

О новом методе ординального анализа теории множеств Крипке-Платека.

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Schmerl formula

The arithmetical Π_n^0 uniform reflection for theory T

$$\text{RFN}_{\Pi_n^0}(T) : (\forall \varphi \in \Pi_n^0)(\text{Prv}_T(\varphi) \rightarrow \text{Tr}_{\Pi_n^0}(\varphi)).$$

For recursive ordinals α we define r.e. theories $R_{\Pi_n^0}^\alpha(T)$:

$$R_{\Pi_n^0}^\alpha(T) = T + \{\text{RFN}_{\Pi_n^0}(R_{\Pi_n^0}^\beta(T)) \mid \beta < \alpha\}.$$

Formally definition is carried out using Fixed Point Lemma.

EA is a weak fragment of PA proving totality of exponentiation.

Schmerl formula:

$$R_{\Pi_{n+1}^0}^\alpha(\text{EA}) \equiv_{\Pi_n^0} R_{\Pi_n^0}^{\omega^\alpha}(\text{EA}), \text{ for } \alpha > 0.$$

Classifying Π_2^0 consequences of PA in terms of iterated reflection

Ordinal $\omega_n = \underbrace{\omega \cdots \omega}_n$.
 n times

$$\text{PA} \equiv \bigcup_{n \in \mathbb{N}} \text{R}_{\Pi_n^0}(\text{EA}).$$

\Downarrow

$$\text{PA} \equiv_{\Pi_2^0} \bigcup_{n \in \mathbb{N}} \text{R}_{\Pi_2^0}^{\omega_n}(\text{EA}).$$

\Downarrow

$$\text{PA} \equiv_{\Pi_2^0} \text{R}_{\Pi_2^0}^{\varepsilon_0}(\text{EA}).$$

From reflection to fast-growing functions

$f_\alpha(x)$ is α 'th function from fast-growing hierarchy

For any Δ_0^0 formula $\varphi(x, y)$:

$$R_{\Pi_2^0}^\alpha(\text{EA}) \vdash \forall x \exists y \varphi(x, y)$$

\Downarrow

$$R_{\Pi_2^0}^\alpha(\text{EA}) \vdash \forall x (\exists y < f_{2+\beta}^n(x)) \varphi(x, y), \text{ for some } \beta < \alpha \text{ and } n \in \mathbb{N}$$

Hence

$$\text{PA} \vdash \forall x \exists y \varphi(x, y)$$

\Downarrow

$$\text{PA} \vdash \forall x (\exists y < f_\alpha(x)) \varphi(x, y), \text{ for some } \alpha < \varepsilon_0$$

KP $_{\omega}$ vs PA

Axioms of KP are: Extensionality, Pair, Union, Δ_0 -Separation, Δ_0 -Collection, and Foundation.

KP $_{\omega}$ is KP + Infinity.

Transitive models of KP are known as admissible sets.

Analogies between PA and KP $_{\omega}$:

PA	KP $_{\omega}$
\mathbb{N}	admissible sets with ω
r.e. sets	Σ_1 classes
recursive functions	Σ_1 functions
recursive ordinal notations	Δ_0 class well-orderings
ω	On
ε_0	ε_{On+1}
hierarchies of recursive functions	hierarchies of Σ_1 functions $On \rightarrow On$
r.e. theories	class-theories with Σ_1 class of axioms

KP₀ ω

Signature: $x \in y, \rho(x)$

Abbreviations:

- ▶ $x \subseteq y \stackrel{\text{def}}{\iff} (\forall z \in y) z \in x; \quad \text{Trans}(x) \stackrel{\text{def}}{\iff} (\forall y \in x) y \subseteq x;$
- ▶ $x \in On \stackrel{\text{def}}{\iff} \text{Trans}(x) \wedge (\forall y \in x) \text{Trans}(y) \wedge (\forall y \subseteq x) (\exists z \in y) (\forall w \in y) \neg w \in z.$

Axioms:

1. $\forall z (z \in x \leftrightarrow z \in y) \rightarrow x = y$ (Extensionality);
2. $\exists z (x \in z \wedge y \in z)$ (Pair);
3. $\exists y (\forall z \in x) z \subseteq y$ (Union);
4. $\exists y \forall z (z \in y \leftrightarrow z \in x \wedge \varphi(z))$, where $\varphi(z)$ is a Δ_0 -formula (Δ_0 -Sep);
5. $(\forall x \in x_0) \exists y \varphi(x, y) \rightarrow \exists y_0 (\forall x \in x_0) (\exists y \in y_0) \varphi(x, y)$, where $\varphi(x, y)$ is a Δ_0 -formula (Δ_0 -Coll);
6. $\alpha \in \rho(x) \leftrightarrow (\exists y \in x) (\alpha \in \rho(y) \vee \alpha = \rho(y))$;
7. $\rho(x) \in On$;
8. $\exists M (\text{Trans}(M) \wedge (\forall y \in M) \rho(y) \in M \wedge U^{(M)})$, where U is a finite fragment of 1.–7 (Infinity).

Arithmetics in $KP_0\omega$

Since we have rank function and Δ_0 -Sep, any transitive model M satisfies full scheme of Foundation:

$$\forall x((\forall y \in x)\varphi(y) \rightarrow \varphi(x)) \rightarrow \forall x \varphi(x).$$

In $KP = KP_0 + \text{Foundation}$ we could define natural numbers with addition and multiplication.

Thus we have Δ_1 definition of addition and multiplication on naturals in $KP_0\omega$. Moreover, since $KP_0\omega$ proves full scheme of Foundation on transitive models, it proves full scheme of induction on naturals. Since we have a transitive model above naturals, interpretation of any first-order arithmetical formula is Δ_1 .

Class-size language in $KP_0\omega$

We work in $KP_0\omega$.

We consider language \mathbf{L} that is extension of the language of $KP_0\omega$ by constants \hat{x} , for all sets x .

We denote by $\mathbf{\Pi}_n$, $\mathbf{\Sigma}_n$ the extension of classes Π_n , Σ_n by all the constants \hat{x} .

Formally an \mathbf{L} formula is a pair $\langle \varphi, ev \rangle$, where ev is a function with $\text{dom}(ev) = n = \{0, \dots, n-1\}$ and φ is a formula of the language of $KP_0\omega$ with constants c_0, \dots, c_{n-1} .

$$\varphi = \varphi[\hat{x}_0, \dots, \hat{x}_{n-1}/c_0, \dots, c_{n-1}] \rightsquigarrow \langle \varphi, ev \rangle,$$

where $ev(c_i) = x_i$.

Reflection principles for $KP_0\omega$

There are partial truth definitions that satisfy biconditionals:

$$KP_0\omega \vdash \forall \vec{x}(\varphi(\vec{x}) \leftrightarrow \text{Tr}_{\Pi_n}(\varphi[\vec{\hat{x}}/\vec{x}])),$$

where $\varphi(\vec{x})$ is Π_n .

Moreover for $n \geq 1$ the formula Tr_{Π_n} is from the class Π_n .

The idea is to define $\text{Tr}_{\Delta_0}(\varphi)$ as

“there exists a set-size partial truth definition A that satisfies compositional axioms for Δ_0 formulas, covers φ , and assign positive truth value to it.”

And then use it to define truth definitions for other classes.

Let T be \mathbf{L} theory given by Σ_1 formula defining its class of axioms¹.

$$\text{RFN}_{\Pi_n}(T) : (\forall \varphi \in \Pi_n)(\text{Prv}_T(\varphi) \rightarrow \text{Tr}_{\Pi_n}(\varphi)).$$

For $n \geq 1$ the principle $\text{RFN}_{\Pi_n}(T)$ is equivalent to Π_n formula.

