

LECTURE 3: FORMALISING MATHEMATICS

MODULAR PROOFS IN ISABELLE/HOL

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COURSE OVERVIEW

A practical course on effective use of the Isabelle/HOL proof assistant in mathematics and programming languages

Lectures:

- Introduction to Proof Assistants
- Formalising the basics in Isabelle/HOL
- Introduction to Isar, more types, Locales and Type classes
- Case studies:
 - Formalising Mathematics: Combinatorics & advanced locale reasoning patterns
 - Program Verification: Formalising semantics, program properties, and introducing modularity/abstraction.

Example Classes:

- Isabelle exercises based on the previous lecture
- Will be drawing from the existing Isabelle tutorials/Nipkow's Concrete Semantic Book, as well as custom exercises (e.g. for locales).

LECTURE 3 OVERVIEW

Modular proofs = an engineering-like approach to formalisation.

Yesterday: Introduction to modular techniques

TODAY:

- Formalisation of mathematics (some more history!)
- Case Study: Formalising combinatorial structures
- Some mathematical background: designs, graphs, hypergraphs.
- Locale reasoning patterns
 - Locale interactions
 - Rewriting
 - Mutual & reverse sublocales
- Proofs with Locales
- Advantages vs Limitations

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FORMALISATION OF MATHS

SOME HISTORY

The Kepler Conjecture (1998)

- · Hales et al.
- "The Flyspeck Project"
- Complicated Proof
- Relied on code
- HOL Light/Isabelle
- 2014

Four Colour Theorem (1976)

- Gonthier & Werner
- Relied on code
- Coq
- 2005

Prime Number Theorem (1896)

- Avigad/Harrison
- Significant Theorem
- Isabelle/HOL Light
- 2004

Odd Order Theorem

- Gonthier et al.
- Significant Theorem
- Coq
- 2012

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MORE RECENT DEVELOPMENTS

Proof assistants are firmly entering the domain of regular mathematicians

- Terrence Tao and Tim Gowers = two field medallists commenting regularly on this.
 - See Tao's discussion: https://terrytao.wordpress.com/wp-content/uploads/2024/03/machine-assisted-proof-notices.pdf
- Lean in particular has managed to create a community of mathematicians using proof assistants that didn't previously exist.
 - In many ways emphasizes the importance of other factors like: community chats, documentation, user interface, online accessibility etc.
- Percentages of proof assistant conference papers on mathematical formalisations is increasing (e.g. ITP/CPP).

LIBRARIES ACROSS PROOF ASSISTANTS

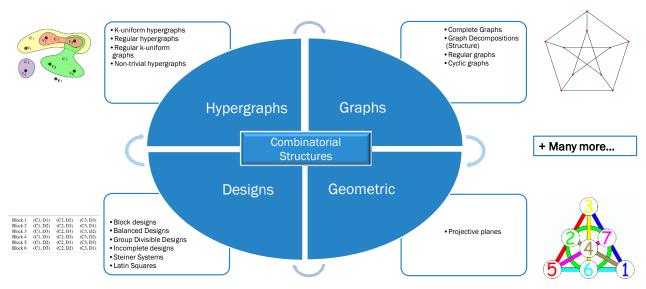
- Many proof assistants have substantial libraries in their distribution, as well as separate advanced libraries ...
 - Mizar: Mizar Mathematical Library http://mizar.org/library/
 - Rocq (Coq): Mathematical Components https://math-comp.github.io/
 - Isabelle[HOL]: Archive of Formal Proofs https://www.isa-afp.org/topics/
 - Lean: mathlib https://github.com/leanprover-community/mathlib4
- Most older libraries are not unified (both an advantage and limitation!)

