Designing proof systems from programming features: states and exceptions considered as dual effects

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## Outline

#### Introduction

- 1. Duality, at the semantics level
- 2. Duality, at the logical level
- 3. About "decorated" proofs

Conclusion



## The Curry Howard Lambek correspondence

intuitionistic	typed lambda	cartesian closed
logic	calculus	categories
propositions	types	objects
proofs	terms	morphisms

What about non-functional features in programming languages? i.e., what about computational effects?

Claim. Each computational effect has an associated logic

In this talk: The effects of states and exceptions, with their logics

There is a symmetry between the logics for states and exceptions, based on the well-known categorical duality:

for states	for exceptions
$X \mapsto X  imes S$	$X \mapsto X + E$
with fixed $S$	with fixed E

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### Outline

1. A symmetry between states and exceptions at the semantics level

2. A symmetry between states and exceptions at the logical level

3. About "decorated" proofs

Reference: J.-G. Dumas, D. Duval, L. Fousse, J.-C. Reynaud States and exceptions considered as dual effects http://arxiv.org/abs/1001.1662 (v4)

## Outline

#### Introduction

#### 1. Duality, at the semantics level

- 2. Duality, at the logical level
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Conclusion



When dealing with exceptions, there are two kinds of values:

- non-exceptional values
- exceptions

$$X + Exc = \frac{X}{Exc}$$

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#### Exceptions: functions

 $f: X + Exc \rightarrow Y + Exc$ 

 f throws an exception if it may map a non-exceptional value to an exception



 f catches an exception if it may map an exception to a non-exceptional value



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## Exceptions: the KEY THROW operations

*Exc* = set of exceptions *ExCstr* = set of exception constructors (or exception types)

For each  $i \in ExCstr$ :

- Par<sub>i</sub> = set of parameters
- $t_i : Par_i \rightarrow Exc =$ the KEY THROW operations

or  $t_i : Par_i + Exc \rightarrow Exc$  such that  $\forall e \in Exc, t_i(e) = e$ 



- $-t_i$  throws exceptions of constructor i
- t<sub>i</sub> propagates exceptions

E.g.  $Exc = \sum_{i} Par_{i}$  with the  $t_{i}$ 's as coprojections

Exceptions: the KEY CATCH operations

For each  $i \in ExCstr$ : •  $c_i : Exc \rightarrow Par_i + Exc =$  the KEY CATCH operations  $\forall p \in Par_i \quad \begin{cases} c_i(t_i(p)) = p \in Par_i \subseteq Par_i + Exc \\ c_i(t_j(p)) = t_j(p) \in Exc \subseteq Par_i + Exc \ (\forall j \neq i) \end{cases}$ 



- $-c_i$  catches exceptions of constructor i
- $c_i$  propagates exceptions of constructor  $j \neq i$

E.g.  $Exc = \sum_{i} Par_{i}$  with the  $t_{i}$ 's as coprojections: these equations define the  $c_{i}$ 's The key throwing and catching operations are encapsulated for building the usual raising and handling constructions

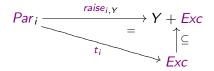
- The usual raising construction throws an exception viewed as an element of some type X
- The usual handling construction catches an exception inside a block carefully delimitated

Exceptions: the RAISE (or THROW) construction

The usual raising construction throws an exception viewed as an element of some type X

From key throwing (t<sub>i</sub>) to raising (raise<sub>i,Y</sub> or throw<sub>i,Y</sub>):

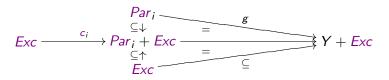
$$raise_{i,Y}(a) = t_i(a) \in Y + Exc$$



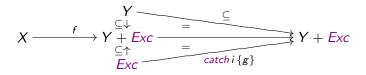
# Exceptions: the HANDLE (or TRY...CATCH) construction

The usual handling construction catches an exception inside a block carefully deliminated

From key catching (c<sub>i</sub>) to catching (catch i {g}):



From catching (catch i {g}) to handling (f handle i ⇒ g or try {f}catch i {g}):



