

15-251

Great Theoretical Ideas in Computer Science

Uncountability and Uncomputability

January 29th, 2015

Our heros for this lecture

father of set theory

father of computer science



1845-1918



1912-1954

and beyond

Uncountability

Uncomputability

Our heros for this lecture

father of set theory

father of computer science

Example 3: Set theory

Question:

How 'complete' are those 9 axioms?
(ZFC)

Answer based on 100 years of experience:

Amazingly complete!

Almost all true statements about **math**
(GORM) can be deduced from them.

**In particular, everything we will
prove in 15-251!**



and beyond

1912-1954

Uncountability

Uncomputability

Infinity in mathematics

Pre-Cantor:

“Infinity is nothing more than a figure of speech which helps us talk about limits.

The notion of a **completed infinity** doesn't belong in mathematics”

- *Carl Friedrich Gauss*



Post-Cantor:

Infinite sets are mathematical objects just like finite sets.

Some of Cantor's contributions

- > The study of infinite sets
- > Explicit definition and use of 1-to-1 correspondence
 - This is the right way to compare the cardinality of sets
- > There are different levels of infinity.
 - There are infinitely many infinities.
- > $|\mathbb{N}| < |\mathbb{R}|$ even though they are both infinite.
- > $|\mathbb{N}| = |\mathbb{Z}|$ even though $\mathbb{N} \subsetneq \mathbb{Z}$.
- > The diagonal argument.

Reaction to Cantor's ideas

Most of the ideas of Cantorian set theory
should be banished from mathematics
once and for all!

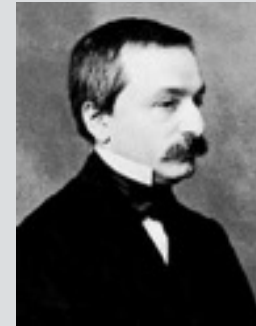
- *Henri Poincaré*



Reaction to Cantor's ideas

I don't know what predominates
in Cantor's theory -
philosophy or theology.

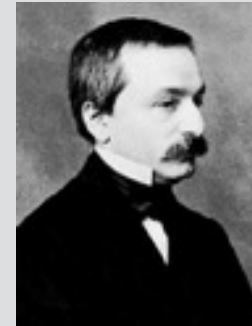
- *Leopold Kronecker*



Reaction to Cantor's ideas

Scientific charlatan.

- *Leopold Kronecker*



Reaction to Cantor's ideas

Corrupter of youth.

- *Leopold Kronecker*



Reaction to Cantor's ideas

Wrong.

- *Ludwig Wittgenstein*



Reaction to Cantor's ideas

Utter non-sense.

- *Ludwig Wittgenstein*



Reaction to Cantor's ideas

Laughable.

- *Ludwig Wittgenstein*



Reaction to Cantor's ideas

No one should expel us from the Paradise
that Cantor has created.

- *David Hilbert*



Reaction to Cantor's ideas

If one person can see it as a paradise,
why should not another see it as a joke?

- *Ludwig Wittgenstein*



How do we count a finite set?

$A = \{\text{apple, orange, banana, melon}\}$

What does $|A| = 4$ mean?

There is a **1-to-1 correspondence** between

A and $\{1, 2, 3, 4\}$

apple \longleftrightarrow 1

orange \longleftrightarrow 2

banana \longleftrightarrow 3

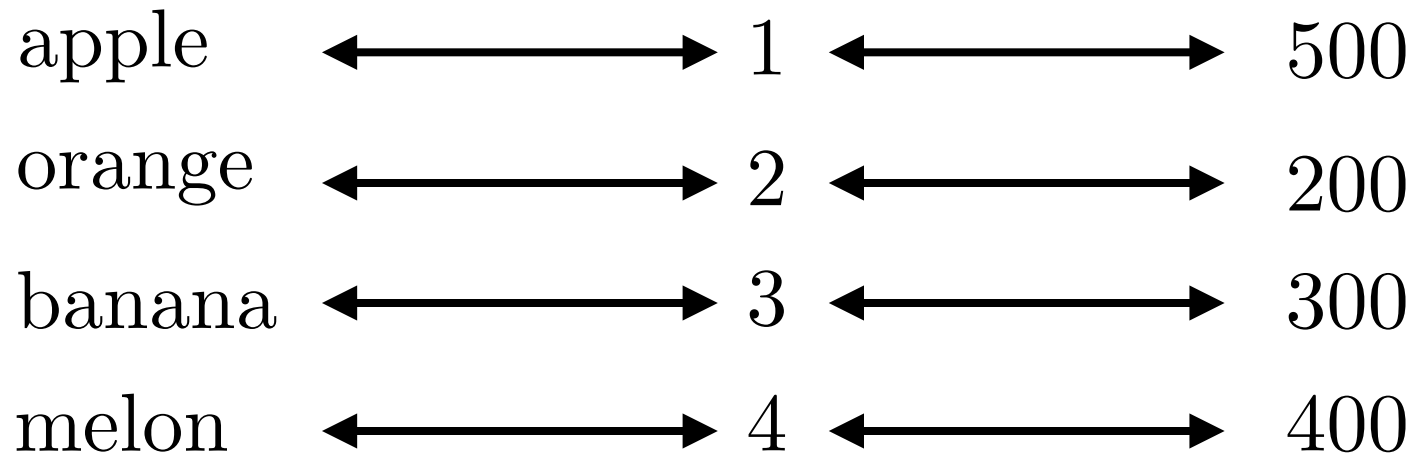
melon \longleftrightarrow 4

How do we count a finite set?

$A = \{\text{apple, orange, banana, melon}\}$

$B = \{200, 300, 400, 500\}$

What does $|A| = |B|$ mean?



How do we count a finite set?

$A = \{\text{apple, orange, banana, melon}\}$

$B = \{200, 300, 400, 500\}$

What does $|A| = |B|$ mean?

apple \longleftrightarrow 500

orange \longleftrightarrow 200

banana \longleftrightarrow 300

melon \longleftrightarrow 400

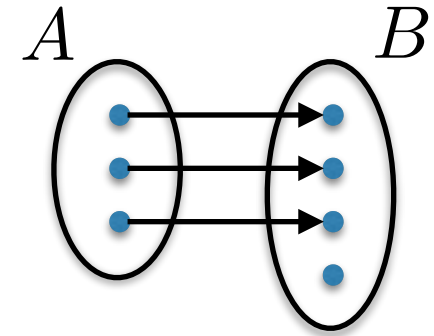
$|A| = |B|$ iff there is a 1-to-1 correspondence between A and B .

3 important types of functions

injective, 1-to-1

$f : A \rightarrow B$ is injective if
 $a \neq a' \implies f(a) \neq f(a')$

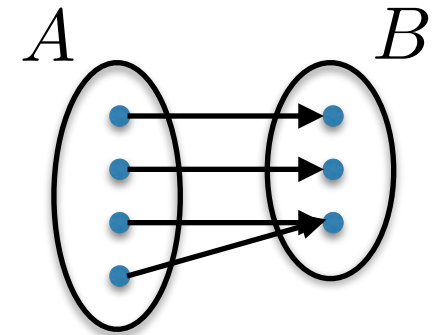
$$A \hookrightarrow B$$



surjective, onto

$f : A \rightarrow B$ is surjective if
 $\forall b \in B, \exists a \in A$ s.t. $f(a) = b$

