Introduction 000000 Implicative structures

Separation 00000000 The implicative tripos

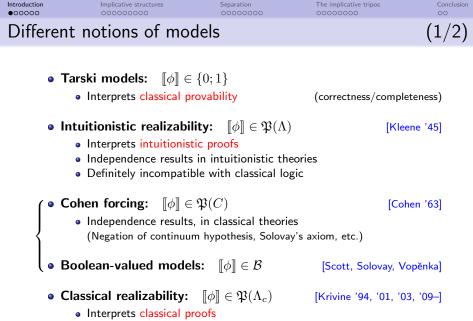
Conclusion 00

## **Implicative algebras:** A new foundation for realizability and forcing

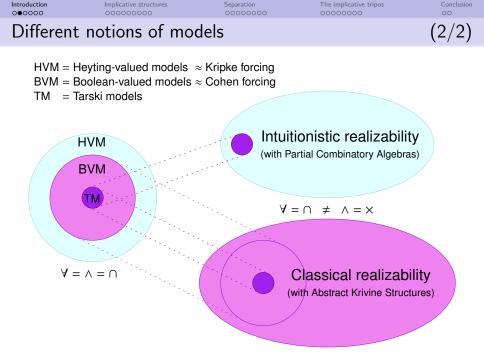
#### Alexandre Miquel



#### December 8th, 2022 - Topos Institute (Berkeley)



• Generalizes Tarski models... and forcing!



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## The categorical tradition of realizability

## Categorical logic

[Lawvere, Tierney '70]

[Hyland, Johnstone, Pitts '80]

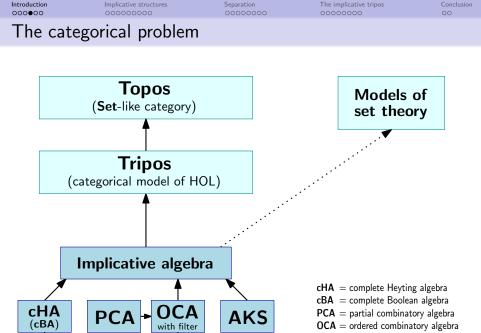
[Scott]

[Pitts]

- Hyperdoctrines = models of 1st order theories (Slogan:  $\exists/\forall$  are left/right adjoints!)
- Modern definition of the notion of topos (generalizes Grothendieck's definition)

#### Categorical realizability

- Major input from forcing and Boolean-valued models
- Effective topos [Hyland]
- Notion of tripos and tripos-to-topos construction
- Generalization to partial combinatory algebras (PCAs)
  - ... but incompatible with classical logic
- What about classical realizability?



AKS = abstract Krivine structure

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Unifying al	l kinds of mode	ls		

Aim: Define an algebraic structure to encompass:

- Complete Heyting Algebras
- Complete Boolean Algebras
- Partial Combinatory Algebras
- Ordered Combinatory Algebras
- Abstract Krivine Structures

- (for Heyting-valued models, Kripke forcing)
- (for Boolean-valued models, Cohen forcing)
- (for Intuitionistic realizability)
- (for Intuitionistic realizability)
- (for Classical realizability)

Implicative algebras can be used to construct:

- Categorical models (triposes, toposes)
- Models of (intuitionistic/classical) set theory

Underlying ideas are reminiscent from earlier work of

• Ruyer '07, Streicher '13

(and many others!)

