

Logical Foundations of Inductive Theorem Proving

Stefan Hetzl

Institute of Discrete Mathematics and Geometry
TU Wien, Austria

18th International Tbilisi Summer School in Logic and Language

Tbilisi, Georgia

September 12–15, 2024

- Induction: mathematics and computer science

- Induction: mathematics and computer science
- Automated inductive theorem proving:
Algorithms for finding proofs by induction

- Induction: mathematics and computer science
- Automated inductive theorem proving:
Algorithms for finding proofs by induction
- Applications in software verification, formal mathematics, ...
- History in computer science dating back to the 1970ies
- Methods: recursion analysis, term rewriting, rippling, extensions of saturation-based provers, cyclic proofs, theory exploration, ...
- Empirical evaluation of implementations

- Induction: mathematics and computer science
 - Automated inductive theorem proving:
Algorithms for finding proofs by induction
 - Applications in software verification, formal mathematics, ...
 - History in computer science dating back to the 1970ies
 - Methods: recursion analysis, term rewriting, rippling, extensions of saturation-based provers, cyclic proofs, theory exploration, ...
 - Empirical evaluation of implementations
- ▶ Logical foundations of automated inductive theorem proving
- ▶ E.g., given method M , which theorems can M prove?

Outline

- 1 Straightforward induction proofs
- 2 Equational theory exploration
- 3 Atomic induction
- 4 Literal induction
- 5 Saturation theorem proving with explicit induction axioms
- 6 Open induction
- 7 Clause set cycles
- 8 Existential induction
- 9 Conclusion

A first example: the Gauss sum

Theorem

For all $n \geq 1$: $\sum_{i=1}^n i = \frac{n(n+1)}{2}$.

A first example: the Gauss sum

Theorem

For all $n \geq 1$:
$$\sum_{i=1}^n i = \frac{n(n+1)}{2}.$$

Proof.

Base case $n = 1$:

A first example: the Gauss sum

Theorem

For all $n \geq 1$: $\sum_{i=1}^n i = \frac{n(n+1)}{2}$.

Proof.

Base case $n = 1$: $1 = \frac{1 \cdot 2}{2}$. ✓

A first example: the Gauss sum

Theorem

For all $n \geq 1$: $\sum_{i=1}^n i = \frac{n(n+1)}{2}$.

Proof.

Base case $n = 1$: $1 = \frac{1 \cdot 2}{2}$. ✓

Step case:

Induction hypothesis: $\sum_{i=1}^n i = \frac{n(n+1)}{2}$.

A first example: the Gauss sum

Theorem

For all $n \geq 1$: $\sum_{i=1}^n i = \frac{n(n+1)}{2}$.

Proof.

Base case $n = 1$: $1 = \frac{1 \cdot 2}{2}$. ✓

Step case:

Induction hypothesis: $\sum_{i=1}^n i = \frac{n(n+1)}{2}$.

Claim: $\sum_{i=1}^{n+1} i = \frac{(n+1)(n+2)}{2}$.

A first example: the Gauss sum

Theorem

$$\text{For all } n \geq 1: \sum_{i=1}^n i = \frac{n(n+1)}{2}.$$

Proof.

$$\text{Base case } n = 1: 1 = \frac{1 \cdot 2}{2}. \checkmark$$

Step case:

$$\text{Induction hypothesis: } \sum_{i=1}^n i = \frac{n(n+1)}{2}.$$

$$\text{Claim: } \sum_{i=1}^{n+1} i = \frac{(n+1)(n+2)}{2}.$$

Proof:

$$\sum_{i=1}^{n+1} i =$$

A first example: the Gauss sum

Theorem

$$\text{For all } n \geq 1: \sum_{i=1}^n i = \frac{n(n+1)}{2}.$$

Proof.

$$\text{Base case } n = 1: 1 = \frac{1 \cdot 2}{2}. \checkmark$$

Step case:

$$\text{Induction hypothesis: } \sum_{i=1}^n i = \frac{n(n+1)}{2}.$$

$$\text{Claim: } \sum_{i=1}^{n+1} i = \frac{(n+1)(n+2)}{2}.$$

Proof:

$$\sum_{i=1}^{n+1} i = \sum_{i=1}^n i + (n+1)$$

A first example: the Gauss sum

Theorem

$$\text{For all } n \geq 1: \sum_{i=1}^n i = \frac{n(n+1)}{2}.$$

Proof.

$$\text{Base case } n = 1: 1 = \frac{1 \cdot 2}{2}. \checkmark$$

Step case:

$$\text{Induction hypothesis: } \sum_{i=1}^n i = \frac{n(n+1)}{2}.$$

$$\text{Claim: } \sum_{i=1}^{n+1} i = \frac{(n+1)(n+2)}{2}.$$

Proof:

$$\sum_{i=1}^{n+1} i = \sum_{i=1}^n i + (n+1) \stackrel{\text{IH}}{=} \frac{n(n+1)}{2} + \frac{2(n+1)}{2}$$

A first example: the Gauss sum

Theorem

$$\text{For all } n \geq 1: \sum_{i=1}^n i = \frac{n(n+1)}{2}.$$

Proof.

$$\text{Base case } n = 1: 1 = \frac{1 \cdot 2}{2}. \checkmark$$

Step case:

$$\text{Induction hypothesis: } \sum_{i=1}^n i = \frac{n(n+1)}{2}.$$

$$\text{Claim: } \sum_{i=1}^{n+1} i = \frac{(n+1)(n+2)}{2}.$$

Proof:

$$\sum_{i=1}^{n+1} i = \sum_{i=1}^n i + (n+1) \stackrel{\text{IH}}{=} \frac{n(n+1)}{2} + \frac{2(n+1)}{2} = \frac{(n+2)(n+1)}{2}.$$



A second example

Theorem

The sum of the first n odd numbers is a square,

A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = k^2$.

Proof.

Base case $n = 1$:

A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = k^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = k^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\exists k_0 \sum_{i=1}^n (2i - 1) = k_0^2$

A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = k^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\exists k_0 \sum_{i=1}^n (2i - 1) = k_0^2$

Claim: $\exists k_1 \sum_{i=1}^{n+1} (2i - 1) = k_1^2$

A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = k^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\exists k_0 \sum_{i=1}^n (2i - 1) = k_0^2$

Claim: $\exists k_1 \sum_{i=1}^{n+1} (2i - 1) = k_1^2$

Proof:

$$\sum_{i=1}^{n+1} (2i - 1) =$$

A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = k^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\exists k_0 \sum_{i=1}^n (2i - 1) = k_0^2$

Claim: $\exists k_1 \sum_{i=1}^{n+1} (2i - 1) = k_1^2$

Proof:

$$\sum_{i=1}^{n+1} (2i - 1) = \sum_{i=1}^n (2i - 1) + (2n + 1)$$

A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = k^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\exists k_0 \sum_{i=1}^n (2i - 1) = k_0^2$

Claim: $\exists k_1 \sum_{i=1}^{n+1} (2i - 1) = k_1^2$

Proof:

$$\sum_{i=1}^{n+1} (2i - 1) = \sum_{i=1}^n (2i - 1) + (2n + 1) \stackrel{\text{IH}}{=} k_0^2 + 2n + 1$$

A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = k^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\exists k_0 \sum_{i=1}^n (2i - 1) = k_0^2$

Claim: $\exists k_1 \sum_{i=1}^{n+1} (2i - 1) = k_1^2$

Proof:

$$\sum_{i=1}^{n+1} (2i - 1) = \sum_{i=1}^n (2i - 1) + (2n + 1) \stackrel{\text{IH}}{=} k_0^2 + 2n + 1 = \dots = k_1^2.$$



A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = k^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\exists k_0 \sum_{i=1}^n (2i - 1) = k_0^2$

Claim: $\exists k_1 \sum_{i=1}^{n+1} (2i - 1) = k_1^2$

Proof:

$$\sum_{i=1}^{n+1} (2i - 1) = \sum_{i=1}^n (2i - 1) + (2n + 1) \stackrel{\text{IH}}{=} k_0^2 + 2n + 1 = \dots = k_1^2. \times$$

We are stuck!



A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = n^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\exists k_0 \sum_{i=1}^n (2i - 1) = k_0^2$

Claim: $\exists k_1 \sum_{i=1}^{n+1} (2i - 1) = k_1^2$

Proof:

$$\sum_{i=1}^{n+1} (2i - 1) = \sum_{i=1}^n (2i - 1) + (2n + 1) \stackrel{\text{IH}}{=} k_0^2 + 2n + 1 = \dots = k_1^2. \times$$



A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = n^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\sum_{i=1}^n (2i - 1) = n^2$

Claim: $\sum_{i=1}^{n+1} (2i - 1) = (n + 1)^2$

Proof:

$$\sum_{i=1}^{n+1} (2i - 1) = \sum_{i=1}^n (2i - 1) + (2n + 1) \stackrel{\text{IH}}{=} k_0^2 + 2n + 1 = \dots = k_1^2. \times$$



A second example

Theorem

The sum of the first n odd numbers is a square, i.e.,

for all $n \geq 1$ there is a $k \in \mathbb{N}$ s.t. $\sum_{i=1}^n (2i - 1) = n^2$.

Proof.

Base case $n = 1$: $1 = 1^2$. ✓

Step case:

Induction hypothesis: $\sum_{i=1}^n (2i - 1) = n^2$

Claim: $\sum_{i=1}^{n+1} (2i - 1) = (n + 1)^2$

Proof:

$$\sum_{i=1}^{n+1} (2i - 1) = \sum_{i=1}^n (2i - 1) + (2n + 1) \stackrel{\text{IH}}{=} n^2 + 2n + 1 = (n + 1)^2. \quad \checkmark$$



Formulating failure (1/2)

Definition

The language of arithmetic is $L_A = \{0, s, +, \cdot, \leq\}$.

Formulating failure (1/2)

Definition

The language of arithmetic is $L_A = \{0, s, +, \cdot, \leq\}$.

Definition

We define $L_f = L_A \cup \{f/1\}$ and:

$$f(0) = 0 \quad (D_f^0)$$

$$\forall x f(s(x)) = f(x) + (2 \cdot x + 1) \quad (D_f^+)$$

Formulating failure (1/2)

Definition

The language of arithmetic is $L_A = \{0, s, +, \cdot, \leq\}$.

Definition

We define $L_f = L_A \cup \{f/1\}$ and:

$$f(0) = 0 \quad (D_f^0)$$

$$\forall x f(s(x)) = f(x) + (2 \cdot x + 1) \quad (D_f^+)$$

Then, in \mathbb{N} , $f(n) = \sum_{i=1}^n (2i - 1)$.

Definition

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}$$

Formulating failure (2/2)

Definition

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}$$

Definition

Let $L \supseteq \{0, s\}$, let $\varphi(x, \bar{z})$ be an L formula, then: $I_x\varphi(x, \bar{z})$ is

$$\forall \bar{z} (\varphi(0, \bar{z}) \wedge \forall x (\varphi(x, \bar{z}) \rightarrow \varphi(s(x), \bar{z})) \rightarrow \forall x \varphi(x, \bar{z}))$$

Formulating failure (2/2)

Definition

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}$$

Definition

Let $L \supseteq \{0, s\}$, let $\varphi(x, \bar{z})$ be an L formula, then: $I_x\varphi(x, \bar{z})$ is

$$\forall \bar{z} (\varphi(0, \bar{z}) \wedge \forall x (\varphi(x, \bar{z}) \rightarrow \varphi(s(x), \bar{z})) \rightarrow \forall x \varphi(x, \bar{z}))$$

Definition

$$\psi(x) \equiv \exists y f(x) = y \cdot y$$

Formulating failure (2/2)

Definition

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}$$

Definition

Let $L \supseteq \{0, s\}$, let $\varphi(x, \bar{z})$ be an L formula, then: $I_x\varphi(x, \bar{z})$ is

$$\forall \bar{z} (\varphi(0, \bar{z}) \wedge \forall x (\varphi(x, \bar{z}) \rightarrow \varphi(s(x), \bar{z})) \rightarrow \forall x \varphi(x, \bar{z}))$$

Definition

$$\psi(x) \equiv \exists y f(x) = y \cdot y$$

Theorem (Lundstedt '20)

$$T, I_x\psi(x) \not\vdash \forall x \psi(x).$$

The compactness theorem

Theorem (Compactness theorem)

Let Γ be a set of sentences. If every finite subset of Γ is satisfiable, then Γ is satisfiable.

The compactness theorem

Theorem (Compactness theorem)

Let Γ be a set of sentences. If every finite subset of Γ is satisfiable, then Γ is satisfiable.

Example

Let $L' = L_A \cup \{c\}$. Define

$$\Gamma = \text{Th}(\mathbb{N}) \cup \{c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

The compactness theorem

Theorem (Compactness theorem)

Let Γ be a set of sentences. If every finite subset of Γ is satisfiable, then Γ is satisfiable.

Example

Let $L' = L_A \cup \{c\}$. Define

$$\Gamma = \text{Th}(\mathbb{N}) \cup \{c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Let $\Gamma_0 \subseteq \Gamma$ be finite. Let $m \in \mathbb{N}$ s.t. $c \geq i \in \Gamma_0$ implies $i < m$.

The compactness theorem

Theorem (Compactness theorem)

Let Γ be a set of sentences. If every finite subset of Γ is satisfiable, then Γ is satisfiable.

