## The Univalence Principle

Benedikt Ahrens

j.w.w. Paige R North, Michael Shulman, Dimitris Tsementzis

> Interactions of Proof Assistants and Mathematics International Summer School, Regensburg, Germany
2023-09-26

## Contents of this talk

## What this talk is about

I. Quest for an equivalence-invariant foundation of mathematics
2. Overview: how can Voevodsky's Univalent Foundations (UF) be equivalence-invariant?
3. Our work on proving that UF are equivalence-invariant

## What this talk is not about

- Precise definitions and proofs


## Contents of this talk

## What this talk is about

I. Quest for an equivalence-invariant foundation of mathematics
2. Overview: how can Voevodsky's Univalent Foundations (UF) be equivalence-invariant?
3. Our work on proving that UF are equivalence-invariant

## What this talk is not about

- Precise definitions and proofs

For precise mathematical results I refer to our book:
The Univalence Principle (arXiv:2IO2.06275)

## Overview

I Motivation for Univalent Foundations
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) Two Notions of Signature

7 Indiscernibility and Univalence
8 Examples of Functorial Signatures

## Outline

(I) Motivation for Univalent Foundations
(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) Two Notions of Signature
(7) Indiscernibility and Univalence
(8) Examples of Functorial Signatures

## 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.

## Invariance under sameness

Notion of sameness depends on the objects under consideration:
An equivalence principle for group theorists
$G \cong H \rightarrow \forall$ group-theoretic properties $P,(P(G) \leftrightarrow P(H))$
An equivalence principle for category theorists
$A \simeq B \rightarrow \forall$ category-theoretic properties $P,(P(A) \leftrightarrow P(B))$

## Invariance under sameness

Notion of sameness depends on the objects under consideration:
An equivalence principle for group theorists
$G \cong H \rightarrow \forall$ group-theoretic properties $P,(P(G) \longleftrightarrow P(H))$
An equivalence principle for category theorists
$A \simeq B \rightarrow \forall$ category-theoretic properties $P,(P(A) \leftrightarrow P(B))$
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

What is not a structural property?

## Exercise

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


## A solution <br> "The category $\mathscr{C}$ has exactly one object."

## 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


## A solution

"The category $\mathscr{C}$ has exactly one object."
Can we rule out such "non-structural" statements?

## 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.

## 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.

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

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

- FOLDS is not a foundation of mathematics
- 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


## Essential ingredients for Univalent Foundations

- Martin-Löf identity type
- Voevodsky's univalence axiom


## 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


## Essential ingredients for Univalent Foundations

- Martin-Löf identity type
- Voevodsky’s univalence axiom

In the rest of this talk
How is reasoning in Univalent Foundations invariant under equivalence?

## Outline

(I) Motivation for Univalent Foundations
(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) Two Notions of Signature
(7) Indiscernibility and Univalence

8 Examples of Functorial Signatures

## 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 | $A+B$ |  | $\operatorname{inl}(a), \operatorname{inr}(b)$ |
| Identity type | $a=b$ |  |  |
| Universe | $\mathscr{U}(a): a=a$ |  |  |
| Base types | Nat, Bool, 1,0 |  |  |

## Identity vs equality

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

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


## Transport

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

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

## 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

$$
\begin{gathered}
\operatorname{isSet}(A): \equiv \prod_{x, y: A} \operatorname{isProp}(x=y) \\
\text { Prop }: \equiv \sum_{X: \mathscr{U}} \operatorname{isProp}(X) \quad \text { Set }: \equiv \sum_{X: \mathscr{U}} \operatorname{isSet}(X)
\end{gathered}
$$

## Contractible types, propositions and sets

- $A$ is contractible

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

- $A$ is a proposition

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

- $A$ is a set

$$
\begin{gathered}
\operatorname{is} \operatorname{Set}(A): \equiv \prod_{x, y: A} \operatorname{isProp}(x=y) \\
\text { Prop }: \equiv \sum_{X: \mathscr{U}} \operatorname{isProp}(X) \quad \text { Set }: \equiv \sum_{X: \mathscr{U}} \operatorname{isSet}(X)
\end{gathered}
$$

