

Canonicity for Indexed Inductive-Recursive Types

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We prove canonicity for a Martin-Löf type theory that supports a countable universe hierarchy where each universe supports indexed inductive-recursive (IIR) types. We proceed in two steps. First, we construct IIR types from inductive-recursive (IR) types and other basic type formers, in order to simplify the subsequent canonicity proof. The constructed IIR types support the same definitional computation rules that are available in Agda's native IIR implementation. Second, we give a canonicity proof for IR types, building on the well-known method of Artin gluing. The main idea is to encode the reducibility predicate for each IR type using a metatheoretic IIR type.

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1 Introduction

Induction-recursion (IR) was first used by Martin-Löf in an informal way [?], then made formal by Dybjer and Setzer [?], who also developed set-theoretic and categorical semantics [?]. A common application of IR is to define custom universe hierarchies inside a type theory. In the proof assistant Agda, we can use IR to define a universe that is closed under our choice of type formers:

```
mutual
  data Code : Set0 where
    Nat' : U
    Π'   : (A : Code) → (El A → Code) → Code

  El : Code → Set0
  El Nat'   = Nat
  El (Π' A B) = (a : El A) → El (B a)
```

Here, `Code` is a type of codes of types which behaves as a custom Tarski-style universe. This universe, unlike the ambient Set_0 universe, supports an induction principle and can be used to define type-generic functions. *Indexed induction-recursion* (IIR) additionally allows indexing `Code` over some type, which lets us define inductive-recursive predicates [?].

One application of IR has been to develop semantics for object theories that support universe hierarchies. IR has been used in normalization proofs [?], in modeling first-class universe levels [?] and proving canonicity for them [?], and in characterizing domains of partial functions [?]. Another application is to do generic programming over universes of type descriptions [?] or data layout descriptions [?].

IIR has been supported in Agda 2 since the early days of the system [?], and it is also available in Idris 1 and Idris 2 [?]. In these systems, IR has been implemented in the “obvious” way, supporting

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closed program execution in compiler backends and normalization during type checking, but without any formal justification.

Our **main contribution** is to **show canonicity** for a Martin-Löf type theory that supports a countable universe hierarchy, where each universe supports indexed inductive-recursive types. Canonicity means that every closed term is definitionally equal to a canonical term. Canonical terms are built only from constructors; for instance, a canonical natural number term is a numeral. Hence, canonicity justifies evaluation for closed terms. The outline of our development is as follows.

- (1) In Section ?? we specify what it means to support IR and IIR, using Dybjer and Setzer's rules with minor modifications [?]. We use first-class signatures, meaning that descriptions of (I)IR types are given as ordinary inductive types internally.
- (2) In Section ?? we construct IIR types from IR types and other basic type formers. This allows us to only consider IR types in the subsequent canonicity proof, which is a significant simplification. In the construction of IIR types, we lose some definitional equalities when IIR signatures are neutral, but we still get the same computation rules that are available for Agda and Idris' IIR types. We formalize the construction in Agda.
- (3) In Section ??, we give a proof-relevant logical predicate interpretation of the type theory, from which canonicity follows. We build on the well-known method of Artin gluing [?]. The main challenge here is to give a logical predicate interpretation of IR types. We do this by using IIR in the metatheory: from each object-theoretic signature we compute a metatheoretic IIR signature which encodes the canonicity predicate for the corresponding IR type. We formalize the predicate interpretation of IR types in Agda, using a shallow embedding of the syntax of the object theory. Hence, there is a gap between the Agda version and the fully formal construction, but we argue that it is a modest gap.

2 Specification for (I)IR Types

In this section we describe the object type theory, focusing on the specification of IR and IIR types. We do not yet go into the formal details; instead, we shall mostly work with internal definitions in an Agda-like syntax. In Section ?? we will give a rigorous specification that is based on categories-with-families.

Basic type formers. We have a countable hierarchy of Russell-style universes, written as U_i , where i is an external natural number. We have $U_i : U_{i+1}$. We have Π -types as $(x : A) \rightarrow Bx$, which has type $U_{\max(i,j)}$ when $A : U_i$ and $B : A \rightarrow U_j$. We use Agda-style implicit function types for convenience, as $\{x : A\} \rightarrow Bx$, to mark that a function argument should be inferred from context. We have Σ -types, written as $(x : A) \times Bx$, which also has type $U_{\max(i,j)}$. We have $\perp : U_0$ for the empty type. We have $\top : U_i$ for every i level, with unique inhabitant tt . We have $\text{Bool} : U_0$ for Booleans. We have intensional identity types, as $t = u : U_i$ for $t : A : U_i$, with a transport operation $\text{tr} : \{A : U_i\}(P : A \rightarrow U_j)\{x y : A\} \rightarrow x = y \rightarrow Px \rightarrow Py$. We will also sometimes use the path application operation $\text{ap} : (f : A \rightarrow B) \rightarrow x = y \rightarrow f x = f y$.

We note some derivable type formers. First, finite sum types are derivable from \perp , Σ , Bool and large elimination on Bool . They are useful as “constructor tags” in inductive definitions. Second, we can define a universe lifting operation $\text{Lift} : U_i \rightarrow U_{\max(i,j)}$ such that $\text{Lift } A$ is definitionally isomorphic to A , by setting $\text{Lift } A$ to $A \times \top_j$. We write the wrapping operation as $\uparrow : A \rightarrow \text{Lift } A$ with inverse \downarrow .

We write \equiv for definitional equality, and give definitions using \equiv .

2.1 IR Types

The object theory additionally supports inductive-recursive types. On a high level, the specification consists of the following.

