

§ 7 Gödel's Incompleteness Theorems

(an embedded, self-contained talk) § 7.20

7.0 Aim: Statement of 7.18 : $T \not\vdash \text{Cons}(T)$ ($PA \subseteq NT \subseteq T$)

- 7.1 Motivation:
- 19th Century: infinitely small objects in analysis appear
 \rightarrow what is \mathbb{R} , what is a set, what is infinity?
 Russell 1903: $R := \{x \mid x \notin x\} \in R \iff R \notin R$
 \rightarrow crisis of mathematics, what are our axioms?
 - Hilbert 1900, 2nd problem: Are the Peano axioms (defining \mathbb{N} and number theory) consistent, i.e. free from contradictions?
 - Gödel 1931, 2nd Incompleteness Thm: We can't tell!
 No system can prove its own consistency: $T \not\vdash \text{Cons}(T)$

7.2 Computability: • What is a computation? How to formalize computability?

• Given a function $f: \mathbb{N} \rightarrow \mathbb{N}$, we may understand it by its values:

n	f(n)
0	0
1	2
2	4
3	6
⋮	⋮

But how to compute its values? Distinction between function and term.

- PRT: $\stackrel{1.1}{\iff} \begin{cases} \underline{S} \in \text{PRT} \\ \underline{C}_k^n \in \text{PRT} \\ \underline{P}_k^n \in \text{PRT} \\ \underline{\text{Sub}}(h, g_1, \dots, g_m) \in \text{PRT} \\ \text{if } h, g_i \in \text{PRT} \\ \underline{\text{Rec}}(g, h) \in \text{PRT} \\ \text{if } g, h \in \text{PRT} \end{cases}$
- $\stackrel{1.2}{\rightsquigarrow} \begin{cases} \text{val}(\underline{S}): \mathbb{N} \rightarrow \mathbb{N} \\ n \mapsto n+1 \\ \text{val}(\underline{C}_k^n): \mathbb{N}^m \rightarrow \mathbb{N} \\ n \mapsto k \\ \text{val}(\underline{P}_k^n)(x_1, \dots, x_n) = x_k \\ \text{val}(\underline{\text{Sub}}(-)) \text{ composition} \\ \text{val}(\underline{\text{Rec}}(-)) \text{ Recursion} \end{cases}$

$$f \in \text{PRF} : \stackrel{1.6}{\iff} \exists \underline{f} \in \text{PRT} : \text{val}(\underline{f}) = f$$

\Downarrow primitive recursive functions

$$f \in \text{PF} : \stackrel{2.3}{\iff} \exists \underline{f} \in \text{PRT} \cup \{\text{unbounded search for smallest } w\} \\ \text{val}(\underline{f}) = f$$

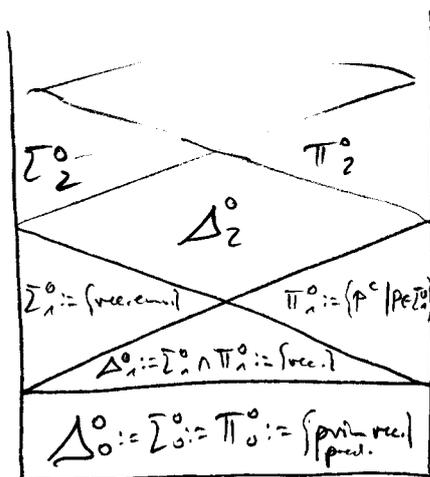
partially recursive functions (here: dom $f \subseteq \mathbb{N}^n$ allowed)

foundations of "algorithm"

- $P \subseteq \mathbb{N}^n$
 - P primitive recursive predicate: $\stackrel{1.8}{\iff} \chi_P \in PRF$
 - \downarrow P recursive predicate: $\stackrel{2.16}{\iff} \chi_P \in R, \text{ dom } \chi_P = \mathbb{N}^n$
 - \downarrow P recursively enumerable predicate: $\stackrel{2.16}{\iff} P = \text{range}(f_1, f_2, \dots)$
 $f_i: \mathbb{N} \rightarrow \mathbb{N}$
 $f \in R, \text{ dom } f = \mathbb{N}$

