

# **Lawvere-Tierney Sheafification in Homotopy Type Theory**

By

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Major Subject: Computer Science

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## Abstract

The main goal of this thesis is to define an extension of Gödel not-not translation to all truncated types, in the setting of homotopy type theory. This goal will be achieved using the Lawvere-Tierney sheaves theory, by extending and formalizing the Lawvere-Tierney sheafification functor.

The definition of this functor needs concepts that were not defined in homotopy type theory, such as colimits over graphs and truncated modalities.

Almost all results presented in this thesis are formalized with the proof assistant Coq.

Write a better abstract



# Acknowledgments

Write the acknowledgments

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# 1 Introduction

In anticipation of the coming of  
our overlords computers, we redo  
math as computers understand it.

---

Andrej Bauer

Homotopy type theory is a very new branch of mathematics and computer science, exhibiting a strong, but surprising link between the theory of  $\omega$ -categories and type theory. This topic hence live at the borderline between pure mathematics and computer science. One of the goals of researches on this topic is to use homotopy type theory as a new foundation for mathematics, replacing for example Zermelo-Fr enkel set theory. Its strong links with type theory would allow mathematicians to formalize their work with a proof assistant such as Coq [The12], Agda[Nor07] or Lean [Mou+15]. Indeed, errors in mathematical research papers seem to be inevitable [Voe14], and a computer-checked proof might be more trustable than a human-checked proof. The most famous examples of computer-checked results are the *Four Colour Theorem* (to color a map such that any adjacent countries does not have the same color, four colors are sufficient) by Gonthier and Werner [Gon08] in Coq, the *Feit-Thomson Theorem* (every finite group of odd order is solvable) by Gonthier and al. [Gon+13] in Coq, the original proof of Jordan curve theorem (any continuous simple closed curve divides the plane into an “interior” bounded region and an “exterior” unbounded region) by Hales [Hal07] in Mizar, or the *Kepler conjecture* (the most compact ways to arrange spheres are the cubic and hexagonal close packing) by Hales and al. [Hal+15] in Isabelle and HOL Light.

One advantage of type theory over set theory is the computation property of type theory: any term is identified with its normal form. Thus, a proof assistant allows its user to simplify automatically all expressions, while a proof on paper requires all computation to be done “by hand”. Set theory does not share this computation property, and is thus not convenient to use as a formal basis for a proof assistant. However, this computation property prevents us to use classical facts, such as excluded middle ; in the general case, it is not provable that a proposition is either true or false.

The main ingredient in homotopy type theory, linking mathematics and computer science, is the Curry-Howard isomorphism: one can speak equivalently about proofs or about programs, they describe the same objects *via* a

correspondance. For example, in type theory, the sequence of symbols  $A \rightarrow B$  can be seen as the type of programs taking an argument of type  $A$  and producing an output of type  $B$  as well as the types of proofs that  $A$  implies  $B$ . Something implied by this correspondance is that there might exist different proofs of “ $A$  implies  $B$ ”, since there are probably several ways to construct an output of type  $B$  from an input of type  $A$ . This property is called *proof-relevance*, while ZFC is considered as *proof-irrelevant*: if a lemma has been proved, the way it was proved can be forgotten, as it does not matter at all.

Other than the lack of classical facts, one issue with type theory is the notion of equality. Two possibilities arise:

- an intentional, or definitional, equality ; two objects are equal if they are defined in the same way, *i.e.* if one can be exchanged with the other without changing the meaning. For example, the natural number 1 and the successor of the natural number 0 are intentionally equal. In type theory, we add some rules to this equality such as  $\beta ((\lambda x, f x)y = f y)$  and  $\eta$ .
- an extensional, or propositional, equality ; two objects are considered equal if they behave in the same way. For example, given two abstract natural numbers  $a$  and  $b$ ,  $a + b$  and  $b + a$  are extensionally, but not intentionally equal, *i.e.* we need a proof of this.

In set theory, we usually use an extensional equality, asserting that two sets are equal if they have the same elements. In type theory, the intentional equality is a meta-theoretic notion ; only the type-checker (like Coq) can access it. It cannot be expressed in the theory itself, as it is known that extensional type theory is not decidable [Hof95] (given a term  $p$  and a type  $P$ , it might be undecidable to check if  $p$  is indeed a proof of  $P$ ). The propositional equality is an internal concept defined as an inductive type

$$\text{Id}(A : \text{Type})(a : A) : A \rightarrow \text{Type}$$

generated by only one constructor

$$\text{idpath} : \text{Id}_A(a, a),$$

and the type  $\text{Id}(A, a, b)$  will be denoted  $a =_A b$  or  $a = b$ . This identity type is actually not satisfactory. The idea of Martin-Löf was to mimic mathematical equality, where identity types fail. Indeed, one issue with this equality is that types  $a = b$  can be inhabited in several ways – at least, it is not provable that for all  $p, q : a = b$ ,  $p = q$  ; this property, called uniqueness of identity proofs (UIP) has been proven in [HS96] independent of intentional type theory. Another issue is that this equality is defined above all types, and does not behave well with some type constructors ; for example, functional extensionality, asserting that two functions are equal as soon as they are pointwise equal, cannot be derived.

Nevertheless, we should not throw away identity types. Around 2006, Vladimir Voevodsky, and Steve Awodey and Michael Warren [AW09] gave independently a new interpretation of identity types: types are now seen as topological spaces, inhabitants of types as points, and  $\text{Id}(A, a, b)$  can be read as

In the space  $A$ , there is an homotopy (or a continuous path) between points  $a$  and  $b$ .

Under this interpretation, it seems normal not to satisfy UIP: there can be several (*i.e.* non-homotopic) paths between two points (think of a doughnut). The second issue was solved around 2009, when Vladimir Voevodsky stated the *univalence axiom*: two types are equal exactly when they are isomorphic. It surprisingly implies compatibility of identity paths with some type constructors: it implies functional extensionality, and it seems to imply that identity types of streams coincide with bisimulation [Lic14].

Funext: insert ref here

The original project of Voevodsky [Voe10] was to give a tool so that mathematicians can check their proofs with the help of computers. Homotopy type theory seems to be a good setting for this, but it lacks the *law of excluded middle*, one of the mathematician's favourite thing:

Any proposition is either true or false.

The main goal of this thesis is to add this principle to homotopy type theory, without losing all desired properties (decidability, canonicity, constructivity).

Finish him!

**Aims of the thesis** The main goal of this thesis is to give a definition of a Lawvere-Tierney sheafification functor in the setting of homotopy type theory. In order to do this, we need in a first time to develop a theory of colimits in homotopy type theory, leading to thoughts on the definition of equivalence relation in type theory. Then, as our definition of sheafification is done inductively on the truncation levels, we need to define a truncated version of the just defined theory of colimits, as well as a truncated version of left-exact modalities. All these developments have been computer-checked by the proof assistant Coq ; most of them are available on my Github account <https://github.com/KevinQuirin>.