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#### States

St = set of statesLoc = set of locations

For each  $i \in Loc$ :

- Val<sub>i</sub> = set of values
- $I_i: St \rightarrow VaI_i =$ lookup function

or  $I_i: St \to VaI_i \times St$  such that  $\forall s \in St, I_i(s) = (-, s)$ 

•  $u_i: Val_i \times St \rightarrow St = update$  function

$$\forall v \in Val_i \ \forall s \in St \ \begin{cases} l_i(u_i(v,s)) = v \\ l_j(u_i(v,s)) = l_j(s) \ (\forall j \neq i) \end{cases}$$

E.g.  $St = \prod_i Val_i$  with the  $l_i$ 's as projections: these equations define the  $u_i$ 's

## Duality of semantics

States	Exceptions
$i \in Loc, Val_i$	i ∈ ExCstr, Par <sub>i</sub>
$St (= \prod_{i \in Loc} Val_i)$	$E_{xc} (= \sum_{i \in E_xC_{str}} P_{ar_i})$
$I_i: St \rightarrow Val_i$	$Exc \leftarrow Par_i: t_i$
$u_i: Val_i  imes St  o St$	$Par_i + Exc \leftarrow Exc : c_i$
$Val_i \times St \xrightarrow{pr} Val_i$	$Par_i + Exc \xleftarrow{in} Par_i$
$\begin{array}{ccc} {}^{u_i} \downarrow & = & \downarrow {}^{id} \\ St & \stackrel{I_i}{\longrightarrow} VaI_i \end{array}$	$c_i \uparrow = \uparrow id$ $Exc \xleftarrow{t_i} Par_i$
$Val_i \times St \xrightarrow{pr} St \xrightarrow{l_j} Val_j$	$Par_i + Exc \xleftarrow{in} Exc \xleftarrow{t_j} Par_j$
$ \begin{array}{c c} u_i & = & \downarrow id \\ St & & & Val_j \end{array} $	$\begin{array}{c} c_i \uparrow &= & \uparrow id \\ E_{XC} \longleftarrow & Par_j \end{array}$

- So, there is a duality between states and exceptions, at the semantics level, involving a set of states St and a set of exceptions Exc.
- But states and exceptions are computational effects: the "type of states" and the "type of exceptions" are hidden, they do not appear explicitly in the syntax.

 In fact, the duality at the semantics level comes from a duality of states and exceptions seen as computational effects, at the logical level.

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1. Duality, at the semantics level

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3. About "decorated" proofs

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#### Monads for effects

[Moggi 1991] The basic idea behind the categorical semantics of effects is that we distinguish the object X of values from the object TX of computations (for some endofunctor T) Programs of type Y with a parameter of type X ought to be interpreted by morphisms with codomain TY, but for their domain there are two alternatives, either X or TX.

Moggi chooses the first alternative:

 a program X → Y is interpreted by a morphism X → TY
 Then T must be a monad – for substitution
 with a strength – for the context

2. The second alternative would be:

a program  $X \to Y$  is interpreted by a morphism  $TX \to TY$ 

### Monads for effects: exceptions

The monad of exceptions is TX = X + Exc.

- 1. First alternative.
  - A program of type Y with a parameter of type X
  - is interpreted by a morphism  $X \rightarrow Y + Exc$ .
    - $\implies$  it may throw an exception
  - $\implies$  it cannot catch an exception
- 2. Second alternative.

A program of type Y with a parameter of type X

is interpreted by a morphism  $X + Exc \rightarrow Y + Exc$ .

- $\implies$  it may throw an exception
- $\implies$  it may catch an exception

#### Effects, more generally

Claim. A computational effect is

an apparent lack of soundness

There is a computational effect when:

- at first sight, the intended semantics is not a model of the syntax
- but the syntax may be "decorated" so as to recover soundness

The monads approach from this point of view:

- operations are decorated as values or computations and every value can be seen as a computation
- a computation  $f^c: X \to Y$  stands for  $f: X \to TY$
- a value  $f^{v}: X \to Y$  stands for  $f: X \to Y \xrightarrow{\eta_{Y}} TY$

