Some Lifschitz-like realizability notions separating non-constructive principles

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- Reverse mathematics is a program to determine the exact (set-existence) axioms which are needed to prove theorems of ordinary mathematics.
- Usually, we employ a subsystem RCA₀ of second order arithmetic as our base system, which consists of:
 - Basic first-order arithmetic (e.g. the first-order theory of the non-negative parts of discretely ordered rings).
 - 2 Σ_1^0 -induction schema.
 - \bigcirc Δ_1^0 -comprehension schema.
- Roughly speaking, RCA₀ corresponds to (non-uniform) computable mathematics (as Δ⁰₁ = computable).

In this talk, we consider the following principles:

- The lessor limited principle of omniscience LLPO states that for any regular Cauchy real x, either x ≤ 0 or x ≥ 0.
- The binary expansion principle **BE** states that every regular Cauchy real has a binary expansion.
- The intermediate value theorem IVT states that for any continuous function *f*: [0, 1] → [-1, 1] if *f*(0) and *f*(1) have different signs then there is a regular Cauchy real *x* ∈ [0, 1] such that *f*(*x*) = 0.
- Weak König's lemma WKL states that every infinite binary tree has an infinite path.

Here, a *regular Cauchy real* is a real x which is represented by a sequence $(q_n)_{n \in \omega}$ of rational numbers such that

$$|q_n - q_m| < 2^{-n}$$
 for any $m \ge n$.

Constructive Reverse Mathematics 1

- LLPO, BE, IVT, etc. are considered as a non-constructive principle.
- Nevertheless, LLPO, BE, IVT are provable in *RCA*₀.
- In this sense, *RCA*₀ is too strong to be adopted as a base system.
- In order to resolve this issue, it has been proposed to replace the base system with a more constructive one.
- This proposal evolved into what is now known as Constructive Reverse Mathematics (Ishihara, and others).
- Some adopts a formalized version BISH of Bishop's constructive mathematics as a base system of constructive reverse mathematics.
- However, **BISH** ⊢ **LLPO** ↔ **WKL**.
- On the other hand, RCA₀ ⊬ LLPO ↔ WKL.
- This makes it difficult to compare the results of two Reverse Math.

Constructive Reverse Mathematics 2

- **BISH** is incomparable with **RCA**₀.
- Want a constructive system which is weaker than *RCA*₀.

Troelstra's EL₀

- EL_0 + the law of excluded middle = RCA_0 .
- EL_0 + the axiom of countable choice = BISH.
- *EL*₀ : subsystem of *RCA*₀ and *BISH*.
- $\mathsf{RCA}_0 \vdash \mathsf{WKL} \Leftrightarrow \mathsf{IVT} \leftrightarrow \mathsf{BE} \leftrightarrow \mathsf{LLPO}.$
- BISH \vdash WKL \leftrightarrow IVT \leftrightarrow BE \leftrightarrow LLPO

Theorem (Berger-Ishihara-K.-Nemoto 2019)

 EL_0 proves $WKL \rightarrow IVT \rightarrow BE \rightarrow LLPO$.

[Question] Do the converse implications also hold?

Markov's principle (double negation elimination for Σ_1^0 -formulas) \iff $(\forall x, y \in [0, 1]) [y \neq 0 \rightarrow (\exists z \in \mathbb{R}) z = x/y].$

For a real y, "y = 0 or not" is non-constructive:

LPO
$$\iff$$
 $(\forall y \in \mathbb{R}) [y = 0 \lor y \neq 0].$

The robust division principle RDIV:

 $(\forall x, y \in [0, 1]) \ [x \le y \rightarrow (\exists z \in [0, 1]) \ x = yz].$

For reals x, y, " $x \le y$ or not" is non-constructive (LLPO), but we can always replace x with $min\{x, y\}$ without losing anything.

 $\mathsf{RDIV} \iff (\forall x, y \in [0, 1]) (\exists z \in [0, 1]) \min\{x, y\} = yz.$

The principle **RDIV** is known to be related to

- The existence of Nash equilibria in bimatrix games.
- Executing Gaussian elimination, etc.

The following implications are known:



Question (Ishihara? Nemoto?)

Are there any other implications in the above diagram?

