

On the performance of axiom systems

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On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

In his talk “Axiomatisches Denken”, given on September 11, 1917 in front of the Swiss Mathematical Society, David Hilbert emphasized the necessity to make mathematical proofs the subject of [mathematical] investigations.

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Axioms form **the substantial** part of a mathematical proof.

The aim of this lecture is to illustrate that axiom systems carry characteristic ordinals which serve as a measure for the performance of the axiom system.

Let \mathfrak{M} be an abstract structure. There are numerous ordinals (GRT-ordinals) which in Generalized Recursion Theory are regarded as characteristic for the structure. Examples:

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals
Some examples

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

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$\delta^{\mathfrak{M}}, (\sigma_n^i(\mathfrak{M}), \pi_n^i(\mathfrak{M}), \delta_n^i(\mathfrak{M}))$ which are the suprema of the ordertypes of well-orderings which are definable (by a $\Sigma_n^i, \Pi_n^i, \Delta_n^i$ formula, respectively,) in the language of \mathfrak{M} .

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals
Some examples

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

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Given an axiomatization T for the structure \mathfrak{M} there are obvious modifications for the ordinals $\delta_n^0(\mathfrak{M})$, $\sigma_n^0(\mathfrak{M})$, \dots

Definition

The ordinal $\delta_n^{\mathfrak{M}}(T)$ is the supremum of the ordertypes of orderings which are Δ_n^0 definable in the language of \mathfrak{M} such that T proves their well-foundedness.

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The distance between $\delta^{\mathfrak{M}}(T)$ and $\delta^{\mathfrak{M}}$ is a measure for the **performance** of an axiom system T .

Well-foundedness of an order relation \prec is expressed by the Π_1^1 -sentence

$$(\forall X)[(\forall x)[(\forall y)[y \prec x \rightarrow y \in X] \rightarrow x \in X] \rightarrow \text{field}(\prec) \subseteq X]$$

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$$(\forall X) \underbrace{[(\forall x)[(\forall y)[y \prec x \rightarrow y \in X] \rightarrow x \in X]}_{\text{Prog}(\prec, X)} \rightarrow \text{field}(\prec) \subseteq X$$

To stay within the elementary language $\mathcal{L}(\mathfrak{M})$ we express well-foundedness by the **pseudo Π_1^1 -sentence** (**p- Π_1^1 -sentence**)

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Semantically we treat p- Π_1^1 -sentences as full second order Π_1^1 -sentences, i.e.

$$\mathfrak{M} \models F(X) \quad :\Leftrightarrow \quad (\mathfrak{M}, S) \models F[S] \quad \text{for all sets } S \subseteq \mathfrak{M}.$$

Therefore we have the formal definition

$$\delta^{\mathfrak{M}}(\mathbb{T}) := \sup \{ \text{otyp}(\prec) \mid \mathbb{T} \vdash \text{Prog}(\prec, X) \rightarrow \text{field}(\prec) \subseteq X \}$$

for order relations that are definable in the language of \mathfrak{M} .

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

For countable structures \mathfrak{M} the link between its GRT-ordinals and their prooftheoretic counterparts is given by the notion of the Π_1^1 -ordinal of \mathfrak{M} , which in turn is defined via a semi-formal system.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

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Let \mathfrak{M} be a countable structure with language $\mathcal{L}(\mathfrak{M})$. A semi-formal system for $\mathcal{L}(\mathfrak{M})$ is built upon a truth definition for $\mathcal{L}(\mathfrak{M})$ -sentences.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

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On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Semi-formal systems

The Boundedness Theorem

The Π_1^1 -ordinal of an axiom system

Predicative Proof Theory

Impredicative Proof Theory

Conclusion

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An $\mathcal{L}(\mathfrak{M})$ -sentence belongs to \bigwedge -type if all the members of $\text{CS}(F)$ are needed to verify F and to \bigvee -type if some of the members of $\text{CS}(F)$ suffice.

As an example let \mathfrak{M} be a countable structure and $\mathcal{L}(\mathfrak{M})$ its elementary first order language.

Definition

The \wedge -type of $\mathcal{L}(\mathfrak{M})$ comprises

- the diagram of \mathfrak{M} ,
- all sentences of the form $F \wedge G$ and $(\forall x)F(x)$.

The \vee -type of $\mathcal{L}(\mathfrak{M})$ comprises

- all false atomic sentences of \mathfrak{M} ,
- all formulae of the form $F \vee G$ and $(\exists x)F(x)$.

Definition (The decoration of $\mathcal{L}(\mathfrak{M})$ -sentences)

- $\text{CS}(F) = \emptyset$ for atomic sentences F
- $\text{CS}(F \circ G) = \langle F, G \rangle$ for $\circ \in \{\wedge, \vee\}$
- $\text{CS}((Qx)F(x)) = \langle F_x(\underline{m}) \mid m \in |\mathfrak{M}| \rangle$ for $Q \in \{\forall, \exists\}$.

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Definition (The verification tree $\mathfrak{M} \stackrel{\alpha}{\models} F$)

- (\wedge) If $\mathfrak{M} \stackrel{\alpha_l}{\models} G_l$ and $\alpha_l < \alpha$ for all $G_l \in \text{CS}(F)$ then $\mathfrak{M} \stackrel{\alpha}{\models} F$ holds true.
- (\vee) If $\mathfrak{M} \stackrel{\alpha_0}{\models} G_l$ and $\alpha_0 < \alpha$ for some $G_l \in \text{CS}(F)$ then $\mathfrak{M} \stackrel{\alpha}{\models} F$ holds true.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Definition (The decoration of $\mathfrak{p}\text{-}\Pi_1^1\text{-}\mathcal{L}(\mathfrak{M})$ -sentences)

- $\text{CS}(F) = \emptyset$ for atomic $\mathfrak{p}\text{-}\Pi_1^1$ -sentences F
- $\text{CS}(F \circ G) = \langle F, G \rangle$ for $\circ \in \{\wedge, \vee\}$
- $\text{CS}((Qx)F(x)) = \langle F_x(\underline{m}) \mid m \in |\mathfrak{M}| \rangle$ for $Q \in \{\forall, \exists\}$.

Definition (The decoration of $\mathfrak{p}\text{-}\Pi_1^1\text{-}\mathcal{L}(\mathfrak{M})$ -sentences)

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Pseudo Π_1^1 sentences of the form $s \in X$ cannot be verified. However, verifiable are formulae $s \in X \vee s \notin X$. Therefore we extend the verification calculus to a semi-formal proof relation $\mathfrak{M} \stackrel{\alpha}{\rho} \Delta$ for finite sets Δ of $\mathfrak{p}\text{-}\Pi_1^1$ -sentences which are to be interpreted as finite disjunction.