Our deep study of modalities also lead us to define the translation of type theories associated to a (left-exact) modality, and write a Coq plugin to handle automatically that translation.

Check plugin

**Plan of the thesis** Let us describe the contents of this thesis. Chapter 2 recall the basic definitions in homotopy type theory. It is mainly based on [HoTT]<sup>1</sup>,

<sup>1</sup>Note that, to ease the reading, some references are shortcutted by their usual names: [HoTT] is the Homotopy Type Theory book, [HoTT/Coq] is the Coq/HoTT library, [HTT] is Lurie's monograph Higher topos theory, *etc.*

and serves more as a way for us to introduce notations to be consistent in the whole thesis. If the reader is not supposed to know anything about homotopy type theory before reading this thesis, this short introduction might be not enough to understand this setting, and he's strongly encouraged to take a look at [HoTT] before.

Chapter 3 introduces in its first part the theory of modalities as explained in [HoTT]. Then, we describe what we will call a *truncated modality*, which is a restricted version of modalities. Finally, we exhibit the translation of type theories induced by a left-exact modality.

In chapter 4, we describe a basic theory of colimits over graphs, and discuss an extension defining colimits over “graph with compositions”. This chapter, in a large part, has been formalized by Simon Boulrier in a library available at <https://github.com/SimonBoulrier/hott-colimits>. At the end of this chapter, we share our thoughts about groupoid objects, or equivalence relations in homotopy type theory. This section can easily be skipped by the reader, as it does not contain anything useful for the rest of the thesis.

The central (and last) chapter of this thesis is chapter 5. It describes our construction of the Lawvere-Tierney sheafification functor, which is a way to extend the not-not Gödel translation, valid only on h-propositions, to all truncated types. This result is the main contribution of the thesis. This chapter uses almost all the theory defined in previous chapters, and thus can hardly be read on its own. This section has been (almost) fully formalized, in a library available at <https://github.com/KevinQuirin/sheafification>.

# 2 Homotopy type theory

Mathematics is the art of giving  
the same name to different  
objects.

---

Henri Poincaré

This chapter is an overview of the setting we will use in the rest of the thesis, homotopy type theory. The first part describes the formal system *dependent type theory*, which is a formal basis for homotopy type theory. This description is not intended to form a complete introduction to type theory accessible by anyone, but rather to clarify the formal system we use. A neophyte willing to read this thesis should read first a complete introduction to type theory, [Hof97] for an extensive one, but [HoTT] might be more accessible, and sufficient for the thesis. As we will see, we can view homotopy type theory as in

$$\text{HoTT} = \text{MLTT} + \text{UA} + \text{HIT}.$$

UA stands for *univalence axiom*, and is introduced in the second part of this chapter. HIT is the usual abbreviation for *higher inductive types*, which is a way, extensively discussed in [HoTT], to build new type, by giving constructors for the type as well as for its identity types. General principles will not be discussed here ; we rather present usual examples of HIT in section 2.3.

Finally, the last section of this chapter presents our point of view on identity paths, leading to the terminology *homotopy* type theory. This section also introduces the notion of *truncation level*, which plays a central role in the thesis.

## 2.1 Dependent type theory

In Zermelo-Frankel set theory, the most basic assertion is

$$x \in E$$

where  $x$  and  $E$  are sets. In dependent type theory, a similar judgement can be

$$a : A,$$

to be read as “ $a$  is of type  $A$ ”. The main difference with membership relation is that an element  $a$  has one and only one type, while we can say  $x \in E$  and  $x \in F$  for the same element  $x$  in set theory (it is the definition of  $x \in E \cap F$ ).

Dependent (or Martin-Löf, due to its inventor [Mar98]) type theory is based on the Curry-Howard correspondance [How80], or “propositions as types” principle. Indeed, we do not need to make a difference between types and propositions. Hence  $a : A$  will be read “ $a$  is of type  $A$ ” when  $A$  is seen as a type, and “ $a$  is a proof of  $A$ ” when  $A$  is seen as a proposition. In the rest of this section 2.1, we present the different types used to build dependent type theory. It is not intended to be complete ; for example we sometimes only give the non-dependent elimination rules to ease the reading. The reader can refer to [NPS01] or [HoTT] for a more detailed introduction.

### 2.1.1 Universes

In dependent type theory, types are also terms of a universe  $\text{Type}$ . Of course, we want the universe  $\text{Type}$  to be itself a type, and the Russel’s paradox<sup>1</sup> is close here. We solve the problem by using a cumulative hierarchy of universes

$$\text{Type}^0 : \text{Type}^1 : \text{Type}^2 : \dots$$

where every universe  $\text{Type}^i$  is of type  $\text{Type}^{i+1}$ . Cumulativity means that if  $A : \text{Type}^k$  and  $k < m$ , then  $A : \text{Type}^m$ . The handling of universes level can be done automatically<sup>2</sup> by proof assistants such as Coq, and we will thus use only a “type of type”  $\text{Type}$ , to be understood in a polymorphic way.

### 2.1.2 Empty and Unit types

The first two types we will see are the Empty type (denoted  $\mathbf{0}$ ) and the Unit type (denoted  $\mathbf{1}$ ). These are respectively the types with zero and one elements (named  $\star$ ). Those two types are dual to each other:

- having a term of type  $\mathbf{0}$  in the context allows to prove anything, while having a term of type  $\mathbf{1}$  in the context is useless
- dually, giving a term of type  $\mathbf{1}$  is trivial, while giving a term of type  $\mathbf{0}$  is impossible (if the theory is consistent).

Here are the (non-trivial) introduction and elimination rules for these types:

$$\frac{\Gamma \vdash x : \mathbf{0} \quad X : \text{Type}}{\Gamma \vdash X} \mathbf{0}\text{-ELIM} \qquad \frac{}{\Gamma \vdash \star : \mathbf{1}} \mathbf{1}\text{-INTRO}$$

Under the propositions-as-types principle,  $\mathbf{0}$  is the type always false, and  $\mathbf{1}$  the type always true. With a categorical point of view,  $\mathbf{0}$  is an initial object and  $\mathbf{1}$  is a terminal object.

<sup>1</sup>In type theory, the argument is harder to prove, and is called Girard’s paradox.

