

# The Computational Content of the Constructive Kruskal Tree Theorem

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Continuity, Computability, Constructivity -  
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## Well Quasi Orders (WQO) 1/2

- Important concept in Computer Science:
  - strenghtens well-foundedness, more stable
  - termination of rewriting (Dershowitz, RPO)
  - size-change termination, terminator (Vytiniostis, Coquand ...)
- Important concept in Mathematics:
  - Dickson's lemma, Higman's lemma
  - Higman's theorem, Kruskal's tree theorem
  - Robertson-Seymour theorem (graph minor theorem)
  - Unprovability result: Kruskal theorem not in PA (Friedman)

## Well Quasi Orders (WQO) 2/2

- for  $\leq$  a quasi order over  $X$ : reflexive & transitive binary relation
- several **classically** equivalent definitions (see e.g. JGL 2013)
  - almost full: each  $(x_i)_{i \in \mathbb{N}}$  has a *good pair* ( $x_i \leq x_j$  with  $i < j$ )
  - $\leq$  well-founded and no  $\infty$  antichain
  - finite basis:  $U = \uparrow U$  implies  $U = \uparrow F$  for some finite  $F$
  - $\{\downarrow U \mid U \subseteq X\}$  well-founded by  $\subset$
- many of these equivalences **do not hold** intuitionistically

## WQOs are stable under type constructs

- Given a WQO  $\leq$  on  $X$ , we can lift  $\leq$  to WQOs on:

**Higman lemma:**  $\text{list}(X)$  with  $\text{subword}(\leq)$

**Higman thm:**  $\text{btree}(k, X)$  with  $\text{emb\_product}(\leq)$  (any  $k \in \mathbb{N}$ )

**Kruskal theorem:**  $\text{tree}(X)$  with  $\text{emb\_homeo}(\leq)$

- These theorems are *closure properties* of the class of WQOs
- Other noticeable results:

**Dickson's lemma:**  $(\mathbb{N}^k, \leq)$  is a WQO

**Finite sequence thm:**  $\text{list}(\mathbb{N})$  WQO under  $\text{subword}(\leq)$

**Ramsey theorem:**  $\leq_1$  and  $\leq_2$  WQOs imply  $\leq_1 \times \leq_2$  WQO

## What Intuitionistic Kruskal Tree Theorem?

- The meaning of those closure theorems intuitionistically:
  - depends of what is a WQO (which definition?)
  - but not on e.g. `emb_homeo` which has an inductive definition
- What is a suitable intuitionistic definition of WQO ?
  - quasi-order does not play an important/difficult role
  - should be classically equivalent to the usual definition
  - should intuitionistically imply almost full
  - intuitionistic WQOs must be stable under liftings
- Allow the proof and use of Ramsey, Higman, Kruskal... results

## Intuitionistic formulations of WQOs 1/2

- Almost full relations (Veldman&Bezem 93)
  - each  $(x_i)_{i \in \mathbb{N}}$  has  $x_i R x_j$  with  $i < j$
  - works for Higman and Kruskal theorems (Veldman 04)
  - uses *stumps* over  $\mathbb{N}$  which require *Brouwer's thesis*
- Bar induction (Coquand&Fridlender 93)
  - **bar extends** (good  $R$ ) []
  - works for the general Higman lemma (Fridlender 97)
- Well-foundedness (Seisenberger 2003)
  - **extends**<sup>(-1)</sup> is well-founded on  $\text{Bad}(R)$
  - works for Higman lemma and Kruskal theorem
  - requires *decidability* of  $R$

## Intuitionistic formulations of WQOs 2/2

- Almost full relations (Vytiniostis&Coquand&Wahlstedt 12)
  - $\text{af}(R)$  inductively defined
  - works for Ramsey theorem
  - intuitionistically equivalent to  $\text{bar extends}$  (good  $R$ ) []
- Seisenberger's definition not equiv. to Coquand&Fridlender for undecidable  $R$
- Veldman&Bezem definition works for  $R$  over  $\mathbb{N}$  (not over arbitrary types) but requires Brouwer's thesis
- Let us introduce
  - bar inductive predicates
  - Coquand et al. inductive definition of almost full

