

Formalizing reachability, viability and avoidability in the context of sequential decision problems

Nicola Botta

Outline

- ▶ Why formalizing what?
- ▶ Minimal goals
- ▶ Sequential decision problems
- ▶ Reachability, viability and avoidability
- ▶ Decision procedures

Why formalizing what?

- ▶ *International emissions trading: Good or bad?*, Holtsmark & Sommervoll, 2012: “[...] we find that an agreement with international emissions trading leads to increased emissions and reduced efficiency.”
- ▶ *The case for international emission trade in the absence of cooperative climate policy*, Carbone et al., 2009: “[...] we find that emission trade agreements can be effective [...]”

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- ▶ *Confronting Climate Change: **Avoiding the Unmanageable and Managing the Unavoidable***, P. Raven, R. Bierbaum, J. Holdren, UN-Sigma Xi Climate Change Report, 2007.

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Some notion of avoidability is implicit in the WG3_IPCC_AR5_2014 definitions of

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But what does it mean (for atmospheric GHG concentrations) to be *avoidable*?

Why formalizing what?



“Die Rolle der Klimaforschung bleibt weiterhin, die Problemfakten auf den Tisch zu knallen und Optionen für geeignete Lösungswege zu identifizieren.”

H.-J. Schellnhuber in *Frankfurter Allgemeine* from 2012-06-19

Why formalizing what?

But how can we produce “hard facts” if the notions used to phrase specific, concrete problems are ambiguous, devoid of precise, well established, meanings?

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Further questions, goals

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- ▶ Explain under which conditions is it *decidable* whether future states are avoidable [reachable, viable, ...] or not

Further questions, goals

- ▶ Can one exploit decidability to derive useful avoidability (levity?) measures?

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- ▶ Explain under which conditions is it *decidable* whether future states are avoidable [reachable, viable, ...] or not

Further questions, goals

- ▶ Can one exploit decidability to derive useful avoidability (levity?) measures?
- ▶ Can one refine decidable notions of viability, avoidability to derive operational notions (measures?) of sustainability, adaptability, resilience?

Sequential decision problems (intuition)

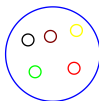
Sequential decision problems (intuition)



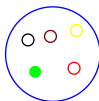
You are here. . .



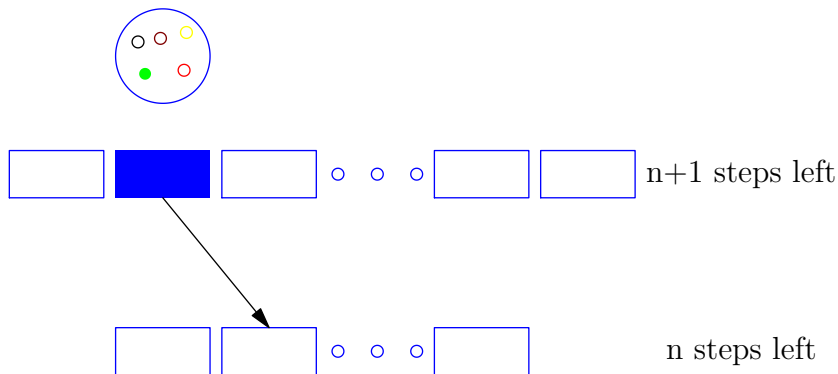
These are your options. . .



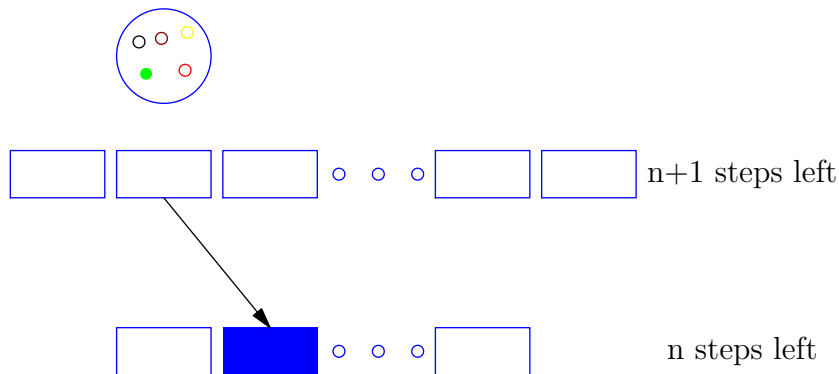
Pick one!



