

# Constructing classical realizability models of Zermelo-Fraenkel set theory

Alexandre Miquel  
Plume team – LIP/ENS Lyon

June 5th, 2012  
Réalisation à Chambéry

# Plan

- 1 The theory ZF<sub>ε</sub>
- 2 The model  $\mathcal{M}^{(\mathcal{A})}$  of  $\mathcal{A}$ -names
- 3 Realizing the axioms of ZF<sub>ε</sub>
- 4 Realizing more axioms
- 5 Realizability algebras
- 6 Properties of the model  $\mathcal{M}^{(\mathcal{A})}$

# Plan

- 1 The theory ZF $_{\epsilon}$
- 2 The model  $\mathcal{M}^{(\mathcal{A})}$  of  $\mathcal{A}$ -names
- 3 Realizing the axioms of ZF $_{\epsilon}$
- 4 Realizing more axioms
- 5 Realizability algebras
- 6 Properties of the model  $\mathcal{M}^{(\mathcal{A})}$

# Why ZF<sub>ε</sub> ?

- A similar difficulty occurs in the construction of
  - a forcing model of ZF [Cohen'63]
  - a Boolean-valued model of ZF [Scott, Solovay, Vopěnka]
  - a realizability model of IZF [Myhill-Friedman'73, McCarty'84]
  - a classical realizability model of ZF [Krivine'00]

which is the interpretation of the **axiom of extensionality** :

$$\forall x \forall y [x = y \Leftrightarrow \forall z (z \in x \Leftrightarrow z \in y)]$$

- The reason is that in these models, sets cannot be given a canonical representation  $\rightsquigarrow$  need some **extensional collapse**  
(A similar problem occurs in CS when manipulating sets)
- Most authors solve the problem in the model, when defining the interpretation of extensional equality and membership
- Krivine proposes to address the problem in the syntax, using a non extensional presentation of ZF called **ZF<sub>ε</sub>** (= assembly language for ZF)

# The language of ZF<sub>ε</sub>

## Formulas

$$\begin{aligned} \phi, \psi ::= & x \notin y \mid x \in y \mid x \subseteq y \\ & \mid \top \mid \perp \mid \phi \Rightarrow \psi \mid \forall x \phi \end{aligned}$$

- Abbreviations :

$$\begin{aligned} \neg \phi &\equiv \phi \Rightarrow \perp & x \varepsilon y &\equiv \neg(x \notin y) \\ \phi \wedge \psi &\equiv \neg(\phi \Rightarrow \psi \Rightarrow \perp) & x \in y &\equiv \neg(x \notin y) \\ \phi \vee \psi &\equiv \neg\phi \Rightarrow \neg\psi \Rightarrow \perp & x \approx y &\equiv x \subseteq y \wedge y \subseteq x \\ \phi \Leftrightarrow \psi &\equiv (\phi \Rightarrow \psi) \wedge (\psi \Rightarrow \phi) & & \\ \exists x \{\phi_1 \ \& \ \dots \ \& \ \phi_n\} &\equiv \neg \forall x (\phi_1 \Rightarrow \dots \Rightarrow \phi_n \Rightarrow \perp) & & \\ (\forall x \varepsilon a) \phi &\equiv \forall x (x \varepsilon a \Rightarrow \phi) & (\exists x \varepsilon a) \phi &\equiv \exists x \{x \varepsilon a \ \& \ \phi\} \\ (\forall x \in a) \phi &\equiv \forall x (x \in a \Rightarrow \phi) & (\exists x \in a) \phi &\equiv \exists x \{x \in a \ \& \ \phi\} \end{aligned}$$

- A formula  $\phi$  is **extensional** if it does not contain  $\notin$ 
  - Formulas  $x \in y$ ,  $x \subseteq y$ ,  $x \approx y$  are extensional //  $x \varepsilon y$  is not.
  - Extensional formulas are the formulas of ZF

# The axioms of ZF<sub>ε</sub>

<b>Extensionality</b>	$\forall x \forall y (x \in y \Leftrightarrow (\exists z \varepsilon y) x \approx z)$ $\forall x \forall y (x \subseteq y \Leftrightarrow (\forall z \varepsilon x) z \in y)$
<b>Foundation</b>	$\forall \vec{z} [\forall x ((\forall y \varepsilon x) \phi(y, \vec{z}) \Rightarrow \phi(x, \vec{z})) \Rightarrow \forall x \phi(x, \vec{z})]$
<b>Comprehension</b>	$\forall \vec{z} \forall a \exists b \forall x (x \varepsilon b \Leftrightarrow x \varepsilon a \wedge \phi(x, \vec{z}))$
<b>Pairing</b>	$\forall a \forall b \exists c \{a \varepsilon c \ \& \ b \varepsilon c\}$
<b>Union</b>	$\forall a \exists b (\forall x \varepsilon a) (\forall y \varepsilon x) y \varepsilon b$
<b>Powerset</b>	$\forall a \exists b \forall x (\exists y \varepsilon b) \forall z (z \varepsilon y \Leftrightarrow z \varepsilon x \wedge z \varepsilon a)$
<b>Collection</b>	$\forall \vec{z} \forall a \exists b (\forall x \varepsilon a) [\exists y \phi(x, y, \vec{z}) \Rightarrow (\exists y \varepsilon b) \phi(x, y, \vec{z})]$
<b>Infinity</b>	$\forall \vec{z} \forall a \exists b \{a \varepsilon b \ \& \ (\forall x \varepsilon b) (\exists y \phi(x, y, \vec{z}) \Rightarrow (\exists y \varepsilon b) \phi(x, y, \vec{z}))\}$

- Proofs formalized in natural deduction + Peirce's law

# The extensional relations $\in$ , $\subseteq$ and $\approx$

(1/2)

- Extensionality axioms define  $\in$  and  $\subseteq$  by mutual induction

$$\begin{aligned} x' \in y &\Leftrightarrow (\exists y' \varepsilon y) x' \approx y' \\ &\Leftrightarrow (\exists y' \varepsilon y) \{x' \subseteq y' \ \& \ y' \subseteq x'\} \\ x \subseteq y &\Leftrightarrow (\forall x' \varepsilon x) x' \in y \\ &\Leftrightarrow (\forall x' \varepsilon x) (\exists y' \varepsilon y) \{x' \subseteq y' \ \& \ y' \subseteq x'\} \end{aligned}$$

- Foundation scheme expresses that  $\varepsilon$  is well-founded :

$$\forall \vec{z} [\forall x ((\forall y \varepsilon x) \phi(y, \vec{z}) \Rightarrow \phi(x, \vec{z})) \Rightarrow \forall x \phi(x, \vec{z})]$$

- Combining Extensionality with Foundation, we get :

**Reflexivity :**  $\text{ZF}_\varepsilon \vdash \forall x (x \subseteq x)$

Induction hypothesis :  $\phi(x) \equiv x \subseteq x$

- Consequences :  $\text{ZF}_\varepsilon \vdash \forall x (x \approx x)$   
 $\text{ZF}_\varepsilon \vdash \forall x \forall y (x \varepsilon y \Rightarrow x \in y)$

# The extensional relations $\in$ , $\subseteq$ and $\approx$

(2/2)

- From Extensionality, we have :

$$x \subseteq y \Leftrightarrow (\forall x' \varepsilon x) (\exists y' \varepsilon y) \{x' \subseteq y' \ \& \ y' \subseteq x'\}$$

- Combined with Foundation again, we get :

**Transitivity :**  $\text{ZF}_\varepsilon \vdash \forall x \forall y \forall z (x \subseteq y \Rightarrow y \subseteq z \Rightarrow x \subseteq z)$

Induction hypothesis :  $\phi(x) \equiv \forall y \forall z (x \subseteq y \Rightarrow y \subseteq z \Rightarrow x \subseteq z) \wedge$   
 $\forall y \forall z (z \subseteq y \Rightarrow y \subseteq x \Rightarrow z \subseteq x)$

- So that :
  - Inclusion  $x \subseteq y$  is a preorder
  - Extensional equality  $x \approx y$  is the associated equivalence relation
- Extensional (ZF) definitions of  $\subseteq$  and  $\approx$  are then derivable :

$$\text{ZF}_\varepsilon \vdash \forall x \forall y [x \subseteq y \Leftrightarrow \forall z (z \in x \Rightarrow z \in y)]$$

$$\text{ZF}_\varepsilon \vdash \forall x \forall y [x \approx y \Leftrightarrow \forall z (z \in x \Leftrightarrow z \in y)]$$



# Extensional peeling

- We can now derive that  $\approx$  is **compatible** with the two primitive extensional predicates  $\notin$  and  $\subseteq$  :

$$\text{ZF}_\varepsilon \vdash \forall x \forall y \forall z (x \approx y \Rightarrow x \notin z \Rightarrow y \notin z)$$

$$\text{ZF}_\varepsilon \vdash \forall x \forall y \forall z (x \approx y \Rightarrow z \notin x \Rightarrow z \notin y)$$

$$\text{ZF}_\varepsilon \vdash \forall x \forall y \forall z (x \approx y \Rightarrow x \subseteq z \Rightarrow y \subseteq z)$$

$$\text{ZF}_\varepsilon \vdash \forall x \forall y \forall z (x \approx y \Rightarrow z \subseteq x \Rightarrow z \subseteq y)$$