## Bar inductive predicate, accessibility predicate

- Given  $\mathcal{T} : X \rightarrow X \rightarrow \text{Prop}$ ,  $x : X$  and  $Q : X \rightarrow \text{Prop}$
- $Q$  bars  $x$  if every  $\infty$   $\mathcal{T}$ -path from  $x$  meets  $Q$
- $x$  is accessible if every  $\infty$   $\mathcal{T}$ -path from  $x$  meets  $\_ \mapsto \text{False}$
- Inductive definitions (**Prop** or **Type**) are stronger (intui.)

$$\frac{Q\ x}{\text{bar } \mathcal{T}\ Q\ x} \quad \frac{\forall y, \mathcal{T}\ x\ y \rightarrow \text{bar } \mathcal{T}\ Q\ y}{\text{bar } \mathcal{T}\ Q\ x} \quad \Bigg| \quad \frac{\forall y, \mathcal{T}\ x\ y \rightarrow \text{acc } \mathcal{T}\ y}{\text{acc } \mathcal{T}\ x}$$

- Axioms (like Brouwer's bar thesis) for equivalence
- Obviously:  $\text{acc } \mathcal{T}\ x$  iff  $\text{bar } \mathcal{T}\ (\_ \mapsto \text{False})\ x$



## Bar inductive predicate and the FAN theorem

- inductive FAN theorem:  $\boxed{\text{bar } \mathcal{T} \ Q \ x \rightarrow \text{bar } \mathcal{T}^\circ \ \forall Q \ [x]}$ 
  - for  $\text{bar } \mathcal{T} : (X \rightarrow \text{Prop}) \rightarrow (X \rightarrow \text{Prop})$
  - and *monotonic*  $Q: \forall x \ y, \mathcal{T} \ x \ y \rightarrow Q \ x \rightarrow Q \ y$
  - $\mathcal{T}^\circ \ l \ m$  iff  $\forall y, y \in m \rightarrow \exists x, x \in l \wedge \mathcal{T} \ x \ y$  (direct image)
  - $(\forall Q) \ l$  iff  $\forall x, x \in l \rightarrow Q \ x$  (finite quantification)
- for  $\text{bar}_t \ \mathcal{T} : (X \rightarrow \text{Prop}) \rightarrow (X \rightarrow \text{Type})$ 
  - FAN is not provable in this informative case
  - the relation  $\mathcal{T}^\circ$  hides the relation between  $y$  and  $x$
  - possible solution: restrict  $\mathcal{T}^\circ$

## Bar inductive predicate and list extensions

- We use  $\text{bar } \mathcal{T} Q$  with  $\mathcal{T} = \text{extends}$  (and  $Q = \text{good } R$ )
  - $\text{extends } l m$  iff  $m = \_ :: l$
  - $\text{good } R ll$  iff  $ll = l ++ \boxed{b} :: m ++ \boxed{a} :: r$  for some  $a R b$
  - $\text{good}$  has an easy inductive definition, beware of  $\text{snoc}$  lists
  - $\text{bar}^l = \text{bar extends} : (\text{list } X \rightarrow \text{Prop}) \rightarrow (\text{list } X \rightarrow \text{Prop})$

$$\frac{Q l}{\text{bar}^l Q l} \qquad \frac{\forall x, \text{bar}^l Q (x :: l)}{\text{bar}^l Q l}$$

- $\text{bar}^l (\text{good } R) []$  iff  $\boxed{\text{iterated exts of } [] \text{ meets a good list}}$
- every infinite sequence contains a good pair (almost full)

