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Strategic Issues, Problems and Challenges in Inductive Theorem Proving

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**Abstract**

(Automated) *Inductive Theorem Proving* (ITP) is a challenging field in automated reasoning and theorem proving. Typically, *(Automated) Theorem Proving* (TP) refers to methods, techniques and tools for automatically proving *general* (most often first-order) theorems. Nowadays, the field of TP has reached a certain degree of maturity and powerful TP systems are widely available and used. The situation with ITP is strikingly different, in the sense that proving inductive theorems in an essentially automatic way still is a very challenging task, even for the most advanced existing ITP systems. Both in general TP and in ITP, strategies for guiding the proof search process are of fundamental importance, in automated as well as in interactive or mixed settings. In the paper we will analyze and discuss the most important strategic and proof search issues in ITP, compare ITP with TP, and argue why ITP is in a sense much more challenging. More generally, we will systematically isolate, investigate and classify the main problems and challenges in ITP w.r.t. automation, on different levels and from different points of views. Finally, based on this analysis we will present some theses about the state of the art in the field, possible criteria for what could be considered as *substantial progress*, and promising lines of research for the future, towards (more) automated ITP.

*Keywords:* Inductive theorem proving, automated theorem proving, automation, interaction, strategies, proof search control, challenges.

# Background and Overview

Theorem proving tasks are ubiquitous in computer science, e.g., in fields like program specification, transformation and verification. Most often the given, generated or resulting proof tasks are not *general* ones (in the sense, that va- lidity in **all** models of the underlying logic specification is to be established),

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but more specific ones, where (in)validity is to be shown only in some subclass of models (or in a unique *standard model* provided it exists). The class of for- mulae being valid in such restricted classes of models is usually much bigger than the one consisting of the general theorems. Typically, any reasonable approach for proving such properties – *inductive theorems* – needs some kind of *induction* (which is one source of explanation why such theorems are called *inductive theorems*). [2](#_bookmark2) In fact, in computer science applications, in particular in (formal foundations of) software engineering and reasoning about speci- fications and programs, most often the specifier, programmer or user is not interested so much in all models of a given specification (or axiomatization), but rather in a specific (and often unique) natural model that is induced by the specification and that closely corresponds to her/his intuition. This means that for proving properties (general) TP is usually insufficient and can only be used as a kind of first default approach. If a conjecture is provable via TP, then it is also an inductive theorem, but if it is not provable by TP (or even proved to be not valid in general), it may still be an inductive theorem.

Automated TP has turned out to be fairly successful nowadays (in its range of applications), whereas this does not really hold for ITP, more precisely for automated ITP. Hence, a better understanding of the differences may also be helpful for improving ITP approaches and techniques.

The paper is primarily non-technical and high-level, focusing on relevant is- sues in (automated) ITP, that make the problem difficult. We assume some basic knowledge, terminology and notations in first-order logic. Though the presentation is essentially non-technical, to really understand, appreciate or criticize the analysis developed, especially the conclusions and interrelations, we conjecture that some familiarity with ITP in theory and practice will be necessary, since without own experience the problems in ITP are typically underestimated. For the interested reader, we give a lot of references to works in the field that may serve as a starting point for a more detailed study of various aspects and approaches in ITP. Although the links to the literature are fairly comprehensive, we do not claim any kind of completeness with this bibliography.

2 In fact, most often also the definition of *inductive theorem* can be given in such a way that it has an *inductive nature*, in the sense that from many – typically infinitely many (ground) – instances of a formula a more general one is (inductively) deduced, cf. e.g. [[12](#_bookmark23)]. Furthermore, it should be noted that the kind of *induction* (as proof method) we are dealing with here should not be confused with *induction* in the field of *inductive learning* as it is used for instance in the *ALT (Algorithmic Learning Theory)* conferences.

As main contributions we consider the systematic analysis and evaluation of the main problems and challenges in ITP. They finally yield an assessment of the state of the art in the field, with some theses about what could be con- sidered as *substantial progress*, with corresponding promising lines of research for the future, towards (more) automated ITP.

Before going into details let us mention a couple of papers and proceedings, that are not explicitly discussed later on, where certain issues related to proof search in TP and ITP have been discussed in some depth. One major forum for such work is the workshop on *Strategies in Automated Deduction*, held since 1997, cf. [[90](#_bookmark89)], [[93](#_bookmark92)], [[91](#_bookmark90)], [[92](#_bookmark91)], [[22](#_bookmark33)]. Another source is the workshop on the *Automation of Inductive Proof*, held irregularly since the beginning of the 1990s, but with at most informal proceedings (cf. e.g. [[108](#_bookmark106)]). Further literature includes [[45](#_bookmark47),[48](#_bookmark53)], [[49](#_bookmark54)], [[64](#_bookmark65)], [[65](#_bookmark66)], [[66](#_bookmark67)], [[68](#_bookmark69)], [[86](#_bookmark85),[87](#_bookmark86),[88](#_bookmark87),[89](#_bookmark88)], [[104](#_bookmark102),[106](#_bookmark104),[110](#_bookmark108)],

[[119](#_bookmark115)], [[120](#_bookmark116)], [[125](#_bookmark120)], [[130](#_bookmark122)], [[135](#_bookmark130)], [[147](#_bookmark137)], [[149](#_bookmark141)], [[154](#_bookmark147)], [[155](#_bookmark148)], [[157](#_bookmark150),[158](#_bookmark151),[159](#_bookmark152)], [[161](#_bookmark154),[162](#_bookmark155)],

[[171](#_bookmark164)], [[172](#_bookmark165)], [[175](#_bookmark168)], [[177](#_bookmark170)], [[178](#_bookmark171)], [[196](#_bookmark187)], [[203](#_bookmark193)], [[231](#_bookmark215)], [[233](#_bookmark217)], [[234](#_bookmark218)].

The plan of the paper is as follows. In this section we will deal with some basics about induction, with TP versus ITP, and with different approaches to and assumptions about ITP. In Section [2](#_bookmark6) we will in detail cover and discuss the relevant strategic issues and problems in ITP. In Section [3](#_bookmark12) we will give an assessment of the current state of the art and of some prominent ITP systems used nowadays (again without claiming completeness), together with a summary of successes and failures. Finally, in Section [4](#_bookmark13) we will isolate, summarize and interrelate what we consider to be the main problems and challenges in ITP, giving rise to a few theses in Section [5](#_bookmark16) about the future, and about promising lines of research / criteria for substantial progress. These theses may be quite debatable and may not be widely shared, but there is quite some evidence for them. If they were to entail a lively discussion in the research community, this would already be a very positive consequence.

