LECTURE #5 (Sept. 23; Continued)

Before we get more immersed into *partial functions* let us **redefine equality** for function calls.

0.0.1 Definition. Let $\lambda \vec{x} \cdot f(\vec{x}_n)$ and $\lambda \vec{y} \cdot g(\vec{y}_m)$.

We extend the notion of equality $f(\vec{a}_n) = g(\vec{b}_m)$ to include the case of *undefined calls*:

For any \vec{a}_n and \vec{b}_m , $f(\vec{a}_n) = g(\vec{b}_m)$ means precisely one of

- For some $k \in \mathbb{N}$, $f(\vec{a}_n) = k$ and $g(\vec{b}_m) = k$
- $f(\vec{a}_n) \uparrow \text{ and } g(\vec{b}_m) \uparrow$

For short,

$$f(\vec{a}_n) = g(\vec{b}_m) \equiv (\exists z) \Big(f(\vec{a}_n) = z \land g(\vec{b}_m) = z \lor f(\vec{a}_n) \uparrow \land g(\vec{b}_m) \uparrow \Big)$$



The definition is due to Kleene and he preferred, as I do in the text, to use a new symbol for the extended equality, namely \simeq .

Regardless, by way of this note we agree to use the same symbol for equality for **both** total and nontotal calls, namely, "=" (this convention is common in the literature, e.g., [Rog67]).

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0.0.2 Lemma. If f = prim(h,g) and h and g are **total**, then so is f.

Proof. Let f be given by:

$$f(0, \vec{y}) = h(\vec{y})$$

$$f(x+1, \vec{y}) = g(x, \vec{y}, f(x, \vec{y}))$$

We do induction on x to prove

"For all $x, \vec{y}, f(x, \vec{y}) \downarrow$ " (*)

Basis. x = 0: Well, $f(0, \vec{y}) = h(\vec{y})$, but $h(\vec{y}) \downarrow$ for all \vec{y} , so

$$f(0, \vec{y}) \downarrow \text{ for all } \vec{y}$$
 (**)

As I.H. (Induction *Hypothesis*) take that

$$f(x, \vec{y}) \downarrow \text{ for all } \vec{y} \text{ and } fixed x$$
 (†)

Do the Induction Step (I.S.) to show

$$f(x+1, \vec{y}) \downarrow \text{ for all } \vec{y} \text{ and the fixed } x \text{ of } (\dagger)$$
 (‡)

Well, by (\dagger) and the assumption on g,

$$g(x, \vec{y}, f(x, \vec{y})) \downarrow$$
, for all \vec{y} and the fixed x of (†)

which says the same thing as (\ddagger) .

0.0.3 Corollary. \mathcal{R} is closed under primitive recursion.

Proof. Let h and g be in \mathcal{R} . Then they are in \mathcal{P} . But then $prim(h,g) \in \mathcal{P}$ as we showed in class/text and Notes #2.

By 0.0.2, prim(h, g) is total.

By definition of \mathcal{R} , as the subset of \mathcal{P} that contains all total functions of \mathcal{P} , we have $prim(h,g) \in \mathcal{R}$.

P Why all this dance **in colour** above? Because to prove $f \in \mathcal{R}$ you need **TWO** things: That

1. $f \in \mathcal{P}$

AND

2. f is total

But aren't all the total functions in \mathcal{R} anyway?

NO! They need to be computable too!

We will see in this course soon that NOT all total functions are computable!

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0.0.1 Primitive Recursive Functions

We saw that

- 1. The successor -S
- 2. zero -Z
- 3. and the generalised identity functions $-U_i^n = \lambda \vec{x}_n \cdot x_i$

are all in \mathcal{P}

Thus, not only are they "*intuitively computable*", but they are so in a precise mathematical sense:

each is computable by a URM.

We have also shown that "*computability*" of functions is **preserved** by the operations of **composition**, **primitive recursion**, and **unbounded search**.

In this subsection we will explore the properties of the important set of functions known as **primitive recursive**.

Most people introduce them via **derivations** just *as one introduces the theorems of logic via proofs*, as in the definition below. 0.0.4 Definition. (\mathcal{PR} -derivations; \mathcal{PR} -functions) The set

$$\mathcal{I} = \left\{ S, Z, \left(U_i^n \right)_{n \ge i > 0} \right\}$$

is the set of Initial \mathcal{PR} functions.

