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Adrian Rezuş

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EDITION: ADRIAN REZUŞ (ed.)

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Typeset by Romanian TeX \odot 1994–2001 Adrian Rezuş printed in the netherlands – December 26, 2004



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Adrian Rezuş Beyond BHK

HENK BARENDREGT, MARC BEZEM & JAN WILLEM KLOP (eds.) Dirk van Dalen Festschrift

Qaestiones infinitae V Utrecht University 1993



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Beyond BHK⁰

0. Introduction. On a misleading tradition. Traditionally, the "language" of the firstorder classical logic has means of referring to "individuals" in some domain (so-called univers du discours) and means of expressing "facts" (or "propositions") about them. The proofs themselves are handled in a non-objectual way. In particular, they are not codified syntactically. Some other kind of representation is implicitly involved in the so-called "proof theory". Usually, the latter makes appeal to the eye (as opposed to the mind!), rendering any theoretical approach to logic debatable.¹ This policy, justified, now and then, by an essentially empiricist metaphysics of vision [paradigmatically: Wittgenstein, but also the early Kreisel] is common in the post-Fregean logic tradition. Among other things, it forbids subjects like "proof-semantics for classical logic", for instance. On the same basis, it does not make too much sense to

¹As understood here, logic is a *theory about proofs*, codifying, basically, our intuitions on *inference* and *generality*.

⁰ "Extended abstract". A reprint from: HENK BARENDREGT, MARC BEZEM & JAN WILLEM KLOP (eds.) **Dirk van Dalen Festschrift**, Utrecht 1993, pp. 114–120 [*Quaestiones Infinitae V – Publications of the Department of Philosophy, Utrecht University*] The full paper ["monograph"] is [likely] published elsewhere. Besides the obvious historical debts in matters of concern below, the author is, directly or indirectly, indebted to several persons, among whom (in, more or less, a *subjective* historical order): Corrado Böhm, Ernst Engeler, Dag Prawitz, Nuel D. Belnap Jr., Roger J. Hindley, Jon [= Jonathan P.] Seldin, Anne S. Troelstra, Henk [= Hendrik Pieter] Barendregt, Dirk van Dalen, David Meredith, Alonzo Church, Jeff [= Jeffrey] Zucker, Dick [= Nicolaas G.] de Bruijn, Bert [= L. S.] van Benthem Jutting, Diederik [= D. T.] van Daalen, Rob [= R. L.] Nederpelt, Peter [= P. A G.] Aczel, Per Martin-Löf, Martin [= Marteen] Bunder, Bob [= Robert K.] Meyer, Matthias Felleisen, and – [very] last[ly], but not least – Jean-Yves Girard.



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look for *theoretical criteria of proof-identity*, beyond obvious isomorphisms that can be established on "proof-figures", "proof-trees" or some other *ad hoc* organization of the visual representation space.

The [Frege]-Hilbert-Gentzen proof-theoretic tradition is, in fact, almost exclusively concerned with *provability*.² As useful as it might have been on a pure epistemological level (as opposing various metaphysical, psychological, or linguistic views on the "nature of proving", for instance), the "positive" investigation of the combinatorial properties of formula-configurations and the resulting discipline (the "metamathematics", as understood in the Hilbert school) remained parochial enterprises: *proof-structures* and *proof-properties* were thereby ignored programatically.³

There is room for a *mathematically specific* way of thinking about proofs, however, going beyond the elementary tree-mathematics. We are – surprisingly, indeed – able

²This is a property of *formulas* (or, if one prefers, one of *propositions*), not a *proof-property*. Needless to say that model-theorists have been significantly more successful, so far, in extracting mathematically specific information on this matter.

³For the historian, the picture is somewhat more complex, since, as early as in 1904 [at the Third Int. Math. Congress], building upon his previous experience in axiomatics [for geometry], Hilbert can be seen to adopt, methodologically, an *amalgamating standpoint* in metamathematical research, advocating explicitly the need for a "*partially simultaneous development of the laws of logic and arithmetic*" [read: "analysis"]. As a side-effect, the new discipline comes to be confused, from the very beginning, about [the nature of] *logic* and/or its *specifics*, as contrasted with bare "mathematical" topics. (Although the factual pre-history of the so-called "Hilbert program" has been studied recently in detail [cf. Volker Peckhaus: Ph D Diss., Erlangen-Nürenberg 1990], the wide implications of this "completely new aspect" of Hilbert's thought – as Paul Bernays used still to think of it, in the early thirties – for the contemporary logic and proof-theory deserved little attention so far.)