## The Informative FAN theorem (Fridlender)

- $\text{bar}_t^l = \text{bar}_t$  extends :  $(\text{list } X \rightarrow \text{Prop}) \rightarrow (\text{list } X \rightarrow \text{Type})$

$$\frac{Q \ l}{\text{bar}_t^l \ Q \ l} \quad \frac{\forall x, \text{bar}_t^l \ Q \ (x :: l)}{\text{bar}_t^l \ Q \ l}$$

- the list of choice sequences:

$$[x_1; \dots; x_n] \in \text{list\_expo } [l_1; \dots; l_n] \iff x_1 \in l_1 \wedge \dots \wedge x_n \in l_n$$

- an informative instance of the FAN theorem ( $Q$  monotonic):

$$\text{bar}_t^l \ Q \ [] \rightarrow \text{bar}_t^l \ (\forall Q \circ \text{list\_expo}) \ []$$

- $Q$  is met uniformly among choices sequences

## Inductive bars of decidable predicates

- $\text{bar}_t$  is obviously stronger than  $\text{bar}$
- but  $\text{bar } \mathcal{T} Q l$  not enough to build  $\text{bar}_t \mathcal{T} Q l$
- however, it is sufficient when  $Q$  is decidable

$$(\forall l, \{Q l\} + \{\neg Q l\}) \rightarrow \forall l, \text{bar } \mathcal{T} Q l \rightarrow \text{bar}_t \mathcal{T} Q l$$

- if  $Q$  has a decision term then missing info. can be reconstructed
- also,  $\text{bar}_t Q x$  is equivalent to  $\text{acc } (u v \mapsto \mathcal{T} u v \wedge \neg Q u) x$
- $\text{bar}_t^l$  (good  $R$ ) and  $\text{bar}_t^l$  (good  $R$ ) equivalent when  $R$  decidable

## Well-founded trees over a type $X$

- Well-founded trees  $\mathbf{wft}(X)$ , lfp of  $\mathbf{wft}(X) = \{\star\} + X \rightarrow \mathbf{wft}(X)$

$$\frac{\star : \mathbf{unit}}{\mathbf{inl} \star : \mathbf{wft}(X)}$$

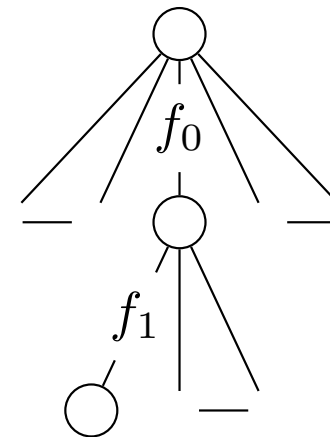
$$\frac{g : X \rightarrow \mathbf{wft}(X)}{\mathbf{inr} g : \mathbf{wft}(X)}$$

- Given a branch  $f : \mathbb{N} \rightarrow X$ , compute its height:

- $f(1 + \cdot) = x \mapsto f(1 + x)$

- $\mathbf{ht}(\mathbf{inl} \star, -) = 0$

- $\mathbf{ht}(\mathbf{inr} g, f) = 1 + \mathbf{ht}(g(f_0), f(1 + \cdot))$

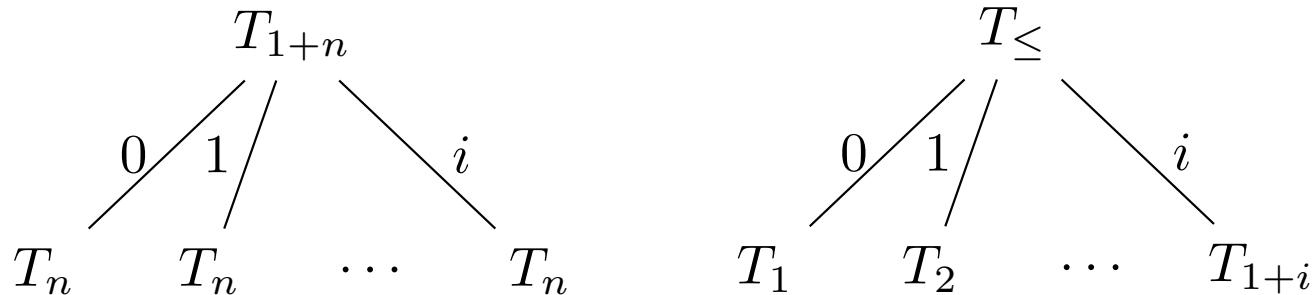


- $\mathbf{wft}(X)$  collects *bounds* for any sequence  $f : \mathbb{N} \rightarrow X$

- Veldman's stumps are sets of branches of trees in  $\mathbf{wft}(\mathbb{N})$

## A well-founded tree for $(\mathbb{N}, \leq)$

- Property:  $\forall f : \mathbb{N} \rightarrow \mathbb{N}, \exists i < j < 2 + f_0, f_i \leq f_j$
- In  $\mathbf{wft}(\mathbb{N})$ , we define  $T_n$  the tree of uniform height  $n$ :
  - $T_0 = \mathbf{inl}(\star)$  and  $T_{1+n} = \mathbf{inr}(- \mapsto T_n)$
  - for any  $f : \mathbb{N} \rightarrow \mathbb{N}$ ,  $\mathbf{ht}(T_n, f) = n$
- And  $T_{\leq} = \mathbf{inr}(n \mapsto T_{1+n})$



- Hence  $\mathbf{ht}(T_{\leq}, f) = 1 + \mathbf{ht}(T_{1+f_0}, f(1 + \cdot)) = 2 + f_0$

## Computational content of inductive bar predicates

- recall  $\text{wft}(X) : \text{Type}$  inductively defined by

$$\frac{\star : \text{unit}}{\text{inl } \star : \text{wft}(X)} \quad \frac{g : X \rightarrow \text{wft}(X)}{\text{inr } g : \text{wft}(X)}$$

- $\text{bar\_securedby } Q : \text{wft}(X) \rightarrow \text{list } X \rightarrow \text{Prop}$ 
  - $\text{bar\_securedby } Q (\text{inl } \star) l = Q l$
  - $\text{bar\_securedby } Q (\text{inr } g) l = \forall x, \text{bar\_securedby } Q (g x) (x :: l)$
- $\text{bar}_t^l Q l \iff \{t : \text{wft}(X) \mid \text{bar\_securedby } Q t l\}$
- $t : \text{wft}(X)$  is the computational content of the  $\text{bar}_t^l$  predicate

## Coquand's Almost full relations, step by step

1. Veldman et al.:  $\forall f : \mathbb{N} \rightarrow X, \exists i < j, f_i R f_j$
2. Logically eq. variant:  $\forall f : \mathbb{N} \rightarrow X, \exists n, \exists i < j < n, f_i R f_j$
3. Partially informative:  $\forall f : \mathbb{N} \rightarrow X, \{n \mid \exists i < j < n, f_i R f_j\}$
4. Variant:  $\{h : (\mathbb{N} \rightarrow X) \rightarrow \mathbb{N} \mid \forall f, \exists i < j < h(f), f_i R f_j\}$
5. Variant:  $\{t : \mathbf{wft}(X) \mid \forall f, \exists i < j < \mathbf{ht}(t, f), f_i R f_j\}$
6. Coquand et al.: is defined as an inductive predicate  $\mathbf{af}_t(R)$ 
  - the prefix of length  $\mathbf{ht}(t, f)$  of  $f : \mathbb{N} \rightarrow X$  contains a good pair
  - the *computational content* is (for every sequence  $f : \mathbb{N} \rightarrow X$ ):
    - a bound on the size of the search space for good pairs
    - and it is not a good pair