## Equivalences

## Definition

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

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

The type of equivalences:

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

## Outline

I Motivation for Univalent Foundations
(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) Two Notions of Signature
(7) Indiscernibility and Univalence
(8) Examples of Functorial Signatures

## 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

$$
\left(a=_{T} b\right) \rightarrow\left(a \simeq_{T} b\right)
$$

## 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

$$
\left(a=_{T} b\right) \rightarrow\left(a \simeq_{T} b\right)
$$

Univalence Axiom: for $T=\mathscr{U}$ and $\left(X \simeq_{\mathscr{U}} Y\right)=$ "equivalences $X \rightarrow Y^{\prime \prime}$ :

$$
\left(X=_{\mathscr{U}} Y\right) \rightarrow\left(X \simeq_{\mathscr{U}} Y\right)
$$

is an equivalence.

## Transport along equivalence of types

$$
\begin{gathered}
x==_{\mathscr{U}} y \rightarrow \prod_{(P: \mathscr{U} \rightarrow \mathscr{U})}(P(x) \simeq P(y)) \\
\text { univalence }: \prod_{(x, y: \mathscr{U})}\left(x=_{\mathscr{U}} y \xrightarrow{ } x \simeq y\right) \\
x \simeq y \rightarrow \prod_{(P: \mathscr{U} \rightarrow \mathscr{U})}(P(x) \simeq P(y))
\end{gathered}
$$

## Transport along biimplication

$$
(P=Q) \rightarrow \prod_{(S: \operatorname{Prop} \rightarrow \mathscr{U})}(S(P) \simeq S(Q))
$$

$$
\text { univalence : } \prod_{(P, Q: P r o p)}((P=Q) \xrightarrow{\sim}(P \leftrightarrow Q))
$$

$$
(P \leftrightarrow Q) \rightarrow \prod_{(S: P r o p \rightarrow \mathscr{U})}(S(P) \simeq S(Q))
$$

## Transport along bijections

$$
\begin{gathered}
(X=Y) \rightarrow \prod_{(S: \text { Set } \rightarrow \mathscr{U})}(P(X) \simeq P(Y)) \\
\text { univalence }: \prod_{(X, Y: \text { Set })}((X=Y) \simeq(X \cong Y)) \\
(X \cong Y) \rightarrow \prod_{(S: S \mathrm{Set} \rightarrow \mathscr{U})}(P(X) \simeq P(Y))
\end{gathered}
$$

## Transport along isomorphism of groups

$$
\begin{gathered}
x=\operatorname{Grp} y \rightarrow \prod_{(P: \operatorname{Grp} \rightarrow \mathscr{U})}(P(x) \simeq P(y)) \\
\text { univalence }: \prod_{(x, y: G r p)}\left(x={ }_{\mathrm{Grp}} y \xrightarrow{\sim} x \cong y\right) \\
\quad x \cong y \rightarrow \prod_{(P: G r p \rightarrow \mathscr{U})}(P(x) \simeq P(y))
\end{gathered}
$$

## Transport along isomorphism of groups

$$
\begin{gathered}
x=\operatorname{Grp} y \rightarrow \prod_{(P: G r p \rightarrow \mathscr{U})}(P(x) \simeq P(y)) \\
\text { univalence }: \prod_{(x, y: \operatorname{Grp})}\left(x={ }_{\mathrm{Grp}} y \xrightarrow{ }{ }^{( } x \cong y\right) \\
\qquad x \cong y \rightarrow \prod_{(P: G r p \rightarrow \mathscr{U})}(P(x) \simeq P(y))
\end{gathered}
$$

## Structure Identity Principle

- One can show $(x=\operatorname{Grp} y \xrightarrow{\sim} x \cong y)$, 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)