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## Introduction

## 2 Implicative structures

## **3** Separation

## 4 The implicative tripos

## 5 Conclusion

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Implicative	structures			

#### Definition (Implicative structure)

An implicative structure is a triple  $(\mathscr{A}, \preccurlyeq, \rightarrow)$  where

• Write  $\perp$  (resp. op) the smallest (resp. largest) element of  $\mathscr{A}$ 

• When 
$$B = \emptyset$$
, axiom (2b) gives:  $(a \to \top) = \top$   $(a \in \mathscr{A})$ 

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## Examples of implicative structures

• Complete Heyting algebras ( $\mathscr{A},\preccurlyeq$ ), where  $\rightarrow$  is defined by:

 $a \to b \ := \ \max\{c \in \mathscr{A} \ : \ (c \curlywedge a) \preccurlyeq b\} \qquad (\mathsf{Heyting's implication})$ 

- + complete Boolean algebras (as a particular case of Heyting algebras)
- Given a total combinatory algebra  $(P, \cdot, \mathbf{k}, \mathbf{s})$ , we let:

• 
$$\mathscr{A} := \mathfrak{P}(P)$$
  
•  $a \preccurlyeq b := a \subseteq b$   
•  $a \rightarrow b := \{z \in P : \forall x \in a, \ z \cdot x \in b\}$  (Kleene's implication)

**Note:** if we do the same with a partial combinatory algebra, we only get a quasi-implicative structure, where  $(a \to \top) \neq \top$ 

- + similar construction for ordered combinatory algebras (OCA)
- Given an abstract Krivine structure  $(\Lambda,\Pi,\ldots,\mathsf{PL},\bot\!\!\!\bot),$  we let:

• 
$$\mathscr{A} := \mathfrak{P}(\mathbf{\Pi})$$

• 
$$a \preccurlyeq b := a \supseteq b$$

•  $a \to b := a^{\perp} \cdot b$ 

(Krivine's implication)

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Viewing	truth values as	generalized r	ealizers: a man	ifesto

- Elements of an implicative structure are primarily intended to represent truth values. But since  $\lambda$ -abstraction and application are definable in such a structure (cf next slide), we can see:
  - each realizer as a particular truth value;
  - each truth value as a generalized realizer
- So that we get the ultimate Curry-Howard identification:

## Realizer = Program = Formula = Type

- **③** In this setting, the relation  $a \preccurlyeq b$  may read:
  - a is a subtype of b (viewing a and b as truth values)
  - a has type b (viewing a as a realizer, b as a truth value)

(viewing a and b as realizers)

- $\bullet \ a$  is more defined than b
- In particular: subtyping  $(\preccurlyeq) =$  reverse Scott ordering  $(\sqsupseteq)$

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## Encoding application & abstraction

Let  $\mathscr{A} = (\mathscr{A}, \preccurlyeq, \rightarrow)$  be an implicative structure

# Definition (Application & Abstraction) Given $a, b \in \mathscr{A}$ and a function $f : \mathscr{A} \to \mathscr{A}$ , we let: $ab := \bigwedge \{c \in \mathscr{A} : a \preccurlyeq (b \to c)\}$ (application) $\lambda f := \bigwedge (a \to f(a))$ (abstraction)

## • Properties:

If 
$$a \preccurlyeq a'$$
 and  $b \preccurlyeq b'$ , then  $ab \preccurlyeq a'b'$ (Monotonicity)If  $f \preccurlyeq g$  (pointwise), then  $\lambda f \preccurlyeq \lambda g$ (Monotonicity)( $\lambda f$ ) $a \preccurlyeq f(a)$ ( $\beta$ -reduction) $a \preccurlyeq \lambda(x \mapsto ax)$ ( $\eta$ -expansion) $ab \preccurlyeq c$  iff  $a \preccurlyeq (b \rightarrow c)$ (Adjunction)

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Encoding the $\lambda$ -calculus				

Let  $\mathscr{A} = (\mathscr{A}, \preccurlyeq, \rightarrow)$  be an implicative structure

• To each closed  $\lambda$ -term t with parameters (i.e. constants) in  $\mathscr{A}$ , we associate a truth value  $t^{\mathscr{A}} \in \mathscr{A}$ :

$$\begin{array}{rcl} a^{\mathscr{A}} & := & a \\ (\lambda x \, . \, t)^{\mathscr{A}} & := & \boldsymbol{\lambda} (a \mapsto (t\{x := a\})^{\mathscr{A}}) \\ (tu)^{\mathscr{A}} & := & t^{\mathscr{A}} u^{\mathscr{A}} \end{array}$$

