

Constructive Algebra

Daniel Wessel, Università di Verona, Dip.to di Informatica

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github.com/danielwessel/pc18

Introduction

“Reunion of broken parts”

- Kronecker vs. Dedekind: advent of ideal theory
- Passing from potential to actual infinity
- Rise of modern algebra
- Topology enters, Grothendieck revolutionizes
- Development of point-free methods
- Call for a revised Hilbert programme in abstract algebra

Varieties of constructive algebra

- Operative mathematics (Lorenzen)
- Bishop-style constructive algebra (Mines, Richman, Ruitenburg)
- Topos-valid algebra (Wraith, Banaschewski, Johnstone, ...)
- Dynamical algebra (Lombardi, Roy, Coste, Yengui, ...)
- Integrated development in type theory (Coquand, Persson)
- Formal topology \bowtie comm. algebra (Coquand, Schuster, ...)

“What would have happened if topologies without points had been discovered before topologies with points, or if Grothendieck had known the theory of distributive lattices?”

G.-C. Rota
Indiscrete Thoughts

Key instruments

“What would have happened if topologies without points had been discovered before topologies with points, or if Grothendieck had known the theory of distributive lattices?”

G.-C. Rota

Indiscrete Thoughts

Modern constructive algebra makes extensive use of **lattice theory** (sometimes in disguise).

Important example

Constructive Krull dimension (Joyal, Lombardi)

“When we say that we have a constructive version of an abstract algebraic theorem, this means that we have a theorem the proof of which is constructive, which has a clear computational content, and from which we can recover the usual version of the abstract theorem by an immediate application of a well classified non-constructive principle.”

T. Coquand and H. Lombardi

Hidden constructions in abstract algebra

- Preliminaries
- Examples and counterexamples
- Constructive proofs from ideal objects
- Entailment relations
- Around Hilbert's 17th problem
- Abstract ideal theory in commutative rings
- Injective modules and Baer's criterion (w.i.p.)

- Ray Mines, Fred Richman, and Wim Ruitenburg. *A Course in Constructive Algebra*. Universitext. New York: Springer-Verlag, 1988
- Harold M. Edwards. *Essays in Constructive Mathematics*. New York: Springer, 2005
- Henri Lombardi and Claude Quitté. *Commutative Algebra: Constructive Methods. Finite Projective Modules*. Dordrecht: Springer Netherlands, 2015
- Ihsen Yengui. *Constructive commutative algebra. Projective modules over polynomial rings and dynamical Gröbner bases*. Vol. 2138. Lecture Notes in Mathematics. Cham: Springer, 2015

Rudiments of ring theory

Basic notions

We work in constructive set theory **CZF**.

A set S is said to be **discrete** if

$$\forall x, y \in S (x = y \vee x \neq y)$$

A subset T of S is **detachable** if

$$\forall x \in S (x \in T \vee x \notin T)$$

$\text{Fin}(S)$ consists of the **finitely enumerable** subsets of S , i.e.,
 $U \in \text{Fin}(S)$ iff

$$\exists n \in \mathbb{N} \exists f (f : \{1, \dots, n\} \twoheadrightarrow U)$$

Caveat: subsets of f.e. sets need not be f.e.!

Basic notions

Throughout, let \mathbf{R} be a commutative ring with 1.
We will incur only few and basic concepts.

\mathbf{R} is **integral** if, for all $a \in \mathbf{R}$,

$$a = 0 \vee \forall b \in \mathbf{R} (ab = 0 \rightarrow b = 0)$$

\mathbf{R} is a **discrete field** if, for all $a \in \mathbf{R}$,

$$a = 0 \vee \exists b \in \mathbf{R} (ab = 1)$$

E.g., the trivial ring is a discrete field!

A discrete field \mathbf{R} is a discrete set iff $1 =_{\mathbf{R}} 0$ is decidable.

Basic notions

Recall that an **ideal** I of \mathbf{R} is an additive subgroup s.t. $R I \subseteq I$.

If $U \in \text{Pow}(\mathbf{R})$, then $\langle U \rangle$ denotes the ideal **generated** by U .

An ideal I is **prime** if, for all $a, b \in \mathbf{R}$,

$$ab \in I \rightarrow a \in I \vee b \in I$$

and **maximal** if, for all $a \in \mathbf{R}$,

$$a \in I \vee \exists b \in \mathbf{R} (1 - ab \in I)$$

Every maximal ideal is prime.

I is maximal iff the quotient ring R/I is a discrete field.

Basic notions

Let I be an ideal of \mathbf{R} .

The **radical** of I is

$$\sqrt{I} = \{ a \in \mathbf{R} : \exists n \in \mathbb{N} (a^n \in I) \}$$

The **Jacobson radical** of I is

$$\begin{aligned} \text{Jac}(I) &= \{ a \in \mathbf{R} : \forall b \exists c (1 - (1 - ab)c \in I) \} \\ &= \{ a \in \mathbf{R} : \forall b (1 \in \langle a, b \rangle \rightarrow 1 \in \langle I, b \rangle) \} \end{aligned}$$

Note that

$$\sqrt{I} \subseteq \text{Jac}(I)$$

Ideals can be captured by **inductive definitions**:

$$\frac{\emptyset}{0} \quad \frac{\{a, b\}}{a + b} \quad a, b \in \mathbf{R} \quad \frac{\{a\}}{ab} \quad a, b \in \mathbf{R}$$

Prime ideals appear as **non-deterministic** inductive definitions:

$$\frac{\emptyset}{\{0\}} \quad \frac{\{a, b\}}{\{a + b\}} \quad \frac{\{a\}}{\{ab\}} \quad \frac{\{ab\}}{\{a, b\}} \quad \frac{\{1\}}{\emptyset}$$

N.B. Under SGA the class $\text{Spec}(\mathbf{R})$ of primes is **set-generated**; the class of minimal primes is a set, cf. [Ber13; IN16].

Limitations

LPO

For every binary sequence $(a_i)_{i \in \mathbb{N}}$ either

- (a) there exists n such that $a_n = 1$, or
- (b) $a_n = 0$ for every n .