## Transport along isomorphism of groups

$$
\begin{gathered}
x=\operatorname{Grp} y \rightarrow \prod_{(P: G r p \rightarrow \mathscr{U})}(P(x) \simeq P(y)) \\
\text { univalence }: \prod_{(x, y: \operatorname{Grp})}\left(x={ }_{\mathrm{Grp}} y \xrightarrow{ }{ }^{( } x \cong y\right) \\
\qquad x \cong y \rightarrow \prod_{(P: G r p \rightarrow \mathscr{U})}(P(x) \simeq P(y))
\end{gathered}
$$

## Structure Identity Principle

- One can show $(x=\operatorname{Grp} y \xrightarrow{\sim} x \cong y)$, 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)

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

## Categories in type theory

A category $\mathscr{C}$ is given by

- a type $\mathscr{C}_{0}: \mathscr{U}$ of objects
- for any $a, b: \mathscr{C}_{0}$, a set $\mathscr{C}(a, b): \mathscr{U}$ of morphisms
- operations: identity \& composition

$$
\begin{aligned}
\mathrm{I}_{a} & : \mathscr{C}(a, a) \\
(\circ)_{a, b, c} & : \mathscr{C}(b, c) \rightarrow \mathscr{C}(a, b) \rightarrow \mathscr{C}(a, c)
\end{aligned}
$$

- axioms: unitality \& associativity

$$
\mathrm{I} \circ f=f \quad f \circ \mathrm{I}=f \quad(h \circ g) \circ f=h \circ(g \circ f)
$$

## Categories in type theory

A category $\mathscr{C}$ is given by

- a type $\mathscr{C}_{0}: \mathscr{U}$ of objects
- for any $a, b: \mathscr{C}_{0}$, a set $\mathscr{C}(a, b): \mathscr{U}$ of morphisms
- operations: identity \& composition

$$
\begin{aligned}
\mathrm{I}_{a} & : \mathscr{C}(a, a) \\
(\circ)_{a, b, c} & : \mathscr{C}(b, c) \rightarrow \mathscr{C}(a, b) \rightarrow \mathscr{C}(a, c)
\end{aligned}
$$

- axioms: unitality \& associativity

$$
\mathrm{I} \circ f=f \quad f \circ \mathrm{I}=f \quad(h \circ g) \circ f=h \circ(g \circ f)
$$

A univalent category is a category $\mathscr{C}$ such that

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

is an equivalence for all $a, b: \mathscr{C}_{0}$.

## 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

$$
\left(A=_{\mathrm{uCat}} B\right) \simeq(A \simeq B)
$$

## Transport along equivalence of univalent categories

$$
\begin{gathered}
x={ }_{\mathrm{uCat}} y \rightarrow \prod_{(P: u \mathrm{Cat} \rightarrow \mathscr{U})}(P(x) \simeq P(y)) \\
\text { univalence }: \prod_{(x, y: u \mathrm{uCat})}\left(x={ }_{\mathrm{uCat}} y \xrightarrow{\sim} x \simeq y\right) \\
x \simeq y \rightarrow \prod_{\left(P: u \mathrm{Uat}^{2} \mathscr{U}\right)}(P(x) \simeq P(y))
\end{gathered}
$$

## Transport along equivalence of univalent categories

$$
\begin{gathered}
x=_{\mathrm{uCat}} y \rightarrow \prod_{(P: \mathrm{uCat} \rightarrow \mathscr{U})}(P(x) \simeq P(y)) \\
\text { univalence }: \prod_{(x, y: \mathrm{uCat})}\left(x==_{\mathrm{uCat}} y \xrightarrow{\sim} x \simeq y\right) \\
\quad x \simeq y \rightarrow \prod_{(P: \mathrm{uCat} \rightarrow \mathscr{U})}(P(x) \simeq P(y))
\end{gathered}
$$

## 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


## Our work: Univalence Principle

I. Define signature, axiom, and theory for mathematical structures, including higher-categorical ones
2. Given a theory $\mathscr{T}=(\mathscr{L}, T)$, define