## Extensional peeling

For any **extensional formula**  $\phi(x, \vec{z})$  :

$$\text{ZF}_\varepsilon \vdash \forall \vec{z} \forall x \forall y [x \approx y \Rightarrow (\phi(x, \vec{z}) \Leftrightarrow \phi(y, \vec{z}))]$$

**Proof** : by structural induction on  $\phi(x, \vec{z})$

- Remarks :
  - Proof structurally depends on  $\phi(x, \vec{z}) \rightsquigarrow$  **non parametric**
  - Only holds when  $\phi(x, \vec{z})$  is extensional. Counter-example :

$$x \approx y \not\Rightarrow (x \varepsilon z \Leftrightarrow y \varepsilon z)$$

# Consequences of extensional peeling

- Extensional peeling is the tool to derive the usual extensional axioms of ZF from their intensional formulation in ZF<sub>ε</sub>. But schemes need to be restricted to **extensional formulas** (as in ZF)
- In ZF<sub>ε</sub>, (intensional) Foundation and Comprehension schemes

$$\forall \vec{z} [\forall x ((\forall y \varepsilon x) \phi(y, \vec{z}) \Rightarrow \phi(x, \vec{z})) \Rightarrow \forall x \phi(x, \vec{z})]$$

$$\forall \vec{z} \forall a \exists b \forall x (x \varepsilon b \Leftrightarrow x \varepsilon a \wedge \phi(x, \vec{z}))$$

hold for **any** formula  $\phi(x, \vec{z})$

(may contain  $\varepsilon$ )

- Combined with extensional peeling, we get

## Foundation & Comprehension : ZF formulation

$$\text{ZF}_\varepsilon \vdash \forall \vec{z} [\forall x ((\forall y \in x) \phi(y, \vec{z}) \Rightarrow \phi(x, \vec{z})) \Rightarrow \forall x \phi(x, \vec{z})]$$

$$\text{ZF}_\varepsilon \vdash \forall \vec{z} \forall a \exists b \forall x (x \in b \Leftrightarrow x \in a \wedge \phi(x, \vec{z}))$$

for any **extensional** formula  $\phi(x, \vec{z})$

(cannot contain  $\varepsilon$ )

# Leibniz equality and intensional peeling

- Leibniz equality is definable in ZF<sub>ε</sub> :

$$x = y \equiv \forall z (x \notin z \Rightarrow y \notin z) \quad (\text{Could replace } \notin \text{ by } \in)$$

- Thanks to (intensional) Comprehension, we get :

## Intensional peeling

For any formula  $\phi(x, \vec{z})$  :

$$\text{ZF}_\varepsilon \vdash \forall \vec{z} \forall x \forall y [x = y \Rightarrow (\phi(x, \vec{z}) \Leftrightarrow \phi(y, \vec{z}))]$$

**Proof :** We only need to prove  $x = y \Rightarrow (\phi(y, \vec{z}) \Rightarrow \phi(x, \vec{z}))$ .  
(For the converse direction : replace  $\phi(x, \vec{z})$  by  $\neg\phi(x, \vec{z})$ .)

Assume  $x = y$  and  $\phi(y, \vec{z})$ . From Pairing, there exists  $u$  such that  $y \in u$ .

From Comprehension, there exists  $u'$  such that  $\forall x (x \in u' \Leftrightarrow x \in u \wedge \phi(x, \vec{z}))$ .

By construction, we have  $y \in u'$  (since  $y \in u$  and  $\phi(y, \vec{z})$ ).

Since  $x = y$ , we get  $x \in u'$  (by contraposition). Therefore :  $x \in u$  and  $\phi(x, \vec{z})$ .

- Remarks :

- Proof does not structurally depend on  $\phi(x, \vec{z}) \rightsquigarrow$  **parametric**
- This property holds for any formula  $\phi(x, \vec{z})$ .

# Strong inclusion, strong equivalence

- Let
 
$$x \sqsubseteq y \equiv \forall z (z \varepsilon x \Rightarrow z \varepsilon y)$$

$$x \sim y \equiv \forall z (z \varepsilon x \Leftrightarrow z \varepsilon y) \quad (\Leftrightarrow x \sqsubseteq y \wedge y \sqsubseteq x)$$

- Remarks :

- $x \sqsubseteq y$  is a preorder, stronger than  $x \subseteq y$
- $x \sim y$  is the associated equivalence
- $x \sim y$  weaker than  $x = y$ , stronger than  $x \approx y$   
(None of the converse implications is derivable)

- Going back to Comprehension :

$$\forall \vec{z} \forall a \exists b \forall x (x \varepsilon b \Leftrightarrow x \varepsilon a \wedge \phi(x, \vec{z}))$$

- The set  $b = \{x \varepsilon a : \phi(x)\}$  is **unique up to  $\sim$**  (and thus up to  $\approx$ ), but not up to  $=$  (Leibniz equality)

## Pairing and union

- In ZF<sub>ε</sub>, the (intensional) axioms of Pairing and Union only give upper approximations of the desired sets :

$$\begin{aligned} & \forall a \forall b \exists c \{a \in c \ \& \ b \in c\} \\ & \forall a \exists b (\forall x \in a) (\forall y \in x) y \in b \end{aligned}$$

- Cutting them by Comprehension, we get what we expect :

$$\begin{aligned} \text{ZF}_\varepsilon & \vdash \forall a \forall b \exists c' \forall x (x \in c' \Leftrightarrow x = a \vee x = b) \\ \text{ZF}_\varepsilon & \vdash \forall a \exists b' \forall x (x \in b' \Leftrightarrow (\exists y \in a) x \in y) \end{aligned}$$

Note that  $b'$  and  $c'$  are unique up to strong equivalence  $\sim$ .

- And by extensional peeling, we get :

### Pairing and Union : ZF formulation

$$\begin{aligned} \text{ZF}_\varepsilon & \vdash \forall a \forall b \exists c' \forall x (x \in c' \Leftrightarrow x \approx a \vee x \approx b) \\ \text{ZF}_\varepsilon & \vdash \forall a \exists b' \forall x (x \in b' \Leftrightarrow (\exists y \in a) x \in y) \end{aligned}$$

# Powerset

- In ZF<sub>ε</sub>, the (intensional) Powerset axiom only gives an upper approximation of the desired set :

$$\forall a \exists b \forall x (\exists y \varepsilon b) \forall z (z \varepsilon y \Leftrightarrow z \varepsilon x \wedge z \varepsilon a)$$

Intuitively :  $b$  contains a copy of all sets of the form  $x \cap a$

- Cutting  $b$  with Comprehension, we get :

$$\text{ZF}_\varepsilon \vdash \forall a \exists b' \{ (\forall x \varepsilon b') x \sqsubseteq a \ \& \ \forall x (x \sqsubseteq a \Rightarrow (\exists x' \varepsilon b') x \sim x') \}$$

Here,  $b'$  is unique up to  $\approx$ , but not up to  $\sim$ .

Cannot do better, since  $\{x : x \sqsubseteq a\}$  is a **proper class** in realizability models.

- And by extensional peeling, we get :

**Powerset : ZF formulation**

$$\text{ZF}_\varepsilon \vdash \forall a \exists b' \forall x (x \in b' \Leftrightarrow x \subseteq a)$$

# Collection and Infinity

- ZF<sub>ε</sub> comes with Collection and Infinity schemes :

$$\forall \vec{z} \forall a \exists b (\forall x \in a) [\exists y \phi(x, y, \vec{z}) \Rightarrow (\exists y \in b) \phi(x, y, \vec{z})]$$

$$\forall \vec{z} \forall a \exists b \{a \in b \ \& \ (\forall x \in b) (\exists y \phi(x, y, \vec{z}) \Rightarrow (\exists y \in b) \phi(x, y, \vec{z}))\}$$

for every formula  $\phi(x, y, \vec{z})$

## Collection and Infinity schemes : extensional formulation

$$\text{ZF}_\varepsilon \vdash \forall \vec{z} \forall a \exists b (\forall x \in a) [\exists y \phi(x, y, \vec{z}) \Rightarrow (\exists y \in b) \phi(x, y, \vec{z})]$$

$$\text{ZF}_\varepsilon \vdash \forall \vec{z} \forall a \exists b \{a \in b \ \& \ (\forall x \in b) (\exists y \phi(x, y, \vec{z}) \Rightarrow (\exists y \in b) \phi(x, y, \vec{z}))\}$$

for every extensional formula  $\phi(x, y, \vec{z})$

- In general, Collection is stronger than Replacement...  
... but in ZF, they are equivalent due to Foundation
- Infinity scheme implies the existence of infinite sets...  
... and it is equivalent in presence of Collection

# Conservativity

- All axioms of ZF are derivable in ZF<sub>ε</sub> :

**Proposition :** ZF<sub>ε</sub> is an extension of ZF

- Collapsing ε and ∈ :** For every formula  $\phi$  of ZF<sub>ε</sub>, write  $\phi^\dagger$  the formula of ZF obtained by collapsing  $\notin$  to  $\in$  in  $\phi$ .