¹ Σ_1 is complexity of defining formula of the class, axioms could be of arbitrary complexity

Iterated Reflection

Let $\Lambda = (D_\Lambda, \prec_\Lambda)$ be Δ_0 class-size linear order

$$\text{KP}_0\omega \vdash \text{LO}(\Lambda).$$

For \mathbf{L} theories T given by Σ_1 -classes of axioms² and $\alpha \in \Lambda$:

$$R_{\mathfrak{n}_n}^\alpha(T) \equiv T + \bigcup_{\beta \prec_\Lambda \alpha} \text{RFN}_{\mathfrak{n}_n}(R_{\mathfrak{n}_n}^\beta(T)).$$

Formally, we define Σ_1 -classes of axioms for theories $R_{\mathfrak{n}_n}^a(T)$ by a joint arithmetical fixed point.

²again, Σ_1 is complexity of defining formula of the class, axioms could be of arbitrary complexity

Reflexive Induction

Provability predicate $\text{Prv}_{T+\text{Tr}_{\Sigma_n}}(\varphi)$:

$$(\exists \psi \in \Sigma_n)(\text{Tr}_{\Sigma_n}(\psi) \wedge \text{Prv}_T(\psi \rightarrow \varphi)).$$

Note that

$$\text{KP}_0\omega \vdash \neg \text{Prv}_{T+\text{Tr}_{\Sigma_n}}(\neg \varphi) \leftrightarrow \text{RFN}_{\Pi_n}(T + \varphi).$$

Theory $\text{KP}_0\omega$ is closed under Reflexive Induction Rule

$$\frac{(\forall \alpha \in \Lambda)((\forall \beta \prec_{\Lambda} \alpha) \text{Prv}_{\text{KP}_0\omega + \text{Tr}_{\Sigma_1}}(\varphi(\hat{\beta}))) \rightarrow \varphi(\alpha)}{(\forall \alpha \in \Lambda)\varphi(\alpha)}.$$

Using reflexive induction it is easy to show that $\text{KP}_0\omega$ proves usual properties of sequences $R_{\Pi_n}^{\alpha}(T)$:

- ▶ the class of theorems of $R_{\Pi_n}^{\alpha}(T)$ is independent of the choice of the solution of the fixed point-equation on its axiomatization;
- ▶ $R_{\Pi_n}^{\alpha}(T) \supseteq R_{\Pi_n}^{\beta}(T)$, for $\alpha \prec_{\Lambda} \beta$.

Foundation and iterated reflection

$$KP\omega = KP_0\omega + \text{Foundation} \equiv \bigcup_{n \in \mathbb{N}} R_{\Pi_n}^{On+1}(KP_0\omega).$$

Foundation \Rightarrow iterated reflection:

In $KP\omega$ by induction over ordinals α we have

$$RFN_{\Pi_n}(KP_0\omega + \bigcup_{\beta < \alpha} RFN_{\Pi_n}(R_{\Pi_n}^{\beta}(KP_0\omega))).$$

To justify the step by induction over naturals we show that true Π_n -axiomatized theory could prove only true Π_n conclusions.

Iterated reflection \Rightarrow foundation:

For any Π_n formula $\varphi(x)$ by reflexive induction theory $KP_0\omega$ proves that for all ordinals α

$$R_{\Pi_{n+3}}^{\alpha}(KP_0\omega) \rightarrow (\forall x((\forall y \in x)\varphi(y) \rightarrow \varphi(x)) \rightarrow \forall x(\rho(x) \leq \hat{\alpha} \rightarrow \varphi(x))).$$

Thus

$$R_{\Pi_{n+3}}^{On+1}(KP_0\omega) \vdash \forall x((\forall y \in x)\varphi(y) \rightarrow \varphi(x)) \rightarrow \forall x \varphi(x).$$

Reduction property

For $n \geq 2$ theory $KP_0\omega$ proves that for $T \sqsubseteq KP_0\omega$

$$KP_0\omega + \text{RFN}_{\Pi_{n+1}}(T) \equiv_{\Pi_n} R_{\Pi_n}^\omega(T).$$

\sqsubseteq :

For any Π_n sentence φ :

$$\begin{aligned} KP_0\omega + \text{RFN}_{\Pi_{n+1}}(T) + \varphi &\vdash \text{RFN}_{\Pi_{n+1}}(T + \varphi) \\ &\vdash \text{RFN}_{\Pi_n}(T + \varphi). \end{aligned}$$

Proof of: $KP_0\omega + RFN_{\Pi_{n+1}}(T) \sqsubseteq_{\Pi_n} R_{\Pi_n}^\omega(T)$

We work in PA and prove the inclusion theories in any finite sublanguage of \mathbf{L} .

