

Analysing Gödel's L in Realisability Models of CZF

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Constructive Zermelo–Fraenkel set theory CZF

Extensionality + Pairing + Union + Strong Infinity + Set Induction
+ Δ_0 -Separation + Strong Collection + Subset Collection

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Set Induction: $\forall x (\forall y \in x \varphi(y) \rightarrow \varphi(x)) \rightarrow \forall x \varphi(x)$

Strong Collection: $\forall x \in a \exists y \varphi(x, y) \rightarrow$
 $\exists b (\forall x \in a \exists y \in b \varphi(x, y) \wedge \forall y \in b \exists x \in a \varphi(x, y))$

Subset Collection: $\exists c \forall u (\forall x \in a \exists y \in b \varphi(x, y, u) \rightarrow$
 $\exists d \in c (\forall x \in a \exists y \in d \varphi(x, y, u) \wedge \forall y \in d \exists x \in a \varphi(x, y, u)))$

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 $\exists d \in c (\forall x \in a \exists y \in d \varphi(x, y, u) \wedge \forall y \in d \exists x \in a \varphi(x, y, u)))$

Exponentiation:

$\forall x \forall y$ the set y^x of all functions from x to y exists

Proposition

Powerset \Rightarrow Subset Collection \Rightarrow Exponentiation.

We denote $\text{CZF}(\mathcal{P}) = \text{CZF} + \text{Powerset}$

Ordinals and L

An *ordinal* is a transitive set of transitive sets. For ordinals α , we construct the usual hierarchy

$$L_\alpha = \bigcup_{\beta \in \alpha} \text{def}(L_\beta)$$

where $\text{def}(L_\beta)$ is the collection of all first-order definable sets in $\langle L_\beta; \in \rangle$ with parameters. Then $L = \bigcup_{\alpha \in \text{Ord}} L_\alpha$.

The intuitionistic L was first treated by Robert Lubarsky [5]. Other ways to define L are still intuitionistically equivalent, such as iterating finitely many fundamental operations, as verified recently by Matthews & Rathjen [6].

Intuitionistic ordinals (and L)

Proposition (ZF)

If $\alpha \subseteq \beta$ are ordinals, then either $\alpha = \beta$ or $\alpha \in \beta$. Especially, it follows that Ord is linearly ordered.

The proof of this starts with “either $\beta \subseteq \alpha$, or there exists $\gamma \in \beta$ such that $\gamma \notin \alpha \dots$ ”, which is not intuitionistically valid!

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The proof of this starts with “either $\beta \subseteq \alpha$, or there exists $\gamma \in \beta$ such that $\gamma \notin \alpha \dots$ ”, which is not intuitionistically valid! Likewise, the following corollary only works in classical logic:

Corollary (ZF)

If α is an ordinal, then $\alpha = L_\alpha \cap \text{Ord} \in L_{\alpha+1}$.

It remains *open* whether any intuitionistic set theories suffice to prove $\text{Ord} \subseteq L$!

Partial combinatory algebras

A *partial combinatory algebra* (PCA) is a set \mathcal{A} with a partial application operation $\mathcal{A} \times \mathcal{A} \rightharpoonup \mathcal{A}$, with two distinguished combinators:

- ▶ for any $a, b \in \mathcal{A}$, $\mathbf{k}ab \downarrow$ and $\mathbf{k}ab = a$;
- ▶ for any $a, b, c \in \mathcal{A}$, $\mathbf{s}ab \downarrow$ and $\mathbf{s}abc \simeq (ac)(bc)$.

Here, we say that a (formal) application term t *converges*, denoted $t \downarrow$ if all application operations involved are defined, and we write $t \simeq s$ if both converges to the same value, or if both diverges.

For example, $\mathcal{A} = \mathbb{N}$ where ab evaluates to the result of running the a^{th} Turing machine on input b is a PCA.

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PCAs give one some generalised notion of computation. For example, we have the following basic properties:

- ▶ When t is a (formal) term containing some variable symbol x , then $\lambda x.t$ is also a term in \mathcal{A} .
- ▶ We have the usual fixed-point combinators in PCAs, so we can define functions by recursion.

