

Proving Properties of Programs

Correctness of Insertion Sort

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Back to Insertion Sort

- output is ordered
- output is a permutation of the input

```
(define (sort l)
  (match l
    ['()          l]
    [(cons hd tl) (insert hd (sort tl))]))
```

```
(define (insert x l)
  (match l
    ['()          (cons x '())]
    [(cons hd tl) (if (< x hd)
                      (cons x l)
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An Attempt to Define Sortedness

Property: for all lists l , $Sorted((\text{sort } l))$

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Definition Attempt (Sortedness). A list

$(\text{cons } x_1 (\text{cons } x_2 \dots (\text{cons } x_n ' ())))$

is sorted if $x_1 \leq x_2 \leq \dots \leq x_{n-1} \leq x_n$.

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- Intuitively expressing “sortedness”
- Easy to check in math
- Easy to work with, to communicate and to derive other properties

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We want a definition that is...

- Intuitively expressing “sortedness”
- Easy to check in math
- Easy to work with, to communicate and to derive other properties
- **Drawback:** inconvenient – list functions are defined by recursion

Ornamenting the Data Definition of List

Recall: a list l is either:

- An empty list ' ()
- A cons cell (cons y l') where l' is another list.

Therefore we define $Sorted(l) := Increasing(-\infty, l)$ and $Increasing(L, l)$ as

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[I-EMPTY]: $Increasing(L, ' ()$ is true.

- (For the case $l := (cons y l')$)

[I-CONS]: for all L, l' and y , if $L \leq y$ and $Increasing(y, l')$ then $Increasing(L, (cons y l')$.

Ornamenting the Data Definition of List: Example

- [I-EMPTY]: *Increasing*($L, '()$) is true.
- [I-CONS]: for all L, l' and y , if $L \leq y$ and *Increasing*(y, l') then *Increasing*($L, (\text{cons } y \ l')$).

Example. $(\text{cons } 3 (\text{cons } 4 (\text{cons } 9 '())))$ is sorted.

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3. $\text{Increasing}(3, (\text{cons } 4 (\text{cons } 9 ' ())))$ by [I-CONS]
because $3 \leq 4$ and $\text{Increasing}(4, (\text{cons } 9 ' ()))$ by (2)
4. $\text{Increasing}(-\infty, (\text{cons } 3 (\text{cons } 4 (\text{cons } 9 ' ()))))$ by [I-CONS]
because $-\infty \leq 3$ and $\text{Increasing}(3, (\text{cons } 4 (\text{cons } 9 ' ())))$ by (3)

Ornamenting the Data Definition of List: Inversion

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Example. $\text{Increasing}(3, (\text{cons } 4 (\text{cons } 9 ' ())))$.

By inversion, $3 \leq 4$ and $\text{Increasing}(4, (\text{cons } 9 ' ()))$.

Example. If $\text{Increasing}(L, (\text{cons } y l'))$, by inversion we know that $L \leq y$ and $\text{Increasing}(y, l')$.

Proving Sortedness by Induction

Property: For all lists l , $\text{Increasing}(-\infty, (\text{sort } l))$

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Proof Template. Induction on l .

- Case l is $'()$: show that $\text{Increasing}(-\infty, (\text{sort } '()))$.
- Case l is $(\text{cons } y \ l')$: assuming $\text{Increasing}(-\infty, (\text{sort } l'))$, show that $\text{Increasing}(-\infty, (\text{sort } (\text{cons } y \ l')))$.
- By induction, $\text{Increasing}(-\infty, (\text{sort } l))$ holds for all lists l .

Similar to the length-append example, we want to prove $\text{Increasing}(-\infty, (\text{sort } (\text{cons } y \ l')))$.

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- By induction, $\text{Increasing}(-\infty, (\text{sort } l))$ holds for all lists l .

Similar to the length-append example, we want to prove $\text{Increasing}(-\infty, (\text{sort } (\text{cons } y \ l')))$.

- [I-CONS]: for all L, l' and y , if $L \leq y$ and $\text{Increasing}(y, l')$ then $\text{Increasing}(L, (\text{cons } y \ l'))$.

Turn $(\text{sort } (\text{cons } y \ l'))$ into $'()$ or $(\text{cons } - \ -)$!

Running the Sort Function

