
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sidiary deduction.

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Justification	Already Proved
	Partd (A. i. i. m. n) & Perm (A. A., m. n) Alreac
Proof	$A = A \cdot R \cdot m < n \{\text{call Part } (A. i. i) : (m. n)\}$
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