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Ideals of \mathbb{Z} need not be principal

Let $(a_i)_{i \in \mathbb{N}}$ be a binary sequence.

Consider the generated ideal

$$I = \langle \{ a_i : i \in \mathbb{N} \} \rangle \subseteq \mathbb{Z}$$

Suppose that I has a single generator ...

Free modules need not be projective [MRR88, Ex. II.4.10]

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Let $(a_i)_{i \in \mathbb{N}}$ be a binary sequence.

Let $I = \{0, 1\} / R$, where $xRy \equiv (x = y) \vee \exists n (a_n = 1)$.

Let $\mathbf{R} = \mathbb{Z}/2\mathbb{Z}$.

$$\begin{array}{ccc} & & \mathbf{R}^2 \\ & \nearrow f & \downarrow e \\ \mathbf{R}^{(I)} & \xrightarrow{\text{id}} & \mathbf{R}^{(I)} \end{array}$$

Suppose that $\mathbf{R}^{(I)}$ is projective, and that $ef = \text{id}$.

However, \mathbf{R}^2 is discrete ...

LLPO

For every binary sequence $(a_i)_{i \in \mathbb{N}}$ that contains at most one 1, either

- (a) $a_n = 0$ for all odd n , or
- (b) $a_n = 0$ for all even n .

LLPO

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Counterexamples

The zero ideal is not prime in \mathbb{R} .

Splitting fields need not be unique [BR87, Thm. 4.6].

“Summands need not be summands” [MRR88, Ex. II.4.6].

The Upside Down

Theorem*

Let \mathbf{R} be non-trivial. If $\varphi : \mathbf{R}^m \rightarrow \mathbf{R}^n$ is surjective, then $m \geq n$.

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Proof.

Let \mathfrak{m} be a maximal ideal of \mathbf{R} , and consider the field $k = \mathbf{R}/\mathfrak{m}$.

Tensoring yields an epimorphism of k -vector spaces

$$\mathrm{id}_k \otimes \varphi : \underbrace{k \otimes_{\mathbf{R}} \mathbf{R}^m}_{\cong k^m} \rightarrow \underbrace{k \otimes_{\mathbf{R}} \mathbf{R}^n}_{\cong k^n}$$

which implies $m \geq n$ (Steinitz exchange). □

Theorem (Richman [Ric88])

If $\varphi : \mathbf{R}^m \rightarrow \mathbf{R}^n$ is surjective, and $m < n$, then \mathbf{R} is trivial.

Invariance of rank, constructively

Theorem (Richman [Ric88])

If $\varphi : \mathbf{R}^m \rightarrow \mathbf{R}^n$ is surjective, and $m < n$, then \mathbf{R} is trivial.

Proof.

There is $\psi : \mathbf{R}^n \rightarrow \mathbf{R}^m$ such that $\varphi \circ \psi = \text{id}_{\mathbf{R}^n}$.

Extend φ to $\mathbf{R}^n = \mathbf{R}^m \oplus \mathbf{R}^{n-m}$ by setting $\varphi(\mathbf{R}^{n-m}) = 0$.

View ψ as a map into \mathbf{R}^n .

If $A, B \in \text{Mat}_n(\mathbf{R})$ are the matrices of φ and ψ , resp., then

$$1 = \det I_n = \det AB = (\det A)(\det B) = (\det A) \cdot 0 = 0 \quad \square$$

Theorem*

Let $J \subseteq \bigcap \text{Max}(\mathbf{R})$ be an ideal, and let M be a finitely generated \mathbf{R} -module. If $JM = M$, then $M = 0$.

Nakayama's lemma

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Let $J \subseteq \bigcap \text{Max}(\mathbf{R})$ be an ideal, and let M be a finitely generated \mathbf{R} -module. If $JM = M$, then $M = 0$.

Proof sketch [Eis04].

- (i) Show first that there is $a \in J$ for which $(1 - a)M = 0$.
(Corollary to Cayley-Hamilton)
- (ii) Every (proper) maximal ideal avoids $1 - a$ which thus is a unit. It follows that $M = 0$. □

Nakayama's lemma, constructively

Solution: observe that (classically)

$$\bigcap \text{Max}(\mathbf{R}) = \text{Jac}(\mathbf{R})$$

and substitute the former for the latter.

Nakayama's lemma, constructively

Solution: observe that (classically)

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Theorem

Let $J \subseteq \text{Jac}(\mathbf{R})$ be an ideal, and let M be a finitely generated \mathbf{R} -module. If $JM = M$, then $M = 0$.

Proof.

Step (i) above holds constructively [LQ15].

Now we know that $1 - a$ is a unit since $a \in \text{Jac}(\mathbf{R})$. □

**Computational content from ideal elements:
Gauß' Lemma and nilpotent coefficients**

Theorem (Gauß' Lemma)

Let $f, g \in \mathbf{R}[X]$.

$$c(f)c(g) \subseteq \sqrt{c(fg)}$$

where $c(f)$ is the **content** of f , i.e., the ideal generated by the coefficients of f .

Content of polynomials

Theorem (Gauß' Lemma)

Let $f, g \in \mathbf{R}[X]$.

$$c(f)c(g) \subseteq \sqrt{c(fg)}$$

where $c(f)$ is the **content** of f , i.e., the ideal generated by the coefficients of f .

A classical proof [Eis04].

“It is enough to show that if a prime ideal \mathfrak{p} contains $c(fg)$, then it contains $c(f)c(g)$. Factoring out \mathfrak{p} , we may assume that \mathbf{R} is a domain and \mathfrak{p} is 0, and we must show that if $fg = 0$, then $f = 0$ or $g = 0$. Since R is a now domain, this is obvious.” \square

Example

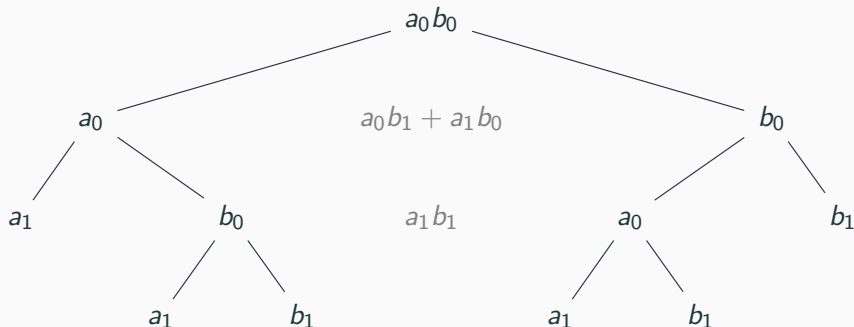
Let $f = a_0 + a_1X$ and $g = b_0 + b_1X$.

