

# Foundations of Mathematics and the Foundational Crisis

Kevin Kappelmann

Technical University of Munich

May 22, 2017

# Overview

- 1 Causes of the crisis
  - Ancient Mathematics
  - Uncertainties
- 2 The Foundational Crisis
  - Logicism
  - Intuitionism
  - Formalism
  - Peak and End
- 3 Aftermath and Prospects

# First Steps

- In the beginning, maths served as an applied tool.

# First Steps

- In the beginning, maths served as an applied tool.
- Ancient Greeks developed the notion of a proof in 600 BC.

# First Steps

- In the beginning, maths served as an applied tool.
- Ancient Greeks developed the notion of a proof in 600 BC.
- The Pythagoreans discovered irrational numbers.

# First Steps

- In the beginning, maths served as an applied tool.
- Ancient Greeks developed the notion of a proof in 600 BC.
- The Pythagoreans discovered irrational numbers.
  - ⇒ First controversy of mathematics

# First Steps

- In the beginning, maths served as an applied tool.
- Ancient Greeks developed the notion of a proof in 600 BC.
- The Pythagoreans discovered irrational numbers.
  - ⇒ First controversy of mathematics
- Euclid's Elements around 300 BC

# First Steps

- In the beginning, maths served as an applied tool.
- Ancient Greeks developed the notion of a proof in 600 BC.
- The Pythagoreans discovered irrational numbers.
  - ⇒ First controversy of mathematics
- Euclid's Elements around 300 BC
  - Axiomatic, deductive treatment of mathematics similar to modern systems



# First Steps

- In the beginning, maths served as an applied tool.
- Ancient Greeks developed the notion of a proof in 600 BC.
- The Pythagoreans discovered irrational numbers.
  - ⇒ First controversy of mathematics
- Euclid's Elements around 300 BC
  - Axiomatic, deductive treatment of mathematics similar to modern systems
  - A work of timeless certainty...

# First Steps

- In the beginning, maths served as an applied tool.
- Ancient Greeks developed the notion of a proof in 600 BC.
- The Pythagoreans discovered irrational numbers.
  - ⇒ First controversy of mathematics
- Euclid's Elements around 300 BC
  - Axiomatic, deductive treatment of mathematics similar to modern systems
  - A work of timeless certainty...
    - ...at least so had been thought

# Euclid's Postulates

“Let the following be postulated:

# Euclid's Postulates

“Let the following be postulated:

- 1 To draw a straight line from any point to any point.

# Euclid's Postulates

“Let the following be postulated:

- 1 To draw a straight line from any point to any point.
- 2 To produce [extend] a finite straight line continuously in a straight line.

# Euclid's Postulates

“Let the following be postulated:

- 1 To draw a straight line from any point to any point.
- 2 To produce [extend] a finite straight line continuously in a straight line.
- 3 To describe a circle with any centre and distance [radius].

# Euclid's Postulates

“Let the following be postulated:

- 1 To draw a straight line from any point to any point.
- 2 To produce [extend] a finite straight line continuously in a straight line.
- 3 To describe a circle with any centre and distance [radius].
- 4 That all right angles are equal to one another.

# Euclid's Postulates

“Let the following be postulated:

- 1 To draw a straight line from any point to any point.
- 2 To produce [extend] a finite straight line continuously in a straight line.
- 3 To describe a circle with any centre and distance [radius].
- 4 That all right angles are equal to one another.
- 5 That, if a straight line falling on two straight lines make the interior angles on the same side less than two right angles, the two straight lines, if produced indefinitely, meet on that side on which are the angles less than the two right angles.”



# Search for Foundations

- Gauß proved the independence of Euclid's fifth postulate in 1813.

