

Transfer of reasoning
along
equivalence of structures

Benedikt Ahrens

Outline

- 1 Indiscernibility of identicals
- 2 Reminder: Univalent Foundations
- 3 The Univalence Principle
- 4 Example: Univalence Principle for monoids, manually
- 5 Example: Univalence Principle for monoids, in our framework
- 6 Conclusion

Indiscernibility of identicals

Indiscernibility of identicals

$$x = y \rightarrow \forall P (P(x) \leftrightarrow P(y))$$

- Reasoning **in logic** is invariant under equality
- **In mathematics**, reasoning should be invariant under weaker notion of sameness!

Equivalence principle

Reasoning in mathematics should be **invariant under** the appropriate notion of **sameness**.

Structure Identity Principle

Notion of sameness depends on the objects under consideration:

An equivalence principle for group theorists

$$G \cong H \rightarrow \forall \text{ group-theoretic properties } P, (P(G) \leftrightarrow P(H))$$

An equivalence principle for category theorists

$$A \simeq B \rightarrow \forall \text{ category-theoretic properties } P, (P(A) \leftrightarrow P(B))$$

Structure Identity Principle (SIP)

Isomorphic mathematical structures are structurally identical; i.e. have the same structural properties.

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Structure Identity Principle (SIP)

Isomorphic mathematical structures are structurally identical; i.e. have the same structural properties.

What are “structural” properties?

Violating the equivalence principle

What is **not** a structural property?

Exercise

Find a statement about categories that is not invariant under the equivalence of categories



Violating the equivalence principle

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A solution

“The category \mathcal{C} has exactly one object.”

Violating the equivalence principle

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A solution

“The category \mathcal{C} has exactly one object.”

How can we identify “non-structural” statements?

Reasoning modulo equivalence

A mathematician's view

- Understands intuitively if a given statement is invariant under equivalence

Why make it more explicit?

- Might want to transfer constructions, not just proofs.
- For complicated mathematical objects, equivalences are complicated.
- Computer proof assistants require all the details.

A language for invariant properties

Michael Makkai, *Towards a Categorical Foundation of Mathematics*:
*The basic character of the Principle of Isomorphism is that of a **constraint on the language** of Abstract Mathematics; a welcome one, since it provides for the separation of sense from nonsense.*

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Makkai's FOLDS (First Order Logic with Dependent Sorts)

A language for categorical structures in which only invariant properties can be expressed

- FOLDS is an interface to some underlying foundation
- Invariance only for properties, not for constructions

Univalent Foundations and the Univalence Principle

Voevodsky's goals

- Univalent Foundations as an “invariant language”
- Invariance not only for statements, but also for constructions:
any construction on objects in UF can be transported along equivalences of objects

Univalent Foundations and the Univalence Principle

Voevodsky's goals

- Univalent Foundations as an “invariant language”
- Invariance not only for statements, but also for constructions: **any construction on objects in UF can be transported along equivalences of objects**

[. . .] My homotopy lambda calculus is an attempt to create a system which is very good at dealing with equivalences. In particular it is supposed to have the property that given any type expression $F(T)$ depending on a term subexpression t of type T and an equivalence $t \rightarrow t'$ (a term of the type $\text{Eq}(T; t, t')$) there is a mechanical way to create a new expression F' now depending on t' and an equivalence between $F(T)$ and $F'(T')$ (note that to get F' one can not just substitute t' for t in F – the resulting expression will most likely be syntactically incorrect).

Email to Dan Grayson, Sept 2006

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Overview of types in type theory

Type former	Notation	(special case)	canonical term
Inhabitant	$a : A$		
Dependent type	$x : A \vdash B(x)$		
Sigma type	$\sum_{x:A} B(x)$	$A \times B$	(a, b)
Product type	$\prod_{x:A} B(x)$	$A \rightarrow B$	$\lambda(x : A).b$
Coproduct type	$A + B$		$\text{inl}(a), \text{inr}(b)$
Identity type	$a = b$		$\text{refl}(a) : a = a$
Universe	\mathcal{U}		
Base types	Nat, Bool, 1, 0		

