Gray Codes for Arbitrary Numeral Systems

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Abstract

The original Gray code after Frank Gray, also known as reflected binary code (RBC), is an ordering of the binary numeral system such that two successive values differ only in one bit. We provide a theory for Gray codes of arbitrary numeral systems, which is a generalisation of the original idea to an arbitrary base as presented by Sankar et al. [1]. Contained is the necessary theoretical environment to express and reason about the respective properties.

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1 An Encoding for Natural Numbers

theory Encoding-Nat imports Main begin

At first, an encoding of naturals as lists of digits with respect to an arbitrary base $b \ge 2$ is introduced because the presented Gray code and its properties are reasonably expressed in terms of a word representation of numbers.

1.1 Validity and Valuation

In the context of a given base, not all possible code words are valid number representations. A validity predicate is defined, that checks if a code word is valid and a valuation to obtain the number represented by a valid word.

```
type-synonym base = nat
```

```
type-synonym word = nat \ list
```

fun val :: base \Rightarrow word \Rightarrow nat where val b [] = 0 | val b (a#w) = a + b*val b w **fun** valid :: base \Rightarrow word \Rightarrow bool where valid b [] $\longleftrightarrow 2 \le b$

 $\mid valid \ b \ (a \# w) \longleftrightarrow a {<} b \ \land \ valid \ b \ w$

Given a base, the value of a valid word is bound by its length.

```
lemma val-bound:

valid b \ w \implies val \ b \ w < b \ length(w)

proof (induction w)

case Nil thus ?case by simp

next

case (Cons a w)

hence IH: 1+val b \ w \le b \ length(w) by simp

have val b \ (a\#w) < b*(1+val \ b \ w) using Cons.prems by auto

also have ... \le b*b \ length(w) using IH mult-le-mono2 by blast

also have ... = b \ length(a\#w) by simp

finally show ?case by blast

qed
```

lemma valid-base: valid $b \ w \implies 2 \le b$ **by** (induction w) auto

1.2 Encoding Numbers as Words

It was stated that not all code words are valid. Similarly, numbers do not have a unique word representation in general. Therefore, it is reasonable to normalise representations with respect to either value or word length. A normal representation w.r.t. value is without leading zeroes. However, if the word length is fixed, numbers can be represented only up to an upper bound. Note that this bound is stated above.

fun enc :: base \Rightarrow nat \Rightarrow word **where** enc - $\theta = []$ | enc b $n = (if \ 2 \le b \ then \ n \ mod \ b \# enc \ b \ (n \ div \ b) \ else \ undefined)$ $\begin{array}{l} \textbf{fun enc-len :: base \Rightarrow nat \Rightarrow nat where} \\ enc-len - 0 = 0 \\ \mid enc-len \ b \ n = (if \ 2 \leq b \ then \ Suc(enc-len \ b \ (n \ div \ b)) \ else \ undefined) \end{array}$

fun lenc :: nat \Rightarrow base \Rightarrow nat \Rightarrow word where lenc 0 - - = [] | lenc (Suc k) b n = n mod b#lenc k b (n div b)

definition normal :: base \Rightarrow word \Rightarrow bool where normal b $w \equiv$ enc-len b (val b w) = length w

1.3 Correctness

Now, the expected properties of above definitions are proven as well as that they interact correctly.

lemma *length-enc*: $2 \le b \Longrightarrow length (enc \ b \ n) = enc-len \ b \ n$ **by** (*induction b n rule: enc-len.induct*) *auto* **lemma** *length-lenc*: $length (lenc \ k \ b \ n) = k$ by (induction k arbitrary: n) auto lemma val-correct: valid $b w \Longrightarrow lenc (length w) b (val b w) = w$ by (induction w) auto lemma val-enc: $2 \leq b \implies val \ b \ (enc \ b \ n) = n$ by (induction b n rule: enc.induct) auto **lemma** *val-lenc*: $val \ b \ (lenc \ k \ b \ n) = n \ mod \ b \ k$ **apply** (induction k arbitrary: n) by (auto simp add: mod-mult2-eq) **lemma** valid-enc: $2 \leq b \implies valid \ b \ (enc \ b \ n)$ **by** (*induction b n rule: enc.induct*) *auto* **lemma** *valid-lenc*: $2 \leq b \Longrightarrow valid \ b \ (lenc \ k \ b \ n)$ by (induction k arbitrary: n) auto **lemma** *encodings-agree*:

 $2 \le b \Longrightarrow lenc (enc-len \ b \ n) \ b \ n = enc \ b \ n$ by (metis length-enc val-correct val-enc valid-enc)

lemma *inj-enc*:

 $2 \leq b \implies inj (enc \ b)$ by (metis val-enc injI) lemma *inj-lenc*: inj-on (lenc k b) {... $< b^k$ } proof (rule inj-on-inverseI) fix n :: natassume $n \in \{.. < b \hat{k}\}$ thus val b (lenc k b n) = n by (simp add: val-lenc) qed lemma normal-enc: $2 \leq b \implies normal \ b \ (enc \ b \ n)$ **by** (*simp add: length-enc normal-def val-enc*) **lemma** normal-eq: $\llbracket valid \ b \ v; \ valid \ b \ w; \ normal \ b \ v; \ normal \ b \ w; \ val \ b \ v = val \ b \ w \rrbracket \Longrightarrow v = w$ **by** (*metis normal-def val-correct*) lemma *inj-val*: *inj-on* (val b) {w. valid b $w \wedge normal b w$ } proof (rule inj-onI) fix u v :: word**assume** 1: val b u = val b vassume $u \in \{w. valid \ b \ w \land normal \ b \ w\}$ and $v \in \{w. valid \ b \ w \land normal \ b \ w\}$ hence valid b $u \wedge normal \ b \ u \wedge valid \ b \ v \wedge normal \ b \ v$ by blast with 1 show u = v using normal-eq by blast qed lemma *enc-val*: $\llbracket valid \ b \ w; \ normal \ b \ w \rrbracket \Longrightarrow enc \ b \ (val \ b \ w) = w$ by (metis encodings-agree normal-def val-correct valid-base) lemma range-enc: $2 \le b \implies range (enc \ b) = \{w. \ valid \ b \ w \land normal \ b \ w\}$ proof **show** $2 \le b \implies$ range (enc b) $\subseteq \{w. valid \ b \ w \land normal \ b \ w\}$ **by** (*simp add: image-subsetI normal-enc valid-enc*) \mathbf{next} assume $2 \le b$ **show** {w. valid $b \ w \land normal \ b \ w$ } \subseteq range (enc b) proof fix v :: wordassume $v \in \{w. valid \ b \ w \land normal \ b \ w\}$ hence valid $b \ v \land normal \ b \ v$ by blast hence enc b (val b v) = v by (simp add: enc-val) thus $v \in range (enc b)$ by (metis rangeI)qed

\mathbf{qed}

lemma range-lenc: $2 \leq b \implies lenc \ k \ b \ (\{..< b \ \hat{k}\} = \{w. \ valid \ b \ w \land length \ w = k\}$ proof show $2 \leq b \Longrightarrow lenc \ k \ b$, $\{..< b \land k\} \subseteq \{w. \ valid \ b \ w \land length \ w = k\}$ **by** (*simp add: image-subsetI length-lenc valid-lenc*) \mathbf{next} assume $2 \le b$ **show** {w. valid b $w \land length w = k$ } $\subseteq lenc k b ` {..<b ^ k}$ proof fix v :: wordlet $?v = val \ b \ v$ assume $v \in \{w. valid \ b \ w \land length \ w = k\}$ hence 1: valid b $v \wedge length v = k$ by blast hence $v < b^k$ using val-bound by blast hence $?v \in \{.. < b \ k\}$ by blast from 1 have lenc k b v = v using val-correct by blast thus $v \in lenc \ k \ b' \{..< b \ k\}$ by $(metis \ \langle ?v \in \{..< b \ k\}) \ image-eqI)$ qed qed

theorem *enc-correct*:

 $2 \le b \Longrightarrow$ bij-betw (enc b) UNIV {w. valid b $w \land$ normal b w} by (simp add: bij-betw-def inj-enc range-enc)

Given a valid base b and length k, we encode exactly the first b^k numbers.

```
theorem lenc-correct:
```

```
2 \le b \Longrightarrow bij-betw (lenc k b) {..<br/>b^k} {w. valid b w \land length w = k} by (simp add: bij-betw-def inj-lenc range-lenc)
```