```
(define (sort l)
  (match l
    ['()          l]
    [(cons hd tl) (insert hd (sort tl))]))
```

Running sort on `(cons y l')`:

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(sort (cons y l'))
≡
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Running sort on `(cons y l')`:

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(sort (cons y l'))
≡      (the rule of function call)
(match (cons y l')
  ['()          (cons y l')]
  [(cons hd tl) (insert hd (sort tl))])
≡
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(define (sort l)
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≡      (the rules of match)
(insert y (sort l'))
```

The Induction Step in the Proof of Sortedness

For any l' and y , **assuming** $Increasing(-\infty, (\text{sort } l'))$, we want to show that $Increasing(-\infty, (\text{sort } (\text{cons } y l')))$.

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For any l' and y , **assuming** $Increasing(-\infty, (sort\ l'))$, we want to show that $Increasing(-\infty, (sort\ (cons\ y\ l')))$.

By calculation,

$$\begin{aligned} & (sort\ (cons\ y\ l')) \\ \equiv & \\ & (match\ (cons\ y\ l') \\ & \quad ['() \quad (cons\ y\ l')] \\ & \quad [(cons\ hd\ tl)\ (insert\ hd\ (sort\ tl))]) \\ \equiv & \\ & (insert\ y\ (sort\ l')) \end{aligned}$$

The Induction Step in the Proof of Sortedness

For any l' and y , **assuming** $\text{Increasing}(-\infty, (\text{sort } l'))$, we want to show that $\text{Increasing}(-\infty, (\text{sort } (\text{cons } y l')))$.

By calculation,

$$\begin{aligned} & (\text{sort } (\text{cons } y l')) \\ \equiv & \\ & (\text{match } (\text{cons } y l') \\ & \quad ['() \quad (\text{cons } y l')] \\ & \quad [(\text{cons } \text{hd } \text{tl}) (\text{insert } \text{hd } (\text{sort } \text{tl}))]] \\ \equiv & \\ & (\text{insert } y (\text{sort } l')) \end{aligned}$$

Therefore we need to **prove** $\text{Increasing}(-\infty, (\text{insert } y (\text{sort } l')))$.

