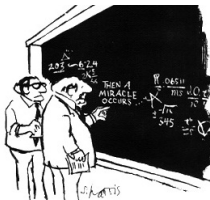


Functional Interpretations

Lecture 2: Classical Logic, Linear Logic and Arithmetic

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"I think you should be more explicit here in step two."

Munich, 29 March 2006



The interpretation

$$|A \wedge B|_{\mathbf{y}, \mathbf{w}}^{\mathbf{x}, \mathbf{v}} \quad :\equiv \quad |A|_{\mathbf{y}}^{\mathbf{x}} \wedge |B|_{\mathbf{w}}^{\mathbf{v}}$$

$$|A \vee B|_{\mathbf{y}, \mathbf{w}}^{\mathbf{x}, \mathbf{v}, b} \quad :\equiv \quad \text{if}(b, |A|_{\mathbf{y}}^{\mathbf{x}}, |B|_{\mathbf{w}}^{\mathbf{v}})$$

$$|A \rightarrow B|_{\mathbf{x}, \mathbf{w}}^{\mathbf{f}, \mathbf{g}} \quad :\equiv \quad \forall \mathbf{y} \triangleleft \mathbf{g} \mathbf{x} \mathbf{w} \quad |A|_{\mathbf{y}}^{\mathbf{x}} \rightarrow |B|_{\mathbf{w}}^{\mathbf{f} \mathbf{x}}$$

$$|\forall z A(z)|_{\mathbf{y}, z}^{\mathbf{f}} \quad :\equiv \quad |A(z)|_{\mathbf{y}}^{\mathbf{f} z}$$

$$|\exists z A(z)|_{\mathbf{y}}^{\mathbf{x}, z} \quad :\equiv \quad |A(z)|_{\mathbf{y}}^{\mathbf{x}}$$

$$|\neg A|_{\mathbf{x}}^{\mathbf{g}} \quad :\equiv \quad \neg \forall \mathbf{y} \triangleleft \mathbf{g} \mathbf{x} \quad |A|_{\mathbf{y}}^{\mathbf{x}}$$



Exercise

Find witnesses for the (parametrised) interpretation of

A. $\neg\neg\exists n(P(n) \rightarrow \forall mP(m))$

B. $\forall n(P(n) \rightarrow P(n+1)) \rightarrow (P(0) \rightarrow P(3))$

C. $\forall x\exists yA(x, y) \rightarrow \exists f\forall xA(x, fx)$ (Axiom of Choice)

D. $\neg\forall xA_{\text{qf}}(x) \rightarrow \exists x\neg A_{\text{qf}}(x)$ (Markov Principle)



Outline

- 1 Classical logic
 - Negative translation
 - A-translation
- 2 Linear logic
 - Shirahata's interpretation
- 3 Extensions of basic interpretation
 - Interpretable principles
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Kuroda's translation

Classical logic is obtained with the *stability rule*

$$\frac{\Gamma \vdash \neg\neg A}{\Gamma \vdash A}$$

Theorem (Negative translation, Kuroda)

For each formula of A associate a new formula A^\dagger by placing $\neg\neg$ after each universal quantifier. Let $A^N \equiv \neg\neg A^\dagger$. If

$$\Gamma \vdash_{\text{CL}} A$$

the

$$\Gamma^N \vdash_{\text{IL}} A^N$$



N-translation simplifications

Useful facts:

$$(i) (\neg\neg A \rightarrow \neg\neg B) \Leftrightarrow \neg\neg(A \rightarrow B) \Leftrightarrow (A \rightarrow \neg\neg B)$$

$$(ii) \neg\neg\forall\neg\neg A \Leftrightarrow \forall\neg\neg A$$

For instance:

$$A \equiv \forall(\exists\forall\exists P \rightarrow \forall\exists Q)$$

$$A^N \equiv \neg\neg\forall\neg\neg(\exists\forall\neg\neg\exists P \rightarrow \forall\neg\neg\exists Q)$$