Decidability of membership:

		$n \in P$	$n \notin P$
Δ_1^0	rec.	yes ($\chi_P(n)=1$)	yes ($\chi_P(n)=0$)
Σ_1^0	rec. enum.	yes ($\exists x: f(x)=n$)	no! (algorithm never stops!)



$$\Sigma_{n+1}^0 := \{P \mid \exists R \in \Pi_n^0 : \bar{x} \in P \iff \exists y \cdot R(\bar{x}, y)\}$$

$$= \underbrace{\{\exists y_1 \forall y_2 \exists y_3 \forall y_4 \dots}_{\Sigma_n^0}} \cdot \underbrace{R(\bar{x}, y)}_{\Delta_0^0}$$

Ex: General word problem ($\exists \in \mathbb{N}^n$ language, $w \in \mathbb{Z}^?$) $\in \Sigma_1^0 \setminus \Delta_1^0$
 However, if \mathbb{Z} "nice" (context sensitive/free): Δ_0^0

7.3 Coding: $\Gamma_{\Sigma} := \langle 0, 1 \rangle := p(0)^{0+1} p(1)^{1+1} = 2^1 \cdot 3^2 = 18$, $p: \mathbb{N} \rightarrow \mathbb{N}$ prime numbers

$$\Gamma_{\Sigma}^{(n)} := \langle 1, n, k \rangle := p(0)^{1+n} p(1)^{n+1} p(2)^{k+1}$$

$$\Gamma_{\Sigma}^{(2)} := \langle 2, n, k \rangle$$

$$\rightarrow \Gamma \in \mathbb{N}$$

- The procedure of coding and decoding, i.e. $\{n \in \mathbb{N} \mid \exists \text{ unique code?}\} \in \Delta_0^0$
- Can express complexity questions in terms of membership for natural numbers.

7.6 Def: a) $\mathcal{L}_{PA}(\{0, 1, S, +\})$ PLIA language (i.e. first order $\mathcal{L} = \{ \in \}$ with fixed interpretation)

(NF) $\forall x: x+1 \neq 0$

(IND) $\forall x \forall y: (x+1=y+1 \rightarrow x=y)$

(PLO) $\forall x: x+0=x$

(PLA) $\forall x \forall y: x+(y+1)=(x+y)+1$

(MU0) $\forall x: x \cdot 0 = 0$

(MUA) $\forall x \forall y: x \cdot (y+1) = xy + x$

(Ind) $(F_0(0) \wedge (\forall x (F_0(x) \rightarrow F_0(x+1))) \rightarrow \forall x F_0(x)$

Peano arithmetics

b) $\mathcal{L}_{NT}(\{0, 1, C_n, u \in \mathbb{N}\}, \{P, R, T\})$

(K0) $C_0 = 0, C_1 = 1, C_{k+1} = \underline{\underline{C_k}}$

(NFO) $\forall x: C_0 \neq Sx$

(NFA) $\forall x \forall y: (Sx = Sy \rightarrow x=y)$

(KO) $\forall x_1, \dots, x_n: C_k^n x_1, \dots, x_n = C_k$

(PJ) $\forall x_1, \dots, x_n: P_k^n x_1, \dots, x_n = x_k$

(SLS) $\forall x_1, \dots, x_n \forall y_1, \dots, y_m \forall z [\text{hd } x_1, \dots, x_n = y_1, \dots, y_m, \text{hd } y_1, \dots, y_m = z \rightarrow \underline{\underline{hd}}(S_j, \text{hd} - \text{hd}) x_1, \dots, x_n = z]$