Additional structures on PCAs

A PCA over the natural numbers is some $\mathcal{A} \supseteq \mathbb{N}$ with:

- ▶ $\mathbf{s}_N, \mathbf{p}_N \in \mathcal{A}$ such that for any $n \in \mathbb{N}$, $\mathbf{s}_N n \downarrow = n + 1$ and $\mathbf{p}_N n \downarrow = \max\{n - 1, 0\}$;
- ▶ definition by cases $\mathbf{d} \in \mathcal{A}$, such that for any terms a, b and $c_1, c_2 \in \mathbb{N}$,

$$\mathbf{d} a b c_1 c_2 \simeq \begin{cases} a & \text{if } c_1 = c_2, \\ b & \text{otherwise.} \end{cases}$$

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We also often identify distinguished pairing functions $\mathbf{p}, \mathbf{p}_0, \mathbf{p}_1 \in \mathcal{A}$ in a PCA such that

$$\mathbf{p}_0(\mathbf{p} a b) \simeq a, \quad \mathbf{p}_1(\mathbf{p} a b) \simeq b.$$

Kleene realisability $\text{CZF} \hookrightarrow \text{CZF}$ (Rathjen 2006)

Fix a PCA \mathcal{A} (over the natural numbers), the class of names $V(\mathcal{A}) = \bigcup_{\alpha \in \text{Ord}} V(\mathcal{A})_\alpha$ is given by

$$V(\mathcal{A})_\alpha = \bigcup_{\beta \in \alpha} \mathcal{P}(\mathcal{A} \times V(\mathcal{A})_\beta).$$

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Realisability conditions:

$$\begin{aligned} e \Vdash a \in b &\Leftrightarrow \exists c (\langle \mathbf{p}_0 e \downarrow, c \rangle \in b \wedge \mathbf{p}_1 e \Vdash a = c), \\ e \Vdash a = b &\Leftrightarrow \forall f, d ((\langle f, d \rangle \in a \rightarrow \mathbf{p}_0 e f \Vdash d \in b) \\ &\quad \wedge (\langle f, d \rangle \in b \rightarrow \mathbf{p}_1 e f \Vdash d \in a)). \end{aligned}$$

Proposition

There is a fixed $\mathbf{i} \in \mathcal{A}$ such that $\mathbf{i} \Vdash a = a$ for all $a \in V(\mathcal{A})$.

Kleene realisability $\text{CZF} \hookrightarrow \text{CZF}$ (Rathjen 2006)

Realisability conditions (continued):

$$e \Vdash \varphi \wedge \psi \Leftrightarrow \mathbf{p}_0 e \Vdash \varphi \wedge \mathbf{p}_1 e \Vdash \psi,$$

$$e \Vdash \varphi \vee \psi \Leftrightarrow (\mathbf{p}_0 e \downarrow = 0 \wedge \mathbf{p}_1 e \Vdash \varphi) \\ \vee (\mathbf{p}_0 e \downarrow = 1 \wedge \mathbf{p}_1 e \Vdash \psi),$$

$$e \Vdash \neg \varphi \Leftrightarrow \forall f \in \mathcal{A} \ f \nVdash \varphi,$$

$$e \Vdash \varphi \rightarrow \psi \Leftrightarrow \forall f \in \mathcal{A} (f \Vdash \varphi \rightarrow ef \Vdash \psi),$$

$$e \Vdash \forall x \in a \ \varphi(x) \Leftrightarrow \forall \langle f, c \rangle \in a \ ef \Vdash \varphi(c),$$

$$e \Vdash \exists x \in a \ \varphi(x) \Leftrightarrow \exists c (\langle \mathbf{p}_0 e \downarrow, c \rangle \in a \wedge \mathbf{p}_1 e \Vdash \varphi(c)),$$

$$e \Vdash \forall x \ \varphi(x) \Leftrightarrow \forall c \in V(\mathcal{A}) \ e \Vdash \varphi(c),$$

$$e \Vdash \exists x \ \varphi(x) \Leftrightarrow \exists c \in V(\mathcal{A}) \ e \Vdash \varphi(c).$$

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Theorem (Rathjen, 2006)

CZF proves that for every theorem φ of CZF, there is a realiser $e \in \mathcal{A}$ such that $e \Vdash \varphi$.

