

Balanced Sublists

1 Understanding the Balanced Function

The `balanced` function uses the tail-recursive auxiliary function `bal` to do its work. `bal` has three arguments:

- ms , which is the suffix of the overall input, ns , that remains to be processed;
- xs , which is the reversal of the longest nice (having no nonempty sublists summing to 0) suffix of the part of ns that's already been processed; and
- zss , which is all the balanced sublists of the part of ns that's already been processed, listed in strictly ascending order.

To begin with, $ms = ns$, $xs = []$ and $zss = []$, and when ms becomes empty, zss is `balanced`'s answer.

When ms is nonempty, the `extend` function is used to process its next element, m . The function `scanZeroSum` is first used to look for a prefix of xs such that the sum of m and the prefix's sum is 0.

- If there is no such prefix, then `extend` communicates back to `bal` that no new balanced sublists of ns have been found, and that the new version of xs will be $m :: xs$, and then `bal` iterates, replacing ms with its tail, xs with $m :: xs$, and leaving zss unchanged. Only one list cell needed to be created in this case, but length of xs additions were needed. All of the processing is done tail-recursively. In the worst case, xs can grow to be as long as ns .
- On the other hand, if there is a prefix ys of xs such that m plus the sum of ys is 0, then `extend` communicates back to `bal` that the reversal of $m :: ys$ is a newly found balanced sublist of ns and that all but the last element of $m :: ys$ should be the new version of xs , and then `bal` iterates, replacing ms with its tail, xs with all but the last element of $m :: ys$, and adding the reversal of $m :: ys$ to zss . It takes two times the length of ys plus 2 list cell allocations to build the new version of xs and find the new element of zss . And all of this processing is done tail-recursively, except for the insertion of the new answer into zss . If ys is short (when $m = 0$, it will be empty), then the new version of xs will also be short, making subsequent steps more efficient.

As a first example, let's consider how `balanced` works with input $ns = [1; 2; 3; 4; 5; -12; 3; 4; 5; -15]$. We start out with

$$ms = [1; 2; 3; 4; 5; -12; 3; 4; 5; -15], \quad xs = [], \quad zss = [].$$

The first five steps simply add elements to the front of xs . First, 1 is added, because there is no prefix of xs whose sum plus 1 is 0,

$$ms = [2; 3; 4; 5; -12; 3; 4; 5; -15], \quad xs = [1], \quad zss = [],$$

Next 2 is added,

$$ms = [3; 4; 5; -12; 3; 4; 5; -15], \quad xs = [2; 1], \quad zss = [].$$

Then 3 is added,

$$ms = [4; 5; -12; 3; 4; 5; -15], \quad xs = [3; 2; 1], \quad zss = [].$$

Then 4 is added,

$$ms = [5; -12; 3; 4; 5; -15], \quad xs = [4; 3; 2; 1], \quad zss = [].$$

And finally 5 is added,

$$ms = [-12; 3; 4; 5; -15], \quad xs = [5; 4; 3; 2; 1], \quad zss = [].$$

Because the next element of ms is now -12 , and $[5; 4; 3]$ is a prefix of xs whose sum plus -12 is 0, in the next step, xs becomes all but the last element of $[-12; 5; 4; 3]$, and the reversal of $[-12; 5; 4; 3]$ is inserted into zss ,

$$ms = [3; 4; 5; -15], \quad xs = [-12; 5; 4], \quad zss = [[3; 4; 5; -12]].$$

Because the next element of ms is now 3, and $[-12; 5; 4]$ is a prefix of xs whose sum plus 3 is 0, in the next step, xs becomes all but the last element of $[3; -12; 5; 4]$, and the reversal of $[3; -12; 5; 4]$ is inserted into zss ,

$$ms = [4; 5; -15], \quad xs = [3; -12; 5], \quad zss = [[3; 4; 5; -12]; [4; 5; -12; 3]].$$