#### • Properties:

- $\beta$ -rule: If  $t \twoheadrightarrow_{\beta} t'$ , then  $(t)^{\mathscr{A}} \preccurlyeq (t')^{\mathscr{A}}$
- $\eta$ -rule: If  $t \twoheadrightarrow_{\eta} t'$ , then  $(t)^{\mathscr{A}} \succcurlyeq (t')^{\mathscr{A}}$

#### Remarks:

- This is not a denotational model of the  $\lambda\text{-calculus!}$
- Map  $t\mapsto t^{\mathscr{A}}$  is not injective in general, even on  $\beta\eta\text{-normal}$  forms

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Remarka	ble identities			

• In any implicative structure  $\mathscr{A} = (\mathscr{A}, \preccurlyeq, \rightarrow)$  we have:

$$\begin{split} \mathbf{I}^{\mathscr{A}} &:= \ (\lambda x \,.\, x)^{\mathscr{A}} &= \ & \bigwedge_{a} (a \to a) \\ \mathbf{K}^{\mathscr{A}} &:= \ (\lambda xy \,.\, x)^{\mathscr{A}} &= \ & \bigwedge_{a,b} (a \to b \to a) \\ \mathbf{S}^{\mathscr{A}} &:= \ & (\lambda xyz \,.\, xz(yz))^{\mathscr{A}} &= \ & \bigwedge_{a,b,c} ((a \to b \to c) \to (a \to b) \to a \to c) \end{split}$$

+ similar equalities for  ${\bf C}\equiv\lambda xyz\,.\,xzy$  and  ${\bf W}\equiv\lambda xy\,.\,xyy$ 

• By analogy, we let:

$$\mathbf{c}^{\mathscr{A}} := \bigwedge_{a,b} (((a \to b) \to a) \to a)$$
 (Peirce's law)

From this, we extend the encoding of the  $\lambda$ -calculus to all  $\lambda$ -terms enriched with the constant  $\alpha$  (= proof-like  $\lambda_c$ -terms)

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Particular	case: <i>A</i> is a co	omplete Heyt	ing algebra	

Complete Heyting/Boolean algebras are the particular implicative structures  $\mathscr{A} = (\mathscr{A}, \preccurlyeq, \rightarrow)$  where  $\rightarrow$  is defined from  $\preccurlyeq$  by

$$a \to b := \max\{c \in \mathscr{A} : (c \land a) \preccurlyeq b\}$$

**Remark:** Complete Heyting/Boolean algebras are the structures underlying forcing (in the sense of Kripke or Cohen)

#### Proposition

When  $\mathscr{A} = (\mathscr{A}, \preccurlyeq, \rightarrow)$  is a complete Heyting/Boolean algebra:

• For all  $a, b \in \mathscr{A}$ :  $ab = a \land b$  (application = binary meet)

**2** For each closed 
$$\lambda$$
-term  $t$ :  $(t)^{\mathscr{A}} = \top$ 

**(3)** Moreover, when  $\mathscr{A}$  is a Boolean algebra:  $\mathbf{c}^{\mathscr{A}} = \top$ 

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Logical	strength of an im	plicative st	ructure	

• Warning! We may have  $(t)^{\mathscr{A}} = \bot$  for some closed  $\lambda$ -term t.