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The notes summarized here are meant to suggest a possible way of revising the traditional $[= \text{post-}\{\text{Frege, Hilbert, Gentzen}\}]$ picture of the facts.⁴

1. Categories of objects. Logics as equational proof-theories. Beside individual terms and formulas, we construct first-order formal systems ("languages") with an additional "syntactic" category: the proof-terms. The intended meaning of a proof-formalism is given by the propositions-as-types isomorphism [H. B. Curry, C. A. Meredith,

⁴The somewhat older idea of a "general proof-theory" [D. Prawitz] won't perfectly cover the outcome, because the enterprise is - prima facie, at least - not a philosophical one. Actually, in recent times, some philosophers used to discuss closely related matters under the somewhat misleading rubric "meaning theory (for the logical operations)", thought of as a part of the *philosophy of language*. Still, the "linguistic" import of these topics is rather minimal, and Brouwer was right, in a sense, to fight against and discard this old – bi-millenial, in fact – illusion. Since, in view of the Hilbert tradition, the term "proof theory" ["reductive" sense] looks rather compromised by now (pace Kreisel), this area of investigation – making up, in a sense, "the core of logic", qua mathematical theory of proofs – appears to be in need for a right label. Our obvious *ideological* debts go back to L. E. J. Brouwer, A. Heyting and A. N. Kolmogorov (whence "BHK"). Technically, we improve on the pioneering work of Dag Prawitz [Ph D Diss., University of Stockholm 1965], exploiting also – among other things – deep intuitions of V. I. Glivenko (1928-1929) on the nature of proving in classical logic [sic] (whence, somehow, "beyond"). The "elementary" part of the discussion – as seen from the point of view of the worker in (typed) λ -calculus – appears in a forthcoming monograph of the author, on the equational theory of classical proofs. A larger body of facts (to be catalogued under the "right label" we are still looking for) will be surveyed next.



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H. Läuchli, D. S. Scott, W. A. Howard, etc.]: the propositions are the "types" of proofs (*proof-classifiers*).

A category of objects is (analogous to) a constructive set (à la Errett W. Bishop or Per Martin-Löf). In intuitionistic/constructive mathematics, the proofs (traditionally: "derivations") make up a category of *abstract* objects. In this sense, understanding proofs would require

- 1° (generic) means to refer to arbitrary objects of the category (proof-variables, proof-terms) and
- 2° *identity-criteria* for these objects.

The proofs of a first-order logic L (containing the so-called "positive" implication) can be described *via* an equational theory $\lambda(L)$, viz. a typed [= "stratified"] λ -calculus, extending the ordinary typed λ -calculus λ^{τ} . So far, this procedure has been known to apply only to the first-order intuitionistic logic **HQ** and some derivatives, as obtained by adding, e.g., [propositional] quantifiers to the propositional fragment of **HQ** or higher-order classifiers ("universes"). As applied to **HQ**, this is the essence of the so-called "**BHK**"-interpretation ["**B**rouwer-**H**eyting-**K**olmogorov"] of the intuitionistic proof-operations [cf., e.g., A. S. Troelstra & D. van Dalen **Constructivism in Mathematics**, Amsterdam 1988]. We can extend this technique "beyond **BHK**", to classical first-order logic **CQ**, modal logics contained in Lewis' [first-order] **S5**, various intensional logics sharing genuinely classical [= "non-intuitionistic"] features, etc. [see footnote 4, above].



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2. Which proofs are "reliable" within the classical proof-world? Here, we examine the equational proof-theory of the first-order intuitionistic logic ["the Heyting calculus"] as a subsystem of classical proofs.

In other words, we ask rather, in "positive" terms: what is a "reliable" proof [for Brouwer and Heyting, Dutch: betrouwbaar], within the classical proof-world? Obviously, the extant (classical, non-intuitionistic, post-Gentzen) tradition in proof-theory (Beweistheorie) has no means to answer this type of question. (In fact, the question cannot be even formulated properly.)

For an intuitionist, a *proof* is an (abstract) *object* (of thought), occurring naturally in the current (mathematical) practice, as a result of a *systematic reflection* on this practice. As expected, intuitionistically, a *proof-theory* is a piece of (intuitionistic) mathematics.

