

# Type-Theoretic Signatures for Inductive Types

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# Contents

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<b>1</b>	<b>Introduction</b>	<b>1</b>
1.1	Specification and Semantics for Inductive Types . . . . .	1
1.2	Overview of the Thesis and Contributions . . . . .	1
1.3	Notation and Conventions . . . . .	1
1.3.1	Metatheory . . . . .	1
1.3.2	Universes . . . . .	1
<b>2</b>	<b>Simple Inductive Signatures</b>	<b>2</b>
2.1	Theory of Signatures . . . . .	2
2.2	Semantics . . . . .	4
2.2.1	Algebras . . . . .	5
2.2.2	Morphisms . . . . .	6
2.2.3	Displayed Algebras . . . . .	8
2.2.4	Sections . . . . .	10
2.3	Term Algebras . . . . .	11
2.3.1	Weak Initiality . . . . .	12
2.3.2	Induction . . . . .	13
2.4	Discussion . . . . .	14
2.4.1	Comparison to F-algebras . . . . .	14
2.4.2	Generic Programming . . . . .	16
<b>3</b>	<b>Semantics in Two-Level Type Theory</b>	<b>21</b>
3.1	Categories with Families . . . . .	21
3.2	Presheaf Models of Type Theories . . . . .	22
3.3	Two-Level Type Theory . . . . .	22
3.3.1	Models . . . . .	22
3.3.2	Properties . . . . .	22

3.4	Simple Inductive Signatures . . . . .	22
3.4.1	Internal Semantics . . . . .	22
3.4.2	Strict and Weak Morphisms . . . . .	22
3.4.3	Internal Term Algebras . . . . .	22
<b>4</b>	<b>Finitary Quotient Inductive-Inductive Types</b>	<b>23</b>
4.1	Theory of Signatures . . . . .	23
4.1.1	Models . . . . .	23
4.1.2	Examples . . . . .	23
4.2	Semantics . . . . .	23
4.2.1	Finite Limit Cwfs . . . . .	23
4.2.2	Equivalence of Initiality and Induction . . . . .	23
4.2.3	Model of the Theory of Signatures . . . . .	23
4.3	Term Algebras . . . . .	23
4.3.1	Generic Term Algebras . . . . .	23
4.3.2	Induction for Term Algebras . . . . .	23
4.3.3	Church Encoding . . . . .	23
4.3.4	Awodey-Frey-Speight Encoding . . . . .	23
4.4	Left Adjoints of Signature Morphisms . . . . .	23
<b>5</b>	<b>Infinitary Quotient Inductive-Inductive Types</b>	<b>24</b>
5.1	Theory of Signatures . . . . .	24
5.2	Semantics . . . . .	24
5.3	Term Algebras . . . . .	24
<b>6</b>	<b>Levitation, Bootstrapping and Universe Levels</b>	<b>25</b>
6.1	Levitation for Closed QIITs . . . . .	25
6.2	Levitation for Infinitary QIITs . . . . .	25
<b>7</b>	<b>Higher Inductive-Inductive Types</b>	<b>26</b>
7.1	Theory of Signatures . . . . .	26
7.2	Semantics . . . . .	26
<b>8</b>	<b>Reductions</b>	<b>27</b>
8.1	Finitary Inductive Types . . . . .	27
8.2	Finitary Inductive-Inductive Types . . . . .	27
8.3	Closed Quotient Inductive-Inductive Types . . . . .	27

*CONTENTS*

iii

**9 Conclusion**

**28**



# CHAPTER 1

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## Introduction

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### 1.1 Specification and Semantics for Inductive Types

### 1.2 Overview of the Thesis and Contributions

### 1.3 Notation and Conventions

#### 1.3.1 Metatheory

#### 1.3.2 Universes

# CHAPTER 2

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## Simple Inductive Signatures

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In this chapter, we take a look at a very simple notion of inductive signature. The motivation for doing so is to present the basic ideas of this thesis in the easiest possible setting, with explicit definitions. The later chapters are greatly generalized and expanded compared to the current one, and are not feasible (and probably not that useful) to present in full formal detail. We also include a complete Agda formalization of the contents of this chapter, in less than 200 lines.

potentially in intro

The mantra throughout this dissertation is the following: inductive types are specified by typing contexts in certain *theories of signatures*. For each class of inductive types, there is a corresponding theory of signatures, which is viewed as a proper type theory and comes equipped with an algebraic model theory. *Semantics* of signatures is given by interpreting them in certain models of the theory of signatures. Semantics should at least provide a notion of induction principle for each signature; in this chapter we provide a bit more than that, and substantially more in Chapters 4 and 5.

### 2.1 Theory of Signatures

Generally, more expressive theories of signatures can describe a larger classes of inductive types. As we are aiming at minimalism right now, the current theory of signatures is as follows:

**Definition 1.** The *theory of signatures*, or ToS for short in the current chapter, is a simple type theory equipped with the following features:



- An empty base type  $\iota$ .
- A *first-order function type*  $\iota \rightarrow -$ ; this is a function whose domain is fixed to be  $\iota$ . Moreover, first-order functions only have neutral terms: there is application, but no  $\lambda$ -abstraction.

We can specify the full syntax using the following Agda-like inductive definitions.

$$\begin{array}{ll}
\text{Ty} & : \text{Set} \\
\iota & : \text{Ty} \\
\iota \rightarrow - & : \text{Ty} \rightarrow \text{Ty} \\
\\
\text{Var} & : \text{Con} \rightarrow \text{Ty} \rightarrow \text{Set} \\
\text{vz} & : \text{Var } (\Gamma \triangleright A) A \\
\text{vs} & : \text{Var } \Gamma A \rightarrow \text{Var } (\Gamma \triangleright B) A \\
\\
\text{Con} & : \text{Set} \\
\bullet & : \text{Con} \\
- \triangleright - & : \text{Con} \rightarrow \text{Ty} \rightarrow \text{Con} \\
\\
\text{Tm} & : \text{Con} \rightarrow \text{Ty} \rightarrow \text{Set} \\
\text{var} & : \text{Var } \Gamma A \rightarrow \text{Tm } \Gamma A \\
\text{app} & : \text{Tm } \Gamma (\iota \rightarrow A) \rightarrow \text{Tm } \Gamma \iota \rightarrow \text{Tm } \Gamma A
\end{array}$$

Here,  $\text{Con}$  contexts are lists of types, and  $\text{Var}$  specifies well-typed De Bruijn indices, where  $\text{vz}$  represents the zero index, and  $\text{vs}$  takes the successor of an index.

