

Constructive Initial Algebra Semantics

Andrew Pitts
joint work with Shaun Steenkamp



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constructive logic

category theory
for computer science

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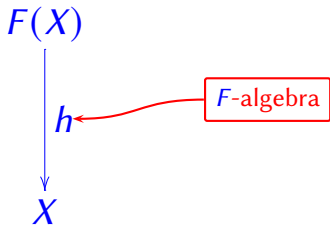


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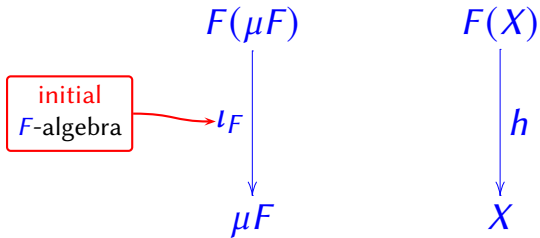
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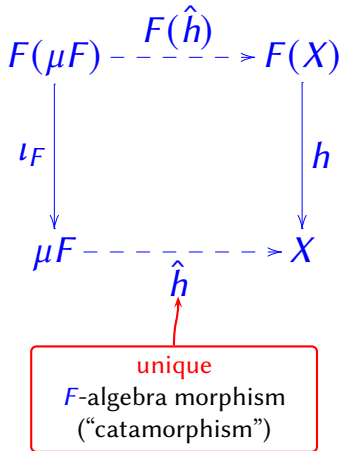
Initial algebra of an endofunctor $F : \mathbf{C} \rightarrow \mathbf{C}$



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$$\begin{array}{c} F(\mu F) \\ \downarrow \iota_F \cong \\ \mu F \end{array}$$

For various choices of \mathbf{C} and F
 μF is used in the semantics of various kinds of
inductive (or dually, **coinductive**) structures
and associated (co)recursion schemes

For example...

W-types

Each “**container**” ($A \in \mathbf{Set}$, $B \in \mathbf{Set}^A$)
determines a **polynomial** endofunctor $F_{A,B} : \mathbf{Set} \rightarrow \mathbf{Set}$

$$F_{A,B}(X) = \sum_{a \in A} X^{B a} = \{(a, f) \mid a \in A \wedge f \in X^{B a}\}$$

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$\mu F_{A,B}$ is the set $W_{A,B}$ of **well-founded algebraic terms**
generated from a **signature** of operation symbols sup_a
($a \in A$), each with (possibly *infinitary*) arity $B a$:

$$t \in W_{A,B} ::= \text{sup}_a f \quad \text{where} \quad f \in (W_{A,B})^{B a}$$

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$$t \in W_{A,B} ::= \text{sup}_a f \quad \text{where} \quad f \in (W_{A,B})^{B a}$$

Given $h : (\sum_{a \in A} X^{B a}) \rightarrow X$, then $\hat{h} : W_{A,B} \rightarrow X$ is uniquely determined by the recursion equation


$$\hat{h}(\text{sup}_a f) = h(a, \lambda b. \hat{h}(f b))$$

Classical construction of μF

Assume \mathbf{C} has colimits of shape $(\alpha, <)$ for any ordinal α , and hence in particular an initial object 0 .

Iterate $F : \mathbf{C} \rightarrow \mathbf{C}$ transfinitely, starting at 0

$$0 \xrightarrow{i_0} F0 \xrightarrow{i_1} F^2 0 \xrightarrow{i_2} \dots \rightarrow F^\alpha 0 \xrightarrow{i_\alpha} F^{\alpha^+} 0 \rightarrow \dots$$


$$F^\alpha 0 = \begin{cases} 0 & \text{if } \alpha = 0 \\ F(F^\beta 0) & \text{if } \alpha = \beta^+ \text{ is a successor ordinal} \\ \operatorname{colim}_{\beta < \lambda} F^\beta 0 & \text{if } \alpha = \lambda \text{ is a limit ordinal} \end{cases}$$
$$i_\alpha = \begin{cases} \text{unique, by initiality of } 0 & \text{if } \alpha = 0 \\ F(i_\beta) & \text{if } \alpha = \beta^+ \\ \text{use univ. prop. of } \operatorname{colim}_{\beta < \lambda} & \text{if } \alpha = \lambda \end{cases}$$

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Theorem [Adamek, 1974] If F preserves colimits of shape $(\kappa, <)$ for some limit ordinal κ (that is, i_κ is an isomorphism), then it has initial algebra

$$\mu F = F^\kappa 0 = \operatorname{colim}_{\alpha < \kappa} F^\alpha 0$$

(with algebra structure given by $F(F^\kappa 0) = F^{\kappa^+} \xrightarrow[(\cong)]{(i_\kappa)^{-1}} F^\kappa 0$)

Classical construction of μF

Assume \mathbf{C} has colimits of shape $(\alpha, <)$ for any ordinal α , and hence in particular an initial object 0 .