# Search for Foundations

- Gauß proved the independence of Euclid's fifth postulate in 1813.
  - ⇒ Scepticism towards used systems

# Search for Foundations

- Gauß proved the independence of Euclid's fifth postulate in 1813.
  - ⇒ Scepticism towards used systems
- Rigorous axiomatisation of mathematical branches in the late 19th century

# Search for Foundations

- Gauß proved the independence of Euclid's fifth postulate in 1813.
  - ⇒ Scepticism towards used systems
- Rigorous axiomatisation of mathematical branches in the late 19th century
  - Arithmetic of natural numbers by Peano
  - Geometry by Hilbert and Pasch
  - Predicate logic by Frege

# Search for Foundations

- Gauß proved the independence of Euclid's fifth postulate in 1813.
  - ⇒ Scepticism towards used systems
- Rigorous axiomatisation of mathematical branches in the late 19th century
  - Arithmetic of natural numbers by Peano
  - Geometry by Hilbert and Pasch
  - Predicate logic by Frege
- Desire for a universal and consistent system

# Universal Systems

- Cantor's set theory

# Universal Systems

- Cantor's set theory
  - *"A set is a gathering together into a whole of definite, distinct objects of our perception or of our thought — which are called elements of the set."*  
— Georg Cantor

# Universal Systems

- Cantor's set theory
  - *"A set is a gathering together into a whole of definite, distinct objects of our perception or of our thought — which are called elements of the set."* — Georg Cantor
  - Certainly universal, but informal and thus not adequate for a study of consistency



# Universal Systems

- Cantor's set theory
  - *"A set is a gathering together into a whole of definite, distinct objects of our perception or of our thought — which are called elements of the set."* — Georg Cantor
  - Certainly universal, but informal and thus not adequate for a study of consistency
  - Nonetheless, it was widely accepted.

# Universal Systems

- Cantor's set theory
  - *"A set is a gathering together into a whole of definite, distinct objects of our perception or of our thought — which are called elements of the set."* — Georg Cantor
  - Certainly universal, but informal and thus not adequate for a study of consistency
  - Nonetheless, it was widely accepted.
- Frege tried to build a consistent foundation with logic.
  - Sophisticated work, but not well received

# Universal Systems

- Cantor's set theory
  - *"A set is a gathering together into a whole of definite, distinct objects of our perception or of our thought — which are called elements of the set."* — Georg Cantor
  - Certainly universal, but informal and thus not adequate for a study of consistency
  - Nonetheless, it was widely accepted.
- Frege tried to build a consistent foundation with logic.
  - Sophisticated work, but not well received
- And then came Russell...

# Russell's Paradox

Consider *the set of all sets that are not members of themselves*:

$$R := \{X \mid X \notin X\}$$

# Russell's Paradox

Consider *the set of all sets that are not members of themselves*:

$$R := \{X \mid X \notin X\}$$

Question: Is  $R$  a member of itself? That is, does  $R \in R$  hold?

# Russell's Paradox

Consider *the set of all sets that are not members of themselves*:

$$R := \{X \mid X \notin X\}$$

Question: Is  $R$  a member of itself? That is, does  $R \in R$  hold?

Answer:  $R \in R \iff R \notin R$ , a contradiction!

# The Begin of the Crisis

- Cantor's as well as Frege's system were victims of this paradox.

# The Begin of the Crisis

- Cantor's as well as Frege's system were victims of this paradox.
- *"Hardly anything more unfortunate can befall a scientific writer than to have one of the foundations of his edifice shaken after the work is finished."* — Gottlob Frege



# The Begin of the Crisis

- Cantor's as well as Frege's system were victims of this paradox.
- *"Hardly anything more unfortunate can befall a scientific writer than to have one of the foundations of his edifice shaken after the work is finished."* — Gottlob Frege
- Systems founded on Cantor's set theory were on shaky ground.

# The Begin of the Crisis

- Cantor's as well as Frege's system were victims of this paradox.
- *"Hardly anything more unfortunate can befall a scientific writer than to have one of the foundations of his edifice shaken after the work is finished."* — Gottlob Frege
- Systems founded on Cantor's set theory were on shaky ground.
- A new foundation of mathematics had to be found.

# The Three Schools of Thought

- Three schools of thought tried to establish a new foundation.
  - Logicism
  - Intuitionism
  - Formalism



Source: [geopolicraticus.tumblr.com/post/142561195372](https://geopolicraticus.tumblr.com/post/142561195372)

# A Foundation Made of Logic

- Russell and Whitehead revisited the idea of reducing mathematics to logic, as tried by Frege.