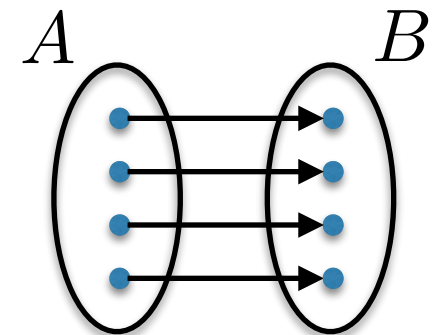
$$A \twoheadrightarrow B$$



bijective, 1-to-1 correspondence

$f : A \rightarrow B$ is bijective if
 f is injective and surjective

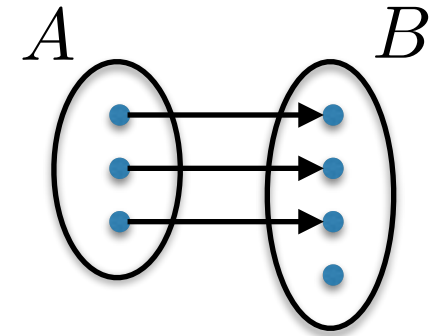
$$A \leftrightarrow B$$



Comparing the cardinality of finite sets

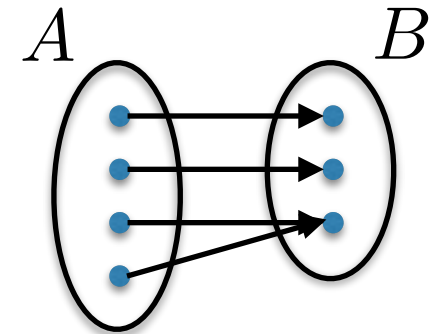
$$|A| \leq |B|$$

$$A \hookrightarrow B$$



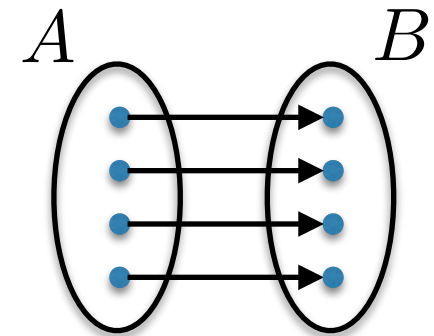
$$|A| \geq |B|$$

$$A \twoheadrightarrow B$$



$$|A| = |B|$$

$$A \leftrightarrow B$$



Sanity checks

$$|A| \leq |B| \text{ iff } |B| \geq |A|$$

$$A \hookrightarrow B \text{ iff } B \rightarrow A$$

$$|A| = |B| \text{ iff } |A| \leq |B| \text{ and } |A| \geq |B|$$

$$A \leftrightarrow B \text{ iff } A \hookrightarrow B \text{ and } A \rightarrow B$$

$$A \leftrightarrow B \text{ iff } A \hookrightarrow B \text{ and } B \hookrightarrow A$$

$$\text{If } |A| \leq |B| \text{ and } |B| \leq |C| \text{ then } |A| \leq |C|$$

$$\text{If } A \hookrightarrow B \text{ and } B \hookrightarrow C \text{ then } A \hookrightarrow C$$

One more definition

$$|A| < |B|$$

not $|A| \geq |B|$

There is no **surjection** from A to B.

There is no **injection** from B to A.

There is an **injection** from A to B,
but there is no **bijection** between A and B.



These are the right definitions
for **infinite** sets as well!

All is OK with infinite sets

$$|A| \leq |B| \text{ iff } |A| \leq |B|$$

$$A \hookrightarrow B \text{ iff } B \twoheadrightarrow A$$

$$|A| = |B| \text{ iff } |A| \leq |B| \text{ and } |B| \leq |A|$$

$$A \leftrightarrow B \text{ iff } A \hookrightarrow B \text{ and } A \twoheadrightarrow B$$

$$A \leftrightarrow B \text{ iff } A \hookrightarrow B \text{ and } B \hookrightarrow A$$

Cantor
Schröder
Bernstein

$$\text{If } |A| \leq |B| \text{ and } |B| \leq |C| \text{ then } |A| \leq |C|$$

$$\text{If } A \hookrightarrow B \text{ and } B \hookrightarrow C \text{ then } A \hookrightarrow C$$



Let me show you some interesting consequences.

Examples of equal size sets

$$|\mathbb{N}| = |\mathbb{Z}|$$

$$\mathbb{N} = \{0, 1, 2, 3, 4, \dots\}$$

$$\mathbb{Z} = \{\dots, -4, -3, -2, -1, 0, 1, 2, 3, 4, \dots\}$$

0 1 2 3 4 5 6 7 8 ...

↕ ↕ ↕ ↕ ↕ ↕ ↕ ↕ ↕

0, 1, -1, 2, -2, 3, -3, 4, -4, ...

$$f(n) = (-1)^{n+1} \left\lceil \frac{n}{2} \right\rceil$$

List the integers so that *eventually* every number is reached.

Examples of equal size sets

$$|\mathbb{N}| = |\mathbb{Z}|$$

Does this make any sense? $\mathbb{N} \subsetneq \mathbb{Z}$

$A \subsetneq B \implies |A| < |B|$? Surely $|\mathbb{N}| < |\mathbb{Z}|$.

Does renaming the elements of a set change its size?

Let's rename the elements of \mathbb{Z} :

$\{\dots, \text{banana}, \text{apple}, \text{melon}, \text{orange}, \text{mango}, \dots\}$

Let's call this set F . How can you justify $|\mathbb{N}| < |F|$?

Bijection is nothing more than renaming.

Examples of equal size sets

$$|\mathbb{N}| = |S|$$

$$\mathbb{N} = \{0, 1, 2, 3, 4, \dots\}$$

$$S = \{0, 1, 4, 9, 16, \dots\}$$

$$f(n) = n^2$$

Examples of equal size sets

$$|\mathbb{N}| = |P|$$

$$\mathbb{N} = \{0, 1, 2, 3, 4, \dots\}$$

$$P = \{2, 3, 5, 7, 11, \dots\}$$

$f(n) = n$ 'th prime number.

Countable sets

$$|\mathbb{N}| = |A|$$

if:

A is infinite,

and you can list the elements as a_0, a_1, a_2, \dots

$(a_i \neq a_j \text{ for } i \neq j)$

in a well-defined way.

Definition:

A is **countably infinite** if $|\mathbb{N}| = |A|$.

A is **countable** if A is finite or $|\mathbb{N}| = |A|$.

Countable sets

Definition:

A is **countably infinite** if $|\mathbb{N}| = |A|$.

A is **countable** if A is finite or $|\mathbb{N}| = |A|$.

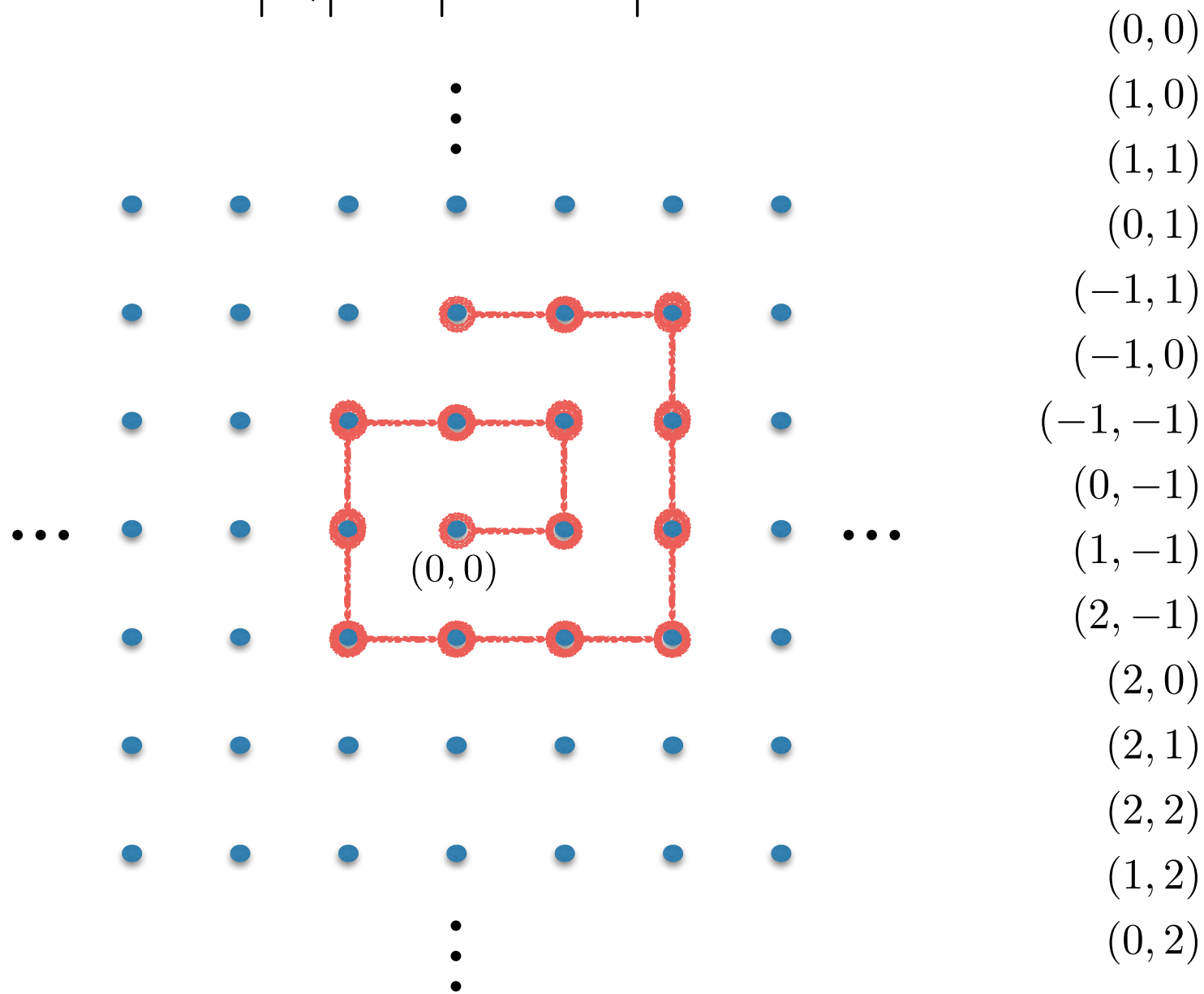
What if A is infinite, but $|A| < |\mathbb{N}|$?