We define forcing notion \Vdash .

Forcing conditions are Π_{n-1} formulas with free variables

$$\varphi \Vdash A \stackrel{\text{def}}{\iff} R_{\Pi_n}^\omega(T) + \varphi \vdash A,$$

for atomic \mathbf{L} formulas A .

$$\varphi \Vdash \perp \stackrel{\text{def}}{\iff} R_{\Pi_n}^\omega(T) + \varphi \vdash \perp.$$

$$\varphi \preceq \psi \stackrel{\text{def}}{\iff} R_{\Pi_n}^\omega(T) + \psi \vdash \varphi.$$

We expand \Vdash to all formulas in a standard manner:

- ▶ $\varphi \Vdash \psi \wedge \chi \stackrel{\text{def}}{\iff} \varphi \Vdash \psi \text{ and } \varphi \Vdash \chi;$
- ▶ $\varphi \Vdash \psi \vee \chi \stackrel{\text{def}}{\iff} \varphi \Vdash \psi \text{ or } \varphi \Vdash \chi;$
- ▶ $\varphi \Vdash \psi \rightarrow \chi \stackrel{\text{def}}{\iff} \text{for each } \varphi' \succeq \varphi: \varphi' \Vdash \psi \text{ implies } \varphi' \Vdash \chi;$
- ▶ $\varphi \Vdash \exists x \psi \stackrel{\text{def}}{\iff} \text{for some variable } y: \varphi \Vdash \psi[y/x];$
- ▶ $\varphi \Vdash \forall x \psi \stackrel{\text{def}}{\iff} \text{for all variables } y: \varphi \Vdash \psi[y/x].$

Proof of: $KP_0\omega + RFN_{\Pi_{n+1}}(T) \sqsubseteq_{\Pi_n} R_{\Pi_n}^\omega(T)$

As usual $\neg\varphi$ is $\varphi \rightarrow \perp$.

Negative translation ψ^N is contruted by putting $\neg\neg$ prefix over all atomic formulas, all disjunctions, and all existential quantifiers, e.g. $(\exists x \psi')^N$ is $\neg\neg\exists x(\psi')^N$.

For each Π_n formula $\psi(\vec{x})$ in $KP_0\omega$ we could prove that for all vectors of parameters \vec{p} and forcing conditions φ :

$$\varphi \Vdash \psi(\vec{p}) \iff R_{\Pi_n}^\omega(T) + \varphi \vdash (\psi(\vec{p}))^N.$$

Proof of: $KP_0\omega + RFN_{\Pi_{n+1}}(T) \supseteq_{\Pi_n} R_{\Pi_n}^\omega(T)$

We reformulate reflection principle $RFN_{\Pi_{n+1}}(T)$:

$$\forall x(x \in \Pi_n \wedge Tr_{\Pi_n}(x) \rightarrow Con(T + Tr_{\Pi_n}(\hat{x}))).$$

We claim $\top \Vdash (RFN_{\Pi_{n+1}}(T))^N$. Consider arbitrary $\varphi \in \Pi_{n-1}$:

$$\varphi \Vdash (x \in \Pi_n \wedge Tr_{\Pi_n}(x))^N \Rightarrow \varphi \Vdash (Con(T + Tr_{\Pi_n}(\hat{x})))^N$$

$$R_{\Pi_n}^\omega(T) + \varphi \vdash x \in \Pi_n \wedge Tr_{\Pi_n}(x) \Rightarrow R_{\Pi_n}^\omega(T) + \varphi \vdash Con(T + Tr_{\Pi_n}(\hat{x}))$$

$$R_{\Pi_n}^n(T) + \varphi \vdash x \in \Pi_n \wedge Tr_{\Pi_n}(x) \Rightarrow R_{\Pi_n}^{n+1}(T) + \varphi \vdash Con(T + Tr_{\Pi_n}(\hat{x})).$$

The last implication holds since $R_{\Pi_n}^{n+1}(T) + \varphi \vdash Con(R_{\Pi_n}^n(T) + \varphi)$.