A \mathcal{PR} -derivation is a finite (ordered!) sequence of numbertheoretic functions*

$$f_1, f_2, f_3, \dots, f_i, \dots, f_n \tag{1}$$

such that, for **each** *i*, *one* of the following holds

- 1. $f_i \in \mathcal{I}$.
- 2. $f_i = prim(f_j, f_k)$ and j < i and k < i—that is, f_j, f_k appear to the left of f_i .
- 3. $f_i = \lambda \vec{y}.g(r_1(\vec{y}), r_2(\vec{y}), \dots, r_m(\vec{y}))$, and all of the $\lambda \vec{y}.r_q(\vec{y})$ and $\lambda \vec{x}_m.g(\vec{x}_m)$ appear to the left of f_i in the sequence.

Any f_i in a derivation is called a **derived** function.[†]

The set of primitive recursive functions, \mathcal{PR} , is all those that are derived.

That is,

$$\mathcal{PR} \stackrel{Def}{=} \{ f : f \text{ is derived} \} \qquad \Box$$

The above definition defines essentially what Dedekind ([Ded88]) called "*re-cursive*" functions.

Subsequently they were renamed to *primitive recursive* allowing the unqualified term *recursive* to be synonymous with (total) *computable* and apply to the functions of \mathcal{R} .

^{*}**Recall**: That is, *left field* is \mathbb{N}^n for some n > 0, and *right field* is \mathbb{N} .

 $^{^{\}dagger}$ Strictly speaking, *primitive recursively derived*, but we will not considered other sets of derived functions, so we omit the qualification.

0.0.5 Lemma. The concatenation of two derivations is a derivation.

Proof. Let

$$f_1, f_2, f_3, \dots, f_i, \dots, f_n \tag{1}$$

and

$$g_1, g_2, g_3, \dots, g_j, \dots, g_m \tag{2}$$

be two derivations. Then so is

$$f_1, f_2, f_3, \dots, f_i, \dots, f_n, g_1, g_2, g_3, \dots, g_j, \dots, g_m$$

because of the fact that each of the f_i and g_j satisfies the three cases of Definition 0.0.4 in the standalone derivations (1) and (2). But this property of the f_i and g_j is preserved after concatenation.

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0.0.6 Corollary. The concatenation of any finite number of derivations is a derivation.

0.0.7 Lemma. If

$f_1, f_2, f_3, \ldots, f_k, f_{k+1}, \ldots, f_n$

is a derivation, then so is $f_1, f_2, f_3, \ldots, f_k$.

Proof. In $f_1, f_2, f_3, \ldots, f_k$ every f_m , for $1 \le m \le k$, satisfies 1.-3. of Definition 0.0.4 since all conditions are in terms of what f_m is, or what lies to the **left of** f_m . Chopping the "tail" f_{k+1}, \ldots, f_n in no way affects what lies to the left of f_m , for $1 \le m \le k$.

0.0.8 Corollary. $f \in \mathcal{PR}$ iff f appears at the **end** of some derivation.

Proof.

- (a) The *If.* Say g_1, \ldots, g_n, f is a derivation. Since f occurs in it, $f \in \mathcal{PR}$ by 0.0.4.
- (b) The Only If. Say $f \in \mathcal{PR}$. Then, by 0.0.4,

$$g_1, \ldots, g_m, \boxed{f}, g_{m+2}, \ldots, g_r$$
 (1)

for some derivation like the (1) above.

By 0.0.7,
$$g_1, \ldots, g_m$$
, $|f|$ is also a derivation.

Proof.

• Closure under **primitive recursion**. So let $\lambda \vec{y}.h(\vec{y})$ and $\lambda x \vec{y}z.g(x, \vec{y}, z)$ be in \mathcal{PR} . Thus we have derivations

$$h_1, h_2, h_3, \dots, h_n, \boxed{h} \tag{1}$$

and

$$g_1, g_2, g_3, \dots, g_m, g \tag{2}$$

Then the following is a derivation by 0.0.5.

$$h_1, h_2, h_3, \ldots, h_n, \boxed{h}, g_1, g_2, g_3, \ldots, g_m, \boxed{g}$$

Therefore so is

$$h_1, h_2, h_3, \ldots, h_n, \boxed{h}, g_1, g_2, g_3, \ldots, g_m, \boxed{g}, prim(h, g)$$

by applying step 2 of Definition 0.0.4.

