### Proof Theory of Induction

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### Outline

- Gentzen's consistency proof
- ► The omega rule
- Cyclic proofs

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- ► Gentzen's consistency proof
  - Background
  - ▶ Peano arithmetic
  - Reduction of cut and induction
  - Ordinals
  - ▶ The consistency proof
- ► The omega rule
- Cyclic proofs

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- ► Hilbert's programme (1920ies)
  - Formalisation of mathematics
  - Proof of consistency by finitary methods

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  Theorem. For a (consistent, axiomatisable, and sufficiently strong) first-order theory T, T \( \nabla \) Con<sub>T</sub>.

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  - Formalisation of mathematics
  - Proof of consistency by finitary methods
- ► Gödel's (2nd) incompleteness theorem (1931)
  Theorem. For a (consistent, axiomatisable, and sufficiently strong) first-order theory T, T \( \nabla \) Con<sub>T</sub>.
- ► Gentzen's approach (1936-): split consistency proof for *T* into:
  - 1. A cut-elimination procedure (in weak theory)
  - 2. A termination assumption (transcends theory)

# Cut-elimination and consistency

- Why is cut-elimination relevant for consistency?
- ▶ **Definition.** A theory T is inconsistent if there is some formula  $\varphi$  s.t.  $T \vdash \varphi$  and  $T \vdash \neg \varphi$ .
- ▶ Suppose there are *T*-proofs  $\pi_1$  of  $\varphi$  and  $\pi_2$  of  $\neg \varphi$ , then

$$\pi = \frac{(\pi_2)}{\Rightarrow \neg \varphi} \xrightarrow{\begin{array}{c} (\pi_1) \\ \Rightarrow \varphi \\ \hline \neg \varphi \Rightarrow \end{array}} \neg \iota$$
 cut

is a proof of  $\Rightarrow$ . By cut-elimination, there is a cut-free proof  $\pi^*$  of  $\Rightarrow$ . Contradiction.

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#### Peano arithmetic

- ▶ The language  $L = \{0, s, +, \cdot, =\}$
- ▶ Basic arithmetic BA consists of the axioms:

$$\forall x \forall y (s(x) = s(y) \rightarrow x = y)$$

$$\forall x \ 0 \neq s(x)$$

$$\forall x \ x + 0 = x$$

$$\forall x \forall y \ x + s(y) = s(x + y)$$

$$\forall x \ x \cdot 0 = 0$$

$$\forall x \forall y \ x \cdot s(y) = x \cdot y + x$$

▶ Peano arithmetic PA consists of the axioms of BA together with, for every formula  $\varphi(x, \overline{z})$ , the induction axiom

$$\forall \overline{z} ((\varphi(0,\overline{z}) \land \forall y(\varphi(y,z) \rightarrow \varphi(s(y),z)) \rightarrow \forall x \varphi(x,z)).$$



### A sequent calculus for PA

▶ A sequent calculus for FOL with equality in *L* plus inital sequents

$$s(t) = s(u) \Rightarrow t = u$$

$$\Rightarrow 0 \neq s(t)$$

$$\Rightarrow t + 0 = t$$

$$\Rightarrow t + s(u) = s(t + u)$$

$$\Rightarrow t \cdot 0 = 0$$

$$\Rightarrow t \cdot s(u) = t \cdot u + t$$

and the induction rule

$$\frac{\varphi(\alpha), \Gamma \Rightarrow \Delta, \varphi(s(\alpha))}{\varphi(0), \Gamma \Rightarrow \Delta, \varphi(t)}$$

where  $\alpha$  does not appear in  $\varphi(0), \Gamma \Rightarrow \Delta, \varphi(t)$ .



## Simple proofs

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- ▶ **Definition.** A PA-proof is called *simple* if it consists of only of initial sequents, atomic cuts, and structural inference.
- ▶ **Simple proof lemma.** There is no simple proof of  $\Rightarrow$ . *Proof.* Let  $\pi$  be a simple proof of  $\Rightarrow$ .
  - W.l.o.g.  $\pi$  is variable-free.
  - Every formula in  $\pi$  is of the form s = t with s, t variable-free.
  - ▶ Evaluate formulas and sequents to  $\top$  or  $\bot$  "in  $\mathbb{N}$ ".
  - ► Every inital sequent evaluates to T.
  - ► Every rule preserves ⊤.
  - ightharpoonup  $\Rightarrow$  evaluates to  $\perp$ .

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### Interaction between induction and cut: example

$$\frac{\vdots}{\Gamma \Rightarrow \varphi(0)} \frac{\Gamma, \varphi(\alpha) \Rightarrow \varphi(s(\alpha))}{\Gamma, \varphi(0) \Rightarrow \varphi(t)} \text{ ind } \Gamma \Rightarrow \varphi(t)$$

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⇒ eliminating cuts means eliminating inductions too

### Numerals and evaluation

- ▶ **Definition.** For  $n \in \mathbb{N}$  define the *L*-term  $\overline{n} = s^n(0)$ .
- ▶ A term of the form  $s^n(0)$  is called *numeral*.
- **Evaluation lemma.** Let t is a variable free L-term. Then
  - ▶ there is an  $n \in \mathbb{N}$  s.t. BA  $\vdash t = \overline{n}$ , and
  - for any formula  $\varphi(x)$  there is an induction-free proof of  $\varphi(\overline{n})\Rightarrow \varphi(t)$

$$\frac{\varphi(\alpha), \Gamma \Rightarrow \Delta, \varphi(s(\alpha))}{\varphi(0), \Gamma \Rightarrow \Delta, \varphi(t)} \text{ ind }$$

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If t is variable-free, there is  $n \in \mathbb{N}$  s.t.  $\mathsf{BA} \vdash t = \overline{n}$ 

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$$\begin{split} \frac{(\pi(0)) \qquad & (\pi(\overline{1}))}{\varphi(0), \Gamma \Rightarrow \Delta, \varphi(\overline{1}) \qquad \varphi(\overline{1}), \Gamma \Rightarrow \Delta, \varphi(\overline{2})} \text{ cut} \\ \frac{\varphi(0), \Gamma \Rightarrow \Delta, \varphi(\overline{2})}{\vdots \qquad \qquad \vdots \qquad \qquad \text{Eval. Lem.}} \\ \frac{\varphi(0), \Gamma \Rightarrow \Delta, \varphi(\overline{n}) \qquad \qquad \varphi(\overline{n}) \Rightarrow \varphi(t)}{\varphi(0), \Gamma \Rightarrow \Delta, \varphi(t)} \text{ cut} \end{split}$$

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Under which conditions does this work?