Advance one step...



... collect rewards ...



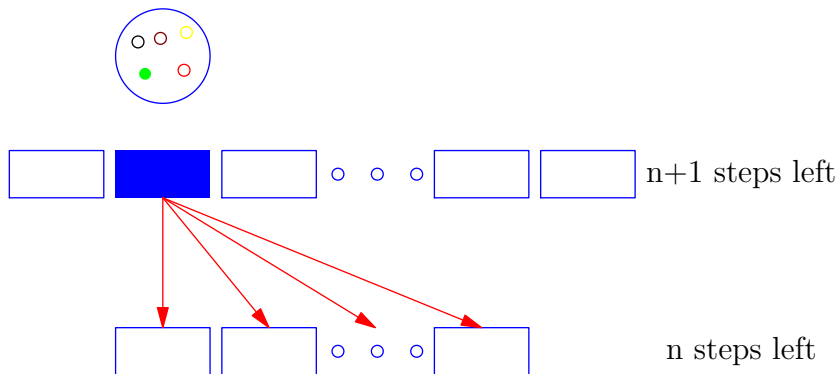
... and go!



n steps left

General sequential decision problems (intuition)

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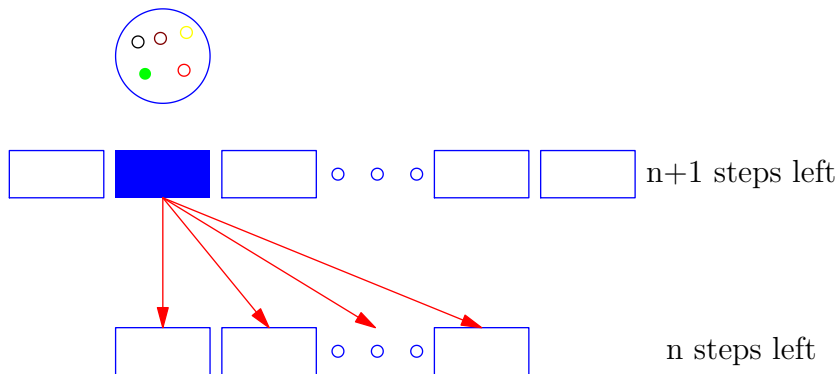


Sequential decision problems (notation)

Idris	Logic
$A : \text{Type}$	A is a set
$a : A$	$a \in A$
$P : \text{Type}$	P is a predicate
$p : P$	p is a proof of P
FALSE (empty type)	False
non-empty type	True
$P \rightarrow Q$	P implies Q
$(a : A ** P a)$	there exists an $a \in A$ such that $P a$ holds
$(a : A) \rightarrow P a$	forall $a \in A$, $P a$ holds

Figure: Curry-Howard correspondence relating Idris and logic.

Sequential decision problems (basic ideas)



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A transition function

$$\text{step} : (t : \mathbb{N}) \rightarrow (x : X\ t) \rightarrow (y : Y\ t\ x) \rightarrow M\ (X\ (S\ t))$$

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What about rewards? What are M and S ?