- $\mathscr{T}$-models
- Univalence of $\mathscr{T}$-models
- Equivalence between $\mathscr{T}$-models

3. Prove a univalence result for univalent $\mathscr{T}$-models:

$$
\text { univalence : } \prod_{(x, y: \mathrm{uMod} \mathscr{T})}\left(\left(x=_{\mathrm{uMod} \mathscr{T}} y\right) \xrightarrow{\sim}\left(x \simeq_{\mathrm{uMod} \mathscr{T}} y\right)\right)
$$

## Our work: Univalence Principle

I. Define signature, axiom, and theory for mathematical structures, including higher-categorical ones
2. Given a theory $\mathscr{T}=(\mathscr{L}, T)$, define

- $\mathscr{T}$-models
- Univalence of $\mathscr{T}$-models
- Equivalence between $\mathscr{T}$-models

3. Prove a univalence result for univalent $\mathscr{T}$-models:

$$
\text { univalence : } \prod_{(x, y: \mathrm{uMod} \mathscr{T})}\left(\left(x=_{\mathrm{uMod} \mathscr{T}} y\right) \xrightarrow{\sim}\left(x \simeq_{\mathrm{uMod} \mathscr{T}} y\right)\right)
$$

## Technical challenge

Define a notion of "isomorphism" (called indiscernibility) that
I. works for any signature/theory
2. specializes to categorical isomorphism for the theory of categories

## I-categorical vs higer-categorical structures

When passing from set-level structures to higher-categorical structures, it looks like things get more complicated:
I. What is the role of the "local univalence" condition on categories?
2. Are higher-categorical structures fundamentally different from I-categorical ones?

## In the rest of the talk

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

## Outline

I Motivation for Univalent Foundations
(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) Two Notions of Signature
(7) Indiscernibility and Univalence

8 Examples of Functorial Signatures

## Monoids in type theory

In type theory, a monoid is a tuple $(M, \mu, e, \alpha, \lambda, \rho)$ where
I. $M$ : Set
2. $\mu: M \times M \rightarrow M$
3. $e: M$
4. $\alpha: \Pi_{(a, b, c: M)} \mu(\mu(a, b), c)=\mu(a, \mu(b, c))$
5. $\lambda: \Pi_{(a: M)} \mu(e, a)=a$
6. $\rho: \Pi_{(a: M)} \mu(a, e)=a$

## Monoids in type theory

In type theory, a monoid is a tuple $(M, \mu, e, \alpha, \lambda, \rho)$ where
I. $M$ : Set
2. $\mu: M \times M \rightarrow M$
3. $e: M$
4. $\alpha: \Pi_{(a, b, c: M)} \mu(\mu(a, b), c)=\mu(a, \mu(b, c))$
5. $\lambda: \Pi_{(a: M)} \mu(e, a)=a$
6. $\rho: \Pi_{(a: M)} \mu(a, e)=a$

Why $M$ : Set?

## Monoids in type theory

In type theory, a monoid is a tuple $(M, \mu, e, \alpha, \lambda, \rho)$ where
I. $M$ : Set
2. $\mu: M \times M \rightarrow M$
3. $e: M$
4. $\alpha: \Pi_{(a, b, c: M)} \mu(\mu(a, b), c)=\mu(a, \mu(b, c))$
5. $\lambda: \Pi_{(a: M)} \mu(e, a)=a$
6. $\rho: \Pi_{(a: M)} \mu(a, e)=a$

Why $M$ : Set?
Abstractly, a monoid is a (dependent) pair (data,proof) where

- data is I.-3.
- proof is 4.-6.


