

A theory of computable functionals

Helmut Schwichtenberg

Mathematisches Institut, LMU, München

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Computational content of proofs

- Proofs may have computational content.
- One can extract it and obtains a term (\sim program).
- The correctness of this term (\sim program) can be proved.

This correctness proof is a formal one and within the underlying theory. It can be automatically generated.

What is a proof? Need (i) a language and (ii) logic.

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Language

- Functions of (simple) types, defined by equations.
- Predicates, which are inductively / coinductively defined, by clauses and least / greatest fixed point axioms.

Predicates are marked as

c.r. computationally relevant, or
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Logic

- A constructive **extension** of classical logic, by adding “strong” variants of \vee, \exists to the classical $\tilde{\vee}, \tilde{\exists}$:

$$A \tilde{\vee} B := (\neg A \rightarrow \neg B \rightarrow \perp), \quad \tilde{\exists}_x A := \neg \forall_x \neg A.$$

- In proof trees (natural deduction) call subtrees with an n.c. end formula “nc-parts”. Ignore c.r. and n.c. decorations there.

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- Since we are interested in the computational content of proofs, it seems best to look for a theory describing a concrete model:
- Scott-Ershov model of **partial continuous functionals**¹. Idea: Infinite objects (“ideals”) given by their finite approximations.
- Ideals: “consistent” and “deductively closed” sets of “tokens”.
- Tokens at base types: “constructor trees” with possibly $*$.

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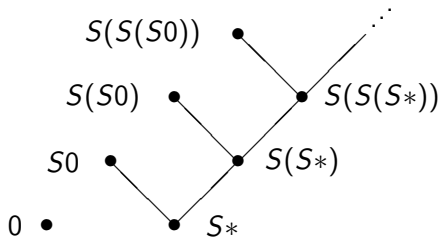
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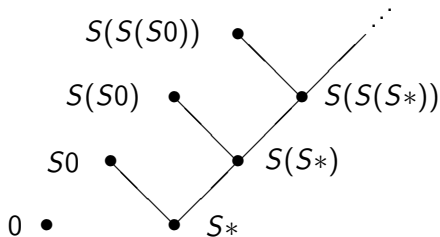
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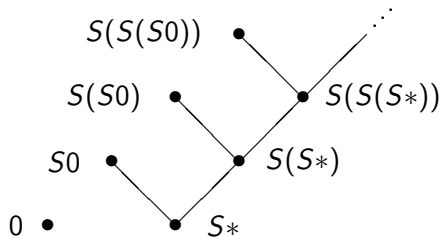
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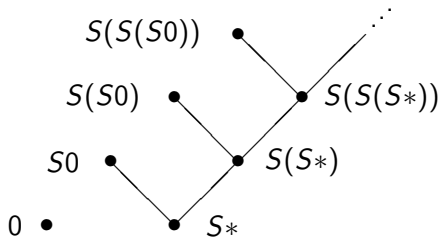
- $\{S0, S(S^*)\}$ is inconsistent.
- $\{S^*, S(S^*)\}$ is an ideal.
- $\{S^*, S(S^*), S(S0)\}$ is an ideal ("total").
- $\{S^*, S(S^*), S(S(S^*)), \dots\}$ is an infinite ideal ("cototal").



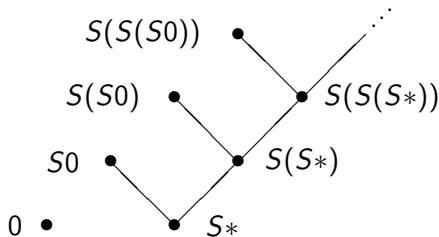
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Ideals at function types

- can be **partial**,
- are **continuous**: for every “formal neighborhood” V of $f(x)$ we can find a formal neighborhood U of x with $f[U] \subseteq V$, and
- are **computable** iff they are given by a recursively enumerable set of tokens.