* 1. *Basics about Induction*

As already mentioned, the notion *inductive* is ambiguous in its usage, though the underlying concept – going from specific instances to something more general – is the same. *Proof techniques* can be inductive insofar as they em- ploy *induction schemata* based on *induction principles*. Also the notion of *validity of statements* may be inductive. There exist other notions and areas where *induction* and *inductive processes* make sense, like (algorithmic) *induc- tive learning* mechanisms. We are concerned with the former two, namely inductive proofs of theorems (more precisely, conjectures) or proofs of induc- tive properties. Before having a closer look at what this means more precisely,

let us consider where induction in this sense occurs (in computer science and mathematics). The easy answer is: Almost everywhere! For instance, when reasoning about recursively defined domains or data structures with functions defined on them, or about programs and specifications, then most often not only general TP is needed, but more, namely ITP. Especially in computer science where logic-based specifications are often (explicitly or implicitly) as- sumed to constructively specify and/or model some system or computation task, one is often interested not in all conceivable models of a given spec- ification, but only in certain ones (i.e., in some restricted class of models) or even only in a distinguished particular one (a *standard model* ) capturing the essential properties that one has in mind. Such restrictions can often be characterized by requiring that every element in some model considered has to be *term generated*. In other words, elements in models need to have a syntactic counterpart in the specification. In a sense, this is a very nat- ural requirement in a computer science context for very many, though not all, applications. Unfortunately, in the literature on verification and theorem proving the distinction between (general) validity and inductive validity (the- orems and inductive theorems, respectively) is sometimes not appropriately mentioned or even ignored. For certain purposes this is quite problematic, since, as we shall discuss, the proof-technical implications are far-reaching.

The very general *principle of well-founded induction*, for proving some property *P* depending on a parameter *x*, may be stated in the form of an inference rule as follows:

*∀x.* [( *∀y.* [ *y < x ⇒ P* (*y*)]) *⇒ P* (*x*)]

*∀x.P* (*x*)

with *<* a well-founded order (on the domain of *x*). The typically used induc- tion principles and schemas (*natural* induction, *structural* induction, *course- of-values* induction etc.) are all obtained from this general principle by ap- propriate instantiations.

Next let us briefly review basic notions and relationships between syntax and semantics, especially between derivability and validity (in a first-order logic framework). Typically, based on some set of some set of *axioms* and some some set of *rules*, the resulting *inference system* defines *▶ F* , (syntactic) *derivability* of a formula *F* . If *▶ F* is derivable, it is a *deductive theorem* (of the underlying set of axioms in the given inference system). *Syntactic entailment* or *relative derivability* of *F* from some set *G* of assumptions (considered as additional axioms) is denoted by *G ▶ F* , in which case *F* is called a *deductive consequence* of *G*.

One the semantic side, one usually has a notion of *interpretation* of a given

logical specification. An interpretation satisfying a specification *G* is a *model* of *G*. A formula is *F valid* (*|*= *F* ) if it holds in all models of the initial axioms. *Semantic entailment* or *relative validity* of *F* from some set *G* of assumptions (considered as additional axioms) is denoted by *G |*= *F* , where *F* is called a *semantic consequence* of *G*. Abusing notation, the fact that *F* holds in some particular model *M* of the initial axioms (or in some class *K* of models of the initial axioms) is also denoted by *M |*= *F* (or *K |*= *F* , respectively).

Now, for obvious reasons — in logic and (automated) TP — one strives for the equivalence of (semantic) validity and (syntactic) derivability, and for effective and efficient ways to establish the latter. In first-order logic, any reasonable inference system is well-known to be both *sound* (*▶ F ⇒ |*= *F* ) and *complete* (*|*= *F ⇒ ▶ F* ). Unfortunately, this nice (finitary) correspon- dence between validity and derivability is in general lost in ITP. We will not discuss this phenomenon in depth here, but mention only one particular sim- ple case. Consider some set *E* of (implicitly universally quantified) equations over some signature Σ. Then, *inductive* or *initial* validity of some equation *s* = *t* is given by *T* (Σ)*/*=*E |*= *s* = *t*, where *T* (Σ)*/*=*E* is the ground term al- gebra factored through the congruence induced by *E*. To capture this notion of inductive validity syntactically, i.e., deductively or in terms of derivability, requires an infinitary characterization:

*T* (Σ)*/*=*E |*= *s* = *t ⇐⇒ ∀σ.E ▶ sσ* = *tσ*

Here, the substitution *σ* ranges over all *ground substitutions* over the given signature. To solve this infinitary proof task one typically uses an (appropri- ate) *inductive* proof technique, to show that *E ▶ s'* = *t'* holds indeed for all ground instances *s'* = *t'* of *s* = *t*.

In the above case, it is at least possible to characterize inductive validity by an infinite conjunction of derivability statements, i.e., to relate (inductive) validity and derivability in a clear way. This need not always be so easily the case. In fact, this depends very much on the notion of inductive valid- ity that is used. In various cases, there are some good reasons to choose a version of inductive validity that deviates from the standard way of defining it. We briefly mention here only one aspect and give a few pointers to cor- responding literature. The basic motivating aspect to proceed differently is an undesirable *non-monotonicity* phenomenon. To illustrate this, consider an equational specification *E* for addition given by 0 + *x* = *x*, *s*(*x*)+ *y* = *s*(*x* + *y*). Then it is easy to verify (prove) that (*∗*) *x* +0 = *x* is an inductive theorem of *E*, i.e., it holds in the initial algebra *T* (Σ)*/*=*E* . Now we enrich the original specification by a (consistent) definition for subtraction, via *x −* 0 = *x* and *s*(*x*) *− s*(*y*) = *x − y* yielding *E'*. However, somehow contrary to intuition,

now (*∗*) is no longer an inductive theorem of *E'*! The (essential) reason is that the enrichment has introduced new *junk* terms in the initial model which destroy the desired property. To wit, substituting e.g. 0 *−s*(0) for *x*, we obtain (0 *− s*(0)) + 0 = 0 *− s*(0) which cannot be proved in *E'*. Here, the enrichment was *consistent* (i.e., no previously distinct elements have been identified), but *incomplete* in the sense that the new operation was only *partially deﬁned* (in terms of the “old data constructors”).

Starting with the work of [[128](#_bookmark123),[127](#_bookmark124)] (on *proof by consistency* and *com- pletion of incomplete speciﬁcations*), and of [[232](#_bookmark216)], [[235](#_bookmark219)] who used so-called *constructor models*, this line of reasoning — to adopt, define and use “more monotonic” versions of inductive validity — has been further discussed, de- veloped and refined subsequently, e.g. in [[223](#_bookmark210)], [[230](#_bookmark214),[229](#_bookmark213)], [[169](#_bookmark162)], [[8](#_bookmark24)]. We will not discuss these approaches in detail, but it should be noted that the above non-monotonicity phenomenon has serious consequences in ITP. Typically, one either imposes a very strict specification discipline thus avoiding partial- ity and non-monotonicity problems (this approach is adopted in most current ITP systems), or one has to work with a more involved framework that is more liberal, but also technically more complicated. So, in some sense there is a trade-off between adequacy and feasibility of the existing approaches.

* 1. *TP vs. ITP*

Next we shall discuss a bit things in common of and differences between TP and ITP, where depending on the context we assume that the goal is to be as automatic as possible.

* + 1. *Comparison from a Logical Point of View*

Suppose *E* is a first-order specification with equality such that it admits some unique *standard model*. [3](#_bookmark3) Let us denote the set of all valid formulæ in *E* by *Th*(*E*), and the set of inductively valid formulæ, i.e., those that are true in the standard model of *E*, by *ITh*(*E*). Then, from a logical point of view we can make the following observations:

1. We have *Th*(*E*) *⊆ ITh*(*E*), but in general *ITh*(*E*) */⊆ Th*(*E*).
2. Any reasonable calculus for *Th*(*E*) is sound and complete, and *Th*(*E*) is (in general) undecidable but semi-decidable, i.e., *Th*(*E*) is recursively enumerable but not its complement. Moreover, *cut-elimination* is possi- ble.