Sequential decision problems (uncertainties)

$S\ t$ is just the successor of t :

```
data  $\mathbb{N}$  : Type where
```

```
   $Z$  :  $\mathbb{N}$ 
```

```
   $S$  :  $\mathbb{N} \rightarrow \mathbb{N}$ 
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Sequential decision problems (uncertainties)

$S\ t$ is just the successor of t :

data $\mathbb{N} : Type$ **where**

$Z : \mathbb{N}$

$S : \mathbb{N} \rightarrow \mathbb{N}$

$M : Type \rightarrow Type$ represents the uncertainties of the problem:

- ▶ deterministic problems: $M = Id$
- ▶ non-deterministic problems: $M = List$
- ▶ stochastic problems: $M = Prob$

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- ▶ deterministic problems: $M = \textit{Id}$
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- ▶ stochastic problems: $M = \textit{Prob}$

```
data Prob : Type  $\rightarrow$  Type where
  mkProb : (as : Vect  $n$  a)  $\rightarrow$  (ps : Vect  $n$  Float)  $\rightarrow$ 
    sum ps = 1.0  $\rightarrow$  Prob a
```

Sequential decision problems (container monad)

Formally, M is a container monad, that is M is a monad:

$$\text{fmap} : (a \rightarrow b) \rightarrow M a \rightarrow M b$$

$$\text{ret} : a \rightarrow M a$$

$$\text{bind} : M a \rightarrow (a \rightarrow M b) \rightarrow M b$$

$$\text{join} : M (M a) \rightarrow M a$$

$$\text{functorSpec1} : \text{fmap} \circ \text{id} = \text{id}$$

$$\text{functorSpec2} : \text{fmap} (f \circ g) = (\text{fmap } f) \circ (\text{fmap } g)$$

$$\text{monadSpec1} : (\text{fmap } f) \circ \text{ret} = \text{ret} \circ f$$

$$\text{monadSpec2} : \text{bind} (\text{ret } a) f = f a$$

$$\text{monadSpec3} : \text{bind } ma \text{ ret} = ma$$

$$\text{monadSpec4} : \{f : a \rightarrow M b\} \rightarrow \{g : b \rightarrow M c\} \rightarrow \\ \text{bind} (\text{bind } ma f) g = \text{bind } ma (\lambda x \Rightarrow \text{bind} (f x) g)$$

$$\text{monadSpec5} : \text{join } mma = \text{bind } mma \text{ id}$$

Sequential decision problems (container monad)

and M is a container:

$$Elem : a \rightarrow M\ a \rightarrow Type$$
$$All : (a \rightarrow Type) \rightarrow M\ a \rightarrow Type$$
$$containerSpec1 : a \text{ 'Elem' } (ret\ a)$$
$$containerSpec2 : a \text{ 'Elem' } ma \rightarrow ma \text{ 'Elem' } mma \rightarrow a \text{ 'Elem' } (join\ mma)$$
$$containerSpec3 : All\ p\ ma \rightarrow a \text{ 'Elem' } ma \rightarrow p\ a$$

Sequential decision problems (basic ideas)

Thus, a concrete sequential decision problem is defined (up to the rewards) in terms of 4 entities: X , Y , M and $step$

$$X : (t : \mathbb{N}) \rightarrow Type$$

$$Y : (t : \mathbb{N}) \rightarrow (x : X\ t) \rightarrow Type$$

$$step : (t : \mathbb{N}) \rightarrow (x : X\ t) \rightarrow (y : Y\ t\ x) \rightarrow M\ (X\ (S\ t))$$

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We formalize reachability, viability and avoidability in terms of these notions

Reachability and viability (intuition)

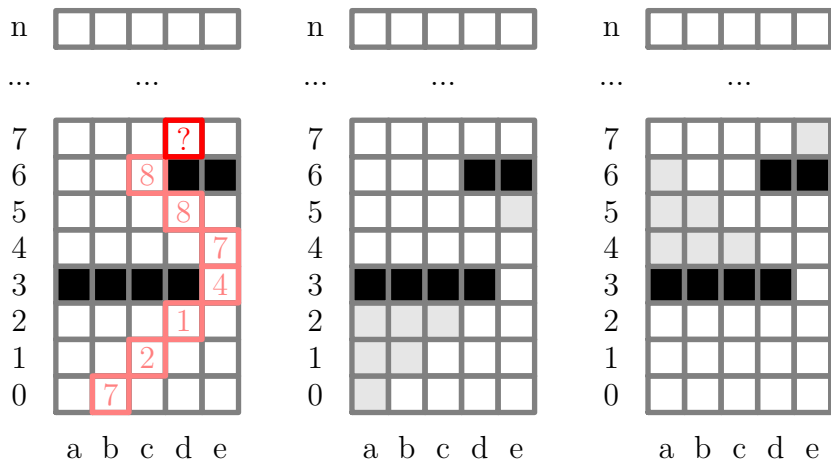