Now by induction on cut-free proofs we show that for all sequents of Π_{n+2} formulas Γ :

$$\vdash \Gamma \Rightarrow \top \Vdash \bigvee \Gamma.$$

Thus for any Π_n formula φ :

$$KP_0\omega + RFN_{\Pi_n}(T) \vdash \varphi \Rightarrow \top \Vdash \varphi \Rightarrow R_{\Pi_n}^\omega(T) \vdash \varphi.$$

Schmerl Formula

The order ω^Λ :

- ▶ domain consists of terms $\omega^{\alpha_0} + \dots + \omega^{\alpha_{m-1}}$, where $\alpha_0 \succeq_\Lambda \dots \succeq_\Lambda \alpha_{m-1}$ and $m \geq 1$;
- ▶ $\omega^{\alpha_0} + \dots + \omega^{\alpha_{m-1}} \prec_{\omega^\Lambda} \omega^{\beta_0} + \dots + \omega^{\beta_{k-1}}$ iff $\langle \alpha_0, \dots, \alpha_{m-1} \rangle$ is \prec_Λ -lexicographically less than $\langle \beta_0, \dots, \beta_{k-1} \rangle$;

By reflexive induction using reduction property we prove Schmerl formula for $n \geq 2$:

$$R_{\aleph_{n+1}}^\alpha(KP_0\omega) \equiv R_{\aleph_n}^{\omega^\alpha}(KP_0\omega).$$

ε_{On+1}

ε_Λ is the naturally defined order on terms

- ▶ 0;
- ▶ ε_α , for $\alpha \in \Lambda$;
- ▶ $\omega^{t_0} + \dots + \omega^{t_{m-1}}$, where t_i are terms and $t_0 \succeq_{\varepsilon_\Lambda} \dots \succeq_{\varepsilon_\Lambda} t_{m-1}$.

$KP_1\omega = KP_0\omega + \Sigma_1$ -Foundation. It proves totality of ε_x function. Hence in $KP_1\omega$ we could construct a bijection between ε_{On} and On . Thus we could show that any proper initial fragment of ε_{On+1} is embeddable in ω_n^{On+1} , for some n .

Reformulating $KP\omega$ in terms of iterated reflection

For any $m \geq 2$:

$$KP\omega \equiv \bigcup_{n \in \mathbb{N}} R_{\Pi_n}^{O_{n+1}}(KP_0\omega) \sqsubseteq \bigcup_{n \in \mathbb{N}} R_{\Pi_m}^{\omega_{n+1}^{O_{n+1}}}(KP_0\omega) \sqsubseteq_{\Pi_m} R_{\Pi_m}^{\varepsilon_{O_{n+1}}}(KP_0\omega).$$

$$\begin{aligned} R_{\Pi_m}^{\varepsilon_{O_{n+1}}}(KP_0\omega) &\sqsubseteq R_{\Pi_m}^{\varepsilon_{O_{n+1}}}(KP_1\omega) \equiv_{\Pi_m} \bigcup_{n \in \mathbb{N}} R_{\Pi_m}^{\omega_{n+1}^{O_{n+1}}}(KP_1\omega) \\ &\equiv_{\Pi_m} \bigcup_{n \in \mathbb{N}} R_{\Pi_{n+m}}^{O_{n+1}}(KP_1\omega) \\ &\equiv KP\omega. \end{aligned}$$

Thus for any $m \geq 2$:

$$KP\omega \equiv_{\Pi_m} R_{\Pi_m}^{\varepsilon_{O_{n+1}}}(KP_0\omega).$$

Provably total functions of collection

Theory $\text{BST}_0\omega$ is Π_2 axiomatizable theory which is $\text{KP}_0\omega$ with collection replaced by collection rule

$$\frac{\forall x \exists y \varphi(x, y)}{\forall x_0 \exists y_0 (\forall x \in x_0) (\exists y \in y_0) \varphi(x, y)}, \text{ where } \varphi(x, y) \text{ is } \Delta_0 \text{ } (\Delta_0\text{-CollR})$$