Example

Let $L' = L_A \cup \{c\}$. Define

$$\Gamma = \text{Th}(\mathbb{N}) \cup \{c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Let $\Gamma_0 \subseteq \Gamma$ be finite. Let $m \in \mathbb{N}$ s.t. $c \geq i \in \Gamma_0$ implies $i < m$.

Define the L' structure \mathcal{M}_0 by $\mathcal{M}_0 \upharpoonright_{L_A} = \mathbb{N}$ and $c^{\mathcal{M}_0} = m$. Then $\mathcal{M}_0 \models \Gamma_0$.

The compactness theorem

Theorem (Compactness theorem)

Let Γ be a set of sentences. If every finite subset of Γ is satisfiable, then Γ is satisfiable.

Example

Let $L' = L_A \cup \{c\}$. Define

$$\Gamma = \text{Th}(\mathbb{N}) \cup \{c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Let $\Gamma_0 \subseteq \Gamma$ be finite. Let $m \in \mathbb{N}$ s.t. $c \geq i \in \Gamma_0$ implies $i < m$.

Define the L' structure \mathcal{M}_0 by $\mathcal{M}_0 \upharpoonright_{L_A} = \mathbb{N}$ and $c^{\mathcal{M}_0} = m$. Then $\mathcal{M}_0 \models \Gamma_0$.

So, by the compactness theorem, there is an \mathcal{M} with $\mathcal{M} \models \Gamma$. Let $\mathcal{N} = \mathcal{M} \upharpoonright_{L_A}$, then $\mathcal{N} \models \text{Th}(\mathbb{N})$.

\mathcal{N} is a *nonstandard model* of $\text{Th}(\mathbb{N})$

Standard and Nonstandard numbers

Let $\mathcal{M} \models \text{Th}(\mathbb{N})$.

Standard and Nonstandard numbers

Let $\mathcal{M} \models \text{Th}(\mathbb{N})$.

Definition

Then $m \in \mathcal{M}$ is called *standard* if there is an $n \in \mathbb{N}$ s.t. $s^n(0)^{\mathcal{M}} = m$.
Otherwise m is called non-standard.

Standard and Nonstandard numbers

Let $\mathcal{M} \models \text{Th}(\mathbb{N})$.

Definition

Then $m \in \mathcal{M}$ is called *standard* if there is an $n \in \mathbb{N}$ s.t. $s^n(0)^{\mathcal{M}} = m$.
Otherwise m is called non-standard.

Observation

$$\mathcal{M} \models \forall x \forall y (x \leq y \vee y \leq x)$$

$$\mathcal{M} \models \forall x 0 \leq x$$

$$\text{For all } n \in \mathbb{N}: \mathcal{M} \models \forall x (x \leq n \rightarrow x = 0 \vee x = 1 \vee \dots \vee x = n - 1)$$

So non-standard m are “after” the standard m .

Proving Failure (1/3)

Definition

Define $L_c = L_f \cup \{c\}$ and

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}$$

Proving Failure (1/3)

Definition

Define $L_c = L_f \cup \{c\}$ and

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}$$

Lemma

If Γ_c^+ is satisfiable, then $\Gamma_c^{0,+}$ is satisfiable.

Proving Failure (1/3)

Definition

Define $L_c = L_f \cup \{c\}$ and

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}$$

Lemma

If Γ_c^+ is satisfiable, then $\Gamma_c^{0,+}$ is satisfiable.

Proof.

For $\mathcal{M} \models \Gamma_c^+$ define \mathcal{N} by $\mathcal{N} \upharpoonright_{L_A \cup \{c\}} = \mathcal{M} \upharpoonright_{L_A \cup \{c\}}$ and

$$f^{\mathcal{N}}(x) = \begin{cases} x^2 & \text{if } x \text{ is standard} \\ f^{\mathcal{M}}(x) & \text{otherwise} \end{cases}$$



Proving Failure (2/3)

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma

Γ_c^+ is satisfiable.

Proving Failure (2/3)

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma

Γ_c^+ is satisfiable.

Definition

For $m \in \mathbb{N}$ define $\beta_m : \mathbb{N} \rightarrow \mathbb{N}, n \mapsto n^2 + 2m + 1$.

Proving Failure (2/3)

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma

Γ_c^+ is satisfiable.

Definition

For $m \in \mathbb{N}$ define $\beta_m : \mathbb{N} \rightarrow \mathbb{N}$, $n \mapsto n^2 + 2m + 1$.

Then $\beta_m(m) = (m + 1)^2$ and $\beta_m(m + 1)$ is not a square because

$$(m+1)^2 = m^2 + 2m + 1 < \beta_m(m+1) = m^2 + 4m + 2 < m^2 + 4m + 4 = (m+2)^2.$$

Proving Failure (2/3)

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma

Γ_c^+ is satisfiable.

Definition

For $m \in \mathbb{N}$ define $\beta_m : \mathbb{N} \rightarrow \mathbb{N}$, $n \mapsto n^2 + 2m + 1$.

Then $\beta_m(m) = (m + 1)^2$ and $\beta_m(m + 1)$ is not a square because

$$(m+1)^2 = m^2 + 2m + 1 < \beta_m(m+1) = m^2 + 4m + 2 < m^2 + 4m + 4 = (m+2)^2.$$

Proof.

Let $\Gamma_0 \subseteq \Gamma_c^+$ be finite.

Proving Failure (2/3)

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma

Γ_c^+ is satisfiable.

Definition

For $m \in \mathbb{N}$ define $\beta_m : \mathbb{N} \rightarrow \mathbb{N}$, $n \mapsto n^2 + 2m + 1$.

Then $\beta_m(m) = (m + 1)^2$ and $\beta_m(m + 1)$ is not a square because

$$(m+1)^2 = m^2 + 2m + 1 < \beta_m(m+1) = m^2 + 4m + 2 < m^2 + 4m + 4 = (m+2)^2.$$

Proof.

Let $\Gamma_0 \subseteq \Gamma_c^+$ be finite. Let $a \in \mathbb{N}$ s.t. $c \geq i \in \Gamma_0$ implies $i < a$.

Proving Failure (2/3)

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma

Γ_c^+ is satisfiable.

Definition

For $m \in \mathbb{N}$ define $\beta_m : \mathbb{N} \rightarrow \mathbb{N}$, $n \mapsto n^2 + 2m + 1$.

Then $\beta_m(m) = (m + 1)^2$ and $\beta_m(m + 1)$ is not a square because

$$(m+1)^2 = m^2 + 2m + 1 < \beta_m(m+1) = m^2 + 4m + 2 < m^2 + 4m + 4 = (m+2)^2.$$

Proof.

Let $\Gamma_0 \subseteq \Gamma_c^+$ be finite. Let $a \in \mathbb{N}$ s.t. $c \geq i \in \Gamma_0$ implies $i < a$. Define the L_c structure \mathcal{M}_0 by: $\mathcal{M}_0 \upharpoonright_{L_A} = \mathbb{N}$, $c^{\mathcal{M}_0} = a$, $f^{\mathcal{M}_0} = \beta_a$. Then $\mathcal{M}_0 \models \Gamma_0$.

Proving Failure (2/3)

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma

Γ_c^+ is satisfiable.

Definition

For $m \in \mathbb{N}$ define $\beta_m : \mathbb{N} \rightarrow \mathbb{N}$, $n \mapsto n^2 + 2m + 1$.

Then $\beta_m(m) = (m + 1)^2$ and $\beta_m(m + 1)$ is not a square because

$$(m+1)^2 = m^2 + 2m + 1 < \beta_m(m+1) = m^2 + 4m + 2 < m^2 + 4m + 4 = (m+2)^2.$$

Proof.

Let $\Gamma_0 \subseteq \Gamma_c^+$ be finite. Let $a \in \mathbb{N}$ s.t. $c \geq i \in \Gamma_0$ implies $i < a$. Define the L_c structure \mathcal{M}_0 by: $\mathcal{M}_0 \upharpoonright_{L_A} = \mathbb{N}$, $c^{\mathcal{M}_0} = a$, $f^{\mathcal{M}_0} = \beta_a$. Then $\mathcal{M}_0 \models \Gamma_0$. So, by compactness, Γ_c^+ is satisfiable. \square

Proving Failure (3/3)

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}.$$

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma. Γ_c^+ is satisfiable.

Lemma. If Γ_c^+ is satisfiable, then $\Gamma_c^{0,+}$ is satisfiable.

Theorem (Lundstedt '20)

$$T, I_x\psi(x) \not\vdash \forall x \psi(x).$$

Proving Failure (3/3)

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}.$$

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma. Γ_c^+ is satisfiable.

Lemma. If Γ_c^+ is satisfiable, then $\Gamma_c^{0,+}$ is satisfiable.

Theorem (Lundstedt '20)

$$T, I_x\psi(x) \not\models \forall x \psi(x).$$

Proof.

$$\text{Let } \mathcal{M} \models \Gamma_c^{0,+}.$$

Proving Failure (3/3)

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}.$$

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma. Γ_c^+ is satisfiable.

Lemma. If Γ_c^+ is satisfiable, then $\Gamma_c^{0,+}$ is satisfiable.

Theorem (Lundstedt '20)

$$T, I_x\psi(x) \not\models \forall x \psi(x).$$

Proof.

Let $\mathcal{M} \models \Gamma_c^{0,+}$. Let $\mathcal{N} = \mathcal{M}|_{L_f}$.

Proving Failure (3/3)

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}.$$

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma. Γ_c^+ is satisfiable.

Lemma. If Γ_c^+ is satisfiable, then $\Gamma_c^{0,+}$ is satisfiable.

Theorem (Lundstedt '20)

$$T, I_x\psi(x) \not\models \forall x \psi(x).$$

Proof.

Let $\mathcal{M} \models \Gamma_c^{0,+}$. Let $\mathcal{N} = \mathcal{M}|_{L_f}$. Then $\mathcal{N} \models T$, $\mathcal{N} \models \psi(0)$,

Proving Failure (3/3)

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}.$$

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma. Γ_c^+ is satisfiable.

Lemma. If Γ_c^+ is satisfiable, then $\Gamma_c^{0,+}$ is satisfiable.

Theorem (Lundstedt '20)

$$T, I_x\psi(x) \not\models \forall x \psi(x).$$

Proof.

Let $\mathcal{M} \models \Gamma_c^{0,+}$. Let $\mathcal{N} = \mathcal{M} \upharpoonright_{L_f}$. Then $\mathcal{N} \models T$, $\mathcal{N} \models \psi(0)$,
 $\mathcal{N} \not\models \forall x (\psi(x) \rightarrow \psi(s(x)))$ with counterexample $c^{\mathcal{M}}$,

Proving Failure (3/3)

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}.$$

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma. Γ_c^+ is satisfiable.

Lemma. If Γ_c^+ is satisfiable, then $\Gamma_c^{0,+}$ is satisfiable.

Theorem (Lundstedt '20)

$$T, I_x\psi(x) \not\models \forall x \psi(x).$$

Proof.

Let $\mathcal{M} \models \Gamma_c^{0,+}$. Let $\mathcal{N} = \mathcal{M} \upharpoonright_{L_f}$. Then $\mathcal{N} \models T$, $\mathcal{N} \models \psi(0)$, $\mathcal{N} \not\models \forall x (\psi(x) \rightarrow \psi(s(x)))$ with counterexample $c^{\mathcal{M}}$, $\mathcal{N} \not\models \forall x \psi(x)$ with counterexample $c^{\mathcal{M}}$.

Proving Failure (3/3)

$$T = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+\}.$$

$$\Gamma_c^+ = \text{Th}(\mathbb{N}) \cup \{D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

$$\Gamma_c^{0,+} = \text{Th}(\mathbb{N}) \cup \{D_f^0, D_f^+, \psi(c), \neg\psi(s(c)), c \geq 0, c \geq 1, c \geq 2, \dots\}.$$

Lemma. Γ_c^+ is satisfiable.

Lemma. If Γ_c^+ is satisfiable, then $\Gamma_c^{0,+}$ is satisfiable.

Theorem (Lundstedt '20)

$$T, I_x\psi(x) \not\models \forall x \psi(x).$$

Proof.

Let $\mathcal{M} \models \Gamma_c^{0,+}$. Let $\mathcal{N} = \mathcal{M} \upharpoonright_{L_f}$. Then $\mathcal{N} \models T$, $\mathcal{N} \models \psi(0)$, $\mathcal{N} \not\models \forall x (\psi(x) \rightarrow \psi(s(x)))$ with counterexample $c^{\mathcal{M}}$, $\mathcal{N} \not\models \forall x \psi(x)$ with counterexample $c^{\mathcal{M}}$. So $\mathcal{N} \models I_x\psi(x)$. □

Definition

A formula $\forall x \varphi(x)$ has a *straightforward induction proof* in T if $T, I_x \varphi(x) \vdash \forall x \varphi(x)$.

Definition

A formula $\forall x \varphi(x)$ has a *straightforward induction proof* in T if $T, I_x \varphi(x) \vdash \forall x \varphi(x)$.

- Proof of $\psi(x) \equiv \exists y f(x) = y \cdot y$ by induction on $\psi'(x) \equiv f(x) = x \cdot x$.

