HOL Light QE*

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Abstract. We are interested in algorithms that manipulate mathematical expressions in mathematically meaningful ways. Expressions are syntactic, but most logics do not allow one to discuss syntax. ${\rm CTT}_{\rm qe}$ is a version of Church's type theory that includes quotation and evaluation operators, akin to quote and eval in the Lisp programming language. Since the HOL logic is also a version of Church's type theory, we decided to add quotation and evaluation to HOL Light to demonstrate the implementability of ${\rm CTT}_{\rm qe}$ and the benefits of having quotation and evaluation in a proof assistant. The resulting system is called HOL Light QE. Here we document the design of HOL Light QE and the challenges that needed to be overcome. The resulting implementation is freely available.

1 Introduction

A syntax-based mathematical algorithm (SBMA) manipulates mathematical expressions in a meaningful way. SBMAs are commonplace in mathematics. Examples include algorithms that compute arithmetic operations by manipulating numerals, linear transformations by manipulating matrices, and derivatives by manipulating functional expressions. Reasoning about the mathematical meaning of an SBMA requires reasoning about the relationship between how the expressions are manipulated by the SBMA and what the manipulations mean.

We argue in [24] that the combination of quotation and evaluation, along with some inference rules, provides the means to reason about the interplay between syntax and semantics, which is what is needed for reasoning about SBMAs. Quotation is an operation that maps an expression e to a special value called a syntactic value that represents the syntax tree of e. Quotation enables expressions to be manipulated as syntactic entities. Evaluation is an operation that maps a syntactic value s to the value of the expression that is represented by s. Evaluation enables meta-level reasoning via syntactic values to be reflected into object-level reasoning. Quotation and evaluation thus form an infrastructure for integrating meta-level and object-level reasoning. Quotation gives a form of reification of object-level values which allows introspection. Along with inference

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rules, this gives a certain amount of *logical reflection*; evaluation adds to this some aspects of *computational reflection* [21,34].

Incorporating quotation and evaluation operators — like quote and eval in the Lisp programming language — into a traditional logic like first-order logic or simple type theory is not a straightforward task. Several challenging design problems stand in the way. The three design problems that most concern us are the following. We will write the quotation and evaluation operators applied to an expression e as $\lceil e \rceil$ and $\llbracket e \rrbracket$, respectively.

- 1. Evaluation Problem. An evaluation operator is applicable to syntactic values that represent formulas and thus is effectively a truth predicate. Hence, by the proof of Tarski's theorem on the undefinability of truth [50], if the evaluation operator is total in the context of a sufficiently strong theory (like first-order Peano arithmetic), then it is possible to express the liar paradox. Therefore, the evaluation operator must be partial and the law of disquotation cannot hold universally (i.e., for some expressions e, $\lceil \lceil e \rceil \rceil \neq e$). Thus result, reasoning with evaluation can be cumbersome and leads to undefined expressions.
- 2. Variable Problem. The variable x is not free in the expression $\lceil x+3 \rceil$ (or in any quotation). However, x is free in $\lceil \lceil x+3 \rceil \rceil$ because $\lceil \lceil x+3 \rceil \rceil = x+3$. If the value of a constant c is $\lceil x+3 \rceil$, then x is free in $\lceil c \rceil$ because $\lceil c \rceil = \lceil \lceil x+3 \rceil \rceil = x+3$. Hence, in the presence of an evaluation operator, whether or not a variable is free in an expression may depend on the values of the expression's components. As a consequence, the substitution of an expression for the free occurrences of a variable in another expression depends on the semantics (as well as the syntax) of the expressions involved and must be integrated with the proof system for the logic. That is, a logic with quotation and evaluation requires a semantics-dependent form of substitution in which side conditions, like whether a variable is free in an expression, are proved within the proof system. This is a major departure from traditional logic.
- 3. Double Substitution Problem. By the semantics of evaluation, the value of $\llbracket e \rrbracket$ is the value of the expression whose syntax tree is represented by the value of e. Hence the semantics of evaluation involves a double valuation. This is most apparent when the value of a variable involves a syntax tree which refers to the name of that same variable. For example, if the value of a variable x is $\lceil x \rceil$, then $\llbracket x \rrbracket = \llbracket \lceil x \rceil \rrbracket = x = \lceil x \rceil$. Hence the substitution of $\lceil x \rceil$ for x in $\llbracket x \rrbracket$ requires one substitution inside the argument of the evaluation operator and another substitution after the evaluation operator is eliminated. This double substitution is another major departure from traditional logic.

 CTT_{qe} [25,26] is version of Church's type theory [16] with quotation and evaluation that solves these three design problems. It is based on Q_0 [2], Peter Andrews' version of Church's type theory. We believe CTT_{qe} is the first readily implementable version of simple type theory that includes *global* quotation and evaluation operators. We show in [25] that it is suitable for defining, applying, and reasoning about SBMAs.

To demonstrate that CTT_{qe} is indeed implementable, we have done so by modifying HOL Light [35], a compact implementation of the HOL proof assistant [32]. The resulting version of HOL Light is called HOL Light QE. Here we present its design, implementation, and the challenges encountered.

The rest of the paper is organized as follows. Section 2 presents the key ideas underlying $\rm CTT_{qe}$ and explains how $\rm CTT_{qe}$ solves the three design problems. Section 3 offers a brief overview of HOL Light. The HOL Light QE implementation is described in section 4, and examples of how quotation and evaluation are used in it are discussed in section 5. Section 6 is devoted to related work. And the paper ends with some final remarks including a brief discussion on future work.

The major contributions of the work presented here are:

- 1. We show that the logical machinery for quotation and evaluation embodied in CTT_{qe} can be straightforwardly implemented in HOL Light.
- 2. We produce an HOL-style proof assistant with a built-in global reflection infrastructure for defining, applying, and proving properties about SBMAs.
- We demonstrate how this reflection infrastructure can be used to express formula schemas, such as the induction schema for first-order Peano arithmetic, as single formulas.

2 CTT_{qe}

The syntax, semantics and proof system of CTT_{qe} are defined in [25]. Here we will only introduce the definitions and results of that are key to understanding how HOL Light QE implements CTT_{qe} . The reader is encouraged to consult [25] when additional details are required.

2.1 Syntax

 CTT_{qe} has the same machinery as Q_0 plus an inductive type ϵ of syntactic values, a partial quotation operator, and a typed evaluation operator.

