

Unifying functional interpretations of nonstandard/uniform arithmetic

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Motivation: computational content of mathematical proofs

- ▶ **Efficiency** of program extraction

Observation: shorter proof \Rightarrow faster extraction & simpler term
Proofs in Nonstandard Analysis are usually shorter.

- ▶ **Scope** of mathematics to extract

We want to extract computational content from more mathematics
Program extraction of classical Nonstandard Analysis has a large scope¹.

- ▶ Computer **implementation**/formalisation

Goals: verified proofs & efficient programs

¹S. Sanders. *The computational content of Nonstandard Analysis*, in Proceedings CL&C 2016, arXiv:1606.05820, 2016.

In this talk, we

- ▶ Reformulate van den Berg *et al.*'s Herbrand functional interpretations² for nonstandard arithmetic in a way that is suitable for a **type-theoretic** development.
- ▶ Introduce a **parametrised functional interpretation**, following Oliva³
 - ▶ unifying both the Herbrand functional interpretations (for nonstandard arithmetic) as well as the usual ones (for uniform Heyting arithmetic⁴)
 - ▶ with a single, parametrised soundness proof (and term extraction algorithm).
- ▶ Implement it in the **Agda** proof assistant using **Agda**'s parameterised module system (and rewriting).

²B. van den Berg, E. Briseid, and P. Safarik, *A functional interpretation for nonstandard arithmetic*, *Annals of Pure and Applied Logic* 163 (2012), no. 12, 1962–1994.

³P. Oliva, *Unifying functional interpretations*, *Notre Dame J. Formal Logic* 47 (2006), no. 2, 263–290.

⁴U. Berger, *Uniform Heyting arithmetic*, *Annals of Pure and Applied Logic* 133 (2005), no. 1, 125–148.

Heyting arithmetic with finite types HA^ω

Term language T :

Simply typed lambda calculus (or *SKI*) + natural numbers and recursor

Logic language:

Intuitionistic logic + arithmetic axioms (incl. the induction axiom)

- ▶ Equality of natural numbers only ($I\text{-}HA^\omega$)
so that its Dialectica interpretation is sound
- ▶ Can be embedded as 4 inductive datatypes within dependent type theory

A constructive system of nonstandard arithmetic

Term language T^* : T + finite sequences σ^*

to simulate **finite sets** for formulating the nonstandard axioms

$HA^{\omega^*} := HA^{\omega} +$ axioms for finite sequences

$HA_{st}^{\omega^*} := HA^{\omega^*} +$ **st** predicate + axioms for **st** + **external** induction principle

$$\Phi(0) \wedge \forall^{st} n (\Phi(n) \rightarrow \Phi(sn)) \rightarrow \forall^{st} n \Phi(n)$$

We add $\forall^{st}, \exists^{st}$ and axioms $\forall^{st} x A \leftrightarrow \forall x (\text{st}(x) \rightarrow A)$, $\exists^{st} x A \leftrightarrow \exists x (\text{st}(x) \wedge A)$

System $H := HA_{st}^{\omega^*} +$ 5 nonstandard axioms (characterisation of Dialectica)

Herbrand Dialectica interpretation

Idea: Each formula $\Phi(\underline{a})$ in $\text{HA}_{\text{st}}^{\omega*}$ is interpreted as $\exists^{\text{st}} \underline{x} \forall^{\text{st}} \underline{y} \varphi_{D_{\text{st}}}(\underline{a}, \underline{x}, \underline{y})$ where \underline{x} is a finite sequence of **potential** realisers, and $\varphi_{D_{\text{st}}}(\underline{a}, \underline{x}, \underline{y})$ is **internal**.

In van den Berg *et al.*, it is (informally) defined as follows

- (i) $\varphi(\underline{a})^{D_{\text{st}}} := \varphi_{D_{\text{st}}}(\underline{a}) := \varphi(\underline{a})$ for internal atomic formulas $\varphi(\underline{a})$,
- (ii) $\text{st}^\sigma(u^\sigma)^{D_{\text{st}}} := \exists^{\text{st}} x^{\sigma*} u \in_{\sigma} x$.

