

Category theory in the Univalent Foundations

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Univalent Foundations

Univalent Foundations a.k.a. Homotopy Type Theory

- is type theory with a semantics in spaces
- comes with an additional axiom compared to MLTT
- provides a **synthetic** way to do homotopy theory

Most importantly (for me)

Univalent Foundations captures

reasoning modulo “indistinguishability”.

Motivation: equality = indistinguishability

In type theory, equal objects $t = t'$ are indistinguishable

- we cannot define a predicate P such that $P(t)$ and not $P(t')$
- ensured by substitution principle

$$\text{subst} : (t = t') \times P(t) \rightarrow P(t')$$

Conversely, are indistinguishable objects equal in type theory?

- **no generic internal notion of indistinguishability**
- for some types we have an intuition about what **should** be indistinguishable

Indistinguishability for functions and types

When are two functions indistinguishable?

- ↪ when they are indistinguishable on any input!
- “indistinguishability = equality” requires axiom of **functional extensionality**

When are two types indistinguishable?

- ↪ when they are isomorphic!
- “indistinguishability = equality” requires **univalence** axiom

About indistinguishable categories

In this talk

define a notion of **category** in type theory for which

indistinguishability = equality

When are two categories \mathcal{C} and \mathcal{D} indistinguishable?

$$f = g \quad \forall x, fx = gx$$

$$A = B \quad A \simeq B$$

$$\mathcal{C} = \mathcal{D} \quad ???$$

3 kinds of sameness for categories

Equality $\mathcal{C} = \mathcal{D}$

Isomorphism $\mathcal{C} \cong \mathcal{D}$

Equivalence $\mathcal{C} \simeq \mathcal{D}$

- most properties of categories invariant under **equivalence**
- we can only substitute **equals for equals**
- in set-theoretic foundations these notions are worlds apart

In this talk:

Define categories in the **Univalent Foundations** for which all three coincide

1 Introduction to Univalent Foundations

Type theory and its homotopy interpretation

Logic in type theory: homotopy levels

The Univalence Axiom

2 Category Theory in Univalent Foundations

Categories: basic definitions

Univalent categories: definition & some properties

The Rezk completion

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Univalent Foundations

What are the Univalent Foundations?

- Intensional Martin-Löf Type Theory
- ~→ *Types as Spaces* interpretation, i.e. Homotopy Type Theory
- + Voevodsky's **Univalence Axiom**



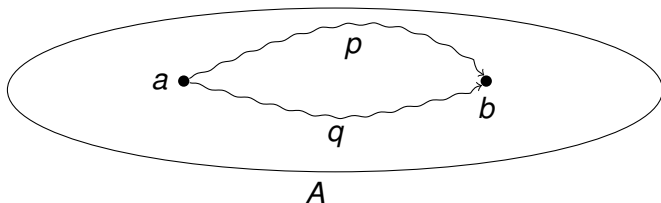
Martin-Löf TT and its Homotopy Interpretation

Type theory	Notation	Interpretation
Inhabitant	$a : A$	a is a point in space A
Dependent type	$x : A \vdash B(x)$	fibration $\sum_{(x:A)} B(x) \rightarrow A$
Sigma type	$\sum_{x:A} B(x)$	total space of a fibration
Product type	$\prod_{x:A} B(x)$	space of sections of a fibration
Coproduct type	$A + B$	disjoint union
Identity type	$\text{Id}_A(a, b)$	space of paths $p : a \rightsquigarrow b$

- other types as needed (type \mathbf{N} of naturals, empty type)

Interpretation: identity type as path space

- For two terms $a, b : A$ of a type A , there is a type $\text{Id}(a, b)$
- terms $p, q : \text{Id}(a, b)$ are interpreted as paths $p, q : a \rightsquigarrow b$



Mixing syntax and semantics

- Call a term $p : \text{Id}(a, b)$ a “path from a to b ”, write $p : a \rightsquigarrow b$
- Say a and b are **homotopic** if there is a path $p : a \rightsquigarrow b$.

