

Mathematical Induction

(Based on [Manber 1989])

Yih-Kuen Tsay

Department of Information Management National Taiwan University

The Standard Induction Principle



- lacktriangle Let T be a theorem that includes a parameter n whose value can be any natural number.
- Here, natural numbers are positive integers, i.e., 1, 2, 3, ..., excluding 0 (sometimes we may include 0).
- \odot To prove T, it suffices to prove the following two conditions:
 - $\red{*}$ T holds for n=1. (Base case)
 - For every n > 1, if T holds for n 1, then T holds for n. (Inductive step)
- \odot The assumption in the inductive step that T holds for n-1 is called the *induction hypothesis*.

A Simple Proof by Induction



Theorem (2.1)

For all natural numbers x and n, $x^n - 1$ is divisible by x - 1.

Proof.

(Suggestion: try to follow the structure of this proof when you present a proof by induction.)

The proof is by induction on n.

Base case (n = 1): x - 1 is trivially divisible by x - 1.

Inductive step (n > 1): $x^n - 1 = x(x^{n-1} - 1) + (x - 1)$. $x^{n-1} - 1$ is divisible by x - 1 from the induction hypothesis and x - 1 is divisible by x - 1. Hence, $x^n - 1$ is divisible by x - 1.

Note: a is divisible by b if there exists an integer c such that $a = b \times c$.

Variants of Induction Principle



Theorem

If a statement T, with a parameter n, is true for n = 1, and if, for every $n \ge 1$, the truth of T for n implies its truth for n + 1, then T is true for all natural numbers.

Variants of Induction Principle



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If a statement T, with a parameter n, is true for n=1, and if, for every $n \ge 1$, the truth of T for n implies its truth for n+1, then T is true for all natural numbers.

Theorem (Strong Induction)

If a statement T, with a parameter n, is true for n=1, and if, for every n>1, the truth of T for all natural numbers < n implies its truth for n, then T is true for all natural numbers.

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Theorem (Strong Induction)

If a statement T, with a parameter n, is true for n=1, and if, for every n>1, the truth of T for all natural numbers < n implies its truth for n, then T is true for all natural numbers.

Theorem

If a statement T, with a parameter n, is true for n=1 and for n=2, and if, for every n>2, the truth of T for n-2 implies its truth for n, then T is true for all natural numbers.

Design by Induction: First Glimpse



- The selection sort, for instance, can be seen as constructed using design by induction:
 - 1. When there is only one element, we are done.
 - 2. When there are n > 1 elements, we
 - 2.1 select the largest element,
 - 2.2 place it behind the remaining n-1 elements, and
 - 2.3 sort the remaining n-1 elements.

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- How can we obtain a more efficient algorithm via design by induction?

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- This looks simple enough, but the selection sort isn't very efficient.
- How can we obtain a more efficient algorithm via design by induction?
- To see the power of design by induction, let's look at a less familiar example.



Problem

Given two sorted arrays A[1..m] and B[1..n] of positive integers, find their smallest common element; returns 0 if no common element is found.

- Assume the elements of each array are in ascending order.
- **Obvious solution**: take one element at a time from A and find out if it is also in B (or the other way around).



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- Assume the elements of each array are in ascending order.
- **Obvious solution**: take one element at a time from A and find out if it is also in B (or the other way around).
- How efficient is this solution?
- Can we do better?



- There are m + n elements to begin with.
- Can we pick out one element such that either (1) it is the element we look for or (2) it can be ruled out from subsequent searches?
- In the second case, we are left with the same problem but with m+n-1 elements?



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- Can we pick out one element such that either (1) it is the element we look for or (2) it can be ruled out from subsequent searches?
- In the second case, we are left with the same problem but with m+n-1 elements?
- **ldea**: compare the current first elements of A and B.
 - 1. If they are equal, then we are done.
 - 2. If not, the smaller one cannot be the smallest common element.