- **Definition.** A logical inference  $\iota$  in a PA-proof  $\pi$  is called
  - explicit if it is ancestor of the end-sequent, and
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- Example.

$$\frac{\vdots}{\Rightarrow \psi(0,0)} = \frac{\psi(\alpha,\beta) \Rightarrow \exists y \, \psi(s(\alpha),y)}{\exists y \, \psi(\alpha,y) \Rightarrow \exists y \, \psi(s(\alpha),y)} \exists_{l} \\
\Rightarrow \exists y \, \psi(0,y) \exists_{r} \frac{\exists y \, \psi(\alpha,y) \Rightarrow \exists y \, \psi(s(\alpha),y)}{\exists y \, \psi(0,y) \Rightarrow \exists y \, \psi(t,y)} \exists_{l} \\
\Rightarrow \exists y \, \psi(t,y) \quad \text{cut} \quad \frac{\psi(t,\alpha) \Rightarrow \exists y \, \varphi(t,y)}{\exists y \, \psi(t,y) \Rightarrow \exists y \, \varphi(t,y)} \exists_{l} \\
\Rightarrow \exists x \exists y \, \varphi(x,y) \quad \exists_{r}$$

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\Rightarrow \exists y \, \psi(0,y) \Rightarrow \exists y \, \psi(t,y) \text{ ind} \\
\Rightarrow \exists y \, \psi(t,y) \Rightarrow \exists y \, \varphi(t,y) \\
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## $\Sigma_1$ -sequents

**Definition.** A  $\Sigma_1$ -sequent is a sequent of the form

$$\forall \overline{x_1} \varphi_1, \dots, \forall \overline{x_k} \varphi_k \Rightarrow \exists \overline{x_{k+1}} \varphi_{k+1}, \dots, \exists \overline{x_n} \varphi_n$$

s.t.  $\varphi_1, \ldots, \varphi_n$  quantifier-free,  $\varphi_i$  contains only variables from  $\overline{x_i}$ .

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▶ **Lemma.** Let  $\pi$  be a PA-proof of a  $\Sigma_1$ -sequent  $\Gamma \Rightarrow \Delta$  and let

$$\frac{\varphi(\alpha), \Gamma \Rightarrow \Delta, \varphi(s(\alpha))}{\varphi(0), \Gamma \Rightarrow \Delta, \varphi(t)} \text{ ind }$$

be a lowermost induction in the end-piece of  $\pi$ . Then t is variable-free.

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*Proof.* W.l.o.g. all variables in  $\pi$  are eigenvariables.

End-piece does not contain  $\forall_r$ ,  $\exists_l$ .

- ⇒ End-piece contains only eigenvariables of inductions.
- ⇒ The term of a lowermost induction is variable-free.



#### **Termination**

- ▶ Let  $\pi$  be a proof of a  $\Sigma_1$ -sequent  $\Gamma \Rightarrow \Delta$ .
  - If end-piece of  $\pi$  contains ind:  $\implies$  reduce lowermost ind
  - If end-piece of  $\pi$  contains non-atomic cut:  $\implies$  reduce suitable non-atomic cut
  - Otherwise:  $\pi$  contains only atomic cuts (Then  $\Gamma = \Delta = \emptyset$  implies that  $\pi$  is simple)

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- ► Have:

$$\pi_1 \quad \mapsto \quad \pi_2 \quad \mapsto \quad \pi_3 \quad \mapsto \quad \cdots$$

Do we ever enter the "Otherwise"-case?

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Do we ever enter the "Otherwise"-case?

▶ Want: well-founded (X, <) and mapping o s.t.

$$o(\pi_1) > o(\pi_2) > o(\pi_3) > \cdots$$



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▶ The order of the natural numbers

 $\bullet_0$   $\bullet_1$   $\bullet_2$  ···

▶ Add limit element  $\omega$ , i.e.,  $\forall n \in \mathbb{N} : n < \omega$ 

 $\bullet_0$   $\bullet_1$   $\bullet_2$   $\cdots$   $\bullet_{\iota}$ 

▶ Add another successor element after that



▶ and so on

 $\bullet_0 \bullet_1 \bullet_2 \cdots \bullet_{\omega} \bullet_{\omega+1} \bullet_{\omega+2} \cdots$ 

► Add a new limit element again

 $\bullet_0 \bullet_1 \bullet_2 \cdots \bullet_{\omega} \bullet_{\omega+1} \bullet_{\omega+2} \cdots \bullet_{\omega\cdot 2}$ 

▶ The ordinals  $\leq \omega \cdot 2$ 

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Repeat the above

$$\bullet_0 \cdots \bullet_{\omega} \cdots \bullet_{\omega \cdot 2} \cdots \bullet_{\omega \cdot 3} \cdots \cdots$$

▶ The ordinals  $\leq \omega \cdot 2$ 



► And add a new limit element again

$$\bullet_0 \cdots \bullet_{\omega} \cdots \bullet_{\omega \cdot 2} \cdots \bullet_{\omega \cdot 3} \cdots \bullet_{\omega \cdot \omega = \omega^2}$$

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- $\bullet_0 \bullet_1 \bullet_2 \cdots \bullet_{\omega} \bullet_{\omega+1} \bullet_{\omega+2} \cdots \bullet_{\omega\cdot 2}$
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$$\bullet_0 \cdots \bullet_{\omega} \cdots \bullet_{\omega \cdot 2} \cdots \bullet_{\omega \cdot 3} \cdots \bullet_{\omega \cdot \omega = \omega^2}$$

► Repeat the repetition

$$\bullet_0 \cdots \bullet_{\omega} \cdots \bullet_{\omega^2} \cdots \bullet_{\omega^3} \cdots \cdots$$

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▶ Iterate one more time

$$\bullet_0 \cdots \bullet_\omega \cdots \bullet_{\omega^\omega} \cdots \bullet_{\omega^{\omega^\omega}} \cdots$$

▶ The ordinals  $\leq \omega \cdot 2$ 



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► And add a new limit element

$$\bullet_0 \cdots \bullet_\omega \cdots \bullet_{\omega^\omega} \cdots \bullet_{\omega^{\omega^\omega}} \cdots \bullet_{\varepsilon_0}$$

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$$\alpha = \omega^{\alpha_1} + \dots + \omega^{\alpha_n}$$

where  $\alpha_1 \ge \cdots \ge \alpha_n$ ,  $0 < \alpha_i < \varepsilon_0$ ,  $\alpha_i$  in normal form. This normal form is unique.

