# Foundations of Mathematics and the Foundational Crisis

Kevin Kappelmann

Technical University of Munich

May 24, 2017

#### Overview

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

■ For over 2000 years, Euclid's Elements had been regarded as a work of timeless certainty.

- For over 2000 years, Euclid's Elements had been regarded as a work of timeless certainty.
- But in 1813, Gauß proved the independence of Euclid's parallel postulate.

- For over 2000 years, Euclid's Elements had been regarded as a work of timeless certainty.
- But in 1813, Gauß proved the independence of Euclid's parallel postulate.
  - ⇒ Scepticism towards used systems

- For over 2000 years, Euclid's Elements had been regarded as a work of timeless certainty.
- But in 1813, Gauß proved the independence of Euclid's parallel postulate.
  - ⇒ 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

- For over 2000 years, Euclid's Elements had been regarded as a work of timeless certainty.
- But in 1813, Gauß proved the independence of Euclid's parallel postulate.
  - ⇒ 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

Cantor's set theory

- 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."

- 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

- 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.

- 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."
  - 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 by reducing mathematics to logic.
  - Sophisticated work, but not well received

- 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 by reducing mathematics to 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!

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

- 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."

- 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."
- Systems founded on Cantor's set theory were on shaky ground.

- 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."
- 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

## A Foundation Made of Logic

 Russell and Whitehead revisited Frege's idea of reducing mathematics to logic.

## A Foundation Made of Logic

- Russell and Whitehead revisited Frege's idea of reducing mathematics to logic.
- Mathematics is regarded as an extension of logic.

# A Foundation Made of Logic

- Russell and Whitehead revisited Frege's idea of reducing mathematics to logic.
- Mathematics is regarded as an extension of logic.
- Only few axioms that must pose fundamental logical principles

## A Foundation Made of Logic

- Russell and Whitehead revisited Frege's idea of reducing mathematics to logic.
- Mathematics is regarded 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

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.

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

- 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.

- 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.

- 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*:  $\vdash P \lor \neg P$  "For any proposition P, either P or its negation is true."

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

■ Intuitionists reject the *law of excluded middle*:  $\vdash P \lor \neg P$  "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*:  $\vdash P \lor \neg P$  "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*:  $\vdash P \lor \neg P$  "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*:  $\vdash P \lor \neg P$  "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 complicates many proofs.

# The Price to Pay

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

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

#### The Peak of the Crisis

 In 1928, Brouwer boycotted the International Congress of Mathematicians.

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

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

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

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

#### 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

#### 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

#### Theorem (First Incompleteness Theorem)

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

#### 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

#### Theorem (First Incompleteness Theorem)

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

#### Theorem (Second Incompleteness Theorem)

Any consistent formal system rich enough to contain a formalisation of recursive arithmetic cannot prove its own consistency.

### 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.

■ Digitalisation of mathematics

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

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

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

# The End



Georg Cantor.

Beiträge zur Begründung der transfiniten Mengenlehre.

Mathematischen Annalen, 46:481, 1895.



Modern Birkäuser 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.