**Proposition :** If ZF<sub>ε</sub> ⊢  $\phi$ , then ZF ⊢  $\phi^\dagger$

- Therefore, if ZF is consistent, then none of the formulas

$$\exists x \exists y (x \in y \wedge x \notin y), \quad \exists x \exists y (x \approx y \wedge x \neq y), \quad \text{etc.}$$

is derivable in ZF<sub>ε</sub> !

(But they are realized...)

## Theorem (Conservativity)

ZF<sub>ε</sub> is a conservative extension of ZF

(and thus equiconsistent)

**Proof :** Assume ZF<sub>ε</sub> ⊢  $\phi$ , where  $\phi$  is extensional. Then ZF ⊢  $\phi^\dagger$ . But  $\phi^\dagger \equiv \phi$ .



# Plan

- 1 The theory ZF<sub>ε</sub>
- 2 The model  $\mathcal{M}(\mathcal{A})$  of  $\mathcal{A}$ -names**
- 3 Realizing the axioms of ZF<sub>ε</sub>
- 4 Realizing more axioms
- 5 Realizability algebras
- 6 Properties of the model  $\mathcal{M}(\mathcal{A})$

The  $\lambda_c$ -calculus

(1/2)

## Syntax

<b>Terms</b>	$t, u ::= x \mid \lambda x . t \mid tu \mid \kappa \mid k_\pi$	$(\kappa \in \mathcal{K})$
<b>Stacks</b>	$\pi ::= \alpha \mid t \cdot \pi$	$(\alpha \in \Pi_0, t \text{ closed})$
<b>Processes</b>	$p, q ::= t \star \pi$	$(t \text{ closed})$

- Syntax of the language is parameterized by
  - A nonempty countable set  $\mathcal{K} = \{\kappa; \dots\}$  of **instructions**
  - A nonempty countable set  $\Pi_0 = \{\alpha; \dots\}$  of **stack constants**
- A term is **proof-like** if it contains no  $k_\pi$  (i.e. refers to no  $\alpha \in \Pi_0$ )
- Notations :
 

$\Lambda$	=	set of closed terms	
$\Pi$	=	set of stacks	
$\Lambda \star \Pi$	=	set of processes	
PL	=	set of closed proof-like terms	$(\subseteq \Lambda)$
- Each natural number  $n \in \omega$  is encoded as  $\bar{n} = \bar{s}^n \bar{0}$  ( $\in$  PL)  
 where  $\bar{0} \equiv \lambda xy . x$  and  $\bar{s} \equiv \lambda nxy . y (n x y)$

The  $\lambda_c$ -calculus

(2/2)

- We assume that the set  $\Lambda \star \Pi$  comes with a preorder  $p \succ p'$  of **evaluation** satisfying the following rules :

## Krivine Abstract Machine (KAM)

<b>Push</b>	$tu \star \pi$	$\succ$	$t \star u \cdot \pi$
<b>Grab</b>	$\lambda x . t \star u \cdot \pi$	$\succ$	$t\{x := u\} \star \pi$
<b>Save</b>	$\alpha \star u \cdot \pi$	$\succ$	$u \star k_\pi \cdot \pi$
<b>Restore</b>	$k_\pi \star u \cdot \pi'$	$\succ$	$u \star \pi$
	...		...

(+ reflexivity & transitivity)

- Evaluation not defined but **axiomatized**. The preorder  $p \succ p'$  is another parameter of the calculus, just like the sets  $\mathcal{K}$  and  $\Pi_0$
- Extensible machinery** : can add extra instructions and rules  
(We shall see examples later)
- An instance of the  $\lambda_c$ -calculus is defined by the triple  $(\mathcal{K}, \Pi_0, \succ)$

# Standard algebras

- Each classical realizability model (which is based on the  $\lambda$ -calculus) is parameterized by a set of processes  $\perp \subseteq \Lambda \star \Pi$  which is **saturated**, or **closed under anti-evaluation** (w.r.t.  $\succ$ ) :

$$\text{If } p \succ p' \text{ and } p' \in \perp, \text{ then } p \in \perp$$

$\rightsquigarrow$  Such a set  $\perp$  is used as the **pole** of the model

- We call a **standard algebra** any pair  $\mathcal{A} \equiv ((\mathcal{K}, \Pi_0, \succ), \perp)$  formed by
  - An instance  $(\mathcal{K}, \Pi_0, \succ)$  of the  $\lambda_c$ -calculus
  - A saturated set  $\perp \subseteq \Lambda \star \Pi$  (i.e. the pole of the algebra  $\mathcal{A}$ )
- We shall first see how to build a realizability model  $\mathcal{M}^{(\mathcal{A})}$  from an arbitrary standard algebra  $\mathcal{A}$ . But this construction more generally works when  $\mathcal{A}$  is an arbitrary **realizability algebra** (We shall see the general definition later)

# The ground model $\mathcal{M}$

- The whole construction is parameterized by :
  - An arbitrary model  $\mathcal{M}$  of ZFC, called the **ground model**
  - An arbitrary **standard algebra**  $\mathcal{A} \in \mathcal{M}$ , which is taken as a point of the ground model  $\mathcal{M}$
- In what follows, we call a **set** any point of  $\mathcal{M}$ 
  - We shall never consider sets outside  $\mathcal{M}$  !
  - We write  $\omega \in \mathcal{M}$  the set of natural numbers in  $\mathcal{M}$ . Elements of  $\omega$  are called the **standard natural numbers**<sup>1</sup>
  - We consider the sets  $\Lambda, \Pi, \succ, \perp$  that are defined from  $\mathcal{A}$  as points of the ground model  $\mathcal{M}$
  - All set-theoretic notations (e.g.  $\mathfrak{P}(X), \{x : \phi(x)\}$ , etc.) are taken relatively to the ground model  $\mathcal{M}$
- Only formulas (of ZF<sub>ε</sub>) live outside the ground model  $\mathcal{M}$

---

1. This is just a convention of terminology. The set  $\omega$  might contain numbers that are non standard according to the external/ambient/intuitive/meta theory.

# Building the model $\mathcal{M}^{(\mathcal{A})}$ of $\mathcal{A}$ -names

- By induction on  $\alpha \in \text{On}(\subseteq \mathcal{M})$ , we define a set  $\mathcal{M}_\alpha^{(\mathcal{A})}$  by

$$\mathcal{M}_\alpha = \bigcup_{\beta < \alpha} \mathfrak{P}(\mathcal{M}_\beta \times \Pi)$$

Note that :

- $\mathcal{M}_0^{(\mathcal{A})} = \emptyset$
  - $\mathcal{M}_{\alpha+1}^{(\mathcal{A})} = \mathfrak{P}(\mathcal{M}_\alpha^{(\mathcal{A})} \times \Pi)$
  - $\mathcal{M}_\alpha^{(\mathcal{A})} = \bigcup_{\beta < \alpha} \mathcal{M}_\beta^{(\mathcal{A})}$  (for  $\alpha$  limit ordinal)
- We write  $\mathcal{M}^{(\mathcal{A})} = \bigcup_{\alpha} \mathcal{M}_\alpha^{(\mathcal{A})}$  the (proper) class of  $\mathcal{A}$ -names
  - Given a name  $a \in \mathcal{M}^{(\mathcal{A})}$ , we write
    - $\text{dom}(a) = \{b : (\exists \pi \in \Pi) (b, \pi) \in a\}$  (the **domain** of  $a$ )
    - $\text{rk}(a)$  the smallest  $\alpha \in \text{On}$  s.t.  $a \in \mathcal{M}_\alpha^{(\mathcal{A})}$  (the **rank** of  $a$ )

# Structure of the interpretation

- Variables  $x_1, \dots, x_n, \dots$  of the language of ZF<sub>ε</sub> are interpreted as names  $a_1, \dots, a_n, \dots \in \mathcal{M}^{(\mathcal{A})}$ 
  - We call a **formula with parameters in  $\mathcal{M}^{(\mathcal{A})}$**  any formula of ZF<sub>ε</sub> enriched with constants taken in  $\mathcal{M}^{(\mathcal{A})}$  :
 
$$\phi(x_1, \dots, x_k) + a_1, \dots, a_k \in \mathcal{M}^{(\mathcal{A})} \rightsquigarrow \phi(a_1, \dots, a_k)$$
  - Formulas with parameters in  $\mathcal{M}^{(\mathcal{A})}$  constitute the **language of the realizability model  $\mathcal{M}^{(\mathcal{A})}$**
- Closed formulas  $\phi$  with parameters in  $\mathcal{M}^{(\mathcal{A})}$  are interpreted as two sets (i.e. points of  $\mathcal{M}$ ) :
  - A **falsity value**  $\|\phi\| \in \mathfrak{P}(\Pi)$
  - A **truth value**  $|\phi| \in \mathfrak{P}(\Lambda)$ , defined by **orthogonality** :

$$|\phi| = \|\phi\|^\perp = \{t \in \Lambda : (\forall \pi \in \|\phi\|)(t \star \pi \in \perp)\}$$