This implies
$$prim(h,g) \in \mathcal{PR}$$
 by 0.0.4.

• Closure under composition. So let $\lambda \vec{y}.h(\vec{x}_n)$ and $\lambda \vec{y}.g_i(\vec{y})$, for $1 \leq i \leq n$, be in \mathcal{PR} . By 0.0.4 we have derivations

$$\boxed{\ldots, \boxed{h}} \tag{3}$$

 $\quad \text{and} \quad$

$$\ldots, \underline{g_i}$$
, for $1 \le i \le n$ (4)

By 0.0.5,

$$\boxed{\ldots, \boxed{h}}, \boxed{\ldots, \boxed{g_1}}, \ldots, \boxed{g_n}$$

is a derivation, and by 0.0.4, case 3, so is

$$\ldots, \boxed{h}, \ldots, \boxed{g_1}, \ldots, \boxed{g_n}, \lambda \vec{y} \cdot h(g_1(\vec{y}), \ldots, g_n(\vec{y}))$$

This implies $\lambda \vec{y}.h(g_1(\vec{y}),\ldots,g_n(\vec{y})) \in \mathcal{PR}$ by 0.0.4.

 \diamond 0.0.10 Remark. How do you prove that some $f \in \mathcal{PR}$?

Answer. By building a derivation

$$g_1,\ldots,g_m,f$$

After a while this becomes easier because

▶ you might **know** an h and g in \mathcal{PR} such that f = prim(h, g),

• or you might know some g, h_1, \ldots, h_m in \mathcal{PR} , such that $f = \lambda \vec{y} \cdot g(h_1(\vec{y}), \ldots, h_m(\vec{y}))$.

If so, just apply 0.0.9.

How do you prove that $ALL f \in \mathcal{PR}$ have a property Q—that is, for all f, Q(f) is true?

Answer. By doing induction on the derivation length of f. Here are two examples demonstarting the above questions and their answers.

0.0.11 Example. (1) To demonstrate the first Answer above (0.0.10), show (prove) that $\lambda xy.x + y \in \mathcal{PR}$. Well, observe that

$$0 + y = y$$

 $(x + 1) + y = (x + y) + 1$

Does the above <u>look</u> like a primitive recursion?

Well, almost.

However, the first equation should have a function call "H(y)" on the rhs but instead has just a variable y—the input!

Also the second equation should have a rhs like "G(x, y, x + y)".

We can do that!

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Take $H = U_1^1$ and $G = SU_3^3$ —NOTE the "SU₃" with no brackets around U_3^3 ; this is normal practise!

Be sure to agree that we now have

$$0 + y = H(y)$$
$$(x+1) + y = G(x, y, x + y)$$

• The functions $H = U_1^1$ (*initial*) and $G = SU_3^3$ (*composition*) are in \mathcal{PR} . By 0.0.9 so is $\lambda xy.x + y$.

In terms of derivations, we have produced the derivation:

$$\underbrace{U_1^1, S, U_3^3, SU_3^3, \underbrace{prim\left(U_1^1, SU_3^3\right)}_{\lambda xy.x+y}}_{\lambda xy.x+y}$$

(2) To demonstrate the second Answer above (0.0.10), show (prove) that every $f \in \mathcal{PR}$ is total. Induction on derivation length, n, where f occurs.

Basis. n = 1. Then f is the only function in the derivation. Thus it must be one of S, Z, or U_i^m . But all these are total.

I.H. (Induction Hypothesis) Fix an l. Assume that the claim is true for all f that occur at the end of derivations of lengths $n \leq l$. That is, we assume that all such f are total.

I.S. (Induction Step) Prove that the claim is true for all f that occur at the end of a derivation —see 0.0.8— of length n = l + 1.

$$g_1, \ldots, g_l, \left| f \right| \tag{1}$$

We have three subcases:

- $f \in \mathcal{I}$. But we argued this under *Basis*.
- f = prim(h,g), where h and g are among the g_1, \ldots, g_l . By the I.H. h and g are total. <u>Elaboration</u>: Any such g_i is at the end of a derivation of length $\leq l$. So I.H. kicks in.

But then so is f by Lemma 0.0.2.

• $f = \lambda \vec{y} \cdot h(q_1(\vec{y}), \dots, q_t(\vec{y}))$, where the functions h and q_1, \dots, q_t are among the g_1, \dots, g_l . By the I.H. h and q_1, \dots, q_t are total. But then so is f by a Lemma in the Notes #2, when we proved that \mathcal{R} is closed under composition.

0.0.12 Example. If $\lambda xyw.f(x, y, w)$ and $\lambda z.g(z)$ are in \mathcal{PR} , how about $\lambda xzw.f(x, g(z), w)$?

It is in \mathcal{PR} since, by *COMPOSITION*,

 $f(x, g(z), w) = f(U_1^3(x, z, w), \underline{g(U_2^3(x, z, w))}, U_3^3(x, z, w))$

and the U_i^n are all primitive recursive.

The reader will see at once that to the right of "=" we have correctly formed compositions as expected by the "rigid" definition of composition given in class.

Similarly, for the same functions above,

(1) $\lambda y w. f(2, y, w)$ is in \mathcal{PR} . Indeed, this function can be obtained by composition, since

$$f(2, y, w) = f\left(SSZ(U_1^2(y, w)), y, w\right)$$

where I wrote "SSZ(...)" as short for S(S(Z(...))) for visual clarity.

Clearly, using $SSZ(U_2^2(y, w))$ above works as well.

(2) $\lambda xyw.f(y, x, w)$ is in \mathcal{PR} . Indeed, this function can be obtained by composition, since

$$f(y, x, w) = f\left(U_2^3(x, y, w), U_1^3(x, y, w), U_3^3(x, y, w)\right)$$

For example, $\lambda xy.x - y$ asks that we subtract the second input (y) from the first (x), but $\lambda xy.y - x$ asks that we subtract the first input (x) from the second (y).

(3) $\lambda xy.f(x, y, x)$ is in \mathcal{PR} . Indeed, this function can be obtained by composition, since

$$f(x, y, x) = f(U_1^2(x, y), U_2^2(x, y), U_1^2(x, y))$$

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(4) $\lambda xyzwu.f(x, y, w)$ is in \mathcal{PR} . Indeed, this function can be obtained by composition, since

 $\lambda xyzwu.f(x, y, w) = \lambda xyzwu.f(U_1^5(x, y, z, w, u), U_2^5(x, y, z, w, u), U_4^5(x, y, z, w, u))$

The above four examples are summarised, <u>named</u>, and generalised in the following straightforward exercise:

0.0.13 Exercise. (The [Grz53] Substitution Operations) \mathcal{PR} is closed under the following operations:

- (i) Substitution of a function invocation for a variable: From λxyz.f(x, y, z) and λw.g(w) obtain λxwz.f(x, g(w), z).
- (ii) Substitution of a constant for a variable: From $\lambda \vec{x} y \vec{z} \cdot f(\vec{x}, y, \vec{z})$ obtain $\lambda \vec{x} \vec{z} \cdot f(\vec{x}, k, \vec{z})$.
- (iii) Interchange of two variables:
 From λxyzwu.f(x, y, z, w, u) obtain λxyzwu.f(x, w, z, y, u).
- (iv) Identification of two variables: From $\lambda \vec{x} y \vec{z} w \vec{u} . f(\vec{x}, y, \vec{z}, w, \vec{u})$ obtain $\lambda \vec{x} y \vec{z} \vec{u} . f(\vec{x}, y, \vec{z}, y, \vec{u})$.
- (v) Introduction of "don't care" variables: From $\lambda \vec{x}.f(\vec{x})$ obtain $\lambda \vec{x} \vec{z}.f(\vec{x})$.

By 0.0.13 composition can simulate the Grzegorczyk operations if the initial functions \mathcal{I} are present.

Of course, (i) alone can in turn simulate composition. With these comments out of the way, we see that the "rigidity" of the definition of composition is gone.

0.0.14 Example. The definition of primitive recursion is also <u>rigid</u>. *How*ever this is also an illusion.

Take p(0) = 0 and p(x + 1) = x—this one defining $p = \lambda x \cdot x - 1$ —does not fit the schema.

The schema requires the defined function to have one more variable than the basis, so no one-variable function can be directly defined!

We can get around this.

Define first $\tilde{p} = \lambda xy \cdot x \div 1$ as follows: $\tilde{p}(0, y) = 0$ and $\tilde{p}(x+1, y) = x$.

Now this can be dressed up according to the syntax of the schema,

$$\begin{aligned} \widetilde{p}(0,y) &= Z(y) \\ \widetilde{p}(x+1,y) &= U_1^3(x,y,\widetilde{p}(x,y)) \end{aligned}$$

that is, $\widetilde{p} = prim(Z, U_1^3)$.

Then we can get p by (Grzegorczyk) substitution: $p = \lambda x. \tilde{p}(x, 0).$

Incidentally, this shows that both p and \tilde{p} are in \mathcal{PR} :

- $\widetilde{p} = prim(Z, U_1^3)$ is in \mathcal{PR} since Z and U_1^3 are, then invoking 0.0.9.
- $p = \lambda x. \widetilde{p}(x, 0)$ is in \mathcal{PR} since \widetilde{p} is, then invoking 0.0.13.

Lecture # 7 (Sept. 30)

Another rigidity in the definition of primitive recursion is that, apparently, one can use only the <u>first</u> variable as the iterating variable.

Not so. This is also an illusion.

Consider, for example, $sub = \lambda xy.x \div y$, hence $x \div 0 = x$ and $x \div (y+1) = p(x \div y)$

Clearly, sub(x, 0) = x and sub(x, y + 1) = p(sub(x, y))is correct semantically, but the **format** is wrong:

We are not supposed to iterate along the second variable!

Well, define instead
$$sub = \lambda xy.y \div x$$
:

 So

$$y \stackrel{\cdot}{\to} 0 = y$$

$$y \stackrel{\cdot}{\to} (x+1) = p\left(y \stackrel{\cdot}{\to} x\right)$$

That is,

$$\widetilde{sub}(0,y) = U_1^1(y)$$

$$\widetilde{sub}(x+1,y) = p(U_3^3(x,y,\widetilde{sub}(x,y)))$$

Then, using variable swapping [Grzegorczyk operation (iii)], we can get sub:

$$sub = \lambda xy.sub(y, x).$$

Clearly, both
$$sub$$
 and sub are in \mathcal{PR} .

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0.0.15 Exercise. Prove that $\lambda xy.x \times y$ is primitive recursive. Of course, we will usually write multiplication $x \times y$ in "implied notation", xy.

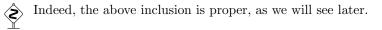
0.0.16 Example. The very important "switch" (or "if-thenelse") function

 $sw = \lambda xyz$ if x = 0 then y else z

is primitive recursive.

It is directly obtained by primitive recursion on initial functions: sw(0, y, z) = y and sw(x + 1, y, z) = z. \Box

0.0.17 Exercise. $\mathcal{PR} \subseteq \mathcal{R}$.



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0.0.18 Example. Consider the exponential function x^y given by

$$\begin{array}{l} x^0 = 1 \\ x^{y+1} = x^y x \end{array}$$

Thus,

if
$$x = 0$$
, then $x^y = 1$, but $x^y = 0$ for all $y > 0$.

 $\textcircled{BUT}_{y=0,\ddagger} \text{ that } x^y \text{ is "mathematically" undefined when } x = y = 0.\ddagger$

Thus, by Example 0.0.11 the exponential cannot be a primitive recursive function!

This is rather *silly*, since the *computational process for the exponential is so straightforward*; thus it is *ridiculous* to declare the function non- \mathcal{PR} .

After all, we know exactly where and how it is undefined and we can remove this undefinability by redefining " x^y " so that " $0^0 = 1$ ". In computability we do this kind of redefinition a lot in order to remove easily recognisable points of "non definition" of calculable functions.