Identity vs equality

Inhabitants of $x = y$ behave like equality in many ways

- $\text{refl}(x) : x = x$
- $\text{sym} : x = y \rightarrow y = x$
- $\text{trans} : x = y \times y = z \rightarrow x = z$

Transport

$$\text{transport} : x = y \rightarrow \prod_{B:A \rightarrow \mathcal{U}} (B(x) \simeq B(y))$$

Inhabitants of $x = y$ behave **unlike** equality

- Can iterate identity type
- Cannot show that any two identities are identical

The important features of univalent foundations

Homotopy levels

- Stratification of types according to “complexity” of their identity types
- Logic: notion of **propositions** given by one layer of this hierarchy

Univalence axiom

Specifies the identity type of a universe:

$$(X = Y) \rightarrow (X \simeq Y)$$

$$\text{refl}(X) \mapsto 1_X$$

is an equivalence

Contractible types, propositions and sets

- A is **contractible**

$$\text{isContr}(A) \equiv \sum_{x:A} \prod_{y:A} y = x$$

- A is a **proposition**

$$\text{isProp}(A) \equiv \prod_{x,y:A} x = y$$

- A is a **set**

$$\text{isSet}(A) \equiv \prod_{x,y:A} \text{isProp}(x = y)$$

$$\text{Prop} \equiv \sum_{X:\mathcal{U}} \text{isProp}(X) \quad \text{Set} \equiv \sum_{X:\mathcal{U}} \text{isSet}(X)$$

Contractible types, propositions and sets

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- A is a **set**

$$\text{isSet}(A) \quad :\equiv \quad \prod_{x,y:A} \text{isProp}(x = y)$$

$$\text{Prop} \quad :\equiv \quad \sum_{X:\mathcal{U}} \text{isProp}(X) \qquad \text{Set} \quad :\equiv \quad \sum_{X:\mathcal{U}} \text{isSet}(X)$$

Equivalences

Definition

A map $f : A \rightarrow B$ is an **equivalence** if it has contractible fibers, i.e.,

$$\text{isEquiv}(f) \quad :\equiv \quad \prod_{b:B} \text{isContr} \left(\sum_{a:A} f(a) = b \right)$$

The type of equivalences:

$$A \simeq B \quad :\equiv \quad \sum_{f:A \rightarrow B} \text{isEquiv}(f)$$

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Different notions of equality

Synthetic vs. analytic equalities

In MLTT, we always have a **synthetic** equality type between $a, b : T$

$$a =_T b.$$

Depending on T , we might have a type of **analytic** equalities

$$a \simeq_T b.$$

Univalence Principle for T and \simeq_T says that this map is an equivalence

$$(a =_T b) \rightarrow (a \simeq_T b)$$

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Univalence **Axiom**: for $T \equiv \mathcal{U}$ and $(X \simeq_{\mathcal{U}} Y) \equiv$ “equivalences $X \rightarrow Y$ ”:

$$(X =_{\mathcal{U}} Y) \rightarrow (X \simeq_{\mathcal{U}} Y)$$

is an equivalence.

Transport along equivalence of types

$$x =_{\mathcal{U}} y \rightarrow \prod_{(P:\mathcal{U} \rightarrow \mathcal{U})} (P(x) \simeq P(y))$$

$$\text{univalence : } \prod_{(x,y:\mathcal{U})} (x =_{\mathcal{U}} y \simeq x \simeq y)$$

$$x \simeq y \rightarrow \prod_{(P:\mathcal{U} \rightarrow \mathcal{U})} (P(x) \simeq P(y))$$

Transport along isomorphism of groups

$$x =_{\text{Grp}} y \rightarrow \prod_{(P:\text{Grp} \rightarrow \mathcal{U})} (P(x) \simeq P(y))$$

$$\text{univalence : } \prod_{(x,y:\text{Grp})} (x =_{\text{Grp}} y \simeq x \cong y)$$

$$x \cong y \rightarrow \prod_{(P:\text{Grp} \rightarrow \mathcal{U})} (P(x) \simeq P(y))$$

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Structure Identity Principle

- One can show $(x =_{\text{Grp}} y \simeq x \cong y)$, using univalence for types
- Works similarly for many other structures **built from (types that are) sets**
- See Coquand & Danielsson and HoTT book (Section 9.9)

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What about things that form a **higher** category, e.g., categories themselves?

