

# Some Philosophical Remarks on the Current Definitions of Algorithms

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# Overview

Work from a broad project looking into various models of computation over countable and uncountable domains as well as into definitional approaches to algorithms per se:

- TMs, Russian school of constructive approaches (Kolmogorov, Markov), Shönhage machines, Computable analysis (Weihrauch school – TTE), BSS model (numerical analysis).
- Gurevich, Moschovakis, contemporary approach in France (based on Girard’s geometry of interaction.)

Goal: understand the underlying notion of ‘algorithm’.

Brief conclusion: we use “algorithms” in more than one way.

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Brief conclusion: we use “algorithms” in more than one way.

In this talk: a higher level (informal) approach to what is at stake.

Only sequential, deterministic algorithms (“the idea of the ’30s”).

Future directions: geometric constructions, parallel algorithms (and perhaps analog/quantum algorithms).

# Algorithms: the informal idea

A classical algorithm:

- ⊗ is expressed as a set of instructions of finite size.
- ⊗ has a set (perhaps empty) of inputs and a (set of) output(s).
- ⊗ carried out in a discrete stepwise fashion (proceeds in discrete time).
- ⊗ is deterministic (no resort to random methods).
- ⊗ each step of an algorithm **must precisely and unambiguously be specified** to such a sufficient detail as no ingenuity whatsoever may be required by the computing agent.
- ⊗ generally terminates after a finite number of steps.

# Algorithms and models of computation

Such methods have been in use since ancient times. ▶ Examples

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- The first recursive definitions appeared in Dedekind's and Skolem's works on the foundations of arithmetic, and recursion theory was developed through work in Hilbert's program and Gödel's Incompleteness theorems to its final form in the theories of general recursion (Gödel/Herbrand) and  $\mu$ -recursion (Kleene).

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- $\lambda$ -calculus was a sub-system of a broader system by Church (purporting to avoid the incompleteness results but in the end discovered inconsistent), whose initial sole purpose was to distinguish the *function* of  $x$  (the assignment/rule) from its *values*.

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- Turing's (1936) focused on the *process* of computing itself.
- The assertion that a specific function “can be computed by carrying out an effective process” became synonymous to the assertion that the function can be “computed by following an algorithm” (e.g., Church 1936).
- Although Turing nowhere mentions the term “algorithm” in (1936), the paper serves, among others, the purpose of providing an answer to Hilbert's request for an algorithmic method (Entscheidungsproblem).

## Algorithms and computation: A marriage made in heaven?

After these developments, talk about ‘algorithms’ became almost inseparable from talk about ‘computation’.

Markov’s *Theory of Algorithms* was very much a continuation of these developments, but “algorithms” were now explicitly the subject matter.

Kolmogorov’s (and Uspensky’s) definition of algorithms (1958) justified the appropriateness of their approach against the backdrop of the CTT (in its later form, which concerns partial recurs. functions).

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Assertions like the following:

“there is no **algorithm** that decides the validity for any first-order sentence”

“if  $\mathbf{P} \neq \mathbf{NP}$ , there is no **algorithm** that solves the Boolean satisfiability problem in polynomial time.”

are staples in computability and complexity theory.

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Furthermore, the view that TMs and the CTT explicate algorithms became part of the folklore of logic and CS textbooks:

*“Partial recursive functions are the natural formalization of algorithms”* (Odifreddi 1999, p.3)

The CTT *“imposes a precise, mathematical upper bound to the vague, intuitive but basic notion of algorithm that underlies the concept of effective computability”* (ibid., p.102)

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Also:

*We therefore propose to adopt the Turing machine that halts on all inputs as the precise formal notion corresponding to the intuitive notion of an “algorithm.” Nothing will be considered an algorithm if it cannot be rendered as a Turing machine that is guaranteed to halt on all inputs, and all such machines will be rightfully called algorithms.* (Lewis and Papadimitriou 1998, p.246)

# The symbolic conception of algorithms

Implicit in the view that identifies algorithms with (instances of) machine models is a conception of algorithms as symbolic procedures.

Markov (1954 [1962]) considers only “algorithms in given alphabets” operating with concrete words (p.58-59).

*“Without fixing a standard way of writing numbers, to speak of the algorithm computing [the value of a function from its input] would make no sense.”* (Kolmogorov and Uspenskii 1958 [1963] fn.2)

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*“Mechanical devices engaged in computation and humans following algorithms<sup>[...]</sup> do not encounter numbers themselves, but rather physical objects such as ink marks on paper. Since strings are the relevant abstract forms of these physical objects, **algorithms should be understood as procedures for the manipulation of strings, not numbers.**”* (Shapiro 1982)

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This is very clearly seen in computation over the reals, where computability depends on the representations (base- $b$ , nested intervals, Cauchy sequences, etc.).

## Symbolic algorithms and mathematical practice

Many algorithms in ordinary math practice are not effective (e.g., Bisection algorithm, Newton's algorithm etc.)

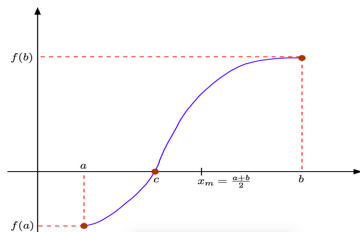
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Example: Bisection for finding a root  $x_0 \in [a, b]$  of a continuous function  $f(x)$ , when  $f(a)f(b) < 0$ . We start with an interval that is known to contain the root,  $x_0$ , and we approach it by iterated bisections of that interval.