Putting aside the reputedly obscure ideological talk on "reliable" [read: "intuitionistic"] proofs as "constructions" in Brouwer, this view can be, *mutatis mutandis*, accommodated to the full proof-realm [of classical logic]: we can take it, indeed, as a *methodological guide* in the reconstruction of [classical] logic [= proof-theory, in some sense] as such.

3. [Classical] reductio ad absurdum as an abstraction operator. For the firstorder classical logic CQ or its extensions, the required additions – to some background knowledge of typed λ -calculus – presuppose the fact that [1°] we are able to define, e.g., a proof-operator [an abstractor, say, i.e., a proof-variable binding mechanism], recording the genuinely Boolean uses of reductio ad absurdum and that [2°] we can describe its equational behavior. (There is a combinatory alternative to this, less transparent, however.)

This operator points out to a new abstraction operation (here: the γ -abstraction): intuitively, it allows to conclude "positively" to the fact that a proposition expressed by a formula A has a proof $[\gamma x: \neg A.e[x]]$, say] from the fact that a proof [e[x]] of a contradiction \bot [= falsum, absurdum] has been obtained from the ["negative"] assumption that there is an arbitrary proof [x] of $\neg A$. (Everywhere here, negation \neg is supposed to be understood inferentially $[\neg A \equiv_{df} A \rightarrow \bot]$.)

The general concept disclosed is that of a [typed] $\lambda\gamma$ -theory [= Post-consistent extension of λ^{τ}]. In particular, the proof-theory of the first-order classical logic **CQ** can be formulated as a typed λ -calculus λ (**CQ**).

We build on a typed λ -calculus $\lambda \pi$!, which is familiar from the Automath literature and Martin-Löf's type-theory: beside the usual typed abstractions and applications, $\lambda \pi$! has type-products [represented by conjunctions] with an extensional pairing ["surjective pairing"] and is augmented by first-order abstractors and applications associated to first-order products of families of types [represented by universal quantifications]. In fact, $\lambda \pi$! is, more or less, the "pure" part of an Automath-system, proposed by Jeffrey Zucker in 1975. Proof-theoretically, it describes also the proof-behavior of the $[\perp, \rightarrow, \wedge, \forall]$ -fragment of Johansson's Minimalkalkül. The (typed) calculus $\lambda \pi$! is known to be Post-consistent [qua equational theory].

4. $\lambda \gamma_{(0,\&)} \mathbf{CQ}$: the ["actualistic"] proof-theory of first-order classical logic. The most economical formulation for a $\lambda(\mathbf{CQ})$ -theory is likely a calculus $\lambda \gamma_0 \mathbf{CQ}$, which extends properly $\lambda \pi$!, by primitive γ -abstractions $\gamma x: \neg A.e[[x]]$, where A is atomic ("prime"), subjected to the obvious proof-term stratification rule:

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 $(\rightarrow i\gamma)$: $\Gamma[\mathbf{x}:\neg \mathbf{A}] \vdash \mathbf{e}[\![\mathbf{x}]\!] : \bot \Rightarrow \Gamma \vdash \gamma \mathbf{x}:\neg \mathbf{A}.\mathbf{e}[\![\mathbf{x}]\!] : \mathbf{A},$

for any assumption-set Γ , and – ignoring γ -congruence – only two equational postulates, stating, resp.

 $[\eta \rightarrow \gamma]$: γ -extensionality, i.e., unicity of the γ -behavior relative to the usual typed applications [= uses of modus ponens], [formally, assuming stratifiability on both sides, one has a reversal of the usual η -rule:

 $\gamma x: \neg A.x(f) = f$, provided f does not depend on x], and

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 $[\oint \gamma]$: γ -diagonalization, allowing to eliminate specific uses of *reductio ad absurdum* occurring within the scope of ["inside"] a proof by *reductio* "of the same type", so to speak. [Assumming stratifiability on both sides, this reads, formally:

 $\gamma \mathbf{x}{:}\neg \mathbf{A}{.}\mathbf{f}[\![\mathbf{x}]\!](\mathbf{x}(\gamma \mathbf{y}{:}\neg \mathbf{A}{.}\mathbf{e}[\![\mathbf{x}{.}\mathbf{y}]\!])) = \gamma \mathbf{z}{:}\neg \mathbf{A}{.}\mathbf{f}[\![\mathbf{z}]\!](\mathbf{e}[\![\mathbf{z}{.}\mathbf{z}]\!]),$

where the proof-term e[[z,z]] is obtained from e[[x,y]] by identifying the displayed proofvariables $[x \equiv y \equiv z]$. Intuitively, a proof represented by a proof-term of the form

$$\gamma x{:}\neg A.f[\![x]\!](x(\gamma y{:}\neg A.e[\![x,y]\!]))$$

has, indeed, the character of a slightly sophisticated "proof-détour", since γ plays, classicaly, the rôle of an "introduction" rule, rather than that of an "elimination". However, the "*int*roduction-*elim*ination" dichotomy applies properly only to *Mini-malkalkül*-like systems of rules/proof-operators.]

Note that A is supposed to be "prime", in both $[\eta \to \gamma]$ and $[\oint \gamma]$.⁵

⁵For readers familiar with the proof-system of the Heyting first-order logic, the γ -diagonalization postulate must be also reminiscent of the Heyting "commuting conversions". Indeed, the "selectors"



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The "complex" uses of *reductio* [γ -abstractions $\gamma x: \neg A.e[[x]]$, where $A \equiv \bot$ or a complex formula] can be then introduced by an *inductive definition*.

The full theory $\lambda \gamma_{\&} \mathbf{CQ}$, obtained by using arbitrary typed γ -terms as primitives, and by replacing the inductive conditions $([\gamma \bot], [\gamma \to], [\gamma \land], [\gamma \forall])$ by obvious postulates is (stratification resp. equationally) equivalent to $\lambda \gamma_0 \mathbf{CQ}$.⁶

We can show $\mathbf{Cons}(\lambda\gamma_0\mathbf{CQ})$, i.e., Post-consistency for $\lambda\gamma_0\mathbf{CQ}$ [= proof consistency for first-order classical logic], by extending the kernel of the "negative" translation of V. I. Glivenko [Acad. Royale de Belgique, Bull. Cl. Sci. (5) 15, 1928, pp. 225–228] to the proof(-term)s of $\lambda\gamma_0\mathbf{CQ}$. The outcome is an *effective* (1–1) *translation* from $\lambda\gamma_0\mathbf{CQ}$ to its γ -free fragment $\lambda\pi$!, known to be Post-consistent.⁷ In particular, the procedure – described on half a page – is also *admissible* intuitionistically: it supplies a "dictionary" for proof-operations that do not make sense, in general, in the intuitionist practice.

What is not intelligible intuitionistically is just the intuitive interpretation of the abstract γ -operations as logical proof-operations: indeed, the abstraction operator corresponding, classically, to reductio ad absurdum has only local – "finitary", so to speak – meaning in terms of **HQ**-proofs. Technically, for each $[\bot, \rightarrow, \land, \lor, \forall, \exists]$ -formula A and any proof f such that f proves intuitionistically $\neg A \lor A$, there is an abstraction

associated to the intuitionistic \lor and \exists are analogous to appropriate uses of γ . In general, the Heyting proof-calculus would allow only "cancelling" γ -abstractions, of the form $\omega_A(e) \equiv_{df} \gamma x: \neg A.e$, where $e : \bot$ does *not* "depend on" the assumption [x: $\neg A$], so that this structural analogy is useful only in a genuinely Boolean setting.

⁶The "recursive eliminability" of γ was, in fact, known to Dag Prawitz (1965), although not in type-theoretic – or $\lambda\gamma$ -calculus – form. This does not depend on γ -diagonalization, by the way.

⁷The result can be also obtained by a *type-free* argument.



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operation γ_f , depending on f, which can be shown to share relevant properties with the "global" γ -abstractor. Beyond the – intuitionistically – recognizable "local" / "finitary" information, the classical γ -abstractor attempts to supply "global" information about proofs, acting, qua information-processing agent, like a highly predictable – although intuitionistically "unreliable" – oracle.

The calculus $\lambda \gamma_{\&} \mathbf{CQ}$ has $[\lor, \exists]$ -"type-constructors" defined via the usual Ockham/De Morgan transformations $[A \lor B \equiv_{df} \neg(\neg A \land \neg B)$, with \exists "generalizing" \lor , as expected]. These definitions admit of associated "negative" proof-operators (Boolean "injections" and Boolean "selectors"), with an appropriate extensional behavior. The latter appear to be more general than the Johansson-Heyting "injections" and "selectors", familiar from the literature on constructive type theories.