Because the next element of ms is now 4, and $[3; -12; 5]$ is a prefix of xs whose sum plus 4 is 0, in the next step, xs becomes all but the last element of $[4; 3; -12; 5]$, and the reversal of $[4; 3; -12; 5]$ is inserted into zss ,

$$ms = [5; -15], \quad xs = [4; 3; -12], \quad zss = [[3; 4; 5; -12]; [4; 5; -12; 3]; [5; -12; 3; 4]].$$

Because the next element of ms is now 5, and $[4; 3; -12]$ is a prefix of xs whose sum plus 5 is 0, in the next step, xs becomes all but the last element of $[5; 4; 3; -12]$, and the reversal of $[5; 4; 3; -12]$ is inserted into zss ,

$$ms = [-15], \quad xs = [5; 4; 3], \quad zss = [[-12; 3; 4; 5]; [3; 4; 5; -12]; [4; 5; -12; 3]; [5; -12; 3; 4]].$$

Because the next element of ms is now -15 , and there is no prefix of xs whose sum plus -15 is 0, in the next step, -15 is simply added to the front of xs ,

$$ms = [], \quad xs = [-15; 5; 4; 3], \quad zss = [[-12; 3; 4; 5]; [3; 4; 5; -12]; [4; 5; -12; 3]; [5; -12; 3; 4]].$$

Finally, ms is empty, so the result is zss .

As a second example, let's consider how **balanced** works with input $ns = [1; 2; 3; 0; -3; -2; -1]$. We start out with

$$ms = [1; 2; 3; 0; -3; -2; -1], \quad xs = [], \quad zss = [].$$

First, we add 1 to xs ,

$$ms = [2; 3; 0; -3; -2; -1], \quad xs = [1], \quad zss = [].$$

Next, we add 2 to xs ,

$$ms = [3; 0; -3; -2; -1], \quad xs = [2; 1], \quad zss = [].$$

Next, we add 3 to xs ,

$$ms = [0; -3; -2; -1], \quad xs = [3; 2; 1], \quad zss = [].$$

Because the next element of ms is now 0, and $[]$ is a prefix of xs whose sum plus 0 is 0, in the next step, xs becomes all but the last element of $[0]$, and the reversal of $[0]$ is inserted into zss ,

$$ms = [-3; -2; -1], \quad xs = [], \quad zss = [[0]].$$

The rest of the steps add -3 , -2 and -1 to xs , without adding anything to zss .

2 Proving Correctness of the Balanced Function

In what follows, we'll abbreviate `List.rev`, `List.hd` and `List.length` to `rev`, `hd` and `length`, respectively. `length` is defined so that, for all lists xs and ys of values of the same type, `length(xs @ ys) = length xs + length ys`. And `rev` is defined so that, for all lists xs and ys of values of the same type, `rev(xs @ ys) = rev ys @ rev xs`. We'll use the following lemma about `rev` repeatedly and without citation:

Lemma 2.1

- (1) For all lists xs , `rev(rev xs) = xs`.
- (2) For all lists xs and ys of values of the same type, $xs = ys$ iff `rev xs = rev ys`.
- (3) For all lists xs and ys of values of the same type, $xs = \text{rev } ys$ iff `rev xs = ys`.
- (4) For all lists xs , `length xs = length(rev xs)`.

Proof. (1) can be proved by induction on xs . (2) and (3) follow immediately from (1). And (4) follows by induction on xs . \square

Lemma 2.2

For all nice lists xs and suffixes us and vs of xs , if us and vs have the same sum, then $us = vs$.

Proof. Suppose xs is a nice list and us and vs are suffixes of xs with the same sum. We must show that $us = vs$. We'll consider the case where us is no longer than vs , the other case being symmetric. Thus $vs = ws @ us$ for some ws . Since ws is a sublist of vs , which is a sublist of xs , we have that ws is a sublist of xs . Since us and vs have the same sum, and the sum of vs is the sum of ws plus the sum of us , it follows that ws has a sum of 0. Thus, because xs is nice and ws is a sublist of xs , we have that $ws = []$, so that $us = [] @ us = ws @ us = vs$. \square

Lemma 2.3

There is at most one balanced suffix of a list of integers ns .