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▶ The natural sum: for  $\alpha = \omega^{\alpha_1} + \dots + \omega^{\alpha_n}$ ,  $\beta = \omega^{\beta_1} + \dots + \omega^{\beta_m}$  let

$$\alpha \# \beta = \omega^{\lambda_1} \cdots \omega^{\lambda_{m+n}}$$

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- Formalisation
  - ▶ Term signature  $O = \{0/0, \omega/1, +/2\}$
  - Modulo equality
  - ▶ Operations +, ·, exp, # and relation <</p>



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- ▶ **Notation.** h(S) for  $h(S, \pi)$  if  $\pi$  is clear

# The ordinal assignment

- **Definition.** Let S be a sequent in a proof  $\pi$ . Define o(S):
  - ▶ Initial sequent S: o(S) = 1
  - ► Structural inference  $\frac{S'}{S}$  : o(S) = o(S')
  - ▶ Unary logical inference  $\frac{S'}{S}$  : o(S) = o(S') + 1
  - ▶ Binary logical inference  $\frac{S_1 S_2}{S}$  : o(S) = o(S<sub>1</sub>) # o(S<sub>2</sub>)

  - $\begin{array}{l} \displaystyle \stackrel{\displaystyle \mathcal{S}'}{\displaystyle S} \text{ ind } : \operatorname{o}(S) = \omega_{\operatorname{h}(S') \operatorname{h}(S) + 1}(\alpha_1 + 1) \\ \\ \text{where } \operatorname{o}(S') = \omega^{\alpha_1} + \cdots + \omega^{\alpha_n} \text{ with } \alpha_1 \geq \cdots \geq \alpha_n. \end{array}$

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- ▶ **Definition.** Let  $\pi$  be a proof of S, then  $o(\pi) = o(S, \pi)$ .

# The consistency proof

▶ **Reduction Lemma.** Let  $\Gamma \Rightarrow \Delta$  be a  $\Sigma_1$ -sequent, let  $\pi$  be a proof of  $\Gamma \Rightarrow \Delta$  that contains a non-atomic cut or an induction. Then there is a proof  $\pi'$  of  $\Gamma \Rightarrow \Delta$  with o( $\pi'$ ) < o( $\pi$ ).

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- ▶ **Theorem.** PA is consistent. *Proof.* Suppose PA is inconsistent, then there is a proof  $\pi$  of  $\Rightarrow$ .
  - $\blacktriangleright \ \Rightarrow \text{ is a } \Sigma_1\text{-sequent}$
  - $o(\pi) < \varepsilon_0$
  - Induction on  $o(\pi)$  (reduction lemma): obtain  $\pi^*$  of  $\Rightarrow$  s.t.  $\pi^*$  does not contain induction nor non-atomic cut
  - $\pi^*$  is a simple proof of  $\Rightarrow$
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- Remark. Formalisation in PRA:
  - ▶ PRA + TI( $\varphi(x)$ ,  $<_{\varepsilon_0}$ )  $\vdash$  Con<sub>PA</sub> for quantifier-free  $\varphi(x)$
  - ▶ In particular: PRA proves Reduction Lemma, Simple Proof Lemma



# More general end-sequents (1/2)

▶ Let Exp(x, y) be a representation of  $n \mapsto 2^n$ , in particular:

$$\mathsf{PA} \vdash \mathsf{Exp}(0,\overline{1}) \qquad \mathsf{PA} \vdash \mathsf{Exp}(x,y) \to \mathsf{Exp}(s(x),y\cdot\overline{2})$$

▶ Then PA  $\vdash \forall x \exists y \, \mathsf{Exp}(x,y)$ :

$$\frac{\vdots}{\exists xp(\beta,\gamma) \Rightarrow \mathsf{Exp}(s(\beta),\gamma \cdot 2)} \exists_{\mathsf{r}} \\
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\frac{\Rightarrow \exists_{y} \operatorname{Exp}(\alpha,y)}{\Rightarrow \forall_{x} \exists_{y} \operatorname{Exp}(x,y)} \forall_{r}$$

▶ But cut-elimination procedure does not work (Eigenvariable  $\alpha$  in end-piece not introduced by induction)

# More general end-sequents (2/2)

▶ **Proposition.** Every PA-proof of  $\forall x \exists y \, \mathsf{Exp}(x,y)$  contains an induction inference.

*Proof.* Let  $\pi$  be a PA-proof of  $\forall x\exists y \, \mathsf{Exp}(x,y)$ . Then w.l.o.g.  $\pi$  ends with  $\forall_r$ . Suppose there is induction-free proof of  $\exists y \, \mathsf{Exp}(\alpha,y)$ , then by cut-elimination / Herbrand's theorem, there are  $t_1,\ldots,t_n\in L\cup\{\alpha\}$  s.t.

BA 
$$\vdash \mathsf{Exp}(\alpha, t_1) \lor \cdots \lor \mathsf{Exp}(\alpha, t_n)$$
, i.e.,  
BA  $\vdash \forall \alpha (\mathsf{Exp}(\alpha, t_1) \lor \cdots \lor \mathsf{Exp}(\alpha, t_n))$ .

Contradiction.

## Summary of 1st part

#### Gentzen's consistency proof of PA

- ► Sequent calculus with induction rule
- ► Cut- and induction-elimination
- Except termination formalisable in PRA
- ▶ Ordinals (up to  $\varepsilon_0$  in Cantor normal form)
- ▶ Proof of  $\Sigma_1$ -sequent: lowermost induction has variable-free term.
- ▶ Impossible for  $\Pi_2$ -sequents

#### Outline

- √ Gentzen's consistency proof
- ► The omega rule
  - ► Infinitary propositional logic
  - Infinitary proofs
  - ► The consistency proof
- Cyclic proofs

# Infinitary propositional logic

Observation:  $\mathbb{N} \models \forall x \, \varphi(x) \text{ iff } \mathbb{N} \models \bigwedge_{n \in \mathbb{N}} \varphi(\overline{n})$  $\mathbb{N} \models \exists x \, \varphi(x) \text{ iff } \mathbb{N} \models \bigvee_{n \in \mathbb{N}} \varphi(\overline{n})$ 

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- ▶ The  $\omega$ -rule

$$\frac{\Gamma, \varphi(0) \quad \Gamma, \varphi(\overline{1}) \quad \Gamma, \varphi(\overline{2}) \quad \cdots}{\Gamma, \bigwedge_{n \in \mathbb{N}} \varphi(n)}$$

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- ▶ **Definition.** The formulas of infinitary propositional logic:
  - ▶ Variable-free atoms (in  $L = \{0, s, +, \cdot, =\}$ )
  - ► Negated variable-free atoms (in *L*)
  - ▶ If, for  $i \in I$ ,  $\varphi_i$  is a formula, then  $\bigwedge_{i \in I} \varphi_i$  is a formula
  - ▶ If, for  $i \in I$ ,  $\varphi_i$  is a formula, then  $\bigvee_{i \in I} \varphi_i$  is a formula

Here: I countable

#### Translation of first-order *L*-sentences

▶ **Definition.** Translation of first-order L-sentences:

$$A^{\infty} = A \text{ for an atom } A$$

$$[\forall x \, \varphi(x)]^{\infty} = \bigwedge_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n}) \qquad [\exists x \, \varphi(x)]^{\infty} = \bigvee_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n})$$

$$[\varphi \wedge \psi]^{\infty} = \varphi^{\infty} \wedge \psi^{\infty} \qquad [\varphi \vee \psi]^{\infty} = \varphi^{\infty} \vee \psi^{\infty}$$