<sup>2</sup>We will see in chapters 3 and 5 that we sometimes need to “help” Coq

### 2.1.3 Coproduct

The coproduct of  $A$  and  $B$ , noted  $A + B$ , is seen as the disjoint sum of  $A$  and  $B$ . It is described by the inductive type generated by

$$\left| \begin{array}{ll} \text{inl} & : A \rightarrow A + B \\ \text{inr} & : B \rightarrow A + B \end{array} \right.$$

The introduction and elimination rules of coproduct are:

$$\begin{array}{c} \frac{\Gamma \vdash a : A}{\Gamma \vdash \text{inl } a : A + B} \text{+INTRO}_L \quad \frac{\Gamma \vdash b : B}{\Gamma \vdash \text{inr } b : A + B} \text{+INTRO}_R \\[10pt] \frac{\Gamma \vdash p : A + B \quad \Gamma, x : A \vdash c_A : C \quad \Gamma, x : B \vdash c_B : C}{\Gamma \vdash \text{sum\_rect}(p, c_A, c_B) : C} \text{+ELIM} \end{array}$$

Under the propositions-as-types principle,  $A + B$  is seen as the disjunction of  $A$  and  $B$ .

### 2.1.4 Dependent product

One of the things both mathematicians and computer scientists love to do is to define functions. If  $A$  and  $B$  are types, one can consider the type of functions from  $A$  to  $B$ , taking an inhabitant of type  $A$  (called the source type) and giving an inhabitant of type  $B$  (the target type). What is new in dependent type theory is that the target type is allowed to depend on the argument of the function.

**EXAMPLE** – For example, one can consider a function taking a natural number  $n$  and giving a natural number greater than  $n$ . The target source depends indeed of  $n$ .

The type of dependent functions with source type  $A$  and target type  $Bx$  is called “dependent product over  $B$ ” (or “pi-type over  $B$ ”), and will be denoted  $\prod_{x:A} Bx$  or  $(x : A) \rightarrow (Bx)$ . When  $B$  does not depend on  $A$ , we just say “arrow type” and note it  $A \rightarrow B$ .

The introduction and elimination rules of dependent products are:

$$\frac{\Gamma, x : A \vdash b : B}{\Gamma \vdash \lambda (x : A), b : \prod_{x:A} B} \prod\text{-INTRO} \quad \frac{\Gamma \vdash f : \prod_{x:A} B \quad \Gamma \vdash a : A}{\Gamma \vdash f(a) : B[a/x]} \prod\text{-ELIM}$$

Under the propositions-as-types, type of non-dependent functions  $A \rightarrow B$  is seen as implication  $A \Rightarrow B$ , and type of dependent functions  $\prod_{x:A} Bx$  is seen as universally quantified formulas  $\forall x, Bx$ .

### 2.1.5 Dependent sum

If  $A$  and  $B$  are two types, we would like to define the type of pairs  $(a, b)$ , where  $a : A$  and  $b : B$ . The resulting type is called the product of  $A$  and  $B$ , noted  $A \times B$ .

As for functions, dependent type theory allows the second type to depend on the first type. Thus, the type of pairs where the first element  $x$  is in type  $A$

and the second element  $y$  is in type  $Bx$  is called “dependent sum over  $B$ ” (or sigma-type over  $B$ ), noted  $\sum_{a:A} Ba$ .

The introduction and elimination rules are:

$$\frac{\Gamma, x : A \vdash B : \text{Type} \quad \Gamma \vdash x : A \quad \Gamma \vdash b : B[a/x]}{\Gamma \vdash (a, b) : \sum_{x:A} B} \Sigma\text{-INTRO}$$

$$\frac{\Gamma \vdash p : \sum_{x:A} B}{\Gamma \vdash \pi_1 p : A} \Sigma\text{-INTRO}_1 \quad \frac{\Gamma \vdash p : \sum_{x:A} B}{\Gamma \vdash \pi_2 p : B[\pi_1 p / x]} \Sigma\text{-INTRO}_2$$

The projections  $\pi_1$  and  $\pi_2$  will sometimes be noted, when applied to a term  $u$ ,  $u_1$  and  $u_2$ .

NOTE

We note that the terminology might be confusing: the dependent generalization of products are dependent sums, while dependent products are generalization of functions.

Under the propositions-as-types principle,  $A \times B$  is seen as the conjunction  $A \wedge B$ , and  $\sum_{x:A} Ba$  is seen as the existentially quantified formula  $\exists x Bx$ .

If  $A$  and  $B$  are types,  $f : A \rightarrow B$  and  $b : B$ , the particular dependent sum  $\sum_{a:A} fa = b$  is called the fiber of  $f$  over  $b$ , noted  $\text{fib}_f(b)$ . It describes the inverse image of  $b$  by  $f$ .

### 2.1.6 Inductive types

Dependent type theory actually allows us to define any inductive type. An inductive type is a type defined only by its introduction rules, in a free way. Its elimination rules are automatically determined. We have already seen examples of inductive types: Empty, Unit, Coproduct.

The most basic example of inductive types might be the type  $\mathbb{N}$  of naturals. Its introduction rules are

$$\frac{}{0 : \mathbb{N}} \mathbb{N}\text{-INTRO}_0 \quad \frac{\Gamma \vdash n : \mathbb{N}}{\Gamma \vdash S n : \mathbb{N}} \mathbb{N}\text{-INTRO}_S$$

We also say that its *constructors* are  $0 : \mathbb{N}$  and  $S : \mathbb{N} \rightarrow \mathbb{N}$ :  $\mathbb{N}$  is thus the free monoid generated by 0 and  $S$ . The elimination rule for  $\mathbb{N}$  is the famous induction principle

$$\frac{\Gamma, x : \mathbb{N} \vdash P : \text{Type} \quad \Gamma \vdash c_0 : C[0/x] \quad \Gamma, n : \mathbb{N} \quad \Gamma, n : \mathbb{N}, y : C \vdash c_S : C[S n / x]}{\Gamma \vdash \text{nat\_ind}(C, c_0, c_S(n, y), n) : C[n/x]} \mathbb{N}\text{-ELIM}$$

This elimination rule allows us to define basic operators on natural numbers: addition, multiplication, order, *etc.*

For a reader interested by the theory of general inductive types, we refer him to [AGS12].



### 2.1.7 Paths type

One of the most powerful tool in dependent type theory might be the identity types. They allow us to talk about propositional equality between inhabitants of a type. The identity type over  $A$  will be noted  $a =_A b$  or  $a = b$  if  $A$  can be inferred from context. What is great about identity type over  $A$  is that its definition does not depend on the type  $A$ . If  $a, b : A$ ,  $a =_A b$  is defined as the inductive type whose only constructor is

$$\text{idpath} : \prod_{a:A} a =_A a$$

( $\text{idpath}_x$  will sometimes be just noted  $1_x$ , or even  $1$ ).

$$\frac{\Gamma \vdash a : A}{\Gamma \vdash \text{idpath}_a : a =_A a} =\text{-INTRO}$$

$$\frac{\Gamma \vdash a, b : A \quad \Gamma, x : A, y : A, p : x =_A y \vdash P : \text{Type} \quad \Gamma \vdash q : a =_A b \quad \Gamma, z : A \vdash w : P[z, z, 1/x, y, p]}{\Gamma \vdash \text{path\_ind}_P^q(w) : P[a, b, q/x, y, p]} =\text{-ELIM}$$

The elimination principle should be looked closer. Lets simplify to understand how it works: suppose that the type family  $P$  depends only on two objects  $x, y : A$ . Then if  $C$  is reflexive, *i.e.* if  $C(x, x)$  is always inhabited, then whenever  $x = y$ ,  $C(x, y)$  is inhabited too.