Law of Excluded Middle (LEM)

$$\forall p. p \vee \neg p$$

is needed for the usual theory of ordinal numbers

starting at 0

$$\rightarrow F^{\alpha}0 \xrightarrow{i_{\alpha}} F^{\alpha^{+}}0 \rightarrow \dots$$

$$F^{\alpha}0 = \begin{cases} 0 & \text{if } \alpha = 0 \\ F(F^{\beta}0) & \text{if } \alpha = \beta^{+} \text{ is a successor ordinal} \\ \operatorname{colim}_{\beta < \lambda} F^{\beta}0 & \text{if } \alpha = \lambda \text{ is a limit ordinal} \end{cases}$$

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Classical construction of μF

Assume \mathbf{C} has colimits of shape $(\alpha, <)$ for any ordinal α ,

Without some form of choice principle
there won't be many such F

$$0 \xrightarrow{i_0} F0 \xrightarrow{i_1} F^2 0 \xrightarrow{i_2} \dots \rightarrow F^\alpha 0 \xrightarrow{i_\alpha} F^{\alpha^+} 0 \rightarrow \dots$$

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C = Set (ZFC sets) **case of the theorem:**

$F : \mathbf{Set} \rightarrow \mathbf{Set}$ has an initial algebra if it preserves κ colimits for some limit ordinal κ .

Fact: for a polynomial endofunctor $F_{A,B}(X) = \sum_{a \in A} X^{B^a}$,

if we take κ big enough so that

any B a -indexed family of ordinals $< \kappa$

has an upper bound $< \kappa$

then $F_{A,B} : \mathbf{Set} \rightarrow \mathbf{Set}$ preserves κ colimits.

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Axiom of Choice (AC) can be used to prove this fact

Colimits in **Set** are given by quotients: $\text{colim}_{\alpha < \kappa} D_\alpha = (\sum_{\alpha < \kappa} D_\alpha) / \sim$

To get from a function $f \in (\text{colim}_{\alpha < \kappa} F_{A,B}^\alpha 0)^{B a}$

to an element of $\text{colim}_{\alpha < \kappa} ((F_{A,B}^\alpha 0)^{B a})$ when $B a$ is infinite,

we can use AC to pick a representative in the \sim -equivalence class $f(b)$ for each $b \in B a$; and then...

Constructive Logic – why bother?

- ▶ philosophy
- ▶ computational content

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- ▶ **utility**: internal languages of many varieties of category have a constructive nature

Elementary Toposes

Simple definition

topos = category with finite limits, exponentials and a generic monomorphism

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but rich in properties, because there is a Lawvere-style category \leftrightarrow theory correspondence between them and theories in

intuitionistic higher-order logic with extensionality

or better still (if we restrict attention to toposes with a natural number object and universes)

extensional Martin-Löf Type Theory with an impredicative universe of propositions

Constructive Logic – why bother?

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For example: use of internal type theory of a topos to describe the construction of the Coquand-Cohen-Huber-Mörtberg model of univalent foundations within a presheaf topos of cubical sets.

[I. Orton-AMP, *Axioms for Modelling Cubical Type Theory in a Topos*, LMCS 14(2018)]

[D. R. Licata, I. Orton, AMP and B. Spitters, *Internal Universes in Models of Homotopy Type Theory*, FSCD 2018]

Constructive Logic – why bother?

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Is there a version of Adamek's theorem that works in any topos with NNO and universes?