A type of CTT_{qe} is defined inductively by the following formation rules:

- 1. Type of individuals: ι is a type.
- 2. Type of truth values: o is a type.
- 3. Type of constructions: ϵ is a type.
- 4. Function type: If α and β are types, then $(\alpha \to \beta)$ is a type.

Let \mathcal{T} denote the set of types of CTT_{qe} . A $typed \ symbol$ is a symbol with a subscript from \mathcal{T} . Let \mathcal{V} be a set of typed symbols such that, for each $\alpha \in \mathcal{T}$, \mathcal{V} contains denumerably many typed symbols with subscript α . A variable of variable of variable of variable and variable of variable of variable ranging over variables of type variable a set of typed symbols disjoint from variable and variable of variable and variable of variable and variable ranging over constants of type variable contains a set of variable constants that include variable appvariable and variable and variable ranging over constants of type variable contains a set of variable constants that include variable appvariable and variable and variable contains a set of variable constants that include variable appvariable and variable appvariable and variable contains a set of variable contains a set of variable contains a set of variable contains and variable contains a set of variable contains a set of

An expression of type α of CTT_{qe} is defined inductively by the formation rules below. $\mathbf{A}_{\alpha}, \mathbf{B}_{\alpha}, \mathbf{C}_{\alpha}, \ldots$ are syntactic variables ranging over expressions of type α . An expression is eval-free if it is constructed using just the first five rules.

- 1. Variable: \mathbf{x}_{α} is an expression of type α .
- 2. Constant: \mathbf{c}_{α} is an expression of type α .
- 3. Function application: $(\mathbf{F}_{\alpha \to \beta} \mathbf{A}_{\alpha})$ is an expression of type β .
- 4. Function abstraction: $(\lambda \mathbf{x}_{\alpha} \cdot \mathbf{B}_{\beta})$ is an expression of type $\alpha \to \beta$.
- 5. Quotation: $\lceil \mathbf{A}_{\alpha} \rceil$ is an expression of type ϵ if \mathbf{A}_{α} is eval-free.
- 6. Evaluation: $[\![\mathbf{A}_{\epsilon}]\!]_{\mathbf{B}_{\beta}}$ is an expression of type β .

The sole purpose of the second component \mathbf{B}_{β} in an evaluation $[\![\mathbf{A}_{\epsilon}]\!]_{\mathbf{B}_{\beta}}$ is to establish the type of the evaluation; we will thus write $[\![\mathbf{A}_{\epsilon}]\!]_{\mathbf{B}_{\beta}}$ as $[\![\mathbf{A}_{\epsilon}]\!]_{\beta}$.

A construction of CTT_{qe} is an expression of type ϵ defined inductively by

- 1. $\lceil \mathbf{x}_{\alpha} \rceil$ is a construction.
- 2. $\lceil \mathbf{c}_{\alpha} \rceil$ is a construction.
- 3. If \mathbf{A}_{ϵ} and \mathbf{B}_{ϵ} are constructions, then $\mathsf{app}_{\epsilon \to \epsilon \to \epsilon} \mathbf{A}_{\epsilon} \mathbf{B}_{\epsilon}$, $\mathsf{abs}_{\epsilon \to \epsilon \to \epsilon} \mathbf{A}_{\epsilon} \mathbf{B}_{\epsilon}$, and $\mathsf{quo}_{\epsilon \to \epsilon} \mathbf{A}_{\epsilon}$ are constructions.

The set of constructions is thus an inductive type whose base elements are quotations of variables and constants, and whose constructors are $\mathsf{app}_{\epsilon \to \epsilon \to \epsilon}$, $\mathsf{abs}_{\epsilon \to \epsilon \to \epsilon}$, and $\mathsf{quo}_{\epsilon \to \epsilon}$. As we will see shortly, constructions serve as syntactic values.