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A MATHEMATICAL CASE STUDY

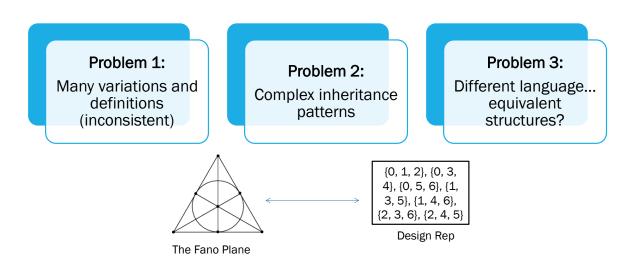
COMBINATORIAL STRUCTURES

MOTIVATING PROBLEM - LARGE HIERARCHIES



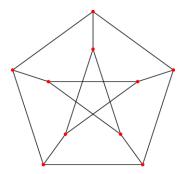
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THE CHALLENGES



GRAPH THEORY

- There are many known definitions to a (simple) graph:
 - A relation based definition: A set of points *V* and a well-formed adjacency relation.
 - A set based definition: A set of points V and a set of edges, which are undirected pairs/sets of size two
 - (or just a set of edges, where the vertices are defined implicitly).
- Many types of graphs introducing certain structure
 - Complete Graphs
 - Graph Decompositions (Structure)
 - Regular graphs
 - Cyclic graphs
- Many variations on graphs:
 - Digraphs
 - Multigraphs



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INTRO TO COMBINATORIAL DESIGNS

"The School Girls Problem (Kirkman, 1850)"

Fifteen young ladies in a school walk out three abreast for seven days in succession: it is required to arrange them daily so that no two shall walk twice abreast.

Sun	Mon	Tue	Wed	Thu	Fri	Sat
ABC	ADG	AEJ	AFO	AHK	AIM	ALN
DEF	BEH	BFL	BDM	BGN	BKO	BIJ
GHI	CJM	СНО	CGL	CFI	CEN	CDK
JKL	FKN	DIN	EIK	DJO	DHL	EGO
MNO	ILO	GKM	HJN	ELM	FGJ	FHM

This is what is known as a 2 - (15, 3, 1) design.

- There are v = 15 *points* the school girls
- Each block is of size k = 3 each day the girls are put in groups of 3
- Each pair of points appears together in a block exactly once ($\lambda = 1$)

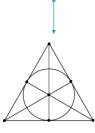
INTRO TO COMBINATORIAL DESIGNS

- A design is a finite set of points V and a collection of subsets of V, called blocks B (or alternatively, an "incidence relation"
- Applications range from experimental and algorithm design, to security and communications.
- What makes a design interesting? Properties:
 - The set of block sizes K
 - The set of replication numbers R
 - The set of t-indices Λ_t
 - The set of intersection numbers M
- Language varies: designs, hypergraphs, matrices, geometries, graph decompositions, codes ...

MORE EXAMPLES

{0, 1, 2}, {0, 3, 4}, {0, 5, 6}, {1, 3, 5}, {1, 4, 6}, {2, 3, 6}, {2, 4, 5}

Design Rep



The Fano Plane

Block size: k = 3



• Pairwise Points index: $\lambda_2 = 1$

Intersection Number: $M = \{0, 1\}$



Design Rep





Hypergraph

- Block size: $K = \{1,2,3\}$
- Replication Number: $R = \{0, 1, 2\}$
- Pairwise Points index: $\Lambda_2 = \{0, 1, 2\}$
- Intersection Number: $M = \{0, 1, 2\}$

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A BASIC HIERARCHY

COMBINATORIAL DESIGN THEORY

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INTRODUCING MODULARITY/INHERITANCE: FIRST ATTEMPTS...

Approach 1: Type classes?

```
class incidence_system_class =
  fixes D :: "'a design"
  assumes wellformed: "b ∈# blocks D ⇒ b ⊆ points D"

record 'a block_design = "'a design" +
  size :: "nat"

record 'a balanced_design = "'a design" +
  balance :: "nat"
  t :: nat

record bibd = "'a block_design" + "'a balanced_design"
  (* X Can't combine records ")

class block_design = incidence_system_class +
  fixes k :: "nat"
  (* X Can't add new type to class *)
```

Approach 2: Records + Locales?

```
record 'a design =
  points :: "'a set "
  blocks :: "'a set multiset"

locale incidence_system =
  fixes D :: "'a design" (structure)
  assumes wf: "b ∈# blocks D ⇒ b ⊆ points D"
```

Messier notation, less automation.