Definition

A formula $\forall x \varphi(x)$ has a *straightforward induction proof* in T if $T, I_x \varphi(x) \vdash \forall x \varphi(x)$.

- Proof of $\psi(x) \equiv \exists y f(x) = y \cdot y$ by induction on $\psi'(x) \equiv f(x) = x \cdot x$.
- Note that $\models \psi'(x) \rightarrow \psi(x)$.

Definition

A formula $\forall x \varphi(x)$ has a *straightforward induction proof* in T if $T, I_x \varphi(x) \vdash \forall x \varphi(x)$.

- Proof of $\psi(x) \equiv \exists y f(x) = y \cdot y$ by induction on $\psi'(x) \equiv f(x) = x \cdot x$.
- Note that $\models \psi'(x) \rightarrow \psi(x)$.
- Do we always / sometimes have to induct on a stronger formula?

Definition

A formula $\forall x \varphi(x)$ has a *straightforward induction proof* in T if $T, I_x \varphi(x) \vdash \forall x \varphi(x)$.

- Proof of $\psi(x) \equiv \exists y f(x) = y \cdot y$ by induction on $\psi'(x) \equiv f(x) = x \cdot x$.
- Note that $\models \psi'(x) \rightarrow \psi(x)$.
- Do we always / sometimes have to induct on a stronger formula? **No!**

Definition

A formula $\forall x \varphi(x)$ has a *straightforward induction proof* in T if $T, I_x \varphi(x) \vdash \forall x \varphi(x)$.

- Proof of $\psi(x) \equiv \exists y f(x) = y \cdot y$ by induction on $\psi'(x) \equiv f(x) = x \cdot x$.
- Note that $\models \psi'(x) \rightarrow \psi(x)$.
- Do we always / sometimes have to induct on a stronger formula? **No!**

Observation (H, Wong '18)

T theory. If $T, I_x \varphi(x) \vdash \sigma$ then there is a $\psi(x)$ s.t. $T, I_x \psi(x) \vdash \sigma$ and $T \vdash \forall x \psi(x) \leftrightarrow \sigma$.

Logical strength

Definition

A formula $\forall x \varphi(x)$ has a *straightforward induction proof* in T if $T, I_x \varphi(x) \vdash \forall x \varphi(x)$.

- Proof of $\psi(x) \equiv \exists y f(x) = y \cdot y$ by induction on $\psi'(x) \equiv f(x) = x \cdot x$.
- Note that $\models \psi'(x) \rightarrow \psi(x)$.
- Do we always / sometimes have to induct on a stronger formula? **No!**

Observation (H, Wong '18)

T theory. If $T, I_x \varphi(x) \vdash \sigma$ then there is a $\psi(x)$ s.t. $T, I_x \psi(x) \vdash \sigma$ and $T \vdash \forall x \psi(x) \leftrightarrow \sigma$.

Proof Sketch.

Let $\psi(x) \equiv \varphi(x) \vee \sigma$. □

The number of inductions

Can we strengthen the notion of straightforward induction proof?

Can we prove more with two inductions?

The number of inductions

Can we strengthen the notion of straightforward induction proof?

Can we prove more with two inductions? **No!**

The number of inductions

Can we strengthen the notion of straightforward induction proof?

Can we prove more with two inductions? **No!**

Theorem

*T theory. If $T, I_x \varphi_1(x, \bar{z}_1), \dots, I_x \varphi_n(x, \bar{z}_n) \vdash \sigma$, then there is a $\psi(x)$ s.t.
 $T, I_x \psi(x) \vdash \sigma$.*

The number of inductions

Can we strengthen the notion of straightforward induction proof?

Can we prove more with two inductions? **No!**

Theorem

*T theory. If $T, I_x \varphi_1(x, \bar{z}_1), \dots, I_x \varphi_n(x, \bar{z}_n) \vdash \sigma$, then there is a $\psi(x)$ s.t.
 $T, I_x \psi(x) \vdash \sigma$.*

Proof Sketch.

- 1 Remove parameters by adding universal quantifiers.
- 2 Pull all inductions together as one. □

The number of inductions

Can we strengthen the notion of straightforward induction proof?

Can we prove more with two inductions? **No!**

Theorem

T theory. If $T, I_x \varphi_1(x, \bar{z}_1), \dots, I_x \varphi_n(x, \bar{z}_n) \vdash \sigma$, then there is a $\psi(x)$ s.t. $T, I_x \psi(x) \vdash \sigma$.

Proof Sketch.

- 1 Remove parameters by adding universal quantifiers.
- 2 Pull all inductions together as one. □

Corollary

T theory. If $T, I_x \varphi_1(x, \bar{z}_1), \dots, I_x \varphi_n(x, \bar{z}_n) \vdash \sigma$, then there is $\varphi(x)$ s.t. $T, I_x \varphi(x) \vdash \sigma$ and $T \vdash \forall x \varphi(x) \leftrightarrow \sigma$.

Outline

- 1 Straightforward induction proofs
- 2 Equational theory exploration**
- 3 Atomic induction
- 4 Literal induction
- 5 Saturation theorem proving with explicit induction axioms
- 6 Open induction
- 7 Clause set cycles
- 8 Existential induction
- 9 Conclusion

- Automated theorem proving: goal-oriented
Given T and σ find out if $T \vdash \sigma$

- Automated theorem proving: goal-oriented
Given T and σ find out if $T \vdash \sigma$
- Theory exploration: bottom-up
Given T find “interesting” $\sigma_1, \dots, \sigma_n$ s.t. $T \vdash \sigma_1, \dots, T \vdash \sigma_n$

- Automated theorem proving: goal-oriented
Given T and σ find out if $T \vdash \sigma$
- Theory exploration: bottom-up
Given T find “interesting” $\sigma_1, \dots, \sigma_n$ s.t. $T \vdash \sigma_1, \dots, T \vdash \sigma_n$
- ▶ Equational theory exploration (σ_i are equations)
 - Simplified form of HipSpec
[Claessen, Johansson, Rosén, Smallbone '13]
 - Allows to “iterate” straightforward induction proofs

Definition

Work in many-sorted first-order logic with sorts D, T_1, \dots, T_n . D is defined as *inductive data type* by constructors c_1, \dots, c_k where $c_i : \tau_i^1 \times \dots \times \tau_i^{m_i} \rightarrow D$ with $\tau_i^l \in \{D, T_1, \dots, T_n\}$.

Definition

Work in many-sorted first-order logic with sorts D, T_1, \dots, T_n . D is defined as *inductive data type* by constructors c_1, \dots, c_k where $c_i : \tau_i^1 \times \dots \times \tau_i^{m_i} \rightarrow D$ with $\tau_i^l \in \{D, T_1, \dots, T_n\}$.

Example

$D = \text{Nat}$, $n = 0$, $c_1 = 0 : \text{Nat}$, $c_2 = s : \text{Nat} \rightarrow \text{Nat}$.

Definition

Work in many-sorted first-order logic with sorts D, T_1, \dots, T_n . D is defined as *inductive data type* by constructors c_1, \dots, c_k where $c_i : \tau_i^1 \times \dots \times \tau_i^{m_i} \rightarrow D$ with $\tau_i^l \in \{D, T_1, \dots, T_n\}$.

Example

$D = \text{Nat}$, $n = 0$, $c_1 = 0 : \text{Nat}$, $c_2 = s : \text{Nat} \rightarrow \text{Nat}$.

Example

$D = \text{NatList}$, $T_1 = \text{Nat}$, $n = 1$, $c_1 = \text{nil} : \text{NatList}$,
 $c_2 = \text{cons} : \text{Nat} \times \text{NatList} \rightarrow \text{NatList}$.

Example

Primitive recursion over lists:

$$h(\text{nil}, \bar{z}) = t(\bar{z})$$

$$h(\text{cons}(x, L), \bar{z}) = u(x, L, h(L, \bar{z}), \bar{z})$$

Example

Primitive recursion over lists:

$$\begin{aligned}h(\text{nil}, \bar{z}) &= t(\bar{z}) \\h(\text{cons}(x, L), \bar{z}) &= u(x, L, h(L, \bar{z}), \bar{z})\end{aligned}$$

Definition

Let $L = \{c_1, \dots, c_k\}$. Then a ground L term is called *value*.

Functions defined by primitive recursion evaluate to values.

Example

Primitive recursion over lists:

$$\begin{aligned}h(\text{nil}, \bar{z}) &= t(\bar{z}) \\h(\text{cons}(x, L), \bar{z}) &= u(x, L, h(L, \bar{z}), \bar{z})\end{aligned}$$

Definition

Let $L = \{c_1, \dots, c_k\}$. Then a ground L term is called *value*.

Functions defined by primitive recursion evaluate to values.

Example

The induction axiom for lists: $\varphi(X, \bar{z})$ formula:

$$\forall \bar{z} (\varphi(\text{nil}, \bar{z}) \wedge \forall X \forall u (\varphi(X, \bar{z}) \rightarrow \varphi(\text{cons}(u, X), \bar{z})) \rightarrow \forall X \varphi(X, \bar{z}))$$

Example

- Datatypes: Nat ($0, s$), NatList (nil, cons)

Example

- Datatypes: Nat (0, s), NatList (nil, cons)
- Defined functions

$$x + 0 = x$$

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

Example

- Datatypes: Nat (0, s), NatList (nil, cons)
- Defined functions

$$x + 0 = x$$

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

$$\text{len}(\text{nil}) = 0$$

$$\text{len}(\text{cons}(x, L)) = s(\text{len}(L))$$

Example

- Datatypes: Nat (0, s), NatList (nil, cons)
- Defined functions

$$x + 0 = x$$

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

$$\text{len}(\text{nil}) = 0$$

$$\text{app}(\text{nil}, L_2) = L_2$$

$$\text{len}(\text{cons}(x, L)) = s(\text{len}(L)) \quad \text{app}(\text{cons}(x, L_1), L_2) = \text{cons}(x, \text{app}(L_1, L_2))$$

Example

- Datatypes: Nat (0, s), NatList (nil, cons)
- Defined functions

$$x + 0 = x$$

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

$$\text{len}(\text{nil}) = 0$$

$$\text{app}(\text{nil}, L_2) = L_2$$

$$\text{len}(\text{cons}(x, L)) = s(\text{len}(L)) \quad \text{app}(\text{cons}(x, L_1), L_2) = \text{cons}(x, \text{app}(L_1, L_2))$$

- $L_1 : 0 + x = x$ has straightforward (sf) induction proof

Example

- Datatypes: Nat (0, s), NatList (nil, cons)
- Defined functions

$$x + 0 = x$$

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

$$\text{len}(\text{nil}) = 0$$

$$\text{app}(\text{nil}, L_2) = L_2$$

$$\text{len}(\text{cons}(x, L)) = s(\text{len}(L)) \quad \text{app}(\text{cons}(x, L_1), L_2) = \text{cons}(x, \text{app}(L_1, L_2))$$

- $L_1 : 0 + x = x$ has straightforward (sf) induction proof
- $L_2 : s(x) + y = s(x + y)$ has sf induction proof

Example

- Datatypes: Nat (0, s), NatList (nil, cons)
- Defined functions

$$x + 0 = x$$

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

$$\text{len}(\text{nil}) = 0$$

$$\text{app}(\text{nil}, L_2) = L_2$$

$$\text{len}(\text{cons}(x, L)) = s(\text{len}(L)) \quad \text{app}(\text{cons}(x, L_1), L_2) = \text{cons}(x, \text{app}(L_1, L_2))$$

- $L_1 : 0 + x = x$ has straightforward (sf) induction proof
- $L_2 : s(x) + y = s(x + y)$ has sf induction proof
- $L_3 : x + y = y + x$ has sf induction proof using L_1 and L_2 .

Example

- Datatypes: Nat (0, s), NatList (nil, cons)
- Defined functions

$$x + 0 = x$$

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

$$\text{len}(\text{nil}) = 0$$

$$\text{app}(\text{nil}, L_2) = L_2$$

$$\text{len}(\text{cons}(x, L)) = s(\text{len}(L)) \quad \text{app}(\text{cons}(x, L_1), L_2) = \text{cons}(x, \text{app}(L_1, L_2))$$

- $L_1 : 0 + x = x$ has straightforward (sf) induction proof
- $L_2 : s(x) + y = s(x + y)$ has sf induction proof
- $L_3 : x + y = y + x$ has sf induction proof using L_1 and L_2 .
- $L_4 : \text{len}(\text{app}(L_1, L_2)) = \text{len}(L_1) + \text{len}(L_2)$ has sf induction proof using L_1 and L_2 .