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▶ Where dualisation — is defined as:

$$\overline{\overline{A}} = \neg A \qquad \overline{\overline{A}} = A \qquad \text{for an atom } A$$

$$\overline{\bigwedge_{i \in I} \varphi_i} = \bigvee_{i \in I} \overline{\varphi_i} \qquad \overline{\bigvee_{i \in I} \varphi_i} = \bigwedge_{i \in I} \overline{\varphi_i} \qquad \text{for a formula } \varphi$$

#### Example: induction axiom

The translation of the induction axiom

$$[\mathsf{I}_{x}\varphi]^{\infty} = \big[\varphi(\mathsf{0}) \land \forall y \, (\varphi(y) \to \varphi(s(y))) \to \forall x \, \varphi(x)\big]^{\infty}$$

#### Example: induction axiom

The translation of the induction axiom

$$[\mathsf{I}_{x}\varphi]^{\infty} = \frac{\left[\varphi(0) \land \forall y \left(\varphi(y) \to \varphi(s(y))\right) \to \forall x \varphi(x)\right]^{\infty}}{\left[\varphi(0) \land \forall y \left(\varphi(y) \to \varphi(s(y))\right)\right]^{\infty}} \lor \bigwedge_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n})$$

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$$\begin{aligned} [\mathsf{I}_{x}\varphi]^{\infty} &= \left[\varphi(0) \land \forall y \left(\varphi(y) \to \varphi(s(y))\right) \to \forall x \, \varphi(x)\right]^{\infty} \\ &= \left[\varphi(0) \land \forall y \left(\varphi(y) \to \varphi(s(y))\right)\right]^{\infty} \lor \bigwedge_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n}) \\ &= \overline{\varphi^{\infty}}(0) \lor \overline{\bigwedge_{n \in \mathbb{N}} \overline{\varphi^{\infty}(\overline{n})} \lor \varphi^{\infty}(\overline{n+1})} \lor \bigwedge_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n}) \end{aligned}$$

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$$\begin{split} [\mathsf{I}_{x}\varphi]^{\infty} &= \left[\varphi(0) \land \forall y \left(\varphi(y) \to \varphi(s(y))\right) \to \forall x \, \varphi(x)\right]^{\infty} \\ &= \left[\overline{\varphi(0)} \land \forall y \left(\varphi(y) \to \varphi(s(y))\right)\right]^{\infty} \lor \bigwedge_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n}) \\ &= \overline{\varphi^{\infty}}(0) \lor \overline{\bigwedge_{n \in \mathbb{N}} \overline{\varphi^{\infty}(\overline{n})} \lor \varphi^{\infty}(\overline{n+1})} \lor \bigwedge_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n}) \\ &= \overline{\varphi^{\infty}}(0) \lor \bigvee_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n}) \lor \overline{\varphi^{\infty}(\overline{n+1})} \lor \bigwedge_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n}) \end{split}$$

#### Outline

- √ Gentzen's consistency proof
- ▶ The omega rule
  - √ Infinitary propositional logic
  - Infinitary proofs
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### Sequent calculus $LK^{\infty}$

- ▶ **Definition.** The set of axioms is the smallest set which contains
  - ▶  $A, \overline{A}$  for any atom A,
  - ▶  $S^{\infty}$  if S is an axiom of BA (as a sequent).

and is closed under atomic cut, i.e.,

▶ If  $\Gamma$ , A and  $\Delta$ ,  $\overline{A}$  are axioms, then so is a subset of  $\Gamma$ ,  $\Delta$ .

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- ▶ If  $\Gamma$ , A and  $\Delta$ ,  $\overline{A}$  are axioms, then so is a subset of  $\Gamma$ ,  $\Delta$ .
- ▶ Definition. LK<sup>∞</sup> works on sequents of inf. prop. logic.

$$\begin{array}{ccc} \overline{\Gamma,\Delta} & \text{if } \Delta \text{ is an axiom} \\ \\ \underline{\Gamma,\varphi_j} & \text{for a } j \in I \\ \overline{\Gamma,\bigvee_{i \in I} \varphi_i} & \underline{\Gamma,\varphi_j} & \text{for all } j \in I \\ \\ \underline{\Gamma,\bigwedge_{i \in I} \varphi_i} \\ \hline \end{array}$$

Proofs of infinite width but finite height

### Translation of BA-proofs

- ▶ **Def.** Translation of BA-proof of  $\Gamma \Rightarrow \Delta$  to **LK**<sup>\infty</sup>-proof of  $\overline{\Gamma^{\infty}}, \Delta^{\infty}$ 
  - ► Axioms √
  - $ightharpoonup \wedge_{\mathsf{r}}$

$$\frac{(\pi_{1})}{\Gamma \Rightarrow \Delta, \varphi} \xrightarrow{(\pi_{2})} (\pi_{2}) \\ \frac{\Gamma \Rightarrow \Delta, \varphi}{\Gamma, \Pi \Rightarrow \Delta, \Lambda, \varphi \wedge \psi} \wedge_{r} \qquad \mapsto \qquad \frac{(\pi_{1}^{\infty})}{\overline{\Gamma^{\infty}}, \Delta^{\infty}, \varphi^{\infty}} \xrightarrow{\overline{\Pi^{\infty}}, \Lambda^{\infty}, \psi^{\infty}} \\ \frac{\overline{\Gamma^{\infty}}, \overline{\Lambda^{\infty}}, \varphi^{\infty}}{\overline{\Gamma^{\infty}}, \overline{\Lambda^{\infty}}, \varphi^{\infty} \wedge \psi^{\infty}}$$

 $ightharpoonup \forall_r$ 

$$\frac{(\pi(\alpha))}{\Gamma \Rightarrow \Delta, \varphi(\alpha)} \underset{\forall_{\mathbf{r}}}{\forall_{\mathbf{r}}} \mapsto \frac{(\pi(\overline{n})^{\infty})}{\overline{\Gamma^{\infty}}, \Delta^{\infty}, \varphi^{\infty}(\overline{n})} \text{ for all } \underline{n} \in \mathbb{N}}{\overline{\Gamma^{\infty}}, \Delta^{\infty}, \bigwedge_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n})}$$

Similarily for other rules

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- ► Similarily for other rules
- ▶ Formalisation: primitive recursive function

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▶ Hence **LK**<sup> $\infty$ </sup>  $\vdash$  [I<sub>x</sub> $\varphi(x)$ ] $^{\infty}$ 

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- ▶ Hence **LK**<sup> $\infty$ </sup>  $\vdash$  [I<sub>x</sub> $\varphi(x)$ ] $^{\infty}$ 
  - One application of the  $\omega$ -rule
  - ▶ Formalisation: prim. rec. function mapping  $I_x \varphi(x)$  to  $\mathbf{LK}^{\infty}$ -proof

# Completeness of $\mathbf{LK}^{\infty}$

▶ **Obs.** For a first-order *L*-sentence  $\sigma$ : if  $\mathbb{N} \models \sigma$ , then  $\mathbf{LK}^{\infty} \vdash \sigma^{\infty}$ .