3 For instance, if *E* is a set of (implicitly universally quantified) positive-conditional equa- tions where the conditions are conjunctions of equations, then the existence of such a unique standard model (the *initial algebra*) is guaranteed.

1. Any reasonable calculus for *ITh*(*E*) is sound, but in general necessarily incomplete. [4](#_bookmark4) *ITh*(*E*) is in general neither decidable nor semi-decidable, i.e., not even recursively enumerable. Moreover, *cut-elimination* is not possible ([[167](#_bookmark156)]).

Actually, regarding (1), in combination with (2) and (3), there are cases where *ITh*(*E*) coincides with *Th*(*E*), hence where *ITh*(*E*) becomes semi-decidable in particular. One case where the latter obviously holds is given when the inclu- sion *Th*(*E*) *⊆ ITh*(*E*) is non-strict. For instance, if *E* is purely equational, then *E* is called *ω-complete* if an equation is valid iff it is inductively valid. In such *ω*-complete (equational) specifications, trying to prove inductive validity of a conjecture is the same as trying to prove its (general) validity. Unfor- tunately, such cases where ITP and TP coincide are only possible for very restricted cases and settings, and do not apply in most verification problems where ITP is involved. Yet, it should be noted that there are known cases where inductive validity of certain formulae is decidable, as well as concrete decision procedures for certain sub-tasks. Such knowledge and corresponding effective decision procedures are crucial ingredients of state of the art TP- and ITP-systems, cf. e.g. [[199](#_bookmark188)], [[63](#_bookmark62)], [[216](#_bookmark202)], [[184](#_bookmark176),[185](#_bookmark177)], [[209](#_bookmark197)], [[6](#_bookmark20)], [[121](#_bookmark117)], [[141](#_bookmark134)], [[126](#_bookmark121)],

[[78](#_bookmark75),[79](#_bookmark79)], [[140](#_bookmark133)], [[219](#_bookmark207),[220](#_bookmark208)].

Concerning *ω*-complete specifications which have interesting applications for instance in *process algebra*, we refer to e.g. [[98](#_bookmark97)], [[96](#_bookmark93)], [[1](#_bookmark17)], [[95](#_bookmark94)], [[170](#_bookmark163)], [[18](#_bookmark31)],

[[71](#_bookmark72)].

Regarding (2) and (3), these relationships and properties show fundamen- tal differences between proving validity and proving inductive validity that go back to pioneering works in theoretical computer science and mathematical logic, cf. e.g. [[80](#_bookmark80)], [[97](#_bookmark96)], [[217](#_bookmark203),[218](#_bookmark204)], [[156](#_bookmark149)], [[167](#_bookmark156)]. In particular, w.r.t. (3), there is no first-order proof system with induction that is complete for *ITh*(*E*).The impossibility of cut-elimination ([[167](#_bookmark156)]) also has severe consequences, and con- stitutes a substantial difference to general TP. In essence, this means that in ITP auxiliary lemmas (to be guessed) can in general not be avoided.

Concerning the fact that *ITh*(*E*) is not even recursively enumerable, this indicates (among other aspects) that one should, when trying to prove an inductive conjecture, make sure that the positive proof attempt can possibly be successful, by (also) searching for a contradiction and thus excluding as early as possible false conjectures.

4 In essence, this is due to G¨odel’s first incompleteness theorem that states that in any formal (deductive) system for arithmetic there are formulæ that are true but unprovable (cf. [[80](#_bookmark80)], [[97](#_bookmark96)]).

* + 1. *Comparison in Terms of Proof Search Aspects*

Here we only give a first rough account of essential differences between TP and ITP regarding the problem of proof search. Some of these aspects will be detailed later on.

From an abstract point of view the proof search, the proof search tree construction and proof search control can be characterized as follows:

* + - * TP:
        + The proof search tree is **finitely branching**, for any reasonable (sound and complete) underlying inference system like *ordered resolution* cf. e.g.

[[11](#_bookmark25)] and paramodulation-based theorem proving (cf. e.g. [[186](#_bookmark178)]).

* + - * + Searching for and constructing *counterexamples* in the proof search process (for instances via *model building* techniques, cf. e.g. [[69](#_bookmark70)], [[197](#_bookmark189)]) **may help** but is in some sense **not essential** for successful proofs.
        + The proof search control in (first-order) TP is (known to be) **challenging**, especially when trying to be efficient but still complete.
      * ITP:
        + The proof search tree is **infinitely branching**, for any reasonable (sound) underlying inference system, and for several different reasons.
        + Searching for and constructing *counterexamples* in the proof search process is **very much essential** and **highly important** in practice.
        + The proof search control in (first-order) ITP is **extremely challenging**, for almost every non-trivial inductive conjecture, and sometimes even for trivial ones.

That the proof search tree is infinitely branching in ITP, as opposed to TP, is in essence due to the incompleteness of inductive reasoning power. A basic source for this infinitary character is already given by the fact that usually there are infinitely many (sound) induction schemas that might serve for a proof attempt. Additionally, as a well-known consequence in practice, one often has to introduce various *guessing steps*, like *generalizing conjectures*, inventing auxiliary *inductive lemmas* (to be proved as well) and introducing *inductive case splittings*. These inductive guessing steps imply that often it is not clear whether the actual conjecture treated can indeed be an inductive theorem. Hence, to eliminate wrong conjectures and cut useless branches, it is vital to simultaneously try to disprove conjectures, e.g., by searching for counterexamples. [5](#_bookmark5) The combination of these aspects entails that in ITP

5 Somehow, it seems that in the automated reasoning community, the theme of (explicit) *disproving* of conjectures, including model building and the construction of counterexamples, has not yet received the attention it deserves (see, e.g., [[200](#_bookmark190)]). For a recent attempt to focus on this theme see e.g. [[3](#_bookmark19)].

systems with some substantial amount of automation the proof search control is extremely challenging.

* 1. *Approaches to and Assumptions about ITP*

For the purpose of the paper it is not really necessary to present and discuss the existing approaches to ITP in appropriate depth. This would also be clearly beyond the scope and require much more space. However, we want to mention at least some issues that are important in practice and that have consequences for the design and implementation of ITP systems.

First let us consider some issues and aspects regarding the logic and the framework in different approaches.

* First-order vs. higher-order logic: Though higher-order logic is more ex- pressive, for the purpose of (automation of) ITP, first-order logic is already challenging enough.
* Full first-order vs. universal fragment: Most ITP systems and approaches concentrate on universally quantified first-order formulae. Allowing exis- tential quantification (or arbitrary quantifier alternations) clearly compli- cates things considerably. Typically, existential inductive conjectures are approached by trying to constructively find witnesses and prove that they satisfy the respective inductive property, cf. eg [[39](#_bookmark45),[42](#_bookmark48)], [[20](#_bookmark32)], [[148](#_bookmark142)], [[105](#_bookmark103)], [[57](#_bookmark61)],

[[152](#_bookmark145)], [[166](#_bookmark157)], [[198](#_bookmark191)], [[174](#_bookmark167)].