*Notation 1.* We use capital Greek letters starting from  $\Gamma$  to refer to contexts,  $A, B, C$  to refer to types, and  $t, u, v$  to refer to terms. In examples, we may use a nameful notation instead of De Bruijn indices. For example, we may write  $x : \text{Tm } (\bullet \triangleright (x : \iota) \triangleright (y : \iota)) \iota$  instead of  $\text{var } (\text{vs vz}) : \text{Tm } (\bullet \triangleright \iota \triangleright \iota) \iota$ . Additionally, we may write  $t u$  instead of  $\text{app } t u$  for  $t$  and  $u$  terms.

**Definition 2.** *Parallel substitutions* map variables to terms.

$$\begin{array}{l}
\text{Sub} : \text{Con} \rightarrow \text{Con} \rightarrow \text{Set} \\
\text{Sub } \Gamma \Delta \equiv \{A\} \rightarrow \text{Var } \Delta A \rightarrow \text{Tm } \Gamma A
\end{array}$$

We use  $\sigma$  and  $\delta$  to refer to substitutions. We also recursively define the action of substitution on terms:

$$\begin{array}{l}
-[-] : \text{Tm } \Delta A \rightarrow \text{Sub } \Gamma \Delta \rightarrow \text{Tm } \Gamma A \\
(\text{var } x) \ [-] \equiv \sigma x \\
(\text{app } t u) [-] \equiv \text{app } (t[-]) (u[-])
\end{array}$$

The identity substitution  $\text{id}$  is defined simply as  $\text{var}$ . It is easy to see that  $t[\text{id}] = t$  for all  $t$ . Substitution composition is as follows.

$$\begin{aligned} - \circ - &: \text{Sub } \Delta \Xi \rightarrow \text{Sub } \Gamma \Delta \rightarrow \text{Sub } \Gamma \Xi \\ (\sigma \circ \delta) x &\equiv (\sigma x)[\delta] \end{aligned}$$

**Example 1.** We may write signatures for natural numbers and binary trees respectively as follows.

$$\begin{aligned} \text{NatSig} &\equiv \bullet \triangleright (\text{zero} : \iota) \triangleright (\text{suc} : \iota \rightarrow \iota) \\ \text{TreeSig} &\equiv \bullet \triangleright (\text{leaf} : \iota) \triangleright (\text{node} : \iota \rightarrow \iota \rightarrow \iota) \end{aligned}$$

In short, the current ToS allows inductive types which are

- *Single-sorted*: this means that we have a single type constructor, corresponding to  $\iota$ .
- *Closed*: signatures cannot refer to any externally existing type. For example, we cannot write a signature for “lists of natural number” in a direct fashion, since there is no way to refer to the type of natural numbers.
- *Finitary*: inductive types corresponding to signatures are always finitely branching trees. Being closed implies being finitary, since an infinitely branching node would require some external type to index subtrees with. For example,  $\text{node} : (\mathbb{N} \rightarrow \iota) \rightarrow \iota$  would specify an infinite branching (if such type was allowed in ToS).

*Remark.* We omit  $\lambda$ -expressions from ToS for the sake of simplicity: this causes terms to be always in normal form (neutral, to be precise), and thus we can skip talking about conversion rules. Later, starting from Chapter 4 we include proper  $\beta\eta$ -rules in signature theories.

## 2.2 Semantics

For each signature, we need to know what it means for a type theory to support the corresponding inductive type. For this, we need at least a notion of *algebras*, which can be viewed as a bundle of all type and value constructors, and what it means for an algebra to support an *induction principle*. Additionally, we may

want to know what it means to support a *recursion principle*, which can be viewed as a non-dependent variant of induction. In the following, we define these notions by induction on ToS syntax.

*Remark.* We use the terms “algebra” and “model” synonymously throughout this thesis.

### 2.2.1 Algebras

First, we calculate types of algebras. This is simply a standard interpretation into the **Set** universe. We define the following operations by induction; the  $-^A$  name is overloaded for **Con**, **Ty** and **Tm**.

$$\begin{aligned} -^A &: \mathbf{Ty} \rightarrow \mathbf{Set} \rightarrow \mathbf{Set} \\ \iota^A & \quad X \equiv X \\ (\iota \rightarrow A)^A & X \equiv X \rightarrow A^A X \end{aligned}$$

$$\begin{aligned} -^A &: \mathbf{Con} \rightarrow \mathbf{Set} \rightarrow \mathbf{Set} \\ \Gamma^A X &\equiv \{A : \mathbf{Ty}\} \rightarrow \mathbf{Var} \Gamma A \rightarrow A^A X \end{aligned}$$

$$\begin{aligned} -^A &: \mathbf{Tm} \Gamma A \rightarrow \{X : \mathbf{Set}\} \rightarrow \Gamma^A X \rightarrow A^A X \\ (\mathbf{var} \ x)^A & \quad \gamma \equiv \gamma x \\ (\mathbf{app} \ t \ u)^A & \gamma \equiv t^A \gamma (u^A \gamma) \end{aligned}$$

$$\begin{aligned} -^A &: \mathbf{Sub} \Gamma \Delta \rightarrow \{X : \mathbf{Set}\} \rightarrow \Gamma^A X \rightarrow \Delta^A X \\ \sigma^A \gamma x &\equiv (\sigma x)^A \gamma \end{aligned}$$

Here, types and contexts depend on some  $X : \mathbf{Set}$ , which serves as the interpretation of  $\iota$ . We define  $\Gamma^A$  as a product: for each variable in the context, we get a semantic type. This trick, along with the definition of **Sub**, makes formalization a bit more compact. Terms and substitutions are interpreted as natural maps. Substitutions are interpreted by pointwise interpreting the contained terms.

*Notation 2.* We may write values of  $\Gamma^A$  using notation for  $\Sigma$ -types. For example, we may write  $(\mathbf{zero} : X) \times (\mathbf{suc} : X \rightarrow X)$  for the result of computing  $\mathbf{NatSig}^A X$ .

**Definition 3.** We define *algebras* as follows.

$$\begin{aligned} \text{Alg} &: \text{Con} \rightarrow \text{Set}_1 \\ \text{Alg } \Gamma &\equiv (X : \text{Set}) \times \Gamma^A X \end{aligned}$$

**Example 2.**  $\text{Alg NatSig}$  is computed to  $(X : \text{Set}) \times (\text{zero} : X) \times (\text{suc} : X \rightarrow X)$ .