$$\stackrel{(ii)}{\Leftrightarrow} \forall\neg\neg(\exists\forall\neg\neg\exists P \rightarrow \forall\neg\neg\exists Q)$$

$$\stackrel{(i)}{\Leftrightarrow} \forall(\exists\forall\neg\neg\exists P \rightarrow \neg\neg\forall\neg\neg\exists Q)$$

$$\stackrel{(ii)}{\Leftrightarrow} \forall(\exists\forall\neg\neg\exists P \rightarrow \forall\neg\neg\exists Q)$$

$$\Leftrightarrow A \quad (\text{given Markov's principle})$$



Application 1: Relative consistency

- N-translation of \perp is $(\perp \rightarrow \perp) \rightarrow \perp$ which is equivalent to \perp .
- Adding classical logic cannot make intuitionistic theory inconsistent.

Theorem

CL $\vdash \perp$ if and only if IL $\vdash \perp$



Application 2: Classical Herbrand theorem

Theorem (Herbrand, classical)

If

$$\text{CL} \vdash \exists x A_{\text{qf}}(x)$$

then, for some sequence of terms t_0, \dots, t_n , we have

$$\text{CL} \vdash A_{\text{qf}}(t_0) \vee \dots \vee A_{\text{qf}}(t_n)$$

Proof.

1. $\text{CL} \vdash \exists x A_{\text{qf}}(x)$ (assumption)
2. $\text{IL} \vdash \neg \forall x \neg A_{\text{qf}}(x)$ (by n.t.)
3. $\text{IL} \vdash \neg(\neg A_{\text{qf}}(t_0) \wedge \dots \wedge \neg A_{\text{qf}}(t_n))$ (by int. Herbrand)
4. $\text{CL} \vdash A_{\text{qf}}(t_0) \vee \dots \vee A_{\text{qf}}(t_n)$



A-translation

Negative translation as special case of the A -translation

- **Negative translation**

$$B^N \equiv (B^\dagger \rightarrow \perp) \rightarrow \perp, \text{ where } \begin{cases} P^\dagger & \equiv P \\ (\forall x B(x))^\dagger & \equiv \forall x((B^\dagger \rightarrow \perp) \rightarrow \perp) \end{cases}$$



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- **A-translation** (for fixed formula A)

$$B^A \equiv (B_A \rightarrow A) \rightarrow A, \text{ where } \begin{cases} P_A & \equiv P \vee A \\ (\forall x B(x))_A & \equiv \forall x((B_A \rightarrow A) \rightarrow A) \end{cases}$$



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Negative translation as special case of the A -translation

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Theorem (Friedman)

Assume A does not have free variables which are bounded in B .

If $\Gamma \vdash_{\text{CL}} B$ then $\Gamma^A \vdash_{\text{IL}} B^A$.



Application: Π_2^0 -conservation

Observe that the A-translation of $\exists yP(x, y)$ is

$$(\exists y(P(x, y) \vee A) \rightarrow A) \rightarrow A$$

Taking $A \equiv \exists yP(x, y)$ we have that $\exists yP(x, y)^{\exists yP(x, y)}$ is

$$(\exists y(P(x, y) \vee \exists yP(x, y)) \rightarrow \exists yP(x, y)) \rightarrow \exists yP(x, y)$$

which is equivalent to $\exists yP(x, y)$, given that

$$\exists y(P(x, y) \vee \exists yP(x, y)) \rightarrow \exists yP(x, y)$$

is intuitionistically provable.

Theorem

$\text{CL} \vdash \forall x \exists y P(x, y)$ if and only if $\text{IL} \vdash \forall x \exists y P(x, y)$



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Linear vs. non-linear negation

- Intuitionistic negation $A \rightarrow \perp$
some set of consequences of A is inconsistent ($A \wedge \dots \wedge A \rightarrow \perp$)
- Linear negation $A \multimap \perp$
one single instance of A implies \perp



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one single instance of A implies \perp
- Linear Logic $\left\{ \begin{array}{l} \text{identifies } A \text{ with } (A^\perp)^\perp \\ \text{has the existence property} \end{array} \right.$
- Girard's comment:
"This exceptional behaviour of 'nill' (the linear negation) comes from the fact that A^\perp negates a single action of type A , whereas usual negation only negates some (unspecified) iteration of A , what usually leads to a Herbrand disjunction of unspecified length"



Classical linear logic

Connectives	Exponentials	Structural
$\frac{\vdash \Gamma, A \quad \vdash \Gamma, B}{\vdash \Gamma, A \wedge B} (\wedge)$	$\frac{\vdash \Gamma}{\vdash \Gamma, ?A} (\text{wkn})$	$\frac{\vdash \Gamma}{\vdash \pi\{\Gamma\}} (\text{per})$
$\frac{\vdash \Gamma, A_i}{\vdash \Gamma, A_0 \vee A_1} (\vee_r)$	$\frac{\vdash \Gamma, ?A, ?A}{\vdash \Gamma, ?A} (\text{con})$	$\vdash \alpha^\perp, \alpha \quad (\text{id})$
$\frac{\vdash \Gamma, A \quad \vdash \Delta, B}{\vdash \Gamma, \Delta, A \otimes B} (\otimes)$	$\frac{\vdash ?\Gamma, A}{\vdash ?\Gamma, !A} (!)$	$\frac{\vdash \Gamma, A \quad \vdash \Delta, A^\perp}{\vdash \Gamma, \Delta} (\text{cut})$
$\frac{\vdash \Gamma, A, B}{\vdash \Gamma, A \wp B} (\wp)$	$\frac{\vdash \Gamma, A}{\vdash \Gamma, ?A} (?)$	



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$\frac{\vdash \Gamma, A, B}{\vdash \Gamma, A \wp B} (\wp)$	$\frac{\vdash \Gamma, A}{\vdash \Gamma, ?A} (?)$	



Shirahata's interpretation

- Symmetric logic should lead to a symmetric interpretation
- **Intuition:** A interpreted as a two-player game $|A|_y^x$
 \exists -player chooses x and \forall -player chooses y simultaneously



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$$|A \wedge B|_{y,w,b}^{x,v} \quad :\equiv \quad \text{if}(b, |A|_y^x, |B|_w^v)$$

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$$\begin{array}{ll}
 |A \wedge B|_{\mathbf{y}, \mathbf{w}, b}^{\mathbf{x}, \mathbf{v}} & :\equiv \text{if}(b, |A|_{\mathbf{y}}^{\mathbf{x}}, |B|_{\mathbf{w}}^{\mathbf{v}}) & |\forall z A(z)|_{\mathbf{y}, z}^{\mathbf{f}} & :\equiv |A(z)|_{\mathbf{y}}^{\mathbf{f}z} \\
 |A \vee B|_{\mathbf{y}, \mathbf{w}}^{\mathbf{x}, \mathbf{v}, b} & :\equiv \text{if}(b, |A|_{\mathbf{y}}^{\mathbf{x}}, |B|_{\mathbf{w}}^{\mathbf{v}}) & |\exists z A(z)|_{\mathbf{f}}^{\mathbf{x}, z} & :\equiv |A(z)|_{\mathbf{f}z}^{\mathbf{x}}
 \end{array}$$



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$$|A \otimes B|_{\mathbf{f}, \mathbf{g}}^{\mathbf{x}, v} \quad \equiv \quad |A|_{\mathbf{f}v}^{\mathbf{x}} \wedge |B|_{\mathbf{g}x}^v$$

$$|A \wp B|_{\mathbf{y}, \mathbf{w}}^{\mathbf{f}, \mathbf{g}} \quad \equiv \quad |A|_{\mathbf{y}}^{\mathbf{g}w} \vee |B|_{\mathbf{w}}^{\mathbf{f}y}$$



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$$|A \otimes B|_{f,g}^{x,v} \quad \equiv \quad |A|_{fv}^x \wedge |B|_{gx}^v \quad |!A|_f^x \quad \equiv \quad \forall y \triangleleft fy \ |A|_y^x$$