Intuitively, this means that the corresponding term is inconsistent in (the logic represented by) the implicative structure  $\mathscr{A}$ 

- We say that the implicative structure  $\mathscr{A}$  is:
  - intuitionistically consistent when  $(t)^{\mathscr{A}} \neq \bot$  for all closed  $\lambda$ -terms
  - classically consistent when  $(t)^{\mathscr{A}} \neq \bot$  for all closed  $\lambda$ -terms with  $\mathfrak{c}$

#### • Examples:

- Every non-degenerated complete Heyting algebra is int. consistent
- Every non-degenerated complete Boolean algebra is class. consistent
- Implicative structures induced by CAs/OCAs are int. consistent
- Every Krivine realizability structure whose pole ⊥ is coherent (cf [Krivine'12]) is classically consistent

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Separators	5			(1/3)

Let 
$$\mathscr{A} = (\mathscr{A}, \preccurlyeq, \rightarrow)$$
 be an implicative structure

#### Definition (Separator)

A separator of  $\mathscr{A}$  is a subset  $S \subseteq \mathscr{A}$  such that:

(1) If 
$$a \in S$$
 and  $a \preccurlyeq b$ , then  $b \in S$  (upwards closed)

(2) 
$$\mathbf{K}^{\mathscr{A}} = (\lambda xy \, . \, x)^{\mathscr{A}} \in S$$
 and  $\mathbf{S}^{\mathscr{A}} = (\lambda xyz \, . \, xz(yz))^{\mathscr{A}} \in S$ 

(3) If 
$$(a \rightarrow b) \in S$$
 and  $a \in S$ , then  $b \in S$  (modus ponens)

We say that S is consistent (resp. classical) when  $\perp \notin S$  (resp.  $\mathfrak{c}^{\mathscr{A}} \in S$ )

#### **Remarks:**

• Under (1), axiom (3) is equivalent to:

(3') If  $a, b \in S$ , then  $ab \in S$  (closure under application)

In general, separators are not closed under binary meets

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Separators				(2/3)

• Intuition: Separator  $S \subseteq \mathscr{A} =$  criterion of truth (in  $\mathscr{A}$ )

• When *A* is a complete Heyting/Boolean algebra, a separator is the same as a filter (since application = binary meet)

But in general, separators are not filters (not closed under binary meets)

#### Definition (Intuitionistic and classical cores)

The smallest intuitionistic/classical separators of  $\mathscr{A}$  are:

$$S_J^0(\mathscr{A}) := \uparrow \{(t)^{\mathscr{A}} : t \text{ closed } \lambda \text{-term} \}$$
 (intuitionistic core

 $S_{K}^{0}(\mathscr{A}) := \uparrow \{ (t)^{\mathscr{A}} : t \text{ closed } \lambda \text{-term with } \mathbf{c} \}$ 

(classical core)

writing  $\uparrow B$  the upwards closure of a subset  $B\subseteq \mathscr{A}$ 

- Note that:
  - When  $\mathscr{A}$  is a complete Heyting algebra:  $S_J^0(\mathscr{A}) = \{\top\}$
  - When  $\mathscr{A}$  is a complete Boolean algebra:  $S_K^0(\mathscr{A}) = \{\top\}$

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Separators				(3/3)

Separators can be used the same way as filters:

• Separators are closed under  $\lambda$ -constructions:

If  $a_1, \ldots, a_n \in S$ , then  $t^{\mathscr{A}}(a_1, \ldots, a_n) \in S$  (for all  $\lambda$ -terms  $t(x_1, \ldots, x_n)$ )

• We can define the separator generated by an arbitrary subset X:

 $\operatorname{Sep}(X) := \uparrow \{ t^{\mathscr{A}} : t \text{ closed } \lambda \text{-term with parameters in } X \}$ 

- We have  $S_J^0(\mathscr{A}) = \operatorname{Sep}(\varnothing)$  and  $S_K^0(\mathscr{A}) = \operatorname{Sep}(\{\mathfrak{a}^{\mathscr{A}}\})$
- Deduction lemma:  $(a \rightarrow b) \in \operatorname{Sep}(X)$  iff  $b \in \operatorname{Sep}(X \cup \{a\})$
- We can even define ultraseparators as the maximal consistent separators. As for (ultra)filters, we have:

 $S \subset \mathscr{A}$  is an ultraseparator iff  $\mathscr{A}/S = \mathbf{2}$ 

**Beware!** Some ultraseparators  $S \subset \mathscr{A}$  are non-classical (i.e.  $\mathfrak{c}^{\mathscr{A}} \notin S$ )