* Unsorted vs. many-sorted vs. order-sorted: Including / requiring a more strict typing discipline may help a lot to avoid useless computations in proof search, but of course also puts restrictions on the modeling of systems and specifications. The typing concepts of ITP systems are quite diverse, ranging from rather untyped (e.g. [[39](#_bookmark45)]) to strongly typed systems (e.g. [[190](#_bookmark182)]).
* Partiality and the notion of inductive validity: The treatment of *partiality*, i.e., of only partially defined new functions is an important issue (see also the discussion above). Allowing unrestricted partiality when extending specifi- cations often invalidates most previous inductive theorems. Hence, either one has to adapt the notion of inductive validity (cf. e.g. [[235](#_bookmark219)], [[128](#_bookmark123),[127](#_bookmark124)], [[230](#_bookmark214),[229](#_bookmark213)], [[169](#_bookmark162)]), or to make partiality non-critical, for instances by simply forbidding it, or by making specifications total in some well-defined way (cf. e.g. [[39](#_bookmark45)], [[41](#_bookmark46)], [[176](#_bookmark169)]). In any case, the treatment of partiality has far-reaching consequences for the framework and the whole ITP process.
* Constructor vs. destructor style induction: Concerning the representation of basic data structures, one may either constructively represent data object with *constructor* functions, or destructively extract the relevant informa-

tion via *destructor* (or *selection*) functions, like for lists with constructors *nil* , *cons* and destructors *car* , *cdr* (cf. e.g. [[39](#_bookmark45)]). Normally, the representa- tions and proofs can be easily translated from a constructor to a destructor framework and vice versa, however, from a proof-technical point of view it is advisable to stick to one of these dual frameworks.

* Fixed vs. lazy induction ordering (generation): Most approaches to ITP start a proof attempt for an inductive conjecture by analyzing the formulae (and the underlying specification) and devising an appropriate (and by then **fixed**) induction schema for it according to which they then proceed. An alternative approach is to start the proof without a fixed induction schema, but rather gather information along the proof attempt about which induc- tion schema would turn the reasoning indeed into a correct inductive proof. This latter approach has been pursued e.g. in [[201](#_bookmark192)], and is also partially incorporated in [[169](#_bookmark162)], [[8](#_bookmark24)]. Of course, the generality and elegance of this latter approach has its price. Namely, correctness of the overall inductive reasoning becomes non-trivial and has to be established a posteriori, and — more severely — proof-technically the search becomes more difficult since goal-directedness, which usually heavily relies on an existing fixed induction schema, is not easily obtained anymore.
* Underlying (deductive) logical framework: This may be based on a couple of different approaches (for first-order logic with equality), like ordered res- olution, superposition, paramodulation, etc.. It may be saturation-based or not, equational or non-equational, based on clausal normal forms or on ar- bitrary clauses etc., with all advantages and disadvantages known for these approaches. All these issues are certainly relevant for proof search in ITP, but will not be discussed here.
* Explicit vs. implicit induction: The early works on (automated) ITP (cf. e.g. [[36](#_bookmark42),[37](#_bookmark43),[39](#_bookmark45),[38](#_bookmark44),[42](#_bookmark48),[43](#_bookmark49)], [[223](#_bookmark210)]) all use explicit induction, in the sense that for a given inductive conjecture a concrete induction schema is explicitly computed on which the subsequent reasoning is based. Starting with the pioneering works of [[182](#_bookmark173)], [[81](#_bookmark81)], [[101](#_bookmark99),[102](#_bookmark100)], an alternative approach of *implicit* or *“inductionless”* induction was developed which is based on a *proof by consistency* principle. The basic idea of the method roughly works as fol- lows (in the context of clauses with equality), cf. [[60](#_bookmark63)]: Given a specification (set of clauses) *E* and a set of inductive conjectures *C*, one adds *C* to *E* and tries to derive an inconsistency. If this turns out to be impossible, then the clauses in *C* are inductive consequences of *E*. Here, “inconsistency” is understood w.r.t. an appropriate axiomatization of the *standard* model of *E*. “Turning out to be impossible” means that one has to devise ap- propriate strategies of *inductive saturation* such that using these strategies

the inductive saturation process hopefully terminates (with or without an inconsistency) in many cases. In the 1980s and later on the approach of [[182](#_bookmark173)], [[81](#_bookmark81)], [[101](#_bookmark99),[102](#_bookmark100)] was extended, refined and generalized in various ways, cf. e.g. [[192](#_bookmark184)], [[122](#_bookmark118),[123](#_bookmark119)], [[72](#_bookmark73),[74](#_bookmark74)], [[9](#_bookmark26)], [[83](#_bookmark83)], [[76](#_bookmark76),[77](#_bookmark77)], [[62](#_bookmark64)], [[60](#_bookmark63)]. Also, a couple of

other related approaches somewhere in between explicit an implicit induc- tion were developed, e.g., [[100](#_bookmark98)], [[204](#_bookmark194)], [[44](#_bookmark50)], [[127](#_bookmark124),[128](#_bookmark123)], [[133](#_bookmark128)], [[235](#_bookmark219)], [[131](#_bookmark125),[132](#_bookmark127)],

[[160](#_bookmark153)], [[31](#_bookmark39)], [[29](#_bookmark37)], [[26](#_bookmark34)], [[27](#_bookmark35)], [[230](#_bookmark214),[229](#_bookmark213)], [[169](#_bookmark162)], [[227](#_bookmark212)]. There was and still is

an on-going debate about explicit vs. implicit induction and combinations thereof, in particular concerning the strengths and weaknesses of and the relationships between these approaches. But it seems clear that, regarding the essential problems in the proof search process in ITP, both approaches face essentially the same problems. For that reason we will not go into details about the latter aspects and relationships here.

Next, for the sake of completeness let us mention a few (though not all) important aspects regarding ITP systems, especially in connection with the system architecture, its features, purpose, and its proof search control.

* Stand-alone tool vs. component in bigger system: Clearly, this property has consequences for the design and the architecture.
* Homogeneous vs. heterogeneous tool: A homogeneous tool may be much easier to implement, understand and maintain, but is likely to be much less powerful.
* Built-in theories vs. explicit handling: How to handle pre-defined basic data types and their properties, as well as certain problematic properties of functions (like associativity plus commutativity) is a crucial aspect of any implementation.
* Subtools for specialized proof tasks (decision procedures etc.): Such subtools should certainly be available, but their integration is typically non-trivial.
* Intended functionality (yes/no vs. justifications, proof objects, reuse, incre- mentality, modularity) : The intended functionality is of course extremely important in the design process, and often makes different systems very hard to compare.
* General purpose reasoning system vs. specialized tool for a particular prob- lem domain: Obviously, such a decision also has far-reaching consequences.
* Experimental tool vs. high-fidelity system (certification): To develop a sys- tem of the latter type usually amounts to much more work and care with the relevant design decisions.
* Post- vs. pre- vs. integrated development: The type of the envisaged reason- ing tasks (including inductive proofs) to be tackled with the system and the

overall development model (e.g., *ﬁrst program, then verify* ; or, *ﬁrst specify and verify, then program*) obviously affect the system design and architec- ture.