Let $\Phi(\underline{a})^{D_{\text{st}}} \equiv \exists^{\text{st}} \underline{x} \forall^{\text{st}} \underline{y} \varphi_{D_{\text{st}}}(\underline{x}, \underline{y}, \underline{a})$ and $\Psi(\underline{b})^{D_{\text{st}}} \equiv \exists^{\text{st}} \underline{u} \forall^{\text{st}} \underline{v} \psi_{D_{\text{st}}}(\underline{u}, \underline{v}, \underline{b})$. Then

- (iii) $(\Phi(\underline{a}) \wedge \Psi(\underline{b}))^{D_{\text{st}}} := \exists^{\text{st}} \underline{x}, \underline{u} \forall^{\text{st}} \underline{y}, \underline{v} (\varphi_{D_{\text{st}}}(\underline{x}, \underline{y}, \underline{a}) \wedge \psi_{D_{\text{st}}}(\underline{u}, \underline{v}, \underline{b}))$,
- (iv) $(\Phi(\underline{a}) \vee \Psi(\underline{b}))^{D_{\text{st}}} := \exists^{\text{st}} \underline{x}, \underline{u} \forall^{\text{st}} \underline{y}, \underline{v} (\varphi_{D_{\text{st}}}(\underline{x}, \underline{y}, \underline{a}) \vee \psi_{D_{\text{st}}}(\underline{u}, \underline{v}, \underline{b}))$,
- (v) $(\Phi(\underline{a}) \rightarrow \Psi(\underline{b}))^{D_{\text{st}}} := \exists^{\text{st}} \underline{U}, \underline{Y} \forall^{\text{st}} \underline{x}, \underline{v} (\forall \underline{y} \in \underline{Y}[\underline{x}, \underline{v}] \varphi_{D_{\text{st}}}(\underline{x}, \underline{y}, \underline{a}) \rightarrow \psi_{D_{\text{st}}}(\underline{U}[\underline{x}], \underline{v}, \underline{b}))$.

Let $\Phi(z, \underline{a})^{D_{\text{st}}} \equiv \exists^{\text{st}} \underline{x} \forall^{\text{st}} \underline{y} \varphi_{D_{\text{st}}}(\underline{x}, \underline{y}, z, \underline{a})$, with the free variable z not occurring among the \underline{a} . Then

- (vi) $(\forall z \Phi(z, \underline{a}))^{D_{\text{st}}} := \exists^{\text{st}} \underline{x} \forall^{\text{st}} \underline{y} \forall z \varphi_{D_{\text{st}}}(\underline{x}, \underline{y}, z, \underline{a})$,
- (vii) $(\exists z \Phi(z, \underline{a}))^{D_{\text{st}}} := \exists^{\text{st}} \underline{x} \forall^{\text{st}} \underline{y} \exists z \forall \underline{y}' \in \underline{y} \varphi_{D_{\text{st}}}(\underline{x}, \underline{y}', z, \underline{a})$,
- (viii) $(\forall^{\text{st}} z \Phi(z, \underline{a}))^{D_{\text{st}}} := \exists^{\text{st}} \underline{X} \forall^{\text{st}} z, \underline{y} \varphi_{D_{\text{st}}}(\underline{X}[z], \underline{y}, z, \underline{a})$,
- (ix) $(\exists^{\text{st}} z \Phi(z, \underline{a}))^{D_{\text{st}}} := \exists^{\text{st}} \underline{x}, z \forall^{\text{st}} \underline{y} \exists z' \in z \forall \underline{y}' \in \underline{y} \varphi_{D_{\text{st}}}(\underline{x}, \underline{y}', z', \underline{a})$.

