

Computational content of proofs involving coinduction

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Proof: 2 aspects

- ▶ provides insight (uniformity)
- ▶ may have **computational content**

Mathematics = logic + data + inductive definitions

- ▶ Logic: minimal, intro and elim for \rightarrow , \forall
- ▶ Proof \sim lambda-term (Curry-Howard correspondence)
- ▶ Can embed classical and intuitionistic logic

Computable functionals

Arguments of any finite type, not only numbers and functions.

- ▶ **Principle of finite support.** If $\mathcal{H}(\Phi)$ is defined with value n , then there is a finite approximation Φ_0 of Φ such that $\mathcal{H}(\Phi_0)$ is defined with value n .
- ▶ **Monotonicity principle.** If $\mathcal{H}(\Phi)$ is defined with value n and Φ' extends Φ , then also $\mathcal{H}(\Phi')$ is defined with value n .
- ▶ **Effectivity principle.** An object is computable iff its set of finite approximations is (primitive) recursively enumerable (or equivalently, Σ_1^0 -definable).

Tokens, consistency and entailment at base types

Types

- ▶ Base types ι : free algebras, given by constructors (e.g. 0, S).
- ▶ Function types: $\rho \rightarrow \sigma$.

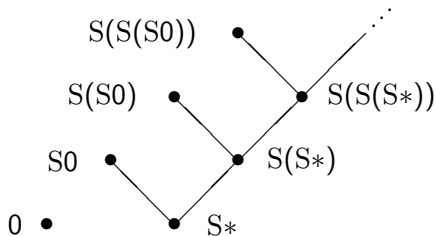
Example: $\iota := \mathbf{D}$ (**derivations**, or binary trees), by constructors \circ (leaf, or nil) and $C : \mathbf{D} \rightarrow \mathbf{D} \rightarrow \mathbf{D}$ (branch, or cons).

- ▶ **Token** $a^{\mathbf{D}}$: $\circ, C*\circ, C\circ*, C(C*\circ)\circ$.
- ▶ $U^{\mathbf{D}} := \{a_1, \dots, a_n\}$ **consistent** if
 - ▶ all a_i start with the same constructor,
 - ▶ (proper) tokens at j -th argument positions are consistent (example: $\{C*\circ, C\circ*\}$).
- ▶ $U^{\mathbf{D}} \vdash a$ (**entails**) if
 - ▶ all $a_i \in U$ and a start with the same constructor,
 - ▶ (proper) tokens at j -th argument positions of a_i entail j -th argument of a (example: $\{C*\circ, C\circ*\} \vdash C\circ\circ$).

An **ideal** x^ρ is a (possibly infinite) set of tokens which is

- ▶ consistent and
- ▶ closed under entailment.

Tokens and entailment for **N**



$\{a\} \vdash b$ iff there is a path from a (up) to b (down).

Total and cototal ideals of base type

An ideal x^l is **cototal** if every constructor tree $P(*) \in x$ has a “ \succ_1 -predecessor” $P(C\vec{*}) \in x$; it is **total** if it is cototal and the relation \succ_1 on x is well-founded.

Examples. **N**:

- ▶ Every total ideal is the deductive closure of a token $S(S \dots (S0) \dots)$. The set of all tokens $S(S \dots (S*) \dots)$ is a cototal ideal.

D (derivations):

- ▶ Total ideal \sim finite derivation.
- ▶ Cototal ideal \sim finite or infinite “locally correct” derivation [Mints 78].
- ▶ Arbitrary ideal \sim incomplete derivation, with “holes”.

Tokens, consistency and entailment at function types

Ideals: **partial continuous functionals** $f^{\rho \rightarrow \sigma}$ (Scott, Ershov).

- ▶ Tokens of type $\rho \rightarrow \sigma$ are pairs (U, a) with $U \in \text{Con}_\rho$.
- ▶ $\{(U_i, a_i) \mid i \in I\} \in \text{Con}_{\rho \rightarrow \sigma}$ means

$$\forall J \subseteq I (\bigcup_{j \in J} U_j \in \text{Con}_\rho \rightarrow \{a_j \mid j \in J\} \in \text{Con}_\sigma).$$

“Formal neighborhood”.

- ▶ $W \vdash_{\rho \rightarrow \sigma} (U, a)$ means $WU \vdash_\sigma a$, where application WU of $W = \{(U_i, a_i) \mid i \in I\}$ to U is $\{a_i \mid U \vdash_\rho U_i\}$.