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Proposition (W.)

There is a realiser $e \in \mathcal{A}$ such that

$$e \Vdash \exists \alpha \in \text{Ord} \ \alpha \subsetneq L_\alpha \cap \text{Ord}.$$

“Exotic” ordinals

Here are the usual constructions for ω in $V(\mathcal{A})$:

$$\bar{n} = \{ \langle m, \bar{m} \rangle : m \in n \},$$

$$\bar{\omega} = \{ \langle n, \bar{n} \rangle : n \in \omega \},$$

then some $e \Vdash \bar{\omega}$ is the smallest inductive set.

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then some $e \Vdash \bar{\omega}$ is the smallest inductive set.

If we consider $\bar{2}' = \{\langle 1, \bar{0} \rangle, \langle 0, \bar{1} \rangle\}$, then some $f \Vdash \bar{2} = \bar{2}'$.

However, any realiser

$$g \Vdash \{\langle 1, \bar{2} \rangle, \langle 1, \bar{2}' \rangle\} = \{\langle 1, \bar{2} \rangle\},$$

so the left-hand side is actually a *proper* superset!

“Exotic” ordinals

Here, we will look at

$$\bar{3}^* = \left\{ \langle 0, \bar{0} \rangle, \langle 0, \bar{1} \rangle, \langle 1, \bar{2} \rangle, \langle 1, \bar{2}' \rangle \right\}.$$

We shall sketch a proof that $L_{\bar{3}^*} \cap \text{Ord} \subseteq \bar{3}^*$ is *not* realised!

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We shall sketch a proof that $L_{\bar{3}^*} \cap \text{Ord} \subseteq \bar{3}^*$ is *not* realised!

The general idea is that a same realiser realises $\bar{0} \in \bar{2}$ and $\bar{1} \in \bar{2}'$.
From this, also a same realiser realises

$$\bar{0} = L_{\bar{0}} \cap \text{Ord} \in L_{\bar{2}} \quad \text{and} \quad \bar{1} = L_{\bar{1}} \cap \text{Ord} \in L_{\bar{2}'}$$

Consequently, we have a same realiser for the successors

$$\bar{0}^+ \in \text{def}(L_{\bar{2}}) \subseteq L_{\bar{3}^*} \quad \text{and} \quad \bar{1}^+ \in \text{def}(L_{\bar{2}'}) \subseteq L_{\bar{3}^*}.$$

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However, suppose that $f \Vdash L_{\bar{3}^*} \cap \text{Ord} \subseteq \bar{3}^*$, while $e \Vdash$ both $\bar{0}^+, \bar{1}^+ \in L_{\bar{3}} \cap \text{Ord}$, then

$$0 = \mathbf{p}_0(f(\mathbf{p}_0 e)) = 1,$$

a contradiction.

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In fact, we can realise

$$\begin{aligned} \bar{3}^* = \{ x \in L_{\bar{3}^*} \cap \text{Ord} : & (x \subseteq 1 \wedge (\neg \neg 0 \in x \rightarrow 0 \in x)) \vee \\ & (\neg \neg x = 2 \wedge \forall y \in x (y = 0 \rightarrow 1 \in x) \wedge \exists y, z \in x (\neg y = z)) \}. \end{aligned}$$

Not an inner model!

A more important recent result proved through a realisability model is

Theorem (Matthews & Rathjen, 2024)

$\text{CZF} \not\vdash L \models \text{CZF}$.

More specifically, it is shown that even $\text{CZF}(\mathcal{P})$ does not prove that L satisfies the axiom of Exponentiation, a consequence of Subset Collection. Namely, it is shown that

Proposition

$\text{CZF}(\mathcal{P}) \not\vdash L \models \text{the set of all functions from } \omega \text{ to } \omega \text{ exists}$.