- (1) A type of signatures. Each signature describes an IR type. Also, we internally define some functions on signatures which are required in the specification of other rules.
- (2) Rules for type formation, term formation and the recursive function, with a computation rule for the recursive function.
- (3) The induction principle with a β rule.

2.1.1 IR signatures. Signatures are parameterized by the following data:

- The level i is the size of the IR type that is being specified.
- The level j is the size of the recursive output type.
- $O : U_j$ is the output type.

IR signatures are specified by the following inductive type. We only mark i and O as parameters to Sig , since j is inferable from O .

$$\begin{aligned} \text{data } \text{Sig}_i \, O : U_{\max(i+1, j)} \text{ where} \\ \iota : O \rightarrow \text{Sig}_i \, O \\ \sigma : (A : U_i) \rightarrow (A \rightarrow \text{Sig}_i \, O) \rightarrow \text{Sig}_i \, O \\ \delta : (A : U_i) \rightarrow ((A \rightarrow O) \rightarrow \text{Sig}_i \, O) \rightarrow \text{Sig}_i \, O \end{aligned}$$

Formally, we can view Sig in two ways. We can either view it as just a particular family of W-types, or as an inductive type that is primitively part of the object theory. The choice is not important, since inductive families are constructible from W-types [Hugunin 2020].

Example 2.1. We can reproduce the Agda example from Figure [?]. First, we need an enumeration type to represent the constructor labels of Code. We assume this as $\text{Tag} : U_0$ with constructors Nat' and Π' , and we use an informal case splitting operation for it. We also assume $\text{Nat} : U_0$ for natural numbers and a right-associative $\$$ -operator for function application.

$$\begin{aligned} S : \text{Sig}_0 \, U_0 \\ S \equiv \sigma \, \text{Tag} \, \$ \, \lambda t. \text{case } t \text{ of} \\ \text{Nat}' \rightarrow \iota \, \text{Nat} \\ \Pi' \rightarrow \delta \, \top \, \$ \, \lambda ELA. \delta \, (ELA \, \text{tt}) \, \$ \, \lambda ELB. \iota \, ((x : ELA \, \text{tt}) \rightarrow ELB \, x) \end{aligned}$$

First, we introduce a choice between two constructors by $\sigma \, \text{Tag}$. In the Nat' branch, we specify that the recursive function maps the constructor to Nat . In the Π' branch, we first introduce a single inductive constructor field by $\delta \, \top$, where \top represents the number of introduced fields. The naming of the freshly bound variable ELA is meant to suggest that it represent the recursive function's output for the inductive field. It has type $\top \rightarrow U_0$. Next, we introduce $(ELA \, \text{tt})$ -many inductive fields, and bind $ELB : ELA \, \text{tt} \rightarrow U_0$ to represent the corresponding recursive output. Finally, $\iota \, ((x : ELA \, \text{tt}) \rightarrow ELB \, x)$ specifies the output of the recursive function for a Π' constructor.

Our signatures are identical to Dybjer and Setzer's [?], except for one difference. We have countable universe levels, while Dybjer and Setzer use a logical framework presentation with only three universes, set, stype and type, where set contains the inductively specified type, stype contains the non-inductive constructor arguments and type contains the recursive output type and the type of signatures.

2.1.2 *Type and term formation.* In this section we also follow Dybjer and Setzer [?], with minor differences of notation, and also accounting for the refinement of universe levels.

First, assuming i and $O : U_j$, a signature $S : \text{Sig}_i O$ can be interpreted as a function from $(A : U_i) \times (A \rightarrow O)$ to $(A : U_i) \times (A \rightarrow O)$. This can be extended to an endofunctor on the slice category U_i/O , but in the following we only need the action on objects. We split this action to two functions, to aid readability:

$$\begin{aligned}
 -_0 : \text{Sig}_i O &\rightarrow (ir : U_i) \rightarrow (ir \rightarrow O) \rightarrow U_i \\
 S_0 (\iota o) \quad ir \, el &\equiv \text{Lift } \top \\
 S_0 (\sigma AS) \, ir \, el &\equiv (a : A) \times (S a)_0 \, ir \, el \\
 S_0 (\delta AS) \, ir \, el &\equiv (f : A \rightarrow ir) \times (S (el \circ f))_0 \, ir \, el \\
 \\
 -_1 : (S : \text{Sig}_i O) &\rightarrow S_0 \, ir \, el \rightarrow O \\
 S_1 (\iota o) \quad x &\equiv o \\
 S_1 (\sigma AS) (a, x) &\equiv (S i)_1 x \\
 S_1 (\delta AS) (f, x) &\equiv (S (el \circ f))_1 x
 \end{aligned}$$

Although we use Agda-like pattern matching notation above, these functions are formally defined by the elimination principle of Sig . Also note the quantification of the i and j universe levels. The object theory does not support universe polymorphism, so this quantification is understood to happen in the metatheory. The introduction rules are the following.

$$\begin{aligned}
 \text{IR} &: (S : \text{Sig}_i O) \rightarrow U_i \\
 \text{El} &: \text{IR } S \rightarrow O \\
 \text{intro} &: S_0 (\text{IR } S) \text{El} \rightarrow \text{IR } S \\
 \text{El-intro} &: \text{El} (\text{intro } x) \equiv S_1 x
 \end{aligned}$$

Above, we leave some rule arguments implicit, like S in El , intro and El-intro . The rule El-intro specifies a definitional equality. Note that these rules are not internal definitions but part of the specification of the object theory. Hence, they are also assumed to be stable under object-theoretic substitution, formally speaking. On a high level, the introduction rules express the existence of an S -algebra where we view S as an endofunctor on U_i/O .