Types of realisers and counterexamples

For a formal (type-theoretic) development, we calculate the types $d^+ \Phi$ of (actual) realisers and $d^- \Phi$ of counterexamples for formula Φ :

$$d^+(a =_{\sigma} b) := \mathbb{1}$$

$$d^+(\text{st}^{\sigma}(t)) := \sigma$$

$$d^+(A \wedge B) := d^+A \times d^+B$$

$$d^+(A \vee B) := d^+A \times d^+B$$

$$d^+(A \Rightarrow B) := ((d^+A)^* \rightarrow (d^+B)^*) \times ((d^+A)^* \rightarrow d^-B \rightarrow (d^-A)^*)$$

$$d^+(\forall x^{\sigma} A) := d^+A$$

$$d^+(\exists x^{\sigma} A) := d^+A$$

$$d^+(\forall^{\text{st}} x^{\sigma} A) := \sigma \rightarrow (d^+A)^*$$

$$d^+(\exists^{\text{st}} x^{\sigma} A) := \sigma \times d^+A$$

$$d^-(a =_{\sigma} b) := \mathbb{1}$$

$$d^-(\text{st}(t)) := \mathbb{1}$$

$$d^-(A \wedge B) := d^-A \times d^-B$$

$$d^-(A \vee B) := d^-A \times d^-B$$

$$d^-(A \Rightarrow B) := (d^+A)^* \times d^-B$$

$$d^-(\forall x^{\sigma} A) := d^-A$$

$$d^-(\exists x^{\sigma} A) := (d^-A)^*$$

$$d^-(\forall^{\text{st}} x^{\sigma} A) := \sigma \times d^-A$$

$$d^-(\exists^{\text{st}} x^{\sigma} A) := (d^-A)^*$$

- ▶ Compare to the original Dialectica interpretation ($\text{st}, \forall^{\text{st}}, \exists^{\text{st}}, *$)
- ▶ Variables quantified by \forall, \exists have no computational contents

Our formulation of the Herbrand Dialectica interpretation

For every formula Φ and terms $r : (d^+ \Phi)^*$ and $u : d^- \Phi$, we define an **internal** formula $\Phi_{D_{st}}(r, u)$ by induction on Φ :

$$(a =_{\sigma} b)_{D_{st}}(r, u) \quad \equiv \quad a =_{\sigma} b$$

$$(\text{st}^{\sigma}(t))_{D_{st}}(r, u) \quad \equiv \quad t \in_{\sigma} r$$

$$(A \wedge B)_{D_{st}}(r, (u, v)) \quad \equiv \quad A_{D_{st}}(r_1, u) \wedge B_{D_{st}}(r_2, v)$$

$$(A \vee B)_{D_{st}}(r, (u, v)) \quad \equiv \quad A_{D_{st}}(r_1, u) \vee B_{D_{st}}(r_2, v)$$

$$(A \rightarrow B)_{D_{st}}(W, (r, v)) \quad \equiv \quad \forall u \in W_2[r, v] A_{D_{st}}(r, u) \rightarrow B_{D_{st}}(W_1[r], u)$$

$$(\forall z^{\sigma} \Phi(z))_{D_{st}}(r, u) \quad \equiv \quad \forall z^{\sigma} (\Phi(z))_{D_{st}}(r, u)$$

$$(\exists z^{\sigma} \Phi(z))_{D_{st}}(r, u) \quad \equiv \quad \exists z^{\sigma} \forall v \in u (\Phi(z))_{D_{st}}(r, v)$$

$$(\forall^{\text{st}} z^{\sigma} \Phi(z))_{D_{st}}(R, (a, u)) \quad \equiv \quad (\Phi(a))_{D_{st}}(R[a], u)$$

$$(\exists^{\text{st}} z^{\sigma} \Phi(z))_{D_{st}}(r, u) \quad \equiv \quad \exists z \in r_1 \forall v \in u (\Phi(z))_{D_{st}}(r_2, v)$$

The **Herbrand Dialectica interpretation** $\Phi^{D_{st}}$ of a formula Φ is defined by

$$\Phi^{D_{st}} \quad \equiv \quad \exists^{\text{st}} x^{(d^+ \Phi)^*} \forall^{\text{st}} y^{d^- \Phi} \Phi_{D_{st}}(x, y)$$

Soundness of the Herbrand Dialectica interpretation

Theorem (van den Berg *et al.* 2012). Let Φ be a formula of system H and let Δ_{int} be a set of **internal** formulas. If

$$H + \Delta_{\text{int}} \vdash \Phi$$

then from the proof one can extract a closed term $t : (d^+\Phi)^*$ in T^* such that

$$HA^{\omega^*} + \Delta_{\text{int}} \vdash \forall y^{d^-\Phi} \Phi_{D_{\text{st}}}(t, y).$$

Proof. By induction on the length of the derivation.