Figure: Possible evolution starting from b (left), states with limited viability (middle) and unreachable states (right).

Predecessor relation, reachability and viability

The (possible) predecessor relation:

$$Pred : X \times t \rightarrow X \times (S \times t) \rightarrow Type$$

$$Pred \{ t \} \times x \times x' = (y : Y \times t \times x \times x' \times 'Elem' (step \ t \ x \ y))$$

Predecessor relation, reachability and viability

The (possible) predecessor relation:

$$Pred : X \ t \rightarrow X \ (S \ t) \rightarrow Type$$

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reachability

$$Reachable : X \ t' \rightarrow Type$$

$$Reachable \ \{t' = Z\} \ x' = Unit$$

$$Reachable \ \{t' = S \ t\} \ x' = (x : X \ t \ ** \ (Reachable \ x, x \ 'Pred' \ x'))$$

Predecessor relation, reachability and viability

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reachability

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$$Reachable\ \{t' = Z\}\ x' = Unit$$

$$Reachable\ \{t' = S\ t\}\ x' = (x : X\ t\ **\ (Reachable\ x,\ x'\ 'Pred'\ x'))$$

and viability

$$Viable : (n : \mathbb{N}) \rightarrow X\ t \rightarrow Type$$

$$Viable\ \{t\}\ Z\ x = Unit$$

$$Viable\ \{t\}\ (S\ m)\ x = (y : Y\ t\ x\ **\ All\ (Viable\ m)\ (step\ t\ x\ y))$$

Avoidability (intuition)

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- ▶ We are interested in the avoidability of “possible” future states. Specifically, we are interested in the avoidability of states which are reachable from some given state.
- ▶ The notion of avoidability entails the notion of an alternative.

Avoidability

We are interested in the avoidability of states which are reachable from some given state:

$$\begin{aligned}
 & \textit{ReachableFrom} : X \ t'' \rightarrow X \ t \rightarrow \textit{Type} \\
 & \textit{ReachableFrom} \ \{t'' = Z\} \ \{t\} \ x'' \ x = (t = Z, x = x'') \\
 & \textit{ReachableFrom} \ \{t'' = S \ t'\} \ \{t\} \ x'' \ x = \\
 & \quad \textit{Either} \ (t = S \ t', x = x'') \\
 & \quad (x' : X \ t' \ ** \ (x' \ \textit{'ReachableFrom'} \ x, x' \ \textit{'Pred'} \ x''))
 \end{aligned}$$

where

data *Either* *a b* = *Left a* | *Right b*

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 \end{aligned}$$

where

data *Either* $a \ b = \text{Left } a \mid \text{Right } b$

Proof of concept: show that

$$\begin{aligned}
 \text{reachableFromLemma} : (x'' : X \ t'') \rightarrow (x : X \ t) \rightarrow \\
 x'' \ \text{'ReachableFrom'} \ x \rightarrow t'' \ \text{'GTE'} \ t
 \end{aligned}$$

Avoidability

The notion of avoidability entails the notion of an alternative state x'' . This has to fulfill three conditions:

$$\begin{aligned}
 \text{AvoidableFrom} &: (x' : X \ t') \rightarrow (x : X \ t) \rightarrow \\
 &\quad x' \text{ 'ReachableFrom' } x \rightarrow (m : \mathbb{N}) \rightarrow \text{Type} \\
 \text{AvoidableFrom } \{t'\} \ x' \ x \ r \ m = & \\
 (x'' : X \ t' \ ** \ (x'' \text{ 'ReachableFrom' } x, (\text{Viable } m \ x'', \text{Not } (x'' = x')))) &
 \end{aligned}$$