The homotopy interpretation of identity types

Interpretation of the operations on paths:

Type theory	Interpretation	Notation
refl	constant path on a	$\text{refl}(a)$
inverse	path reversal	p^{-1}
concat	path concatenation	$p * q$
higher identity type	paths between paths “continuous deformations”	$p \rightsquigarrow q$

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Curry-Howard: propositions as some types

Definition (Proposition in UF)

A type A is a **proposition** if all its inhabitants are homotopic, ie. if one can construct a term of type

$$\text{isProp}(A) := \prod_{x:A} \prod_{y:A} \text{Id}_A(x, y) .$$

- “Being a proposition” is a proposition, ie. one can prove

$$\text{isProp}(\text{isProp}(A))$$

- Intuitively, a proposition is either empty or a singleton.

Quantification in UF

$\forall x : A. P(x)$

$\prod_{x:A} P(x)$ is a proposition if $P(x)$ is a proposition for any x

Quantification in UF

$\forall x : A. P(x)$

$\prod_{x:A} P(x)$ is a proposition if $P(x)$ is a proposition for any x

$\exists x : A. P(x)$

$\sum_{x:A} P(x)$ is **not** a proposition even if $P(x)$ is for any x

- Example: $\sum_{n:\text{Nat}} \text{even}(n)$
- **Truncation** necessary to obtain a proposition

Sets in Univalent Foundations

Definition (Sets)

Type A is a **set** if the type $\text{Id}_A(x, y)$ is a proposition for any x, y

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

- Points of a set are equal in a unique way, if they are.
- Sets are precisely those types satisfying UIP / Axiom K.
- Sets correspond to **discrete spaces**.

About the use of the word “unique”

Definition

We call the point $a : A$ **unique** if any point $x : A$ is **homotopic** to a , ie. if we can construct a term of type

$$\prod_{x:A} \text{Id}(x, a)$$

About the use of the word “unique”

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$$\prod_{x:A} \text{Id}(x, a)$$

A type A with a unique point $a : A$ is called “contractible”:

Definition

We call A **contractible** if we can construct a term of type

$$\text{isContr}(A) := \sum_{(a:A)} \prod_{(x:A)} \text{Id}(x, a)$$

Homotopy levels

Homotopy levels: the complete picture

$$\text{isContr}(A) := \sum_{(a:A)} \prod_{(x:A)} \text{Id}(x, a)$$

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

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

⋮

$$\text{isofhlevel}_{n+1}(A) := \prod_{x,y:A} \text{isofhlevel}_n(\text{Id}(x, y))$$

But we will not need the higher levels.

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Idea of Univalence : isomorphic types are equal

Types are stratified in **universes**

- have a sequence of **universes** $(\mathcal{U}_n)_{n \in \mathbb{N}}$ (à la Russell)
- a universe \mathcal{U} is a type
- any type A is a point of some universe $A : \mathcal{U}$
- What does $\text{Id}_{\mathcal{U}}(A, B)$ look like?

Univalence: $\text{Id}_{\mathcal{U}}(A, B) = (A \cong B)$

- Idea: any path $p : \text{Id}(A, B)$ corresponds to an isomorphism $\bar{p} : A \xrightarrow{\sim} B$
- impose this correspondance as an axiom

Isomorphism of types

Definition (Isomorphism of types)

A function $f : A \rightarrow B$ is an **isomorphism of types** if there are

-

$$g : B \rightarrow A$$

-

$$\eta : \prod_{a:A} \text{Id}(g(f(a)), a) \quad \epsilon : \prod_{b:B} \text{Id}(f(g(b)), b)$$

together with a coherence condition $\tau : \prod_{x:A} \text{Id}(f(\eta x), \epsilon(fx))$

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...ie. if we can construct a term of type

$$\text{isIso}(f) := \sum_{(g:B \rightarrow A)} \sum_{(\eta: _)} \sum_{(\epsilon: _)} \prod_{(x:A)} \text{Id}(f(\eta x), \epsilon(fx))$$

The type of isomorphisms

Lemma

For any $f : A \rightarrow B$, the type $\text{isIso}(f)$ is a proposition. In particular, the inverse g is *unique*, if it exists.

Definition (Type of isomorphisms from A to B)

$$\text{Iso}(A, B) := \sum_{f:A \rightarrow B} \text{isIso}(f)$$

- There are other, equivalent definitions of $\text{isIso}(f)$.
- Isomorphisms of types are usually called “equivalences”.

Examples of isomorphic types

Example (Leibniz principle)

For any $p : \text{Id}(a, b)$, the substitution function

$$\text{subst}_{a,b}(p) : C(a) \rightarrow C(b)$$

is an isomorphism with inverse $\text{subst}_{b,a}(p^{-1})$.