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## Interpreting first-order logic

• Formulas of first-order logic are interpreted by:

$$\begin{split} \llbracket \phi \Rightarrow \psi \rrbracket &= \llbracket \phi \rrbracket \to \llbracket \psi \rrbracket \\ \llbracket \neg \phi \rrbracket &= \llbracket \phi \rrbracket \to \bot \\ \llbracket \phi \land \psi \rrbracket &= \bigwedge_{a \in \mathscr{A}} ((\llbracket \phi \rrbracket \to \llbracket \psi \rrbracket \to a) \to a) \\ \llbracket \phi \lor \psi \rrbracket &= \bigwedge_{a \in \mathscr{A}} ((\llbracket \phi \rrbracket \to a) \to (\llbracket \psi \rrbracket \to a) \to a) \\ \llbracket \forall x \phi(x) \rrbracket &= \bigwedge_{v \in \mathscr{M}} \llbracket \phi(v) \rrbracket \\ \llbracket \exists x \phi(x) \rrbracket &= \bigwedge_{a \in \mathscr{A}} (\bigwedge_{v \in \mathscr{M}} (\llbracket \phi(v) \rrbracket \to a) \to a) \end{split}$$

(where  $\mathcal{M}$  is the domain of the interpretation)

Theorem (Soundness)

 $\text{If} \quad \vdash_{\mathsf{LJ}} \phi \quad (\text{resp.} \vdash_{\mathsf{LK}} \phi), \quad \text{then} \quad [\![\phi]\!] \in S^0_J(\mathscr{A}) \quad (\text{resp.} \; [\![\phi]\!] \in S^0_K(\mathscr{A}))$ 

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Implicative	algebras			

#### Definition (Implicative algebra)

An implicative algebra is a quadruple  $(\mathscr{A}, \preccurlyeq, \rightarrow, S)$  where

- $(\mathscr{A}, \preccurlyeq, \rightarrow)$  is an implicative structure
- $S \subseteq \mathscr{A}$  is a separator
- The separator  $S \subseteq \mathscr{A}$  induces a preorder of entailment:

$$a \vdash_S b :\equiv (a \to b) \in S$$
 (for all  $a, b \in \mathscr{A}$ )

• The poset reflection of  $(\mathscr{A}, \vdash_S)$  is written  $\mathscr{A}/S$ 

#### Proposition

• The poset  $\mathscr{A}/S$  is a Heyting algebra

 $If <math> \mathfrak{C}^{\mathscr{A}} \in S, then \ \mathscr{A}/S is a Boolean algebra$ 

**Remark:** The induced Heyting algebra  $\mathscr{A}/S$  is in general not complete

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## Non deterministic choice and filters

• In the theory of implicative algebras, separators play the same role as filters in the theory of Heyting algebras.

However, separators  $S \subseteq \mathscr{A}$  are in general *not* filters:

$$\begin{array}{rcl} a,b\in S & \Rightarrow & ab\in S \\ a,b\in S & \not\Rightarrow & a \land b\in S \end{array}$$

• Given an implicative structure  $\mathscr{A} = (\mathscr{A}, \preccurlyeq, \rightarrow)$ , we let:

$$\begin{split} & \mathbb{A}^{\mathscr{A}} & := \bigwedge_{a,b \in \mathscr{A}} (a \to b \to a \land b) & \text{(non deterministic choice)} \\ & \mathsf{p-or}^{\mathscr{A}} & := (\bot \to \top \to \bot) \land (\top \to \bot \to \bot) & \text{(parallel "or")} \end{split}$$

#### Proposition (Characterizing filters)

**2** A classical separator  $S \subseteq \mathscr{A}$  is a filter iff p-or  $\mathscr{A} \in S$ 

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Finitely g	enerated separ	ators and pri	ncipal filters	