* Desired degree of automation / interaction: Clearly, a high degree of (de- sired) automation implies a much more sophisticated proof search model than an interactive style of reasoning.
* Proof search control architecture / concept / language: For ITP systems with at least some degree of automation the architecture of the proof search control, the underlying concepts and languages for describing and guiding the proof search are crucial components to realize a system with the intended automatic capabilities.

For the rest of the paper, let us fix the theoretical (logical) setting for ITP in first-order logic with equality (although also for other reasonable settings the resulting analysis would be the same), partially following [[60](#_bookmark63)]: Let *E* be a set of first-order sentences. A first-order formula *φ* is an *inductive consequence* of *E* iff, for every *Herbrand interpretation H*, *H |*= *E* implies *H |*= *φ*. If *E* is a set of Horn clauses with equality, then there exists a unique smallest Herbrand model of *E* (or *standard* ) model *IE*. In this case, one does not need to consider all the Herbrand interpretations, but only the smallest ones: If *E* is a set of Horn clauses and *c* a positive clause, then *c* is an inductive consequence of *E* iff *IE |*= *c*. Note that inductive consequences of *E* should not be confused with elements in the theory of *IE*. The inductive theory is contained in *IE*, but not conversely (because negative statements expressing that certain elements in *IE* are distinct, do not hold in all Herbrand interpretations of *E*). **In the sequel when proving or disproving inductive conjectures we always have in mind validity in** *IE***, and inductive theorems are formulæ that are valid in the standard model** *IE*. In the ITP setting we assume moreover, that the database contains the basic specification *E* with all the axioms and definitions, a set of already proved (or otherwise established) inductive lemmas *L*, and the current set of inductive conjectures *C* (allowing *C* to contain more than one element is convenient in practice since often additional conjectures are generated during a proof attempt).

In other reasonable basic logical settings for ITP, the subsequent analysis of the basic problems in ITP will most probably be very similar. This also concerns the aspect, whether the underlying induction concept is explicit or implicit as discussed above. Although the precise analysis clearly depends on the framework used, the essential technical and proof search problems are the same. Yet, their syntactical and technical appearance may be different.

# Strategies in ITP

Here we will discuss in some depth (though non-technically) the crucial strate- gic and proof control aspects in ITP, where (implicitly) the goal in mind is always to get a high degree of automation.

* 1. *Why are Strategies so Important in ITP?*

As we have argued previously (see Section [1](#_bookmark1)), ITP is in some sense much more difficult that general TP, hence this should also be reflected in the proof search process. So, why are (good) strategies so important for ITP? Some of the main reasons are

* the incompleteness of ITP methods,
* the structure and the size of the search space (infinitely branching in several dimensions, see below),
* the recursive nature of inductive proof attempts,
* the difficulty of measuring progress within an ITP attempt
* the difficulty of controlling / guiding the proof search process in an adequate and intelligent way. This difficulty comprises a lot of more detailed steps and decisions:
  + What should be done (attempted) next?
  + When should a proof attempt be considered to be failed (hopeless)?
  + What to do in this case?
  + When should backtracking be applied?
  + When and how to generalize?
  + When and how to simplify (how far)?
  + When and how to start induction (generate induction schema)?
  + How to make induction hypothesis applicable (in a goal-directed manner)?
  + When and how to perform a case analysis?
    1. *Essential Strategic Control Issues*

Let us consider more precisely what are relevant strategic issues. For that we look at a typical structure of an inductive proof attempt:

* + - * Try non-inductive methods (when and how?):
        + Testing for inconsistency, generation of counterexamples.
        + Start a TP attempt (without induction).
        + Simplify as much as possible w.r.t. current database of definitions and lemmas.
        + But: Simplifiability may require inductive arguments!
      * Try induction:
        + Analyze recursion structure in conjecture and involved functions.
        + Generate candidate(s) for appropriate induction schemas based on this analysis (involving some look-ahead).
        + Perform induction: Split into cases. Simplify.

Make induction hypothesis applicable.

* + - * + Generalize conjecture.
        + Generate (auxiliary) lemma.

Now, what are the crucial and essential strategic control issues in the above list? First of all, the following questions are obvious, but not their answer:

* + - * When should one test for inconsistency, and how? When should one search for a counterexample, and how?
      * When should one decide to try general TP without induction, and when not?

The next list of actions is central and of fundamental importance for every reasonable ITP system, and all these actions are **critical** [6](#_bookmark7) and — considered as choice options in the search tree — **infinitely branching**:

1. Simplification **(infinitely branching** [7](#_bookmark8) **and critical)**
   1. When?
   2. How? Using which definitions and lemmas? In which order?
   3. Recursively use induction to verify the applicability of conditional lemmas?
   4. Simplify to normal form?
   5. Inverse simplification (expansion)? How far?
2. Induction **(infinitely branching and critical)**
   1. Compute and select appropriate induction schema.
   2. Generate corresponding proof tasks.
   3. Make induction hypothesis applicable, e.g. by *cross-fertilization*, *rip- pling*, and other *difference reduction* techniques.

6 By *critical* we mean here, that without such an (appropriate) action (or a similar one) the whole proof attempt may be hopeless.

7 Actually, w.r.t. a finite database of definitions, lemmas and current conjectures, the first

step of such a simplification action is usually only finitely branching, because there are only finitely many possibilities. However, many-step simplification is infinitely branching when simplification can be non-terminating (in this case, “simplification” has only an intuitive meaning, not a formal one), or when during simplification other infinitely branching oper- ations, like induction for the verification of the condition of some conditional lemma, are allowed.

1. Case analysis **(infinitely branching and critical)**
   1. When?
   2. How? According to which criteria?
   3. How to verify individual cases?
2. Generalization **(infinitely branching and critical)**
   1. When?
   2. How? For what purpose?
   3. How to avoid over-generalization?
3. Lemma generation / speculation **(infinitely branching and critical)**
   1. When?
   2. How? For what purpose?
   3. Organizational: Top-down (relative ITP) or bottom-up (proofs are absolute)?

Some remarks and comments about this list seem in order (cf. also [[47](#_bookmark52)] for a discussion of some aspects of the infinite branching behaviour in ITP).

First of all, it is clear that proof search with infinitely branching steps of different types can in principle be sequentialized (assuming only countably many choices), i.e., simulated by a finitely branching tree. However, in practice and w.r.t. the nature of the problem this would be completely unsatisfactory and infeasible.

Regarding simplification (1), there is typically a very high degree of non- determinism (b) of what could be simplified and how, w.r.t. the current database. Also, the notion of “simplification” is not always clear, since well- foundedness of such transformations need not be ensured. If it is guaran- teed, e.g., by imposing some well-founded ordering on terms and formulae, then certain desirable transformation steps (expansion or inverse simplifica- tion) are not allowed anymore. In the presence of permutative properties like commutativity, guaranteeing termination of simplification processes is difficult and extra efforts have to be made to avoid circular (or more general forms of non-terminating) reasoning. On the other hand, it is also well-known that in many examples certain transformations have to be “non-simplifying” to lead to a final success. The power of simplification is considerably increased by recursively allowing induction (c), e.g., to verify the applicability of a condi- tional lemma of the form *l → r ⇐ c* on the actual formula *C* = *D*[*lσ*], by inductively proving *cσ*. Since simplification is most often non-confluent, and also frequently non-terminating, it is highly non-trivial to determine how far one should simplify, cf. (e), (f). Experience shows, that simplifying too much can also prevent a proof to be found, as well as the other way round.