## Almost full relations, inductively

- For  $X : \text{Type}$  and  $R : X \rightarrow X \rightarrow \text{Prop}$
- Lifted relation:  $x (R \uparrow u) y = x R y \vee u R x$ 
  - in  $R \uparrow u$ , elements above  $u$  are forbidden in bad sequences
- $\text{full} : \text{rel}_2 X \rightarrow \boxed{\text{Prop}}$  and  $\text{af}_t : \text{rel}_2 X \rightarrow \boxed{\text{Type}}$

$$\frac{\forall x, y, x R y}{\text{full } R} \quad \left| \quad \frac{\text{full } R}{\text{af}_t R} \quad \frac{\forall u, \text{af}_t(R \uparrow u)}{\text{af}_t R}$$

- $\text{af\_securedby} : \text{wft}(X) \rightarrow \text{rel}_2 X \rightarrow \text{Prop}$ :
  - $\text{af\_securedby}(\text{inl } \star, R) = \text{full } R$
  - $\text{af\_securedby}(\text{inr } g, R) = \forall u, \text{af\_securedby}(g \ u, R \uparrow u)$

## Almost full relations, equivalent characterizations

- these are intuitionistically “equivalent” (hold in `Type`, not `Prop`):
  - $\text{af}_t R$
  - $\{t : \text{wft}(X) \mid \text{af\_securedby}(t, R)\}$
  - $\{t : \text{wft}(X) \mid \forall f, \exists i < j < \text{ht}(t, f), f_i R f_j\}$
  - $\text{bar}_t^l (\text{good } R) []$
  - $\{t : \text{wft}(X) \mid \text{bar\_securedby } (\text{good } R) t []\}$
  - $\{t : \text{wft}(X) \mid \forall f, \text{good } R [f_{n-1}; \dots; f_0]\}$  where  $n = \text{ht}(t, f)$
- the tree  $t : \text{wft}(X)$  might be modified
- to establish  $\text{af}_t R$  iff  $\text{bar}_t^l (\text{good } R) []$ , we prove

$$\text{af}_t(R \uparrow a_n \uparrow \dots \uparrow a_1) \text{ iff } \text{bar}_t^l (\text{good } R) [a_1, \dots, a_n]$$

## Almost full relations, some properties

- `af_t_refl`: if  $\text{af}_t R$  then  $=_X \subseteq R$  (iff in case  $X$  is finite)
- `af_t_inc`: if  $R \subseteq S$  and  $\text{af}_t R$  then  $\text{af}_t S$
- `af_t_surjective` (easy but very useful):
  - for  $f : X \rightarrow Y \rightarrow \text{Prop}$ ,  $R : \text{rel}_2 X$  and  $S : \text{rel}_2 Y$
  - if  $f$  surjective:  $\forall y, \{x \mid f x y\}$
  - if  $f$  morphism:  $f x_1 y_1$  and  $f x_2 y_2$  and  $x_1 R x_2$  imply  $y_1 S y_2$
  - then  $\text{af}_t R$  implies  $\text{af}_t S$
- Ramsey (Coquand):  $\text{af}_t R$  and  $\text{af}_t S$  imply  $\text{af}_t(R \cap S)$ 
  - he deduces  $\text{af}_t(R \times S)$  and  $\text{af}_t(R + S)$

## The Intuitionistic Ramsey Theorem (Coquand)

- By induction on the arity:  $\mathbf{af}_t R$  and  $\mathbf{af}_t S$  imply  $\mathbf{af}_t(R \cap S)$
- Curry-isomorphically:  $\mathbf{af}_t R$  and  $\mathbf{af}_t S$  imply  $\mathbf{af}_t(R \times S)$
- Dickson's lemma:  $\mathbf{af}_t (\leq_{\mathbb{N}} \times \cdots \times \leq_{\mathbb{N}})$
- Classical Ramsey (*not provable* intuitionistically):
  - for  $X : \mathbf{Type}$  infinite and  $R : X \rightarrow X \rightarrow \mathbf{Prop}$  define
  - $R_0 n m \iff n = m \vee \neg R n m$
  - $R_1 n m \iff n = m \vee R n m$
  - $\neg \mathbf{af} R_0$  implies  $\exists f : \mathbb{N} \rightarrow X$  injective and  $R f_i f_j$  for any  $i < j$
  - $\neg \mathbf{af} R_1$  implies  $\exists f : \mathbb{N} \rightarrow X$  inj. and  $\neg R f_i f_j$  for any  $i < j$
  - $\mathbf{af} R_0$  and  $\mathbf{af} R_1$  implies  $\mathbf{af}(R_0 \cap R_1)$  hence  $\mathbf{af}(=_X)$  (absurd)

