# On the significance of parameters in the comprehension schema in second-order arithmetic

Vladimir Kanovei (IITP, Moscow)

Conference of Mathematical Centers November 2022 MSU and MIAN, Moscow

#### Table of contents

- Parameters
- Preliminaries
- The problem we consider
- First theorem
- Second theorem
- Theorem 2 proof, part I
- Theorem 2 proof, part II
- A finite axiomatizability problem

## **Parameters**



*Parameters* are free variables in various axiom schemata in **PA**, **ZFC**, and other similar theories.

#### **Parameters**



Parameters are free variables in various axiom schemata in PA, ZFC, and other similar theories. Given an axiom schema S, we let  $S^*$  be the parameter-free sub-schema.

#### **Parameters**



Parameters are free variables in various axiom schemata in PA, ZFC, and other similar theories. Given an axiom schema S, we let  $S^*$  be the parameter-free sub-schema.

Kreisel (A survey of proof theory, JSL 1968) was one of the first who paid attention to the comparison of some schemata in second-order **PA** and their parameter-free versions.



Parameters are free variables in various axiom schemata in  ${\bf PA}$ ,  ${\bf ZFC}$ , and other similar theories. Given an axiom schema  ${\bf S}$ , we let  ${\bf S}^*$  be the parameter-free sub-schema.

Kreisel (A survey of proof theory, JSL 1968) was one of the first who paid attention to the comparison of some schemata in second-order **PA** and their parameter-free versions. In particular, Kreisel noted that

[...] if one is convinced of the significance of something like a given axiom schema, it is natural to study details, such as the effect of parameters.



Parameters are free variables in various axiom schemata in PA, ZFC, and other similar theories. Given an axiom schema S, we let  $S^*$  be the parameter-free sub-schema.

Kreisel (A survey of proof theory, JSL 1968) was one of the first who paid attention to the comparison of some schemata in second-order **PA** and their parameter-free versions. In particular, Kreisel noted that

[...] if one is convinced of the significance of something like a given axiom schema, it is natural to study details, such as the effect of parameters.

This talk is devoted to the effect of parameters in the schema of comprehension in second-order arithmetic.





The second order Peano arithmetic  $\mathbf{PA}_2$  is a theory in the language  $\mathcal{L}(\mathbf{PA}_2)$  with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z.



The second order Peano arithmetic  $\mathbf{PA}_2$  is a theory in the language  $\mathcal{L}(\mathbf{PA}_2)$  with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z. The axioms are as follows:

1 Peano's axioms for numbers.



The second order Peano arithmetic  $\mathbf{PA}_2$  is a theory in the language  $\mathcal{L}(\mathbf{PA}_2)$  with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z. The axioms are as follows:

- 1 Peano's axioms for numbers.
- 2 Induction  $\Phi(0) \land \forall k \left( \Phi(k) \Longrightarrow \Phi(k+1) \right) \Longrightarrow \forall k \Phi(k)$ , for every formula  $\Phi(k)$  in  $\mathcal{L}(\mathbf{PA}_2)$ , and we allow parameters in  $\Phi(k)$ , *i. e.*, free variables other than k.



The second order Peano arithmetic  $\mathbf{PA}_2$  is a theory in the language  $\mathcal{L}(\mathbf{PA}_2)$  with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z. The axioms are as follows:

- 1 Peano's axioms for numbers.
- Induction  $\Phi(0) \land \forall k \left( \Phi(k) \Longrightarrow \Phi(k+1) \right) \Longrightarrow \forall k \Phi(k)$ , for every formula  $\Phi(k)$  in  $\mathcal{L}(\mathbf{PA}_2)$ , and we allow parameters in  $\Phi(k)$ , *i. e.*, free variables other than k.
- 3 Extensionality for sets.