Induction (2) is perhaps the most intensively investigated operation. Initi- ated by [[39](#_bookmark45)], the analysis of recursive definitions and proofs of well-definedness (i.e., termination proofs) is a fairly well understood area. In [[39](#_bookmark45)], the com- putation and selection of appropriate induction schemas for a given inductive conjecture is a two-stage process. First, at the time of definition introduction for some function *f* , the definition, in particular the recursion structure, is analyzed and the resulting knowledge about the recursion structure of *f* and the reasons for termination of its recursion are stored (in the internal knowl- edge base). Then, when trying induction on some formula, all defined function symbols in the conjecture give rise to candidate induction schemas that are obtained from the generic information in the knowledge base together with actual information extracted from the conjecture. This way a lot of candidate induction schemas are computed, which are then *merged* as far as possible and ranked, according to some quality criteria, until one final candidate remains. The strategies and heuristics of [[39](#_bookmark45),[42](#_bookmark48)] (and of its successor [[151](#_bookmark144)]) have been amazingly successful and impressive. Other works, variations and explicit ver- sions of recursion analysis and induction schema generation include e.g. [[210](#_bookmark198)], [[51](#_bookmark56),[50](#_bookmark55)], [[222](#_bookmark209),[222](#_bookmark209)]. Given a concrete (sound) induction schema, the generation of corresponding proof tasks (b) is normally straightforward. However, what is challenging and at the heart of inductive reasoning, are goal-directed tech- niques to make the induction hypothesis applicable. [8](#_bookmark9) Many ideas, strategies and heuristics are known for this step, and more generally for reasoning based on *difference reduction* and *proof plans*, cf. e.g. *cross-fertilization* ([[39](#_bookmark45)]), and *rippling* (cf. e.g. [[45](#_bookmark47)], [[46](#_bookmark51)], [[52](#_bookmark57)], [[50](#_bookmark55)], [[54](#_bookmark59)], [[53](#_bookmark58)], [[165](#_bookmark158),[166](#_bookmark157)], [[164](#_bookmark159)], [[47](#_bookmark52)], [[103](#_bookmark101)],

[[107](#_bookmark105)], [[112](#_bookmark109)], [[113](#_bookmark110)], [[109](#_bookmark107)], [[14](#_bookmark27),[15](#_bookmark28),[17](#_bookmark30),[16](#_bookmark29)], [[65](#_bookmark66)], [[67](#_bookmark68)]), [[136](#_bookmark131)].

Case analysis (3) is also a very challenging topic and subtask in ITP. Espe- cially, when should one initiate a case analysis, and if so, how? And according to which criteria should the generation cases be done? Furthermore, if the case analysis is not obviously complete, in the sense that all cases are covered, [9](#_bookmark10) verifying completeness involves in general again inductive reasoning, hence the full power (and difficulty) of induction. The questions of when and how to ap- ply case analysis (in ITP) are also very difficult questions where not so much literature exists (although any ITP system has heuristics for doing so), cf. e.g. [[39](#_bookmark45),[42](#_bookmark48)], [[151](#_bookmark144)], [[30](#_bookmark38)]. A related question is how fine-grained the case distinction should be. The more special some case is, the more information is available

8 In general, an induction schema for a conjecture consists of several base cases and several induction steps, all of which have to be successfully processed.

9 Completeness of some case analysis with cases *c*1*, . .., cn* can always be enforced by

adding a case for the negation of the disjunction of the *ci*. However, sometimes one rather wants to use a semantic distinction where completeness has to be explicitly (inductively) verified.

to prove the property in this case. On the other hand, it is a well-known phe- nomenon – like in induction in general – that more specialized statements may be more difficult to prove, as compared to more general versions! Some of the techniques for (2) above can also be useful to plan and attempt (hopefully) reasonable case analyses.

Generalization of inductive conjectures (4) and lemma generation (5), which are closely related, are often unavoidable, if a proof is to be found at all. Of course, the search space is infinitely branching w.r.t. such an op- eration. For lemma generation this is obvious. In the case of generalization of some conjecture *C* to be proved, this is also easy to see. If *C* is just an equation (or another universally quantified literal), then there are only finitely many possibilities to do a syntactic generalization (according to the well-founded instantiation ordering on formulae). However, as soon as one al- lows semantic generalizations, [10](#_bookmark11) there are infinitely many possibilities. Both generalization and lemma generation are highly error-prone in the sense that they may lead to false conjectures whereas the original conjecture was induc- tively true. Hence, it is extremely important to provide mechanisms in order to avoid over-generalization and to avoid the generation of false “lemmas”. Typically, both operations are only applied with some more or less concrete goal in mind, namely, to solve a failure of a previous proof attempt. However, to what extent such a step might really help in the context of the actual con- jecture processed, remains to be found out and verified, either a priori or a posteriori. To date, there is some but not really much literature about con- crete heuristics and strategies for (4) and (5), and more generally on how to do this (automatically) in practice and to integrate these features into the overall ITP system, cf. e.g. [[35](#_bookmark41),[36](#_bookmark42),[37](#_bookmark43),[39](#_bookmark45),[42](#_bookmark48)], [[146](#_bookmark138)], [[75](#_bookmark78)], [[118](#_bookmark114)], [[225](#_bookmark211)], [[138](#_bookmark132)], [[126](#_bookmark121)], [[141](#_bookmark134)],

[[163](#_bookmark160)], [[219](#_bookmark207),[220](#_bookmark208)].

* + 1. *Organizational Strategic Issues*

Next let us discuss (more modestly: ask questions and state desirable proper- ties) some of the most important organizational (and strategic) issues in ITP. Again this list is necessarily incomplete, and we want to focus on some issues that we find important.

1. Concerning the data- and knowledge base (definitions, conjectures, lem- mas, ... ):
   1. In case of successful proof attempts:

10 By this we mean any statement inductively implying *C*, for instance if *C* is conditional, i.e., of the form *D ⇐ c* and we can prove *c ⇒ d* as well as *D ⇐ d*, then the latter (inductively) generalizes *D ⇐ c*. More generally, in clauses generalization can be done by weakening the succedent part and/or strengthening the antecedent part.

Which (intermediate) lemmas should be kept (stored)? In which form? In which order? And as what kind of knowledge (rewrite / simplification lemma, type information, definition, ... )?

Should the current data and knowledge base be modified / simplified

w.r.t. to the new knowledge, or not? And if the former, how?

* 1. In case of (definitely) failed proof attempts: What are the consequences for the next steps?

What can (internally) be learnt from this failure? How can it be exploited for a more promising attempt?

If the original conjecture has been falsified, how can it be corrected,

e.g. via generalization.

If only the proof attempt has failed, how could this failed attempt trigger a more promising one?

* 1. In case of neither successful nor failed proof attempts:

This situation occurs in the middle of a proof, and there is always the question what to do next.

Should the attempt be continued (as planned)?

Should the attempt be abandoned, because there seems to be not much hope of successfully completing it?