Let \mathcal{E} be the function mapping eval-free expressions to constructions that is defined inductively as follows:

```
1. \mathcal{E}(\mathbf{x}_{\alpha}) = \lceil \mathbf{x}_{\alpha} \rceil.

2. \mathcal{E}(\mathbf{c}_{\alpha}) = \lceil \mathbf{c}_{\alpha} \rceil.

3. \mathcal{E}(\mathbf{F}_{\alpha \to \beta} \mathbf{A}_{\alpha}) = \mathsf{app}_{\epsilon \to \epsilon \to \epsilon} \mathcal{E}(\mathbf{F}_{\alpha \to \beta}) \mathcal{E}(\mathbf{A}_{\alpha}).

4. \mathcal{E}(\lambda \mathbf{x}_{\alpha} \cdot \mathbf{B}_{\beta}) = \mathsf{abs}_{\epsilon \to \epsilon \to \epsilon} \mathcal{E}(\mathbf{x}_{\alpha}) \mathcal{E}(\mathbf{B}_{\beta}).

5. \mathcal{E}(\lceil \mathbf{A}_{\alpha} \rceil) = \mathsf{quo}_{\epsilon \to \epsilon} \mathcal{E}(\mathbf{A}_{\alpha}).
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When \mathbf{A}_{α} is eval-free, $\mathcal{E}(\mathbf{A}_{\alpha})$ is the unique construction that represents the syntax tree of \mathbf{A}_{α} . That is, $\mathcal{E}(\mathbf{A}_{\alpha})$ is a syntactic value that represents how \mathbf{A}_{α} is syntactically constructed. For every eval-free expression, there is a construction that represents its syntax tree, but not every construction represents the syntax tree of an eval-free expression. For example, $\mathsf{app}_{\epsilon \to \epsilon \to \epsilon} \lceil \mathbf{x}_{\alpha} \rceil \lceil \mathbf{x}_{\alpha} \rceil$ represents the syntax tree of $(\mathbf{x}_{\alpha} \mathbf{x}_{\alpha})$ which is not an expression of $\mathsf{CTT}_{\mathsf{qe}}$ since the types are mismatched. A construction is proper if it is in the range of \mathcal{E} , i.e., it represents the syntax tree of an eval-free expression.

The purpose of \mathcal{E} is to define the semantics of quotation: the meaning of $\lceil \mathbf{A}_{\alpha} \rceil$ is $\mathcal{E}(\mathbf{A}_{\alpha})$.

2.2 Semantics

The semantics of CTT_{qe} is based on Henkin-style general models [36]. An expression \mathbf{A}_{ϵ} of type ϵ denotes a construction, and when \mathbf{A}_{ϵ} is a construction, it denotes itself. The semantics of the quotation and evaluation operators are defined so that the following two theorems hold:

Theorem 2.21 (Law of Quotation) $\lceil A_{\alpha} \rceil = \mathcal{E}(A_{\alpha})$ is valid in CTT_{qe}.

Corollary 2.22 $\lceil A_{\alpha} \rceil = \lceil B_{\alpha} \rceil$ iff A_{α} and B_{α} are identical expressions.

Theorem 2.23 (Law of Disquotation) $\llbracket \lceil A_{\alpha} \rceil \rrbracket_{\alpha} = A_{\alpha}$ is valid in CTT_{qe} .

Remark 2.24 Notice that this is not the full Law of Disquotation, since only eval-free expressions can be quoted. As a result of this restriction, the liar paradox is not expressible in CTT_{qe} and the Evaluation Problem mentioned above is effectively solved.

2.3 Quasiquotation

Quasiquotation is a parameterized form of quotation in which the parameters serve as holes in a quotation that are filled with expressions that denote syntactic values. It is a very powerful syntactic device for specifying expressions and defining macros. Quasiquotation was introduced by Willard Van Orman Quine in 1940 in the first version of his book *Mathematical Logic* [48]. It has been extensively employed in the Lisp family of programming languages [4], and from there to other families of programming languages, most notably the ML family.

In CTT_{qe} , constructing a large quotation from smaller quotations can be tedious because it requires many applications of the syntax constructors $\mathsf{app}_{\epsilon \to \epsilon \to \epsilon}$, $\mathsf{abs}_{\epsilon \to \epsilon \to \epsilon}$, and $\mathsf{quo}_{\epsilon \to \epsilon}$. Quasiquotation alleviates this problem. It can be defined straightforwardly in CTT_{qe} . However, quasiquotation is not part of the official syntax of CTT_{qe} ; it is just a notational device used to write CTT_{qe} expressions in a compact form.

As an example, consider $\lceil \neg (\mathbf{A}_o \wedge \lfloor \mathbf{B}_{\epsilon} \rfloor) \rceil$. Here $\lfloor \mathbf{B}_{\epsilon} \rfloor$ is a *hole* or *antiquotation*. Assume that \mathbf{A}_o contains no holes. $\lceil \neg (\mathbf{A}_o \wedge \lfloor \mathbf{B}_{\epsilon} \rfloor) \rceil$ is then an abbreviation for the verbose expression

$$\mathsf{app}_{\epsilon \to \epsilon \to \epsilon} \ulcorner \lnot_{o \to o} \lnot (\mathsf{app}_{\epsilon \to \epsilon \to \epsilon} (\mathsf{app}_{\epsilon \to \epsilon \to \epsilon} \ulcorner \land_{o \to o \to o} \lnot \ulcorner \mathbf{A}_o \lnot) \, \mathbf{B}_{\epsilon}).$$

 $\lceil \neg (\mathbf{A}_o \wedge \lfloor \mathbf{B}_{\epsilon} \rfloor) \rceil$ represents the the syntax tree of a negated conjunction in which the part of the tree corresponding to the second conjunct is replaced by the syntax tree represented by \mathbf{B}_{ϵ} . If \mathbf{B}_{ϵ} is a quotation $\lceil \mathbf{C}_o \rceil$, then the quasiquotation $\lceil \neg (\mathbf{A}_o \wedge \lfloor \lceil \mathbf{C}_o \rceil \rfloor) \rceil$ is equivalent to the quotation $\lceil \neg (\mathbf{A}_o \wedge \mathbf{C}_o) \rceil$.

2.4 Proof System

The proof system for CTT_{qe} consists of the axioms for Q_0 , the single rule of inference for Q_0 , and additional axioms [25, B1–B13] that define the logical constants of CTT_{qe} (B1–B4,B5,B7), specify ϵ as an inductive type (B4,B6), state the properties of quotation and evaluation (B8,B10), and extend the rules for β -reduction (B9,B11–13). We prove in [25] that this proof system is sound for all formulas and complete for eval-free formulas.

The axioms that express the properties of quotation and evaluation are:

¹ In Lisp, the standard symbol for quasiquotation is the backquote (') symbol, and thus in Lisp, quasiquotation is usually called *backquote*.

B8 (Properties of Quotation)

- 1. $\lceil \mathbf{F}_{\alpha \to \beta} \mathbf{A}_{\alpha} \rceil = \mathsf{app}_{\epsilon \to \epsilon \to \epsilon} \lceil \mathbf{F}_{\alpha \to \beta} \rceil \lceil \mathbf{A}_{\alpha} \rceil$.
- 2. $\lceil \lambda \mathbf{x}_{\alpha} \cdot \mathbf{B}_{\beta} \rceil = \mathsf{abs}_{\epsilon \to \epsilon \to \epsilon} \lceil \mathbf{x}_{\alpha} \rceil \lceil \mathbf{B}_{\beta} \rceil$.
- 3. $\Gamma \Lambda_{\alpha}^{\circ} = \operatorname{quo}_{\epsilon \to \epsilon} \Lambda_{\alpha}^{\circ}$

B10 (Properties of Evaluation)

- 1. $\llbracket \lceil \mathbf{x}_{\alpha} \rceil \rrbracket_{\alpha} = \mathbf{x}_{\alpha}$.
- $\begin{array}{l} 2. \ \ \llbracket \ulcorner \mathbf{c}_{\alpha} \urcorner \rrbracket_{\alpha} = \mathbf{c}_{\alpha}. \\ 3. \ \ (\text{is-expr}_{\epsilon \to o}^{\alpha \to \beta} \, \mathbf{A}_{\epsilon} \wedge \text{is-expr}_{\epsilon \to o}^{\alpha} \, \mathbf{B}_{\epsilon}) \supset \llbracket \mathsf{app}_{\epsilon \to \epsilon \to \epsilon} \, \mathbf{A}_{\epsilon} \, \mathbf{B}_{\epsilon} \rrbracket_{\beta} = \llbracket \mathbf{A}_{\epsilon} \rrbracket_{\alpha \to \beta} \, \llbracket \mathbf{B}_{\epsilon} \rrbracket_{\alpha}. \end{array}$
- 4. (is-expr $_{\epsilon \to o}^{\beta} \mathbf{A}_{\epsilon} \land \neg (\text{is-free-in}_{\epsilon \to \epsilon \to o} \ulcorner \mathbf{x}_{\alpha} \urcorner \ulcorner \mathbf{A}_{\epsilon} \urcorner)) \supset$ $[\![\mathsf{abs}_{\epsilon \to \epsilon \to \epsilon} \lceil \mathbf{x}_{\alpha} \rceil \mathbf{A}_{\epsilon}]\!]_{\alpha \to \beta} = \lambda \, \mathbf{x}_{\alpha} \cdot [\![\mathbf{A}_{\epsilon}]\!]_{\beta}.$
- $5. \ \operatorname{is-expr}_{\epsilon \to o}^\epsilon \mathbf{A}_\epsilon \supset [\![\operatorname{quo}_{\epsilon \to \epsilon} \mathbf{A}_\epsilon]\!]_\epsilon = \mathbf{A}_\epsilon.$

The axioms for extending the rules for β -reduction are:

B9 (Beta-Reduction for Quotations)

$$(\lambda \mathbf{x}_{\alpha} \cdot \lceil \mathbf{B}_{\beta} \rceil) \mathbf{A}_{\alpha}) = \lceil \mathbf{B}_{\beta} \rceil.$$

B11 (Beta-Reduction for Evaluations)

- 1. $(\lambda \mathbf{x}_{\alpha} \cdot [\mathbf{B}_{\epsilon}]_{\beta}) \mathbf{x}_{\alpha} = [\mathbf{B}_{\epsilon}]_{\beta}$.
- 2. (is-expr $_{\epsilon \to o}^{\bar{\beta}}$ (($\lambda \mathbf{x}_{\alpha} \cdot \mathbf{B}_{\epsilon}$) \mathbf{A}_{α}) $\wedge \neg$ (is-free-in $_{\epsilon \to \epsilon \to o}$ $\neg \mathbf{x}_{\alpha}$ \neg (($\lambda \mathbf{x}_{\alpha} \cdot \mathbf{B}_{\epsilon}$) \mathbf{A}_{α}))) \supset $(\lambda \mathbf{x}_{\alpha} \cdot [\mathbf{B}_{\epsilon}]_{\beta}) \mathbf{A}_{\alpha} = [(\lambda \mathbf{x}_{\alpha} \cdot \mathbf{B}_{\epsilon}) \mathbf{A}_{\alpha}]_{\beta}.$