E_\wp -recursive functions

We use the definition of a PCA consisting of (class) functions acting on all sets, as given in Rathjen [8]. There we have ω as a constant and additional distinguished combinators:

$$\begin{aligned}\pi xy &\simeq \{x, y\}, & \nu x &\simeq \bigcup x, \\ \gamma xy &\simeq x \cap \bigcap y, & \rho xy &\simeq \{xu : u \in y\}, \\ i_1 xyz &\simeq \{u \in x : y \in z\}, \\ i_2 xyz &\simeq \{u \in x : u \in y \rightarrow u \in z\}, \\ i_3 xyz &\simeq \{u \in x : u \in y \rightarrow z \in u\}, \\ \wp x &\simeq \mathcal{P}(x).\end{aligned}$$

Weakened-realisaibility-with-truth of CZF(\mathcal{P})

The names for this realisability model are just arbitrary sets themselves.

Weakened realisability: we are allowed to produce a (non-empty) set of realisers without actually computing a specific inhabitant.

$$a \Vdash \varphi \vee \psi \quad \Leftrightarrow \quad a \neq \emptyset \wedge \forall e \in a ((\mathbf{p}_0 e \downarrow = 0 \wedge \mathbf{p}_1 e \Vdash \varphi) \vee (\mathbf{p}_0 e \downarrow = 1 \wedge \mathbf{p}_1 e \Vdash \psi)),$$

$$a \Vdash \exists x \in b \varphi(x) \quad \Leftrightarrow \quad a \neq \emptyset \wedge \forall e \in a (\mathbf{p}_0 e \downarrow \in b \wedge \mathbf{p}_1 e \Vdash \varphi(\mathbf{p}_0 e)),$$

$$a \Vdash \exists x \varphi(x) \quad \Leftrightarrow \quad a \neq \emptyset \wedge \forall e \in a \mathbf{p}_1 e \Vdash \varphi(\mathbf{p}_0 e \downarrow).$$

Weakened-realisability-with-truth of $\text{CZF}(\mathcal{P})$

The names for this realisability model are just arbitrary sets themselves.

Realisability *with truth*: any realised formula must simultaneously have a computational realiser AND hold in the meta-theory.

$$\begin{aligned} a \Vdash b \in c &\Leftrightarrow b \in c, \\ a \Vdash \neg \varphi &\Leftrightarrow \neg \varphi \wedge \forall e \, e \nVdash \varphi, \\ a \Vdash \varphi \rightarrow \psi &\Leftrightarrow (\varphi \rightarrow \psi) \wedge \forall f (f \Vdash \varphi \rightarrow af \Vdash \psi). \end{aligned}$$

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Proposition (Rathjen, 2012)

For any formula φ , $\text{CZF}(\mathcal{P}) \vdash (\exists a \, a \Vdash_{\text{wt}} \varphi) \rightarrow \varphi$.

Computational content

Theorem (Rathjen, 2012)

For any formula $\varphi(x_1, \dots, x_n)$ (with all free variables listed), if $\text{CZF}(\mathcal{P}) \vdash \varphi$, then one can effectively construct the index of an E_φ -recursive function f such that

$$\text{CZF}(\mathcal{P}) \vdash \forall a_1, \dots, a_n \, fa_1 \cdots a_n \Vdash_{\text{wt}} \varphi(a_1, \dots, a_n).$$

Proof of $\text{CZF}(\mathcal{P}) \not\vdash L \models \text{Exponentiation}$

Suppose that

$$\text{CZF}(\mathcal{P}) \vdash \exists \alpha \in \text{Ord} \exists x \in L_\alpha \forall f : \omega \rightarrow \omega (f \in L \rightarrow f \in x).$$

We use the previous theorems to convert into realisability and back into truth, which means we can find an E_φ -recursive term t that computes to a set of ordinals α satisfying the condition above.

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Now, one key result in the 2012 paper, Rathjen [8], (proved using a variant of this realisability model) is that

Proposition

$\text{CZF}(\mathcal{P})$ is $\Pi_2^{\mathcal{P}}$ -conservative over $\text{IKP}(\mathcal{P})$.

