

# 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 scope<sup>1</sup>.
- ▶ Computer **implementation**/formalisation  
Goals: verified proofs & efficient programs

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<sup>1</sup>S. 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 interpretations<sup>2</sup> for nonstandard arithmetic in a way that is suitable for a **type-theoretic** development.
- ▶ Introduce a **parametrised functional interpretation**, following Oliva<sup>3</sup>
  - ▶ unifying both the Herbrand functional interpretations (for nonstandard arithmetic) as well as the usual ones (for uniform Heyting arithmetic<sup>4</sup>)
  - ▶ 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).

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<sup>2</sup>B. 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.

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

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

## Heyting arithmetic with finite types $HA^\omega$

### 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  $\sigma^*$

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

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

$HA_{st}^{\omega^*} : \equiv HA^{\omega^*} +$  **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  $H : \equiv HA_{st}^{\omega^*} + 5$  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)  $(\Phi(\underline{a}) \wedge \Psi(\underline{b}))^{D_{\text{st}}} \equiv \exists^{\text{st}} \underline{x}, \underline{u} \forall^{\text{st}} \underline{y}, \underline{v} (\varphi_{D_{\text{st}}}(\underline{x}, \underline{y}, \underline{a}) \wedge \psi_{D_{\text{st}}}(\underline{u}, \underline{v}, \underline{b}))$ ,
- (iv)  $(\Phi(\underline{a}) \vee \Psi(\underline{b}))^{D_{\text{st}}} \equiv \exists^{\text{st}} \underline{x}, \underline{u} \forall^{\text{st}} \underline{y}, \underline{v} (\varphi_{D_{\text{st}}}(\underline{x}, \underline{y}, \underline{a}) \vee \psi_{D_{\text{st}}}(\underline{u}, \underline{v}, \underline{b}))$ ,
- (v)  $(\Phi(\underline{a}) \rightarrow \Psi(\underline{b}))^{D_{\text{st}}} \equiv \exists^{\text{st}} \underline{U}, \underline{Y} \forall^{\text{st}} \underline{x}, \underline{y} (\forall \underline{y} \in \underline{Y}[\underline{x}, \underline{y}] \varphi_{D_{\text{st}}}(\underline{x}, \underline{y}, \underline{a}) \rightarrow \psi_{D_{\text{st}}}(\underline{U}[\underline{x}], \underline{y}, \underline{b}))$ .

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

## 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  $\Phi$ :

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

The **Herbrand Dialectica interpretation**  $\Phi^{D_{st}}$  of a formula  $\Phi$  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  $\Phi$  be a formula of system  $H$  and let  $\Delta_{\text{int}}$  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

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

**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  $\Phi$ .  
Then for each formula  $\Phi$  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  $D_{\text{st}}$ -interpretation except the case of implication

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

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

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

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

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

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

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

$$|A \rightarrow B|_u^R := \forall v \sqsubset R^2[u] |A|_{v_1}^{u_1} \rightarrow |B|_{u_2}^{R^1[u_1]}$$

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

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

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

$$|\exists^{\text{st}} z^{\sigma} \Phi(z)|_u^r := \exists z \in r^1 \forall v \in u |\Phi(z)|_v^{r_2}$$

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

## Soundness for the parametrised formula interpretation

**Theorem.** Let  $\Delta_{\text{int}}$  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  $\mathsf{T}^\circ$  ( $:\equiv \mathsf{T}^* + \circ$ ) 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

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

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

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

<sup>6</sup>As 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**<sup>7</sup>, because

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

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<sup>7</sup>Examples: [http://cj-xu.github.io/agda/nonstandard\\_dialectica/Examples.html](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  $\Phi$ , 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!