Proof. Suppose us and vs are balanced suffixes of a list of integers ns . We must show that they are equal. We'll consider the case where us is no longer than vs , the other case being symmetric. Thus $vs = ws @ us$ for some ws . Because us and vs both sum to 0, the sum of ws must also be 0. Thus, since $ws @ us = vs$ is balanced, we have that either $ws = []$ or $us = []$, as otherwise both of ws and us would be proper, nonempty sublists of vs with sum 0. In the first case, we have that $us = [] @ us = ws @ us = vs$. And, in the second case, we have that $[] = us$ is balanced—contradiction. Thus $us = vs$. \square

Lemma 2.4

If xs is a nice list, n is a nonzero integer, and the sum of xs plus n is 0, then $xs @ [n]$ is balanced.

Proof. Suppose xs is a nice list, n is a nonzero integer, and the sum of xs plus n is 0. We must show that $xs @ [n]$ is balanced. Because it clearly has a sum of 0 and is nonempty, it remains to show that it has no proper, nonempty sublist with sum 0. Suppose, toward a contradiction, that us is a proper, nonempty sublist of $xs @ [n]$ with sum 0. There are two cases to consider.

- Suppose us is a sublist of xs . Because us is nonempty and sums to 0, and xs is nice, we have a contradiction.
- Suppose us is a suffix of $xs @ [n]$. Because us is nonempty, there is a suffix vs of xs such that $us = vs @ [n]$. Because us sums to 0, it follows that vs sums to $-n$. But the sum of xs plus n is 0, and thus xs also sums to $-n$. Because xs and vs are suffixes of the same nice list (xs) and have the same sum, Lemma 2.2 tells us that $xs = vs$. But then $us = vs @ [n] = xs @ [n]$, contradicting that us is a proper sublist of $xs @ [n]$.

\square

Lemma 2.5

Suppose ns and xs are lists of integers. The following statements are equivalent:

- (1) *the reversals of the prefixes of xs are the nice suffixes of ns ;*
- (2) *$\text{rev } xs$ is the longest nice suffix of ns .*

Proof. Suppose that ns and xs are lists of integers.

- ((1) implies (2)) Suppose the reversals of the prefixes of xs are the nice suffixes of ns . We must show that $\text{rev } xs$ is the longest nice suffix of ns . Because xs is a prefix of itself, $\text{rev } xs$ is a nice suffix of ns . Suppose, toward a contradiction, that there is nice suffix ms of ns that is longer than $\text{rev } xs$. Then $ms = \text{rev } ys$ for some prefix ys of xs . Because $\text{rev } ys = ms$ is longer than $\text{rev } xs$, we have that $ys = \text{rev}(\text{rev } ys)$ is longer than $xs = \text{rev}(\text{rev } xs)$ —contradicting the fact that ys is a prefix of xs . Thus $\text{rev } xs$ is the longest nice suffix of ns .
- ((2) implies (1)) Suppose $\text{rev } xs$ is the longest nice suffix of ns . We must show that the reversals of the prefixes of xs are the nice suffixes of ns .

First, suppose that ys is a prefix of xs . Then $xs = ys @ us$ for some us , so that $\text{rev } us @ \text{rev } ys = \text{rev}(ys @ us) = \text{rev } xs$. Because $\text{rev } ys$ is a suffix of $\text{rev } xs$, which is in turn a suffix of ns , we have that $\text{rev } ys$ is a suffix of ns . And since $\text{rev } ys$ is a sublist of the nice list $\text{rev } xs$, it

follows that $\text{rev } ys$ is nice, as any nonempty sublist of $\text{rev } ys$ with a sum of 0 would also be a nonempty sublist of $\text{rev } xs$. Thus $\text{rev } ys$ is a nice suffix of ns .