Proof of $\text{CZF}(\mathcal{P}) \not\vdash L \models \text{Exponentiation}$

Using this conservativity, $\text{IKP}(\mathcal{P})$ already proves that the E_σ -recursive term t evaluates to a set. By Cook & Rathjen's relativised ordinal analysis of $\text{IKP}(\mathcal{P})$ [3], this set additionally lies in V_σ for some recursive ordinal $\sigma < \text{BH}$. In other words,

$$\text{CZF}(\mathcal{P}) \vdash \exists \alpha \in V_\sigma \cap \text{Ord} \, \forall f : \omega \rightarrow \omega (f \in L_\sigma \rightarrow f \in L_\alpha).$$

This sentence is $\Sigma_1^{\mathcal{P}}$, so by conservativity again, it is also provable in $\text{IKP}(\mathcal{P})$ and thus $\text{KP}(\mathcal{P})$. So α is a gap ordinal, but classically, the smallest gap ordinal is much larger than BH , as a result by Leeds & Putnam [4]. A contradiction.

Relativised ordinal analysis

The key step in the preceding proof is the relativised ordinal analysis (first used on the classical theory $KP(\mathcal{P})$ in Rathjen [10]), which essentially implies that $IKP(\mathcal{P})$ (and $KP(\mathcal{P})$) cannot prove the existence of ordinals beyond BH .

In [11], this is applied to show that

Theorem (Rathjen, 2020)

$KP(\mathcal{P}) + V = L$ is much stronger than $KP(\mathcal{P})$.

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Question

Is there a similar proof that $CZF + V = L$ is much stronger than CZF ?

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The answer is *no*.

Theorem (W.)

$\text{CZF} + V = L$ is *equi-consistent* with CZF.

The $V = L$ model

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The answer is *no*.

Theorem (W.)

$\text{CZF} + V = L$ is *equi-consistent* with CZF.

We shall sketch an interpretation

$$\text{CZF} + V = L \hookrightarrow \text{ML}_1 V^X \hookrightarrow \text{BI} \equiv_{\text{Con}} \text{CZF}.$$

The type theory ML_1V^X

We have the following types:

1. finite types \bar{n} for each $n \in \mathbb{N}$,
2. the type $\bar{\mathbb{N}}$ of natural numbers,
3. an arbitrary type \bar{X} , given by a set $X \subseteq \mathbb{N}$ in the interpretation $ML_1V^X \hookrightarrow BI$,
4. dependent Σ and Π types,
5. one universe U , closed under the type constructions above,
6. a single W -type denoted V , with the following constructor:

$$\frac{\Gamma \vdash A : U, f : A \rightarrow V}{\Gamma \vdash \text{sup}(A, f) : V}$$

Interpretations

The interpretation $\text{CZF} \hookrightarrow \text{ML}_1V$ introduced by Aczel [1] is essentially a realisability model: the names are terms of type V ; the notion of computation is given by corresponding function types.

The interpretation $\text{ML}_1V \hookrightarrow \text{BI}$ (which, combined with the above, gives an formal realisability model $\text{CZF} \hookrightarrow \text{BI}$ over the PCA of Turing machines) is then set-up in Rathjen [9].

Subcountability

A crucial feature of the interpretation $ML_1V \hookrightarrow BI$ is that every type A is interpreted by a subset of \mathbb{N} . This means that the realisability model realises the following set-theoretic axiom:

Subcountability: $\forall x \exists y \subseteq \omega \exists f : y \rightarrow x$ surjection.

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Corollary (CZF + Subcountability)

If every $x \subseteq \omega$ lies in L , then $V = L$.

Proof.

W.l.o.g. consider some transitive $x \in V$. Then $(x, \in) \cong (U, E)$ where $U \subseteq \mathbb{N}$, $E \subseteq \mathbb{N} \times \mathbb{N}$. Now, $U, E \in L$ by assumption, so we can reconstruct x . □

Setting-up for realising $\mathcal{P}(\omega) \subseteq L$

In [5], Lubarsky shows that $\text{CZF} \vdash \forall n \in \omega \ n = L_n \cap \text{Ord}$. It follows:

Lemma

If $\alpha \in \mathcal{P}(\omega) \cap \text{Ord}$, then

$$\alpha = \bigcup_{n \in \alpha} n^+ = \bigcup_{n \in \alpha} \text{def}(L_n) \cap \text{Ord} = L_\alpha \cap \text{Ord}.$$

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Fix $\alpha_0 \in \mathcal{P}(\omega) \cap \text{Ord}$, we can extract $f_0 : \omega \rightarrow \mathcal{P}(\omega) \cap \text{Ord}$ given by

$$f_0(i) = \{n \in \omega : \forall k \leq n \ \pi(i, k) \in \alpha_0\} \in L,$$

where $\pi : \mathbb{N} \times \mathbb{N} \rightarrow \mathbb{N}$ is some (recursive) pairing bijection.