Path-induction, also known as “J principle”, allow us to state the following:

**Lemma 2.1 : [HoTT, Lemma 2.3.1]**

Let  $A : \text{Type}$  and  $P : A \rightarrow \text{Type}$  a type family over  $A$ . Then if  $p : x =_A y$ , there is a function  $\text{transport}_P^p : P x \rightarrow P y$ .

*Proof.* Let’s do this proof to use path-induction for the first time. Let  $Q$  be the type family indexed by  $x, y : A$

$$Q(x, y) := P x \rightarrow P y.$$

Then by path-induction, it suffices to define  $Q(x, x)$ . The latter is clearly inhabited by  $\text{idmap}_{P x}$ .  $\square$

Path-induction might be the most powerful tool we can use. For example, most of the lemmas we will see in section 2.4 can be proved using path-induction.

### 2.1.8 Summary

We can summarize the situation in the following array:

Name	Notation	Proposition-as-types
Empty	$\mathbf{0}$	$\perp$
Unit	$\mathbf{1}$	$\top$
Coproduct, sum	$A + B$	$A \vee B$
Function	$A \times B$	$A \Rightarrow B$
Dependent function, pi-type	$\prod_{x:A} Bx$	$\forall x, Bx$
Product	$A \times B$	$A \wedge B$
Dependent sum, sigma-type	$\sum_{x:A} Bx$	$\exists x, Bx$

## 2.2 Identity types and Univalence axiom

Identity types are very useful to assert propositional equalities between object. Note that it does not characterize *judgemental* equality, which we consider here as belonging to the meta-theory (some theories, as Voevodsky’s Homotopy Type System [HTS], implemented in proof assistant Andromeda [m31]). One can prove that identity types give each type a structure of a  $\omega$ -groupoid, *i.e.* the structure of a  $\omega$ -category where all arrows are invertible. For example, identity types over a type  $A$  satisfies:

- Reflexivity: for all  $x : A$ ,

$$1_x : x = x$$

- Transitivity: for all  $x, y, z : A$ ,  $p : x = y$  and  $q : y = z$ ,

$$p \cdot q : x = z$$

- Symmetry: for all  $x, y : A$  and  $p : x = y$ ,  $p^{-1} : y = x$

- Reflexivity and symmetry behave well together: for all  $x, y : A$  and  $p : x = y$ ,

$$p \cdot p^{-1} = 1_x \text{ and } p^{-1} \cdot p = 1_y$$

Note that these paths are respectively in types  $x = x$  and  $y = y$ .

- Reflexivity and associativity behave well together: for all  $x, y : A$  and  $p : x = y$ ,

$$p \cdot 1 = p \text{ and } 1 \cdot p = p$$

- Associativity: for all  $w, x, y, z : A$  and  $p : w = x, q : x = y, r : y = z$ ,

$$p \cdot (q \cdot r) = (p \cdot q) \cdot r$$

- MacLane pentagon: for all  $v, w, x, y, z : A, p : v = w, q : w = x, r : x = y$  and  $s : y = z$ , the following diagram involving associativities commutes

$$\begin{array}{ccc}
 & p \cdot (q \cdot (r \cdot s)) & \\
 \swarrow & & \searrow \\
 (p \cdot q) \cdot (r \cdot s) & & p \cdot ((q \cdot r) \cdot s) \\
 \searrow & & \swarrow \\
 ((p \cdot q) \cdot r) \cdot s & \longrightarrow & (p \cdot (q \cdot r)) \cdot s
 \end{array}$$

- The coherences goes on and on.

A thing one can notice here is that we work in a proof-relevant setting. The types  $x = y$  are just types, and thus can be inhabited by different objects. It might sound unfamiliar for mathematicians, but we will give in section 2.4 an interpretation of identity types justifying proof-relevance.

Identity types also have a good behavior with respect to function. Let  $A, B : \text{Type}$  and  $f : A \rightarrow B$ ; then

- For all  $x, y : A$ , there is a map  $\text{ap}_f : x = y \rightarrow f(x) = f(y)$
- It is coherent with inverse:  $\text{ap}_f p^{-1} = (\text{ap}_f p)^{-1}$
- It actually is coherent with the whole  $\omega$ -groupoid structure. We refer to [HoTT] for more detailed results.

The fact that the definition of identity types does not depend on the type might seem strange, but it actually allows to catch the equality one would want ; for example, we can characterize the equalities between dependent pairs:

**Lemma 2.2 : Paths in dependent sums**

Let  $A : \text{Type}$  and  $B : A \rightarrow \text{Type}$ . Then, for any  $u, v : \sum_{x:A} Bx$ , we have a term

$$\text{path}_\Sigma : \sum_{p:u_1=A} \text{transport}_p^B u_2 = v_2 \rightarrow u = v.$$

This characterization goes even further, as we can prove that  $\text{path}_\Sigma$  is an equivalence. Equivalences are very important objects in homotopy type theory, and are defined as

**Definition 2.3 : Equivalence**

Let  $A, B : \text{Type}$  and  $f : A \rightarrow B$ . We say that  $f$  is an equivalence, noted  $\text{IsEquiv}(f)$ , if there are:

- a map  $g : B \rightarrow A$ , called the inverse of  $f$
- a term  $\text{retr}_f : \prod_{x:A} g(f(x)) = x$ , called the retraction of the equivalence
- a term  $\text{sect}_f : \prod_{x:A} f(g(x)) = x$ , called the section of the equivalence
- a term  $\text{adj}_f : \prod_{x:A} \text{ap}_f \text{retr}_f x = \text{sect}_f(f x)$ , called the adjunction of the equivalence

We say that  $A$  and  $B$  are equivalent, noted  $A \simeq B$ , if there is a function  $f : A \rightarrow B$  which is an equivalence.

Hence,  $\text{path}_\Sigma$  allows us to prove equalities in a dependent sum  $\sum_{x:A} Bx$ , but its inverse allows us to prove, from an equality in the dependent sum, equalities in  $A$  and in  $Bx$ .

Unfortunately, identity types does not allow to characterize equalities for all types. One example is paths in dependent products. In usual mathematics, one would like pointwise equality to be a sufficient (actually, a necessary and sufficient) property to state equality between function. In type theory, that would be phrased

$$\prod_{x:A} f x = g x \rightarrow f = g. \quad (2.1)$$

But one can prove (see [Str93] for a semantical proof) that this property, called *functional extensionality* cannot be proved from rules of dependent type theory. All we can say is that the backward function of 2.1 can be defined, called *happly*:

$$\text{happly} : f = g \rightarrow \prod_{x:A} f x = g x.$$

Functional extensionality will thus be stated as the axiom:

**Axiom 2.4 : Functional extensionality**

For any  $A : \text{Type}$  and  $B : A \rightarrow \text{Type}$ , the arrow *happly* is an equivalence.