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A common extension T^+ of Gödel's T and Plotkin's PCF

Terms: built from (typed) variables and constants (constructors C or defined constants D) by abstraction and application:

$$M, N ::= x^\tau \mid C^\tau \mid D^\tau \mid (\lambda_{x^\tau} M^\sigma)^{\tau \rightarrow \sigma} \mid (M^{\tau \rightarrow \sigma} N^\tau)^\sigma.$$

Examples: Decidable equality $=_{\mathbb{N}}: \mathbb{N} \rightarrow \mathbb{N} \rightarrow \mathbb{B}$

$$\begin{aligned} (0 =_{\mathbb{N}} 0) &= \mathbf{tt}, & (Sn =_{\mathbb{N}} 0) &= \mathbf{ff}, \\ (0 =_{\mathbb{N}} Sm) &= \mathbf{ff}, & (Sn =_{\mathbb{N}} Sm) &= (n =_{\mathbb{N}} m). \end{aligned}$$

Recursion $\mathcal{R}_{\mathbb{N}}^\tau: \mathbb{N} \rightarrow \tau \rightarrow (\mathbb{N} \rightarrow \tau \rightarrow \tau) \rightarrow \tau$.

$$\begin{aligned} \mathcal{R}_{\mathbb{N}}^\tau 0af &= a, \\ \mathcal{R}_{\mathbb{N}}^\tau (Sn)af &= fn(\mathcal{R}_{\mathbb{N}}^\tau naf). \end{aligned}$$

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Predicates and formulas

$$\begin{aligned}
 P, Q &::= X \mid \{ \vec{x} \mid A \} \mid I(\vec{\rho}, \vec{P}) \mid {}^{\text{co}}I(\vec{\rho}, \vec{P}) && \text{(predicates),} \\
 A, B &::= P\vec{t} \mid A \rightarrow B \mid \forall_x A && \text{(formulas).}
 \end{aligned}$$

The missing logical connectives \wedge, \vee, \exists are inductively defined.

Totality $T_{\mathbb{N}}$ is inductively defined as the least fixed point (lfp) of the clauses

$$0 \in T_{\mathbb{N}}, \quad n \in T_{\mathbb{N}} \rightarrow Sn \in T_{\mathbb{N}}.$$

Cototality ${}^{\text{co}}T_{\mathbb{N}}$ is coinductively defined as the greatest fixed point (gfp) of its closure axiom

$$n \in {}^{\text{co}}T_{\mathbb{N}} \rightarrow n \equiv 0 \vee \exists_{n'} (n' \in {}^{\text{co}}T_{\mathbb{N}} \wedge n \equiv Sn').$$

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Partiality

- Defined functionals D (and hence terms) can be partial.
- Many D 's are total (map total arguments into total values).

Convention:

- Variables $\hat{x}, \hat{y} \dots$ range over arbitrary (i.e., partial) objects.
- Variables $x, y \dots$ range over total objects.

For readability,

$\forall_x A(x)$ abbreviates $\forall_{\hat{x}} (T\hat{x} \rightarrow A(\hat{x}))$.

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Equality

There are many variants of equality:

- Decidable equality for base types, for instance $=_{\mathbb{N}}$.
- Leibniz equality, inductively defined by the clause $\forall_x (x \equiv x)$.
- Pointwise equality²:

$$(f \dot{=}_{\tau \rightarrow \sigma} g) := \forall_{x,y} (x \dot{=}_{\tau} y \rightarrow fx \dot{=}_{\sigma} gy).$$

Extensionality is defined as diagonalization of pointwise equality:

$$(x \in \text{Ext}_{\tau}) := (x \dot{=}_{\tau} x).$$

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Properties

- Ext_τ and ${}^{\text{co}}T_\tau$ are equivalent for closed types of level ≤ 1 .
- For every closed type τ the relation $\dot{=}_\tau$ is an equivalence relation on Ext_τ .
- For every term $t(\vec{x})$ with extensional constants and free variables among \vec{x} we have

$$\begin{aligned}\vec{x} \dot{=}_{\vec{\rho}} \vec{y} &\rightarrow t(\vec{x}) \dot{=}_\tau t(\vec{y}), \\ \vec{x} \in \text{Ext}_{\vec{\rho}} &\rightarrow t(\vec{x}) \in \text{Ext}_\tau.\end{aligned}$$

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c.r. and n.c.