Incomparable ordinals

We say that $f : \omega \rightarrow \mathcal{P}(\omega) \cap \text{Ord}$ is *pairwise incomparable* iff (intuitively) for any $i \neq j \in \omega$, $f(i)$ and $f(j)$ are not subsets of each other. Formally, we want

$$\forall i, j \in \omega (f(i) \subseteq f(j) \rightarrow i = j).$$

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Proposition

If aforementioned $f_0 \in L$ is pairwise incomparable, then $\mathcal{P}(\omega) \subseteq L$.

Proof.

For any $x \subseteq \omega$, we take $\sigma = \bigcup_{n \in x} \text{def}(L_{f_0(n)}) \cap \text{Ord} \in L$ and verify

$$x = \{n \in \omega : L_\eta \models f_0(n) \in \sigma\} \in L$$

for some large enough $\eta \in \text{Ord}$.

A priority argument

A ordinal $\alpha \subseteq \omega$ in the realisability model can be (roughly) given by the name $\sup(A, f)$ where A is a type (i.e. a subset of \mathbb{N} in the meta-theory) and $f : A \rightarrow \mathbb{N}$ is a recursive bijection. $\omega \not\subseteq \alpha$ is realised iff the inverse of f is not recursive.

More generally, names $\alpha = \sup(A, f)$ and $\beta = \sup(B, g)$ are both not subsets of each other iff both $g^{-1} \circ f$ and $f^{-1} \circ g$ are not recursive.

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A ordinal $\alpha \subseteq \omega$ in the realisability model can be (roughly) given by the name $\sup(A, f)$ where A is a type (i.e. a subset of \mathbb{N} in the meta-theory) and $f : A \rightarrow \mathbb{N}$ is a recursive bijection. $\omega \not\subseteq \alpha$ is realised iff the inverse of f is not recursive.

More generally, names $\alpha = \sup(A, f)$ and $\beta = \sup(B, g)$ are both not subsets of each other iff both $g^{-1} \circ f$ and $f^{-1} \circ g$ are not recursive.

Thus, to get the f_0 we need, we want the distinguished type \overline{X} in our $\text{ML}_1 V^X$ to interpret some $X \subseteq \mathbb{N}$ satisfying

$\mathcal{R}_{i,j,f}$: there exists $m \in \mathbb{N}$ such that if we input the first $\pi(i, m)$ elements of X to the Turing machine Φ_f , it does not compute the first $\pi(j, m)$ elements of X

for all $i, j, f \in \mathbb{N}$.

A priority argument

$\mathcal{R}_{i,j,f}$: *there exists $m \in \mathbb{N}$ such that if we input the first $\pi(i, m)$ elements of X to the Turing machine Φ_f , it does not compute the first $\pi(j, m)$ elements of X*

But this is possible so long as for any $i, j \in \mathbb{N}$, there are arbitrarily large numbers m such that $\pi(i, m) < \pi(j, m)$. Then we just use arithmetic recursion to construct the set X .

We just need to pick an appropriate pairing function. For example,

$$\pi(a, b) = \begin{cases} \max\{a, b\} \cdot (\max\{a, b\} + 1) - a + b & \text{if } \max\{a, b\} \text{ is even,} \\ \max\{a, b\} \cdot (\max\{a, b\} + 1) + a - b & \text{otherwise;} \end{cases}$$

Finally,

Combining all these constructions, we have a realisability model

$$\text{CZF} + \text{Subcountability} + V = L \hookrightarrow \text{BI} \equiv_{\text{Con}} \text{CZF}.$$

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Open Question

What about $\text{CZF}(\mathcal{P})$? Is $\text{CZF}(\mathcal{P}) + V = L$ equi-consistent with $\text{CZF}(\mathcal{P})$ or stronger?

Open Question

It is even harder to construct non-classical models of $V \neq L$.

Ultimately, can we violate $\text{Ord} \subseteq L$?

Thank you!

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