The second order Peano arithmetic  $\mathbf{PA}_2$  is a theory in the language  $\mathcal{L}(\mathbf{PA}_2)$  with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z. The axioms are as follows:

- 1 Peano's axioms for numbers.
- Induction  $\Phi(0) \land \forall k \left( \Phi(k) \Longrightarrow \Phi(k+1) \right) \Longrightarrow \forall k \Phi(k)$ , for every formula  $\Phi(k)$  in  $\mathcal{L}(\mathbf{PA}_2)$ , and we allow parameters in  $\Phi(k)$ , *i. e.*, free variables other than k.
- 3 Extensionality for sets.
- **Comprehension CA**:  $\exists x \forall k (k \in x \iff \Phi(k))$ , for every formula  $\Phi$  in which the variable x does not occur, and we allow parameters in  $\Phi$ .



The second order Peano arithmetic  $\mathbf{PA}_2$  is a theory in the language  $\mathcal{L}(\mathbf{PA}_2)$  with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z. The axioms are as follows:

- 1 Peano's axioms for numbers.
- Induction  $\Phi(0) \land \forall k \left( \Phi(k) \Longrightarrow \Phi(k+1) \right) \Longrightarrow \forall k \Phi(k)$ , for every formula  $\Phi(k)$  in  $\mathcal{L}(\mathbf{PA}_2)$ , and we allow parameters in  $\Phi(k)$ , *i. e.*, free variables other than k.
- 3 Extensionality for sets.
- **Comprehension CA**:  $\exists x \forall k (k \in x \iff \Phi(k))$ , for every formula  $\Phi$  in which the variable x does not occur, and we allow parameters in  $\Phi$ .

**CA**\* is the parameter-free sub-schema of **CA** (that is,  $\Phi(k)$  contains no free variables other than k).



The second order Peano arithmetic  $\mathbf{PA}_2$  is a theory in the language  $\mathcal{L}(\mathbf{PA}_2)$  with two sorts of variables – for natural numbers j, k, m, n and for sets of them x, y, z. The axioms are as follows:

- 1 Peano's axioms for numbers.
- 2 Induction  $\Phi(0) \land \forall k \left( \Phi(k) \Longrightarrow \Phi(k+1) \right) \Longrightarrow \forall k \Phi(k)$ , for every formula  $\Phi(k)$  in  $\mathcal{L}(\mathbf{PA}_2)$ , and we allow parameters in  $\Phi(k)$ , *i. e.*, free variables other than k.
- 3 Extensionality for sets.
- **Comprehension CA**:  $\exists x \forall k (k \in x \iff \Phi(k))$ , for every formula  $\Phi$  in which the variable x does not occur, and we allow parameters in  $\Phi$ .

**CA**\* is the parameter-free sub-schema of **CA** (that is,  $\Phi(k)$  contains no free variables other than k).

 $PA_2^*$  is the subsystem of  $PA_2$  with CA replaced by  $CA^*$ .

## The problem we consider



Is  $PA_2^*$  strictly weaker than  $PA_2$ ?

# The problem we consider



Is  $\mathbf{PA}_2^*$  strictly weaker than  $\mathbf{PA}_2$ ?

Depends.



Is  $PA_2^*$  strictly weaker than  $PA_2$ ?

Depends.

In the sense of **consistency**, the answer is NO.



Is  $\mathbf{PA}_2^*$  strictly weaker than  $\mathbf{PA}_2$ ?

Depends.

In the sense of **consistency**, the answer is NO. Harvey Friedman (near 1980) established that the theories  $\mathbf{PA}_2$  and  $\mathbf{PA}_2^*$  are equiconsistent.



Is  $\mathbf{PA}_2^*$  strictly weaker than  $\mathbf{PA}_2$ ?

Depends.

In the sense of **consistency**, the answer is NO. Harvey Friedman (near 1980) established that the theories **PA**<sub>2</sub> and **PA**<sub>2</sub>\* are equiconsistent.

We study the problem in the context of **deductive strength**,



Is  $\mathbf{PA}_2^*$  strictly weaker than  $\mathbf{PA}_2$ ?

Depends.