5. The [full] Heyting calculus is a proper fragment of $\lambda \gamma_{\&} \mathbf{CQ}$. The bulk of the work is devoted to the derivation of the stratification and equational behavior of the Minimalkalkül resp. Heyting proof-operators associated to $[\perp, \lor, \exists]$ in terms of the "negative" Boolean analogues. The full Heyting first-order proof-calculus $\lambda \mathbf{HQ}$, with " \perp -conversions" [ex-falso-rules, here ω -rules] and so-called "commuting conversions" is shown, finally, to admit of a definitional embedding into the classical theory $\lambda \gamma_{\&} \mathbf{CQ}$.

The simulation of the intuitionistic proof-operations in terms of $\lambda \gamma_{\&} CQ$ proof-operations is an *effective translation*. This yields $Cons(\lambda HQ)$, too.

Ultimately, we obtain an effective translation of $\lambda \mathbf{HQ}$ into $\lambda \pi$!, i.e., into a *proper* fragment of it, known to be consistent by intuitionistically acceptable means.

In fact, $\lambda \pi$! and λ^{τ} can be shown to be *equi-consistent* by simple translations, so that **Cons**(λ **HQ**) amounts to **Cons**(λ^{τ}), i.e., the problem is reduced to a question



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about the ordinary typed λ -calculus.⁸ Existing alternatives of showing $\mathbf{Cons}(\lambda \mathbf{HQ})$ recommend either a *confluence* argument or a *model-theoretic* approach. The former involves hundreds of separate cases to check, whereas the latter has meager chances of becoming intuitionistically intelligible.

On the intuitive level, $\lambda \gamma_{\&} \mathbf{CQ}$ appears, in fact, as a kind of "asymptotic" extension of the first-order Heyting proof-calculus $\lambda \mathbf{HQ}$, and corresponds – more or less – to an "actualistic" interpretation of the classical logic proof-operations [where "actualistic" = Gentzen's "an sich" in, e.g., **Math. Annalen 112**, 1936].

6. The logic of "complete refutability". In analogy with λHQ , one can isolate – within $\lambda \gamma_{\&} CQ$ – the equational proof-theory of the first-order logic of "complete refutability" DQ, also known as a "logic of strict negation" [= Curry's logic LD, in JSL 17, 1952, pp. 35–42]. The interest in DQ is in the fact that its inferential $[\perp, \rightarrow]$ part is, in a sense, "non-Brouwerian" and – inside CQ – complementary to the inferential part of HQ. Indeed, DQ and HQ disagree mainly on negation: DQ allows "the Law of Clavius" [consequentia mirabilis: $\neg A \rightarrow A \rightarrow A$], which is, clearly, not HQ-derivable,

⁸Note that $\mathbf{Cons}(\lambda \mathbf{HQ})$ is not implied by the corresponding result for Martin-Löf's (1984) constructive type theory. Actually, the Heyting calculus is not contained equationally in any one of Martin-Löf's type theories, because of the " \perp -conversions" and the "commuting conversions", which are absent from the latter systems, even if higher order classifiers [= "universes"] and corresponding closure conditions are assumed. Equationally, indeed, Martin-Löf's type systems are just higher-order variations on the *Minimalkalkül*; this corresponds, in fact, to the *intended meaning* of these formalizations, viz. that of capturing – at a formal level – Bishop's point of view [**BCM**], not Brouwer's [**BI**].



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and discards as incorrect ("non-strict") the intuitionistically unobjectionable *ex falso* quodlibet $[\perp \rightarrow A]$.