2.1.3 *Elimination.* Here we follow the specification in [?]. We assume another universe level k that specifies the size of the type into which we eliminate. We define two additional functions on signatures:

$$\begin{aligned}
 -_{\text{IH}} : (S : \text{Sig}_i O) (P : ir \rightarrow U_k) &\rightarrow S_0 \, ir \, el \rightarrow U_{\max(i, k)} \\
 (\iota o)_{\text{IH}} \quad P x &\equiv \text{Lift } \top \\
 (\sigma AS)_{\text{IH}} P (a, x) &\equiv (S a)_{\text{IH}} P x \\
 (\delta AS)_{\text{IH}} P (f, x) &\equiv ((a : A) \rightarrow P (f a)) \times (S (el \circ f))_{\text{IH}} P x \\
 \\
 -_{\text{map}} : (S : \text{Sig}_i O) (P : ir \rightarrow U_k) &\rightarrow ((x : ir) \rightarrow P x) \rightarrow (x : S_0 \, ir \, el) \rightarrow S_{\text{IH}} P x \\
 (\iota o)_{\text{map}} \quad P h x &\equiv \uparrow \text{tt} \\
 (\sigma AS)_{\text{map}} P h (a, x) &\equiv (S a)_{\text{map}} P h x \\
 (\delta AS)_{\text{map}} P h (f, x) &\equiv (h \circ f, (S (el \circ f))_{\text{map}} P h x)
 \end{aligned}$$

$-_{IH}$ stands for “induction hypothesis”: it specifies having a witness of a predicate P for each inductive field in a value of $S_0 \text{ ir } el$. S_{map} maps over $S_0 \text{ ir } el$, applying the section $h : (x : \text{ir}) \rightarrow Px$ to each inductive field. Elimination is specified as follows.

$$\begin{aligned} \text{elim} & : (P : \text{IR } S \rightarrow \mathcal{U}_k) \rightarrow ((x : S_0 (\text{IR } S) \text{ El}) \rightarrow S_{IH} P x \rightarrow P (\text{intro } x)) \rightarrow (x : \text{IR } S) \rightarrow P x \\ \text{elim-}\beta & : \text{elim } P f (\text{intro } x) \equiv f x (S_{\text{map}} P (\text{elim } P f) x) \end{aligned}$$

If we have function extensionality, this specification of elimination can be shown to be equivalent to the initiality of $(\text{IR } S, \text{El})$ as an S -algebra [?].

2.2 IIR Types

We extend Dybjer and Setzer’s general IIR signatures [?] with countable universe levels. Since IIR is quite similar to IR, we present the rules without much commentary.

2.2.1 Signatures. We assume levels i, j, k , an indexing type $I : \mathcal{U}_k$ and a type family for the recursive output as $O : I \rightarrow \mathcal{U}_j$. Signatures are as follows.

$$\begin{aligned} \text{data Sig}_i I O : \mathcal{U}_{\max(i+1, j, k)} \text{ where} \\ \iota : (i : I) \rightarrow O i \rightarrow \text{Sig}_i I O \\ \sigma : (A : \mathcal{U}_i) \rightarrow (A \rightarrow \text{Sig}_i I O) \rightarrow \text{Sig}_i I O \\ \delta : (A : \mathcal{U}_i)(ix : A \rightarrow I) \rightarrow (((a : A) \rightarrow O (ix a)) \rightarrow \text{Sig}_i I O) \rightarrow \text{Sig}_i I O \end{aligned}$$

Example 2.2. We reproduce length-indexed vectors as an IIR type. We assume $A : \mathcal{U}_0$ for a type of elements in the vector, and a type $\text{Tag} : \mathcal{U}_0$ with inhabitants Nil' and Cons' .

$$\begin{aligned} S & : \text{Sig}_0 \text{Nat } (\lambda _ . \top) \\ S & \equiv \sigma \text{Tag } \$ \lambda t . \text{case } t \text{ of} \\ \text{Nil}' & \rightarrow \iota \text{zero } \text{tt} \\ \text{Cons}' & \rightarrow \sigma \text{Nat } \$ \lambda n . \sigma A \$ \lambda _ . \delta \top (\lambda _ . n) \$ \lambda _ . \iota (\text{suc } n) \text{tt} \end{aligned}$$

We set O to be constant \top because vectors do not have an associated recursive function. In the Nil' case, we simply set the constructor index to zero. In the Cons' case, we introduce a non-inductive field, binding n for the length of the tail of the vector. Then, when we introduce the inductive field using δ , we use $(\lambda _ . n)$ to specify that the length of the (single) inductive field is indeed n . Finally, the length of the Cons' constructor is $\text{suc } n$.

2.2.2 Type and term formation. The signature actions $-_0$ and $-_1$ are similar to before:

$$\begin{aligned} -_0 & : \text{Sig}_i I O \rightarrow (\text{ir} : I \rightarrow \mathcal{U}_{\max(i, k)}) \rightarrow (\{i : I\} \rightarrow \text{ir } i \rightarrow O i) \rightarrow I \rightarrow \mathcal{U}_{\max(i, k)} \\ S_0 (\iota i' o) \quad \text{ir } el \ i & \equiv \text{Lift } (i' = i) \\ S_0 (\sigma A S) \quad \text{ir } el \ i & \equiv (a : A) \times (S a)_0 \text{ir } el \ i \\ S_0 (\delta A ix S) \text{ir } el \ i & \equiv (f : (a : A) \rightarrow \text{ir } (ix a)) \times (S (el \circ f))_0 \text{ir } el \ i \\ -_1 & : (S : \text{Sig}_i I O) \rightarrow S_0 \text{ir } el \ i \rightarrow O i \\ S_1 (\iota i' o) \ (\uparrow x) & \equiv \text{tr } O x o \\ S_1 (\sigma A S) \ (a, x) & \equiv (S i)_1 x \\ S_1 (\delta A S) \ (f, x) & \equiv (S (el \circ f))_1 x \end{aligned}$$