(Rec) $\forall x_1, \dots, x_n \forall y \forall z \forall u \forall v [(y=C_0, Sx_1, \dots, x_n = z \rightarrow \underline{\underline{Rec}}(S, \underline{\underline{hd}}) y x_1, \dots, x_n = z) \wedge (y = \underline{\underline{S}} u \wedge \underline{\underline{Rec}}(S, \underline{\underline{hd}}) u x_1, \dots, x_n = v \rightarrow \underline{\underline{Rec}}(S, \underline{\underline{hd}}) y x_1, \dots, x_n = S u x_1, \dots, x_n \vee v)]$

(Ind) $F(C_0) \wedge \forall x (F_x \rightarrow F_{x+1}) \rightarrow \forall x F(x)$

"Have \mathbb{N}^2 in PA"

7.7 Lemma: $P(a, b) := (a+b)^2 + a + 1$ satisfies $P(a, b) = P(a', b') \Rightarrow a=a', b=b'$ in PA

Proof: 1.) $a+b = a'+b'$ since otherwise $P(a, b) \leq (a+b+1)^2 \leq (a'+b')^2 < P(a', b')$ ("<")

(note: $x \leq y \Leftrightarrow \exists z: y = x+z$ may be defined in \mathcal{L}_{PA})

2.) with $m := (a+b)^2$ is $a+1+m = a'+1+m$ (IND) $a=a'$ (IND) $b=b'$ \square

7.8 Lemma: We may define Gödel coding in \mathcal{L}_{NT}

Proof: $\beta(i, b) := \mu x < (b-1) : \exists y < b \exists z < b [b = P(y, z) \wedge (1 + (P(i, x) + 1) \cdot z) \mid y]$

"Gödel β -function" for coding $\langle a_0, \dots, a_n \rangle := \mu x [\beta(0, x) = a_0 \wedge \forall 0 < i < n: \beta(i, x) = a_i]$

Here: $\beta(i, b) =$ "find x such that $b = (y, z)$ and $y = \langle i, x \rangle$ "

Have: $\exists \langle a_0, \dots, a_{n-1} \rangle \exists b \in \mathbb{N}: \beta(i, b) = a_i$ for $i=0, \dots, n-1$ \square

7.9 Thm: NT is a definitional extension of PA, i.e. all new symbols in $\Sigma_{NT} \setminus \Sigma_{PA}$ are determined by old ones from Σ_{PA} and we have

$$\text{for all } \Sigma_{PA} \text{ formulas } F: \quad NT \models F \iff PA \models F$$

Proof: Define $\underline{k} := \underbrace{1 + \dots + 1}_k$ in Σ_{PA} and prove $PA \vdash \exists! x: x = \underline{k}$, i.e. the new constant c_k is determined by \underline{k} .

Moreover, define PRP $\vdash \Sigma_{PA}$ using \underline{k} and $+$ (for \leq) \square

7.10 Remark: $\mathcal{N}(N) := \{ F \in \Sigma_{NT} \text{ formula} \mid FV(F) = \emptyset, NT \models F \} \subseteq \Sigma_{\omega}^1$
and there is no system of axioms $A \in \Sigma_{\omega}^1$ with $\text{Ded}(A) = \mathcal{N}(N)$.
(Theorem by Rosser, preliminary to Gödel) Here $N := (\omega, 0, 1, +, \cdot)$.