Below is the complete solution:

Algorithm

```
Algorithm SCE(A, m, B, n) : integer; begin if m = 0 or n = 0 then SCE := 0; if A[1] = B[1] then SCE := A[1]; else if A[1] < B[1] then SCE := SCE(A[2..m], m - 1, B, n); else SCE := SCE(A, m, B[2..n], n - 1); end
```



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- To solve practical problems with computers,
 - objects/things in a practical domain must be modeled as (mostly discrete) mathematical structures/sets, and
 - various manipulations of the objects become functions on the corresponding mathematical structures.
- Many mathematical structures are naturally defined by induction.
- Functions on inductive structures are also naturally defined by induction (recursion).

Recursively/Inductively-Defined Sets



- ightharpoonup The set $\mathbb N$ of natural numbers, including 0:
 - 1. Base case: 0 is a natural number $(0 \in \mathbb{N})$.
 - 2. Inductive step: if n is a natural number $(n \in \mathbb{N})$, then n+1 is also a natural number $((n+1) \in \mathbb{N})$.

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- \odot The set \mathbb{N}_1 of natural numbers, excluding 0:
 - 1. Base case: 1 is a natural number.
 - 2. Inductive step: if n is a natural number, then n+1 is also a natural number.

Recursively/Inductively-Defined Sets



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 - 1. Base case: 1 is a natural number.
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Note: When n = n' + 1 for some $n' \in \mathbb{N}$, we write n' as n - 1; similarly, for $n' \in \mathbb{N}_1$. The factorial function $fac : \mathbb{N} \to \mathbb{N}_1$, for example, can be defined inductively as follows:

$$\mathit{fac}(n) = \left\{ egin{array}{ll} 1 & \mbox{if } n = 0 \\ n imes \mathit{fac}(n-1) & \mbox{otherwise} \end{array}
ight.$$

Recursively/Inductively-Defined Sets (cont.)



- Binary trees:
 - 1. Base case: the empty tree is a binary tree.
 - 2. Inductive step: if L and R are binary trees, then a node with L and R as the left and the right children is also a binary tree.

Recursively/Inductively-Defined Sets (cont.)



- Binary trees:
 - 1. Base case: the empty tree is a binary tree.
 - 2. Inductive step: if L and R are binary trees, then a node with L and R as the left and the right children is also a binary tree.
- Nonempty binary trees:
 - 1. Base case: a single root node (without any child) is a binary tree.
 - 2. Inductive step: if L and R are binary trees, then a node with L as the left child and/or R as the right child is also a binary tree.

Structural Induction



- Structural induction is a generalization of mathematical induction on the natural numbers.
- It is used to prove that some proposition P(x) holds for all x of some sort of recursively/inductively defined structure such as binary trees.

Structural Induction



- Structural induction is a generalization of mathematical induction on the natural numbers.
- It is used to prove that some proposition P(x) holds for all x of some sort of recursively/inductively defined structure such as binary trees.
- Proof by structural induction:
 - 1. Base case: the proposition holds for all the minimal structures.
 - 2. Inductive step: if the proposition holds for the immediate substructures of a certain structure *S*, then it also holds for *S*.

Another Simple Example



Theorem (2.4)

If n is a natural number and 1+x>0, then $(1+x)^n>1+nx$.

Below are the key steps:

$$(1+x)^{n+1} = (1+x)(1+x)^n$$

{induction hypothesis and $1+x>0$ }
 $\geq (1+x)(1+nx)$
 $= 1+(n+1)x+nx^2$
 $\geq 1+(n+1)x$

😚 The main point here is that we should be clear about how conditions listed in the theorem are used

Proving vs. Computing



Theorem (2.2)

$$1+2+\cdots+n=\tfrac{n(n+1)}{2}.$$

- This can be easily proven by induction.
- Steps: $1 + 2 + \cdots + n + (n+1) = \frac{n(n+1)}{2} + (n+1) = \frac{n(n+1)}{2}$ $\frac{n^2+n+2n+2}{n^2} = \frac{n^2+3n+2}{n^2} = \frac{(n+1)(n+2)}{n^2} = \frac{(n+1)((n+1)+1)}{n^2}$

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- 😚 Induction seems to be useful only if we already know the sum.
- What if we are asked to compute the sum of a series?

