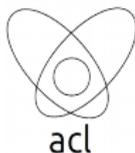


# CS 133 : Automata Theory and Computability

## LECTURE SLIDES

### Turing Machines and Undecidability

Francis George C. Cabarle  
fccabarle@up.edu.ph



Algorithms and Complexity Laboratory  
Department of Computer Science  
College of Engineering  
University of the Philippines Diliman

Day 22

# Undecidability

QUESTION: Are there languages that are **NOT recursive** (i.e. not decidable)?

QUESTION: Are there languages that are **NOT recursive** (i.e. not decidable)? **Yup.**

QUESTION: Are there languages that are **NOT recursive** (i.e. not decidable)? **Yup.**

QUESTION: Are these non-*REC* problems or languages esoteric, existing only in minds of theoreticians?

QUESTION: Are there languages that are **NOT recursive** (i.e. not decidable)? **Yup.**

QUESTION: Are these non-*REC* problems or languages esoteric, existing only in minds of theoreticians? **Nope.**

EXAMPLE (*software verification in general*): Given an arbitrary computer program (e.g. sorting program), verify if said program is correct (i.e. performs sorting).

QUESTION: Are there languages that are **NOT recursive** (i.e. not decidable)? **Yup.**

QUESTION: Are these non-*REC* problems or languages esoteric, existing only in minds of theoreticians? **Nope.**

EXAMPLE (*software verification in general*): Given an arbitrary computer program (e.g. sorting program), verify if said program is correct (i.e. performs sorting). In general, this “simple” task is *not theoretically decidable!*

QUESTION: Are there languages that are **NOT recursive** (i.e. not decidable)? **Yup.**

QUESTION: Are these non-*REC* problems or languages esoteric, existing only in minds of theoreticians? **Nope.**

EXAMPLE (*software verification in general*): Given an arbitrary computer program (e.g. sorting program), verify if said program is correct (i.e. performs sorting). In general, this “simple” task is *not theoretically decidable!*

QUESTION: *Must* there really exist undecidable problems?

QUESTION: Are there languages that are **NOT recursive** (i.e. not decidable)? **Yup.**

QUESTION: Are these non-*REC* problems or languages esoteric, existing only in minds of theoreticians? **Nope.**

EXAMPLE (*software verification in general*): Given an arbitrary computer program (e.g. sorting program), verify if said program is correct (i.e. performs sorting). In general, this “simple” task is *not theoretically decidable!*

QUESTION: *Must* there really exist undecidable problems? Are you sure? Are you really, really sure? In fact, a simple C program example can suffice...

## Definition

A set  $A$  is **countable** if either it is finite or it has the same size as  $\mathbb{N} = \{1, 2, 3, \dots\}$ .

## Definition

A set  $A$  is **countable** if either it is finite or it has the same size as  $\mathbb{N} = \{1, 2, 3, \dots\}$ .

**Theorem:**  $\mathbb{N}_e = \{\text{set of even natural numbers}\}$  is **countable**, i.e. same size as  $\mathbb{N}$ .

Cómo??? How???

## Definition

A set  $A$  is **countable** if either it is finite or it has the same size as  $\mathbb{N} = \{1, 2, 3, \dots\}$ .

**Theorem:**  $\mathbb{N}_e = \{\text{set of even natural numbers}\}$  is **countable**, i.e. same size as  $\mathbb{N}$ .

Cómo??? How???

**Theorem:**  $\mathbb{Q}^+$ , the set of positive rational numbers is **countable**.

How??? “Classic” counting/pairing technique do not suffice:  
**diagonalization technique** *al rescate!*

## Definition

A set  $A$  is **countable** if either it is finite or it has the same size as  $\mathbb{N} = \{1, 2, 3, \dots\}$ .

**Theorem:**  $\mathbb{N}_e = \{\text{set of even natural numbers}\}$  is **countable**, i.e. same size as  $\mathbb{N}$ .

Cómo??? How???