Suppose that \mathfrak{p} contains $c(fg) = \langle a_0b_0, a_0b_1 + a_1b_0, a_1b_1 \rangle$.

Example

Let $f = a_0 + a_1X$ and $g = b_0 + b_1X$.

Suppose that \mathfrak{p} contains $c(fg) = \langle a_0b_0, a_0b_1 + a_1b_0, a_1b_1 \rangle$.



So \mathfrak{p} contains $c(f)c(g) = \langle a_0b_0, a_0b_1, a_1b_0, a_1b_1 \rangle$.

Example

Now suppose that

$$c \in c(f)c(g)$$

It is immediate that

$$c \in \langle a_0, a_1 \rangle \cap \langle b_0, b_1 \rangle$$

We want to obtain a witness for

$$c \in \sqrt{\langle a_0 b_0, a_0 b_1 + a_1 b_0, a_1 b_1 \rangle}$$

The tree is an instruction!

For $a \in \mathbf{R}$ and $U \in \text{Fin}(\mathbf{R})$ write

$$U \triangleright a \equiv a \in \sqrt{\langle U \rangle}$$

Entailment

For $a \in \mathbf{R}$ and $U \in \text{Fin}(\mathbf{R})$ write

$$U \triangleright a \equiv a \in \sqrt{\langle U \rangle}$$

This \triangleright is a (single-conclusion) **entailment relation**:

$$\frac{U \ni a}{U \triangleright a} \text{ (R)} \qquad \frac{V \supseteq U \triangleright a}{V \triangleright a} \text{ (M)} \qquad \frac{U \triangleright b \quad V, b \triangleright a}{U, V \triangleright a} \text{ (T)}$$

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N.B. (later)

1. This \triangleright is **inductively generated**.
2. The **models** of \triangleright precisely are the radical ideals of \mathbf{R} .

In addition:

$$\frac{U, a \triangleright c \quad V, b \triangleright c}{U, V, ab \triangleright c} (\pi)$$

Because if

$$c^n = u + ra \quad \text{and} \quad c^m = v + sb$$

for certain $n, m \in \mathbb{N}$, $u \in \langle U \rangle$, $v \in \langle V \rangle$, $r, s \in \mathbf{R}$, then

$$c^{n+m} = uv + sbu + rav + rsab \in \langle U, V, ab \rangle$$

Upside down

Following the left branch bottom-up:

$$\frac{a_0, a_0 b_1 + a_1 b_0 \triangleright a_1 b_0 \quad \frac{a_0, a_1 \triangleright c \quad \frac{a_0, a_1 \triangleright c \quad b_0, b_1 \triangleright c}{a_0, b_0, a_1 b_1 \triangleright c} (\pi)}{a_0, a_1 b_0, a_1 b_1 \triangleright c} (\pi)}{a_0, a_0 b_1 + a_1 b_0, a_1 b_1 \triangleright c} (T)$$

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Following the left branch bottom-up:

$$\frac{a_0, a_0 b_1 + a_1 b_0 \triangleright a_1 b_0 \quad \frac{a_0, a_1 \triangleright c \quad \frac{a_0, a_1 \triangleright c \quad b_0, b_1 \triangleright c}{a_0, b_0, a_1 b_1 \triangleright c} (\pi)}{a_0, a_1 b_0, a_1 b_1 \triangleright c} (\pi)}{a_0, a_0 b_1 + a_1 b_0, a_1 b_1 \triangleright c} (T)$$

Similarly, we obtain

$$b_0, a_0 b_1 + a_1 b_0, a_1 b_1 \triangleright c$$

Together this yields

$$a_0 b_0, a_0 b_1 + a_1 b_0, a_1 b_1 \triangleright c$$

Cf. [BV96] and the course material.

Theorem

If $f = \sum a_i X^i$ is a unit in $\mathbf{R}[X]$, then a_i is nilpotent for $i \geq 1$.

Nilpotent coefficients

Theorem

If $f = \sum a_i X^i$ is a unit in $\mathbf{R}[X]$, then a_i is nilpotent for $i \geq 1$.

A classical proof.

Suppose that $fg = 1$ in $\mathbf{R}[X]$. If \mathbf{R} is a domain, then since

$$\deg(f) + \deg(g) = \deg(fg) = \deg(1) = 0$$

we see that $a_i = 0$ for $i \geq 1$. Thus, reducing modulo a generic prime \mathfrak{p} , we get

$$a_i \in \bigcap \operatorname{Spec}(\mathbf{R}) = \sqrt{0}$$

□

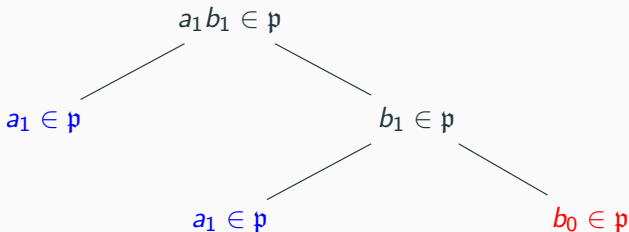
Example

Let $f = a_0 + a_1X$ and $g = b_0 + b_1X$.

Suppose that

$$a_0b_0 = 1 \quad a_0b_1 + a_1b_0 = 0 \quad a_1b_1 = 0$$

Consider a generic (proper) prime ideal \mathfrak{p} .



Upside down

The tree tells us how to infer $a_1 \in \sqrt{0}$:

[illegible]

Simple example:

$$2X + 1 \in \mathbb{Z}/4\mathbb{Z}[X]$$

See the course material for a proper discussion.

Theorem (McAdam, Swan [MS04])

The following are equivalent.