Note the transport in $\text{tr } O \ x \ o$: this is necessary, since o has type $O \ i'$ while the required type is $O \ i$. The type and term formation rules are the following.

$$\begin{aligned} \text{IIR} & : (S : \text{Sig}_i \text{ IO}) \rightarrow I \rightarrow \text{U}_{\max(i, k)} \\ \text{El} & : \text{IIR } S \ i \rightarrow O \ i \\ \text{intro} & : S_0 (\text{IIR } S) \text{ El } i \rightarrow \text{IIR } S \ i \\ \text{El-intro} & : \text{El} (\text{intro } x) \equiv S_1 \ x \end{aligned}$$

2.2.3 Elimination. $-_{\text{IH}}$, $-_{\text{map}}$ and elimination are as follows. We assume a level l for the target type of elimination.

$$\begin{aligned} -_{\text{IH}} & : (S : \text{Sig}_i \text{ IO})(P : \{i : I\} \rightarrow \text{ir } i \rightarrow \text{U}_l) \rightarrow S_0 \text{ ir } \text{el } i \rightarrow \text{U}_{\max(i, l)} \\ (\iota \ i \ o)_{\text{IH}} \quad P \ x & \quad \equiv \text{Lift } \top \\ (\sigma \ A \ S)_{\text{IH}} \quad P \ (a, x) & \quad \equiv (S \ a)_{\text{IH}} \ P \ x \\ (\delta \ A \ ix \ S)_{\text{IH}} \ P \ (f, x) & \quad \equiv ((a : A) \rightarrow P \ (f \ a)) \times (S \ (\text{el} \circ f))_{\text{IH}} \ P \ x \\ -_{\text{map}} & : (S : \text{Sig}_i \text{ IO})(P : \{i : I\} \rightarrow \text{ir } i \rightarrow \text{U}_l) \\ & \rightarrow (\{i : I\}(x : \text{ir } i) \rightarrow P \ x) \rightarrow (x : S_0 \text{ ir } \text{el } i) \rightarrow S_{\text{IH}} \ P \ x \\ (\iota \ o)_{\text{map}} \quad P \ h \ x & \quad \equiv \uparrow \text{tt} \\ (\sigma \ A \ S)_{\text{map}} \ P \ h \ (a, x) & \quad \equiv (S \ a)_{\text{map}} \ P \ h \ x \\ (\delta \ A \ S)_{\text{map}} \ P \ h \ (f, x) & \quad \equiv (h \circ f, (S \ (\text{el} \circ f))_{\text{map}} \ P \ h \ x) \end{aligned}$$

$$\begin{aligned} \text{elim} & : (P : \{i : I\} \rightarrow \text{IIR } S \ i \rightarrow \text{U}_l) \rightarrow (\{i : I\}(x : S_0 (\text{IIR } S) \text{ El } i) \rightarrow S_{\text{IH}} \ P \ x \rightarrow P \ (\text{intro } x)) \\ & \rightarrow (x : \text{IIR } S \ i) \rightarrow P \ x \end{aligned}$$

$$\text{elim-}\beta : \text{elim } P \ f \ (\text{intro } x) \equiv f \ x \ (S_{\text{map}} \ P \ (\text{elim } P \ f) \ x)$$

3 Construction of IIR Types

We proceed to construct IIR types from IR types and other basic type formers. We assume $i, j, k, I : \text{U}_k$ and $O : I \rightarrow \text{U}_j$, and also assume definitions for IIR signatures and the four operations ($-_0$, $-_1$, $-_{\text{IH}}$, $-_{\text{map}}$). The task is to define IR, El, elim and elim- β . We use some abbreviations in the following:

- Sig_{IIR} abbreviates the IIR signature type $\text{Sig}_i \text{ IO}$.
- Sig_{IR} abbreviates the IR signature type $\text{Sig}_{\max(i, k)} ((i : I) \times O \ i)$.

In a nutshell, the main idea in this section is to represent IIR signatures as IR signatures together with a well-indexing predicate on algebras. First, we define the encoding function for signatures:

$$\begin{aligned} \lfloor - \rfloor & : \text{Sig}_{\text{IIR}} \rightarrow \text{Sig}_{\text{IR}} \\ \lfloor \iota \ i \ o \rfloor & \quad \equiv \iota \ (i, \ o) \\ \lfloor \sigma \ A \ S \rfloor & \quad \equiv \sigma \ (\text{Lift } A) \ (\lambda \ a. \lfloor S \ \downarrow a \rfloor) \\ \lfloor \delta \ A \ ix \ S \rfloor & \quad \equiv \delta \ (\text{Lift } A) \ \$ \ \lambda \ f. \\ & \quad \sigma \ ((a : A) \rightarrow \text{fst } (f \ (\uparrow a)) = ix \ a) \ \$ \ \lambda \ p. \\ & \quad \lfloor S \ (\lambda \ a. \text{tr } O \ (p \ a) \ (\text{snd } (f \ (\uparrow a)))) \rfloor \end{aligned}$$

There are two points of interest. First, the encoded IR signature has the recursive output type $(i : I) \times O \ i$, which lets us interpret $\iota \ i \ o$ as $\iota \ (i, \ o)$. Second, in the interpretation of δ , we already need to enforce well-indexing for inductive fields, or else we cannot recursively proceed with

the translation. We solve this by adding an *extra field* in the output signature, which contains a well-indexing witness of type $((a : A) \rightarrow \text{fst } (f (\uparrow a)) = ix a)$. This lets us continue the translation for S , by fixing up the return type of f by a transport.