Generating equational conjectures

procedure CONJECTURE(k, \bar{x}, n)

$T := \{t \text{ term} \mid |t| \leq k, \text{Var}(t) \subseteq \{\bar{x}\}\}$

$E := \{(t_1, t_2) \mid t_1, t_2 \in T\}$

return $\{t_1 = t_2 \mid (t_1, t_2) \in E\}$

end procedure

- ▶ $t_1 = t_2$ is returned iff $t_1 = t_2$ withstood n tests

Generating equational conjectures

```
procedure CONJECTURE( $k, \bar{x}, n$ )  
   $T := \{t \text{ term} \mid |t| \leq k, \text{Var}(t) \subseteq \{\bar{x}\}\}$   
   $E := \{(t_1, t_2) \mid t_1, t_2 \in T\}$   
  for  $i := 1, \dots, n$  do  
     $\bar{a} := \text{GENERATERANDOMTUPLE}(\bar{x})$   
  
  end for  
  return  $\{t_1 = t_2 \mid (t_1, t_2) \in E\}$   
end procedure
```

- ▶ $t_1 = t_2$ is returned iff $t_1 = t_2$ withstood n tests

Generating equational conjectures

```
procedure CONJECTURE( $k, \bar{x}, n$ )  
   $T := \{t \text{ term} \mid |t| \leq k, \text{Var}(t) \subseteq \{\bar{x}\}\}$   
   $E := \{(t_1, t_2) \mid t_1, t_2 \in T\}$   
  for  $i := 1, \dots, n$  do  
     $\bar{a} := \text{GENERATERANDOMTUPLE}(\bar{x})$   
    for each equivalence class  $C$  of  $E$  do  
  
      end for  
    end for  
    return  $\{t_1 = t_2 \mid (t_1, t_2) \in E\}$   
end procedure
```

- ▶ $t_1 = t_2$ is returned iff $t_1 = t_2$ withstood n tests

Generating equational conjectures

```
procedure CONJECTURE( $k, \bar{x}, n$ )  
   $T := \{t \text{ term} \mid |t| \leq k, \text{Var}(t) \subseteq \{\bar{x}\}\}$   
   $E := \{(t_1, t_2) \mid t_1, t_2 \in T\}$   
  for  $i := 1, \dots, n$  do  
     $\bar{a} := \text{GENERATERANDOMTUPLE}(\bar{x})$   
    for each equivalence class  $C$  of  $E$  do  
       $E' := \{(t_1, t_2) \in C \mid \text{VALUE}(t_1[\bar{x} \setminus \bar{a}]) = \text{VALUE}(t_2[\bar{x} \setminus \bar{a}])\}$   
      Replace  $C$  by  $E'$  in  $E$   
    end for  
  end for  
  return  $\{t_1 = t_2 \mid (t_1, t_2) \in E\}$   
end procedure
```

- ▶ $t_1 = t_2$ is returned iff $t_1 = t_2$ withstood n tests

procedure EXPLORE(A, k, \bar{x}, n, t)

$L := \emptyset$

$C := \text{CONJECTURE}(k, \bar{x}, n)$

return L

end procedure

procedure EXPLORE(A, k, \bar{x}, n, t)

$L := \emptyset$

$C := \text{CONJECTURE}(k, \bar{x}, n)$

while $C \neq \emptyset$ **do**

 Pick $\varphi(x_1, \dots, x_m) \in C$

$C := C \setminus \{\varphi(\bar{x})\}$

end while

return L

end procedure

Equational theory exploration

procedure EXPLORE(A, k, \bar{x}, n, t)

$L := \emptyset$

$C := \text{CONJECTURE}(k, \bar{x}, n)$

while $C \neq \emptyset$ **do**

 Pick $\varphi(x_1, \dots, x_m) \in C$

$C := C \setminus \{\varphi(\bar{x})\}$

if $A, L \not\vdash^t \forall \bar{x} \varphi(\bar{x})$ **then**

end if

end while

return L

end procedure

Equational theory exploration

```
procedure EXPLORE( $A, k, \bar{x}, n, t$ )  
   $L := \emptyset$   
   $C := \text{CONJECTURE}(k, \bar{x}, n)$   
  while  $C \neq \emptyset$  do  
    Pick  $\varphi(x_1, \dots, x_m) \in C$   
     $C := C \setminus \{\varphi(\bar{x})\}$   
    if  $A, L \not\vdash^t \forall \bar{x} \varphi(\bar{x})$  then  
      if  $\exists i \in \{1, \dots, m\}$  s.t.  $A, L, l_{x_i} \varphi(\bar{x}) \vdash^t \forall \bar{x} \varphi(\bar{x})$  then  
         $L := L \cup \{\forall \bar{x} \varphi(\bar{x})\}$   
      end if  
    end if  
  end while  
  return  $L$   
end procedure
```

- Simple algorithm

- Simple algorithm
- Useful in practice
inductive data types and simple primitive recursive functions
- Finds commutation properties, simple lemmas, ...

- Simple algorithm
- Useful in practice
inductive data types and simple primitive recursive functions
- Finds commutation properties, simple lemmas, ...
- Main weakness: limited to equations (atoms)

Outline

- 1 Straightforward induction proofs
- 2 Equational theory exploration
- 3 Atomic induction**
- 4 Literal induction
- 5 Saturation theorem proving with explicit induction axioms
- 6 Open induction
- 7 Clause set cycles
- 8 Existential induction
- 9 Conclusion

Definition

For a set of formulas Γ define

$$\Gamma\text{-IND} = \{I_x\varphi(x, \bar{z}) \mid \varphi(x, \bar{z}) \in \Gamma\}.$$

Remark

$\Gamma\text{-IND}$ *goes beyond straightforward induction proofs.*

Atomic induction

Definition

For a set of formulas Γ define

$$\Gamma\text{-IND} = \{I_x\varphi(x, \bar{z}) \mid \varphi(x, \bar{z}) \in \Gamma\}.$$

Remark

$\Gamma\text{-IND}$ *goes beyond straightforward induction proofs.*

Example

Atom-IND are all induction axioms with atoms as induction formula.

Observation

Everything provable by equational theory exploration is provable by atomic induction.

What does atomic induction prove?

Example

Let $L_{LA} = \{0, s, p, +\}$ and $B =$

$$s(x) \neq 0$$

$$p(0) = 0$$

$$p(s(x)) = x$$

$$x + 0 = x$$

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

What does atomic induction prove?

Example

Let $L_{LA} = \{0, s, p, +\}$ and $B =$

$$s(x) \neq 0$$

$$p(0) = 0$$

$$p(s(x)) = x$$

$$x + 0 = x$$

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

Then $B, \text{Atom-IND} \vdash \forall x \forall y x + y = y + x$

What does atomic induction prove?

Example

Let $L_{LA} = \{0, s, p, +\}$ and $B =$

$$s(x) \neq 0$$

$$x + 0 = x$$

$$p(0) = 0$$

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

$$p(s(x)) = x$$

Then $B, \text{Atom-IND} \vdash \forall x \forall y x + y = y + x$

$B, \text{Atom-IND} \vdash \forall x \forall y \forall z x + (y + z) = (x + y) + z.$

A nonstandard model of atomic induction (1/2)

Definition

Define the L_{LA} -structure \mathcal{M} with domain $\mathbb{N} \cup \{\infty\}$ by interpreting $0, s, p, +$ on \mathbb{N} in the standard way and

$$s^{\mathcal{M}}(\infty) = \infty = p^{\mathcal{M}}(\infty) \text{ and } n +^{\mathcal{M}} \infty = \infty +^{\mathcal{M}} n = \infty +^{\mathcal{M}} \infty = \infty.$$

A nonstandard model of atomic induction (1/2)

Definition

Define the L_{LA} -structure \mathcal{M} with domain $\mathbb{N} \cup \{\infty\}$ by interpreting $0, s, p, +$ on \mathbb{N} in the standard way and

$$s^{\mathcal{M}}(\infty) = \infty = p^{\mathcal{M}}(\infty) \text{ and } n +^{\mathcal{M}} \infty = \infty +^{\mathcal{M}} n = \infty +^{\mathcal{M}} \infty = \infty.$$

Observation

$\mathcal{M} \models B$.

A nonstandard model of atomic induction (2/2)

Observation

$\mathcal{M} \models \text{Atomic-IND.}$

A nonstandard model of atomic induction (2/2)

Observation

$\mathcal{M} \models \text{Atomic-IND.}$

Proof.

Let $\bar{z} = z_1, \dots, z_k$, $t_1(x, \bar{z}) = t_2(x, \bar{z})$ atom,

A nonstandard model of atomic induction (2/2)

Observation

$\mathcal{M} \models \text{Atomic-IND.}$

Proof.

Let $\bar{z} = z_1, \dots, z_k$, $t_1(x, \bar{z}) = t_2(x, \bar{z})$ atom, $\bar{a} \in (\mathbb{N} \cup \{\infty\})^k$. Assume

- (I) $\mathcal{M} \models t_1(0, \bar{a}) = t_2(0, \bar{a})$ and
- (II) $\mathcal{M} \models \forall x (t_1(x, \bar{a}) = t_2(x, \bar{a}) \rightarrow t_1(s(x), \bar{a}) = t_2(s(x), \bar{a}))$

Claim. $\mathcal{M} \models t_1(b, \bar{a}) = t_2(b, \bar{a})$ for all $b \in \mathbb{N} \cup \{\infty\}$.

A nonstandard model of atomic induction (2/2)

Observation

$\mathcal{M} \models \text{Atomic-IND.}$

Proof.

Let $\bar{z} = z_1, \dots, z_k$, $t_1(x, \bar{z}) = t_2(x, \bar{z})$ atom, $\bar{a} \in (\mathbb{N} \cup \{\infty\})^k$. Assume

- (I) $\mathcal{M} \models t_1(0, \bar{a}) = t_2(0, \bar{a})$ and
- (II) $\mathcal{M} \models \forall x (t_1(x, \bar{a}) = t_2(x, \bar{a}) \rightarrow t_1(s(x), \bar{a}) = t_2(s(x), \bar{a}))$

Claim. $\mathcal{M} \models t_1(b, \bar{a}) = t_2(b, \bar{a})$ for all $b \in \mathbb{N} \cup \{\infty\}$.

1. $\infty \in \{a_1, \dots, a_k, b\}$: $\mathcal{M} \models t_1(b, \bar{a}) = \infty = t_2(b, \bar{a})$.

A nonstandard model of atomic induction (2/2)

Observation

$\mathcal{M} \models \text{Atomic-IND.}$

Proof.

Let $\bar{z} = z_1, \dots, z_k$, $t_1(x, \bar{z}) = t_2(x, \bar{z})$ atom, $\bar{a} \in (\mathbb{N} \cup \{\infty\})^k$. Assume

- (I) $\mathcal{M} \models t_1(0, \bar{a}) = t_2(0, \bar{a})$ and
- (II) $\mathcal{M} \models \forall x (t_1(x, \bar{a}) = t_2(x, \bar{a}) \rightarrow t_1(s(x), \bar{a}) = t_2(s(x), \bar{a}))$

Claim. $\mathcal{M} \models t_1(b, \bar{a}) = t_2(b, \bar{a})$ for all $b \in \mathbb{N} \cup \{\infty\}$.

1. $\infty \in \{a_1, \dots, a_k, b\}$: $\mathcal{M} \models t_1(b, \bar{a}) = \infty = t_2(b, \bar{a})$.
2. $a_1, \dots, a_k, b \in \mathbb{N}$: obtain $\mathcal{M} \models t_1(b, \bar{a}) = t_2(b, \bar{a})$ by (I) and b instances of (II). \square

Independence results for atomic induction

Observation

$\mathcal{M} \not\models \forall x s(x) \neq x.$

Independence results for atomic induction

Observation

$$\mathcal{M} \not\models \forall x s(x) \neq x.$$

Observation

$$\mathcal{M} \not\models \forall x \forall y \forall z (x + y = x + z \rightarrow y = z)$$

Proof.

$$\infty + 1 = \infty + 2 \text{ but } 1 \neq 2. \quad \square$$

Independence results for atomic induction

Observation

$$\mathcal{M} \not\models \forall x s(x) \neq x.$$

Observation

$$\mathcal{M} \not\models \forall x \forall y \forall z (x + y = x + z \rightarrow y = z)$$

Proof.

$$\infty + 1 = \infty + 2 \text{ but } 1 \neq 2. \quad \square$$

Corollary

$B + \text{Atomic-IND} \not\models \forall x s(x) \neq x$ and

$B + \text{Atomic-IND} \not\models \forall x \forall y \forall z (x + y = x + z \rightarrow y = z).$

Outline

- 1 Straightforward induction proofs
- 2 Equational theory exploration
- 3 Atomic induction
- 4 Literal induction**
- 5 Saturation theorem proving with explicit induction axioms
- 6 Open induction
- 7 Clause set cycles
- 8 Existential induction
- 9 Conclusion

Definition

A *literal* is an atom or a negated atom.

Definition

Literal-IND is the set of induction axioms for literals als induction formulas.

What does literal induction prove?

Lemma

$$B \vdash s(u) = s(v) \rightarrow u = v.$$

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Proof.

Work in B :



What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Proof.

Work in B : If $s(u) = s(v)$ then $p(s(u)) = p(s(v))$. □

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Proof.

Work in B : If $s(u) = s(v)$ then $u = p(s(u)) = p(s(v)) = v.$ □

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Theorem

$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Theorem

$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$

Proof.

Induction on x in $s(x) \neq x$. Work in B :

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Theorem

$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$

Proof.

Induction on x in $s(x) \neq x$. Work in B :

- 1 $s(0) \neq 0$ because $\forall x s(x) \neq 0$

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Theorem

$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$

Proof.

Induction on x in $s(x) \neq x$. Work in B :

- 1 $s(0) \neq 0$ because $\forall x s(x) \neq 0$
- 2 $s(x) \neq x \rightarrow s(s(x)) \neq s(x)$ because $s(s(x)) = s(x) \rightarrow s(x) = x$. \square

What does literal induction prove?