Lemma: Insertion Preserves Sortedness

```
(define (insert x l)
  (match l
    ['() (cons x '())]
    [(cons hd tl) (if (< x hd)
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Lemma: for any l and x , if $\text{Increasing}(-\infty, l)$ then $\text{Increasing}(-\infty, (\text{insert } x l))$.

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Lemma: for any l and x , if $\text{Increasing}(-\infty, l)$ then $\text{Increasing}(-\infty, (\text{insert } x l))$.

Proof Obligations. Induction on l .

- Case l is $'()$: show that $\text{Increasing}(-\infty, (\text{insert } x '()))$.
- Case l is $(\text{cons } y l')$: assuming “for any z , if $\text{Increasing}(-\infty, l')$ then $\text{Increasing}(-\infty, (\text{insert } z l'))$ ”, show that $\text{Increasing}(-\infty, (\text{insert } x (\text{cons } y l')))$.

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Proof Obligations. Induction on l . Assume that $L \leq x$ and *Increasing*(L, l).

- Case l is $'()$: show that *Increasing*($L, (\text{insert } x \ '())$).
- Case l is $(\text{cons } y \ l')$: assuming
“for any M and z , if $M \leq z$ and *Increasing*(M, l')
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show that *Increasing*($L, (\text{insert } x \ (\text{cons } y \ l'))$).
- By induction, *Increasing*($L, (\text{insert } x \ l)$).

Lemma: Insertion Preserves Lower Bound

Lemma: for any l, L and x , if $L \leq x$ and *Increasing*(L, l) then *Increasing*($L, (\text{insert } x \ l)$).

Proof (1/3). Induction on l . Assume that $L \leq x$ and *Increasing*(L, l).

- Case l is $'()$: show that *Increasing*($L, (\text{insert } x \ '())$).

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- Case l is $'()$: show that *Increasing*($L, (\text{insert } x \ '())$).
 - By calculation, $(\text{insert } x \ '()) \equiv (\text{cons } x \ '())$. Therefore our proof obligation simplifies to *Increasing*($L, (\text{cons } x \ '())$).

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 - By calculation, $(\text{insert } x \ '()) \equiv (\text{cons } x \ '())$. Therefore our proof obligation simplifies to $\text{Increasing}(L, (\text{cons } x \ '()))$.
 - By [I-CONS], $\text{Increasing}(L, (\text{cons } x \ '()))$ if $L \leq x$ and $\text{Increasing}(x, '())$.

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 - By assumption, $L \leq x$.

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 - By calculation, $(\text{insert } x \ '()) \equiv (\text{cons } x \ '())$. Therefore our proof obligation simplifies to $\text{Increasing}(L, (\text{cons } x \ '()))$.
 - By [I-CONS], $\text{Increasing}(L, (\text{cons } x \ '()))$ if $L \leq x$ and $\text{Increasing}(x, '())$.
 - By assumption, $L \leq x$.
 - By [I-EMPTY], $\text{Increasing}(x, '())$.

Lemma: Insertion Preserves Lower Bound

Lemma: for any l, L and x , if $L \leq x$ and *Increasing*(L, l) then *Increasing*($L, (\text{insert } x \ l)$).

Proof (2/3). Induction on l . Assume that $L \leq x$ and *Increasing*(L, l).

- Case l is $(\text{cons } y \ l')$: assuming
“for any M and z , if $M \leq z$ and *Increasing*(M, l')
then *Increasing*($M, (\text{insert } z \ l')$),”
show that *Increasing*($L, (\text{insert } x \ (\text{cons } y \ l'))$).

Running the Insertion Function

To show $\text{Increasing}(L, (\text{insert } x (\text{cons } y l')))$, we calculate the result of running $(\text{insert } x (\text{cons } y l'))$:

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To show $Increasing(L, (insert\ x\ (cons\ y\ l')))$, we calculate the result of running $(insert\ x\ (cons\ y\ l'))$:

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≡ (the rule of function call)  
(match (cons y l')  
  [ '() (cons x '()) ]  
  [(cons hd tl) (if (< x hd)  
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≡ (the rules of match)  
(if (< x y) (cons x (cons y l')) (cons y (insert x l')))
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To show $\text{Increasing}(L, (\text{insert } x (\text{cons } y l')))$, we calculate the result of running $(\text{insert } x (\text{cons } y l'))$:

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```

Our current assumptions: $L \leq x$ and $\text{Increasing}(L, l)$

Running the Insertion Function

Take cases on the comparison result. If $x < y$,