Definition (The verification tree $\mathfrak{M} \stackrel{\alpha}{\models} F$)

- (\wedge) If $\mathfrak{M} \stackrel{\alpha_\iota}{\models} G_\iota$ and $\alpha_\iota < \alpha$ for all $G_\iota \in \text{CS}(F)$ then $\mathfrak{M} \stackrel{\alpha}{\models} F$ holds true.
- (\vee) If $\mathfrak{M} \stackrel{\alpha_0}{\models} G_\iota$ and $\alpha_0 < \alpha$ for some $G_\iota \in \text{CS}(F)$ then $\mathfrak{M} \stackrel{\alpha}{\models} F$ holds true.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Semi-formal systems

The Boundedness Theorem

The Π_1^1 -ordinal of an axiom system

Predicative Proof Theory

Impredicative Proof Theory

Conclusion

Definition (The semi-formal system $\mathfrak{M} \stackrel{\alpha}{\rho} \Delta$)

- (\wedge) If $\mathfrak{M} \stackrel{\alpha_\iota}{=} G_\iota$ and $\alpha_\iota < \alpha$ for all $G_\iota \in \text{CS}(F)$ then $\mathfrak{M} \stackrel{\alpha}{=} F$ holds true.
- (\vee) If $\mathfrak{M} \stackrel{\alpha_0}{=} G_\iota$ and $\alpha_0 < \alpha$ for some $G_\iota \in \text{CS}(F)$ then $\mathfrak{M} \stackrel{\alpha}{=} F$ holds true.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Definition (The semi-formal system $\mathfrak{M} \stackrel{\alpha}{\rho} \Delta$)

(\wedge) If $\mathfrak{M} \stackrel{\alpha_l}{\rho} \Delta, G_l$ and $\alpha_l < \alpha$ for all $G_l \in \text{CS}(F)$ then
 $\mathfrak{M} \stackrel{\alpha}{\rho} \Delta, F$ holds true.

(\vee) If $\mathfrak{M} \stackrel{\alpha_0}{=} G_l$ and $\alpha_0 < \alpha$ for some $G_l \in \text{CS}(F)$ then
 $\mathfrak{M} \stackrel{\alpha}{=} F$ holds true.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Definition (The semi-formal system $\mathfrak{M} \left| \frac{\alpha}{\rho} \Delta \right.$)

(\wedge) If $\mathfrak{M} \left| \frac{\alpha_l}{\rho} \Delta, G_l \right.$ and $\alpha_l < \alpha$ for all $G_l \in \text{CS}(F)$ then
 $\mathfrak{M} \left| \frac{\alpha}{\rho} \Delta, F \right.$ holds true.

(\vee) If $\mathfrak{M} \left| \frac{\alpha_0}{\rho} \Delta, G_l \right.$ and $\alpha_0 < \alpha$ for some $G_l \in \text{CS}(F)$ then
 $\mathfrak{M} \left| \frac{\alpha}{\rho} F, \Delta \right.$ holds true.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Semi-formal systems

The Boundedness Theorem

The Π_1^1 -ordinal of an axiom system

Predicative Proof Theory

Impredicative Proof Theory

Conclusion

Definition (The semi-formal system $\mathfrak{M} \left| \frac{\alpha}{\rho} \Delta \right.$)

- (\wedge) If $\mathfrak{M} \left| \frac{\alpha_l}{\rho} \Delta, G_l \right.$ and $\alpha_l < \alpha$ for all $G_l \in \text{CS}(F)$ then $\mathfrak{M} \left| \frac{\alpha}{\rho} \Delta, F \right.$ holds true.
- (\vee) If $\mathfrak{M} \left| \frac{\alpha_0}{\rho} \Delta, G_l \right.$ and $\alpha_0 < \alpha$ for some $G_l \in \text{CS}(F)$ then $\mathfrak{M} \left| \frac{\alpha}{\rho} F, \Delta \right.$ holds true.
- (\times) If $\mathfrak{M} \models s = t$ then $\mathfrak{M} \left| \frac{\alpha}{\rho} \Delta, s \notin X, t \in X \right.$ holds true for all ordinals α and ρ .

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Semi-formal systems

The Boundedness Theorem

The Π_1^1 -ordinal of an axiom system

Predicative Proof Theory

Impredicative Proof Theory

Conclusion

Definition (The semi-formal system $\mathfrak{M} \left| \frac{\alpha}{\rho} \Delta \right.$)

- (\wedge) If $\mathfrak{M} \left| \frac{\alpha_l}{\rho} \Delta, G_l \right.$ and $\alpha_l < \alpha$ for all $G_l \in \text{CS}(F)$ then $\mathfrak{M} \left| \frac{\alpha}{\rho} \Delta, F \right.$ holds true.
- (\vee) If $\mathfrak{M} \left| \frac{\alpha_0}{\rho} \Delta, G_l \right.$ and $\alpha_0 < \alpha$ for some $G_l \in \text{CS}(F)$ then $\mathfrak{M} \left| \frac{\alpha}{\rho} F, \Delta \right.$ holds true.
- (X) If $\mathfrak{M} \models s = t$ then $\mathfrak{M} \left| \frac{\alpha}{\rho} \Delta, s \notin X, t \in X \right.$ holds true for all ordinals α and ρ .
- (cut) If $\mathfrak{M} \left| \frac{\xi}{\rho} \Delta, F \right.$ and $\mathfrak{M} \left| \frac{\xi}{\rho} \Delta, \neg F \right.$ and $\text{rk}(F) < \rho$ then $\mathfrak{M} \left| \frac{\alpha}{\rho} \Delta \right.$ for all ordinals $\alpha > \xi$.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Observations

(a) For an $\mathcal{L}(\mathfrak{M})$ sentence F we have $\mathfrak{M} \models^{\alpha} F$ iff $\mathfrak{M} \models_0^{\alpha} F$

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Observations

- (a) For an $\mathcal{L}(\mathfrak{M})$ sentence F we have $\mathfrak{M} \models^\alpha F$ iff $\mathfrak{M} \models_0^\alpha F$
- (b) $\mathfrak{M} \models_\rho^\alpha \Delta$ entails $\mathfrak{M} \models \bigvee \Delta$.

Observations

- (a) For an $\mathcal{L}(\mathfrak{M})$ sentence F we have $\mathfrak{M} \models^\alpha F$ iff $\mathfrak{M} \models_0^\alpha F$
- (b) $\mathfrak{M} \models_\rho^\alpha \Delta$ entails $\mathfrak{M} \models \bigvee \Delta$.
- (c) $\mathfrak{M} \models_\rho^\alpha \Delta$, $\alpha \leq \beta$, $\rho \leq \sigma$ and $\Delta \subseteq \Gamma$ imply $\mathfrak{M} \models_\sigma^\beta \Gamma$.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Theorem (Π_1^1 -completeness)

Let \mathfrak{M} be a countable structure. Then $\mathfrak{M} \models (\forall X)F(X)$ iff there is a countable ordinal α such that $\mathfrak{M} \models_0^\alpha F(X)$.

