

An Exercise in **Mathematical Engineering**:  
Proving Weak and Strong Goodstein Theorems

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- We have always thought that **math.** and **programming** are related
- We have often observed that **math. educated people** are quite **good**
- But the **vast majority** of comp. professional is **not math. educated**
- How could we have **more math.** inserted in a **CS curriculum**?
- **What kind of “mathematics”** should we add to such a curriculum?

- The precise mathematical **subject is not important**
- What matters is the **context** of a mathematical subject
- “Context” is the background needed to formalise a math. subject:
  - **definitions**
  - **axioms**
  - **imported and intermediate results**
  - **proofs**, etc ...
- It is **not so different** from similar contexts encountered in **software**
- Why not incorporating **such examples in CS curriculum?**

- In order to make this idea **more precise**
- We started to dig into **mathematical books and articles**
- Our goal was to **construct a data base** of such math. contexts
- And then to **try presenting these examples** to some students
- In order to see how they **react to this material**
- **BUT**, we quickly discovered that ...

- **Mathematical contexts** (taken from books or articles) are often:
  - **Badly structured.**
  - **Hard to understand.**
  - **With important definitions just missing.**
  - **Not abstract enough!!!**
- Consequence: math. works (as such) are **not good examples.**
- We had no choice but to **reconstruct some mathematical contexts.**
- Here is such an example: **the Goodstein theorem**

- In 1944, Goodstein presented and proved a very strange result.
- Reference: Goodstein, R. (1944),  
"On the restricted ordinal theorem", Journal of Symbolic Logic.
- He proved that a certain sequence of numbers, that seems to increase extremely rapidly, is in fact not increasing for ever.
- Later, people simplified this result, thus introducing the, so called, "weak" Goodstein Theorem.

1. Presentation of **Goodstein computations**
2. **Proof approaches**
3. **Data structures** for base notations
4. **More on our approach** for the proof
5. Some **basic results**
6. **Properties** of the data structures
7. **Value** Associated with a Base and a Data Structure
8. **Data Structure** Associated with a Base and a Number
9. **Goodstein Proofs**
10. **Discussion** and Conclusion

# 1. Presentation of Goodstein Computations



- Given a natural number written in base 2:  $2^8 + 2^3 + 2 = 266$
- We use the **same notation**, now in base 3:  $3^8 + 3^3 + 3 = 6,591$
- And we subtract 1, yielding:  $3^8 + 3^3 + 2 = 6,590$
- We write this number in base 4:  $4^8 + 4^3 + 2 = 65,602$
- And we subtract 1, yielding  $4^8 + 4^3 + 1 = 65,601$

- We write this number in base 5:  $5^8 + 5^3 + 1 = 390,751$
- And we subtract 1, yielding  $5^8 + 5^3 = 390,750$
- We write this number in base 6 yielding:  $6^8 + 6^3 = 1,679,832$
- And we subtract 1, yielding  $6^8 + 5 \cdot 6^2 + 5 \cdot 6 + 5 = 1,679,831$
- And so on ...

266    6,590    65,601    390,750    1,679,831    ...

- It seems that this trace is going to **increase for ever**
- But after a **gigantic increase**, it will eventually **decrease to 0**
- This is what the **weak Goodstein theorem** says.
- **How can we prove this?**

- The computation is the same as that of the weak Goodstein
- Increasing the base and decreasing the result
- But one is not using the simple base decomposition any more
- Instead, one uses the **hereditary base decomposition**
- Example of such a decomposition:

$$266 = 1.2^{2^{2+1}} + 1.2^{2+1} + 1.2^1$$

- Instead of the simple base decomposition:

$$266 = 1.2^8 + 1.2^3 + 1.2^1$$

$$\begin{aligned}2^{2^{2+1}} + 2^{2+1} + 2 &= 266 \\3^{3^{3+1}} + 3^{3+1} + 3 - 1 &\approx 4.4 \times 10^{36} \\4^{4^{4+1}} + 4^{4+1} + 2 - 1 &\approx 3.2 \times 10^{616} \\5^{5^{5+1}} + 5^{5+1} + 1 - 1 &\approx 2.5 \times 10^{1,0921} \\6^{6^{6+1}} + 6^{6+1} - 1 &\approx 3.5 \times 10^{217,832} \\&\dots\end{aligned}$$