Application of $f^{\rho \rightarrow \sigma}$ to x^ρ is

$$f(x) := \{a^\sigma \mid \exists U \subseteq x (U, a) \in f\}.$$

Principles of finite support and monotonicity hold.

Computable functionals

A partial continuous functional f^ρ is **computable** if it is a (primitive) recursively enumerable set of tokens.

How to define computable functionals? By **computation rules**

$$D\vec{P}_i(\vec{y}_i) = M_i \quad (i = 1, \dots, n)$$

with free variables of $\vec{P}_i(\vec{y}_i)$ and M_i among \vec{y}_i , where $\vec{P}_i(\vec{y}_i)$ are “constructor patterns”.

Terms (a common extension of Gödel's T and Plotkin's PCF)

$$M, N ::= x^\rho \mid C^\rho \mid D^\rho \mid (\lambda_{x^\rho} M^\sigma)^{\rho \rightarrow \sigma} \mid (M^{\rho \rightarrow \sigma} N^\rho)^\sigma.$$

Examples

$+: \mathbf{N} \rightarrow \mathbf{N} \rightarrow \mathbf{N}$ defined by

$$\begin{aligned}n + 0 &= n, \\n + Sm &= S(n + m).\end{aligned}$$

$Y: (\tau \rightarrow \tau) \rightarrow \tau$ defined by

$$Yf = f(Yf).$$

$\mathcal{R}_{\mathbf{N}}^{\tau}: \mathbf{N} \rightarrow \tau \rightarrow (\mathbf{N} \rightarrow \tau \rightarrow \tau) \rightarrow \tau$ defined by

$$\begin{aligned}\mathcal{R}_{\mathbf{N}}^{\tau} 0xf &= x, \\ \mathcal{R}_{\mathbf{N}}^{\tau} (Sn)xf &= fx(\mathcal{R}_{\mathbf{N}}^{\tau} nxf).\end{aligned}$$

Reduction (including β , η) is non-terminating, but confluent.

Denotational semantics

How to use computation rules to define a computable functional?

Inductively define $(\vec{U}, a) \in \llbracket \lambda_{\vec{x}} M \rrbracket$ ($FV(M) \subseteq \{\vec{x}\}$).

Case $\lambda_{\vec{x}, y, \vec{z}} M$ with \vec{x} free in M , but not y .

$$\frac{(\vec{U}, \vec{W}, a) \in \llbracket \lambda_{\vec{x}, \vec{z}} M \rrbracket}{(\vec{U}, V, \vec{W}, a) \in \llbracket \lambda_{\vec{x}, y, \vec{z}} M \rrbracket} (K).$$

Case $\lambda_{\vec{x}} M$ with \vec{x} the free variables in M .

$$\frac{U \vdash a}{(U, a) \in \llbracket \lambda_x x \rrbracket} (V), \quad \frac{(\vec{U}, V, a) \in \llbracket \lambda_{\vec{x}} M \rrbracket \quad (\vec{U}, V) \subseteq \llbracket \lambda_{\vec{x}} N \rrbracket}{(\vec{U}, a) \in \llbracket \lambda_{\vec{x}} (MN) \rrbracket} (A).$$

For every constructor C and defined constant D :

$$\frac{\vec{U} \vdash \vec{a}^*}{(\vec{U}, C\vec{a}^*) \in \llbracket C \rrbracket} (C), \quad \frac{(\vec{V}, a) \in \llbracket \lambda_{\vec{x}} M \rrbracket \quad \vec{U} \vdash \vec{P}(\vec{V})}{(\vec{U}, a) \in \llbracket D \rrbracket} (D),$$

with one rule (D) for every defining equation $D\vec{P}(\vec{x}) = M$.

Properties of the denotational semantics

- ▶ The value is preserved under standard β, η -conversion and the computation rules.
- ▶ An **adequacy theorem** holds: whenever a closed term M^ι has a token $a \in P(\vec{V})$ in its denotation $\llbracket M \rrbracket$, then M head reduces to a constructor term entailing a .

A theory of computable functionals (TCF)

A variant of HA^ω .

Formulas A and **predicates** P are defined simultaneously

$$A, B ::= P\vec{r} \mid A \rightarrow B \mid \forall_x A$$

$$P ::= X \mid \{ \vec{x} \mid A \} \mid I \quad (I \text{ inductively defined}).$$

$\forall_x A$ **not** allowed, since this would be impredicative: in the predicate existence axiom $P := \{ \vec{x} \mid A \}$ the formula A could contain quantifiers with the newly created P in its range.