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- 😚 Induction seems to be useful only if we already know the sum.
- What if we are asked to compute the sum of a series?
- Let's try $8+13+18+23+\cdots+(3+5n)$.

Proving vs. Computing (cont.)



- Idea: guess and then verify by an inductive proof!
- \odot The sum should be of the form $an^2 + bn + c$.
- ightharpoonup By checking n=1, 2, and 3, we get $rac{5}{2}n^2+rac{11}{2}n$.
- Verify this for all n (1, 2, 3, and beyond), i.e., the following theorem, by induction.

Theorem (2.3)

$$8+13+18+23+\cdots+(3+5n)=\frac{5}{2}n^2+\frac{11}{2}n$$
.

A Summation Problem



$$\begin{array}{ccccccc} 1 & = & 1 \\ 3+5 & = & 8 \\ 7+9+11 & = & 27 \\ 13+15+17+19 & = & 64 \\ 21+23+25+27+29 & = & 125 \end{array}$$

Theorem

The sum of row n in the triangle is n^3 .

A Summation Problem



Theorem

The sum of row n in the triangle is n^3 .

The base case is clearly correct. For the inductive step, examine the difference between rows i+1 and i ...

A Summation Problem (cont.)



Suppose row i starts with an odd number j whose exact value is not important.

So, ? (the last number of row i + 1) must be $3i^2 + 3i + 1 - 2i \times i = i^2 + 3i + 1$, if the conjecture is correct.

Lemma

The last number in row i + 1 is $i^2 + 3i + 1$.

A Simple Inequality



Theorem (2.7)

$$\frac{1}{2} + \frac{1}{4} + \frac{1}{8} + \cdots + \frac{1}{2^n} < 1$$
, for all $n \ge 1$.

There are at least two ways to select n terms from n+1 terms.

1.
$$\left(\frac{1}{2} + \frac{1}{4} + \frac{1}{8} + \dots + \frac{1}{2^n}\right) + \frac{1}{2^{n+1}}$$
.

A Simple Inequality



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- \bigcirc There are at least two ways to select n terms from n+1 terms.
 - 1. $\left(\frac{1}{2} + \frac{1}{4} + \frac{1}{8} + \cdots + \frac{1}{2^n}\right) + \frac{1}{2^{n+1}}$.
 - 2. $\frac{1}{2} + (\frac{1}{4} + \frac{1}{8} + \cdots + \frac{1}{2n} + \frac{1}{2n+1}).$
- The second one leads to a successful inductive proof:

$$\frac{1}{2} + \left(\frac{1}{4} + \frac{1}{8} + \dots + \frac{1}{2^n} + \frac{1}{2^{n+1}}\right)$$

$$= \frac{1}{2} + \frac{1}{2}\left(\frac{1}{2} + \frac{1}{4} + \dots + \frac{1}{2^{n-1}} + \frac{1}{2^n}\right)$$

$$< \frac{1}{2} + \frac{1}{2}$$

$$= 1$$

Euler's Formula



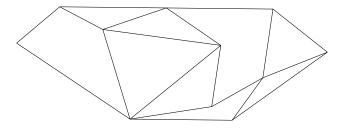


Figure: A planar map with 11 vertices, 19 edges, and 10 faces.

Source: redrawn from [Manber 1989, Figure 2.2].

Euler's Formula (cont.)



Theorem (2.8)

The number of vertices (V), edges (E), and faces (F) in an arbitrary connected planar graph are related by the formula V + F = E + 2.

Euler's Formula (cont.)



Theorem (2.8)

The number of vertices (V), edges (E), and faces (F) in an arbitrary connected planar graph are related by the formula V + F = E + 2.