## States, apparently

The intended semantics (one location):

$$\begin{cases} l: St \to Val \\ u: Val \times St \to St \\ \forall v \in Val \ \forall s \in St \ l(u(v, s)) = v \end{cases}$$

IS NOT a model of the apparent syntax

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## States, explicitly

The intended semantics (one location)

$$\begin{cases} l: St \to Val \\ u: Val \times St \to St \\ \forall v \in Val \ \forall s \in St \ l(u(v, s)) = v \end{cases}$$

IS a model of the explicit syntax

$$Explicit$$

$$I: S \to V$$

$$u: V \times S \to S$$

$$I \circ u = pr: V \times S \to V$$

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### States, equationally

There are two equational logics "for states":

Apparent logic	Explicit logic
NOT sound	sound
close to the syntax	FAR from the syntax

Claim. There is a third logic for states – NOT "truly" equational:

Decorated logic sound close to the syntax

## States as effect: decorations

The apparent syntax may be decorated:

• An operation 
$$f : X \to Y$$
 is decorated as  
 $f^{(0)} : X \to Y$  if  $f$  is pure  
 $f^{(1)} : X \to Y$  if  $f$  is an accessor (cf. const methods in C++)  
 $f^{(2)} : X \to Y$  if  $f$  is a modifier

• An equation 
$$f = g$$
 is decorated as  
 $f = {}^{(sg)} g$  (strong) if  $f$  and  $g$  coincide on results and on states  
 $f = {}^{(wk)} g$  (weak) if  $f$  and  $g$  coincide on results (only)

Apparent	
$I:\mathbb{1} \to V$	
$u: V \to \mathbb{1}$	
$  I \circ u = id_V : V \to V$	

$$Decorated$$

$$I^{(1)} : \mathbb{1} \to V$$

$$u^{(2)} : V \to \mathbb{1}$$

$$I \circ u = {}^{(wk)} id_V : V \to V$$

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### States as effect: expliciting the decorations

The decorated syntax may be explicited

• For operations:

$$\begin{split} f^{(0)} &: X \to Y \text{ as } f : X \to Y \\ f^{(1)} &: X \to Y \text{ as } f : X \times S \to Y \\ f^{(2)} &: X \to Y \text{ as } f : X \times S \to Y \times S \end{split}$$

• For equations:

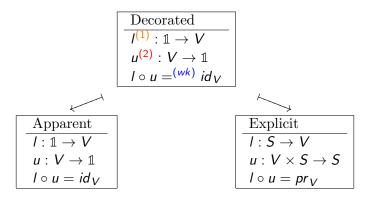
$$f = {}^{(sg)} g \text{ as } f = g : X \times S \to Y \times S$$
$$f = {}^{(wk)} g \text{ as } pr_Y \circ f = pr_Y \circ g : X \times S \to Y$$

$$\begin{array}{c} \hline Decorated \\ \hline I^{(1)} : \mathbb{1} \to V \\ u^{(2)} : V \to \mathbb{1} \\ I \circ u =^{(wk)} id_V : V \times S \to V \end{array}$$

$$Explicit
 I: 1 \times S \to V
 u: V \times S \to S
 I \circ u = pr_V: V \times S \to V$$

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States as effect: three logics



The intended semantics

- IS NOT a model of the apparent syntax (effect)
- IS a model of the explicit syntax (obviously)
- IS a model of the decorated syntax (by adjunction)

#### Exceptions as effect

The intended semantics (one exception constructor):

$$\begin{cases} t : Par \to Exc \\ c : Exc \to Par + Exc \\ \forall p \in Par \ c(t(p)) = p \end{cases}$$

IS NOT a model of the apparent syntax IS a model of the explicit syntax

ApparentExplicit
$$t: P \to 0$$
 $t: P \to E$  $c: 0 \to P$  $c: E \to P + E$  $c \circ t = id: P \to P$  $c \circ t = in: P \to P + E$ 

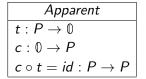
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#### Exceptions as effect: decorations

The apparent syntax may be decorated:

• An operation 
$$f : X \to Y$$
 is decorated as  
 $f^{(0)} : X \to Y$  if  $f$  is pure  
 $f^{(1)} : X \to Y$  if  $f$  is a propagator (it may throw exceptions)  
 $f^{(2)} : X \to Y$  if  $f$  is a catcher (it may throw and catch exc.)