We have two sorts of inductive predicates and predicate variables,

- “computationally relevant” ones I^c , X^c and
- “non-computational” ones I^{nc} , X^{nc} .
- We use I , X for both.

This leads to a distinction between c.r. and n.c. formulas.

It allows to “fine tune” the computational content of a proof.

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- Assume that we have a global assignment giving for every c.r. predicate variable X of arity $\vec{\rho}$ an n.c. predicate variable X^r of arity $(\vec{\rho}, \xi)$ where ξ is the type variable associated with X .
- We introduce $I^r / {}^{co}I^r$ for c.r. (co)inductive predicates $I / {}^{co}I$, e.g.,

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Definition (C^r for r -free c.r. formulas C)

Let $z \mathbf{r} C$ mean $C^r z$.

$$z \mathbf{r} P \vec{t} := P^r \vec{t} z,$$

$$z \mathbf{r} (A \rightarrow B) := \begin{cases} \forall_w (w \mathbf{r} A \rightarrow zw \mathbf{r} B) & \text{if } A \text{ is c.r.} \\ A \rightarrow z \mathbf{r} B & \text{if } A \text{ is n.c.} \end{cases}$$

$$z \mathbf{r} \forall_x A := \forall_x (z \mathbf{r} A).$$

Definition (Extracted term for an \mathbf{r} -free proof M of a c.r. A)

$$\text{et}(u^A) \quad := z_u^{\tau(A)} \quad (z_u^{\tau(A)} \text{ uniquely associated to } u^A),$$

$$\text{et}((\lambda_{u^A} M^B)^{A \rightarrow B}) := \begin{cases} \lambda_{z_u} \text{et}(M) & \text{if } A \text{ is c.r.} \\ \text{et}(M) & \text{if } A \text{ is n.c.,} \end{cases}$$

$$\text{et}((M^{A \rightarrow B} N^A)^B) := \begin{cases} \text{et}(M) \text{et}(N) & \text{if } A \text{ is c.r.} \\ \text{et}(M) & \text{if } A \text{ is n.c.,} \end{cases}$$

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It remains to define extracted terms for the **axioms**. Consider a (c.r.) inductively defined predicate I .

- $\text{et}(I_i^+) := C_i$ and $\text{et}(I^-) := \mathcal{R}$, where the **constructor** C_i and the **recursion** operator \mathcal{R} refer to ι_I associated with I .
- $\text{et}({}^{\text{co}}I^-) := D$ and $\text{et}({}^{\text{co}}I_i^+) := {}^{\text{co}}\mathcal{R}$, where the **destructor** D and the **corecursion** operator ${}^{\text{co}}\mathcal{R}$ refer to ι_I again.

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Theorem (Soundness)

Let M be an \mathbf{r} -free derivation of a formula A from assumptions $u_i: C_i$ ($i < n$). Then we can derive

$$\begin{cases} \text{et}(M) \mathbf{r} A & \text{if } A \text{ is c.r.} \\ A & \text{if } A \text{ is n.c.} \end{cases}$$

from assumptions

$$\begin{cases} z_{u_i} \mathbf{r} C_i & \text{if } C_i \text{ is c.r.} \\ C_i & \text{if } C_i \text{ is n.c.} \end{cases}$$

We express

- Kolmogorov's view of "formulas as problems"³
- Feferman's dictum "to assert is to realize"⁴

by **invariance axioms**:

For **r**-free c.r. formulas A we require as axioms

$$\text{InvAll}_A: \forall_z (z \text{ r } A \rightarrow A),$$

$$\text{InvEx}_A: A \rightarrow \exists_z (z \text{ r } A).$$

Invariance axioms are used in the proof of the soundness theorem.

