Formalization of Forcing in Isabelle/ZF

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1 Introduction

- Why Isabelle/ZF?
- The ctm approach to forcing
- Other approaches

2 The development

- What did we accomplish?
- Math vs Code

3 Looking forward



Pros

- Most advanced set theory formalized (around 2017).
- Structured proof language Isar [Wenzel, 1999].
- Comparatively low in consistency strength.



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- Structured proof language Isar [Wenzel, 1999].
- Comparatively low in consistency strength.

Cons

- A fraction of automation of Isabelle (sledgehammer, etc).
- "Untyped", and too weak a metatheory.



- An object logic of Isabelle axiomatized over the intuitionistic fragment Pure of higher order logic.
- It postulates two types: i (sets) and o (booleans).



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- An object logic of Isabelle axiomatized over the intuitionistic fragment Pure of higher order logic.
- It postulates two types: i (sets) and o (booleans). Not inductively defined!
- The Replacement and Separation axiom schemes feature free high order variables.
- Induction/recursion is *internal* to the theory (it works as a layer on top of set-theoretical proofs of well-foundedness— of N, of Ord, etc).



Countable transitive model (ctm) of ZF

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 $\forall z. \ z \in M \longrightarrow (z \in x \longrightarrow z \in y),$ the relativization \subseteq^M of \subseteq to M. In this case, we know that \subseteq is absolute for transitive models.

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Let $\langle \mathbb{P}, \preceq, 1 \rangle \in M$ be a *forcing notion* (a preorder with top). Given an *M*-generic filter $G \subseteq \mathbb{P}$, we can adjoin it to *M* to form the **generic extension** M[G].



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$$M[G] := \{ val(G, \dot{a}) : \dot{a} \in M \}$$

Fundamentally, **truth** in M[G] is coded in M by the function *forces*.



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Theorem ([Cohen, 1963])

There exists a formula-transformer forces such that for every φ , *M*-generic *G*, and $\dot{a} \in M$,

$$M[G], [val(G, \dot{a})] \models \varphi \quad \Longleftrightarrow \quad \exists p \in G. \ M, [p, \preceq, \mathbb{P}, \dot{a}] \models forces(\varphi).$$



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 $\searrow p \Vdash_{\mathbb{P}, \prec}^{M} \varphi(\dot{a}) \checkmark$



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- **3** Both M and M[G] are standard (two-valued) models.
- 4 Ctms are used in an important fraction of the literature.



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If \mathbb{P} is the set of finite partial binary functions with domain included in \aleph_2^M , M[G] satisfies the negation of the **Continuum Hypothesis** (CH):

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Formalizing the independence of *CH* from the axioms of *ZFC* using ctms is one of the main goals of our project.



Other approaches to set theory and forcing

■ Lean: Full formalization of the Boolean-valued approach to forcing and the independence of *CH* [Han and van Doorn, 2020].



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A word on consistency strength

Isabelle/ZF + ctm HOLZF, ZFC_in_HOL Lean (CiC) (far) less than ZF + one inaccessible. approximately ZF + one inaccessible. ZF + ω inaccessibles [Carneiro, 2019].



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- 2 We formalized the formula transformer *forces* and hence the forcing relation *I*⊢, and proved the Fundamental Theorems.
- 3 We showed that generic extensions of ctms of *ZF* are also ctms of *ZF* (respectively, adding *AC*).
- We provided the forcing notion that adds a Cohen real, therefore proving the existence of a nontrivial extension.



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$$p = \{x, y\} :::$$
 i
|| upair $(C, x, y, p) ::$ o
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 $\begin{array}{ll} p = \{x,y\} :: i & (original term). \\ \mbox{II upair}(C,x,y,p) :: o & (relativization, fully relational). \\ \mbox{III upair}_fm(0,1,2) :: i & (synthesized member of formula). \end{array}$

Around 40 absoluteness/closure lemmas now hold using weaker hypotheses on the class C (most of them, just that C is transitive and nonempty).