- Again, it seems that this trace is going to **increase for ever**
- But after an **extraordinary increase**, it will eventually **decrease to 0**
- This is what the **strong Goodstein theorem** says
- **How can we prove this?**

## 2. Proof Approaches

R.L. Goodstein *On the restricted ordinal theorem*. Journal of Symbolic Logic 9(1944)

L. Kirby and J. Paris *Accessible Independent Results for Peano Arithmetic*. Bulletin of the London Mathematical Society 4 (1982)

A. E. Caicedo *Goodstein's Theorem*. Revista Columbiana Matematicas (2007)

W. Sladek *The Termite and the Tower: Goodstein sequences and proverbiability in PA*. Draft (2007)

W. Gasarch *Theorems that you simply don't believe*. Computational Complexity Blog (2010)

M. Rathjen *Goodstein's Theorem Revisited* Draft (2014)

And many more ...

- At each step in a Goodstein sequence one replaces the current base by  $\omega$ , the smallest infinite ordinal. Example:

$$3^{3^{3+1}} + 3^{3+1} + 3 \quad \text{is replaced by} \quad \omega^{\omega^{\omega+1}} + \omega^{\omega+1} + \omega$$

- In doing so, we obtain an ordinal in, so called, Cantor Normal Form
- This set is known to be well-ordered
- Moreover, the  $-1$  operation decreases it
- This is sufficient to prove Goodstein theorem



- Ordinals do not form a set
- However ordinals from 0 to  $\epsilon_0$  form a set: the Cantor normal form
- Where  $\epsilon_0$  is such that  $\epsilon_0 = \omega^{\epsilon_0}$  ( $\omega$  exponentiated  $\omega$  times)
- The  $-1$  operation is not always defined for ordinals
- Not all presented proofs mentioned these issues

- We found the proposed proof to be a bit magic.
- We would like to get rid of ordinals.
- We propose to replace the ordinals by some data structures.
- We want the strong Goodstein be a generalisation of weak one.
- We want to mechanise our proof with the Rodin Tool set.
- For this, we need some data structures for base notations

### 3. Data Structures for Base Notations

- We eliminate the base
- We replace the formula by a **finite sequence**
- Example for  $266 = 2^8 + 2^3 + 2^1$ 
$$= 1 \cdot 2^8 + 1 \cdot 2^3 + 1 \cdot 2^1$$
$$= 2^8 \cdot 1 + 2^3 \cdot 1 + 2^1 \cdot 1$$
- A finite sequence of **pairs**:

$$\langle (8 \mapsto 1), (3 \mapsto 1), (1 \mapsto 1) \rangle$$

- We have a sequence of pairs as well
- But the first elements of these pairs are not numbers any more
- They are **themselves sequence of pairs**, and so on ...

- Example for  $266 = 2^8 + 2^3 + 2^1$

$$= 1.2^8 + 1.2^3 + 1.2^1$$

$$= 1.2^{2^3} + 1.2^3 + 1.2^1$$

$$= 1.2^{2^{2+1}} + 1.2^{2+1} + 1.2^1$$

$$= 1.2^{1.2^{1.2^{1.2^0}+1.2^0}} + 1.2^{1.2^{1.2^0}+1.2^0} + 1.2^{1.2^0}$$

$$= 2^{2^{2^{2^0}.1.1+2^0.1.1.1}} + 2^{2^{2^0.1.1+2^0.1.1}} + 2^{2^0.1.1}$$

- A finite sequence of pairs (finite sequence, number):