Categories in type theory

A **category** \mathcal{C} is given by

- a type $\mathcal{C}_0 : \mathcal{U}$ of **objects**
- for any $a, b : \mathcal{C}_0$, a set $\mathcal{C}(a, b) : \mathcal{U}$ of **morphisms**
- operations: identity & composition

$$1_a : \mathcal{C}(a, a)$$

$$(\circ)_{a,b,c} : \mathcal{C}(b, c) \rightarrow \mathcal{C}(a, b) \rightarrow \mathcal{C}(a, c)$$

- axioms: unitality & associativity

$$1 \circ f = f \quad f \circ 1 = f \quad (h \circ g) \circ f = h \circ (g \circ f)$$

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$$1 \circ f = f \quad f \circ 1 = f \quad (h \circ g) \circ f = h \circ (g \circ f)$$

A **univalent category** is a category \mathcal{C} such that

$$(a = b) \rightarrow (a \cong b)$$

is an equivalence for all $a, b : \mathcal{C}_0$.

Local univalence implies global univalence

Theorem (A., Kapulkin, Shulman)

For categories A and B , let $A \simeq B$ denote the type of equivalences from A to B . If A and B are **univalent**, we have

$$(A =_{\text{uCat}} B) \simeq (A \simeq B).$$

Transport along equivalence of **univalent** categories

$$x =_{\text{uCat}} y \rightarrow \prod_{(P:\text{uCat} \rightarrow \mathcal{U})} (P(x) \simeq P(y))$$

$$\text{univalence : } \prod_{(x,y:\text{uCat})} (x =_{\text{uCat}} y \simeq x \simeq y)$$

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Univalence Principle for categories

- Holds only for categories that satisfy themselves a univalence condition: **local univalence implies global univalence**
- Univalent categories are the right notion of categories in Univalent Foundations

Univalence Principle (joint work with North, Shulman, Tsementzis)

1. Define **signature**, **axiom**, and **theory** for mathematical structures, including higher-categorical ones
2. Given a theory $\mathcal{T} = (\mathcal{L}, T)$, define
 - \mathcal{T} -models
 - Univalence of \mathcal{T} -models
 - Equivalence between \mathcal{T} -models
3. Prove a univalence result for univalent \mathcal{T} -models:

$$\text{univalence : } \prod_{(x,y:\text{uMod}\mathcal{T})} ((x =_{\text{uMod}\mathcal{T}} y) \simeq (x \simeq_{\text{uMod}\mathcal{T}} y))$$

Other examples

- First-order logic, e.g., groups, rings
- Higher-order logic, e.g., topological spaces, suplattices
- Categories
- Dagger categories
- (Ana)functors
- Profunctors
- Displayed categories / Fibrations
- Bicategories
- Double categories
- ...

Univalence Principle

Technical challenge

Define a notion of “isomorphism” (called **indiscernibility**) that

1. works for any signature/theory
2. specializes to categorical isomorphism for the theory of categories

In the rest of the talk

1. Show what the local univalence condition means for 1-categorical structures
2. Our example: monoids

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Monoids in type theory

In type theory, a monoid is a tuple $(M, \mu, e, \alpha, \lambda, \rho)$ where

1. $M : \mathbf{Set}$
2. $\mu : M \times M \rightarrow M$
3. $e : M$
4. $\alpha : \prod_{(a,b,c:M)} \mu(\mu(a,b),c) = \mu(a,\mu(b,c))$
5. $\lambda : \prod_{(a:M)} \mu(e,a) = a$
6. $\rho : \prod_{(a:M)} \mu(a,e) = a$

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Why $M : \mathbf{Set}$?

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Why $M : \mathbf{Set}$?

Abstractly, a monoid is a (dependent) pair $(data, proof)$ where

- *data* is 1.–3.
- *proof* is 4.–6.

The type of monoids

- We want two monoids $(data, proof)$ and $(data', proof')$ to be the same if $data$ is the same as $data'$.
- This is guaranteed when the types of $proof$ and $proof'$ are **propositions**.
- This in turn is guaranteed when M is a **set**.