Lemma

Suppose φ is Π_2 sentence. Then

$$\text{KP}_0\omega + \varphi \equiv_{\Pi_2} \text{BST}_0\omega + \varphi + \Delta_0\text{-CollR}.$$

Fundamental sequences for ε_{On+1}

For $t \in \varepsilon_{On+1}$ we define fundamental sequences $t[\xi]$, with $\xi < \tau_t$:

- ▶ if t is 0, we put $\tau_t = 0$;
- ▶ if t is $\omega^{v_0} + \dots + \omega^{v_{m-1}} + \omega^0$, we put $\tau_t = 1$ and $t[0] = \omega^{v_0} + \dots + \omega^{v_{m-1}}$;
- ▶ if t is $\omega^{v_0} + \dots + \omega^{v_{m-1}}$ and $\tau_{v_{m-1}} = 1$, we put $\tau_t = \omega$ and $t[n] = \omega^{v_0} + \dots + \omega^{v_{m-2}} + \omega^{v_{m-1}[0]}n$;
- ▶ if t is $\omega^{v_0} + \dots + \omega^{v_{m-1}}$ and $\tau_{v_{m-1}} > 1$, we put $\tau_t = \tau_{v_{m-1}}$ and $t[\xi] = \omega^{v_0} + \dots + \omega^{v_{m-2}} + \omega^{v_{m-1}[\xi]}$;
- ▶ if t is ε_α and α is $\beta + 1$, we put $\tau_t = \omega$ and $t[n] = \omega_n^{\varepsilon_\beta}$;
- ▶ if t is ε_α and α is limit or $\alpha = On$, we put $\tau_t = \alpha$ and $t[\xi] = \varepsilon_\xi$.

We have

$$\alpha = \sup_{\xi < \tau_\alpha} \alpha[\xi]$$

Hierarchies of ordinal function

We use hierarchy \mathbf{F}_α , $\alpha \in \varepsilon_{On+1}$ that is closely connected to fast-growing hierarchy f_α :

$f_\alpha: \mathbb{N} \rightarrow \mathbb{N}$	$\mathbf{F}_\alpha: On \rightarrow On$
$f_0(n) = n + 1$	$\mathbf{F}_0(x) = x + 1$
$f_{\alpha+1}(n) = f_\alpha^n(n)$	$\mathbf{F}_{\alpha+1}(x) = \sup_{n < \omega} \mathbf{F}_\alpha^n(x)$
	$\mathbf{F}_\alpha(x) = \sup_{\xi < \tau_\alpha} \mathbf{F}_{\alpha[\xi]}(x) \text{ if } \tau_\alpha < On$
$f_\lambda(n) = f_{\lambda[n]}(n)$	$\mathbf{F}_\alpha(x) = \mathbf{F}_{\alpha[x]}(x) \text{ if } \tau_\alpha = On$

Ordinal bounds for Π_2 theorems of KP_ω

Recall that

$$KP_\omega \equiv_{\Pi_2} R_{\Pi_2}^{\varepsilon_{0n+1}}(KP_0\omega).$$

By reflexive induction we show

$$RFN_{\Pi_2}^\alpha(KP_0\omega) \vdash \text{"}\mathbf{F}_\beta \text{ is total"}\text{"}, \text{ for } \beta < 1 + \alpha$$

For any Δ_0 formula $\varphi(x, y)$

$$R_{\Pi_2}^\alpha(KP_0\omega) \vdash \forall x \exists y \varphi(x, y)$$

$$\Downarrow$$

$$R_{\Pi_2}^\alpha(KP_0\omega) \vdash \forall x \exists y (\rho(y) \leq \mathbf{F}_\beta^n(\rho(x)) \wedge \varphi(x, y))$$

for some $\beta < 1 + \alpha$ and $n \in \mathbb{N}$

Спасибо!