We will see that the above diagram is complete, via some modifications of *Lifshitz realizability*.

- A partial magma is a pair (*M*, *) of a set *M* and a partial binary operation * on *M*.
- We often write *xy* instead of *x* * *y*, and as usual, we consider * as a left-associative operation, that is, *xyz* stands for (*xy*)*z*.

[Example] Define $e * n = \varphi_e(n)$. Then $(\mathbb{N}, *)$ is a called *Kleene's first algebra*.

- A partial magma (M, *) is *combinatory complete* if, for any term $t(x_1, x_2, \ldots, x_n)$, there is $a_t \in M$ such that $a_t x_1 x_2 \ldots x_{n-1} \downarrow$ and $a_t x_1 x_2 \ldots x_n \simeq t(x_1, x_2, \ldots, x_n)$.
- For terms t(x, y) = x, and u(x, y, z) = xz(yz), the corresponding elements $a_t, a_u \in M$ are usually written as k and s.
- A combinatory complete partial magma is called a *partial combinatory algebra* (abbreviated as *pca*).

[Example] Kleene's first algebra is a pca.

Realizability (2)

- A *relative pca* is a triple P = (P, P, *) such that P ⊆ P, both (P, *) and (P, * ↾ P) are pcas, and share combinators s and k.
- In this talk, the boldface algebra P is always the set ω^ω of all infinite sequences.

In descriptive set theory, the idea of a relative pca is ubiquitous, which usually occurs as a pair of *lightface* and *boldface* pointclasses.

By the good parametrization lemma in descriptive set theory:

- Any Σ^* -pointclass (so Spector pointclass) Γ yields a relative pca.
- The partial Γ -computable function application form a lightface pca.
- The partial $\underline{\Gamma}$ -measurable function application form a boldface pca.

[Example 1] If $\Gamma = \Sigma_1^0$:

- The induced lightface pca is equivalent to Kleene's first algebra.
- The boldface pca is Kleene's second algebra.
- The induced relative pca is known as the *Kleene-Vesley algebra*.

Realizability (2)

- A *relative pca* is a triple $\mathbb{P} = (P, \underline{P}, *)$ such that $P \subseteq \underline{P}$, both $(\underline{P}, *)$ and $(P, * \upharpoonright P)$ are pcas, and share combinators **s** and **k**.
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[Example 2] Π_1^1 is the best-known example of a Spector pointclass.

- The induced lightface pca obviously yields hyperarithmetical realizability.
- For the boldface pca, the associated total realizable functions are exactly the Borel measurable functions.

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[Example 3] The infinite time Turing machines (ITTMs) form a Spector pointclass.

• ITTM-realizability has been studied by Andrej Bauer.

Lifschitz realizability

- Lifschitz (and van Oosten) used multifunction applications, instead of single-valued applications, to realize CT₀! + ¬CT₀.
- Regard II⁰₁ classes as basic concepts rather than computable functions.
- (Lifschitz 1979) Over the Kleene first algebra (ω, *), consider the partial multifunction j_L:⊆ ω ⇒ ω defined by

 $\mathbf{j}_{\mathrm{L}}(\langle e, b \rangle) = \{ n \in \omega : n < b \land e * n \uparrow \},\$

where $\mathbf{j}_{\mathbf{L}}(\langle b, e \rangle) \downarrow$ if and only if the set is nonempty.

- \mathbf{j}_{L} gives a numbering of all bounded Π_{1}^{0} subsets of ω .
- (Van Oosten 1990) Over the Kleene second algebra (ω^ω, *), consider the following partial multifunction j_{v0}:⊆ ω^ω ⇒ ω^ω:

 $\mathbf{j}_{\mathrm{vO}}(\langle g,h\rangle)=\{x\in\omega^{\omega}:(\forall n\in\omega)\;x(n)< h(n)\;\wedge\;g\ast x\uparrow\},$

• \mathbf{j}_{vO} gives a representation of all compact subsets of ω^{ω} .

Assume that $\mathbb{P} = (P, \underline{P})$ is a relative pca.

