Computability

Computable Functions, Logic, and the Foundations of Mathematics

3rd edition

Richard L. Epstein

Walter A. Carnielli

Advanced Reasoning Forum

Socorro, New Mexico, USA



COPYRIGHT © 2008 Richard L. Epstein and Walter Carnielli

ALL RIGHTS RESERVED. No part of this work covered by the copyright hereon may be reproduced or used in any form or by any means—graphic, electronic, or mechanical, including photocopying, recording, taping, Web distribution, information storage and retrieval systems, or in any other manner—without the written permission of the authors.

The moral rights of the authors have been asserted.

For more information contact:

Advanced Reasoning Forum
P. O. Box 635
Socorro, NM 87801 USA
<arf@AdvancedReasoningForum.org>



ISBN 978-0-9815507-2-5

Contents

Ι	The FUNDAMENTALS
1	ParadoxesA. Self-Referential Paradoxes3B. Zeno's Paradoxes5Exercises6
2	What Do the Paradoxes Mean? (Optional) A. Philosophy and Mathematics
3	Whole NumbersA. Counting (Ordinal) vs. Quantity (Cardinal)18B. Number is All: $\sqrt{2}$ 19Exercises20
4	Functions A. What Is a Function? 1. Black boxes
	1. The λ -notation242. One-one and onto functions253. Composition of functions26Exercises27
5	ProofsA. What Is a Proof?28B. Induction29C. Proof by Contradiction (Reductio ad Absurdum)31D. Proof by Construction31E. Proof by Counterexample32F. On Existence Proofs32G. The Nature of Proof: Certainty and Existence (Optional)
	From "Mathematical proofs: the genesis of reasonable doubt" by Gina Bari Kolata

	2. The Introduction to <i>Constructive Formalism</i> by R. L. Goodstein					
	(Concluded)	35				
	Exercises	36				
	Infinite Collections?					
	A. How Big Is Infinite?	38				
	B. Enumerability: The Rationals Are Countable	39				
	C. The Reals Are Not Countable	40				
	D. Power Sets and the Set of All Sets	41				
	Exercises	41				
	Hilbert "On the Infinite"					
	(Optional)	44				
	Exercises	58				
ſ	COMPUTABLE FUNCTIONS					
	Computability A. Algorithms	63				
	B. General Criteria for Algorithms					
	1. Mal'cev's criteria, from Algorithms and Recursive Functions	64				
	2. Hermes, from Enumerability, Decidability, Computability	65				
	C. Numbering	68				
	D. Algorithm vs. Algorithmic Function	69				
	E. Approaches to Formalizing Computability	70				
	Exercises	71				
	Turing Machines					
	A. Turing on Computability (Optional)	72				
	B. Descriptions and Examples of Turing Machines	75				
	C. Turing Machines and Functions	78				
	Exercises	83				
	The Most Amazing Fact and Church's Thesis					
	A. The Most Amazing Fact	85				
	B. Emil L. Post on Computability (Optional)	86				
	Primitive Recursive Functions A. Definition by Induction	91				
	B. The Definition of the Primitive Recursive Functions	71				
		02				
	1. Basic (initial) functions	92				
	2. Basic operations	92				
	3. An inductive definition of the class of functions	93				
	1. The constants	93				
		94				