**Theorem:**  $\mathbb{Q}^+$ , the set of positive rational numbers is **countable**.

How??? “Classic” counting/pairing technique do not suffice:  
**diagonalization technique** *al rescate!*

**Theorem:**  $\mathbb{R}$  is uncountable.

## Definition

A set  $A$  is **countable** if either it is finite or it has the same size as  $\mathbb{N} = \{1, 2, 3, \dots\}$ .

**Theorem:**  $\mathbb{N}_e = \{\text{set of even natural numbers}\}$  is **countable**, i.e. same size as  $\mathbb{N}$ .

Cómo??? How???

**Theorem:**  $\mathbb{Q}^+$ , the set of positive rational numbers is **countable**.

How??? “Classic” counting/pairing technique do not suffice:  
**diagonalization technique** *al rescate!*

**Theorem:**  $\mathbb{R}$  is uncountable.

Proof idea:

Suppose that a correspondence  $f$  exists between  $\mathbb{N}$  and  $\mathbb{R}$ .

## Definition

A set  $A$  is **countable** if either it is finite or it has the same size as  $\mathbb{N} = \{1, 2, 3, \dots\}$ .

**Theorem:**  $\mathbb{N}_e = \{\text{set of even natural numbers}\}$  is **countable**, i.e. same size as  $\mathbb{N}$ .

Cómo??? How???

**Theorem:**  $\mathbb{Q}^+$ , the set of positive rational numbers is **countable**.

How??? “Classic” counting/pairing technique do not suffice:  
**diagonalization technique** *al rescate!*

**Theorem:**  $\mathbb{R}$  is uncountable.

Proof idea:

Suppose that a correspondence  $f$  exists between  $\mathbb{N}$  and  $\mathbb{R}$ .  
Then  $f$  must pair all members of  $\mathbb{N}$  with all members of  $\mathbb{R}$ .

## Definition

A set  $A$  is **countable** if either it is finite or it has the same size as  $\mathbb{N} = \{1, 2, 3, \dots\}$ .

**Theorem:**  $\mathbb{N}_e = \{\text{set of even natural numbers}\}$  is **countable**, i.e. same size as  $\mathbb{N}$ .

Cómo??? How???

**Theorem:**  $\mathbb{Q}^+$ , the set of positive rational numbers is **countable**.

How??? “Classic” counting/pairing technique do not suffice:  
**diagonalization technique** *al rescate!*

**Theorem:**  $\mathbb{R}$  is uncountable.

Proof idea:

Suppose that a correspondence  $f$  exists between  $\mathbb{N}$  and  $\mathbb{R}$ .

Then  $f$  must pair all members of  $\mathbb{N}$  with all members of  $\mathbb{R}$ .

We need to find an  $x$  in  $\mathbb{R}$  that is not paired with anything in  $\mathbb{N}$ .

## Definition

A set  $A$  is **countable** if either it is finite or it has the same size as  $\mathbb{N} = \{1, 2, 3, \dots\}$ .

**Theorem:**  $\mathbb{N}_e = \{\text{set of even natural numbers}\}$  is **countable**, i.e. same size as  $\mathbb{N}$ .

Cómo??? How???

**Theorem:**  $\mathbb{Q}^+$ , the set of positive rational numbers is **countable**.

How??? “Classic” counting/pairing technique do not suffice:  
**diagonalization technique** *al rescate!*

**Theorem:**  $\mathbb{R}$  is uncountable.

Proof idea:

Suppose that a correspondence  $f$  exists between  $\mathbb{N}$  and  $\mathbb{R}$ .

Then  $f$  must pair all members of  $\mathbb{N}$  with all members of  $\mathbb{R}$ .

We need to find an  $x$  in  $\mathbb{R}$  that is not paired with anything in  $\mathbb{N}$ .

**Theorem:** Language  $L_d$  is not  $RE$ . That is, there is no Turing machine that accepts  $L_d$ .

**Theorem:** Language  $L_d$  is not  $RE$ . That is, there is no Turing machine that accepts  $L_d$ .

- $\Sigma^*$  is countable, for any alphabet  $\Sigma$ .

