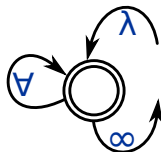
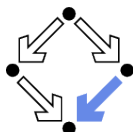


Schematic Cut Elimination and the Ordered Pigeonhole Principle

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and
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- Though, a large portion of the proof analysis was worked out on pen and paper it lead to investigations towards the development of an **inductive CERES method**.
- These investigations lead to the development of the **schematic CERES method** [Dunchev et al. 2013], the method at the heart of the proof analysis we present today.

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- A consequence of this issue is the loss of the sub-formula property.
- A Herbrand sequent cannot be extracted and the relationship between propositional logic and inductive first order is left obfuscated

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- Inductive Lemma:

$$\forall x \left(P(x) \rightarrow P(f(x)) \right) \vdash \forall n \forall x \left(P(x) \rightarrow P(f_l(n, x)) \right)$$

Cuts don't pass over Induction

$$\begin{array}{c}
 \vdots \qquad \qquad \qquad \vdots \\
 \frac{\vdash \forall x (P(x) \rightarrow P(f_I(0, x))) \quad \Gamma, \forall x (P(x) \rightarrow P(f_I(\alpha, x))) \vdash \forall x (P(x) \rightarrow P(f_I(s(\alpha), x)))}{\forall x (P(x) \rightarrow P(f(x))) \vdash \forall x (P(x) \rightarrow P(f_I(\gamma, x)))} \text{IND} \\
 \frac{\forall x (P(x) \rightarrow P(f(x))) \vdash \forall x (P(x) \rightarrow P(f_I(\gamma, x)))}{\forall x (P(x) \rightarrow P(f(x))) \vdash C} \forall_r \\
 \qquad \qquad \qquad \vdots \\
 \frac{\forall x (P(x) \rightarrow P(f(x))) \vdash C \quad C \vdash E_c}{\forall x (P(x) \rightarrow P(f(x))) \vdash E_c} \text{cut}
 \end{array}$$

$$C \equiv \forall n \forall x (P(x) \rightarrow P(f_I(n, x)))$$

- By reductive cut elimination we can eliminate the \forall_r .
- However, we get stuck at the induction due to the change in eigenvariables.

Avoiding Induction

- Instead of n being replaced by an eigenvariable we can consider a term t over the signature $\{0, 1, +, *\}$ s.t. $\vdash n = t$ in Peano arithmetic.
- Removing the induction and replacing it with a sequence of cuts allows reductive cut elimination to occur for any fixed term t .

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 \frac{\frac{\frac{\forall x (P(f(x)) \rightarrow P(f(f_I(t, x))))}{\forall x (P(x) \rightarrow P(f(x))) \vdash} \quad \frac{\varphi(n) :: \forall x (P(x) \rightarrow P(f(x))) \vdash}{\forall x (P(f(x)) \rightarrow P(f(f_I(t, x))))} \\
 \forall x (P(x) \rightarrow P(f_I(s(t), x)))}{\frac{\forall x (P(x) \rightarrow P(f(x))), \forall x (P(x) \rightarrow P(f(x))) \vdash \forall x (P(x) \rightarrow P(f_I(s(t), x)))}{\varphi(n+1) :: \forall x (P(x) \rightarrow P(f(x))) \vdash \forall x (P(x) \rightarrow P(f_I(s(t), x)))} \text{ cut} \\
 c_I \\
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- Though, this method constructs a proof admitting reductive cut-elimination it does not produce a finite representation of the reductive cut elimination for all possible t .

Representing the Proof Sequence

- Let us consider a simple sequence of terms indexing a proof:

$$S \equiv 0, 0 + 1, (0 + 1) + 1, ((0 + 1) + 1) + 1, \dots$$

- If the proof for the $(n + 1)^{\text{th}}$ term of the sequence S assumes that there is a proof associated with the n^{th} term we have a structure similar to induction argument.

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- This can be written more formally in the LKS-calculus using proof links .