THE LOCALE-CENTRIC APPROACH

- Use only locales to model different structures (no complex types/records etc)
- Use local definitions inside locale contexts
- Type-synonyms can be used with care to bundle objects
- The "Little Theories" approach for locale definitions (Farmer, 1992).
- Avoid duplication at all costs!
- First Introduced by Ballarin in a paper on "Formalising an Abstract Algebra Textbook" (2020)

```
record 'a design =
  points :: "'a set "
  blocks :: "'a set multiset"

locale incidence_system =
  fixes D :: "'a design" (structure)
  assumes wf: "b ∈# blocks D ⇒ b ⊆ points D"
```

```
locale incidence_system = fixes point_set :: "'a set" ("\mathcal{V}") fixes block_collection :: "'a set multiset" ("\mathcal{B}") assumes wellformed: "b \in# \mathcal{B} \Longrightarrow b \subseteq \mathcal{V}" begin locale design = finite_incidence_system + assumes blocks_nempty: "bl \in# \mathcal{B} \Longrightarrow bl \neq {}" begin
```

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THE BASIC DEFINITIONS

```
locale incidence_system = fixes point_set :: "'a set" ("\mathcal{V}") fixes block_collection :: "'a set set" ("\mathcal{B}") assumes wellformed: "b \in \mathcal{B} \implies b \subseteq \mathcal{V}"

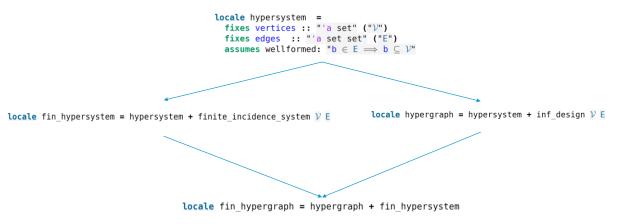
locale finite_incidence_system = incidence_system + assumes finite_sets: "finite \mathcal{V}"

locale design = finite_incidence_system + inf_design
```

Note: These definitions are from a simplified example we'll be exploring in this lecture (no multisets!)

AND ANOTHER HIERARCHY....? - HYPERGRAPHS

 Realistically, this is just designs... with another language – so we rename parameters than use direct inheritance!

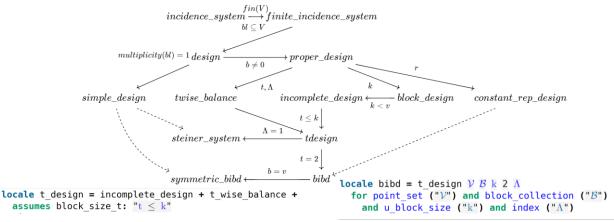


Note: These definitions are from a simplified example we'll be exploring in this lecture (no multisets!)

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BACK TO THE DESIGN HIERARCHY

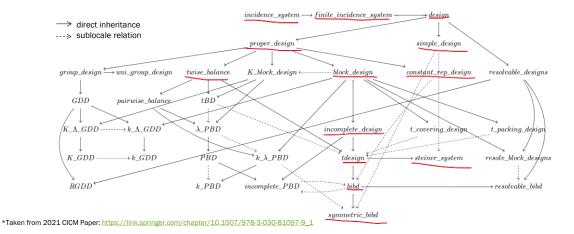
- Turns out we can build really big hierarchies!*
- The arrows are annotated with the parameter/assumption added. Dotted arrows indicate indirect inheritance



^{*}Taken from 2021 CICM Paper: https://link.springer.com/chapter/10.1007/978-3-030-81097-9_1

EXTENDING THE HIERARCHY

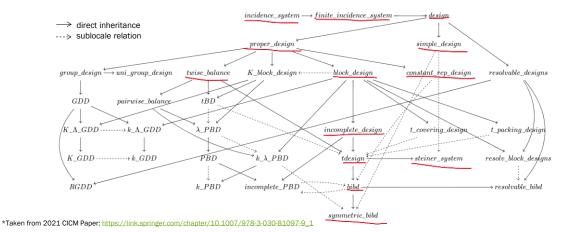
- And expanding it even further!
- Isabelle handles all the relations naturally, but lets zoom in on some of the interesting reasoning patterns



