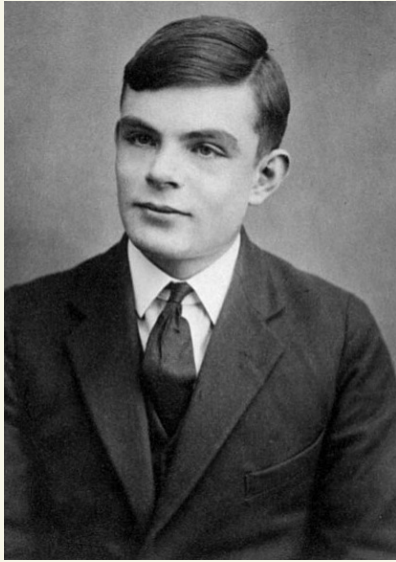


# COMPUTABILITY, II

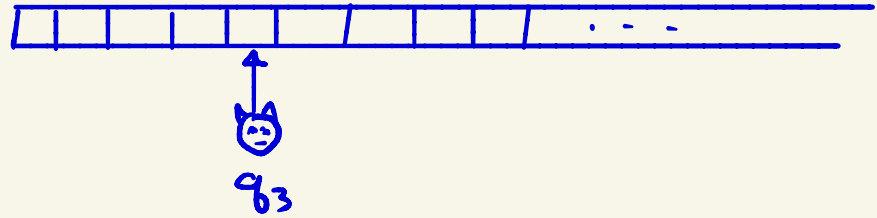
# Turing Machines

"On Computable Numbers, with an application to the Entscheidungsproblem"  
1936



1912 - 1954

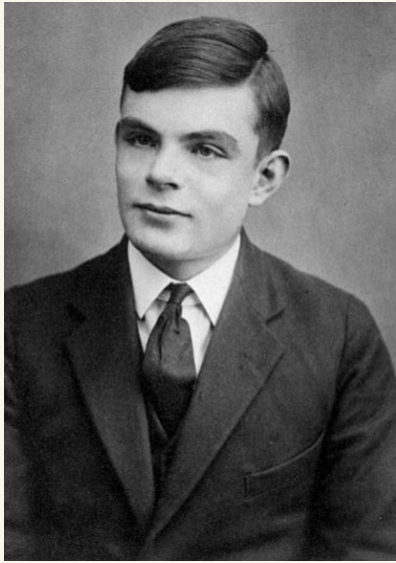
## Turing Machines:



$$M = (Q, \Sigma, \Gamma, \delta, q_1, B, \{q_2\})$$

# Turing Machines

"On Computable Numbers, with an application to the Entscheidungsproblem"  
1936



1912 - 1954

## Church-Turing Thesis

A function/predicate is computable/  
realizable in physical world  $\Rightarrow$   
it is computable by a TM

## Notation

$\{x\}$  = Turing machine  $M$  such that  $\#M = x$

$\{x\}_1$  = the unary function computed by  $x$

$\{x\}_n$  = the  $n$ -ary function computed by  $x$

(can generalize earlier so  $M$  takes  
 $n$  inputs instead of 1)

# Today

What is computable and what isn't?

We will mostly focus on unary relations  
or languages -  $L \subseteq \{0,1\}^*$

↑ all finite length  
strings over  $\{0,1\}$

$\{0,1\}^*$  = all binary strings  
of finite length

=  $\{\epsilon, 0, 1, 00, 01, 10, 11, \dots, \dots, \dots, \dots\}$

Definition Let  $M$  be a TM,  $\Sigma = \{0, 1\}$

$\mathcal{L}(M) \subseteq \{0, 1\}^*$  is the set of all (finite-length) strings  $x \in \{0, 1\}^*$  such that  $M(x)$  halts and outputs 1



the language accepted by  $M$

## Recursive / RE sets

recognizable / semi-computable

A language  $L \subseteq \{0,1\}^*$  is recursively enumerable if there exists a TM  $M$  such that  $\mathcal{L}(M) = L$

So  $\forall x \in \{0,1\}^*$

$x \in L \Rightarrow M$  on  $x$  halts and outputs "1"