# A Foundation Made of Logic

- Russell and Whitehead revisited the idea of reducing mathematics to logic, as tried by Frege.
- Mathematics as an extension of logic

# A Foundation Made of Logic

- Russell and Whitehead revisited the idea of reducing mathematics to logic, as tried by Frege.
- Mathematics as an extension of logic
- Only few axioms that must pose fundamental logical principles

# A Foundation Made of Logic

- Russell and Whitehead revisited the idea of reducing mathematics to logic, as tried by Frege.
- Mathematics as an extension of logic
- Only few axioms that must pose fundamental logical principles
- Chief work: Principia Mathematica

# Principia Mathematica

- Type theory to avoid antinomies



# Principia Mathematica

- Type theory to avoid antinomies
- Difficulties in explaining some axioms
  - Axiom of reducibility
  - Axiom of infinity

# Principia Mathematica

- Type theory to avoid antinomies
- Difficulties in explaining some axioms
  - Axiom of reducibility
  - Axiom of infinity
- Regarded as “the outstanding example of an unreadable masterpiece.”

# Principia Mathematica

- Type theory to avoid antinomies
- Difficulties in explaining some axioms
  - Axiom of reducibility
  - Axiom of infinity
- Regarded as “the outstanding example of an unreadable masterpiece.”
- Nonetheless, many adopted it as a new foundation.

# Principia Mathematica

\*54.43.  $\vdash : . \alpha, \beta \in 1 . \supset : \alpha \cap \beta = \Lambda . \equiv . \alpha \cup \beta \in 2$

*Dem.*

$\vdash . *54.26 . \supset \vdash : . \alpha = \iota'x . \beta = \iota'y . \supset : \alpha \cup \beta \in 2 . \equiv . x \neq y .$

$[*51.231] \quad \equiv . \iota'x \cap \iota'y = \Lambda .$

$[*13.12] \quad \equiv . \alpha \cap \beta = \Lambda \quad (1)$

$\vdash . (1) . *11.11.35 . \supset$

$\vdash : . (\exists x, y) . \alpha = \iota'x . \beta = \iota'y . \supset : \alpha \cup \beta \in 2 . \equiv . \alpha \cap \beta = \Lambda \quad (2)$

$\vdash . (2) . *11.54 . *52.1 . \supset \vdash . \text{Prop}$

From this proposition it will follow, when arithmetical addition has been defined, that  $1 + 1 = 2$ .

Principia Mathematica's infamous proof of  $1 + 1 = 2$ . It was not until page 379 that this proof was possible.

# Proofs with Real Evidence

- Mathematics is **not** reducible to some formal system.

# Proofs with Real Evidence

- Mathematics is **not** reducible to some formal system.
- Mathematics is a constructive process conducted by humans.

# Proofs with Real Evidence

- Mathematics is **not** reducible to some formal system.
- Mathematics is a constructive process conducted by humans.
- The existence of any mathematical object is equivalent to the possibility of its construction, according to Brouwer.

# Proofs with Real Evidence

- Mathematics is **not** reducible to some formal system.
- Mathematics is a constructive process conducted by humans.
- The existence of any mathematical object is equivalent to the possibility of its construction, according to Brouwer.
  - ⇒ No antinomies as paradoxical sets cannot be constructed.



# Proofs with Real Evidence

- Mathematics is **not** reducible to some formal system.
- Mathematics is a constructive process conducted by humans.
- The existence of any mathematical object is equivalent to the possibility of its construction, according to Brouwer.
  - ⇒ No antinomies as paradoxical sets cannot be constructed.
- Consequently, some assumptions of classical logic must be rejected.

$$P \vee \neg P \equiv ?$$

- Intuitionists reject the *law of excluded middle*:  $\vdash P \vee \neg P$   
“For any proposition P, either P or its negation is true.”

$$P \vee \neg P \equiv ?$$

- Intuitionists reject the *law of excluded middle*:  $\vdash P \vee \neg P$   
“For any proposition  $P$ , either  $P$  or its negation is true.”

**Proposition:** There exist two irrational numbers  $a$  and  $b$  such that  $a^b$  is rational.

$$P \vee \neg P \equiv ?$$

- Intuitionists reject the *law of excluded middle*:  $\vdash P \vee \neg P$   
“For any proposition  $P$ , either  $P$  or its negation is true.”

