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# Extended Predicative Universes

## Part II: $\Pi_3$ -Reflection

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1. Problems of the direct  $\Pi_3$ -reflecting Universe.
2. The constructed  $\Pi_3$ -reflecting universe.
3. The extended predicative  $\Pi_3$ -reflecting universe.
4. Conclusion.

# Work in progress

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- Work in progress.
- A.S. specialist in MLTT (Martin-Löf Type Theory) but not in explicit mathematics.
- We model an extended predicative version of the  $\Pi_3$ -reflecting universe according to the  $\Pi_3$ -reflecting universe in type theory.
- No model or proof theoretic analysis yet done (only done for the version in MLTT).

# 1. Direct $\Pi_3$ -Reflecting Universe

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## • Notations

- Let  $\mathfrak{R}$  be the collection of names (analogue of Set in MLTT).
- We write  $x \in a$  instead of  $x \dot{\in} a$ .
- $\mathfrak{R}_{\mathfrak{R}} := \{x \in \mathfrak{R} \mid \forall y \in x.y \in \mathfrak{R}\}$ .

# Simple, Super, Mahlo Universes

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- A universe is an  $v \in \mathcal{R}_{\mathcal{R}}$  closed upwards and downwards under universe operations (strictness).
- A super universe (Palmgren) is
  - a universe  $v$
  - s.t. for  $a \in v$  there exists a universe  $su\ a$  s.t.
    - $a \in su\ a$ ,
    - $su\ a \in v$ .
- A Mahlo universe (S.) is
  - a universe  $v$
  - s.t. for  $a \in v$  and  $f \in v \rightarrow v$  there exists a universe  $su\ f\ a$  s.t.
    - $a \in su\ f\ a$ ,
    - $f \in su\ f\ a \rightarrow su\ f\ a$ ,
    - $su\ f\ a \in v$ .

# Direct $\Pi_3$ -Refl. Universe

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- Idea for  $\Pi_3$ -reflecting universe:
  - A  $\Pi_3$ -reflecting universe (Jäger, Strahm) is ‘
    - a universe  $v$
    - s.t. for
      - $a \in v$ ,
      - $f \in v \rightarrow v$ ,
      - $F \in (v \rightarrow v) \rightarrow (v \rightarrow v)$there exists  $su\ F\ f\ a$  s.t.
      - $a \in su\ F\ f\ a$ ,
      - $f \in su\ F\ f\ a \rightarrow su\ F\ f\ a$ ,
      - $F \in (su\ F\ f\ a \rightarrow su\ F\ f\ a)$   
 $\rightarrow (su\ F\ f\ a \rightarrow su\ F\ f\ a)$
      - $su\ F\ f\ a \in v$ .
  - **Advantage:** Very short and concise.
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# Problem of Direct $\Pi_3$ -Refl. Univ

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- We have

$$F \in (v \rightarrow v) \rightarrow (v \rightarrow v)$$

and demand

$$\begin{aligned} F \in (\text{su } F \ f \ a \rightarrow \text{su } F \ f \ a) \\ \rightarrow (\text{su } F \ f \ a \rightarrow \text{su } F \ f \ a) \end{aligned}$$

- But a  $g \in \text{su } F \ f \ a \rightarrow \text{su } F \ f \ a$  is not an element of  $v \rightarrow v$  so the type of  $F$  doesn't provide a reason for allowing  $F$  to be applied to  $g$ .
- The existence of a  $\Pi_3$ -reflecting universe demands that  $\text{su } F \ f \ a$  is big enough that when computing  $F \ g$  we need to refer only to  $g \ x$  for  $x \in \text{su } F \ f \ a$ .

# Problem of Direct $\Pi_3$ -Refl. Univ

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- If we consider  $\text{su } F f a$  as defined by some inductive process we need that if when trying to evaluate  $F g$  we need to compute  $g x$ , then  $x$  needs to be added to  $\text{su } F f a$ .
- This is difficult to control.
- Therefore it is not suitable for a fully extended predicative analysis.
- A similar problems occurs when carrying out a proof theoretic analysis.
- We follow the development of the ordinal notation system for  $\Pi_3$ -reflection.

## 2. The constructed $\Pi_3$ -Reflecting Universe

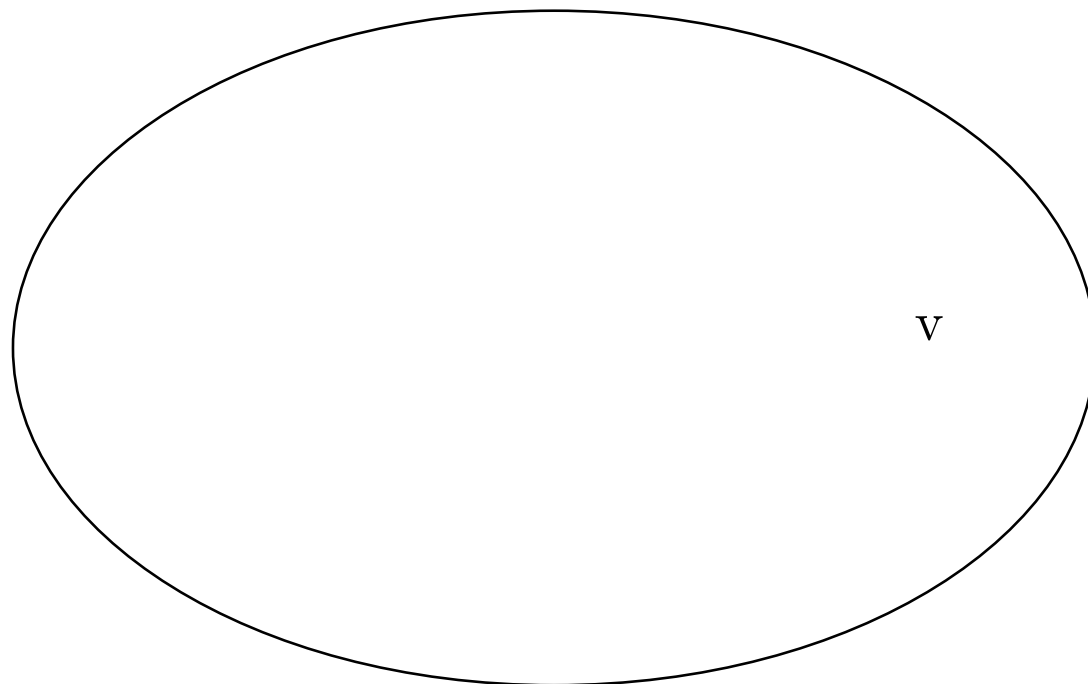
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- First step towards the constructed  $\Pi_3$ -reflecting universe: Hyper-Mahlo.
- A universe  $v$  is a Hyper-Mahlo universe, if
  - for every  $f \in v \rightarrow v$ ,  $a \in v$
  - there exists a subuniverse  $u \ 1 \ a \ f$  which is
    - Mahlo,
    - closed under  $a, f$ ,
    - contained in  $v$ ,
    - and represented in  $v$ .
  - $v' := u \ 1 \ a \ f$  Mahlo means that
    - for every  $g \in v' \rightarrow v'$  and  $b \in v'$
    - there exists a subuniverse  $u \ 0 \ b \ g$ 
      - which is closed under  $b, g$ .
      - and represented in  $v'$ .



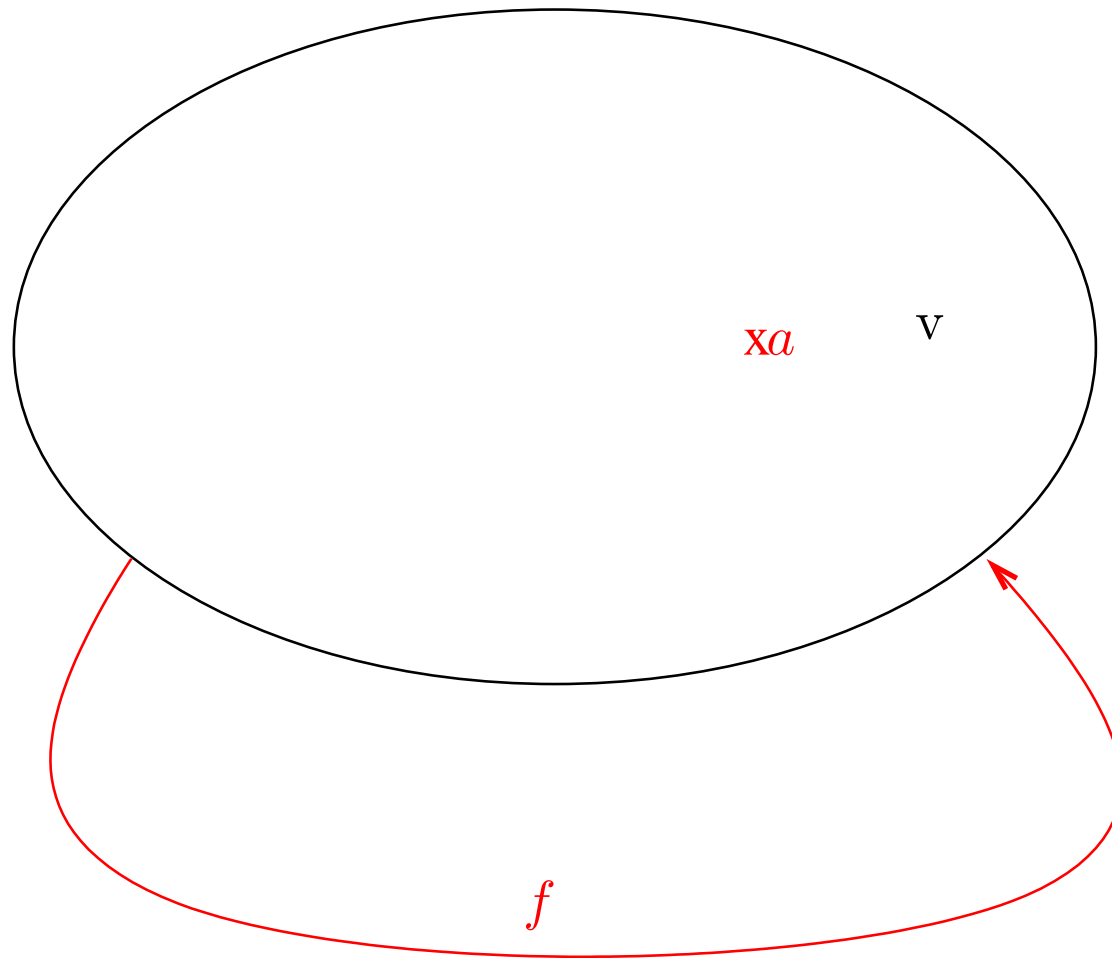
# Illustration of the Hyper Mahlo Univ

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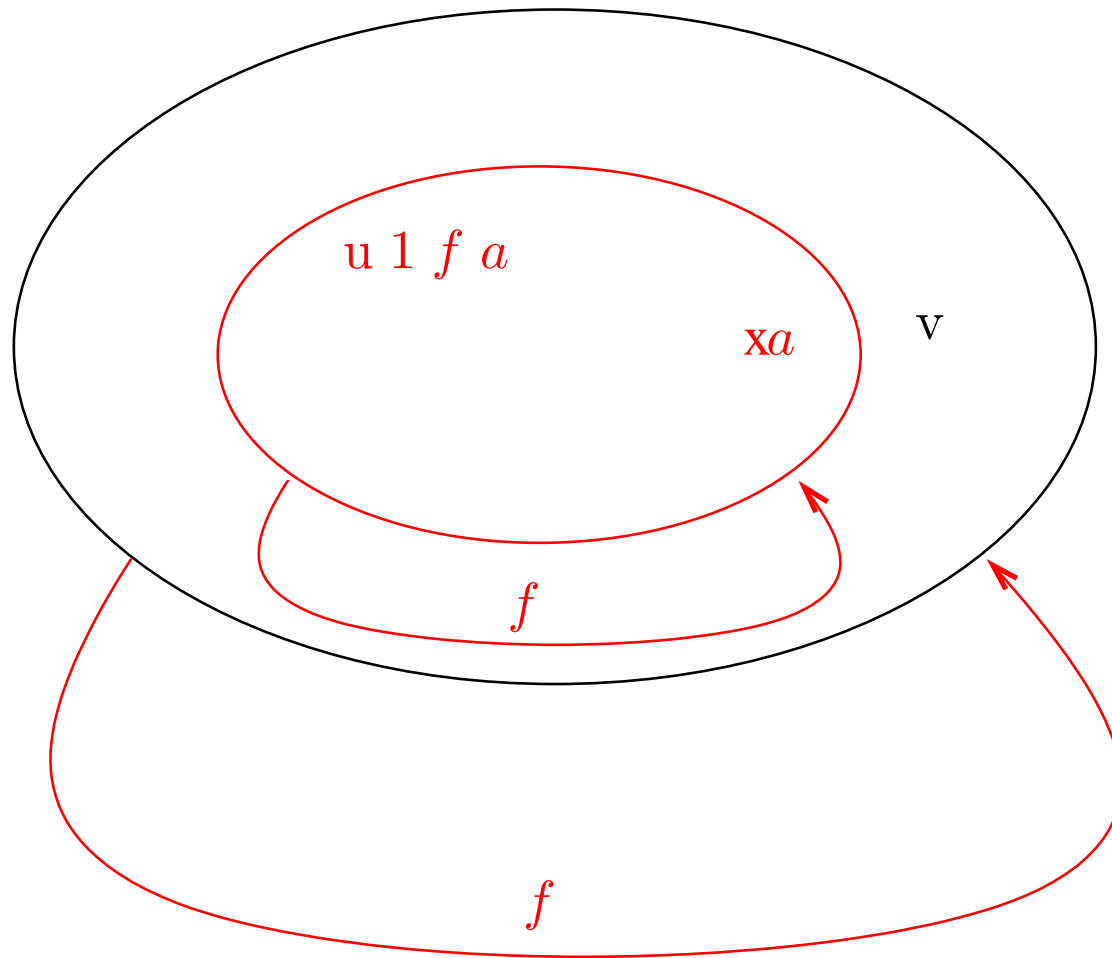
# Illustration of the Hyper Mahlo Univ

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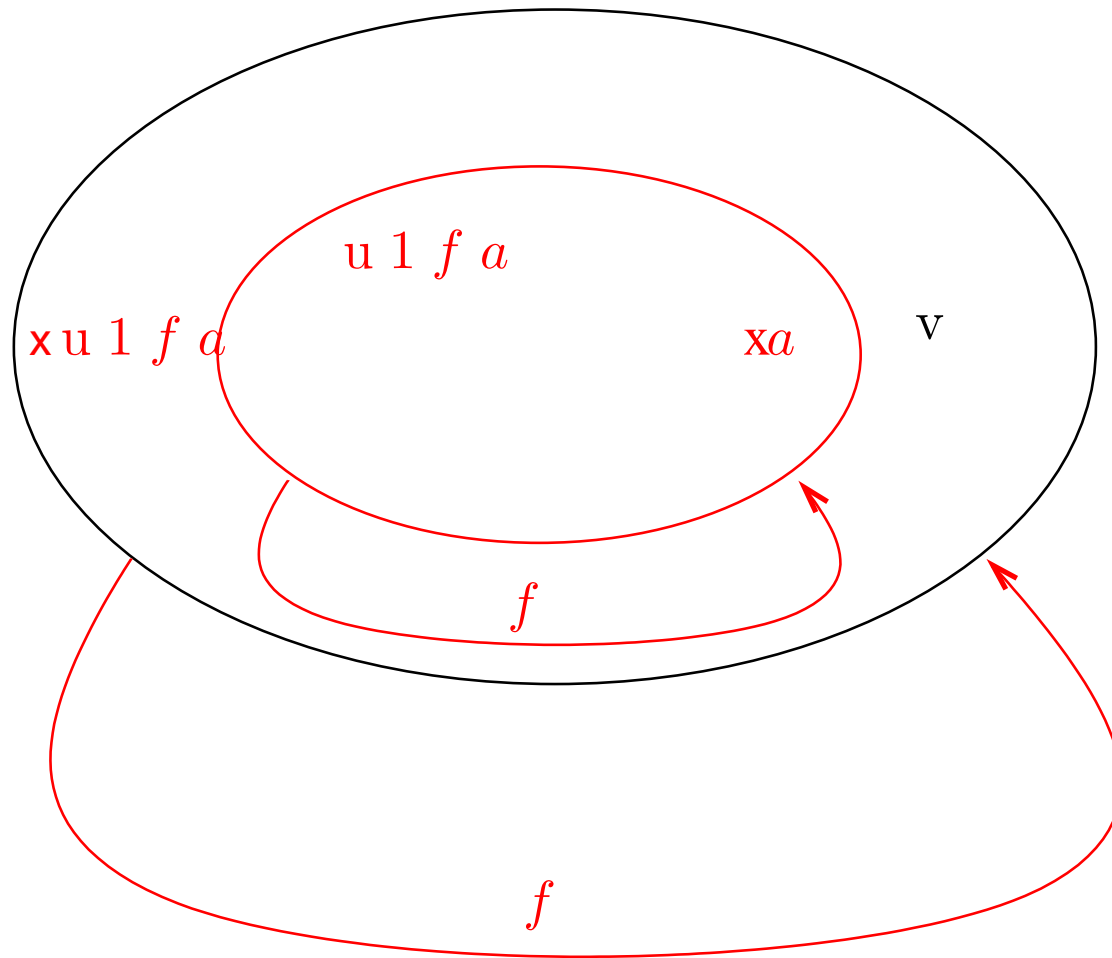
# Illustration of the Hyper Mahlo Univ