Note on prior work. Hancock et al. described the same translation from small IIR signatures to small IR signatures [?]. However, they did not present anything more about the reduction of IIR types to IR types.

3.1 Type and Term Formers

We can already define the IIR and El rules for IIR types. Since the encoding of signatures already ensures the well-indexing of inductive fields in constructors, it only remains to ensure that the “top-level” index matches the externally supplied index.

$$\begin{aligned} \text{IIR} : \text{Sig}_{\text{IIR}} \rightarrow I \rightarrow \text{U}_{\max(i, k)} & \quad \text{El} : \text{IIR } S \, i \rightarrow O \, i \\ \text{IIR } S \, i \equiv (x : \text{IR } [S]) \times \text{fst } (\text{El } x) = i & \quad \text{El } (x, p) \equiv \text{tr } O \, p \, (\text{snd } (\text{El } x)) \end{aligned}$$

The following shorthand describes the data that we get when we peel off an intro from an $\text{IIR } S \, i$ value:

$$\begin{aligned} -_{[0]} : (S : \text{Sig}_{\text{IR}}) \rightarrow I \rightarrow \text{U}_{\max(i, k)} \\ S_{[0]} \, i \equiv (x : [S]_0 (\text{IR } S) \, \text{El}) \times \text{fst } (S_1 \, x) = i \end{aligned}$$

Now, we can show that $S_{[0]} \, i$ is equivalent to $S_0 (\text{IIR } S) \, \text{El } i$, by induction on S . The induction is straightforward and we omit it here. We name the components of the equivalence as follows:

$$\begin{aligned} \overrightarrow{S}_0 : S_0 (\text{IIR } S) \, \text{El } i &\rightarrow S_{[0]} \, i \\ \overleftarrow{S}_0 : S_{[0]} \, i &\rightarrow S_0 (\text{IIR } S) \, \text{El } i \\ \eta : \forall x. \overleftarrow{S}_0 (\overrightarrow{S}_0 \, x) &= x \\ \epsilon : \forall x. \overrightarrow{S}_0 (\overleftarrow{S}_0 \, x) &= x \\ \tau : \forall x. \text{ap } \overrightarrow{S}_0 (\eta \, x) &= \epsilon (\overleftarrow{S}_0 \, x) \end{aligned}$$

This is a half adjoint equivalence [?]. The half adjoint coherence witness τ will be necessary shortly for rearranging some transports.¹ Next, we show that the two $-_1$ operations are the same, modulo the previous equivalence, again by induction on IIR signatures.

$$-_{[1]} : (S : \text{Sig}_{\text{IIR}}) (x : S_0 (\text{IIR } S) \, \text{El } i) \rightarrow \text{tr } O \, (\text{snd } (\overrightarrow{S}_0 \, x)) \, (\text{snd } ([S]_1 (\text{fst } (\overrightarrow{S}_0 \, x)))) = S_1 \, x$$

This lets us define the other introduction rules as well.

$$\begin{aligned} \text{intro} : S_0 (\text{IIR } S) \, \text{El } i &\rightarrow \text{IIR } S \, i & \text{El-intro} : \text{El } (\text{intro } x) &\equiv S_1 \, x \\ \text{intro } x &\equiv (\text{intro}_{\text{IR}} (\text{fst } (\overrightarrow{S}_0 \, x)), \text{snd } (\overrightarrow{S}_0 \, x)) & \text{El-intro} &\equiv S_{[1]} \, x \end{aligned}$$

3.2 Elimination

We assume a level l for the elimination target. Recall the type of elim :

$$\begin{aligned} \text{elim} : (P : \{i : I\} \rightarrow \text{IIR } S \, i \rightarrow \text{U}_l) \\ \rightarrow (f : \{i : I\} (x : S_0 (\text{IIR } S) \, \text{El } i) \rightarrow S_{\text{IH}} \, P \, x \rightarrow P (\text{intro } x)) \\ \rightarrow (x : \text{IIR } S \, i) \rightarrow P \, x \end{aligned}$$

¹In the Agda formalization, we compute τ by induction on S , although it could also be generically recovered from the other four components [?].

Also recall that $x : \text{IR } S \ i$ is given as a pair of some $x : \text{IR } [S]$ and $p : \text{fst } (\text{El } x) = i$. The idea here is to use IR elimination on $x : \text{IR } [S]$, while adjusting both P and f to operate on the appropriate data. We will use the following induction motive. Note that we generalize the induction goal over the p witness.

$$\begin{aligned} [P] : \text{IR } [S] &\rightarrow \mathcal{U}_{\max(k, l)} \\ [P] x &\equiv \{i : I\} (p : \text{fst } (\text{El } x) = i) \rightarrow P(x, p) \end{aligned}$$

Now, we have

$$\text{elim}_{\text{IR}} [P] : ((x : [S]_0 (\text{IR } [S]) \text{El}) \rightarrow [S]_{\text{IH}} [P] x \rightarrow [P] (\text{intro } x)) \rightarrow (x : \text{IR } [S]) \rightarrow [P] x.$$

We adjust f to obtain the next argument to $\text{elim}_{\text{IR}} [P]$. f takes $S_{\text{IH}} P x$ as input, so we need a “backwards” conversion:

$$\overleftarrow{S}_{\text{IH}} : \{x : S_{[0]} i\} \rightarrow [S]_{\text{IH}} [P] (\text{fst } x) \rightarrow S_{\text{IH}} P (\overleftarrow{S}_0 x)$$