Another functional interpretation of H: Herbrand realisability

We firstly work out the types $\tau(\Phi)$ of (acutal) realisers for formula Φ .
Then for each formula Φ and term $s : (\tau\Phi)^*$ we define $s \text{ hr } \Phi$

$\tau(a =_{\sigma} b)$	$:\equiv \mathbb{1}$	$s \text{ hr } a = b$	$:\equiv a = b$
$\tau(\text{st}^{\sigma}(t))$	$:\equiv \sigma$	$s \text{ hr } \text{st}(t)$	$:\equiv t \in s$
$\tau(A \wedge B)$	$:\equiv \tau A \times \tau B$	$s \text{ hr } (A \wedge B)$	$:\equiv s^1 \text{ hr } A \wedge s^2 \text{ hr } B$
$\tau(A \vee B)$	$:\equiv \tau A \times \tau B$	$s \text{ hr } (A \vee B)$	$:\equiv s^1 \text{ hr } A \vee s^2 \text{ hr } B$
$\tau(A \rightarrow B)$	$:\equiv (\tau A)^* \rightarrow (\tau B)^*$	$s \text{ hr } (A \rightarrow B)$	$:\equiv \forall^{\text{st}} u (u \text{ hr } A \rightarrow s[u] \text{ hr } B)$
$\tau(\forall x^{\sigma} A)$	$:\equiv \tau A$	$s \text{ hr } \forall x A(x)$	$:\equiv \forall x (s \text{ hr } A(x))$
$\tau(\exists x^{\sigma} A)$	$:\equiv \tau A$	$s \text{ hr } \exists x A(x)$	$:\equiv \exists x (s \text{ hr } A(x))$
$\tau(\forall^{\text{st}} x^{\sigma} A)$	$:\equiv \sigma \rightarrow (\tau A)^*$	$s \text{ hr } \forall^{\text{st}} x A(x)$	$:\equiv \forall^{\text{st}} x (s[x] \text{ hr } A(x))$
$\tau(\exists^{\text{st}} x^{\sigma} A)$	$:\equiv \sigma \times (\tau A)^*$	$s \text{ hr } \exists^{\text{st}} x A(x)$	$:\equiv \exists z \in s^1 (s^2 \text{ hr } A(z))$

Similar to the situation of (standard) Dialectica and modified realisability, their Herbrand variants **differ** in the interpretation of implication.

First attempt to unify Herbrand functional interpretations

As in Oliva 2006, we introduced an **uninterpreted bounded universal** quantifier

$$\forall x \sqsubset t A(x)$$

where $x : \sigma$ is a variable and $t : \sigma^*$ is a term.

Then the parametrised formula interpretation $|A|_y^x$ is almost the same as the D_{st} -interpretation except the case of implication

$$|A \rightarrow B|_{s,u}^R \quad := \quad \forall v \sqsubset R^2[s, u] |A|_v^s \rightarrow |B|_u^{R^1[s]}.$$

- ▶ Take $\forall x \sqsubset t A(x)$ to be $\forall x \in t A(x)$, then we get the Herbrand Dialectica.
- ▶ Take $\forall x \sqsubset t A(x)$ to be $\forall^{\text{st}} x A(x)$, then we get the Herbrand realisability (because $s \text{ hr } A \leftrightarrow \forall^{\text{st}} u |A|_u^s$).

Parametrised formula interpretation

We want a more general **parametrised formula interpretation** to obtain also the standard functional interpretations via its instantiations.