# Interpreting formulas

- Given a closed formula  $\phi$  with parameters in  $\mathcal{M}^{(\mathcal{A})}$  :

Falsity value  $\|\phi\| \in \mathfrak{P}(\Pi)$  defined by induction on the size of  $\phi$

$$\|a \notin b\|, \|a \notin b\|, \|a \subseteq b\| = (\text{postponed})$$

$$\|\top\| = \emptyset \quad \|\perp\| = \Pi$$

$$\|\phi \Rightarrow \psi\| = |\phi| \cdot \|\psi\| = \{t \cdot \pi : t \in |\phi|, \pi \in \|\psi\|\}$$

$$\|\forall x \phi(x)\| = \bigcup_{a \in \mathcal{M}^{(\mathcal{A})}} \|\phi(a)\| = \{\pi \in \Pi : (\exists a \in \mathcal{M}^{(\mathcal{A})}) \pi \in \|\phi(a)\|\}$$

Truth value  $\|\phi\| \in \mathfrak{P}(\Lambda)$  defined by orthogonality

$$|\phi| = \|\phi\|^\perp = \{t \in \Lambda : (\forall \pi \in \|\phi\|) (t \star \pi \in \perp)\}$$

- Notations :**
  - $t \Vdash \phi \equiv t \in |\phi|$  ( $t$  realizes  $\phi$ )
  - $\mathcal{M}^{(\mathcal{A})} \Vdash \phi \equiv \theta \Vdash \phi$  for some  $\theta \in \text{PL}$
  - $\equiv |\phi| \cap \text{PL} \neq \emptyset$  ( $\phi$  is realized)



# Anatomy of the interpretation

- **Denotation of units :**

$$\text{Falsity value} \quad \|\top\| = \emptyset \quad \|\perp\| = \Pi \quad (\text{by definition})$$

$$\text{Truth value} \quad |\top| = \emptyset^\perp = \Lambda \quad |\perp| = \Pi^\perp \quad (\text{by orthogonality})$$

- **Denotation of universal quantification :**

$$\text{Falsity value :} \quad \|\forall x \phi(x)\| = \bigcup_{a \in \mathcal{M}^{(\omega)}} \|\phi(a)\| \quad (\text{by definition})$$

$$\text{Truth value :} \quad |\forall x \phi(x)| = \bigcap_{a \in \mathcal{M}^{(\omega)}} |\phi(a)| \quad (\text{by orthogonality})$$

- **Denotation of implication :**

$$\text{Falsity value :} \quad \|\phi \Rightarrow \psi\| = |\phi| \cdot \|\psi\| \quad (\text{by definition})$$

$$\text{Truth value :} \quad |\phi \Rightarrow \psi| \subseteq |\phi| \rightarrow |\psi| \quad (\text{by orthogonality})$$

$$\text{writing } |\phi| \rightarrow |\psi| = \{t \in \Lambda : \forall u \in |\phi| \ tu \in |\psi|\} \quad (\text{realizability arrow})$$

- ① Converse inclusion does not hold in general, unless  $\perp$  closed under **Push**
- ② In all cases : If  $t \in |\phi| \rightarrow |\psi|$ , then  $\lambda x. tx \in |\phi \Rightarrow \psi|$  ( $\eta$ -expansion)

# Adequacy

## Deduction/typing rules

$$\begin{array}{c}
 \overline{\Gamma \vdash x : \phi} \quad (x:\phi) \in \Gamma \\
 \overline{\Gamma \vdash t : \top} \quad FV(t) \subseteq \text{dom}(\Gamma) \\
 \frac{\Gamma \vdash t : \perp}{\Gamma \vdash t : \phi} \\
 \frac{\Gamma, x : \phi \vdash t : \psi}{\Gamma \vdash \lambda x. t : \phi \Rightarrow \psi} \\
 \frac{\Gamma \vdash t : \phi \Rightarrow \psi \quad \Gamma \vdash u : \phi}{\Gamma \vdash tu : \psi} \\
 \frac{\Gamma \vdash t : \phi}{\Gamma \vdash t : \forall x \phi} \quad x \notin FV(\Gamma) \\
 \frac{\Gamma \vdash t : \forall x \phi}{\Gamma \vdash t : \phi\{x := e\}} \quad (e \text{ first-order term}) \\
 \overline{\Gamma \vdash \alpha : ((\phi \Rightarrow \psi) \Rightarrow \phi) \Rightarrow \phi}
 \end{array}$$

## Adequacy

- Given :
- a derivable judgment  $x_1 : \phi_1, \dots, x_n : \phi_n \vdash t : \phi$
  - a valuation  $\rho$  (in  $\mathcal{M}^{(\mathcal{A})}$ ) closing  $\phi_1, \dots, \phi_n, \phi$
  - realizers  $u_1 \Vdash \phi_1[\rho], \dots, u_n \Vdash \phi_n[\rho]$

We have :

$$t\{x_1 := u_1; \dots; x_n := u_n\} \Vdash \phi[\rho]$$

# Interpreting intensional membership

- Interpretation of  $\notin$  reminiscent from **forcing** in ZF [Cohen'63] and **intuitionistic realizability** in IZF [Myhill-Friedman'73, McCarty'84]
- In forcing / int. realizability, a name  $a \in \mathcal{M}^{(C)}$  is a set of pairs  $(b, p)$  where  $p \in C$  is a **certificate** witnessing that  $b \varepsilon a$  :

$(b, p) \in a$  means : “ $p$  forces/realizes  $b \varepsilon a$ ”

hence :  $\|b \varepsilon a\| = \{p \in C : (b, p) \in a\}$

- In forcing :  $p$  is a forcing condition
- In intuitionistic realizability :  $p$  is a realizer
- But in classical realizability, we use **refutations** (i.e. stacks) instead :

$(b, \pi) \in a$  means “ $\pi$  refutes  $b \notin a$ ”

hence :  $\|b \notin a\| = \{\pi \in \Pi : (b, \pi) \in a\}$

- $\pi \in \|b \notin a\|$  implies  $k_\pi \Vdash b \varepsilon a \equiv \neg b \notin a$
- $\|b \notin a\| = \emptyset = \|\top\|$  as soon as  $b \notin \text{dom}(a)$

# Interpreting atomic formulas

Interpretation of  $a' \notin a$ ,  $a \subseteq b$  and  $a' \notin b$   $(a, a', b \in \mathcal{M}^{(\mathcal{A})})$

$$\|a' \notin a\| = \{\pi \in \Pi : (a', \pi) \in a\}$$

$$\|a \subseteq b\| = \bigcup_{a' \in \text{dom}(a)} |a' \notin b| \cdot \|a' \notin a\|$$

$$\|a' \notin b\| = \bigcup_{b' \in \text{dom}(b)} |a' \subseteq b'| \cdot |b' \subseteq a'| \cdot \|b' \notin b\|$$

- Def. of  $\|a' \notin a\|$  is primitive (i.e. non recursive)
- Def. of  $\|a \subseteq b\|$  and  $\|a' \notin b\|$  is mutually recursive
  - Def. of  $\|a \subseteq b\|$  calls  $\|a' \notin b\|$  for all  $a' \in \text{dom}(a)$
  - Def. of  $\|a' \notin b\|$  calls  $\|a' \subseteq b'\|$  and  $\|b' \subseteq a'\|$  for all  $b' \in \text{dom}(b)$
- Hence the definition of  $\|a \subseteq b\|$  recursively calls  $\|a' \subseteq b'\|$  for  $a, b \in \mathcal{M}_\alpha^{(\mathcal{A})}$  for  $a', b' \in \mathcal{M}_\beta^{(\mathcal{A})}$  where  $\beta < \alpha$

# The interpretation of $\subseteq$

- Since  $\|c \notin a\| = \emptyset$  as soon as  $c \notin \text{dom}(a)$  :

$$\begin{aligned} \|a \subseteq b\| &= \bigcup_{c \in \text{dom}(a)} |c \notin b| \cdot \|c \notin a\| \\ &= \bigcup_{c \in \mathcal{M}^{(\mathcal{A})}} |c \notin b| \cdot \|c \notin a\| \\ &= \|\forall z (z \notin b \Rightarrow z \notin a)\| \end{aligned}$$

- Hence the atomic formula  $x \subseteq y$  has the very same semantics as the formula  $\forall z (z \notin y \Rightarrow z \notin x)$
- By adequacy, we can build  $\theta \in \text{PL}$  such that (Exercise : find  $\theta$ )

$$\theta \Vdash \forall x \forall y [\forall z (z \notin y \Rightarrow z \notin x) \Leftrightarrow (\forall z \varepsilon x) z \in y]$$

Realizing Extensionality for  $\subseteq$  :

$$\theta \Vdash \forall x \forall y (x \subseteq y \Leftrightarrow (\forall z \varepsilon x) z \in y)$$

# The interpretation of $\notin$

- Since  $\|c \notin b\| = \emptyset$  as soon as  $c \notin \text{dom}(b)$  :

$$\begin{aligned} \|a \notin b\| &= \bigcup_{c \in \text{dom}(b)} |a \subseteq c| \cdot |c \subseteq a| \cdot \|c \notin b\| \\ &= \bigcup_{c \in \mathcal{M}^{(\mathcal{A})}} |a \subseteq c| \cdot |c \subseteq a| \cdot \|c \notin b\| \\ &= \|\forall z (a \subseteq z \Rightarrow z \subseteq a \Rightarrow z \notin b)\| \end{aligned}$$