 $\mathbf{j}:\subseteq \mathbf{P} \Rightarrow \mathbf{P}$ is an idempotent jump operator on \mathbb{P} if

1 There is $u \in P$ such that for any $a, x \in \mathbf{P}$, $a\mathbf{j}(x) = \mathbf{j}(uax)$.

2 There is $\eta \in P$ such that for any $x \in \mathbf{P}$, $x = \mathbf{j}(\eta x)$.

3 There is $\mu \in P$ such that for any $x \in \underline{P}$, $jj(x) = j(\mu x)$.

Here, the definition of the composition of multifunctions is:

$$hg(x) = h \circ g(x) = \begin{cases} \bigcup \{h(y) : y \in g(x)\} & \text{if } g(x) \downarrow \subseteq \operatorname{dom}(h), \\ \uparrow & \text{otherwise.} \end{cases}$$

Also, if *f* is a multifunction on $\underset{\sim}{\mathbf{P}}$ and $a, x \in \underset{\sim}{\mathbf{P}}$, then define $af(x) = \{ay : y \in f(x)\}$.

[Example] \mathbf{j}_L and \mathbf{j}_{vO} are idempotent jump operators.



Remark

- This notion (for operations satisfying (1) and (2)) is implicitly studied in the work on the jump of a represented space, e.g. by de Brecht.
- One may think of **j** as an endofunctor on the category **Rep** of represented spaces and realizable functions.
- Any idempotent jump operator **j** yields a *monad* on the category **Rep**: (2) monad unit (3) monad multiplication.
- Thus, the naïve **j**-realizable functions on represented spaces are exactly the *Kleisli morphisms* for this monad.

- Let j be an idempotent jump on a relative pca $\mathbb{P} = (P, \underline{P}, *)$
- Define a new partial application $*_j$ on \underline{P} defined by

$$a *_{j} b \simeq \begin{cases} a' * b & \text{if } \mathbf{j}(a) = \{a'\} \\ \uparrow & \text{otherwise} \end{cases}$$

Hereafter, we always write a' for the unique element of j(a) whenever j(a) is a singleton. Then, consider the following:

 $P_j = \{a' : a \in P \text{ and } j(a) \text{ is a singleton}\}.$

Lemma

 $\mathbb{P}_{j} = (P_{j}, \mathbb{P}, *_{j})$ is a relative pca.

In the later slides, we will define the notion of *j*-realizability and then:

Theorem

If *j* is an idempotent jump operator on \mathbb{P} , then all axioms of **IZF** are *j*-realizable over \mathbb{P}_j .

- We say that *f* is Weihrauch reducible to *g* (written $f \leq_W g$) if there are partial computable functions *H* and *K* such that for any $x \in \text{dom}(f)$, $y \in g(H(x))$ implies $K(x, y) \in f(x)$.
- The definition of Weihrauch reducibility *f* ≤_W *g* can be viewed as the following perfect information two-player game:

I: $x_0 \in \operatorname{dom}(f)$ $x_1 \in g(y_0)$ II: $y_0 \in \operatorname{dom}(g)$ $y_1 \in f(x_0)$

- Each player chooses an element from ω^{ω} at each round.
- Player II wins if there is a computable strategy τ for II which yields a play described above.
- Note that y₀ depends on x₀, and y₁ depends on x₀ and x₁, and a computable strategy τ for II yields partial computable maps H: x₀ → y₀ and K: (x₀, x₁) → y₁.
- Usually, *H* is called an *inner reduction* and *K* is called an *outer reduction*.
- If reductions *H* and *K* are allowed to be continuous, then we say that *f* is continuously Weihrauch reducible to g (written f ≤^c_W g).

(Hirschfeldt-Jockusch 2016) For $f, g :\subseteq \omega^{\omega} \Rightarrow \omega^{\omega}$, let us consider the following perfect information two-player game G(f, g):

I:
$$x_0$$
 $x_1 \in g(y_0)$ $x_2 \in g(y_1)$...II: (a_0, y_0) (a_1, y_1) (a_2, y_2) ...

More precisely, each player chooses an element from ω^{ω} at each round. Here, Players I and II need to obey the following rules.

- First, Player I chooses $x_0 \in \text{dom}(f)$.
- At the *n*th round, Player II reacts with $z_n = (a_n, y_n)$.
 - The choice $a_n = 0$ indicates that Player II makes a new query y_n to g. In this case, we require $y_n \in \text{dom}(g)$.
 - The choice $a_n = 1$ indicates that Player II declares victory with y_n .
- At the (n + 1)st round, Player I responds to the query made by Player II at the previous stage. This means that $x_{n+1} \in g(y_n)$.