The proof is by induction on the number of faces. Base case (F = 1): connected planar graphs with only one face are trees. So, we need to prove the equality V+1=E+2 or V-1=E for trees, namely the following lemma:

Lemma

A tree with V vertices has V-1 edges.

Inductive step (F > 1): for a graph with more than one faces, there must be a cycle in the graph. Remove one edge from the cyle ...

Gray Codes



- A Gray code (after Frank Gray) for n objects is a binary-encoding scheme for naming the n objects such that the n names can be arranged in a circular list where any two adjacent names, or code words, differ by only one bit.
- Examples:
 - ∅ 00, 01, 11, 10
 - 000, 001, 011, 010, 110, 111, 101, 100
 - 🌞 000, 001, 011, 111, 101, 100

A Gray Code in Picture



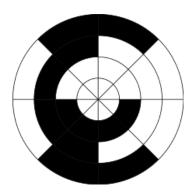


Figure: A rotary encoder using a 3-bit Gray code.

Source: Wikipedia.



Theorem (2.10)

There exist Gray codes of length $\frac{k}{2}$ for any positive even integer k.



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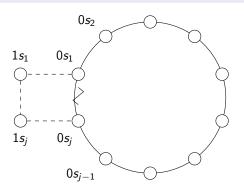


Figure: Constructing a Gray code of size k = j + 2, where j is even, from another of a smaller size *i*.

Mathematical Induction



Theorem (2.10+)

There exist Gray codes of length $\log_2 k$ for any positive integer k that is a power of 2.



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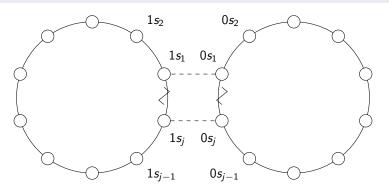


Figure: Constructing a Gray code from two smaller ones (k = 2j).



- 📀 00, 01, 11, 10 (for 2² objects)
- 📀 000, 001, <mark>0</mark>11, <mark>0</mark>10 (add a 0)
- 😚 100, 101, 111, 110 (add a 1)
- Combine the preceding two codes (read the second in reversed order):
 - 000, 001, 011, 010, 110, 111, 101, 100 (for 2³ objects)



Theorem (2.11-)

There exist Gray codes of length $\lceil \log_2 k \rceil$ for any positive even integer k.



Theorem (2.11-)

There exist Gray codes of length $\lceil \log_2 k \rceil$ for any positive even integer k.

To generalize the result and ease the proof, we allow a Gray code to be *open* where the last name and the first name may differ by more than one bit.



Theorem (2.11)

There exist Gray codes of length $\lceil \log_2 k \rceil$ for any positive integer $k \geq 2$. The Gray codes for the even values of k are closed, and the Gray codes for odd values of k are open.



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There exist Gray codes of length $\lceil \log_2 k \rceil$ for any positive integer $k \geq 2$. The Gray codes for the even values of k are closed, and the Gray codes for odd values of k are open.

We in effect make the theorem stronger. A stronger theorem may be easier to prove, as we have a stronger induction hypothesis.



- 00, 01, 11 (open Gray code for 3 objects)
- 📀 000, <mark>0</mark>01, <mark>0</mark>11 (add a 0)
- 📀 100, 101, 111 (add a 1)
- Combine the preceding two codes (read the second in reversed order):
 - 000, 001, 011, 111, 101, 100 (closed Gray code for 6 objects)



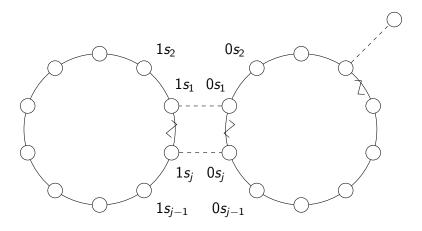


Figure: Constructing an open Gray code, for k = 2j + 1.

Source: adapted from [Manber 1989, Figure 2.5].