## The type of monoids

- We want two monoids (data, proof) and (data $\left.{ }^{\prime}, p r o o f^{\prime}\right)$ 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:

$$
\text { Monoid }: \equiv \sum_{(M: S e t)} \sum_{(\mu, e): M o n o i d S t r(M)} \operatorname{MonoidAxioms}(M,(\mu, e))
$$

Can show isProp(MonoidAxioms $(M,(\mu, e)))$

## Monoid isomorphisms

Given $\mathbf{M} \equiv(M, \mu, e, \alpha, \lambda, \rho)$ and $\mathbf{M}^{\prime} \equiv\left(M^{\prime}, \mu^{\prime}, e^{\prime}, \alpha^{\prime}, \lambda^{\prime}, \rho^{\prime}\right)$, a monoid isomorphism is a bijection $f: M \cong M^{\prime}$ preserving $\mu$ and $e$.

## Monoid isomorphisms

Given $\mathbf{M} \equiv(M, \mu, e, \alpha, \lambda, \rho)$ and $\mathbf{M}^{\prime} \equiv\left(M^{\prime}, \mu^{\prime}, e^{\prime}, \alpha^{\prime}, \lambda^{\prime}, \rho^{\prime}\right)$, a monoid isomorphism is a bijection $f: M \cong M^{\prime}$ preserving $\mu$ and $e$.

$$
\begin{aligned}
& \mathbf{M}=\mathbf{M}^{\prime} \simeq(M, \mu, e)=\left(M^{\prime}, \mu^{\prime}, e^{\prime}\right) \\
& \simeq \sum_{p: M=M^{\prime}}\left(\operatorname{transport}^{Y \mapsto(Y \times Y \rightarrow Y)}(p, \mu)=\mu^{\prime}\right) \\
& \times\left(\operatorname{transport}^{Y \mapsto Y}(p, e)=e^{\prime}\right) \\
& \simeq \sum_{f: M \cong M^{\prime}}\left(f \circ \mu \circ\left(f^{-\mathrm{I}} \times f^{-1}\right)=\mu^{\prime}\right) \\
& \times\left(f \circ e=e^{\prime}\right) \\
& \simeq \mathbf{M} \cong \mathbf{M}^{\prime}
\end{aligned}
$$

## Transport along monoid isomorphism

We now have two ingredients:
I.

$$
\operatorname{transport}_{\mathbf{M}, \mathbf{M}^{\prime}}:\left(\mathbf{M}=\mathbf{M}^{\prime}\right) \rightarrow \prod_{B: \text { Monoid } \rightarrow \mathscr{U}}\left(B(\mathbf{M}) \simeq B\left(\mathbf{M}^{\prime}\right)\right)
$$

2. 

$$
\left(\mathbf{M}=\mathbf{M}^{\prime}\right) \simeq\left(\mathbf{M} \cong \mathbf{M}^{\prime}\right)
$$

Composing these, we get

$$
\operatorname{transport}_{\mathrm{M}, \mathrm{M}^{\prime}}:\left(\mathbf{M} \cong \mathbf{M}^{\prime}\right) \rightarrow \prod_{B: \text { Monoid } \rightarrow \mathscr{U}}\left(B(\mathbf{M}) \simeq B\left(\mathbf{M}^{\prime}\right)\right)
$$

## Outline

I Motivation for Univalent Foundations
(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) Two Notions of Signature
(7) Indiscernibility and Univalence

8 Examples of Functorial Signatures

## The signature of monoids

## Example

Signature $\mathscr{L}_{\text {mon }}$ for a monoid:

$$
\mathscr{L}_{\text {mon }}=\underbrace{\mu}_{X}
$$

A structure $M$ for this signature consists of
I. a type $M X$
2. a family of types $M \mu(x, y, z)$ for $x, y, z: M X$
3. a family of types $M O(x)$ for $x: M X$
4. a family of types $M E(x, y)$ for $x, y: M X$