Theorem (Π_1^1 -completeness)

Let \mathfrak{M} be a countable structure. Then $\mathfrak{M} \models (\forall X)F(X)$ iff there is a countable ordinal α such that $\mathfrak{M} \models_0^\alpha F(X)$.

Definition (The Π_1^1 -ordinal of a countable structure)

For a $\text{p-}\Pi_1^1$ sentence F define

$$\text{tc}(F) := \begin{cases} \min \{ \alpha \mid \mathfrak{M} \models_0^\alpha F \} & \text{if such an } \alpha \text{ exists} \\ \omega_1 & \text{otherwise} \end{cases}$$

and

$$\pi^{\mathfrak{M}} := \sup \{ \text{tc}(F) \mid \mathfrak{M} \models F \}.$$

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

**The
Boundedness
Theorem**

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Lemma (Boundedness Lemma)

For a countable structure and an order relation \prec that is definable in $\mathcal{L}(\mathfrak{M})$ and a finite set of X -positive p - Π_1^1 -sentences $\Delta(X)$ we have

$$\mathfrak{M} \upharpoonright_0^\alpha \neg \text{Prog}(\prec, X), \Delta(X) \Rightarrow \mathfrak{M} \models \Delta(X)[\prec \upharpoonright \alpha].$$

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

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Theorem (Boundedness Theorem)

For a countable structure \mathfrak{M} and a well-founded order relation \prec that is definable in $\mathcal{L}(\mathfrak{M})$ we have $\text{otyp}(\prec) \leq \text{tc}(\text{Wf}(\prec))$.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal
of a
countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Lemma (Boundedness Lemma)

For a countable structure and an order relation \prec that is definable in $\mathcal{L}(\mathfrak{M})$ and a finite set of X -positive p - Π_1^1 -sentences $\Delta(X)$ we have

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Theorem (Boundedness Theorem)

For a countable structure \mathfrak{M} and a well-founded order relation \prec that is definable in $\mathcal{L}(\mathfrak{M})$ we have $\text{otyp}(\prec) \leq \text{tc}(\text{Wf}(\prec))$.

Corollary

For a countable structure \mathfrak{M} we have $\delta^{\mathfrak{M}} \leq \pi^{\mathfrak{M}}$.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Definition

A structure \mathfrak{M} is acceptable if it contains a copy $N^{\mathfrak{M}}$ of the natural numbers together with a coding machinery that is definable in $\mathcal{L}(\mathfrak{M})$.

Theorem

For an acceptable countable structure we have $\delta^{\mathfrak{M}} = \pi^{\mathfrak{M}}$.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Definition

Let T be an axiom system for a countable structure \mathfrak{M} . Then we put

$$\pi^{\mathfrak{M}}(T) := \sup \{ \text{tc}(F) \mid T \vdash F \}$$

where F varies over the Π_1^1 -sentences in the language of \mathfrak{M} .

Definition

Let T be an axiom system for a countable structure \mathfrak{M} . Then we put

$$\pi^{\mathfrak{M}}(T) := \sup \{ \text{tc}(F) \mid T \vdash F \}$$

where F varies over the $\text{p-}\Pi_1^1$ -sentences in the language of \mathfrak{M} .

As a corollary to the Boundedness Theorem we have

Theorem

Let T be an axiom system for a countable structure \mathfrak{M} then

$$\delta^{\mathfrak{M}}(T) \leq \pi^{\mathfrak{M}}(T).$$

As another corollary to the Boundedness Lemma we get

Theorem

Let T be an axiom system for a countable structure \mathfrak{M} and T' an extension of T by a true Σ_1^1 -sentence. Then

$$\delta^{\mathfrak{M}}(T') \leq \pi^{\mathfrak{M}}(T).$$

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

As another corollary to the Boundedness Lemma we get

Theorem

Let T be an axiom system for a countable structure \mathfrak{M} and T' an extension of T by a true Σ_1^1 -sentence. Then

$$\delta^{\mathfrak{M}}(T') \leq \pi^{\mathfrak{M}}(T).$$

Proof Let $T' = T + (\exists Y)G(Y)$ and assume

$$T' \vdash \text{Prog}(\prec, X) \rightarrow \text{field}(\prec) \subseteq X.$$

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Semi-formal systems

The Boundedness Theorem

The Π_1^1 -ordinal of an axiom system

Predicative Proof Theory

Impredicative Proof Theory

Conclusion

As another corollary to the Boundedness Lemma we get

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$$T' \vdash \text{Prog}(\prec, X) \rightarrow \text{field}(\prec) \subseteq X.$$

This entails

$$T \vdash G(Y) \wedge \text{Prog}(\prec, X) \rightarrow \text{field}(\prec) \subseteq X.$$

As another corollary to the Boundedness Lemma we get

Theorem

Let T be an axiom system for a countable structure \mathfrak{M} and T' an extension of T by a true Σ_1^1 -sentence. Then $\delta^{\mathfrak{M}}(T') \leq \pi^{\mathfrak{M}}(T)$.

Proof Let $T' = T + (\exists Y)G(Y)$ and assume

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This entails

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So there is an ordinal $\alpha < \pi^{\mathfrak{M}}(T)$ such that

$$\mathfrak{M} \models_0^\alpha \neg G(Y), \neg \text{Prog}(\prec, X), \text{field}(\prec) \subseteq X.$$

As another corollary to the Boundedness Lemma we get

Theorem

Let T be an axiom system for a countable structure \mathfrak{M} and T' an extension of T by a true Σ_1^1 -sentence. Then $\delta^{\mathfrak{M}}(T') \leq \pi^{\mathfrak{M}}(T)$.

Proof Let $T' = T + (\exists Y)G(Y)$ and assume

$$T' \vdash \text{Prog}(\prec, X) \rightarrow \text{field}(\prec) \subseteq X.$$

This entails

$$T \vdash G(Y) \wedge \text{Prog}(\prec, X) \rightarrow \text{field}(\prec) \subseteq X.$$

So there is an ordinal $\alpha < \pi^{\mathfrak{M}}(T)$ such that

$$\mathfrak{M} \models_0^\alpha \neg G(Y), \neg \text{Prog}(\prec, X), \text{field}(\prec) \subseteq X.$$

Hence

$$\mathfrak{M} \models \neg G(Y) \vee \text{field}(\prec) \subseteq \prec \upharpoonright \alpha$$

by the Boundedness Lemma. Since there is an $S \subseteq |\mathfrak{M}|$ such that $\mathfrak{M} \models G(S)$ this entails the claim.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Definition (Acceptable axiomatizations)

An axiom system T for a countable acceptable structure \mathfrak{M} is acceptable if it proves all the properties of the coding machinery.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal
of a
countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

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An axiom system T for a countable acceptable structure \mathfrak{M} is acceptable if it proves all the properties of the coding machinery.

Theorem

Let T be an acceptable axiom system for an acceptable countable structure \mathfrak{M} then $\delta^{\mathfrak{M}}(T) = \pi^{\mathfrak{M}}(T)$.