LKS-calculus Proof Structure

$$\frac{\Sigma \vdash P(0), \Delta \quad \Pi, P(\alpha) \vdash P(s(\alpha)), \Gamma}{\Pi, \Sigma \vdash P(\beta), \Delta, \Gamma}$$

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LKS-calculus Proof Structure

$$\frac{\frac{\Psi}{\Pi' \vdash \Gamma'}}{\vdots} \quad \frac{\frac{\varphi(0)}{\Sigma \vdash P(0), \Delta}}{\vdots}$$

$$\frac{\vdots}{\Pi'', \Sigma \vdash P(1), \Delta, \Gamma''}$$

$$\frac{\Sigma \vdash P(0), \Delta \quad \Pi, P(\alpha) \vdash P(s(\alpha)), \Gamma}{\Pi, \Sigma \vdash P(\beta), \Delta, \Gamma} \Rightarrow$$

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- As we increase the value of α , the length of the proof increases.
- We get a cyclic proof with internal structure we refer to as **configurations**.
- Configurations refer to the structure of the end sequents at proof links.

Primitive Recursive Proof Representation

- More formally, what we have outlined on the previous slide is a **proof schema pair** φ , i.e.
$$\varphi \equiv (\pi(0), \nu(k+1)).$$
- Essentially a proof written primitive recursively using only one primitive recursion operator.
- Proof schemata are a sequence of ordered proof schema pairs.
- Let us consider a proof schema $\langle \varphi, \psi \rangle$.

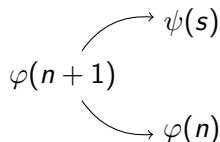
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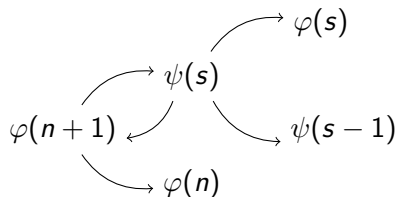
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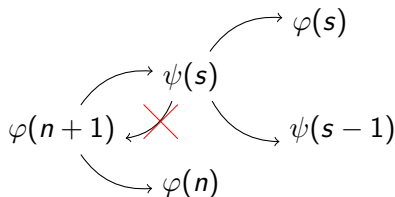
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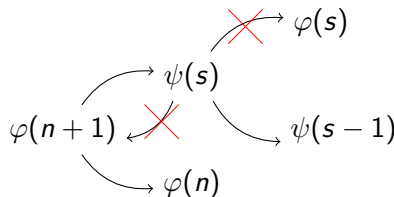
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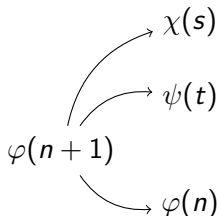
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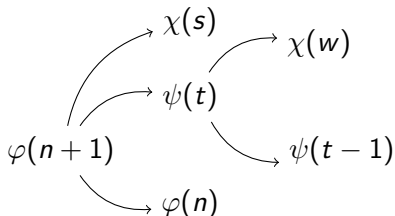
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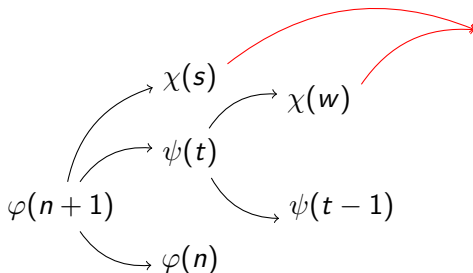
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The two instances of χ were called by different proofs and can have different configurations concerning the ancestors of the cut formulae. The configurations must be denoted during the construction of the clause set.