B12 ("Not Free In" means "Not Effective In")

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\neg \mathsf{IS}\text{-}\mathsf{EFFECTIVE}\text{-}\mathsf{IN}(\mathbf{x}_{\alpha},\mathbf{B}_{\beta})
where \mathbf{B}_{\beta} is eval-free and \mathbf{x}_{\alpha} is not free in \mathbf{B}_{\beta}.
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B13 (Beta-Reduction for Function Abstractions)

$$\begin{array}{l} (\neg \mathsf{IS}\text{-}\mathsf{EFFECTIVE}\text{-}\mathsf{IN}(\mathbf{y}_\beta, \mathbf{A}_\alpha) \vee \neg \mathsf{IS}\text{-}\mathsf{EFFECTIVE}\text{-}\mathsf{IN}(\mathbf{x}_\alpha, \mathbf{B}_\gamma)) \supset \\ (\lambda \, \mathbf{x}_\alpha \, . \, \lambda \, \mathbf{y}_\beta \, . \, \mathbf{B}_\gamma) \, \mathbf{A}_\alpha = \lambda \, \mathbf{y}_\beta \, . \, ((\lambda \, \mathbf{x}_\alpha \, . \, \mathbf{B}_\gamma) \, \mathbf{A}_\alpha) \\ \text{where } \, \mathbf{x}_\alpha \, \text{and} \, \mathbf{y}_\beta \, \text{are distinct.} \end{array}$$

Substitution is performed using the properties of β -reduction as Andrews does in the proof system for Q_0 [2, p. 213]. The following three β -reduction cases require discussion:

- 1. $(\lambda \mathbf{x}_{\alpha} \cdot \lambda \mathbf{y}_{\beta} \cdot \mathbf{B}_{\gamma}) \mathbf{A}_{\alpha}$ where \mathbf{x}_{α} and \mathbf{y}_{β} are distinct.
- 2. $(\lambda \mathbf{x}_{\alpha} \cdot \lceil \mathbf{B}_{\beta} \rceil) \mathbf{A}_{\alpha}$.
- 3. $(\lambda \mathbf{x}_{\alpha} \cdot [\mathbf{B}_{\epsilon}]_{\beta}) \mathbf{A}_{\alpha}$.

The first case can normally be reduced when either (1) \mathbf{y}_{β} is not free in \mathbf{A}_{α} or (2) \mathbf{x}_{α} is not free in \mathbf{B}_{γ} . However, due to the Variable Problem mentioned before, it is only possible to syntactically check whether a "variable is not free in an expression" when the expression is eval-free. Our solution is to replace the syntactic notion of "a variable is free in an expression" by the semantic notion of "a variable is effective in an expression" when the expression is not necessarily eval-free, and use Axiom B13 to perform the β -reduction.

" \mathbf{x}_{α} is effective in \mathbf{B}_{β} " means the value of \mathbf{B}_{β} depends on the value of \mathbf{x}_{α} . Clearly, if \mathbf{B}_{β} is eval-free, " \mathbf{x}_{α} is effective in \mathbf{B}_{β} " implies " \mathbf{x}_{α} is free in \mathbf{B}_{β} ". However, " \mathbf{x}_{α} is effective in B_{β} " is a refinement of " \mathbf{x}_{α} is free in \mathbf{B}_{β} " on eval-free expressions since \mathbf{x}_{α} is free in $\mathbf{x}_{\alpha} = \mathbf{x}_{\alpha}$, but \mathbf{x}_{α} is not effective in $\mathbf{x}_{\alpha} = \mathbf{x}_{\alpha}$. " \mathbf{x}_{α} is effective in \mathbf{B}_{β} " is expressed in CTT_{qe} as IS-EFFECTIVE-IN(\mathbf{x}_{α} , \mathbf{B}_{β}), an abbreviation for

$$\exists \mathbf{y}_{\alpha} . ((\lambda \mathbf{x}_{\alpha} . \mathbf{B}_{\beta}) \mathbf{y}_{\alpha} \neq \mathbf{B}_{\beta})$$

where \mathbf{y}_{α} is any variable of type α that differs from \mathbf{x}_{α} .

The second case is simple since a quotation cannot be modified by substitution — it is effectively the same as a constant. Thus β -reduction is performed without changing $\lceil \mathbf{B}_{\beta} \rceil$ as shown in Axiom B9 above.

The third case is handled by Axioms B11.1 and B11.2. B11.1 deals with the trivial case when \mathbf{A}_{α} is the bound variable \mathbf{x}_{α} itself. B11.2 deals with the other much more complicated situation. The condition

$$\neg (\mathsf{is}\mathsf{-free}\mathsf{-in}_{\epsilon \to \epsilon \to o} \, \lceil \mathbf{x}_{\alpha} \, \rceil \, ((\lambda \, \mathbf{x}_{\alpha} \, . \, \mathbf{B}_{\epsilon}) \, \mathbf{A}_{\alpha}))$$

guarantees that there is no double substitution. is-free-in_{$\epsilon \to \epsilon \to o$} is a logical constant of CTT_{qe} such that is-free-in_{$\epsilon \to \epsilon \to o$} $\lceil \mathbf{x}_{\alpha} \rceil \lceil \mathbf{B}_{\beta} \rceil$ says that the variable \mathbf{x}_{α} is free in the (eval-free) expression \mathbf{B}_{β} .

Thus we see that substitution in ${\rm CTT}_{\rm qe}$ in the presence of evaluations may require proving semantic side conditions of the following two forms:

1. $\neg \mathsf{IS}\text{-}\mathsf{EFFECTIVE}\text{-}\mathsf{IN}(\mathbf{x}_{\alpha}, \mathbf{B}_{\beta})$. 2. is-free-in_{$\epsilon \to \epsilon \to 0$} $\lceil \mathbf{x}_{\alpha} \rceil \lceil \mathbf{B}_{\beta} \rceil$.

2.5 The 3 Design Problems

To recap, CTT_{qe} solves the three design problems given in section 1. The Evaluation Problem is avoided by restricting the quotation operator to eval-free expressions and thus making it impossible to express the liar paradox. The Variable Problem is overcome by modifying Andrews' β -reduction axioms. The Double Substitution Problem is eluded by using a β -reduction axiom for evaluations that excludes β -reductions that embody a double substitution.

3 HOL Light

HOL Light [35] is an open-source proof assistant developed by John Harrison. It implements a logic (HOL) which is a version of Church's type theory. It is a simple implementation of the HOL proof assistant [32] written in OCaml and hosted on GitHub at https://github.com/jrh13/hol-light/. Although it is a relatively small system, it has been used to formalize many kinds of mathematics

and to check many proofs including the lion's share of Tom Hale's proof of the Kepler conjecture [23].

HOL Light is very well suited to serve as a foundation on which to build an implementation of CTT_{qe} : First, it is an open-source system that can be freely modified as long as certain very minimal conditions are satisfied. Second, it is an implementation of a version of simple type theory that is essentially Q_0 , the version of Church's type theory underlying CTT_{qe} , plus (1) polymorphic type variables, (2) an axiom of choice expressed by asserting that the Hilbert ϵ operator is a choice (indefinite description) operator, and (3) an axiom of infinity that asserts that ind, the type of individuals, is infinite [35]. The type variables in the implemented logic are not a hindrance; they actually facilitate the implementation of CTT_{qe} . The presence of the axioms of choice and infinity in HOL Light alter the semantics of CTT_{qe} without compromising in any way the semantics of quotation and evaluation. And third, HOL Light supports the definition of inductive types so that ϵ can be straightforwardly defined.

4 Implementation

4.1 Overview

HOL Light QE was implemented in four stages:

- 1. The set of terms was extended so that CTT_{qe} expressions could be mapped to HOL Light terms. This required the introduction of epsilon, the type of constructions, and term constructors for quotations and evaluations. See subsection 4.2.
- 2. The proof system was modified to include the machinery in CTT_{qe} for reasoning about quotations and evaluations. This required adding new rules of inference and modifying the INST rule of inference that simultaneously substitutes terms t_1, \ldots, t_n for the free variables x_1, \ldots, x_n in a sequent. See subsection 4.3.
- 3. Machinery consisting of HOL functions definitions, tactics, and theorems was created for supporting reasoning about quotations and evaluations in the new system. See subsection 4.4.
- 4. Examples were developed in the new system to test the implementation and to demonstrate the benefits of having quotation and evaluation in higher-order logic. See section 5.

The first and second stages have been completed; both stages involved modifying the kernel of HOL Light. The third stage is sufficiently complete that our examples in 5 work well, and did not involve any further changes to the HOL Light kernel. We do expect that adding further examples, which is ongoing, will require the addition of machinery but no changes to the kernel.

The HOL Light QE system was developed by the third author under the supervision of the first two authors on an undergraduate NSERC USRA research project at McMaster University, and is available at

https://github.com/JacquesCarette/hol-light.

It should be further remarked that our fork, from late April 2017, is not fully up-to-date with respect to HOL Light. In particular, this means that it is best to compile it with OCAML 4.03.0 and CAMLP5 6.16, both available from OPAM.

To run HOL Light QE, execute the following commands in HOL Light QE top-level directory named hollight:

```
1) install opam
2) opam init --comp 4.03.0
3) opam install "camlp5=6.16"
4) cd hol_Light
5) make
6) run ocaml via
    ocaml -I 'camlp5 -where' camlp5o.cma
7) #use "hol.ml";;
    #use "Constructions/epsilon.ml";;
    #use "Constructions/pseudoquotation.ml";;
    #use "Constructions/QuotationTactics.ml";;
```

Each test can be run by an appropriate further #use statement.

4.2 Mapping of CTT_{qe} Expressions to HOL Terms

Tables 1 and 2 illustrate how the CTT_{qe} types and expressions are mapped to the HOL types and terms, respectively. The HOL types and terms are written in the the internal representation employed in HOL Light QE. The type epsilon and the term constructors Quote and Eval are additions to HOL Light explained below. Since CTT_{qe} does not have type variables, it has a logical constant $=_{\alpha \to \alpha \to o}$ representing equality for each $\alpha \in \mathcal{T}$. The members of this family of constants are all mapped to a single HOL constant with the polymorphic type a_ty_var->a_ty_var->bool where a_ty_var is any chosen HOL type variable.

The other logical constants of CTT_{qe} [25, Table 1] are not mapped to primitive HOL constants. $app_{\epsilon \to \epsilon \to \epsilon}$, $abs_{\epsilon \to \epsilon \to \epsilon}$, and $quo_{\epsilon \to \epsilon}$ are implemented by App, Abs, and Quo, constructors for the inductive type epsilon given below. The remaining logical constants are predicates on constructions that are implemented by HOL functions. The CTT_{qe} type ϵ is the type of constructions, the syntactic values that represent the syntax trees of eval-free expressions. ϵ is formalized as an inductive type epsilon. Since types are components of terms in HOL Light, an inductive type type of syntax values for HOL Light QE types (which are the same as HOL types) is also needed. Specifically:

CTT_{qe} Type α	HOL Type $\mu(\alpha)$	Abbreviation for $\mu(\alpha)$
o	Tyapp("bool",[])	bool
$ \iota $	Tyapp("ind",[])	ind
ϵ	Tyapp("epsilon",[])	epsilon
$\beta \to \gamma$	Tyapp("fun",[$\mu(eta),\mu(\gamma)$])	$\mu(\beta) \rightarrow \mu(\gamma)$

Table 1. Mapping of CTT_{qe} Types to HOL Types