³Zur Deutung der intuitionistischen Logik, Math. Zeitschr., 1932

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Real numbers

- Real numbers are given as Cauchy sequences of rationals with an explicitly given modulus.

```
;; ApproxSplitBoole
(set-goal "all x1,x2,x3,p(Real x1 -> Real x2 -> Real x3 ->
  RealLt x1 x2 p -> ex1 boole(
    (boole -> x3<=x2) andi ((boole -> F) -> x1<=x3)))")
```

Continuous functions

- Continuous functions on the reals are determined by their values on rationals.
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IVTAux

Let $f: I \rightarrow \mathbb{R}$ be continuous, with a uniform modulus q of increase.
Let $a < b$ be rationals in I such that

$$a \leq c < d \leq b \quad \text{and} \quad f(c) \leq 0 \leq f(d).$$

Then we can construct c_1, d_1 with

$$d_1 - c_1 = \frac{1}{2}(d - c),$$

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$$a \leq c \leq c_1 < d_1 \leq d \leq b \quad \text{and} \quad f(c_1) \leq 0 \leq f(d_1).$$

Proof.

Let $b_0 = c$ and $b_{n+1} = b_n + \frac{1}{4}(d - c)$ for $n \leq 3$, hence $b_4 = d$.

From $\frac{1}{2^p} < d - c$ we obtain $\frac{1}{2^{p+2}} \leq b_{n+1} - b_n$, hence

$f(b_n) <_{p+2+q} f(b_{n+1})$.

- First compare 0 with $f(b_1) < f(b_2)$, using ApproxSplit.
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IVT

Let $f: I \rightarrow \mathbb{R}$ be continuous, with a uniform modulus of increase.
Let $a < b$ be rational numbers in I such that $f(a) \leq 0 \leq f(b)$.
Then we can find $x \in [a, b]$ such that $f(x) = 0$.

Proof.

Iterating the construction in IVTAux, we construct two sequences $(c_n)_n$ and $(d_n)_n$ of rationals such that for all n

$$\begin{aligned} a = c_0 &\leq c_1 \leq \cdots \leq c_n < d_n \leq \cdots \leq d_1 \leq d_0 = b, \\ f(c_n) &\leq 0 \leq f(d_n), \\ d_n - c_n &= \frac{1}{2^n}(b - a). \end{aligned}$$

Let x, y be given by the Cauchy sequences $(c_n)_n$ and $(d_n)_n$ with the obvious modulus. As f is continuous, $f(x) = 0 = f(y)$ for the real number $x = y$. □

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Example of a continuous function

We represent the continuous real function $x^2 - 2$ on $[1, 2]$ by its values on the rationals:

```
(add-program-constant "SqRtTwo" (py "cont"))
(add-computation-rules
  "SqRtTwo"
  "ContConstr 1 2([a,n]a*a-2)([p]Zero)([p]p+3)~1 2")

;; SqRtTwoApprox
(set-goal
  "exr x(Real x andr SqRtTwo x==0 andr
    all r exl c abs(c+ ~x)<=(1#2**r))")
```

```
(add-sound "SqRtTwoApprox")
```

```
;; ok, SqRtTwoApproxSound has been added as a new theorem:  
;; ... with computation rule
```

```
;; cSqRtTwoApprox eqd  
;; cRealApprox  
;; (cIVTFinal(ContConstr 1 2([a,n]a*a+IntN 2)  
;;           ([p]Zero)([p]p+3)IntN 1 2)1 1)
```

```
(terms-to-haskell-program
  "~/temp/sqrtwo.hs"
  (list (list (pt "cSqRtTwoApprox") "sqrttwo")))

;; $ ghci sqrttwo.hs

;; *Main> cSqRtTwoApprox 50
;; 1592262918131443 % 1125899906842624

(exact->inexact 1592262918131443/1125899906842624)
;; 1.414213562373095

(sqrt 2)
;; 1.4142135623730951
```

At 50 we already have 15 correct decimal digits.

Further applications in constructive analysis.

- Verified algorithms for arithmetic on stream-represented real numbers.
- Functional equation of the exponential function.
- Verified algorithm to find for a given real x some p such that

$$\frac{1}{2^p} \leq e^x.$$

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