

A cartesian bicategory of polynomial functors in homotopy type theory

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This is joint work with Eric Finster, Maxime Lucas and Thomas Seiller.

Part I

Polynomials and polynomial functors

Categorifying polynomials

A **polynomial** is a sum of monomials

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(no coefficients, but repetitions allowed)

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We can **categorify** this notion: replace natural numbers by elements of a set.

$$P(X) = \sum_{b \in B} X^{E_b}$$

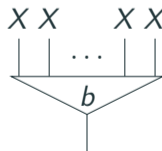
Polynomial functors

This data can be encoded as a **polynomial** P , which is a diagram in **Set**:

$$E \xrightarrow{P} B$$

where

- $b \in B$ is a monomial
- $E_b = P^{-1}(b)$ is the set of instances of X in the monomial b .



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It induces a **polynomial functor**

$$[[P]] : \mathbf{Set} \rightarrow \mathbf{Set}$$

$$X \mapsto \sum_{b \in B} X^{E_b}$$

Polynomial functors

For instance, consider the polynomial corresponding to the function

$$E \xrightarrow{P} B$$


The associated polynomial functor is

$$[[P]](X) : \mathbf{Set} \rightarrow \mathbf{Set}$$

$$X \mapsto X \times X \sqcup X \times X \times X$$

Polynomial functors

For instance, consider the polynomial corresponding to the function

$$\mathbb{N} \xrightarrow{p} 1$$

⋮

●

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A polynomial is **finitary** when each monomial is a finite product.

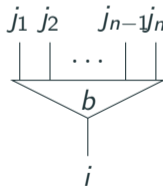
Polynomial functors: typed variant

We will more generally consider a “typed variant” of polynomials P

$$I \xleftarrow{s} E \xrightarrow{P} B \xrightarrow{t} J$$

this means that

- each monomial b has a “type $s(b) \in J$ ”,
- each occurrence of a variable $e \in E$ has a type $s(e) \in I$.



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It induces a **polynomial functor**

$$\begin{aligned} \llbracket P \rrbracket(X) &: \mathbf{Set}^I \rightarrow \mathbf{Set}^J \\ (X_i)_{i \in I} &\mapsto \left(\sum_{b \in t^{-1}(j)} \prod_{e \in p^{-1}(b)} X_{s(e)} \right)_{j \in J} \end{aligned}$$

The category of polynomial functors

Given a set I , we have an “identity” polynomial functor:

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Proposition

The composite of two polynomial functors is again polynomial:

$$\begin{array}{ccccc} \mathbf{Set}^I & \xrightarrow{[[P]]} & \mathbf{Set}^J & \xrightarrow{[[Q]]} & \mathbf{Set}^K \\ & & & \nearrow & \\ & & & \text{[[Q]]} \circ \text{[[P]]} & \end{array}$$

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Proof.

Basically the usual one:

$$\begin{aligned} [Q] \circ [P](X_i) &= \sum \prod \sum \prod X_i \\ &\cong \sum \sum \prod \prod X_i \\ &\cong \sum \prod X_i \end{aligned}$$

The category of polynomial functors

We can thus build a category **PolyFun** of sets and polynomial functors:

- an object is a set I ,
- a morphism

$$F : I \rightarrow J$$

is a polynomial functor

$$\llbracket P \rrbracket : \mathbf{Set}^I \rightarrow \mathbf{Set}^J$$

Polynomial vs polynomial functors

A *polynomial* P

$$I \xleftarrow{s} E \xrightarrow{p} B \xrightarrow{t} J$$

induces a *polynomial functor*

$$[[P]] : \mathbf{Set}^I \rightarrow \mathbf{Set}^J$$

We have mentioned that composition is defined for polynomials. However, on polynomials, it is not strictly associative: we can build a *bicategory* **Poly** of sets and polynomial functors.

This suggests that 2-cells are an important part of the story!