	4. Exponentiation	. 94
	5. Signature and zero test	
	6. Half	. 95
	7. Predecessor and limited subtraction	
	Exercises Part 1	
	D. Other Operations That Are Primitive Recursive	
	1. Addition and multiplication of functions	. 97
	2. Functions defined according to conditions	
	3. Predicates and logical operations	
	4. Bounded minimization	
	5. Existence and universality below a bound	100
	6. Iteration	100
	7. Simultaneously defined functions	100
	8. Course-of-values induction	101
		101
	<i>6</i>	
	F. Numbering the Primitive Recursive Functions	103
	G. Why Primitive Recursive ≠ Computable	104
	Exercises Part 2	104
12	The Grzegorczyk Hierarchy	
	(Optional)	
	A. Hierarchies and Bounded Recursion	107
	B. The Elementary Functions	109
	C. Iterating Iteration: The Ackermann-Péter Function	10)
	1. The functions ψ_m and proof by double induction	110
	2. Dominating the primitive recursive functions $\dots \dots \dots$	111
	3. The Ackermann–Péter function and nested double recursion	111
	D. The Grzegorczyk Hierarchy	114
	Exercises	115
	LACICISCS	113
13	Multiple Recursion	
	(Optional)	
	A. The Multiply Recursive Functions	
	1. Double recursion	117
	2. <i>n</i> -fold recursion	118
	3. Diagonalizing the multiply recursive functions	119
	B. Recursion on Order Types	119
14	The Least Search Operator	
	A. The μ -Operator	122
	B. The min-Operator	122
	C. The μ -Operator Is a Computable Operation	123
15	Poutfal Decumeire Franctions	
13	Partial Recursive Functions	124
	A. The Partial Recursive Functions	124
	B. Diagonalization and the Halting Problem	125
	C. The General Recursive Functions	126

	D. Gödel on Partial Functions			. 126
	Exercises			. 127
16	Numbering the Partial Recursive Functions			
	A. Why and How: The Idea			. 128
	B. Indices for the Partial Recursive Functions			
	C. Algorithmic Classes (Optional)			. 130
	D. The Universal Computation Predicate			
	E. The Normal Form Theorem			. 133
	F. The <i>s-m-n</i> Theorem			
	G. The Fixed Point Theorem			. 135
	Exercises			
17	Listability			
	A. Listability and Recursively Enumerable Sets			. 139
	B. Domains of Partial Recursive Functions			
	C. The Projection Theorem			
	Exercises			
18	•			
	(Optional)			
	A. Partial Recursive Implies Turing Machine Computable			
	B. Turing Machine Computable Implies Partial Recursive			. 146
II	I LOGIC and ARITHMETIC			
19	Propositional Logic			
	A. Hilbert's Program Revisited			. 153
	B. Formal Systems			. 154
	C. Propositional Logic			
	1. The formal language			. 154
	2. Truth and falsity: truth-tables for the connectives			. 155
	3. Validity			. 157
	D. Decidability of Validity			
	1. Checking for validity			. 157
	2. Decidability			
	E. Axiomatizing Propositional Logic			. 161
	F. Proving As a Computable Procedure			. 164
	Appendix (Optional)			
	1. The Unique Readability Theorem			. 165
	2. The Completeness Theorem for Classical Propositional Logic .			. 166
	Exercises			
20	An Overview of First-Order Logic and Gödel's Theorems			. 169
	g	•		/
21	First-Order Arithmetic A. A Formal Language for Arithmetic			. 174
	A. A Politiai Language for Attuinieuc	•	•	. 1/4

		1. Variables	74
		2. Arithmetic functions and terms	74
		3. Numerals in unary notation	75
		4. Quantifiers: existence and universality	75
		5. The formal language	76
		6. The standard interpretation and axiomatizing	17
	B.	Principles of Reasoning and Logical Axioms	
	_,	1. Closed wffs and the rule of generalization	17
		2. The propositional connectives	
		3. Substitution for a variable	
		4. Distributing the universal quantifier	
		5. Equality	
		6. More principles?	
	C	The Axiom System Q) U
	C.	• ~	20
	Ъ	J	
		\exists -Introduction and Properties of $=$: Some Proofs in Q	
		Weakness of System Q	
		Proving As a Computable Procedure	
	Ex	ercises	36
22	Fu	nctions Representable in Formal Arithmetic	
		Dispensing with Primitive Recursion	20
	A.		
		Ş	
	D	2. A characterization of the partial recursive functions	
	В.		
		The Functions Representable in Q Are Recursive	
		Representability of Recursive Predicates	
	Ex	ercises)1
23	Th	e Undecidability of Arithmetic	
4 5		0.7.17.1.11.11	12
		Theories of Arithmetic)_
	Ъ.		12
			-
		3. Axiomatizable theories	
		4. Functions representable in a theory	
	~	5. Undecidable theories	
		Peano Arithmetic (<i>PA</i>) and <i>Arithmetic</i>	
	Exe	ercises)8
24	ТЬ	e Unprovability of Consistency	
_ _	Α.	Self-Reference in Arithmetic: The Liar Paradox	ın
	A. B.	The Unprovability of Consistency	-
		i j	
	EX(ercises	ιð