1. \mathbf{R} is reduced and **connected**, i.e., every idempotent is 0 or 1.
2. For all $f, g \in \mathbf{R}[X]$, if fg is monic, then the (formally) leading coefficients of f and g are units.

Again, this can be shown modulo a generic prime ideal.

A constructive argument is hidden in the classical proof!

Cf. [Wes18; Yen03]

Dedekind's Prague theorem

Theorem (Kronecker)

Let $a_0, \dots, a_m, b_0, \dots, b_n$ be indeterminates and let $\mathbf{R} = \mathbb{Z}[a_i, b_j]$.

Put

$$c_k = \sum_{i+j=k} a_i b_j.$$

Then each element $a_i b_j$ is integral over the subring of \mathbf{R} generated by c_0, c_1, \dots, c_{m+n} .

- Direct consequence: **Dedekind's Prague theorem** [Edw90]
- Non-constructive proof is based on **valuations** (Bourbaki)
- Coquand and Persson have used (multi-conclusion) entailment relations [CP01; Coq09]

Conclusion

- Ideal objects like prime ideals and valuation rings can act as **useful fictions**.
- We can systematically keep track of certain identities by means of suitable **entailment relations**.
- The use of maximal ideals can be tackled with a similar **backtracking strategy**:
Ihsen Yengui. “Making the use of maximal ideals constructive.” In: *Theoret. Comput. Sci.* 392 (2008), pp. 174–178

Entailment relations

Entailment relations

Let S be a set, and let $\vdash \subseteq \text{Fin}(S) \times \text{Fin}(S)$.

\vdash is an **entailment relation** if it is reflexive, monotone, and transitive, i.e.,

$$\frac{U \not\sim V}{U \vdash V} \text{ (R)} \quad \frac{U \vdash V}{U, U' \vdash V, V'} \text{ (M)} \quad \frac{U \vdash V, a \quad U', a \vdash V'}{U, U' \vdash V, V'} \text{ (T)}$$

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A **model** of \vdash is a subset α of S which “splits entailments”, i.e.,

$$\frac{\alpha \supseteq U \quad U \vdash V}{\alpha \not\sim V}$$

Let $\text{Spec}(\vdash)$ denote the class of models of \vdash .

Completeness theorem* (Scott)

The following are equivalent.

1. $U \vdash V$
2. $\forall \alpha \in \text{Spec}(\vdash) (U \subseteq \alpha \rightarrow \alpha \not\subseteq V)$

N.B. Completeness implies excluded middle.

CT is classically equivalent to the prime ideal theorem.

Completeness necessitates classical logic

Let ψ be a bounded formula, let $S = \{*\}$ be a singleton set.

$$\{ (S, S), (S, \emptyset) \} \cup \{ (\emptyset, S) : \psi \} \cup \{ (\emptyset, \emptyset) : \psi \}$$

is an entailment relation. Notice that

$$\vdash * \quad \text{iff} \quad \psi$$

Completeness implies

$$\{ a \in S : \forall \alpha \in \text{Spec}(\vdash)(a \in \alpha) \} = \{ a \in S : \psi \}$$

and therefore

$$\psi \quad \text{iff} \quad \text{Spec}(\vdash) = \emptyset$$

The fundamental theorem: constructive semantics

Theorem (Cederquist, Coquand)

Every entailment relation (S, \vdash) generates a distributive lattice L_S with a map $i : S \rightarrow L_S$ such that

$$U \vdash V \quad \text{if and only if} \quad \bigwedge_{a \in U} i(a) \leq \bigvee_{b \in V} i(b)$$

This i is *universal* among interpretations in distributive lattices:

$$\begin{array}{ccc} (S, \vdash) & \xrightarrow{i} & L_S \\ & \searrow \forall f & \downarrow \exists! g \\ & & L \end{array}$$

Example: Support of a ring

Consider the entailment relation of (proper) **prime ideal** of \mathbf{R} .

$$\vdash 0$$

$$a \vdash ab$$

$$a, b \vdash a + b$$

$$ab \vdash a, b$$

$$1 \vdash$$

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Consider the entailment relation of (proper) **prime ideal** of **R**.

$$\vdash 0$$

$$a \vdash ab$$

$$a, b \vdash a + b$$

$$ab \vdash a, b$$

$$1 \vdash$$

$$D(0) = 1$$

$$D(a) \leq D(ab)$$

$$D(a) \wedge D(b) \leq D(a + b)$$

$$D(ab) \leq D(a) \vee D(b)$$

$$D(1) = 0$$

Example: Support of a ring

Consider the entailment relation of (proper) **prime ideal** of **R**.

$\vdash 0$	$D(0) = 1$
$a \vdash ab$	$D(a) \leq D(ab)$
$a, b \vdash a + b$	$D(a) \wedge D(b) \leq D(a + b)$
$ab \vdash a, b$	$D(ab) \leq D(a) \vee D(b)$
$1 \vdash$	$D(1) = 0$

We get Joyal's lattice [Joy75]!

The dual of \vdash yields the **universal support** on **R**.

Vast applicability of entailment relations

- **Constructive algebra**
e.g. dynamical methods (Coste, Lombardi, Roy, ...)
- **Proof theory**
e.g. Szpilrajn's theorem (Negri, von Plato, Coquand)
- **Point-free topology**
e.g. localic Hahn-Banach (Mulvey & Pelletier, Coquand)
- **Theoretical computer science**
e.g. domain theory, resolution (Zhang & Rounds, Coquand)
- **Non-classical logic**
e.g. many-valued logic (Scott)

Working with entailment relations

- Aim: capture and replace algebraic structures and their ideal objects syntactically
- Examples include ring spectra and several function spaces.
- We deal with inductively generated entailment relations.
- The task is to obtain a direct, non-inductive description.
- Often, the key is to understand the finite **inconsistent** subsets.

**From inductive to non-inductive description:
A case study around Hilbert's 17th problem**

Example (Motzkin 1967)

$$\begin{aligned} M(x, y) &= x^4y^2 + x^2y^4 + 1 - 3x^2y^2 \\ &= \frac{x^2y^2(x^2 + y^2 + 1)(x^2 + y^2 - 2)^2 + (x^2 - y^2)^2}{(x^2 + y^2)^2} \end{aligned}$$

But $M(x, y)$ cannot be written as a sum of squares of polynomials.