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 &\quad x' \text{ 'ReachableFrom' } x \rightarrow (m : \mathbb{N}) \rightarrow \text{Type} \\
 \text{AvoidableFrom } \{t'\} \ x' \ x \ r \ m = & \\
 (x'' : X \ t' \ ** \ (x'' \text{ 'ReachableFrom' } x, (\text{Viable } m \ x'', \text{Not } (x'' = x')))) &
 \end{aligned}$$

Back to the minimal goals: under which conditions are reachability, viability and avoidability decidable?

Decision procedures

For every type (predicate) $P : \text{Type}$, $\text{Not } P$ is just a synonym for $P \rightarrow \text{Void}$:

$$\text{Not} : \text{Type} \rightarrow \text{Type}$$
$$\text{Not } P = P \rightarrow \text{Void}$$

Decision procedures

For every type (predicate) $P : \text{Type}$, $\text{Not } P$ is just a synonym for $P \rightarrow \text{Void}$:

$$\begin{aligned}\text{Not} &: \text{Type} \rightarrow \text{Type} \\ \text{Not } P &= P \rightarrow \text{Void}\end{aligned}$$

A predicate $P : \text{Type}$ is decidable if one can compute either a value $p : P$ or a value of type $\text{Not } P$:

$$\begin{aligned}\text{Decidable} &: \text{Type} \rightarrow \text{Type} \\ \text{Decidable } P &= \text{Either } P (\text{Not } P)\end{aligned}$$

Decision procedures

Thus, the question is under which conditions one can implement

$$\text{decReachable} : (x : X \ t) \rightarrow \text{Decidable} (\text{Reachable } x)$$

$$\text{decViable} : (n : \mathbb{N}) \rightarrow (x : X \ t) \rightarrow \text{Decidable} (\text{Viable } n \ x)$$

$$\begin{aligned} \text{decAvoidableFrom} : \{t' : \mathbb{N}\} \rightarrow \{t : \mathbb{N}\} \rightarrow \\ (x' : X \ t') \rightarrow (x : X \ t) \rightarrow \\ (r : x' \text{ 'ReachableFrom' } x) \rightarrow (n : \mathbb{N}) \rightarrow \\ \text{Decidable} (\text{AvoidableFrom } \{t'\} \{t\} \ x' \ x \ r \ n) \end{aligned}$$

Decision procedures

As one would expect, the conditions

$$fX : (t : \mathbb{N}) \rightarrow \text{Finite } (X \ t)$$

$$fY : (t : \mathbb{N}) \rightarrow (x : X \ t) \rightarrow \text{Finite } (Y \ t \ x)$$

$$\text{decElem} : \{t : \mathbb{N}\} \rightarrow (x : X \ t) \rightarrow (mx : M \ (X \ t)) \rightarrow \\ \text{Decidable } (x \text{ 'Elem' } mx)$$

$$\text{decAll} : \{t : \mathbb{N}\} \rightarrow (P : X \ t \rightarrow \text{Type}) \rightarrow ((x : X \ t) \rightarrow \\ \text{Decidable } (P \ x)) \rightarrow (mx : M \ (X \ t)) \rightarrow \text{Decidable } (\text{All } P \ mx)$$

are sufficient for decidability.

Decision procedures

The key lemma for implementing decision procedures for *Reachable*, *Viable* and *AvoidableFrom* is intuitively obvious

$$\begin{aligned} \text{finiteDecidableLemma} : \{A : \text{Type}\} \rightarrow \{P : A \rightarrow \text{Type}\} \rightarrow \\ \text{Finite } A \rightarrow ((a : A) \rightarrow \text{Decidable } (P \ a)) \rightarrow \\ \text{Decidable } (a : A ** P \ a) \end{aligned}$$

Decision procedures

The key lemma for implementing decision procedures for *Reachable*, *Viable* and *AvoidableFrom* is intuitively obvious

