A computational analysis of the proof transformation by forcing

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Introduction

• What is forcing?

- A technique invented by Cohen ('63) to prove the independence of continuum hypothesis (CH) w.r.t. ZFC
- Cohen forcing can be understood as
 - A technique to transform models of ZFC, using generic sets
 - A translation of formulas and proofs (proof theorist's point of view)

Introduction

• What is forcing?

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Curry-Howard correspondence in classical logic

Classical reasoning principles as control operators [Griffin'90]

$$call/cc$$
 : $((A \Rightarrow B) \Rightarrow A) \Rightarrow A$

- The theory of classical realizability [Krivine '01, '03, '09]
 - Complete reformulation of Kleene's realizability by hard-wiring Friedman's A-translation in the engine (and even more)
 - ullet Works in expressive frameworks : PA2, PA ω , ZF + DC

The big picture

- Krivine's realizability interpretation of forcing [Krivine '09, '10]
 - Introduces generalized realizability structures
 - Defines iterated forcing/realizability + case studies
 - Existence of an underlying program transformation...
- Aims of the talk :
 - ullet Rephrase translation in PA ω , using typing rather than realizability
 - Present program transformation + underlying computation model

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- Aims of the talk :
 - ullet Rephrase translation in PA ω , using typing rather than realizability
 - ullet Present program transformation + underlying computation model
- Underlying methodology :

Translation of formulas & proofs Program transform Abstract machine (transform becomes identity)

Example: ¬¬-translation \leadsto CPS transform \leadsto stack based machine

Plan

- Introduction
- 2 Higher-order arithmetic (tuned)
- The forcing translation
- 4 The forcing machine
- Conclusion

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Higher-order arithmetic (tuned)

• System $PA\omega^+$: a multi-sorted language to express

```
• Individuals (kind \ \iota)
• Propositions (kind \ o)
• Predicates over individuals (\iota \to o, \ \iota \to \iota \to o, \ \ldots)
• Predicates over predicates... ((\iota \to o) \to o, \ \ldots)
```

Syntax of kinds and higher-order terms (a.k.a. constructors)

Kinds
$$\tau, \sigma ::= \iota \mid o \mid \tau \to \sigma$$
 HO terms
$$M, N, A, B ::= x^{\tau} \mid \lambda x^{\tau} \cdot M \mid MN$$

$$\mid 0 \mid s \mid \text{rec}_{\tau}$$

$$\mid A \Rightarrow B \mid \forall x^{\tau} A \mid \langle M = M' \rangle A$$
 Proof terms
$$(\text{postponed})$$

• Proposition $\langle M=M'\rangle A$ is provably equivalent to $M=_{\tau}M'\Rightarrow A$ (where $=_{\tau}$ is Leibniz equality), but has more compact proof terms

The relation of conversion

Conversion $M\cong_{\mathcal{E}} M'$ parameterized by a finite set of equations

$$\mathcal{E} \equiv \{M_1 = M_1', \dots, M_k = M_k'\}$$
 (non oriented, well 'kinded')

- Base case : if $(M = M') \in \mathcal{E}$, then $M \cong_{\mathcal{E}} M'$
- ullet Contains eta-conversion, η -conversion, recursion (as usual)
- Many rules to identify semantically equivalent propositions :

$$\forall x^{\tau} \forall y^{\sigma} A \cong_{\mathcal{E}} \forall y^{\sigma} \forall x^{\tau} A$$

$$A \Rightarrow \forall x^{\tau} B \cong_{\mathcal{E}} \forall x^{\tau} (A \Rightarrow B)$$

$$\forall x^{\tau} (\langle M = M' \rangle A) \cong_{\mathcal{E}} \langle M = M' \rangle \forall x^{\tau} A$$

$$x^{\tau} \notin FV(M, M')$$

$$\dots$$

Deduction system (typing)

• Proof terms : $t, u ::= x \mid \lambda x \cdot t \mid tu \mid c$ (Curry-style)

• Contexts: $\Gamma ::= x_1 : A_1, \dots, x_n : A_n$ (A_i of kind o)

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Deduction/typing rules

$$\frac{\mathcal{E}; \Gamma \vdash \mathbf{t} : A}{\mathcal{E}; \Gamma \vdash \mathbf{t} : A} \bowtie_{\mathcal{E}} A'$$

$$\frac{\mathcal{E}; \Gamma, \mathbf{x} : A \vdash \mathbf{t} : B}{\mathcal{E}; \Gamma \vdash \lambda \mathbf{x} . \mathbf{t} : A \Rightarrow B} \qquad \frac{\mathcal{E}; \Gamma \vdash \mathbf{t} : A \Rightarrow B \qquad \mathcal{E}; \Gamma \vdash \mathbf{u} : A}{\mathcal{E}; \Gamma \vdash \mathbf{tu} : B}$$

$$\frac{\mathcal{E}, M = M'; \Gamma \vdash \mathbf{t} : A}{\mathcal{E}; \Gamma \vdash \mathbf{t} : \langle M = M' \rangle A} \qquad \frac{\mathcal{E}; \Gamma \vdash \mathbf{t} : \langle M = M \rangle A}{\mathcal{E}; \Gamma \vdash \mathbf{t} : A}$$

$$\frac{\mathcal{E}; \Gamma \vdash \mathbf{t} : A}{\mathcal{E}; \Gamma \vdash \mathbf{t} : \forall x^{\tau} A} \times^{\tau \notin FV(\mathcal{E}; \Gamma)} \frac{\mathcal{E}; \Gamma \vdash \mathbf{t} : \forall x^{\tau} A}{\mathcal{E}; \Gamma \vdash \mathbf{t} : A\{x := N^{\tau}\}}$$

$$\overline{\mathcal{E};\Gamma\vdash\mathbf{cc}:((A\Rightarrow B)\Rightarrow A)\Rightarrow A}$$

From operational semantics...

- Krivine's λ_c -calculus
 - λ -calculus with call/cc and continuation constants :

$$t, u ::= x \mid \lambda x . t \mid tu \mid \mathbf{c} \mid \mathbf{k}_{\pi}$$

An abstract machine with explicit stacks :

```
    Stack = list of closed terms

                                                            (notation : \pi, \pi')
```

Process = closed term * stack

 Evaluation rules (weak head normalization, call by name)

... to classical realizability semantics

- Interpreting higher-order terms :
 - Individuals interpreted as natural numbers
 - Propositions interpreted as falsity values
 - Functions interpreted set-theoretically
- Parameterized by a pole $\perp \!\!\! \perp \subseteq \Lambda_c \star \Pi$

(closed under anti-evaluation)

... to classical realizability semantics

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$$[t] = \mathbb{N}$$

$$\llbracket o \rrbracket = \mathfrak{P}(\Pi)$$
$$\llbracket \tau \to \sigma \rrbracket = \llbracket \sigma \rrbracket^{\llbracket \tau \rrbracket}$$

- Parameterized by a pole $\perp \!\!\! \perp \subseteq \Lambda_c \star \Pi$ (closed under anti-evaluation)
- Interpreting logical constructions :

- Notation : $t \Vdash A \equiv t \in \llbracket A \rrbracket^{\perp} \equiv \forall \pi \in \llbracket A \rrbracket \ (t \star \pi) \in \perp$
- Adequacy: If $\vdash t : A$, then $t \Vdash A$



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Representing conditions

• Intuition : Represent the set of conditions (in system $PA\omega^+$) as an upwards closed subset of a meet-semilattice

- Take :
 - A kind κ of conditions, equipped with
 - A binary product $(p,q) \mapsto pq$ (kind $\kappa \to \kappa \to \kappa$)
 - A unit 1 $(kind \kappa)$
 - A predicate $p \mapsto C[p]$ of well-formedness (kind $\kappa \to o$)

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 - A unit 1 (kind κ)
 - A predicate $p \mapsto C[p]$ of well-formedness (kind $\kappa \to o$)
- **Typical example :** finite functions from τ to σ are modelled by
 - $\kappa \equiv \tau \to \sigma \to o$ (binary relations $\subseteq \tau \times \sigma$)
 - $pq \equiv \lambda x^{\tau} y^{\sigma} \cdot p \times y \vee q \times y$ (union of relations p and q)
 - $1 \equiv \lambda x^{\tau} y^{\sigma} . \bot$ (empty relation)
 - $C[p] \equiv "p$ is a finite function from τ to σ "

Combinators

The forcing translation is parameterized by

- ullet The kind κ + closed terms \cdot , 1, C (logical level)
- ullet 9 closed proof terms $lpha_*, lpha_1, \ldots, lpha_8$ (computational level)

```
Primitive combinators
```

```
\begin{array}{lll} \alpha_{*} & : & C[1] \\ \alpha_{1} & : & \forall p^{\kappa} \ \forall q^{\kappa} \ (C[pq] \Rightarrow C[p]) \\ \alpha_{2} & : & \forall p^{\kappa} \ \forall q^{\kappa} \ (C[pq] \Rightarrow C[q]) \\ \alpha_{3} & : & \forall p^{\kappa} \ \forall q^{\kappa} \ (C[pq] \Rightarrow C[qp]) \\ \alpha_{4} & : & \forall p^{\kappa} \ (C[pq] \Rightarrow C[pp]) \\ \end{array} \quad \begin{array}{ll} \alpha_{5} & : \ \forall p^{\kappa} \ \forall q^{\kappa} \ \forall r^{\kappa} \ (C[(pq)r] \Rightarrow C[p(qr)]) \\ \alpha_{6} & : \ \forall p^{\kappa} \ \forall q^{\kappa} \ \forall r^{\kappa} \ (C[p(qr)] \Rightarrow C[(pq)r]) \\ \alpha_{7} & : \ \forall p^{\kappa} \ (C[p] \Rightarrow C[p1]) \\ \alpha_{8} & : \ \forall p^{\kappa} \ (C[p] \Rightarrow C[1p]) \end{array}
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Derived combinators (from $\alpha_*, \alpha_1, \ldots, \alpha_8$)

```
\begin{array}{llll} \alpha_9 & := & \alpha_3 \circ \alpha_1 \circ \alpha_6 \circ \alpha_3 & : & \forall p^\kappa \ \forall q^\kappa \ \forall r^\kappa \ (C[(pq)r] \Rightarrow C[pr]) \\ \alpha_{10} & := & \alpha_2 \circ \alpha_5 & : & \forall p^\kappa \ \forall q^\kappa \ \forall r^\kappa \ (C[(pq)r] \Rightarrow C[qr]) \\ \alpha_{11} & := & \alpha_9 \circ \alpha_4 & : & \forall p^\kappa \ \forall q^\kappa \ (C[pq] \Rightarrow C[p(pq)]) \\ \alpha_{12} & := & \alpha_5 \circ \alpha_3 & : & \forall p^\kappa \ \forall q^\kappa \ \forall r^\kappa \ (C[p(qr)] \Rightarrow C[q(rp)]) \\ \alpha_{13} & := & \alpha_3 \circ \alpha_{12} & : & \forall p^\kappa \ \forall q^\kappa \ \forall r^\kappa \ (C[p(qr)] \Rightarrow C[(rp)q]) \\ \alpha_{14} & := & \alpha_5 \circ \alpha_3 \circ \alpha_{10} \circ \alpha_4 \circ \alpha_2 & : & \forall p^\kappa \ \forall q^\kappa \ \forall r^\kappa \ (C[p(qr)] \Rightarrow C[q(rr)]) \\ \alpha_{15} & := & \alpha_9 \circ \alpha_3 & : & \forall p^\kappa \ \forall q^\kappa \ \forall r^\kappa \ (C[p(qr)] \Rightarrow C[qr]) \end{array}
```

Ordering

Let
$$p \leq q := \forall r^{\kappa}(C[pr] \Rightarrow C[qr])$$

ullet \leq is a preorder with greatest element 1:

$$\begin{array}{lll} \lambda c \cdot c & : & \forall p^{\kappa} \ (p \leq p) \\ \lambda xyc \cdot y(xc) & : & \forall p^{\kappa} \ \forall q^{\kappa} \ \forall r^{\kappa} \ (p \leq q \Rightarrow q \leq r \Rightarrow p \leq r) \\ \alpha_{8} \circ \alpha_{2} & : & \forall p^{\kappa} \ (p \leq 1) \end{array}$$

• Product pq is the g.l.b. of p and q:

```
\begin{array}{cccc} \alpha_9 & : & \forall p^\kappa \ \forall q^\kappa \ (pq \leq p) \\ \alpha_{10} & : & \forall p^\kappa \ \forall q^\kappa \ (pq \leq q) \\ \lambda xy \, . \, \alpha_{13} \circ y \circ \alpha_{12} \circ x \circ \alpha_{11} & : & \forall p^\kappa \ \forall q^\kappa \ \forall r^\kappa \ (r \leq p \Rightarrow r \leq q \Rightarrow r \leq pq) \end{array}
```

• C (set of 'good' conditions) is upwards closed :

$$\lambda x c \cdot \alpha_1 (x (\alpha_7 c)) : \forall p^{\kappa} \forall q^{\kappa} (p < q \Rightarrow C[p] \Rightarrow C[q])$$

Bad conditions are smallest elements :

$$\lambda x c \cdot x (\alpha_1 c) : \forall p^{\kappa} (\neg C[p] \Rightarrow \forall q^{\kappa} p \leq q)$$

The forcing translation in $PA\omega^+$: logical level

Translating kinds : $\tau \mapsto \tau^*$

$$\iota^* \equiv \iota$$
 $o^* \equiv \kappa \to o$ $(\tau \to \sigma)^* \equiv \tau^* \to \sigma^*$

Intuition: Propositions become sets of conditions

$\overline{M:\tau} \mapsto \overline{M^*:\tau^*}$ Auxiliary translation on HO terms of all kinds:

Forcing translation on propositions:

 $(p : \kappa \text{ fixed condition})$

$$p \Vdash A \equiv \forall r^{\kappa}(C[pr] \Rightarrow A^*r)$$

Properties of the forcing translation

General properties

```
\beta_1 := \lambda xyc \cdot y (x c) : \forall p^{\kappa} \forall q^{\kappa} (q \leq p \Rightarrow (p \Vdash A) \Rightarrow (q \Vdash A))
```

$$\beta_2 := \lambda x c . x (\alpha_1 c) : \forall p^{\kappa} (\neg C[p] \Rightarrow p \Vdash A)$$

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Forcing logical constructions

(computationally irrelevant)

$$p \Vdash \langle M = M' \rangle A \cong \langle M^* = M'^* \rangle (p \Vdash A)$$
$$p \Vdash \forall x^{\tau} A \cong \forall x^{\tau^*} (p \Vdash A)$$

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Forcing an implication

(computationally relevant)

$$p \Vdash A \Rightarrow B \Leftrightarrow \forall q^{\kappa} ((q \Vdash A) \Rightarrow (pq \Vdash B))$$

since :

$$\gamma_1 := \lambda x c y . x y (\alpha_6 c) : \forall q ((q \Vdash A) \Rightarrow (pq \Vdash B)) \Rightarrow (p \Vdash A \Rightarrow B)$$

$$\gamma_2 := \lambda xyc.x(\alpha_5 c)y : (p \Vdash A \Rightarrow B) \Rightarrow \forall q ((q \Vdash A) \Rightarrow (pq \Vdash B))$$

The forcing translation in $PA\omega^+$: level of proof terms

Krivine's program transformation $t\mapsto t^*$

- The translation inserts : γ_1 ("fold") in front of each λ γ_3 ("apply") in front of each app.
- A bound occurrence of x in t is translated as $\beta_3^n(\beta_4 x)$, where n is the de Bruijn index of this occurrence

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Soundness (in $PA\omega^+$)

```
If \mathcal{E}; x_1 : A_1, \ldots, x_n : A_n \vdash t : B
then \mathcal{E}^*; x_1 : (p \Vdash A_1), \ldots, x_n : (p \Vdash A_n) \vdash t^* : (p \Vdash B)
```

• A proof of $p \Vdash A \equiv \forall r^{\kappa}(C[pr] \Rightarrow A^*r)$ is a function waiting an argument c: C[pr] (for some $r) \rightsquigarrow$ computational condition

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$$(\lambda x \cdot t)^* \quad \star \quad c \cdot u \cdot \pi$$
$$(tu)^* \quad \star \quad c \cdot \pi$$
$$c^* \quad \star \quad c \cdot u \cdot \pi$$

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$$(\lambda x \cdot t)^* \quad \star \quad c \cdot u \cdot \pi \qquad \succ \qquad t^* \{ x := \beta_4 u \} \quad \star \quad \alpha_6 c \cdot \pi$$

$$(tu)^* \quad \star \quad c \cdot \pi$$

$$cc^* \quad \star \quad c \cdot u \cdot \pi$$

$$\alpha_6$$
: $C[p(qr)] \Rightarrow C[(pq)r]$

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$$cc^* \quad \star \quad c \cdot u \cdot \pi$$