## 2.2.2 Morphisms

Now, we compute notions of morphisms of algebras. In this case, morphisms are functions between underlying sets which preserve all specified structure. The interpretation for calculating morphisms is a *proof-relevant logical relation interpretation* [?] over the  $-^A$  interpretation. The key part is the interpretation of types:

$$\begin{aligned} -^M &: (A : \text{Ty})\{X_0 X_1 : \text{Set}\}(X^M : X_0 \rightarrow X_1) \rightarrow A^A X_0 \rightarrow A^A X_1 \rightarrow \text{Set} \\ \iota^M & \quad X^M \alpha_0 \alpha_1 \equiv X^M \alpha_0 = \alpha_1 \\ (\iota \rightarrow A)^M & X^M \alpha_0 \alpha_1 \equiv (x : X_0) \rightarrow A^M X^M (\alpha_0 x) (\alpha_1 (X^M x)) \end{aligned}$$

We again assume an interpretation for the base type  $\iota$ , as  $X_0$ ,  $X_1$  and  $X^M : X_0 \rightarrow X_1$ .  $X^M$  is function between underlying sets of algebras, and  $A^M$  computes what it means that  $X^M$  preserves an operation with type  $A$ . At the base type, preservation is simply equality. At the first-order function type, preservation is a quantified statement over  $X_0$ . We define morphisms for  $\text{Con}$  pointwise:

$$\begin{aligned} \text{Con}^M &: (\Gamma : \text{Con})\{X_0 X_1 : \text{Set}\} \rightarrow (X_0 \rightarrow X_1) \rightarrow \Gamma^A X_0 \rightarrow \Gamma^A X_1 \rightarrow \text{Set} \\ \Gamma^M X^M \gamma_0 \gamma_1 &\equiv \{A : \text{Ty}\}(x : \text{Var } \Gamma A) \rightarrow A^M X^M (\gamma_0 x) (\gamma_1 x) \end{aligned}$$

For terms and substitutions, we get preservation statements, which are sometimes called *fundamental lemmas* in discussions of logical relations [?].

$$\begin{aligned} -^M &: (t : \text{Tm } \Gamma A) \rightarrow \Gamma^M X^M \gamma_0 \gamma_1 \rightarrow A^M X^M (t^A \gamma_0) (t^A \gamma_1) \\ (\text{var } x)^M & \quad \gamma^M \equiv \gamma^M x \\ (\text{app } t u)^M & \gamma^M \equiv t^M \gamma^M (u^A \gamma_0) \\ -^M &: (\sigma : \text{Sub } \Gamma \Delta) \rightarrow \Gamma^M X^M \gamma_0 \gamma_1 \rightarrow \Delta^M X^M (\sigma^A \gamma_0) (\sigma^A \gamma_1) \\ \sigma^M \gamma^M x &= (\sigma x)^M \gamma^M \end{aligned}$$

The definition of  $(\mathbf{app} \, t \, u)^M$  is well-typed by the induction hypothesis  $u^M \gamma^M : X^M (u^A \gamma_0) = u^A \gamma_1$ .

**Definition 4.** We again pack up  $\Gamma^M$  with the interpretation of  $\iota$ , to get notions of *algebra morphisms*:

$$\begin{aligned} \mathbf{Mor} &: \{\Gamma : \mathbf{Con}\} \rightarrow \mathbf{Alg} \, \Gamma \rightarrow \mathbf{Alg} \, \Gamma \rightarrow \mathbf{Set} \\ \mathbf{Mor} \, \{\Gamma\} (X_0, \gamma_0) (X_1, \gamma_1) &\equiv (X^M : X_0 \rightarrow X_1) \times \Gamma^M X^M \gamma_0 \gamma_1 \end{aligned}$$

**Example 3.** We have the following computation:

$$\begin{aligned} \mathbf{Mor} \, \{\mathbf{NatSig}\} (X_0, \mathit{zero}_0, \mathit{suc}_0) (X_0, \mathit{zero}_1, \mathit{suc}_1) &\equiv \\ (X^M : X_0 \rightarrow X_1) & \\ \times (X^M \mathit{zero}_0 = \mathit{zero}_1) & \\ \times ((x : X_0) \rightarrow X^M (\mathit{suc}_0 x) = \mathit{suc}_1 (X^M x)) & \end{aligned}$$

**Definition 5.** We state *initiality* as a predicate on algebras:

$$\begin{aligned} \mathbf{Initial} &: \{\Gamma : \mathbf{Con}\} \rightarrow \mathbf{Alg} \, \Gamma \rightarrow \mathbf{Set} \\ \mathbf{Initial} \, \{\Gamma\} \gamma &\equiv (\gamma' : \mathbf{Alg} \, \Gamma) \rightarrow \mathbf{isContr} (\mathbf{Mor} \, \Gamma \gamma \gamma') \end{aligned}$$

Here  $\mathbf{isContr}$  refers to unique existence [?]. If we drop  $\mathbf{isContr}$  from the definition, we get the notion of weak initiality, which corresponds to the recursion principle for  $\Gamma$ . Although we call this predicate **Initial**, in this chapter we do not yet show that algebras form a category. We provide the extended semantics in Chapter 4. The computed algebras and morphism there remain the same as in the current chapter.

**Morphisms vs. logical relations.** The  $-^M$  interpretation can be viewed as a special case of logical relations over the  $-^A$  model: every morphism is a *functional* logical relation, where the chosen relation between the underlying sets happens to be a function [?]. Consider now a more general relational interpretation for types:

$$\begin{aligned} -^R &: (A : \mathbf{Ty}) \{X_0 X_1 : \mathbf{Set}\} (X^R : X_0 \rightarrow X_1 \rightarrow \mathbf{Set}) \rightarrow A^A X_0 \rightarrow A^A X_1 \rightarrow \mathbf{Set} \\ \iota^R & \quad X^R \alpha_0 \alpha_1 \equiv X^R \alpha_0 \alpha_1 \\ (\iota \rightarrow A)^R X^R \alpha_0 \alpha_1 &\equiv (x_0 : X_0)(x_1 : X_1) \rightarrow X^R x_0 x_1 \rightarrow A^R X^R (\alpha_0 x_0) (\alpha_1 x_1) \end{aligned}$$

Here, functions are related if they map related inputs to related outputs. If we know that  $X^M \alpha_0 \alpha_1 \equiv (f \alpha_0 = \alpha_1)$  for some  $f$  function, we get

$$(x_0 : X_0)(x_1 : X_1) \rightarrow f x_0 = x_1 \rightarrow A^R X^R (\alpha_0 x_0) (\alpha_1 x_1)$$

Now, we can simply substitute along the input equality proof in the above type, to get the previous definition for  $(\iota \rightarrow A)^M$ :

$$(x_0 : X_0) \rightarrow A^R X^R (\alpha_0 x_0) (\alpha_1 (f x_0))$$

This substitution along the equation is called “singleton contraction” in the jargon of homotopy type theory [?]. The ability to perform contraction here is at the heart of the *strict positivity restriction* for inductive signatures. Strict positivity in our setting corresponds to only having first-order function types in signatures. If we allowed function domains to be arbitrary types, in the definition of  $(A \rightarrow B)^M$  we would only have a black-box  $A^M X^M : A^A X_0 \rightarrow A^A X_1 \rightarrow \mathbf{Set}$  relation, which is not known to be given as an equality.