Second, suppose that ms is a nice suffix of ns . Because $\text{rev } xs$ is the longest nice suffix of ns , it follows that ms is a suffix of $\text{rev } xs$. Thus there is a us such that $\text{rev } xs = us @ ms$, so that $xs = \text{rev}(\text{rev } xs) = \text{rev}(us @ ms) = \text{rev } ms @ \text{rev } us$. Hence $\text{rev } ms$ is a prefix of xs whose reversal is ms .

□

Correctness Proof for `extend`

Suppose ns is a list of integers, n is an integer, and the reversals of the prefixes of xs are the nice suffixes of ns . By Lemma 2.5, we have that $\text{rev } xs$ is the longest nice suffix of ns . There are two cases to consider.

- Suppose there is no prefix of xs whose sum, when added to n , yields 0. Then `scanZeroSum n xs` returns `None`, so that `extend n xs` returns `(None, n :: xs)`. Thus we must show that:
 - (1) there is no balanced suffix of $ns @ [n]$, and
 - (2) the reversals of the prefixes of $n :: xs$ are the nice suffixes of $ns @ [n]$, which, by Lemma 2.5, is equivalent to showing that $\text{rev } xs @ [n] = \text{rev}(n :: xs)$ is the longest nice suffix of $ns @ [n]$.

We have that $n \neq 0$, since otherwise `[]` would be a prefix of xs whose sum, when added to n , yields 0.

Suppose, toward a contradiction, that there is a balanced suffix of $ns @ [n]$. Because balanced lists are nonempty, it follows that there is a suffix ms of ns such that $ms @ [n]$ is balanced. Because ms is a proper sublist of $ms @ [n]$, it follows that ms is nice (a nonempty sublist of ms with sum 0 would be a proper, nonempty sublist of $ms @ [n]$). Thus, since ms is a nice suffix of ns , we have that $\text{rev } ms$ is a prefix of xs . Because $ms @ [n]$ is balanced, we have that the sum of ms , when added to n , yields 0. But then the sum of $\text{rev } ms$, when added to n , also yields 0, so that there is prefix of xs whose sum, when added to n , yields 0—contradiction. Thus there is no balanced suffix of $ns @ [n]$, i.e., (1) holds.

It remains to show (2). Suppose, toward a contradiction, that $\text{rev } xs @ [n]$ is not nice. Because $n \neq 0$ and $\text{rev } xs$ is nice, it follows that there is a nonempty suffix us of $\text{rev } xs$ such that the sum of us , when added to n , yields 0. Because us is a sublist of $\text{rev } xs$, and $\text{rev } xs$ is nice, we have that us is nice. Thus Lemma 2.4 tells us that $us @ [n]$ is balanced. Since us is a suffix of $\text{rev } xs$, and $\text{rev } xs$ is a suffix of ns , we have that us is a suffix of ns , so that $us @ [n]$ is a balanced suffix of $ns @ [n]$ —contradiction. Thus we have that $\text{rev } xs @ [n]$ is a nice suffix of $ns @ [n]$.

Finally, suppose, toward a contradiction, that there is a nice suffix us of $ns @ [n]$ that is longer than $\text{rev } xs @ [n]$. Then $us = ms @ [n]$, where ms is a longer suffix of ns than $\text{rev } xs$. Because us is nice and ms is a sublist of us , we have that ms is nice, so that ms is a nice suffix of ns that is longer than $\text{rev } xs$ —contradiction. This concludes the proof of (2).

- Suppose there is a prefix of xs whose sum, when added to n , yields 0. Let ys be the shortest such prefix. Then `scanZeroSum` $n xs$ returns `Some i`, where i is the length of ys . Since $0 \leq i$ and i is less-than-or-equal-to the length of $n :: xs$, `splitRev` $i (n :: xs)$ returns (us, vs) , where us is the reversal of the first i elements of $n :: xs$, and vs is the remaining elements of $n :: xs$. Thus `extend` $n xs$ returns $(\text{Some}(\text{hd } vs :: us), \text{rev } us)$.