Should there be some kind of backtracking, in order to resume prov- ing at an earlier branching point with another decision?

1. Concerning the control structure and the knowledge base:
   1. When introducing new definitions, the recursion analysis should yield appropriate control knowledge about the recursion schema of the newly defined functions.
   2. There should be internal memory and history mechanisms, e.g., for avoiding circular reasoning and loops.
   3. The proof search control model should somehow be layered and fairly flexible, in order to enable a realization of many different heuristics and strategies.

Most of the issues mentioned above are highly non-trivial, and in existing ITP systems their solutions often appear a bit ad hoc. For instance, in most of the major ITP systems, once an induction schema has been chosen, and once the subsequent proof attempt has failed, then the whole proof attempt is considered to have failed. An alternative point of view could be, at that point, to resume the process with another, possibly sightly lower ranked, induction schema. Similarly, backtracking rarely occurs in the existing ITP systems. Once a certain operation has failed, not many attempts are made to backtrack and proceed differently. Such a rigid proof search process may have dramatic consequences. For instance, a proof attempt of some inductive conjecture

may go through, provided we are able to apply some simplification lemma at a certain point. But, in order to verify an application condition of the lemma (which holds indeed), special emphasis has to be put on this effort, whereas with the standard way of simplifying we simply do not succeed in verifying this applicability condition and fail. Similar phenomena occur, when formulae are simplified too much, or when certain transformations (entailing a danger of non-termination) are forbidden. In a sense, it is not really surprising why current ITP systems (with a substantial degree of automation) have a rather rigid proof search model and not much flexibility concerning the overall control structure (w.r.t., for instance, the possibility of backtracking). We think that the main reason for this actually is the inherent complexity and difficulty of making the right decisions at the right points, of predicting the further outcome of a proof attempt, and of judging/ranking/estimating correctly the consequences of current decisions.

# State of the Art

Let us give some comments on the current state of the art in ITP, based on some evidence from the literature and also from personal experience with ITP and different ITP systems. Of course, it is difficult to make general statements and give a comprehensive overview. We do not really claim any kind of com- pleteness here nor that there exists a consensus about these issues, but rather aim at some conclusions which ideally should trigger further discussions.

* 1. *Assessment, Comparison, Contests?*

As to the state of the art, an assessment and comparison of different ITP systems is very difficult. The reasons for this situation are manifold, and include at least the following:

* There exists no (regular) competition of ITP systems.
* There are no (widely accepted and used) benchmarks.
* The underlying logics and the intended usage of the systems are rather diverse.
* The degree of automation / interaction and the underlying philosophy are often incomparable.
* The usage typically requires quite considerable expertise, or even high fa- miliarity with the system.

Especially the first two aspects above indicate a major difference to the first-order theorem prover community. There, the yearly system competitions

(cf. e.g. [[213](#_bookmark200)], [[214](#_bookmark205)]) and the corresponding databases of benchmarks (cf. e.g. [[215](#_bookmark206)], [[212](#_bookmark201)], [[211](#_bookmark199)]) have been very inspiring and motivated a lot of fruitful developments. In ITP, nothing comparable exists (for reasons which may have become a bit more clear in the presentation above), though there have been discussions and attempts in this direction, cf. e.g. [[111](#_bookmark111)], [[108](#_bookmark106)].

Let us conclude this part with some general observations:

* Full automation in ITP is generally not (yet?) successful.
* The typical usage of such systems is *(speciﬁcation and) proof engineering*

with

* + human guidance for modeling, proof structure and proof ideas,
  + human guidance for lower-level control if necessary,
  + human failure analysis (with few automatic support), and with a
* tradeoff automation – interaction (w.r.t. efficiency, success rate, required expertise, flexibility of control, etc.).
  1. *Successes and Failures*

With certain ITP systems, especially the Boyer-Moore theorem prover NQTHM ([[39](#_bookmark45),[42](#_bookmark48)], [[145](#_bookmark139)]) and its successor ACL2 ([[152](#_bookmark145),[153](#_bookmark146),[151](#_bookmark144),[150](#_bookmark143)]), remarkable results have been achieved. The successes (with a relatively high degree of automa- tion, where, however, a substantial amount of human specification and proof engineering is necessary) include in particular the following aspects:

* The computer supported specification and verification of certain complex systems and relationships is indeed possible, e.g., of
  + the prime factorization theorem,
  + the undecidability of the halting problem,
  + the specification and verification of microprocessors and hardware com- ponents,
  + the specification and verification of compilers and of model checking algo- rithms.
* Often errors in initial specifications and conjectures could be revealed (with human help, from failed proof attempts).

On the other hand, as “failures” one may still consider e.g. the following aspects:

* The degree of automation is in general still rather low.
* Inductive specification and proof engineering continues to be rather tedious and difficult, and requires a substantial amount of expertise and training (by the human user), as well as a relatively high familiarity and most often

precise knowledge about the used ITP system.

* The automatic support for failure analysis is in general unsatisfactory.
* Building-in intelligence has turned out to be much more difficult than ex- pected (by optimists, at least).
  1. *Systems for Induction*

For the sake of illustration let us mention and briefly discuss some of the existing and available ITP systems.

The most successful, widely used, and maintained systems include:

* **ACL2** ([[152](#_bookmark145),[153](#_bookmark146),[151](#_bookmark144),[150](#_bookmark143)]), the successor of NQTHM ([[39](#_bookmark45),[42](#_bookmark48)], [[145](#_bookmark139)]): ACL2

is both a powerful and efficient functional programming language and an ITP system. Its inductive theorem prover deals with the universal fragment of first-order logic. There exists an impressive collection of non-trivial exam- ples (cf. e.g. [[150](#_bookmark143)]). The system has a relatively high degree of automation and sophisticated strategies, heuristics and mechanisms for induction.

* **PVS** ([[190](#_bookmark182),[191](#_bookmark183)], [[189](#_bookmark181)], [[70](#_bookmark71)], [[180](#_bookmark174)] [[179](#_bookmark172)]): PVS provides mechanized sup- port for formal specification and verification. It is based on a powerful framework, namely classical, typed higher-order logic. Reasoning in PVS, especially ITP, is partially automated, and the system includes a modern framework for decision procedures.
* **VSE/INKA** ([[115](#_bookmark113)], [[183](#_bookmark175)], [[7](#_bookmark21)], [[114](#_bookmark112)]): VSE/INKA is a comprehensive tool for supporting the formal software development process. Inductive proofs are one focus area of the system, with sophisticated search control strategies for certain subtasks (during induction). But the system has also substantial support for the whole development process.
* **Isabelle/HOL** ([[194](#_bookmark185),[195](#_bookmark186)], [[187](#_bookmark179)], [[188](#_bookmark180)], [[94](#_bookmark95)], [[173](#_bookmark166),[67](#_bookmark68)]): Isabelle/HOL is a (logical framework and a) generic theorem proving environment as well as a proof assistant. Its main application is the formalization of mathematical proofs and of logical systems, as well as formal verification. The system is very powerful and flexible, however, usually a lot of user interaction with an expert user is required.