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EXTENDING THE HIERARCHY

- And expanding it even further!
- Isabelle handles all the relations naturally, but lets zoom in on some of the interesting reasoning patterns



LOCALE REASONING PATTERNS

MODELLING INTERACTIONS

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LOCALE INTERACTIONS - COMBINING LOCALES

It's always easier to do proofs inside a locale context. So when reasoning on two instances of a locale, why
not create another locale? The locale inheritance system allows for such "dual" inheritance

```
locale incidence_system_isomorphism = source: incidence_system \mathcal{V} \mathcal{B} + target: incidence_system \mathcal{V}' \mathcal{B}' for "\mathcal{V}" and "\mathcal{B}" and "\mathcal{V}'' and "\mathcal{B}''' + fixes bij_map ("\pi") assumes bij: "bij_betw \pi \mathcal{V} \mathcal{V}''' assumes block_img: "image_mset ((`) \pi) \mathcal{B} = \mathcal{B}''' begin lemma design_iso_block_sizes_eq: "source.sys_block_sizes = target.sys_block_sizes" apply (simp_add: source.sys_block_sizes_def target.sys_block_sizes_def) using design_iso_block_size_eq iso_block_in_iso_img_block_orig_exists_by_force
```

- In a locale with two "instances" of another locale, it is still easy to do proofs using the locale parameters/properties as above (note how source and target are used)
- But sometimes, we do also want to reason on if two designs are actually isomorphic, without knowing the
 exact bijection between them.

```
definition isomorphic_systems (infixl "≅<sub>D</sub>" 50) where "\mathcal{D} \cong_{D} \mathcal{D}' \longleftrightarrow (\exists \pi \text{ . inc sys isomorphism (points } \mathcal{D}) \text{ (blocks } \mathcal{D}') \text{ (blocks } \mathcal{D}') \pi)"
```

ASIDE.... A NOTATION TRICK

When working outside a locale context, sometimes you do want to be able to "bundle parameters". In the isomorphism example below, we're doing this by pair types.

```
definition isomorphic_systems (infixl "\cong_D" 50) where "\mathcal{D} \cong_D \mathcal{D}' \longleftrightarrow (\exists \ \pi \ . inc_sys_isomorphism (points <math>\mathcal{D}) (blocks \mathcal{D}) (points \mathcal{D}') (blocks \mathcal{D}') \pi)"
```

Sometimes it's even useful to declare a type synonym to do this.

```
type_synonym 'a design = "'a set \times 'a block set"

abbreviation blocks :: "'a design \Rightarrow 'a block set" where

"blocks D \equiv snd D"

abbreviation points :: "'a design \Rightarrow 'a set" where

"points D \equiv fst D"

More meaningful accessors than fst and snd
```

- Generally, you should still avoid doing actual proofs with these types by interpreting the relevant locale
 as soon as its need.
 - This means you still get all the nice benefits of working with a locale
 - Just with some notational advantages in certain definitions!

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EQUIVALENT STRUCTURES? - REVERSE SUBLOCALES

- In our hypergraph example, we already connected hypergraphs to designs via direct inheritance.
- But we also want to establish this connection in the opposite direction (i.e. "reverse sublocale")
- And we also want to rewrite block design theorems on certain definitions to use design theoretic language, via the rewrites keyword (introduces extra proof goals)

```
sublocale incidence_system ⊆ hypersystem 𝑉 𝔞
rewrites "hdegree v = rep v" and "hdegree_set vs = index vs"
proof (unfold_locales)
show "/\D. b ∈ 𝔞 ⇒ b ⊆ 𝑉 " using wellformed by simp
then interpret hs: hypersystem 𝑉 𝔞 by (unfold_locales)
show "hs.hdegree v = rep v"
using hs.hdegree_def rep_def by simp
show " hs.hdegree_set vs = index vs"
using hs.hdegree_set vs = index vs"
using hs.hdegree_set fed index_def by simp
qed

reverse sublocale

sublocale inf_design ⊆ hypergraph 𝑉 𝔞
by unfold locales
```