Because i is the length of ys , and ys is a prefix of xs , it follows that `rev` us is all but the last element of $n :: ys$, and that `hd` vs is the last element of $n :: ys$. Thus $n :: ys = \text{rev } us @ [\text{hd } vs]$. Hence $\text{rev}(n :: ys) = \text{rev}(\text{rev } us @ [\text{hd } vs]) = \text{rev}[\text{hd } vs] @ \text{rev}(\text{rev } us) = [\text{hd } vs] @ us = \text{hd } vs :: us$. Thus `extend` $n xs$ returns `Some(rev(n :: ys))` paired with all but the last element of $n :: ys$.

Hence we must show that:

- (1) `rev(n :: ys)` is the unique balanced suffix of $ns @ [n]$, which, by Lemma 2.3, is equivalent to showing that `rev` $ys @ [n] = \text{rev}(n :: ys)$ is a balanced suffix of $ns @ [n]$, and
- (2) the reversals of the prefixes of all but the last element of $n :: ys$ are the nice suffixes of $ns @ [n]$, which, by Lemma 2.5, is equivalent to showing that the reversal of all but the last element of $n :: ys$ is the longest nice suffix of $ns @ [n]$.

We know that n plus the sum of ys is 0, and thus that `rev` $ys @ [n]$ has a sum of 0. And, clearly `rev` $ys @ [n]$ is nonempty. So for (1) it remains to show that `rev` $ys @ [n]$ has no proper, nonempty sublist with a sum of 0. To this end, suppose, toward a contradiction, that zs is a proper, nonempty sublist of `rev` $ys @ [n]$ with a sum of 0. Because ys is a prefix of xs , `rev` ys is a nice suffix of ns . Thus zs is not a sublist of `rev` ys , so that $zs = ws @ [n]$ for some suffix ws of `rev` ys . Since the sum of zs is 0, we have that the sum of ws is $-n$. But, since the sum of `rev` $ys @ [n]$ is 0, we also have that the sum of `rev` ys is $-n$. Because `rev` ys is nice, `rev` ys and ws are suffixes of `rev` ys , and `rev` ys and ws have identical sums, Lemma 2.2 tells us that `rev` $ys = ws$. But this means that $zs = ws @ [n] = \text{rev } ys @ [n]$, showing that zs is not a proper sublist of `rev` $ys @ [n]$ —contradiction. This completes the proof of (1).

For (2), there are two cases to consider.

- Suppose $n = 0$. Then $ys = []$, by its definition. Hence all but the last element of $n :: ys$ is $[]$. So we must show that $[] = \text{rev}[]$ is the longest nice suffix of $ns @ [n]$. $[]$ is nice and is a suffix of any list. Furthermore, any longer suffix of $ns @ [n]$ would have $[0]$ as a sublist, and so wouldn't be nice. So $[]$ is the longest nice suffix of $ns @ [n]$.
- Suppose $n \neq 0$. Then the sum of ys is $-n$, so that $ys = us @ [m]$ for some us and m . We must show that `rev` $us @ [n] = \text{rev}(n :: us)$ is the longest nice suffix of $ns @ [n]$. We have that `rev` $ys @ [n] = \text{rev}(us @ [m]) @ [n] = m :: \text{rev } us @ [n]$. From (1), we know that `rev` $ys @ [n]$ is a balanced suffix of $ns @ [n]$. Since `rev` $us @ [n]$ is a suffix of `rev` $ys @ [n]$, we have that `rev` $us @ [n]$ is a suffix of $ns @ [n]$. Furthermore, because `rev` $us @ [n]$ is a proper sublist of the balanced list `rev` $ys @ [n]$, it follows that `rev` $us @ [n]$ is nice (if `rev` $us @ [n]$ had a nonempty sublist with sum 0, then `rev` $ys @ [n]$ would have a proper, nonempty sublist with sum 0). Furthermore, any longer suffix of $ns @ [n]$ would contain $m :: \text{rev } us @ [n] = \text{rev } ys @ [n]$ (which has a sum of 0) as a sublist, and so wouldn't be nice. Thus `rev` $us @ [n]$ is the longest nice suffix of $ns @ [n]$.