## Higman lemma and the subword relation

- Given  $R : \mathbf{rel}_2 X$  over a type  $X$
- The subword relation  $<_R^w : \mathbf{rel}_2 (\mathbf{list} X)$  defined by 3 rules

$$\frac{}{[] <_R^w []} \quad \frac{l <_R^w m}{l <_R^w b :: m} \quad \frac{a R b \quad l <_R^w m}{a :: l <_R^w b :: m}$$

- also write **subword**  $R$  for  $<_R^w$
- Higman lemma (Fridlender 97, non informative version):

$$\mathbf{bar}^l (\mathbf{good} R) [] \text{ implies } \mathbf{bar}^l (\mathbf{good} (\mathbf{subword} R)) []$$

- Nearly the same proof works for  $\mathbf{bar}_t^l$  instead of  $\mathbf{bar}^l$
- But this proof cannot be generalized to finite trees...

## The product tree embedding, Higman theorem

- Do not confuse with Higman lemma
- trees with same type for all arities:  $\mathbf{tree} X = X \times \mathbf{list}(\mathbf{tree} X)$
- trees of breadth bounded by  $k \in \mathbb{N}$ :

$$\mathbf{btree} k X = \{t \mid \mathbf{tree\_fall} (\langle \_ | ll \rangle \mapsto \mathbf{length} ll < k) t\}$$

- any  $t \in T$  is  $t = \langle x | t_1, \dots, t_n \rangle$  with  $n < k$ ,  $x \in X$  and  $t_i \in T$
- for a relation  $R : \mathbf{rel}_2 X$ , we define (needs some work...)

$$\frac{s <_R^\times t_i}{s <_R^\times \langle x_n | t_1, \dots, t_n \rangle} \qquad \frac{x R y \quad s_1 <_R^\times t_1, \dots, s_n <_R^\times t_n}{\langle x | s_1, \dots, s_n \rangle <_R^\times \langle y | t_1, \dots, t_n \rangle}$$

- Higman theorem:  $\mathbf{af}_t R$  implies  $\mathbf{af}_t (<_R^\times)$  on  $\mathbf{btree} k X$

## Higman theorem, an inductive proof

- Type theoretic version of (Veldman 2004)
- $\text{tree}(X_n)_{n < k} = T$  where  $T$  is lfp of  $T = \sum_{n=0}^{k-1} X_n \times T^n$
- one type  $X_n$  for each arity  $n < k$
- any  $t \in T$  is  $t = \langle x_n | t_1, \dots, t_n \rangle$  with  $x_n \in X_n$  and  $t_i \in T$
- for arity-indexed relations  $R : \forall n < k, \text{rel}_2(X_n)$ , we define

$$\frac{s <_R^h t_i}{s <_R^h \langle x_n | t_1, \dots, t_n \rangle} \qquad \frac{x_n R_n y_n \quad s_1 <_R^h t_1, \dots, s_n <_R^h t_n}{\langle x_n | s_1, \dots, s_n \rangle <_R^h \langle y_n | t_1, \dots, t_n \rangle}$$

- Higman thm.:  $(\forall n < k, \text{af}_t R_n)$  implies  $\text{af}_t(<_R^h)$
- by lexicographic induction on  $\text{af}_t R_0 \times \dots \times \text{af}_t R_n$