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But $M(x, y)$ cannot be written as a sum of squares of polynomials.

Hilbert's 17th problem

Suppose that $f \in \mathbb{R}[x_1, \dots, x_n]$ is nonnegative at all points of \mathbb{R}^n .
Is f a finite sum of squares of rational functions?

Artin gave an affirmative answer.

"[Artin's] method was as remarkable as the result. It was perhaps the first triumph of what is sometimes called 'abstract' algebra."

Richard Brauer
Emil Artin

Key observation

The totally positive elements of a field are precisely the sums of squares.

Partially ordered rings

A partial order \leq of a ring \mathbf{R} is **compatible** if, for all $a, b, c \in \mathbf{R}$,

$$a \leq b \rightarrow a + c \leq b + c$$

$$0 \leq a \wedge 0 \leq b \rightarrow 0 \leq ab$$

Classical problems

Determine a linear extension

Describe the totally positive elements

Total orders as ideal elements

Let \mathbf{R} be an **integral ring**, i.e., such that, for all $a \in R$,

$$a = 0 \vee \forall b \in \mathbf{R} (ab = 0 \rightarrow b = 0)$$

Let \vdash be generated by all instances of

$$a, -a \vdash$$

$$a, b \vdash ab$$

$$a, b \vdash a + b$$

$$\vdash a, -a \quad \text{for } a \neq 0$$

Total orders as ideal elements

Given $\alpha \in \text{Spec}(\vdash)$, stipulate

$$a <_{\alpha} b \equiv b - a \in \alpha$$

This yields a compatible **strict** order which is total, i.e.,

$$\forall a, b \in \mathbf{R} (a \neq b \rightarrow a <_{\alpha} b \vee b <_{\alpha} a)$$

Conversely, every such $<$ has a **positive cone**

$$\alpha_{<} = \{ a \in \mathbf{R} : 0 < a \} \in \text{Spec}(\vdash)$$

Proposition

Let $U \in \text{Fin}(\mathbf{R})$. The following are equivalent.

1. $U \vdash$
2. There are $a_0, \dots, a_n \in (U)$ and $x_0, \dots, x_n \in \mathbf{R} \setminus \{0\}$ s.t.

$$\sum_{i=0}^n a_i x_i^2 = 0$$

where (U) is the multiplicative monoid generated by U .

Total orders as ideal elements

Proof sketch.

Abbreviate the second item by $\text{Inc}(U)$.

Show that

- (i) $\text{Inc}(U)$ implies $U \vdash$
- (ii) Inc is monotone, i.e., if $\text{Inc}(U)$ and $U \subseteq V$, then $\text{Inc}(V)$
- (iii)

$$\frac{U \vdash V \quad \forall b \in V \text{ Inc}(W, b)}{\text{Inc}(U, W)}$$

□

Remarks

In (iii) it suffices to consider initial entailments.

This is a general strategy for describing the inconsistent subsets.

Corollary

Let \mathbf{K} be a (non-trivial) discrete field.

The following are equivalent.

1. \vdash **collapses**, i.e., $\emptyset \vdash \emptyset$
2. -1 is a sum of squares

Corollary

Let \mathbf{K} be a (non-trivial) discrete field.

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1. \vdash **collapses**, i.e., $\emptyset \vdash \emptyset$
2. -1 is a sum of squares

Corollary

Let \mathbf{K} be a discrete formally real field and let $0 \neq a \in \mathbf{K}$.

The following are equivalent.

1. a is **totally positive**, i.e., $\vdash a$
2. a is a sum of squares.

Corollary

Let \mathbf{K} be a **factorial field**, and let $f \in \mathbf{K}[X]$ be irreducible and of odd degree. Let \vdash and \vdash_f be the entailment relations of total order of \mathbf{K} and $\mathbf{K}[X]/\langle f \rangle$, respectively.

Then \vdash and \vdash_f **collapse simultaneously**.

Classically, this means that every odd-degree extension of a formally real field is formally real.

Proof.

By induction on the degree of f , following the classical proof. □

- Orderability criteria for groups.
E.g., **Levi's theorem**: “An abelian group is orderable iff it is torsion-free” in terms of collapse.
- Ordered groups and topology.
E.g., **Sikora's theorem**: “The space of compatible orders of \mathbb{Z}^n , where $n > 1$, is a Cantor space” by Stone duality.
- **Extendability** criteria for partial orders.
E.g., Serre's theorem on extension of partial orders of fields.
- **Archimedean** property requires geometric sequents!

Generalized entailment relations

Generalized entailment relations

Let S be a set, and let $\vdash \subseteq \text{Fin}(S) \times \text{Pow}(S)$.

\vdash is a **generalized entailment relation** if it is reflexive, monotone

$$\frac{U \not\leq V}{U \vdash V} \text{ (R)} \qquad \frac{U \vdash V}{U, U' \vdash V} \text{ (M)}$$

and transitive

$$\frac{U \vdash V \quad \forall b \in V (U', b \vdash W)}{U, U' \vdash W} \text{ (T)}$$

Inductively generated entailment relations

An **axiom set** for \vdash is given by a set-indexed family $(U_i, V_i)_{i \in I}$ of initial entailments.

Proposition (Cut elimination)

The relation \vdash defined inductively by

$$\frac{U \wp V}{U \vdash V} \text{ (R)} \qquad \frac{\forall b \in V_i (U, b \vdash W)}{U, U_i \vdash W} \text{ (T}_i\text{)}$$

is the least entailment relation to contain $(U_i, V_i)_{i \in I}$.

Example: discrete fields

Let \mathbf{R} be a commutative ring with 1.

Consider on \mathbf{R} the entailment relation generated by

$$\begin{aligned} &\vdash 0 \\ &a \vdash ab \\ &a, b \vdash a + b \\ &\vdash a, \{ 1 - ab : b \in \mathbf{R} \} \end{aligned} \tag{f}$$

Axiom (f) captures the geometric sequent of **discrete field**:

$$\top \vdash x = 0 \text{ **op** } \exists y (xy = 1)$$

Geometric axioms can be used within **dynamical proofs** [CLR01].