No such set exists!

So really A is countable if $|A| \leq |\mathbb{N}|$.

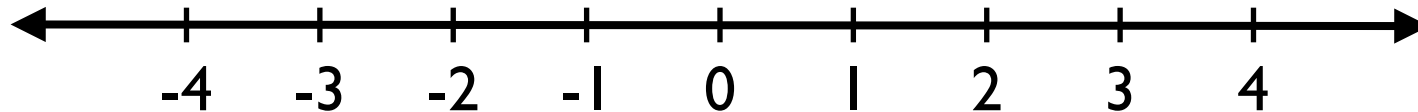
Countable?

$$|\mathbb{N}| = |\mathbb{Z} \times \mathbb{Z}|?$$



Countable?

$$|\mathbb{N}| = |\mathbb{Q}|?$$



Between any two rational numbers, there is another one.

Can't just list them in the order they appear on the line.

Any rational number can be written as a fraction $\frac{a}{b}$.

$$\mathbb{Z} \times \mathbb{Z} \rightarrow \mathbb{Q} \quad \left(\text{map } (a, b) \text{ to } \frac{a}{b} \right)$$

$$\implies |\mathbb{Q}| \leq |\mathbb{Z} \times \mathbb{Z}| = |\mathbb{N}|$$

Clearly $|\mathbb{N}| \leq |\mathbb{Q}|$. So $|\mathbb{N}| = |\mathbb{Q}|$.

Countable?

$$|\mathbb{N}| = |\{0, 1\}^*|?$$

$\{0, 1\}^*$ = the set of finite length binary strings.

ε

0

1

00, 01, 10, 11

000, 001, 010, 011, 100, 101, 110, 111

...

Countable?

$$|\mathbb{N}| = |\Sigma^*|?$$

Σ^* = the set of finite length words over Σ .

Same idea.

CS method to show a set A is countable ($|A| \leq |\mathbb{N}|$):

Show $|A| \leq |\Sigma^*|$

i.e. $\Sigma^* \twoheadrightarrow A$

CS method in action

Is $\mathbb{Q}[x]$ countable?

$\mathbb{Q}[x]$ = polynomials with rational coefficients.

Take $\Sigma = \{0, 1, \dots, 9, x, +, -, *, /, \hat{\ } \}$

Every polynomial can be described by a finite string over Σ .

$$\text{e.g. } x^3 - \frac{1}{4}x^2 + 6x - \frac{22}{7}$$

So $\Sigma^* \twoheadrightarrow \mathbb{Q}[x]$

Seems like every set is countable...



Nope!
That would be boring!

Cantor's Theorem

Theorem: For any non-empty set A ,

$$|A| < |\mathcal{P}(A)|.$$

$$S = \{1, 2, 3\}$$

$$\mathcal{P}(S) = \{\emptyset, \{1\}, \{2\}, \{3\}, \{1, 2\}, \{2, 3\}, \{1, 3\}, \{1, 2, 3\}\}$$

$$|\mathcal{P}(S)| = 2^{|S|}$$

$$\mathcal{P}(S) \leftrightarrow \{0, 1\}^{|S|}$$



binary strings of length $|S|$

$$S = \{1, 2, 3\}$$

$$1\ 0\ 1 \longleftrightarrow \{1, 3\}$$

$$0\ 0\ 0 \longleftrightarrow \emptyset$$

Cantor's Theorem

Theorem: For any non-empty set A ,

$$|A| < |\mathcal{P}(A)|.$$

So:

$$|\mathbb{N}| < |\mathcal{P}(\mathbb{N})|.$$

$$|\mathbb{N}| < |\mathcal{P}(\mathbb{N})| < |\mathcal{P}(\mathcal{P}(\mathbb{N}))| < |\mathcal{P}(\mathcal{P}(\mathcal{P}(\mathbb{N})))| < \dots$$

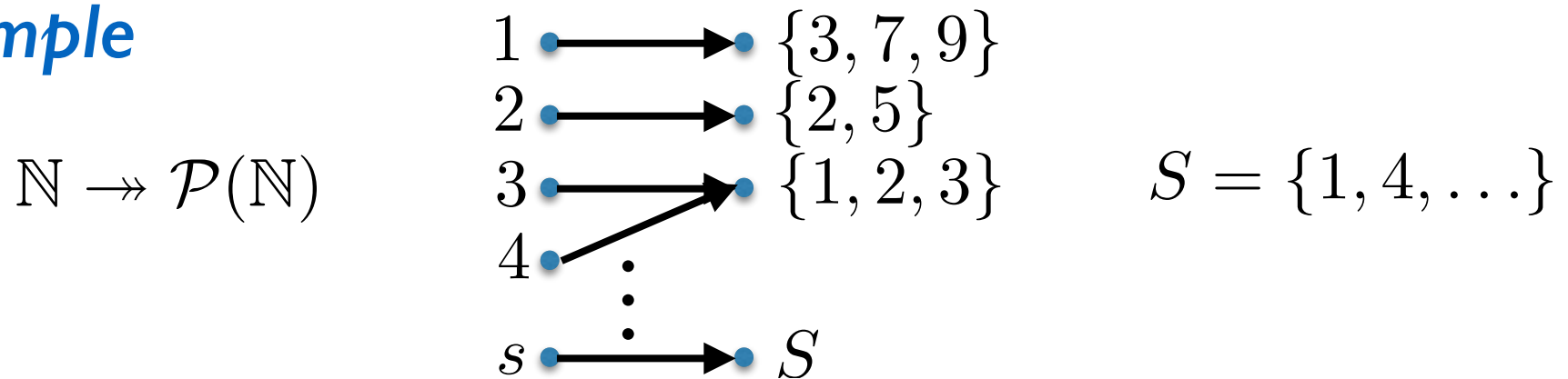
(an infinity of infinities)

Proof by diagonalization

Assume $|\mathcal{P}(A)| \leq |A|$ for some set A .

So $A \twoheadrightarrow \mathcal{P}(A)$. Let f be such a surjection.

Example



Define $S = \{a \in A : a \notin f(a)\} \in \mathcal{P}(A)$.

Since f is onto, $\exists s \in A$ s.t. $f(s) = S$.

But this leads to a contradiction:

if $s \notin S$ then $s \in S$

if $s \in S$ then $s \notin S$

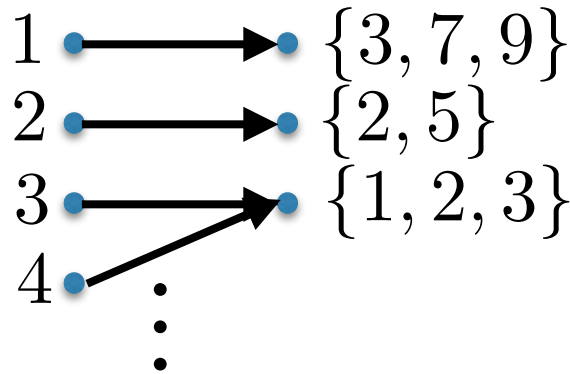
Why is this called a
diagonalization argument?



Proof by diagonalization

Example

$$\mathbb{N} \rightarrow \mathcal{P}(\mathbb{N})$$



$$S = \{1, 4, \dots\}$$

	1	2	3	4	5	...
f(1)	0	0	1	0	0	
f(2)	0	1	0	0	1	
f(3)	1	1	1	0	0	...
f(4)	1	1	1	0	0	
f(5)	0	0	0	1	1	
\vdots			\vdots			
f(s) = S	1	0	0	1	0	...

S is defined so that S cannot equal any f(a)

Uncountable sets

So $|\mathcal{P}(\mathbb{N})| > |\mathbb{N}|$.