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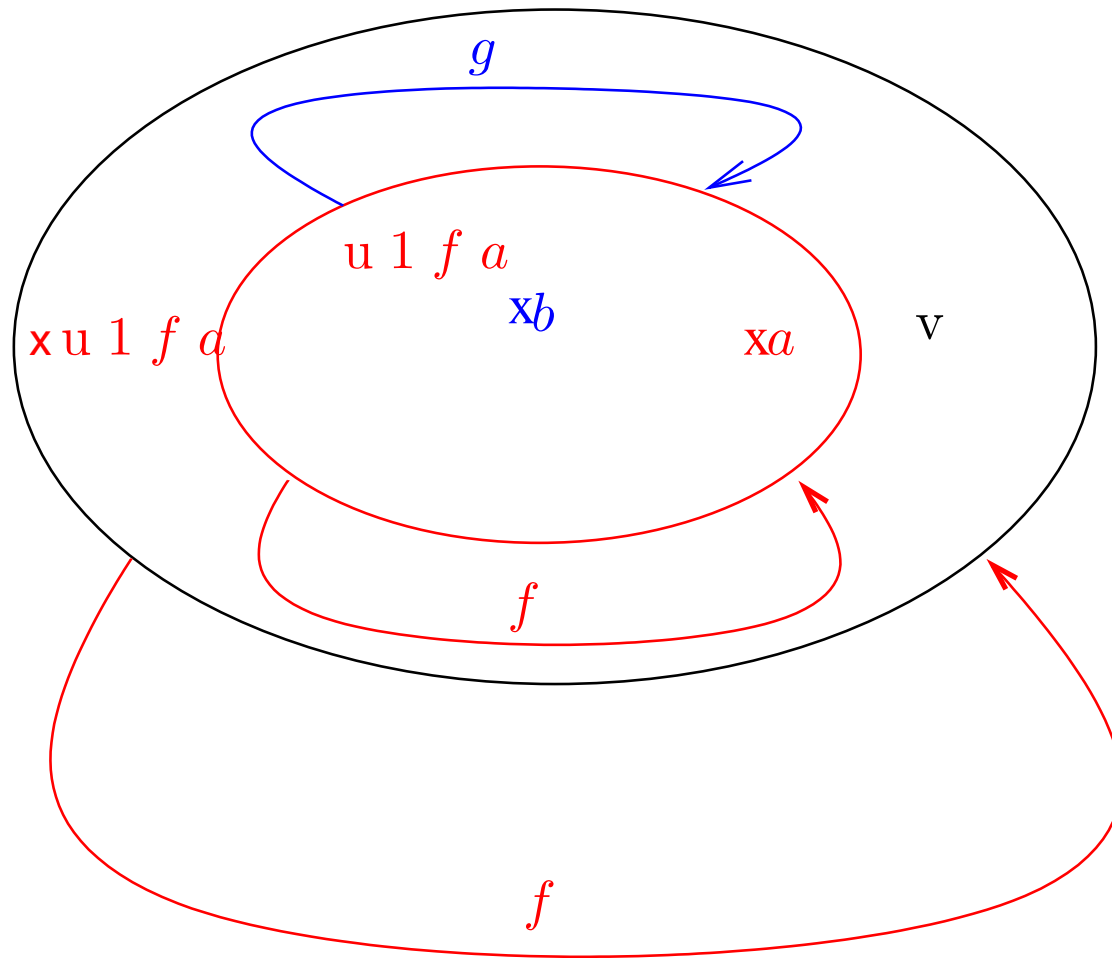
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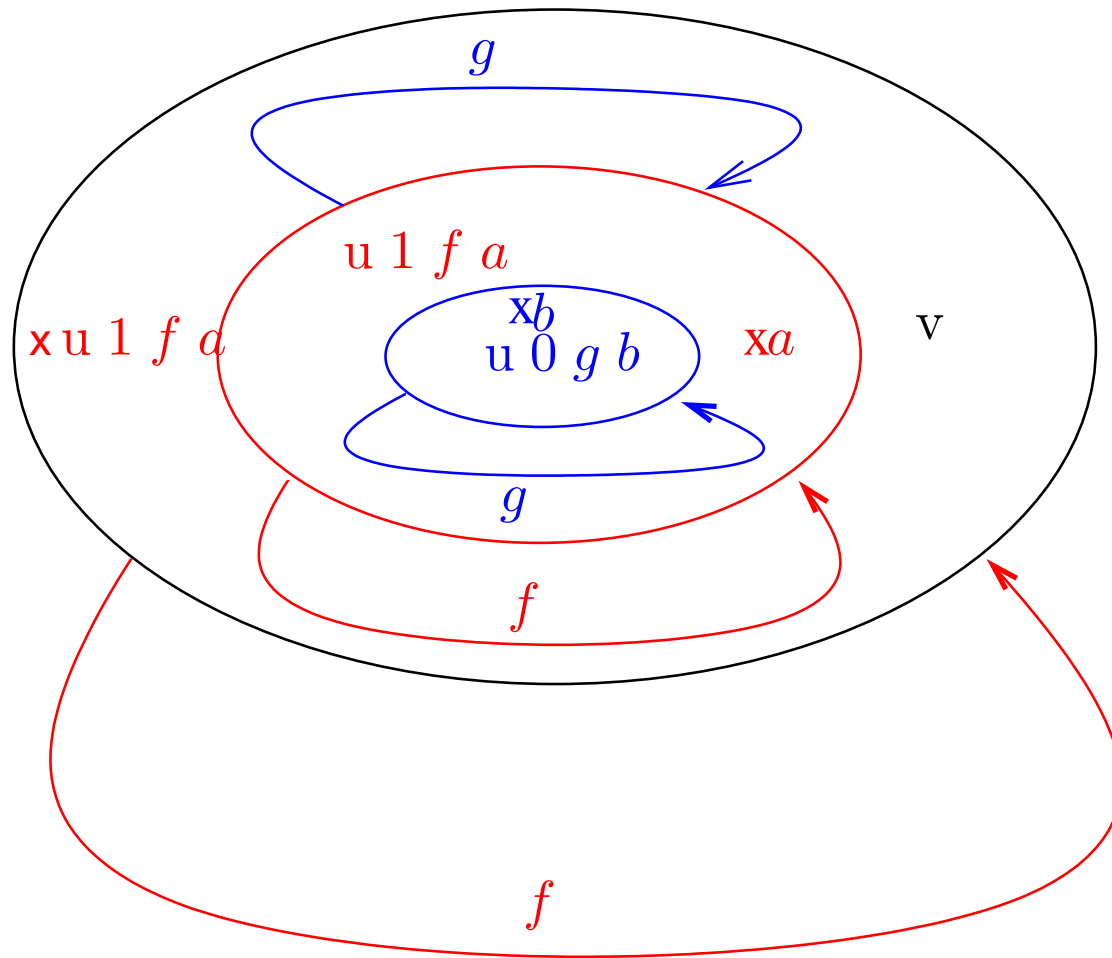
# Illustration of the Hyper Mahlo Univ

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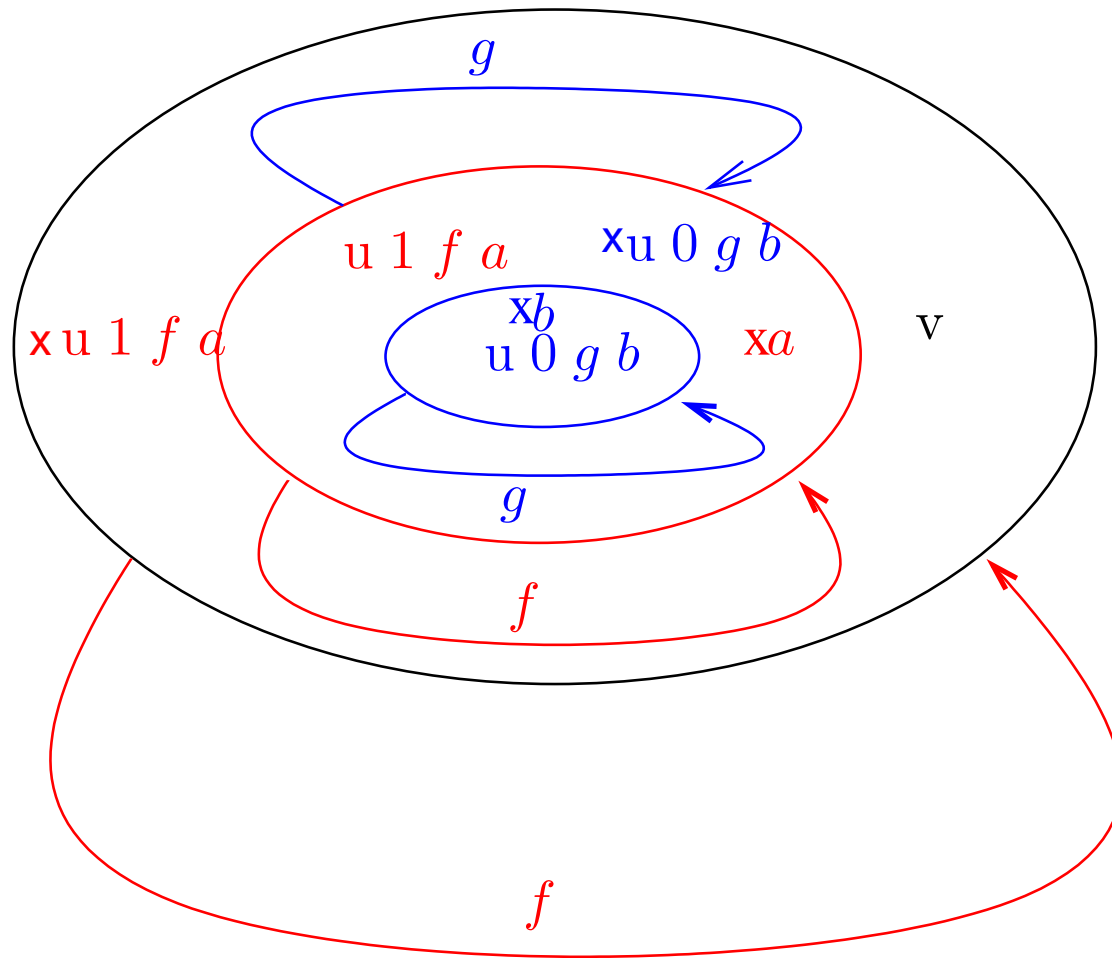
# Illustration of the Hyper Mahlo Univ

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# Illustration of the Hyper Mahlo Univ

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# Hyper <sup>$\alpha$</sup> Mahlo Universes

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- Can be generalised easily to Hyper <sup>$\alpha$</sup> -Mahlo universes.
  - $v$  is Hyper <sup>$\alpha$</sup> -Mahlo, if for every
    - $\beta < \alpha$ ,
    - and  $a : v, f : v \rightarrow v$ ,there exists a
    - Hyper <sup>$\beta$</sup> -subuniverse of  $v$ ,
    - closed under  $a, f$ ,
    - and represented in  $v$ .



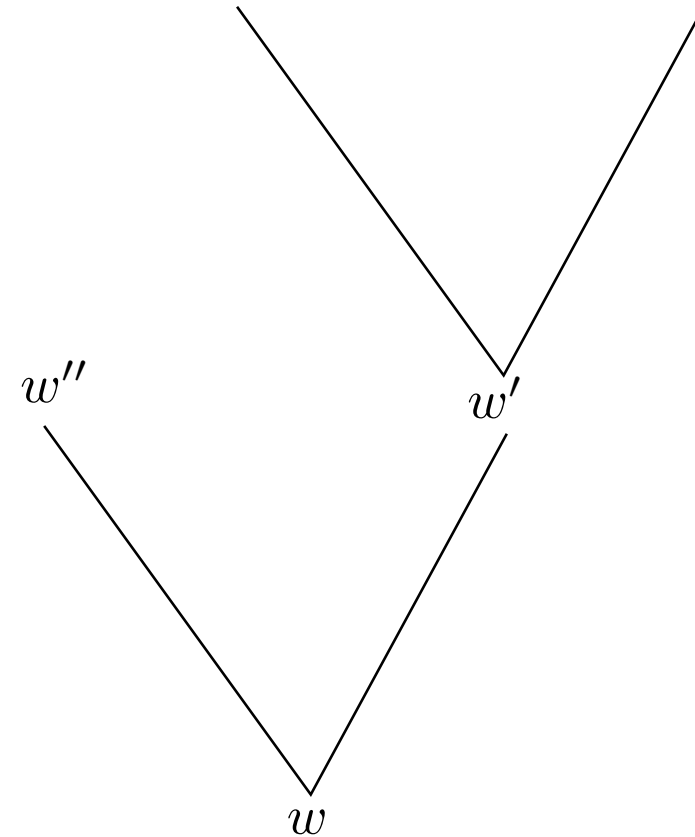
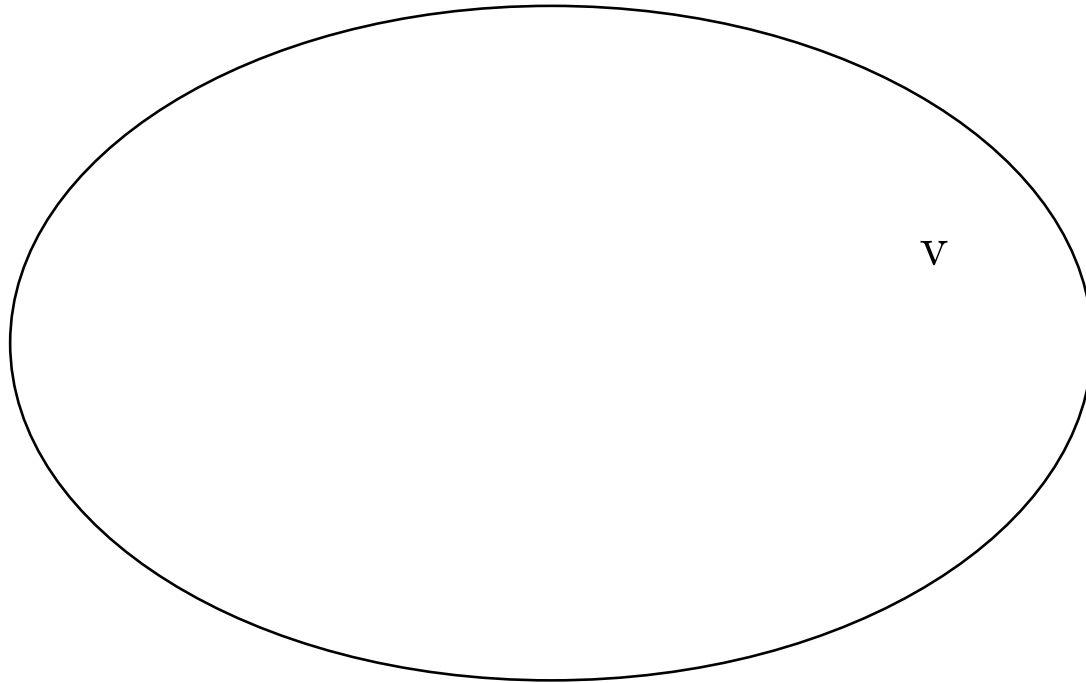
# Autonomously Mahlo Universe (S.)

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- Next step is to form a universe  $v$  s.t.
  - for every  $f \in v \rightarrow v, a \in v$
  - and for every  $w \in w(v, \lambda x.x)$  (or its analogue in explicit mathematics)
  - there exists a  $\text{Hyper}^w$ -Mahlo subuniverse of  $v$ ,
    - i.e.  $\text{Hyper}^\alpha$ , where  $\alpha = \text{height of } w$ .
  - closed under  $f, a$ ,
  - represented in  $v$ .
  - In fact  $w(v, \lambda x.x)$  is defined simultaneously with  $v$ .