• An equation 
$$f = g$$
 is decorated as  
 $f = {}^{(sg)} g$  (strong) if  $f$  and  $g$  coincide on exc. and on values  
 $f = {}^{(wk)} g$  (weak) if  $f$  and  $g$  coincide on values (only)



$$Decorated$$

$$t^{(1)}: P \to 0$$

$$c^{(2)}: 0 \to P$$

$$c^{(2)} \circ t^{(1)} = {}^{(wk)} id^{(0)}: P \to P$$

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Exceptions as effect: expliciting the decorations

The decorated syntax may be explicited

• For operations:

$$\begin{aligned} f^{(0)} &: X \to Y \text{ as } f : X \to Y \\ f^{(1)} &: X \to Y \text{ as } f : X \to Y + E \\ f^{(2)} &: X \to Y \text{ as } f : X + E \to Y + E \end{aligned}$$

• For equations:  $f = {}^{(sg)}g$  as  $f = g : X \times S \rightarrow Y \times S$ 

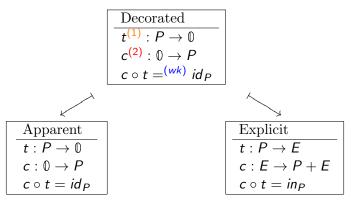
$$f = (WK) g$$
 as  $f \circ in_X = g \circ in_X : X \to Y + E$ 

Decorated	
$t^{(1)}: P  ightarrow \mathbb{O}$	
$c^{(2)}: \mathbb{O}  o P$	
$c^{(2)} \circ t^{(1)} = (wk) id^{(0)} : P \to P$	

Explicit	
$t: P \to E$	
$c: E \rightarrow P + E$	
$c \circ t = in : P \rightarrow P + E$	

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Exceptions as effect: three logics



The intended semantics

- IS NOT a model of the apparent syntax (effect)
- IS a model of the explicit syntax (obviously)
- IS a model of the decorated syntax (by adjunction)

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## Duality of effects

States	Exceptions
$i \in Loc, V_i$	$i \in ExCstr, P_i$
1	O
$I_i^{(1)}:\mathbb{1}\to V_i$	$\mathbb{O} \leftarrow P_i : t_i^{(1)}$
$u_i^{(2)}: V_i \to \mathbb{1}$	$P_i \leftarrow \mathbb{O}: c_i^{(2)}$
$V_i \xrightarrow{id} V_i$	$P_i \xleftarrow{id} P_i$
$ \begin{array}{c c}                                    $	$ \begin{array}{c} c_i \uparrow = \stackrel{(wk)}{t_i} \uparrow id \\ \mathbb{O} \longleftarrow P_i \end{array} $
$V_i \longrightarrow \mathbb{1} \stackrel{I_j}{\longrightarrow} V_j$	$P_i \longleftarrow \mathbb{O} \xleftarrow{t_j} P_j$
$ \begin{array}{c c}                                    $	$ \begin{array}{c} c_i \uparrow = \stackrel{(wk)}{t_j} \uparrow id \\ 0 \longleftarrow P_j \end{array} $

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## Operations and equations

- The monads approach leads to Lawvere theories for getting operations and equations [Plotkin&Power 2001] This can be extended
  - with exception monads [Schroeder&Mossakowski 2004]
  - with coalgebras [Levy 2006]
  - with handlers [Plotkin&Pretnar 2009]

Then

- lookup, update, raise are algebraic operations
- handle IS NOT an algebraic operation
- Our approach generalizes algebraic specifications it involves (decorated) operations and equations Then
  - catching exceptions is symmetric to updating states

## A framework for effects

A language without effects is defined with respect to one logic

#### L

A language with effects is defined with respect to a span of logics

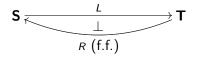


Morphisms of logics are defined in the category of diagrammatic logics [Duval&Lair 2002]. This is based on:

- Adjunctions [Kan 1958]
- Categories of fractions [Gabriel&Zisman 1967]
- Limit sketches [Ehresmann 1968]

## One logic: models

A diagrammatic logic is a left adjoint functor L with a full and faithful right adjoint R



induced by a morphism of limit sketches

- **S** is the category of specifications
- **T** is the category of theories
- Each specification  $\Sigma$  presents the theory  $L\Sigma$
- A model  $M : \Sigma \rightarrow \Theta$  is an "oblique" morphism:

 $M: L\Sigma \to \Theta \text{ in } \mathbf{T} \quad \text{or} \quad M: \Sigma \to R\Theta \text{ in } \mathbf{S}$ 

## One logic: proofs

**T** is a category of fractions on **S**: a fraction is a cospan in **S** with numerator  $\sigma$ and denominator  $\tau$  such that  $L\tau$  is invertible in **T** 

$$\Sigma_1 \xrightarrow{\sigma} \Sigma'_2 \xleftarrow{ au} \Sigma_2$$

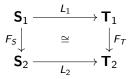
This fraction can be seen as

- an instance of the specification  $\Sigma_1$  in  $\Sigma_2$
- or an inference rule with hypothesis  $\Sigma_2$  and conclusion  $\Sigma_1$

The inference step is the composition of fractions: applying a rule with hypothesis H and conclusion Cto an instance of H in  $\Sigma$ yields an instance of C in  $\Sigma$ .

## A category of logics

A morphism of logics  $F: L_1 \rightarrow L_2$ is a pair of left adjoint functors  $(F_S, F_T)$ in a commutative square



induced by a commutative square of limit sketches

This yields the category of diagrammatic logics

### Decorated proofs



In this talk, for states and exceptions,

 $L_{\rm app}$  and  $L_{\rm expl}$  are (variants of) equational logic.

Each decorated proof is mapped to an equational proof

- ► either by dropping the decorations (by F<sub>app</sub>) → an "uninteresting" proof
- or by expliciting the decorations (by F<sub>expl</sub>)
  - $\rightarrow$  a "complicated" proof

## Some decorated rules for states (1)

$$(0-\text{to-1}) \frac{f^{(0)}}{f^{(1)}}$$
$$(1-\text{to-2}) \frac{f^{(1)}}{f^{(2)}}$$

$$\begin{array}{c} (sg\text{-subs}) & \frac{g_1^{(2)} = (sg)}{(g_1 \circ f)^{(2)} = (sg)} \frac{g_2^{(2)}}{(g_2 \circ f)^{(2)}} \\ (sg\text{-repl}) & \frac{f_1^{(2)} = (sg)}{(g \circ f_1)^{(2)} = (sg)} \frac{f_2^{(2)}}{(g \circ f_2)^{(2)}} \end{array}$$

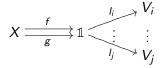
$$(wk-subs) \quad \frac{g_1^{(2)} = (wk)}{(g_1 \circ f)^{(2)} = (wk)} \frac{g_2^{(2)}}{(g_2 \circ f)^{(2)}} \\ (wk-repl) \quad \frac{f_1^{(2)} = (wk)}{(g \circ f_1)^{(2)} = (wk)} \frac{g_2^{(0)}}{(g \circ f_2)^{(2)}}$$

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### Some decorated rules for states (2)

$$(sg-to-wk) \frac{f^{(2)} = (sg) g^{(2)}}{f^{(2)} = (wk) g^{(2)}}$$
$$(wk-to-sg) \frac{f^{(1)} = (wk) g^{(1)}}{f^{(1)} = (sg) g^{(1)}}$$

and the lookup's form a "decorated product"  $(I_j^{(1)})_{j \in Loc}$  such that  $f^{(2)} = {}^{(sg)} g^{(2)} \iff \forall j \in Loc, \ (I_j \circ f)^{(2)} = {}^{(wk)} (I_j \circ g)^{(2)}$ 



### A decorated proof (for states)

Proposition. For every  $i \in Loc$ :

