Formalism, Hilbert's program Historical introduction to the philosophy of mathematics

András Máté

 $28 {\rm th~October}~2022$

András Máté Formalism, Hilbert's program

András Máté 👘 Formalism, Hilbert's program

Hilbert (*Foundations of Geometry*, 1st edition 1899): Axioms implicitly define the basic notions of the theory.

Hilbert (*Foundations of Geometry*, 1st edition 1899): Axioms implicitly define the basic notions of the theory.

• Improved version of Euclid.

Hilbert (*Foundations of Geometry*, 1st edition 1899): Axioms implicitly define the basic notions of the theory.

- Improved version of Euclid.
- Change of perspective: not the science of the space, but the science of anything that satisfies the axioms.

Hilbert (*Foundations of Geometry*, 1st edition 1899): Axioms implicitly define the basic notions of the theory.

- Improved version of Euclid.
- Change of perspective: not the science of the space, but the science of anything that satisfies the axioms.

Another programmatic claim: Existence in mathematics is nothing but consistency.

Hilbert (*Foundations of Geometry*, 1st edition 1899): Axioms implicitly define the basic notions of the theory.

- Improved version of Euclid.
- Change of perspective: not the science of the space, but the science of anything that satisfies the axioms.

Another programmatic claim: Existence in mathematics is nothing but consistency.

Ideal case: categorical theories

A theory is categorical iff all its models are isomorphic.

Hilbert (*Foundations of Geometry*, 1st edition 1899): Axioms implicitly define the basic notions of the theory.

- Improved version of Euclid.
- Change of perspective: not the science of the space, but the science of anything that satisfies the axioms.

Another programmatic claim: Existence in mathematics is nothing but consistency.

Ideal case: categorical theories

A theory is categorical iff all its models are isomorphic.

Metamathematics is the (new) branch of mathematics investigating theories as mathematical objects (with the aim to prove that they are consistent, complete, categorical, etc.).

(人間) トイヨト イヨト

Hilbert (*Foundations of Geometry*, 1st edition 1899): Axioms implicitly define the basic notions of the theory.

- Improved version of Euclid.
- Change of perspective: not the science of the space, but the science of anything that satisfies the axioms.

Another programmatic claim: Existence in mathematics is nothing but consistency.

Ideal case: categorical theories

A theory is categorical iff all its models are isomorphic.

Metamathematics is the (new) branch of mathematics investigating theories as mathematical objects (with the aim to prove that they are consistent, complete, categorical, etc.).

Standard way to investigate theories in the metatheory: formalize them in first-order logic.

イロト 不得下 イヨト イヨト

András Máté 👘 Formalism, Hilbert's program

∃ ► < ∃ ►</p>

Formalism: a way of philosophizing about mathematics – older than the Grundlagenkrise.

∃ ► < ∃ ►</p>

Formalism: a way of philosophizing about mathematics – older than the Grundlagenkrise.

Grundlagenkrise (crisis of foundations, German): a common expression to describe the situation after the paradoxes of set theory.

Formalism: a way of philosophizing about mathematics – older than the Grundlagenkrise.

Grundlagenkrise (crisis of foundations, German): a common expression to describe the situation after the paradoxes of set theory.

Formalists say that mathematics is not *about* some ideal objects but just a game with signs regulated by certain rules.

Formalism: a way of philosophizing about mathematics – older than the Grundlagenkrise.

Grundlagenkrise (crisis of foundations, German): a common expression to describe the situation after the paradoxes of set theory.

Formalists say that mathematics is not *about* some ideal objects but just a game with signs regulated by certain rules.

Hilbert's program: prove the reliability of mathematics in metamathematics.

Metamathematics treats mathematical theories *as* sets of strings irrespective of their meaning.

Formalism: a way of philosophizing about mathematics – older than the Grundlagenkrise.

Grundlagenkrise (crisis of foundations, German): a common expression to describe the situation after the paradoxes of set theory.

Formalists say that mathematics is not *about* some ideal objects but just a game with signs regulated by certain rules.

Hilbert's program: prove the reliability of mathematics in metamathematics.

Metamathematics treats mathematical theories *as* sets of strings irrespective of their meaning.

Hilbert's school: young mathematicians working in the 1920's in Göttingen on this program (Wilhelm Ackermann, Paul Bernays, John von Neumann, Jacques Herbrand).