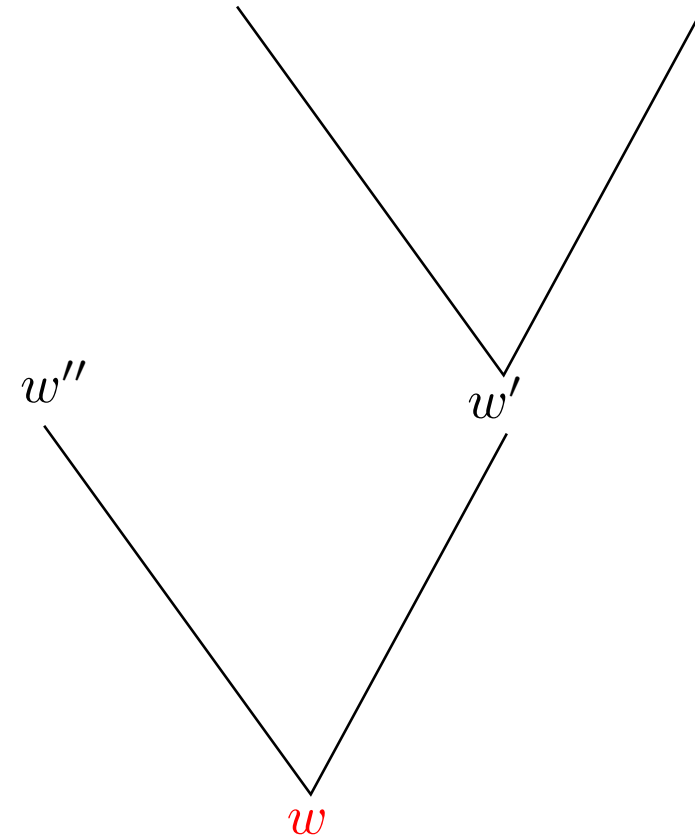
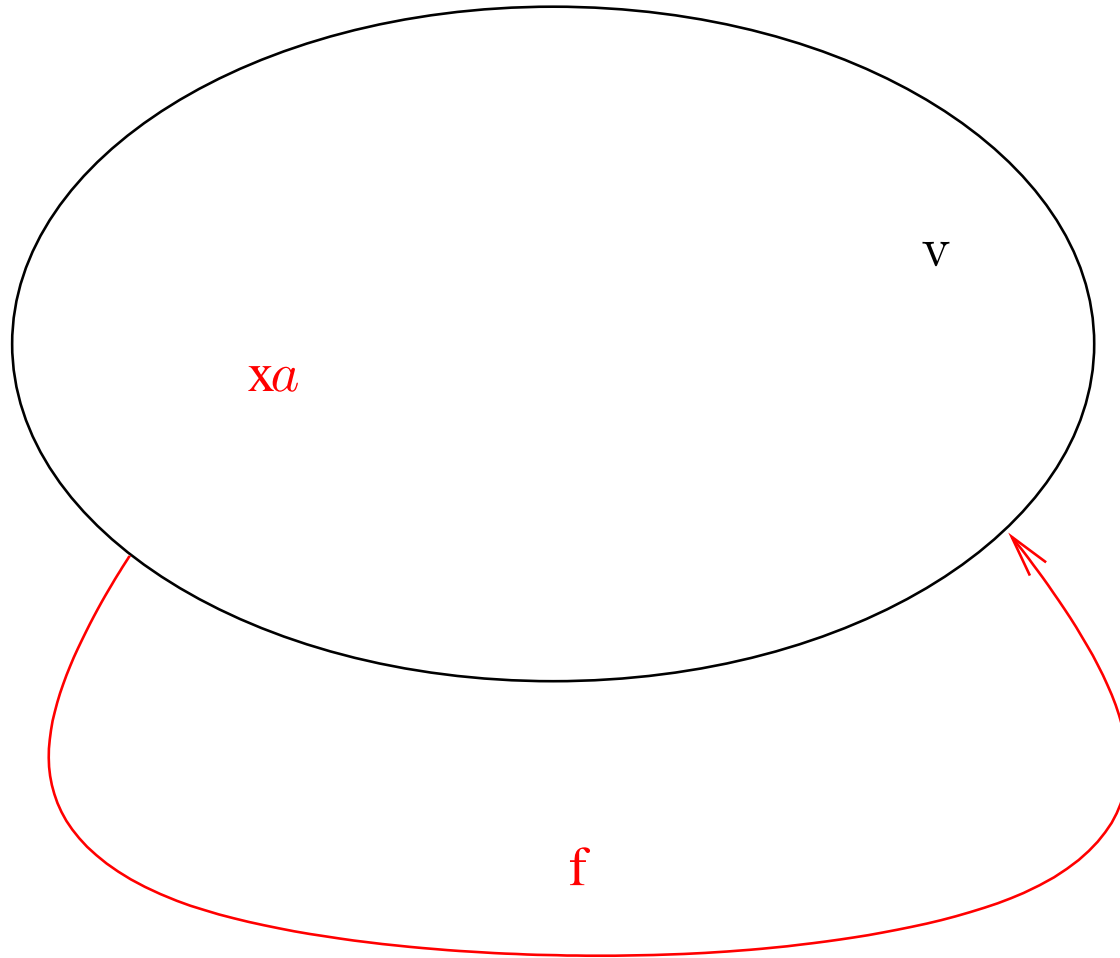
# Illustration, Autonom. Mahlo Univ.

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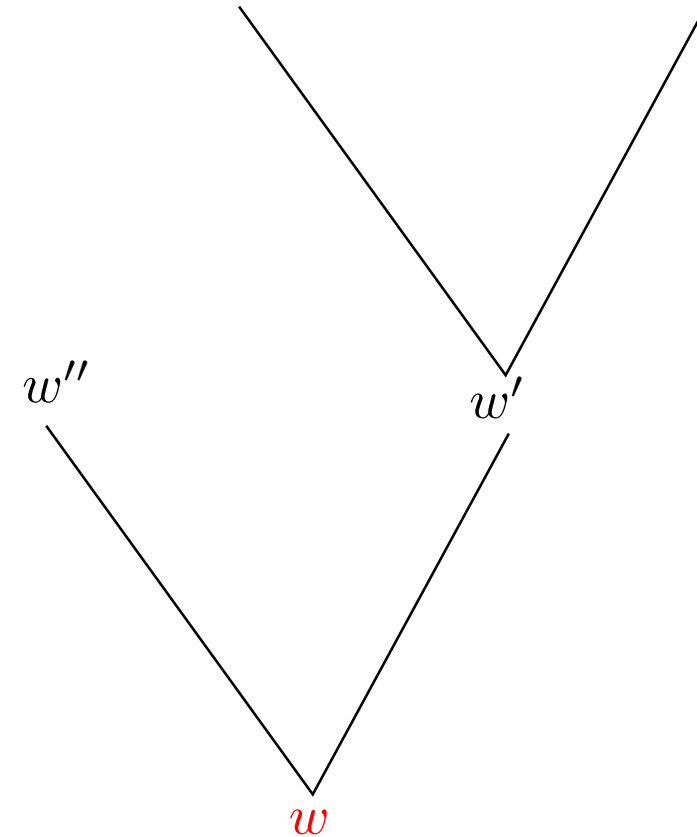
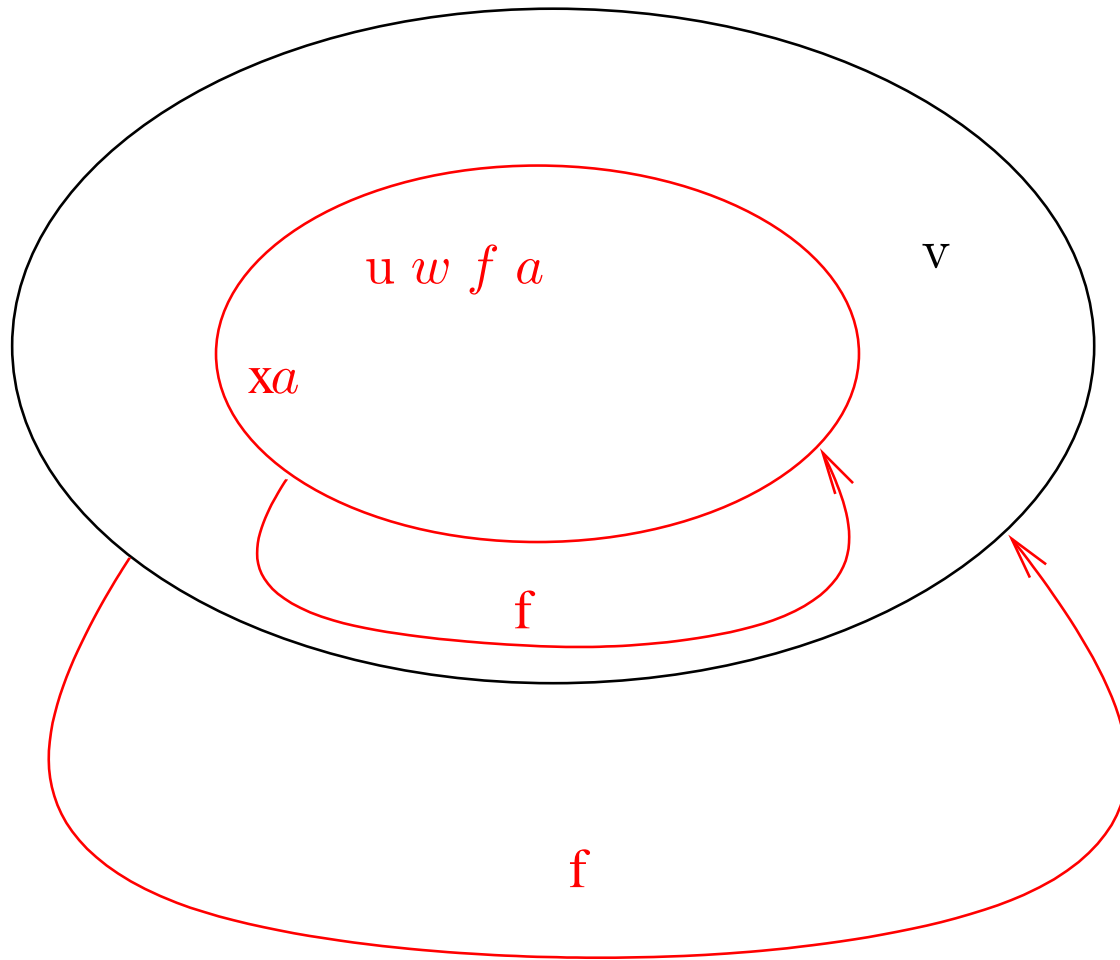
# Illustration, Autonom. Mahlo Univ.

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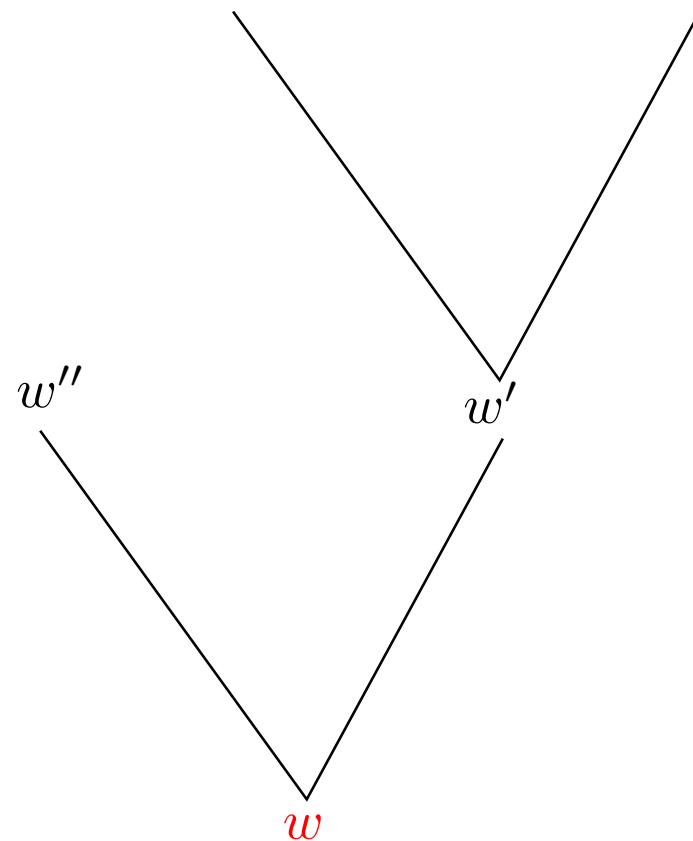
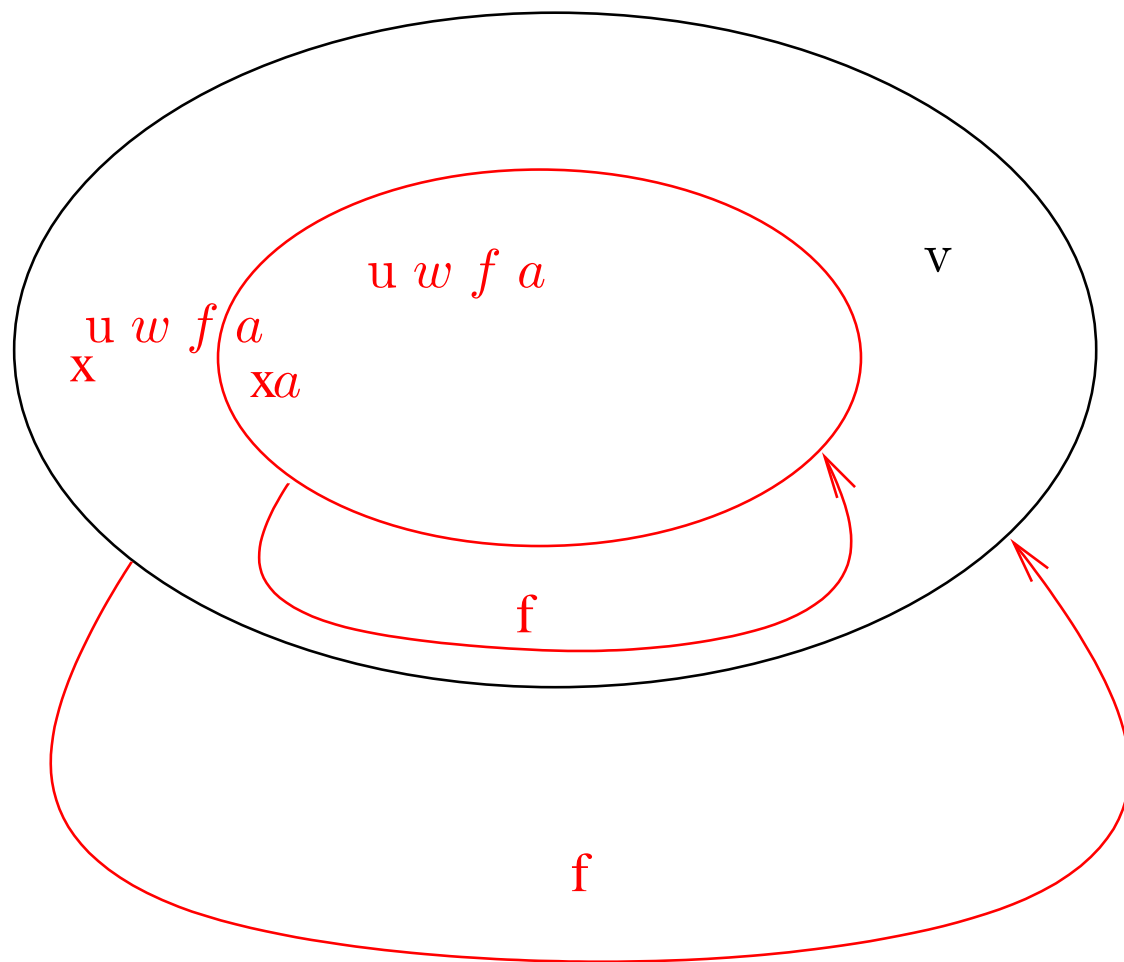
# Illustration, Autonom. Mahlo Univ.