Summarily:

$$\text{Monoid} \quad :\equiv \quad \sum_{(M:\text{Set})} \sum_{(\mu, e):\text{MonoidStr}(M)} \text{MonoidAxioms}(M, (\mu, e))$$

Can show

$$\text{isProp}(\text{MonoidAxioms}(M, (\mu, e)))$$

Monoid isomorphisms

Given $\mathbf{M} \equiv (M, \mu, e, \alpha, \lambda, \rho)$ and $\mathbf{M}' \equiv (M', \mu', e', \alpha', \lambda', \rho')$, a **monoid isomorphism** is a bijection $f : M \cong M'$ preserving μ and e .

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$$\begin{aligned} \mathbf{M} = \mathbf{M}' &\simeq (M, \mu, e) = (M', \mu', e') \\ &\simeq \sum_{p: M=M'} (\text{transport}^{Y \mapsto (Y \times Y \rightarrow Y)}(p, \mu) = \mu') \\ &\quad \times (\text{transport}^{Y \mapsto Y}(p, e) = e') \\ &\simeq \sum_{f: M \cong M'} (f \circ \mu \circ (f^{-1} \times f^{-1}) = \mu') \\ &\quad \times (f \circ e = e') \\ &\simeq \mathbf{M} \cong \mathbf{M}' \end{aligned}$$

Transport along monoid isomorphism

We now have two ingredients:

1.

$$\text{transport}_{\mathbf{M}, \mathbf{M}'} : (\mathbf{M} = \mathbf{M}') \rightarrow \prod_{B: \text{Monoid} \rightarrow \mathcal{U}} (B(\mathbf{M}) \simeq B(\mathbf{M}'))$$

2.

$$(\mathbf{M} = \mathbf{M}') \simeq (\mathbf{M} \cong \mathbf{M}')$$

Composing these, we get

$$\text{transport}_{\mathbf{M}, \mathbf{M}'} : (\mathbf{M} \cong \mathbf{M}') \rightarrow \prod_{B: \text{Monoid} \rightarrow \mathcal{U}} (B(\mathbf{M}) \simeq B(\mathbf{M}'))$$

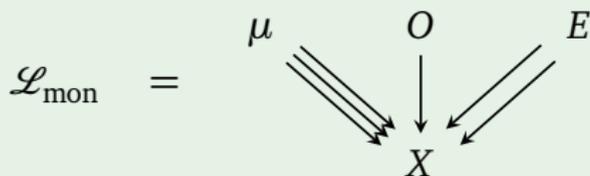
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The signature of monoids

Example

Signature \mathcal{L}_{mon} for a monoid:



A **structure** M for this signature consists of

1. a type MX
2. a family of types $M\mu(x,y,z)$ for $x,y,z : MX$
3. a family of types $MO(x)$ for $x : MX$
4. a family of types $ME(x,y)$ for $x,y : MX$

The theory of monoids

Not all structures represent monoids. **Axioms** specify those structures that are a monoid:

Axioms of a monoid

1. Monoid axioms:

$$\forall(x, y, z, z' : X). \mu(x, y, z) \rightarrow \mu(x, y, z') \rightarrow E(z, z')$$

$$\forall(x, y : X). \exists(z : X). \mu(x, y, z)$$

$$\forall(x, x', y, z : X). E(x, x') \rightarrow \mu(x, y, z) \rightarrow \mu(x', y, z)$$

$$\forall(x, y : X). E(x, y) \rightarrow E(y, x)$$

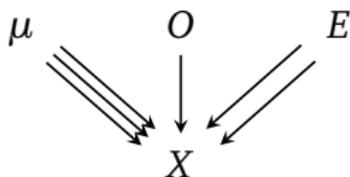
...

2. “Homotopical axioms”:

2.1 MX is a set

2.2 $M\mu(x, y, z)$, $MO(x)$, $ME(x, y)$ are pointwise propositions

Indiscernibility for elements of a monoid



Given $a, b : MX$, an **indiscernibility** $a \asymp b$ consists of “equivalences of types of everything above a and b ”

$$M\mu(a, y, z) \simeq M\mu(b, y, z)$$

$$M\mu(x, a, z) \simeq M\mu(x, b, z)$$

$$M\mu(x, y, a) \simeq M\mu(x, y, b)$$

$$M\mu(a, a, z) \simeq M\mu(b, b, z)$$

...

$$MO(a) \simeq MO(b)$$

$$ME(a, y) \simeq ME(b, y)$$

...