- $[\text{True}]$ is isomorphic to Nat
- propositions are isomorphic iff they are logically equivalent

The elimination rule of the identity type

The Identity elimination rule says:

To define a function of type

$$\prod_{(x,y:A)} \prod_{(p:\text{Id}(x,y))} C(x,y,p)$$

it suffices to specify its image on $(x, x, \text{refl}(x))$.

The Univalence Axiom

Definition (From paths to isomorphisms)

$$\begin{aligned} \text{idtoiso} &: \prod_{A, B: \mathcal{U}} \text{Id}(A, B) \rightarrow \text{Iso}(A, B) \\ &(A, A, \text{refl}(A)) \mapsto (\lambda x. x, _) \end{aligned}$$

Univalence Axiom

$$\text{univalence} : \prod_{A, B: \mathcal{U}} \text{isIso}(\text{idtoiso}_{A, B})$$

In particular, Univalence gives a map backwards:

$$\text{isotoid}_{A, B} : \text{Iso}(A, B) \rightarrow \text{Id}(A, B)$$

Consequences of Univalence

- Propositional extensionality

$$(P \leftrightarrow Q) \rightarrow \text{Id}(P, Q)$$

- Function extensionality:

$$\prod_{x:A} \text{Id}_B(fx, gx) \rightarrow \text{Id}_{A \rightarrow B}(f, g)$$

and its dependent variant

- Quotient types exist (cf. later)

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Categories in Univalent Foundations — Take I

A naïve definition of categories

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

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

$$\text{id} : \prod_{a:\mathcal{C}_0} \mathcal{C}(a, a) \quad (\circ) : \prod_{a,b,c:\mathcal{C}_0} \mathcal{C}(b, c) \times \mathcal{C}(a, b) \rightarrow \mathcal{C}(a, c)$$

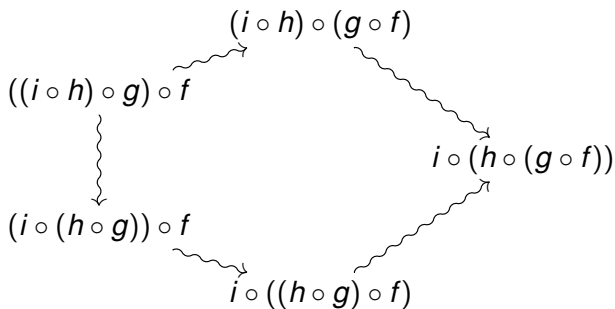
- axioms: unitality & associativity for any suitable f, g, h :

$$\text{unital} : \prod_{a,b:\mathcal{C}_0, f:\mathcal{C}(a,b)} (\text{id}_b \circ f \rightsquigarrow f) \times (f \circ \text{id}_a \rightsquigarrow f)$$

$$\text{assoc} : \prod_{a,b,c,d,f,g,h} (h \circ g) \circ f \rightsquigarrow h \circ (g \circ f)$$

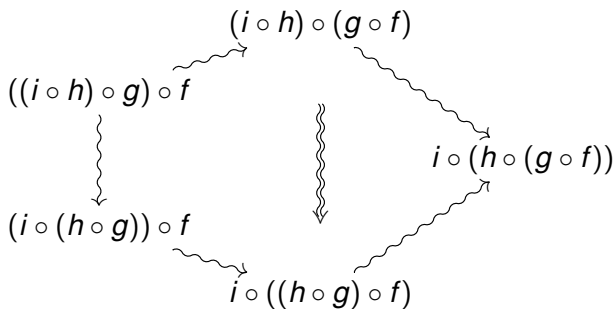
Coherence for associativity – Mac Lane's pentagon

Problem with above definition: two ways to associate a composition of **four** morphisms from left to right:



Coherence for associativity – Mac Lane's pentagon

Problem with above definition: two ways to associate a composition of **four** morphisms from left to right:



Would need to ask for higher coherence \rightsquigarrow , $\rightsquigarrow\rightsquigarrow$ etc

Definition (Category in UF)

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

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

For this definition of category, all the postulated paths are trivially coherent.