• Semantically:  $\forall s \in St, u_i(l_i(s), s) = s$ 

• Explicitly: 
$$u_i \circ l_i = id_s$$

• Decorated:  $u_i^{(2)} \circ I_i^{(1)} = (sg) id_1^{(0)}$ 

Proof. 
$$\forall j \in Loc$$
,  $I_j^{(1)} \circ u_i^{(2)} \circ I_i^{(1)} = (wk) I_j^{(1)}$   
When  $j = i$ :  
 $(wk\text{-subs}) \quad \frac{I_i \circ u_i = (wk) i d_{V_i}}{I_i \circ u_i \circ I_i = (wk) I_i}$ 

When  $j \neq i$ :

$$(wk-subs) = \frac{I_{j} \circ u_{i} = (wk)}{I_{j} \circ u_{i} \circ I_{i} = (wk)} I_{j} \circ \langle \rangle_{V_{i}}} (sg-repl) = (sg-repl) \frac{(sg-repl)}{I_{j} \circ \langle \rangle_{V_{i}} \circ I_{i} = (sg)} \frac{I_{j} \circ \langle \rangle_{V_{i}} \circ I_{i} = (sg)}{I_{j} \circ \langle \rangle_{V_{i}} \circ I_{i} = (sg)} I_{j}} (sg-repl) \frac{I_{j} \circ \langle \rangle_{V_{i}} \circ I_{i} = (sg)}{I_{j} \circ \langle \rangle_{V_{i}} \circ I_{i} = (wk)} I_{j}}$$

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Decorated rules and proofs (for exceptions)

Decorated rules and proofs for exceptions are dual to decorated rules and proofs for states.

Proposition. For every  $i \in ExCstr$ :

Semantically:  $\forall e \in Exc, t_i(c_i(e)) = e$ 

• Explicitly:  $t_i \circ c_i = id_E$ 

• Decorated: 
$$t_i^{(1)} \circ c_i^{(2)} = (sg) id_1^{(0)}$$

Proof. Dual to the proof for states.

More decorated proofs (for states)

Equations from [Plotkin&Power 2002] as stated in [Melliès 2010]

Interaction update-update:

storing a value v and then a value v' at the same location i is just like storing the value v' in the location i.  $\forall i \in Loc$ ,

$$u_i^{(2)} \circ (u_i \times id_{V_i})^{(2)} = {}^{(sg)} u_i^{(2)} \circ \pi_2^{(0)}$$

Commutation update-update: the order of storing in two different locations i and j does not matter. ∀i ≠ j ∈ Loc,

$$u_j^{(2)} \circ (u_i \times id_{V_j})^{(2)} = {}^{(sg)} u_i^{(2)} \circ (id_{V_i} \times u_j)^{(2)}$$

Decorated proofs in [Dumas&Duval&Fousse&Reynaud 2011]

More decorated proofs (for exceptions)

Interaction catch-catch: when catching an exception constructor *i* twice, the second catcher is never used. ∀*i* ∈ ExCstr,

try {f} catch i {g} catch i {h} =<sup>(sg)</sup> try {f} catch i {g}

► Commutation catch-catch: when catching two different exception constructors i and j, the order of catching does not matter. ∀i ≠ j ∈ ExCstr,

 $try \{f\} catch i \{g\} catch j \{h\} =^{(sg)} try \{f\} catch j \{h\} catch i \{g\}$ 

Proof.

- 1. Start from the previous equations for states
- 2. Dualize
- 3. Encapsulate

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## Conclusion

- An effect is an apparent lack of soundness
- Designing proof systems from programming features: each computational effect has an associated logic
- States and exceptions may be considered as dual effects

#### Future work

- Using a proof assistant (Coq) for decorated proofs
- Combining effects by composing the spans of logics

# A question

[Melliès 2010] About the notion of monad and the notion of sheaf on a Grothendieck topology:

It is fascinating to observe that the most promising links between mathematics and programming languages emerged at these somewhat himalayan heights.



Mount Everest, 8848 m.

Question. What is the "height" of our (naive?) approach?



Grand pic de Belledonne, 2977 m.

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### Thanks for your attention

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