In a way, that could solve our problem. But dependent products are not the only types for which we cannot characterize identity types; the same problem arises with identity types of the universe. An answer was proposed first by Martin Hofmann and Thomas Streicher in 1996 in [HS96], and later (around 2005) by Vladimir Voevodsky: the univalence axiom. As for functional extensionality, it asserts that a certain arrow is an equivalence.

**Axiom 2.5 : Univalence axiom**

For any types  $A, B : \text{Type}$ , the function

$$\text{idtoequiv} : A = B \rightarrow A \simeq B$$

is an equivalence.

What is great about univalence axiom is that it seems to imply all other characterizations of identity types. For example:

**Lemma 2.6 : [BL11][Lic]**

Univalence axiom implies functional extensionality.

Another example the reader can think of is the type of streams (and more generally coinductive) extensionality: we want two streams (infinite list) to be equal when they are pointwise equal. It seems that univalence axiom implies it [Lic].

The main issue with univalence is that it clearly obliges us to work in a proof-relevant setting ; indeed, there are for examples two distinct proofs of  $1 + 1 = 1 + 1$ : the identity, and the function swapping left and right.

## 2.3 Higher Inductives Types

As seen in section 2.1.6, one can define a type by giving only its constructors ; but we also saw in section 2.2 that our setting is proof-relevant. It means that a type is characterized not only by its objects, but also by its identity types between these objects, and identity types of these identity types, *etc.* Hence, we would like to be able, like for inductive types, to define a type by giving constructors for the objects, and constructors for the identity types, *etc.* Then, the constructed type is the type freely generated by the constructors, and whose identity types are freely generated by the constructors, *etc.* Unlike inductive types, it is not known if elimination rules of higher inductive type can easily (and automatically) be inferred from the constructors. At the moment, we prefer to express them explicitly. As a general theory of higher inductive types would be very hard, we will only give some fundamental examples.

### 2.3.1 The circle

The most basic example of higher inductive type is the circle  $S^1$ . The circle consists of just a point, with a non-trivial path above this point. It is defined as the higher inductive type generated by

$$\begin{array}{lcl} \text{base} & : & S^1 \\ \text{loop} & : & \text{base} = \text{base} \end{array}$$

It can be pictured as



As said, we give the elimination principle of the circle. We start by the non-dependent eliminator.

**Lemma 2.7 : Non-dependent elimination of  $S^1$**

Let  $P$  be a type. If  $b : P$  and  $p : b = b$ , then there is a map

$$S^1_{\text{rec}} : S^1 \rightarrow P$$

such that  $S^1_{\text{rec}}(\text{base}) \equiv b$  (judgementally) and  $\text{ap}_{S^1_{\text{rec}}}(\text{loop}) = p$  (propositionally).

It says that if in  $P$  you can find a “copy” of  $S^1$ , then there is a “good” function  $S^1 \rightarrow P$ . The dependent eliminator is a bit more complicated, but still understandable.

**Lemma 2.8 : Dependent elimination of  $S^1$**

Let  $P : S^1 \rightarrow \text{Type}$  be a type family over  $S^1$ . If  $b : P(\text{base})$  and  $p : \text{transport}_p^{\text{loop}}(b) = b$ , then there is a term

$$S^1_{\text{ind}} : \prod_{x:S^1} P x$$

such that  $S^1_{\text{ind}}(\text{base}) \equiv b$  and  $\text{ap}_{S^1_{\text{ind}}}(\text{loop}) = p$ .

The most famous result about the circle is the computation of its homotopy group  $\pi_1(S^1)$ .

**Proposition 2.9 : Fundamental group of  $S^1$  [LS13]**

There is an equivalence

$$(\text{base} = \text{base}) \simeq \mathbb{Z}$$

where  $\mathbb{Z} \stackrel{\text{def}}{=} \mathbb{N} + \mathbb{N} + 1$ .

### 2.3.2 Coequalizers

Another example of higher inductive type is the computation of coequalizers. In category theory, a coequalizer of two objects  $a$  and  $b$  with arrow  $f, g \in \text{Hom}(a, b)$  is a  $c \in \text{Obj}$  together with an arrow  $q \in \text{Hom}(b, c)$  such that

$a \begin{smallmatrix} \xrightarrow{f} \\ \xrightarrow{g} \end{smallmatrix} b \xrightarrow{q} c$  commutes, and which is universal with respect to this property, in the sense that for any other object  $c' \in \text{Obj}$  with  $q' \in \text{Hom}(b, c')$ , there is an unique arrow  $d : \text{Hom}(c, c')$ . It might be seen as the diagram

$$\begin{array}{ccccc} a & \begin{smallmatrix} \xrightarrow{f} \\ \xrightarrow{g} \end{smallmatrix} & b & \xrightarrow{q} & c \\ & & & \searrow & \vdots \\ & & & q' & c' \end{array}$$

In homotopy type theory, the coequalizer of two functions  $f, g : A \rightarrow B$  is defined as the higher inductive type  $\text{Coeq}^{f,g}$  generated by

$$\left| \begin{array}{l} q : B \rightarrow \text{Coeq}^{f,g} \\ \alpha : \prod_{x:A} q \circ f(x) = q \circ g(x) \end{array} \right.$$

Its elimination principles are:

**Lemma 2.10 : Elimination of coequalizer**

Let  $A, B, f, g$  be as above.

- Let  $P : \text{Type}$ . If there are terms  $q' : B \rightarrow P$  and  $\alpha' : \prod_{x:A} q' \circ f(x) = q' \circ g(x)$ , then there is a map

$$\text{Coeq}_{\text{rec}}^{f,g} : \text{Coeq}^{f,g} \rightarrow P$$

such that for all  $b : B$ ,  $\text{Coeq}_{\text{rec}}^{f,g}(qb) \equiv q'b$  and  $\text{ap}_{\text{Coeq}_{\text{rec}}^{f,g}}(\alpha b) = \alpha' b$ .

- Let  $P : \text{Coeq}^{f,g} \rightarrow \text{Type}$ . If there are terms  $q' : \prod_{b:B} P(qb)$  and  $\alpha' : \prod_{b:B} \text{transport}_P^{\alpha b}(q' \circ f(b)) = q' \circ g(b)$ , then there is a dependent map

$$\text{Coeq}_{\text{ind}}^{f,g} : \prod_{x:\text{Coeq}^{f,g}} P x$$

such that for all  $b : B$ ,  $\text{Coeq}_{\text{ind}}^{f,g}(qb) \equiv q'b$  and  $\text{ap}_{\text{Coeq}_{\text{ind}}^{f,g}}(\alpha b) = \alpha' b$ .