The interpreted system: $HA_{st}^{\omega*} \equiv HA^{\omega*} + st$

The verifying system: $HA^{\circ} \equiv HA^{\omega*} + \sigma^{\circ} + t \in w + \forall x \sqsubset t A(x)$

- ▶ σ° behaves as the type of finite sequences, e.g.
 - ▶ 'singleton' $\sigma \rightarrow \sigma^{\circ}$
 - ▶ 'concatenation' $\sigma^{\circ} \times \sigma^{\circ} \rightarrow \sigma^{\circ}$
 - ▶ 'pairing' $\sigma^{\circ} \times \rho^{\circ} \rightarrow (\sigma \times \rho)^{\circ}$
 - ▶ 'projections' $(\sigma_0 \times \sigma_1)^{\circ} \rightarrow \sigma_i$
 - ▶ 'application' $(\sigma \rightarrow \rho^{\circ})^{\circ} \times \sigma^{\circ} \rightarrow \rho^{\circ}$
- ▶ $t \in w$ behaves as the membership relation
for $t : \sigma$ and $w : \sigma^{\circ}$
- ▶ $\forall x \sqsubset w A(x)$ behaves as a bounded, universal quantifier
for $x : \sigma$ and $w : \sigma^{\circ}$

Parametrised formula interpretation (cont.)

Each formula Φ is associated with types $\tau^+ \Phi$ and $\tau^- \Phi$:

$$\tau^+(a =_{\sigma} b) ::= \mathbb{1}$$

$$\tau^+(\text{st}^{\sigma}(t)) ::= \sigma$$

$$\tau^+(A \wedge B) ::= \tau^+ A \times \tau^+ B$$

$$\tau^+(A \vee B) ::= \tau^+ A \times \tau^+ B$$

$$\tau^+(A \rightarrow B) ::= ((\tau^+ A)^{\circ} \rightarrow (\tau^+ B)^{\circ}) \times ((\tau^+ A)^{\circ} \times \tau^- B \rightarrow (\tau^- A)^{\circ})$$

$$\tau^+(\forall x^{\sigma} A) ::= \tau^+ A$$

$$\tau^+(\exists x^{\sigma} A) ::= \tau^+ A$$

$$\tau^+(\forall^{\text{st}} x^{\sigma} A) ::= \sigma \rightarrow (\tau^+ A)^{\circ}$$

$$\tau^+(\exists^{\text{st}} x^{\sigma} A) ::= \sigma \times \tau^+ A$$

$$\tau^-(a =_{\sigma} b) ::= \mathbb{1}$$

$$\tau^-(\text{st}(t)) ::= \mathbb{1}$$

$$\tau^-(A \wedge B) ::= \tau^- A \times \tau^- B$$

$$\tau^-(A \vee B) ::= \tau^- A \times \tau^- B$$

$$\tau^-(A \rightarrow B) ::= (\tau^+ A)^{\circ} \times \tau^- B$$

$$\tau^-(\forall x^{\sigma} A) ::= \tau^- A$$

$$\tau^-(\exists x^{\sigma} A) ::= (\tau^- A)^{\circ}$$

$$\tau^-(\forall^{\text{st}} x^{\sigma} A) ::= \sigma \times \tau^- A$$

$$\tau^-(\exists^{\text{st}} x^{\sigma} A) ::= (\tau^- A)^{\circ}$$

For each formula Φ and terms $r : (\tau^+ \Phi)^{\circ}$ and $u : \tau^- \Phi$, we define formula $|\Phi|_u^r$

$$|a =_{\sigma} b|_u^r ::= a =_{\sigma} b$$

$$|\text{st}^{\sigma}(t)|_u^r ::= t \in r$$

$$|A \wedge B|_u^r ::= |A|_{u_1}^{r_1} \wedge |B|_{u_2}^{r_2}$$

$$|A \vee B|_u^r ::= |A|_{u_1}^{r_1} \vee |B|_{u_2}^{r_2}$$

$$|A \rightarrow B|_u^R ::= \forall v \sqsubset R^2[u] |A|_v^{u_1} \rightarrow |B|_{u_2}^{R^1[u_1]}$$

$$|\forall z^{\sigma} \Phi(z)|_u^r ::= \forall z^{\sigma} |\Phi(z)|_u^r$$

$$|\exists z^{\sigma} \Phi(z)|_u^r ::= \exists z^{\sigma} \forall v \in u |\Phi(z)|_v^r$$

$$|\forall^{\text{st}} z^{\sigma} \Phi(z)|_{a,u}^R ::= |\Phi(a)|_u^{R[a]}$$

$$|\exists^{\text{st}} z^{\sigma} \Phi(z)|_u^r ::= \exists z \in r^1 \forall v \in u |\Phi(z)|_v^{r^2}$$