#### Theorem

Given a separator  $S \subseteq \mathscr{A}$ , the following are equivalent:

- ${\small \bullet} \hspace{0.1 in} S \hspace{0.1 in} \text{is finitely generated and} \hspace{0.1 in} \mathbb{h}^{\mathscr{A}} \in S$
- **2** S is a principal filter:  $S = \uparrow \{\Theta\}$  for some  $\Theta \in S$

( $\Theta$  is called the universal proof of S)

Interinduced Heyting algebra 𝔐/S is complete, and the canonical surjection [·]: 𝔐 → 𝔐/S commutes with infinitary meets:

$$\left[\bigwedge_{i \in I} a_i\right] = \bigwedge_{i \in I} [a_i]$$

In model theoretic terms, this situation corresponds to a collapse of (intuitionistic/classical) realizability into (Kripke/Cohen) forcing!

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The imp	(1/2)			

Let  $(\mathscr{A}, \preccurlyeq, \rightarrow, S)$  be an implicative algebra

- For each set *I*, we observe that:
  - The triple 𝔄<sup>I</sup> = (𝔄<sup>I</sup>, ≼<sup>I</sup>, →<sup>I</sup>) is an implicative structure, whose ordering ≼<sup>I</sup> and implication →<sup>I</sup> are defined componentwise (power implicative structure)
  - $\bullet\,$  The set of constant I-indexed families in S generates a separator

$$S[I] := \{(a_i)_{i \in I} \in \mathscr{A}^I : (\exists s \in S) (\forall i \in I) \, s \preccurlyeq a_i\} \subseteq \mathscr{A}^I$$

(uniform power separator)

So that we can let  $\mathbf{P}(I)$  :=  $\mathscr{A}^I/S[I]$  (induced Heyting algebra)

#### Theorem (Implicative tripos)

- **(**) The correspondence  $I \mapsto \mathbf{P}(I)$  is functorial (in a contravariant way)

Recall: Tripos = categorical model of higher-order logic



- The above construction encompasses many well-known triposes:
  - Forcing triposes, which correspond to the case where  $(\mathscr{A}, \preccurlyeq, \rightarrow)$  is a complete Heyting/Boolean algebra, and  $S = \{\top\}$  (i.e. no quotient)
  - Triposes induced by total combinatory algebras... (int. realizability) ... and even by partial combinatory algebras, via some completion trick
  - Triposes induced by abstract Krivine structures (class. realizability)
- As for any tripos, each implicative tripos can be turned into a topos via the standard tripos-to-topos construction
- Question: What do implicative triposes bring new w.r.t.
  - Forcing triposes (intuitionistic or classical)?
  - Intuitionistic realizability triposes?
  - Classical realizability triposes?

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## Characterizing some implicative triposes

#### Theorem (Characterizing forcing triposes)

Let  $\mathbf{P}: \mathbf{Set}^{\mathsf{op}} \to \mathbf{HA}$  be the tripos induced by an implicative algebra  $(\mathscr{A}, \preccurlyeq, \rightarrow, S)$ . Then the following are equivalent:

 ${f 0}$  The tripos  ${f P}$  is isomorphic to a forcing tripos

 $\textbf{@ The separator } S \subseteq \mathscr{A} \text{ is a principal filter of } \mathscr{A}$ 

 $\textbf{③ The separator } S \subseteq \mathscr{S} \text{ is finitely generated and } \mathbb{h}^{\mathscr{A}} \in S$ 

Slogan: Forcing = non-deterministic realizability

#### Theorem (Classical implicative triposes)

Each tripos induced by a classical implicative algebra  $(\mathscr{A},\preccurlyeq,\rightarrow,S)$  is isomorphic to a tripos induced by an abstract Krivine structure

Classical implicative algebras  $\, \sim \,$  Abstract Krivine Structures (same expressiveness)

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Higher-o	rder completen	ess		(1/2)

Implicative triposes encompass all the well-known (intuitionistic/classical) forcing & realizability triposes