(人間) トイヨト イヨト

What is formalism?

Full-blooded formalism (H.B. Curry, 1963):

1

Full-blooded formalism (H.B. Curry, 1963):

'[M]athematics is characterized more by its method than by its subject matter; its objects either are unspecified or, if they are specified, are such that their exact nature is irrelevant [...]' Full-blooded formalism (H.B. Curry, 1963):

'[M]athematics is characterized more by its method than by its subject matter; its objects either are unspecified or, if they are specified, are such that their exact nature is irrelevant [...]'

Mathematics investigates formal systems of symbols in that there are usually some sequences of symbols called propositions, axioms, theorems etc., there are some rules of transformation called derivation rules, but all these are defined on the purely syntactical way, i.e. referring to the structure of the sequences of symbols only. Full-blooded formalism (H.B. Curry, 1963):

'[M]athematics is characterized more by its method than by its subject matter; its objects either are unspecified or, if they are specified, are such that their exact nature is irrelevant [...]'

Mathematics investigates formal systems of symbols in that there are usually some sequences of symbols called propositions, axioms, theorems etc., there are some rules of transformation called derivation rules, but all these are defined on the purely syntactical way, i.e. referring to the structure of the sequences of symbols only.

Propositions may have meaning, may formulate true claims about some sort of objects, but this is irrelevant for mathematics.

- 4 目 ト - 4 ヨ ト - 4

Hilbert and Bernays as non-formalists

András Máté 👘 Formalism, Hilbert's program

-

Hilbert (1919): '[C]oncept formation in mathematics is leaded always by intuition and experience, and by this reason, mathematics as a whole is a closed structure free of arbitrariness.' Hilbert (1919): '[C]oncept formation in mathematics is leaded always by intuition and experience, and by this reason, mathematics as a whole is a closed structure free of arbitrariness.'

Bernays (1928): 'Making us methodologically free from the intuition of space is not the same as to ignore the fact that the starting points of geometry lay in the intuition of space.'

Ideas, results, goals

András Máté Formalism, Hilbert's program

-

The existence of the geometrical space is based on the consistency of the postulates.

The existence of the geometrical space is based on the consistency of the postulates.

Bernays, 1928: it is only a complete (and consistent) system of axioms that guarantees the existence.

The existence of the geometrical space is based on the consistency of the postulates.

Bernays, 1928: it is only a complete (and consistent) system of axioms that guarantees the existence.

For arithmetics, a direct (absolute) proof of consistency is needed.

The existence of the geometrical space is based on the consistency of the postulates.

Bernays, 1928: it is only a complete (and consistent) system of axioms that guarantees the existence.

For arithmetics, a direct (absolute) proof of consistency is needed.

Reduction to logic cannot guarantee consistency. (This is the moral from the paradoxes.)

András Máté 👘 Formalism, Hilbert's program

イロト イヨト イヨト イヨト

E

Hilbert, 1918:

'All such questions of principle ... [sc. completeness, consistency, decidability] seem to me to form an important new field of research which remains to be developed. To conquer this field we must ... make the concept of specifically mathematical proof itself into an object of investigation, just as ... the physicist studies the theory of his apparatus, and the philosopher criticizes reason itself.'

Hilbert, 1918:

'All such questions of principle ... [sc. completeness, consistency, decidability] seem to me to form an important new field of research which remains to be developed. To conquer this field we must ... make the concept of specifically mathematical proof itself into an object of investigation, just as ... the physicist studies the theory of his apparatus, and the philosopher criticizes reason itself.'

The steps to such an investigation of a mathematical theory are the following:

- Axiomatize the theory
- Formalize the theory (including the logical principles used in it)

(人間) トイヨト イヨト

Hilbert, 1918:

'All such questions of principle ... [sc. completeness, consistency, decidability] seem to me to form an important new field of research which remains to be developed. To conquer this field we must ... make the concept of specifically mathematical proof itself into an object of investigation, just as ... the physicist studies the theory of his apparatus, and the philosopher criticizes reason itself.'

The steps to such an investigation of a mathematical theory are the following:

- Axiomatize the theory
- Formalize the theory (including the logical principles used in it)

The main goal of the investigation is to prove that the risky, transfinite constituents of the theory don't make it inconsistent.