$x \notin L \Rightarrow M$  on  $x$  halts and does not output 1  
or  $M$  does not halt on  $x$

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or  $M$  does not halt on  $x$

recursively enumerable (r.e.) also called  
semidecidable, partial computable



## Recursive / RE sets

computable / decidable

A language  $L \subseteq \{0,1\}^*$  is recursive if there exists a TM  $M$  such that  $\mathcal{L}(M) = L$  and  $M$  always halts

So  $\forall x \in \{0,1\}^*$

$x \in L \Rightarrow M$  on  $x$  halts and outputs "1"

$x \notin L \Rightarrow M$  on  $x$  halts and does not output 1

(without loss of generality,  
 $x \notin L \Rightarrow M(x)$  halts + outputs "0")

## Recursive / RE sets

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recursive also called decidable, computable

## Recursive / RE sets

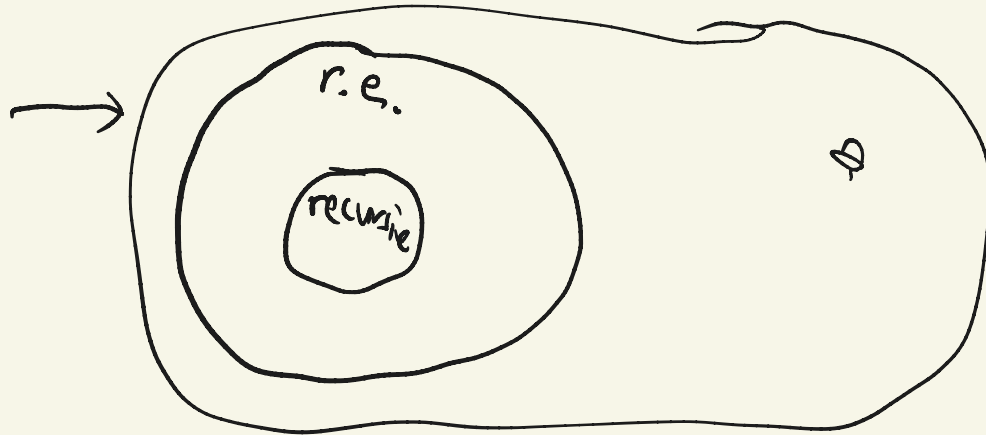
A function  $f: \{0,1\}^* \rightarrow \{0,1\}^*$  (or  $f: \mathbb{N}^n \rightarrow \mathbb{N}$ )

is total computable if there exists a

TM  $M$  such that  $\forall x \in \{0,1\}^*$   
 $M(x)$  halts and outputs  $f(x)$ .

---

all  $L \subseteq \{0,1\}^*$   
all subsets  
of  $\{0,1\}^*$



## CLOSURE PROPERTIES

①  $L$  recursive  $\Rightarrow L$  r.e.

② Total computable functions closed under composition:

$f, g$  computable  $\Rightarrow f \circ g = f(g(x))$  is computable

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③ Closure of recursive languages under  $\cap, \cup, \neg$ :

$L_1, L_2$  recursive  $\Rightarrow L_1 \cup L_2, L_1 \cap L_2, \neg L_1, \neg L_2$  are recursive

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③' Closure of r.e. languages under  $\cap, \cup$

$L_1, L_2$  r.e.  $\Rightarrow L_1 \cup L_2, L_1 \cap L_2$  recursive

↑ use dovetailing re for  $i=1, \dots$   
run  $M_1$  for  $i$  steps,  $M_2$  for  $i$  steps

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↑ use dovetailing re for  $i=1, \dots$   
run  $M_1$  for  $i$  steps,  $M_2$  for  $i$  steps

What about  
closure of r.e.  
under  $\neg$  ?