1.4 Circular Increment Operation

It is beneficial for our purpose to have an increment operation on words of fixed length that wraps around. Mathematically, this corresponds to adding 1 in the additive group of the factor ring of the integers modulo (b^k) . Correctness is proven in terms of previously verified operations.

fun inc :: $nat \Rightarrow word \Rightarrow word$ **where** $inc \cdot [] = []$ $| inc b (a#w) = Suc a mod b#(if Suc a \neq b then w else inc b w)$ **lemma** length-inc: length (inc b w) = length w **by** (induction w) auto **lemma** valid-inc: valid b w \Longrightarrow valid b (inc b w) **by** (induction w) auto Note that the following fact shows that we do not only have an encoding in the sense that it is a bijection but we also preserve a certain structure, that is necessary for the purpose of reasoning about Gray codes.

```
theorem val-inc:
  valid b \ w \Longrightarrow val b \ (inc \ b \ w) = Suc \ (val \ b \ w) \ mod \ b \ length(w)
proof (induction w)
 case Nil thus ?case by simp
next
  case (Cons a w)
 hence IH: val b (inc b w) = Suc(val b w) \mod b \operatorname{length}(w) by simp
 show ?case
 proof cases
   assume 1: Suc a = b
   hence val b (inc b (a\#w)) = b*val b (inc b w) by simp
   also have \dots = b*(Suc(val \ b \ w) \ mod \ b) using IH by simp
   also have \dots = b*Suc(val \ b \ w) \ mod \ (b*b`length \ w) using mult-mod-right by
blast
   also have ... = (Suc \ a + b*val \ b \ w) \ mod \ (b \ length(a \# w)) by (simp \ add: 1)
   also have \dots = Suc(val \ b \ (a \ \# \ w)) \ mod \ (b \ length(a \ \# \ w)) by simp
   finally show ?thesis by blast
  next
   let ?v = Suc \ a + b*val \ b \ w
   assume 2: Suc a \neq b
   with Cons.prems have valid b (inc b (a\#w)) by simp
   hence val b (inc b (a\#w)) < b \widehat{} length(inc b (a\#w)) using val-bound by blast
   hence val b (inc b (a\#w)) < b (a\#w) using length-inc by metis
   hence v < b (length (a \# w)) using 2 Cons. prems by simp
   hence ?v = ?v \mod b \operatorname{length}(a \# w) by simp
   thus ?thesis using 2 Cons.prems by auto
 qed
qed
lemma inc-correct:
 inc b (lenc k b n) = lenc k b (Suc n)
 apply (induction k arbitrary: n)
 by (auto simp add: div-Suc mod-Suc)
lemma inc-not-eq: valid b w \Longrightarrow (inc \ b \ w = w) = (w = [])
 by (induction w) auto
```

end

2 A Generalised Distance Measure

theory Code-Word-Dist imports Encoding-Nat begin In the case of the reflected binary code (RBC) it is sufficient to use the Hamming distance to express the property, because there are only two distinct digits so that one bitflip naturally always corresponds to a distance of 1.

2.1 Distance of Digits

We can interpret a bitflip as an increment modulo 2, which is why for the distance of digits it appears as a natural generalisation to choose the amount of required increments. Mathematically, the distance d(x, y) should be $y - x \pmod{b}$. For example we have d(0, 1) = d(1, 0) = 1 in the binary numeral system.

```
definition dist1 :: base \Rightarrow nat \Rightarrow nat \Rightarrow nat where
dist1 b x y \equiv if x \leq y then y-x else b+y-x
```