Definition:

A set is **uncountable** if it is not countable,

i.e. $|A| > |\mathbb{N}|$.

Some examples: $\mathcal{P}(\mathbb{N}), \mathcal{P}(\mathcal{P}(\mathbb{N})), \dots$

Uncountable sets

Let $\{0, 1\}^\infty$ be the set of binary strings of infinite length.

$\{0, 1, 2, 3, 4, 5, 6, 7, 8, 9, \dots\}$

0000000000 ... $\longleftrightarrow \emptyset$

1111111111 ... $\longleftrightarrow \mathbb{N}$

1010101010 ... $\longleftrightarrow \{\text{even natural numbers}\}$

⋮

$\{0, 1\}^\infty$ is uncountable, i.e. $|\{0, 1\}^\infty| > |\mathbb{N}|$

because $\{0, 1\}^\infty \leftrightarrow \mathcal{P}(\mathbb{N})$. (just like $\{0, 1\}^{|S|} \leftrightarrow \mathcal{P}(S)$)

(Recall $\{0, 1\}^*$ is countable.)

Uncountable sets

Let $\{0, 1\}^\infty$ be the set of binary strings of infinite length.

$\{0, 1\}^\infty$ is uncountable, i.e. $|\{0, 1\}^\infty| > |\mathbb{N}|$

Direct diagonal proof: Suppose $|\{0, 1\}^\infty| \leq |\mathbb{N}|$

$\mathbb{N} \rightarrow \{0, 1\}^\infty$

1	0	0	1	0	0	...
2	0	1	0	0	1	...
3	1	1	1	0	0	...
4	1	1	1	0	0	...
5	0	0	0	1	1	...
⋮			⋮			

1 0 0 1 0 ... \rightarrow cannot appear in the list

Uncountable sets

\mathbb{R} is uncountable. In fact $(0, 1)$ is uncountable.

exercise

Appreciating the diagonalization argument

If you want to appreciate something,
try to break it...



Exercise:

Why doesn't the diagonalization argument work for
 \mathbb{N} , $\{0, 1\}^*$, a countable subset of $\{0, 1\}^\infty$?

Before we end this section:

Is there a set S such that

$$|\mathbb{N}| < |S| < |\mathcal{P}(\mathbb{N})|?$$

Continuum Hypothesis:

No such set exists.

(Hilbert's 1st problem)

Applications to Computer Science

Most problems are uncomputable

Just count!

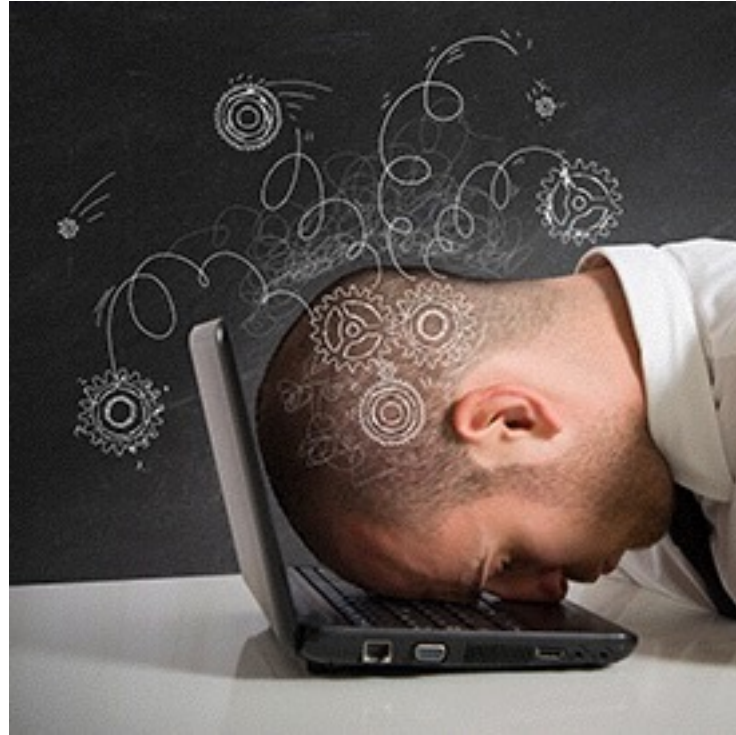
For any TM M , $\langle M \rangle \in \Sigma^*$

So $\{M : M \text{ is a TM}\}$ is **countable**.



How about the set of all computational problems?

$\{L : L \subseteq \Sigma^*\} = \mathcal{P}(\Sigma^*)$ is **uncountable**.

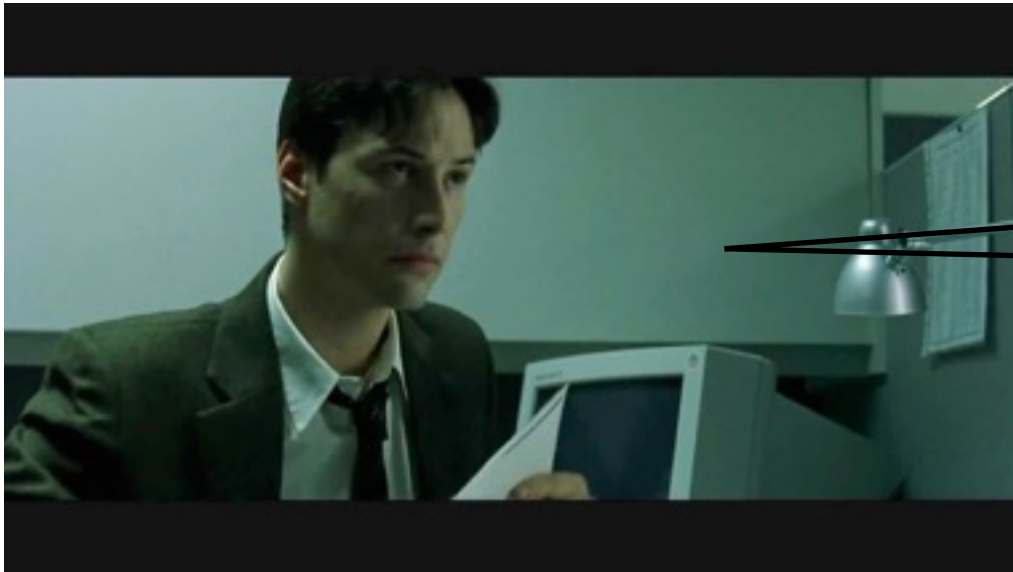
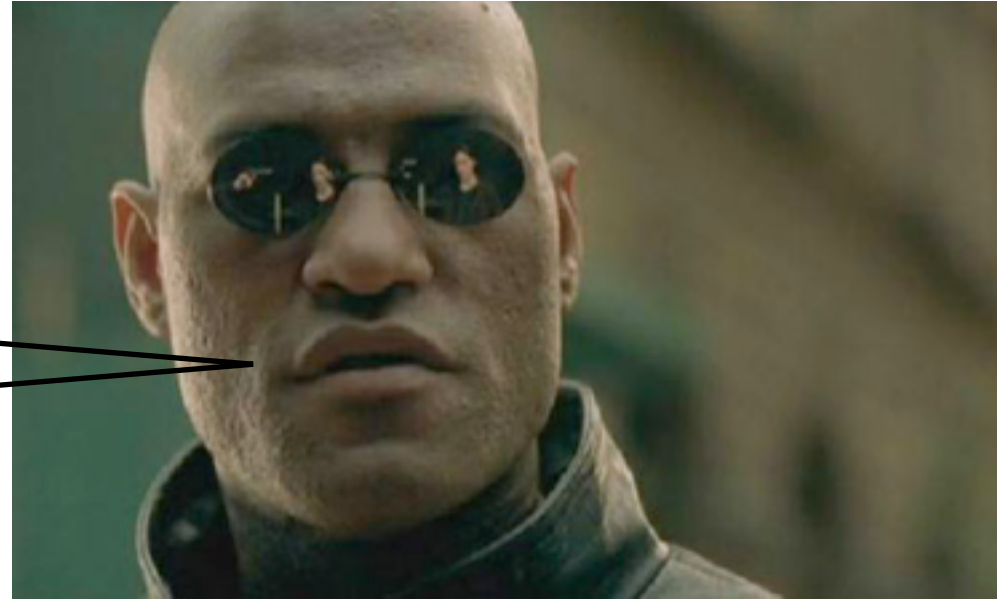


Maybe all **uncomputable** problems are uninteresting ?