《曰》 《聞》 《臣》 《臣》 三臣

András Máté Formalism, Hilbert's program

イロト イヨト イヨト イヨト

E

Logical axioms have no distinguished role and no special privilege to certainty. Just the contrary, if they refer to infinity, they need justification as well as the other components.

Logical axioms have no distinguished role and no special privilege to certainty. Just the contrary, if they refer to infinity, they need justification as well as the other components.

E.g. the instances of the scheme

$$\forall x A(x) \lor \exists x \neg A(x)$$

are trivially valid for a finite domain because they can be verified in finitely many steps. But on an infinite domain, after finitely many steps, it is always possible that we didn't find an object afor which $\neg A(a)$ holds but we didn't verify $\forall xA(x)$, either.

Logical axioms have no distinguished role and no special privilege to certainty. Just the contrary, if they refer to infinity, they need justification as well as the other components.

E.g. the instances of the scheme

$$\forall x A(x) \lor \exists x \neg A(x)$$

are trivially valid for a finite domain because they can be verified in finitely many steps. But on an infinite domain, after finitely many steps, it is always possible that we didn't find an object afor which $\neg A(a)$ holds but we didn't verify $\forall xA(x)$, either.

Certainty does not lie in logic, but in experience and intuition (as the framework of experience).

Metamathematics is more reliable than other mathematical theories because the reference to infinity is minimalized.

イロト 不得下 イヨト イヨト

András Máté – Formalism, Hilbert's program

周▶ ▲ 目

글 > - 크

'[T]he objects of number theory are for me – in direct contrast to Dedekind and Frege – the signs themselves ...'

'[T]he objects of number theory are for me – in direct contrast to Dedekind and Frege – the signs themselves ...'

'The solid philosophical attitude that I think is required for the grounding of pure mathematics ... is this: In the beginning was the sign.'

'[T]he objects of number theory are for me – in direct contrast to Dedekind and Frege – the signs themselves ...'

'The solid philosophical attitude that I think is required for the grounding of pure mathematics ... is this: In the beginning was the sign.'

This attitude can justify the existence of natural numbers, but not the existence of their set or the existence of the ordinal ω .

'[T]he objects of number theory are for me – in direct contrast to Dedekind and Frege – the signs themselves ...'

'The solid philosophical attitude that I think is required for the grounding of pure mathematics ... is this: In the beginning was the sign.'

This attitude can justify the existence of natural numbers, but not the existence of their set or the existence of the ordinal ω .

We can extend our system (of real elements) by the ideal element ω .

(4月) (4日) (4日)

The method of ideal elements

András Máté 👘 Formalism, Hilbert's program

∃ ⊳

Such an extension should be justified by proving that the system extended by the ideal elements is consistent (if the original system was).

Such an extension should be justified by proving that the system extended by the ideal elements is consistent (if the original system was).

The extension can be iterated, and therefore the distinction between real and ideal elements is always relative to the actual theory. We get a chain of theories that are link by link stronger and stronger, contain more and more ideal elements.

Such an extension should be justified by proving that the system extended by the ideal elements is consistent (if the original system was).

The extension can be iterated, and therefore the distinction between real and ideal elements is always relative to the actual theory. We get a chain of theories that are link by link stronger and stronger, contain more and more ideal elements.

'No one will drive us from the paradise which Cantor created for us.'

(人間) トイヨト イヨト

Finitism

András Máté 👘 Formalism, Hilbert's program

▲ロト ▲御ト ▲注ト ▲注ト

Ξ

Infinite sets, large cardinals etc. are ideal elements. The use of ideal elements is not forbidden (as it is in intuitionist mathematics), but needs justification in the mathematics of real elements.

Infinite sets, large cardinals etc. are ideal elements. The use of ideal elements is not forbidden (as it is in intuitionist mathematics), but needs justification in the mathematics of real elements.

By relative consistency proofs, we can reduce the problem of consistency of mathematical theories to the consistency of 'more fundamental' ones. The proofs should be purely formal and must not use anything but the axioms.

András Máté 👘 Formalism, Hilbert's program

∃ ► < ∃ ►</p>

Geometry can be reduced to the theory of real numbers. Theory of real numbers can be reduced to Peano arithmetics. Peano arithmetics ...? What about the first link of this chain of more and more fundamental theories?