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$$\frac{\varphi^{\infty}(0) \quad \varphi^{\infty}(1) \quad \varphi^{\infty}(2) \quad \cdots}{\bigwedge_{n \in \mathbb{N}} \varphi^{\infty}(\overline{n})}$$

by IH.

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**.** . . .

#### Outline

- √ Gentzen's consistency proof
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# The height of a proof

Proof height in a finite system, example:

$$\pi = \frac{\begin{pmatrix} (\pi_1) & (\pi_2) \\ \Gamma \Rightarrow \Delta, A & \Pi \Rightarrow \Lambda, B \\ \Gamma, \Pi \Rightarrow \Delta, \Lambda, A \wedge B \end{pmatrix} \wedge_{\mathsf{r}}$$

Then  $h(\pi) = 1 + \max\{h(\pi_1), h(\pi_2)\} = \sup\{h(\pi_i) + 1 \mid i \in \{1, 2\}\}.$ 

## The height of a proof

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▶ **Definition.** For **LK**<sup>∞</sup>-proof  $\pi$  with direct subproofs  $\pi_i$ ,  $i \in I$  define  $h(\pi) = \sup\{h(\pi_i) + 1 \mid i \in I\}$ 

#### The cut rank of a proof

- ▶ **Definition.** For a formula  $\varphi$  with direct subformulas  $\varphi_i$ ,  $i \in I$  define the *depth of*  $\varphi$  as  $d(\varphi) = \sup\{d(\varphi_i) + 1 \mid i \in I\}$ .
- ▶ **Observation.** The depth of  $\sigma^{\infty}$  is  $\leq$  the depth of  $\sigma$ .

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- ▶ **Definition.** For **LK**<sup>∞</sup>-proof  $\pi$  with direct subproofs  $\pi_i$ ,  $i \in I$  and last inference  $\iota$  define the *cut rank* of  $\pi$ :
  - ▶ If  $\iota$  is cut on some  $\varphi$ , then  $\rho(\pi) = \max\{d(\varphi), \rho(\pi_1), \rho(\pi_2)\}.$
  - ▶ Otherwise,  $\rho(\pi) = \sup{\{\rho(\pi_i) \mid i \in I\}}$ .

### The cut rank of a proof

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- ▶ **Notation.**  $\mathsf{LK}^\infty \vdash^\rho_\alpha S$  if there is an  $\mathsf{LK}^\infty$ -proof of S with cut rank  $\leq \rho$  and height  $\leq \alpha$ .

## The proof translation revisited

▶ **Lemma.** If PA  $\vdash \sigma$ , then there is an  $r < \omega$  s.t.  $\mathbf{LK}^{\infty} \vdash_{\omega \cdot 2}^{r} \sigma^{\infty}$ . *Proof.* If PA  $\vdash \sigma$ , then there is a BA-proof  $\pi$  of  $I_1, \ldots, I_n \Rightarrow \sigma$ .

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Proof. If PA  $\vdash \sigma$ , then there is a BA-proof  $\pi$  of  $I_1, \ldots, I_n \Rightarrow \sigma$ .

$$\psi = \begin{pmatrix} (\pi_1) & (\pi^{\infty}) \\ \frac{I_1^{\infty}}{I_1^{\infty}} & \overline{I_1^{\infty}}, \dots, \overline{I_n^{\infty}}, \sigma^{\infty} \\ \hline (\pi_n) & & \vdots \\ \frac{I_n^{\infty}}{I_n^{\infty}} & \frac{\overline{I_n^{\infty}}, \sigma^{\infty}}{\sigma^{\infty}} \text{ cut} \end{pmatrix}$$

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,  $h(\pi_i) = \omega$  for  $1 \le i \le n$ 

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$$h(\pi^{\infty}) < \omega$$
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 $\Rightarrow h(\psi) = w + n < w \cdot 2$ .

#### Cut-elimination in **LK**<sup>\infty</sup>

▶ Theorem. If  $r < \omega$  and  $LK^{\infty} \vdash_{\alpha}^{r} S$ , then  $LK^{\infty} \vdash_{2r}^{0} S$ .

#### Cut-elimination in $\mathbf{LK}^{\infty}$

▶ **Theorem.** If  $r < \omega$  and  $\mathbf{LK}^{\infty} \vdash_{\alpha}^{r} S$ , then  $\mathbf{LK}^{\infty} \vdash_{2_{r}^{\alpha}}^{0} S$ . *Proof Sketch.* "Standard" cut-elimination argument.

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- ▶ **Corollary.** PA is consistent. *Proof.* Suppose PA  $\vdash \bot$ , then  $\mathbf{LK}^{\infty} \vdash^{0}_{\alpha} \emptyset$  for some  $\alpha < \varepsilon_{0}$ , but there is not cut-free proof of  $\emptyset$  in  $\mathbf{LK}^{\infty}$ .

# Summary of 2nd part

- ▶ The  $\omega$ -rule
- ightharpoonup The calculus **LK** $^{\infty}$
- Proofs of infinite width, no infinite branches
- Depth measured by ordinals
- ► Cut-elimination
- Consistency proof

#### Outline

- √ Gentzen's consistency proof
- √ The omega rule
- Cyclic proofs
  - ▶ Infinite proofs
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  - Proof by induction
  - Cyclic proofs vs. proofs by induction

- ▶ Fermat: descente infinie

  There is no infinite descending chain  $a_1 > a_2 > \cdots$  with  $a_i \in \mathbb{N}$
- ▶ **Example.**  $\sqrt{2}$  is irrational. Proof. Suppose there are  $p, q \ge 1$  s.t.  $\sqrt{2} = \frac{p}{q}$ , i.e.,  $p^2 = 2q^2$ . Then:  $2 \mid p^2$ ,

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Then  $p'^2 = \frac{p^2}{4} = 2\frac{q^2}{4} = 2q'^2$ .

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So there is an infinitely desceding sequence  $p > p' > \dots$ 

Contradiction.



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▶ 3rd part: formalisation of cyclic proofs [Brotherston, Simpson '11]

#### Inductive definitions

- First-order signature  $\Sigma$ Inductive predicate symbols  $\Sigma_I \subseteq \Sigma$
- ▶ For each  $P \in \Sigma_I$  a finite set of productions of the form

$$\frac{Q_1(\mathbf{u_1}) \cdots Q_k(\mathbf{u_k})}{P(\mathbf{t})}$$

with  $Q_1, \ldots, Q_k \in \Sigma$  and  $\mathbf{t}, \mathbf{u_1}, \ldots, \mathbf{u_k}$  term vectors.