```
CTT_{qe} Expression e
                                                              HOL Term \nu(e)
                                                               Var("x", \mu(\alpha))
\mathbf{x}_{\alpha}
                                                              {\tt Const("c",}\mu(\alpha){\tt)}
\mathbf{c}_{\alpha}
                                                              Const("=",a_ty_var->a_ty_var->bool)
=_{\alpha \to \alpha \to o}
(\mathbf{F}_{\alpha \to \beta} \mathbf{A}_{\alpha})
                                                               \mathtt{Comb}(\nu(\mathbf{F}_{lpha 
ightarrow eta}), 
u(\mathbf{A}_{lpha}))
                                                               Abs(Var("x",\mu(\alpha)),\nu(\mathbf{B}_{\beta}))
(\lambda \mathbf{x}_{\alpha} \cdot \mathbf{B}_{\beta})
\lceil \mathbf{A}_{lpha} 
ceil
                                                               Quote(\nu(\mathbf{A}_{\alpha}), \mu(\alpha))
\llbracket \mathbf{A}_{\epsilon} \rrbracket_{\mathbf{B}_{\beta}}
                                                              Eval(\nu(\mathbf{A}_{\epsilon}), \mu(\beta))
```

Table 2. Mapping of CTTqe Expressions to HOL Terms

Terms of type type denote the syntax trees of HOL Light QE types, while the terms of type epsilon denote the syntax trees of HOL Light QE terms that are eval-free.

The OCaml type of HOL types in HOL Light QE

is the same as in HOL Light, but the OCaml type of HOL terms in HOL Light QE

has three new constructors — Quote, Hole, and Eval — which are new.

Quote constructs a quotation of type epsilon with components t and α from a term t of type α that is is eval-free. Eval constructs an evaluation of type α with components t and α from a term t of type epsilon and a type α . Hole is used to construct "holes" of type epsilon in a quasiquotation as described in [25]. A HOL Light QE quotation that contains holes is a quasiquotation, while a quotation without any holes is a normal quotation. The construction of terms has been modified to allow a hole (of type epsilon) to be used where a term of some other type is expected.

The external representation of a quotation Quote(t,ty) is Q_t_Q. Similarly, the external representation of a hole Hole(t,ty) is H_t_H. The external representation of an evaluation Quote(t,ty) is eval t to ty.

4.3 Modification of the HOL Light Proof System

We said in 2.4 that the proof system for CTT_{qe} is obtained by extending the proof system for Q_0 with additional axioms B1–B13. Since Q_0 and HOL Light are both complete (with respect to the semantics of Henkin-style general models), HOL Light includes the reasoning capabilities of the proof system for Q_0 but obviously not the reasoning capabilities embodied in the B1–B13 axioms. These capabilities must be implemented in HOL Light QE.

This is done in several ways. First, the logical constants defined by Axioms B1–B4, B5, and B7 are defined in HOL Light QE as HOL functions. Second, the no junk (B6) and no confusion (B4) requirements for ϵ are automatic consequences of defining epsilon as an inductive type. Third, Axiom B9 is implemented directly in the HOL Light code for substitution. Fourth, the remaining axioms, B8 and B10–B13 are implemented by new rules of inference in HOL Light QE as shown in Table 3.

CTT _{qe} Axioms	NewRules of Inference
B8 (Properties of Quotation)	LAW_OF_QUO
B10 (Properties of Evaluation)	
B10.1	VAR_DISQUO
B10.2	CONST_DISQUO
B10.3	APP_SPLIT
B10.4	ABS_SPLIT
B10.5	QUOTABLE
B11 (β -Reduction for Evaluations)	
B11.1	BETA_EVAL
B11.2	BETA_REVAL
B12 ("Not Free In" means "Not Effective In")	NOT_FREE_OR_EFFECTIVE_IN
B13 (β -Reduction for Function Abstractions)	NEITHER_EFFECTIVE

Table 3. New Inference Rules in HOL Light QE

The HOL Light INST rule of inference is also modified. This rule simultaneously substitutes a list of terms for a list of variables in a sequent. The substitution function vsubst defined in the HOL Light kernel is modified so that it works like substitution (via β -reduction reduction rules) does in CTT_{qe}. These are the main changes to the function:

1. A substitution of a term t for a variable x in a function abstraction Abs(y,s) is performed as usual if (1) t is eval-free and x is not free t, (2) there is a theorem that says x is not effective in t, (3) s is eval-free and x is not free s, or (4) there is a theorem that says x is not effective in s. Otherwise, if s or t is not eval-free, the substitution fails and if s and t are eval-free, the variable x is renamed and the substitution is continued.

- 2. A substitution of a term t for a variable x in a quotation Quote(e,ty) where e does not contain any holes (i.e., terms of the form Hole(e',ty')) returns Quote(e,ty) unchanged (as stated in Axiom B9). If e does contain holes, then t is substituted for the variable x in the holes in Quote(e,ty).
- 3. A substitution of a term t for a variable x in an evaluation Eval(e,ty) returns (1) Eval(e,ty) when t is x or x does not occur e and (2) the function abstraction application Comb(Abs(x,Eval(e,ty)),t) otherwise. When (2) happens, this part of substitution is finished and the user can possibly continue it by applying BETA_EVAL or BETA_REVAL, the rules of inference corresponding to Axioms B11.1 and B11.2 for β-reduction of evaluations.

4.4 Creation of Support Machinery

The HOL Light QE contains a number of HOL functions, tactics, and theorems that are useful for reasoning about constructions, quotations, and evaluations. An important example is the HOL function is ExprType that implements the CTT_{qe} family of logical constants is-expr $_{\epsilon \to o}^{\alpha}$ where α ranges over members of \mathcal{T} . This function takes terms s_1 and s_1 of type epsilon and type, respectively, and returns true iff s_1 represents the syntax tree of a term t, s_2 represents the syntax tree of a type α , and t is of type α .

5 Examples

We present two examples that test the implementation of HOL Light QE and illustrate its capabilities by expressing, instantiating, and proving formula schemas.

5.1 Law of Excluded Middle

The law of excluded middle (LEM) is expressed as the formula schema $A \vee \neg A$ where A is a syntactic variable ranging over all formulas. Each instance of LEM is a theorem of HOL, but LEM cannot be expressed in HOL as a single formula. However, LEM can be formalized in CTT_{qe} as the universal statement

$$\forall x_{\epsilon} \text{ . is-expr}_{\epsilon \to o}^{o} x_{\epsilon} \supset [\![x_{\epsilon}]\!]_{o} \lor \neg [\![x_{\epsilon}]\!]_{o}.$$

An instance of this statement of LEM is any instance of the universal formula. It can be directly written in HOL Light QE as the formula