In Chapter 4 we expand on this. As a preliminary summary: although higher-order functions have relational interpretation, such relations do not generally compose. What we eventually aim to have is a *category* of algebras and algebra morphisms, where morphisms do compose. We need a *directed* model of the theory of signatures, where every signature becomes a category of algebras. The way to achieve this, is to prohibit higher-order functions, thereby avoiding the polarity issues that prevent a directed interpretation for general function types.

### 2.2.3 Displayed Algebras

At this point we do not yet have specification for induction principles. We use the term *displayed algebra* to refer to “dependent” algebras, where every displayed algebra component lies over corresponding components in the base algebra. For the purpose of specifying induction, displayed algebras can be viewed as bundles of induction motives and methods.

Displayed algebras over some  $\gamma : \mathbf{Alg} \Gamma$  are equivalent to slices over  $\gamma$  in the category of  $\Gamma$ -algebras; we show this in Chapter 4. A slice  $f : \mathbf{Sub} \Gamma \gamma' \gamma$  maps elements of  $\gamma$ ’s underlying set to elements in the base algebra. Why do we need displayed algebras, then? The main reason is that if we are to eventually implement inductive types in a dependently typed language, we need to compute induction principles exactly, not merely up to isomorphisms.

For more illustration of using some displayed algebras in a type-theoretic setting, see [AL19]. We adapt the term “displayed algebra” from *ibid.* as a generalization of displayed categories (and functors, natural transformations) to other algebraic structures.

The displayed algebra interpretation is a *logical predicate* interpretation, defined as follows.

$$\begin{aligned} -^D : (A : \mathbf{Ty})\{X\} &\rightarrow (X \rightarrow \mathbf{Set}) \rightarrow A^A X \rightarrow \mathbf{Set} \\ \iota^D \quad X^D \alpha &\equiv X^D \alpha \\ (\iota \rightarrow A)^D X^D \alpha &\equiv (x : X)(x^D : X^D x) \rightarrow A^D X^D (\alpha x) \end{aligned}$$

$$\begin{aligned} -^D : (\Gamma : \mathbf{Con})\{X\} &\rightarrow (X \rightarrow \mathbf{Set}) \rightarrow \Gamma^A X \rightarrow \mathbf{Set} \\ \Gamma^D X^D \gamma &\equiv \{A : \mathbf{Ty}\}(x : \mathbf{Var} \Gamma A) \rightarrow A^D X^D (\gamma x) \end{aligned}$$

$$\begin{aligned} -^D : (t : \mathbf{Tm} \Gamma A) &\rightarrow \Gamma^D X^D \gamma \rightarrow A^D X^D (t^A \gamma) \\ (\mathbf{var} x)^D \gamma^D &\equiv \gamma^D x \\ (\mathbf{app} t u)^D \gamma^D &\equiv t^D \gamma^D (u^A \gamma) (u^D \gamma^D) \end{aligned}$$

$$\begin{aligned} -^D : (\sigma : \mathbf{Sub} \Gamma \Delta) &\rightarrow \Gamma^D X^D \gamma \rightarrow \Delta^D X^D (\sigma^A \gamma) \\ \sigma^D \gamma^D x &\equiv (\sigma x)^D \gamma^D \end{aligned}$$

Analogously to before, everything depends on a predicate interpretation  $X^D : X \rightarrow \mathbf{Set}$  for  $\iota$ . For types, a predicate holds for a function if the function preserves predicates. The interpretation of terms is again a fundamental lemma, and we again have pointwise definitions for contexts and substitutions.

**Definition 6** (Displayed algebras).

$$\begin{aligned} \mathbf{DispAlg} : \{\Gamma : \mathbf{Con}\} &\rightarrow \mathbf{Alg} \Gamma \rightarrow \mathbf{Set}_1 \\ \mathbf{DispAlg} \{\Gamma\} (X, \gamma) &\equiv (X^D : X \rightarrow \mathbf{Set}) \times \Gamma^D X^D \gamma \end{aligned}$$

**Example 4.** We have the following computation.

$$\begin{aligned} \mathbf{DispAlg} \{\mathbf{NatSig}\} (X, \mathit{zero}, \mathit{suc}) &\equiv \\ & (X^D : X \rightarrow \mathbf{Set}) \\ & \times (\mathit{zero}^D : X^D \mathit{zero}) \\ & \times (\mathit{suc}^D : (n : X) \rightarrow X^D n \rightarrow X^D (\mathit{suc} n)) \end{aligned}$$

### 2.2.4 Sections

Sections of displayed algebras are “dependent” analogues of algebra morphisms, where the codomain is displayed over the domain.

$$\begin{aligned} -^S &: (A : \mathbf{Ty})\{X \ X^D\}(X^S : (x : X) \rightarrow X^D) \rightarrow (\alpha : A^A X) \rightarrow A^D X^D \alpha \rightarrow \mathbf{Set} \\ \iota^S & \quad X^S \alpha \ \alpha^D \equiv X^S \alpha = \alpha^D \\ (\iota \rightarrow A)^S & X^S \alpha \ \alpha^D \equiv (x : X) \rightarrow A^S X^S (\alpha x) (\alpha^D (X^S x)) \end{aligned}$$

$$\begin{aligned} \mathbf{Con}^S &: (\Gamma : \mathbf{Con})\{X \ X^D\}(X^S : (x : X) \rightarrow X^D) \rightarrow (\gamma : \Gamma^A X) \rightarrow \Gamma^D X^D \gamma \rightarrow \mathbf{Set} \\ \Gamma^S X^S \gamma_0 \gamma_1 &\equiv \{A : \mathbf{Ty}\}(x : \mathbf{Var} \ \Gamma \ A) \rightarrow A^S X^S (\gamma_0 x) (\gamma_1 x) \end{aligned}$$

$$\begin{aligned} -^S &: (t : \mathbf{Tm} \ \Gamma \ A) \rightarrow \Gamma^S X^S \gamma \gamma^D \rightarrow A^S X^S (t^A \gamma) (t^D \gamma^D) \\ (\mathbf{var} \ x)^S & \quad \gamma^S \equiv \gamma^S x \\ (\mathbf{app} \ t \ u)^S & \gamma^S \equiv t^S \gamma^S (u^A \gamma) \end{aligned}$$

$$\begin{aligned} -^S &: (\sigma : \mathbf{Sub} \ \Gamma \ \Delta) \rightarrow \Gamma^S X^S \gamma \gamma^D \rightarrow \Delta^S X^S (\sigma^A \gamma) (\sigma^A \gamma^D) \\ \sigma^S \gamma^S x &= (\sigma x)^S \gamma^S \end{aligned}$$