Example: discrete fields

A discrete field is **without zerodivisors**, i.e.,

$$ab \vdash a, b$$

Indeed, for every $x \in \mathbf{R}$ notice that

$$ab, 1 - ax \vdash b$$

is witnessed by $xab + b(1 - ax) = b$. Now apply (T) with (f).

Notice the special case of **reducedness**, i.e.,

$$a^2 \vdash a$$

Semantics, again

\vdash is **complete** if, for all $(U, V) \in \text{Fin}(S) \times \text{Pow}(S)$,

$$\forall \alpha \in \text{Spec}(\vdash) (U \subseteq \alpha \rightarrow \alpha \not\subseteq V) \text{ implies } U \vdash V.$$

Semantics, again

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$$\forall \alpha \in \text{Spec}(\vdash) (U \subseteq \alpha \rightarrow \alpha \not\subseteq V) \text{ implies } U \vdash V.$$

Proposition*

1. Countably generated entailment relations are complete.
2. An entailment relation \vdash is complete if

$$\frac{U \vdash V \quad \forall b \in V \text{ Fin}(W, b) \not\subseteq \text{Inc}}{\text{Fin}(U, W) \not\subseteq \text{Inc}} \quad (\text{P})$$

where $W \in \text{Pow}(S)$ and $\text{Inc} = \{ U \in \text{Fin}(S) : U \vdash \}$.

3. Every conventional entailment relation is complete.

Interpretation

An **interpretation**

$$i : (S, \vdash) \rightarrow (S', \vdash')$$

of entailment relations is given by a function $i : S \rightarrow S'$ such that

$$U \vdash V \quad \text{implies} \quad i(U) \vdash' i(V)$$

An interpretation is **conservative** if

$$i(U) \vdash' i(V) \quad \text{implies} \quad U \vdash V$$

and **weakly conservative** if

$$i(U) \vdash' \quad \text{implies} \quad U \vdash$$

Every interpretation $i : (S, \vdash) \rightarrow (S', \vdash')$ induces a mapping of model classes:

$$i^{-1} : \text{Spec}(\vdash') \rightarrow \text{Spec}(\vdash), \quad \beta \mapsto i^{-1}(\beta)$$

Every interpretation $i : (S, \vdash) \rightarrow (S', \vdash')$ induces a mapping of model classes:

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Proposition* (“Lying over”)

Suppose that \vdash is complete and \vdash' satisfies (P).

The following are equivalent.

1. i is weakly conservative.
2. $\forall \alpha \in \text{Spec}(\vdash) \exists \beta \in \text{Spec}(\vdash') (\alpha \subseteq i^{-1}(\beta)).$

Digression: formal spaces

Formal spaces from entailment relations

Let \vdash be inductively generated by $(U_i, V_i)_{i \in I}$.

Consider

$$C : \text{Fin}(S) \rightarrow \text{Pow}(\text{Pow}(\text{Fin}(S)))$$

$$U \mapsto \bigcup_{i \in I} \{ \{ U \cup \{ b \} : b \in V_i \} : U_i \subseteq U \}$$

Formal spaces from entailment relations

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Consider

$$C : \text{Fin}(S) \rightarrow \text{Pow}(\text{Pow}(\text{Fin}(S)))$$
$$U \mapsto \bigcup_{i \in I} \{ \{ U \cup \{ b \} : b \in V_i \} : U_i \subseteq U \}$$

$(\text{Fin}(S), \supseteq, C)$ is a **covering system**, i.e.,

for every $U \in \text{Fin}(S)$ and $X \in C(U)$,

1. $X \subseteq \downarrow \{ U \}$
2. if $U' \supseteq U$, then there is $Y \in C(U')$ such that $Y \subseteq \downarrow X$.

Formal spaces from entailment relations

C gives way to an inductive definition:

$$\Phi = \{ (X, U) : U \in \text{Fin}(S) \text{ and } X \in C(U) \},$$

and, for $\mathcal{U} \in \text{Pow}(\text{Fin}(S))$, we put

$$\mathcal{AU} = I(\Phi, \downarrow \mathcal{U}).$$

Formal spaces from entailment relations

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and, for $\mathcal{U} \in \text{Pow}(\text{Fin}(S))$, we put

$$\mathcal{AU} = I(\Phi, \downarrow \mathcal{U}).$$

The operator \mathcal{A} has the following properties:

1. $\downarrow \mathcal{AU} \subseteq \mathcal{AU}$
2. $\mathcal{U} \subseteq \mathcal{AV}$ implies $\mathcal{AU} \subseteq \mathcal{AV}$
3. $\mathcal{AU} \cap \mathcal{AV} \subseteq \mathcal{A}(\mathcal{U} \downarrow \mathcal{V})$

Formal spaces from entailment relations

A subset $\mathcal{U} \subseteq \text{Fin}(S)$ is \mathcal{A} -**saturated** if $\mathcal{U} = \mathcal{A}\mathcal{U}$.

The class $\text{Sat}(\mathcal{A})$ of all \mathcal{A} -saturated subsets of $\text{Fin}(S)$ is a **set-generated frame**, where

1. $\mathcal{A}\mathcal{U} \wedge \mathcal{A}\mathcal{V} = \mathcal{A}(\mathcal{U} \downarrow \mathcal{V})$
2. $\bigvee_{i \in I} \mathcal{A}\mathcal{U}_i = \mathcal{A}(\bigcup_{i \in I} \mathcal{U}_i)$

A set of generators is given by

$$\{ \mathcal{A}\{U\} : U \in \text{Fin}(S) \}$$

Formal spaces from entailment relations

Theorem (CZF⁺)

Let \vdash be an inductively generated generalized entailment relation. There is a set-generated frame F together with a map $i : S \rightarrow F$ such that

$$U \vdash V \quad \text{if and only if} \quad \bigwedge_{a \in U} i(a) \leq \bigvee_{b \in V} i(b)$$

This i is universal among interpretations in frames:

$$\begin{array}{ccc} (S, \vdash) & \xrightarrow{i} & F \\ & \searrow \forall f & \downarrow \exists ! f' \\ & & F' \end{array}$$

Completely prime filters

Let $i : (S, \vdash) \rightarrow F$ be the universal interpretation.