7.11 Def: Let $NT \subseteq T$.

(a) T ω -consistent : $\iff \forall F: [(\forall \underline{n} \in \omega: T \vdash F_V(\underline{n})) \implies T \nvdash \exists x \neg F_V(x)]$
Here $\omega := \{ \underbrace{1 + \dots + 1}_n \mid n \in \omega \}$

(b) T ω -complete : $\iff [T \vdash F_V(\underline{n}) \ \forall \underline{n} \in \omega \implies T \vdash \forall x F_V(x)]$

7.12 Remark: Def. 7.11 ensures that we have no (strange) models

$\mathcal{S} = (S, \dots) \mid S \supset \omega$. We have $NT \vdash T \implies T$ ω -cons.
with $NT \subseteq T$ (or rather its coding function)

7.13 Def: (a) A theory T satisfies the deduction principles, if

(1) There are PRPs $\text{Trm}(\ulcorner t \urcorner) \iff t \in \Sigma_{NT}$ term
 $\text{Fml}(\ulcorner F \urcorner) \iff F \in \Sigma_{NT}$ formula

(2) There are PRFs $\text{sub}_n: \omega^{nm} \rightarrow \omega$ with $\text{sub}_n(\ulcorner E \urcorner, \ulcorner t_1 \urcorner, \dots, \ulcorner t_n \urcorner) = \ulcorner E_{t_1, \dots, t_n} \urcorner$
 $\text{num}: \omega \rightarrow \omega, n \mapsto \ulcorner \underline{n} \urcorner$

(3) There is a PRP $\text{Bew}_T(n, \ulcorner F \urcorner)$ with " n encodes a T proof of F "

We put $\Box_T u \iff \exists x \text{Bew}_T(x, u)$ / i.e. " u may be proven in T "

(5) It satisfies the strong deduction principles, if in addition

(4) $NT \vdash \forall x (\Box_T x \rightarrow \Box_T \ulcorner \Box_T x \urcorner)$

where $\ulcorner F(x) \urcorner \iff \text{sub}(\ulcorner F \urcorner, \text{num } x) = \ulcorner F_V(\text{num } x) \urcorner$

(5) $NT \vdash \forall x, y (\Box_T \text{imp}(x, y) \rightarrow (\Box_T x \rightarrow \Box_T y))$

where $\text{imp}: \omega^2 \rightarrow \omega, (\ulcorner A \urcorner, \ulcorner B \urcorner) \mapsto \ulcorner A \rightarrow B \urcorner$

We put $\text{Cons}(T) := \neg \Box_T \perp$ with $\perp := \ulcorner 0=1 \urcorner$ false theorem

7.14 Prop.: NT satisfies the strong deduction principles and it is ω -consistent. (by Prop. 7.12)

Proof: (1) For terms: $\ulcorner 0 \urcorner := \langle 5 \rangle$
 $\ulcorner v_i \urcorner := \langle 7, i \rangle$ free variables
 $\ulcorner x_i \urcorner := \langle 8, i \rangle$ bound variables
 $\ulcorner [t_1 \dots t_n] \urcorner := \langle 9, \ulcorner t_1 \urcorner, \dots, \ulcorner t_n \urcorner \rangle$
 for formulas $\ulcorner t_1 = t_2 \urcorner, \ulcorner A \rightarrow B \urcorner$ etc.

- (2) sub, num \in PRF since detection of FV(t) is PRP
- (3) Bew(n, $\ulcorner F \urcorner$): \Leftrightarrow Seq(n) \wedge $\forall i \leq n$ [(u)_i; ω -num $\vee \exists k < i$ use of quantifiers on (u)_k, (u)_i; ...] \wedge (u)_{length(u)-1} = $\ulcorner F \urcorner$
- (4) & (5) Use concatenation (PRF) of proofs. □

7.15 Lemma: If T satisfies the deduction principles, then

- (a) $T \vdash F \Rightarrow NT \vdash \Box_T \ulcorner F \urcorner$
- (b) T ω -cons., $T \vdash \Box_T \ulcorner F \urcorner \Rightarrow T \vdash F$

If T satisfies the strong ded. princ., then also: (a) $T \vdash (G \rightarrow F) \Rightarrow T \vdash \Box_T (G \rightarrow F)$
 (b) $\forall G: T \vdash (G \rightarrow G)$