Morphisms between polynomials

A morphism between two polynomials is

$$\begin{array}{ccccccc}
 I & \xleftarrow{s} & E & \xrightarrow{p} & B & \xrightarrow{t} & J \\
 \parallel & & \varepsilon \downarrow & \lrcorner & \downarrow \beta & & \parallel \\
 I & \xleftarrow{s'} & E' & \xrightarrow{p'} & B' & \xrightarrow{t'} & J
 \end{array}$$

We send operations to operators, preserving typing and arities:



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We send operations to operators, preserving typing and arities:

$$\begin{array}{c}
 j_1 \quad j_2 \quad \dots \quad j_{n-1} \quad j_n \\
 | \quad | \quad \dots \quad | \quad | \\
 \hline
 b \\
 | \\
 i
 \end{array}
 \quad \mapsto \quad
 \begin{array}{c}
 j_1 \quad j_2 \quad \dots \quad j_{n-1} \quad j_n \\
 | \quad | \quad \dots \quad | \quad | \\
 \hline
 \beta(b) \\
 | \\
 i
 \end{array}$$

We can build a bicategory **Poly** of sets, polynomials and morphisms of polynomials.

Morphisms between polynomial functors

A morphism between polynomial functors

$$[[P]], [[Q]] : \mathbf{Set}^I \rightarrow \mathbf{Set}^J$$

is a “suitable” natural transformation, and we can build a 2-category **PolyFun**.

Cartesian structure

The category **PolyFun** is cartesian. Namely, given two polynomial functors in **Poly**

$$P : I \rightarrow J \qquad Q : I \rightarrow K$$

i.e., in **Cat**,

$$\llbracket P \rrbracket : \mathbf{Set}^I \rightarrow \mathbf{Set}^J \qquad \llbracket Q \rrbracket : \mathbf{Set}^I \rightarrow \mathbf{Set}^K$$

we have, in **Cat**,

$$\langle P, Q \rangle : \mathbf{Set}^I \rightarrow \mathbf{Set}^J \times \mathbf{Set}^K \cong \mathbf{Set}^{J \sqcup K}$$

and the constructions preserve polynomiality: in **PolyFun**,

$$\langle P, Q \rangle : I \rightarrow (J \sqcup K)$$

Closed structure

For the closed structure, we can hope for the same: given, in **PolyFun**,

$$P : I \sqcup J \rightarrow K$$

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for LL-people: this looks like $!J \wp K$.

Closed structure

In terms of operations, the intuition behind the bijection

$$\mathbf{PolyFun}(I \sqcup J, K) \cong \mathbf{PolyFun}(I, \mathbf{Set}^J \times K)$$

is that we can formally transform operations as follows



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Finitary polynomial functors are also known as **normal functors** (introduced by Girard).

Theorem

*The category **PolyFun** is cartesian closed.*

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Remark (Girard)

The 2-category **PolyFun** is not cartesian closed.

Failure of the cartesian closed structure

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which is induced by the polynomial

$$1 \longleftarrow 2 \longrightarrow 1 \longrightarrow 1$$

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The equivalence fails:

$$\mathbf{PolyFun}(0 \sqcup 1, 1) \not\simeq \mathbf{PolyFun}(0, \mathbb{N}/1 \times 1)$$

(two elements on the left, one on the right because 0 is initial)

Fixing the cartesian closed structure

The failure of the equivalence

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can be interpreted as being due to the fact that $2 \in \mathbb{N}/1$ has no non-trivial isomorphism.

This suggests moving to **groupoids!**

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More precisely, we should replace \mathbb{N} by the groupoid \mathbb{B} of all symmetric groups.

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Kock has identified that if we perform all the usual constructions up to homotopy (slice, pullbacks, etc.), we recover a suitable setting to define polynomial functors.

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This requires properly defining and using all the usual constructions in a suitable 2-categorical sense.

Polynomial functors in groupoids

Given a polynomial P

$$E \xrightarrow{P} B$$

the induced polynomial functor

$$[[P]] : \mathbf{Gpd} \rightarrow \mathbf{Gpd}$$

$$X \mapsto \int^{b \in B} E_b$$

where E_b is the *homotopy fiber* of p at b and

$$\int^{b \in E} E_b = \sum_{b \in \pi_0(B)} X_b / \text{Aut}(b)$$

where the quotient is to be taken homotopically...