Note that the distance of digits is in general asymmetric, so that it is in paticular not a metric. However, this is not an issue and in fact the most appropriate generalisation, partly due to the next lemma:

```
lemma dist1-eq:
  [x < b; y < b; dist1 \ b \ x \ y = 0] \implies x = y
  by (auto simp add: dist1-def split: if-splits)
lemma dist1-0:
  dist1 b x x = 0
  by (auto simp add: dist1-def)
lemma dist1-ge1:
  [x < b; y < b; x \neq y] \implies dist1 \ b \ x \ y > 1
  using dist1-eq by fastforce
lemma dist1-elim-1:
  [x < b; y < b] \implies (dist1 \ b \ x \ y + x) \ mod \ b = y
  by (auto simp add: dist1-def)
lemma dist1-elim-2:
  \llbracket x < b; y < b \rrbracket \Longrightarrow dist1 \ b \ x \ (x+y) = y
  by (auto simp add: dist1-def)
lemma dist1-mod-Suc:
  [x < b; y < b] \implies dist1 \ b \ x \ (Suc \ y \ mod \ b) = Suc \ (dist1 \ b \ x \ y) \ mod \ b
 by (auto simp add: dist1-def mod-Suc)
lemma dist1-Suc:
  \llbracket 2 < b; x < b \rrbracket \Longrightarrow dist1 \ b \ x \ (Suc \ x \ mod \ b) = 1
  by (simp add: dist1-0 dist1-mod-Suc)
lemma dist1-asym:
```

 $\llbracket x < b; \ y < b \rrbracket \implies (dist1 \ b \ x \ y + dist1 \ b \ y \ x) \ mod \ b = 0$

by (auto simp add: dist1-def)

```
lemma dist1-valid:
```

 $\llbracket x < b; y < b \rrbracket \Longrightarrow dist1 \ b \ x \ y < b$ by (auto simp add: dist1-def)

```
lemma dist1-distr:
```

 $\llbracket x < b; y < b; z < b \rrbracket \Longrightarrow dist1 \ b \ (dist1 \ b \ x \ y) \ (dist1 \ b \ x \ z) = dist1 \ b \ y \ z$ by (auto simp add: dist1-def)

```
lemma dist1-distr2:
```

 $\llbracket x < b; y < b; z < b \rrbracket \Longrightarrow dist1 \ b \ (dist1 \ b \ x \ z) \ (dist1 \ b \ y \ z) = dist1 \ b \ y \ x$ by (auto simp add: dist1-def)

2.2 (Hamming-) Distance between Words

The total distance between two words of equal length is then defined as the sum of component-wise distances. Note that the Hamming distance is equivalent to this definition for b = 2 and is in general a lower bound.

fun hamming :: word \Rightarrow word \Rightarrow nat **where** hamming [] [] = 0 | hamming (a#v) (b#w) = (if a \neq b then 1 else 0) + hamming v w

The Hamming distance is only defined in the case of equal word length. In the following definition of a distance we assume leading zeroes if the word length is not equal:

fun $dist :: base \Rightarrow word \Rightarrow word \Rightarrow nat$ **where** <math>dist - [] [] = 0 | dist b (x#xs) [] = dist1 b x 0 + dist b xs [] | dist b [] (y#ys) = dist1 b 0 y + dist b [] ys | dist b (x#xs) (y#ys) = dist1 b x y + dist b xs ys **lemma** dist-0: dist b w w = 0 **apply** (induction w) **by** (auto simp add: dist1-0) **lemma** dist-eq: $[valid b v; valid b w; length v=length w; dist b v w = 0]] \implies v = w$ **apply** (induction b v w rule: dist.induct) **by** (auto simp add: dist1-eq)

lemma dist-posd: $\llbracket valid \ b \ v; \ valid \ b \ w; \ length \ v=length \ w \rrbracket \Longrightarrow (dist \ b \ v \ w = 0) = (v = w)$ using dist-0 dist-eq by auto

lemma hamming-posd:

length v = length $w \implies$ (hamming v w = 0) = (v = w) by (induction v w rule: hamming.induct) auto

lemma hamming-symm:

length v = length $w \implies$ hamming v w = hamming w vby (induction v w rule: hamming.induct) auto

theorem hamming-dist: $\llbracket valid \ b \ v; \ valid \ b \ w; \ length \ v=length \ w \rrbracket \implies hamming \ v \ w \le dist \ b \ v \ w$ **apply** (induction b v w rule: dist.induct) **apply** auto **using** dist1-ge1 by fastforce

 \mathbf{end}

3 A non-Boolean Gray code

theory Non-Boolean-Gray imports Code-Word-Dist begin

The function presented below transforms a code word into a gray code and the corresponding decode function is exactly its inverse. The key idea is to shift down a digit by the prefix sum of gray digits. A crucial property is the behavior of this prefix sum under increment as stated below.