This is again defined by easy induction on S . The induction method $[f]$ is as follows.

$$\begin{aligned} [f] : (x : [S]_0 (\text{IR } [S]) \text{El}) &\rightarrow [S]_{\text{IH}} [P] x \rightarrow [P] (\text{intro } x) \\ [f] x \text{ ih } p &\equiv \text{tr } (\lambda (x, p). P (\text{intro } x, p)) (\epsilon (x, p)) (f (\overleftarrow{S}_0 (x, p)) (\overleftarrow{S}_{\text{IH}} \text{ih})) \end{aligned}$$

Thus, the definition of elimination is:

$$\text{elim } P f (x, p) \equiv \text{elim}_{\text{IR}} [P] [f] x p$$

Only the β -rule remains:

$$\text{elim } \beta : \text{elim } P f (\text{intro } x) \equiv f x (S_{\text{map}} P (\text{elim } P f) x)$$

Computing definitions on the **left hand side**, we get:

$$\begin{aligned} &\text{tr } (\lambda (x, p). P (\text{intro } x, p)) \\ &(\epsilon (\overrightarrow{S}_0 x)) \\ &(f (\overleftarrow{S}_0 (\overrightarrow{S}_0 x)) (\overleftarrow{S}_{\text{IH}} ([S]_{\text{map}} [P] (\lambda x p. \text{elim } P f (x, p)) (\text{fst } (\overrightarrow{S}_0 x)))))) \end{aligned}$$

Next, we prove by induction on S that $-\text{map}$ commutes with \overrightarrow{S}_0 :

$$S_{[\text{map}]} : \forall f x. S_{\text{map}} P (\lambda (x, p). f x p) x = \text{tr } (S_{\text{IH}} P) (\eta x) (\overleftarrow{S}_{\text{IH}} ([S]_{\text{map}} [P] f (\text{fst } (\overrightarrow{S}_0 x))))$$

Using this equation to rewrite the **right hand side**, we get:

$$f x \left(\text{tr } (S_{\text{IH}} P) (\eta x) (\overleftarrow{S}_{\text{IH}} ([S]_{\text{map}} [P] (\lambda x p. \text{elim } P f (x, p)) (\text{fst } (\overrightarrow{S}_0 x)))) \right)$$

This is now promising; on the left hand side we transport the result of f , while on the right hand side we transport the argument of f . Now, the identification on the left is $\epsilon (\overrightarrow{S}_0 x)$, while we have ηx on the right. However, we have $\tau x : \text{ap } (\overrightarrow{S}_0) (\eta x) = \epsilon (\overrightarrow{S}_0 x)$, which can be used in conjunction with standard transport lemmas to match up the two sides.

3.3 Strictness

We briefly analyze the strictness of computation for constructed IIR types. Clearly, since the construction is defined by induction on IIR signatures, we only have propositional El-intro and $\text{elim-}\beta$ in the general case, where an IIR signature can be neutral.

However, we still support the same definitional IIR computation rules as Agda and Idris. That is because Agda and Idris only have second-class IIR signatures. There, signatures consist of constructors with fixed configurations of fields, where constructors are disambiguated by canonical name tags. El applied to a constructor computes definitionally, and so does the elimination principle when applied to a constructor. Using our IIR types, we encode Agda IIR types as follows:

- We have $\sigma \text{ Tag } S$ on the top to represent constructor tags.
- In S , we immediately pattern match on the tag.
- All other Sig subterms are canonical in the rest of the signature.

Thus, if we apply El or elim to a value with a canonical tag, we compute past the branching on the tag and then compute all the way on the rest of the signature. In the Agda supplement, we provide length-indexed vectors and the Code universe as examples for constructed IIR types with strict computation rules.

3.4 Mechanization

We formalized Section ?? in Agda, using the same definitions and proofs as above. For the assumption of IR, we verbatim reproduced the specification in Section [?], turning IR into an inductive type and El and elim into recursive functions. The functions are not recognized as terminating by Agda, so we disable terminating checking for them. Alternatively, we could use rewrite rules [?]; the two versions are the same except that rewrite rules have a noticeable performance cost in evaluation.

Also, our object theory does not have internal universe levels, so we understand level quantification to happen in a metatheory, while in Agda we do use native universe polymorphism.

4 Canonicity

In this section we prove canonicity for the object theory extended with IR types. First, we specify the metatheory and the object theory in more detail.

4.1 Metatheory

4.1.1 Specification. The metatheory supports the following:

- A countable universe hierarchy and basic type formers as described in Section ?. We write universes as Set_i instead of U_i , to avoid confusion with object-theoretic universes.
- Equality reflection. Hence, in the following we will only use $- = -$ to denote metatheoretic equality.
- Universe levels ω and $\omega + 1$, where $\text{Set}_\omega : \text{Set}_{\omega+1}$ and $\text{Set}_{\omega+1}$ is a “proper type” that is not contained in any universe. Set_ω and $\text{Set}_{\omega+1}$ are also closed under basic type formers.
- IR types in Set_i when i is finite.
- A reflection principle which says that finite universe levels corresponds to elements of the internal type of natural numbers $\text{Nat} : \text{Set}_0$. This is similar to Agda’s internal type of finite levels, called Level [?]. For a more formal specification of this internalization, see [?]. The reason for this feature is the following. The object theory has countable levels represented as natural numbers, so we have to interpret those numbers as metatheoretic levels in the canonicity model, to correctly specify sizes of reducibility predicates.
- The syntax of the object theory as a quotient inductive-inductive type [?], to be described in the following section.