Example.

$$\frac{N(x)}{N(0)} \qquad \frac{N(x)}{N(s(x))} \qquad \frac{L(\text{nil})}{L(\text{nil})} \qquad \frac{N(x)}{L(\cos(x,z))}$$

$$\frac{E(x)}{O(s(x))} \qquad \frac{O(x)}{E(s(x))}$$

### Case split rules

▶ For inductive predicate *P*, case split rule is:

$$rac{\mathsf{cases}}{P(\mathbf{u}), \Gamma \Rightarrow \Delta} \; \mathsf{case}_P$$

where each production

$$\frac{Q_1(\mathbf{u_1}[\mathbf{x}]) \cdots Q_k(\mathbf{u_k}[\mathbf{x}])}{P(\mathbf{t}[\mathbf{x}])}$$

of P gives rise to a case (premise)

$$\Gamma, \mathbf{u} = \mathbf{t}[\mathbf{x}], Q_1(\mathbf{u}_1[\mathbf{x}]), \dots, Q_k(\mathbf{u}_k[\mathbf{x}]) \Rightarrow \Delta$$

where  $\mathbf{x}$  is fresh in each case.

$$\frac{t=0,\Gamma\Rightarrow\Delta\quad t=s(x),N(x),\Gamma\Rightarrow\Delta}{N(t),\Gamma\Rightarrow\Delta}\;\mathsf{case}_{N}$$

$$\frac{t=0,\Gamma\Rightarrow\Delta\quad t=s(x),N(x),\Gamma\Rightarrow\Delta}{N(t),\Gamma\Rightarrow\Delta}\;\mathsf{case}_{\mathcal{N}}$$
 
$$\frac{t=0,\Gamma\Rightarrow\Delta\quad t=s(x),O(x),\Gamma\Rightarrow\Delta}{E(t),\Gamma\Rightarrow\Delta}\;\mathsf{case}_{\mathcal{E}}$$

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$$\frac{t = s(x), E(x), \Gamma \Rightarrow \Delta}{O(t), \Gamma \Rightarrow \Delta} \operatorname{case}_{O}$$

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$$\frac{t=s(x),E(x),\Gamma\Rightarrow\Delta}{O(t),\Gamma\Rightarrow\Delta}\;\mathsf{case}_O$$
 
$$\frac{t=\mathsf{nil},\Gamma\Rightarrow\Delta\quad t=\mathsf{cons}(x,z),N(x),L(z),\Gamma\Rightarrow\Delta}{L(t),\Gamma\Rightarrow\Delta}\;\mathsf{case}_L$$

## Right-introduction rules

▶ **Definition.** Let *P* be inductive predicate and

$$\frac{Q_1(\mathbf{u_1}[\mathbf{x}]) \cdots Q_k(\mathbf{u_k}[\mathbf{x}])}{P(\mathbf{t}[\mathbf{x}])}$$

a production for P. Then

$$\frac{\Gamma \Rightarrow \Delta, Q_1(\mathbf{u_1}[\mathbf{v}]) \cdots \Gamma \Rightarrow \Delta, Q_k(\mathbf{u_k}[\mathbf{v}])}{\Gamma \Rightarrow \Delta, P(\mathbf{t}[\mathbf{v}])} P_r$$

is a right-introduction rule for P, where  $\mathbf{v}$  is a vector of terms.

# Right-introduction rules: examples

$$\frac{\Gamma\Rightarrow\Delta,\textit{N}(t)}{\Gamma\Rightarrow\Delta,\textit{N}(s(t))}\;\textit{N}_{r} \qquad \frac{\Gamma\Rightarrow\Delta,\textit{N}(t)}{\Gamma\Rightarrow\Delta,\textit{N}(s(t))}\;\textit{N}_{r}$$

# Right-introduction rules: examples

$$\frac{\Gamma\Rightarrow\Delta,\textit{N}(0)}{\Gamma\Rightarrow\Delta,\textit{N}(0)}~\textit{N}_{r}~~\frac{\Gamma\Rightarrow\Delta,\textit{N}(t)}{\Gamma\Rightarrow\Delta,\textit{N}(\textit{s}(t))}~\textit{N}_{r}$$

$$\frac{\Gamma\Rightarrow\Delta, \textit{E}(t)}{\Gamma\Rightarrow\Delta, \textit{E}(0)} \,\,\textit{E}_{r} \qquad \frac{\Gamma\Rightarrow\Delta, \textit{O}(t)}{\Gamma\Rightarrow\Delta, \textit{E}(s(t))} \,\,\textit{E}_{r} \qquad \frac{\Gamma\Rightarrow\Delta, \textit{E}(t)}{\Gamma\Rightarrow\Delta, \textit{O}(s(t))} \,\,\textit{O}_{r}$$

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$$\frac{\Gamma\Rightarrow\Delta,L(\text{nil})}{\Gamma\Rightarrow\Delta,L(\text{nil})}\ L_{r} \qquad \frac{\Gamma\Rightarrow\Delta,N(t)}{\Gamma\Rightarrow\Delta,L(\text{cons}(t,u))}\ L_{r}$$

- **Definition.** Set *D* of inductive definitions, *rules of D-LKID* $^{\omega}$  are:
  - usual LK for FOL with equality
  - the substitution rules

$$\frac{\Gamma \Rightarrow \Delta}{\Gamma \sigma \Rightarrow \Delta \sigma} \text{ subst}$$

- ▶ The case split rules for ind. predicates of *D*
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- **Remark. LKID** $^{\omega}$  pre-proofs are not sound.

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- ▶ **Definition.** An **LKID**<sup> $\omega$ </sup> proof is an **LKID**<sup> $\omega$ </sup> pre-proof that satisfies the *global trace condition*: every infinite path contains a trace with infinitely many progress points.

## **LKID** $^{\omega}$ : example

$$\frac{\frac{\vdots}{N(x_1) \Rightarrow E(x_1), O(x_1)} \operatorname{case}_N}{\frac{N(x_1) \Rightarrow E(x_1), O(x_1)}{N(x_1) \Rightarrow O(x_1), O(s(x_1))}} \underbrace{\frac{\frac{\vdots}{N(x_1) \Rightarrow E(x_1), O(s(x_1))} O_r}{N(x_1) \Rightarrow E(s(x_1)), O(s(x_1))}}_{x_0 = 0 \Rightarrow E(x_0), O(x_0)} = \underbrace{\frac{\frac{\vdots}{N(x_1) \Rightarrow E(x_1), O(s(x_1))} O_r}{N(x_1) \Rightarrow E(s(x_1)), O(s(x_1))}}_{x_0 = s(x_1), N(x_1) \Rightarrow E(x_0), O(x_0)}_{case_N} \underbrace{\frac{\vdots}{N(x_1) \Rightarrow E(x_1), O(x_1)} O_r}_{case_N}$$