## The theory of monoids

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

## Axioms of a monoid

I. Monoid axioms:

$$
\begin{gathered}
\forall\left(x, y, z, z^{\prime}: X\right) \cdot \mu(x, y, z) \rightarrow \mu\left(x, y, z^{\prime}\right) \rightarrow E\left(z, z^{\prime}\right) \\
\forall(x, y: X) \cdot \exists(z: X) \cdot \mu(x, y, z) \\
\forall\left(x, x^{\prime}, y, z: X\right) \cdot E\left(x, x^{\prime}\right) \rightarrow \mu(x, y, z) \rightarrow \mu\left(x^{\prime}, y, z\right) \\
\forall(x, y: X) \cdot E(x, y) \rightarrow E(y, x)
\end{gathered}
$$

2. "Homotopical axioms":
2.I $M X$ is a set
2.2 $M \mu(x, y, z), M O(x), M E(x, y)$ are pointwise propositions

## Indiscernibility for elements of a monoid



Given $a, b: M X$, an indiscernibility $a \asymp b$ consists of "equivalences of types of everything above $a$ and $b$ "

$$
\begin{aligned}
& M \mu(a, y, z) \simeq M \mu(b, y, z) \\
& M \mu(x, a, z) \simeq M \mu(x, b, z) \\
& M \mu(x, y, a) \simeq M \mu(x, y, b) \\
& M \mu(a, a, z) \simeq M \mu(b, b, z)
\end{aligned}
$$

$$
\begin{aligned}
M O(a) & \simeq M O(b) \\
M E(a, y) & \simeq M E(b, y)
\end{aligned}
$$

## Indiscernibility

I. $a \asymp b$ 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 $\operatorname{ME}(a, b)$.
3. Definition of indiscernibility carries over to any $\mathscr{L}$, and any sort in $\mathscr{L}$.

## 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 $\operatorname{ME}(a, b)$.
3. Definition of indiscernibility carries over to any $\mathscr{L}$, and any sort in $\mathscr{L}$.

## Definition

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

$$
\mathbf{I} \simeq \mathbf{I}
$$

(since there is nothing above $\mu$ in $\left.\mathscr{L}_{\text {mon }}\right)$. Hence $\left(w \asymp w^{\prime}\right)=\mathbf{I}$.
2. Similar for $w, w^{\prime}: M O(a)$, and $w, w^{\prime}: \operatorname{ME}(a, b)$.

## Univalence of models

## Definition

A monoid $M$ is univalent if the maps

$$
\begin{align*}
(a=b) & \rightarrow(a \asymp b)  \tag{I}\\
\left(w=w^{\prime}\right) & \rightarrow\left(w \asymp w^{\prime}\right) \tag{2}
\end{align*}
$$

are equivalences.

## Univalence of models

## Definition

A monoid $M$ is univalent if the maps

$$
\begin{align*}
(a=b) & \rightarrow(a \asymp b)  \tag{I}\\
\left(w=w^{\prime}\right) & \rightarrow\left(w \asymp w^{\prime}\right) \tag{2}
\end{align*}
$$

are equivalences.

## Observations

I. Since $\left(w \asymp w^{\prime}\right)=1$, condition (2) is equivalent to $M \mu, M O$, and $M E$ being pointwise propositions.
2. Since $(a \asymp b)=\operatorname{ME}(a, b)$, condition (I) is equivalent to $M$ being a set with identity $a=b$ given by $E(a, b)$.

## Univalence of models

## Definition

A monoid $M$ is univalent if the maps

$$
\begin{align*}
(a=b) & \rightarrow(a \asymp b)  \tag{I}\\
\left(w=w^{\prime}\right) & \rightarrow\left(w \asymp w^{\prime}\right) \tag{2}
\end{align*}
$$

are equivalences.

## Observations

I. Since $\left(w \asymp w^{\prime}\right)=I$, condition (2) is equivalent to $M \mu, M O$, and $M E$ being pointwise propositions.
2. Since $(a \asymp b)=\operatorname{ME}(a, b)$, condition (I) is equivalent to $M$ being a set with identity $a=b$ given by $E(a, b)$.