**Theorem:** Language  $L_d$  is not  $RE$ . That is, there is no Turing machine that accepts  $L_d$ .

- $\Sigma^*$  is countable, for any alphabet  $\Sigma$ .
- With only finitely many strings of each length, we may form a list of  $\Sigma^*$  by writing down all strings of length 0, length 1, length 2, and so on.

**Theorem:** Language  $L_d$  is not  $RE$ . That is, there is no Turing machine that accepts  $L_d$ .

- $\Sigma^*$  is countable, for any alphabet  $\Sigma$ .
  - With only finitely many strings of each length, we may form a list of  $\Sigma^*$  by writing down all strings of length 0, length 1, length 2, and so on.
- The set of all Turing machines is countable.

**Theorem:** Language  $L_d$  is not  $RE$ . That is, there is no Turing machine that accepts  $L_d$ .

- $\Sigma^*$  is countable, for any alphabet  $\Sigma$ .
  - With only finitely many strings of each length, we may form a list of  $\Sigma^*$  by writing down all strings of length 0, length 1, length 2, and so on.
- The set of all Turing machines is countable.
  - Each Turing machine has an encoding into a string  $\langle M \rangle$ . Simply omit those strings that are not legal encodings of Turing machines, we can obtain a list of all Turing machines.

**Theorem:** Language  $L_d$  is not  $RE$ . That is, there is no Turing machine that accepts  $L_d$ .

- $\Sigma^*$  is countable, for any alphabet  $\Sigma$ .
  - With only finitely many strings of each length, we may form a list of  $\Sigma^*$  by writing down all strings of length 0, length 1, length 2, and so on.
- The set of all Turing machines is countable.
  - Each Turing machine has an encoding into a string  $\langle M \rangle$ . Simply omit those strings that are not legal encodings of Turing machines, we can obtain a list of all Turing machines.
- Since we can count TMs, we can say  $M_i$  is the  $i$ th TM, with *binary coding*  $w_i$  (recall *standard description* used in Universal TM, for example).

**Theorem:** Language  $L_d$  is not  $RE$ . That is, there is no Turing machine that accepts  $L_d$ .

- $\Sigma^*$  is countable, for any alphabet  $\Sigma$ .
  - With only finitely many strings of each length, we may form a list of  $\Sigma^*$  by writing down all strings of length 0, length 1, length 2, and so on.
- The set of all Turing machines is countable.
  - Each Turing machine has an encoding into a string  $\langle M \rangle$ . Simply omit those strings that are not legal encodings of Turing machines, we can obtain a list of all Turing machines.
- Since we can count TMs, we can say  $M_i$  is the  $i$ th TM, with *binary coding*  $w_i$  (recall *standard description* used in Universal TM, for example).
- Define the *diagonalization language*

$$L_d = \{w_i \mid w_i \notin L(M_i) \text{ and } w_i = \langle M_i \rangle\}.$$

Prove that  $L_d$  is not  $RE$ .

**Theorem:** Language  $L_d$  is not  $RE$ . That is, there is no Turing machine that accepts  $L_d$ .

- $\Sigma^*$  is countable, for any alphabet  $\Sigma$ .
  - With only finitely many strings of each length, we may form a list of  $\Sigma^*$  by writing down all strings of length 0, length 1, length 2, and so on.
- The set of all Turing machines is countable.
  - Each Turing machine has an encoding into a string  $\langle M \rangle$ . Simply omit those strings that are not legal encodings of Turing machines, we can obtain a list of all Turing machines.
- Since we can count TMs, we can say  $M_i$  is the  $i$ th TM, with *binary coding*  $w_i$  (recall *standard description* used in Universal TM, for example).
- Define the *diagonalization language*

$$L_d = \{w_i \mid w_i \notin L(M_i) \text{ and } w_i = \langle M_i \rangle\}.$$

Prove that  $L_d$  is not  $RE$ .

- Existence of a non- $RE$  languages such as  $L_d$  (and other languages in  $RE$  but not  $REC$ , more on these later) are some of the most *philosophically important* results in the theory of computation.