**Proposition:** There exist two irrational numbers  $a$  and  $b$  such that  $a^b$  is rational.

**Proof.** It is known that  $\sqrt{2}$  is irrational. Let us consider the number  $\sqrt{2}^{\sqrt{2}}$ .

$$P \vee \neg P \equiv ?$$

- Intuitionists reject the *law of excluded middle*:  $\vdash P \vee \neg P$   
“For any proposition  $P$ , either  $P$  or its negation is true.”

**Proposition:** There exist two irrational numbers  $a$  and  $b$  such that  $a^b$  is rational.

**Proof.** It is known that  $\sqrt{2}$  is irrational. Let us consider the number  $\sqrt{2}^{\sqrt{2}}$ . If it is rational, our statement is proved.

$$P \vee \neg P \equiv ?$$

- Intuitionists reject the *law of excluded middle*:  $\vdash P \vee \neg P$   
“For any proposition  $P$ , either  $P$  or its negation is true.”

**Proposition:** There exist two irrational numbers  $a$  and  $b$  such that  $a^b$  is rational.

**Proof.** It is known that  $\sqrt{2}$  is irrational. Let us consider the number  $\sqrt{2}^{\sqrt{2}}$ . If it is rational, our statement is proved. If it is irrational,  $(\sqrt{2}^{\sqrt{2}})^{\sqrt{2}} = 2$  proves our statement. □

# The Price to Pay

- Intuitionistic logic aggravates many proofs.

# The Price to Pay

- Intuitionistic logic aggravates many proofs.
- *“Taking this tertium non datur (law of excluded middle) from the mathematician would be the same as, say, denying the astronomer his telescope and the boxer the use of his fists.”*  
— David Hilbert



# The Price to Pay

- Intuitionistic logic aggravates many proofs.
- *“Taking this tertium non datur (law of excluded middle) from the mathematician would be the same as, say, denying the astronomer his telescope and the boxer the use of his fists.”*  
— David Hilbert
- Consequently, only a few scholars adhered to intuitionism.

# Mathematics as a Symbol Modifier

- Formalists support the autonomy of mathematics.

# Mathematics as a Symbol Modifier

- Formalists support the autonomy of mathematics.
- Mathematics shall be based on symbols and axioms that describe syntactical operations on them.

# Mathematics as a Symbol Modifier

- Formalists support the autonomy of mathematics.
- Mathematics shall be based on symbols and axioms that describe syntactical operations on them.
- Mathematics must not justify the existence of its objects as its objects are just meaningless shapes.

# Hilbert's Dream

- Hilbert feared the crippling effect of intuitionistic logic.

# Hilbert's Dream

- Hilbert feared the crippling effect of intuitionistic logic.
- To save mathematics, he initiated a research programme called *Hilbert's program* consisting of two steps:

# Hilbert's Dream

- Hilbert feared the crippling effect of intuitionistic logic.
- To save mathematics, he initiated a research programme called *Hilbert's program* consisting of two steps:
  - 1 Formalise a system that is able to derive all of mathematics using syntactical operations.

# Hilbert's Dream

- Hilbert feared the crippling effect of intuitionistic logic.
- To save mathematics, he initiated a research programme called *Hilbert's program* consisting of two steps:
  - 1 Formalise a system that is able to derive all of mathematics using syntactical operations.
  - 2 Prove the system's consistency with metamathematical reasoning.



# Hilbert's Dream

- Hilbert feared the crippling effect of intuitionistic logic.
- To save mathematics, he initiated a research programme called *Hilbert's program* consisting of two steps:
  - 1 Formalise a system that is able to derive all of mathematics using syntactical operations.
  - 2 Prove the system's consistency with metamathematical reasoning.
- The dream of a complete and consistent mathematical system

# Hilbert's Dream

- Hilbert feared the crippling effect of intuitionistic logic.
- To save mathematics, he initiated a research programme called *Hilbert's program* consisting of two steps:
  - 1 Formalise a system that is able to derive all of mathematics using syntactical operations.
  - 2 Prove the system's consistency with metamathematical reasoning.
- The dream of a complete and consistent mathematical system
- However, this dream just stayed a dream. . .

# The Peak of the Crisis

- In 1928, Brouwer boycotted the International Congress of Mathematicians.

# The Peak of the Crisis

- In 1928, Brouwer boycotted the International Congress of Mathematicians.
- There he presented his programme, without Brouwer being able to discredit his ideas.