Lemma

$$B \vdash s(u) = s(v) \rightarrow u = v.$$

Theorem

$$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$$

Theorem

$$B, \text{Literal-IND} \vdash \forall x \forall y \forall z (x + y = x + z \rightarrow y = z).$$

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Theorem

$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$

Theorem

$B, \text{Literal-IND} \vdash \forall x \forall y \forall z (x + y = x + z \rightarrow y = z).$

Proof.

Assume $y \neq z$. Induction on x in $x + y \neq x + z$. Work in B :

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Theorem

$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$

Theorem

$B, \text{Literal-IND} \vdash \forall x \forall y \forall z (x + y = x + z \rightarrow y = z).$

Proof.

Assume $y \neq z$. Induction on x in $x + y \neq x + z$. Work in B :

① $y \neq z$.

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Theorem

$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$

Theorem

$B, \text{Literal-IND} \vdash \forall x \forall y \forall z (x + y = x + z \rightarrow y = z).$

Proof.

Assume $y \neq z$. Induction on x in $x + y \neq x + z$. Work in B :

- 1 $0 + y = y \neq z = 0 + z.$

What does literal induction prove?

Lemma

$B \vdash s(u) = s(v) \rightarrow u = v.$

Theorem

$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$

Theorem

$B, \text{Literal-IND} \vdash \forall x \forall y \forall z (x + y = x + z \rightarrow y = z).$

Proof.

Assume $y \neq z$. Induction on x in $x + y \neq x + z$. Work in B :

① $0 + y = y \neq z = 0 + z.$

② If $x + y \neq x + z$, then $s(x + y) \neq s(x + z)$. \square

What does literal induction prove?

Lemma

$$B \vdash s(u) = s(v) \rightarrow u = v.$$

Theorem

$$B, \text{Literal-IND} \vdash \forall x s(x) \neq x.$$

Theorem

$$B, \text{Literal-IND} \vdash \forall x \forall y \forall z (x + y = x + z \rightarrow y = z).$$

Proof.

Assume $y \neq z$. Induction on x in $x + y \neq x + z$. Work in B :

- 1 $0 + y = y \neq z = 0 + z$.
- 2 If $x + y \neq x + z$, then $s(x) + y = s(x + y) \neq s(x + z) = s(x) + z$. \square

Independence result for literal induction

Definition

Let $T_{EO} = \{ 0 \neq s(x), s(x) = s(y) \rightarrow x = y,$
 $E(0), E(x) \rightarrow O(s(x)), O(x) \rightarrow E(s(x)) \}$.

Independence result for literal induction

Definition

Let $T_{EO} = \{ 0 \neq s(x), s(x) = s(y) \rightarrow x = y, \\ E(0), E(x) \rightarrow O(s(x)), O(x) \rightarrow E(s(x)) \}$.

Observation

$\forall x (E(x) \vee O(x))$ has straightforward induction proof in T_{EO} .

Independence result for literal induction

Definition

Let $T_{EO} = \{ 0 \neq s(x), s(x) = s(y) \rightarrow x = y, \\ E(0), E(x) \rightarrow O(s(x)), O(x) \rightarrow E(s(x)) \}$.

Observation

$\forall x (E(x) \vee O(x))$ has straightforward induction proof in T_{EO} .

Theorem

$T_{EO} + \text{Literal-IND} \not\vdash \forall x (E(x) \vee O(x))$.

Independence result for literal induction

Definition

Let $T_{EO} = \{ 0 \neq s(x), s(x) = s(y) \rightarrow x = y, \\ E(0), E(x) \rightarrow O(s(x)), O(x) \rightarrow E(s(x)) \}$.

Observation

$\forall x (E(x) \vee O(x))$ has straightforward induction proof in T_{EO} .

Theorem

$T_{EO} + \text{Literal-IND} \not\vdash \forall x (E(x) \vee O(x))$.

Proof Sketch.

Model \mathcal{M} with domain $(\{0\} \times \mathbb{N}) \cup (\{1\} \times \mathbb{Z})$ and

$$\begin{array}{ll} 0^{\mathcal{M}} = (0, 0) & E^{\mathcal{M}} = \{(0, n) \mid n \text{ is even}\} \\ s^{\mathcal{M}}(b, n) = (b, n + 1) & O^{\mathcal{M}} = \{(0, n) \mid n \text{ is odd}\} \end{array} \quad \square$$

Outline

- 1 Straightforward induction proofs
- 2 Equational theory exploration
- 3 Atomic induction
- 4 Literal induction
- 5 Saturation theorem proving with explicit induction axioms**
- 6 Open induction
- 7 Clause set cycles
- 8 Existential induction
- 9 Conclusion

Standard setting for automated theorem proving in first-order logic.

Standard setting for automated theorem proving in first-order logic.

Definition

A *clause* is a formula $\bigvee_{j=1}^k L_j$ where L_j literal. A *conjunctive normal form* is a formula $\forall \bar{x} \bigwedge_{i=1}^n \bigvee_{j=1}^{k_i} L_{i,j}$ where $L_{i,j}$ literal.

We identify a clause set with a conjunctive normal form.

Standard setting for automated theorem proving in first-order logic.

Definition

A *clause* is a formula $\bigvee_{j=1}^k L_j$ where L_j literal. A *conjunctive normal form* is a formula $\forall \bar{x} \bigwedge_{i=1}^n \bigvee_{j=1}^{k_i} L_{i,j}$ where $L_{i,j}$ literal.

We identify a clause set with a conjunctive normal form.

Definition

Clause form transformation: given a FOL formula φ we compute

$$\neg\varphi \mapsto \text{sk}^\exists(\neg\varphi) \mapsto \text{CNF}(\text{sk}^\exists(\neg\varphi)).$$

Then φ is valid iff $\text{CNF}(\text{sk}^\exists(\neg\varphi))$ is unsatisfiable.

Idea: $\forall x \exists y \varphi(x, y) \mapsto \forall x \varphi(x, f(x))$ where f new function symbol

Skolemisation

Idea: $\forall x \exists y \varphi(x, y) \mapsto \forall x \varphi(x, f(x))$ where f new function symbol

Definition

The *Skolem axiom* for $\varphi(\bar{x}, y)$ is $\forall \bar{x} (\exists y \varphi(\bar{x}, y) \rightarrow \varphi(\bar{x}, f(\bar{x})))$.

Skolemisation

Idea: $\forall x \exists y \varphi(x, y) \mapsto \forall x \varphi(x, f(x))$ where f new function symbol

Definition

The *Skolem axiom* for $\varphi(\bar{x}, y)$ is $\forall \bar{x} (\exists y \varphi(\bar{x}, y) \rightarrow \varphi(\bar{x}, f(\bar{x})))$.

Definition

Skolem closure of a language L is $sk^\omega(L)$.

Skolemisation

Idea: $\forall x \exists y \varphi(x, y) \mapsto \forall x \varphi(x, f(x))$ where f new function symbol

Definition

The *Skolem axiom* for $\varphi(\bar{x}, y)$ is $\forall \bar{x} (\exists y \varphi(\bar{x}, y) \rightarrow \varphi(\bar{x}, f(\bar{x})))$.

Definition

Skolem closure of a language L is $sk^\omega(L)$.

Definition

$sk^\exists(\varphi)$ is the formula φ after removal of all (positive) existential (and negative universal) quantifiers by Skolemisation.

Skolemisation

Idea: $\forall x \exists y \varphi(x, y) \mapsto \forall x \varphi(x, f(x))$ where f new function symbol

Definition

The *Skolem axiom* for $\varphi(\bar{x}, y)$ is $\forall \bar{x} (\exists y \varphi(\bar{x}, y) \rightarrow \varphi(\bar{x}, f(\bar{x})))$.

Definition

Skolem closure of a language L is $sk^\omega(L)$.

Definition

$sk^\exists(\varphi)$ is the formula φ after removal of all (positive) existential (and negative universal) quantifiers by Skolemisation.

Theorem

$sk^\omega(L)\text{-SA} \vdash \varphi \leftrightarrow sk^\exists(\varphi)$.

Saturation theorem proving

Standard technique for automated theorem proving in FOL

Saturation theorem proving

Standard technique for automated theorem proving in FOL

Definition

Saturation system \mathcal{S} is a set of rules for deriving new clauses from the current clause set.

Saturation theorem proving

Standard technique for automated theorem proving in FOL

Definition

Saturation system \mathcal{S} is a set of rules for deriving new clauses from the current clause set.

Example

The *resolution rule* is

$$\frac{C \vee L \quad L' \vee D}{(C \vee D)\sigma}$$

where σ is most general unifier of L and \bar{L}' .

Saturation theorem proving

Standard technique for automated theorem proving in FOL

Definition

Saturation system \mathcal{S} is a set of rules for deriving new clauses from the current clause set.

Example

The *resolution rule* is

$$\frac{C \vee L \quad L' \vee D}{(C \vee D)\sigma}$$

where σ is most general unifier of L and $\overline{L'}$.

Example

$$\frac{P(a) \quad \neg P(x) \vee P(f(x))}{P(f(a))}$$

Definition

Clause set \mathcal{C} *closed* under \mathcal{S} if for all n -ary rules $\rho \in \mathcal{S}$:

$$C_1, \dots, C_n \in \mathcal{C} \text{ implies } \rho(C_1, \dots, C_n) \in \mathcal{C}$$

Definition

Clause set \mathcal{C} *closed* under \mathcal{S} if for all n -ary rules $\rho \in \mathcal{S}$:

$$C_1, \dots, C_n \in \mathcal{C} \text{ implies } \rho(C_1, \dots, C_n) \in \mathcal{C}$$

Given \mathcal{C} , compute closure by $\mathcal{C}^0 = \mathcal{C}, \mathcal{C}^1, \mathcal{C}^2, \dots \rightarrow \mathcal{C}^\omega$.

Soundness and refutational completeness

Definition

Clause set \mathcal{C} *closed* under \mathcal{S} if for all n -ary rules $\rho \in \mathcal{S}$:

$$C_1, \dots, C_n \in \mathcal{C} \text{ implies } \rho(C_1, \dots, C_n) \in \mathcal{C}$$

Given \mathcal{C} , compute closure by $\mathcal{C}^0 = \mathcal{C}, \mathcal{C}^1, \mathcal{C}^2, \dots \rightarrow \mathcal{C}^\omega$.

Definition

\mathcal{S} *sound* if $C \in \mathcal{C}^\omega$ implies $\mathcal{C} \models C$

Soundness and refutational completeness

Definition

Clause set \mathcal{C} *closed* under \mathcal{S} if for all n -ary rules $\rho \in \mathcal{S}$:

$$C_1, \dots, C_n \in \mathcal{C} \text{ implies } \rho(C_1, \dots, C_n) \in \mathcal{C}$$

Given \mathcal{C} , compute closure by $\mathcal{C}^0 = \mathcal{C}, \mathcal{C}^1, \mathcal{C}^2, \dots \rightarrow \mathcal{C}^\omega$.

Definition

\mathcal{S} *sound* if $\mathcal{C} \in \mathcal{C}^\omega$ implies $\mathcal{C} \models \mathcal{C}$

Definition

\mathcal{S} *refutationally complete* if $\mathcal{C} \models \perp$ implies $\perp \in \mathcal{C}^\omega$

Soundness and refutational completeness

Definition

Clause set \mathcal{C} *closed* under \mathcal{S} if for all n -ary rules $\rho \in \mathcal{S}$:

$$C_1, \dots, C_n \in \mathcal{C} \text{ implies } \rho(C_1, \dots, C_n) \in \mathcal{C}$$

Given \mathcal{C} , compute closure by $\mathcal{C}^0 = \mathcal{C}, \mathcal{C}^1, \mathcal{C}^2, \dots \rightarrow \mathcal{C}^\omega$.

Definition

\mathcal{S} *sound* if $\mathcal{C} \in \mathcal{C}^\omega$ implies $\mathcal{C} \models \mathcal{C}$

Definition

\mathcal{S} *refutationally complete* if $\mathcal{C} \models \perp$ implies $\perp \in \mathcal{C}^\omega$

Sound and refutationally complete saturation systems for ATP in FOL.

Definition

The general induction rule is

$$\overline{\text{CNF}(\text{sk}^{\exists}(I_x \varphi(x, \bar{z})))}$$

Adding explicit induction axioms

Definition

The general induction rule is

$$\overline{\text{CNF}(\text{sk}^{\exists}(I_x \varphi(x, \bar{z})))}$$

Example

$$\forall \bar{z} (\varphi(0, \bar{z}) \wedge \forall x (\varphi(x, \bar{z}) \rightarrow \varphi(s(x), \bar{z})) \rightarrow \forall x \varphi(x, \bar{z}))$$

is mapped by sk^{\exists} to:

$$\forall \bar{z} (\text{sk}^{\forall}(\varphi(0, \bar{z})) \wedge (\text{sk}^{\exists}(\varphi(f(\bar{z}), \bar{z})) \rightarrow \text{sk}^{\forall}(\varphi(s(f(\bar{z})), \bar{z}))) \rightarrow \forall x \text{sk}^{\exists}(\varphi(x, \bar{z})))$$

Adding explicit induction axioms

Definition

The general induction rule is

$$\overline{\text{CNF}(\text{sk}^{\exists}(I_x \varphi(x, \bar{z})))}$$

Example

$$\forall \bar{z} (\varphi(0, \bar{z}) \wedge \forall x (\varphi(x, \bar{z}) \rightarrow \varphi(s(x), \bar{z})) \rightarrow \forall x \varphi(x, \bar{z}))$$

is mapped by sk^{\exists} to:

$$\forall \bar{z} (\text{sk}^{\forall}(\varphi(0, \bar{z})) \wedge (\text{sk}^{\exists}(\varphi(f(\bar{z}), \bar{z})) \rightarrow \text{sk}^{\forall}(\varphi(s(f(\bar{z})), \bar{z}))) \rightarrow \forall x \text{sk}^{\exists}(\varphi(x, \bar{z})))$$

Remark

The general induction rule adds new (Skolem) symbols to the language.