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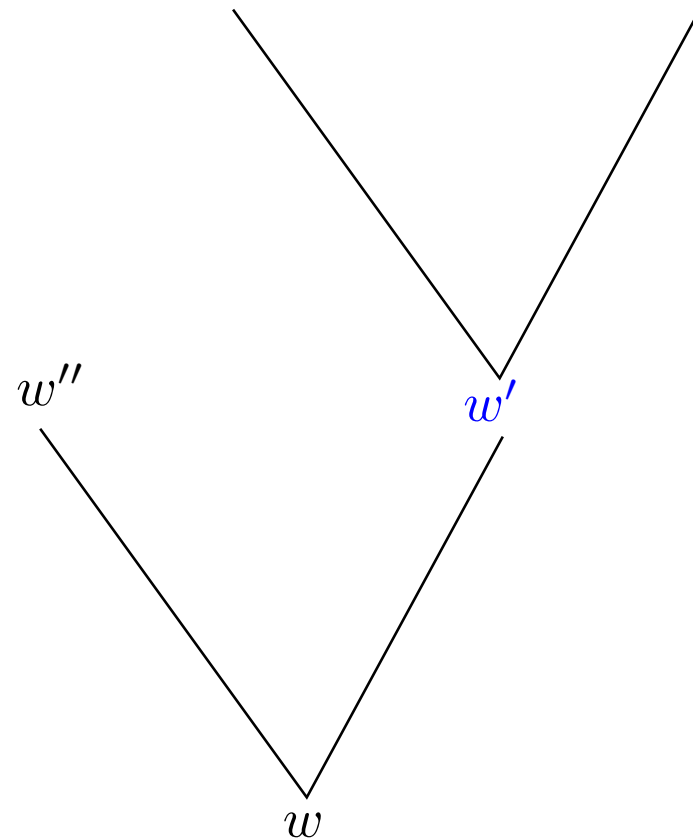
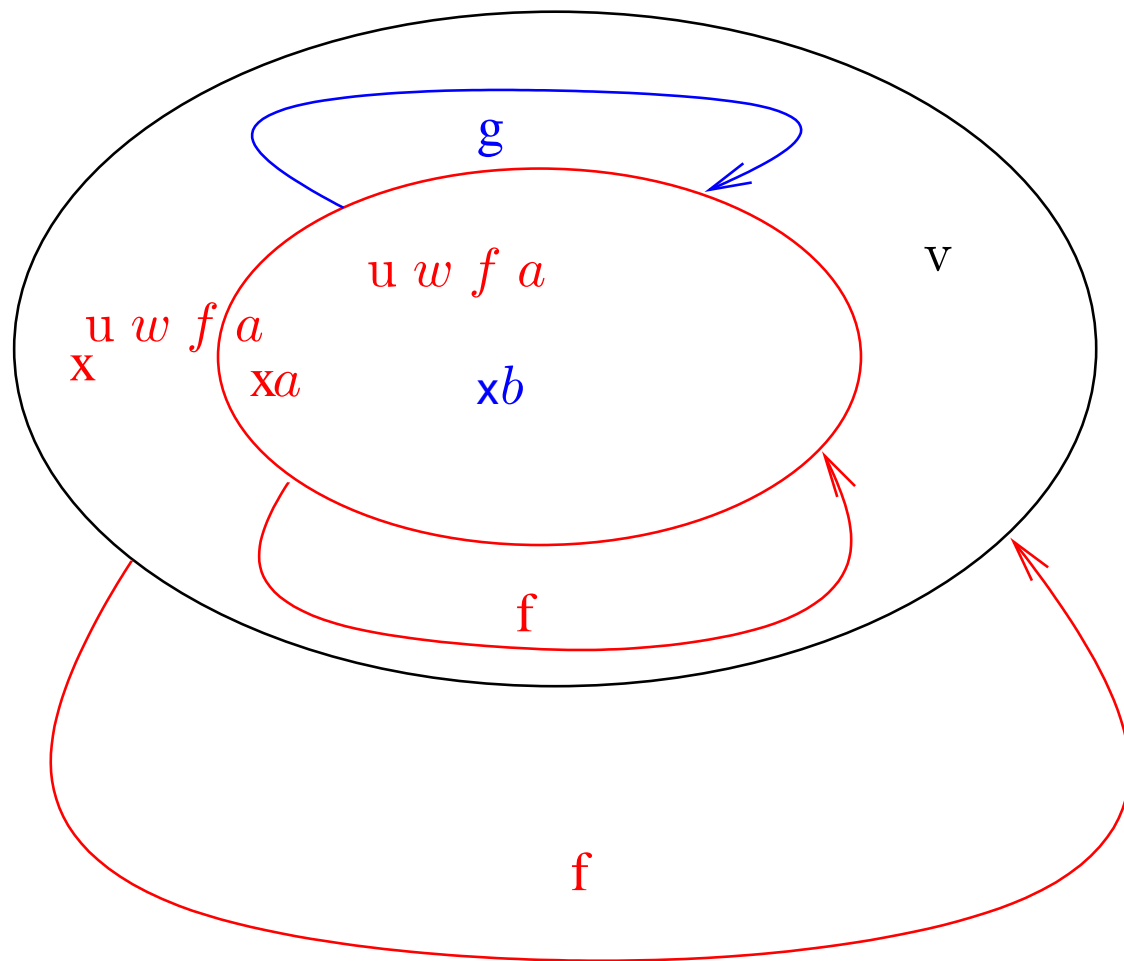


# Illustration, Autonom. Mahlo Univ.

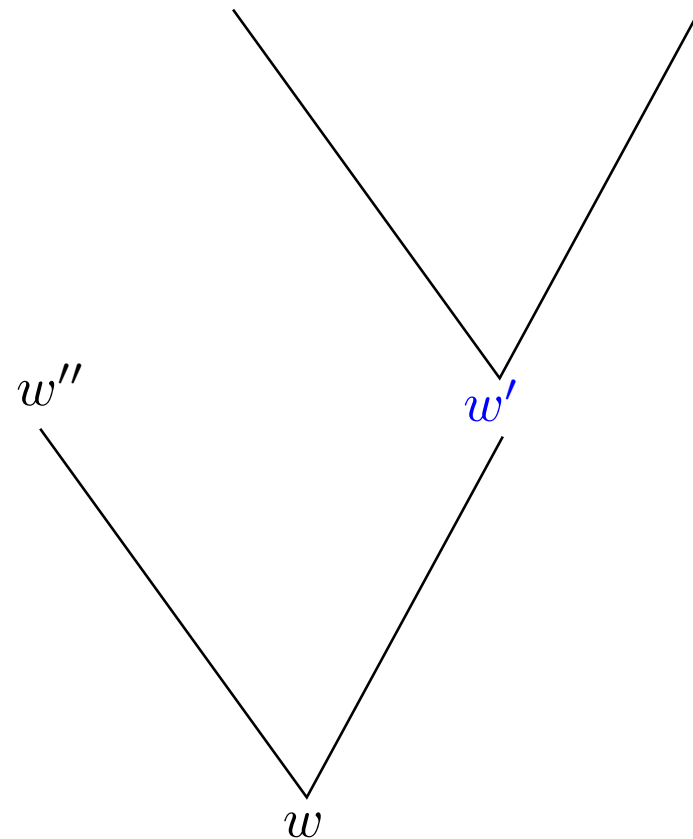
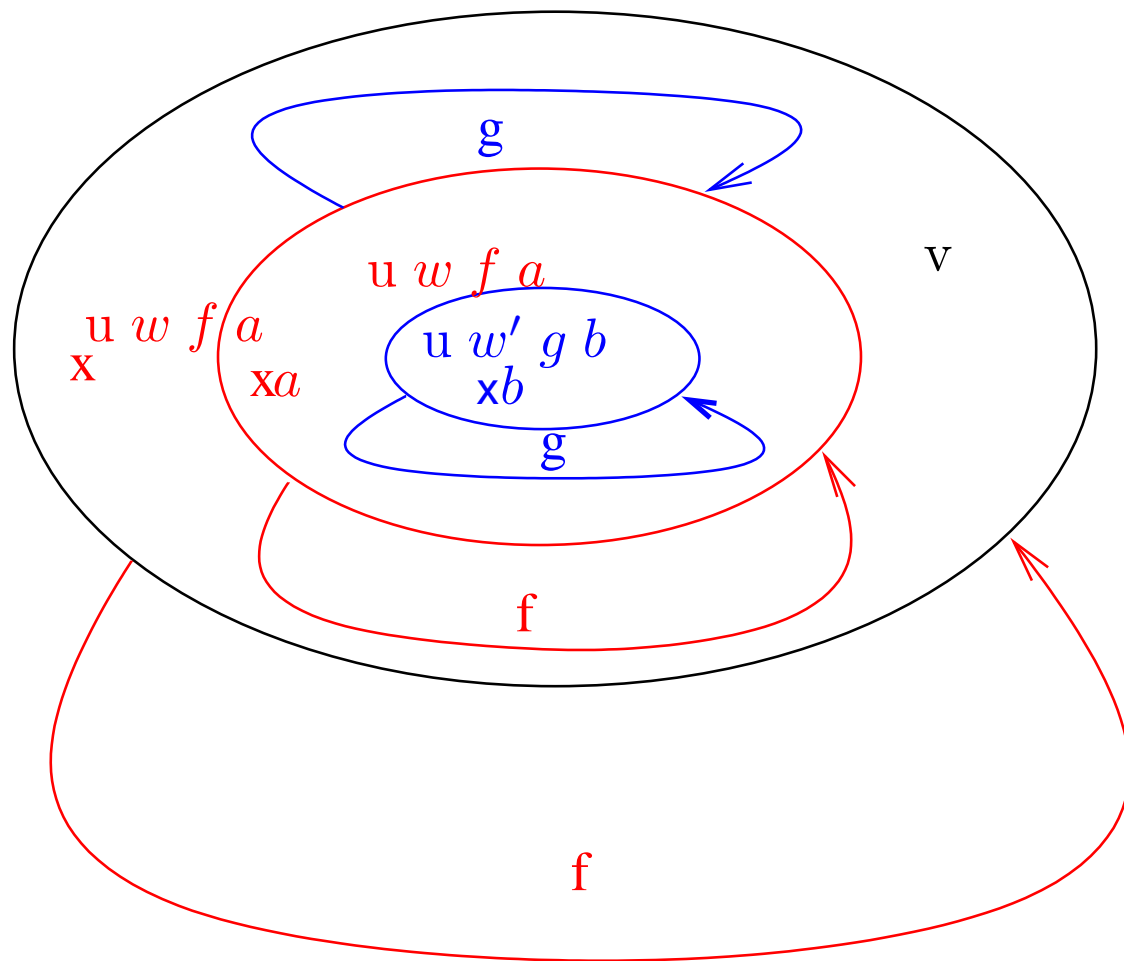
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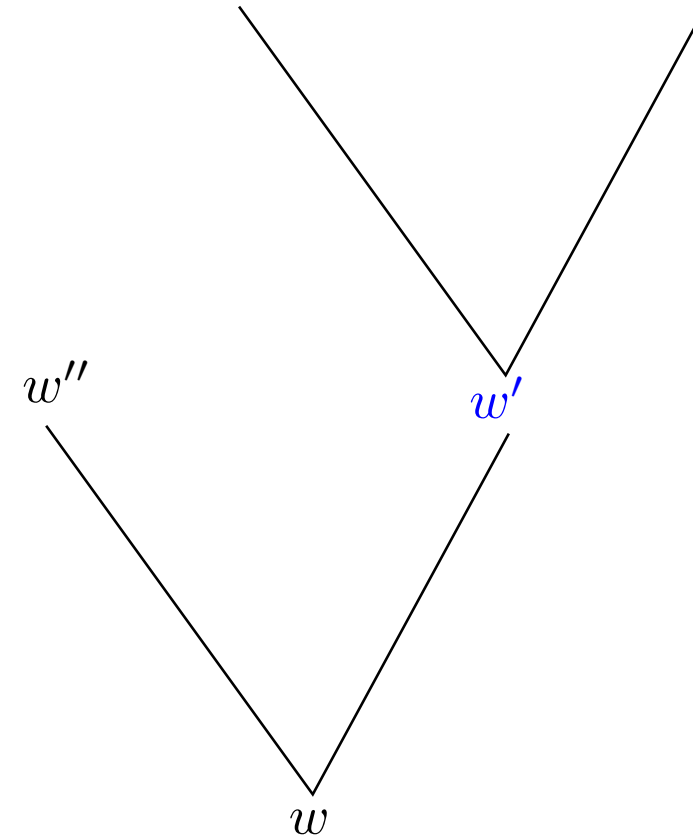
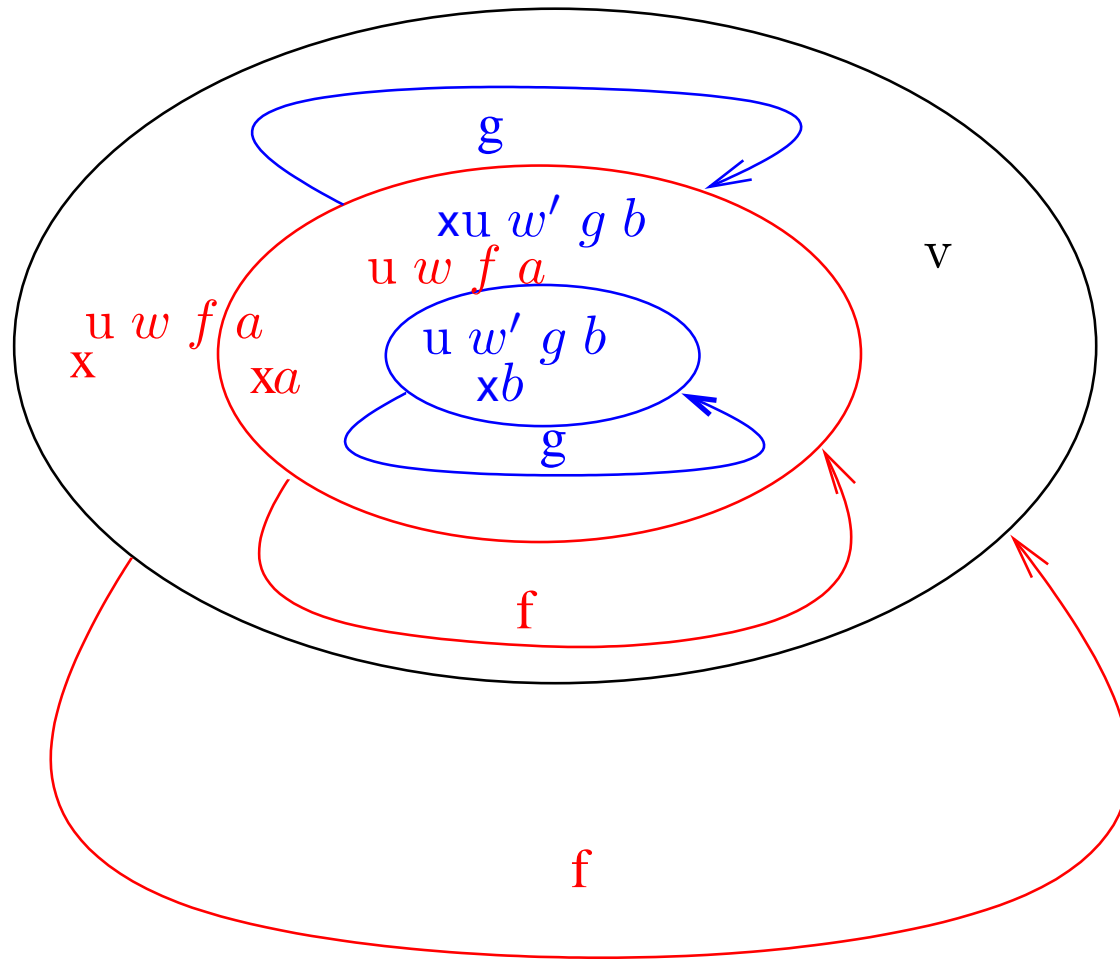
# Illustration, Autonom. Mahlo Univ.



# Illustration, Autonom. Mahlo Univ.



# Illustration, Autonom. Mahlo Univ.





# Mahlo Degrees

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- With a Hyper $w$ -Mahlo universe we can associate the Mahlo degree  $w$ .
- With the autonomously Mahlo universe itself, we can no longer associate a Mahlo degree, which is an ordinal.
  - The number of subdegrees depends on the autonomously Mahlo universe.
  - But in a **monotone** way and only **locally**:
    - When  $v$  increases,  $w(v, \lambda x.x)$  increases essentially.
    - For every  $p \in w(v, \lambda x.x)$  we can find  $a \in v$ ,  $b \in a \rightarrow v$  s.t.  $p$  is in  $w(a, b)$ .