### Properties of **LKID** $^{\omega}$

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### Properties of **LKID** $^{\omega}$

- ▶ **Definition.** Standard model ... inductive predicates are interpreted as least fixed points (of semantics of their productions)
- **Theorem. LKID** $^{\omega}$  is sound w.r.t. standard models.
- ▶ **Theorem.** Cut-free **LKID** $^{\omega}$  is complete w.r.t. standard models. *Proof Sketch.* 
  - Construct proof search tree as  $\mathbf{LKID}^{\omega}$  proof
  - $\blacktriangleright$  If S not valid, search tree of S has infinite branch without progress

#### Outline

- √ Gentzen's consistency proof
- √ The omega rule
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  - ✓ Infinite proofs
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  - Proof by induction
  - Cyclic proofs vs. proofs by induction

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- ▶ **Definition.** For a bud S in  $\mathcal{D}$  an internal node S' in  $\mathcal{D}$  is called *companion* of S if S' = S.
- ▶ **Definition.** A **CLKID**<sup> $\omega$ </sup> *pre-proof* is a pair  $(\mathcal{D}, \gamma)$  where
  - $ightharpoonup \mathcal{D}$  is a finite derivation tree, and
  - $ightharpoonup \gamma$  assigns a companion to each bud.

- Consider derivation trees built from LKID<sup>ω</sup>-rules.
   (derivation tree: branch may end with non-axiom)
- **Definition.** A bud in  $\mathcal{D}$  is a leaf which is not an axiom.
- ▶ **Definition.** For a bud S in  $\mathcal{D}$  an internal node S' in  $\mathcal{D}$  is called companion of S if S' = S.
- ▶ **Definition.** A **CLKID**<sup> $\omega$ </sup> *pre-proof* is a pair  $(\mathcal{D}, \gamma)$  where
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- ▶ **CLKID** $^{\omega}$  pre-proof unfolds to **LKID** $^{\omega}$ -proof by identifying each bud with its companion.
- ▶ **Definition.** A **CLKID** $^{\omega}$  *proof* is a **CLKID** $^{\omega}$  pre-proof whose unfolding satisfies the global trace condition.

### **CLKID** $^{\omega}$ : Example

$$\frac{\frac{O(x)\Rightarrow N(x)}{O(x')\Rightarrow N(x')} \text{ subst}}{\frac{x=s(x'),O(x')\Rightarrow N(x')}{x=0\Rightarrow N(0)}} = \frac{\frac{\frac{O(x)\Rightarrow N(x)}{O(x')\Rightarrow N(x')}}{\frac{x=s(x'),O(x')\Rightarrow N(x')}{x=s(x'),O(x')\Rightarrow N(x')}}{\frac{x=s(x'),O(x')\Rightarrow N(x)}{x=s(x'),O(x')\Rightarrow N(x)}} = \frac{\frac{E(x)\Rightarrow N(x)}{E(x')\Rightarrow N(x')}}{\frac{x=s(x'),E(x')\Rightarrow N(x')}{x=s(x'),E(x')\Rightarrow N(x')}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{x=s(x'),E(x')\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{x=s(x'),E(x')\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{x=s(x'),E(x')\Rightarrow N(x')}{x=s(x'),E(x')\Rightarrow N(x')}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{x=s(x'),E(x')\Rightarrow N(x')}{x=s(x'),E(x')\Rightarrow N(x')}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{x=s(x'),E(x')\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x')}}{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}}{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}} = \frac{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}}{\frac{E(x)\Rightarrow N(x)}{x=s(x'),E(x')\Rightarrow N(x)}}$$

#### Decidability

▶ **Theorem.** The following problem is decidable: given  $\mathsf{CLKID}^{\omega}$  pre-proof  $(\mathcal{D}, \gamma)$ , is  $(\mathcal{D}, \gamma)$  a  $\mathsf{CLKID}^{\omega}$  proof?

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- ▶ **Definition.** Büchi automaton is NFA accepting an infinite word  $w \in \Sigma^{\omega}$  if w has a path visiting an accepting state infinitely often.
- ▶ Proof Sketch.  $P = (\mathcal{D}, \gamma)$  induces Büchi automata
  - $ightharpoonup B_{\text{all}}$  s.t.  $L(B_{\text{all}})$  is set of all infinite paths, and
  - ▶  $B_{\text{acc}}$  s.t.  $L(B_{\text{acc}})$  is set of infinite paths satisfying prog. cond.

$$L(B_{all}) \subseteq L(B_{acc})$$
 is decidable.



#### Outline

- √ Gentzen's consistency proof
- √ The omega rule
- Cyclic proofs
  - √ Infinite proofs
  - √ Cyclic proofs
  - **▶** Proof by induction
  - Cyclic proofs vs. proofs by induction

#### Induction rules

**Definition.** Inductive predicate *P*, induction rule for *P*:

$$\frac{\text{minor premises}}{\Gamma, P(\mathbf{u}) \Rightarrow \Delta} \ \operatorname{ind}_P$$

#### where

- minor premises from productions of inductive predicates mutually dependent with P
- lacktriangle one induction formula  $arphi_Q$  for each such predicate Q

#### Induction rules: examples

$$\frac{\Gamma\Rightarrow\Delta,\varphi_N(0)\quad \varphi_N(x),\Gamma\Rightarrow\Delta,\varphi_N(s(x))\quad \varphi_N(t),\Gamma\Rightarrow\Delta}{N(t),\Gamma\Rightarrow\Delta}\ \ \mathrm{ind}_N$$

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$$\frac{\Gamma \Rightarrow \Delta, \varphi_L(\mathsf{nil}) \quad \mathcal{N}(x), \varphi_L(z), \Gamma \Rightarrow \Delta, \varphi_L(\mathsf{cons}(x,z)) \quad \varphi_L(t), \Gamma \Rightarrow \Delta}{L(t), \Gamma \Rightarrow \Delta} \ \mathsf{ind}_L$$

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- ▶ Corollary. PA is consistent.

#### Outline

- √ Gentzen's consistency proof
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  - ► Cyclic proofs vs. proofs by induction

## Translation from **LKID** to **CLKID** $^{\omega}$ (1/2)

▶ Theorem. If LKID  $\vdash \Gamma \Rightarrow \Delta$  then CLKID $^{\omega} \vdash \Gamma \Rightarrow \Delta$ .