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but implementing *finiteDecidableLemma* is not trivial!

Decision procedures

With *finiteDecidableLemma*, *fY* and decidability of *Elem* one immediately has decidability of *Pred*

$$\text{decPred} : \{t : \mathbb{N}\} \rightarrow (x : X \ t) \rightarrow (x' : X \ (S \ t)) \rightarrow \\ \text{Decidable } (x \text{ 'Pred' } x')$$

$$\text{decPred } \{t\} \ x \ x' = \text{finiteDecidableLemma } (fY \ t \ x) \ \text{prf} \ \mathbf{where} \\ \text{prf} : (y : Y \ t \ x) \rightarrow \text{Decidable } (x' \text{ 'Elem' } (\text{step } t \ x \ y)) \\ \text{prf } y = \text{decElem } x' \ (\text{step } t \ x \ y)$$

Decision procedures

and, with

$$\text{decPair} : \text{Decidable } p \rightarrow \text{Decidable } q \rightarrow \text{Decidable } (p, q)$$

decidability of *Reachable*:

$$\text{decReachable} : \{t' : \mathbb{N}\} \rightarrow (x' : X \ t') \rightarrow \text{Decidable } (\text{Reachable } x')$$

$$\text{decReachable } \{t' = Z\} \ x' = \text{Left } ()$$

$$\text{decReachable } \{t' = S \ t\} \ x' = s1 \ \mathbf{where}$$

$$s1 : \text{Decidable } (x : X \ t \ ** (\text{Reachable } x, x' \text{ 'Pred' } x'))$$

$$s1 = \text{finiteDecidableLemma}$$

$$(fX \ t)$$

$$(\lambda x \Rightarrow \text{decPair } (\text{decReachable } x) \ (\text{decPred } x \ x'))$$

Decision procedures

Similarly, one implement (prove) decidability of *Viable*:

$$\text{decViable} : \{t : \mathbb{N}\} \rightarrow (n : \mathbb{N}) \rightarrow (x : X \ t) \rightarrow \text{Decidable} (\text{Viable } n \ x)$$

$$\text{decViable } \{t\} \ Z \ x = \text{Left } ()$$

$$\text{decViable } \{t\} \ (S \ m) \ x = s3 \ \mathbf{where}$$

$$s1 \quad : (y : Y \ t \ x) \rightarrow \text{Decidable} (\text{All} (\text{Viable } m) (\text{step } t \ x \ y))$$

$$s1 \ y = \text{decAll} (\text{Viable } m) (\text{decViable } m) (\text{step } t \ x \ y)$$

$$s2 \quad : \text{Decidable} (y : Y \ t \ x \ ** \text{All} (\text{Viable } m) (\text{step } t \ x \ y))$$

$$s2 \quad = \text{finiteDecidableLemma} (fY \ t \ x) \ s1$$

$$s3 \quad : \text{Decidable} (\text{Viable} (S \ m) \ x)$$

$$s3 \quad = s2$$

Decision procedures

Similarly, one implement (prove) decidability of *Viable*:

$$decViable : \{t : \mathbb{N}\} \rightarrow (n : \mathbb{N}) \rightarrow (x : X \ t) \rightarrow Decidable (Viable \ n \ x)$$

$$decViable \ \{t\} \ Z \ x = Left \ ()$$

$$decViable \ \{t\} \ (S \ m) \ x = s3 \ \mathbf{where}$$

$$s1 : (y : Y \ t \ x) \rightarrow Decidable (All (Viable \ m) (step \ t \ x \ y))$$

$$s1 \ y = decAll (Viable \ m) (decViable \ m) (step \ t \ x \ y)$$

$$s2 : Decidable (y : Y \ t \ x \ ** \ All (Viable \ m) (step \ t \ x \ y))$$

$$s2 = finiteDecidableLemma (fY \ t \ x) \ s1$$

$$s3 : Decidable (Viable (S \ m) \ x)$$

$$s3 = s2$$

Implementing a decision procedure for *AvoidableFrom* is a bit more complicated but conceptually equivalent.

Acknowledgments

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Acknowledgments

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These slides:

The code shown: