

Theory of Computation

Course note based on *Computability, Complexity, and Languages: Fundamentals of Theoretical Computer Science*, 2nd edition, authored by Martin Davis, Ron Sigal, and Elaine J. Weyuker.

course note prepared by

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About This Course Note

- It is prepared for the course *Theory of Computation* taught at the National Taiwan University in Spring 2010.
- It follows very closely the book *Computability, Complexity, and Languages: Fundamentals of Theoretical Computer Science*, 2nd edition, by Martin Davis, Ron Sigal, and Elaine J. Weyuker. Morgan Kaufmann Publishers. ISBN: 0-12-206382-1.
- It is available from Tyng-Ruey Chuang's web site:

<http://www.iis.sinica.edu.tw/~trc/>

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1 Preliminaries (1)

1.1 Functions (1.2)

One-One Functions

- A function is *one-one* if, for all x, y in the domain of f , $f(x) = f(y)$ implies $x = y$.
- That is, if $x \neq y$, then $f(x) \neq f(y)$.
- Function $f(n) = n^2$ is one-one.
- Function $u_1^2(x_1, x_2) = x_1$ is not one-one as, for example, both $u_1^2(0, 0)$ and $u_1^2(0, 1)$ map to 0.

Onto Functions

- If the range of f is the set S , then we say f is an *onto* function with respect to S , or simply that f is *onto* S .
- Function $f(n) = n^2$ is onto the set of perfect squares $\{n^2 \mid n \in N\}$, but is not onto N .
- Let $S_1 \times S_2$ be domain of function $u_1^2(x_1, x_2) = x_1$, then function $u_1^2(x_1, x_2)$ is onto S_1 .

2 Programs and Computable Functions (2)

2.1 Computable Functions (2.4)

Programs Accepting Any Number of Inputs

- We permit each program to be used with any number of inputs.
- If the program has n input variables, but only $m < n$ are specified, the remaining $n - m$ input variables are assigned the value 0 and the computation proceeds.
- On the other hand, if $m > n$ values are specified, then the extra input values are ignored.

Programs Accepting Any Number of Inputs, Examples

- Consider the following program \mathcal{P} that computes $x_1 + x_2$,

```

      Y ← X1
      Z ← X2
[B]  IF Z ≠ 0 GOTO A
      GOTO E
[A]  Z ← Z - 1
      Y ← Y + 1
      GOTO B
```

- We have

$$\begin{aligned}\Psi_{\mathcal{P}}^{(1)}(r_1) &= r_1 + 0 = r_1 \\ \Psi_{\mathcal{P}}^{(3)}(r_1, r_2, r_3) &= r_1 + r_2\end{aligned}$$

3 Primitive Recursive Functions (3)

3.1 PRC Classes (3.3)

Initial Functions

The following functions are called *initial functions*:

$$\begin{aligned} s(x) &= x + 1, \\ n(x) &= 0, \\ u_i^n(x_1, \dots, x_n) &= x_i, \quad 1 \leq i \leq n. \end{aligned}$$

Note: Function u_i^n is called the *projection function*. For example, $u_3^4(x_1, x_2, x_3, x_4) = x_3$.

Primitive Recursively Closed (PRC)

A class of total functions \mathcal{C} is called a *PRC class* if

- the initial functions belong to \mathcal{C} ,
- a function obtained from functions belonging to \mathcal{C} by either composition or recursion also belongs to \mathcal{C} .

Computable Functions are Primitive Recursively Closed

Theorem 3.1. The class of computable functions is a PRC class. *Proof.* We have shown computable functions are closed under composition and recursion (Theorem 1.1 & 2.2). We need only verify the initial functions are computable. They are computed by the following programs.

$$\boxed{s(x) = x + 1} \quad Y \leftarrow X + 1;$$

$$\boxed{n(x)} \quad \text{the empty program};$$

$$\boxed{u_i^n(x_1, \dots, x_n)} \quad Y \leftarrow X_i.$$

□

Primitive Recursive Functions

A function is called *primitive recursive* if it can be obtained from the initial functions by a finite number of applications of composition and recursion. Note that, by the above definition and the definition of Primitive Recursively Closed (PRC), it follows that:

Corollary 3.2. The class of primitive recursive function is a PRC class.

Primitive Recursive Functions & PRC Classes

Theorem 3.3. A function is primitive recursive if and only if it belongs to every PRC class. *Proof.* (\Leftarrow) If a function belongs to every PRC class, then by Corollary 3.2, it belongs to the class of primitive recursive functions.

(\Rightarrow) If f is primitive recursive, then there is a list of functions f_1, f_2, \dots, f_n such that $f_n = f$ and for each $f_i, 1 \leq i < n$, either

- f_i is an initial function, or
- f_i can be obtained from the preceding functions in the list by composition or recursion.

However, the initial functions belong to any PRC class \mathcal{C} . Furthermore, all functions obtained from functions in \mathcal{C} by composition or recursion also belong to \mathcal{C} . It follows that each function $f_1, f_2, \dots, f_n = f$ in the above list is in \mathcal{C} . \square

Primitive Recursive Functions Are Computable

Corollary 3.4. Every primitive recursive function is computable. *Proof.* By Theorem 3.4, every primitive recursive function belongs to the PRC class of computable functions so is computable. \square Note that,

- If a function f is shown to be primitive recursive, by the above Corollary, f can be expressed as a program in language \mathcal{S} .
- Not only we know there is program in \mathcal{S} for f , by Theorem 3.1 (1.1 & 2.2), we also know how to write this program.
- Furthermore, the program so written will always terminate.

However, if a function f is computable (that is, it is total and expressible in \mathcal{S}), it is not necessarily that f is primitive recursive. (A counter example will be shown later in this course.)

3.2 Some Primitive Recursive Functions/Predicates (3.4, 3.5)

Function $f(x, y) = x + y$ Is Primitive Recursive

Function f can be defined by the recursion equations:

$$\begin{aligned}f(x, 0) &= x, \\f(x, y + 1) &= f(x, y) + 1.\end{aligned}$$

The above can be rewritten as

$$\begin{aligned}f(x, 0) &= u_1^1(x), \\f(x, y + 1) &= g(y, f(x, y), x),\end{aligned}$$

where

$$g(x_1, x_2, x_3) = s(u_2^3(x_1, x_2, x_3)).$$

Function $h(x, y) = x \cdot y$ Is Primitive Recursive

Function h can be defined by the recursion equations:

$$\begin{aligned} h(x, 0) &= 0, \\ h(x, y + 1) &= h(x, y) + x. \end{aligned}$$

The above can be rewritten as

$$\begin{aligned} h(x, 0) &= n(x), \\ h(x, y + 1) &= g(y, h(x, y), x), \end{aligned}$$

where

$$\begin{aligned} g(x_1, x_2, x_3) &= f(u_2^3(x_1, x_2, x_3), u_3^3(x_1, x_2, x_3)), \\ f(x, y) &= x + y. \end{aligned}$$

Function $h(x) = x!$ Is Primitive Recursive

Function $h(x)$ can be defined by

$$\begin{aligned} h(0) &= 1, \\ h(t + 1) &= g(t, h(t)), \end{aligned}$$

where

$$g(x_1, x_2) = s(x_1) \cdot x_2.$$

Note that g is primitive recursive because

$$g(x_1, x_2) = s(u_1^2(x_1, x_2)) \cdot u_2^2(x_1, x_2).$$

Function $power(x, y) = x^y$ Is Primitive Recursive

Function $power$ can be defined by

$$\begin{aligned} power(x, 0) &= 1, \\ power(x, y + 1) &= power(x, y) \cdot x. \end{aligned}$$

Note that these equations assign the value 1 to the “indeterminate” 0^0 . The above definition can be further rewritten into

The Predecessor Function Is Primitive Recursive

The predecessor function $pred(x)$ is defined as follows:

$$pred(x) = \begin{cases} x - 1 & \text{if } x \neq 0 \\ 0 & \text{if } x = 0. \end{cases}$$

Note that function $pred$ corresponds to the instruction $X \leftarrow X - 1$ in programming language \mathcal{S} . The above definition can be further rewritten into

Function $x \dot{-} y$ Is Primitive Recursive

Function $x \dot{-} y$ is defined as follows:

$$x \dot{-} y = \begin{cases} x - y & \text{if } x \geq y \\ 0 & \text{if } x < y. \end{cases}$$

Note that function $x \dot{-} y$ is different from function $x - y$, which is undefined if $x < y$. In particular, $x \dot{-} y$ is total while $x - y$ is not. Function $x \dot{-} y$ is primitive recursive because

$$\begin{aligned} x \dot{-} 0 &= x, \\ x \dot{-} (t + 1) &= \text{pred}(x \dot{-} t). \end{aligned}$$

The above definition can be further rewritten into

Function $|x - y|$ Is Primitive Recursive

Function $|x - y|$ can be defined as follows:

$$|x - y| = (x \dot{-} y) + (y \dot{-} x)$$

It is primitive recursive because the above definition can be further rewritten into

Is Function $\alpha(x)$ below Primitive Recursive?

Function $\alpha(x)$ is defined as:

$$\alpha(x) = \begin{cases} 1 & \text{if } x = 0 \\ 0 & \text{if } x \neq 0. \end{cases}$$

It is primitive recursive because

 $x = y$ Is Primitive Recursive

Is the function $d(x, y)$ below primitive recursive?

$$d(x, y) = \begin{cases} 1 & \text{if } x = y \\ 0 & \text{if } x \neq y \end{cases}$$

It is because $d(x, y) = \alpha(|x - y|)$.

Is $x \leq y$ Primitive Recursive?

It is primitive recursive because $x \leq y = \alpha(x \dot{-} y)$.

Logic Connectives Are Primitive Recursively Closed

Theorem 5.1. Let \mathcal{C} be a PRC class. If P, Q are predicates that belong to \mathcal{C} , then so are $\sim P, P \vee Q$, and $P \& Q$. *Proof.* We define $\sim P, P \vee Q$, and $P \& Q$ as follows:

$$\begin{aligned}\sim P &= \alpha(P) \\ P \& Q &= P \cdot Q \\ P \vee Q &= \sim(\sim P \& \sim Q)\end{aligned}$$

We conclude that $\sim P, P \vee Q$, and $P \& Q$ all belong to \mathcal{C} . □

Logic Connectives Are Primitive Recursive and Computable

Corollary 5.2. If P, Q are primitive recursive predicates, then so are $\sim P, P \vee Q$, and $P \& Q$. **Corollary 5.3.** If P, Q are computable predicates, then so are $\sim P, P \vee Q$, and $P \& Q$.

Is $x < y$ Primitive Recursive?

It is primitive recursive because

$$x < y \Leftrightarrow \sim(y \leq x).$$

Definition by Cases

Theorem 5.4. Let \mathcal{C} be a PRC class. Let functions g, h and predicate P belong to \mathcal{C} . Let function

$$f(x_1, \dots, x_n) = \begin{cases} g(x_1, \dots, x_n) & \text{if } P(x_1, \dots, x_n) \\ h(x_1, \dots, x_n) & \text{otherwise.} \end{cases}$$

Then f belongs to \mathcal{C} . *Proof.* Function f belongs to \mathcal{C} because

$$\begin{aligned}f(x_1, \dots, x_n) &= g(x_1, \dots, x_n) \cdot P(x_1, \dots, x_n) \\ &+ h(x_1, \dots, x_n) \cdot \alpha(P(x_1, \dots, x_n)).\end{aligned}$$

□

Definition by Cases, More

Corollary 5.5. Let \mathcal{C} be a PRC class. Let n -ary functions g_1, \dots, g_m, h and predicates P_1, \dots, P_m belong to \mathcal{C} , and let

$$P_i(x_1, \dots, x_n) \& P_j(x_1, \dots, x_n) = 0$$

for all $1 \leq i \leq j \leq m$ and all x_1, \dots, x_n . If

$$f(x_1, \dots, x_n) = \begin{cases} g_1(x_1, \dots, x_n) & \text{if } P_1(x_1, \dots, x_n) \\ \vdots & \vdots \\ g_m(x_1, \dots, x_n) & \text{if } P_m(x_1, \dots, x_n) \\ h(x_1, \dots, x_n) & \text{otherwise.} \end{cases}$$

then f also belongs to \mathcal{C} . *Proof.* Proved by a mathematical induction on m . □

3.3 Iterated Operations and Bounded Quantifiers (3.6)

Iterated Operations

Theorem 6.1. Let \mathcal{C} be a PRC class. If function $f(t, x_1, \dots, x_n)$ belongs to \mathcal{C} , then so do the functions g and h

$$g(y, x_1, \dots, x_n) = \sum_{t=0}^y f(t, x_1, \dots, x_n)$$

$$h(y, x_1, \dots, x_n) = \prod_{t=0}^y f(t, x_1, \dots, x_n)$$

Proof. Functions g and h each can be recursively defined as

$$\begin{aligned} g(0, x_1, \dots, x_n) &= f(0, x_1, \dots, x_n), \\ g(t+1, x_1, \dots, x_n) &= g(t, x_1, \dots, x_n) + f(t+1, x_1, \dots, x_n), \\ h(0, x_1, \dots, x_n) &= f(0, x_1, \dots, x_n), \\ h(t+1, x_1, \dots, x_n) &= h(t, x_1, \dots, x_n) \cdot f(t+1, x_1, \dots, x_n). \end{aligned}$$

□

Iterated Operations, More

Corollary 6.2. Let \mathcal{C} be a PRC class. If function $f(t, x_1, \dots, x_n)$ belongs to \mathcal{C} , then so do the functions

$$g(y, x_1, \dots, x_n) = \sum_{t=1}^y f(t, x_1, \dots, x_n)$$

and

$$h(y, x_1, \dots, x_n) = \prod_{t=1}^y f(t, x_1, \dots, x_n).$$

In the above, we assume that

$$\begin{aligned} g(0, x_1, \dots, x_n) &= 0, \\ h(0, x_1, \dots, x_n) &= 1. \end{aligned}$$

Bounded Quantifiers

Theorem 6.3. If predicate $P(t, x_1, \dots, x_n)$ belongs to some PRC class \mathcal{C} , then so do the predicates

$$(\forall t)_{\leq y} P(t, x_1, \dots, x_n)$$

and

$$(\exists t)_{\leq y} P(t, x_1, \dots, x_n)$$

Proof. We need only observe that

$$(\forall t)_{\leq y} P(t, x_1, \dots, x_n) \Leftrightarrow \prod_{t=0}^y P(t, x_1, \dots, x_n) = 1$$

and

$$(\exists t)_{\leq y} P(t, x_1, \dots, x_n) \Leftrightarrow \sum_{t=0}^y P(t, x_1, \dots, x_n) \neq 0$$

□

Bounded Quantifiers, More

Note that

$$(\forall t)_{< y} P(t, x_1, \dots, x_n) \Leftrightarrow (\forall t)_{\leq y} [t = y \vee P(t, x_1, \dots, x_n)],$$

and

$$(\exists t)_{< y} P(t, x_1, \dots, x_n) \Leftrightarrow (\exists t)_{\leq y} [t \neq y \ \& \ P(t, x_1, \dots, x_n)].$$

Therefore, both the quantifiers $(\forall t)_{< y}$ and $(\exists t)_{< y}$ are primitive recursively closed.

$y|x$ Is Primitive Recursive

The “ y is a divisor of x ” predicate $y|x$ is primitive recursive because

$$y|x \Leftrightarrow (\exists t)_{\leq x} (y \cdot t = x).$$

Prime(x) Is Primitive Recursive

The “ x is a prime” predicate Prime(x) is primitive recursive because

$$\text{Prime}(x) \Leftrightarrow x > 1 \ \& \ (\forall t)_{\leq x} [t = 1 \vee t = x \vee \sim (t|x)].$$

3.4 Minimalization (3.7)

Bounded Minimalization

What does the following function g do?

$$g(y, x_1, \dots, x_n) = \sum_{u=0}^y \prod_{t=0}^u \alpha(P(t, x_1, \dots, x_n))$$

It computes the least value $t \leq y$ for which $P(t, x_1, \dots, x_n)$ is true! To see why, let $t_0 \leq y$ such that

$$P(t, x_1, \dots, x_n) = 0 \quad \text{for all } t < t_0,$$

but

$$P(t_0, x_1, \dots, x_n) = 1$$

Then

$$\prod_{t=0}^u \alpha(P(t, x_1, \dots, x_n)) = \begin{cases} 1 & \text{if } u < t_0, \\ 0 & \text{if } u \geq t_0. \end{cases}$$

Hence $g(y, x_1, \dots, x_n) = \sum_{u < t_0} 1 = t_0$.

Bounded Minimalization, Continued

Define

$$\min_{t \leq y} P(t, x_1, \dots, x_n) = \begin{cases} g(y, x_1, \dots, x_n) & \text{if } (\exists t)_{\leq y} P(t, x_1, \dots, x_n), \\ 0 & \text{otherwise.} \end{cases}$$

Thus, $\min_{t \leq y} P(t, x_1, \dots, x_n)$, is the least value $t \leq y$ for which $P(t, x_1, \dots, x_n)$ is true, if such exists; otherwise it assumes the (default) value 0. **Theorem 7.1.** $\min_{t \leq y} P(t, x_1, \dots, x_n)$ is in PRC class \mathcal{C} if $P(t, x_1, \dots, x_n)$ is in \mathcal{C} . *Proof.* By Theorems 5.4 and 6.3. \square

$\lfloor x/y \rfloor$ Is Primitive Recursive

$\lfloor x/y \rfloor$ is the “integer part” of the quotient x/y . The equation

$$\lfloor x/y \rfloor = \min_{t \leq x} [(t+1) \cdot y > x]$$

shows that $\lfloor x/y \rfloor$ is primitive recursive. Note that according to this definition, $\lfloor x/0 \rfloor = 0$.

$R(x, y)$, The Remainder Function, Is Primitive Recursive

$R(x, y)$ is the remainder when x is divided by y . As we can write

$$R(x, y) = x - (y \cdot \lfloor x/y \rfloor)$$

so that $R(x, y)$ is primitive recursive. Note that $R(x, 0) = x$.

p_n , The n th Prime Number, Is Primitive Recursive

Note that $p_0 = 0, p_1 = 2, p_2 = 3, p_3 = 5$, etc. p_n is defined by the following recursive equations

$$\begin{aligned} p_0 &= 0, \\ p_{n+1} &= \min_{t \leq p_n! + 1} [\text{Prime}(t) \ \& \ t > p_n] \end{aligned}$$

so it is primitive recursive. Note that $p_n! + 1$ is not divisible by any of the primes p_1, p_2, \dots, p_n . So, either $p_n! + 1$ is itself a prime or it is divisible by a prime greater than p_n . In either case, there is a prime q such that $p_n < q \leq p_n! + 1$.

p_n Is Primitive Recursive, Continued

To be precise, we shall first define a primitive recursive function

$$h(y, z) = \min_{t \leq z} [\text{Prime}(t) \ \& \ t > y].$$

Then we define another primitive function

$$k(x) = h(x, x! + 1)$$

Finally, p_n is defined as

$$\begin{aligned} p_0 &= 0, \\ p_{n+1} &= k(p_n), \end{aligned}$$

and it is concluded that p_n is primitive recursive.

Minimalization, With No Bound

We write

$$\min_y P(x_1, \dots, x_n, y)$$

for the least value of y for which the predicate P is true *if there is one*. *If there is no value of y for which $P(x_1, \dots, x_n, y)$ is true, then $\min_y P(x_1, \dots, x_n, y)$ is **undefined**.* Note that unbounded minimalization of a predicate can easily produce function which is not total. For example,

$$x - y = \min_z [y + z = x]$$

is undefined for $x < y$.

Unbounded Minimalization is Partially Computable

Theorem 7.2. If $P(x_1, \dots, x_n, y)$ is a computable predicate and if

$$g(x_1, \dots, x_n) = \min_y P(x_1, \dots, x_n, y)$$

then g is a partially computable function. *Proof.* The following program computes g :

[A] IF $P(X_1, \dots, X_n, Y)$ GOTO E
 $Y \leftarrow Y + 1$
GOTO A

□

3.5 Pairing Functions and Gödel Numbers (3.9)

Pairing Functions

- There is a one-one and onto function from $N \times N$ to N (with domain $N \times N$ and range N). This function is called a pairing function.
- That is, we can map a pair of numbers to a single number, and back, without losing information. Likewise, we can compute from any number a pair of numbers, and back, without missing anything.
- The primitive recursive function

$$\langle x, y \rangle = 2^x(2y + 1) \dot{-} 1$$

is a pairing function.

- $\langle 0, 0 \rangle = 0, \langle 1, 0 \rangle = 1, \langle 0, 1 \rangle = 2, \dots$

The Pairing Function $\langle x, y \rangle = 2^x(2y + 1) \dot{-} 1$

- Note that $2^x(2y + 1) \neq 0$, so

$$\langle x, y \rangle + 1 = 2^x(2y + 1)$$

- If z is any given number, then there is a *unique* solution x, y to the equation $\langle x, y \rangle = z$.
- Namely, x is the largest number such that $2^x | (z + 1)$, and y is then the solution of the equation $2y + 1 = (z + 1)/2^x$.
- The pairing function thus defines two functions l and r such that $x = l(z)$ and $y = r(z)$.

The Pairing Function $\langle x, y \rangle = 2^x(2y + 1) \dot{-} 1$, Continued

If $\langle x, y \rangle = z$, then $x, y < z + 1$. Hence, $l(z) \leq z$, and $r(z) \leq z$. We can write

$$l(z) = \min_{x \leq z} [(\exists y)_{\leq z} (z = \langle x, y \rangle)],$$

$$r(z) = \min_{y \leq z} [(\exists x)_{\leq z} (z = \langle x, y \rangle)],$$

so that $l(z)$ and $r(z)$ are primitive recursive functions.

Pairing Function Theorem

Theorem 8.1. The functions $\langle x, y \rangle$, $l(z)$, and $r(z)$ have the following properties:

1. they are primitive recursive;
2. $l(\langle x, y \rangle) = x$, $r(\langle x, y \rangle) = y$;
3. $\langle l(z), r(z) \rangle = z$;
4. $l(z), r(z) \leq z$.

Gödel Number

We define the *Gödel Number* of the sequence (a_1, \dots, a_n) to be the number

$$[a_1, \dots, a_n] = \prod_{i=1}^n p_i^{a_i}$$

Thus, the the Gödel number of the sequence $(3, 1, 5, 4, 6)$ is

$$[3, 1, 5, 4, 6] = 2^3 \cdot 3^1 \cdot 5^5 \cdot 7^4 \cdot 11^6$$

For each fixed n , the function $[a_1, \dots, a_n]$ is clearly primitive recursive. Note that the Gödel numbering method encodes and decodes arbitrary finite sequences of numbers.

Uniqueness Property of Gödel Numbering

Theorem 8.2. If $[a_1, \dots, a_n] = [b_1, \dots, b_n]$, then

$$a_i = b_i$$

for all $i = 1, \dots, n$.

□ This result is an immediate consequence of the uniqueness of the factorization of integers into primes, sometimes referred to as the *unique factorization theorem*. Note that,

$$1 = 2^0 = 2^0 3^0 = 2^0 3^0 5^0 = \dots,$$

hence it is natural to regard 1 as the Gödel number of the “empty” sequence (i.e., the sequence of length 0).

Function $(x)_i$

We now define a primitive recursive function $(x)_i$ so that if

$$x = [a_1, \dots, a_n]$$

then $(x)_i = a_i$. We set

$$(x)_i = \min_{t \leq x} (\sim p_i^{t+1} | x)$$

Note that $(x)_0 = 0$, and $(0)_i = 0$ for all i .

Function $Lt(x)$

We also define the “length” function Lt ,

$$Lt(x) = \min_{i \leq x} [(x)_i \neq 0 \ \& \ (\forall j)_{\leq x} (j \leq i \vee (x)_j = 0)]$$

For example, if $x = 20 = 2^2 \cdot 5^1 = [2, 0, 1]$ then $(x)_1 = 2, (x)_2 = 0, (x)_3 = 1$, but $(x)_4 = 0, (x)_5 = 0, \dots, (x)_i = 0$, for all $i \geq 4$. So $Lt(20) = 3$. Note that $Lt(0) = Lt(1) = 0$. If $x > 1$, and $Lt(x) = n$, then p_n divides x but no prime greater than p_n divides x .

Sequence Number Theorem**Theorem 8.3.**

1.

$$([a_1, \dots, a_n])_i = \begin{cases} a_i & \text{if } 1 \leq i \leq n \\ 0 & \text{otherwise.} \end{cases}$$

2.

$$[(x)_1, \dots, (x)_n] = x \text{ if } n \geq Lt(x).$$

□