$\forall_{x^P} A$ is unproblematic: no such existence axioms.

Brouwer - Heyting - Kolmogorov

Have \rightarrow^\pm , \forall^\pm , I^\pm . **BHK-interpretation:**

- ▶ p proves $A \rightarrow B$ iff p is a construction transforming any proof q of A into a proof $p(q)$ of B .
- ▶ p proves $\forall_{x^\rho} A(x)$ iff p is a construction such that for all a^ρ , $p(a)$ proves $A(a)$.

Leaves open:

- ▶ What is a “construction”?
- ▶ What is a proof of a prime formula?

Proposal:

- ▶ Construction: computable functional.
- ▶ Proof of a prime formula $I\vec{r}$: generation tree.

Example: generation tree for $\text{Even}(6)$ should consist of a single branch with nodes $\text{Even}(0)$, $\text{Even}(2)$, $\text{Even}(4)$ and $\text{Even}(6)$.

The type $\tau(A)$ of a formula A

Distinguish **non-computational** (n.c.) (or **Harrop**) and **computationally relevant** (c.r.) formulas. Example:

- ▶ $r = s$ is n.c.
- ▶ $\text{Even}(n)$ is c.r.

Extend the use of $\rho \rightarrow \sigma$ to the “nulltype symbol” \circ :

$$(\rho \rightarrow \circ) := \circ, \quad (\circ \rightarrow \sigma) := \sigma, \quad (\circ \rightarrow \circ) := \circ.$$

Define the type $\tau(A)$ of a formula A by

$$\begin{aligned}\tau(I\vec{r}) &= \begin{cases} \iota_I & \text{if } I \text{ is c.r.,} \\ \circ & \text{if } I \text{ is n.c.,} \end{cases} \\ \tau(A \rightarrow B) &:= \tau(A) \rightarrow \tau(B), \\ \tau(\forall_{x^\rho} A) &:= \rho \rightarrow \tau(A) \end{aligned}$$

with ι_I associated naturally with I .

Realizability

Introduce a special **nullterm** symbol ε to be used as a “realizer” for n.c. formulas. Extend term application to ε by

$$\varepsilon t := \varepsilon, \quad t\varepsilon := t, \quad \varepsilon\varepsilon := \varepsilon.$$

Definition ($t \mathbf{r} A$, t realizes A)

Let A be a formula and t either a term of type $\tau(A)$ if the latter is a type, or the nullterm symbol ε for n.c. A .

$$t \mathbf{r} I\vec{s} := \begin{cases} I^{\mathbf{r}} t\vec{s} & \text{if } I \text{ is c.r. } (I^{\mathbf{r}} \text{ inductively defined}), \\ I\vec{s} & \text{if } I \text{ is n.c.}, \end{cases}$$

$$t \mathbf{r} (A \rightarrow B) := \forall_x (x \mathbf{r} A \rightarrow tx \mathbf{r} B),$$

$$t \mathbf{r} \forall_x A := \forall_x (tx \mathbf{r} A).$$

Extracted terms, soundness theorem

For a derivation M of a formula A define its **extracted term** $\text{et}(M)$, of type $\tau(A)$. For M^A with A n.c. let $\text{et}(M^A) := \varepsilon$. Else

$$\text{et}(u^A) \quad := x_u^{\tau(A)} \quad (x_u^{\tau(A)} \text{ uniquely associated to } u^A),$$

$$\text{et}((\lambda_{u^A} M^B)^{A \rightarrow B}) := \lambda_{x_u^{\tau(A)}} \text{et}(M),$$

$$\text{et}((M^{A \rightarrow B} N^A)^B) := \text{et}(M) \text{et}(N),$$

$$\text{et}((\lambda_{x^\rho} M^A)^{\forall_x A}) := \lambda_{x^\rho} \text{et}(M),$$

$$\text{et}((M^{\forall_x A(x)} r)^{A(r)}) := \text{et}(M) r.$$

Extracted terms for the axioms: let I be c.r.

$$\text{et}(I_i^+) := C_i, \quad \text{et}(I^-) := \mathcal{R},$$

where both the constructor C_i and the recursion operator \mathcal{R} refer to the algebra ι_I associated with I .

Soundness. Let M be a derivation of A from assumptions $u_i: C_i$. Then we can derive $\text{et}(M) \mathbf{r} A$ from assumptions $x_{u_i} \mathbf{r} C_i$.