```
(insert x (cons y l'))  
≡ (the previous page)  
(if (< x y) (cons x (cons y l')) (cons y (insert x l')))  
≡
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≡ (arithmetic and the additional assumption that x < y)  
  (if #t      (cons x (cons y l')) (cons y (insert x l')))
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(if #t (cons x (cons y l')) (cons y (insert x l')))  
≡ (the rules of if)  
(cons x (cons y l'))
```

Rules of if:*

$$(if \#t e_1 e_2) \equiv e_1 \qquad (if \#f e_1 e_2) \equiv e_2$$

*In Racket, any non-`#f` value has the same effect as `#t` in `if` expressions. Here we make the simplifying assumption that `if` expressions must take only boolean values.

Lemma: Insertion Preserves Lower Bound

Lemma: for any l, L and x , if $L \leq x$ and *Increasing*(L, l) then *Increasing*($L, (\text{insert } x \ l)$).

Proof (2/3). Induction on l . Assume that $L \leq x$ and *Increasing*(L, l).

- Case l is $(\text{cons } y \ l')$: assuming
“for any M and z , if $M \leq z$ and *Increasing*(M, l')
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show that *Increasing*($L, (\text{insert } x \ (\text{cons } y \ l'))$).

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- Case $x < y$: by calculation, the proof obligation simplifies to *Increasing*($L, (\text{cons } x \ (\text{cons } y \ l'))$).

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- By assumption, $\text{Increasing}(L, l)$, i.e. $\text{Increasing}(L, (\text{cons } y \ l'))$.

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- Case $x < y$: by calculation, the proof obligation simplifies to $\text{Increasing}(L, (\text{cons } x \ (\text{cons } y \ l')))$.
- By assumption, $\text{Increasing}(L, l)$, i.e. $\text{Increasing}(L, (\text{cons } y \ l'))$.
- By inversion, $L \leq y$ and $\text{Increasing}(y, l')$ due to [I-CONS].

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- By assumption, $\text{Increasing}(L, l)$, i.e. $\text{Increasing}(L, (\text{cons } y \ l'))$.
- By inversion, $L \leq y$ and $\text{Increasing}(y, l')$ due to [I-CONS].
- With $x < y$ we obtain $\text{Increasing}(x, (\text{cons } y \ l'))$ through [I-CONS].

Lemma: Insertion Preserves Lower Bound

Lemma: for any l, L and x , if $L \leq x$ and $\text{Increasing}(L, l)$ then $\text{Increasing}(L, (\text{insert } x \ l))$.

Proof (2/3). Induction on l . Assume that $L \leq x$ and $\text{Increasing}(L, l)$.

- Case l is $(\text{cons } y \ l')$: assuming
“for any M and z , if $M \leq z$ and $\text{Increasing}(M, l')$
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- Case $x < y$: by calculation, the proof obligation simplifies to $\text{Increasing}(L, (\text{cons } x \ (\text{cons } y \ l')))$.
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- With $x < y$ we obtain $\text{Increasing}(x, (\text{cons } y \ l'))$ through [I-CONS].
- By assumption, $L \leq x$. Therefore $\text{Increasing}(L, (\text{cons } x \ (\text{cons } y \ l')))$.

Lemma: Insertion Preserves Lower Bound

Lemma: for any l, L and x , if $L \leq x$ and *Increasing*(L, l) then *Increasing*($L, (\text{insert } x \ l)$).

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- Together with $y \leq x$, by induction, $\text{Increasing}(y, (\text{insert } x \ l'))$.
- Since $L \leq y$, we have $\text{Increasing}(L, (\text{cons } y \ (\text{insert } x \ l')))$ by [I-CONS].

Summary: Proving Programs Correct

When proving properties and the correctness of programs...

- We need a model of the programming language
 - Must ensure that the model itself is right. We have been hand-wavy about the correct definition of “ \equiv ”.
- Phrase the desired properties in terms of the programs in the model
- Induction on the data types used in the programs
- Theorem provers mechanize & automate different aspects involved in the proofs

Summary: Follow Your Data Definition

A list l is one of:

- An empty list `'()`
- A cons cell `(cons y l')` where l' is another list.