- Hence the atomic formula  $x \notin y$  has the very same semantics as the formula  $\forall z (x \subseteq z \Rightarrow z \subseteq x \Rightarrow z \notin y)$
- By adequacy, we can build  $\theta' \in \text{PL}$  such that (Exercise : find  $\theta'$ )

$$\theta' \Vdash \forall x \forall y [\neg \forall z (x \subseteq z \Rightarrow z \subseteq x \Rightarrow z \notin y) \Leftrightarrow (\exists z \varepsilon y) x \approx z]$$

Realizing Extensionality for  $\in$  :

$$\theta' \Vdash \forall x \forall y (x \in y \Leftrightarrow (\exists z \varepsilon y) x \approx z)$$

# Discriminating $\varepsilon$ and $\in$

• Let  $\tilde{\emptyset} = \emptyset$  and  $\tilde{\emptyset}' = \{\tilde{\emptyset}\} \times \|\perp \Rightarrow \perp\|$

• In the case where  $\perp \neq \emptyset$ , we have :

$$\Pi^\perp \neq \emptyset \rightsquigarrow \|\perp \Rightarrow \perp\| = \Pi^\perp \cdot \Pi \neq \emptyset \rightsquigarrow \tilde{\emptyset} \neq \tilde{\emptyset}'$$

• But both names  $\tilde{\emptyset}$  and  $\tilde{\emptyset}'$  represent the empty set :

①  $\theta \Vdash \forall x (x \notin \tilde{\emptyset})$  ( $\theta \in \text{PL}$  arbitrary)

②  $\mathbf{I} \Vdash \forall x (x \notin \tilde{\emptyset}')$

③ Therefore :  $\mathcal{M}^{(\mathcal{A})} \Vdash \tilde{\emptyset} \approx \tilde{\emptyset}'$

• Writing  $a = \{\tilde{\emptyset}\} \times \Pi$ , we get :

①  $\mathbf{I} \Vdash \tilde{\emptyset} \varepsilon a$  and  $\theta \Vdash \tilde{\emptyset}' \notin a$  ( $\theta \in \text{PL}$  arbitrary)

② Therefore :  $\mathcal{M}^{(\mathcal{A})} \Vdash \tilde{\emptyset} \neq \tilde{\emptyset}'$

③ Moreover :  $\mathcal{M}^{(\mathcal{A})} \Vdash \tilde{\emptyset}' \varepsilon a$  (since  $\mathcal{M}^{(\mathcal{A})} \Vdash \tilde{\emptyset} \approx \tilde{\emptyset}'$ )

# Plan

- 1 The theory ZF<sub>ε</sub>
- 2 The model  $\mathcal{M}^{(\mathcal{A})}$  of  $\mathcal{A}$ -names
- 3 Realizing the axioms of ZF<sub>ε</sub>**
- 4 Realizing more axioms
- 5 Realizability algebras
- 6 Properties of the model  $\mathcal{M}^{(\mathcal{A})}$



# Realizing the axioms of ZF<sub>ε</sub>

- For every axiom  $\phi$  of ZF<sub>ε</sub>, we want to show that :
  - There is  $\theta \in \text{PL}$  such that  $\theta \Vdash \phi$
  - Which we write :  $\mathcal{M}^{(\mathcal{A})} \Vdash \phi$
- We have already shown that :

## Realizing Extensionality

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall x \forall y (x \in y \Leftrightarrow (\exists z \varepsilon y) x \approx z)$$

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall x \forall y (x \subseteq y \Leftrightarrow (\forall z \varepsilon x) z \in y)$$

- We now need to realize the following :
  - Foundation scheme
  - Comprehension scheme
  - Pairing and Union axioms
  - Powerset axiom
  - Collection & Infinity schemes (we shall only consider Collection)

# Realizing Foundation

- Consider Turing's fixpoint combinator :

$$\mathbf{Y} \equiv (\lambda y f . f (y y f)) (\lambda y f . f (y y f))$$

- We have :  $\mathbf{Y} \star t \cdot \pi \succ t \star (\mathbf{Y} t) \cdot \pi \quad (t \in \Lambda, \pi \in \Pi)$

## Proposition

For any formula  $\psi(x)$  with parameters in  $\mathcal{M}^{(\mathcal{A})}$ , we have :

$$\mathbf{Y} \Vdash \forall x (\forall y (\psi(y) \Rightarrow y \notin x) \Rightarrow \neg \psi(x)) \Rightarrow \forall x \neg \psi(x)$$

**Proof :** We show that  $\mathbf{Y} \Vdash \forall x (\forall y (\psi(y) \Rightarrow y \notin x) \Rightarrow \neg \psi(x)) \Rightarrow \neg \psi(a)$  for all  $a \in \mathcal{M}^{(\mathcal{A})}$ , by induction on  $\text{rk}(a)$ .

## Realizing foundation

For any formula  $\phi(x, \vec{z})$ , we have :

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{z} [\forall x ((\forall y \varepsilon x) \phi(y, \vec{z}) \Rightarrow \phi(x, \vec{z})) \Rightarrow \forall x \phi(x, \vec{z})]$$

# Realizing witnessed existential formulas

## Lemma

Let  $\phi(x_1, \dots, x_n, y)$  be a formula and  $\theta \in \text{PL}$  such that :

$$(\forall a_1, \dots, a_n \in \mathcal{M}^{(\mathcal{A})}) (\exists b \in \mathcal{M}^{(\mathcal{A})}) \theta \Vdash \phi(a_1, \dots, a_n, b)$$

Then :  $\lambda z . z \theta \Vdash \forall x_1 \cdots \forall x_n \exists y \phi(x_1, \dots, x_n, y)$

- More generally :

## Lemma

Given  $- k$  formulas  $\phi_1(\vec{x}, y), \dots, \phi_k(\vec{x}, y)$  ( $\vec{x} \equiv x_1, \dots, x_n$ )  
 $- k$  terms  $\theta_1, \dots, \theta_k \in \text{PL}$

such that :

$$(\forall \vec{a} \in \mathcal{M}^{(\mathcal{A})}) (\exists b \in \mathcal{M}^{(\mathcal{A})}) (\theta_1 \Vdash \phi_1(\vec{a}, b) \wedge \cdots \wedge \theta_k \Vdash \phi_k(\vec{a}, b))$$

Then :  $\lambda z . z \theta_1 \cdots \theta_k \Vdash \forall \vec{x} \exists y \{ \phi_1(\vec{x}, y) \& \cdots \& \phi_k(\vec{x}, y) \}$

# Realizing Comprehension

(1/2)

- Given a name  $a \in \mathcal{M}^{(\mathcal{A})}$  and a formula  $\phi(x)$  (with params in  $\mathcal{M}^{(\mathcal{A})}$ )

$$\text{Let :} \quad b = \bigcup_{c \in \text{dom}(a)} \{c\} \times \|\phi(c) \Rightarrow c \notin a\|$$

- By construction, we have :
  - $\text{dom}(b) \subseteq \text{dom}(a)$
  - $\|c \notin b\| = \|\phi(c) \Rightarrow c \notin a\|$  for all  $c \in \mathcal{M}^{(\mathcal{A})}$   
 (Since  $\|c \notin b\| = \emptyset = \|\phi(c) \Rightarrow c \notin a\|$  as soon as  $c \notin \text{dom}(a)$ )
- This means that :
  - $x \notin b$  has the same semantics as  $\phi(x) \Rightarrow x \notin a$
  - $x \in b \equiv \neg x \notin b$  has the same semantics as  $\neg(\phi(x) \Rightarrow x \notin a)$

# Realizing Comprehension

(2/2)

- Let  $\theta_1$  and  $\theta_2$  be proof-like terms such that :

$$\theta_1 \Vdash \forall x [\neg(\phi(x) \Rightarrow x \notin a) \Rightarrow x \in a \wedge \phi(x)]$$

$$\theta_2 \Vdash \forall x [x \in a \wedge \phi(x) \Rightarrow \neg(\phi(x) \Rightarrow x \notin a)]$$

- Since  $x \in b$  has the same semantics as  $\neg(\phi(x) \Rightarrow x \notin a)$  :

$$\theta_1 \Vdash \forall x [x \in b \Rightarrow x \in a \wedge \phi(x)]$$

$$\theta_2 \Vdash \forall x [x \in a \wedge \phi(x) \Rightarrow x \in b]$$

$$\lambda u . u \theta_1 \theta_2 \Vdash \forall x [x \in b \Leftrightarrow x \in a \wedge \phi(x)]$$

- Hence (by Lemma) :

## Realizing Comprehension

For every formula  $\phi(\vec{z}, x)$  :

$$\lambda z . z (\lambda u . u \theta_1 \theta_2) \Vdash \forall \vec{z} \forall a \exists b \forall x (x \in b \Leftrightarrow x \in a \wedge \phi(x, \vec{z}))$$

# Realizing Pairing

- Given  $a, b \in \mathcal{M}^{(\mathcal{A})}$ , let

$$c = \{a; b\} \times \Pi$$

- We have  $\|a \notin c\| = \|b \notin c\| = \|\perp\|$ , hence :

$$\begin{aligned} \mathbf{I} \Vdash a \varepsilon c & \quad (\equiv \neg a \notin c) \\ \mathbf{I} \Vdash b \varepsilon c & \quad (\equiv \neg b \notin c) \end{aligned}$$

- Hence (by Lemma) :

## Realizing Pairing

$$\lambda z. z \mathbf{I} \Vdash \forall a \forall b \exists c \{a \varepsilon c \ \& \ b \varepsilon c\}$$

# Realizing Union

- Given  $a \in \mathcal{M}^{(\mathcal{A})}$ , let 
$$b = \bigcup_{a' \in \text{dom}(a)} a'$$

## Lemma

For all  $a', a'' \in \mathcal{M}^{(\mathcal{A})}$  :  $\|a'' \notin b \Rightarrow a' \notin a\| \subseteq \|a'' \notin a' \Rightarrow a' \notin a\|$

**Proof :** We notice that  $\|a'' \notin a'\| \subseteq \|a'' \notin b\|$  as soon as  $a' \in \text{dom}(a)$ .

- Hence

$$\mathbf{I} \Vdash \forall x \forall y ((y \notin x \Rightarrow x \notin a) \Rightarrow (y \notin b \Rightarrow x \notin a))$$

so we can find  $\theta \in \text{PL}$  such that :

$$\theta \Vdash \forall x \forall y (x \varepsilon a \Rightarrow y \varepsilon x \Rightarrow y \varepsilon b)$$

- Therefore :

## Realizing Union

$$\lambda z . z \theta \Vdash \forall a \exists b (\forall x \varepsilon a) (\forall y \varepsilon x) y \varepsilon b$$

# Realizing Powerset

- Given  $a \in \mathcal{M}^{(\mathcal{A})}$ , let  $b = \wp(\text{dom}(a) \times \Pi) \times \Pi$

- For every  $c \in \mathcal{M}^{(\mathcal{A})}$ , write :

$$c|_a = \bigcup_{d \in \text{dom}(a)} \{d\} \times \|d \varepsilon c \Rightarrow d \notin a\|$$

- We notice that :

- Formula  $z \notin c|_a$  has the same semantics as  $z \varepsilon c \Rightarrow z \notin a$ .  
Hence there is  $\theta \in \text{PL}$  such that :

$$\theta \Vdash \forall z (z \varepsilon c|_a \Leftrightarrow z \varepsilon c \wedge z \varepsilon a)$$

- $\text{dom}(c|_a) \in \wp(\text{dom}(a) \times \Pi)$ , hence  $\|c|_a \notin b\| = \|\perp\|$ ,  
and thus :  $\mathbf{1} \Vdash c|_a \varepsilon b$

- Therefore :

## Realizing Powerset

$$\lambda z . z (\lambda z' . z' \mathbf{1} \theta) \Vdash \forall a \exists b \forall x (\exists y \varepsilon b) \forall z (z \varepsilon y \Leftrightarrow z \varepsilon x \wedge z \varepsilon a)$$



# Realizing Collection

- Let  $\phi(x, y)$  a formula with parameters in  $\mathcal{M}^{(\mathcal{A})}$  and  $a \in \mathcal{M}^{(\mathcal{A})}$
- Using Collection in  $\mathcal{M}$ , consider a set  $B$  such that :

$$(\forall c \in \text{dom}(a)) (\forall t \in \Lambda) [\exists d (d \in \mathcal{M}^{(\mathcal{A})} \wedge t \Vdash \phi(c, d)) \Rightarrow (\exists d \in B) (d \in \mathcal{M}^{(\mathcal{A})} \wedge t \Vdash \phi(c, d))]$$

(Wlog, we can assume that  $B \subseteq \mathcal{M}^{(\mathcal{A})}$ )

- Writing  $b = B \times \Pi$ , we have :

## Lemma

For all  $c \in \mathcal{M}^{(\mathcal{A})}$  :  $\|\forall y (\phi(c, y) \Rightarrow x \notin a)\| \subseteq \|\forall y (\phi(c, y) \Rightarrow y \notin b)\|$

- Hence  $\mathbf{I} \Vdash \forall x [\forall y (\phi(x, y) \Rightarrow y \notin b) \Rightarrow \forall y (\phi(x, y) \Rightarrow x \notin a)]$   
so there is  $\theta \in \text{PL}$  s.t. :  $\theta \Vdash (\forall x \varepsilon a) [\exists y \phi(x, y) \Rightarrow (\exists y \varepsilon b) \phi(x, y)]$

## Realizing Collection

For every formula  $\phi(x, y, \vec{z})$  :

$$\lambda z . z \theta \Vdash \forall \vec{z} \forall a \exists b (\forall x \varepsilon a) [\exists y \phi(x, y, \vec{z}) \Rightarrow (\exists y \varepsilon b) \phi(x, y, \vec{z})]$$

# Plan

- 1 The theory ZF<sub>ε</sub>
- 2 The model  $\mathcal{M}^{(\mathcal{A})}$  of  $\mathcal{A}$ -names
- 3 Realizing the axioms of ZF<sub>ε</sub>
- 4 Realizing more axioms**
- 5 Realizability algebras
- 6 Properties of the model  $\mathcal{M}^{(\mathcal{A})}$

## Adding function symbols

(1/2)

- It is often convenient to enrich the language of ZF<sub>ε</sub> with a  $k$ -ary function symbol  $f$  interpreted as a  $k$ -ary class function

$$f : \underbrace{\mathcal{M}(\mathcal{A}) \times \dots \times \mathcal{M}(\mathcal{A})}_k \rightarrow \mathcal{M}(\mathcal{A})$$

- We say that  $f$  is **extensional** when

$$\mathcal{M}(\mathcal{A}) \Vdash \forall \vec{x} \forall \vec{y} (\vec{x} \approx \vec{y} \Rightarrow f(\vec{x}) \approx f(\vec{y}))$$

**Beware :** This is usually not the case!

- But in all cases, we have

$$\mathcal{M}(\mathcal{A}) \Vdash \forall \vec{x} \forall \vec{y} (\vec{x} = \vec{y} \Rightarrow f(\vec{x}) = f(\vec{y}))$$

(due to intensional peeling)

# Adding function symbols

(2/2)

- **Example :** Consider the successor function  $s(-)$ , that is defined for all  $a \in \mathcal{M}^{(\mathcal{A})}$  by

$$s(a) = \{(b, \bar{0} \cdot \pi) : (b, \pi) \in \text{dom}(a)\} \cup \{(a, \bar{1} \cdot \pi) : \pi \in \Pi\}$$

## Intensional/extensional characterization of $s$

- 1  $\mathcal{M}^{(\mathcal{A})} \Vdash \forall x \forall y (y \in s(x) \Leftrightarrow y \in x \vee y = x)$
- 2  $\mathcal{M}^{(\mathcal{A})} \Vdash \forall x \forall y (y \in s(x) \Leftrightarrow y \in x \vee y \approx x)$
- 3 The successor function  $s$  is extensional

- Actually, this function is **intensionally injective** :

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall x \forall y (s(x) = s(y) \Rightarrow x = y)$$

**Proof :** Consider a function  $p(-)$  ('predecessor') such that  $p(s(a)) = a$  for all  $a \in \mathcal{M}^{(\mathcal{A})}$

# Constructing the set $\tilde{\omega}$ of natural numbers

- Let  $\tilde{0} = \emptyset$  and  $\widetilde{n+1} = s(\tilde{n})$  (for all  $n \in \omega$ )
- Put  $\tilde{\omega} = \{(\tilde{n}, \bar{n} \cdot \pi) : n \in \omega, \pi \in \Pi\}$

## Intensional properties of $\tilde{\omega}$

- $\mathcal{M}^{(\mathcal{A})} \Vdash \forall y (y \notin \tilde{0})$
- $\mathcal{M}^{(\mathcal{A})} \Vdash \forall x \forall y (y \varepsilon s(x) \Leftrightarrow y \varepsilon x \vee y = x)$
- $\mathcal{M}^{(\mathcal{A})} \Vdash \tilde{0} \varepsilon \tilde{\omega}$
- $\mathcal{M}^{(\mathcal{A})} \Vdash (\forall x \varepsilon \tilde{\omega}) s(x) \varepsilon \tilde{\omega}$
- $\mathcal{M}^{(\mathcal{A})} \Vdash \phi(\tilde{0}) \Rightarrow (\forall x \varepsilon \tilde{\omega}) (\phi(x) \Rightarrow \phi(s(x))) \Rightarrow (\forall x \varepsilon \tilde{\omega}) \phi(x)$

where  $\phi(x)$  is **any** formula with parameters in  $\mathcal{M}^{(\mathcal{A})}$

- **Remark :** This implementation of  $\omega$  provides a canonical **intensional** representation of natural numbers :

$$\mathcal{M}^{(\mathcal{A})} \Vdash (\forall x \varepsilon \tilde{\omega}) (\forall y \varepsilon \tilde{\omega}) (x \approx y \Leftrightarrow x = y)$$

# The “type” of natural numbers : $\mathbb{N}$

- Recall that :  $\tilde{\omega} = \{(\tilde{p}, \bar{p} \cdot \pi) : p \in \omega, \pi \in \Pi\}$   
and put :  $\mathbb{N} = \{(\tilde{p}, \pi) : p \in \omega, \pi \in \Pi\}$   
 $\mathbb{N}_n = \{(\tilde{p}, \pi) : p < n, \pi \in \Pi\}$
- From the definition, we have :  $\mathcal{M}^{(\omega)} \Vdash \tilde{\omega} \sqsubseteq \mathbb{N}$
- Distinction between (intensional) elements of  $\tilde{\omega}$  and of  $\mathbb{N}$  is the same as between **natural numbers** and **individuals** in 2nd-order logic
- Krivine showed that in some models (such as the threads model) :
  - Inclusion  $\tilde{\omega} \sqsubseteq \mathbb{N}$  is strict
  - $\mathbb{N}$  is (intensionally) not denumerable
  - Subsets  $\mathbb{N}_n \sqsubseteq \mathbb{N}$  have amazing (intensional) cardinality properties
- However, the set  $\mathbb{N}$  is extensionally equal to  $\tilde{\omega}$  :

$$\mathcal{M}^{(\omega)} \Vdash \mathbb{N} \approx \tilde{\omega}$$

# The non extensional axiom of choice (NEAC)

(1/2)

- Add an instruction **quote** with the rule

$$\text{quote} \star t \cdot u \cdot \pi \succ u \star \bar{n}_t \cdot \pi$$

where  $n_t$  is the index of  $t$  according to a fixed bijection  $n \mapsto t_n$  from  $\omega$  to  $\Lambda$

- Let  $\phi(x_1, \dots, x_k, y)$  be a formula
- Consider the  $(k + 1)$ -ary function symbol  $f_\phi$  interpreted by<sup>2</sup>
  - $f_\phi(a_1, \dots, a_k, \tilde{n}) = \text{some } b \in \mathcal{M}^{(\omega)}$  s.t.  $t_n \Vdash \phi(a_1, \dots, a_k, b)$   
if there is such a name  $b$
  - $f_\phi(a_1, \dots, a_k, b) = \tilde{\emptyset}$  in all the other cases

## Lemma

$$\lambda xy. \text{quote } y (x y) \Vdash \forall \vec{x} [\forall n (\phi(\vec{x}, f_\phi(\vec{x}, n)) \Rightarrow n \notin \tilde{\omega}) \Rightarrow \forall y \neg \phi(\vec{x}, y)]$$

---

2. Assuming that  $\mathcal{M}$  interprets the choice principle (= conservative ext. of ZFC)

# The non extensional axiom of choice (NEAC)

(2/2)

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{x} [\forall n (\phi(\vec{x}, f_\phi(\vec{x}, n)) \Rightarrow n \notin \tilde{\omega}) \Rightarrow \forall y \neg \phi(\vec{x}, y)]$$

- Taking the contrapositive, we get :

## Non extensional axiom of choice (NEAC)

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{x} [\exists y \phi(\vec{x}, y) \Rightarrow (\exists n \in \tilde{\omega}) \phi(\vec{x}, f_\phi(\vec{x}, n))]$$

### • Remarks

- $(f_\phi(\vec{a}, n))_{n \in \tilde{\omega}}$  is a denumerable sequence of **potential witnesses** of the existential formula  $\exists y \phi(\vec{a}, y)$
- The function  $f_\phi$  is not extensional in general, even in the case where the formula  $\phi$  is extensional
- Nevertheless, NEAC is strong enough to imply the **axiom of dependent choices** (DC)



## Alternative formulation of NEAC

(1/3)

**NEAC** :  $\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{x} [\exists y \phi(\vec{x}, y) \Rightarrow (\exists n \in \tilde{\omega}) \phi(\vec{x}, f_\phi(\vec{x}, n))]$

- Consider the abbreviations :

$$\psi_0(\vec{x}, n) \equiv \phi(\vec{x}, f_\phi(\vec{x}, n)) \quad (\text{"there is witness at index } n\text{"})$$

$$\psi_1(\vec{x}, n) \equiv (\forall m \in \tilde{\omega}) (\psi_0(\vec{x}, m) \Rightarrow m \notin n) \quad (\text{"no witness below index } n\text{"})$$

- From the minimum principle, we get :

$\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{x} [\exists y \phi(\vec{x}, y) \Rightarrow (\exists n \in \tilde{\omega}) \{\psi_0(\vec{x}, n) \ \& \ \psi_1(\vec{x}, n)\}]$

**Idea** : Introduce a  $k$ -ary function  $h_\phi$  such that

$$h_\phi(\vec{x}) \approx f_\phi(\vec{x}, n),$$

where  $n$  is the smallest index s.t.  $\phi(\vec{x}, f_\phi(\vec{x}, n))$

## Alternative formulation of NEAC

(2/3)

- For all  $\vec{a} = a_1, \dots, a_k \in \mathcal{M}^{(\mathcal{A})}$ , let :

$$h_\phi(\vec{a}) = \bigcup_{b \in D_{\vec{a}}} \{b\} \times S_{\vec{a}, b}$$

where :  $D_{\vec{a}} = \bigcup_{n \in \omega} \text{dom}(f_\phi(\vec{a}, \tilde{n}))$

$$S_{\vec{a}, b} = \|(\forall n \in \tilde{\omega}) (\psi_0(\vec{a}, n) \Rightarrow \psi_1(\vec{a}, n) \Rightarrow b \notin f_\phi(\vec{a}, n))\|$$

- By def. of  $h_\phi(\vec{a})$ , we have for all  $b \in \mathcal{M}^{(\mathcal{A})}$  :

$$\|b \notin h_\phi(\vec{a})\| = \|(\forall n \in \tilde{\omega}) (\psi_0(\vec{a}, n) \Rightarrow \psi_1(\vec{a}, n) \Rightarrow b \notin f_\phi(\vec{a}, n))\|$$

- Therefore :

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{x} \forall z [z \in h_\phi(\vec{x}) \Leftrightarrow (\exists n \in \tilde{\omega}) \{\psi_0(\vec{x}, n) \ \& \ \psi_1(\vec{x}, n) \ \& \ z \in f_\phi(\vec{x}, n)\}]$$

## Alternative formulation of NEAC

(3/3)

- We have shown :

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{x} [\exists y \phi(\vec{x}, y) \Rightarrow (\exists n \in \tilde{\omega}) \{\psi_0(\vec{x}, n) \& \psi_1(\vec{x}, n)\}]$$

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{x} \forall z [z \in h_\phi(\vec{x}) \Leftrightarrow (\exists n \in \tilde{\omega}) \{\psi_0(\vec{x}, n) \& \psi_1(\vec{x}, n) \& z \in f_\phi(\vec{x}, n)\}]$$

- Combining these results, we get :

## Alternative formulation of NEAC

- 1 For any formula  $\phi(\vec{x}, y)$  :

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{x} [\exists y \phi(\vec{x}, y) \Rightarrow \exists y \{y \sim h_\phi(\vec{x}) \& \phi(\vec{x}, y)\}]$$

- 2 If moreover the formula  $\phi(\vec{x}, y)$  is extensional :

$$\mathcal{M}^{(\mathcal{A})} \Vdash \forall \vec{x} [\exists y \phi(\vec{x}, y) \Leftrightarrow \phi(\vec{x}, h_\phi(\vec{x}))]$$

- **Beware!** The function  $h_\phi$  is in general **non extensional**, even when the formula  $\phi(\vec{x}, y)$  is
- But  $h_\phi$  can be used in Comprehension, Collection, etc.

# Plan

- 1 The theory ZF<sub>ε</sub>
- 2 The model  $\mathcal{M}(\mathcal{A})$  of  $\mathcal{A}$ -names
- 3 Realizing the axioms of ZF<sub>ε</sub>
- 4 Realizing more axioms
- 5 Realizability algebras**
- 6 Properties of the model  $\mathcal{M}(\mathcal{A})$

# From the $\lambda_c$ -calculus to realizability algebras

- **Realizability algebras** [Krivine'10]
  - Same idea as PCAs (or OPCAs), but for classical realizability
  - Each realizability algebra  $\mathcal{A}$  contains a pole  $\perp\!\!\!\perp$ , and defines a classical realizability model  $\mathcal{M}^{(\mathcal{A})}$  of ZF<sub>ε</sub> (from a ground model  $\mathcal{M}$ )
    - ↪ Construction of  $\mathcal{M}^{(\mathcal{A})}$  is the same as in the standard case
- Realizability algebras may be built from
  - The  $\lambda_c$ -calculus or Parigot's  $\lambda\mu$ -calculus
  - Curien-Herbelin's  $\bar{\lambda}\mu$ -calculus (CBN or CBV)
  - Any complete Boolean algebra
- Realizability algebras can combine (standard) classical realizability with Cohen forcing ↪ **iterated forcing** [Krivine'10]
- **Slogan** : classical realizability = **non commutative forcing**