**Definition 7** (Displayed algebra sections (“sections” in short)).

$$\begin{aligned} \mathbf{Section} &: \{\Gamma : \mathbf{Con}\} \rightarrow (\gamma : \mathbf{Alg} \ \Gamma) \rightarrow \mathbf{DispAlg} \ \gamma \rightarrow \mathbf{Set} \\ \mathbf{Section} \ (X, \gamma) \ (X^D \ \gamma^D) &\equiv (X^S : (x : X) \rightarrow X^D x) \times \Gamma^S X^S \gamma \gamma^D \end{aligned}$$

**Example 5.** We have the following computation.

$$\begin{aligned} \mathbf{Section} \ \{\mathbf{NatSig}\} \ (X, \mathit{zero}, \mathit{suc}) \ (X^D, \mathit{zero}^D, \mathit{suc}^D) &\equiv \\ & (X^S : (x : X) \rightarrow X^D x) \\ & \times (\mathit{zero}^S : X^S \mathit{zero} = \mathit{zero}^D) \\ & \times (\mathit{suc}^S : (n : X) \rightarrow X^S (\mathit{suc} \ n) = \mathit{suc}^D n (X^S n)) \end{aligned}$$

**Definition 8** (Induction). We define a predicate which holds if an algebra supports induction.

$$\begin{aligned} \mathbf{Inductive} &: \{\Gamma : \mathbf{Con}\} \rightarrow \mathbf{Alg} \ \Gamma \rightarrow \mathbf{Set}_1 \\ \mathbf{Inductive} \ \{\Gamma\} \ \gamma &\equiv (\gamma^D : \mathbf{DispAlg} \ \gamma) \rightarrow \mathbf{Section} \ \gamma \ \gamma^D \end{aligned}$$



We can observe that  $\text{Inductive } \{\text{NatSig}\} (X, \text{zero}, \text{suc})$  computes exactly to the usual induction principle for natural numbers. The input  $\text{DispAlg}$  is a bundle of the induction motive and the methods, and the output  $\text{Section}$  contains the  $X^S$  eliminator function together with its  $\beta$  computation rules.

## 2.3 Term Algebras

In this section we show that if a type theory supports the inductive types comprising the theory of signatures, it also supports every inductive type which is described by the signatures.

Note that we specified  $\text{Tm}$  and  $\text{Sub}$ , but did not need either of them when specifying signatures, or when computing induction principles. That signatures do not depend on terms, is a property specific to simple signatures; this will not be the case in Chapter 4 when we move to more general signatures. However, terms and substitutions are already useful here in the construction of term algebras.

The idea is that terms in contexts comprise initial algebras. For example,  $\text{Tm NatSig } \iota$  is the set of natural numbers (up to isomorphism). Informally, this is because the only way to construct terms is by applying the  $\text{suc}$  variable (given by  $\text{var vz}$ ) finitely many times to the  $\text{zero}$  variable (given by  $\text{var (vs vz)}$ ).

**Definition 9** (Term algebras). Fix an  $\Omega : \text{Con}$ . We abbreviate  $\text{Tm } \Omega \iota$  as  $\text{T}$ ; this will serve as the carrier set of the term algebra. We additionally define the following.

$$\begin{aligned} -^T &: (A : \text{Ty}) \rightarrow \text{Tm } \Omega A \rightarrow A^A \text{T} \\ \iota^T & \quad t \equiv t \\ (\iota \rightarrow A)^T & t \equiv \lambda u. A^T (\text{app } t u) \end{aligned}$$

$$\begin{aligned} -^T &: (\Gamma : \text{Con}) \rightarrow \text{Sub } \Omega \Gamma \rightarrow \Gamma^A \Gamma \text{T} \\ \Gamma^T \nu x &\equiv A^T (\nu x) \end{aligned}$$

$$\begin{aligned} -^T &: (t : \text{Tm } \Gamma A)(\nu : \text{Sub } \Omega \Gamma) \rightarrow A^T (t[\nu]) = t^A (\Gamma^T \nu) \\ (\text{var } x)^T & \quad \nu \text{ holds by refl} \\ (\text{app } t u)^T & \nu \text{ holds by } t^T \nu \text{ and } u^T \nu \end{aligned}$$

$$\begin{aligned}
& -^T : (\sigma : \mathbf{Sub} \Gamma \Delta)(\nu : \mathbf{Sub} \Omega \Gamma)\{A\}(x : \mathbf{Var} \Delta A) \\
& \quad \rightarrow \Delta^T (\sigma \circ \nu) x = \sigma^A (\Gamma^T \nu) x \\
& \sigma^T \nu x \equiv (\sigma x)^T \nu
\end{aligned}$$

Now we can define the term algebra for  $\Omega$  itself:

$$\begin{aligned}
& \mathbf{TmAlg}_\Omega : \mathbf{Alg} \Omega \\
& \mathbf{TmAlg}_\Omega \equiv \Omega^T \Omega \mathbf{id}
\end{aligned}$$

In the interpretation for contexts, it is important that  $\Omega$  is fixed, and we do induction on all  $\Gamma$  contexts such that there is a  $\mathbf{Sub} \Omega \Gamma$ . It would not work to try to compute term algebras by direct induction on contexts, because we need to refer to the same  $\mathbf{T}$  set in the interpretation of every type in a signature.

The interpretation of types embeds terms as  $A$ -algebras. At the base type  $\iota$ , this embedding is simply the identity function, since  $\iota^A \mathbf{T} \equiv \mathbf{T} \equiv \mathbf{Tm} \Omega \iota$ . At function types we recursively proceed under a semantic  $\lambda$ . The interpretation of substitutions is analogous.

The interpretations of terms and substitutions are coherence properties, which relate the term algebra construction to term evaluation in the  $-^A$  model. For terms, if we pick  $\nu \equiv \mathbf{id}$ , we get  $A^T t = t^A \mathbf{TmAlg}_\Omega$ . The left side embeds  $t$  in the term model via  $-^T$ , while the right hand side evaluates  $t$  in the term model.

A way to view the term algebra construction, is that we are working in a *slice model* over the fixed  $\Omega$ , and every  $\nu : \mathbf{Sub} \Omega \Gamma$  can be viewed as an internal  $\Gamma$ -algebra in this model. The term algebra construction demonstrates that every such internal algebra yields an external element of  $\Gamma^A$ . We will see in Section 4.3 that we can construct term algebras from *any* model of a ToS, not just the ToS syntax; but while term algebras constructed from ToS syntax are themselves initial algebras, in other cases they may not be initial.

### 2.3.1 Weak Initiality

We show that  $\mathbf{TmAlg}_\Omega$  supports a recursion principle, i.e. it is weakly initial.