Definition (Acceptable axiomatizations)

An axiom system T for a countable acceptable structure \mathfrak{M} is acceptable if it proves all the properties of the coding machinery.

Theorem

Let T be an acceptable axiom system for an acceptable countable structure \mathfrak{M} then $\delta^{\mathfrak{M}}(T) = \pi^{\mathfrak{M}}(T)$.

Corollary

Let T be an acceptable axiomatization for a countable acceptable structure \mathfrak{M} and T' an extension of T by true Σ_1^1 -sentences. Then $\delta^{\mathfrak{M}}(T) = \delta^{\mathfrak{M}}(T') = \pi^{\mathfrak{M}}(T) = \pi^{\mathfrak{M}}(T')$.

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Theorem

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Corollary

Let T be an acceptable axiomatization for a countable acceptable structure \mathfrak{M} and T' an extension of T by true Σ_1^1 -sentences. Then $\delta^{\mathfrak{M}}(T) = \delta^{\mathfrak{M}}(T') = \pi^{\mathfrak{M}}(T) = \pi^{\mathfrak{M}}(T')$.

Proof $\delta^{\mathfrak{M}}(T) \leq \delta^{\mathfrak{M}}(T') \leq \pi^{\mathfrak{M}}(T) = \delta^{\mathfrak{M}}(T)$ and

$\pi^{\mathfrak{M}}(T) \leq \pi^{\mathfrak{M}}(T') = \delta^{\mathfrak{M}}(T') = \delta^{\mathfrak{M}}(T) = \pi^{\mathfrak{M}}(T)$. □

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Semi-formal
systems

The
Boundedness
Theorem

The Π_1^1 -ordinal
of an axiom
system

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion

Remark

The ordinal $\delta^{\mathfrak{M}}(\mathbb{T})$ of an acceptable axiom system is rather a measure for its performance in respect to a universe above \mathfrak{M} than to \mathfrak{M} itself. To improve the performance of \mathbb{T} it thus has to be strengthened by axioms talking about an universe above \mathfrak{M} .

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Cut elimination
Methods of Predicativity Proof Theory
Peano-like axiomatizations
The limits of predicativity

Impredicative Proof Theory

Conclusion

Definition (Veblen Functions)

The function φ_0 enumerates the additively indecomposable ordinals, i.e. $\varphi_0(\alpha) = \omega^\alpha$.

For $\xi > 0$ the functions φ_ξ enumerate the common fixed-points of the functions φ_ζ for $\zeta < \xi$.

Definition (Veblen Functions)

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By Γ_0 we denote the first ordinal that is closed under the Veblen functions viewed as a binary function.

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For $\xi > 0$ the functions φ_ξ enumerate the common fixed-points of the functions φ_ζ for $\zeta < \xi$.

By Γ_0 we denote the first ordinal that is closed under the Veblen functions viewed as a binary function.

Theorem (Cut Elimination Theorem)

Let \mathfrak{M} be a countable structure. Then $\mathfrak{M} \left| \frac{\alpha}{\beta + \omega^p} \Delta \right.$ implies $\mathfrak{M} \left| \frac{\varphi_\rho(\alpha)}{\beta} \Delta \right.$

On the performance of axiom systems

Wolfram Pohlers

There is a standard strategy to obtain upper bounds for $\pi^m(\mathbb{T})$.

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Cut elimination

Methods of Predicativity Proof Theory

Peano-like axiomatizations

The limits of predicativity

Impredicative Proof Theory

Conclusion

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Cut elimination

Methods of Predicativity Proof Theory

Peano-like axiomatizations

The limits of predicativity

Impredicative Proof Theory

Conclusion

There is a standard strategy to obtain upper bounds for $\pi^{\mathfrak{M}}(\mathbb{T})$.

Embed a formal proof $\mathbb{T} \vdash F$ into the semi-formal system to obtain ordinals α_F and ρ_F such that $\mathfrak{M} \left| \frac{\alpha_F}{\omega^{\rho_F}} F \right.$

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Cut elimination

Methods of Predicativity Proof Theory

Peano-like axiomatizations

The limits of predicativity

Impredicative Proof Theory

Conclusion

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Embed a formal proof $\mathbb{T} \vdash F$ into the semi-formal system to obtain ordinals α_F and ρ_F such that $\mathfrak{M} \left| \frac{\alpha_F}{\omega^{\rho_F}} F \right.$

Use cut elimination to obtain $\mathfrak{M} \left| \frac{\varphi_{\rho_F}(\alpha_F)}{0} F \right.$

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Cut elimination Methods of Predicativity Proof Theory

Peano-like axiomatizations The limits of predicativity

Impredicative Proof Theory

Conclusion

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Embed a formal proof $\mathbb{T} \vdash F$ into the semi-formal system to obtain ordinals α_F and ρ_F such that $\mathfrak{M} \left| \frac{\alpha_F}{\omega^{\rho_F}} F \right.$

Use cut elimination to obtain $\mathfrak{M} \left| \frac{\varphi_{\rho_F}(\alpha_F)}{0} F \right.$

Infer $\pi^{\mathfrak{M}}(\mathbb{T}) \leq \sup \{ \varphi_{\rho_F}(\alpha_F) \mid F \in \mathcal{L}(\mathfrak{M}) \}$ by the Boundedness Theorem.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Cut elimination Methods of Predicativity Proof Theory

Peano-like axiomatizations

The limits of predicativity

Impredicative Proof Theory

Conclusion

Definition

An acceptable axiom system for an acceptable countable structure \mathfrak{M} is **Peano-like** if all its axioms are true $\mathcal{L}(\mathfrak{M})$ -sentences of finite complexity except the axiom for Mathematical Induction.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Cut elimination Methods of Predicativity Proof Theory

Peano-like axiomatizations

The limits of predicativity

Impredicative Proof Theory

Conclusion

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Theorem

Let T be an Peano-like axiomatization of a countable structure \mathfrak{M} . Then $\delta^{\mathfrak{M}}(T) = \pi^{\mathfrak{M}}(T) = \varphi_1(0) = \varepsilon_0$.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Cut elimination Methods of Predicativity Proof Theory Peano-like axiomatizations

The limits of predicativity

Impredicative Proof Theory

Conclusion

Remark

If \mathfrak{M} is an acceptable countable structure whose sentences have all complexities below Γ_0 and T is an acceptable axiomatization of \mathfrak{M} whose “universe axioms” can be verified with lengths below Γ_0 we obtain $\pi^{\mathfrak{M}}(\mathsf{T}) \leq \Gamma_0$.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Cut elimination Methods of Predicativity Proof Theory Peano-like axiomatizations

The limits of predicativity

Impredicative Proof Theory

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Remark

If \mathfrak{M} is an acceptable countable structure whose sentences have all complexities below Γ_0 and \mathbb{T} is an acceptable axiomatization of \mathfrak{M} whose “universe axioms” can be verified with lengths below Γ_0 we obtain $\pi^{\mathfrak{M}}(\mathbb{T}) \leq \Gamma_0$.