## Recap before we proceed

- There are uncountably many languages.
- Only countably many TMs.
- Each Turing machine can recognize a single language.
- There are more languages than TMs.
- Some languages are not *RE*, i.e. not recognized by any TM, e.g.  $L_d$ .
- Some languages are recursive (decidable) but not recursively enumerable, e.g.  $L_u$  (more later)

## More results on (un)solvability

**Theorem:** *REC* is closed under complementation.

## More results on (un)solvability

**Theorem:**  $REC$  is closed under complementation.

i.e. If  $L \in REC$ , then so is  $\bar{L}$ . Proof?

## More results on (un)solvability

**Theorem:**  $REC$  is closed under complementation.

i.e. If  $L \in REC$ , then so is  $\bar{L}$ . Proof?

**Theorem:** If languages  $L, \bar{L} \in RE$ , then  $L \in REC$ .

## More results on (un)solvability

**Theorem:**  $REC$  is closed under complementation.

i.e. If  $L \in REC$ , then so is  $\bar{L}$ . Proof?

**Theorem:** If languages  $L, \bar{L} \in RE$ , then  $L \in REC$ .

note: by previous Theorem,  $\bar{L} \in REC$  also. Proof?

## More results on (un)solvability

**Theorem:**  $REC$  is closed under complementation.

i.e. If  $L \in REC$ , then so is  $\bar{L}$ . Proof?

**Theorem:** If languages  $L, \bar{L} \in RE$ , then  $L \in REC$ .

note: by previous Theorem,  $\bar{L} \in REC$  also. Proof?

From both Theorems, only four possible placements of  $L$  and  $\bar{L}$  in  $REC$  and  $RE$ :

- $L, \bar{L} \in REC$ ;
- $L, \bar{L} \notin RE$ ;
- $L \in RE, L \notin REC$  and  $\bar{L} \notin RE$ ;
- $\bar{L} \in RE, \bar{L} \notin REC$  and  $L \notin RE$ .

## Back to UTM

Recall that a Universal TM can be a “stored program computer”: TM that takes as input other TMs and their inputs.

## Back to UTM

Recall that a Universal TM can be a “stored program computer”: TM that takes as input other TMs and their inputs.

Define  $L_u$ , the *universal language*, to be the set

$$L_u = \{\langle M, w \rangle \mid M \text{ is a TM and } w \in L(M)\}.$$

## Back to UTM

Recall that a Universal TM can be a “stored program computer”: TM that takes as input other TMs and their inputs.

Define  $L_u$ , the *universal language*, to be the set

$$L_u = \{\langle M, w \rangle \mid M \text{ is a TM and } w \in L(M)\}.$$

$L_u$  is useful when proving another problem  $P$  is undecidable, by reduction of  $L_u$  to  $P$  (more on future lectures).

## Back to UTM

Recall that a Universal TM can be a “stored program computer”: TM that takes as input other TMs and their inputs.

Define  $L_u$ , the *universal language*, to be the set

$$L_u = \{\langle M, w \rangle \mid M \text{ is a TM and } w \in L(M)\}.$$

$L_u$  is useful when proving another problem  $P$  is undecidable, by reduction of  $L_u$  to  $P$  (more on future lectures).

Let  $L_u = L(U)$  for a UTM  $U$ .

## Back to UTM

Recall that a Universal TM can be a “stored program computer”: TM that takes as input other TMs and their inputs.

Define  $L_u$ , the *universal language*, to be the set

$$L_u = \{\langle M, w \rangle \mid M \text{ is a TM and } w \in L(M)\}.$$

$L_u$  is useful when proving another problem  $P$  is undecidable, by reduction of  $L_u$  to  $P$  (more on future lectures).

Let  $L_u = L(U)$  for a UTM  $U$ .

**Theorem:**  $L_u$  is in  $RE$  but not in  $REC$ .

## Back to UTM

Recall that a Universal TM can be a “stored program computer”: TM that takes as input other TMs and their inputs.

Define  $L_u$ , the *universal language*, to be the set

$$L_u = \{\langle M, w \rangle \mid M \text{ is a TM and } w \in L(M)\}.$$

$L_u$  is useful when proving another problem  $P$  is undecidable, by reduction of  $L_u$  to  $P$  (more on future lectures).