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

$$
\begin{aligned}
e_{X}: M X & \rightarrow N X \\
e_{\mu}: \prod_{x, y, z: M X} M \mu(x, y, z) & \rightarrow N \mu(e x, e y, e z) \\
e_{O}: \prod_{x: M X} M O(x) & \rightarrow N O(e x) \\
e_{E}: \prod_{x, y: M X}: M E(x, y) & \rightarrow N E(e x, e y)
\end{aligned}
$$

such that $e_{X},\left(e_{\mu}\right)_{x, y, z},\left(e_{O}\right)_{x}$, and $\left(e_{E}\right)_{x, y}$ are (split-)surjective.

## Observations

I. 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 $N$,

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

## Local univalence condition on categories

For the signature of categories,

an indiscernibility $a \asymp b$ in $M O$ is the same as an isomorphism $a \cong b$, via a Yoneda-style argument.
The univalence condition at $A$ says that $A$ is a set with $f=g$ given by $M E(f, g)$.

## Outline

I Motivation for Univalent Foundations
(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 Two Notions of Signature
(7) Indiscernibility and Univalence
(8) Examples of Functorial Signatures

## 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 $\mathscr{U} \hookrightarrow \mathscr{U}^{s}$
- $\mathscr{U}$ implements univalent type theory.
- Every type $T: \mathscr{U}^{s}$ 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 $\mathscr{U}^{s}$ (are meta-mathematical), but models and their morphisms live in $\mathscr{U}$ (are mathematical)


## Signatures

- Signatures are abstract specification devices for mathematical structures
- We have two notions of signature.
"Diagram" Signatures
- Certain categories where
- objects indicate sorts
- morphisms indicate dependencies
+ Intuitive
- Complicated to reason about
"Functorial" Signatures
- (Co)inductively defined
+ Easy to reason about
- Difficult/unintuitive for specifying instances


## Translation of Signatures

- We use diagram signatures for examples
- All results are proved for functorial signatures
- Algorithmic translation from diagram to functorial signatures
- Functorial signatures axiomatize the operation of "derivation"
- Functorial signatures are more general than diagram signatures


## Diagram Signatures and Their Models

## Definition (Diagram Signatures)

Too complicated, let's just draw some examples!

## Definition (Models of a Diagram Signature)

Even more complicated. . .

- Definition of model uses "derivation" of signatures
- Derivation does not preserve "finiteness" of signatures


## Example of derivation



## Example

In $\mathscr{L}_{\mathrm{rg}}$ we have $\left(\mathscr{L}_{\mathrm{rg}}\right)_{\mathrm{o}} \equiv\{O\}$. Let $M_{\mathrm{o}}$ be a (a function picking out) the two-element set $\{a, b\}$. Then $\left(\mathscr{L}_{\mathrm{rg}}\right)_{M_{\mathrm{o}}}^{\prime}$ is the following signature, with four sorts of rank o and two sorts of rank i:


## Functorial Signatures

Observation: Essential Features of a Diagram Signature $\mathscr{L}$

- The type $\mathscr{L}(o)$ of non-dependent sorts
- The derived diagram signature $\mathscr{L}_{M}^{\prime}$ for any $M: \mathscr{L}_{\mathrm{o}} \rightarrow \mathscr{U}$.


## Definition (Functorial Signature, coinductively)

Consists of

- a type $\mathscr{L}_{0}$
- for any $M: L_{\mathrm{o}} \rightarrow \mathscr{U}$, a functorial signature $\mathscr{L}^{\prime}(M)$
- Definition can be made inductive by decorating it with a decreasing height.
- Need to define not just the pretype, but the strict category of functorial signatures (of height $n$ ).


## Models of a Functorial Signature

## Definition ( $\mathscr{L}$-structure)

- Of $\mathscr{L}$ of height o: a unique structure
- Of $\mathscr{L}$ of height $n+\mathrm{I}$ :
I. A function $M: \mathscr{L}_{0} \rightarrow \mathscr{U}$

2. a structure of $\mathscr{L}^{\prime}(M)$.