As a consequence we obtain that the well-foundedness of an order relation of ordertype Γ_0 cannot be proved by an axiom system \mathbb{T} whose embedding yields

$\mathfrak{M} \upharpoonright_{\rho}^{\alpha} \neg \text{Prog}(\prec, X), \text{field}(\prec) \subseteq X$ with ordinals $\alpha, \rho < \Gamma_0$.

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$$\mathfrak{M} \upharpoonright_{\rho}^{\alpha} \neg \text{Prog}(\prec, X), \text{field}(\prec) \subseteq X \text{ with ordinals } \alpha, \rho < \Gamma_0.$$

This shows that the ordinal Γ_0 cannot be justified “from below”. On the other hand Kurt Schütte and Sol Feferman could show (independently) that every ordinal less than Γ_0 is justifiable from below. For this reason Γ_0 is regarded as the limiting ordinal of predicativity.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

**Analytic
universes**

Iterated
inductive
definitions

The ordinals
 $\kappa^{\text{OR}}(T)$

Methods of
impredicative
proof theory

The largest “analytic” universe above \aleph is the structure $\mathbb{A}(\aleph) = (\aleph, \text{Pow}(|\aleph|))$, a structure which is not longer countable.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

Iterated
inductive
definitions

The ordinals
 $\kappa^{\text{OR}}(T)$

Methods of
impredicative
proof theory

The largest “analytic” universe above \mathfrak{M} is the structure $\mathbb{A}(\mathfrak{M}) = (\mathfrak{M}, \text{Pow}(|\mathfrak{M}|))$, a structure which is not longer countable.

The largest analytic universe which could be amenable to prooftheoretic studies is $\mathbb{A}^2(\mathfrak{M}) = (\mathfrak{M}, \text{Pow}^2(\mathfrak{M}))$ where $\text{Pow}^2(\mathfrak{M})$ contains the subsets of $|\mathfrak{M}|$ which are second order definable in \mathfrak{M} .

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Impredicative Proof Theory

Analytic universes

Iterated inductive definitions

The ordinals $\kappa^{\text{OR}}(T)$

Methods of impredicative proof theory

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An extension of an axiom system T for \mathfrak{M} to an axiom system for $\mathbb{A}^2(\mathfrak{M})$ can be obtained by adding the comprehension scheme

$$(CA) \quad (\exists X)(\forall x)[x \in X \leftrightarrow F(x)],$$

where F is supposed to vary over all second order formulae of $\mathcal{L}(\mathfrak{M})$ which do not contain the variable X freely.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Impredicative Proof Theory

Analytic universes

Iterated inductive definitions

The ordinals $\kappa^{\text{OR}}(T)$

Methods of impredicative proof theory

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where F is supposed to vary over all second order formulae of $\mathcal{L}(\mathfrak{M})$ which do not contain the variable X freely.

Call an axiom system **analytic** if it axiomatizes subuniverses of $\mathbb{A}^2(\mathfrak{M})$.

A well studied example for analytic axiom systems are iterated inductive definitions.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

**Iterated
inductive
definitions**

The ordinals
 $\kappa^{\text{OR}}(T)$

Methods of
impredicative
proof theory

A well studied example for analytic axiom systems are iterated inductive definitions.

For an X -positive formula $F(X, x)$ in the language $\mathcal{L}(\mathfrak{M})$ let

$$\Phi_F(S) := \{m \in |\mathfrak{M}| \mid \mathfrak{M} \models F(S, x)\}.$$

This defines a monotone operator

$$\Phi_F: \text{Pow}(|\mathfrak{M}|) \longrightarrow \text{Pow}(|\mathfrak{M}|),$$

which possesses a least fixed point $I_F \subseteq |\mathfrak{M}|$.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

Iterated
inductive
definitions

The ordinals
 $\kappa^{\text{OR}}(T)$

Methods of
impredicative
proof theory

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Iterating Φ_F from below defines the stages $\Phi_F^\alpha = \Phi_F(\Phi_F^{<\alpha})$.

Then there is a least ordinal σ such that $\Phi_F^\sigma = \Phi_F^{<\sigma} = I_F$ the closure ordinal $\|\Phi_F\|$ of Φ_F . For an element $n \in I_F$ let

$|n|_F := \min \{\xi \mid n \in \Phi_F^\xi\}$ denote its F -norm.

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$|n|_F := \min \{\xi \mid n \in \Phi_F^\xi\}$ denote its F -norm.

We then define

$$\begin{aligned} \kappa^{\mathfrak{M}} &:= \sup \{ \|\Phi_F\| \mid F \text{ is } X\text{-positive} \} = \\ &\sup \{ |n|_F + 1 \mid F \text{ is } X\text{-positive} \wedge n \in I_F \}. \end{aligned}$$

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

**Iterated
inductive
definitions**

The ordinals
 $\kappa^{\text{OR}}(T)$

Methods of
impredicative
proof theory

A subset $S \subseteq |\mathfrak{M}|$ is positive-inductively definable over \mathfrak{M} if there is an $s \in |\mathfrak{M}|$ such that S is the s -slice $\{x \mid \langle x, s \rangle \in I_F\}$ for some X -positive formula F in $\mathcal{L}(\mathfrak{M})$.

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Let $\Gamma(\mathfrak{M})$ be the collection of all inductively definable subsets of $|\mathfrak{M}|$ and

$$\mathfrak{M}_0 := \mathfrak{M}, \quad \Gamma_1(\mathfrak{M}) := \Gamma(\mathfrak{M}_0),$$

$$\Gamma_{\mu+1}(\mathfrak{M}) := \Gamma_{\mu}(\mathfrak{M}) \cup \Gamma(\mathfrak{M}_{\mu}), \quad \mathfrak{M}_{\mu+1} := (\mathfrak{M}, \Gamma_{\mu+1}(\mathfrak{M})),$$

$$\Gamma_{<\lambda}(\mathfrak{M}) :=$$

$$\{S \mid S = \{x \in |\mathfrak{M}| \mid (\exists \xi < \lambda)(\exists S_{\xi} \in \Gamma_{\xi}(\mathfrak{M})) [x \in S_{\xi}]\}\}$$

$\Gamma_{\lambda}(\mathfrak{M}) := \bigcup_{\xi < \lambda} \Gamma_{\xi}(\mathfrak{M}) \cup \Gamma_{<\lambda}(\mathfrak{M})$ and $\mathfrak{M}_{\lambda} := (\mathfrak{M}, \Gamma_{\lambda}(\mathfrak{M}))$ for limit ordinals λ .

On the
performance
of axiom
systems

Wolfram
Pohlers

Let $\kappa_0^{\mathfrak{M}} := 0$, $\kappa_{\mu+1}^{\mathfrak{M}} := \kappa^{\mathfrak{M}\mu}$ and $\kappa_\lambda^{\mathfrak{M}} := \sup_{\xi < \lambda} \kappa_\xi^{\mathfrak{M}}$.