fun to-gray :: base \Rightarrow word \Rightarrow word **where** to-gray - [] = [] | to-gray b (a#v) = (let g=to-gray b v in dist1 b (sum-list g mod b) a#g)

 $\begin{array}{l} \mathbf{fun} \ decode :: \ base \Rightarrow word \Rightarrow word \ \mathbf{where} \\ decode \ - \ [] = \ [] \\ | \ decode \ b \ (g \# c) = (g + sum \text{-list } c \ mod \ b) \ mod \ b \# decode \ b \ c \end{array}$

3.1 The Correctness Proof

The proof of all properties that are necessary for a gray code is presented below. Also, some auxiliary lemmas are required:

lemma length-gray: length (to-gray b w) = length w apply (induction w) by (auto simp add: Let-def)
lemma valid-gray: valid b w \implies valid b (to-gray b w) apply (induction w) by (auto simp add: dist1-valid Let-def)

The sum of grays is congruent to the value (mod b):

```
lemma prefix-sum:
  valid b w \implies sum-list (to-gray b w) mod b = val b w mod b
  proof (induction w)
  case Nil thus ?case by simp
  next
  case (Cons a w)
  hence IH: sum-list (to-gray b w) mod b = val b w mod b by simp
  let ?s = sum-list (to-gray b w)
  let ?v = val b w mod b
  have (dist1 b ?v a + ?s) mod b = (dist1 b ?v a + ?s mod b) mod b by presburger
  also have ... = (dist1 b ?v a + ?v) mod b using IH by argo
  also have ... = a using Cons.prems dist1-elim-1 by simp
  finally show ?case using Cons by auto
  qed
```

```
lemma decode-correct:
valid b \ w \implies decode \ b \ (to-gray \ b \ w) = w
apply (induction w)
by (auto simp add: Let-def dist1-elim-1)
```

The following theorem states that the transformation to gray is an encoding of the valid code words:

```
theorem gray-encoding:

inj-on (to-gray b) {w. valid b w}

proof (rule inj-on-inverseI)

fix w :: word

assume w \in \{w. valid b w\}

hence valid b w by blast

thus decode b (to-gray b w) = w using decode-correct by simp

qed
```

```
lemma mod-mod-aux: 1 \le k \Longrightarrow (a::nat) \mod b \ k \mod b = a \mod b
by (simp add: mod-mod-cancel)
```

```
lemma gray-dist:

valid b \ w \implies dist \ b \ (to-gray \ b \ w) \ (to-gray \ b \ (inc \ b \ w)) \le 1

proof (induction w)

case Nil thus ?case by simp

next

case (Cons a w)

have valid b w using Cons.prems by simp

hence 2 \le b using valid-base by auto

hence 0 < b by simp

have IH: dist b (to-gray b w) (to-gray b (inc b w)) \le 1

using (valid b w) Cons.IH by blast

have a < b using Cons.prems by simp

show ?case

proof (cases w)

case Nil thus ?thesis
```