Relation of TCF to type theory

- ▶ Main difference: partial functionals are first class citizens.
- ▶ “Logic enriched”: Formulas and types kept separate.
- ▶ Minimal logic: \rightarrow, \forall only. $x = y$ (Leibniz equality), \exists, \vee, \wedge inductively defined (Martin-Löf).
- ▶ $\perp := (\text{False} = \text{True})$. Ex-falso-quodlibet: $\perp \rightarrow A$ provable.
- ▶ “Decorations” $\rightarrow^{\text{nc}}, \forall^{\text{nc}}$ (i) allow abstract theory (ii) remove unused data.

Case study: uniformly continuous functions (U. Berger)

- Formalization of an abstract theory of (uniformly) continuous real functions $f: I \rightarrow I$ ($I := [-1, 1]$).
- Let Cf express that f is a continuous real function. Assume the abstract theory proves

$$Cf \rightarrow \forall_n \exists_m \underbrace{\forall_a \exists_b (f[I_{a,m}] \subseteq I_{b,n})}_{B_{m,n}f} \quad \text{with } I_{b,n} := [b - \frac{1}{2^n}, b + \frac{1}{2^n}]$$

Then

$n \mapsto m$	modulus of (uniform) continuity (ω)
$n, a \mapsto b$	approximating rational function (h)

Read_X and its witnesses

Inductively define a predicate Read_X of arity (φ) by the clauses

$$\forall_f^{\text{nc}} \forall_d (f[I] \subseteq I_d \rightarrow X(\text{Out}_d \circ f) \rightarrow \text{Read}_X f), \quad (\text{Read}_X)_0^+$$

$$\forall_f^{\text{nc}} (\text{Read}_X(f \circ \text{In}_{-1}) \rightarrow \text{Read}_X(f \circ \text{In}_0) \rightarrow \text{Read}_X(f \circ \text{In}_1) \rightarrow \text{Read}_X f).$$

$$(\text{Read}_X)_1^+$$

where $I_d = [\frac{d-1}{2}, \frac{d+1}{2}]$ ($d \in \{-1, 0, 1\}$) and

$$(\text{Out}_d \circ f)(x) := 2f(x) - d, \quad (f \circ \text{In}_d)(x) := f\left(\frac{x+d}{2}\right).$$

Witnesses for Read_X f : total ideals in

$$\mathbf{R}_\alpha := \mu_\xi (\text{Put}^{\mathbf{SD} \rightarrow \alpha \rightarrow \xi}, \text{Get}^{\xi \rightarrow \xi \rightarrow \xi \rightarrow \xi})$$

where $\mathbf{SD} := \{-1, 0, 1\}$.

Write, $^{\text{co}}$ Write and its witnesses

Nested inductive definition of a predicate Write of arity (φ) :

$\text{Write}(\text{Id}), \quad \forall_f^{\text{nc}}(\text{Read}_{\text{Write}} f \rightarrow \text{Write } f) \quad (\text{Id identity function}).$

Witnesses for Write f : total ideals in

$$\mathbf{W} := \mu_{\xi}(\text{Stop}^{\xi}, \text{Cont}^{\mathbf{R}_{\xi} \rightarrow \xi}).$$

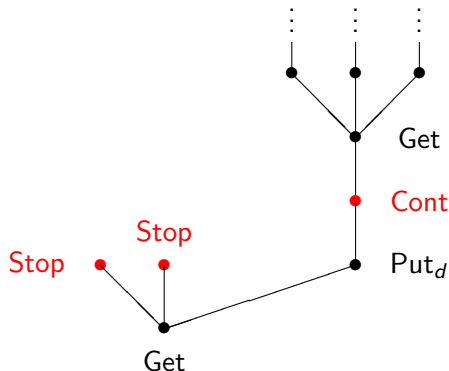
Define $^{\text{co}}\text{Write}$, a companion predicate of Write, by

$$\forall_f^{\text{nc}}(^{\text{co}}\text{Write } f \rightarrow f = \text{Id} \vee \text{Read}^{\text{coWrite}} f). \quad (^{\text{co}}\text{Write})^{-}$$

Witnesses for $^{\text{co}}\text{Write } f$: **W-cototal** **R_W-total** ideals t .

W -cototal R_W -total ideals

are possibly non well-founded trees t :



- ▶ Get-Put-part: well-founded,
- ▶ Stop-Cont-part: not necessarily well-founded.