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

**Iterated
inductive
definitions**

The ordinals
 $\kappa^{\mathfrak{M}}(T)$

Methods of
impredicative
proof theory

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

**Iterated
inductive
definitions**

The ordinals
 $\kappa^{\text{m}}(T)$

Methods of
impredicative
proof theory

Let $\kappa_0^{\text{m}} := 0$, $\kappa_{\mu+1}^{\text{m}} := \kappa^{\text{m}}_{\mu}$ and $\kappa_{\lambda}^{\text{m}} := \sup_{\xi < \lambda} \kappa_{\xi}^{\text{m}}$.

The ordinals κ_{μ}^{N} are the familiar initial ordinals of the constructive number classes.

Let $\kappa_0^{\mathfrak{M}} := 0$, $\kappa_{\mu+1}^{\mathfrak{M}} := \kappa^{\mathfrak{M}\mu}$ and $\kappa_{\lambda}^{\mathfrak{M}} := \sup_{\xi < \lambda} \kappa_{\xi}^{\mathfrak{M}}$.

The ordinals $\kappa_{\mu}^{\mathbb{N}}$ are the familiar initial ordinals of the constructive number classes.

Since

$$s \in I_F \Leftrightarrow \mathfrak{M} \models \underbrace{(\forall x)[F(X, x) \rightarrow x \in X]}_{I_F(X, s)} \rightarrow s \in X$$

we get by (a variant of) the Boundedness Theorem

$$|s|_F \leq 2^{\text{tc}(I_F(X, s))}, \text{ hence } \kappa^{\mathfrak{M}} \leq \pi^{\mathfrak{M}}.$$

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$$|s|_F \leq 2^{\text{tc}(I_F(X, s))}, \text{ hence } \kappa^{\mathfrak{M}} \leq \pi^{\mathfrak{M}}.$$

For a countable acceptable structure \mathfrak{M} we thus have

$$\kappa^{\mathfrak{M}} \leq \pi^{\mathfrak{M}} = \delta^{\mathfrak{M}} \leq \kappa^{\mathfrak{M}}.$$

Fixed-points of positively definable operators are easily axiomatized by their closure conditions.

$$(ID_\mu^1) \quad (\forall x)[F(I_F, x) \rightarrow x \in I_F],$$

$$(ID_\mu^2) \quad (\forall x)[F(G, x) \rightarrow G(x)] \rightarrow I_F \subseteq \{x \mid G(x)\}$$

where $F(X, x)$ is an X -positive formula in the language of \mathfrak{M}_μ and the language of \mathfrak{M}_μ is supposed to include constants for the fixed-points I_F .

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where $F(X, x)$ is an X -positive formula in the language of \mathfrak{M}_{μ} and the language of \mathfrak{M}_{μ} is supposed to include constants for the fixed-points I_F .

Let T be an axiom system for an acceptable countable structure \mathfrak{M} . By $ID_{\nu}(T)$ we understand T augmented by all schemes ID_{μ}^k for $k = 1, 2$ and $\mu < \nu$ where G in ID_{μ}^2 varies over the full language of \mathfrak{M}_{ν} .

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

Iterated
inductive
definitions

The ordinals
 $\kappa^{\mathfrak{M}}(T)$

Methods of
impredicative
proof theory

Given an axiomatization T for the theory \mathfrak{M}_μ we define

$$\kappa^{\mathfrak{M}_\mu}(T) := \sup \{ |s|_F + 1 \mid T \vdash s \in I_F \}$$

where $F(X, x)$ varies over the X -positive formulae in the language of \mathfrak{M}_μ .

Given an axiomatization T for the theory \mathfrak{M}_μ we define

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where $F(X, x)$ varies over the X -positive formulae in the language of \mathfrak{M}_μ .

For an acceptable axiomatization T for a countable acceptable structure \mathfrak{M} and $\mu \leq \nu$ we then obtain

$$\kappa^{\mathfrak{M}_\mu}(ID_\nu(T)) = \pi^{\mathfrak{M}_\mu}(ID_\nu(T)) = \delta^{\mathfrak{M}_\mu}(ID_\nu(T)).$$

Given an axiomatization \mathbb{T} for the theory \mathfrak{M}_μ we define

$$\kappa^{\mathfrak{M}_\mu}(\mathbb{T}) := \sup \{ |s|_F + 1 \mid \mathbb{T} \vdash s \in I_F \}$$

where $F(X, x)$ varies over the X -positive formulae in the language of \mathfrak{M}_μ .

For an acceptable axiomatization \mathbb{T} for a countable acceptable structure \mathfrak{M} and $\mu \leq \nu$ we then obtain

$$\kappa^{\mathfrak{M}_\mu}(ID_\nu(\mathbb{T})) = \pi^{\mathfrak{M}_\mu}(ID_\nu(\mathbb{T})) = \delta^{\mathfrak{M}_\mu}(ID_\nu(\mathbb{T})).$$

Observe that in contrast to the ordinals $\pi^{\mathfrak{M}}(\mathbb{T})$ and $\delta^{\mathfrak{M}}(\mathbb{T})$ —whose definitions need mandatorily $\text{p-}\Pi_1^1$ -sentences—the definition of $\kappa^{\mathfrak{M}}(\mathbb{T})$ needs no free second order variables.

To compute bounds for the stages $|s|_F$ we need a finer grained structure \mathfrak{M}_ν^* , which also contains constants $I_F^{<\xi}$ for the stages $\Phi_F^{<\xi}$. In the semi-formal systems for \mathfrak{M}_μ^* we can dispense with the (X) -rule but have to axiomatize the closure ordinals $\kappa^{\mathfrak{M}_\mu}$ for which we introduce “ideal” ordinals $\Omega_{\mu+1}$ and their defining rules

$(\Omega_{\mu+1})$ $\mathfrak{M}_\nu^* \mid_{\rho}^{\alpha_0} \Delta, F(I_F^{<\Omega_{\mu+1}}, s)$ and $\alpha_0 < \alpha$ for an X -positive formula $F(X, x)$ in $L(\mathfrak{M}_\mu)$ imply $\mathfrak{M}_\nu^* \mid_{\rho}^{\alpha} \Delta, s \in I_F^{<\Omega_{\mu+1}}$.

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Theorem (Boundedness for \mathfrak{M}_ν^*)

If $\mathfrak{M}_\nu^* \mid_{\rho}^{\alpha} \Delta(I_F^{<\Omega_{\mu+1}})$ for $F \in \mathcal{L}(\mathfrak{M}_\mu)$ and $\alpha < \Omega_{\mu+1}$ then

$\mathfrak{M}_\nu^* \mid_{\rho}^{\alpha} \Delta(I_F^{<\zeta})$ holds true for $\alpha \leq \zeta \leq \Omega_{\mu+1}$.