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This is the main reason we work with the set of internalized formulas, and that we require legit first-order expressions for the axiom schemes (Separation and Replacement).

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We enhanced the recursion results of Isabelle/ZF as well as the relevant preservation results in ZF-Constructible, thus showing that forcing is absolute for atomic formulas.

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We may compare some of the code with the actual math [Kunen, 2011].



For Power Set (similarly to Union above), it is sufficient to prove that whenever $a \in M[G]$, there is a $b \in M[G]$ such that $\mathcal{P}(a) \cap M[G] \subseteq b$. Fix $\tau \in M^{\mathbb{P}}$ such that $\tau_G = a$. Let $Q = (\mathcal{P}(\operatorname{dom}(\tau) \times \mathbb{P}))^M$. This is the set of all names $\vartheta \in M^{\mathcal{P}}$ such that $\operatorname{dom}(\vartheta) \subseteq \operatorname{dom}(\tau)$. Let $\pi = Q \times \{1\}$ and let $b = \pi_G =$ $\{\vartheta_G : \vartheta \in Q\}$. Now, consider any $c \in \mathcal{P}(a) \cap M[G]$; we need to show that $c \in b$.



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lemma Pow_inter_MG:	1
assumes	
"a∈M[G]"	
shows	
"Pow(a) ∩ M[G] ∈ M[G]"	
proof -	
from assms obtain τ where " $\tau \in M$ " "val(G, τ) = a"	
using GenExtD by auto	
let $?Q="Pow(domain(\tau) \times P) \cap M"$	
from <τ∈M>	
have "domain(τ) \times P \in M" "domain(τ) \in M" [2 lines]	
then	
have "?Q < M" [17 lines]	
let ? π ="?Q×{one}"	
let ?b="val(G,?\")"	
from Q∈M	
have "?π∈M" [2 lines]	
then	
have "?b ∈ M[G]"	
using GenExtI by simp	
have "Pow(a) \cap M[G] \subseteq ?b"	
proof	
fix c	
assume " $c \in Pow(a) \cap M[G]$ "	
then obtain χ where "c \in M[G]" " $\chi \in$ M" "val(G, χ) = c"	
using GenExtD by auto	UNC Universidad
let $?\vartheta = \{\sigma p \in \text{domain}(\tau) \times P : \text{snd}(\sigma p) \vdash (\text{Member}(0,1)) [fst(\sigma p), \chi] \}$ "	da Córdoba
have "arity/forces/Member(0 1))) - 6" [1 lines]	3

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 $\{\vartheta_G : \vartheta \in Q\}. \text{ Now, consider any } c \in \mathcal{P}(a) \cap M[G]; \text{ we need to show that } c \in b.$ Fix $\varkappa \in M^{\mathbb{P}}$ such that $\varkappa_G = c$, and let $\vartheta = \{\langle \sigma, p \rangle : \sigma \in \operatorname{dom}(\tau) \land p \Vdash \sigma \in \varkappa\}; \vartheta \in M$ by the Definability Lemma. Since $\vartheta \in Q$, we are done if we can show that $\vartheta_G = c$. $\vartheta_G \subseteq c$ holds because $\vartheta_G = \{\sigma_G : \exists p \in G \ p \Vdash \sigma \in \varkappa\}$ and all these σ_G lie in $\varkappa_G = c$ by the definition of \Vdash . To prove $c \subseteq \vartheta_G$: since $c \subseteq a = \tau_G$, every element of c is of the form σ_G for some $\sigma \in \operatorname{dom}(\tau)$. Since $\sigma_G \in c = \varkappa_G$, apply the Truth Lemma and fix $p \in G$ such that $p \Vdash \sigma \in \varkappa$; then $\langle \sigma, p \rangle \in \vartheta$, so $\sigma_G \in \vartheta_G$.



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Formalizing math

- Cofinality, Kőnig's Theorem, Shanin's ∆-system Lemma.
- Forcing notion for adding κ Cohen reals.
- Theorems on preservation of cardinals.