Adding explicit induction axioms

Definition

The general induction rule is

$$\overline{\text{CNF}(\text{sk}^{\exists}(I_x \varphi(x, \bar{z})))}$$

Example

$$\forall \bar{z} (\varphi(0, \bar{z}) \wedge \forall x (\varphi(x, \bar{z}) \rightarrow \varphi(s(x), \bar{z})) \rightarrow \forall x \varphi(x, \bar{z}))$$

is mapped by sk^{\exists} to:

$$\forall \bar{z} (\text{sk}^{\forall}(\varphi(0, \bar{z})) \wedge (\text{sk}^{\exists}(\varphi(f(\bar{z}), \bar{z})) \rightarrow \text{sk}^{\forall}(\varphi(s(f(\bar{z})), \bar{z}))) \rightarrow \forall x \text{sk}^{\exists}(\varphi(x, \bar{z})))$$

Remark

The general induction rule adds new (Skolem) symbols to the language. This is iterated.

Adding explicit induction axioms

Definition

The general induction rule is

$$\overline{\text{CNF}(\text{sk}^{\exists}(I_x \varphi(x, \bar{z})))}$$

Example

$$\forall \bar{z} (\varphi(0, \bar{z}) \wedge \forall x (\varphi(x, \bar{z}) \rightarrow \varphi(s(x), \bar{z})) \rightarrow \forall x \varphi(x, \bar{z}))$$

is mapped by sk^{\exists} to:

$$\forall \bar{z} (\text{sk}^{\forall}(\varphi(0, \bar{z})) \wedge (\text{sk}^{\exists}(\varphi(f(\bar{z}), \bar{z})) \rightarrow \text{sk}^{\forall}(\varphi(s(f(\bar{z})), \bar{z}))) \rightarrow \forall x \text{sk}^{\exists}(\varphi(x, \bar{z})))$$

Remark

The general induction rule adds new (Skolem) symbols to the language. This is iterated. Difficult to describe in terms of the original language.

Definition

Vampire prover [Voronkov et al. '20]: single clause induction

$$\frac{\overline{L(a)} \vee C}{\text{CNF}(\text{sk}^{\exists}(I_x L(x)))} \text{ SCIND}$$

a a constant symbol, $L(x)$ literal, x only variable in $L(x)$

Concrete realisation: Vampire

Definition

Vampire prover [Voronkov et al. '20]: single clause induction

$$\frac{\overline{L(a)} \vee C}{\text{CNF}(\text{sk}^{\exists}(I_x L(x)))} \text{ SCIND}$$

a constant symbol, $L(x)$ literal, x only variable in $L(x)$

Example

$\{x + 0 = 0, x + s(y) = s(x + y), c + (c + c) \neq (c + c) + c\}$ solved by $\mathcal{S} + \text{SCIND}$. Includes generalisation!

Concrete realisation: Vampire

Definition

Vampire prover [Voronkov et al. '20]: single clause induction

$$\frac{\overline{L(a)} \vee C}{\text{CNF}(\text{sk}^{\exists}(I_x L(x)))} \text{ SCIND}$$

a a constant symbol, $L(x)$ literal, x only variable in $L(x)$

Example

$\{x + 0 = 0, x + s(y) = s(x + y), c + (c + c) \neq (c + c) + c\}$ solved by $\mathcal{S} + \text{SCIND}$. Includes generalisation!

$$I_x L(x) \equiv L(0) \wedge \forall x (L(x) \rightarrow L(s(x))) \rightarrow \forall x L(x)$$
$$\text{sk}^{\exists}(I_x L(x)) \equiv L(0) \wedge (L(c) \rightarrow L(s(c))) \rightarrow \forall x L(x)$$

Concrete realisation: Vampire

Definition

Vampire prover [Voronkov et al. '20]: single clause induction

$$\frac{\overline{L(a)} \vee C}{\text{CNF}(\text{sk}^{\exists}(I_x L(x)))} \text{ SCIND}$$

a a constant symbol, $L(x)$ literal, x only variable in $L(x)$

Example

$\{x + 0 = 0, x + s(y) = s(x + y), c + (c + c) \neq (c + c) + c\}$ solved by $\mathcal{S} + \text{SCIND}$. Includes generalisation!

$$I_x L(x) \equiv L(0) \wedge \forall x (L(x) \rightarrow L(s(x))) \rightarrow \forall x L(x)$$
$$\text{sk}^{\exists}(I_x L(x)) \equiv L(0) \wedge (L(c) \rightarrow L(s(c))) \rightarrow \forall x L(x)$$

Does not leave “ground induction”.

Characterisation (1/2)

Definition

Φ set of formulas. The *ground induction rule* is

$$\frac{C_1 \quad \dots \quad C_n}{\text{CNF}(\text{sk}^{\exists}(I_x \varphi(x, \bar{t})))} \quad \Phi\text{-GIND}$$

where $\varphi(x, \bar{z}) \in \Phi$, \bar{t} ground $L(\{C_1, \dots, C_n\})$ terms

Characterisation (1/2)

Definition

Φ set of formulas. The *ground induction rule* is

$$\frac{C_1 \quad \dots \quad C_n}{\text{CNF}(\text{sk}^\exists(I_x \varphi(x, \bar{t})))} \Phi\text{-GIND}$$

where $\varphi(x, \bar{z}) \in \Phi$, \bar{t} ground $L(\{C_1, \dots, C_n\})$ terms

Lemma

S sound saturation system, T theory, Φ set of formulas. If $S + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^\exists(T))$, then $\text{sk}^\omega(L(T) \cup L(\Phi) \cup \{0, s\})\text{-SA} + T + \Phi\text{-IND}$ is inconsistent.

Characterisation (1/2)

Definition

Φ set of formulas. The *ground induction rule* is

$$\frac{C_1 \quad \dots \quad C_n}{\text{CNF}(\text{sk}^\exists(I_x \varphi(x, \bar{t})))} \Phi\text{-GIND}$$

where $\varphi(x, \bar{z}) \in \Phi$, \bar{t} ground $L(\{C_1, \dots, C_n\})$ terms

Lemma

\mathcal{S} sound saturation system, T theory, Φ set of formulas. If $\mathcal{S} + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^\exists(T))$, then $\text{sk}^\omega(L(T) \cup L(\Phi) \cup \{0, s\})\text{-SA} + T + \Phi\text{-IND}$ is inconsistent.

Proof Sketch.

Translate $\mathcal{S} + \Phi\text{-GIND}$ refutation line by line. □

Characterisation (1/2)

Definition

Φ set of formulas. The *ground induction rule* is

$$\frac{C_1 \quad \dots \quad C_n}{\text{CNF}(\text{sk}^\exists(I_x \varphi(x, \bar{t})))} \Phi\text{-GIND}$$

where $\varphi(x, \bar{z}) \in \Phi$, \bar{t} ground $L(\{C_1, \dots, C_n\})$ terms

Lemma

S sound saturation system, T theory, Φ set of formulas. If $S + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^\exists(T))$, then $\text{sk}^\omega(L(T) \cup L(\Phi) \cup \{0, s\})\text{-SA} + T + \Phi\text{-IND}$ is inconsistent.

Corollary

S sound saturation system, T Skolem-free theory, Φ set of formulas, Ψ Skolem-free set of formulas with $\Phi\text{-IND} \Leftrightarrow \Psi\text{-IND}$. If $S + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^\exists(T))$ then $T + \Psi\text{-IND}$ is inconsistent.

Characterisation (2/2)

Lemma.

\mathcal{S} sound saturation system, T Skolem-free theory, Φ set of formulas, Ψ Skolem-free set of formulas with $\Phi\text{-IND} \Leftrightarrow \Psi\text{-IND}$. If $\mathcal{S} + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$ then $T + \Psi\text{-IND}$ is inconsistent.

Characterisation (2/2)

Lemma.

\mathcal{S} sound saturation system, T Skolem-free theory, Φ set of formulas, Ψ Skolem-free set of formulas with $\Phi\text{-IND} \Leftrightarrow \Psi\text{-IND}$. If $\mathcal{S} + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^\exists(T))$ then $T + \Psi\text{-IND}$ is inconsistent.

Theorem

\mathcal{S} sound saturation system, T Skolem-free \exists_2 theory. If $\mathcal{S} + \text{SCIND}$ refutes $\text{CNF}(\text{sk}^\exists(T))$ then $T + \text{Literal-IND}$ is inconsistent.

Characterisation (2/2)

Lemma.

\mathcal{S} sound saturation system, T Skolem-free theory, Φ set of formulas, Ψ Skolem-free set of formulas with $\Phi\text{-IND} \Leftrightarrow \Psi\text{-IND}$. If $\mathcal{S} + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$ then $T + \Psi\text{-IND}$ is inconsistent.

Theorem

\mathcal{S} sound saturation system, T Skolem-free \exists_2 theory. If $\mathcal{S} + \text{SCIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$ then $T + \text{Literal-IND}$ is inconsistent.

Proof.

$\mathcal{S} + \text{Literal}(\text{L}(\text{sk}^{\exists}(T)))\text{-GIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$.

Characterisation (2/2)

Lemma.

\mathcal{S} sound saturation system, T Skolem-free theory, Φ set of formulas, Ψ Skolem-free set of formulas with $\Phi\text{-IND} \Leftrightarrow \Psi\text{-IND}$. If $\mathcal{S} + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$ then $T + \Psi\text{-IND}$ is inconsistent.

Theorem

\mathcal{S} sound saturation system, T Skolem-free \exists_2 theory. If $\mathcal{S} + \text{SCIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$ then $T + \text{Literal-IND}$ is inconsistent.

Proof.

$\mathcal{S} + \text{Literal}(\text{L}(\text{sk}^{\exists}(T)))\text{-GIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$.

$\text{L}(\text{sk}^{\exists}(T)) = \text{L}(T) \cup \Sigma$ with Σ constants

Characterisation (2/2)

Lemma.

\mathcal{S} sound saturation system, T Skolem-free theory, Φ set of formulas, Ψ Skolem-free set of formulas with $\Phi\text{-IND} \Leftrightarrow \Psi\text{-IND}$. If $\mathcal{S} + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$ then $T + \Psi\text{-IND}$ is inconsistent.

Theorem

\mathcal{S} sound saturation system, T Skolem-free \exists_2 theory. If $\mathcal{S} + \text{SCIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$ then $T + \text{Literal-IND}$ is inconsistent.

Proof.

$\mathcal{S} + \text{Literal}(\text{L}(\text{sk}^{\exists}(T)))\text{-GIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$.

$\text{L}(\text{sk}^{\exists}(T)) = \text{L}(T) \cup \Sigma$ with Σ constants, so

$\text{Literal}(\text{L}(T))\text{-IND} \Leftrightarrow \text{Literal}(\text{L}(\text{sk}^{\exists}(T)))\text{-IND}$.

Characterisation (2/2)

Lemma.

\mathcal{S} sound saturation system, T Skolem-free theory, Φ set of formulas, Ψ Skolem-free set of formulas with $\Phi\text{-IND} \Leftrightarrow \Psi\text{-IND}$. If $\mathcal{S} + \Phi\text{-GIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$ then $T + \Psi\text{-IND}$ is inconsistent.

Theorem

\mathcal{S} sound saturation system, T Skolem-free \exists_2 theory. If $\mathcal{S} + \text{SCIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$ then $T + \text{Literal-IND}$ is inconsistent.

Proof.

$\mathcal{S} + \text{Literal}(\text{L}(\text{sk}^{\exists}(T)))\text{-GIND}$ refutes $\text{CNF}(\text{sk}^{\exists}(T))$.

$\text{L}(\text{sk}^{\exists}(T)) = \text{L}(T) \cup \Sigma$ with Σ constants, so

$\text{Literal}(\text{L}(T))\text{-IND} \Leftrightarrow \text{Literal}(\text{L}(\text{sk}^{\exists}(T)))\text{-IND}$.

So, by Lemma, $T + \text{Literal}(\text{L}(T))\text{-IND}$ is inconsistent. □

Independence result for single clause induction

Theorem. $T_{EO} + \text{Literal-IND} \not\vdash \forall x (E(x) \vee O(x))$.

Independence result for single clause induction

Theorem. $T_{EO} + \text{Literal-IND} \not\vdash \forall x (E(x) \vee O(x))$.

Theorem. \mathcal{S} sound saturation system, T Skolem-free \exists_2 theory. If $\mathcal{S} + \text{SCIND}$ refutes $\text{CNF}(\text{sk}^\exists(T))$ then $T + \text{Literal-IND}$ is inconsistent.

Independence result for single clause induction

Theorem. $T_{EO} + \text{Literal-IND} \not\vdash \forall x (E(x) \vee O(x))$.