EQUIVALENT STRUCTURES? - MUTUAL SUBLOCALES

- Now consider if we formalised hypergraphs using an incidence relation definition,
- Instead of inheriting directly in one direction, we now need to establish sublocale relationships in both directions.

```
locale hypersys_rel = fixes vertices :: "'a set" ("V") fixes inc_rel :: "('a \times 'a set) set" ("I") assumes wf: "(v, e) \in I \Longrightarrow v \in e \wedge e \subseteq V"  
"(v, e) \in I \Longrightarrow (\forall u. u \in e \longrightarrow (u, e) \in I)"
```

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EQUIVALENT STRUCTURES? - MUTUAL SUBLOCALES

Let's try it naively....

```
sublocale hypersys_rel ⊆ inf_design V edge_set
sorry

sublocale inf_design ⊆ hypersys_rel V I

oops

✓ Proof state ✓ Auto hovering ✓ Auto update Update Search:

Duplicate constant declaration "local.v" vs. "local.v" 
The above error(s) occurred while activating syntax of locale instance incidence_system "V" "hypersys_rel.edge_set I"
```

- Looping issue! Sublocale loops/naming clashes are the most common issue when establishing this.
- Careful interpretations and rewrites of parameter definitions can help us avoid such loops.

MUTUAL SUBLOCALES

There is a simple 4 step "recipe" for establishing mutual sublocales

1) In each locale, create definitions to represent the any parameters the locales do not share.

```
\label{eq:continuous} \begin{array}{c} \text{inf\_design} \, \text{locale} \\ \\ \text{definition} \,\, "\mathcal{I} \equiv \{ \,\, (x, \,\, b) \,\, . \,\, b \in \mathcal{B} \,\, \land \,\, x \in \, b \}" \\ \\ \text{"edge set} \equiv \, \text{snd} \,\, ` \,\, I" \\ \end{array}
```

2) Set up a temporary interpretation of the mutual representation in each locale

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MUTUAL SUBLOCALES

There is a simple 4 step "recipe" for establishing mutual sublocales

3) Establish the equivalence of the interpretation's version of a property, and the local definition

```
\label{eq:lemma} \begin{array}{ll} \text{inf\_design} \ \text{locale} \\ \\ \text{lemma} \ \text{edge set is: } "\mathcal{B} = \text{edge set"} \\ \\ \text{lemma} \ \text{rel inc is: } "I = \mathcal{I}" \\ \\ \end{array}
```

- 4) Establish the sublocale declaration in both direction with careful use of the rewrites command.
 - Note: rewriting is not required if parameters do not need to be "manipulated"

If you further refine both locales, further mutual sublocales can usually be established just via step (4)

PROOF PATTERNS

There are two main proof patterns when establishing something is an instance of a locale

- (1) Custom introduction rules
 - The intro_locales tactic isn't particularly usable by itself unfolding to the axiomatic definition of a locale
 - If you commonly know you need to establish locale B for something that already satisfies ancestor locale A's assumptions, define a custom introduction rule!
 - This can be in a locale context or outside a locale context

```
\begin{array}{l} \textbf{lemma} \  \, \text{finite\_sysI2[intro]:} \\ \text{"finite } \mathcal{V} \implies \text{incidence\_system } \mathcal{V} \,\, \mathcal{B} \implies \text{finite\_incidence\_system } \mathcal{V} \,\, \mathcal{B}" \\ \textbf{using incidence\_system.finite\_sysI by blast} \\ \\ \textbf{Lemma in finite\_incidence\_system context} \\ \textbf{lemma comp\_is\_fin\_sys: "finite\_incidence\_system } \mathcal{V} \,\, \text{(complement\_blocks)"} \\ \textbf{using complement\_blocks\_sys finite\_sysI2 finite\_sets by blast} \\ \end{array}
```

PROOF PATTERNS

There are two main proof patterns when establishing something is an instance of a locale