Part II

Formalization in Agda

There is a framework in which everything is constructed *up to homotopy* for free:
homotopy type theory.

Let's formally develop the theory of polynomials in this setting.

Some notations

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- groupoids: $\text{is-groupoid } A = (x\ y : A) \rightarrow \text{is-set } (x \equiv y)$

Formalizing polynomials

A polynomial is

$$I \xleftarrow{s} E \xrightarrow{p} B \xrightarrow{t} J$$

We are tempted to formalize it as

```
record Poly (I J : Type) : Type1 where
  field
    B : Type
    E : Type
    t : B → J
    p : E → B
    s : E → I
```

but this is not very good because operations on those involve many handling of equalities

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We formalize it as a **container**:

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The identity is

```
Id : Poly I I
Op Id i = ⊤
Pm Id i {j = j} tt = i ≡ j
```

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We sometimes write

$$I \rightsquigarrow J = \text{Poly } I \ J$$

Composing polynomials

The polynomial functor induced by a polynomial P is

$$\llbracket _ \rrbracket : I \rightsquigarrow J \rightarrow (I \rightarrow \text{Type}) \rightarrow (J \rightarrow \text{Type})$$
$$\llbracket _ \rrbracket P X j = \Sigma (Op P j) (\lambda c \rightarrow (i : I) \rightarrow (p : Pm P i c) \rightarrow (X i))$$

Composing polynomials

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$$\llbracket _ \rrbracket P X j = \Sigma (O_p P j) (\lambda c \rightarrow (i : I) \rightarrow (p : P_m P i c) \rightarrow (X i))$$

The composite of two functors is

$$_ \cdot _ : I \rightsquigarrow J \rightarrow J \rightsquigarrow K \rightarrow I \rightsquigarrow K$$

$$O_p (P \cdot Q) = \llbracket Q \rrbracket (O_p P)$$

$$P_m (_ \cdot _ P Q) i (c, a) = \Sigma J (\lambda j \rightarrow \Sigma (P_m Q j c) (\lambda p \rightarrow P_m P i (a j p)))$$

Morphisms of polynomials

The type of morphisms between two polynomials is

```
record Poly→ (P Q : Poly I J) : Type where
  field
    Op→ : {j : J} → Op P j → Op Q j
    Pm≅  : {i : I} {j : J} {c : Op P j} → Pm P i c ≅ Pm Q i (Op→ c)
```


Theorem

We can build a pre-bicategory of types, polynomials and their morphisms.

A bicategory

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Theorem

We can build a bicategory of groupoids, polynomials in groupoids and their morphisms.

Theorem

This bicategory is cartesian.

Products

Theorem

This bicategory is cartesian.

The product is \sqcup on objects, left projection is

$$\text{projl} : (I \sqcup J) \rightsquigarrow I$$

$$0p \text{ projl } i = \top$$

$$Pm \text{ projl } (\text{inl } i) \{i'\} \text{ tt} = i \equiv i'$$

$$Pm \text{ projl } (\text{inr } j) \{i'\} \text{ tt} = \perp$$

and pairing is

$$\text{pair} : (I \rightsquigarrow J) \rightarrow (I \rightsquigarrow K) \rightarrow I \rightsquigarrow (J \sqcup K)$$

$$0p (\text{pair } P \ Q) (\text{inl } j) = 0p \ P \ j$$

$$0p (\text{pair } P \ Q) (\text{inr } k) = 0p \ Q \ k$$

$$Pm (\text{pair } P \ Q) \ i \ \{\text{inl } j\} \ c = Pm \ P \ i \ c$$

Defining the exponential

In order to define the 1-categorical closure, the plan was:

$$\mathbf{Set} \rightsquigarrow \mathbf{Set}_{\text{fin}} \rightsquigarrow \mathbb{N}$$

Defining the exponential

In order to define the 1-categorical closure, the plan was:

$$\mathbf{Set} \rightsquigarrow \mathbf{Set}_{\text{fin}} \rightsquigarrow \mathbb{N}$$

For the 2-categorical closure the plan is

$$\mathbf{Gpd} \rightsquigarrow \mathbf{Gpd}_{\text{fin}} \rightsquigarrow \mathbb{B}$$

Here, \mathbb{B} is the groupoid with $n \in \mathbb{N}$ as objects and Σ_n as automorphisms on n .