4.1.2 Consistency of the metatheory.

TODO

4.2 The Object Theory

Informally, the object theory is a Martin-Löf type theory that supports basic type formers as described in Section ?? and IR types as described in Section ?. More formally, the object theory is given as a quotient inductive-inductive type [?]. The sets, operations and equations that we give in the following together constitute the inductive signature.

4.2.1 Core substitution calculus. The basic judgmental structure is given as a category with families (CwF) [?] where types are additionally annotated with levels. Concretely, we have

- A category of contexts and substitutions. We have $\text{Con} : \text{Set}_0$ for contexts and $\text{Sub} : \text{Con} \rightarrow \text{Con} \rightarrow \text{Set}_0$ for substitutions. The empty context \bullet is the terminal object with the unique substitution $\epsilon : \text{Sub } \Gamma \bullet$. We write id for identity substitutions and $- \circ -$ for substitution composition.
- Level-indexed types, as $\text{Ty} : \text{Con} \rightarrow \text{Nat} \rightarrow \text{Set}_0$, together with the functorial substitution operation $- [-] : \text{Ty } \Gamma \Delta \rightarrow \text{Sub } \Gamma \Delta \rightarrow \text{Ty } \Gamma \Delta$.
- Terms as $\text{Tm} : (\Gamma : \text{Con}) \rightarrow \text{Ty } \Gamma i \rightarrow \text{Set}_0$, with functorial substitution operation $- [-] : \text{Tm } \Gamma \Delta \rightarrow (\sigma : \text{Sub } \Gamma \Delta) \rightarrow \text{Tm } \Gamma \Delta[\sigma]$. *Notation:* both type and term substitution binds stronger than function application, so for example $\text{Tm } \Gamma \Delta[\sigma]$ means $\text{Tm } \Gamma (\Delta[\sigma])$.
- Context comprehension, consisting of a context extension operation $- \triangleright - : (\Gamma : \text{Con}) \rightarrow \text{Ty } \Gamma i \rightarrow \text{Con}$, weakening morphism $p : \text{Sub } (\Gamma \triangleright A) \Gamma$, zero variable $q : \text{Tm } (\Gamma \triangleright A) A[p]$ and substitution extension $- , - : (\sigma : \text{Sub } \Gamma \Delta) \rightarrow \text{Tm } \Gamma \Delta[\sigma] \rightarrow \text{Sub } \Gamma (\Delta \triangleright A)$, such that the following equations hold:

$$\begin{aligned} p \circ (\sigma, t) &= \sigma \\ q[\sigma, t] &= t \\ (p, q) &= \text{id} \\ (\sigma, t) \circ \delta &= (\sigma \circ \delta, t[\delta]) \end{aligned}$$

Note that a De Bruijn index N is represented as $q[p^N]$, where p^N is N -fold composition of weakening.

4.2.2 Universes. We have Russell-style universes, where sets of terms of universes are identified with sets of types. Concretely, we have $U : (i : \text{Nat}) \rightarrow \text{Ty } \Gamma (i + 1)$ such that $U_i[\sigma] = U_i$ and $\text{Tm } \Gamma U_i = \text{Ty } \Gamma i$. This lets us implicit cast between types and terms of universes. Additionally, we specify that this casting operation commutes with substitution, so substituting $t : \text{Tm } \Gamma U_i$ as a term and then casting to a type is the same as first casting and then substituting as a type. Since we omit casts and overload $- [-]$, this rule looks trivial in our notation, but it still has to be assumed.

4.2.3 Functions. Type formation is $\Pi : (A : \text{Ty } \Gamma i) \rightarrow \text{Ty } (\Gamma \triangleright A) j \rightarrow \text{Ty } \Gamma \max(i, j)$. Terms are specified by $\text{app} : \text{Tm } \Gamma (\Pi A B) \rightarrow \text{Tm } (\Gamma \triangleright A) B$ and its definitional inverse $\text{lam} : \text{Tm } (\Gamma \triangleright A) B \rightarrow \text{Tm } \Gamma (\Pi A B)$. This isomorphism is natural in Γ , so we have a substitution rule $(\text{lam } t)[\sigma \circ p, q] = \text{lam } t[\sigma]$. We derive the traditional binary application operation as follows: $t \$ u := (\text{app } t)[\text{id}, u]$. We use this as a left-associative operator. We also define non-dependent functions: $A \Rightarrow B := \Pi A B[p]$ where $A : \text{Ty } \Gamma i$ and $B : \text{Ty } \Gamma j$.

Stability under substitution. In the following we implicitly assume stability under substitution for every type and term former and omit the corresponding rules.

4.2.4 *Sigma types*. We have $\Sigma : (A : \text{Ty } \Gamma \triangleright i) \rightarrow \text{Ty } (\Gamma \triangleright A) j \rightarrow \text{Ty } \Gamma \max(i, j)$. Pairing and projection are given as a natural isomorphism between $\text{Tm } \Gamma (\Sigma A B)$ and $(t : \text{Tm } \Gamma A) \times \text{Tm } \Gamma B[\text{id}, t]$. We write $- , -$ for pairing and proj_1 and proj_2 for projections.

4.2.5 *Empty type*. We have $\perp : \text{Ty } \Gamma 0$ with elimination $\text{exfalse} : (A : \text{Ty } \Gamma i) \rightarrow \text{Tm } \Gamma \perp \rightarrow \text{Tm } \Gamma A$.