```
(define (list-function l)
  (match l
    ['() ... the empty case ...]
    [(cons hd tl) ... combine hd and (list-function tl) ...]))
```


Summary: Follow Your Data Definition

Increasing is defined by:

- [I-EMPTY]: $\text{Increasing}(L, ' ())$ is true.
- [I-CONS]: for all L, l' and y , if $L \leq y$ and $\text{Increasing}(y, l')$ then $\text{Increasing}(L, (\text{cons } y l'))$.

Proposition. For all lists l , **statement of l**

Proof (template). Induction on l .

- Case l is $' ()$: **statement of $' ()$**
- Case l is $(\text{cons } y l')$: if **statement of l'** then **statement of $(\text{cons } y l')$** .

By induction, **statement of l** .

Mechanizing the Correctness Proof

insert : $\mathbb{N} \rightarrow \text{List } \mathbb{N} \rightarrow \text{List } \mathbb{N}$

insert x [] = (x :: [])

insert x (hd :: tl) with x <? hd

... | true because _ = x :: (hd :: tl)

... | false because _ = hd :: insert x tl

data Increasing : $-\infty\mathbb{N} \rightarrow \text{List } \mathbb{N} \rightarrow \text{Set}$ where

[I-Empty] : $\forall \{L\} \rightarrow \text{Increasing } L []$

[I-Cons] : $\forall \{L y l'\} \rightarrow$

$L \leq^* [y]_n \rightarrow \text{Increasing } [y]_n l' \rightarrow \text{Increasing } L (y :: l')$

ins-presrv-lb : $\forall x l \{L\} \rightarrow$

$L \leq^* [x]_n \rightarrow \text{Increasing } L l \rightarrow \text{Increasing } L (\text{insert } x l)$

ins-presrv-lb x [] $L \leq x$ [I-Empty] = [I-Cons] $L \leq x$ [I-Empty]

ins-presrv-lb x (y :: l') $L \leq x$ ([I-Cons] $L \leq y$ l'inc) with x <? y

... | yes $x < y = ([I-Cons] L \leq x ([I-Cons] [\leq x < y]_l l'inc))$

... | no $x \not< y = ([I-Cons] L \leq y (\text{ins-presrv-lb } x l' [\not\leq x \not< y]_l l'inc))$

Proving Properties: Output is a Permutation of the Input

Similar to sortedness, we want to express “is a permutation of” in a workable form. Let $l \leftrightarrow l'$ means that l is a permutation of l' .

Theorem. A list l is a permutation of another list l' if and only if we can obtain l' by repeatedly swapping pairs of elements of l .

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$$\begin{aligned} & \underline{4}, 1, 3, \underline{2} \\ \leftrightarrow & \underline{2}, \underline{1}, 3, 4 \\ \leftrightarrow & 1, 2, 3, 4 \end{aligned}$$

Even better, it is sufficient to consider adjacent pairs of elements.

Permutation as the Product of Adjacent Transpositions

From the theorem, we *define* $l \leftrightarrow l'$ by describing how to repeatedly swap pairs of elements.

- [P-SWAP]: for all x, y and l , $(\text{cons } \underline{x} (\text{cons } \underline{y} l)) \leftrightarrow (\text{cons } \underline{y} (\text{cons } \underline{x} l))$.

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- [P-REFL]: for all lists l , $l \leftrightarrow l$.

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- [P-REFL]: for all lists l , $l \leftrightarrow l$.
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Ex. $(\text{cons } \underline{3} (\text{cons } 1 (\text{cons } 2 '()))) \leftrightarrow (\text{cons } 1 (\text{cons } 2 (\text{cons } \underline{3} '())))$.

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by [P-SWAP]

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- [P-REFL]: for all lists l , $l \leftrightarrow l$.
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by [P-PREP] and (2).

Permutation as the Product of Adjacent Transpositions

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4. $(\text{cons } \underline{3} (\text{cons } 1 (\text{cons } 2 '()))) \leftrightarrow (\text{cons } 1 (\text{cons } 2 (\text{cons } \underline{3} '())))$
by [P-TRANS], (1) and (3).

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Theorem. For all l , $l \leftrightarrow (\text{sort } l)$.

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Proof Sketch. Induction on l .

- Case l is $'()$: $(\text{sort } '()) \equiv '()$. Therefore, $'() \leftrightarrow (\text{sort } '())$ by [P-REFL].

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- Case l is $(\text{cons } y \ l')$: assume that $l' \leftrightarrow (\text{sort } l')$. Since $(\text{sort } (\text{cons } y \ l')) \equiv (\text{insert } y \ (\text{sort } l'))$, we need to prove $(\text{cons } y \ l') \leftrightarrow (\text{insert } y \ (\text{sort } l'))$.

By induction, $l \leftrightarrow (\text{sort } l)$ for all l .

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Lemma. For all l and x , $(\text{cons } x \ l) \leftrightarrow (\text{insert } x \ l)$.

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 - Case $x < y$: $(\text{insert } x \ (\text{cons } y \ l')) \equiv (\text{cons } x \ (\text{cons } y \ l'))$.
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- Case l is $(\text{cons } y \ l')$: Assume that **for all z , $(\text{cons } z \ l') \leftrightarrow (\text{insert } z \ l')$** . We need to prove that $(\text{cons } x \ (\text{cons } y \ l')) \leftrightarrow (\text{insert } x \ (\text{cons } y \ l'))$.
 - Case $x < y$: $(\text{insert } x \ (\text{cons } y \ l')) \equiv (\text{cons } x \ (\text{cons } y \ l'))$.
 - Case $x \geq y$: $(\text{insert } x \ (\text{cons } y \ l')) \equiv (\text{cons } y \ (\text{insert } x \ l'))$.

$$\begin{aligned} & (\text{cons } \underline{x} \ (\text{cons } \underline{y} \ l')) \\ \leftrightarrow & (\text{cons } \underline{y} \ (\text{cons } \underline{x} \ l')) && \text{By [P-SWAP]} \\ \leftrightarrow & (\text{cons } \underline{y} \ (\text{insert } x \ l')) && \text{By [P-PREP] \& induction hypothesis} \end{aligned}$$