Hence $\mathfrak{M}_\nu^* \mid_{\rho}^{\alpha} s \in I_F^{<\Omega_{\mu+1}}$ entails $|s|_F < \alpha$.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT–ordinals

Prooftheoretic
Counterparts
of
GRT–ordinals

The
 Π_1^1 –ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

Iterated
inductive
definitions

The ordinals
 $\kappa^{\text{OR}}(T)$

Methods of
impredicative
proof theory

A translation from the language of $ID_\nu(T)$ into the language of \mathfrak{M}_ν^* is obtained by replacing constants I_F for $F \in \mathcal{L}(\mathfrak{M}_\mu)$ by constants $I_F^{<\Omega_{\mu+1}}$. Unravelling a formal proof $ID_\nu(T) \vdash F$ into a semi-formal proof $\mathfrak{M}_\nu^* \stackrel{\alpha}{\rho} F$ will in general produce ordinals α that are far too large.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT–ordinals

Prooftheoretic
Counterparts
of
GRT–ordinals

The
 Π_1^1 –ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

Iterated
inductive
definitions

The ordinals
 $\kappa^{\text{OR}}(T)$

Methods of
impredicative
proof theory

A translation from the language of $ID_\nu(T)$ into the language of \mathfrak{M}_ν^* is obtained by replacing constants I_F for $F \in \mathcal{L}(\mathfrak{M}_\mu)$ by constants $I_F^{<\Omega_{\mu+1}}$. Unravelling a formal proof $ID_\nu(T) \vdash F$ into a semi-formal proof $\mathfrak{M}_\nu^* \frac{\alpha}{\rho} F$ will in general produce ordinals α that are far too large.

We therefore need a collapsing procedure on the infinitary derivations. That forces us to measure the derivation lengths with ordinals from a thinned set of ordinals with sufficiently large gaps.

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT–ordinals

Prooftheoretic
Counterparts
of
GRT–ordinals

The
 Π_1^1 –ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Analytic
universes

Iterated
inductive
definitions

The ordinals
 $\kappa^{\text{OR}}(T)$

Methods of
impredicative
proof theory

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We therefore need a collapsing procedure on the infinitary derivations. That forces us to measure the derivation lengths with ordinals from a thinned set of ordinals with sufficiently large gaps.

Such a thinned set can be provided by α –iterated Skolem hull operators \mathcal{H}^α .

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Impredicative Proof Theory

Analytic universes

Iterated inductive definitions

The ordinals $\kappa^{\text{OR}}(T)$

Methods of impredicative proof theory

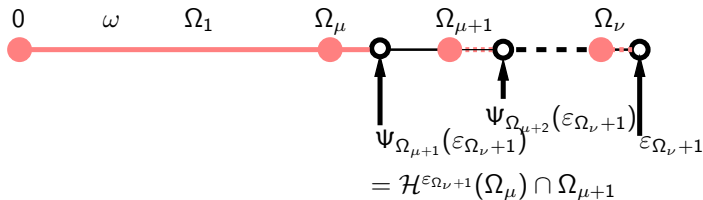


Figure: The ordinal set $\mathcal{H}^{\varepsilon_{\Omega_\nu+1}}(\Omega_\mu)$

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Impredicative Proof Theory

Analytic universes

Iterated inductive definitions

The ordinals $\kappa^{\text{OR}}(T)$

Methods of impredicative proof theory

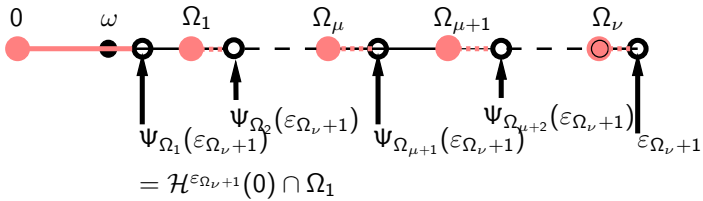


Figure: The ordinal set $\mathcal{H}^{\epsilon_{\Omega_\nu+1}}(0)$

Let $\mathcal{L}(\mathfrak{M}_\mu^*)^+$ denote the sentences in $\mathcal{L}(\mathfrak{M}_\mu^*)$ which contain only occurrences of constants $I_F^{<\xi}$ for $\xi < \Omega_{\mu+1}$ and at most positive occurrences of $I_F^{<\Omega_{\mu+1}}$.

Theorem (Collapsing Theorem (roughly stated))

Let Δ be a set of $\mathcal{L}(\mathfrak{M}_\mu^*)^+$ -sentences. Then $\mathfrak{M}_\nu^* \left| \frac{\alpha}{\Omega_\nu} \Delta \right.$ implies

$$\mathfrak{M}_\nu^* \left| \frac{\Psi_{\Omega_{\mu+1}}^{\check{\alpha}}}{\Psi_{\Omega_{\mu+1}}^{\check{\alpha}}} \Delta \right.$$

The standard method of predicative proof theory is

Embed a formal proof $T \vdash F$ into the semi-formal system to obtain ordinals α_F and ρ_F such that $\mathfrak{M} \left| \frac{\alpha_F}{\omega^{\rho_F}} F \right.$.

Use cut elimination to obtain $\mathfrak{M} \left| \frac{\varphi_{\rho_F}(\alpha_F)}{0} F \right.$.

Infer $\pi^{\mathfrak{M}}(T) \leq \sup \{ \varphi_{\rho_F}(\alpha_F) \mid F \in \mathcal{L}(\mathfrak{M}) \}$ by the Boundedness Theorem.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Impredicative Proof Theory

Analytic universes

Iterated inductive definitions

The ordinals $\kappa^{\mathfrak{M}}(T)$

Methods of impredicative proof theory

The method has to be altered to

Embed a formal proof $ID_\nu(\mathbb{T}) \vdash s \in I_F$ for $F \in \mathcal{L}(\mathfrak{M}_\mu)$ into the semi-formal system \mathfrak{M}_ν^* to obtain ordinals $\alpha < \varepsilon_{\Omega_\nu+1}$ and $\rho < \Omega_\nu + \omega$ such that $\mathfrak{M}_\nu^* \frac{\alpha}{\rho} s \in I_F^{<\Omega_{\mu+1}}$.

Use cut elimination to obtain $\mathfrak{M} \frac{\varphi_{\rho F}(\alpha_F)}{0} F$.

Infer $\pi^{\mathfrak{M}}(\mathbb{T}) \leq \sup \{ \varphi_{\rho F}(\alpha_F) \mid F \in \mathcal{L}(\mathfrak{M}) \}$ by the Boundedness Theorem.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Impredicative Proof Theory

Analytic universes

Iterated inductive definitions

The ordinals $\kappa^{\mathfrak{M}}(\mathbb{T})$

Methods of impredicative proof theory

The method has to be altered to

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Use cut elimination to obtain $\mathfrak{M}_\nu^* \frac{<\varepsilon_{\Omega_\nu+1}}{\Omega_\nu} s \in I_F^{<\Omega_{\mu+1}}$
 and collapsing to get $\mathfrak{M}_\nu^* \frac{<\Psi_{\Omega_\mu+1}^{\varepsilon_{\Omega_\nu+1}}}{\Omega_{\mu+1}} s \in I_F^{<\Omega_{\mu+1}}$.