Indiscernibility

1. $a \asymp b$ means that a and b behave in the same way within the structure.
2. In a model M of the theory of monoids, $a \asymp b$ reduces to $ME(a, b)$.
3. Definition of indiscernibility carries over to any \mathcal{L} , and any sort in \mathcal{L} .

Indiscernibility

1. $a \asymp b$ means that a and b behave in the same way within the structure.
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3. Definition of indiscernibility carries over to any \mathcal{L} , and any sort in \mathcal{L} .

Definition

1. Given $v, w : M\mu(a, b, c)$, an indiscernibility $v \asymp w$ is given by an equivalence

$$\mathbf{1} \simeq \mathbf{1}$$

(since there is nothing above μ in \mathcal{L}_{mon}). Hence $(v \asymp w) = \mathbf{1}$.

2. Similar for $v, w : MO(a)$, and $v, w : ME(a, b)$.

Univalence of models

Definition

A monoid M is **univalent** if the maps

$$(a = b) \rightarrow (a \simeq b) \tag{1}$$

$$(v = w) \rightarrow (v \simeq w) \tag{2}$$

are equivalences for $a, b : MX$ and $v, w : M\mu, MO, ME$.

Univalence of models

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are equivalences for $a, b : MX$ and $v, w : M\mu, MO, ME$.

Observations

1. Since $(w \asymp w') = 1$, condition (2) is equivalent to $M\mu, MO$, and ME being pointwise **propositions**.
2. Since $(a \asymp b) = ME(a, b)$, condition (1) is equivalent to M being a **set with identity $a = b$ given by $E(a, b)$** .

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Summary: a univalent monoid in this sense is exactly the same a monoid as previously defined.

Equivalence of models

Given monoids M, N , an **equivalence** is

$$\begin{aligned} e_X &: MX \rightarrow NX \\ e_\mu &: \prod_{x,y,z:MX} M\mu(x,y,z) \rightarrow N\mu(ex, ey, ez) \\ e_O &: \prod_{x:MX} MO(x) \rightarrow NO(ex) \\ e_E &: \prod_{x,y:MX} ME(x,y) \rightarrow NE(ex, ey) \end{aligned}$$

such that e_X , $(e_\mu)_{x,y,z}$, $(e_O)_x$, and $(e_E)_{x,y}$ are (split-)surjective.

Observations

1. For univalent monoids, condition of e_E being split-surjective entails that e_X is injective.
2. An equivalence of univalent monoids is an isomorphism of sets that preserves multiplication and unit.

Univalence for univalent monoids

Theorem (Univalence Principle)

For univalent M and N ,

$$(M = N) \simeq (M \simeq N)$$

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Where does our work take place?

Working in **two-level type theory** of Annenkov, Capriotti, Kraus, Sattler.

- Univalent Foundations, embedded in an extensional type theory
- Universes $\mathcal{U} \hookrightarrow \mathcal{U}^s$
- \mathcal{U} implements univalent type theory.
- Every type $T : \mathcal{U}^s$ is equipped with a strict equality type $a \equiv_T b$ with the usual rules for the identity type, but which also satisfies UIP.
- Signatures live in \mathcal{U}^s (are meta-mathematical), but models and their morphisms live in \mathcal{U} (are mathematical)

Transporting in practice

Limitations of our work

- Not formalized in a computer proof assistant (WIP by Elif Uskuplu)
- No functions, only relations

Ingredients for transport in a computer proof assistant

1. Mathematical foundation satisfying the univalence axiom (by proof rather than by axiom)
2. Implementation of these foundations as a computer proof assistant
3. Univalence principle for mathematical structures

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Thanks for your attention!

References

- Coquand, Danielsson, “Isomorphism is equality”
- The HoTT book (Section 9.9 for Structure Identity Principle)
- Ahrens, Kapulkin, Shulman, “Univalent categories and the Rezk completion”
- Ahrens, North, Shulman, Tsementzis, “The Univalence Principle”