- Example for  $266 = 2^{2^{2^0.1.1+2^0.1}.1.1} + 2^{2^{2^0.1.1+2^0.1}.1} + 2^{2^0.1}.1$

$$\langle (s1, 1), (s2, 1), (s3, 1) \rangle$$

$$s1 \rightsquigarrow 2^{2^{2^0.1.1+2^0.1}.1}$$

$$s2 \rightsquigarrow 2^{2^{2^0.1.1+2^0.1}}$$

$$s3 \rightsquigarrow 2^{2^0.1}$$

$$s1 = \langle (s2, 1) \rangle$$

$$s2 = \langle (s3, 1), (\langle \rangle, 1) \rangle$$

$$s3 = \langle (\langle \rangle, 1) \rangle$$

$$s1 = \langle (\langle (\langle (\langle \rangle, 1) \rangle, 1), (\langle \rangle, 1) \rangle, 1) \rangle$$

$$s2 = \langle (\langle (\langle \rangle, 1) \rangle, 1), (\langle \rangle, 1) \rangle$$

$$s3 = \langle (\langle \rangle, 1) \rangle$$

## 4. More on our approach of the proof



- Given the previously mentioned set  $S$  of data structures
- We want first to prove that  $S$  is well-ordered by a relation  $\prec$
- Each number  $n$  with a base  $b$  can be transformed into an element  $g$  of  $S$
- Note that incrementing the base  $b$ , by moving  $n$  into  $m$ , does not modify  $g$
- Let  $h$  be the transformation of  $m - 1$  with base  $b + 1$  into a member of  $S$
- We want then to prove the following:  $h \prec g$
- Then, since  $S$  is well-ordered by  $\prec$ , THIS CANNOT BE DONE FOR EVER
- This approach will be used for both weak and strong Goodstein theorems

## 5. Some Basic Results

Let  $S$  be a set strictly well-ordered by a relation  $\prec$ .

**Theorem 1:** *The set  $S \times \mathbb{N}$  is strictly well-ordered by lexicographical ordering built with  $\prec$  and  $<$ .*

**Theorem 2:** *The set of decreasing finite sequences built on  $S$  is strictly well-ordered by lexicographical ordering.*

**Theorem 3:** *Given two positive natural numbers  $x$  and  $n$ , we have:*

$$x^n - 1 = (x - 1) \cdot \sum_{i=0}^{n-1} x^i$$

- Let  $S$  be a set strictly well-ordered by a relation  $\prec$ .

**Theorem 1:** *The set  $S \times \mathbb{N}1$  is strictly well-ordered by lexicographical ordering built with  $\prec$  and  $<$ .*

- Let  $S$  be the set  $0 \dots 9$  and let us reduce the set  $\mathbb{N}1$  to  $1 \dots 9$
- The set  $\{(0, 1), (0, 2), \dots, (9, 9)\}$  is clearly lexicographically well-ordered

- Let  $S$  be a set strictly well-ordered by a relation  $\prec$ .

**Theorem 2:** *The set of decreasing finite sequences built on  $S$  is strictly well-ordered by lexicographical ordering.*

- Let  $S$  be the set  $\mathbb{N}$  of natural numbers
- Then the following set of decreasing sequences is well-ordered:  
 $\{ \langle 35, 22, 19, 11, 7 \rangle, \langle 35, 22, 20, 9, 3, 1 \rangle, \langle 38, 15 \rangle, \dots \}$

**Theorem 3:** *Given two positive natural numbers  $x$  and  $n$ , we have:*

$$x^n - 1 = (x - 1) \cdot \sum_{i=0}^{n-1} x^i$$

- Here is an example:

$$6^3 - 1 = 216 - 1 = 215$$

$$= 5 \cdot 6^2 + 5 \cdot 6 + 5 = 180 + 30 + 5 = 215$$

## 6. Properties of the data structures

- We have a set of sequences built on the set of pairs  $\mathbb{N} \times \mathbb{N}$
- According to Theorem 1, this set is **lexicographically ordered**
- Moreover, the first element of the pair is **decreasing**
- Example:

$$< (8 \mapsto 1), (3 \mapsto 1), (1 \mapsto 1) >$$

- Thus, according to Theorem 2, this set is also **well ordered**

**Theorem 4:** *The set of data structures associated with simple bases is strictly lexicographically well-ordered*



- Let  $T$  be the set of data structure
- $T$  can be inductively built from the following fixpoint equation:

$$T = \text{seq}(T \times \mathbb{N}1)$$

- Example for  $266 = 1.2^{2^2+1} + 1.2^{2+1} + 1.2^1$
- A finite sequence of pairs:

$$\langle (s1 \mapsto 1), (s2 \mapsto 1), (s3 \mapsto 1) \rangle$$

$$s1 = \langle (s2, 1) \rangle$$

$$s2 = \langle (s3, 1), (\langle \rangle, 1) \rangle$$

$$s3 = \langle (\langle \rangle, 1) \rangle$$

- **Theorem 5:** *The set  $T$  is strictly and totally lexicographically ordered by means of a relation denoted by  $\prec$ .*
- Let  $LOD$  be the subset of  $T$  where each sequence, which is an element of  $T$ , is supposed to be decreasing along  $\prec$ .
- Each element of the set  $LOD$  has a **height** defined recursively on the structure of  $LOD$
- **Theorem 6:** *Given two elements  $s1$  and  $s2$  of  $LOD$  with respective heights  $h(s1)$  and  $h(s2)$ , we have:*

$$h(s1) < h(s2) \Rightarrow s1 \prec s2$$

- **Theorem 7:** *Every non-empty (and potentially infinite) subset of  $LOD$ , containing only elements with a height that is smaller than or equal to a certain height  $h$ , has a smallest element*
- **Theorem 8:** *The set  $LOD$  is lexicographically well-ordered by the relation  $\prec$ .*

## 7. Value Associated with a Base and a Data Structure

$$\text{vals}_b \in \text{seq}(\mathbb{N} \times \mathbb{N}1) \rightarrow \mathbb{N}$$

$$\begin{aligned}\text{vals}_b(s \leftarrow (e, c)) &= \text{vals}_b(s) + c.b^e \\ \text{vals}_b(<>) &= 0\end{aligned}$$

- Example:

$$\begin{aligned}\text{vals}_2(< (8, 1), (3, 1), (1, 1) >) &= 1.2^8 + 1.2^3 + 1.2^1 \\ &= 266\end{aligned}$$

$$\text{valt}_b \in \text{seq}(\mathbf{LOD}) \rightarrow \mathbb{N}$$

$$\begin{aligned} \text{valt}_b(s \leftarrow (t, c)) &= \text{valt}_b(s) + c \cdot b^{\text{valt}_b(t)} \\ \text{valt}_b(<>) &= 0 \end{aligned}$$

$$\begin{aligned}\text{valt}_2(s3) &= \text{valt}_2(< (<>, 1) >) \\ &= 1.2^{\text{valt}_2(<>)} \\ &= 1\end{aligned}$$

$$\begin{aligned}\text{valt}_2(s2) &= \text{valt}_2(< (s3, 1), (<>, 1) >) \\ &= 1.2^{\text{valt}_2(s3)} + 1.2^{\text{valt}_2(<>)} \\ &= 2 + 1\end{aligned}$$

$$\begin{aligned}\text{valt}_2(s1) &= \text{valt}_2(< (s2, 1) >) \\ &= 1.2^{\text{valt}_2(s2)} \\ &= 2^{2+1}\end{aligned}$$

$$\begin{aligned}\text{valt}_2(< (s1, 1), (s2, 1), (s3, 1) >) \\ &= 1.2^{\text{valt}_2(s1)} + 1.2^{\text{valt}_2(s2)} + 1.2^{\text{valt}_2(s3)} \\ &= 2^{2^{2+1}} + 2^{2+1} + 2^1 \\ &= 266\end{aligned}$$

## 8. Data Structure Associated with a Base and a Number



$$\text{seqs}_b \in \mathbb{N} \rightarrow \text{seq}(\mathbb{N} \times \mathbb{N}1)$$

$$\text{seqs}_b(n) = \text{seqs1}_b(0, n)$$

$$\text{seqs1}_b(i, n) =$$

$$\left\{ \begin{array}{ll} \text{seqs1}_b(i + 1, n \text{ div } b) \leftarrow (i, n \text{ mod } b) & \text{if } n \geq b \wedge n \text{ mod } b \neq 0 \\ \text{seqs1}_b(i + 1, n \text{ div } b) & \text{if } n \geq b \wedge n \text{ mod } b = 0 \\ \langle (i, n) \rangle & \text{if } n < b \wedge n > 0 \\ \langle \rangle & \text{if } n = 0 \end{array} \right.$$