## CLOSURE PROPERTIES, cont'd

④  $L$  r.e., and  $\bar{L}$  r.e.  $\Rightarrow L$  is recursive

$\{x \mid x \notin L\}$

\* Note: often  $L \subseteq \{0,1\}^*$  is a set of encodings. Example  $L = \{x \mid \exists x\}$ , accepts input "|||" }  
then we usually think of  $\bar{L}$  as  $\{x \mid \exists x\}$ , does not accept "|||" }  
although technically  
 $\bar{L} = \{x \mid x \text{ is not a legal encoding or } \{x\}, \text{ does not accept } \|\|\}$



$$L \subseteq \{0,1\}^*$$

$\{0,1\}^*$  = set of all strings over 0/1  
of finite length  
{ $\epsilon, 0, 1, 00, 01, 10, 11, \dots$ }

$$\bar{L} = \{y \in \{0,1\}^* \mid y \notin L\}$$

## CLOSURE PROPERTIES, cont'd

④  $L$  r.e., and  $\bar{L}$  r.e.  $\Rightarrow L$  is recursive

Proof: (Dovetailing)

Let  $M_1$  be a TM st  $\mathcal{L}(M_1) = L$ ,  
 $M_2$  be a TM st  $\mathcal{L}(M_2) = \bar{L}$

New TM  $M$  on  $x$ :

For  $i = 1, 2, 3, \dots$

Run  $M_1$  on  $x$  for  $i$  steps  
if  $M_1$  accepts  $x$  halt + accept

Run  $M_2$  on  $x$  for  $i$  steps  
if  $M_2$  accepts  $x$ , halt + reject

## CLOSURE PROPERTIES, cont'd

④  $L$  r.e., and  $\bar{L}$  r.e.  $\Rightarrow L$  is recursive

Proof: (Dovetailing)

Let  $M_1$  be a TM st  $L(M_1) = L$ ,  
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Run  $M_2$  on  $x$  for  $i$  steps  
if  $M_2$  accepts  $x$ , halt + reject

- $M$  on  $x$  eventually halts since  $x$  accepted by exactly one of  $M_1, M_2$
- $x \in L \Rightarrow M_1$  accepts  $x \Rightarrow M$  accepts  $x$
- $x \notin L \Rightarrow M_2$  accepts  $x \Rightarrow M$  halts and rejects  $x$

Many Languages aren't Recursively Enumerable!

Intuition:

Every TM  $M$  maps uniquely to a string in  $\{0,1\}^*$

$$\{0,1\}^* = \{ \epsilon, 0, 1, 00, 01, 10, 11, 000, 001, \dots \}$$

so the # of TMs is countable, and therefore  
so are the r.e. Languages  $L \subseteq \{0,1\}^*$

On the other hand, how large is the set of all languages?  
i.e. the set of all subsets of  $\{0,1\}^*$

This set is uncountable! (So many more Languages  
than r.e. Languages)

# Many Languages are Not r.e.

Proof : Diagonalization

Main idea : There are many more Languages (subsets of  $\{0,1\}^*$ ) than there are TMs.

Proof very similar to Cantor's argument showing that there is no 1-1 mapping from the Real numbers to the Natural numbers

# Many Languages are Not r.e.

## Proof : Diagonalization

- Fix an enumeration of all TMs with  $\Sigma = \{0, 1\}$   
 $\{x_1\}, \{x_2\}, \{x_3\}, \dots$
- Make a 2-way infinite (but countable) table  
rows correspond to  $\{x_1\}, \{x_2\}, \dots$   
columns correspond to enumeration of  
encodings of Turing machines  $x_1, x_2, \dots$
- Entry  $(i, j) = 0$  if  $\{x_i\}$  accepts  $x_j$   
1 otherwise

# Many Languages are Not r.e.

all binary strings in  $\{0,1\}^*$



	$\epsilon$	0	1	00	01	0	11	...
	$x_1$	$x_2$	$x_3$	$x_4$	$x_5$	$x_6$	$x_7$	...
$M_1 \{x_1\}$	0	1	1	0	1	0	0	...
$M_2 \{x_2\}$	0	0	1	1	0	1	1	
$\{x_3\}$	1	1	1	1	1	0	1	
⋮	1	1	0	0	0	0	1	
⋮	0	0	0	0	1	1	1	
⋮	0	1	0	1	0	1	0	
⋮	⋮							