In the sense of **consistency**, the answer is NO. Harvey Friedman (near 1980) established that the theories  $PA_2$  and  $PA_2^*$  are equiconsistent.

We study the problem in the context of **deductive strength**, and we obtain the opposite answer.

## First theorem



## Theorem 1

 $\mathbf{PA}_2^*$  does not prove that every set has its complement.

## First theorem



## Theorem 1

 $\mathbf{PA}_2^*$  does not prove that every set has its complement.

# Proof (sketch)

Let **L** be the constructible universe.



 $\mathbf{PA}_2^*$  does not prove that every set has its complement.

# Proof (sketch)

Let **L** be the constructible universe.

Consider the generic extension  $\mathbf{L}[\vec{a}]$  obtained by adjoining a Cohen generic sequence  $\vec{a} = \langle a_n \rangle_{n < \omega}$  of sets  $a_n \subseteq \omega$  to  $\mathbf{L}$ .



**PA**<sub>2</sub>\* does not prove that every set has its complement.

# Proof (sketch)

Let **L** be the constructible universe.

Consider the generic extension  $L[\vec{a}]$  obtained by adjoining a Cohen generic sequence  $\vec{a} = \langle a_n \rangle_{n < \omega}$  of sets  $a_n \subseteq \omega$  to L.

Let 
$$X = (\mathscr{P}(\omega) \cap \mathbf{L})$$



**PA**<sup>\*</sup><sub>2</sub> does not prove that every set has its complement.

# Proof (sketch)

Let **L** be the constructible universe.

Consider the generic extension  $L[\vec{a}]$  obtained by adjoining a Cohen generic sequence  $\vec{a} = \langle a_n \rangle_{n < \omega}$  of sets  $a_n \subseteq \omega$  to L.

Let 
$$X = (\mathscr{P}(\omega) \cap \mathbf{L}) \cup \{a_n : n < \omega\}.$$



**PA**<sub>2</sub>\* does not prove that every set has its complement.

# Proof (sketch)

Let **L** be the constructible universe.

Consider the generic extension  $\mathbf{L}[\vec{a}]$  obtained by adjoining a Cohen generic sequence  $\vec{a} = \langle a_n \rangle_{n < \omega}$  of sets  $a_n \subseteq \omega$  to  $\mathbf{L}$ .

Let 
$$X = (\mathscr{P}(\omega) \cap \mathbf{L}) \cup \{a_n : n < \omega\}$$
.

Then  $\langle \omega; X \rangle$  is a model of  $\mathbf{PA}_2^*$  in which sets  $a_n$  do not have their complements, and hence the full  $\mathbf{CA}$  fails.



**PA**<sub>2</sub>\* does not prove that every set has its complement.

# Proof (sketch)

Let **L** be the constructible universe.

Consider the generic extension  $\mathbf{L}[\vec{a}]$  obtained by adjoining a Cohen generic sequence  $\vec{a} = \langle a_n \rangle_{n < \omega}$  of sets  $a_n \subseteq \omega$  to  $\mathbf{L}$ .

Let 
$$X = (\mathscr{P}(\omega) \cap \mathbf{L}) \cup \{a_n : n < \omega\}$$
.

Then  $\langle \omega; X \rangle$  is a model of  $\mathbf{PA}_2^*$  in which sets  $a_n$  do not have their complements, and hence the full  $\mathbf{CA}$  fails.

The proof of  $\mathbf{CA}^*$  in  $\langle \omega \, ; \, X \rangle$  is based on the standard homogeneity and permutation-related properties of the forcing notion  $\mathbb{C}^\omega$  involved, which is the finite-support product of the Cohen forcing  $\mathbb{C}$ .

Thus  $PA_2^*$  does not prove some simple consequences of the full CA.

## **Second theorem**



## Second theorem



## Theorem 2

 $\mathbf{PA}_2^* + \mathbf{CA}(\Sigma_2^1)$  does not prove an instance of the full  $\mathbf{CA}$ .