Then, Player II wins the game G(f,g) if

- either Player I violates the rule before Player II violates the rule
- or Player II obeys the rule and declares victory with $y_n \in f(x_0)$.

- Player II's strategy is a code τ of a partial *continuous* function $h_{\tau} : \subseteq (\omega^{\omega})^{<\omega} \to \omega^{\omega}$.
- On the other hand, Player I's strategy is any partial function $\sigma: \subseteq (\omega^{\omega})^{<\omega} \to \omega^{\omega}$ (which is not necessarily continuous).
- Player II's strategy τ is *winning* if Player II wins along (σ, τ) whatever Player I's strategy σ is.
- We say that *f* is generalized Weihrauch reducible to *g* if Player II has a computable winning strategy for G(f,g). In this case, we write $f \leq_{OW} g$.
- If Player II has a (continuous) winning strategy for G(f,g), we write $f \leq_{\text{DW}}^{c} g$.

Lemma (Hirschfeldt-Jockusch 2016)

The relation \leq_{OW} is transitive.

- Note that the rule of the above game does not mention *f* except for Player I's first move. Hence, if we skip Player I's first move, we can judge if a given play follows the rule without specifying *f*.
- For $g:\subseteq \omega^{\omega} \rightrightarrows \omega^{\omega}$, we define $g^{\supset}:\subseteq \omega^{\omega} \rightrightarrows \omega^{\omega}$ as follows:
 - $(x_0, \tau) \in \operatorname{dom}(g^{\ominus}) \iff \tau$ is Player II's strategy, and for Player I's any strategy σ with first move x_0 , Player II declares victory at some round along (σ, τ) .
 - y ∈ g[⊃](x₀, τ) ⇔ Player II declares victory with y at some round along (σ, τ) for some σ with first move x₀.
- Here, the statement "Player II declares victory" does not necessarily mean "Player II wins".
- Indeed, the above definition is made before *f* is specified, so the statement "Player II wins" does not make any sense.
- Again, one can remove x₀ from an input for g^D by considering a continuous strategy. The following is obvious by definition.

Observation

 $f \leq_{\mathsf{W}} g^{\mathsf{d}} \iff f \leq_{\mathsf{dW}} g.$

Westrick (2020) showed that for any partial multifunction f, note that f^{\Im} is closed under the compositional product. Using this fact, one can show the following:

Theorem

Let $g:\subseteq \omega^{\omega} \to \omega^{\omega}$ be a partial multifunction.

Then $g^{\mathbb{D}}$ is an idempotent jump operator on the Kleene-Vesley algebra \mathbb{P}_{KV} such that the naïve $(\mathbb{P}_{KV}, g^{\mathbb{D}})$ -realizable partial multifunctions coincide with the partial multifunctions $\leq_{\mathbb{D}W} g$.

- **LLPO**^D-realizability = Lifschitz' realizability in 1979.
- WKL^D-realizability = van Oosten's realizability in 1990.
- Let's consider **BE**^D-, **RDIV**^D- and **IVT**^D-realizability.

Main Theorem



Theorem

1 RDIV
$$≤_{DW}^c$$
 BE.
2 BE $≤_{DW}^c$ RDIV.
3 IVT $≤_{DW}^c$ RDIV × BI

Theorem

- **1** $IZF + LLPO + \neg BE + \neg RDIV$ is $LLPO^{\ominus}$ -realizable.
- **2** $IZF + BE + \neg RDIV$ is BE^{2} -realizable.
- **3** $IZF + RDIV + \neg BE$ is $RDIV^{\ominus}$ -realizable.
- **1** $IZF + BE + RDIV + \neg IVT$ is $(BE + RDIV)^{\circ}$ -realizable.