**Definition 10** (Recursor construction). We assume  $(X, \omega) : \mathbf{Alg} \Omega$ ; recall that  $X : \mathbf{Set}$  and  $\omega : \Omega^A X$ . We define  $\mathbf{R} : \mathbf{T} \rightarrow X$  as  $\mathbf{R} t \equiv t^A \omega$ . We additionally

define the following.

$$\begin{aligned}
& -^R : (A : \mathbf{Ty})(t : \mathbf{Tm} \, \Omega \, A) \rightarrow A^M \mathbf{R} (A^T t) (t^A \omega) \\
& \iota^R \quad t \equiv (\mathbf{refl} : t^A \omega = t^A \omega) \\
& (\iota \rightarrow A)^R t \equiv \lambda u. A^R (\mathbf{app} \, t \, u) \\
\\
& -^R : (\Gamma : \mathbf{Con})(\nu : \mathbf{Sub} \, \Omega \, \Gamma) \rightarrow \Gamma^M \mathbf{R} (\Gamma^T \nu) (\nu^A \omega) \\
& \Gamma^R \nu x \equiv A^R (\nu x)
\end{aligned}$$

We define the recursor for  $\Omega$  as

$$\begin{aligned}
& \mathbf{Rec}_\Omega : (alg : \mathbf{Alg} \, \Omega) \rightarrow \mathbf{Mor} \, \mathbf{TmAlg}_\Omega \, alg \\
& \mathbf{Rec}_\Omega (X, \omega) \equiv (\mathbf{R}, \Omega^R \Omega \mathbf{id})
\end{aligned}$$

In short, the way we get recursion is by evaluating terms in arbitrary  $(X, \omega)$  algebras using  $-^A$ . The  $-^R$  operation for types and contexts confirms that  $\mathbf{R}$  preserves structure appropriately, so that  $\mathbf{R}$  indeed yields algebra morphisms.

We skip interpreting terms and substitutions by  $-^R$ . It is necessary to do so with more general signatures, but not in the current chapter.

### 2.3.2 Induction

We take the idea of the previous section a bit further. We have seen that recursion for term algebras is given by evaluation in the “standard” model  $-^A$ . Now, we show that induction for term algebras corresponds to evaluation in the logical predicate model  $-^D$ .

**Definition 11** (Eliminator construction). We assume  $(X^D, \omega^D) : \mathbf{DispAlg} \, \mathbf{TmAlg}_\Omega$ . Recall that  $X^D : \mathbf{T} \rightarrow \mathbf{Set}$  and  $\omega^D : \Omega^D X^D (\Omega^T \Omega \mathbf{id})$ . Like before, we first interpret the underlying set:

$$\begin{aligned}
& \mathbf{E} : (t : \mathbf{T}) \rightarrow X^D t \\
& \mathbf{E} t \equiv t^D \omega^D
\end{aligned}$$

However, this definition is not immediately well-typed, since  $t^D \omega^D$  has type  $X^D (t^A (\Omega^T \Omega \mathbf{id}))$ , so we have to show that  $t^A (\Omega^T \Omega \mathbf{id}) = t$ . This equation says that nothing happens if we evaluate a term with type  $\iota$  in the term model. We

get it from the  $-^T$  interpretation of terms:  $t^T \text{id} : t[\text{id}] = t^A (\Omega^T \Omega \text{id})$ , and we also know that  $t[\text{id}] = t$ . We interpret types and contexts as well:

$$\begin{aligned} -^E : (A : \mathbf{Ty})(t : \mathbf{Tm} \Omega A) &\rightarrow A^S \mathbf{E} (t^A (\Omega^T \Omega \text{id})) (t^D \omega^D) \\ \iota^E \quad t : (t^A (\Omega^T \Omega \text{id}))^D \omega^D &= t^D \omega^D \\ (\iota \rightarrow A)^E t &\equiv \lambda u. A^E (\text{app } t u) \end{aligned}$$

$$\begin{aligned} -^E : \mathbf{Con} : (\Gamma : \mathbf{Con})(\nu : \mathbf{Sub} \Omega \Gamma) &\rightarrow \Gamma^S \mathbf{E} (\nu^A (\Omega^T \Omega \text{id})) (\nu^D \omega^D) \\ \Gamma^E \nu x &\equiv A^E (\nu x) \end{aligned}$$

In  $\iota^E$  we use the same equation as in the definition of  $\mathbf{E}$ . In  $(\iota \rightarrow A)^E$  the definition is well-typed because of the same equation, but instantiated for the abstracted  $u$  term this time. All of this amounts to some additional path induction and transport fiddling in the (intensional) Agda formalization. We get induction for  $\Omega$  as below.

$$\begin{aligned} \text{Ind}_\Omega : (alg : \mathbf{DispAlg} \mathbf{TmAlg}_\Omega) &\rightarrow \mathbf{Section} \mathbf{TmAlg}_\Omega \text{ alg} \\ \text{Ind}_\Omega (X^D, \omega^D) &\equiv (E, \Omega^E \Omega \text{id}) \end{aligned}$$

## 2.4 Discussion

### 2.4.1 Comparison to F-algebras

A well-known alternative way for treating inductive types in a generic way is to use certain cocontinuous endofunctors as a more semantic notion of signatures.

For example, single-sorted finitary inductive types can be presented as endofunctors which preserve colimits of some ordinal-indexed chains. For instance, if we have an  $\omega$ -cocontinuous  $F : \mathbb{C} \rightarrow \mathbb{C}$ , then algebras are given as  $(X : |\mathbb{C}|) \times (\mathbb{C}(F X, X))$ , and morphisms as the obvious structure-preserving functions, and Adámek's theorem [?] establishes the existence of initial algebras.

An advantage of this approach is that we can describe different classes of signatures by choosing different  $\mathbb{C}$  categories:

- If  $\mathbb{C}$  is **Set**, we get finitary inductive types.
- If  $\mathbb{C}$  is **Set** <sup>$I$</sup>  for some set  $I$ , we get indexed inductive types.

- If  $\mathbb{C}$  is  $\mathbf{Set}/I$ , we get inductive-recursive types.

Another advantage of  $F$ -algebras is that signatures are a fairly semantic notion: they make sense even if we have no syntactic presentation at hand. That said, often we do need syntactic signatures, for use in proof assistants, or just to have a convenient notation for a class of cocontinuous functors.

An elegant way of carving out a large class of such functors is to consider polynomials as signatures. For example, when working in  $\mathbf{Set}$ , a signature is an element of  $(S : \mathbf{Set}) \times (P : S \rightarrow \mathbf{Set})$ , and  $(S, P)$  is interpreted as a functor as  $X \mapsto (s : S) \times (P s \rightarrow X)$ . The initial algebra is the W-type specified by  $S$  shapes and  $P$  positions. This yields infinitary inductive types as well.