On a proof-level, behind the "Rule of Clavius" $\neg A \models A \Rightarrow \models A$, there is a *specific* inferential proof-operation [i.e., an abstraction operator] ε , say, which is definable classically, in $\lambda \gamma_{\&} \mathbf{CQ}$, by $\varepsilon \mathbf{x}: \neg A.a[x] \equiv_{df} \gamma \mathbf{x}: \neg A.x(a[x]])$. So, the type-theoretic variant of this – strange, old – proof-pattern [cf. Euclid **Elementa** IX.12, Christoph Klau (= Clavius) **Opera mathematica I**, Mayence 1611, *ad locum*, etc.] is:

$$\Gamma[\mathbf{x}:\neg \mathbf{A}] \vdash \mathbf{a}[\![\mathbf{x}]\!] : \mathbf{A} \Rightarrow \Gamma \vdash \varepsilon \mathbf{x}:\neg \mathbf{A}.\mathbf{a}[\![\mathbf{x}]\!] : \mathbf{A}.$$

Now, the ω 's mentioned above [that is: the uses of *ex falso quodlibet*: $\omega_A(e) \equiv \gamma x: \neg A.e$, with x not free in e], and the "Clavian" abstractions ε are "complementary" within/inside $\lambda \gamma_{\&} CQ$, in the sense that they can be put together, in order to make up [the effect of] a use of *reductio ad absurdum* [γ]. On a provability level, this is well-known. Formally, one can define, in $\lambda \gamma_{\&} CQ$,

$$\gamma^{\circ} \mathbf{x} : \neg \mathbf{A} . \mathbf{e} \llbracket \mathbf{x} \rrbracket \equiv_{df} \varepsilon \mathbf{x} : \neg \mathbf{A} . \omega_{\mathbf{A}} (\mathbf{e} \llbracket \mathbf{x} \rrbracket),$$

on a proof-(term)-level, and, in view of (a special case of) $[\oint \gamma]$, $\lambda \gamma_{\&} \mathbf{CQ}$ is able to identify the new γ° -abstraction with the old one. This can be generalized to a hierarchy of triples $[\gamma^{[n]}, \varepsilon^{[n]}, \omega^{[n]}]$, $(n \ge 0)$, that are collapsed back to $[\gamma, \varepsilon, \omega]$ by γ -diagonalization. Without $[\oint \gamma]$ or with assumptions weaker than $[\oint \gamma]$, one can distinguish a hierarchy of subsystems of $\lambda \gamma_{\&} \mathbf{CQ}$, that "prove the same theorems" [i.e., share the same *stratification criteria* for proof-terms], but are still equationally distinct (using different *identity-criteria*).

The addition of the ε -abstraction to the ordinary typed λ -calculus λ^{τ} yields the proof-theory of the inferential $[\perp, \rightarrow]$ part of **DQ**. The "positive" $[\rightarrow, \land, \forall]$ part of **DQ** is like in **CQ** and in *Minimalkalkül*, whereas the "negative" $[\lor, \exists]$ -proof-operators of



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DQ are slight generalizations of their *Minimalkalkül* and intuitionistic analogues. In the end, one can reconstruct proof-theoretically **DQ** as a typed λ -calculus, λ **DQ** say, that can be embedded into $\lambda \gamma_{\&}$ **CQ**, as in the case of the Heyting proof-calculus. A complete description of λ **DQ** is tedious (although it has no " \perp -conversions" - since it has no ω 's - it requires more "commuting conversions" than **HQ**): we give only the information that has been estimated useful in view of retrieving the basic ingredients.

7. Post-completeness? Internal evidence (as, e.g., among other things, the fact that $\lambda \gamma_{\&} \mathbf{CQ}$ is complete relative to the Heyting calculus, that it collapses many distinctions, like those among $[\gamma, \varepsilon, \omega]$ -triples, etc.) suggests the conjecture that $\lambda \gamma_{\&} \mathbf{CQ}$ is also Post-complete. That is: if $\mathbf{CQ} \models \mathbf{A}$ one cannot add a new closed equation $\mathbf{a}_1 = \mathbf{a}_2$, where \mathbf{a}_1 , \mathbf{a}_2 are proofs of A, without loosing [Post-] consistency for the resulting extension. This is a typed analogue of a situation obtaining for the extensional type-free λ -calculus, where we cannot identify consistently two arbitrary normal forms [Corrado Böhm **Pubbl. IAC** (Rome) **696**, 1968]. Here, the normal[izabi]lity requirement is already insured by stratifiability.⁹

⁹In an *appendix*, we pay attention to *assorted topics*, somewhat loosely related to the main theme: the Gentzen *L*-systems, the concept of a proof-transformation for \mathbf{CQ} , and the "double negation" interpretations of \mathbf{CQ} into \mathbf{HQ} , along the Kolmogorov (1925) translation-pattern.