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 \quad
 \begin{array}{c}
 \frac{\vdash P(c) \quad P(x_0) \vdash P(f(x_0))}{\vdash P(f(c))} \\
 \\
 \vdots \\
 \frac{\vdash P(f^n(c)) \quad P(f^n(x_n)) \vdash P(f^{n+1}(x_n))}{\vdash P(f^{n+1}(c))} \\
 \hline
 \frac{P(f^{n+1}(x_{n+1})) \vdash \quad \vdash P(f^{n+1}(c))}{\vdash}
 \end{array}$$

Schematic Resolution Calculus

- The resolution refutation on the previous slide can be written in the schematic resolution calculus as following:

$$\rho(n+1) \Rightarrow$$

$$r(P(f^{n+2}(x_{n+2})) \vdash; r(\chi(n+1); P(f^{n+1}(x_{n+1})) \vdash P(f^{n+2}(x_{n+1})); P(f^n(c))); P(f^{n+1}(c)))$$

$$\rho(0) \Rightarrow \chi(0)$$

$$\chi(n+1) \Rightarrow r(\chi(n); P(f^n(x_n)) \vdash P(f^{n+1}(x_n)); P(f^n(c)))$$

$$\chi(0) \Rightarrow r(P(c); P(x_0) \vdash P(f(x_0)); P(c))$$

- Unification is not described in the resolution terms nor in the resolution schema, but rather as a substitution schema. In our case it would be $[x \setminus \lambda k.c]$, where $i \in [0, n]$.

End Result of Schematic Cut-elimination

- Unlike the CERES method for FOL, the schematic CERES method does not produce an ACNF.
 - The projections are not constructed.
- The “ACNF” is just a pairing of a resolution refutation schema with a substitution schema.
- Rather than returning a cut-free **LKS**-proof, the final result is a **Herbrand system**.
- To the best of our knowledge, other methods dealing with cut elimination in the presence of Induction cannot produce a Herbrand system being that they do not preserve the sub-formula property.

Weakening the Pigeonhole Principle

- Proof analysis of the full pigeonhole principle (NiA-schema) was attempted but, refuting the clause set was problematic.
- The NiA-schema considers every permutation of pigeon assignment. This translates to the clause set.

Let $f : \mathbb{N} \rightarrow \mathbb{N}_n$, where $n \in \mathbb{N}$, be total, then there exists $i, j \in \mathbb{N}$ such that $i < j$ and $f(i) = f(j)$.

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- Our formal proof of this statement uses the following sequence of lemmata.

$$\begin{aligned} &\exists p \exists q (p, q \in \mathbb{N} \wedge p < q \wedge f(p) = f(q)) \vee \\ &\quad \forall x \exists y (x, y \in \mathbb{N} \wedge x \leq y \wedge f(y) \in \mathbb{N}_{n-1}) \end{aligned}$$

- Problematically, the clause set extract from our formal proof using this lemma was too complex to analyse using our current techniques.

Adding order to PHP(ECA-schema)

- What made analysis of the NiA-schema hard was the complexity of the cut formula.
 - Essentially, we have a sequence of Π_2 cuts.
- Our solution to this problem is to modify the cut formulae to Σ_2 cuts and see how much of the NiA-schema can still be proven in the LKS-calculus.

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- We ended up with the following statement:

Given a total monotonically decreasing function $f : \mathbb{N} \rightarrow \{0, \dots, n\}$, for $n \in \mathbb{N}$, there exists an $x \in \mathbb{N}$ such that for all $y \in \mathbb{N}$, where $x \leq y$, it is the case that $f(x) = f(y)$.

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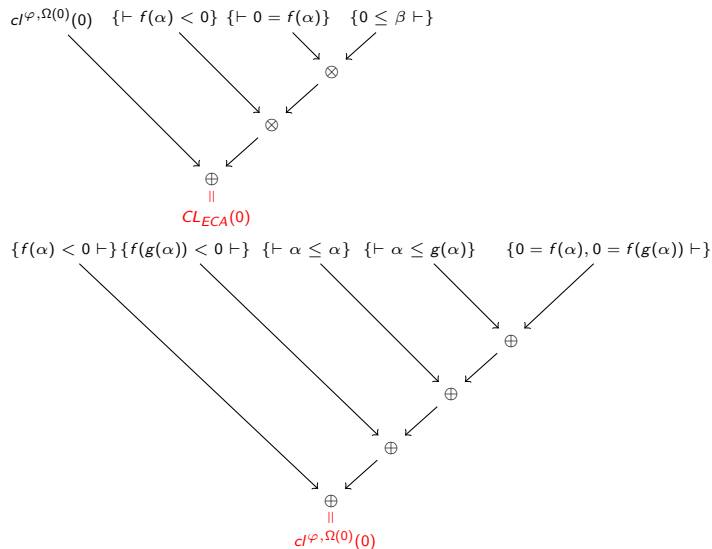
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- Notice that the end sequent contains a Σ_2 formula and needs to be skolemized.
- The cut formula is as follows:

$$\exists x \forall y (((x \leq y) \rightarrow n + 1 = f(y)) \vee f(y) < n + 1)$$

Schematic Clause Set Terms



Schematic Clause Set Terms

$$\begin{array}{c}
 \{0 \leq \beta \vdash\} \\
 \downarrow \\
 \{\vdash n+1 = f(\alpha)\} \rightarrow \otimes \\
 \downarrow \\
 \{\vdash f(\alpha) < n+1\} \rightarrow \otimes \\
 \downarrow \\
 cI^{\varphi, \Omega(n+1)}(n+1) \rightarrow \oplus \\
 \parallel \\
 \textcolor{red}{CLECA(n+1)}
 \end{array}$$

$$\begin{array}{c}
 \{f(\alpha) < n+1, \alpha \leq \beta \vdash n = f(\beta), f(\beta) < n\} \\
 \downarrow \\
 \{f(\beta) < n+1 \vdash f(\beta) < n+1\} \rightarrow \oplus \\
 \downarrow \\
 \{\alpha \leq \beta \vdash \alpha \leq \beta\} \rightarrow \oplus \\
 \downarrow \\
 \{n+1 = f(\beta) \vdash n+1 = f(\beta)\} \rightarrow \oplus \\
 \downarrow \\
 \{\alpha \leq g(\alpha)\} \rightarrow \oplus \\
 \downarrow \\
 \{\vdash \alpha \leq \alpha\} \rightarrow \oplus \\
 \downarrow \\
 \{n+1 = f(\alpha), n+1 = f(g(\alpha)) \vdash\} \rightarrow \oplus \\
 \downarrow \\
 cI^{\varphi, \Omega(n)}(n) \rightarrow \oplus \\
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- Note that $g(\cdot)$ is the skolem symbol. Also,

$$\Omega(n) \equiv \exists x \forall y ((x \leq y) \rightarrow n+1 = f(y)) \vee f(y) < n+1.$$

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 \downarrow \\
 \{\alpha \leq g(\alpha)\} \rightarrow \oplus \\
 \downarrow \\
 \{\vdash \alpha \leq \alpha\} \rightarrow \oplus \\
 \downarrow \\
 \{n+1 = f(\alpha), n+1 = f(g(\alpha)) \vdash\} \rightarrow \oplus \\
 \downarrow \\
 \text{Recursion} \Rightarrow cI^{\varphi, \Omega(n)}(n) \rightarrow \oplus \\
 \parallel \\
 cI^{\varphi, \Omega(n+1)}(n+1)
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- Note that $g(\cdot)$ is the skolem symbol. Also,

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schematic clause

- After extracting the schematic clause set terms, we perform normalization and tautology elimination.
- This results in the following schematic clause set:

$$C1(x, k) \equiv \vdash x(k) \leq x(k)$$

$$C2(x, k) \equiv \vdash x(k) \leq g(x(k))$$

$$C3(x, i, k) \equiv i = f(x(k)), i = f(g(x(k))) \vdash$$

$$C4(x, y, i, k) \equiv y(k) \leq x(k), f(y(k)) < i + 1 \vdash \\ f(x(k)) < i, i = f(x(k))$$

$$C4'(x, y, i, k) \equiv y(k) \leq x(k + 1), f(y(k)) < i + 1 \vdash \\ f(x(k + 1)) < i, i = f(x(k + 1))$$

$$C5(x, k) \equiv f(x(k)) < 0 \vdash$$

$$C6(x, k) \equiv f(g(x(k))) < 0 \vdash$$

$$C7(x, k) \equiv 0 \leq x(k) \vdash f(x(k)) < n, f(x(k)) = n$$

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- Note that x is what is referred to as a **schematic variable**, a variable of type $\omega \rightarrow \iota$.
- This is similar to a second order variable, however, instantiation of k produces a first order variable.