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▶ **Theorem.** If **LKID**  $\vdash \Gamma \Rightarrow \Delta$  then **CLKID** $^{\omega} \vdash \Gamma \Rightarrow \Delta$ . *Proof.* Translate inductions into cycles. For example:

$$\frac{\Gamma \Rightarrow \Delta, \varphi(0) \quad \varphi(x), \Gamma \Rightarrow \Delta, \varphi(s(x)) \quad \varphi(t), \Gamma \Rightarrow \Delta}{N(t), \Gamma \Rightarrow \Delta} \text{ ind}_{N}$$

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Let 
$$A = \{\varphi(0), \forall x (\varphi(x) \to \varphi(s(x)))\}$$
, translate to

$$\frac{\frac{\textit{N}(z), \mathcal{A} \Rightarrow \varphi(z)}{\textit{N}(t), \mathcal{A} \Rightarrow \varphi(t)} \text{ subst } \frac{(\pi_{\mathsf{b}}, \pi_{\mathsf{s}}) \quad (\pi_{\mathsf{c}})}{\Gamma \Rightarrow \bigwedge \mathcal{A}, \Delta \quad \varphi(t), \Gamma \Rightarrow \Delta}}{\textit{N}(t), \Gamma \Rightarrow \Delta} \rightarrow_{\mathsf{I}} \frac{\textit{N}(z), \mathcal{A} \Rightarrow \varphi(t)}{\textit{N}(z), \Gamma \Rightarrow \Delta} \xrightarrow{\mathsf{Cut}} \text{ cut}$$

## Translation from **LKID** to **CLKID** $^{\omega}$ (2/2)

▶ *Proof (cont.)* reminder:  $A = \{\varphi(0), \forall x (\varphi(x) \rightarrow \varphi(s(x)))\}$  where

$$z = 0, \stackrel{\mathcal{A}}{\mathcal{A}} \Rightarrow \varphi(z) \\ \frac{\frac{\mathcal{A}, N(z) \Rightarrow \varphi(z)}{\mathcal{A}, N(y) \Rightarrow \varphi(y)} \text{ subst }}{\frac{\mathcal{A}, N(y) \Rightarrow \varphi(s(y)) \Rightarrow \varphi(s(y))}{\mathcal{A}, N(y) \Rightarrow \varphi(s(y))}} \xrightarrow{c_1, \forall_1} \\ \frac{\frac{\mathcal{A}, N(y) \Rightarrow \varphi(s(y))}{\mathcal{A}, N(y) \Rightarrow \varphi(s(y))}}{z = s(y), \mathcal{A}, N(y) \Rightarrow \varphi(z)} \xrightarrow{c_1, \forall_1} \\ \frac{\mathcal{A}, N(z) \Rightarrow \varphi(z)}{case_N}$$

What about the other direction?

► Conjecture [Brotherston/Simpson '11].

If  $CLKID^{\omega} \vdash \Gamma \Rightarrow \Delta$  then  $LKID \vdash \Gamma \Rightarrow \Delta$ .

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- ▶ **Theorem** [Berardi/Tatsuta '17]. True for calculi containing PA.

- ▶ Let  $L = \{0, s, +, \cdot, <\}$
- ▶ **Definition.** Cyclic arithmetic (CA) is set of first-order L-sentences  $\sigma$  s.t.  $\sigma$  has **CLKID** $^{\omega}$  proof from basic arithmetic axioms where N is the only inductive predicate.

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- Theorem [Simpson ≤'17]. CA = PA. Proof Sketch. PA ⊆ CA ✓ CA ⊂ PA:
  - ► Formalisation of unfolding  $\mathbf{CLKID}^{\omega} \to \mathbf{LKID}^{\omega}$  in  $ACA_0$  (incl. theory of Büchi automata)
  - Formalisation of soundness of **LKID** $^{\omega}$  in ACA $_{0}$
  - ▶ Truth reflection principle for  $\Sigma_n$ -sentences
  - Conservativity of ACA<sub>0</sub> over PA



- **Definition.** Given set of inductive definitions *D*:
  - ► D-LKID + PA: add basic arithmetic axioms and ind. pred. N
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Proof Sketch. 
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- D-CLKID $^{\omega}$  + PA  $\subseteq D$ -LKID + PA:
  - 1. Cut D-**CLKID** $^{\omega}$  + PA proof  $\pi$  into cycle-free parts
  - 2. Prove induction principle on order  $<_{\pi}$  in PA
  - 3. Combine 1. and 2. to D-**LKID** + PA proof.

## **CLKID** $^{\omega}$ is not equivalent to **LKID** (1/2)

- "2-Hydra statement" provable in CLKID<sup>ω</sup> but not in LKID
- ► Hydra: mythical monster: cut off one head, grows two new heads

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- ▶ 2-Hydra: Let  $a, b \in \mathbb{N}$ , then

$$(a+1,b+2)\mapsto (a,b),\quad (0,b+2)\mapsto (b+1,b),\quad (a+2,0)\mapsto (a+1,a)$$

Terminate if none of these rules apply.

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▶ Formalisation: let  $L = \{0/0, s/1, N/1, p/2\}$ , N defined inductively

(H) 
$$H_1 \wedge H_2 \wedge H_3 \wedge H_4 \rightarrow \forall x, y \in N p(x, y)$$

$$(H_1)$$
  $p(0,0) \land p(s(0),0) \land \forall x \in N \ p(x,s(0))$ 

$$(H_2) \quad \forall x, y \in N \left( p(x, y) \rightarrow p(s(x), s(s(y))) \right)$$

$$(H_3) \quad \forall y \in N \left( p(s(y), y) \rightarrow p(0, s(s(y))) \right)$$

$$(H_4) \quad \forall x \in N \left( p(s(x), x) \to p(s(s(x)), 0) \right)$$

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▶ **Lemma. CLKID** $^{\omega}$   $\vdash$  *H Proof.* Short and straightforward cyclic proof.

## **CLKID** $^{\omega}$ is not equivalent to **LKID** (2/2)

- ▶ **Lemma. CLKID** $^{\omega} \vdash H$ *Proof.* Short and straightforward cyclic proof.
- ► **Theorem** [Berardi/Tatsuta '17]. **LKID** ⊬ *H Proof Sketch*. Counter-Henkin-structure:
  - ▶ Domain  $\mathbb{N} \oplus \mathbb{Z}$
  - ▶ Suitable infinite sequence of pairs in  $\mathbb{Z}$ .

## Summary of 3rd part

- Inductive definitions
- Infinitely deep proofs **LKID** $^{\omega}$ 
  - Sound and complete w.r.t. standard models
- ▶ Cyclic subsystem **CLKID** $^{\omega}$  of **LKID** $^{\omega}$ 
  - Finite proofs
  - Sound and complete w.r.t. Henkin models
- Proofs by induction LKID
- ▶ LKID  $\subseteq$  CLKID $^{\omega}$
- ▶ **CLKID** $^{\omega}$  ⊆ **LKID** if PA is included

#### Summary

#### Three proof-theoretic approaches to induction:

- Induction rules
- ▶ The  $\omega$ -rule
- Cyclic proofs

#### What this talk did not contain:

- ▶ The incompleteness theorems
- Program extraction (and consistency proofs based on that)
- Bounded arithmetic (and connections to computational complexity)
- ▶ Inductive theorem proving
- **•** . . .