McCarty Realizability

- First, we consider a set-theoretic universe with urlements \mathbb{N} .
- For a relative pca ℙ = (P, ℙ), as in the usual set-theoretic forcing argument, we consider a ℙ-name, which is any set x satisfying the following condition:

 $x \subseteq \{(p, u) : p \in \mathbb{P} \text{ and } (u \in \mathbb{N} \text{ or } u \text{ is a } \mathbb{P}\text{-name})\}.$

 The ℙ-names are used as our universe. This notion can also be defined as the cumulative hierarchy:

$$V_0^{\mathbb{P}} = \emptyset, \quad V_{\alpha}^{\mathbb{P}} = \bigcup_{\beta < \alpha} \mathcal{P}(\underline{\mathbb{P}} \times (V_{\beta}^{\mathbb{P}} \cup \mathbb{N})), \text{ and } V_{\text{set}}^{\mathbb{P}} = \bigcup_{\alpha \in \text{Ord}} V_{\alpha}^{\mathbb{P}}.$$

Note that the urelements ℕ are disjoint from V^ℙ_{set}.
 We define V^ℙ = V^ℙ_{set} ∪ ℕ.

Lifschitz-like Realizability for Set Theory

Chen-Rathjen (2012) introduced Lifschitz realizability for IZF. We generalize Chen-Rathjen's realizability to **any** partial multifunction **j**.

- Fix a partial multifunction j:⊆ P ⇒ P. For e ∈ P and a sentence φ of IZF from parameters from V^P, we define a relation e ⊩_P φ.
- For a primitive recursive relation *R*:

$$e \Vdash_{\mathbb{P}} R(\bar{a}) \iff \mathbb{N} \models R(\bar{a})$$
$$e \Vdash_{\mathbb{P}} \mathbb{N}(a) \iff a \in \mathbb{N} \& e = \underline{a}$$
$$e \Vdash_{\mathbb{P}} \operatorname{Set}(a) \iff a \in V_{\operatorname{set}}^{\mathbb{P}}$$

For set-theoretic symbols

 $e \Vdash_{\mathbb{P}} a \in b \iff \forall^+ d \in \mathbf{j}(e) \exists c \ [(\pi_0 d, c) \in b \land \pi_1 d \Vdash_{\mathbb{P}} a = c]$ $e \Vdash_{\mathbb{P}} a = b \iff (a, b \in \mathbb{N} \land a = b) \lor (\operatorname{Set}(a) \land \operatorname{Set}(b) \land \forall^+ d \in \mathbf{j}(e) \forall p, c \ [(p, c) \in a \to \pi_0 dp \Vdash_{\mathbb{P}} c \in b] \land \forall^+ d \in \mathbf{j}(e) \forall p, c \ [(p, c) \in b \to \pi_1 dp \Vdash_{\mathbb{P}} c \in a].$

Here, we write $\forall^+ x \in X A(x)$ if both $X \neq \emptyset$ and $\forall x \in X A(x)$ hold.

For logical connectives:

$$e \Vdash_{\mathbb{P}} A \land B \iff \pi_{0} e \Vdash_{\mathbb{P}} A \land \pi_{1} e \Vdash_{\mathbb{P}} B$$

$$e \Vdash_{\mathbb{P}} A \lor B \iff \forall^{+} d \in \mathbf{j}(e) [(\pi_{0}d = 0 \land \pi_{1}d \Vdash_{\mathbb{P}} A) \lor (\pi_{0}d = 1 \land \pi_{1}d \Vdash_{\mathbb{P}} B)]$$

$$e \Vdash_{\mathbb{P}} \neg A \iff (\forall a \in \underline{\mathbf{P}}) a \not\Vdash_{\mathbb{P}} A$$

$$e \Vdash_{\mathbb{P}} A \to B \iff (\forall a \in \underline{\mathbf{P}}) [a \Vdash_{\mathbb{P}} A \to ea \Vdash_{\mathbb{P}} B].$$

For quantifiers:

$$e \Vdash_{\mathbb{P}} \forall xA \iff (\forall^+ d \in j(e))(\forall c \in V^{\mathbb{P}}) e \Vdash_{\mathbb{P}} A[c/x]$$
$$e \Vdash_{\mathbb{P}} \exists xA \iff (\forall^+ d \in j(e))(\exists c \in V^{\mathbb{P}}) e \Vdash_{\mathbb{P}} A[c/x].$$

• A formula φ is **j**-realizable over \mathbb{P} if there is $e \in P$ such that $e \Vdash_{\mathbb{P}} \varphi$.

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