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$$|A \wp B|_{y,w}^{f,g} \equiv |A|_y^{gw} \vee |B|_w^{fy} \quad |?A|_y^f \equiv \exists x \triangleleft fy |A|_y^x$$

- $|A^\perp|_x^y \equiv \neg |A|_y^x$
- $|A \multimap B|_{x,w}^{f,g} \equiv |A|_{gw}^x \rightarrow |B|_w^{fx}$



Soundness

Theorem (Shirahata)

If $\vdash_{\text{LL}} A_0, \dots, A_n$ then there are sequences of terms t_0, \dots, t_n ($\mathbf{y}_i \notin \text{FV}(t_i)$) such that $\vdash_{\text{CL}^\omega} |A_0|_{\mathbf{y}_0}^{t_0}, \dots, |A_n|_{\mathbf{y}_n}^{t_n}$.

Proof.



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Proof.

Consider “promotion”. Assume we have

$$\vdash_{CL^\omega} |? \Gamma|_{\mathbf{w}}^{s[\mathbf{y}]}, |A|_{\mathbf{y}}^{t[\mathbf{w}]}$$



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Unwinding the definition of $? \Gamma$ we have

$$\vdash_{\text{CL}^\omega} \exists \mathbf{v} \triangleleft s[\mathbf{y}](\mathbf{w}) |\Gamma|_{\mathbf{w}}^{\mathbf{v}}, |A|_{\mathbf{y}}^{t[\mathbf{w}]}$$



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Unwinding the definition of $? \Gamma$ we have

$$\vdash_{\text{CL}^\omega} \exists v \triangleleft s[\mathbf{y}](\mathbf{w}) | \Gamma|_{\mathbf{w}}^v, |A|_{\mathbf{y}}^{t[\mathbf{w}]}$$

Let $\tilde{s}[\mathbf{f}](\mathbf{w}) := \bigcup_{v \in \mathbf{f}(t[\mathbf{w}])} ((\lambda \mathbf{y}. s[\mathbf{y}](\mathbf{w}))v)$, then

$$\vdash_{\text{CL}^\omega} \exists v \triangleleft \tilde{s}[\mathbf{f}](\mathbf{w}) | \Gamma|_{\mathbf{w}}^v, \forall \mathbf{y} \triangleleft \mathbf{f}(t[\mathbf{w}]) | A|_{\mathbf{y}}^{t[\mathbf{w}]}$$

i.e. $\vdash_{\text{CL}^\omega} |? \Gamma|_{\mathbf{w}}^{\tilde{s}[\mathbf{f}]}, |! A|_{\mathbf{f}}^{t[\mathbf{w}]}$. □



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Soundness Extension I

- We have seen how to interpret IL into IL^ω
- Interpretation extends easily to $IL^\omega \mapsto IL^\omega$
- ... with a neutral treatment of equality:
 - $x =_\rho y$ for each finite type ρ
 - reflexivity
 - transitivity
 - $x =_\rho y \rightarrow z(x) =_\tau z(y)$
 - $x =_{\rho \rightarrow \tau} y \rightarrow xz =_\tau yz$



Extensional equality

- We would like to have an extensional treatment of equality, i.e.

$$\forall z^p (xz =_{\tau} yz) \rightarrow x =_{\rho \rightarrow \tau} y$$

Theorem (Howard)

Any witness for the Dialectica interpretation of

$$\text{EXT} : \forall Y, f, g (\forall n (fn =_o gn) \rightarrow Y(f) =_o Y(g))$$

is not majorizable.



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Proof.

The Dialectica interpretation of EXT asks for a functional Φ satisfying

$$\forall Y, f, g ((f(\Phi Y fg) =_o g(\Phi Y fg)) \rightarrow Y(f) =_o Y(g))$$

Let $\Phi \leq^* \Phi^*$ and $Y, f, g \leq^* 1$ so that $\Phi Y fg \leq \Phi^* 111 = k$, for some k .