Geometry can be reduced to the theory of real numbers. Theory of real numbers can be reduced to Peano arithmetics. Peano arithmetics ...? What about the first link of this chain of more and more fundamental theories?

We cannot reduce the reliability of the first link to another, more fundamental theory. It should be reliable by itself, for reasons belonging to the content of the theory and not for formal reasons.

Geometry can be reduced to the theory of real numbers. Theory of real numbers can be reduced to Peano arithmetics. Peano arithmetics ...? What about the first link of this chain of more and more fundamental theories?

We cannot reduce the reliability of the first link to another, more fundamental theory. It should be reliable by itself, for reasons belonging to the content of the theory and not for formal reasons.

This first step (or link) should contain only reasoning about finite objects that are immediately given to us in our intuition, and we may use only finite rules of argumentation.

Geometry can be reduced to the theory of real numbers. Theory of real numbers can be reduced to Peano arithmetics. Peano arithmetics ...? What about the first link of this chain of more and more fundamental theories?

We cannot reduce the reliability of the first link to another, more fundamental theory. It should be reliable by itself, for reasons belonging to the content of the theory and not for formal reasons.

This first step (or link) should contain only reasoning about finite objects that are immediately given to us in our intuition, and we may use only finite rules of argumentation.

This first link should be some limited fragment of the arithmetics of natural numbers, with some limited logic (bounded quantifiers). In such a theory we should prove the consistency of the full Peano arithmetics, and then we can move forward.

- 4 回 ト - 4 日 ト - 4 日 ト

Risk in the logic

András Máté Formalism, Hilbert's program

→ 同 ト → ヨト

-

< □ > < □

-

EI: $\exists x A(x) \Longrightarrow A(a)$ (i.e., if there are As, then we can choose one of them and call it a).

EI: $\exists x A(x) \Longrightarrow A(a)$ (i.e., if there are As, then we can choose one of them and call it a).

UG: If a is an arbitrary member of the domain, $A(a) \Longrightarrow \forall x A(x)$

EI: $\exists x A(x) \Longrightarrow A(a)$ (i.e., if there are As, then we can choose one of them and call it a).

UG: If a is an arbitrary member of the domain, $A(a) \Longrightarrow \forall x A(x)$

Hilbert's formulation of the risk in logic: ϵ -operator with the transfinite axiom $A(x) \to A(\epsilon A(x))$

EI: $\exists x A(x) \Longrightarrow A(a)$ (i.e., if there are As, then we can choose one of them and call it a).

UG: If a is an arbitrary member of the domain, $A(a) \Longrightarrow \forall x A(x)$

Hilbert's formulation of the risk in logic: ϵ -operator with the transfinite axiom $A(x) \to A(\epsilon A(x))$

BTW. tacit universal quantification is allowed in general. Universal instantiation and existential generalization don't count as risky.

András Máté 👘 Formalism, Hilbert's program

► 4 Ξ ►

The induction scheme

$$(A(0) \land \forall x (A(x) \to A(x'))) \to \forall x A(x)$$

should be applied for cases where A(x) contains no bounded variable.

The induction scheme

$$(A(0) \land \forall x (A(x) \to A(x'))) \to \forall x A(x)$$

should be applied for cases where A(x) contains no bounded variable.

Ackermann proves

- **(**) the consistency of Peano arithmetics without induction
- the consistency of Peano arithmetics with induction limited to the no-bounded-variables case.

The induction scheme

$$(A(0) \land \forall x (A(x) \to A(x'))) \to \forall x A(x)$$

should be applied for cases where A(x) contains no bounded variable.

Ackermann proves

- **(**) the consistency of Peano arithmetics without induction
- 2 the consistency of Peano arithmetics with induction limited to the no-bounded-variables case.

Von Neumann proves the consistency of full Peano arithmetics with first-order logic without the transfinite axiom.

The induction scheme

$$(A(0) \land \forall x (A(x) \to A(x'))) \to \forall x A(x)$$

should be applied for cases where A(x) contains no bounded variable.

Ackermann proves

- **(**) the consistency of Peano arithmetics without induction
- the consistency of Peano arithmetics with induction limited to the no-bounded-variables case.

Von Neumann proves the consistency of full Peano arithmetics with first-order logic without the transfinite axiom.

And then comes Gödel ...