## The homeomorphic embedding, Kruskal's theorem

- one type  $X$  for all arities:  $\text{tree } X = X \times \text{list}(\text{tree } X)$
- for  $R : \text{rel}_2 X$ , we define  $<_R^*$  by nested induction

$$\frac{s <_R^* t_i}{s <_R^* \langle x_n | t_1, \dots, t_n \rangle}$$

$$\frac{x_i R x_j \quad [s_1, \dots, s_i] \text{ (subword } <_R^*) [t_1, \dots, t_j]}{\langle x_i | s_1, \dots, s_i \rangle <_R^* \langle x_j | t_1, \dots, t_j \rangle}$$

- hand-written elimination scheme (nested induction)
- Kruskal theorem:  $\text{af}_t R$  implies  $\text{af}_t(<_R^*)$



## Kruskal Thm, Tree Embedding upto $k$

- $\text{tree}(X_n)_{n \in \mathbb{N}} = T$  where  $T$  is lfp of  $T = \sum_{n=0}^{\infty} X_n \times T^n$
- $k \in \mathbb{N}$  and an arity-indexed relation  $R : \forall n \in \mathbb{N}, \text{rel}_2(X_n)$
- one  $X_n$  for each arity, but  $\boxed{X_k = X_n}$  as soon as  $n \geq k$

$$\begin{array}{c}
 s <_{k,R}^u t_i \\
 \hline
 s <_{k,R}^u \langle x_n | t_1, \dots, t_n \rangle \\
 \\
 n < k \quad x_n R_n y_n \quad s_1 <_{k,R}^u t_1, \dots, s_n <_{k,R}^u t_n \\
 \hline
 \langle x_n | s_1, \dots, s_n \rangle <_{k,R}^u \langle y_n | t_1, \dots, t_n \rangle \\
 \\
 k \leq i \quad x_i R_k x_j \quad [s_1, \dots, s_i] \text{ (subword } <_{k,R}^u \text{)} [t_1, \dots, t_j] \\
 \hline
 \langle x_i | s_1, \dots, s_i \rangle <_{k,R}^u \langle x_j | t_1, \dots, t_j \rangle
 \end{array}$$

## Kruskal's Tree Theorem, inductive proof

- The recursive statement looks like:

if  $\mathbf{af}_t R_0$  and  $\dots$  and  $\mathbf{af}_t R_k$  then  $\mathbf{af}_t(\langle_{k,R}^u)$

- The proof sketch (typed version of Veldman 2004)
  - by induction on lexicographic product  $\mathbf{af}_t R_0 \times \dots \times \mathbf{af}_t R_k$
  - it is difficult to implement this lexicographic product
  - it is even more difficult with  $\mathbf{af}$  instead of  $\mathbf{af}_t$
  - Veldman needs Brouwer's thesis, but we avoid it
- Kruskal's Tree Theorem:  $\mathbf{af}_t R$  implies  $\mathbf{af}_t(\langle_R^*)$ 
  - use  $\langle_{k,R}^u$  as a lower approximation for  $\langle_R^*$
  - $\langle_{0,R}^u \subseteq \langle_R^*$  in the case where  $n \mapsto R_n$  is constant

## Conclusion

- Computational content of  $\mathbf{af}_t$  or  $\mathbf{bar}_t^l$  (good  $R$ ) []
  - a collection of bounds on search-space for good pairs
  - stored in a well-founded tree
- Computational content of theorems:
  - Ramsey thm, Higman's lemma and thm, Kruskal's thm
  - are bound transformation algorithms
- The Coq code: <http://www.loria.fr/~larchey/Kruskal>
  - Free software, available, around 30 000 lines of code
  - Higman's lemma alone below 1000 lines
  - Kruskal's proof complete (both  $\mathbf{af}$  and  $\mathbf{af}_t$ )
  - but the code can and is still being improved