We will see further examples, such as the remainder, quotient, and logarithm functions.

BUT also examples where we CANNOT do this; and WHY.

^{\ddagger}In first-year university calculus we learn that "0⁰" is an "indeterminate form".

0.0.19 Definition. A relation $R(\vec{x})$ is (*primitive*) recursive iff its characteristic function,

$$c_R = \lambda \vec{x}. \begin{cases} 0 & \text{if } R(\vec{x}) \\ 1 & \text{if } \neg R(\vec{x}) \end{cases}$$

is (primitive) recursive. The set of all primitive recursive (respectively, recursive) relations is denoted by \mathcal{PR}_* (respectively, \mathcal{R}_*).

 \diamond Computability theory practitioners often call relations *predicates*.

It is clear that one can go from <u>relation</u> to <u>characteristic function</u> and back in a unique way,

Thus, we may think of relations as "0-1 valued" functions.

The concept of relation *simplifies* the further development of the theory of primitive recursive functions.

The following is useful:

0.0.20 Proposition. $R(\vec{x}) \in \mathcal{PR}_*$ iff some $f \in \mathcal{PR}$ exists such that, for all \vec{x} , $R(\vec{x}) \equiv f(\vec{x}) = 0$.

Proof. For the if-part, I want $c_R \in \mathcal{PR}$.

This is so since $c_R = \lambda \vec{x} \cdot 1 \div (1 \div f(\vec{x}))$ (using Grzegorczyk substitution and $\lambda xy \cdot x \div y \in \mathcal{PR}$; cf. 0.0.14).

For the only if-part,
$$f = c_R$$
 will do.

0.0.21 Corollary. $R(\vec{x}) \in \mathcal{R}_*$ iff some $f \in \mathcal{R}$ exists such that, for all \vec{x} , $R(\vec{x}) \equiv f(\vec{x}) = 0$.

Proof. By the above proof, and 0.0.17.

0.0.22 Corollary. $\mathcal{PR}_* \subseteq \mathcal{R}_*$.

Proof. By the above corollary and 0.0.17. $\hfill \square$

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0.0.23 Theorem. \mathcal{PR}_* is closed under the Boolean operations.

Proof. It suffices to look at the cases of \neg and \lor , since $R \to Q \equiv \neg R \lor Q$, $R \land Q \equiv \neg (\neg R \lor \neg Q)$ and $R \equiv Q$ is short for $(R \to Q) \land (Q \to P)$.

(¬) Say, $R(\vec{x}) \in \mathcal{PR}_*$. Thus (0.0.19), $c_R \in \mathcal{PR}$. But then $c_{\neg R} \in \mathcal{PR}$, since $c_{\neg R} = \lambda \vec{x} \cdot 1 - c_R(\vec{x})$, by Grzegorczyk substitution and $\lambda xy \cdot x - y \in \mathcal{PR}$.

(\vee) Let $R(\vec{x}) \in \mathcal{PR}_*$ and $Q(\vec{y}) \in \mathcal{PR}_*$. Then $\lambda \vec{x} \vec{y} . c_{R \vee Q}(\vec{x}, \vec{y})$ is given by $c_{R \vee Q}(\vec{x}, \vec{y}) = \text{if } R(\vec{x}) \text{ then } 0 \text{ else } c_Q(\vec{y})$

and therefore is in \mathcal{PR} .

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0.0.24 Remark. Alternatively, for the \lor case above, note that $c_{R\lor Q}(\vec{x}, \vec{y}) = c_R(\vec{x}) \times c_Q(\vec{y})$ and invoke 0.0.15. \Box

0.0.25 Corollary. \mathcal{R}_* is closed under the Boolean operations. *Proof.* As above, mindful of 0.0.17.

0.0.26 Example. The relations $x \leq y, x < y, x = y$ are in \mathcal{PR}_* .

An addendum to λ notation: Absence of λ is allowed ONLY for relations! Then it means (the absence, that is) that ALL variables are active input!

Note that $x \leq y \equiv x - y = 0$ and invoke 0.0.20. Finally invoke Boolean closure and note that $x < y \equiv \neg y \leq x$ while x = y is equivalent to $x \leq y \land y \leq x$.

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