IV CHURCH'S THESIS, CONSTRUCTIVE MATHEMATICS, and MATHEMATICS AS MODELING

25	Church's Thesis	
	A. History	223
	B. A Definition or a Thesis?	
	1. On definitions	226
	2. Kalmár, from "An argument against the plausibility of Church's Thesis"	227
		228
	* *	229
		230
	C. Arguments For and Against	
		231
	2. Not every recursive function is computable: theoretical vs.	
	· · · · · · · · · · · · · · · · · · ·	232
	1 ,	234
		235
		237
		238
		230
26		239
	A. Intuitionism	
	1. L. E. J. Brouwer, from "Intuitionism and formalism", 1913	240
	2. Modern intuitionism	246
	B. Recursive Analysis	248
	C. Bishop's Constructivism	
	1. Errett Bishop, from Foundations of Constructive Analysis	249
	2. Some definitions from Bishop's program	254
	D. Criticisms of Intuitionism and Bishop's Constructivism	
	1. Paul Bernays on intuitionism	255
	2. Nicolas Goodman, from "Reflections on Bishop's	
	philosophy of mathematics"	256
	E. Strict Finitism	
	1. D. van Dantzig, "Is 10^{10} a finite number?"	260
	2. David Isles, from "Remarks on the notion of standard non-isomorphic	
	natural number series"	263
	Exercises	270
77	26.41 26.13.	
27	Mathematics as Modeling	
	Richard L. Epstein, "On mathematics"	273
CC	OMPUTABILITY and UNDECIDABILITY—A Timeline .	305
יי ת	1. 1	222
		333
Glo	ssary and Index of Notation	347
Ind	ex	349

Preface

Why was the theory of computable functions developed before there were any computers?

The formal theory of computable functions and their relation to logic arose as a response to the ferment in the foundations of mathematics at the beginning of this century. The paradoxes of self-reference and the question of how or even whether we are justified in using infinite sets stood at the center of that development, and those paradoxes are no less interesting, nor settled, now. Along with readings from the originators of the subject, the paradoxes and doubts about the infinite serve to motivate the study of the technical mathematics in this book and place the mathematics in its history.

Some mathematicians may prefer a straight mathematical development; for that Part II, *Computable Functions*, and Part III, *Logic and Arithmetic*, will suffice. In Part II we describe the notion of computability, present the Turing machine model, and then develop the theory of partial recursive functions as far as the Normal Form Theorem. In Part III we begin with propositional logic and give an overview of predicate logic and Gödel's theorems, which can serve as a summary for a short course. A full development of the syntactic part of first-order logic and Gödel's theorems then follows. Part I, *The Fundamentals*, can be referred to for notation and basic proof techniques.

Philosophy, however, has been the motive for much of logic and computability. In Part I we give the philosophical background for discussions about the foundations of mathematics while presenting the notions of whole number, function, proof, and real number. Hilbert's paper "On the infinite" sets the stage for the analysis of computability in Part II. In Part IV we consider the significance of the technical work with discussions of Church's Thesis, constructivity in mathematics, and mathematics as modeling.