Theorem. \mathcal{S} sound saturation system, T Skolem-free \exists_2 theory. If $\mathcal{S} + \text{SCIND}$ refutes $\text{CNF}(\text{sk}^\exists(T))$ then $T + \text{Literal-IND}$ is inconsistent.

Theorem

\mathcal{S} sound saturation system. $\mathcal{S} + \text{SCIND}$ does not refute $\text{CNF}(\text{sk}^\exists(T_{EO} + \exists x (\neg E(x) \wedge \neg O(x))))$.

Independence result for single clause induction

Theorem. $T_{EO} + \text{Literal-IND} \not\vdash \forall x (E(x) \vee O(x))$.

Theorem. \mathcal{S} sound saturation system, T Skolem-free \exists_2 theory. If $\mathcal{S} + \text{SCIND}$ refutes $\text{CNF}(\text{sk}^\exists(T))$ then $T + \text{Literal-IND}$ is inconsistent.

Theorem

\mathcal{S} sound saturation system. $\mathcal{S} + \text{SCIND}$ does not refute $\text{CNF}(\text{sk}^\exists(T_{EO} + \exists x (\neg E(x) \wedge \neg O(x))))$.

Proof.

$T_{EO} + \exists x (\neg E(x) \wedge \neg O(x)) + \text{Literal-IND}$ is consistent. □

Outline

- 1 Straightforward induction proofs
- 2 Equational theory exploration
- 3 Atomic induction
- 4 Literal induction
- 5 Saturation theorem proving with explicit induction axioms
- 6 Open induction**
- 7 Clause set cycles
- 8 Existential induction
- 9 Conclusion

Open induction

Definition

A formula φ is called *open* if it does not contain quantifiers.

Definition

Open induction is Open-IND.

Open induction

Definition

A formula φ is called *open* if it does not contain quantifiers.

Definition

Open induction is Open-IND.

Theorem (Shoenfield '58)

Over the L_{LA} theory $B = \{s(x) \neq 0, p(0) = 0, p(s(x)) = x, x + 0 = x, x + s(y) = s(x + y)\}$, open induction (in L_{LA}) is equivalent to:

$$\begin{array}{ll} x + y = y + x & x = 0 \vee x = s(p(x)) \\ (x + y) + z = x + (y + z) & x + y = x + z \rightarrow y = z \end{array}$$

Theorem

$B + \text{Literal-IND} \Leftrightarrow B + \text{Open-IND}.$

Literal induction vs. open induction

Theorem

$B + \text{Literal-IND} \Leftrightarrow B + \text{Open-IND}.$

Proof.

Show finite axiomatisation of $B + \text{Open-IND}$ in $B + \text{Literal-IND}.$ □

Literal induction vs. open induction

Theorem

$B + \text{Literal-IND} \Leftrightarrow B + \text{Open-IND}.$

Proof.

Show finite axiomatisation of $B + \text{Open-IND}$ in $B + \text{Literal-IND}.$ □

Theorem (Weiser '24)

For T natural base theory in $L = \{0, s, p, +, \cdot\}:$

$T + \text{Literal-IND} \not\equiv T + \text{Open-IND}.$

Sequences with concatenation operation \frown

Sequences with concatenation operation \frown

Observation

Finite sequences have the properties:

- *left cancellation:* $X \frown Y = X \frown Z \rightarrow Y = Z$
- *right cancellation:* $Y \frown X = Z \frown X \rightarrow Y = Z$

List cancellation

Sequences with concatenation operation \frown

Observation

Finite sequences have the properties:

- *left cancellation: $X \frown Y = X \frown Z \rightarrow Y = Z$*
- *right cancellation: $Y \frown X = Z \frown X \rightarrow Y = Z$*

Observation

Infinite (ω -)sequences satisfy:

- *left cancellation*

but not

- *right cancellation, e.g. $a^\omega = (a) \frown a^\omega = \text{nil} \frown a^\omega$ but $(a) \neq \text{nil}$*

Definition

$\mathcal{L}_1 = \{\text{nil} : \text{list}, \text{cons} : \iota \times \text{list} \rightarrow \text{list}, \frown : \text{list} \times \text{list} \rightarrow \text{list}\}, T_1 =$

$$\text{nil} \neq \text{cons}(x, X)$$

$$\text{cons}(x, X) = \text{cons}(y, Y) \rightarrow x = y \wedge X = Y$$

$$\text{nil} \frown Y = Y$$

$$\text{cons}(x, X) \frown Y = \text{cons}(x, X \frown Y)$$

Transfinite sequences

Definition

A sequence of length α is mapping from α to X where α ordinal (in this talk: $\alpha < \omega^3$), X any set.

Definition

Flattening $\lfloor I \rfloor$ of a sequence of sequences, e.g.

$$\lfloor ((1\ 2\ 3\ \dots)(2\ 3\ 5\ \dots)) \rfloor = (1\ 2\ 3\ \dots\ 2\ 3\ 5\ \dots)$$

Definition

For $a \in X^\alpha$ write a^β for $\lfloor (a)_{\gamma < \beta} \rfloor$, i.e., β times the sequence a .

Unprovability of right cancellation

Theorem (H, Vierling '24)

$$T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = Z \frown X \rightarrow Y = Z$$

Proof.

It suffices to show that $T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = X \rightarrow Y = \text{nil}$.

Unprovability of right cancellation

Theorem (H, Vierling '24)

$$T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = Z \frown X \rightarrow Y = Z$$

Proof.

It suffices to show that $T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = X \rightarrow Y = \text{nil}$.

Define $N_k = (k, k + 1, k + 2, \dots)$ infinite $(\omega-)$ sequence,

Unprovability of right cancellation

Theorem (H, Vierling '24)

$$T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = Z \frown X \rightarrow Y = Z$$

Proof.

It suffices to show that $T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = X \rightarrow Y = \text{nil}$.

Define $N_k = (k, k + 1, k + 2, \dots)$ infinite $(\omega-)$ sequence,

$\mathcal{N} = \{w \frown N_k \mid w \in \mathbb{N}^*, k \in \mathbb{N}\}$, decomposition unique, and

Unprovability of right cancellation

Theorem (H, Vierling '24)

$$T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = Z \frown X \rightarrow Y = Z$$

Proof.

It suffices to show that $T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = X \rightarrow Y = \text{nil}$.

Define $N_k = (k, k + 1, k + 2, \dots)$ infinite $(\omega-)$ sequence,

$\mathcal{N} = \{w \frown N_k \mid w \in \mathbb{N}^*, k \in \mathbb{N}\}$, decomposition unique, and

$\mathfrak{L} = \{[\mathfrak{l}] \frown w \mid w \in \mathbb{N}^*, \mathfrak{l} \in \mathcal{N}^\beta, \beta < \omega^2\}$.

Unprovability of right cancellation

Theorem (H, Vierling '24)

$$T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = Z \frown X \rightarrow Y = Z$$

Proof.

It suffices to show that $T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = X \rightarrow Y = \text{nil}$.

Define $N_k = (k, k + 1, k + 2, \dots)$ infinite $(\omega-)$ sequence,

$\mathcal{N} = \{w \frown N_k \mid w \in \mathbb{N}^*, k \in \mathbb{N}\}$, decomposition unique, and

$\mathfrak{L} = \{[\mathfrak{l}] \frown w \mid w \in \mathbb{N}^*, \mathfrak{l} \in \mathcal{N}^\beta, \beta < \omega^2\}$.

Define \mathcal{L}_1 -structure M_2 by $M_2(\text{list}) = \mathfrak{L}$ with nil^{M_2} , cons^{M_2} , \frown^{M_2} having natural interpretation

Unprovability of right cancellation

Theorem (H, Vierling '24)

$$T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = Z \frown X \rightarrow Y = Z$$

Proof.

It suffices to show that $T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = X \rightarrow Y = \text{nil}$.

Define $N_k = (k, k+1, k+2, \dots)$ infinite $(\omega-)$ sequence,

$\mathcal{N} = \{w \frown N_k \mid w \in \mathbb{N}^*, k \in \mathbb{N}\}$, decomposition unique, and

$\mathfrak{L} = \{[\mathfrak{l}] \frown w \mid w \in \mathbb{N}^*, \mathfrak{l} \in \mathcal{N}^\beta, \beta < \omega^2\}$.

Define \mathcal{L}_1 -structure M_2 by $M_2(\text{list}) = \mathfrak{L}$ with nil^{M_2} , cons^{M_2} , \frown^{M_2} having natural interpretation

Then $M_2 \models T_1 + \text{Open}(\mathcal{L}_1)\text{-IND}$ but

$$M_2 \not\models Y \frown X = X \rightarrow Y = \text{nil}$$

Unprovability of right cancellation

Theorem (H, Vierling '24)

$$T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = Z \frown X \rightarrow Y = Z$$

Proof.

It suffices to show that $T_1 + \text{Open}(\mathcal{L}_1)\text{-IND} \not\vdash Y \frown X = X \rightarrow Y = \text{nil}$.

Define $N_k = (k, k + 1, k + 2, \dots)$ infinite $(\omega-)$ sequence,

$\mathcal{N} = \{w \frown N_k \mid w \in \mathbb{N}^*, k \in \mathbb{N}\}$, decomposition unique, and

$\mathfrak{L} = \{ \lfloor \! \! \lfloor \! \! \mid w \in \mathbb{N}^*, \! \! \rfloor \in \mathcal{N}^\beta, \beta < \omega^2 \}$.

Define \mathcal{L}_1 -structure M_2 by $M_2(\text{list}) = \mathfrak{L}$ with nil^{M_2} , cons^{M_2} , \frown^{M_2} having natural interpretation

Then $M_2 \models T_1 + \text{Open}(\mathcal{L}_1)\text{-IND}$ but

$$M_2 \not\models Y \frown X = X \rightarrow Y = \text{nil}$$

Counterexample: $N_0 \in \mathfrak{L}$, $N_0^\omega = \lfloor (N_0)_{\alpha < \omega} \rfloor \in \mathfrak{L}$,

$$N_0 \frown N_0^\omega = N_0^\omega \text{ but } N_0 \neq \text{nil}. \quad \square$$

Outline

- 1 Straightforward induction proofs
- 2 Equational theory exploration
- 3 Atomic induction
- 4 Literal induction
- 5 Saturation theorem proving with explicit induction axioms
- 6 Open induction
- 7 Clause set cycles**
- 8 Existential induction
- 9 Conclusion

Abstraction of n -clause calculus [Kersani, Peltier '13; Kersani '14]

Abstraction of n -clause calculus [Kersani, Peltier '13; Kersani '14]

Definition

An $L \cup \{\eta\}$ clause set \mathcal{C} is a *clause set cycle (CSC)* if $\mathcal{C}(s(\eta)) \models \mathcal{C}(\eta)$ and $\mathcal{C}(0) \models \perp$. An $L \cup \{\eta\}$ clause set $\mathcal{D}(\eta)$ is refuted by a CSC $\mathcal{C}(\eta)$ if $\mathcal{D}(\eta) \models \mathcal{C}(\eta)$.

Abstraction of n -clause calculus [Kersani, Peltier '13; Kersani '14]

Definition

An $L \cup \{\eta\}$ clause set \mathcal{C} is a *clause set cycle (CSC)* if $\mathcal{C}(s(\eta)) \models \mathcal{C}(\eta)$ and $\mathcal{C}(0) \models \perp$. An $L \cup \{\eta\}$ clause set $\mathcal{D}(\eta)$ is refuted by a CSC $\mathcal{C}(\eta)$ if $\mathcal{D}(\eta) \models \mathcal{C}(\eta)$.

Many equivalent variants.

Abstraction of n -clause calculus [Kersani, Peltier '13; Kersani '14]

Definition

An $L \cup \{\eta\}$ clause set \mathcal{C} is a *clause set cycle (CSC)* if $\mathcal{C}(s(\eta)) \models \mathcal{C}(\eta)$ and $\mathcal{C}(0) \models \perp$. An $L \cup \{\eta\}$ clause set $\mathcal{D}(\eta)$ is refuted by a CSC $\mathcal{C}(\eta)$ if $\mathcal{D}(\eta) \models \mathcal{C}(\eta)$.

Many equivalent variants.

Example

CSC solves Even/Odd example.

Definition

Γ set of formulas, define

$$\frac{\varphi(0) \quad \varphi(x) \rightarrow \varphi(s(x))}{\varphi(\eta)} \Gamma\text{-IND}_{\eta}^{\text{R-}}$$

where $\varphi(x) \in \Gamma$.

Logical Characterisation

Definition

Γ set of formulas, define

$$\frac{\varphi(0) \quad \varphi(x) \rightarrow \varphi(s(x))}{\varphi(\eta)} \Gamma\text{-IND}_{\eta}^{R-}$$

where $\varphi(x) \in \Gamma$.

Definition

T theory, R inference rule, define $[T, R] = T + \{\varphi \mid T \vdash \Gamma, \Gamma/\varphi \in R\}$.

Logical Characterisation

Definition

Γ set of formulas, define

$$\frac{\varphi(0) \quad \varphi(x) \rightarrow \varphi(s(x))}{\varphi(\eta)} \Gamma\text{-IND}_{\eta}^{R-}$$

where $\varphi(x) \in \Gamma$.

Definition

T theory, R inference rule, define $[T, R] = T + \{\varphi \mid T \vdash \Gamma, \Gamma/\varphi \in R\}$.