Constructive Adamek - step 1

Avoid zero/successor/limit case distinction in
by using an “inflationary” iteration instead

$$F^0 0 = 0$$

$$F^{\alpha^+} 0 = F(F^\alpha 0)$$

$$F^\lambda 0 = \operatorname{colim}_{\alpha < \lambda} F^\alpha$$

$$\mu_\alpha F = \operatorname{colim}_{\beta < \alpha} F(\mu_\beta F)$$

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and replace use of ordinals by the elements of any

Definition. A **size** is a set κ equipped with a binary relation $<$ which is transitive, *directed*

$$\exists \alpha \in \kappa \wedge \forall \alpha, \alpha' \in \kappa. \exists \beta \in \kappa. \alpha < \beta \wedge \alpha' < \beta$$

and *well-founded*

$$\forall S \subseteq \kappa. (\forall \alpha. (\forall \beta < \alpha. \beta \in S) \Rightarrow \alpha \in S) \Rightarrow \forall \alpha. \alpha \in S$$

(sizes play the role of limit ordinals in the constructive theory)

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$$\begin{aligned} F^0 0 &= 0 \\ F^{\alpha^+} 0 &= F(F^\alpha 0) \\ F^\lambda 0 &= \operatorname{colim}_{\alpha < \lambda} F^\alpha \end{aligned}$$

Lemma. Constructively, assuming \mathbf{C} has small colimits, given any endofunctor $F : \mathbf{C} \rightarrow \mathbf{C}$ and size $(\kappa, <)$, there are objects $\mu_\alpha F \in \mathbf{C}$ for each $\alpha \in \kappa$ satisfying

$$\mu_\alpha F = \operatorname{colim}_{\beta < \alpha} F(\mu_\beta F)$$

(just need transitivity and well-foundedness of $<$, but not directedness, to construct $(\mu_\alpha F \mid \alpha \in \kappa)$)

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Theorem. Constructively, if \mathbf{C} has small colimits and $F : \mathbf{C} \rightarrow \mathbf{C}$ preserves colimits of size $(\kappa, <)$, then it has initial algebra $\mu F = \operatorname{colim}_{\alpha \in \kappa} \mu_\alpha F$.

(proof uses directedness of $<$, which implies in particular that for each $\alpha \in \kappa$ there is $\alpha^+ \in \kappa$ with $\alpha < \alpha^+$)

Constructive Adamek - step 2

Theorem. Constructively, if \mathbf{C} has small colimits and $F : \mathbf{C} \rightarrow \mathbf{C}$ preserves colimits of some size κ , then it has initial algebra given by taking the colimit of the κ -indexed inflationary iteration of F .

Are there (m)any such κ and F ?

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Fact: for a polynomial endofunctor $F_{A,B}(X) = \sum_{a \in A} X^{B^a}$, if we take κ big enough so that

*any B a -indexed family of ordinals $< \kappa$
has an upper bound $< \kappa$*

then $F_{A,B} : \mathbf{Set} \rightarrow \mathbf{Set}$ preserves κ colimits.

Suggests that for each signature $\Sigma = (A, B)$
we need to be able to find a size $(\kappa, <)$
that has B a -indexed $<$ -upper bounds, for all $a \in A$

Recall that a **size** is a set κ with a transitive, directed and well-founded binary relation $<$

Given a signature $\Sigma = (A : \mathbf{Set}, B : \mathbf{Set}^A)$, say that a size $(\kappa, <)$ is **Σ -filtered** if

for all $a \in A$, every $B a$ -indexed family $(f \ b \in \kappa \mid b \in B a)$ has a $<$ -upper bound in κ .

Theorem. For every Σ , there is a Σ -filtered size.

Proof uses W-types endowed with Paul Taylor's "plump" order...

Plump order

Recall that $W_{A,B} = \{\text{sup}_a f \mid a \in A \wedge f \in (W_{A,B})^{B^a}\}$ is the set of well-founded algebraic terms generated from a signature $(A \in \mathbf{Set}, B \in \mathbf{Set}^A)$ of operation symbols sup_a of arity B^a (for each $a \in A$)

The **plump well-order** (Paul Taylor, JSL 1996) $<$ on $W_{A,B}$ is mutually inductively defined with a pre-order \leq

$$\frac{\exists b. t \leq f b}{t < \text{sup}_a f}$$

$$\frac{\forall b. f b < t}{\text{sup}_a f \leq t}$$

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$$\frac{\exists b. t \leq f b}{t < \text{sup}_a f} \qquad \frac{\forall b. f b < t}{\text{sup}_a f \leq t}$$

$<$ is always transitive and well-founded

and we have $f b < \text{sup}_a f$ (because \leq is provably reflexive)

so in particular, if there are $a_0, a_2 \in A$ with $B a_0 = \emptyset$ and $B a_2 = 1 + 1$, then $<$ is directed – in which case $(W_{A,B}, <)$ is a **size**.