# Realizability algebras (1/2)

[Krivine'10]

Some terminology (where  $A$  is a fixed set) :

- **Proof-term**  $\equiv$   $\lambda$ -term with  $\alpha$

**Proof-terms**  $t, u ::= x \mid \lambda x. t \mid tu \mid \alpha$

- **A-environment**  $\equiv$  finite association list  $\sigma \in (\text{Var} \times A)^*$

- Notations :

$$\begin{aligned} \sigma &\equiv x_1 := a_1, \dots, x_n := a_n \\ \text{dom}(\sigma) &= \{x_1; \dots; x_n\} \\ \text{cod}(\sigma) &= \{a_1; \dots; a_n\} \end{aligned}$$

- Environments are ordered, variables may be bound several times

- **Compilation function into  $A$**   $\equiv$  function  $(t, \sigma) \mapsto t[\sigma]$

- taking : proof-term  $t$  +  $A$ -environment  $\sigma$  closing  $t$ ,
- returning : element  $t[\sigma] \in A$

# Realizability algebras (2/2)

[Krivine'10]

## Definition

A **realizability algebra**  $\mathcal{A}$  is given by :

- 3 sets  $\Lambda$  ( $\mathcal{A}$ -terms),  $\Pi$  ( $\mathcal{A}$ -stacks),  $\Lambda \star \Pi$  ( $\mathcal{A}$ -processes)
- 3 functions  $(\cdot) : \Lambda \times \Pi \rightarrow \Pi$ ,  $(\star) : \Lambda \times \Pi \rightarrow \Lambda \star \Pi$ ,  $(k_{\cdot}) : \Pi \rightarrow \Lambda$
- A **compilation function**  $(t, \sigma) \mapsto t[\sigma]$  into the set  $\Lambda$  of  $\mathcal{A}$ -terms
- A subset  $PL \subseteq \Lambda$  (of **proof-like  $\mathcal{A}$ -terms**) such that for all  $(t, \sigma)$  :  
 If  $\text{cod}(\sigma) \subseteq PL$ , then  $t[\sigma] \in PL$  ( $FV(t) \subseteq \text{dom}(\sigma)$ )
- A set of  $\mathcal{A}$ -processes  $\perp \subseteq \Lambda \star \Pi$  (the **pole**) such that :

$$\begin{array}{llll}
 \sigma(x) \star \pi & \in \perp & \text{implies} & x[\sigma] \star \pi \in \perp \\
 t[\sigma, x := a] \star \pi & \in \perp & \text{implies} & (\lambda x. t)[\sigma] \star a \cdot \pi \in \perp \\
 t[\sigma] \star u[\sigma] \cdot \pi & \in \perp & \text{implies} & (tu)[\sigma] \star \pi \in \perp \\
 a \star k_{\pi} \cdot \pi & \in \perp & \text{implies} & \llbracket \sigma \rrbracket \star a \cdot \pi \in \perp \\
 a \star \pi & \in \perp & \text{implies} & k_{\pi} \star a \cdot \pi' \in \perp
 \end{array}$$

# Canonical example : the $\lambda_c$ -calculus

## Terms, stacks and processes

<b>Instructions</b>	$\kappa$	$::=$	$\mathfrak{c}$		quote		$\dots$
<b>Terms</b>	$t, u$	$::=$	$x$		$\lambda x. t$		$tu$   $\kappa$   $k_\pi$
<b>Stacks</b>	$\pi, \pi'$	$::=$	$\alpha$		$t \cdot \pi$		$(\alpha \in \Pi_0, t \text{ closed})$
<b>Processes</b>	$p, q$	$::=$	$t \star \pi$				$(t \text{ closed})$

- $\Lambda, \Pi, \Lambda \star \Pi$  = sets of closed terms, stacks, processes
- Compilation  $t[\sigma]$  = substitution
- PL = set of closed terms containing no  $k_\pi$
- $\perp$  = any set of processes closed under anti-evaluation



Variant : the combinatory  $\lambda_c$ -calculus

(1/2)

## Terms, stacks and processes

<b>Instructions</b>	$\kappa ::= \mathbf{I} \mid \mathbf{C} \mid \mathbf{B} \mid \mathbf{K} \mid \mathbf{W} \mid \alpha \mid \dots$	
<b>Terms</b>	$t, u ::= x \mid \kappa \mid tu \mid k_\pi$	
<b>Stacks</b>	$\pi, \pi' ::= \alpha \mid t \cdot \pi$	$(\alpha \in \Pi_0, t \text{ closed})$
<b>Processes</b>	$p, q ::= t \star \pi$	$(t \text{ closed})$

## Krivine Abstract Machine (KAM)

<b>I</b>	$\mathbf{I} \star t \cdot \pi$	$\Upsilon$	$t \star \pi$
<b>K</b>	$\mathbf{K} \star t \cdot u \cdot \pi$	$\Upsilon$	$t \star \pi$
<b>W</b>	$\mathbf{W} \star t \cdot u \cdot \pi$	$\Upsilon$	$t \star u \cdot u \cdot \pi$
<b>C</b>	$\mathbf{C} \star t \cdot u \cdot v \cdot \pi$	$\Upsilon$	$t \star v \cdot u \cdot \pi$
<b>B</b>	$\mathbf{B} \star t \cdot u \cdot v \cdot \pi$	$\Upsilon$	$t \star (uv) \cdot \pi$
<b>Push</b>	$tu \star \pi$	$\Upsilon$	$t \star u \cdot \pi$
<b>Save</b>	$\alpha \star u \cdot \pi$	$\Upsilon$	$u \star k_\pi \cdot \pi$
<b>Restore</b>	$k_\pi \star u \cdot \pi'$	$\Upsilon$	$u \star \pi$
	$\dots$		$\dots$

Variant : the combinatory  $\lambda_c$ -calculus

(2/2)

- Abstraction  $\lambda^*x.t$  is defined from **binary abstraction**  $\langle \lambda^*x.t \mid r \rangle$  :

Definition of  $\langle \lambda^*x.t \mid r \rangle$ 

$$\langle \lambda^*x.t \mid r \rangle \equiv \mathbf{K}(rt) \quad (x \notin FV(t))$$

$$\langle \lambda^*x.x \mid r \rangle \equiv r$$

$$\langle \lambda^*x.t_1t_2 \mid r \rangle \equiv \langle \lambda^*x.t_2 \mid \mathbf{B}rt_1 \rangle \quad (x \notin FV(t_1), x \in FV(t_2))$$

$$\langle \lambda^*x.t_1t_2 \mid r \rangle \equiv \langle \lambda^*x.t_1 \mid \mathbf{C}(\mathbf{B}r)t_2 \rangle \quad (x \in FV(t_1), x \notin FV(t_2))$$

$$\langle \lambda^*x.t_1t_2 \mid r \rangle \equiv \mathbf{W} \langle \lambda^*x.t_2 \mid \mathbf{C} \langle \lambda^*x.t_1 \mid \mathbf{B}r \rangle \rangle \quad (x \in FV(t_1), x \in FV(t_2))$$

## Lemma

For all  $t, u, r, \pi$  :  $\langle \lambda^*x.t \mid r \rangle \star u \cdot \pi \succ r \star t\{x := u\} \cdot \pi$

- Then we let :  $\lambda^*x.t \equiv \langle \lambda^*x.t \mid \mathbf{I} \rangle$

## Lemma

For all  $t, u, \pi$  :  $\lambda^*x.t \star u \cdot \pi \succ t\{x := u\} \star \pi$

- Compilation function defined as expected, compiling  $\lambda$  as  $\lambda^*$

# Turning Boolean algebras into realizability algebras

- From a Boolean algebra  $\mathbb{B}$ , we can build a realizability algebra  $\mathcal{A} = (\mathbf{\Lambda}, \mathbf{\Pi}, \mathbf{\Lambda} \star \mathbf{\Pi}, \dots, \mathbf{\perp\!\!\!\perp})$ , letting :
  - $\mathbf{\Lambda} = \mathbf{\Pi} = \mathbf{\Lambda} \star \mathbf{\Pi} = \mathbb{B}$
  - $b_1 \cdot b_2 = b_1 \star b_2 = b_1 b_2, \quad k_b = b$
  - $\text{PL} = \{1\}$
  - $t[\sigma] = \prod_{x \in FV(t)} \sigma(x)$
  - $\mathbf{\perp\!\!\!\perp} = \{0\}$
- In the case where  $\mathbb{B}$  is complete, the realizability model  $\mathcal{M}^{(\mathcal{A})}$  is elementarily equivalent to the Boolean-valued model  $\mathcal{M}^{(\mathbb{B})}$

If  $\mathbb{B}$  is not complete, then  $\mathcal{A}$  automatically completes  $\mathbb{B}$

# Plan

- 1 The theory ZF<sub>ε</sub>
- 2 The model  $\mathcal{M}^{(\mathcal{A})}$  of  $\mathcal{A}$ -names
- 3 Realizing the axioms of ZF<sub>ε</sub>
- 4 Realizing more axioms
- 5 Realizability algebras
- 6 Properties of the model  $\mathcal{M}^{(\mathcal{A})}$

(blackboard)