```
'!x:epsilon. isExprType (x:epsilon) (TyBase "bool")
==> ((eval x to bool) \/ ~(eval x to bool))'
```

that is readily proved. An instance of this theorem is obtained by applying the rule of inference INST followed by the BETA_EVAL and BETA_REVAL, the β -reduction rules for evaluations.

5.2 Induction Schema

The (first-order) induction schema for Peano arithmetic is usually expressed as the formula schema

$$(P(0) \land \forall x . (P(x) \supset P(S(x)))) \supset \forall x . P(x)$$

where P(x) is a parameterized syntactic variable that ranges over all formulas of first-order Peano arithmetic. If we assume that the domain of the type ι is the natural numbers and \mathcal{C} includes the usual constants of natural number arithmetic (including a constant $S_{\iota \to \iota}$ representing the successor function), then this schema can be formalized in CTT_{qe} as

```
 \forall \, f_{\epsilon} \, . \, \left( \left( \mathsf{is\text{-}expr}_{\epsilon \to o}^{\iota \to o} \, f_{\epsilon} \wedge \mathsf{is\text{-}peano}_{\epsilon \to o} \, f_{\epsilon} \right) \supset \\ \left( \left( \left[ \left[ f_{\epsilon} \right] \right]_{\iota \to o} \, 0 \wedge \left( \forall \, x_{\iota} \, . \, \left[ \left[ f_{\epsilon} \right] \right]_{\iota \to o} \, x_{\iota} \supset \left[ \left[ f_{\epsilon} \right] \right]_{\iota \to o} \, \left( S_{\iota \to \iota} \, x_{\iota} \right) \right) \right) \supset \forall \, x_{\iota} \, . \, \left[ \left[ f_{\epsilon} \right] \right]_{\iota \to o} \, x_{\iota} \right)
```

where is-peano $_{\epsilon \to o} f_{\epsilon}$ holds iff f_{ϵ} represents the syntax tree of a predicate of first-order Peano arithmetic. The *induction schema for Presburger arithmetic* is exactly the same as the induction schema for Peano arithmetic except that the predicate is-peano $_{\epsilon \to o}$ is replaced by an appropriate predicate is-presburger $_{\epsilon \to o}$.

It should be noted that the induction schemas for Peano and Presburger arithmetic are weaker that the full induction principle for the natural numbers:

$$\forall p_{t \to o} . ((p_{t \to o} \ 0 \land (\forall x_t . p_{t \to o} \ x_t \supset p_{t \to o} \ (S_{t \to t} \ x_t))) \supset \forall x_t . p_{t \to o} \ x_t)$$

The full induction principle states that induction holds for all properties of the natural numbers (which is an uncountable set), while the induction schemas for Peano and Presburger arithmetic hold only for properties that are definable in Peano and Presburger arithmetic (which are countable sets).

The full induction principle is expressed in HOL Light as the theorem

```
'!P. P(_0) / (!n. P(n) ==> P(SUC n)) ==> !n. P n'
```

named num_INDUCTION. However, it is not possible to directly express the Peano and Presburger induction schemas in HOL Light without adding new rules of inference to its kernel.

The induction schema for Peano arithmetic can be written in HOL Light QE just as easily as in CTT_{qe} :