using dist1-distr dist1-Suc $\langle a < b \rangle \langle 2 \leq b \rangle$ by simp \mathbf{next} case (Cons a' ds') hence $1 \leq length(w)$ by simplet $?a = if Suc \ a \neq b$ then w else inc b w let ?g = sum-list (to-gray b w) mod b let ?h = sum-list (to-gray b ?a) mod b let $?v = val \ b \ w \ mod \ b$ let $?u = val \ b \ ?a \ mod \ b$ let $?l = dist \ b \ (to-gray \ b \ (a\#w)) \ (to-gray \ b \ (inc \ b \ (a\#w)))$ have valid b ?a using (valid b w) valid-inc by simp have $?l = dist1 \ b \ (dist1 \ b \ ?g \ a) \ (dist1 \ b \ ?h \ (Suc \ a \ mod \ b))$ + dist b (to-gray b w) (to-gray b ?a)by (metis Encoding-Nat.inc.simps(2) dist.simps(4) to-gray.simps(2)) also have $\dots = Suc (dist1 \ b (dist1 \ b ?q \ a) (dist1 \ b ?h \ a)) \mod b$ + dist b (to-qray b w) (to-qray b ?a)using $\langle a < b \rangle$ dist1-mod-Suc dist1-valid by simp also have $\ldots = Suc (dist1 \ b \ ?h \ ?g) \ mod \ b$ + dist b (to-gray b w) (to-gray b ?a)using $\langle a < b \rangle$ dist1-distr2 by simp also have $\dots = Suc (dist1 \ b \ ?h \ ?v) \ mod \ b$ + dist b (to-gray b w) (to-gray b ?a)using (valid b w) prefix-sum by simp also have $\dots = Suc (dist1 \ b \ ?u \ ?v) \ mod \ b$ + dist b (to-gray b w) (to-gray b ?a)using (valid b ?a) prefix-sum by simp also have $\dots = ($ if Suc $a \neq b$ then Suc 0 mod b else Suc (dist1 b (val b (inc b w) mod b) ?v) mod b + dist b (to-gray b w) (to-gray b (inc b w)))using dist-0 dist1-0 by simp also have $\dots = ($ if Suc $a \neq b$ then Suc 0 mod b else Suc (dist1 b (Suc (val b w) mod b $\widehat{} length(w) \mod b$) ?v) mod b + dist b (to-gray b w) (to-gray b (inc b w)))using $\langle valid \ b \ w \rangle$ valid-inc val-inc by simp also have $\dots = ($ if Suc $a \neq b$ then Suc 0 mod b else Suc (dist1 b (Suc (val b w) mod b) ?v) mod b + dist b (to-gray b w) (to-gray b (inc b w)))using $\langle 1 \leq length(w) \rangle$ mod-mod-aux by simp also have $\dots = ($ if Suc $a \neq b$ then Suc 0 mod b else dist1 b (Suc (val b w) mod b) (Suc ?v mod b)+ dist b (to-gray b w) (to-gray b (inc b w)))using dist1-mod-Suc by auto also have $\dots = ($ if Suc $a \neq b$ then Suc 0 mod b else dist1 b (Suc ?v mod b) (Suc ?v mod b)

```
+ dist b (to-gray b w) (to-gray b (inc b w)))

using mod-Suc-eq by presburger

also have ... = (

if Suc a \neq b then Suc 0 mod b

else dist b (to-gray b w) (to-gray b (inc b w)))

using dist1-0 by simp

also have ... \leq 1 using IH by simp

finally show ?thesis by blast

qed

qed
```

lemmas gray-simps = decode-correct dist-posd inc-not-eq length-gray length-inc valid-gray valid-inc

```
lemma gray-empty:
valid b \ w \Longrightarrow (dist \ b \ (to-gray \ b \ w) \ (to-gray \ b \ (inc \ b \ w)) = 0) = (w = [])
by (metis gray-simps)
```

The central theorem states, that it requires exactly one increment operation of one place within the word to go from the gray encoding of a number to the gray encoding of its successor. Note also, that we obtain a cyclic gray code in all cases, because the increment operation wraps the last number around to zero. Only the pathological case of an empty word has to be excluded.

```
theorem gray-correct:

\llbracket valid \ b \ w; \ w \neq \llbracket ] \rrbracket \Longrightarrow dist \ b \ (to-gray \ b \ w) \ (to-gray \ b \ (inc \ b \ w)) = 1

proof (rule \ ccontr)

assume a: \ dist \ b \ (to-gray \ b \ w) \ (to-gray \ b \ (inc \ b \ w)) \neq 1

assume valid \ b \ w and w \neq \llbracket

hence dist \ b \ (to-gray \ b \ w) \ (to-gray \ b \ (inc \ b \ w)) \neq 0 using gray-empty by blast

with a have dist \ b \ (to-gray \ b \ w) \ (to-gray \ b \ (inc \ b \ w)) > 1 by simp

thus False using \langle valid \ b \ w \rangle gray-dist by fastforce

qed
```

 ${\bf lemmas}\ hamming-simps = gray-dist\ hamming-dist\ le-trans\ length-gray\ length-inc\ valid-gray\ valid-inc$

theorem gray-hamming: valid b $w \implies$ hamming (to-gray b w) (to-gray b (inc b w)) ≤ 1

by (*metis* hamming-simps)

 \mathbf{end}

References

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