Infer $\pi^{\mathfrak{M}}(\mathbb{T}) \leq \sup \{ \varphi_{\rho_F}(\alpha_F) \mid F \in \mathcal{L}(\mathfrak{M}) \}$ by the Boundedness Theorem.

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Impredicative Proof Theory

Analytic universes

Iterated inductive definitions

The ordinals $\kappa^{\mathfrak{M}}(\mathbb{T})$

Methods of impredicative proof theory

The method has to be altered to

Embed a formal proof $ID_\nu(\mathbb{T}) \vdash s \in I_F$ for $F \in \mathcal{L}(\mathfrak{M}_\mu)$ into the semi-formal system \mathfrak{M}_ν^* to obtain ordinals $\alpha < \varepsilon_{\Omega_\nu+1}$ and $\rho < \Omega_\nu + \omega$ such that $\mathfrak{M}_\nu^* \frac{\alpha}{\rho} s \in I_F^{<\Omega_{\mu+1}}$.

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Use boundedness to infer $|s|_F < \Psi_{\Omega_{\mu+1}}^{\varepsilon_{\Omega_\nu+1}}$ for all $F \in \mathcal{L}(\mathfrak{M}_\mu)$, hence

$$\kappa^{\mathfrak{M}_\mu}(\mathbf{ID}_\nu(\mathbb{T})) \leq \Psi_{\Omega_{\mu+1}}^{\varepsilon_{\Omega_\nu+1}}.$$

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Use boundedness to infer $|s|_F < \Psi_{\Omega_{\mu+1}}^{\varepsilon_{\Omega_\nu+1}}$ for all

$F \in \mathcal{L}(\mathfrak{M}_\mu)$, hence

$$\delta^{\mathfrak{M}_\mu}(\mathbf{ID}_\nu(\mathbb{T})) = \kappa^{\mathfrak{M}_\mu}(\mathbf{ID}_\nu(\mathbb{T})) \leq \Psi_{\Omega_{\mu+1}}^{\varepsilon_{\Omega_\nu+1}}.$$

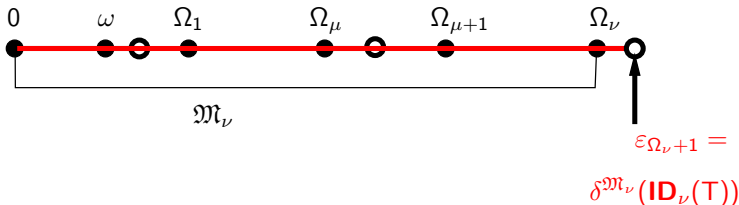


Figure: $\delta^{\mathfrak{M}_\nu}(\text{ID}_\nu(\mathbb{T})) = \mathcal{H}^{\varepsilon_{\Omega_\nu+1}}(\Omega_\nu)$

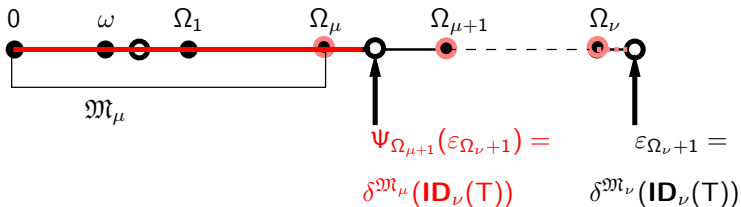


Figure: $\text{Spec}^{\mathfrak{M}_\mu}(\text{ID}_\nu(\mathbb{T})) = \mathcal{H}^{\varepsilon_{\Omega_\nu+1}}(\Omega_\mu)$

On the performance of axiom systems

Wolfram Pohlers

Introduction

GRT-ordinals

Prooftheoretic Counterparts of GRT-ordinals

The Π_1^1 -ordinal of a countable structure

Predicative Proof Theory

Impredicative Proof Theory

Conclusion

Set theoretic universes

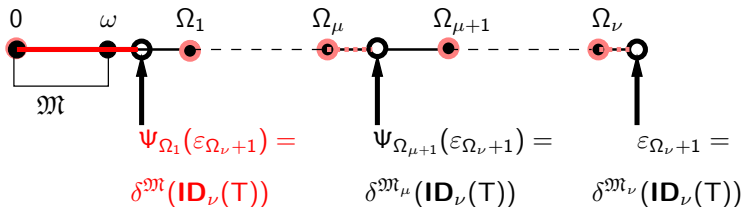
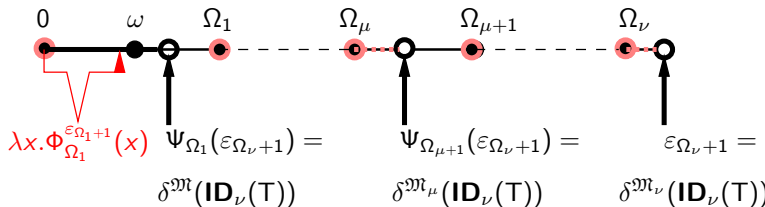
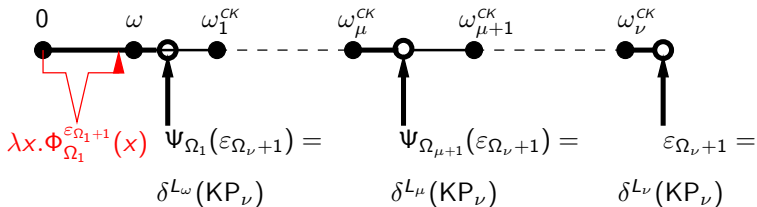


Figure: $\text{Spec}^{\mathfrak{M}}(\text{ID}_\nu(\mathbb{T})) = \mathcal{H}^{\varepsilon_{\Omega_{\nu+1}}}(0)$

Figure: $\text{Spec}^m(\text{ID}_\nu(\mathbb{T}))$ extended

Axioms for set theoretical universes above \aleph_1 can be treated by similar methods. The analyses of iterations of Kripke Platek axiom systems follow the same pattern and are even simpler to handle (theething troubles causes—as in forcing techniques—extensionality).

Substantial gain in performance is obtained by axiomatizing reflection principles. The strongest systems which can be (at least partly) handled today are Kripke Platek set theories with stability axioms.

Figure: $\text{Spec}^m(\text{KP}_\nu)$ extended

On the
performance
of axiom
systems

Wolfram
Pohlers

Introduction

GRT-ordinals

Prooftheoretic
Counterparts
of
GRT-ordinals

The
 Π_1^1 -ordinal of
a countable
structure

Predicative
Proof Theory

Impredicative
Proof Theory

Conclusion
Set theoretic
universes

Thank you for your attention