# The Peak of the Crisis

- In 1928, Brouwer boycotted the International Congress of Mathematicians.
- There he presented his programme, without Brouwer being able to discredit his ideas.
- A few days after, Hilbert excluded Brouwer as a co-publisher from the journal “Mathematischen Annalen”.

# The Peak of the Crisis

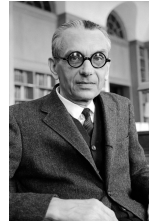
- In 1928, Brouwer boycotted the International Congress of Mathematicians.
- There he presented his programme, without Brouwer being able to discredit his ideas.
- A few days after, Hilbert excluded Brouwer as a co-publisher from the journal “Mathematischen Annalen”.
- Brouwer, in a state of frustration and despair, subsequently stopped publishing intuitionistic articles.

# The Peak of the Crisis

- In 1928, Brouwer boycotted the International Congress of Mathematicians.
- There he presented his programme, without Brouwer being able to discredit his ideas.
- A few days after, Hilbert excluded Brouwer as a co-publisher from the journal “Mathematischen Annalen”.
- Brouwer, in a state of frustration and despair, subsequently stopped publishing intuitionistic articles.
- Optimism for a complete and consistent formal system grew. . .

# The End of the Crisis

- ...but then came Gödel.

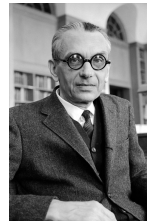


Source: [newyorker.com/tech/elements/  
waiting-for-godel](https://www.newyorker.com/tech/elements/waiting-for-godel)



# The End of the Crisis

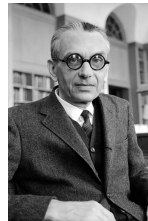
- ... but then came Gödel.
- In 1931, he proved that there is no sufficiently strong, complete and consistent formal system.



Source: [newyorker.com/tech/elements/  
waiting-for-godel](https://www.newyorker.com/tech/elements/waiting-for-godel)

# The End of the Crisis

- ... but then came Gödel.
- In 1931, he proved that there is no sufficiently strong, complete and consistent formal system.



Source: [newyorker.com/tech/elements/waiting-for-godel](https://www.newyorker.com/tech/elements/waiting-for-godel)

## Theorem (First Incompleteness Theorem)

*Any consistent formal system rich enough to contain a formalisation of recursive arithmetic is incomplete.*

# Modern Mathematics

- To this day, formalism poses the foundation of mathematics.
  - Zermelo-Fraenkel set theory (ZFC) as established foundation.

# Modern Mathematics

- To this day, formalism poses the foundation of mathematics.
  - Zermelo-Fraenkel set theory (ZFC) as established foundation.
- Most modern mathematicians do not deal with foundational research but try to extend a specific branch of mathematics.

# Modern Mathematics

- To this day, formalism poses the foundation of mathematics.
  - Zermelo-Fraenkel set theory (ZFC) as established foundation.
- Most modern mathematicians do not deal with foundational research but try to extend a specific branch of mathematics.
- Justification of foundations is often regarded philosophical work.

# The Next Mathematical Crisis?

- Digitalisation of mathematics

# The Next Mathematical Crisis?

- Digitalisation of mathematics
- Can we trust proofs by computers?

# The Next Mathematical Crisis?

- Digitalisation of mathematics
- Can we trust proofs by computers?
- Some see it as an inevitable enrichment; others face it with large distrust.



# The Next Mathematical Crisis?

- Digitalisation of mathematics
- Can we trust proofs by computers?
- Some see it as an inevitable enrichment; others face it with large distrust.
- Are we part of the next crisis?

# The End



Georg Cantor.

Beiträge zur Begründung der transfiniten Mengenlehre.

*Mathematischen Annalen*, 46:481, 1895.



Philip J. Davis, Reuben Hersh, and Elena Anne Marchisotto.

*The Mathematical Experience*.

Modern Birkhäuser Classics, 2012.



Gottlob Frege.

*Grundgesetze der Arithmetik*, volume 2.

1902.



David Hilbert.

Die Grundlagen der Mathematik.

*Abhandlungen aus dem Mathematischen Seminar der  
Hamburger Universität*, page 80, 1928.