It satisfies the desired universal property in the following sense:

- If  $Q$  is a type and  $\varphi : \text{Coeq}^{f,g} \rightarrow Q$ , then one can define a map  $\psi : B \rightarrow Q$  such that for all  $b : B$ ,  $q \circ f(b) = q \circ g(b)$ .
- One can prove that the map  $\phi \mapsto \psi$  is an equivalence: from any other type such that the diagram commutes, there is an unique arrow  $\text{Coeq}^{f,g} \rightarrow Q$ .

Some results about coequalizers in homotopy type theory can be found in the form of Coq code in the HoTT/Coq library [HoTT/Coq].

### 2.3.3 Suspension

There is a way to see any type  $A$  as the identity type of another type: the suspension of  $A$ , noted  $\Sigma A$ . It is the higher inductive type generated by

$$\left| \begin{array}{ll} N & : \Sigma A \\ S & : \Sigma A \\ \text{merid} & : A \rightarrow (N = S) \end{array} \right.$$

Its elimination principle are:

**Lemma 2.11 : Elimination of suspension**

Let  $A$  be a type.

- Let  $P : \text{Type}$ . If there are  $n, s : B$  and  $m : A \rightarrow (n = s)$ , then there is a map

$$\Sigma_{\text{rec}}^A : \Sigma A \rightarrow B$$

such that  $\Sigma_{\text{rec}}^A(N) \equiv n$ ,  $\Sigma_{\text{rec}}^A(S) \equiv s$  and for all  $a : A$ ,  $\text{ap}_{\Sigma_{\text{rec}}^A}(\text{merid}(a)) = m(a)$

- Let  $P : \Sigma A \rightarrow \text{Type}$ . If there are  $n : P(N)$ ,  $s : P(S)$  and  $m : \prod_{a:A} \text{transport}_P^{\text{merid}(a)} n = s$ , then there is a dependent map

$$\Sigma_{\text{ind}}^A : \prod_{a:A} P a$$

such that  $\Sigma_{\text{ind}}^A(S) \equiv s$ ,  $\Sigma_{\text{ind}}^A(N) \equiv n$  and  $\text{ap}_{\Sigma_{\text{ind}}^A}(\text{merid}(a)) = m(a)$ .

The first thing we can notice is that  $\Sigma(\mathbf{1} + \mathbf{1}) \simeq \mathbb{S}^1$  [HoTT, Lemma 6.5.1]. Actually, we can define the sequence of  $n$ -spheres inductively by

$$\begin{aligned} \mathbb{S}^0 & \stackrel{\text{def}}{=} \mathbf{1} + \mathbf{1} \\ \mathbb{S}^{n+1} & \stackrel{\text{def}}{=} \Sigma \mathbb{S}^n \end{aligned}$$

## 2.4 Introduction to homotopy type theory

It is now time to really introduce homotopy type theory: it is the sum of sections 2.1, 2.2 and 2.3. In other words, homotopy type theory is just dependent type theory, augmented with univalence axiom and higher inductive types. We promised in section 2.2 an interpretation of identity types. In homotopy type theory, we view types as topological spaces and inhabitants of types as points of these spaces. Then, if  $x, y : A$ , the identity type  $x = y$  is viewed as the topological space of paths (or continuous maps  $f : [0, 1] \rightarrow A$  such that  $f(0) = x$  and  $f(1) = y$ ) between points  $x$  and  $y$  in  $A$ . As said,  $x = y$  is itself a topological space, thus we can iterate the analogy. A path  $r : p = q$  where  $p, q : x = y$  are themselves paths is called a *homotopy*; a path between paths



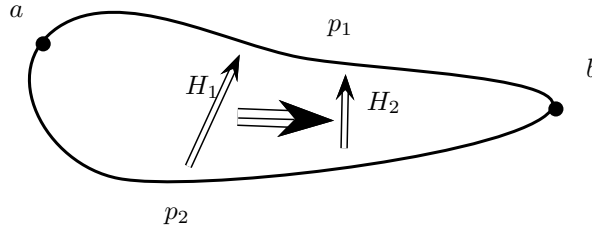


Figure 2.1: Paths:  $a$  and  $b$  are points,  $p_1$  and  $p_2$  paths,  $H_1$  and  $H_2$  homotopies.

between paths is called a *2-homotopy*, etc. The situation can be depicted as in figure 2.1. Indeed, that interpretation allows to explain all properties of identity types.

- The equality  $1_x$  is just the constant path

$$1_x: \begin{array}{ccc} [0,1] & \longrightarrow & A \\ t & \longmapsto & x \end{array}$$

- The inverse  $\bullet^{-1}$  is the function changing a path  $f$  into

$$g: \begin{array}{ccc} [0,1] & \longrightarrow & A \\ t & \longmapsto & f(1-t) \end{array}$$

- The concatenation  $\bullet \cdot \bullet$  is the function changing paths  $f$  and  $g$  into

$$h: \begin{array}{ccc} [0,1] & \longrightarrow & A \\ t & \longmapsto & \begin{cases} f(2t) & \text{if } t \in [0, 1/2] \\ g(2t-1) & \text{if } t \in [1/2, 1] \end{cases} \end{array}$$

- A path between paths  $f$  and  $g$  between points  $x$  and  $y$  is a continuous function

$$H: \begin{array}{ccc} [0,1] & \longrightarrow & A \\ (u,v) & \longmapsto & H(u,v) \end{array}$$

such that  $H(t,0) = f(t)$ ,  $H(t,1) = g(t)$ ,  $H(0,s) = x$  and  $H(1,s) = y$ . A homotopy is then a continuous deformation of  $f$  into  $g$ , fixing the ending points  $x$  and  $y$ .

The table 2.1 summarize the three points of view (type theoretic, groupoidal, homotopy theoretic). In the rest of the thesis, we will use any of the following name (e.g. we will talk about “points of a type”, “path between inhabitants”, etc.).

What homotopy theorists love to do is to compute fundamental groups (i.e. the group of paths between two points) of different spaces ([WX10][Hut11]). We can then categorized spaces with the level at which their homotopy groups become trivial. Voevodsky has realized that this notion admits a compact inductive definition internal to type theory, given by

These references were added without even opening them. Maybe a check would be good

Type theory	Homotopy theory	$\omega$ -groupoid
Type	Topological space	$\omega$ -groupoid
Inhabitant	Point	Object
Equality	Path	Morphism
$\text{idpath}_x$	Constant path	Identity morphism
$\bullet^{-1}$	Inverse path	Inverse morphism
$\bullet \cdot \bullet$	Concatenation of paths	Composition of morphisms
Equality between equalities	Homotopy	2-morphism

Table 2.1: Three points of view about HoTT

**Definition 2.12 : Truncated types**

$\text{Is-}n\text{-type}$  is defined by induction on  $n \geq -2$ :

- $\text{Is-}(-2)\text{-type}(X)$  if  $X$  is a contractible type, i.e.  $X$  is inhabited by  $c : X$ , and every other point in  $X$  is connected to  $c$ .
- $\text{Is-}(n+1)\text{-type}(X) \stackrel{\text{def}}{=} \prod_{x,y:X} \text{Is-}n\text{-type}(x = y)$ .