Proof: (a) $T \vdash F \Rightarrow$ obtain a proof (i.e. a finite sequence of usage of the axioms & apply the calculus \vdash) and encode it to n. Obtain $\text{Bew}_T(n, \ulcorner F \urcorner)$. Hence $NT \vdash \exists x \text{Bew}_T(x, \ulcorner F \urcorner)$

" Σ_1 completeness" of NT

$\rightarrow (NT \vdash \exists x \text{Bew}_T(x, \ulcorner F \urcorner) \Leftrightarrow NT \vdash \Box_T \ulcorner \exists x \text{Bew}_T(x, \ulcorner F \urcorner) \urcorner) \Leftrightarrow \Box_T \ulcorner F \urcorner$

- (b) Assume $T \nvdash F$, i.e. $\forall n \in \omega: T \nvdash \text{Bew}_T(n, \ulcorner F \urcorner)$
 $\xrightarrow{T \omega\text{-cons.}} T \nvdash \exists x \text{Bew}_T(x, \ulcorner F \urcorner)$. But $T \vdash \Box_T \ulcorner F \urcorner$. □

7.16 Arithmetic Fixed Point Thm: Let F be an I_{NT} formula, $FV(F) = \{v\}$.

Then there is a I_{NT} theorem A with $NT \vdash (A \leftrightarrow F_v(\ulcorner A \urcorner))$.

Proof: Let $H := F_v(\text{sub}(w, \text{num}(w)))$ and $A := H_w(\ulcorner H \urcorner)$.
 Then $NT \vdash [A \leftrightarrow H_w(\ulcorner H \urcorner) \leftrightarrow F_v(\text{sub}(\ulcorner H \urcorner, \text{num}(\ulcorner H \urcorner))) \leftrightarrow F_v(\ulcorner H_w(\ulcorner H \urcorner)\urcorner) \leftrightarrow F_v(\ulcorner A \urcorner)]$. □

7.17 First Incompleteness Thm (Gödel 1931, "Thm VI"):

[Über formal unentschiedene Sätze der Principia Mathematica und verwandter Systeme I, Monatshefte für Mathematik, 1931] & Rosser 1936 with NKT

Let T be a consistent extension of NT satisfying the deduction principles. There is a Π_1^0 theorem G_T with $NT \vdash (G_T \leftrightarrow \neg \Box_T 'G_T')$ and $T \not\vdash G_T$ and $N \vDash G_T$.

If T is ω -consistent, then also $T \not\vdash \neg G_T$.

Hence, in this case: $T \not\vdash G_T$ and $T \not\vdash \neg G_T$.

Proof: Put $G_T := A$ from Thm 7.16 with $F := \neg \Box_T \vee$.

Assume $T \vdash G_T$. Then $NT \vdash \Box_T 'G_T'$ by Lemma 7.15(a).

Hence $NT \vdash \neg G_T$ by assumption ($NT \vdash (G_T \leftrightarrow \neg \Box_T 'G_T')$).

Def(NT) \in Ded(T)
 $\implies T \vdash \neg G_T \in (T \text{ consistent})$

Now assume that T is ω -consistent and $T \vdash \neg G_T$. Then

$T \vdash \Box_T 'G_T' \xrightarrow{7.15(b)} T \vdash G_T \in (T \text{ consistent})$.

As for $N \vDash G_T$: $N \vDash \neg \text{Bew}_T(n, 'G_T') \forall n \in \mathbb{N}$ since $T \not\vdash G_T$.

Thus, $N \vDash \forall x \neg \text{Bew}_T(x, 'G_T')$ (N is ω -complete).

Hence, $N \vDash \neg \Box_T 'G_T' \implies N \vDash G_T$. \square

7.18 Second Incompleteness Thm (Gödel 1931, "Thm XI"):

Let T be a consistent extension of NT with $N \vDash T$.

Satisfying the strong deduction principles. Then $T \not\vdash \text{Cons}(T)$.

Proof: We have $T \not\vdash G_T$ by Thm. 7.17 (1st Incompl. Thm).