$M_1 \{x_1\}$

$M_2 \{x_2\}$

$\{x_3\}$

⋮

⋮

⋮

⋮

⋮

# Many Languages are Not r.e.

	$x_1$	$x_2$	$x_3$	$x_4$	$x_5$	$x_6$	$x_7$	...
$M_1$	0	1	1	0	1	0	0	...
$M_2$	0	0	1	1	0	1	1	
$M_3$	1	1	0	1	1	0	1	
$M_4$	1	1	0	0	0	0	1	
$M_5$	0	0	0	0	0	1	1	
⋮	0	1	0	1	0	0	0	

$$D = \{x_j \mid \{x_i\}_1 \text{ does not accept } x_j\}$$

Diagonal Language  
D



Theorem  $D$  is not r.e.

Proof By construction: For all TMs  $M_i$ ,

$\{x_i\} (x_i) \neq D(x_i)$  so  $L(M_i) \neq D$

$\therefore D$  not r.e.

Using Reductions to show other  
(more natural) Languages / functions  
are not computable / recursive / r.e.

High Level:

- ① Say we know  $L_1$  not recursive  
To show  $L_2$  not recursive, design a TM  $M_1$   
always halts +  $L(M_1) = L_1$ , assuming a  
TM  $M_2$  that always halts +  $L(M_2) = L_2$
- ② Suppose  $L_1$  not r.e.  
To show  $L_2$  not r.e., construct  $M_1$  st  $L(M_1) = L_1$   
assuming a TM  $M_2$  st  $L(M_2) = L_2$

# The Halting Problem is not Recursive

$$K \stackrel{d}{=} \{ x \mid \text{TM } \{x\} \text{ halts on input } x \}$$

$$\text{yellow language} = \{ x \mid \text{TM } \{x\} \text{ ~~can~~ accepts input } x \}$$

$$\text{HALT} \stackrel{d}{=} \{ \langle x, y \rangle \mid \text{TM } \{x\} \text{ halts on input } y \}$$

claim HALT, K are both r.e.

Pf: simply run  $\{x\}$  on  $y$ . Accept if simulation halts.

# The Halting Problem is not Recursive

$$K = \{ x \mid \text{TM } \{x\} \text{ halts on input } x \}$$

Theorem  $K$  is not recursive

Proof Let  $L_1 = D$ . We know  $L_1$  is not r.e.

Assume  $L_2 = K$  is recursive, + let  $M_2$  always halt +  $L(M_2) = L_2$

Construction of TM  $M_1$  for  $D$  on input  $x$ :

Run  $M_2$  on  $x$

• If  $M_2$  accepts  $x$  then

Run  $\{x\}$  on  $x$  and output 1 iff  $\{x\}(x) \neq 1$

• If  $M_2$  halts + does not accept  $x$  then output 1

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Construction of TM  $M_1$  for  $D$  on input  $x$ :

Run  $M_2$  on  $x$

• If  $M_2$  accepts  $x$  then

Run  $\{x\}$  on  $x$  and output 1 iff  $\{x\}(x) \neq 1$

• If  $M_2$  halts + does not accept  $x$  then output 1

•  $M_1$  halts on all  $x$

•  $x \in D \Rightarrow \{x\}(x) \neq 1 \Rightarrow M_1(x) = 1$

•  $x \notin D \Rightarrow \{x\}(x) = 1 \Rightarrow M_1(x) \neq 1$

# The Halting Problem is not Recursive

$$K \stackrel{d}{=} \{ x \mid \text{TM } \{x\} \text{ halts on input } x \}$$

Theorem  $K$  is not recursive

Theorem  $\bar{K}$  is not r.e.

$K$  is r.e.

$K$  r.e. and  $\bar{K}$  r.e.  $\implies K$  recursive  
property (4)

$\therefore \bar{K}$  not r.e.

# The Halting Problem is not Recursive

$$K \stackrel{d}{=} \{ x \mid \text{TM } \{x\} \text{ halts on input } x \}$$

Theorem  $K$  is not recursive

Theorem  $\bar{K}$  is not r.e.