BISECT ( $f, a_1, b_1$ )

1. Compute  $c_i = \frac{a_i + b_i}{2}$  and go to 2;
2. If  $f(c_i) = 0$ , go to 5, else go to 3;
3. If  $f(a_i)f(c_i) < 0$ , set  $b_{i+1} = c_i$  and  $a_{i+1} = a_i$ . Else, set  $a_{i+1} = c_i$  and  $b_{i+1} = b_i$ . Go to 4;
4. Set  $i = i + 1$  and go to 1.
5. Stop and return  $c_i$



These algorithms do not have precisely defined sequences of steps or specific alphabets. But we recognize to them some natural structure and identity.

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*It must be clear that the ways and means which a mathematician is used to of describing a general procedure are in general too vague to come up really to the required standard of exactness. This applies for instance to the usual description of methods for the solution of a linear equation system. ... It is however clear to every mathematician that ... the [additional necessary] instruction[s] can be supplemented to make a complete instruction which does not leave anything open. (Hermes 1969, p.2)*

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Thus, perhaps one could say that abstract algorithms (like the above) are higher-level algorithms, which do not describe exact computational procedures but some sort of patterns of actions or “algorithmic schemas”.

But this leads nowhere really. A great many of such algorithms rely essentially on some non-effective operations (mainly comparisons between reals, assuming a CTT).



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With numerical analysis the situation is worse, because there isn't an abundance of machine models similar to computation over countable domains (except BSS and TTE, which are incompatible), and so no equivalence classes either.

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*“Sturm’s algorithm is usually defined over the class of all polynomials with arbitrary real coefficients, and there is nothing in its description or analysis of its implementation that requires those coefficients be integers or rationals. If we want to implement the algorithm to some actual computer or abstract Turing machine, then, of course, we need to approximate the real coefficients by means of rationals, and choose certain symbolic representation. However, there are various ways to go about these choices and *none of these is essentially included in Sturm’s algorithm*”* (Moschovakis 1997)



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The tension is fundamental and has to do with our pre-theoretical idea of what an algorithm is.

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“[T]here are many ways to assign an iterator ... to each system of recursive equations ... and there is no single, natural way to choose any one of them as “canonical”. This problem ... **makes it very unlikely that we can usefully identify algorithms with computational procedures**, or iterators.” (Moschovakis 1998, 4.3)

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This becomes even more apparent in:

- our use of **proper names** for algorithms (Euclid's algorithm, Lucas-Lehmer algorithm, Gauss elimination, etc.)
- our assignment of properties that purport to be “objective” and model-independent, such as:
  - ✚ **asymptotic** costs to algorithms over countable domains (number-theoretic, sorting, etc.)
  - ✚ properties like **stability, convergence** etc. to algorithms over uncountable domains (numerical)

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OTOH, we want to safeguard against triviality, esp., wrt algorithmic analysis and complexity. E.g., consider the sorting algorithm for the list B:

TRIVIALSORT(B):

1. “**return** sort(B)”

This is definitely effective and has a very convenient running time!  $O(1)$ .

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Furthermore, the claim that an algorithm remains the same even when the exact sequence of actions change seems to fly in the face of almost every (logic) textbook definition of algorithm.

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The **absolute-immediate** idea of step leads naturally to the **symbolic approach** to formalizing algorithms (e.g., Turing, computable analysis, Russian school, etc.)

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Examples:

- $\mu$ -recursive functions or  $\lambda$ -calculus, take certain operations, such as composition or substitution, as immediately recognizable
- truth-table validity tests take the assignment of truth values to the basic logical connectives as primitive
- elem. school algorithms for long multiplication and long division take multiplication tables as primitive
- more advanced number-theoretic algorithms (e.g., Euclid's algorithm) take  $(\pm \times \div)$ , as well as  $(\leq, \geq)$  as primitive.

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(Numerical) algorithms seem to tacitly assume 'immediate steps' in this sense of familiar-immediate primitives in the domains of interest.

The **familiar-relative** idea of step leads naturally to the **abstract conception** of 'algorithm'. This goes hand in hand with a **model-/level-/structure-relative** idea of 'algorithm' (as in Moschovakis, Gurevich, Blum et al.).

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There usually is a number of acceptable ways of trading off these virtues, and a number of possible concepts encapsulating them.

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OTOH, the desire for **inclusiveness** pushes in the direction of a more abstract concept. One that ideally captures both algorithms over countable and uncountable domains. Model-/level-/structure-relative approaches meet that desideratum (e.g., Gurevich and Moschovakis).

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OTOH, the desire for the formal concept to underpin a **rich** theory of **complexity** pushes in the direction of more and more domain-specific formal concepts (TMs (ordinary and TTE), K&U, RAM, BSS).

These all (can) underpin theories of complexity (classical and real), but hardly any of these can be used for more than one domain (e.g., countable and uncountable computations alike (except maybe TTE but too cumbersome and low-level)).

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1. **return** Thank you(PLS13);

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