Let f, g coincide up to k and differ at $k+1$, and $Y(f) = f(k+1)$. □



Soundness Extension I

Theorem (Soundness - Extension I)

Let the monoidal embedding be fixed. If

$$\Gamma \vdash_{\text{IL}^\omega} A$$

then there are sequences of terms t, s such that

$$\forall w \triangleleft svy \mid \Gamma \mid_w^v \vdash_{\text{IL}^\omega} \mid A \mid_y^{t[v]}$$



Interpretable principles

Definition (Interpretable principles)

If P is such that $\text{IL} \not\vdash P$ but $\text{IL}^\omega \vdash \exists x \forall y |P|_x^x$ then P is called a \triangleleft -interpretable principle (for short, I_{\triangleleft}).

One such example (for all instantiations) is the axiom of choice

$$\text{AC} \quad : \quad \forall x^\rho \exists y^\tau A(x, y) \rightarrow \exists f^{\rho \rightarrow \tau} \forall x A(x, fx)$$

given $|A(x, y)|_{\mathbf{w}}^{\mathbf{v}}$ the interpretation of premise is

$$|A(x, y)|_{\mathbf{w}, x}^{\mathbf{v}, fx}$$

which is the same as $|A(x, fx)|_{\mathbf{w}, x}^{\mathbf{v}, f}$ (the interpretation of conclusion).



Soundness Extension II

Theorem (Soundness - Extension II)

Let the monoidal embedding be fixed. If

$$\Gamma \vdash_{\text{IL}^\omega + \text{I} \triangleleft} A$$

then there are sequences of terms t, s such that

$$\forall w \triangleleft svy \mid \Gamma \mid_w^v \vdash_{\text{IL}^\omega} \mid A \mid_y^{t[v]}$$



Image and kernel of interpretation

Definition ($\forall\triangleleft$ -bounded formulas)

The $\forall\triangleleft$ -bounded formulas (we use A_b and B_b) are those built out of

- prime formulas
 - conjunction ($A_b \wedge B_b$)
 - implication ($A_b \rightarrow B_b$) and
 - bounded quantification ($\forall x \triangleleft t A_b$)
-
- The verifying system only needs \triangleleft -bounded formulas
 - Most interpretations are idempotent, so that $\|A\| \leftrightarrow |A|$
 - \triangleleft -bounded formulas also form kernel K_{\triangleleft} of interpretation
 - Formulas in the kernel can be trivially added to soundness



Image of Functional Interpretations

	$x \triangleleft a$	\triangleleft -bounded formulas
Modified realizability	true	\exists -free formulas
Diller-Nahm	$x \in a$	$\forall \in$ -bounded formulas
Bounded f.i.	$x \leq^* a$	$\forall \leq^*$ -bounded formulas
Dialectica	$x = a$	quantifier-free formulas



Soundness Extension III

Theorem (Soundness - Extension III)

Let the monoidal embedding be fixed. If

$$\Gamma \vdash_{\text{IL}^\omega + \text{I}_\triangleleft + \text{K}_\triangleleft} A$$

then there are sequences of terms t, s such that

$$\forall w \triangleleft \mathbf{svy} \mid \Gamma \mid_w^v \vdash_{\text{IL}^\omega + \text{K}_\triangleleft} \mid A \mid_y^{t[v]}$$



Interpreting induction

We consider the induction rule and recursor

$$\frac{A(0) \quad A(k) \rightarrow A(k')}{A(n)} \text{IND} \quad \begin{array}{l} \text{Rec}(g, f, 0) = g \\ \text{Rec}(g, f, n') = f(n, \text{Rec}(g, f, n)) \end{array}$$