Working at Matrix Inc.

Debugging Trinity's code is taking too much time.

I think she keeps writing infinite loops.

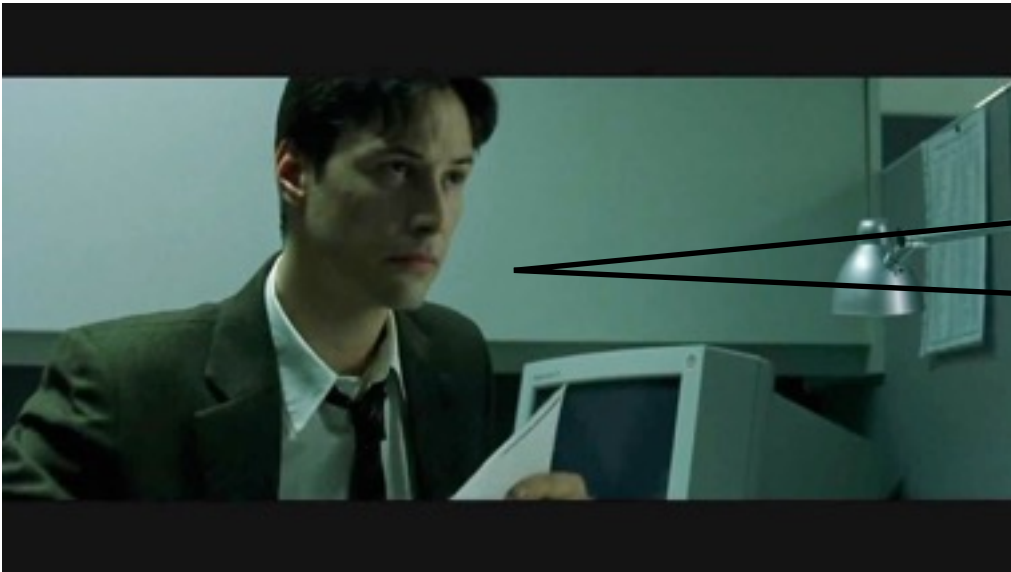
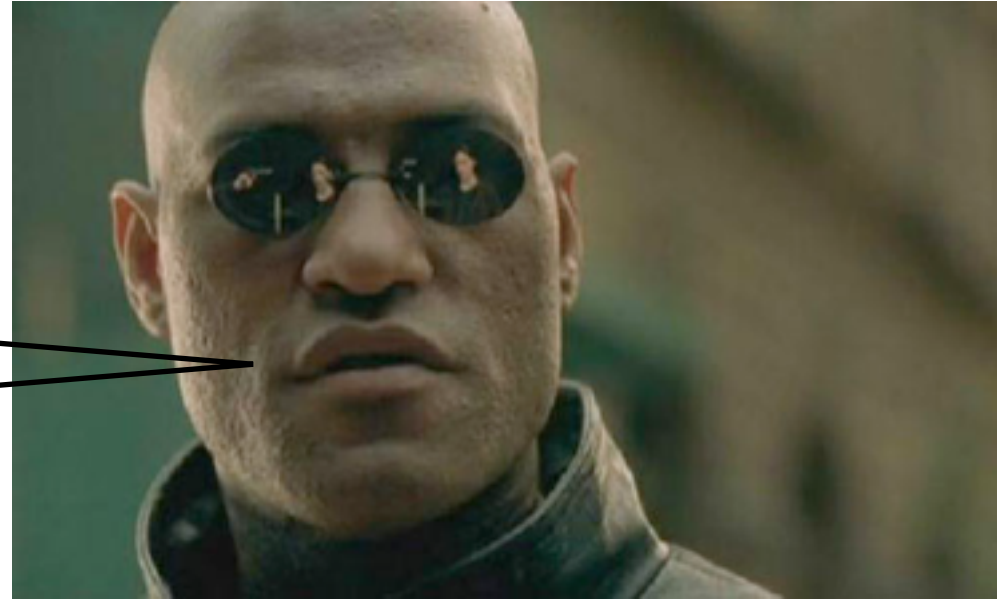


I'm the one.
I can fix anything.

Working at Matrix Inc.

Debugging Trinity's code is taking too much time.

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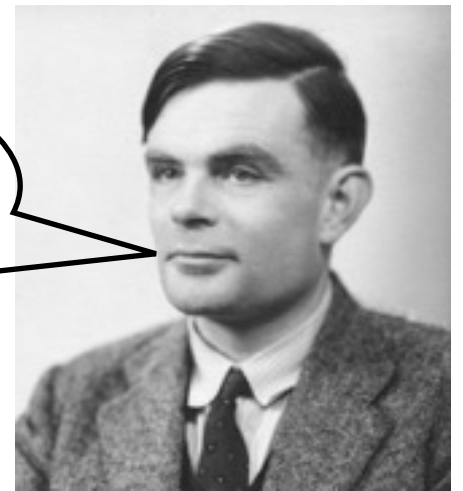
I'll first write a program that checks for infinite loops.

Halting Analyzer Program

How do you write such a program?



Dude, you might be the “One”,
but this is impossible!



An explicit uncomputable problem

Theorem: The halting problem is uncomputable.

Proof by Python:

Halting Problem

Inputs: A Python program file.
An *input* to the program.

Outputs: **True** if the program halts for the given *input*.
False otherwise.



x

Halting
Program/Function

True
or
False

Halting problem is uncomputable

Assume such a program exists:

```
def halt(program, inputToProgram):
```

```
    # program and inputToProgram are both strings
```

```
    # Returns True if program halts when run with inputToProgram
```

```
    # as its input.
```

```
def turing(program):
```

```
    if (halt(program, program)):
```

```
        while True:
```

```
            pass # a pass statement does nothing
```

```
    return None
```

What happens when you call `turing(turing)` ?

if `halt(turing, turing)` ----> `turing` doesn't terminate

if **not** `halt(turing, turing)` ----> `turing` terminates



That was a diagonalization argument

```
def turing(program):
```

```
    if (halt(program, program)):
```

```
        while True:
```

```
            pass # a pass statement does nothing
```

```
    return None
```

	$\langle f_1 \rangle$	$\langle f_2 \rangle$	$\langle f_3 \rangle$	$\langle f_4 \rangle$	\dots
f_1	∞	∞	H	∞	
f_2	H	H	H	∞	
f_3	∞	∞	H	H	\dots
f_4	∞	H	H	∞	
\vdots		\vdots			
turing	H	∞	∞	H	\dots

Halting problem is uncomputable

Proof by a theoretical computer scientist:

$$\text{HALT} = \{ \langle M, x \rangle : M \text{ halts on input } x \}$$

Suppose M_{HALT} decides HALT.

Consider the following TM (let's call it M_{TURING}):

M_{TURING}

Treat the input as $\langle M \rangle$ for some TM M .

Run M_{HALT} with input $\langle M, M \rangle$.

If it **accepts**, go into an infinite loop.

If it **rejects**, **accept**.

Halting problem is uncomputable

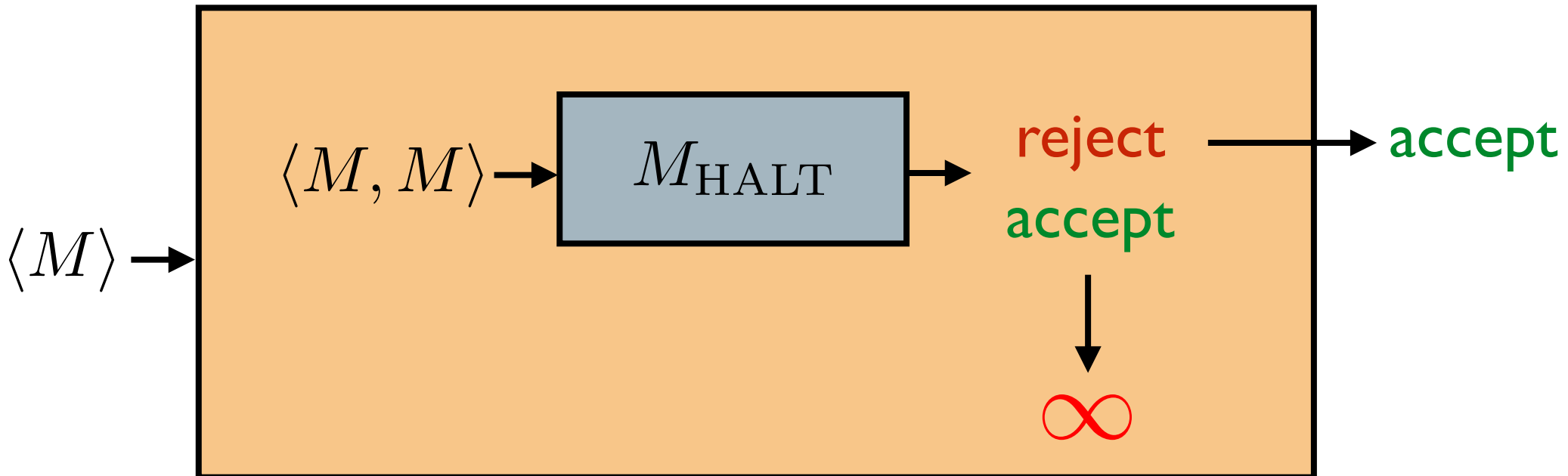
Proof by a theoretical computer scientist:

$$\text{HALT} = \{ \langle M, x \rangle : M \text{ halts on input } x \}$$

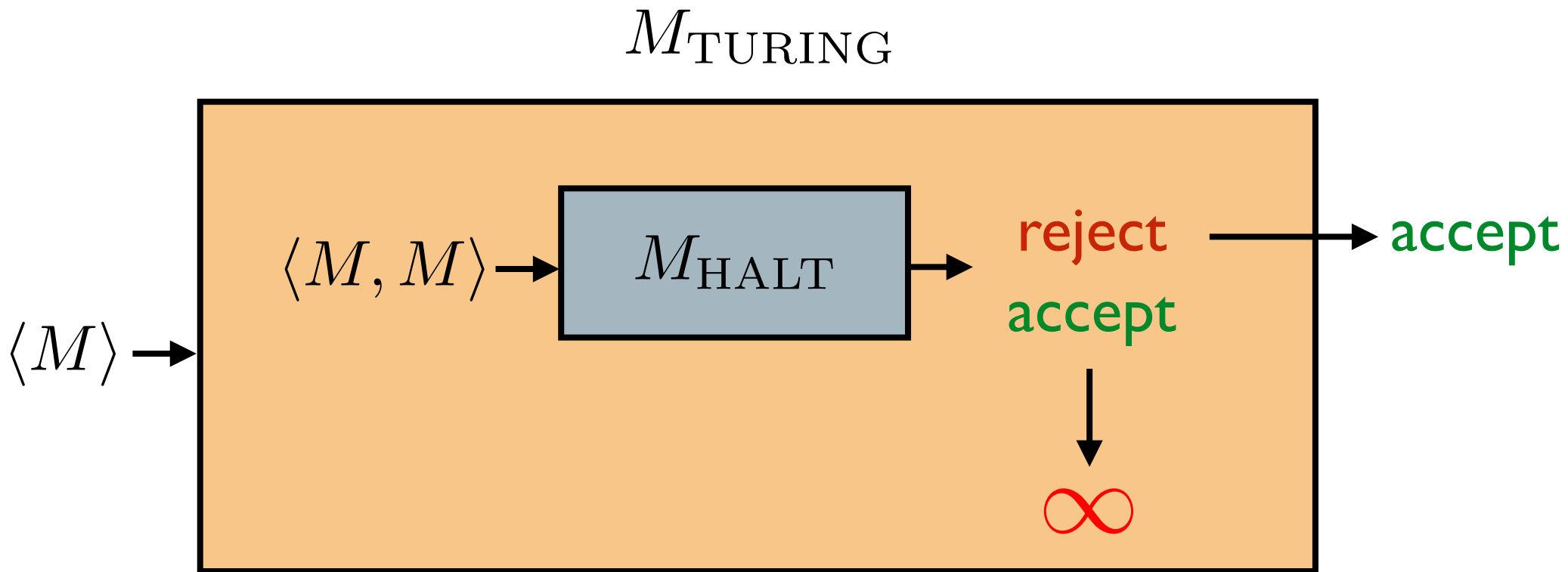
Suppose M_{HALT} decides HALT.

Consider the following TM (let's call it M_{TURING}):

M_{TURING}



Halting problem is uncomputable



What happens when $\langle M_{\text{TURING}} \rangle$ is input to M_{TURING} ?

So what?

- No debugger program.
- Consider the following program:

```
def fermat():
```

```
    t = 3
```

```
    while (True):
```

```
        for n in xrange(3, t+1):
```

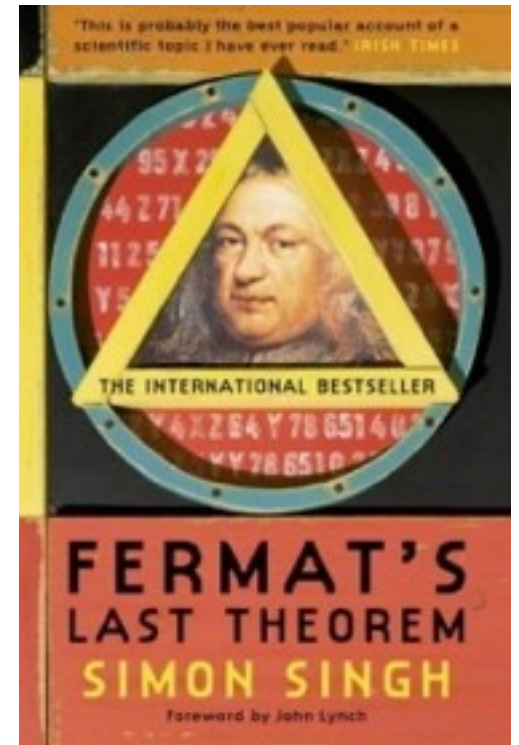
```
            for x in xrange(1, t+1):
```

```
                for y in xrange(1, t+1):
```

```
                    for z in xrange(1, t+1):
```

```
                        if (x**n + y**n == z**n): return (x, y, z, n)
```

```
        t += 1
```



Question: Does this program halt?

So what?

- **Reductions** to other interesting problems
(show other interesting problems are as hard as the halting problem)

Entscheidungsproblem

Is there a finitary procedure to determine the validity of a given logical expression?

e.g. $\neg \exists x, y, z, n \in \mathbb{N} : (n \geq 3) \wedge (x^n + y^n = z^n)$

(Mechanization of mathematics)

Hilbert's 10th Problem

Is there a program to determine if a given multivariate polynomial with integral coefficients has an integral solution?

So what?

Different laws of physics ----->

Different computational devices ----->

Every problem computable (?)

Can you come up with sensible laws of physics such that the Halting Problem becomes computable?

Let's show some other uncomputable problems.

Reduction

A central concept used to compare the “difficulty” of problems.



will differ based on context

Now we are interested in decidability vs undecidability
(computability vs uncomputability)

Want to define: $A \leq B$

B is at least as hard as A (with respect to decidability).

i.e., B **decidable** $\implies A$ **decidable**

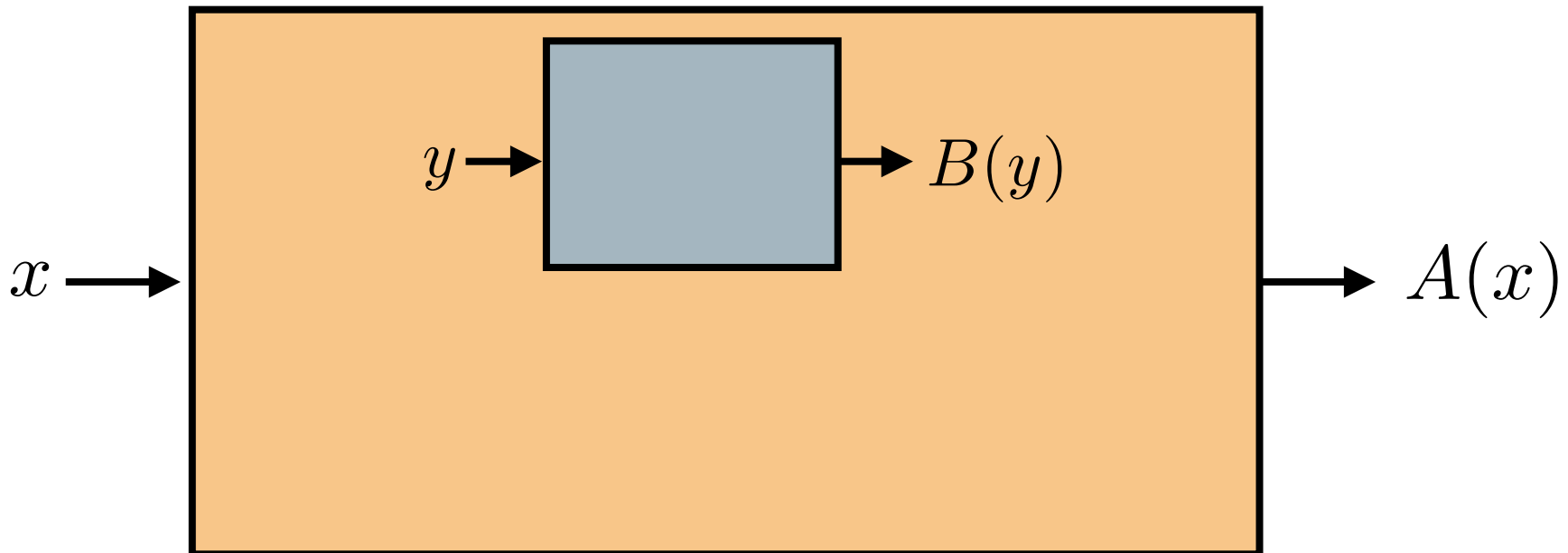
A **undecidable** $\implies B$ **undecidable**