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Technical aids

- Automatic relativization and proof of absoluteness of concepts.
- "Relative functions" (e.g., \mathscr{P}^M , $|\cdot|^M$, cf^M).



Thank you!



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Extra: Locale structure involving set models

forcing_notion	=	preorder ${\mathbb P}$ with top.
$M_{ZF_{trans}}$	=	set model M of the ZF axioms + M transitive
M_ctm	=	$M_ZF_trans + M$ countable
forcing_data	=	$\texttt{M_ctm + forcing_notion} \ \mathbb{P} \in M$
separative_notion	=	forcing_notion + \mathbb{P} separative
M_ctm_separative	=	<pre>forcing_data + separative_notion</pre>
G_generic	=	forcing_data + G is M -generic



We only show the second inclusion $c \subseteq \vartheta_G = val(G, \vartheta)$ (the first one is proved in the course of the 24 folded lines).



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moreover
note $\langle \chi \in M \rangle$
ultimately
obtain p where " $p \in G$ " "($p \vdash Member(0,1) [\sigma,\chi]$)"
using generic truth_lemma[of "Member(0,1)" "G" "[σ,χ]"] nat_simp_union
by auto
moreover from <p∈g></p∈g>
have "p∈P"
using generic by blast
ultimately
have $\neg \sigma, p \ge ?\vartheta$
using $\langle \sigma \in \text{domain}(\tau) \rangle$ by simp
with $\langle val(G,\sigma) = x \rangle \langle p \in G \rangle$
show "x∈val(G,?ϑ)"
using val of elem [of "?ϑ"] by auto
qed
with $\langle val(G,?\vartheta) \in ?b \rangle$
<pre>show "c∈?b" by simp</pre>
qed
then
have "Pow(a) \cap M[G] = {x \in ?b . x \subseteq a \land x \in M[G]}"
by auto
also from <a∈m[g]></a∈m[g]>
have " = { $x \in \mathbb{P}$. (M[G], [x,a] \models subset fm(0,1)) $\land x \in M[G]$ }"
using Transset MG by force
also
have " = { $x \in ?b$. (M[G], [x,a] \models subset fm(0,1))} \cap M[G]"
has a sub-

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have "peP"		
using generic by blast		
ultimately		
have "<♂,p>∈?∂"		
using $\langle \sigma \in \text{domain}(\tau) \rangle$ by simp		
with $\langle val(G,\sigma) = x \rangle \langle p \in G \rangle$		
show "x∈val(G,?ϑ)"		
using val_of_elem [of "?0"] by auto		
qed		
with $\langle val(G, ?\vartheta) \in ?b \rangle$		
show "c∈?b" by simp		
qed		
then		
have "Pow(a) \cap M[G] = {x \in ?b . x \subseteq a \land x \in M[G]}"		
by auto		
also from <a∈m[g]></a∈m[g]>		
have " \ldots = {x \in ?b . (M[G], [x,a] \models subset_fm(0,1)) \land x \in M[G]}"		
using Transset_MG by force		
also	8	UNC
have " = { $x \in ?b$. (M[G], [x,a] \models subset_fm(0,1))} \cap M[G]"	L	

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with $\langle val(G,\sigma) = x \rangle \langle p \in G \rangle$	
show "×∈val(G,?0)"	
using val_of_elem [of "?v"] by auto	
qed	
with $\langle val(G,?\vartheta) \in ?b \rangle$	
show "c∈?b" by simp	
deq	
then	
have "Pow(a) \cap M[G] = {x \in ?b . x \subseteq a \land x \in M[G]}"	
by auto	
also from <aem[6]></aem[6]>	
nave $\ldots = \{x \in \mathcal{D} : (M[G], [x,a] \models subset_fm(0,1)) \land x \in M[G]\}^{"}$	
using transset_MG by Torce	
nave \ldots = {x \in rb} . (M[G], [x, a] \models subset_Tm(0, 1))} \cap M[G]"	