1. If \mathfrak{p} is a completely prime filter of F , then

$$i^{-1}(\mathfrak{p}) \in \text{Spec}(\vdash).$$

2. If $\alpha \in \text{Spec}(\vdash)$, then

$$\mathfrak{p}_\alpha = \left\{ x \in F : \exists U \in \text{Fin}(\alpha) \bigwedge i(U) \leq x \right\}$$

is a completely prime filter such that $\alpha = i^{-1}(\mathfrak{p}_\alpha)$.

Cf. Thierry Coquand and Guo-Qiang Zhang. “Sequents, Frames, and Completeness”. In: *Computer Science Logic. 14th International Workshop, CSL 2000 Annual Conference of the EACSL*. ed. by Helmut Schwichtenberg and Peter G. Clote.

Proper, prime, and maximal ideals

Let \mathbf{R} be a commutative ring with 1.

The entailment relation \vdash of **proper ideal** of \mathbf{R} is generated by:

$$\vdash 0$$

$$a \vdash ab$$

$$a, b \vdash a + b$$

$$1 \vdash$$

On top of \vdash we can put axioms for **primality**

$$ab \vdash_p a, b$$

and **maximality**

$$\vdash_m a, \{ 1 - ab : b \in \mathbf{R} \}$$

Proposition

The following are equivalent.

1. $U \vdash_{\mathfrak{m}} a_1, \dots, a_k$
2. $a_1 \cdots a_k \in \text{Jac}(\langle U \rangle)$

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Proposition (Constructive PIT and Krull)

The inclusions

$$(\mathbf{R}, \vdash) \hookrightarrow (\mathbf{R}, \vdash_{\mathfrak{p}}) \hookrightarrow (\mathbf{R}, \vdash_{\mathfrak{m}})$$

are weakly conservative.

Proposition

If \mathbf{R} is discrete and non-trivial, then the following are equivalent.

1. $(\mathbf{R}, \vdash) \hookrightarrow (\mathbf{R}, \vdash_p)$ is conservative.
2. \mathbf{R} is a field.

Proposition

If \mathbf{R} is discrete and non-trivial, then the following are equivalent.

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2. \mathbf{R} is a field.

Proposition

The following are equivalent.

1. $(\mathbf{R}, \vdash_p) \hookrightarrow (\mathbf{R}, \vdash_m)$ is conservative.
2. $\text{Kdim } \mathbf{R} \leq 0$, i.e., $\forall x \in \mathbf{R} \exists n \in \mathbb{N} \exists a \in \mathbf{R} (x^n = ax^{n+1})$.

Primary ideals

The entailment relation $\vdash_{\mathfrak{p}'}$ of **primary ideal** of \mathbf{R} is generated by the axioms of proper ideal together with

$$ab \vdash_{\mathfrak{p}'} a, \{ b^n : n > 0 \}$$

Primary ideals

The entailment relation $\vdash_{\mathfrak{p}'}$ of **primary ideal** of \mathbf{R} is generated by the axioms of proper ideal together with

$$ab \vdash_{\mathfrak{p}'} a, \{ b^n : n > 0 \}$$

Proposition

The following are equivalent.

1. \mathbf{R} is reduced and $(\mathbf{R}, \vdash_{\mathfrak{p}'}) \hookrightarrow (\mathbf{R}, \vdash_{\mathfrak{m}})$ is conservative.
2. \mathbf{R} is **von Neumann regular**, i.e., $\forall a \exists x (a = xa^2)$.

(“If \mathbf{R} is absolutely flat, every primary ideal is maximal” [AM69, Ex. 4.3])

Minimal prime ideals

The entailment relation \vdash of **proper prime filter** of \mathbf{R} is dual to the entailment relation of proper prime ideal:

$$\vdash 1$$

$$ab \vdash a$$

$$a, b \vdash ab$$

$$a + b \vdash a, b$$

$$0 \vdash$$

Minimal prime ideals

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$$\vdash 1$$

$$ab \vdash a$$

$$a, b \vdash ab$$

$$a + b \vdash a, b$$

$$0 \vdash$$

On top of \vdash we can put the axiom for **maximal** filter:

$$\vdash_{\text{m}} a, \text{Ann}(a)$$

where $\text{Ann}(a) = \{ x \in \mathbf{R} : xa = 0 \}$.

Proposition (Coquand, Lombardi [CL06])

Suppose that \mathbf{R} is reduced. The following are equivalent.

1. $a_1, \dots, a_k \vdash_{\mathbf{m}} b_1, \dots, b_\ell$
2. $\text{Ann}(b_1, \dots, b_\ell) \subseteq \text{Ann}(a_1 \cdots a_k)$.

Proposition (Coquand, Lombardi [CL06])

Suppose that \mathbf{R} is reduced. The following are equivalent.

1. $a_1, \dots, a_k \vdash_{\mathbf{m}} b_1, \dots, b_\ell$
2. $\text{Ann}(b_1, \dots, b_\ell) \subseteq \text{Ann}(a_1 \cdots a_k)$.

Proposition

The following are equivalent.

1. \mathbf{R} is von Neumann regular.
2. \mathbf{R} is reduced and $(\mathbf{R}, \vdash) \hookrightarrow (\mathbf{R}, \vdash_{\mathbf{m}})$ is conservative.
3. \mathbf{R} is reduced and every prime ideal of \mathbf{R} is minimal.* [Mat83]

Let L be a distributive lattice.

Let \vdash be the entailment relation of (proper) prime ideal of L ,
let \vdash_m extend \vdash with the axiom of maximality.

Proposition

The following are equivalent.

1. $(L, \vdash) \hookrightarrow (L, \vdash_m)$ is conservative.
2. L is Boolean.

This yields **Nachbin's theorem**:

A distributive lattice is Boolean if and only if
all of its prime ideals are maximal.*Cf. [Bel99]

Towards formal Baer criteria

Injective modules

Let M be an \mathbf{R} -module.