W-cototal \mathbf{R}_W -total ideals as stream transformers

View them as **read-write machines**.

- ▶ Start at the root of the tree.
- ▶ At node $\text{Put}_d t$, output the digit d , carry on with the tree t .
- ▶ At node $\text{Get } t_{-1} \ t_0 \ t_1$, read a digit d from the input stream and continue with the tree t_d .
- ▶ At node Stop , return the rest of the input unprocessed as output.
- ▶ At node $\text{Cont } t$, continue with the tree t .

Output might be infinite, but \mathbf{R}_W -totality ensures that the machine can only read finitely many input digits before producing another output digit.

The machine represents a continuous function.

Cf implies $^{\text{co}}\text{Write } f$: informal proof

The greatest-fixed-point axiom $(^{\text{co}}\text{Write})^+$ (**coinduction**) is

$$\forall_f^{\text{nc}}(Qf \rightarrow \forall_f^{\text{nc}}(Qf \rightarrow f = \text{Id} \vee \text{Read}_{\text{coWrite} \vee Qf}) \rightarrow ^{\text{co}}\text{Write } f).$$

Theorem [Type-1 u.c.f. into type-0 u.c.f.]. $\forall_f^{\text{nc}}(\text{Cf} \rightarrow ^{\text{co}}\text{Write } f).$

Proof. Assume Cf. Use $(^{\text{co}}\text{Write})^+$ with competitor C. Suffices $\forall_f^{\text{nc}}(\text{Cf} \rightarrow f = \text{Id} \vee \text{Read}_{\text{coWrite} \vee \text{Cf}})$. Assume Cf, in particular $B_{m,2}f := \forall_a \exists_b (f[I_{a,m}] \subseteq I_{b,2})$ for some m . Get rhs by Lemma 1.

Lemma 1. $\forall_m \forall_f^{\text{nc}}(B_{m,2}f \rightarrow \text{Cf} \rightarrow \text{Read}_{\text{coWrite} \vee \text{Cf}})$.

Proof. Induction on m , using Lemma 2 in the base case.

Lemma 2 [FindSD]. $\forall_f^{\text{nc}}(B_{0,2}f \rightarrow \exists_d (f[I] \subseteq I_d)).$

Proof. Assume $B_{0,2}f$. Then $f[I_{0,0}] \subseteq I_{b,2}$ for some b , by definition of $B_{n,m}$. Have $b \leq -\frac{1}{4}$, $-\frac{1}{4} \leq b \leq \frac{1}{4}$ or $\frac{1}{4} \leq b$. Can determine either of $I_{b,2} \subseteq I_{-1}$, $I_{b,2} \subseteq I_0$ or $I_{b,2} \subseteq I_1$, hence $\exists_d (f[I] \subseteq I_d)$.

```

[oh] (CoRec (nat=>nat@@(rat=>rat))=>algwrite)oh
  ([oh0] Inr((Rec nat=>..[type]..)
    left(oh0(Succ(Succ Zero)))
    ([g,oh1] [let sd (cFindSd(g 0))
      (Put sd
        (InR([n]left(oh1(Succ n))@
          ([a]2*right(oh1(Succ n))a-SDToInt sd))))))]
  ([n,st,g,oh1]
    Get
    (st([a]g((a+IntN 1)/2))
      ([n0]left(oh1 n0)@
        ([a]right(oh1 n0)((a+IntN 1)/2))))
    (st([a]g(a/2))([n0]left(oh1 n0)@
      ([a]right(oh1 n0)(a/2))))
    (st([a]g((a+1)/2))([n0]left(oh1 n0)@
      ([a]right(oh1 n0)((a+1)/2))))
  right(oh0(Succ(Succ Zero)))
  oh0))

```


Corecursion

The rules for \mathcal{R} work from the leaves towards the root, and terminate because total ideals are well-founded.