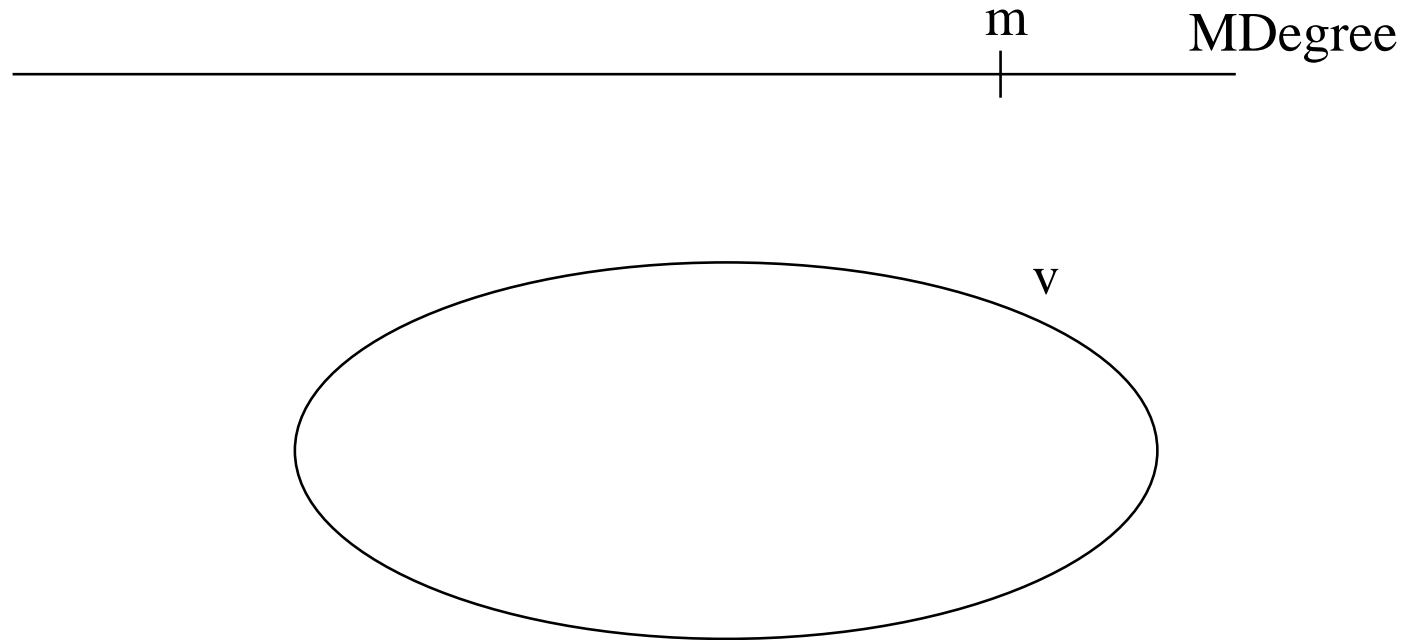
# Mahlo Degrees

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- So we get: Mahlo degrees on a universe  $v$  are given by
  - a set MDegree of Mahlo degrees,
  - and a function subdeg : MDegree  $\rightarrow v \rightarrow \text{Fam}(v, \text{MDegree})$ , which associates
    - with every Mahlo degree  $m$
    - and  $a \in v$   
 $a$
    - family of Mahlo degrees  $\text{subdeg } m a$  indexed over an element of  $v$ .
- In fact we can obtain  $d \in \text{MDegree}$  then  $d \in v \rightarrow \text{Fam}(v, \text{MDegree})$ .

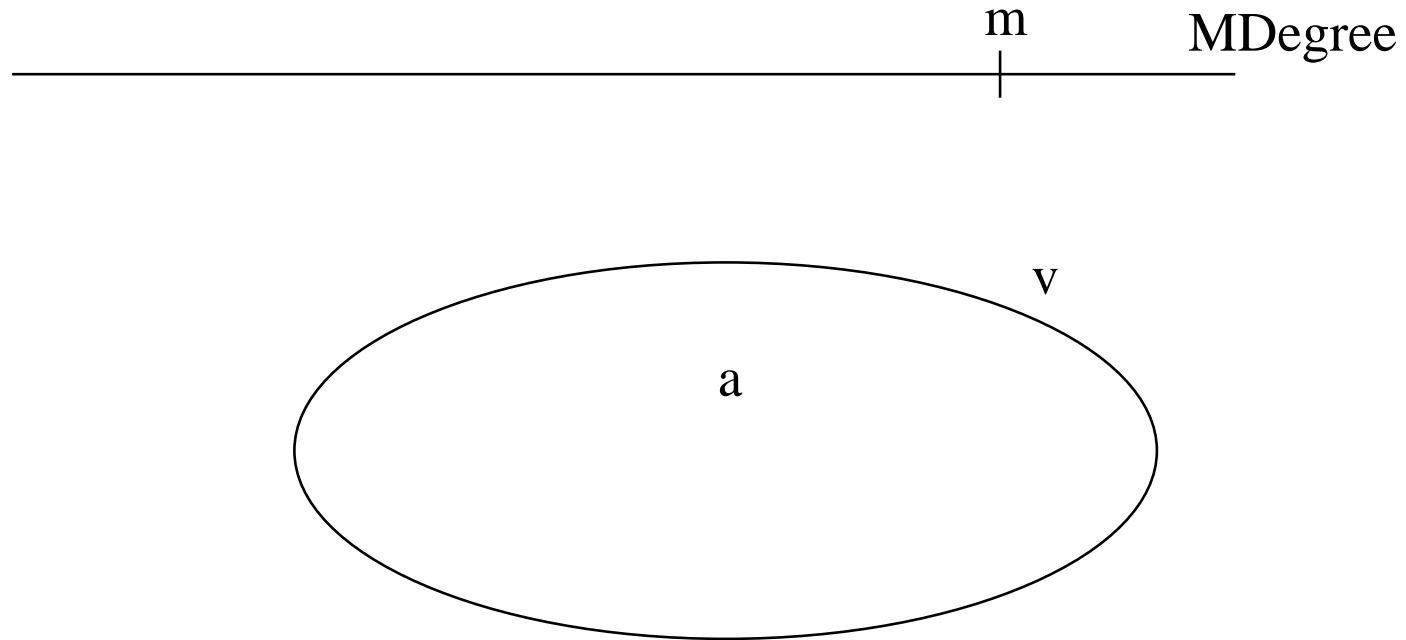
# Mahlo Degrees

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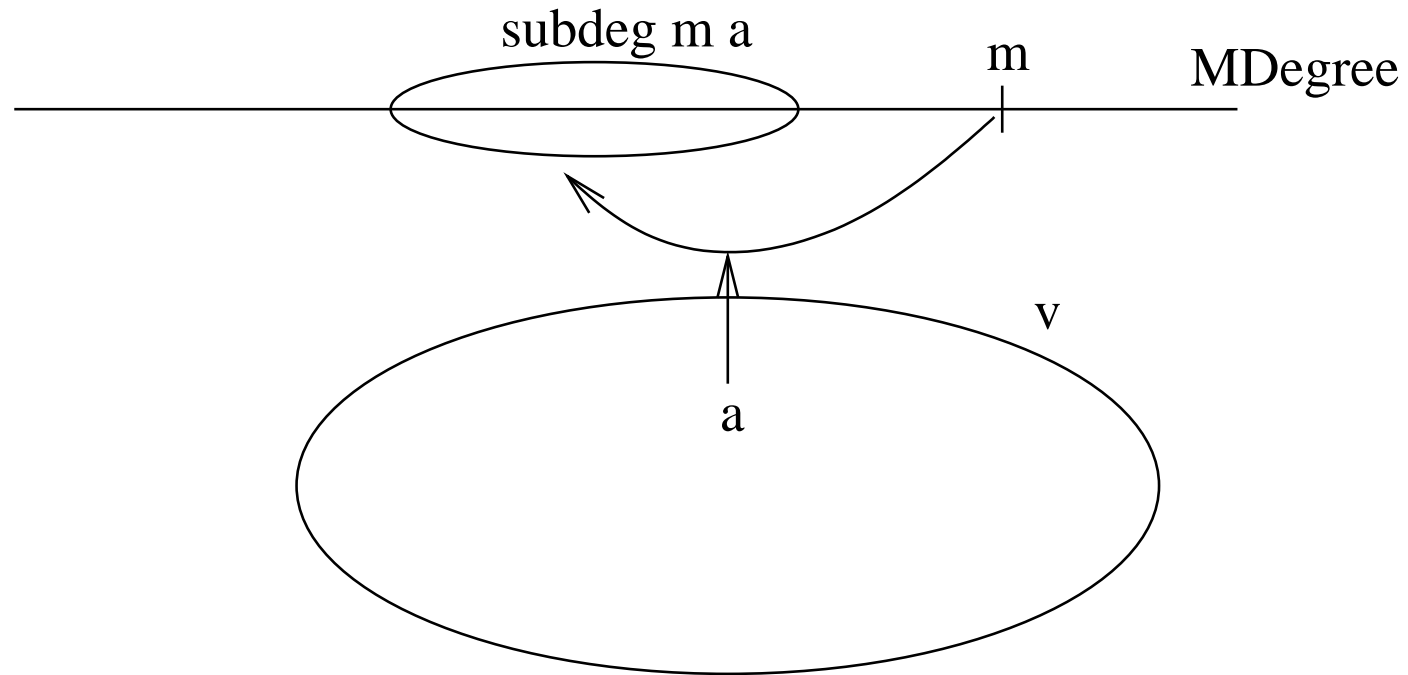
# Mahlo Degrees

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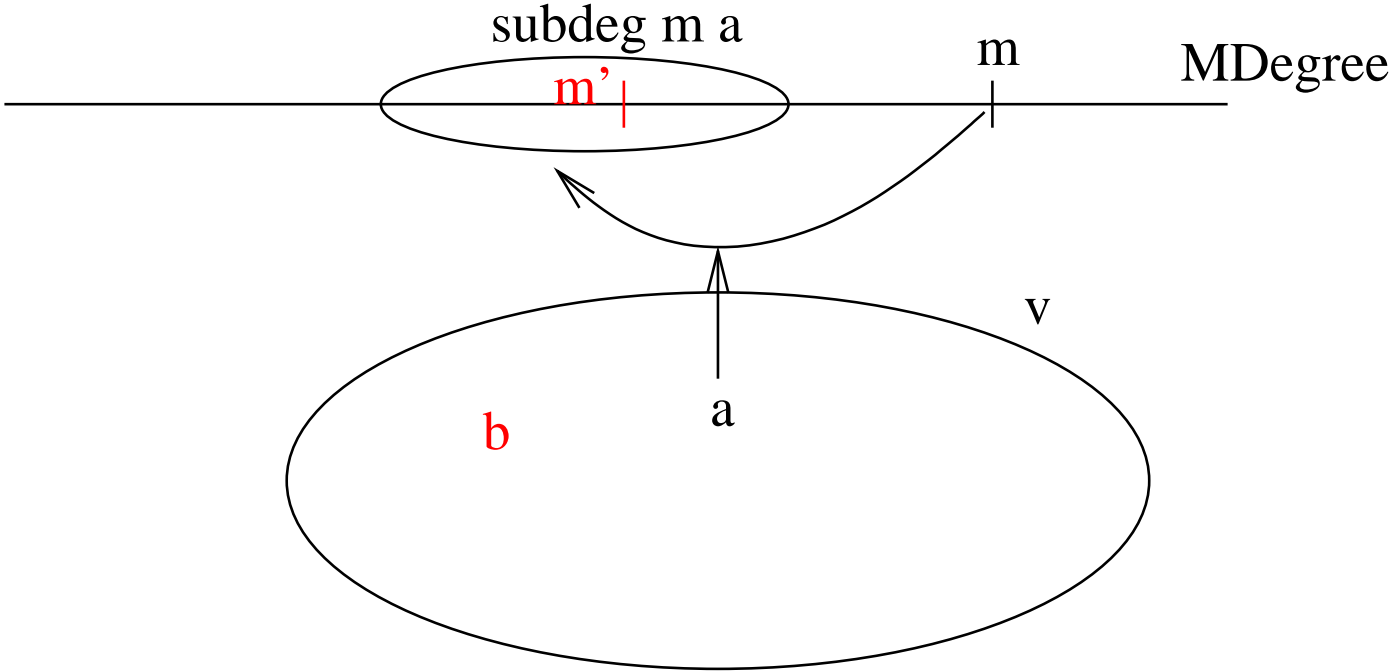


# Mahlo Degrees

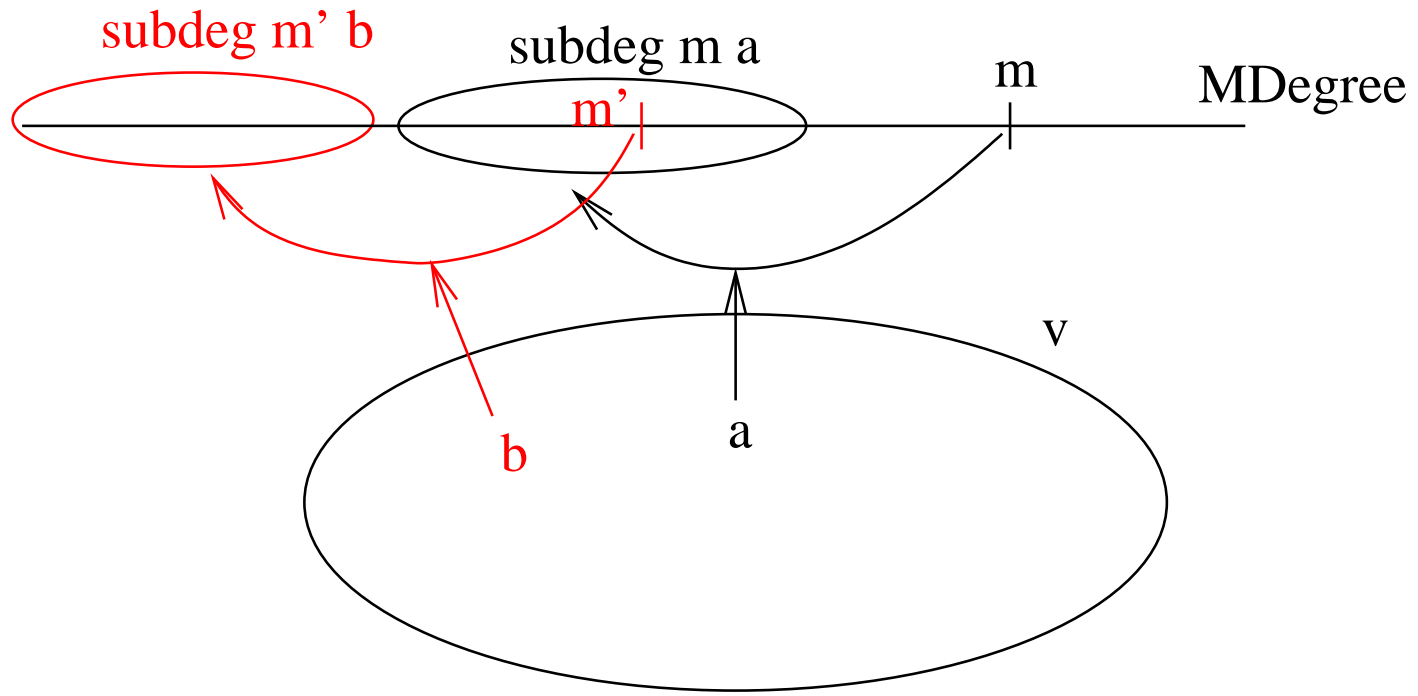
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# Mahlo Degrees



# Mahlo Degrees



# Examples of Mahlo Degrees

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- For ordinary Mahlo degrees corresponding to ordinals  $\alpha$  we have
  - $\text{subdeg } \alpha x = \{\beta \mid \beta < \alpha\}$ .
- The **autonomously Mahlo universe** has Mahlo degree  $m$ , s.t.
  - $\text{subdeg } m x = \{w \mid w \in w(y, z)\}$ .  
( $y, z$  extracted from  $x$ ).



# Introduction of Mahlo Degrees

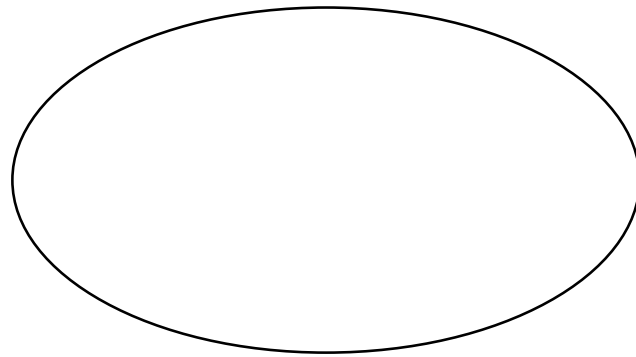
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- Introduction rules for Mahlo degrees for the  $\Pi_3$ -reflecting universe  $v$ :
  - For every  $f : v \rightarrow \text{Fam}(v, M)$
  - there exists a Mahlo degree  $m : \text{MDegree}$
  - s.t.  $\text{subdeg } m x = f x$ .