4.2.6 *Unit*. We have $\top_i : \text{Ty } \Gamma i$ with the unique inhabitant tt . Note that unlike the empty type, the unit type is included in every universe. As we explained in Section ??, this allows us to define a type lifting operation.

4.2.7 *Booleans*. Type formation is $\text{Bool} : \text{Ty } \Gamma 0$ with constructors true and false . Elimination is as follows.

$$\begin{aligned} \text{BoolElim} : (P : \text{Ty } (\Gamma \triangleright \text{Bool}) i) &\rightarrow \text{Tm } \Gamma P[\text{id}, \text{true}] \rightarrow \text{Tm } \Gamma P[\text{id}, \text{false}] \\ &\rightarrow (t : \text{Tm } \Gamma \text{Bool}) \rightarrow \text{Tm } \Gamma P[\text{id}, t] \end{aligned}$$

$$\text{BoolElim } P \text{ t } f \text{ true} = t \quad \text{BoolElim } P \text{ t } f \text{ false} = f$$

4.2.8 *IR signatures*. We specify the type of IR signatures in the following as an inductive type. We assume $i, j : \text{Nat}$ and $O : \text{Ty } \Gamma j$ as parameters.

$$\begin{aligned} \text{Sig}_i O : \text{Ty } \Gamma \max(i+1, j) \\ \iota : \text{Tm } \Gamma O \rightarrow \text{Tm } \Gamma (\text{Sig}_i O) \\ \sigma : (A : \text{Ty } \Gamma U_i) \rightarrow \text{Tm } \Gamma (A \Rightarrow \text{Sig}_i O) \rightarrow \text{Tm } \Gamma (\text{Sig}_i O) \\ \delta : (A : \text{Ty } \Gamma U_i) \rightarrow \text{Tm } \Gamma ((A \Rightarrow O) \Rightarrow \text{Sig}_i O) \rightarrow \text{Tm } \Gamma (\text{Sig}_i O) \end{aligned}$$

Note that we have some choice whether to represent function arguments as internal function types, context extension, or meta-level function types. For example, $\text{Tm } \Gamma (A \Rightarrow \text{Sig}_i O)$ could be represented as $\text{Tm } (\Gamma \triangleright A) (\text{Sig}_i O[p])$ as well. Also, since we have universes and Π -types, we could choose to specify all of ι , σ and δ as term constants with a function type. All of these choices yield inter-derivable specifications.

We proceed to the elimination principle. Here, the native CwF notation becomes difficult to read, so we introduce some syntactic sugar. We can give names to binders, and we can refer to a variable by name in a possibly larger context. Every mention of the variable name is desugared to a De Bruijn index.

$$\begin{aligned} \text{SigElim}_k : (P : \text{Tm } \Gamma (\text{Sig}_i O \Rightarrow U_k)) &\rightarrow \text{Tm } \Gamma (\Pi (o : O) (P[p] \$ (\iota o))) \\ &\rightarrow \text{Tm } \Gamma (\Pi (A : U_i) (\Pi (S : A \Rightarrow \text{Sig}_i O[p^2]) ((\Pi (a : A) (P[p^3] \$ (S \$ a))) \Rightarrow P[p^2] \$ (\sigma AS)))) \\ &\rightarrow \text{Tm } \Gamma (\Pi (A : U_i) (\Pi (S : (A \Rightarrow O[p]) \Rightarrow \text{Sig}_i O[p^2]) \\ &\quad ((\Pi (f : A \Rightarrow O[p^2]) (P[p^3] \$ (S \$ f))) \Rightarrow P[p^2] \$ (\delta AS)))) \\ &\rightarrow (S : \text{Tm } \Gamma (\text{Sig}_i O)) \\ &\rightarrow \text{Tm } \Gamma (P \$ S) \end{aligned}$$

$$\text{SigElim}_k P \text{ i s d } (\iota o) = i \$ o$$

$$\text{SigElim}_k P \text{ i s d } (\sigma AS) = s \$ A \$ S \$ (\text{lam } a (\text{SigElim}_k P[p] i[p] s[p] d[p] (S[p] \$ a)))$$

$$\text{SigElim}_k P \text{ i s d } (\delta AS) = s \$ A \$ S \$ (\text{lam } f (\text{SigElim}_k P[p] i[p] s[p] d[p] (S[p] \$ f)))$$

For example,

$$\Pi (A : \mathcal{U}_i) (\Pi (S : A \Rightarrow \text{Sig}_i O[p^2]) ((\Pi (a : A) (P[p^3] \$ (S \$ a))) \Rightarrow P[p^2] \$ (\sigma A S)))$$

is desugared to

$$\Pi \mathcal{U}_i (\Pi (q \Rightarrow \text{Sig}_i O[p^2]) ((\Pi q[p] (P[p^3] \$ (q[p] \$ q))) \Rightarrow P[p^2] \$ (\sigma q[p] q))).$$

Or, with numeric De Bruijn indices:

$$\Pi \mathcal{U}_i (\Pi (0 \Rightarrow \text{Sig}_i O[p^2]) ((\Pi 1 (P[p^3] \$ (1 \$ 0))) \Rightarrow P[p^2] \$ (\sigma 1 0)))$$

Either way, De Bruijn indices are just not readable. Fortunately, as we will see shortly, we can avoid De Bruijn indices in the crucial parts of the canonicity proof.

4.2.9 IR types. QUESTION: encode everything in IR with full function types and named binders, and give some examples of desugaring?? This works in the canonicity model.

5 TODO

- Definitions, notations, IR-IRR disambiguation in derivation section
- Rename wrap to intro in Agda. Rename DeriveIndexed F0 equivalence in Agda.
- Canonicity metatheory: Loic, Anton says it looks OK

References

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