Isomorphism in a category

Definition (Isomorphism in a category)

A morphism $f : \mathcal{C}(a, b)$ is an **isomorphism** if there are

-

$$g : \mathcal{C}(b, a)$$

-

$$\eta : g \circ f \rightsquigarrow \text{id}_a \quad \epsilon : f \circ g \rightsquigarrow \text{id}_b$$

Put differently, we define

$$\text{isIso}(f) := \sum_{g:\mathcal{C}(b,a)} \left((g \circ f \rightsquigarrow \text{id}_a) \times (f \circ g \rightsquigarrow \text{id}_b) \right)$$

Isomorphism in a category II

Lemma

For any $f : C(a, b)$, the type $\text{isIso}(f)$ is a proposition.

Definition (The type of isomorphisms)

$$\text{Iso}(a, b) := \sum_{f:C(a,b)} \text{isIso}(f)$$

What about categories as objects?

Definition (Functor)

A **functor** F from \mathcal{C} to \mathcal{D} is given by

- a map $F_0 : \mathcal{C}_0 \rightarrow \mathcal{D}_0$
- for any $a, a' : \mathcal{C}_0$, a map $F_{a,a'} : \mathcal{C}(a, a') \rightarrow \mathcal{D}(Fa, Fa')$
- preserving identity and composition

The category of categories?

- the type of functors from \mathcal{C} to \mathcal{D} does **not** form a set
- thus there is no category of categories

Isomorphisms of categories

Definition (Isomorphism of categories)

A functor F is an **isomorphism of categories** if

- F_0 is an isomorphism of types and
- $F_{a,a'}$ is an isomorphism of types (a bijection) for any a, a' ,

$$\text{isIsoOfCats}(F) := \left(\dots \right) \times \left(\prod_{a,a':\mathcal{C}_0} \dots \right)$$

Isomorphism of categories II

Lemma

“Being an isomorphism of categories” is a proposition.

Definition (Type of isomorphisms of categories)

$$\mathcal{C} \cong \mathcal{D} := \sum_{F:\mathcal{C} \rightarrow \mathcal{D}} \text{isIsoOfCats}(F)$$

Natural transformations

Definition (Natural transformation)

Let $F, G : \mathcal{C} \rightarrow \mathcal{D}$ be functors. A **natural transformation** $\alpha : F \rightarrow G$ is given by

- for any $a : \mathcal{C}_0$ a morphism $\alpha_a : \mathcal{D}(Fa, Ga)$ s.t.
- for any $f : \mathcal{C}(a, b)$, $Gf \circ \alpha_a \rightsquigarrow \alpha_b \circ Ff$

The type of natural transformations $F \rightarrow G$ is a **set**.

Definition (Functor category $\mathcal{D}^{\mathcal{C}}$)

- objects: functors from \mathcal{C} to \mathcal{D}
- morphisms from F to G : natural transformations

Equivalence of categories

Definition (Left Adjoint)

A functor $F : \mathcal{C} \rightarrow \mathcal{D}$ is a **left adjoint** if there are

- $G : \mathcal{D} \rightarrow \mathcal{C}$
- $\eta : 1_{\mathcal{C}} \rightarrow GF$
- $\epsilon : FG \rightarrow 1_{\mathcal{D}}$
- + higher coherence data.

Equivalence of categories

Definition (Equivalence of categories)

A left adjoint F is an **equivalence of categories** if η and ϵ are isomorphisms.

Lemma

" F is an equivalence" is a proposition.

Definition

$$\mathcal{C} \simeq \mathcal{D} := \sum_{F:\mathcal{C}\rightarrow\mathcal{D}} \text{isEquivOfCats}(F)$$

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From paths to isomorphisms

Definition (From paths to isomorphisms, univalent categories)

For objects $a, b : \mathcal{C}_0$ we define

$$\begin{aligned}\text{idtoiso}_{a,b} : (a \rightsquigarrow b) &\rightarrow \text{Iso}(a, b) \\ \text{refl}(a) &\mapsto \text{id}_a\end{aligned}$$

We call the category \mathcal{C} **univalent** if, for any objects $a, b : \mathcal{C}_0$,

$$\text{idtoiso}_{a,b} : (a \rightsquigarrow b) \rightarrow \text{Iso}(a, b)$$

is an isomorphism of types.