However, it is not known how to get *inductive-inductive* signatures by picking the right  $\mathbb{C}$  category and a functor. In an inductive-inductive signature, there may be multiple sorts, which can be indexed over previously declared sorts. For example, in the signature for categories we have  $\mathbf{Obj} : \mathbf{Set}$  and  $\mathbf{Mor} : \mathbf{Obj} \rightarrow \mathbf{Obj} \rightarrow \mathbf{Set}$ , indexed twice over  $\mathbf{Obj}$ . Some extensions are required to the idea of  $F$ -algebras:

- For inductive-inductive definitions with two sorts, Forsberg gives a specification with two functors, and a considerably more complex notion of algebras, involving dialgebras [?].
- For an arbitrary number of sorts, Altenkirch et al. [?] use a “list” of functors, specified mutually with categories of algebras: each functor has as domain the semantic category of all previous sorts.

The functors-as-signatures approach gets significantly less convenient as we consider more general specifications. The approach of this thesis is to skip the middle ground between syntactic signatures and semantic categories of algebras: we treat syntactic signatures as a key component, and give direct semantic interpretation for them. Although we lose the semantic nature of  $F$ -algebras, our approach scales extremely well, all the way up to infinitary quotient-inductive-inductive types in Chapter 5, and to some extent to higher inductive-inductive types as well in Chapter 7.

If we look back at  $-^A : \mathbf{Con} \rightarrow \mathbf{Set} \rightarrow \mathbf{Set}$ , we may note that  $\Gamma^A$  yields a functor, in fact the same functor (up to isomorphism) that we would get from an  $F$ -algebra presentation. However, this is a coincidence in the single-sorted

case. With the  $F$ -algebra presentation, we can view  $(X : |\mathbb{C}|) \times (\mathbb{C}(F X, X))$  as specifying the category of algebras as the total category of a displayed category (by viewing the  $\Sigma$ -type here as taking total categories; a  $\Sigma$  in **Cat**). In our approach, we aim to get the displayed categories directly, without talking about functors.

## 2.4.2 Generic Programming

Let's consider now our signatures and term algebras in the context of generic programming. This is largely future work, and we don't elaborate it much. But we can draw some preliminary conclusions and make some comparisons.

If a language can formalize inductive signatures and their semantics, that can be viewed as an implementation of generic programming over the described types. Compared to a purely mathematical motivation for this formalization, the requirements for practical generic programming are a bit more stringent.

- *Encoding overhead*: there should be an acceptable overhead in program size and performance when using a generic representations. Size blowup can be an issue when writing proofs as well, when types and expressions become too large to mentally parse.
- *Strictness properties*: generic representations should compute as much as possible, ideally in exactly the same way as their non-generic counterparts.

**Fixpoints of functors.** There is a sizable literature of using fixpoints of functors in generic programming, mainly in Haskell [?] and Agda [?]. We give a minimal example below for an Agda-like implementation.

We have an inductive syntax for some strictly positive functors, covering essentially the same signatures as **Con**.

```

Sig    : Set
Id     : Sig
KT     : Sig
-⊗-    : Sig → Sig → Sig
-⊕-    : Sig → Sig → Sig

```

`Id` codes the identity functor, and `KT` codes the functor which is constantly  $\top$ .  $-\otimes-$  and  $-\oplus-$  are pointwise products and coproducts respectively. So we have the evident interpretation functions:

$$\begin{aligned} \llbracket - \rrbracket &: \text{Sig} \rightarrow \text{Set} \rightarrow \text{Set} \\ \text{map} &: (F : \text{Sig}) \rightarrow (X_0 \rightarrow X_1) \rightarrow \llbracket F \rrbracket X_0 \rightarrow \llbracket F \rrbracket X_1 \end{aligned}$$

In Haskell and Agda, the easiest way to get initial algebras is to directly define the inductive fixpoint for each assumed  $F : \text{Sig}$ :

$$\begin{aligned} \text{Fix}_F &: \text{Set} \\ \text{con}_F &: \llbracket F \rrbracket \text{Fix}_F \rightarrow \text{Fix}_F \end{aligned}$$

In Haskell, this definition is valid for arbitrary *semantic*  $F$  functor, because there is no termination checking, and thus no positivity checking. In Agda, the above definition is valid because the positivity checker looks inside the definition of  $\llbracket - \rrbracket$  and lets it through. Next we establish weak initiality, by defining the recursor:

$$\begin{aligned} \text{rec} &: (\llbracket F \rrbracket X \rightarrow X) \rightarrow \text{Fix}_F \rightarrow X \\ \text{rec } f (\text{con } x) &\equiv f (\text{map } (\text{rec } f) x) \end{aligned}$$

This is again fine in Haskell, but it unfortunately does not pass Agda's termination checker. There are several possible solutions, assuming that we stick to functors as signatures:

1. Using *sized types*[?]. This is used in [?]. The drawback is dependence on an extra language feature which is only supported in Agda, out of the major dependently typed languages.
2. Turning termination checking off.
3. Not using the direct inductive definition for fixpoints, and thereby not being exposed to the whims of syntactical strict positivity checking in Agda. Instead, defining initial algebras as sequential colimits, using Adámek's theorem. This approach was taken by Ahrens, Matthes and Mörtberg in [?]. However, the encoding overhead of this approach is excessive, and it is practically unusable for generic programming. Another drawback is that defining colimits require quotient types, which is often not available natively in systems.

**W-types.** Given a polynomial  $(S, P) : (S : \mathbf{Set}) \times (S \rightarrow \mathbf{Set})$ , the corresponding W-type is inductively specified as below:

$$\begin{aligned} \mathbf{W}_{S,P} &: \mathbf{Set} \\ \mathbf{sup} &: (s : S) \rightarrow (P\ s \rightarrow \mathbf{W}_{S,P}) \rightarrow \mathbf{W}_{S,P} \end{aligned}$$

If we assume  $\top$ ,  $\perp$ , **Bool**,  $\Pi$ ,  $\Sigma$ , W-types, universes and an intensional identity type, a large class of inductive types can be derived, including all infinitary and finitary indexed inductive families; this was shown by Hugunin [?]. The encoding also yields definitional  $\beta$ -rules for recursion and elimination. However, there is also significant encoding overhead here.

- First, there is a translation from more convenient signatures to  $(S, P)$  polynomials.
- Then, we take the  $\mathbf{W}_{S,P}$  type, but we need to additionally restrict it to the *canonical* elements by a predicate, as in  $(x : \mathbf{W}_{S,P}) \times \mathbf{canonical}\ x$ . This is required because the only way to represent inductive branching is by functions, but functions sometimes contain too many elements up to definitional equality. For example,  $\perp \rightarrow A$  has infinitely many definitionally distinct inhabitants.