Parametrised formula interpretation $\text{P}_{\text{st}}(\Phi) ::= \exists^{\text{st}} x^{(\tau^+ \Phi)^{\circ}} \forall^{\text{st}} y^{\tau^- \Phi} |\Phi|_y^x$

Soundness for the parametrised formula interpretation

Theorem. Let Δ_{int} be a set of internal formula. If

$$\text{HA}_{\text{st}}^{\omega^*} + \Delta_{\text{int}} \vdash \Phi$$

then from the proof we can extract a closed term $t : (\tau^+ \Phi)^\circ$ in T° ($\equiv \mathsf{T}^* + \circ$) such that

$$\text{HA}^\circ + \Delta_{\text{int}} \vdash \forall y^{\tau^- \Phi} |\Phi|_y^t.$$

Proof. By induction on the length of the derivation.

Instantiations of the parametrised formula interpretation

σ°	$t \in u$	$\forall x \sqsubset t A(x)$	Functional interpretations
σ	$t = u$	$A(t)$	(restricted) Dialectica interpretation
σ	$t = u$	$\forall^{\text{st}} x A(x)$	modified realisability
σ	$t \leq^* u$	$\tilde{\forall} x \leq^* t A(x)$	bounded functional interpretation ⁵⁶
			⋮
σ^*	$t \in u$	$\forall x \in t A(x)$	Herbrand Dialectica interpretation
σ^*	$t \in u$	$\forall^{\text{st}} x A(x)$	Herbrand realisability
			⋮

- ▶ One interpretation of “standardness” is **totality**.
- ▶ Then \forall^{st} , \exists^{st} are the computational quantifiers in Berger’s uniform HA.

⁵F. Ferreira and J. Gaspar, *Nonstandardness and the bounded functional interpretation*, Annals of Pure and Applied Logic 166 (2015), no. 6, 701–712.

⁶As pointed out by Paulo Oliva after the talk, the bounded functional interpretation may **not** be an instance but could be obtained by changing some conditions of the parameters.

Discussion I: Efficiency of term extraction via D_{st}

Motivation of the work: shorter proofs \Rightarrow faster extraction & simpler terms

Extraction procedure may be **faster**, because

- ▶ nonstandard proofs, in many cases, are shorter than the usual ones,
- ▶ internal formulas and proofs are ignored.

Extracted terms may be **computationally worse**⁷, because

- ▶ algorithms are hidden in external proofs,
- ▶ nonstandard axioms may introduced fake realisers.

⁷Examples: http://cj-xu.github.io/agda/nonstandard_dialectica/Examples.html

Discussion II: Implementation in intensional type theory

- ▶ Parametrised functional interpretation via Agda's parametrised modules.
- ▶ **Difficulty:** In intensional type theory, for arbitrary $\text{HA}_{\text{st}}^{\omega*}$ formula Φ , we have

$$\tau^{+/-}(\Phi) = \tau^{+/-}(\Phi[x := t])$$

only up to **identity type** (similar to $\Pi(n, m : \mathbb{N}). n + m = m + n$).

Then, given $r : \tau^{+/-}(\Phi)$ we have to **transport** it along the above equality/path to get an element of $\tau^{+/-}(\Phi[x := t])$, which makes proving the soundness theorem very difficult and the resulting proof unreadable.

Solution: Add the above equation as a new **rewriting** rule to Agda.

Summary

- ▶ We reformulate Herbrand functional interpretations in a way that is suitable for a type-theoretic development.
- ▶ We extend Oliva's method to unify functional interpretations for nonstandard/uniform arithmetic.
- ▶ We implement the parametrised functional interpretation in [Agda](#).

Thank you!