Further ITP systems which are also available, but more experimental and not that sophisticated, include e.g. (again, this list is by no means complete)

* **RRL** ([[142](#_bookmark135),[143](#_bookmark136),[144](#_bookmark140)], [[235](#_bookmark219)], [[131](#_bookmark125)], [[234](#_bookmark218)], [[133](#_bookmark128)], [[2](#_bookmark18)], [[129](#_bookmark126),[134](#_bookmark129)]): RRL is rewrite-

based, first-order, and incorporates different inductive proof techniques. It is fairly easy to use and to experiment with. Its working mode is highly automatic.

* **Spike** ([[28](#_bookmark36)], [[32](#_bookmark40)], [[31](#_bookmark39)], [[29](#_bookmark37)], [[26](#_bookmark34)], [[208](#_bookmark196)]): Spike is also rewrite- and saturation- based, and incorporates different inductive proof proof techniques including test set induction. It is based on conditional equations, and works mainly automatically.
* **Oyster/CLAM** ([[55](#_bookmark60)], [[50](#_bookmark55)], [[205](#_bookmark195)], [[46](#_bookmark51),[47](#_bookmark52)], [[51](#_bookmark56),[50](#_bookmark55)]): Oyster/CLAM is a

tactic-based proof editor based on Martin-Lo¨f constructive type theory, together with a proof planner. It incorporates a meta language for con- structing customized tactics for individual conjectures, based especially on rippling techniques.

* **QuodLibet** ([[229](#_bookmark213),[230](#_bookmark214)], [[169](#_bookmark162)], [[168](#_bookmark161)], [[8](#_bookmark24)], [[227](#_bookmark212)]): QuodLibet is the successor system of **UNICOM** ([[82](#_bookmark82),[84](#_bookmark84),[83](#_bookmark83)]. It is both a specification language and an ITP system for data types with partial operations. It has a flexible control, is user-oriented, but with some automation facilities. It allows *lazy* induction proofs and has a sophisticated concept for managing (possibly simultaneous) proof attempts.

# Problems and Challenges

In this section we try to summarize in a concise way what we think are the main problem and challenges in ITP. First we consider **technical, conceptual and logical problems and challenges**:

* Building-in knowledge: When and how to do it?
* Structuring / modularizing specifications and proof tasks: How to do this as automatically as possible?
* Extending decidable cases (classes), cf. also [[78](#_bookmark75),[79](#_bookmark79)], [[126](#_bookmark121)], [[6](#_bookmark20)]: How, and in which direction?
* How to combine ITP system with tools for special purposes, like
  + systems for particular data types and theories,
  + decision procedures for restricted theories,
  + combination mechanisms?
* How to get better methods for goal-directed reasoning?
* How to achieve better methods for look-ahead based reasoning?
* Generalization: When, why, and how to do it?
* Generation of (auxiliary) lemmas: When, why and how?
* How to recognize, analyze and deal appropriately with failure?
* How to make ITP more robust (monotonic, semantic)? [11](#_bookmark14)

11 By *monotonic* we mean here that, when extending or enriching (inductive) specifications

Next we look at **problems and challenges regarding control issues**

(of course, there is a big overlap with the above mentioned aspects, too):

* Good strategies and heuristics are vital in ITP to generate and deal with reasonable proof attempts. The question is how to improve currently em- ployed strategies and heuristics substantially.
* How to achieve progress w.r.t. the basic (but ubiquitous) question in ITP of what to do next, in view of the history, the current data and the knowledge base?
* The overall proof search model of an ITP system
  + is necessarily complex, and should be very flexible;
  + needs both automation and interaction (for proof engineering);
  + should allow for / support interrupts, inspection, failure analysis and relative [12](#_bookmark15) proving;
  + should guarantee correctness requirements, i.e., be sound together with the inference machine;
  + should be compatible with user interaction, navigation (in the search tree), information extraction, and generation of proof objects (for possible later off-line verification in the sense of *proof checking* );
  + should also have different layers (for different types of reasoning);
  + should allow the integration of other tools for sub-tasks and the integration as a subsystem in other systems;
  + needs to be able to understand and integrate strategic and heuristic user input into the proof process.

Finally, from a *software engineering point of view*, problematic and challenging issues are the following:

* How to design / implement / apply a structured control concept for proof search that
  + is user-friendly, fully transparent, intelligible, flexible, extensible and mod- ifiable;

in a consistent way, previously (automatically or partially automatically) generated proofs of inductive properties are still obtained after the extension/enrichment. In existing systems, this is often not the case, since the new data and knowledge items may disturb previous proof processes. By *more semantic* we refer to the fact that the success of proof attempts very often heavily depends on the exact syntactic form of a conjecture, and fails if a slightly different, but semantically equivalent, version is considered. Yet, for obvious reasons it would be nice, if this strong dependence on syntax could be reduced or ideally eliminated, at least for certain cases.

12 By *relative proving* we mean reasoning relative to some yet unproved intermediate as-

sumptions, that eventually also have to be verified, to obtain an overall proof. This way, temporarily invented auxiliary lemmas can be tested on whether they are indeed sufficient for making some main proof go through.

* + generates complete proof objects;
  + has a programmable strategy/heuristics language with clearly defined se- mantics, in which both high- low-level proof ideas can be easily expressed;
  + allows efficient proof engineering in real time;
  + allows unsafe reasoning (relative to unproved lemmas);
  + allows a high degree of automation;
  + enables human user to quickly test / implement / model key ideas;
  + is able to easily and quickly integrate new tools / subtools (e.g., decision procedures);
  + can easily be specialized to specific domains;
  + has an appropriate system for maintaining / adapting / its (large!) knowl- edge base?
* HCI: How to do all this in a smart way as to human computer interaction?

# Some Theses

Here are a few theses about (automated) ITP for which there is no formal proof, but only some evidence: Theses:

* **In the near future, ITP will only be successful for**
  + **very specialized domains (e.g., with fixed axiomatizations)**,
  + **for very restricted classes of conjectures**.
* **ITP will continue to be a very challenging engineering process**.
* Regarding the research question “What could be considered to be substan- tial progress in ITP?”, we think that
  + **increased robustness (more monotonic, semantics based)**,
  + **an improved modularization and improved structuring of theo- ries, proofs, and proof search**, as well as
  + **appropriate framework(s) to model (and implement) strategic proof search control**, that are

expressive,

flexible (extensible, adaptable, programmable), with well-defined semantics, and

layered, and also

* + **benchmarks for ITP problems, together with well-designed pro- posals for ITP contests**

would be elements of such substantial progress.

In fact, we are convinced that substantial progress in ITP will take time, and that spectacular breakthroughs are unrealistic, in view of the enormous problems and the inherent difficulty of inductive theorem proving.

# Conclusion

ITP problems are at the heart of many verification and reasoning tasks in computer science. We have tried to give a thorough, though only high-level, account of *induction* (in the sense of ITP), both regarding the possible ap- proaches, methods, proof techniques and corresponding systems, as well as concerning the main problems in actual proofs, having in mind the goal of a high automation degree. In particular, we have worked out, isolated and discussed the crucial differences to general TP. This comparison also reveals or, better, explains, why automating inductive proofs is much harder than au- tomating general theorem proving. We hope that this analysis and discussion contributes to a better understanding of the essence of ITP, initiates further debates in the ITP community and thus contributes a bit to the further de- velopment of the field.

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