The following are classically equivalent:

1. Given any exact sequence

$$0 \rightarrow A \rightarrow B \rightarrow C \rightarrow 0$$

of \mathbf{R} -modules, the sequence

$$0 \rightarrow \operatorname{Hom}_{\mathbf{R}}(C, M) \rightarrow \operatorname{Hom}_{\mathbf{R}}(B, M) \rightarrow \operatorname{Hom}_{\mathbf{R}}(A, M) \rightarrow 0$$

is exact.

2. M is a direct summand of every extension of itself.

Detecting injective modules

Baer's criterion*

A module is injective iff it is injective w.r.t. inclusions of ideals

$$\begin{array}{ccccc} 0 & \longrightarrow & I & \longrightarrow & R \\ & & \downarrow & \nwarrow & \\ & & M & & \end{array}$$

Detecting injective modules

Baer's criterion*

A module is injective iff it is injective w.r.t. inclusions of ideals

$$\begin{array}{ccccc} 0 & \longrightarrow & I & \longrightarrow & R \\ & & \downarrow & \nwarrow & \\ & & M & & \end{array}$$

Consequences*

Abelian groups are injective (as \mathbb{Z} -modules).

The category of **R**-modules has **enough injectives**.

Stepwise extension

Suppose that M is “ideal-injective” and let $A \subseteq B$.

Given $\varphi : A \rightarrow M$ and $b \in B$, consider the conductor ideal

$$I = \{ r \in \mathbf{R} : rb \in A \}$$

and put

$$\mu : I \rightarrow M \quad r \mapsto \varphi(rb)$$

By assumption, there is

$$\nu : \mathbf{R} \rightarrow M \quad \text{s.t.} \quad \nu|_I = \mu$$

Now define

$$\varphi' : A + \mathbf{R}b \rightarrow M, \quad a + rb \mapsto \varphi(a) + \nu(r)$$

Stepwise extension

To “exhaust” B we need transfinite methods, e.g., Zorn’s lemma.

$$\begin{array}{ccccc} A & \longrightarrow & A + \mathbf{R}b & \dashrightarrow & B \\ & \searrow \varphi & \downarrow \varphi' & \nearrow & \\ & & M & & \end{array}$$

A finite and de-Zornified version lives in the Upside Down!

“Regarding the theorem instead from a logical viewpoint, it is clear that the import of the assertion is that the extension of the theory of functionals on the subspace A to that on the seminormed space B is actually conservative [...]. In other words, no more may be proved about the subspace A in terms of functionals on the seminormed space B than may already be proved by considering only functionals on the subspace A .”

C.J. Mulvey and J. Wick Pelletier

A globalization of the Hahn-Banach theorem

Hom-sets as spectra

Let \vdash on $A \times M$ be generated by all instances of

$$\begin{aligned}(a, m), (a, m') &\vdash & (m \neq m') \\ (a, m), (b, n) &\vdash (ra + sb, rm + sn) \\ &\vdash (0_A, 0_M) \\ &\vdash \{ (a, m) : m \in M \}\end{aligned}$$

Hom-sets as spectra

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$$\begin{aligned}(a, m), (a, m') &\vdash & (m \neq m') \\ (a, m), (b, n) &\vdash (ra + sb, rm + sn) \\ &\vdash (0_A, 0_M) \\ &\vdash \{ (a, m) : m \in M \}\end{aligned}$$

Notice that

$$\text{Spec}(\vdash) = \text{Hom}_{\mathbf{R}}(A, M)$$

Every $\mu \in \text{Hom}_{\mathbf{R}}(A, B)$ induces an interpretation

$$i_\mu : (A \times M, \vdash) \rightarrow (B \times M, \vdash'), \quad (a, m) \rightarrow (\mu(a), m)$$

Proposition

Suppose that \mathbf{K} is a non-trivial discrete field.

Let A, B be \mathbf{K} -vector spaces, and $\mu \in \text{Hom}_{\mathbf{K}}(A, B)$ be injective.

Then i_μ is weakly conservative.

Proposition

Suppose that \mathbf{K} is a non-trivial discrete field.

Let A, B be \mathbf{K} -vector spaces, and $\mu \in \text{Hom}_{\mathbf{K}}(A, B)$ be injective.

Then i_μ is weakly conservative.

Proof sketch.

Show that the following are equivalent:

1. $(a_1, m_1), \dots, (a_k, m_k) \vdash$
2. There are $\lambda_1, \dots, \lambda_k \in \mathbf{K}$ such that

$$\sum_{i=1}^k \lambda_i(a_i, m_i) = (0, 1).$$

□

Proposition*

Let $A, B, M \in \mathbb{Z}\text{-Mod}$, and $\mu \in \text{Hom}_{\mathbb{Z}}(A, B)$ be injective.

If M is divisible, then i_{μ} is weakly conservative.

Proposition*

Let $A, B, M \in \mathbb{Z}\text{-Mod}$, and $\mu \in \text{Hom}_{\mathbb{Z}}(A, B)$ be injective.
If M is divisible, then i_{μ} is weakly conservative.

Proof sketch.

Show that the following are equivalent:

1. $(a_1, m_1), \dots, (a_k, m_k) \vdash$
2. There are $n_1, \dots, n_k \in \mathbb{Z}$ and $0 \neq c \in M$ such that

$$\sum_{i=1}^k n_i(a_i, m_i) = (0, c).$$

□

Proposition*

Suppose that \mathbf{R} is an integral ring.

Let $A, B, M \in \mathbf{R}\text{-Mod}$ and $\mu \in \text{Hom}_{\mathbf{R}}(A, B)$ be injective.

1. If M is torsion-free and divisible, then i_μ is weakly conservative.
2. If \mathbf{R} is a Dedekind ring, and M is divisible, then i_μ is weakly conservative.

In both cases, the classical arguments reapply.

Summary

Summary

- We have made combined use of ideas and principles from proof theory and formal topology.
- Hilbert's programme, i.e., the constructive explanation of ideal objects, works for large parts of abstract algebra.
- Statements involving ideal objects are cases of make-believe—however, often we can do “as if”, and gather computationally relevant information.

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