 $\mathbf{PA}_2^* + \mathbf{CA}(\Sigma_2^1)$  does not prove an instance of the full  $\mathbf{CA}$ .

 $\textbf{CA}(\Sigma_2^1)$  is CA (with parameters) restricted to  $\Sigma_2^1$  formulas.





Let **L** be the constructible universe.



Let **L** be the constructible universe.

In **L**, let  $I=I_1\cup I_2$ , where  $I_1=\omega_1$  while  $I_2$  consists of all tuples of the form  $\xi^\smallfrown 0^m$  and  $\xi^\smallfrown 0^m^\smallfrown 1$ , where  $\xi<\omega_1$ ,  $m<\omega$ , and  $0^m$  is the tuple of m zeros.



Let **L** be the constructible universe.

In **L**, let  $I=I_1\cup I_2$ , where  $I_1=\omega_1$  while  $I_2$  consists of all tuples of the form  $\xi^{\smallfrown}0^m$  and  $\xi^{\smallfrown}0^m^{\smallfrown}1$ , where  $\xi<\omega_1$ ,  $m<\omega$ , and  $0^m$  is the tuple of m zeros. Note that if  $\xi<\omega_1$  then  $\xi\in I_1$  and  $\langle\xi\rangle\in I_2$ .



Let **L** be the constructible universe.

In **L**, let  $I=I_1\cup I_2$ , where  $I_1=\omega_1$  while  $I_2$  consists of all tuples of the form  $\xi^{\smallfrown}0^m$  and  $\xi^{\smallfrown}0^m^{\smallfrown}1$ , where  $\xi<\omega_1$ ,  $m<\omega$ , and  $0^m$  is the tuple of m zeros. Note that if  $\xi<\omega_1$  then  $\xi\in I_1$  and  $\langle\xi\rangle\in I_2$ .

We keep  $I_1$  is unordered and order  $I_2$  by the extension of tuples  $\subset$ .



Let **L** be the constructible universe.

In **L**, let  $I=I_1\cup I_2$ , where  $I_1=\omega_1$  while  $I_2$  consists of all tuples of the form  $\xi^{\smallfrown}0^m$  and  $\xi^{\smallfrown}0^m^{\smallfrown}1$ , where  $\xi<\omega_1$ ,  $m<\omega$ , and  $0^m$  is the tuple of m zeros. Note that if  $\xi<\omega_1$  then  $\xi\in I_1$  and  $\langle\xi\rangle\in I_2$ .

We keep  $I_1$  is unordered and order  $I_2$  by the extension of tuples  $\subset$ .

Consider the generic extension  $\mathbf{L}[\vec{a}]$  obtained by adjoining a generic array  $\vec{a} = \langle a_i \rangle_{i \in I}$  of sets  $a_n \subseteq \omega$  to  $\mathbf{L}$ , such that



Let **L** be the constructible universe.

In **L**, let  $I = I_1 \cup I_2$ , where  $I_1 = \omega_1$  while  $I_2$  consists of all tuples of the form  $\xi \cap 0^m$  and  $\xi \cap 0^m \cap 1$ , where  $\xi < \omega_1$ ,  $m < \omega$ , and  $0^m$  is the tuple of m zeros. Note that if  $\xi < \omega_1$  then  $\xi \in I_1$  and  $\langle \xi \rangle \in I_2$ .

We keep  $I_1$  is unordered and order  $I_2$  by the extension of tuples  $\subset$ .

Consider the generic extension  $\mathbf{L}[\vec{a}]$  obtained by adjoining a generic array  $\vec{a} = \langle a_i \rangle_{i \in I}$  of sets  $a_n \subseteq \omega$  to  $\mathbf{L}$ , such that

• each  $a_i$ ,  $i \in I_1$ , is Sacks generic over **L**, and



Let **L** be the constructible universe.