About univalent categories

- In a univalent category, isomorphic objects are equal.
- “ C is univalent” is a **proposition**, written $\text{isUniv}(C)$.
- Definition proposed by Hofmann & Streicher '98, but not pursued



Examples of univalent categories

- Set (follows from the Univalence Axiom)
- categories of algebraic structures (groups, rings,...)
 - made precise by the **Structure Identity Principle** (P. Aczel)
- full subcategories of univalent categories
- functor category $\mathcal{D}^{\mathcal{C}}$, if \mathcal{D} is univalent

Some more examples of univalent categories

- a **preorder**, considered as a category, is **univalent** iff it is **antisymmetric**
- if X is of h-level $\mathbf{3}$, then there is a univalent category with X as objects and $\text{hom}(x, y) := (x \rightsquigarrow y)$
- if \mathcal{C} is univalent, then the category of **cones** of shape $F : \mathcal{J} \rightarrow \mathcal{C}$ is
 - \rightsquigarrow limits (limiting cones) in a univalent category are **unique**

Non-univalent categories

-



- more generally, any **chaotic** category \mathcal{C} with $\mathcal{C}(x, y) := 1$ unless \mathcal{C}_0 is contractible
- any chaotic category \mathcal{C} with an object $c : \mathcal{C}_0$ is **equivalent** to the terminal category $\mathbf{1} := \bullet$
 - \rightsquigarrow a category can be equivalent to a univalent one without being univalent itself

1 kind of sameness for univalent categories

Equality $\mathcal{C} \rightsquigarrow \mathcal{D}$

Isomorphism $\mathcal{C} \cong \mathcal{D}$

Equivalence $\mathcal{C} \simeq \mathcal{D}$

Theorem

*For **univalent** categories \mathcal{C} and \mathcal{D} , these are isomorphic as types.*

Consequence

Every property of univalent categories definable in UF is **invariant under equivalence**.

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Rezk completion

- “*Being univalent*” is a proposition
- ↪ Inclusion from univalent categories to categories

Theorem

The inclusion of univalent categories into categories has a left adjoint (in bicategorical sense),

$$\mathcal{C} \mapsto \widehat{\mathcal{C}}, \quad \text{the **Rezk completion** of } \mathcal{C} .$$

Rezk completion II

Any functor $F : \mathcal{C} \rightarrow \mathcal{D}$ with \mathcal{D} univalent factors uniquely:

$$\begin{array}{ccc} \mathcal{C} & \xrightarrow{\eta_{\mathcal{C}}} & \widehat{\mathcal{C}} \\ & \searrow \forall F & \downarrow \exists! \\ & & \mathcal{D} \text{ (univalent)} \end{array}$$

The functor $\eta_{\mathcal{C}}$ is the unit of the adjunction; it is

- fully faithful and
- essentially surjective.

Construction of the Rezk completion

- $\widehat{\mathcal{C}} :=$ full image subcat. of $\underline{\mathbf{Set}}^{\mathcal{C}^{\text{op}}}$ of **Yoneda embedding**
 - $\widehat{\mathcal{C}}$ is univalent
- let $\eta_{\mathcal{C}} : \mathcal{C} \rightarrow \widehat{\mathcal{C}}$ be the **Yoneda embedding** (into $\widehat{\mathcal{C}}$):
 - fully faithful
 - essentially surjective (by definition)
- precomposition $_ \circ H : \mathcal{C}^{\mathcal{B}} \rightarrow \mathcal{C}^{\mathcal{A}}$ is an equivalence—and hence an isomorphism—of categories if
 - H is essentially surjective
 - \mathcal{C} is univalent
- the object function thus is an isomorphism of types

$$_ \circ H : (\mathcal{C}^{\mathcal{B}})_0 \rightarrow (\mathcal{C}^{\mathcal{A}})_0$$

Semantics of univalent categories

In Voevodsky's sSET model,

- categories correspond to truncated Segal spaces
- **univalent** categories correspond to truncated **complete** Segal spaces

Completion for Segal spaces was studied by Rezk:



Special case of Rezk completion: Quotienting

Specialise: category \rightsquigarrow groupoid \rightsquigarrow equivalence relation

Theorem (Univalent Foundations admits quotients)

Any map $f : \mathcal{S} \rightarrow \mathcal{R}$ such that $s \sim s' \implies f(s) \rightsquigarrow f(s')$ factors uniquely via $\widehat{\mathcal{S}}$:

$$\begin{array}{ccc} \mathcal{S} & \xrightarrow{\eta_S} & \widehat{\mathcal{S}} \\ & \searrow \forall & \vdots \exists! \\ & & \mathcal{R} \end{array}$$

- More direct construction of set-level quotients by Voevodsky: “type of equivalence classes”