We have to show $NT \vdash (G_T \leftrightarrow \text{Cons}(T))$.

" \implies ": By Lemma 7.15c, we have $NT \vdash (L \rightarrow G_T) \xrightarrow{7.15(b)} NT \vdash \Box_T ('L \rightarrow G_T')$

$\xrightarrow{7.13(5)} NT \vdash (\Box_T 'L' \rightarrow \Box_T 'G_T')$ $\stackrel{\text{Contrap.}}{\implies} NT \vdash (\neg \Box_T 'G_T' \rightarrow \neg \Box_T 'L')$

$\xrightarrow{7.17} NT \vdash (G_T \rightarrow \text{Cons}(T))$, since $\text{Cons}(T) = \neg \Box_T 'L'$.

"←" We will show $NT \vdash (\neg G_T \rightarrow \neg \text{Cons}(T))$ (Contrapoc.)

By 7.15(d), we have $T \vdash (G_T \rightarrow (\neg G_T \rightarrow \perp))$

$\xrightarrow{7.15(a)}$ $NT \vdash \Box_T \lceil G_T \rightarrow (\neg G_T \rightarrow \perp) \rceil$

$\xrightarrow{7.13(S)}$ $NT \vdash \Box_T \lceil G_T \rceil \rightarrow (\Box_T \lceil \neg G_T \rceil \rightarrow \Box_T \lceil \perp \rceil)$ $[NT \vdash \neg A \vee \neg B \vee C]$

Moreover, we have $NT \vdash (\Box_T \lceil G_T \rceil \rightarrow \neg G_T)$ by 7.17.

$\xrightarrow{7.15(a)}$ $NT \vdash \Box_T \lceil \Box_T \lceil G_T \rceil \rightarrow \neg G_T \rceil$

$\xrightarrow{7.13(S)}$ $NT \vdash \Box_T \lceil \Box_T \lceil G_T \rceil \rceil \rightarrow \Box_T \lceil \neg G_T \rceil$ $[NT \vdash \neg D \vee B]$

Therefore, combining the two statements, we obtain

$NT \vdash \Box_T \lceil G_T \rceil \rightarrow (\Box_T \lceil \Box_T \lceil G_T \rceil \rceil \rightarrow \Box_T \lceil \perp \rceil)$ $[NT \vdash \neg A \vee \neg B \vee C]$

Now, $NT \vdash \Box_T \lceil G_T \rceil \rightarrow \Box_T \lceil \Box_T \lceil G_T \rceil \rceil$ by 7.13(4).

Summarizing: $NT \vdash \underbrace{\Box_T \lceil G_T \rceil}_{\neg G_T} \rightarrow \underbrace{\Box_T \lceil \perp \rceil}_{\neg \text{Cons}(T)}$

□

Looks already like a contradiction

7.19 Remarks: We may show (under the assumptions of 7.18):

(a) $NT \vdash (\text{Cons}(T) \leftrightarrow \neg \Box_T \lceil \text{Cons}(T) \rceil)$

(b) $NT \vdash (\text{Cons}(T) \leftrightarrow \text{Cons}(T + \neg \text{Cons}(T)))$

(c) Göb: $T \vdash (\Box_T \lceil F \rceil \rightarrow F) \leftrightarrow T \vdash F$

(d) $\forall F: T \vdash \neg F \Rightarrow T \nVdash (\Box_T \lceil F \rceil \rightarrow F)$

7.20 Remarks: The main ingredients of Gödel's theorem are:

- Using coding, we may express meta phenomena within N .
- We may even apply meta structures on A itself:

$T \vdash F \rightsquigarrow T \vdash \Box_T \lceil F \rceil$

- This way, we may use some diagonal arguments to produce fixed points $A \leftrightarrow F_V(A) \rightsquigarrow G_T \leftrightarrow \neg \Box_T \lceil G_T \rceil$