- Morphism of structures, composition, identity
- Pullback of structures along morphisms of signatures


## Axioms and Theories

- An $\mathscr{L}$-axiom is a function $\operatorname{Struc}(\mathscr{L}) \rightarrow \mathrm{hProp}$.
- A functorial theory is a pair $(\mathscr{L}, T)$ of a functorial signature $\mathscr{L}$ and a family $T$ of $\mathscr{L}$-axioms


## Outline

I Motivation for Univalent Foundations
(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) Two Notions of Signature
(7) Indiscernibility and Univalence

8 Examples of Functorial Signatures

## Indiscernibility

## Goal

Define a notion of "isomorphism" for elements of a structure

## Definition (Indiscernibility)

Too complicated to write down, will be defined for structures of diagram signatures by example.

## Definition (Univalence)

An $\mathscr{L}$-structure $M$ is univalent if for any sort $K$ of $\mathscr{L}$ and any $a, b: M(K)$, the map

$$
a=b \rightarrow a \cong b
$$

is an equivalence.

## Results on Homotopy Levels

## Theorem

If $\mathscr{L}$ has height $n+\mathrm{I}, M: \operatorname{Struc}(\mathscr{L})$ is univalent, and $K: \mathscr{L}(\mathrm{o})$, then MK is an ( $n-\mathrm{I}$ )-type.

## Theorem

If $\mathscr{L}$ has height $n$, then the type of univalent $\mathscr{L}$-structures is an ( $n-1$ )-type.

## Univalence Principle

## Theorem

For any functorial signature $\mathscr{L}$ and $M, N: \operatorname{Struc}(\mathscr{L})$ that are both univalent, the canonical map

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

is an equivalence.

## Other examples

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


## Outline

I Motivation for Univalent Foundations
(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) Two Notions of Signature
(7) Indiscernibility and Univalence

8 Examples of Functorial Signatures

## Higher-Order Logic: Topological Spaces

- $M \mapsto(M \rightarrow \mathrm{hProp}) \rightarrow$ hProp
- Space $M$ is such a structure by equipping it with the family of all supersets of the set of open subsets, i.e., a predicate that holds of $X$ just when $U \in X$ for every open subset $U$ of $M$.
- Morphism of structures: $f: M \rightarrow N$ such that if $X$ contains all opens in $M$, then its image under $f$ contains all opens in $N$, which is to say that $f^{-1}(U) \in X$ for all opens $U$ in $N$. This is equivalent to saying that $f^{-1}(U)$ is open in $M$ for all opens $U$ in $N$, i.e., that $f$ is continuous.


## Suplattices

$$
\mathscr{L}_{M}^{\prime}={ }_{\mathrm{df}}(M \times M)+\left(\left(\sum_{(\mathrm{A}: \mathrm{Set})}(A \rightarrow M)\right) \times M\right)
$$

- $M \times M$ stands for the partial ordering-( $m, n$ ) meaning $m \leq n$-whereas the second summand denotes suprema: $(X, s)$ holds if and only if $s$ is a supremum of the family $X$ of elements of $M$.
- Structure $M$, then $m_{\mathrm{I}}, m_{2}: M$ are indiscernible if $m_{\mathrm{I}} \leq m_{2}$ and $m_{2} \leq m_{\mathrm{I}}$. (That $m_{\mathrm{I}}$ and $m_{2}$ are suprema of exactly the same families $X$ is then automatic.)
- Univalence at bottom level means that $M$ is a set, and that the preorder $\leq$ on $M$ is antisymmetric.
- Morphism of structures is sup-preserving morphism of preorders
- It is an equivalence if it is (split) surjective up to isomorphism and reflects the preorder (and hence also suprema of families).


## Open Questions

- Completion operation for structures - turning a structure into a univalent one, universally? Ongoing work, e.g., by Kobe Wullaert.
- Univalence principle for structures of infinite height?
- Class of axioms that are invariant under weak equivalence?
- Signatures where functions are native, that is, not expressed as functional relations?
- Formalization? Ongoing work, e.g., by Elif Uskuplu.


## 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"