Refutation of the Clause set

- Once we extract the clause set we need a refutation in order to construct the ACNF.
- A problems with Schematic CERES is that both finding the substitution schema and a refutation are **undecidable problems**.

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- A problems with Schematic CERES is that both finding the substitution schema and a refutation are **undecidable problems**.
- However, instantiating the parameter n gives us a first order clause set.
- For example, the following is the clause set for $n = 3$.

$$\vdash x(k) \leq x(k)$$

$$\vdash x(k) \leq g(x(k))$$

$$0 = f(x(k)), 0 = f(g(x(k))) \vdash$$

$$1 = f(x(k)), 1 = f(g(x(k))) \vdash$$

$$2 = f(x(k)), 2 = f(g(x(k))) \vdash$$

$$3 = f(x(k)), 3 = f(g(x(k))) \vdash$$

$$y(k) \leq x(k), f(y(k)) < 1 \vdash$$

$$f(x(k)) < 0, 0 = f(x(k))$$

$$y(k) \leq x(k), f(y(k)) < 2 \vdash$$

$$f(x(k)) < 1, 1 = f(x(k))$$

$$y(k) \leq x(k), f(y(k)) < 3 \vdash$$

$$f(x(k)) < 2, 2 = f(x(k))$$

$$y(k) \leq x(k+1), f(y(k)) < 1 \vdash$$

$$f(x(k+1)) < 0, 0 = f(x(k+1))$$

$$y(k) \leq x(k+1), f(y(k)) < 2 \vdash$$

$$f(x(k+1)) < 1, 1 = f(x(k+1))$$

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$$f(x(k+1)) < 2, 2 = f(x(k+1))$$

$$f(x(k)) < 0 \vdash$$

$$f(g(x(k))) < 0 \vdash$$

$$0 \leq x(k) \vdash f(x(k)) < 3, f(x(k)) = 3$$

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310[0:MRR:309.0,306.1]	$\vdash f(\alpha) < 3$	
311[0:MRR:10.1,310.0]	$\alpha \leq \beta \vdash 2 = f(\beta) \quad f(\beta) < 2$	
312[0:Res:2.0,311.0]	$\vdash 2 = f(\alpha) \quad f(\alpha) < 2$	
314[0:Res:312.0,6.1]	$2 = f(\alpha) \vdash f(g(\beta)) < 2$	
315[0:Res:314.1,11.1]	$2 = f(\alpha) \quad g(\alpha) \leq \beta \vdash 1 = f(\beta) \quad f(\beta) < 1$	
316[0:Res:312.0,315.0]	$g(\alpha) \leq \beta \vdash f(\alpha) < 2 \quad 1 = f(\beta) \quad f(\beta) < 1$	
317[0:Res:2.0,316.0]	$\vdash f(\alpha) < 2 \quad 1 = f(g(\alpha)) \quad f(g(\alpha)) < 1$	
318[0:Res:3.0,316.0]	$\vdash f(\alpha) < 2 \quad 1 = f(g(g(\alpha))) \quad f(g(g(\alpha))) < 1$	
321[0:Res:318.1,7.1]	$1 = f(g(\alpha)) \vdash f(\alpha) < 2 \quad f(g(g(\alpha))) < 1$	
322[0:Res:321.2,14.1]	$1 = f(g(\alpha)) \quad g(g(\alpha)) \leq \beta \vdash f(\alpha) < 2 \quad 0 = f(\beta)$	
325[0:Res:317.1,322.0]	$g(g(\alpha)) \leq \beta \vdash f(\alpha) < 2 \quad f(g(\alpha)) < 1 \quad f(\alpha) < 2 \quad 0 = f(\beta)$	
327[0:Obv:325.1]	$g(g(\alpha)) \leq \beta \vdash f(g(\alpha)) < 1 \quad f(\alpha) < 2 \quad 0 = f(\beta)$	
328[0:Res:2.0,327.0]	$\vdash f(g(\alpha)) < 1 \quad f(\alpha) < 2 \quad 0 = f(g(g(\alpha)))$	
329[0:Res:3.0,327.0]	$\vdash f(g(\alpha)) < 1 \quad f(\alpha) < 2 \quad 0 = f(g(g(g(\alpha))))$	
335[0:Res:329.2,8.1]	$0 = f(g(g(\alpha))) \vdash f(g(\alpha)) < 1 \quad f(\alpha) < 2$	
336[0:MRR:335.0,328.2]	$\vdash f(g(\alpha)) < 1 \quad f(\alpha) < 2$	
337[0:Res:336.0,14.1]	$g(\alpha) \leq \beta \vdash f(\alpha) < 2 \quad 0 = f(\beta)$	
338[0:Res:2.0,337.0]	$\vdash f(\alpha) < 2 \quad 0 = f(g(\alpha))$	
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344[0:Res:339.1,8.1]	$0 = f(g(\alpha)) \vdash f(\alpha) < 2$	
345[0:MRR:344.0,338.1]	$\vdash f(\alpha) < 2$	

