

# Reflection algebras and conservativity spectra

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# Hilbert's program



## Consistency program:

Mathematical theories use *abstract* notions: sets, functions, spaces, etc.

*Is their use logically consistent?*

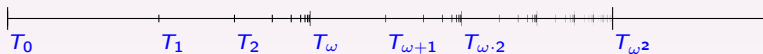
## Conservativity program:

Does the use of mathematical abstractions make provable new *concrete* (combinatorial, number-theoretic) statements?

K. Gödel: Yes

If so, how can we characterize them?

A.M. Turing studied the iterative process of extension of theories  $T$  by Gödelian assertions  $\text{Con}(T)$ .



## Turing progression

$$T_0 = T, \quad T_{\alpha+1} = T_\alpha + \text{Con}(T_\alpha),$$

$$T_\lambda = \bigcup_{\alpha < \lambda} T_\alpha, \text{ for } \lambda \in \text{Lim}.$$

Turing hoped to obtain a classification of all true arithmetical  $\forall \exists$  statements according to the stages of this (and similar) processes – but encountered difficulties.

A.M. Turing, *System of logics based on ordinals* (1939):

*We might also expect to obtain an interesting classification of number-theoretic theorems according to “depth”. A theorem which required an ordinal  $\alpha$  to prove it would be deeper than one which could be proved by the use of an ordinal  $\beta$  less than  $\alpha$ . However, this presupposes more than is justified.*

# The problem of ordinal notations

Ordinals need to be computably represented in arithmetic, otherwise the axioms of  $T_\alpha$  would not be r.e.

## Problem

Theories  $T_\alpha$  depend on a particular way the ordering is represented/computed rather than on its isomorphism type  $\alpha$ .

Turing, Feferman, Kreisel:

The whole classification idea breaks down because of this problem.

# Restricted Turing's program

In a restricted context Turing's approach can still work.

A.M. Turing (1939):

*We can still give a certain meaning to the classification into depths with highly restricted kinds of ordinals. Suppose that we take a particular ordinal logic  $\Lambda$  and a particular ordinal formula  $\Psi$  representing the ordinal  $\alpha$  say (preferably a large one), and that we restrict ourselves to ordinal formulae of the form  $\text{Inf}(\Psi, a)$ .<sup>a</sup> We then have a classification into depths, but the extents of all the logics which we so obtain are contained in the extent of a single logic.*

---

<sup>a</sup>These formulas define initial segments of  $\alpha$ .

# Proof-theoretic analysis by iterated reflection

An approach to Hilbert's conservativity program:

- Generalized Turing progressions  $T_\alpha$  can be used to axiomatize theorems of a given logical complexity level (e.g.  $\Pi_n^0$ ) of strong theories  $U$  over weak theories  $T$ , that is, to obtain
- Conservativity results of the form  $\Pi_n^0(U) = T_\alpha$ , for suitable ordinal notations  $\alpha$ . Given  $U$ ,  $n$  find  $\alpha$ .
- Varying  $n$  gives us a uniform way of obtaining all the main types of proof-theoretic analysis results: consistency proofs, bounds on transfinite induction, provably recursive functions

Gödelian theories  $S$

$S$  r.e., with a fixed  $\Sigma_1$  provability predicate  $\Box_S$ .

$\mathfrak{G}_S$  is the set of all Gödelian extensions of  $S$  mod  $=_S$ .

$U \leq_S T \iff S \vdash \forall x (\Box_T(x) \rightarrow \Box_U(x));$

$U =_S T \iff (U \leq_S T \text{ and } T \leq_S U).$

Then  $(\mathfrak{G}_S, \wedge_S, 1_S)$  is a lower semilattice with  $1_S = S$  and  
 $U \wedge_S T :=$  deductive closure of  $U \cup T$



## Reflection principles

$R_n(T)$  is an arithmetical sentence expressing “every  $\Sigma_n$ -sentence provable in  $T$  is true”.

$R_n(T)$  generalizes the consistency assertion  $Con(T) = R_0(T)$ .

Every formula  $R_n$  induces a monotone semi-idempotent operator  $R_n : T \mapsto S + R_n(T)$  on  $\mathfrak{G}_S$ .

## Reflection algebra of $S$

is the structure  $(\mathfrak{G}_S; \wedge_S, 1_S, \{R_n : n \in \omega\})$ .

*SLO* are lower semilattices with top equipped with a family of unary operators  $\mathfrak{A} = (A; \wedge, 1, \{\diamond_i : i \in I\})$  where each  $\diamond_i$  is a monotone operator.

An operator  $R : \mathfrak{A} \rightarrow \mathfrak{A}$  is:

- *monotone* if  $x \leq y$  implies  $R(x) \leq R(y)$ ;
- *semi-idempotent* if  $R(R(x)) \leq R(x)$ ;
- *closure* if  $R$  is m., s.i. and  $x \leq R(x)$ .

**Def.**  $R : \mathfrak{G}_S \rightarrow \mathfrak{G}_S$  is *computable* if it can be defined by a computable map on the Gödel numbers of elements of  $\mathfrak{G}_S$ .

Suppose  $(\Omega, \prec)$  is an elementary recursive well-ordering and  $R$  is a computable m.s.i. operator on  $\mathfrak{G}_S$ .

## Theorem

There exist theories  $R^\alpha(T)$  (where  $\alpha \in \Omega$ ):  
 $R^0(T) =_S T$  and, if  $\alpha \succ 0$ ,

$$R^\alpha(T) =_S \bigcup \{R(R^\beta(T)) : \beta \prec \alpha\}.$$

Each  $R^\alpha$  is computable and m.s.i.. Under some natural additional conditions the family  $R^\alpha$  is unique modulo provable equivalence.

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# Conservativity spectra

Let  $S$  be a Gödelian extension of EA and  $(\Omega, <)$  an elementary recursive well-ordering.

- $\Pi_{n+1}^0$ -ordinal of  $S$ , denoted  $ord_n(S)$ , is the sup of all  $\alpha \in \Omega$  such that  $S \vdash R_n^\alpha(\text{EA})$ ;
- *Conservativity spectrum of  $S$*  is the sequence  $(\alpha_0, \alpha_1, \alpha_2, \dots)$  such that  $\alpha_i = ord_i(S)$ .

Examples of spectra:

$I\Sigma_1$  :  $(\omega^\omega, \omega, 1, 0, 0, \dots)$

PA :  $(\varepsilon_0, \varepsilon_0, \varepsilon_0, \dots)$

PA + PH :  $(\varepsilon_0^2, \varepsilon_0 \cdot 2, \varepsilon_0, \varepsilon_0, \dots)$

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# Characterizing spectra

Under some naturality conditions on  $(\Omega, <)$ :

## Theorem

A sequence  $\vec{\alpha} = (\alpha_0, \alpha_1, \dots)$  is a conservativity spectrum of some theory  $T$  iff  $\alpha_{i+1} \leq \ell(\alpha_i)$ , for all  $i \in \omega$ .

Here  $\ell(\beta) = 0$  if  $\beta = 0$ , and  $\ell(\beta) = \gamma$  if  $\beta = \delta + \omega^\gamma$ , for some  $\delta, \gamma$ .

## Remarks

- The set of all spectra  $\vec{\alpha}$  such that  $\forall i \in \omega \alpha_i < \varepsilon_0$  is the domain of the *Ignatiev model*, a well-known universal Kripke model  $\mathcal{I}$  for the closed fragment of Japaridze's provability logic GLP.
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## Extended framework (jww with Pakhomov (2022))

- 1 Expand the language of PA by truth definitions  $T_\alpha(x)$ ,  $\alpha < \lambda$ .
- 2 Conservatively extend EA by Tarski biconditionals:  
 $\forall x (T_\alpha(\ulcorner \varphi(x) \urcorner) \leftrightarrow \varphi(x))$  for  $\varphi \in \mathcal{L}(\{T_\beta : \beta < \alpha\})$ .
- 3 Classes  $\Pi_{1+\alpha}$  and reflection operators  $R_\alpha$ , for all  $\alpha < \lambda$ .
- 4 Reflection algebras  $(\mathcal{G}_S; \wedge_S, 1_S, \{R_\alpha : \alpha < \lambda\})$ .
- 5  $\Pi_{1+\alpha}$ -ordinals  $\text{ord}_\alpha(T)$  and conservativity spectra  $f : \lambda \rightarrow \Omega$ .

Examples of spectra:

ACA :  $(\varepsilon_{\varepsilon_0}, \varepsilon_{\varepsilon_0}, \dots; \varepsilon_0, \varepsilon_0, \dots; 0, \dots)$

ACA<sup>+</sup> := ACA +  $\forall X \exists Y Y = X^{(\omega)} \equiv \text{PA}(T_0, T_1, \dots, T_\omega)$ .

Spectrum:  $f(\alpha) = \varphi_2(\varepsilon_0)$  if  $\alpha < \omega^2$ ;

$f(\alpha) = \varepsilon_0$  if  $\omega^2 \leq \alpha < \omega^2 + \omega$ .

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## Theorem

$f : \lambda \rightarrow \Omega$  is a  $\lambda$ -conservativity spectrum iff, for all  $\alpha, \beta$  such that  $\alpha + \omega^\beta < \lambda$ ,

- 1  $l(f(\alpha)) \geq f(\alpha + 1)$ ;
- 2  $l(f(\alpha)) \geq \varphi_\beta(f(\alpha + \omega^\beta))$  if  $\beta > 0$ .

Appeared in *Fernández-Joosten* (2014) as “ $l$ -sequences”.

## Veblen functions

- $\varphi_0(\beta) := \omega^{1+\beta}$ ;
- $\varphi_{\alpha+1}(\beta) := \beta$ -th fixed point of  $\varphi_\alpha$ ;
- $\varphi_\mu(\beta) := \beta$ -th simultaneous f.p. of  $\{\varphi_\alpha : \alpha < \mu\}$ , if  $\mu \in \text{Lim}$ .
- $\Gamma_0 :=$  the least ordinal  $> 0$  closed under  $\varphi_\alpha(\beta)$ .

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*Strictly positive formulas* (= SLO terms)

$A ::= \top \mid p \mid (A \wedge A) \mid \diamond_n A$  for  $n \in \omega$

*Sequents*  $A \vdash B$  denote inequations  $\forall \vec{x} (A(\vec{x}) \leq B(\vec{x}))$

RC rules:

- 1  $A \vdash A$ ;  $A \vdash \top$ ; if  $A \vdash B$  and  $B \vdash C$  then  $A \vdash C$ ;
- 2  $A \wedge B \vdash A, B$ ; if  $A \vdash B$  and  $A \vdash C$  then  $A \vdash B \wedge C$ ;
- 3 if  $A \vdash B$  then  $\diamond_n A \vdash \diamond_n B$ ;  $\diamond_n \diamond_n A \vdash \diamond_n A$ ;
- 4  $\diamond_n A \vdash \diamond_m A$  for  $n > m$ ;
- 5  $\diamond_n A \wedge \diamond_m B \vdash \diamond_n (A \wedge \diamond_m B)$  for  $n > m$ .

## Theorems (E. Dashkov, 2012)

- 1  $A \vdash_{RC} B$  iff  $A \vdash B$  holds in  $(\mathcal{G}_{PA}; \wedge_{PA}, 1_{PA}, \{R_n : n \in \omega\})$ ;
- 2  $RC$  is polytime decidable;
- 3  $RC$  enjoys the finite model property.

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# $RC^0$ as an ordinal notation system

Let  $RC^0$  denote the variable-free fragment of  $RC$ .

Let  $W_n$  denote the set of all  $RC^0$ -formulas with  $\diamond_i$  for  $i \geq n$ .

For  $A, B \in W_n$  define:

- $A \sim B$  if  $A \vdash B$  and  $B \vdash A$  in  $RC^0$ ;
- $A <_n B$  if  $B \vdash \diamond_n A$ .

## Theorem

- 1 Every  $A \in W_n$  is equivalent to a *word* (formula without  $\wedge$ );
- 2  $(W_n/\sim, <_n)$  is isomorphic to  $(\varepsilon_0, <)$ .



# Conservativity modalities

We consider operators associating with a theory  $T$  the theory generated by its consequences of logical complexity  $\Pi_{n+1}$ :

$$\Pi_{n+1}(T) := \{\pi \in \Pi_{n+1} : S \vdash \pi\}.$$

Notice that each  $\Pi_{n+1}$  is a closure operator.

RC $^\nabla$  algebra of  $S$

$(\mathcal{B}_S; \wedge_S, \perp_S, \{R_n, \Pi_{n+1} : n \in \omega\})$

Open problem:

Characterize the logic/identities of this structure. Is it (polytime) decidable?

$RC^\nabla$  is a strictly positive logic with modalities  $\{\diamond_n, \nabla_n : n \in \omega\}$   
( $\diamond_n$  for  $R_n$ ,  $\nabla_n$  for  $\Pi_{n+1}$ ).

## Axioms and rules:

- 1  $RC$  for  $\diamond_n$ ;
- 2  $RC$  for  $\nabla_n$ ;
- 3  $A \vdash \nabla_n A$ ; thus, each  $\nabla_n$  satisfies  $S4^+$ ;
- 4  $\diamond_n A \vdash \nabla_n A$ ;
- 5  $\diamond_m \nabla_n A \vdash \diamond_m A$  if  $m \leq n$ ;
- 6  $\nabla_n \diamond_m A \vdash \diamond_m A$  if  $m \leq n$ .

Let  $\mathcal{G}_{EA}^0$  denote the subalgebra of  $(\mathcal{G}_{EA}; \wedge_{EA}, 1_{EA}, \{R_n, \Pi_{n+1} : n \in \omega\})$  generated by  $1_{EA}$ .

## Theorem

The following structures are isomorphic:

- 1  $\mathcal{G}_{EA}^0$ ;
- 2 The free 0-generated  $RC^\nabla$ -algebra;
- 3  $\mathcal{J} = (I, \wedge_{\mathcal{J}}, \{\diamond_n^{\mathcal{J}}, \nabla_n^{\mathcal{J}} : n \in \omega\})$ .

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Named after K. Ignatiev who introduced a universal Kripke model for Japaridze's logic based on sequences of ordinals (1993).

- $I$  is the set of all  $\omega$ -sequences  $\vec{\alpha} = (\alpha_0, \alpha_1, \dots)$  such that  $\alpha_i < \varepsilon_0$  and  $\alpha_{i+1} \leq \ell(\alpha_i)$ , for all  $i \in \omega$ .
- $\vec{\alpha} \leq_{\mathcal{J}} \vec{\beta} \iff \forall i \alpha_i \geq \beta_i$ .

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We define the functions  $\nabla_n^{\mathfrak{J}}, \diamond_n^{\mathfrak{J}} : I \rightarrow I$ .

For each  $\vec{\alpha} = (\alpha_0, \alpha_1, \dots, \alpha_n, \dots)$  let

- $\nabla_n^{\mathfrak{J}}(\vec{\alpha}) := (\alpha_0, \alpha_1, \dots, \alpha_n, 0, \dots)$ ;
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An extension  $T$  of  $EA$  is *bounded*, if  $T$  is contained in a finite subtheory of  $PA$ .

## Theorem

- 1 Let  $T$  be bounded and  $\vec{\alpha}$  be the conservativity spectrum of  $T$ . Then  $\forall n < \omega \alpha_{n+1} \leq \ell(\alpha_n)$  and  $\alpha_n < \varepsilon_0$ , that is,  $\vec{\alpha} \in \mathfrak{J}$ .
- 2 Let  $\vec{\alpha} \in \mathfrak{J}$ ,  $A$  be a variable-free  $RC^\nabla$ -formula corresponding to  $\vec{\alpha}$  via the isomorphism, and  $A_{EA} \in \mathfrak{G}_{EA}^0$  its arithmetical interpretation. Then  $\vec{\alpha}$  is the conservativity spectrum of  $A_{EA}$ .
- 3  $A_{EA}$  is the weakest theory with the given conservativity spectrum  $\vec{\alpha}$ .

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# Encore: expressibility of iterations

Let  $A \in W_n$  and  $\alpha = o_n(A)$  denote its ordinal notation in  $(W_n, <_n)$ .

## Theorem

In  $\mathfrak{G}_{EA}$ ,  $\nabla_n A =_{EA} \diamond_n^\alpha(\top)$ .

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For each  $n < \omega$  and  $0 < \alpha < \varepsilon_0$  there is an RC-formula  $A(p)$  s.t.

$$\forall S \in \mathfrak{G}_{EA} \diamond_n^\alpha(S) =_{EA} \nabla_n A(S).$$

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