For cototal ideals a similar operator defines functions with cototal ideals as values: **corecursion**. Consider $\iota = \mu_{\xi}(\kappa_0, \dots, \kappa_{k-1})$.

constructor type:

$$\sum_{i < k} \prod_{\nu < n_i} \rho_{i\nu}(\iota) \rightarrow \iota$$

destructor type:

$$\iota \rightarrow \sum_{i < k} \prod_{\nu < n_i} \rho_{i\nu}(\iota)$$

type of recursion operator:

$$\iota \rightarrow \left(\sum_{i < k} \prod_{\nu < n_i} \rho_{i\nu}(\iota \times \tau) \rightarrow \tau \right) \rightarrow \tau$$

type of corecursion operator:

$$\tau \rightarrow (\tau \rightarrow \sum_{i < k} \prod_{\nu < n_i} \rho_{i\nu}(\iota + \tau)) \rightarrow \iota$$

Examples

$${}^{\text{co}}\mathcal{R}_{\mathbf{N}}^{\tau}: \tau \rightarrow (\tau \rightarrow \mathbf{U} + (\mathbf{N} + \tau)) \rightarrow \mathbf{N},$$

$${}^{\text{co}}\mathcal{R}_{\mathbf{L}(\rho)}^{\tau}: \tau \rightarrow (\tau \rightarrow \mathbf{U} + \rho \times (\mathbf{L}(\rho) + \tau)) \rightarrow \mathbf{L}(\rho).$$

For $f: \rho \rightarrow \tau$, $g: \sigma \rightarrow \tau$ define $[f, g]^{\rho + \sigma \rightarrow \tau} := \lambda_x(\mathcal{R}_{\rho + \sigma}^{\tau} x f g)$. Let x_1, x_2 denote the two projections of x of type $\rho \times \sigma$.

$${}^{\text{co}}\mathcal{R}_{\mathbf{N}}^{\tau} NM = [\lambda_0, \lambda_x(\text{S}([\text{id}^{\mathbf{N} \rightarrow \mathbf{N}}, \lambda_y({}^{\text{co}}\mathcal{R}_{\mathbf{N}}^{\tau} y M)]x))](MN),$$

$${}^{\text{co}}\mathcal{R}_{\mathbf{L}(\rho)}^{\tau} NM = [\lambda_Nil, \lambda_x(x_1 :: [\text{id}, \lambda_y({}^{\text{co}}\mathcal{R}_{\mathbf{L}(\rho)}^{\tau} y M)]x_2)](MN).$$

Corecursion for \mathbf{W}

The **corecursion** operator ${}^{\text{co}}\mathcal{R}_{\mathbf{W}}^{\tau}$ has type

$$\tau \rightarrow (\tau \rightarrow \mathbf{U} + \mathbf{R}_{\mathbf{W}+\tau}) \rightarrow \mathbf{W}.$$

Conversion rule

$$\begin{aligned} {}^{\text{co}}\mathcal{R}_{\mathbf{W}}^{\tau}NM &\mapsto [\textbf{case } (MN)^{\mathbf{U}+\mathbf{R}(\mathbf{W}+\tau)} \textbf{ of} \\ &\quad \text{DummyL} \mapsto \text{Stop} \mid \\ &\quad \text{Inr } x \mapsto \text{Cont}(\mathcal{M}_{\mathbf{R}(\mathbf{W}+\tau)}^{\mathbf{W}})(\lambda p[\textbf{case } p^{\mathbf{W}+\tau} \textbf{ of} \\ &\quad \quad \text{InL } y^{\mathbf{W}} \mapsto y \mid \\ &\quad \quad \text{InR } z^{\tau} \mapsto {}^{\text{co}}\mathcal{R}_{\mathbf{W}}^{\tau}zM]) \\ &\quad x^{\mathbf{R}(\mathbf{W}+\tau)}] \end{aligned}$$

with \mathcal{M} a “map”-operator.

- ▶ Here τ is $\mathbf{N} \rightarrow \mathbf{N} \times (\mathbf{Q} \rightarrow \mathbf{Q})$, for pairs of $\omega: \mathbf{N} \rightarrow \mathbf{N}$ and $h: \mathbf{N} \rightarrow \mathbf{Q} \rightarrow \mathbf{Q}$ (variable name oh).
- ▶ No termination; translate into Haskell for evaluation.

Conclusion

TCF (theory of computable functionals) as a possible foundation for exact real arithmetic.

- ▶ Simply typed theory, with “lazy” free algebras as base types (\Rightarrow constructors are injective and have disjoint ranges).
- ▶ Variables range over partial continuous functionals.
- ▶ Constants denote computable functionals ($:=$ r.e. ideals).
- ▶ Minimal logic (\rightarrow, \forall), plus inductive & coinductive definitions.
- ▶ Computational content in abstract theories.
- ▶ Decorations (\rightarrow, \forall and $\rightarrow^{\text{nc}}, \forall^{\text{nc}}$) for fine-tuning.

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