Theorem HALT is not recursive

\*  $K$  is a special case of HALT +  $K$  not recursive

→  $L_1 = K$ ,  $L_2 = \text{HALT}$ . Assume  $M_2$  always halts and accepts  $L_2$ . Construct  $M_1$  for  $L_1$ .

→  $M_1$  on  $x$ :  
Run  $M_2$  on  $\langle x, x \rangle$ . Accept iff  $M_2$  accepts

# The Halting Problem is not Recursive

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## Tips

- (1.) Try obvious algorithms to see if you think language is recursive, r.e., or neither
- (2.) To show  $L$  not r.e., sometimes it helps to work with  $\bar{L}$   
(i.e. if  $\bar{L}$  r.e., &  $\bar{L}$  not recursive then  $L$  not r.e.)
- (3) get reduction in correct direction.  
many times constructed TM  $M_1$  will ignore its own input

## SUMMARY SO FAR

1. We saw  $D = \{x \mid \{x\}_1(x) \text{ does not accept}\}$   
is not r.e. by diagonalization
2. Using reductions we proved  
 $K$ , Halt are not recursive

Using Reductions to show other  
(more natural) Languages / functions  
are not computable / recursive / r.e.

High Level:

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To show  $L_2$  not recursive, design a TM  $M_1$   
always halts +  $\mathcal{L}(M_1) = L_1$ , assuming a  
TM  $M_2$  that always halts +  $\mathcal{L}(M_2) = L_2$
- ② Suppose  $L_1$  not r.e.  
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# The Halting Problem is not Recursive

$$K \stackrel{d}{=} \{ x \mid \text{TM } \{x\} \text{ halts on input } x \}$$

$$\text{HALT} \stackrel{d}{=} \{ \langle x, y \rangle \mid \text{TM } \{x\} \text{ halts on input } y \}$$

Theorem. HALT, K are both r.e.,  
neither are recursive

# The Halting Problem is not Recursive

$$K = \{ x \mid \text{TM } \{x\} \text{ halts on input } x \}$$

Theorem  $K$  is not recursive

If  $K$  recursive then  $D$  also recursive

Theorem Halt not recursive

If Halt recursive then  $K$  recursive

## Tips

- (1.) Try obvious algorithms to see if you think language is recursive, r.e., or neither
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(i.e. if  $\bar{L}$  r.e., &  $\bar{L}$  not recursive then  $L$  not r.e.)
- (3) get reduction in correct direction.  
many times constructed TM  $M_1$  will ignore its own input

$L = \{x \mid \{x\} \text{ accepts at least one input}\}$

Enumerate all strings in  $\{0,1\}^*$

$\{\epsilon, 0, 1, 00, 01, 10, 11, 000, \dots\}$   
           $\uparrow \quad \backslash$   
           $w_1 \quad w_2 \quad w_3$

Detail Procedure for  $L$  on input  $x$ :

For  $i = 1, 2, 3, \dots$

    For  $j = 1, \dots, i$

        Simulate  $\{x\}$  on  $w_j$  for  $i$  steps

        If any of the simulations accepts, HALT & accept

$L = \{x \mid \{x\} \text{ accepts at least one input}\}$

•  $L$  is r.e. (Dovetailing)

•  $L$  is not recursive

$L_1 = K = \{y \mid \{y\}(y) \text{ halts}\}$

Assume  $L_2 = L$  is recursive + let  $M_2$  be TM  $\mathcal{L}(M_2) = L$   
and  $M_2$  always halts

$M_1$  on input  $y$ :

Construct encoding  $z$  of TM  $\{z\}$  where

$\{z\}$  on input  $x$ : Ignores  $x$  + runs  $\{y\}$  on  $y$   
and accepts  $x$  if  $\{y\}(y)$  halts

Run  $M_2$  on  $z$  and accept  $y$  iff  $M_2(z)$  accepts

Claim  $\mathcal{L}(M_1) = K$  and  $M_1$  always halts

$y \in K \Rightarrow \{y\}(y) \text{ halts} \Rightarrow \{z\} \text{ accepts all inputs} \Rightarrow M_2(z) = 1 \Rightarrow M_1(y) = 1$