Reduction

Definition:

$A \leq_T B$ (A reduces to B):

if it is possible to decide A
using an algorithm for deciding B as a subroutine.

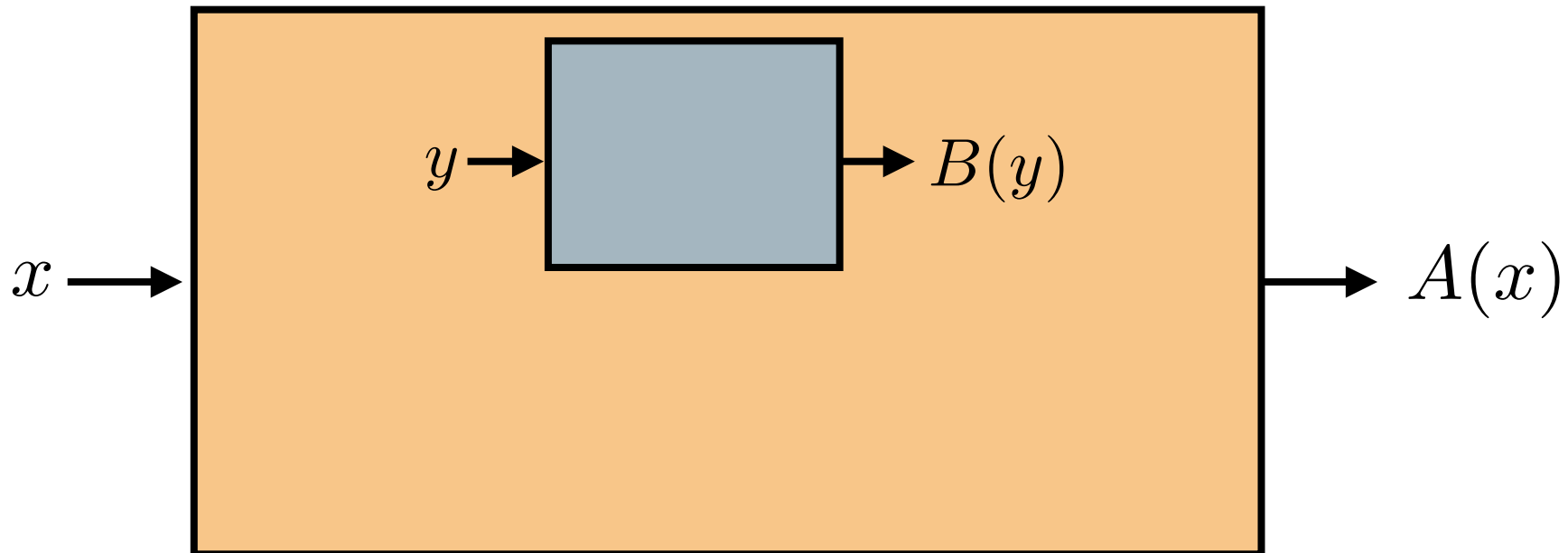


Reduction

If $A \leq_T B$ (A reduces to B) :

B decidable $\implies A$ decidable

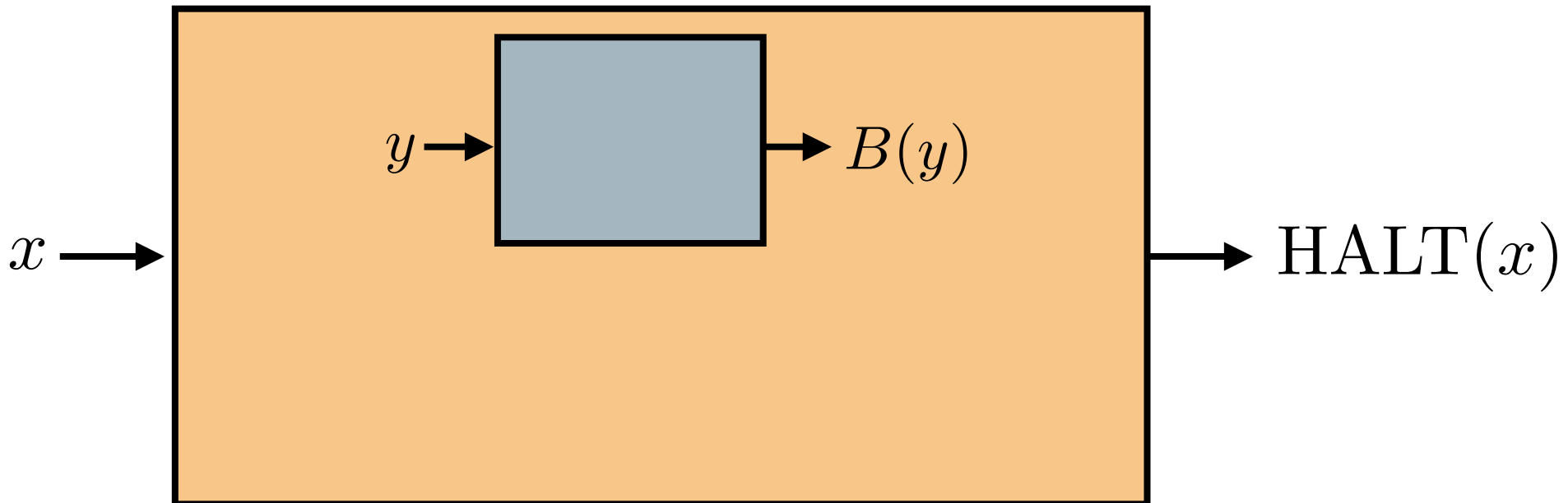
A undecidable $\implies B$ undecidable



Reduction

If $\text{HALT} \leq_T B$ (HALT reduces to B) :

B is **not** decidable.



Example I: ACCEPTS

Theorem:

$\text{ACCEPTS} = \{ \langle M, x \rangle : M \text{ is a TM that accepts } x \}$
is undecidable.

$\langle M, x \rangle$ is in the language \implies
 x leads to an **accept** state in M .

$\langle M, x \rangle$ is not in the language \implies
 x leads to a **reject** state, or M loops forever.