Theorem

\mathcal{D} is refuted by a CSC iff $\mathcal{D} + [\emptyset, \exists_1\text{-IND}_{\eta}^{R-}] \vdash \perp$.

Logical Characterisation

Definition

Γ set of formulas, define

$$\frac{\varphi(0) \quad \varphi(x) \rightarrow \varphi(s(x))}{\varphi(\eta)} \Gamma\text{-IND}_{\eta}^{R-}$$

where $\varphi(x) \in \Gamma$.

Definition

T theory, R inference rule, define $[T, R] = T + \{\varphi \mid T \vdash \Gamma, \Gamma/\varphi \in R\}$.

Theorem

\mathcal{D} is refuted by a CSC iff $\mathcal{D} + [\emptyset, \exists_1\text{-IND}_{\eta}^{R-}] \vdash \perp$.

Proof Sketch.

Induction on clause set (\forall_1) in refutation becomes \exists_1 induction. □

Outline

- 1 Straightforward induction proofs
- 2 Equational theory exploration
- 3 Atomic induction
- 4 Literal induction
- 5 Saturation theorem proving with explicit induction axioms
- 6 Open induction
- 7 Clause set cycles
- 8 Existential induction**
- 9 Conclusion

Unprovability result

Definition

Define the L_{LA} theory $T = B \cup \{x + y = y + x, x + (y + z) = (x + y) + z\}$.

Definition

Let $k, n, m \in \mathbb{N}$ with $0 < n < m$, define $E_{k,n,m}$ as:

$$n \cdot x + \overline{(m - n)k} = m \cdot x \rightarrow x = \bar{k}.$$

For example, $E_{0,1,2}$ is $x + 0 = x + x \rightarrow x = 0$.

Theorem (H, Vierling '22)

$T + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}$

Corollary

$\mathcal{E}_{k,n,m}(\eta)$ is not refuted by an L_{LA} clause set cycle.

Unprovability result: proof

Theorem (H, Vierling '22)

$$\mathcal{T} + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Unprovability result: proof

Theorem (H, Vierling '22)

$$T + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Proof.

Countermodel \mathcal{M} , domain $\{(i, n) \in \mathbb{N} \times \mathbb{Z} \mid i = 0 \text{ implies } n \in \mathbb{N}\}$

$$0^{\mathcal{M}} = (0, 0)$$

$$p^{\mathcal{M}}((0, n)) = (0, n \dot{-} 1)$$

$$s^{\mathcal{M}}(i, n) = (i, n + 1)$$

$$p^{\mathcal{M}}((i, n)) = (i, n - 1) \text{ if } i > 0$$

$$(i, n) +^{\mathcal{M}} (j, m) = (\max(i, j), n + m)$$



Unprovability result: proof

Theorem (H, Vierling '22)

$$\mathcal{T} + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Proof.

Claim: $\mathcal{M} \not\models E_{k,n,m}$.

We have

$$n \cdot (1, k) +^{\mathcal{M}} \overline{(m-n)k}^{\mathcal{M}} = (1, nk) +^{\mathcal{M}} (0, (m-n)k) = (1, mk) = m \cdot (1, k)$$

but

$$(1, k) \neq (0, k).$$



Unprovability result: proof

Theorem (H, Vierling '22)

$$T + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Proof.

Claim: $\mathcal{M} \models T$.



Unprovability result: proof

Theorem (H, Vierling '22)

$$\mathcal{T} + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Proof.

Claim: $\mathcal{M} \models \exists_1\text{-IND}^-$.



Unprovability result: proof

Theorem (H, Vierling '22)

$$\mathcal{T} + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Proof.

Claim: $\mathcal{M} \models \exists_1\text{-IND}^-$.

Definition. Component $\exists \vec{x} (L_1 \wedge \dots \wedge L_n)$



Unprovability result: proof

Theorem (H, Vierling '22)

$$\mathcal{T} + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \overline{k}$$

Proof.

Claim: $\mathcal{M} \models \exists_1\text{-IND}^-$.

Definition. Component $\exists \vec{x} (L_1 \wedge \dots \wedge L_n)$

Lemma. If $\varphi(x)$ is \exists_1 then $\exists N \in \mathbb{N}, 0, p$ -free components χ_1, \dots, χ_l s.t.
 $\mathcal{M} \models \varphi(s^N(x)) \leftrightarrow \bigvee_{i=1}^l \chi_i(x)$.



Unprovability result: proof

Theorem (H, Vierling '22)

$$T + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Proof.

Claim: $\mathcal{M} \models \exists_1\text{-IND}^-$.

Definition. Component $\exists \vec{x} (L_1 \wedge \dots \wedge L_n)$

Lemma. If $\varphi(x)$ is \exists_1 then $\exists N \in \mathbb{N}, 0, p$ -free components χ_1, \dots, χ_l s.t. $\mathcal{M} \models \varphi(s^N(x)) \leftrightarrow \bigvee_{i=1}^l \chi_i(x)$.

Lemma. If $0, p$ -free component $\chi(x)$ has two solutions in \mathbb{N} then \exists arith. prog. $P \subseteq \mathbb{Z}$ s.t. $\mathcal{M} \models \chi(i, p)$ for all $i \geq 1, p \in P$.



Unprovability result: proof

Theorem (H, Vierling '22)

$T + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}$, i.e., $n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$

Proof.

Claim: $\mathcal{M} \models \exists_1\text{-IND}^-$.

Definition. Component $\exists \vec{x}(L_1 \wedge \dots \wedge L_n)$

Lemma. If $\varphi(x)$ is \exists_1 then $\exists N \in \mathbb{N}$, $0, p$ -free components χ_1, \dots, χ_l s.t. $\mathcal{M} \models \varphi(s^N(x)) \leftrightarrow \bigvee_{i=1}^l \chi_i(x)$.

Lemma. If $0, p$ -free component $\chi(x)$ has two solutions in \mathbb{N} then \exists arith. prog. $P \subseteq \mathbb{Z}$ s.t. $\mathcal{M} \models \chi(i, p)$ for all $i \geq 1, p \in P$.

Assume $\mathcal{M} \models \varphi(0)$ and $\mathcal{M} \models \varphi(x) \rightarrow \varphi(s(x))$. Then $\mathcal{M} \models \varphi((0, n))$.



Unprovability result: proof

Theorem (H, Vierling '22)

$$T + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Proof.

Claim: $\mathcal{M} \models \exists_1\text{-IND}^-$.

Definition. Component $\exists \vec{x}(L_1 \wedge \dots \wedge L_n)$

Lemma. If $\varphi(x)$ is \exists_1 then $\exists N \in \mathbb{N}, 0, p$ -free components χ_1, \dots, χ_l s.t. $\mathcal{M} \models \varphi(s^N(x)) \leftrightarrow \bigvee_{i=1}^l \chi_i(x)$.

Lemma. If $0, p$ -free component $\chi(x)$ has two solutions in \mathbb{N} then \exists arith. prog. $P \subseteq \mathbb{Z}$ s.t. $\mathcal{M} \models \chi(i, p)$ for all $i \geq 1, p \in P$.

Assume $\mathcal{M} \models \varphi(0)$ and $\mathcal{M} \models \varphi(x) \rightarrow \varphi(s(x))$. Then $\mathcal{M} \models \varphi((0, n))$.
So $\exists l$ s.t. $\chi_l(x)$ has two solutions in \mathbb{N} .



Unprovability result: proof

Theorem (H, Vierling '22)

$$T + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Proof.

Claim: $\mathcal{M} \models \exists_1\text{-IND}^-$.

Definition. Component $\exists \vec{x}(L_1 \wedge \dots \wedge L_n)$

Lemma. If $\varphi(x)$ is \exists_1 then $\exists N \in \mathbb{N}$, $0, p$ -free components χ_1, \dots, χ_l s.t. $\mathcal{M} \models \varphi(s^N(x)) \leftrightarrow \bigvee_{i=1}^l \chi_i(x)$.

Lemma. If $0, p$ -free component $\chi(x)$ has two solutions in \mathbb{N} then \exists arith. prog. $P \subseteq \mathbb{Z}$ s.t. $\mathcal{M} \models \chi(i, p)$ for all $i \geq 1, p \in P$.

Assume $\mathcal{M} \models \varphi(0)$ and $\mathcal{M} \models \varphi(x) \rightarrow \varphi(s(x))$. Then $\mathcal{M} \models \varphi((0, n))$.
So $\exists l$ s.t. $\chi_l(x)$ has two solutions in \mathbb{N} . So $\mathcal{M} \models \chi_l((i, p))$ for all $i \geq 1, p \in P$.



Unprovability result: proof

Theorem (H, Vierling '22)

$$T + \exists_1\text{-IND}^- \not\vdash E_{k,n,m}, \text{ i.e., } n \cdot x + \overline{(m-n)k} = m \cdot x \rightarrow x = \bar{k}$$

Proof.

Claim: $\mathcal{M} \models \exists_1\text{-IND}^-$.

Definition. Component $\exists \vec{x} (L_1 \wedge \dots \wedge L_n)$

Lemma. If $\varphi(x)$ is \exists_1 then $\exists N \in \mathbb{N}$, $0, p$ -free components χ_1, \dots, χ_l s.t. $\mathcal{M} \models \varphi(s^N(x)) \leftrightarrow \bigvee_{i=1}^l \chi_i(x)$.

Lemma. If $0, p$ -free component $\chi(x)$ has two solutions in \mathbb{N} then \exists arith. prog. $P \subseteq \mathbb{Z}$ s.t. $\mathcal{M} \models \chi(i, p)$ for all $i \geq 1, p \in P$.

Assume $\mathcal{M} \models \varphi(0)$ and $\mathcal{M} \models \varphi(x) \rightarrow \varphi(s(x))$. Then $\mathcal{M} \models \varphi((0, n))$. So $\exists l$ s.t. $\chi_l(x)$ has two solutions in \mathbb{N} . So $\mathcal{M} \models \chi_l((i, p))$ for all $i \geq 1, p \in P$. To prove $\varphi((i, n))$, use sufficiently small (i, p) as basis. □

Outline

- 1 Straightforward induction proofs
- 2 Equational theory exploration
- 3 Atomic induction
- 4 Literal induction
- 5 Saturation theorem proving with explicit induction axioms
- 6 Open induction
- 7 Clause set cycles
- 8 Existential induction
- 9 Conclusion

Classification of practical methods by means of mathematical logic

Classification of practical methods by means of mathematical logic

- ▶ Gauging strength of a method

Classification of practical methods by means of mathematical logic

- ▶ Gauging strength of a method
- ▶ Independence results for unlimited time and memory

Classification of practical methods by means of mathematical logic

- ▶ Gauging strength of a method
- ▶ Independence results for unlimited time and memory

Overall:

- ▶ A general picture of methods starts to emerge
(sorted along increasing complexity of induction formulas)

Classification of practical methods by means of mathematical logic

- ▶ Gauging strength of a method
- ▶ Independence results for unlimited time and memory

Overall:

- ▶ A general picture of methods starts to emerge
(sorted along increasing complexity of induction formulas)
- ▶ Techniques for analysing (new) practical methods

Classification of practical methods by means of mathematical logic

- ▶ Gauging strength of a method
- ▶ Independence results for unlimited time and memory

Overall:

- ▶ A general picture of methods starts to emerge
(sorted along increasing complexity of induction formulas)
- ▶ Techniques for analysing (new) practical methods
 - ▶ Proof-theoretic (proof translations)

Classification of practical methods by means of mathematical logic

- ▶ Gauging strength of a method
- ▶ Independence results for unlimited time and memory

Overall:

- ▶ A general picture of methods starts to emerge (sorted along increasing complexity of induction formulas)
- ▶ Techniques for analysing (new) practical methods
 - ▶ Proof-theoretic (proof translations)
 - ▶ Model-theoretic for independence results (model constructions)

- ▶ Consolidate results

- ▶ Consolidate results
- ▶ Additional methods:
term rewriting, Cruanes' calculus, rippling, recursion analysis, ...

- ▶ Consolidate results
- ▶ Additional methods:
term rewriting, Cruanes' calculus, rippling, recursion analysis, ...
- ▶ Relationship to software verification

- ▶ Consolidate results
- ▶ Additional methods:
term rewriting, Cruanes' calculus, rippling, recursion analysis, ...
- ▶ Relationship to software verification
- ▶ Theories of inductive data types

- ▶ Consolidate results
- ▶ Additional methods:
term rewriting, Cruanes' calculus, rippling, recursion analysis, ...
- ▶ Relationship to software verification
- ▶ Theories of inductive data types
- ▶ Deskolemisation: conservativity, complexity, ...

- ▶ Consolidate results
- ▶ Additional methods:
term rewriting, Cruanes' calculus, rippling, recursion analysis, ...
- ▶ Relationship to software verification
- ▶ Theories of inductive data types
- ▶ Deskolemisation: conservativity, complexity, ...
- ▶ Analyticity

- ▶ Consolidate results
- ▶ Additional methods:
term rewriting, Cruanes' calculus, rippling, recursion analysis, ...
- ▶ Relationship to software verification
- ▶ Theories of inductive data types
- ▶ Deskolemisation: conservativity, complexity, ...
- ▶ Analyticity
- ▶ Does theoretical understanding help to design better methods?