$y \notin K \Rightarrow \{y\}(y) \text{ doesn't halt} \Rightarrow \{z\} \text{ accepts no input} \Rightarrow M_2(z) \neq 1 \Rightarrow M_1(y) \neq 1$



# Completeness

A Language  $A \subseteq \{0,1\}^*$  is **r.e.-complete** if

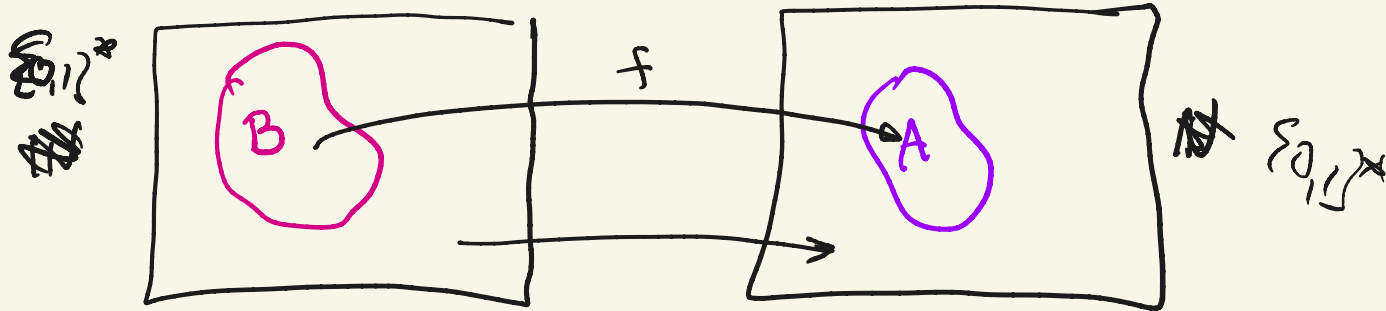
(1)  $A$  is r.e.

(2)  $\forall B \subseteq \{0,1\}^*$ , if  $B$  is r.e. then  $B \leq_m A$

$\uparrow$   $f$  is computable

$B$  reduces to  $A$

so if  $A$  is recursive then  $B$  recursive



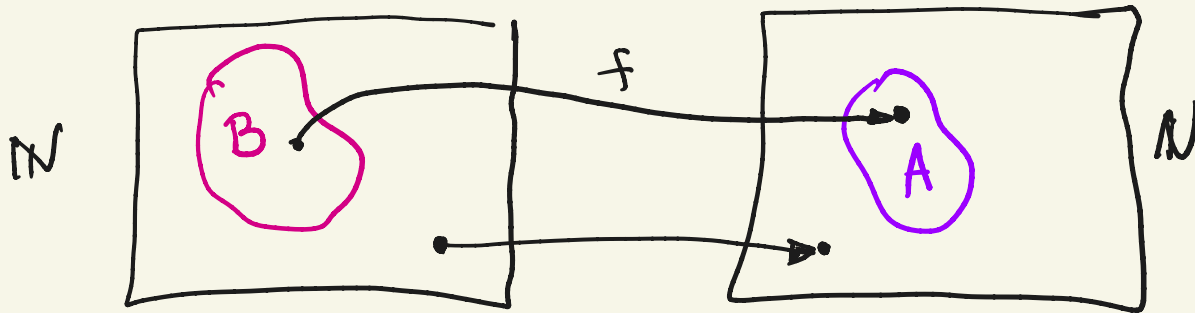
# Completeness

A set  $A \subseteq \mathbb{N}$  is **r.e.-complete** if

(1)  $A$  is r.e.