$$\text{seqs}_2(266) = \text{seqs}_1(0, 266)$$

$$\text{seqs}_1(0, 266) = \text{seqs}_1(1, 133)$$

$$= \text{seqs}_1(2, 66) \leftarrow (1, 1)$$

$$= \text{seqs}_1(3, 33) \leftarrow (1, 1)$$

$$= \text{seqs}_1(4, 16) \leftarrow (3, 1) \leftarrow (1, 1)$$

$$= \dots$$

$$= \text{seqs}_1(8, 1) \leftarrow (3, 1) \leftarrow (1, 1)$$

$$= \langle (8, 1) \rangle \leftarrow (3, 1) \leftarrow (1, 1)$$

$$= \langle (8, 1), (3, 1), (1, 1) \rangle$$

## Theorem 9:

$$\forall n, b. n > 0 \wedge b > 1 \Rightarrow \text{seqs}(b)(n - 1) \prec \text{seqs}(b)(n)$$

## Theorem 10:

$$\begin{aligned} \forall n, b, B. & \quad n \in \mathbb{N} \wedge \\ & \quad b > 1 \wedge \\ & \quad B \geq b \\ \Rightarrow & \\ & \quad \text{seqs}(B)(\text{vals}(B)(\text{seqs}(b)(n))) = \text{seqs}(b)(n) \end{aligned}$$

## Theorem 11:

$$\begin{aligned} \forall n, b, B. & \quad n \in \mathbb{N} \wedge \\ & \quad b > 1 \wedge \\ & \quad B \geq b \\ \Rightarrow & \\ & \quad \text{seqs}(B)(\text{vals}(B)(\text{seqs}_b(n)) - 1) \prec \text{seqs}(b)(n) \end{aligned}$$

$$\text{seqt}_b \in \mathbb{N} \rightarrow \text{seq}(LOD)$$

$$\text{seqt}_b(n) = \text{seqt1}_b(0, n)$$

$$\text{seqt1}_b(i, n) =$$

$$\left\{ \begin{array}{ll} \text{seqt1}_b(i+1, n \text{ div } b) \leftarrow (\text{seqt1}_b(0, i), n \bmod b) & \text{if } n \geq b \wedge n \bmod b \neq 0 \\ \text{seqt1}_b(i+1, n \text{ div } b) & \text{if } n \geq b \wedge n \bmod b = 0 \\ < (\text{seqt1}_b(0, i), n) > & \text{if } n < b \wedge n > 0 \\ < > & \text{if } n = 0 \end{array} \right.$$

$$\text{seqt}_2(266) = \text{seqt}_1(0, 266)$$

$$\text{seqt}_1(0, 266)$$

$$= \text{seqt}_1(1, 133)$$

$$= \text{seqs}_1(2, 66) \leftarrow (\text{seqt}_1(0, 1), 1)$$

$$= \text{seqs}_1(3, 33) \leftarrow (\text{seqt}_1(0, 1), 1)$$

$$= \text{seqs}_1(4, 16) \leftarrow (\text{seqt}_1(0, 3), 1) \leftarrow (\text{seqt}_1(0, 1), 1)$$

$$= \dots$$

$$= \text{seqs}_1(8, 1) \leftarrow (\text{seqt}_1(0, 3), 1) \leftarrow (\text{seqt}_1(0, 1), 1)$$

$$= \langle (\text{seqt}_1(0, 8), 1) \rangle \leftarrow (\text{seqt}_1(0, 3), 1) \leftarrow (\text{seqt}_1(0, 1), 1)$$

$$= \langle (\text{seqt}_1(0, 8), 1), (\text{seqt}_1(0, 3), 1), (\text{seqt}_1(0, 1), 1) \rangle$$

$$= \langle (s1, 1), (s2, 1), (s3, 1) \rangle$$

$$\begin{aligned}s3 &= \text{seqt}_2(0, 1) \\ &= \langle \text{seqt}_2(0, 0), 1 \rangle \\ &= \langle \langle \rangle, 1 \rangle\end{aligned}$$