Recall that a **size** is a set κ with a transitive, directed and well-founded binary relation $<$

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Theorem. For every Σ , there is a Σ -filtered size.

Proof uses W-types endowed with Paul Taylor's “plump” order.

Given $\Sigma = (A, B)$, we can take $\kappa = W_{A', B'}$ with its plump order, where

$$A' \triangleq A \uplus \{0, 2\}$$

$$B' a \triangleq B a$$

$$B' 0 \triangleq \emptyset$$

$$B' 2 \triangleq 1 + 1$$

Constructive Adamek - step 2

Theorem. Constructively, if \mathbf{C} has small colimits and $F : \mathbf{C} \rightarrow \mathbf{C}$ preserves colimits of some size κ , then it has initial algebra given by taking the colimit of the κ -indexed inflationary iteration of F .

Are there (m)any such κ and F ?

Definition. A functor $F : \mathbf{C} \rightarrow \mathbf{D}$ between cocomplete categories is **sized** if it preserves colimits of Σ -filtered sizes, for some signature Σ .

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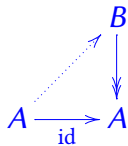
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Some constructively valid closure properties for sized functors:

- ▶ constant functors
- ▶ quotients (coequalizers of pairs of natural transformations)
- ▶ Σ (I -indexed coproducts, for any $I \in \mathbf{Set}$)
- ▶ What about \prod ? (I -indexed products for any $I \in \mathbf{Set}$)

WISC

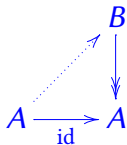
Assuming AC, for all $A \in \mathbf{Set}$



any surjection to A splits

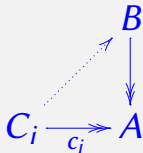
WISC

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WISC axiom [van den Berg, Moerdijk, Palmgren, Streicher]
weakens AC to merely assume that for each A there is a
Set of surjections (“Covers”) $\{ C_i \twoheadrightarrow A \mid i \in I \}$
which is **Weakly Initial**



WISC

ZFC **Set** satisfies WISC

If any elementary topos \mathcal{E} satisfies WISC, so do toposes of (pre)sheaves and realizability toposes built from \mathcal{E}

[B. van den Berg & I. Moerdijk, J. Math. Logic, 2014]

But there are toposes not satisfying WISC

[D.M. Roberts, Studia Logica, 2015]

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Following a suggestion of Andrew Swan, we proved:

Theorem. In any elementary topos \mathcal{E} with NNO and universes \mathbf{Set}_n satisfying WISC, if $I \in \mathbf{Set}_n$ and $(F_i : \mathbf{Set}_n \rightarrow \mathbf{Set}_n \mid i \in I)$ are sized functors, then so is their product $\prod_{i \in I} F_i : \mathbf{Set}_n \rightarrow \mathbf{Set}_n$.

Constructive Adamek - step 2

As a corollary we get that in any topos
with NNO and universes \mathcal{E}_n satisfying WISC,
we can construct initial algebras for

Gylterud's **symmetric containers**

$$F_{\mathbf{G},B}(X) \triangleq \operatorname{colim}_{g \in \mathbf{G}} X^{Bg}$$

where \mathbf{G} is a groupoid in \mathcal{E}_n and $B : \mathbf{G}^{\text{op}} \rightarrow \mathcal{E}_n$ a functor

Examples include **infinitary multisets** and **infinite unordered branching trees**

- ▶ constant functors
- ▶ quotients (coequalizers of pairs of natural transformations)
- ▶ Σ (I -indexed coproducts, for any $I \in \mathbf{Set}$)
- ▶ \prod (I -indexed products for any $I \in \mathbf{Set}$) provided WISC holds

Conclusions/Questions

- ▶ **Plumply ordered W-types + WISC** seem a useful constructive substitute for classical ordinal numbers, for some purposes.

For further applications of the method see

[M.P. Fiore, AMP & S.C. Steenkamp,

Quotients, Inductive Types and Quotient Inductive Types,

arXiv:2101.02994]

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- ▶ Is the use of WISC really necessary? (cf. Agda’s sized types)

Thank you for your attention!