(2)  $\forall B \subseteq \mathbb{N}$ , if  $B$  is r.e. then  $B \leq_m A$

$\exists$  computable function  $f: \mathbb{N} \Rightarrow \mathbb{N}$  such that  
 $\forall x \quad f(x) \in A \iff x \in B$



## Hilbert's 10<sup>th</sup> Problem (1900)

A diophantine equation is of the form  $p(\vec{x}) = 0$   
where  $p$  is a polynomial over variables  $x_1, \dots, x_n$   
with integer coefficients

$$\underline{\text{Ex}} \quad 3x_1^5 x_2^3 + (x_1 + 1)^8 - x_7^{10} = 0$$

$$\mathcal{L}_{\text{DIOPH}} = \{ \langle p \rangle \mid p \text{ has a solution over } \mathbb{N} \}$$

Theorem

$\mathcal{L}_{\text{DIOPH}}$  is r.e.-complete

# An Equivalent characterization of RE Sets / Languages

Let  $f: \mathbb{N} \rightarrow \mathbb{N}$

Then  $R_f \subseteq \mathbb{N} \times \mathbb{N}$

is the set of all pairs  $(x, y)$  such that  $f(x) = y$

\* Theorem  $f$  computable if and only if  $R_f$  is r.e.

## An Equivalent characterization of RE sets

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\*Theorem  $f$  computable if and only if  $R_f$  is r.e.

Proof  $\Rightarrow$ : Suppose  $f$  computable.

TM for  $R_f$  on input  $(x, y)$ :

Run TM computing  $f$  on  $x$ .

If it halts and outputs  $y$  then accept  $(x, y)$

Otherwise reject  $(x, y)$

## An Equivalent Characterization of RE Sets

Let  $f: \mathbb{N} \rightarrow \mathbb{N}$

Then  $R_f \subseteq \mathbb{N} \times \mathbb{N}$

is the set of all pairs  $(x, y)$  such that  $f(x) = y$

\*Theorem  $f$  computable if and only if  $R_f$  is r.e.

Proof  $\Leftarrow$ : Let  $R_f$  be r.e. with TM  $M$

On  $x$ : Enumerate all  $\mathbb{N}$ :  $y_1, y_2, \dots$

For  $i=1, 2, \dots$

For all  $j \leq i$ : simulate  $M$  on  $(x, y_j)$  for  $i$  steps

If simulation accepts  $(x, y_j)$ ,  
halt + output  $y_j$

## A second characterization of RE sets

A language  $L \subseteq \{0,1\}^*$

\*Theorem A relation  $A \subseteq \mathbb{N}^k$  is r.e.

if and only if there is a recursive relation  
recursive relation  $R \subseteq \{0,1\}^* \times \{0,1\}^*$   
 $R \subseteq \mathbb{N}^{k+1}$  such that

$$\vec{x} \in A \iff \exists y R(\vec{x}, y) \quad \forall \vec{x} \in \mathbb{N}^n$$

Note We defined  $A$  to be r.e. iff there is a TM  $M$   
such that  $\forall \vec{x} \in \mathbb{N}^n (M(\langle \vec{x} \rangle) \text{ accepts} \iff \vec{x} \in A)$

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iff there exists a ~~TM~~ relation  $R \subseteq \{0,1\}^* \times \{0,1\}^*$

st.  $\forall x \in \{0,1\}^*$

$x \in L$  iff  $\exists z \in \{0,1\}^* R(x,z)$

where  $R$  is recursive

Ex. Let  $L = \text{Halt} = \{ \langle x, y \rangle \mid \text{TM encoded by } x \text{ halts on input } y \}$

Let  $R(\langle x, y \rangle, z) = \begin{cases} 1/\text{accept} & \text{if } x \text{ halts on } y \text{ in exactly } z \text{ steps} \\ 0 & \text{ow.} \end{cases}$

$\uparrow$   
# of steps



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### Proof sketch

$\Rightarrow$ : Let  $A$  be r.e.,  $\alpha(M) = A$

$R(\vec{x}, y)$ : view  $y$  as encoding of an  $m \times m$  tableaux  
for some  $m \in \mathbb{N}$

$(\vec{x}, y) \in R \iff M(\vec{x})$  halts in  $m$  steps and accepts  
and  $y$  is the  $m \times m$  tableaux  
of  $M(\vec{x})$

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### Proof sketch

$\Leftarrow$  Let  $R \subseteq \mathbb{N}^{k+1}$  be recursive relation such that  $\vec{x} \in A \Leftrightarrow \exists y R(\vec{x}, y)$ , + Let  $\mathcal{L}(M) = R$

on input  $\vec{x}$ :