# Introduction of Mahlo Degrees

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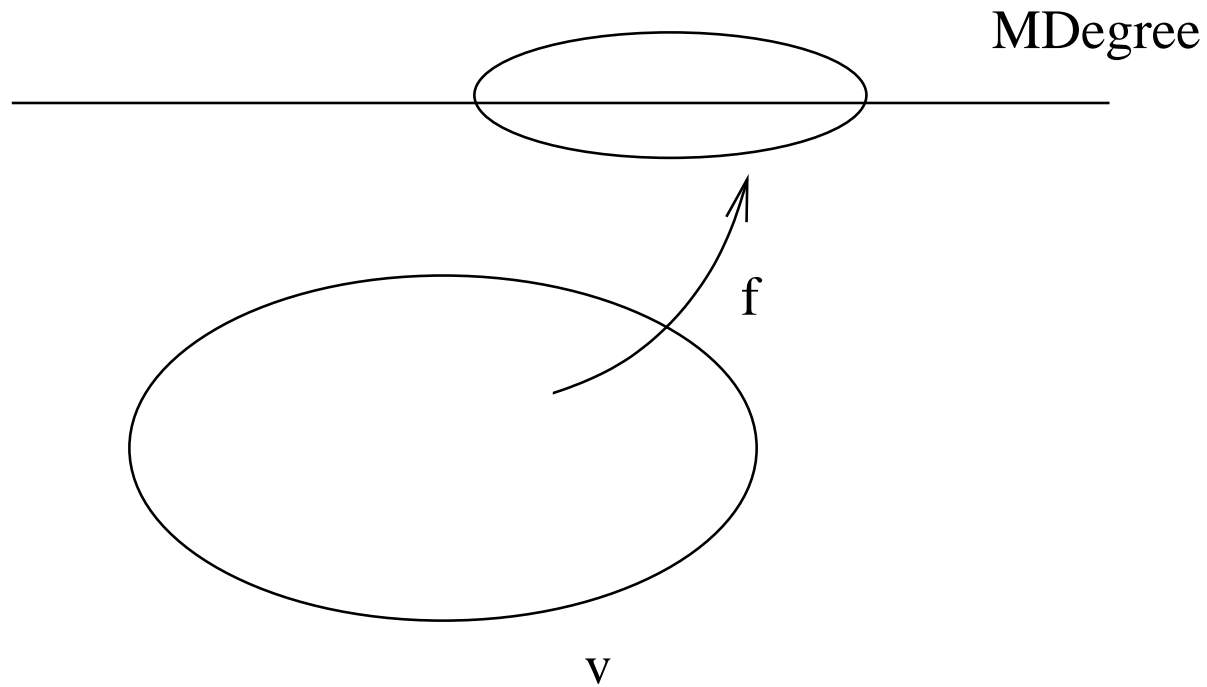
MDegree



v

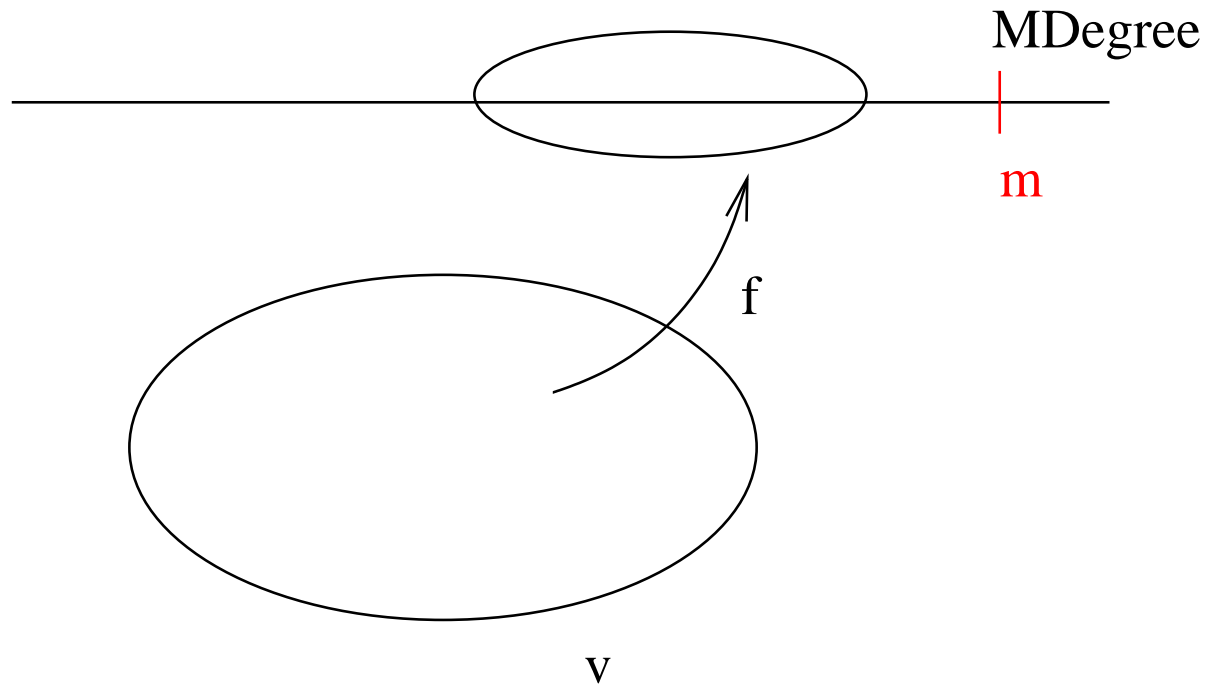
# Introduction of Mahlo Degrees

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# Introduction of Mahlo Degrees

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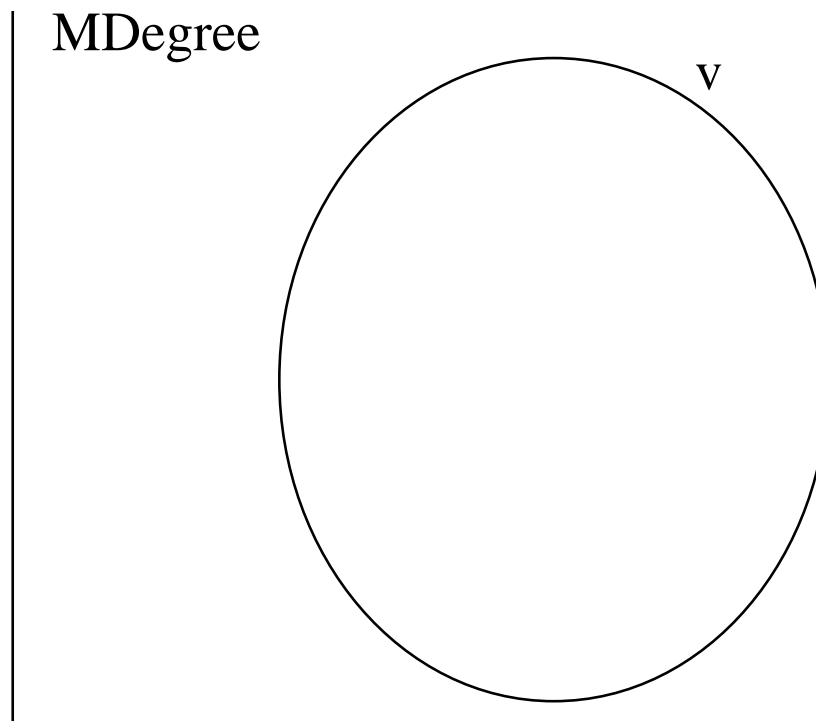
# Closure of the $\Pi_3$ -Refl. Universe (S.)

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- Closure of the  $\Pi_3$ -reflecting universe  $v$ :
  - For every  $m : \text{MDegree}$ ,  $f \in v \rightarrow v$ ,  $a \in v$
  - there exists a subuniverse  $u \text{ } f \text{ } m \text{ } a$
  - of Mahlo degree  $m$ ,
  - closed under  $f$ ,
  - and containing  $a$ ,
  - s.t.  $u \text{ } f \text{ } m \text{ } a \in v$ .

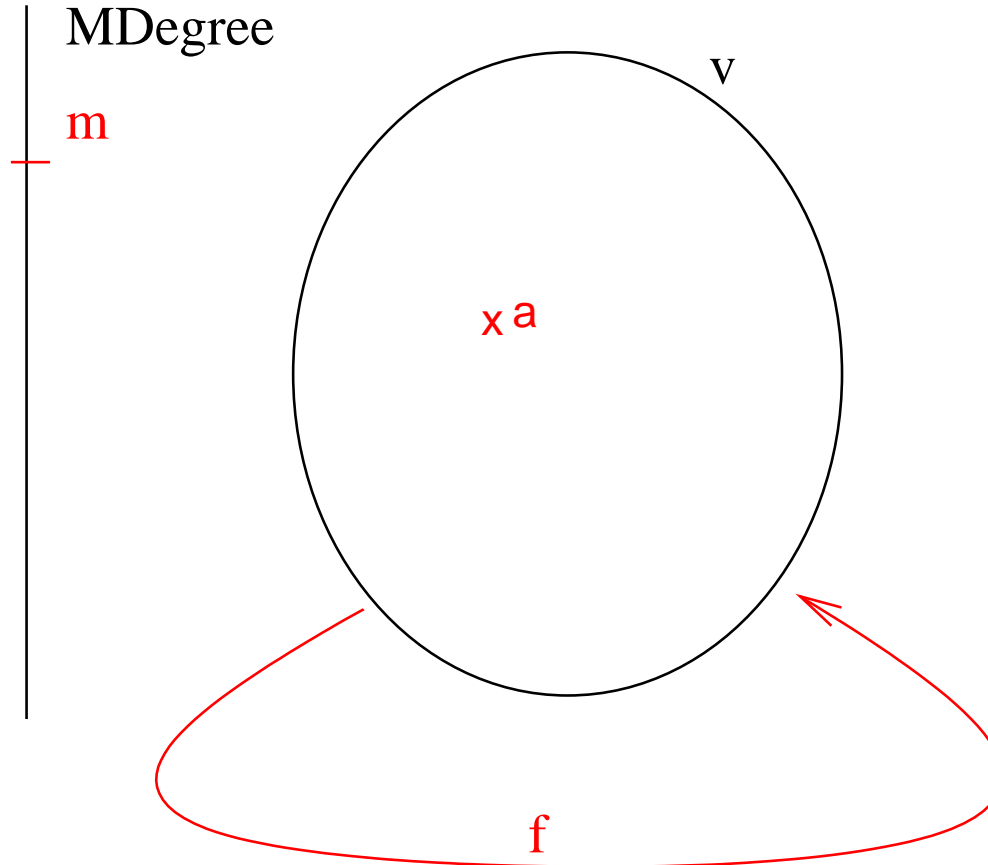
# Closure of the $\Pi_3$ -Refl. Univ.

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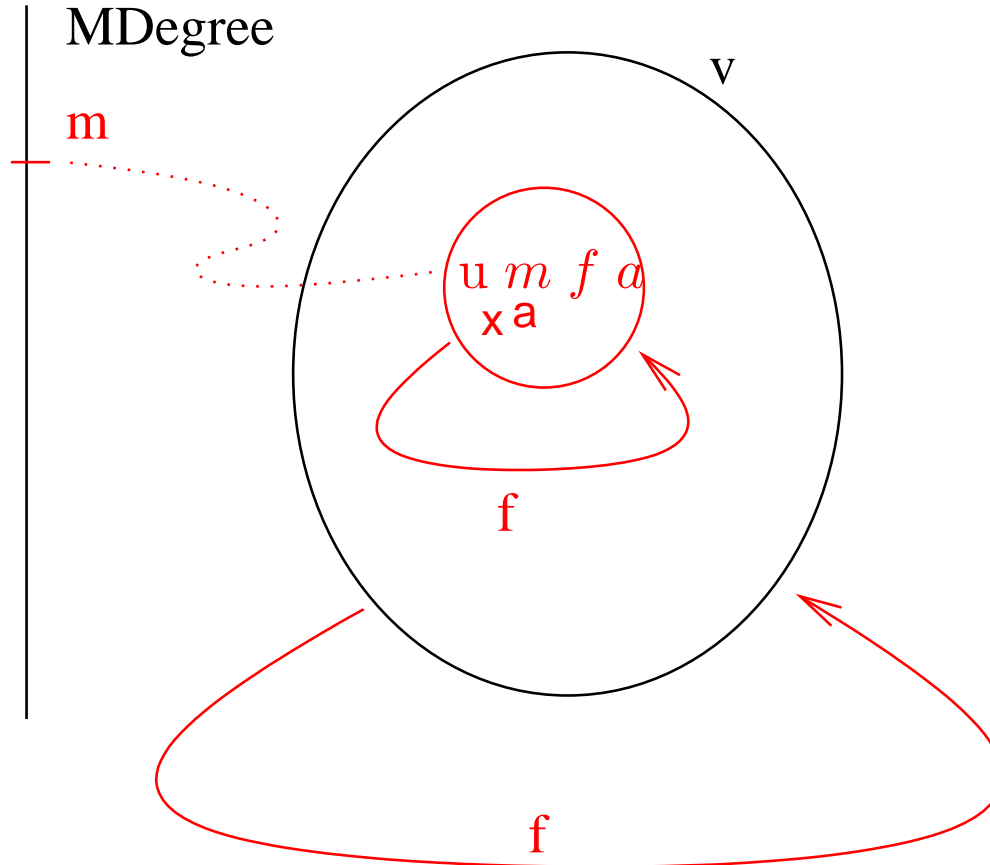
# Closure of the $\Pi_3$ -Refl. Univ.

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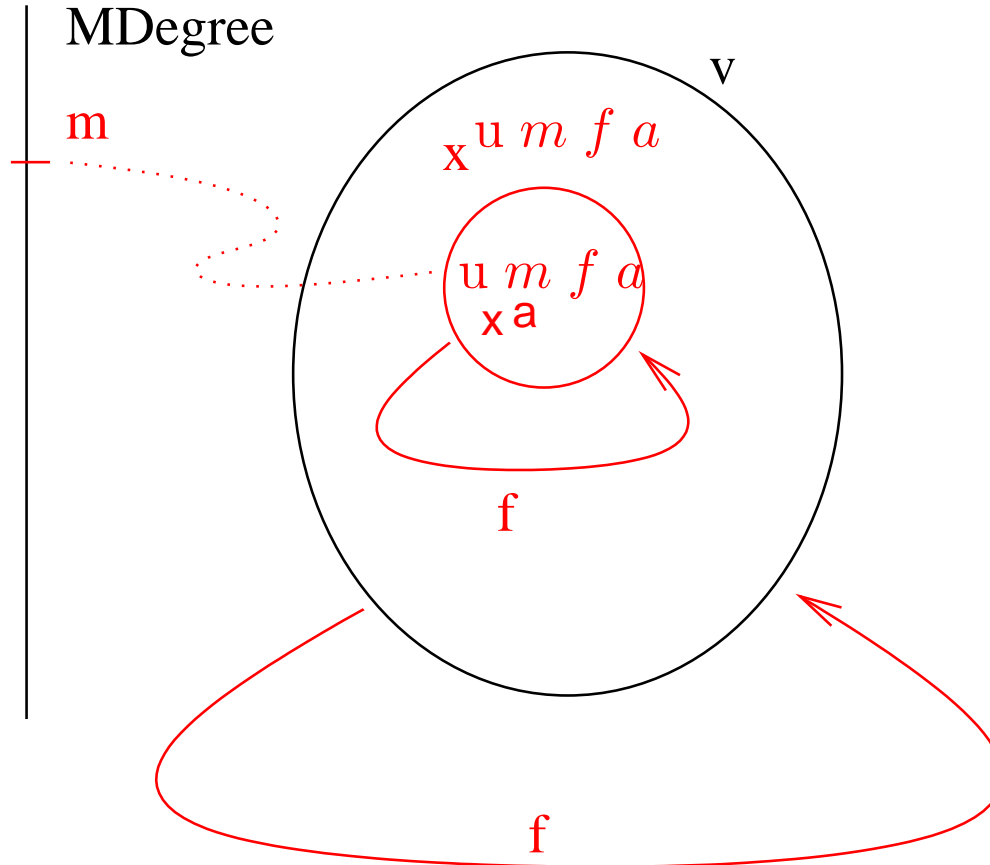
# Closure of the $\Pi_3$ -Refl. Univ.

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# Closure of the $\Pi_3$ -Refl. Univ.