Arithmetic vs. Geometric Mean



Theorem (2.13)

If x_1, x_2, \ldots, x_n are all positive numbers, then

$$(x_1x_2\cdots x_n)^{\frac{1}{n}}\leq \frac{x_1+x_2+\cdots+x_n}{n}.$$

Arithmetic vs. Geometric Mean



Theorem (2.13)

If
$$x_1, x_2, \dots, x_n$$
 are all positive numbers, then $(x_1x_2\cdots x_n)^{\frac{1}{n}}\leq \frac{x_1+x_2+\cdots+x_n}{n}.$

First use the standard induction to prove the case of powers of 2 and then use the reversed induction principle below to prove for all natural numbers.

Theorem (Reversed Induction Principle)

If a statement P, with a parameter n, is true for an infinite subset of the natural numbers, and if, for every n > 1, the truth of P for n implies its truth for n-1, then P is true for all natural numbers.



- For all powers of 2, i.e., $n = 2^k$, $k \ge 1$: by induction on k.
- \bigcirc Base case: $(x_1x_2)^{\frac{1}{2}} \leq \frac{x_1+x_2}{2}$, squaring both sides



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- \odot Base case: $(x_1x_2)^{\frac{1}{2}} \leq \frac{x_1+x_2}{2}$, squaring both sides
- Inductive step:

$$(x_1x_2\cdots x_{2^{k+1}})^{\frac{1}{2^{k+1}}}$$



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- Inductive step:

$$(x_1x_2\cdots x_{2^{k+1}})^{\frac{1}{2^{k+1}}}$$

$$= [(x_1x_2\cdots x_{2^{k+1}})^{\frac{1}{2^k}}]^{\frac{1}{2}}$$



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$$(x_1 x_2 \cdots x_{2^{k+1}})^{\frac{1}{2^{k+1}}}$$

$$= [(x_1 x_2 \cdots x_{2^{k+1}})^{\frac{1}{2^k}}]^{\frac{1}{2}}$$

$$= [(x_1 x_2 \cdots x_{2^k})^{\frac{1}{2^k}} (x_{2^k+1} x_{2^k+2} \cdots x_{2^{k+1}})^{\frac{1}{2^k}}]^{\frac{1}{2}}$$



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- \bigcirc Base case: $(x_1x_2)^{\frac{1}{2}} \leq \frac{x_1+x_2}{2}$, squaring both sides
- Inductive step:

$$\begin{array}{ll} & (x_1x_2\cdots x_{2^{k+1}})^{\frac{1}{2^k+1}}\\ = & [(x_1x_2\cdots x_{2^{k+1}})^{\frac{1}{2^k}}]^{\frac{1}{2}}\\ = & [(x_1x_2\cdots x_{2^k})^{\frac{1}{2^k}}(x_{2^k+1}x_{2^k+2}\cdots x_{2^{k+1}})^{\frac{1}{2^k}}]^{\frac{1}{2}}\\ \leq & \frac{(x_1x_2\cdots x_{2^k})^{\frac{1}{2^k}}+(x_{2^k+1}x_{2^k+2}\cdots x_{2^{k+1}})^{\frac{1}{2^k}}}{2}, \text{ from the base case}\\ \leq & \frac{\frac{x_1+x_2+\cdots +x_{2^k}}{2^k}+\frac{x_{2^k+1}+x_{2^k+2}+\cdots +x_{2^{k+1}}}{2^k}}{2}, \text{ from the Ind. Hypo.} \end{array}$$



- For all powers of 2, i.e., $n = 2^k$, $k \ge 1$: by induction on k.
- Inductive step:



- For all natural numbers: by reversed induction on n.
- Base case: the theorem holds for all powers of 2.



- For all natural numbers: by reversed induction on n.
- Base case: the theorem holds for all powers of 2.
- Inductive step: observe that

$$\frac{x_1 + x_2 + \dots + x_{n-1}}{n-1} = \frac{x_1 + x_2 + \dots + x_{n-1} + \frac{x_1 + x_2 + \dots + x_{n-1}}{n-1}}{n}.$$



$$(x_1x_2\cdots x_{n-1}(\frac{x_1+x_2+\cdots+x_{n-1}}{n-1}))^{\frac{1}{n}} \le \frac{x_1+x_2+\cdots+x_{n-1}+\frac{x_1+x_2+\cdots+x_{n-1}}{n-1}}{n}$$
 (from the Ind. Hypo.)