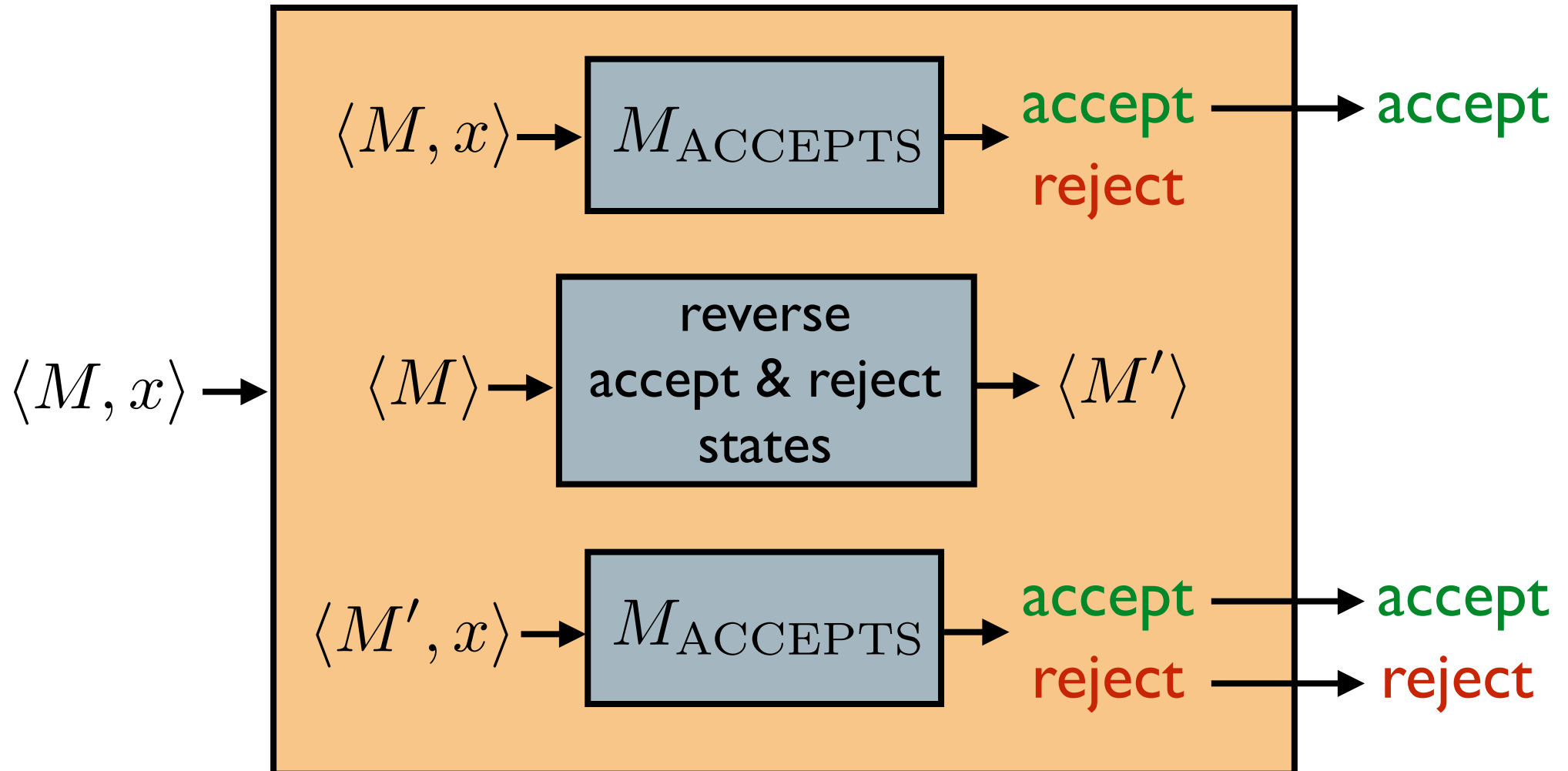
$\langle M, x \rangle \in \text{HALT}$ if x leads to an **accept** or **reject** state.

Example I: ACCEPTS

$\text{ACCEPTS} = \{ \langle M, x \rangle : M \text{ is a TM that accepts } x \}$

Proof: (by picture)

M_{HALT}



Example 1: ACCEPTS

$\text{ACCEPTS} = \{ \langle M, x \rangle : M \text{ is a TM that accepts } x \}$

Proof:

We will show $\text{HALT} \leq_T \text{ACCEPTS}$.

Let M_{ACCEPTS} be a TM that decides ACCEPTS.

Here is a TM that decides HALT:

On input $\langle M, x \rangle$, run $M_{\text{ACCEPTS}}(\langle M, x \rangle)$.

If it accepts, accept.

Reverse the accept and rejects states of M . Call it M' .

Run $M_{\text{ACCEPTS}}(\langle M', x \rangle)$.

If it accepts (M rejects x), accept.

Reject.

Reductions are transitive

If $A \leq_T B$ and $B \leq_T C$, then $A \leq_T C$.

(follows directly from the definition)

Example 2: EMPTY

Theorem:

$\text{EMPTY} = \{ \langle M \rangle : M \text{ is a TM that accepts no strings} \}$
is undecidable.

Suffices to show $\text{ACCEPTS} \leq_T \text{EMPTY}$
since we showed $\text{HALT} \leq_T \text{ACCEPTS}$.

exercise or recitation or homework

Example 3: REG

Theorem:

$\text{REG} = \{ \langle M \rangle : M \text{ is a TM and } L(M) \text{ is regular} \}$
is **undecidable**.

exercise or recitation or homework

Interesting Observation

To show a **negative** result (that there is no algorithm)

we are showing a **positive** result (that there is a reduction)

Undecidable problems not involving Turing Machines

Entscheidungsproblem

Determining the validity of a given FOL sentence.

e.g. $\neg \exists x, y, z, n \in \mathbb{N} : (n \geq 3) \wedge (x^n + y^n = z^n)$

Undecidable!

Proved in 1936 by Turing.



Hilbert's 10th Problem

Determining if a given multivariate polynomial with integral coefficients has an integer root.

e.g. $5xy^2z + 8yz^3 + 100x^{99}$

Undecidable!

Proved in 1970 by Matiyasevich-Robinson-Davis-Putnam.

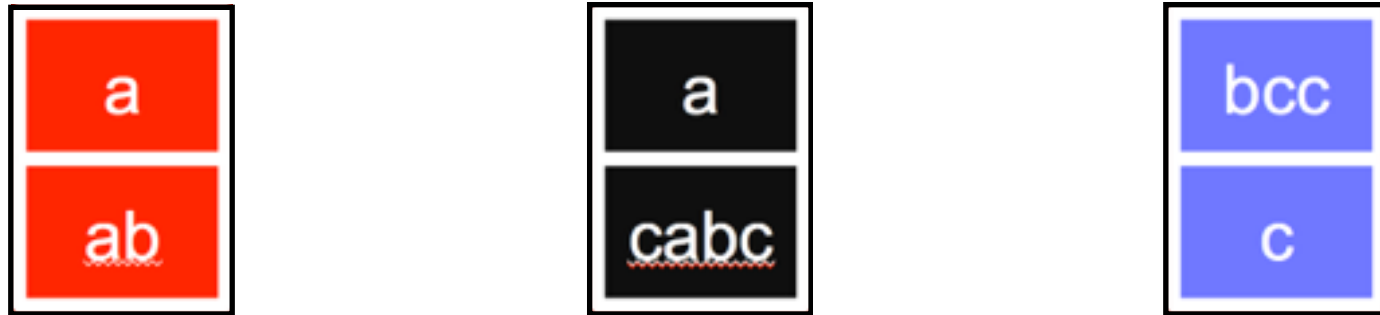
Does it have a real root? **Decidable!**

Proved in 1951 by Tarski.

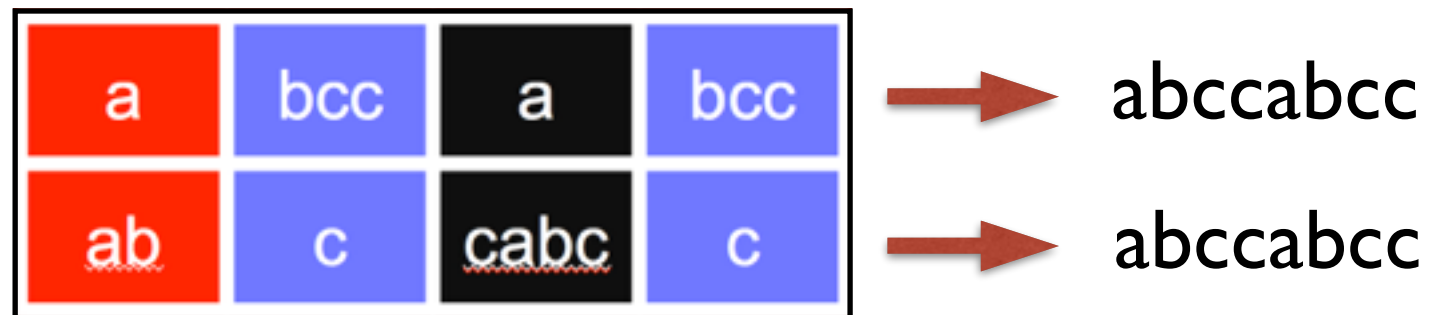
Does it have a rational root? **No one knows!**

Post's Correspondence Problem

Input: A finite collection of “dominoes”,
having strings written on each half.



Output: **Accept** if it is possible to match the strings.



Undecidable!

Proved in 1946 by Post.

Most problems are **undecidable**.

Some very interesting problems **undecidable**.

But most interesting problems are **decidable**.



and beyond