Many exercises are included, beginning gently in Part I and progressing to a graduate level in the final chapters. The most difficult ones, marked with a dagger †, may be skipped, although all are intended to be read. Solutions to the exercises can be found in the Instructor's Manual (available from the Advanced Reasoning Forum, www.AdvancedReasoningForum.org), which also contains suggestions for course outlines. Sections marked "Optional" are not essential for the technical development of chapters which follow, although they often provide important motivation.

For the second edition: Beyond the addition of a timeline on computability and undecidability written by Epstein, we have confined our changes almost entirely to technical corrections, adding only two new quotes from Gödel (p. 173 and p. 215). One noteworthy change is the replacement of Fermat's Last Theorem by Goldbach's Conjecture as an example of an unsolved arithmetic problem used in several examples; the former has been shown to be true by Andrew Wiles, "Modular elliptic curves and Fermat's Last Theorem", *Annals of Mathematics*, second series, vol. 141, 1995, pp. 443–551. Where other authors have used Fermat's Last Theorem as an example (Arend Heyting on p. 234, Nicholas Goodman on p. 259), a similar substitution of Goldbach's Conjecture would make the same point.

For the third edition: We have added a chapter that gives a very different view of mathematics than in the other articles in the text, viewing mathematics as modeling and not (necessarily) in need of foundations. It is the view that underlies our presentation of the mathematics in this book.

We have made only minor corrections to the body of the text, retaining the same pagination. A few small corrections have been made to the timeline.

The story we tell leaves no room to include a presentation of the semantics of classical predicate logic. That material is now available in a companion to this volume, Epstein's *Classical Mathematical Logic*, Princeton University Press, 2006.

Acknowledgments

We are grateful to the following organizations for their help in the writing of this book: Victoria University of Wellington for a post-doctoral fellowship for Richard Epstein in 1975–1977, during which the notes for a course on recursive function theory for the Philosophy Department were developed that became the basis for this book; the Fundação de Amparo à Pesquisa do Estado de São Paulo, Brazil, which sponsored our collaboration in Brazil and the United States in 1984–1985; the Fulbright Commission for allowing us to continue that collaboration by awarding a fellowship to Richard L. Epstein to work at the University of Campinas, Brazil, from January to June of 1987; and the Alexander von Humboldt Foundation of the Federal Republic of Germany for awarding a fellowship to Walter A. Carnielli for 1988–1989, during which final revisions were made to the text.

We are especially pleased to have this opportunity to thank the many people who have helped us. Max Dickmann, Justus Diller, Benson Mates, Piergiorgio Odifreddi, A.S. Troelstra, and our students Sandra de Amo, Karl Henderscheid, João Meidanis, and Homero Schneider read and suggested many important improvements to the text. Oswaldo Chateaubriand and Peter Eggenberger cleared up much of our confusion about Church's Thesis. The following persons served as reviewers of the text for the first edition and offered many useful suggestions: Herbert Enderton, F. Golshani, Roger Maddux, Mark Mahowald, Bernard Moret, Fred Richman, Rick Smith, Stephen Thomason, and V.J. Vazirani. Finally, we are indebted to our editor for the first edition, John Kimmel, and production editors Nancy Shammas and Bill Bokermann, and to Peter Adams, our editor for the second edition, through whose patience and persistence this became a better text. To all these, and any others whom we may have inadvertently forgotten, our thanks.

Each author wishes to indicate that any mistakes still left in this text are not due to those above who have so generously helped us, but are due entirely to the other author.

For the third edition: We are grateful to Howard Blair, Carlos Augusto Di Prisco, Ricardo Gazoni, Leon Harkleroad, David Isles, and Carolyn Kernberger for their corrections and suggestions for improving the text. We hope that we have introduced no new errors in correcting the old ones.