Spass output
n=5

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Spass output

n=5

Notice the
invariant used
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A resolution proof schema $\mathcal{R}(n)$ is a structure $(\varrho_1, \dots, \varrho_\alpha)$ together with a set of rewrite rules $\mathcal{R} = \mathcal{R}_1 \cup \dots \cup \mathcal{R}_\alpha$, where the \mathcal{R}_i (for $1 \leq i \leq \alpha$) are pairs of rewrite rules

$$\varrho_i(0, \overline{w}, \overline{u}, \overline{X}) \rightarrow \eta_i \text{ and } \varrho_i(k+1, \overline{w}, \overline{u}, \overline{X}) \rightarrow \eta'_i$$

where, \overline{w} , \overline{u} , and \overline{X} are vectors of ω , schematic, and clause variables respectively, η_i is a resolution term over terms of the form $\varrho_j(a_j, \overline{m}, \overline{t}, \overline{C})$ for $i < j \leq \alpha$, and η'_i is a resolution term over terms of the form $\varrho_j(a_j, \overline{m}, \overline{t}, \overline{C})$ and $\varrho_i(k, \overline{m}, \overline{t}, \overline{C})$ for $i < j \leq \alpha$; by a_j , we denote a term of the ω sort.

Refutation of the Clause set

- These scratch pad variables are used in our refutation as follows:

$$\varrho_4(n+1, k, x, y, Y) \Rightarrow$$

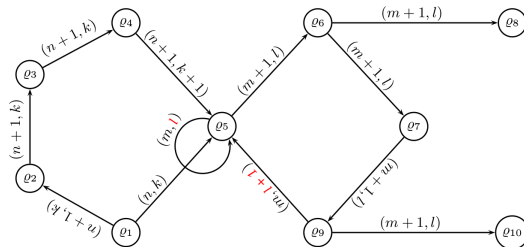
$$r(\varrho_5(n, k+1, x, y, Y \circ f(x(k+1))) < n+1 \vdash); r(C2(x, k); C7(x, k+1); f(x(k+1)) < n+1)$$

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From Refutation to Herbrand System

- The schematic refutation is represented by the following term:

$$\rho_{ECA}(\gamma) = \varrho_1(n, k, x, y, Y) \theta \nu \vartheta [n \leftarrow \gamma] = \varrho_1(\gamma, \bar{\mu}, \lambda_k.(i_s(k)), \lambda_k.(h(k)), \vdash)$$

where $\gamma \in \mathbb{N}$, ϑ is the substitution schema, the clause substitution is

$\theta = \{Y \leftarrow \vdash\}$, the ω -variable substitution is $\nu = \{k \leftarrow \bar{\mu}\}$ for any $\bar{\mu} \in \mathbb{N}$, and $i_s(0) = 0$, $i_s(s(k)) = s(i_s(k))$.