Another example: the classifying space of a group

- Consider group G as category with one element
- $\mathcal{B}(G) :=$ classifying space, ie. the space such that

$$\Omega(\mathcal{B}(G)) = G$$

- Construction of $\mathcal{B}(G)$ as space of **torsors** is actually the process of Rezk completion
- Directly formalized in UF by Dan Grayson



Mechanization in Coq

Rezk Completion mechanized in Coq+UA+TypeInType

- approx. 4000 lines of code
- based on Voevodsky's library "*Foundations*"

Design choices for the implementation

- Goal: make maths in UF accessible for mathematicians
 - ↪ stick to that part of syntax with clear semantics
- Restriction to basic type constructors (\prod, \sum, \dots)
- Coercions and notations as in mathematical practice
- No automation: no type classes, no automatic tactics

Towards higher categories

- no internal definition of ∞ -categories
- 2 possible paths to higher categories:
 - “manual” definition of n -categories for low n
 - bootstrapping via enrichment in n -categories

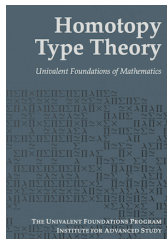
Requires notion/theory of

- enriched category theory and univalence
- truncation of higher categories

Future work II

- Makkai: FOLDS (First Order Logic with Dependent Sorts) as foundation for category theory
- Goal: only invariant properties definable (no equality on objects)
- FOLDS embeds in type theory
- Suggested by Shulman: compare definition of univalent categories in FOLDS style to the one above

- Univalent Foundations program, *Homotopy Type Theory: Univalent Foundations of Mathematics*, 2013



- Hofmann, M. and Streicher, T., *The groupoid interpretation of type theory*, 1996
- Rezk, C., *A model for the homotopy theory of homotopy theory*, 2001
- preprint [arXiv:1303.0584](https://arxiv.org/abs/1303.0584)

Some background ...

A model of MLTT in simplicial sets

Types-as-spaces intuition is made precise by a model of MLTT:

- The category \mathbf{sSET} of simplicial sets is Quillen-equivalent to the category \mathbf{TOP} of topological spaces.
- There is a model of MLTT in simplicial sets (Voevodsky).
- This model satisfies an additional property: **univalence**
- This suggests adding univalence as an additional axiom (UA) to MLTT.

Remark

Traditional set-theoretic models of MLTT do not satisfy univalence and thus are not models of MLTT + UA.

The groupoid interpretation of MLTT

Hofmann & Streicher: independence of UIP

Given a type A , one can **not** construct a term of type

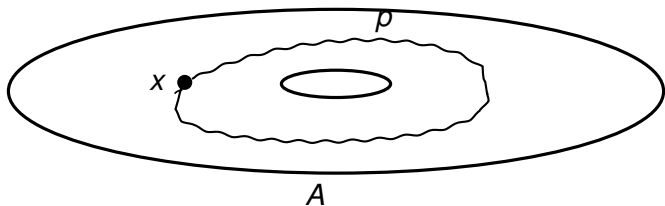
$$\prod_{(x:A)} \prod_{(p:\text{Id}(x,x))} \text{Id}_{\text{Id}(x,x)}(p, \text{refl}(x))$$



Non-trivial loop spaces

Interpretation of Hofmann & Streicher's result

It is (equi-)consistent to have a type A with non-trivial path spaces, e.g. a punctured disk.



Propositional truncation

- to any type A associate type $\|A\|_1$
- $\|A\|_1$ is a proposition
- $\|A\|_1$ indicates whether A is inhabited or not, we have

$$A \rightarrow \|A\|_1 \quad \neg A \rightarrow \neg \|A\|_1$$

- $\exists n : \mathit{Nat}, \mathit{even}(n) := \|\sum_{n:\mathit{Nat}} \mathit{even}(n)\|_1$

Propositional truncation

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Truncation to homotopy level n

- similar truncation can be defined for any n , $A \mapsto \|A\|_n$
- $\|A\|_n$ has only trivial paths above level n

Equivalent definitions of isomorphism

Logically equivalent definition:

- One possible τ can be deduced from g, η and ϵ

\rightsquigarrow suffices to give g, η and ϵ to prove that f is an isomorphism

But the type of triples (g, η, ϵ) is **not** a proposition

Several equivalent definitions of isomorphism:

- “having a left- and a right-handed inverse”
- “having contractible fibers”, i.e. inverse image of each point is a singleton