That can be interpreted as follows:

$$\frac{\frac{\frac{\vdash |A(0)|_{\mathbf{y}}^s}{\vdash \forall \mathbf{y} |A(0)|_{\mathbf{y}}^s}}{\vdash \forall \mathbf{y} |A(0)|_{\mathbf{y}}^{\text{Rec}(s,t,0)}} \quad \frac{\frac{\frac{\forall \mathbf{y}' \triangleleft \mathbf{q}[\mathbf{x}, \mathbf{y}] |A(k)|_{\mathbf{y}'}^{\mathbf{x}} \vdash |A(k')|_{\mathbf{y}}^{\mathbf{t}\mathbf{x}}}{\forall \mathbf{y} |A(k)|_{\mathbf{y}}^{\mathbf{x}} \vdash \forall \mathbf{y} |A(k')|_{\mathbf{y}}^{\mathbf{t}\mathbf{x}}}}{\forall \mathbf{y} |A(k)|_{\mathbf{y}}^{\text{Rec}(s,t,k)} \vdash \forall \mathbf{y} |A(k')|_{\mathbf{y}}^{\text{Rec}(s,t,k)}}}}{\forall \mathbf{y} |A(k)|_{\mathbf{y}}^{\text{Rec}(s,t,k)} \vdash \forall \mathbf{y} |A(k')|_{\mathbf{y}}^{\text{Rec}(s,t,k')}}}}{\vdash \forall \mathbf{y} |A(n)|_{\mathbf{y}}^{\text{Rec}(s,t,n)}} \text{IND}$$



Feasible arithmetic

- Functional interpretations can also be used for very weak subsystem
- Consider induction restricted to Σ_1^b -formulas

$$A(0) \wedge \forall n(A(n/2) \rightarrow A(n)) \rightarrow \forall nA(n)$$

where $A(n)$ is of the form $\exists k \leq s(t[k, n] = 0)$.

- **Restricted induction** can be interpreted via **restricted recursion**

$$R(n) = \begin{cases} a & n = 0 \\ b(n) & b(n) < c(n, R(n/2)) \\ c(n, R(n/2)) & \text{otherwise} \end{cases}$$



Application: Parikh's theorem

Theorem (Parikh)

Let $A_b(x, y)$ be a bounded formula. If

$$\text{CPV}^\omega \vdash \forall x^o \exists y^o A_b(x, y)$$

then there exists a term t such that

$$\text{CPV}^\omega \vdash \forall x \exists y \leq t[x] A_b(x, y).$$



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$$\text{CPV}^\omega \vdash \forall x \exists y \leq t[x] A_b(x, y).$$

Proof.

The bounded functional interpretation of $\forall x \exists y A_b(x, y)$ is

$$\forall a \forall x \leq^* a \exists b \exists y \leq^* b A_b(x, y)$$

$$\forall a \exists b \forall x \leq^* a \exists y \leq^* b A_b(x, y)$$

$$\exists f \forall a \forall x \leq^* a \exists y \leq^* f a A_b(x, y)$$

Proof gives monotone witness t such that

$$\forall a \forall x \leq^* a \exists y \leq^* t[a] A_b(x, y)$$



Parikh's theorem: extension

Let Σ_1^0 -UB be the following *uniform boundedness principle*:

$$\forall f \leq_1 h \exists e^1 A_0(f, e) \rightarrow \exists g \forall f \leq_1 h \exists e \leq_1 g A_0(f, e)$$

Theorem

Let $A_b(x, y)$ a bounded formula. If

$$\text{CPV}^\omega + \Sigma_1^0\text{-UB} \vdash \forall x^o \exists y^\rho A_b(x, y)$$

then there exists a term t such that

$$\text{CPV}^\omega \vdash \forall x^o \exists y \leq_\rho^* t[x] A_b(x, y).$$



Quiz

Consider the following game with 3 people.

1. Each person i builds a function g_i which given her number $x_i > 0$ should give the (predicted) sum of all numbers $x_1 + x_2 + x_3$.
E.g. $g_2(x_2) := 7x_2^2 + 111$
2. Person $i \in \{1, 2, 3\}$ is then assigned the number $x_i := g_i(i)$
3. It should be the case that $g_i(x_i) = x_1 + x_2 + x_3$

How should the participants proceed in choosing g_i ?

Restriction: Functions g_i must be linear, i.e. $g_i(x) = a_i x + b_i$.