Then,  $\text{Type}_n \stackrel{\text{def}}{=} \sum_{X:\text{Type}} \text{Is-}n\text{-type}(X)$ .

For the first values of  $n$ , there are different names:  $(-2)$ -truncated types are called *contractible types*,  $(-1)$ -truncated types are called *h-propositions*,  $0$ -truncated types are called *h-sets*. Following this,  $\text{Is-}(-2)\text{-type}$  is just  $\text{Contr}$ ,  $\text{Is-}(-1)\text{-type}$  is just  $\text{IsHProp}$  and  $\text{Type}_{-1}$  is  $\text{HProp}$ , and  $\text{Is-}0\text{-type}$  is just  $\text{IsHSet}$  and  $\text{Type}_0$  is  $\text{HSet}$ . An explanation of this terminology might be helpful. Contractible types are types, inhabited by a center  $c$ , with paths between any point and  $c$ . A kind of magic thing about contractible types is the lemma

**Lemma 2.13**

If  $A : \text{Type}$  is contractible, then for any  $x, y : A$ , the type  $x = y$  is contractible.

Inductively, it means that paths types of any level over a contractible type is contractible. It can be seen as the fact that a contractible type contains only one point  $c$ , for which there is only one path  $c = c$ , etc. The canonical example of contractible type is  $\mathbf{1}$ , and actually, any contractible type is equivalent to  $\mathbf{1}$ . Then, *h-propositions* are types where any two points are connected by a path. The only difference with contractible types is that we allow the type not to be inhabited. *H-propositions* are then proof-irrelevant types, in the sense that under the *propositions-as-types* principle, any points  $x$  and  $y$  in an  $\text{HProp}$  are equal, with a unique equality, which is thus irrelevant.

**Lemma 2.14 : Example of h-propositions**

The following types are h-propositions:

- $0, 1$
- $\text{IsEquiv}(f)$  for any  $A, B : \text{Type}$  and  $f : A \rightarrow B$ .
- $\text{Is-}n\text{-type}(A)$  for any type  $A : \text{Type}$  and truncation index  $n$ .

Now, by definition, h-sets are types for which identity types are in  $\text{HProp}$ . The world of h-sets can thus be seen as the “usual mathematical” world, as it satisfies proof-irrelevance.

The  $n$ -truncated types are stable under a lot of operations, as:

**Lemma 2.15**

Let  $n \geq -2$  be a truncation index. Then

- If  $A : \text{Type}_n$  and  $x, y : A$ , then  $\text{Is-}n\text{-type}(x = y)$ .
- If  $A : \text{Type}_n$  and  $B : A \rightarrow \text{Type}_n$ , then  $\text{Is-}n\text{-type}(\sum_{x:A} Bx)$ .
- If  $A : \text{Type}$  and  $B : A \rightarrow \text{Type}_n$ , then  $\text{Is-}n\text{-type}(\prod_{x:A} Bx)$ . Note that the source type needs not to be truncated.
- If  $X : \text{Type}_n$ ,  $Y : \text{Type}$  and  $X \simeq Y$ , then  $\text{Is-}n\text{-type}(Y)$ .
- If  $X : \text{Type}_n$ , then  $\text{Is-}(n+1)\text{-type}(X)$ .
- We have  $\text{Is-}(n+1)\text{-type}\text{Type}_n$ .

**NOTE**

Some types are not  $n$ -truncated for any  $n$  [HoTT, Example 8.8.6] ; it is highly suspected for example that the sphere  $S^2$  is one of these  $\infty$ -truncated types (it is at least true in homotopy theory).

This stratification of types induces a stratification of functions. A function  $f : A \rightarrow B$  is said to be  $n$ -truncated if all its homotopy fibers  $\text{fib}_f(b)$  are  $n$ -truncated. If  $B : \text{Type}$ , a type  $A$  together with a  $n$ -truncated map  $f : A \rightarrow B$  will be called a  $n$ -subobject of  $B$ .

As in [RS13], we can define a sequence of subobject classifiers, namely,  $\text{Type}_n$  classifies  $n$ -subobjects of a type  $B$ , in the sens that there is an equivalence

$$\Xi : \sum_{A:\text{Type}} \sum_{f:A \rightarrow B} \prod_{b:B} \text{Is-}n\text{-type}(\text{fib}_f(b)) \xrightarrow{\sim} (B \rightarrow \text{Type}_n)$$

such that the diagram

$$\begin{array}{ccc} A & \xrightarrow{t_f} & \mathbf{Type}_n^\bullet \\ f \downarrow & & \downarrow \pi_1 \\ B & \xrightarrow{\chi_f} & \mathbf{Type}_n \end{array}$$

is a pullback for any  $f$  with  $n$ -truncated homotopy fibers where  $\mathbf{Type}_n^\bullet \stackrel{\text{def}}{=} \sum_{A:\mathbf{Type}} A$  is the universe of pointed  $n$ -truncated types and

$$t_f = \lambda a, (\text{fib}_f(f(a)), (a, \text{idpath})).$$

We will use the equivalence  $\Xi$  to define  $n$ -subobjects of a type  $B$  either as a  $n$ -truncated map  $A \rightarrow B$ , either as a characteristic map  $\chi : B \rightarrow \mathbf{Type}_n$ .

### 2.4.1 Truncations

We present here a way to change any type into a  $n$ -truncated type, using truncations. The interested reader can read Nicolai Kraus' PhD thesis [Kra15] consecrated to truncation levels in HoTT.

Let  $n \geq -1$  be a truncation index. The  $n$ -truncation of a type  $A$  is the higher inductive type  $\|A\|_n$  generated by

$$\left| \begin{array}{ll} \text{tr}_n & : A \rightarrow \|A\|_n \\ \alpha_{\text{tr}}^n & : \text{Is-}n\text{-type}(\|A\|_n) \end{array} \right.$$

If  $a : A$ ,  $\text{tr}_n(a)$  will be noted  $|a|_n$ . The elimination principles are:

#### Lemma 2.16 : Elimination principle of truncations

Let  $A : \mathbf{Type}$  and  $n \geq -1$  be a truncation index.

- If  $P : \mathbf{Type}$  such that  $\text{Is-}n\text{-type}(P)$  and  $f : A \rightarrow P$ , then there is a map

$$|f|_n : \|A\|_n \rightarrow P$$

such that for all  $a : A$ ,  $|f|_n(|a|_n) \equiv f(a)$ .