Finite types

We write `Fin n` for the canonical finite type with `n` elements:
its constructors are `0` to `n-1`.

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```
data Fin : ℕ → Set where
  zero : {n : ℕ}           → Fin (suc n)
  suc  : {n : ℕ} (i : Fin n) → Fin (suc n)
```


Finite types

The predicate of being **finite** is

```
is-finite : Type → Type
```

```
is-finite A = Σ ℕ (λ n → || A ≃ Fin n ||)
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Finite types

The predicate of being **finite** is

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is-finite : Type → Type
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is-finite A =  $\Sigma \mathbb{N} (\lambda n \rightarrow \| A \simeq \text{Fin } n \|)$ 
```

The type of finite types is

```
FinType : Type1
```

```
FinType =  $\Sigma \text{Type is-finite}$ 
```

Finite types

The predicate of being **finite** is

`is-finite` : `Type` → `Type`

`is-finite` `A` = $\Sigma \mathbb{N} (\lambda n \rightarrow \parallel A \simeq \text{Fin } n \parallel)$

The type of finite types is

`FinType` : `Type`₁

`FinType` = $\Sigma \text{Type } \text{is-finite}$

(note that this is a *large* type)

Finitary polynomials

A polynomial is **finitary** when, for each operation, the total space of its parameters is finite:

```
is-finitary : (P : I  $\rightsquigarrow$  J)  $\rightarrow$  Type
```

```
is-finitary P = {j : J} (c : Op P j)  $\rightarrow$  is-finite ( $\Sigma$  I ( $\lambda$  i  $\rightarrow$  Pm P i c))
```

A small model for finite types

The type of **integers** is

```
data  $\mathbb{N}$  : Type where  
  zero :  $\mathbb{N}$   
  suc  :  $\mathbb{N} \rightarrow \mathbb{N}$ 
```

A small model for finite types

The type \mathbb{B} is

```
data  $\mathbb{B}$  : Type where
  obj      :  $\mathbb{N} \rightarrow \mathbb{B}$ 
  hom      : {m n :  $\mathbb{N}$ } ( $\alpha$  : Fin m  $\simeq$  Fin n)  $\rightarrow$  obj m  $\equiv$  obj n
  id-coh   : (n :  $\mathbb{N}$ )  $\rightarrow$  hom {n = n}  $\simeq$ -refl  $\equiv$  refl
  comp-coh : {m n o :  $\mathbb{N}$ } ( $\alpha$  : Fin m  $\simeq$  Fin n) ( $\beta$  : Fin n  $\simeq$  Fin o)  $\rightarrow$ 
    hom ( $\simeq$ -trans  $\alpha$   $\beta$ )  $\equiv$  hom  $\alpha$   $\cdot$  hom  $\beta$ 
```

(this is a small higher inductive type!)

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(this is a small higher inductive type!)

Theorem

$\text{FinType} \simeq \mathbb{B}$.

The closure

We define

$$\text{Exp} : \text{Type} \rightarrow \text{Type}_1$$
$$\text{Exp } I = I \rightarrow \text{Type}$$

Theorem

Ignoring size issues, for polynomials we have

$$(I \sqcup J) \rightsquigarrow K \simeq I \rightsquigarrow (\text{Exp } J \times K)$$

The closure

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Theorem

For finitary polynomials we have

$$(I \sqcup J) \rightsquigarrow K \simeq I \rightsquigarrow (\text{Exp } J \times K)$$

The exponential

Note that

$$\text{Exp} : \text{Type} \rightarrow \text{Type}$$
$$\text{Exp } I = \Sigma \mathbb{B} (\lambda b \rightarrow \mathbb{B}\text{-to-Fin } b \rightarrow A)$$

is the free pseudo-commutative monoid!