In **L**, let  $I = I_1 \cup I_2$ , where  $I_1 = \omega_1$  while  $I_2$  consists of all tuples of the form  $\xi \cap 0^m$  and  $\xi \cap 0^m \cap 1$ , where  $\xi < \omega_1$ ,  $m < \omega$ , and  $0^m$  is the tuple of m zeros. Note that if  $\xi < \omega_1$  then  $\xi \in I_1$  and  $\langle \xi \rangle \in I_2$ .

We keep  $I_1$  is unordered and order  $I_2$  by the extension of tuples  $\subset$ .

Consider the generic extension  $\mathbf{L}[\vec{a}]$  obtained by adjoining a generic array  $\vec{a} = \langle a_i \rangle_{i \in I}$  of sets  $a_n \subseteq \omega$  to  $\mathbf{L}$ , such that

- each  $a_i$ ,  $i \in I_1$ , is Sacks generic over **L**, and
- each  $a_i$ ,  $i \in I_2$ , is Sacks generic over  $\mathbf{L}[\{a_j : j \in I_2 \land j \subset i\}]$ .



Let **L** be the constructible universe.

In **L**, let  $I = I_1 \cup I_2$ , where  $I_1 = \omega_1$  while  $I_2$  consists of all tuples of the form  $\xi \cap 0^m$  and  $\xi \cap 0^m \cap 1$ , where  $\xi < \omega_1$ ,  $m < \omega$ , and  $0^m$  is the tuple of m zeros. Note that if  $\xi < \omega_1$  then  $\xi \in I_1$  and  $\langle \xi \rangle \in I_2$ .

We keep  $I_1$  is unordered and order  $I_2$  by the extension of tuples  $\subset$ .

Consider the generic extension  $\mathbf{L}[\vec{a}]$  obtained by adjoining a generic array  $\vec{a} = \langle a_i \rangle_{i \in I}$  of sets  $a_n \subseteq \omega$  to  $\mathbf{L}$ , such that

- each  $a_i$ ,  $i \in I_1$ , is Sacks generic over **L**, and
- each  $a_i$ ,  $i \in I_2$ , is Sacks generic over  $\mathbf{L}[\{a_j : j \in I_2 \land j \subset i\}]$ .

This is made via a product/iterated Sacks forcing with countable support and with I as the "length" of the iteration.





Let  $J(\vec{a})$  consist of

• all tuples of the form  $\xi \cap 0^m$ , where  $\xi < \omega_1$  and  $m < \omega$ ,



Let  $J(\vec{a})$  consist of

- all tuples of the form  $\xi \cap 0^m$ , where  $\xi < \omega_1$  and  $m < \omega$ , and
- all tuples of the form  $\xi \cap 0^m \cap 1$ , where  $\xi < \omega_1$  and  $m \in a_{\xi}$ .



Let  $J(\vec{a})$  consist of

- all tuples of the form  $\xi \cap 0^m$ , where  $\xi < \omega_1$  and  $m < \omega$ , and
- all tuples of the form  $\xi \cap 0^m \cap 1$ , where  $\xi < \omega_1$  and  $m \in a_{\xi}$ .

Let 
$$X = \mathscr{P}(\omega) \cap \bigcup_{u \subseteq J(\vec{a}) \text{ finite }} \mathbf{L}[\{a_j : j \in u\}].$$



Let  $J(\vec{a})$  consist of

- all tuples of the form  $\xi \cap 0^m$ , where  $\xi < \omega_1$  and  $m < \omega$ , and
- all tuples of the form  $\xi \cap 0^m \cap 1$ , where  $\xi < \omega_1$  and  $m \in a_{\xi}$ .

Let 
$$X = \mathscr{P}(\omega) \cap \bigcup_{u \subseteq J(\vec{a}) \text{ finite }} \mathbf{L}[\{a_j : j \in u\}].$$

Then  $\langle \omega; X \rangle$  proves Theorem 2.

