

# Ordinals, Subrecursive Hierarchies and All That

Georg Moser

Institute of Computer Science  
University of Innsbruck

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# Overview

- Ordinals
- Demystification of Ordinals
- Subrecursive Hierarchies
- Application ①
- More on the Slow-Growing Hierarchy
- Application ②

# Ordinals

## Definition

an ordinal is a set  $\alpha$  such that

- 1  $\alpha$  is totally ordered with respect to membership

$$\forall \beta, \gamma \in \alpha: \beta \in \gamma \vee \gamma \in \beta \vee \beta = \gamma$$

- 2 every element of  $\alpha$  is a subset of  $\alpha$  (aka  $\alpha$  is **transitive**)

$$\forall \beta: \beta \in \alpha \text{ implies } \beta \subseteq \alpha$$



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## Lemma

*ordinal  $\alpha$  is either*

- 0
- $\beta \cup \{\beta\} = \beta + 1$  *successor ordinal*
- $\bigcup \alpha$  *limit ordinal*

## Further Properties of Ordinals

### Lemma

let  $\alpha$  be an ordinal, then

- $\alpha$  is well-ordered by  $\in$ 
  - 1  $\alpha$  is totally ordered
  - 2 there are no infinite descending sequences

$$\neg \exists \alpha_1 \ni \alpha_2 \ni \alpha_3 \cdots \quad (\alpha_i \in \alpha)$$

- if  $\beta \in \alpha$ , then  $\beta$  is an ordinal
- $\alpha = \bigcup_{\beta \in \alpha} \beta$

### Lemma

let  $X$  be a non-empty set of ordinals, then

- $\bigcap X$  is an ordinal and  $\bigcap X = \inf X$
- $\bigcup X$  is an ordinal and  $\bigcup X = \sup X$

# Arithmetic of Ordinals

## Definition (Addition)

$$\alpha + \beta = \begin{cases} \alpha & \text{if } \beta = 0 \\ (\alpha + \beta') + 1 & \text{if } \beta = \beta' + 1 \\ \bigcup_{\beta' < \beta} (\alpha + \beta') & \text{if } \beta \text{ is a limit ordinal} \end{cases}$$



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## Definition (Exponentiation)

...



## Lemma

*for all ordinals  $\alpha, \beta, \gamma$*

- $\alpha + (\beta + \gamma) = (\alpha + \beta) + \gamma$
- $\alpha \cdot (\beta \cdot \gamma) = (\alpha \cdot \beta) \cdot \gamma$



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neither  $+$  nor  $\cdot$  are commutative

$$1 + \omega = \omega \neq \omega + 1 \quad 2 \cdot \omega = \omega \neq \omega \cdot 2$$



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## Theorem

ordinal  $\alpha \neq 0$  is representable in **Cantor Normal Form (CNF)**

$$\alpha = \omega^{\alpha_1} + \dots + \omega^{\alpha_n}$$

where  $\alpha_1 \geq \dots \geq \alpha_n$  and  $\alpha_i$  in CNF

# Demystification of Ordinals

## Definitions

let  $(A, <)$ ,  $(B, \prec)$  be partially ordered sets

- a mapping  $f: A \rightarrow B$  is **order preserving** if

$$x < y \text{ implies } f(x) \prec f(y)$$

- if  $f$  is a bijection and  $f$  and  $f^{-1}$  are order preserving then  $(A, <)$  is **isomorphic** to  $(B, \prec)$



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## Theorem

*every well-ordered set is isomorphic to a unique ordinal*

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$$1 \quad 0 \in E$$

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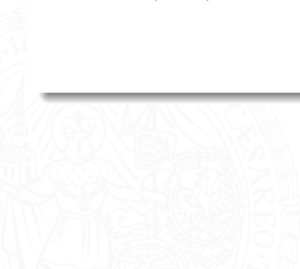
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## Lemma

any  $\alpha \neq 0 \in E$  can be uniquely represented as  $\alpha = \omega^{\alpha_1} + \dots + \omega^{\alpha_m}$ ,  
where for each  $\alpha_i \neq 0$  the same holds

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3 let  $\alpha, \beta$  be of form

$$\alpha = \gamma + \omega^{\alpha_i} + \omega^{\alpha_{i+1}} + \delta \quad \beta = \gamma + \omega^{\alpha_{i+1}} + \delta$$

where  $\alpha_{i+1} \succ \alpha_i$ , then  $\alpha \approx \beta$

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4 let  $\alpha = \omega^{\alpha_1} + \dots + \omega^{\alpha_m}$  and let  $\beta = \omega^{\beta_1} + \dots + \omega^{\beta_n}$  such that

$$\alpha_1 \succ \alpha_2 \succ \dots \succ \alpha_m \quad \beta_1 \succ \beta_2 \succ \dots \succ \beta_n$$

then  $\alpha \prec \beta$  iff  $\exists i: \omega^{\alpha_i} \prec \omega^{\beta_i} \wedge \forall j < i: \omega^{\alpha_j} \approx \omega^{\beta_j}$

## Lemma (Cantor Normal Form (again))

ordinal term  $\alpha \neq 0$  is uniquely representable in **Cantor Normal Form (CNF)**