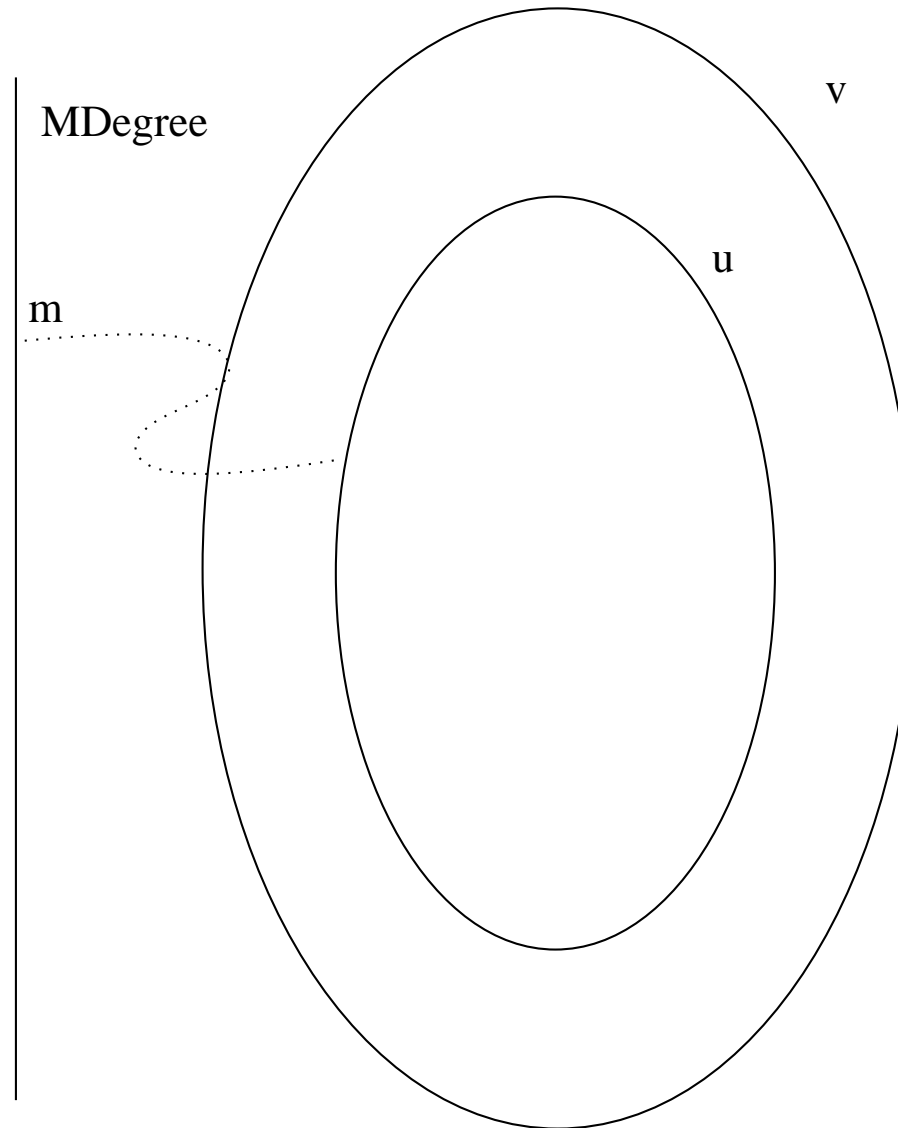
# Closure of Universes of Degree $m$

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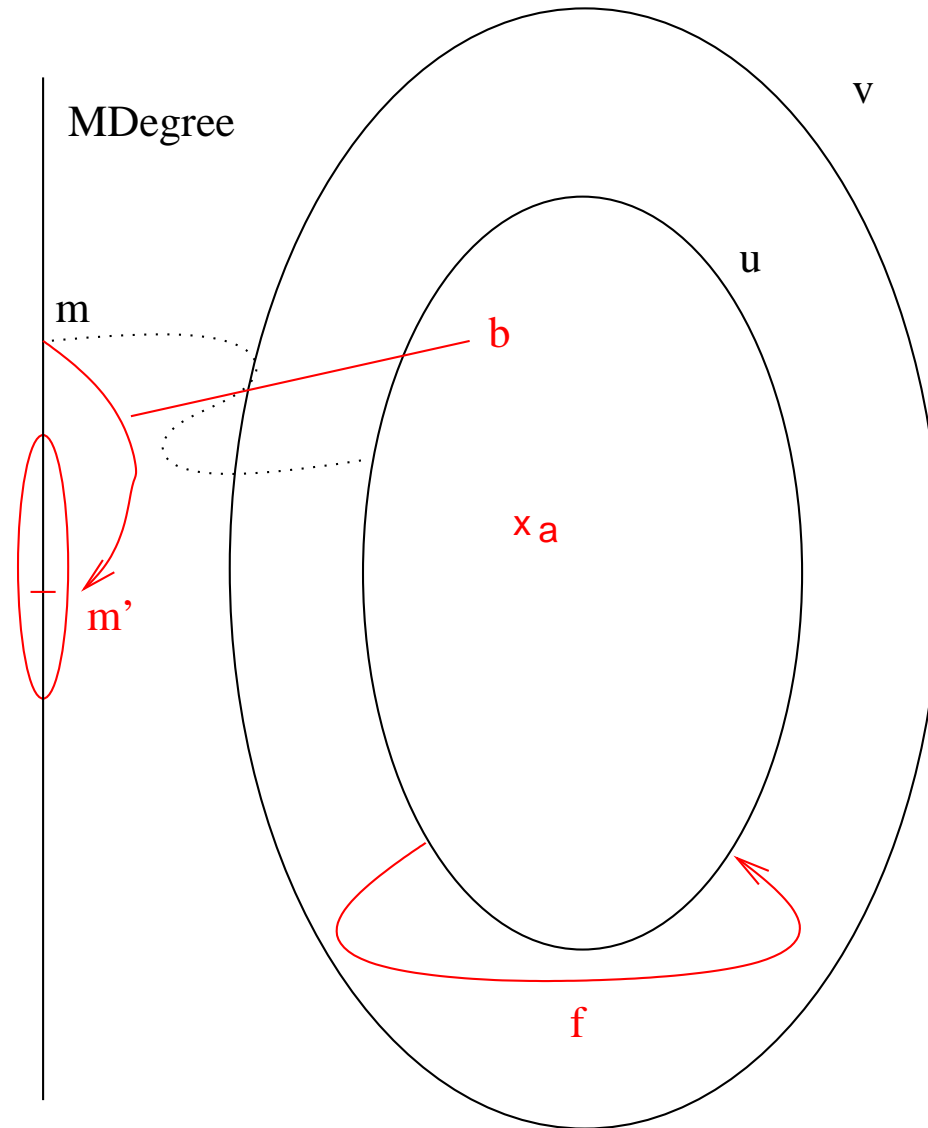
- Closure of universes of Mahlo degree  $m$ :
  - For every  $f \in u \rightarrow u$ ,  $a \in u$ ,
  - $b \in u$ , and  $m'$  in the family of Mahlo degrees  $\text{subdeg } m b$ ,
  - there exists a subuniverse of  $u$ ,
    - closed under  $a, f$ ,
    - of Mahlo degree  $m'$ ,
    - and represented in  $u$ .
- $\text{ML} + \Pi_3 - \text{refl}$  consists of a universe  $v$ , Mahlo degrees for  $v$  and all rules above.
  - Note that  $v$ , the Mahlo degrees and the subuniverses are all defined simultaneously.

# Closure of Universes of Degree $m$

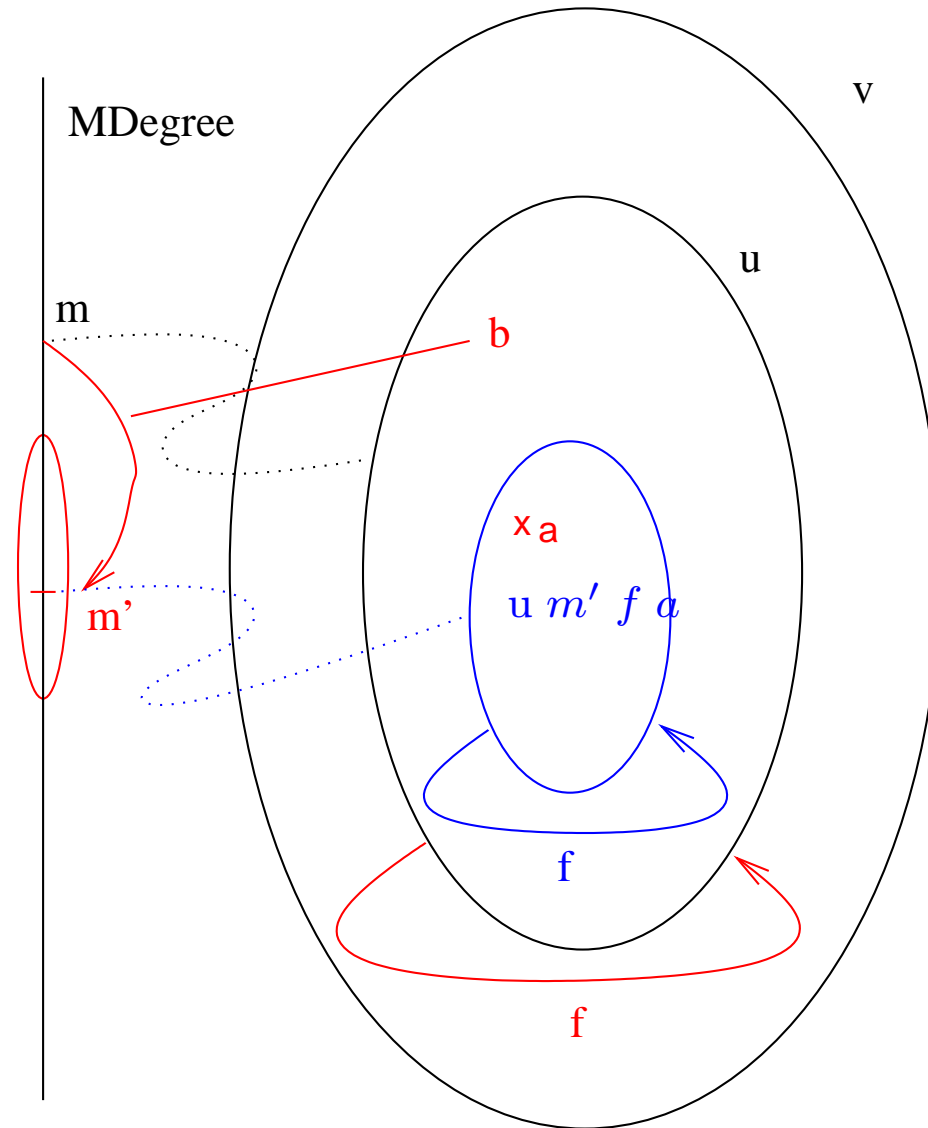
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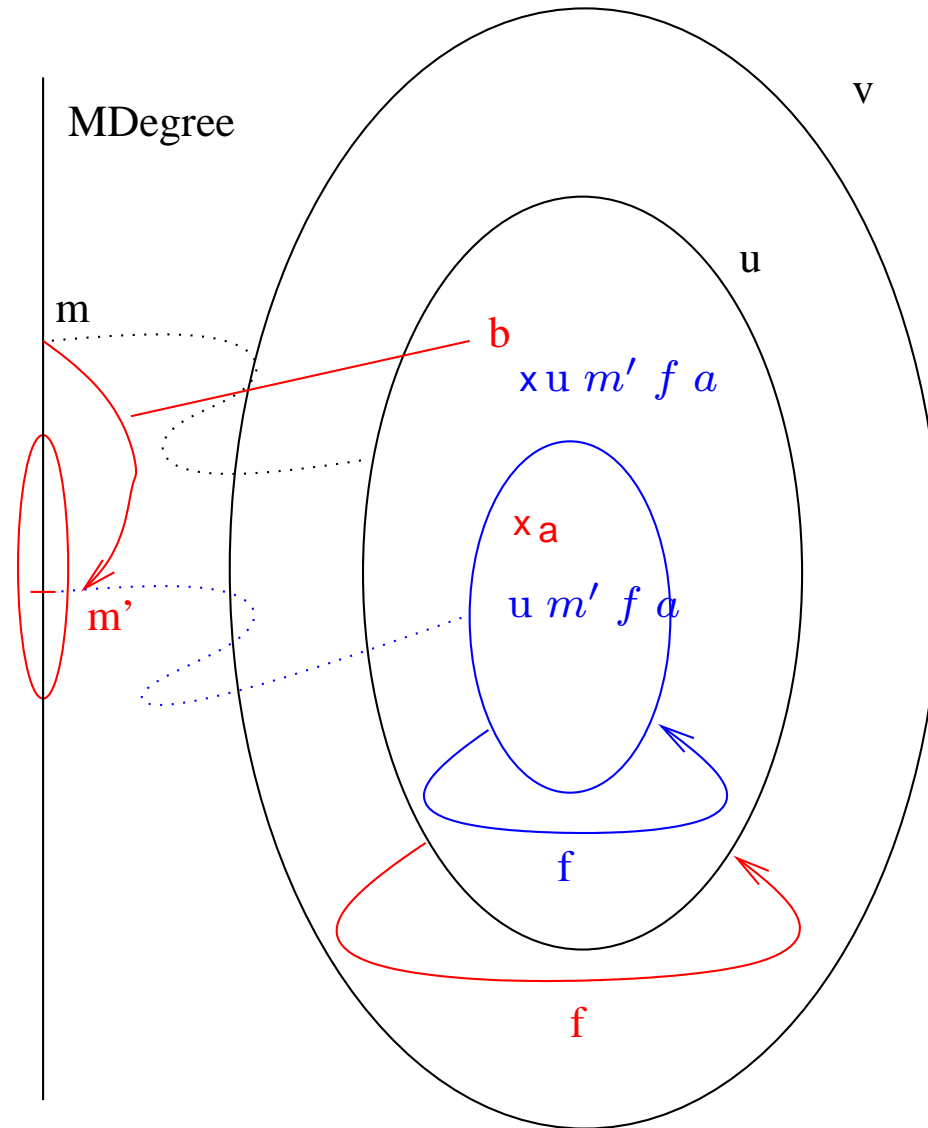
# Closure of Universes of Degree $m$



# Closure of Universes of Degree $m$



# Closure of Universes of Degree $m$



# 3. Extended Predicative Version

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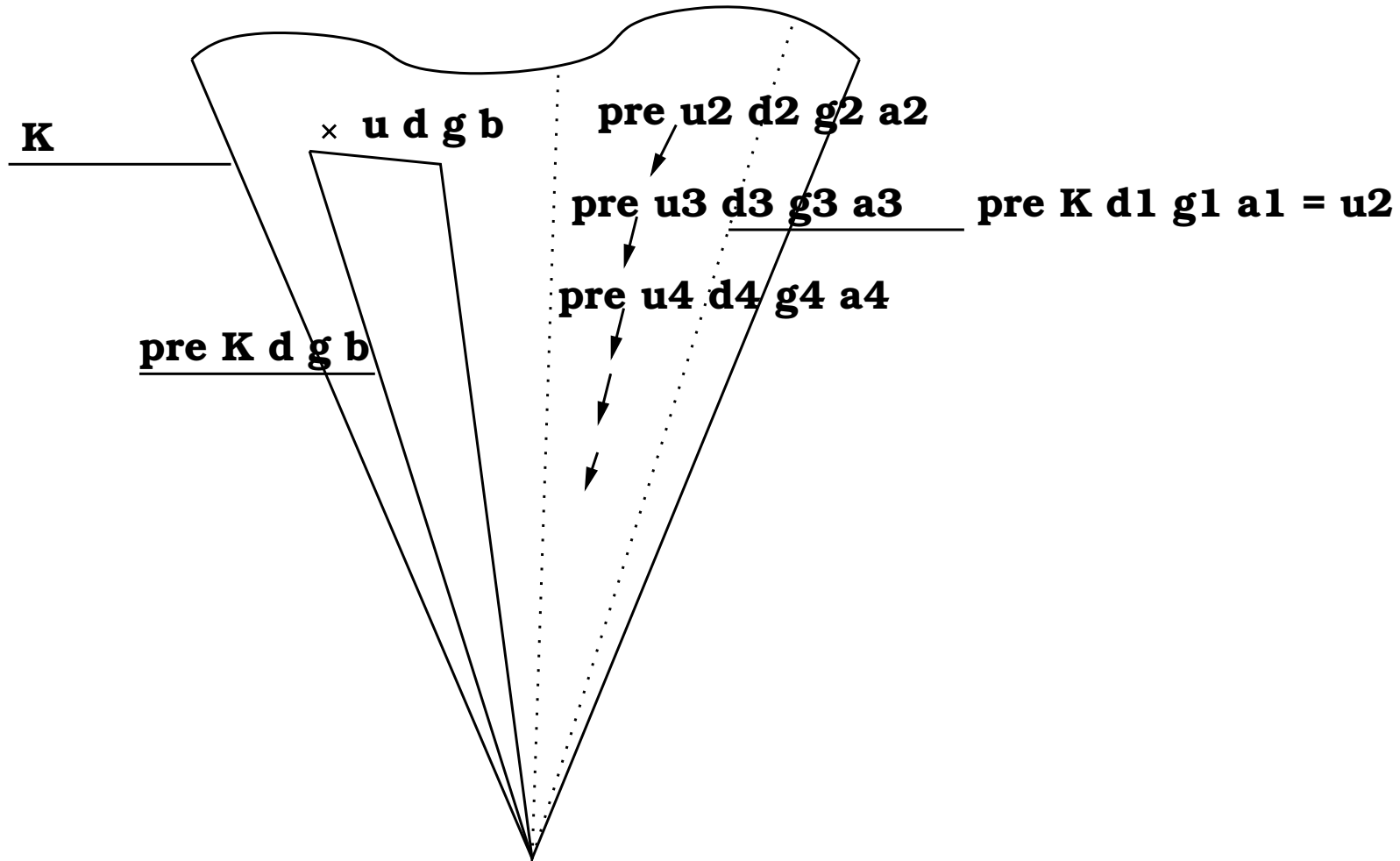
- Remember from the extended predicative Mahlo universe:
  - Let  $\Gamma^{\text{Univ}}$  be the operator defining the one-step upward and downward closure of set under universe operations.
  - $\text{RU}(\mathcal{A}, \mathcal{B}, f, a) := (\{a\} \cup f[\mathcal{B}] \cup \Gamma^{\text{Univ}}(\mathcal{B})) \cap \mathcal{A} \subseteq \mathcal{B}$ .
  - $\text{Indpt}(\mathcal{A}, \mathcal{B}, f, a) := \{a\} \cup f[\mathcal{B}] \cup \Gamma^{\text{Univ}}(\mathcal{B}) \subseteq \mathcal{A}$ .
- Then we had
  - $\text{RU}(u, \text{pre } u \ f \ a, f, a)$ .
  - $\text{Indpt}(m, \text{pre } m \ f \ a, f, a) \rightarrow u \ f \ a \in m$   
 $\wedge u \ f \ a =_{\text{ext}} \text{pre } m \ f \ a$  .