•  $\langle \omega; X \rangle$  is a model of  $\mathbf{PA}_2^*$  by the permutation technique,



Let  $J(\vec{a})$  consist of

- all tuples of the form  $\xi \cap 0^m$ , where  $\xi < \omega_1$  and  $m < \omega$ , and
- all tuples of the form  $\xi \cap 0^m \cap 1$ , where  $\xi < \omega_1$  and  $m \in a_{\xi}$ .

Let 
$$X = \mathscr{P}(\omega) \cap \bigcup_{u \subseteq J(\vec{a}) \text{ finite }} \mathbf{L}[\{a_j : j \in u\}].$$

Then  $\langle \omega; X \rangle$  proves Theorem 2.

- $\langle \omega; X \rangle$  is a model of  $\mathbf{PA}_2^*$  by the permutation technique,
- $\langle \omega; X \rangle$  is a model of  $CA(\Sigma_2^1)$  by the Shoenfield absoluteness,



Let  $J(\vec{a})$  consist of

- all tuples of the form  $\xi \cap 0^m$ , where  $\xi < \omega_1$  and  $m < \omega$ , and
- all tuples of the form  $\xi \cap 0^m \cap 1$ , where  $\xi < \omega_1$  and  $m \in a_{\xi}$ .

Let 
$$X = \mathscr{P}(\omega) \cap \bigcup_{u \subseteq J(\vec{a}) \text{ finite }} \mathbf{L}[\{a_j : j \in u\}].$$

Then  $\langle \omega; X \rangle$  proves Theorem 2.

- $\langle \omega; X \rangle$  is a model of  $\mathbf{PA}_2^*$  by the permutation technique,
- $\langle \omega; X \rangle$  is a model of  $CA(\Sigma_2^1)$  by the Shoenfield absoluteness,
- the sets  $a_{\xi}$  do not belong to X by construction,



Let  $J(\vec{a})$  consist of

- all tuples of the form  $\xi \cap 0^m$ , where  $\xi < \omega_1$  and  $m < \omega$ , and
- all tuples of the form  $\xi \cap 0^m \cap 1$ , where  $\xi < \omega_1$  and  $m \in a_{\xi}$ .

Let 
$$X = \mathscr{P}(\omega) \cap \bigcup_{u \subseteq J(\vec{a}) \text{ finite }} \mathbf{L}[\{a_j : j \in u\}].$$

Then  $\langle \omega; X \rangle$  proves Theorem 2.

- $\langle \omega; X \rangle$  is a model of  $\mathbf{PA}_2^*$  by the permutation technique,
- $\langle \omega; X \rangle$  is a model of  $CA(\Sigma_2^1)$  by the Shoenfield absoluteness,
- the sets  $a_{\xi}$  do not belong to X by construction,
- yet each  $a_{\xi}$  is definable in X, with  $a_{\langle \xi \rangle}$  as the only parameter, by means of the structure of the constructibility degrees over  $a_{\langle \xi \rangle}$  thus **CA** fails in  $\langle \omega \, ; \, X \rangle$ .

### A finite axiomatizability problem











More specifically, prove that, for any  $n \ge 3$ ,

 $\mathbf{PA}_2^* + \mathbf{CA}(\Sigma_n^1)$  does not imply an instance of  $\mathbf{CA}(\Sigma_{n+1}^1)$ .



More specifically, prove that, for any  $n \ge 3$ ,

 $\mathbf{PA}_2^* + \mathbf{CA}(\Sigma_n^1)$  does not imply an instance of  $\mathbf{CA}(\Sigma_{n+1}^1)$ .

Case n = 2 is established by Theorem 2 above.



More specifically, prove that, for any  $n \ge 3$ ,

 $\mathbf{PA}_2^* + \mathbf{CA}(\Sigma_n^1)$  does not imply an instance of  $\mathbf{CA}(\Sigma_{n+1}^1)$ .

Case n = 2 is established by Theorem 2 above.

Work in progress.





The speaker thanks **the organizers** for the opportunity to give this talk



The speaker thanks **the organizers** for the opportunity to give this talk

The speaker thanks **everybody** for interest and patience