```
\alpha_6 : C[p(qr)] \Rightarrow C[(pq)r]

\alpha_{11} : C[pr] \Rightarrow C[p(pr)]
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$$cc^* \quad \star \quad c \cdot u \cdot \pi \qquad \succ \qquad \qquad u \quad \star \quad \alpha_{14} c \cdot k_{\pi}^* \cdot \pi$$

where : $k_{\pi}^{*} \equiv \gamma_{4} k_{\pi} (\approx \lambda c x . k_{\pi} (x (\alpha_{15} c)))$

```
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$$cc^* \quad \star \quad c \cdot u \cdot \pi \qquad \succ \qquad \qquad u \quad \star \quad \alpha_{14} c \cdot k_{\pi}^* \cdot \pi$$

$$k_{\pi}^* \quad \star \quad c \cdot t \cdot \pi'$$

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$$k_{\pi}^* \quad \star \quad c \cdot t \cdot \pi' \qquad \succ \qquad \qquad t \quad \star \quad \alpha_{15} c \cdot \pi$$

where : $k_{\pi}^{*} \equiv \gamma_{4} k_{\pi} (\approx \lambda cx \cdot k_{\pi} (x (\alpha_{15} c)))$

```
\alpha_6 : C[p(qr)] \Rightarrow C[(pq)r]

\alpha_{11} : C[pr] \Rightarrow C[p(pr)]

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\alpha_{15} : C[p(qr)] \Rightarrow C[qp]
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Krivine Abstract Machine (KAM)

• Real mode :

Krivine Forcing Abstract Machine (KFAM)

Real mode :

Krivine Forcing Abstract Machine (KFAM)

Real mode :

Forcing mode :



Krivine Forcing Abstract Machine (KFAM)

Real mode :

Forcing mode :

- New abstract machine (KFAM) means new realizability algebras, new realizability models and new adequacy results
- Two adequacy results for the KFAM :
 - Adequacy in real mode
 - $\vdash t : A \quad \rightsquigarrow \quad (t|\emptyset) \Vdash A$ $\vdash t : A \quad \rightsquigarrow \quad (t|\emptyset)^* \Vdash (p \Vdash A)$ Adequacy in forcing mode

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Extracting programs from proofs 'by forcing'

Given two proof-terms u ('user') and s ('system') such that :

$$x: A \vdash u: B$$
 and $\vdash s: (1 \Vdash A)$

we get:

$$(u \mid x = (s \mid \emptyset))^*$$

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- Two adequacy results for the KFAM :
 - Adequacy in real mode $\vdash t : A \rightsquigarrow (t|\emptyset) \Vdash A$
 - Adequacy in forcing mode $\vdash t : A \rightsquigarrow (t|\emptyset)^* \Vdash (p \Vdash A)$

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 - Adequacy in real mode $\vdash t : A \rightsquigarrow (t|\emptyset) \Vdash A$
 - ullet Adequacy in forcing mode $igl| t:A \ \leadsto \ (t|\emptyset)^* \Vdash (p \Vdash A)$

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$$x: A \vdash u: B$$
 and $\vdash s: (1 \Vdash A)$

we get:

$$(u \mid x = (s|\emptyset))^* \quad \Vdash_{\mathsf{real}} \quad (1 \Vdash B)$$
$$((u|x = (s|\emptyset))^*, \ 1) \quad \Vdash_{\mathsf{forcing}} \quad B$$

Conclusion

Underlying methodology

Translation of formulas & proofs

 \rightarrow Program transform

Abstract machine (transform becomes identity)

- This methodology applies to the forcing translation
 - A new abstract machine : the KFAM
 - Reminiscent from well known tricks of computer architecture (protection rings, virtual memory, hardware tracing, ...)
 - Computational condition treated as a reference (forcing mode)

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Underlying methodology

Translation of formulas & proofs

 $\stackrel{\smile}{\sim}$ Program transform

Abstract machine (transform becomes identity)

- This methodology applies to the forcing translation
 - A new abstract machine: the KFAM
 - Reminiscent from well known tricks of computer architecture (protection rings, virtual memory, hardware tracing, ...)
 - Computational condition treated as a reference (forcing mode)
- How this computation model is used in particular cases of forcing?
- Use this methodology the other way around!
 - Deduce new logical translations from computation models borrowed to computer architecture, operating systems, ...