Let  $L_u = L(U)$  for a UTM  $U$ .

**Theorem:**  $L_u$  is in  $RE$  but not in  $REC$ .

Proof idea: Easy to see that  $L_u$  is  $RE$  (really?).

## Back to UTM

Recall that a Universal TM can be a “stored program computer”: TM that takes as input other TMs and their inputs.

Define  $L_u$ , the *universal language*, to be the set

$$L_u = \{\langle M, w \rangle \mid M \text{ is a TM and } w \in L(M)\}.$$

$L_u$  is useful when proving another problem  $P$  is undecidable, by reduction of  $L_u$  to  $P$  (more on future lectures).

Let  $L_u = L(U)$  for a UTM  $U$ .

**Theorem:**  $L_u$  is in  $RE$  but not in  $REC$ .

Proof idea: Easy to see that  $L_u$  is  $RE$  (really?).

Suppose  $L_u$  is  $REC$ , then  $\overline{L_u}$  must be  $REC$  as well!

## Back to UTM

Recall that a Universal TM can be a “stored program computer”: TM that takes as input other TMs and their inputs.

Define  $L_u$ , the *universal language*, to be the set

$$L_u = \{\langle M, w \rangle \mid M \text{ is a TM and } w \in L(M)\}.$$

$L_u$  is useful when proving another problem  $P$  is undecidable, by reduction of  $L_u$  to  $P$  (more on future lectures).

Let  $L_u = L(U)$  for a UTM  $U$ .

**Theorem:**  $L_u$  is in  $RE$  but not in  $REC$ .

Proof idea: Easy to see that  $L_u$  is  $RE$  (really?).

Suppose  $L_u$  is  $REC$ , then  $\overline{L_u}$  must be  $REC$  as well!

How to arrive at a contradiction, i.e.  $L_u$  cannot be  $REC$ ?

## Back to UTM

Recall that a Universal TM can be a “stored program computer”: TM that takes as input other TMs and their inputs.

Define  $L_u$ , the *universal language*, to be the set

$$L_u = \{\langle M, w \rangle \mid M \text{ is a TM and } w \in L(M)\}.$$

$L_u$  is useful when proving another problem  $P$  is undecidable, by reduction of  $L_u$  to  $P$  (more on future lectures).

Let  $L_u = L(U)$  for a UTM  $U$ .

**Theorem:**  $L_u$  is in  $RE$  but not in  $REC$ .

Proof idea: Easy to see that  $L_u$  is  $RE$  (really?).

Suppose  $L_u$  is  $REC$ , then  $\overline{L_u}$  must be  $REC$  as well!

How to arrive at a contradiction, i.e.  $L_u$  cannot be  $REC$ ?

Proof involves **reduction** of (the problem)  $L_d$  to (the problem)  $\overline{L_u}$ .

## Solvability of politicians...

Q: What do you call a politician that when given the correct amount of money, is able to finish his/her tasks, but it is unknown whether his/her tasks will finish given the incorrect (more or less) amount of money?

## Solvability of politicians...

Q: What do you call a politician that when given the correct amount of money, is able to finish his/her tasks, but it is unknown whether his/her tasks will finish given the incorrect (more or less) amount of money?

A: Recursively enumerable but not recursive...

## Fin (wakas)

Thanks for the attention.

Questions?

Work on examples and exercises in:

[Sipser 2005] Chapter 4.2 , or

[Hopcroft et al 2001] Chapter 9.1, 9.2

## References:

[Sipser 2005] M. Sipser. *Introduction to the Theory of Computation: 2ed.* PWS Publishing Company, 2005.

[Hopcroft, Ullman 1979] J. Hopcroft, J. Ullman. *Introduction to Automata Theory, Languages, and Computation:* Addison-Wesley, 1979.

[Hopcroft et al 2001] J. Hopcroft, R. Motwani, J. Ullman. *Introduction to Automata Theory, Languages, and Computation:* Addison-Wesley, 2001.