Correctness Proof for `balanced`

Suppose ns is a list of integers. First, we'll show that, under the assumption that the auxiliary function `bal` is correct, `balanced ns` returns the balanced sublists of ns , listed in strictly ascending order. Then, we'll prove that `bal` is correct.

We have that ns is a suffix of itself, and the prefix of ns of length `length ns - length ns` is `[]`. Since the reversals of the prefixes of `[]` (there is only one, `[]`) are the nice suffixes of `[]` (there is only one, `[]`), we have that the reversals of the prefixes of `[]` are the nice suffixes of the prefix of ns of length `length ns - length ns`. Since there are no balanced sublists of `[]`, we have that `[]` is the balanced sublists of `[]`, listed in strictly ascending order, i.e., is the balanced sublists of the prefix of ns of length `length ns - length ns`, listed in strictly ascending order. Thus, by `bal`'s specification, `bal ns [] []` returns the balanced sublists of ns , listed in strictly ascending order. And this, in turn, is what `balanced ns` returns.

To prove that `bal` is correct, suppose ms is a suffix of ns , and the reversals of the prefixes of ms are the nice suffixes of the prefix of ns of length `length ns - length ms`, and zss is the balanced sublists of the prefix of ns of length `length ns - length ms`, listed in strictly ascending order. We must prove that `bal ms xs zss` returns all the balanced sublists of ns , listed in strictly ascending order. There are two cases to consider.

- Suppose $ms = []$. Then the prefix of ns of length `length ns - length ms` is ns , and so zss is the balanced sublists of ns , listed in strictly ascending order. But this is what `bal` returns.
- Suppose $ms = m :: ms'$ for some integer m and list of integers ms' . Because ms is a suffix of ns , we have that ms' is a suffix of ns . Let ls be the prefix of ns of length `length ns - length ms`. Then $ls @ [m]$ is the prefix of ns of length `length ns - length ms'`. There are two subcases to consider.
 - Suppose there is no balanced suffix of $ls @ [m]$. Because the reversals of the prefixes of xs are the nice suffixes of ls , we have that `extend m xs` returns `(None, ys)`, where the reversals of the prefixes of ys are the nice suffixes of $ls @ [m]$. Because zss is the balanced sublists of ls , listed in strictly ascending order, and there is no balanced suffix of $ls @ [m]$, we have that zss is the balanced sublists of $ls @ [m]$, listed in strictly ascending order. Thus, by the specification of `bal`, we have that `bal ms' ys zss` returns the balanced sublists of ns , listed in strictly ascending order. But this is what `bal` returns.
 - Suppose there is a balanced suffix of $ls @ [m]$. Because the reversals of the prefixes of xs are the nice suffixes of ls , we have that `extend m xs` returns `(Some zs, ys)`, where zs is the unique balanced suffix of $ls @ [m]$, and the reversals of the prefixes of ys are the nice suffixes of $ls @ [m]$. Since the elements of zss are sorted in strictly ascending order, `insert zs zss` consists of zs plus all of the elements in zss , listed in strictly ascending order. Because zss is the balanced sublists of ls , and zs is the unique balanced suffix of $ls @ [m]$, it follows that `insert zs zss` is the balanced sublists of $ls @ [m]$, listed in strictly ascending order. Thus, by the specification of `bal`, we have that `bal ms' ys (insert zs zss)` returns the balanced sublists of ns , listed in strictly ascending order. But this is what `bal` returns.