$$\begin{aligned}s2 &= \text{seqt}_2(0, 3) \\ &= \text{seqt}_2(1, 1) \leftarrow (\text{seqt}_2(0, 0), 1) \\ &= \text{seqt}_2(1, 1) \leftarrow s3 \\ &= \langle \text{seqt}_2(0, 1), 1 \rangle \leftarrow s3 \\ &= \langle (s3, 1), \langle \rangle, 1 \rangle\end{aligned}$$

$$\begin{aligned}s1 &= \text{seqt}_2(0, 8) \\ &= \text{seqt}_2(1, 4) \\ &= \text{seqt}_2(2, 2) \\ &= \text{seqt}_2(3, 1) \\ &= \langle \text{seqt}_2(0, 3), 1 \rangle \\ &= \langle (s2, 1) \rangle\end{aligned}$$

**Theorem 12:** *The range of the function  $\text{seqt}(b)$  is included in the set  $LOD$*

**Theorem 13:**

$$\forall n, b \cdot n > 0 \wedge b > 1 \Rightarrow \text{seqt}(b)(n - 1) \prec \text{seqt}(b)(n)$$

**Theorem 14:**

$$\begin{aligned} \forall n, b, B \cdot & n \in \mathbb{N} \wedge \\ & b > 1 \wedge \\ & B \geq b \\ \Rightarrow & \\ & \text{seqt}(B)(\text{valt}(B)(\text{seqt}(b)(n))) = \text{seqt}(b)(n) \end{aligned}$$

**Theorem 15:**

$$\begin{aligned} \forall n, b, B \cdot & n \in \mathbb{N} \wedge \\ & b > 1 \wedge \\ & B \geq b \\ \Rightarrow & \\ & \text{seqt}(B)(\text{valt}(B)(\text{seqt}(b)(n)) - 1) \prec \text{seqt}(b)(n) \end{aligned}$$

## 9. Goodstein Proofs



- We have to prove the **termination of this loop**

```
 $n := \text{some natural number};$   
 $b := 2;$   
while  $n \neq 0$  do  
   $n := \text{vals}_{b+1}(\text{seqs}_b(n)) - 1;$   
   $b := b + 1$   
end
```

- The state of this program is the pair  $b \mapsto n$

- We have to define a "variant" and prove that it decreases
- Our candidate is  $\text{seqs}(b)(n)$
- We have to prove the decreasing:

$$\text{seqs}(b + 1)(\text{vals}(b + 1)(\text{seqs}(b)(n)) - 1) \prec \text{seqs}(b)(n)$$

where  $\prec$  denotes the lexicographical order built on finite sequences of  $\mathbb{N} \times \mathbb{N}1$ .

**Theorem 16** (Weak Goodstein theorem): *The previous loop terminates*

- We have to prove the **termination of this loop**

```
 $n := \text{some natural number};$   
 $b := 2;$   
while  $n \neq 0$  do  
   $n := \text{val}_{b+1}(\text{seq}_b(n)) - 1;$   
   $b := b + 1$   
end
```

- The state of this program is the pair  $b \mapsto n$

- We have to define a "variant" and prove that it decreases
- Our candidate is  $\text{seqt}(b)(n)$
- We have to prove the decreasing:

$$\text{seqt}(b+1)(\text{valt}(b+1)(\text{seqt}(b)(n)) - 1) \prec \text{seqt}(b)(n)$$

where  $\prec$  denotes the lexicographical order built on finite sequences of *LOD*.

**Theorem 17** (Strong Goodstein theorem): *The previous loop terminates*

## 10. Discussion and Conclusion

- At each step in a Goodstein sequence one replaces the current base by  $\omega$ , the smallest infinite ordinal. Example:

$$3^{3^{3+1}} + 3^{3+1} + 3 \quad \text{is replaced by} \quad \omega^{\omega^{\omega+1}} + \omega^{\omega+1} + \omega$$

- In doing so, we obtain an ordinal in, so called, Cantor Normal Form
- This set is well-ordered and the  $-1$  operation decreases it
- This is sufficient to prove Goodstein theorem

- The usual proof reasons on Cantor normal form
- Our set *LOD* is an encoding of Cantor normal form
- We have not used transfinite numbers, but they were not very far

Thanks for Listening