There is also a performance overhead imposed by the mandatory higher-order constructors. W-types are a great way to have a small basis in a formal setting, both in intensional and extensional type theories, but they are a bit too heavy for practical purposes.

**Term algebras.** The term algebras described in this chapter compare quite favorably. As we have seen, induction for term algebras can be defined in a small amount of easy code, without using sized types or quotients. It remains to be checked that term algebras are also practically usable.

For practical usefulness, it makes sense to make a slight modification of terms. We switch to a *spine neutral* definition. We mutually inductively define **Spine** and



Tm:

$$\begin{aligned}
\text{Spine} &: (\Gamma : \text{Con}) \rightarrow \text{Ty} \rightarrow \text{Ty} \rightarrow \text{Set} \\
\epsilon &: \{A\} \rightarrow \text{Spine } \Gamma \ A \ A \\
-, - &: \{B \ C\} \rightarrow \text{Tm } \Gamma \ \iota \rightarrow \text{Spine } \Gamma \ B \ C \rightarrow \text{Spine } \Gamma \ (\iota \rightarrow B) \ C \\
\text{Tm} &: \text{Con} \rightarrow \text{Ty} \rightarrow \text{Set} \\
-\$- &: \{A \ B\} \rightarrow \text{Var } \Gamma \ A \rightarrow \text{Spine } \Gamma \ A \ B \rightarrow \text{Tm } \Gamma \ B
\end{aligned}$$

With this representation, a term is always a variable applied to a list of arguments. This can be useful, because the pattern matching implementation of the metalanguage “knows” about which constructors are possible, when matching on values of  $\text{Tm } \Gamma \ A$ . Using this, we give here an ad-hoc definition of natural numbers in pseudo-Agda.

$$\begin{aligned}
\text{Nat} &: \text{Set} & \text{zero} &\equiv \text{vz } \$ \ \epsilon \\
\text{Nat} &\equiv \text{Tm } (\bullet \triangleright \iota \rightarrow \iota \triangleright \iota) \ \iota & \text{suc } n &\equiv \text{vs vz } \$ \ (n, \epsilon)
\end{aligned}$$

$$\begin{aligned}
\text{NatElim} &: (P : \text{Nat} \rightarrow \text{Set}) \rightarrow P \ \text{zero} \rightarrow ((n : \text{Nat}) \rightarrow P \ n \rightarrow P \ (\text{suc } n)) \\
&\rightarrow (n : \text{Nat}) \rightarrow P \ n \\
\text{NatElim } P \ \text{pz } \text{ps } (\text{vz } \$ \ \epsilon) &\equiv \text{pz} \\
\text{NatElim } P \ \text{pz } \text{ps } (\text{vs vz } \$ \ (n, \epsilon)) &\equiv \text{ps } n \ (\text{NatElim } P \ \text{pz } \text{ps } n)
\end{aligned}$$

The actual Agda definition can be found in the supplementary formalization, and it is pretty much the same as above. We recover the exact same behavior with respect to pattern matching as with native inductive definitions.

formalize Rec and Ind with spines in Agda

$\text{Rec}_\Omega$  and  $\text{Ind}_\Omega$  can be adapted to spine neutral terms with minor adjustments. But what about the  $\beta$ -rules which they produce as part of their output, are they definitional (i.e. proven by `refl`)? Informally, it is easy to see that any concrete definition of an eliminator like **NatElim** enjoys definitional  $\beta$ . In this chapter we do not have a nice way of reasoning about definitional equalities. In the next chapter we develop such reasoning and show that an  $\text{Ind}_\Omega$  which is defined internally to an intensional theory (as in this chapter) only has propositional  $\beta$ -rules, but if it is defined in a metaprogramming layer, it has definitional  $\beta$ , even if we don’t use spine neutral terms.

The term algebra presentation can be easily extended to indexed families. In that case, signatures and terms are still definable with basic inductive families, without requiring quotients or complicated encodings; see Kaposi and von Raumer [?].

The closest existing work is *sum-of-products* generics by De Vries and Löh [?]. There, signatures for functors are in a normal form: we cannot freely take products and coproducts, instead a signature looks very much like a **Con** in this chapter (except in an indexed form). The authors observe that several generic programming patterns are easier to express with normalized signatures. However, they still use explicit fixpoints as the way to get initial algebras.

Hence, it remains future work to see how term algebras might be used in more practically-oriented generic programming.

# CHAPTER 3

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## Semantics in Two-Level Type Theory

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Introduction: generalizing semantics, distinguishing strict and non-strict equations. Summary

- Formal syntax for TT as cwfs, type formers, universes
- Presheaf models for TT
- 2LTT

### 3.1 Categories with Families

Describe and motivate cwfs for formal syntax. De bruijn indices, examples of representing stuff. Examples for type formers and universes. Copy from previous papers.

## 3.2 Presheaf Models of Type Theories

## 3.3 Two-Level Type Theory

### 3.3.1 Models

### 3.3.2 Properties

## 3.4 Simple Inductive Signatures

### 3.4.1 Internal Semantics

### 3.4.2 Strict and Weak Morphisms

### 3.4.3 Internal Term Algebras

- AMDS
- finite product semantics, computed examples
- Inner term algebras.
- Weak initiality
- Dependent elimination

## CHAPTER 4

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### Finitary Quotient Inductive-Inductive Types

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#### 4.1 Theory of Signatures

##### 4.1.1 Models

##### 4.1.2 Examples

#### 4.2 Semantics

##### 4.2.1 Finite Limit Cwfs

##### 4.2.2 Equivalence of Initiality and Induction

##### 4.2.3 Model of the Theory of Signatures

#### 4.3 Term Algebras

##### 4.3.1 Generic Term Algebras

##### 4.3.2 Induction for Term Algebras

##### 4.3.3 Church Encoding

##### 4.3.4 Awodey-Frey-Speight Encoding

#### 4.4 Left Adjoints of Signature Morphisms

## CHAPTER 5

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### Infinitary Quotient Inductive-Inductive Types

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#### 5.1 Theory of Signatures

#### 5.2 Semantics

#### 5.3 Term Algebras

## CHAPTER 6

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### Levitation, Bootstrapping and Universe Levels

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#### 6.1 Levitation for Closed QIITs

#### 6.2 Levitation for Infinitary QIITs

## CHAPTER 7

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### Higher Inductive-Inductive Types

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#### 7.1 Theory of Signatures

#### 7.2 Semantics



## CHAPTER 8

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### Reductions

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#### 8.1 Finitary Inductive Types

#### 8.2 Finitary Inductive-Inductive Types

#### 8.3 Closed Quotient Inductive-Inductive Types

## CHAPTER 9

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### Conclusion

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