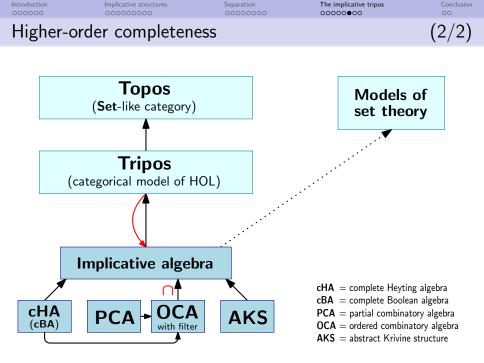
But do they encompass all triposes?

Theorem (Higher-order completeness/Representation)

Each Set-based tripos is (isomorphic to) an implicative tripos

**Note:** From the point of view of foundations, the above theorem expresses that a whole tripos (= structured proper class) can be described by a single implicative algebra (= structured set)  $\Rightarrow$  Reduction of complexity

- Explains *a fortiori* why we succeeded to turn well-known triposes (induced by HAs, OCAs, AKSs, etc.) into implicative triposes
- Since implicative algebras have the same expressiveness as OCAs with filters, the completeness theorem also holds for the latter



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First-ord	er completenes	5		(1/2)

Implicative algebras can be used to interpret 1st-order theories as well

- Given an implicative algebra A, define the notion of A-model of a 1st-order language L (resp. of a 1st-order theory T) as expected
- Implicative model =  $\mathscr{A}$ -model for some implicative algebra  $\mathscr{A}$

Pro	oposition	(Sound	lness)	
lf	$\mathscr{T}\vdash\phi$ ,	then	$\mathscr{M} \models \phi$	in all implicative models ${\mathscr M}$ of ${\mathscr T}$

Theorem (Strong completeness for implicative models)[M. 2022]For each classical 1st-order theory  $\mathscr{T}$ , there is a full implicative model  $\mathscr{M}$ (over some classical implicative algebra) that captures  $\mathscr{T}$ :

$$\mathscr{T} \vdash \phi \quad \text{ iff } \quad \mathscr{M} \models \phi \qquad (\phi \text{ closed})$$

• Strong completeness theorem already holds for Boolean-valued models, but the proof relies on the completeness theorem of 1st-order logic



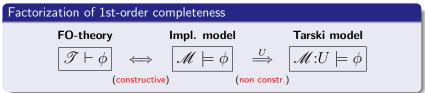
- Let  $\mathscr{T}$  be a consistent (classical) 1st-order theory
  - From the strong completeness theorem, there is a full implicative model  $\mathscr{M}$  (over some classical implicative algebra  $\mathscr{A}$ ) such that:

$$\mathscr{T} \vdash \phi \quad \text{ iff } \quad \mathscr{M} \models \phi \qquad (\phi \text{ closed})$$

Moreover the implicative algebra  $\mathscr A$  is consistent since the theory  $\mathscr T$  is

• Picking some ultraseparator  $U \supseteq S_{\mathscr{A}}$ , get a Tarski model  $\mathscr{M} : U$ :  $\mathscr{T} \vdash \phi$  implies  $\mathscr{M}: U \models \phi$  ( $\phi$  closed)

Therefore we get:



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Conclusion				

Implicative algebra = an algebraic structure to factorize model-theoretic constructions underlying forcing and realizability (intuitionistic & classical)

• Idea: Truth values can be manipulated as generalized realizers

$$Proof = Program = Type = Formula$$

- Each implicative algebra induces an implicative tripos, and this correspondence is surjective (up to isomorphism)
- In this structure: forcing = non deterministic realizability
- ullet Classical implicative algebras  $~\sim~$  Abstract Krivine Structures

## **Ongoing work:**

- Conjunctive & disjunctive algebras
- Evidenced Frames
- The category of implicative algebras: which notion of morphism?
- Implicative models of (I)ZF set theory

[Miquey '20] [Cohen-Miquey-Tate '22]