```
'!f:epsilon.
  (isExprType (f:epsilon)
        (TyBiCons "fun" (TyVar "num") (TyBase "bool")))
  /\ (isPeano f)
  ==>
  (eval (f:epsilon) to (num->bool)) 0
   /\
  (!n:num. (eval (f:epsilon) to (num->bool)) n
        ==>
        (eval (f:epsilon) to (num->bool)) (SUC n))
  ==> (!n:num. (eval (f:epsilon) to (num->bool)) n)'
```

This statement named peanoInduction is proved from num_INDUCTION in HOL Light QE by the following steps:

- Instantiate num_INDUCTION with the predicate 'P:num->bool' to obtain the formula indinst.
- 2. Prove and install the theorem nei_peano that says the variable (n:num) is not effective in (eval (f:epsilon) to (num->bool)).
- 3. Logically reduce peanoInduction and then prove the result by instantiating 'P:num->bool' in indinst with 'eval (f:epsilon) to (num->bool)' using the INST rule of inference. This instantiation requires the previously proved theorem nei_peano.

The induction schema for Presburger arithmetic is stated and proved in the very same way.

By virtue of being able to express the Peano and Presburger induction schemas, we can properly define the first-order theories of Peano arithmetic and Presburger arithmetic in HOL Light QE.

6 Related Work

Quotation, evaluation, reflection, reification, issues of intensionality versus extensionality, metaprogramming and metareasoning each have extensive literature – sometimes in more than one field. For example, one can find a vast literature on reflection in logic, programming languages and theorem proving. Due to space restrictions, we cannot do justice to the full breadth of issues. For a full discussion, please see the related work section in [27]. The surveys of Costantini [21], Harrison [34] are excellent. From a programming perspective, the discussion and extensive bibliography of Kavvos' D.Phil. thesis [42] are well worth reading.

Focusing just on interactive proof assistants, we find that Robert Boyer and J Moore developed a global infrastructure [6], for incorporating symbolic algorithms into the Nqthm [7] theorem prover. This approach is also used in ACL2 [41], the successor to Nqthm; see [40]. Over the last 30 years, the Nuprl group lead by Robert Constable has produced a large body of work on metareasoning and reflection for theorem proving [1,3,18,38,43,44,54] that has been implemented in the Nuprl [19] and MetaPRL [37] systems. Proof by reflection has become a mainstream technique in the Coq [20] proof assistant with the development of tactics based on symbolic computations like the Coq ring tactic [5,33] and the formalizations of the four color theorem [29] and the Feit-Thompson odd-order theorem [30] led by Georges Gonthier. See [5,8,12,31,33,39,46] for a selection of the work done on using reflection in Coq. Many other systems also support metareasoning and reflection: Agda [45,51,52], Idris [14,13,15] Isabelle/HOL [11], Lean [22], Maude [17], PVS [53], and Theorema [28,9].

The semantics of the quotation operator $\lceil \cdot \rceil$ is based on the disquotational theory of quotation [10]. According to this theory, a quotation of an expression e is an expression that denotes e itself. In CTT_{qe} , $\lceil \mathbf{A}_{\alpha} \rceil$ denotes a value that represents the syntactic structure of \mathbf{A}_{α} . Polonsky [47] presents a set of axioms

for quotation operators of this kind. Other theories of quotation have been proposed – see [10] for an overview. For instance, quotation can be viewed as an operation that constructs literals for syntactic values [49].

It is worth quoting Boyer and Moore [6] here:

The basic premise of all work on extensible theorem-provers is that it should be possible to add new proof techniques to a system without endangering the soundness of the system. It seems possible to divide current work into two broad camps. In the first camp are those systems that allow the introduction of arbitrary new procedures, coded in the implementation language, but require that each application of such a procedure produce a formal proof of the correctness of the transformation performed. In the second camp are those systems that contain a formal notion of what it means for a proof technique to be sound and require a machine-checked proof of the soundness of each new proof technique. Once proved, the new proof technique can be used without further justification.

This remains true to this day. The systems in the LCF tradition (Isabelle/HOL, Coq, HOL Light) are in the "first camp", while Nqthm, ACL2, Nuprl, MetaPRL, Agda, Idris, Lean, Maude and Theorema, as well as our approach broadly fall in the "second camp". However, all systems in the first camp have started to offer some reflection capabilities on top of their tactic facilities. Below we give some additional details for each system, leveraging information from the papers already cited above as well as the documentation of each system².

In more detail, the Coq extension for reflection, SSReflect [31], which stands for small scale reflection, works by locally reflecting the syntax of particular kinds of objects – such as decidable predicates and finite structures. It is the pervasive use of decidability and computability which gives small scale reflection its power, and at the same time, its limitation. An extension to PVS allows reasoning much in the style of SSReflect. Isabelle/HOL offers a non-logical reify function (aka quotation), while its interpret function is in the logic; it uses global datatypes to represent HOL Lightterms.

The approach for the second list of systems also varies quite a bit. Nqthm, ACL2, Theorema (as well as now HOL Light QE) have global quotation and evaluation operators in the logic, as well as careful restrictions on their use to avoid paradoxes. Idris also has global quotation and evaluation, and the totality checker is used to avoid paradoxes. MetaPRL have evaluation but no global quotation. Agda has global quotation and evaluation, but their use are mediated by a built-in TC (TypeChecking) monad which ensures soundness. Lean works similarly: all reflection must happen in the tactic monad, from which one cannot escape. Maude appears to offer a global quotation operator, but it is unclear if there is a global evaluation operator; quotations are offered by a built-in module, and those are extra-logical.

² And some personal communication with some of system authors.

7 Conclusion

CTT_{qe} [25,26] is a version of Church's type theory with global quotation and evaluation operators that is intended for defining, applying, proving properties about syntax-based mathematical algorithms (SBMAs), algorithms that manipulate expressions in a mathematically meaningful ways. HOL Light QE is an implementation of CTT_{qe} obtained by modifying HOL Light [35], a compact implementation of the HOL proof assistant [32]. In this paper, we have presented the design and implementation of HOL Light QE. We have discussed the challenges that needed to be overcome. And we have given some examples that test the implementation and show the benefits of having quotation and evaluation in higher-order logic.

The implementation of HOL Light QE was very straightforward since the logical issues were worked out in CTT_{qe} and HOL Light provides good support for inductive types. Pleasingly, and surprisingly, no new issues arose during the implementation. HOL Light QE works in exactly the same way as HOL Light except that, in the presence of evaluations, the instantiation of free variables may require proving side conditions that say (1) a variable is not effective in a term or (2) that a variable represented by a construction is not free in a term represented by a construction (see subsections 2.4 and 4.3). This is the only significant cost we see for using HOL Light QE in place of HOL Light.

HOL Light QE provides a built-in global reflection infrastructure [25]. This infrastructure can be used to reason about the syntactic structure of terms and, as we have shown, to express formula schemas as single formulas. More importantly, the infrastructure provides the means to define, apply, and prove properties about SBMAs. An SBMA can be defined as a function that manipulates constructions. Its meaning formula that specifies its mathematical meaning can be stated using the evaluation of constructions. And the SBMA's meaning formula can be proved from the SBMA's definition. In other words, the infrastructure provides a unified framework for formalizing SBMAs in a proof assistant.

We plan to continue the development of HOL Light QE and to show that it can be effectively used to develop SBMAs as we have just described. In particular, we intend to formalize in HOL Light QE the example on the symbolic differentiation in ${\rm CTT}_{\rm qe}$ that is presented in [25]. This will require defining the algorithm for symbolic differentiation, writing its meaning formula, and finally proving the meaning formula from the algorithm's definition and standard facts about derivatives.

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