$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right))^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1} + \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}}{n}$$
 (from the Ind. Hypo.)
$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right))^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}$$



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$$(from the Ind. Hypo.)$$

$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right))^{\frac{1}{n}} \leq \frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1}$$

$$(x_1 x_2 \cdots x_{n-1} \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right)) \leq \left(\frac{x_1 + x_2 + \cdots + x_{n-1}}{n-1} \right)^n$$



$$(x_{1}x_{2}\cdots x_{n-1}(\frac{x_{1}+x_{2}+\cdots+x_{n-1}}{n-1}))^{\frac{1}{n}} \leq \frac{x_{1}+x_{2}+\cdots+x_{n-1}+\frac{x_{1}+x_{2}+\cdots+x_{n-1}}{n-1}}{n}$$
(from the Ind. Hypo.)
$$(x_{1}x_{2}\cdots x_{n-1}(\frac{x_{1}+x_{2}+\cdots+x_{n-1}}{n-1}))^{\frac{1}{n}} \leq \frac{x_{1}+x_{2}+\cdots+x_{n-1}}{n-1}$$

$$(x_{1}x_{2}\cdots x_{n-1}(\frac{x_{1}+x_{2}+\cdots+x_{n-1}}{n-1})) \leq (\frac{x_{1}+x_{2}+\cdots+x_{n-1}}{n-1})^{n}$$

$$(x_{1}x_{2}\cdots x_{n-1}) \leq (\frac{x_{1}+x_{2}+\cdots+x_{n-1}}{n-1})^{n-1}$$



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Loop Invariants



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- An *invariant* at some point of a program is an assertion that holds whenever execution of the program reaches that point.
- Invariants are a bridge between the static text of a program and its dynamic computation.
- An invariant at the front of a while loop is called a loop invariant of the while loop.
- A loop invariant is formally established by induction.
 - Base case: the assertion holds right before the loop starts.
 - Inductive step: assuming the assertion holds before the *i*-th iteration ($i \ge 1$), it holds again after the iteration.

A Variant of Euclid's Algorithm



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Algorithm

```
Algorithm myEuclid(m, n);
begin
   // assume that m > 0 and n > 0
   x := m;
   y := n;
   while x \neq y do
       if x < y then swap(x,y);
       x := x - y;
   od
```

end

A Variant of Euclid's Algorithm (cont.)



Theorem (Correctness of myEuclid)

When Algorithm myEuclid terminates, x or y stores the value of gcd(m, n) (assuming that m, n > 0 initially).

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Lemma

Let Inv(m, n, x, y) denote the assertion:

$$x > 0 \land y > 0 \land \gcd(x,y) = \gcd(m,n).$$

Then, Inv(m, n, x, y) is a loop invariant of the while loop, assuming that m, n > 0 initially.

A Variant of Euclid's Algorithm (cont.)



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When Algorithm myEuclid terminates, x or y stores the value of gcd(m, n) (assuming that m, n > 0 initially).

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Let Inv(m, n, x, y) denote the assertion:

$$x > 0 \land y > 0 \land \gcd(x, y) = \gcd(m, n).$$

Then, Inv(m, n, x, y) is a loop invariant of the while loop, assuming that m, n > 0 initially.

The loop invariant is sufficient to deduce that, when the while loop terminates, i.e., when x = y, either x or y stores the value of gcd(x, y), which equals gcd(m, n).

Proof of a Loop Invariant



- The proof is by induction on the number of times the loop body is executed.
- More specifically, we show that
 - the assertion is true when the flow of control reaches the loop for the first time and
 - given that the assertion is true and the loop condition holds, the assertion will remain true after the next iteration (i.e., after the loop body is executed once more).