- (2) Local interpretation first
 - unfold_locales unfolds everything! If you're 10 locales deep into a hierarchy this can be a lot, and annoying if you've already shown elsewhere (even in a different theory) that the parameters satisfy a locale part way through that hierarchy
 - By applying local interpretation first, Isabelle takes this into account in the local proof context!

```
lemma complement_design:
    assumes "\land bl . bl \in \mathcal{B} \Longrightarrow bl \neq \mathcal{V}"
    shows "design \mathcal{V} (\mathcal{B}^c)"
    apply unfold_locales

Proof (prove)
goal (3 subgoals):

1. \landb. b \in \mathcal{B}^c \Longrightarrow b \subseteq \mathcal{V}
2. finite \mathcal{V}
3. \landbl. bl \in \mathcal{B}^c \Longrightarrow bl \neq \{\}
```

```
lemma complement_design:
    assumes "\bigwedge bl. bl \in \mathcal{B} \Longrightarrow bl \neq \mathcal{V}"
    shows "design \mathcal{V} (\mathcal{B}^{c})"
    proof -
        interpret fin: finite_incidence_system \mathcal{V} "\mathcal{B}^{c}" us interpret inf: inf_design \mathcal{V} "\mathcal{B}^{c}" using comp_is_i show ?thesis apply unfold_locales

Proof state \checkmark Auto hoveing \checkmark Auto upd.

proof (prove)
goal:
No subgoals!
```

MORE NOTATION TRICKS - REASONING OUTSIDE OF CONTEXT

- In addition to using a locale as a "definition", you can also easily refer to locale definitions and theorems outside a locale in your assumptions
- For example, below, we wanted to use the replication number definition to define a definition outside the locale context

Pass locale parameter as well

```
definition points_repn :: "'a design \Rightarrow nat \Rightarrow 'a set" where "points repn D n = {v . incidence system.rep (blocks D) v = n}"
```

- Note how in addition to the point (which is all we'd need in the locale context), we also need to pass any of the locale parameters used in the definition (in this case, the blocks).
- Where possible such definitions should be inside the locale context!

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ISABELLE DEMONSTRATION

(SIMPLIFIED LIBRARY)

MORE LOCALES IN PROOFS

TAKEN FROM RESEARCH LIBRARY

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USING SYMMETRIC INSTANCES

- In mathematics, we often have symmetric properties where we can choose something "without loss of generality"
- Locales allow us to minimise the amount of repeated work in a proof environment
- This example is in a bipartite graph locale context, which has two extra vertex set parameters for the partition
- We show switching this is still a bipartite graph ... which makes it easy to avoid repeating long proofs

```
Show switching X and Y is still
lemma bipartite_sym: "bipartite_graph V E Y X"
                                                                                             bipartite
  using partition ne edge betw all bi edges sym
  by (unfold locales) (auto simp add: insert commute)
lemma edge_size_degree_sumY: "card E = (\sum y \in Y \cdot degree y)"
                                                                                            Lemma with 7 line proof
proof
lemma edge_size_degree_sumX: "card E = (\sum y \in X \cdot degree y)"
proof
                                                                                  Interpret the symmetrical graph
 interpret sym: fin bipartite graph V E Y X
   using fin bipartite sym by simp
  show ?thesis using sym.edge_size_degree_sumY by simp
ged
                                                                               Use the lemma for the "switched" instance
```

MULTIPLE INSTANCES OF STRUCTURE

- Locales still enable natural reasoning when working with lots of instances of a structure!
- In this example, an assumption establishes that each block allows us to construct a valid K-GDD design, then in the proof we interpret it for an arbitrary block!

```
lemma wilsons construction proper:
        assumes "card I = w"
        assumes "w > 0"
       assumes "\( \) n . n \( \infty \) \( \infty
                                                                                                                                                                                                                                                                                                                                                                  Interpret instances from
        shows "proper_design (\mathcal{V} \times \mathbf{I}) (\sum B \in \mathcal{B}. (f B))" (is "proper_design ?Y ?B")
                                                                                                                                                                                                                                                                                                                                                                  assumption.
proof (unfold locales, simp all)
         show "\landb. \exists x \in \#\mathcal{B}. b \in \#f x \implies b \subseteq \mathcal{V} \times I"
        proof -
                fix b
               assume "\exists x \in \#\mathcal{B}. b \in \# f x"
                then obtain B where "B ∈# B" and "b ∈# (f B)" by auto
               then interpret kgdd: {}^{\star}K_{\_}GDD "(B \times I)" "(f B)" {\mathcal K}' "{{x} \times I |x . x \in B }" using assms by auto
               \textbf{show} \ \textbf{"b} \subseteq \mathcal{V} \times \textbf{I"} \ \textbf{using} \ \textbf{kgdd.wellformed}
                        using \langle B \in \# \mathcal{B} \rangle \langle b \in \# f B \rangle wellformed by fastforce
        \stackrel{.}{\text{show}} "finite (\mathcal{V} \times \mathbf{I})" using finite_sets assms bot_nat_0.not_eq_extremum card.infinite by blast
        show "\landbl. \exists x \in \#\mathcal{B}. bl \in \# f x \implies bl \neq \{\}"
```