Richard L. Epstein is also grateful to the following people whose comments greatly helped in the preparation of the timeline: Irving Anellis, Walter Carnielli, William Craig, Martin Davis, Peter Eggenberger, Rogéria Gaudencio, Ivor Grattan-Guinness, Leon Harkleroad, David Isles, Benson Mates, Gregory Moore, Piergiorgio Odifreddi, Jerzy Perzanowski, Clara Helena Sánchez, Stewart Shapiro, Peter Simons, Stanisław Surma, Lesław Szczerba, Jan Wolenski, Jan Zygmunt.

Publishing Acknowledgments

(Full references to the papers and books below may be found in the Bibliography.)

Quotations from Robert J. Baum, *Philosophy and Mathematics*, reprinted with permission of the publisher, Freeman Cooper and Co., San Francisco, California. Copyright ©1973.

Quotations from *Constructive Analysis* by E. Bishop and D. Bridges reprinted with permision of the publisher. Copyright © 1985 Springer-Verlag, Berlin-Heidelberg.

Quotations from "Intuitionism and formalism" by L.E.J. Brouwer reprinted with permission from the Bulletin of the American Mathematical Society. © 1913.

The "Letter to Descartes," by R. C. Buck, reprinted with permission of the publisher, The Mathematical Association of America. Copyright © 1978.

Quotations from "On undecidable propositions of formal mathematical systems," from lectures delivered by Kurt Gödel in 1934. Reprinted with permission of the Institute for Advanced Study, Princeton, literary executors of the estate of Kurt Gödel.

Quotations from "Reflections on Bishop's philosophy of mathematics," by Nicolas D. Goodman, reprinted with permission of the publisher, Springer-Verlag. Copyright © 1981, Lecture Notes in Mathematics, vol. 873.

The Introduction to *Constructive Formalism*, by R. L. Goodstein, reprinted with permission of the publisher, University College, Leicester. Copyright © 1951.

Quotations from *Enumerability, Decidability, Computability*, by Hans Hermes, reprinted with permission of the publisher. Copyright © 1969 Springer-Verlag, Berlin-Heidelberg.

"On the infinite," by David Hilbert, was first delivered on June 4, 1925, before a congress of the Westphalian Mathematical Society in Münster, in honor of Karl Weierstrass. Translated by Erna Putnam and Gerald J. Massey from *Mathematischen Annalen* (Berlin) no. 95 (1926) pp. 161–190. Permission for the translation and inclusion of the article in this volume was kindly granted by the publishers, Springer–Verlag.

Quotations from "Remarks on the notion of standard non-isomorphic natural number series," by David Isles, reprinted with permission of the author. Copyright © 1981.

Quotations from *Introduction to Metamathematics*, by Stephen C. Kleene, reprinted with permission of the publisher, North-Holland. Copyright © 1952.

"Mathematical proofs: the genesis of reasonable doubt," by Gina Bari Kolata, *Science*, vol. 192, pp. 989–990, 4 June 1976, by the A.A.A.S. Reprinted with permission.

"Finite combinatory processes—formulation I," by Emil Post, reprinted with permission of the Association for Symbolic Logic. Copyright © 1936.

Quotations from Joseph R. Shoenfield, *Mathematical Logic*, © 1967, Addison-Wesley Publishing Co., Inc., Reading, Massachusetts, p.214. Reprinted by permission.

Quotations from "On computable numbers, with an application to the Entscheidungsproblem," by Alan M. Turing, published in the *Proceedings of the London Mathematical Society*, ser. 2, vol. 42, 1936–1937. Reprinted by permission of Oxford University Press.

"Is $10^{10^{10}}$ a finite number?," by D. van Dantzig, reprinted with permission of the editors of *Dialectica*. Copyright © 1956.

Quotations from *From Mathematics to Philosophy*, by Hao Wang, reprinted with permission of the publisher, Routledge and Kegan Paul. Copyright © 1974.

A previous version of Chapter 27 appeared at CLE e-Prints, Vol. 8(3), 2001 (Section Logic), /www.cle.unicamp.br/e-prints/vol_8,n_3,2008.html.