# Idea for Ext. Pred. $\Pi_3$ -Refl. Univ

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- Similarly as before we define  $\text{pre } u \text{ } d \text{ } f \text{ } a$  by closing it under  $f, a$  and  $\Gamma^{\text{Univ}}$  relative to  $u$ .
- But now  $\text{pre } u \text{ } d \text{ } f \text{ } a$  is closed under subuniverses of subdegrees of  $d$  relative to  $\text{pre } u \text{ } d \text{ } f \text{ } a$ .
- The extended predicative  $\Pi_3$ -reflecting universe  $K$  will be closed under all  $\text{pre } K \text{ } d \text{ } f \text{ } a$  which are independent of  $K$ .





# Operations on Degrees

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$$\begin{aligned}d' \prec_{\mathcal{A}, \mathcal{B}}^1 d &:= \exists a \in \mathcal{B}. p_0(d a) \in \mathcal{A} \wedge \exists b \in p_0(d a). p_1(d a) b = d \\ \prec_{\mathcal{A}, \mathcal{B}}, \preceq_{\mathcal{A}, \mathcal{B}} &:= \text{transitive / transitive-reflexive closure of } \prec_{\mathcal{A}, \mathcal{B}}^1 \\ d \prec_{\mathcal{A}} d' &:= d \prec_{\mathcal{A}, \mathcal{A}} d' \text{ etc.}\end{aligned}$$

# Closure/Indpt of $\text{pre } u \text{ } d \text{ } f \text{ } a$

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$$\begin{aligned} \text{RU}_{\Pi_3}(\mathcal{A}, v, d, f, a) &:= \text{RU}(\mathcal{A}, v, f, a) \\ &\wedge \Gamma_{\mathcal{A}, d}^{\text{D}}(v) \cap \mathcal{A} \subseteq v \\ &\wedge \forall d' \prec_{\mathcal{A}, v} d. \forall g, b. \end{aligned}$$

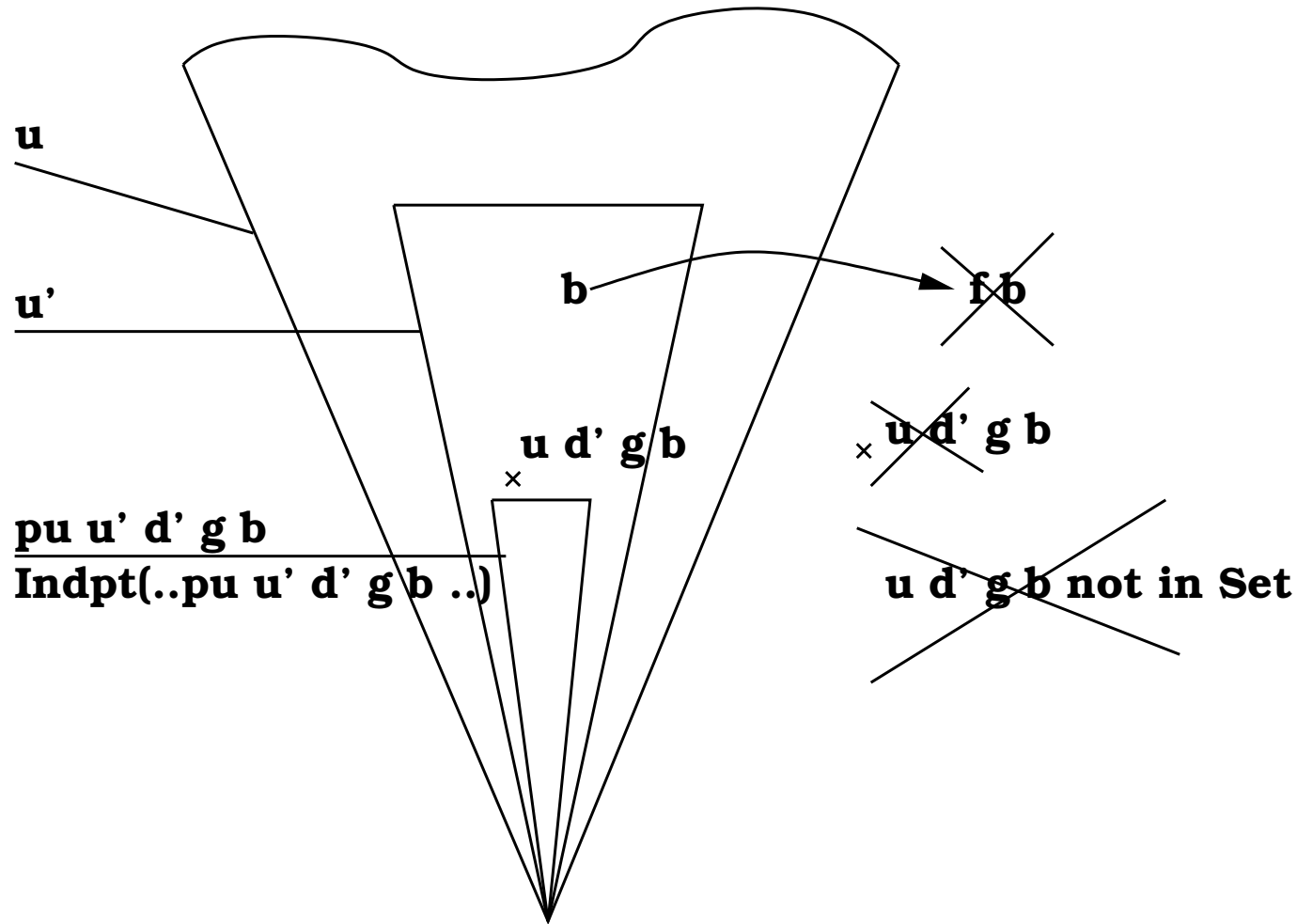
$$\begin{aligned} &\text{Indpt}_{\Pi_3}(v, \text{pre } v \text{ } d' \text{ } g \text{ } b, d', g, b) \\ &\wedge u \text{ } d' \text{ } g \text{ } b \in \mathcal{A} \\ &\rightarrow u \text{ } d' \text{ } g \text{ } b \in v \end{aligned}$$

$$\begin{aligned} \text{Indpt}_{\Pi_3}(\mathcal{A}, u, d, f, a) &:= \text{Indpt}(\mathcal{A}, u, f, a) \wedge \Gamma_{\mathcal{A}, d}^{\text{D}}(u) \subseteq \mathcal{A} \wedge \\ &\forall d' \prec_{\mathcal{A}, u} d. \forall g, b. \end{aligned}$$

$$\begin{aligned} &\text{Indpt}(u, \text{pre } u \text{ } d' \text{ } g \text{ } b, g, b) \\ &\rightarrow u \text{ } d' \text{ } g \text{ } b \in \mathcal{A} \end{aligned}$$

# Indpt $\Pi_3(u, v, d, f)$

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# Axioms for Ext. Pred. $\Pi_3$

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## ● I. Least pre-universes

$$(EP\Pi_3.1) \quad u \in \mathfrak{R}_{\mathfrak{R}} \wedge v = \text{pre } u \ d \ f \ a \\ \rightarrow v \in \mathfrak{R}_{\mathfrak{R}} \wedge \text{RU}_{\Pi_3}(u, v, d, f, a)$$

$$(EP\Pi_3.2) \quad (u \in \mathfrak{R}_{\mathfrak{R}} \wedge v = \text{pre } u \ d \ f \ a \wedge v' \in \mathfrak{R}_{\mathfrak{R}} \wedge \\ \text{RU}_{\Pi_3}(u, v', d, f, a)) \\ \rightarrow v \subseteq v'.$$

$$(EP\Pi_3.3) \quad (u \in \mathfrak{R}_{\mathfrak{R}} \wedge v = \text{pre } u \ d \ f \ a \wedge \mathcal{A} \subseteq \mathfrak{R} \wedge \\ \text{RU}(u, \mathcal{A}, f, a) \wedge \Gamma_{u,d}^{\text{D}}(\mathcal{A}) \cap u \subseteq \mathcal{A} \wedge \\ \forall d' \prec_{u,\mathcal{A}} d. \forall g, b. \\ \text{Indpt}_{\Pi_3}(\mathcal{A}, \text{pre } v \ d' \ g \ b, d', g, b) \\ \wedge \text{pre } v \ d' \ g \ b \subseteq \mathcal{A} \wedge u \ d' \ g \ b \in u \\ \rightarrow u \ d' \ g \ b \in \mathcal{A})) \\ \rightarrow v \subseteq \mathcal{A}.$$

# Axioms for Ext. Pred. $\Pi_3$

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## ● II. The $\Pi_3$ -reflecting Universe

$$\begin{aligned} \text{(EP}\Pi_3.4\text{)} \quad & K \in \mathfrak{R}_{\mathfrak{R}} \wedge \Gamma^{\text{Univ}}(K) \subseteq K \wedge \\ & \forall d, f. \text{Indpt}_{\Pi_3}(K, \text{pre } K \ d \ f \ a, d, f, a) \\ & \quad \rightarrow u \ d \ f \ a \in \mathfrak{R} \wedge u \ d \ f \ a \in K \\ & \quad \wedge u \ d \ f \ a =_{\text{ext}} \text{pre } K \ d \ f \ a \end{aligned}$$

$$\begin{aligned} \text{(EP}\Pi_3.5\text{)} \quad & (v \in \mathfrak{R}_{\mathfrak{R}} \wedge \Gamma^{\text{Univ}}(v) \subseteq v \wedge \quad . \\ & \forall d, f. (\text{Indpt}_{\Pi_3}(v, \text{pre } v \ d \ f \ a, d, f, a) \\ & \quad \rightarrow u \ d \ f \ a \in v) \\ & \rightarrow K \subseteq v \end{aligned}$$

# Axioms for Ext. Pred. $\Pi_3$

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$$\begin{aligned} (\text{EP}\Pi_3.6) \quad & (\mathcal{A} \subseteq \mathfrak{R} \wedge \Gamma^{\text{Univ}}(\mathcal{A}) \subseteq \mathcal{A} \wedge \\ & \forall d, f. (\text{Indpt}_{\Pi_3}(\mathcal{A}, \text{pre } K \ d \ f \ a, d, f, a) \\ & \quad \wedge \text{pre } K \ d \ f \ a \subseteq \mathcal{A}) \\ & \quad \rightarrow u \ d \ f \ a \in \mathcal{A}) \\ & \rightarrow K \subseteq \mathcal{A} \end{aligned}$$

# Monotonicity Properties

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- (a)  $\text{Indpt}_{\Pi_3}(\mathcal{A}, u, d, f, a) \wedge \mathcal{A} \subseteq \mathcal{B} \rightarrow \text{Indpt}_{\Pi_3}(\mathcal{B}, u, d, f, a).$
- (b)  $u \subseteq u' \rightarrow \text{pre } u \ d \ f \ a \subseteq \text{pre } u' \ d \ f \ a.$
- (c)  $u \subseteq u' \wedge \text{Indpt}_{\Pi_3}(u, \text{pre } u \ d \ f \ a, d, f, a)$   
 $\rightarrow \text{Indpt}_{\Pi_3}(u', \text{pre } u \ d \ f \ a, d, f, a)$   
 $\wedge \text{pre } u \ d \ f \ a =_{\text{ext}} \text{pre } u' \ d \ f \ a .$



# Relationship between Ind. Principle

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- (a)  $(\text{EP}\Pi_3.1), (\text{EP}\Pi_3.2)$  imply  $(\text{EP}\Pi_3.3)$  where  $\mathcal{A}$  is a set.
- (b)  $(\text{EP}\Pi_3.4), (\text{EP}\Pi_3.5)$  imply  $(\text{EP}\Pi_3.6)$  where  $\mathcal{A}$  is a set.

# Interpretation of Mahlo Degrees

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MDegree :=

$$\{d \mid \Gamma_{\mathbb{K},d}^{\mathbb{D}}(\mathbb{K}) \subseteq \mathbb{K}$$

$$\wedge \forall d' \preceq_{\mathbb{K}} d.$$

$$\forall k \geq 0.$$

$$\forall d_1, f_1, a_1, v_1 = \text{pre } \mathbb{K} \ d_1 \ f_1 \ a_1 \rightarrow$$

$$\forall d_2 \prec_{\mathbb{K}} d_1, \forall f_2, a_2, v_2 = \text{pre } v_1 \ d_2 \ f_2 \ a_2 \rightarrow$$

...

$$\forall d_k \prec_{\mathbb{K}} d_{k-1}, \forall f_k, a_k, v_k = \text{pre } v_{k-1} \ d_k; f_k \ a_k \rightarrow$$

$$d' \prec_{\mathbb{K}} d_k \rightarrow \forall f, a.$$

$$\text{Indpt}(v_k, \text{pre } v_k \ d' \ f \ a, f, a) \rightarrow \text{u } d' \ f \ a \in v_k \} .$$

# Closure of MDegree

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(a) Let  $d$  s.t.

- for  $a \in K$  we have

$p_0(d a) \in K \wedge \forall x \in p_0(d a). (p_1(d a)) x \in \text{MDegree}.$

Then  $d \in \text{MDegree}.$

(b) If  $d \in \text{MDegree}$ ,  $a \in K$ , then

- $p_0(d a) \in K$
- and for  $x \in p_0(d a)$  we have  $p_1(d a) x \in \text{MDegree}.$

# Definition $\text{Univ}_d$

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•  $\text{Univ}_d := \{u \mid d \mid f \mid a \in K \mid f, a\}$ .

# Closure Properties

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(a)  $d \in \text{MDegree} \wedge v = u \ d \ f \ a \in \text{Univ}_d$   
 $\rightarrow v \subseteq K \wedge \text{Indpt}_{\Pi_3}(K, v, d, f, a)$   
 $\wedge \text{RU}_{\Pi_3}(K, v, d, f, a) \ .$

**Especially**  $a \in v, f \in v \rightarrow v, \Gamma^{\text{Univ}}(v) \subseteq v.$

(b) **Assume**  $d \in \text{MDegree}, f \in K \rightarrow K$  **and**  $a \in K.$   
**Then**  $u \ d \ f \ a \in K.$

(c) **Assume**  $d \in \text{MDegree}$  **and**  $u \in \text{Univ}_d, b \in \text{Fam}(u).$   
**Then**  $p_0 \ (d \ b) \in u.$

**Assume furthermore**  $x \in p_0 \ (d \ b), d' := (p_1 \ (d \ b)) \ x,$   
 $g \in u \rightarrow u$  **and**  $b \in u.$

**Then**  $v := u \ d' \ g \ b \in u \cap \text{Univ}_{d'}$  **and**  $b \in v$  **and**  $g \in v \rightarrow v.$

# Theorem

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- The constructed  $\Pi_3$ -reflecting universe can be interpreted in the extended predicative  $\Pi_3$ -reflecting universe.

# Conclusion

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- Introduction of an extended predicative  $\Pi_3$ -reflecting universe.
- If complete proof theoretic analysis carried out we get a complete constructive predicative justification of  $\Pi_3$ -reflection.
- It is still open how to obtain a fully predicative version of the  $\Pi_3$ -reflecting universe in MLTT.