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COMBINING LOCALES ACROSS DISCIPLINES

- Locales can be combined no matter their "mathematical" context
- This combines probability with graph theory

MODULAR PROOF TECHNIQUES

- Combining locales can also prove valuable in the modularisation of proof techniques – the other side to the "software engineering" approach.
- When reasoning on probabilistic structures, I often needed to start a proof by establishing a probability space (lots of formal infrastructure)
- The example shows how all this infrastructure can be combined using a locale
- + allows us to develop proof techniques in a natural locale context, that can then be used repeatedly!

```
locale vertex_colour_space = fin_hypergraph_nt +
  fixes n :: nat (*Number of colours *)
  assumes n_lt_order: "n \leq order" assumes n_not_zero: "n \neq 0"
definition "MC = uniform count measure (C^n)"
lemma space_eq: "space MC = C^n"
  unfolding MC_def by (simp add: space_uniform_count_measure)
Lemma sets eq: "sets MC = Pow (C^n)"
  using emeasure_point_measure_finite
  unfolding MC_def by (simp add: sets_uniform_count_measure)
\textbf{lemma finite\_event: "} \textbf{A} \subseteq \mathcal{C}^{\textbf{n}} \implies \textbf{finite A"}
  by (simp add: finite_subset vertex_colourings_fin)
proposition erdos_propertyB: (*
  assumes "size E < (2^{(k-1)})"
assumes "k > 0" (* Temporary as
  shows "has_property_B"
interpret P: vertex_colour_space V E 2
  by unfold locales (auto simp add: order ge two)
```

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LOCALES: ADVANTAGES VS LIMITATIONS

OVERVIEW: ADVANTAGES & LIMITATIONS

Advantages

- Facilitates a "little theories" approach
- Removes duplication
- Increases flexibility and extensibility.
- Easy hierarchy manipulation
- Significant notational benefits.
- Proofs became much neater.
- Transfer of properties
- More modular proofs & proof techniques

Limitations

- Lack of automation
- Increasingly complex locale hierarchy, where sublocale relationships must be maintained.
- Using locale specifications outside of a locale context lacks support (Notational etc)
- Can't naturally define definitions involving multiple instances of structures

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MORE EXAMPLES IN RESEARCH



More of this work in combinatorial structures

(beginning here: https://link.springer.com/chapter/10.1007/978-3-030-81097-9 1, See AFP entries here: https://www.isa-afp.org/authors/edmonds/)



The original fundamental work by Ballarin on Algebra (https://dl.acm.org/doi/abs/10.1007/s10817-019-09537-9)



Work on formalising Schemes in Simple Type Theory by Bordg, Paulson, & Li (https://arxiv.org/abs/2104.09366)



Work on formalising omega categories (Bordg & Mateo)

https://dl.acm.org/doi/abs/10.1145/3573105.3575679

NEXT TIME

- Example Class:
 - Extending our graph theory locales from yesterday
 - Connecting graph theory to (simplified) design/hypergraph library
 - Using reasoning patterns such as equivalence
 - Proving more properties/algebraic extensions (optional)
- Next Lecture:
 - Program verification in proof assistants.
 - Introduction to formalising semantics in Isabelle
 - Including more datatypes, inductive definitions, and functions
 - Case studies in locales use with program semantics
 - Introducing abstraction to proofs
 - Modelling program properties.