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## Notations

- ordinal terms are ordinals, collected in the set  $\mathcal{O}$
- $\approx$  becomes  $=$
- $\prec$  becomes  $<$
- a limit ordinal is an ordinal which is neither 0 nor a successor ordinal

# Subrecursive Hierarchies

## Definition

we define the family of **fundamental sequences**  $\lambda[x]_{x \in \mathbb{N}}$  as follows  
 ( $\lambda$  limit ordinal):

$$\lambda[x] = \begin{cases} \text{if } \lambda = \omega \\ \text{if } \lambda = \beta + \omega^{\alpha+1} \\ \text{if } \lambda = \beta + \omega^\alpha, \alpha \text{ limit} \end{cases}$$



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the family of **slow-growing functions**  $(G_\alpha)_{\alpha \in \mathcal{O}}$  is defined as follows:

$$G_0(x) = 0 \quad G_{\alpha+1}(x) = G_\alpha(x) + 1 \quad G_\lambda(x) = G_{\lambda[x]}(x) \quad (\lambda \text{ limit})$$

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## Example

$$G_\omega(x) = x + 1 \quad G_{\omega^\omega}(x) = (x + 1)^{x+1^{x+1}} \quad G_{\omega \cdot 2}(10) = (10 + 1) \cdot 2 = 22$$

## Lemma

- $G_{\alpha_1 + \dots + \alpha_n}(x) = G_{\alpha_1}(x) + \dots + G_{\alpha_n}(x)$
- $G_{\omega^\alpha}(x) = (x + 1)^{G_\alpha(x)}$



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## Lemma

for  $\alpha \in \mathcal{O}$ ,  $x \in \mathbb{N}$ , we have  $G_{P_x(\alpha)}(x) = P_x(G_\alpha(x)) = G_\alpha(x) - 1$

## Proof.

by induction on  $\alpha$ , e.g.

$$G_{P_x(\beta+1)}(x) = G_\beta(x) = P_x(G_\beta(x) + 1) = P_x(G_{\beta+1}(x))$$



# Application ①

## Definition (Goodstein Sequence)

- 1 start with arbitrary number  $N$  in hereditary base  $x$  representation
- 2 replace base  $x$  by base  $x + 1$ , then subtract 1
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### Remark

the Hardy functions are fast-growing

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## Theorem (Goodstein)

*the process terminates*

Proof (due to Cichon).



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## Corollary (Kirby and Paris)

*termination is not provable in Peano Arithmetic*

## Proof.

$\forall$  functions  $f$ , provable recursive in Peano Arithmetic

$\exists \alpha \in \mathcal{O}$  such that  $f$  is majorised by  $H_\alpha$

# More on the Slow-Growing Hierarchy

## Lemma

*the family  $(G_\alpha)_{\alpha \in \mathcal{O}}$  forms a hierarchy: for  $\alpha > \beta$ :*

$$\exists c \text{ such that } \forall x \geq c: G_\alpha(x) > G_\beta(x)$$



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## Example

$$\forall x \geq 1 \quad G_{\omega^\omega}(x) = (x+1)^{x+1} > (x+1) = G_\omega(x)$$

$$\forall x \geq 1 \quad G_\omega(x) = x+1 \not\geq y = G_y(x) \quad \text{whenever } y > x$$



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let  $>_{(x)}$  denote the transitive closure of the fundamental sequence  $\cdot[\cdot]$

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where we set  $0[x] = 0$ ,  $(\alpha + 1)[x] = \alpha$

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- 1  $G_\alpha$  is increasing (strictly if  $\alpha$  is infinite)
- 2 if  $\alpha >_{(n)} \beta$ , then  $G_\alpha(x) > G_\beta(x)$  for all  $x \geq n$





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we define the **norm**  $N(\alpha)$  of  $\alpha$  as follows

$$N(0) = 0$$

$$N(\omega^{\alpha_1} + \dots + \omega^{\alpha_n}) = N(\alpha_1) + \dots + N(\alpha_n) + n$$



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if  $\alpha > \beta$  and  $n \geq N(\beta)$ , then

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# Application: Transfinite Knuth-Bendix Orders

## Definition (TKBOs)

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## Theorem (Winkler, Zankl, and Middeldorp)

*if a finite TRS  $\mathcal{R}$  is compatible with a TKBO, then  $\mathcal{R}$  is compatible with a **finite** TKBO*

## Example

let  $F = \{f, g, h, k\}$  and consider the following rules:

$$f(x) \rightarrow g(x) \quad w(f) = 5$$

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- it suffices to show that  $\exists x \forall l \rightarrow r \in \mathcal{R}: \text{weight}(l) \geq_{(x)} \text{weight}(r)$   
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## Theorem (Lepper)

*for any TRS  $\mathcal{R}$ , compatible with a KBO, the derivational complexity is bounded by a 2-recursive function, that is,  $\text{dc}(n) \in \text{Ack}(O(n), 0)$*





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## Future Work

- generalised KBOs compute weights based on weakly monotone simple algebras  $\mathcal{A}$
- clarify restrictions on  $\mathcal{A}$  so that ordinal weights again collapse to numbers

Thank You for Your Attention!