For  $i=1, 2, \dots$

For  $j=1$  to  $i$

Run  $M$  on  $(\vec{x}, y_j)$

halt + accept if  $M(\vec{x}, y_j)$  accepts

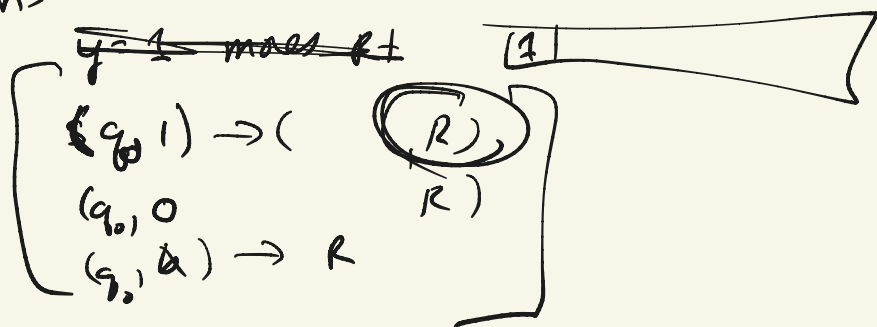
1.  $L_1 = \{ x \mid \text{TM encoded by } x \text{ never moves head left on any input} \}$  ←

2.  $L_2 = \{ \langle x, y \rangle \mid \text{TM } x \text{ on input } y \text{ never moves head left} \}$

$\bar{L}_2 = \{ \langle x, y \rangle \mid x \text{ on input } y \text{ moves head left at some point} \}$  ↗

n.e. is recursive  
~~not recursive~~

$L_2$ :  
 If state transitions  
 all have  
 head going R  
 then we can  
 halt + accept

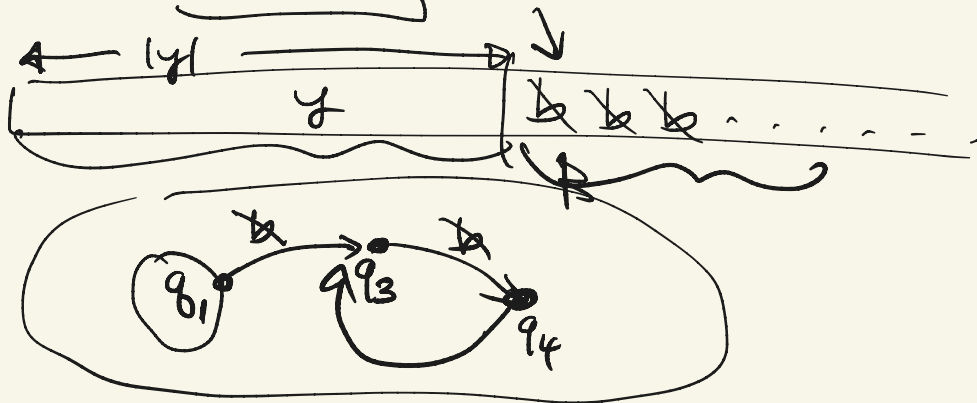


Harder case ( $Q_1$  deciding  $L_2$ )

State transition table does have some transitions that move head to left

Machine  $x$ . Assume states of  $x$  are  $q_0, q_1, q_2, q_3, q_4$   
assume input/tape alphabet =  $\{0, 1, \perp\}$

let  $y \in \{0, 1\}^*$



→  $L = \{ x \mid \text{TM encoded by } x \text{ halts on} \\ \Rightarrow 2 \text{ inputs in } \{0,1\}^* \}$

→  $L' = \{ x \mid \text{TM encoded by } x \text{ halts on exactly} \\ 2 \text{ inputs in } \{0,1\}^* \}$

$\bar{L} = \{ x \mid \text{TM } x \text{ halts on } \leq 1 \text{ inputs} \}$

If  $L, \bar{L}$  are both re. then both are recursive

So if  $L$  not recursive then  $\bar{L}$  not re.

↖ re.

↖ ?

↖ Not re?