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- The pair $(\rho_{ECA}(\gamma), \vartheta)$ is the ACNF of the proof schema
- Our next step is to derive a Herbrand system based on the following sps-schema derived from the end sequent:

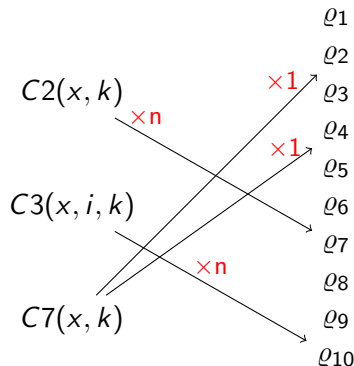
$$S(n) \equiv (\forall x \bigvee_{i=0}^n i = f(x), \forall y (0 \leq y \rightarrow f(y) \leq f(0))) \vdash \\ \exists x (x \leq g(x) \rightarrow f(x) = f(g(x)))$$

Herbrand System Extraction

- To derive a Herbrand System we need to investigate how the end sequent formulae are passed down the ACNF.
- Only clauses C2, C3 and C7 have corresponding end sequent formulae.

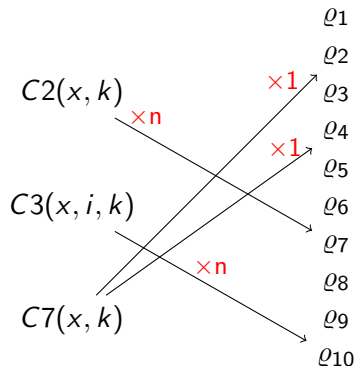
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- This results in the following substitution rewrite system.

$$\mathcal{R} = \begin{cases} w_1^\varphi(k+1) \Rightarrow [[0]; [g(0)]] \\ w_1^\varphi(0) \Rightarrow [[0]; [g(0)]] \\ w_2^\varphi(k+1) \Rightarrow [[0]; [g(0)]] \\ w_2^\varphi(0) \Rightarrow [[0]; [g(0)]] \\ w_1^\psi(k+1) \Rightarrow [[h(k+1)]; w_1^\psi(k)] \\ w_1^\psi(0) \Rightarrow [0] \end{cases}$$

Herbrand System

- Putting everything together we get the following Herbrand sequent.

$$\bigvee_{i=0}^n i = f(0), \bigvee_{i=0}^n i = f(g(0)), (0 \leq 0 \rightarrow f(0) \leq f(0)),$$

$$(0 \leq g(0) \rightarrow f(g(0)) \leq f(0)) \vdash \bigvee_{i=0}^n (h(i) \leq g(h(i)) \rightarrow f(h(i)) = f(g(h(i))))$$

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$$f(\alpha) < n + 1, \alpha \leq \beta \vdash n = f(\beta), f(\beta) < n$$

- We started from a specific axiom set that enforces the constraints placed on $f()$ and $g()$

Axioms for our Theory

- The axiom set is as follows:

$$A1(i) : \bigvee_{j=0}^{i-1} j = f(\alpha), i = f(g(\alpha)), f(g(\alpha)) < f(\alpha) \vdash$$

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- Interestingly enough a minimal Herbrand sequent can have the induction completely removed.

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 - 2) Unfortunately, the proof chosen initially, NIA-schema way too complex for the current method.
 - 3) We weakened the cuts of the NIA-schema and derived a new proof, the ECA-schema, which we can handle.
- We then carried out the proof analysis of the ECA-schema and algorithmically derived a Herbrand system.

Open Problems and Future Work

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- If not, what class of proof schema is the current method complete for?

Thank you for your time.