- If  $P : \|A\|_n \rightarrow \mathbf{Type}$  such that  $\prod_{x:\|A\|_n} \text{Is-}n\text{-type}(P x)$  and  $f : \prod_{a:A} P(|a|_n)$ , then there is a dependent map

$$|f|_n : \prod_{x:\|A\|_n} P x$$

such that for all  $a : A$ ,  $|f|_n(|a|_n) \equiv f(a)$ .

Basically, this induction principle says that  $\|A\|_n$  has contains as much data about  $A$  than  $A$  itself, but it can only be used to define a  $n$ -truncated type. It can be expressed as the following universal property:

**Lemma 2.17 : Universal property of truncations**

Let  $A : \text{Type}$  and  $P : \text{Type}_n$ . Then the map

$$\text{precompose}_{\text{tr}_n} : \begin{array}{ccc} A \rightarrow P & \longrightarrow & \|A\|_n \rightarrow P \\ f & \longmapsto & f \circ \text{tr}_n \end{array}$$

is an equivalence.

We will see in chapter 3 that all  $(\text{Is-}n\text{-type}, \|\bullet\|_n)$  define *modalities*. In particular, every truncation index  $n$  yields a factorization system:

**Proposition 2.18**

Let  $n \geq -1$  a truncation index. Then any map  $f : A \rightarrow B$  can be factored as a  $n$ -connected map followed by a  $n$ -truncated map, where a map is  $n$ -connected if for all  $b : B$ ,  $\|\text{fib}_f(b)\|_n$  is contractible.

In the rest of this thesis, we will only use this result with  $n = -1$ . In that case,  $(-1)$ -truncated functions are called *embeddings*, and  $(-1)$ -connected functions are called *surjections*. The factorization of a map  $f : A \rightarrow B$  is given by

$$\begin{array}{ccc} A & \xrightarrow{f} & B \\ & \searrow \tilde{f} & \nearrow \pi_1 \\ & \text{Im}(f) & \end{array}$$

$$\begin{aligned} \text{Im}(f) &\stackrel{\text{def}}{=} \sum_{b:B} \left\| \sum_{a:A} f a = b \right\|_{-1} \\ \tilde{f} &\stackrel{\text{def}}{=} \lambda a : A, (f a, |(a, 1_b)|_{-1}) \end{aligned}$$



# Higher modalities

As said in the introduction, the main purpose of our work is to build, from a model  $\mathfrak{M}$  of homotopy type theory, another model  $\mathfrak{M}'$  satisfying new principles. Of course,  $\mathfrak{M}'$  should be describable *inside*  $\mathfrak{M}$ . In set theory, it corresponds to building *inner models* ([Kun]). In type theory, it can be rephrased in terms of left-exact modalities: it consists of an operator  $\circ$  on types such that for any type  $A$ ,  $\circ A$  satisfies a desired property. If the operator has a “good” behaviour, then it is a modality, and the universe of all types satisfying the chosen property forms a new model of homotopy type theory.

## 3.1 Modalities

### Definition 3.1

A left exact modality is the data of

- (i) A predicate  $P : \text{Type} \rightarrow \text{HProp}$
- (ii) For every type  $A$ , a type  $\circ A$  such that  $P(\circ A)$
- (iii) For every type  $A$ , a map  $\eta_A : A \rightarrow \circ A$

such that

- (iv) For every types  $A$  and  $B$ , if  $P(B)$  then

$$\left\{ \begin{array}{ll} (\circ A \rightarrow B) & \rightarrow (A \rightarrow B) \\ f & \mapsto f \circ \eta_A \end{array} \right.$$

is an equivalence.

- (v) for any  $A : \text{Type}$  and  $B : A \rightarrow \text{Type}$  such that  $P(A)$  and  $\prod_{x:A} P(Bx)$ , then  $P(\sum_{x:A} B(x))$
- (vi) for any  $A : \text{Type}$  and  $x, y : A$ , if  $\circ A$  is contractible, then  $\circ(x = y)$  is contractible.

Conditions (i) to (iv) define a reflective subuniverse, (i) to (v) a modality.

NOTATION – The inverse of  $- \circ \eta_A$  from point (iv) will be denoted  $\circ_{\text{rec}} : (A \rightarrow B) \rightarrow (\circ A \rightarrow B)$ , and its computation rule  $\circ_{\text{rec}}^\beta : \prod_{f:A \rightarrow B} \prod_{x:A} \circ_{\text{rec}}(f)(\eta_A x) = f x$ .

If  $\circ$  is a modality, the type of modal types will be denoted  $\text{Type}^\circ$ . Let us fix a left-exact modality  $\circ$  for the rest of this section. A modality acts functorially on  $\text{Type}$ , in the sense that

**Lemma 3.2 : Functoriality of modalities**

Let  $A, B : \text{Type}$  and  $f : A \rightarrow B$ . Then there is a map  $\circ f : \circ A \rightarrow \circ B$  such that

- $\circ f \circ \eta_A = \eta_B \circ f$
- if  $g : B \rightarrow C$ ,  $\circ(g \circ f) = \circ g \circ \circ f$
- if  $\text{IsEquiv } f$ , then  $\text{IsEquiv } \circ f$ .

**Proposition 3.3**

Any left-exact modality  $\circ$  satisfies the following properties<sup>1</sup>.

- (R)  $A$  is modal if and only if  $\eta_A$  is an equivalence.
- (R)  $\mathbf{1}$  is modal.
- (R)  $\text{Type}^\circ$  is closed under dependent products, i.e.  $\prod_{x:A} Bx$  is modal as soon as all  $Bx$  are modal.
- (R) For any types  $A$  and  $B$ , the map

$$\circ(A \times B) \rightarrow \circ A \times \circ B$$

is an equivalence.

- (R) If  $A$  is modal, then for all  $x, y : A$ ,  $(x = y)$  is modal.
- (M) For every type  $A$  and  $B : \circ(A) \rightarrow \text{Type}^\circ$ , then

$$-\circ \eta_A : \begin{array}{ccc} \prod_{z:\circ A} Bx & \longrightarrow & \prod_{a:A} B(\eta_A a) \\ f & \longmapsto & f \circ \eta_A \end{array}$$

is an equivalence.

- (M) If  $A, B : \text{Type}$  are modal, then so are  $\text{Is-}n\text{-type } A$ ,  $A \simeq B$  and  $\text{IsEquiv } f$  for all  $f : A \rightarrow B$ .
- (L) If  $A : \text{Type}_n$ , then  $\circ A : \text{Type}_n$ .
- (L) If  $X, Y : \text{Type}$  and  $f : X \rightarrow Y$ , then the map

$$\circ(\text{fib}_f(y)) \rightarrow \text{fib}_{\circ f}(\eta_B y)$$

---

<sup>1</sup>Properties needing only a reflective subuniverse are annotated by (R), a modality by (M), a left-exact modality by (L)



is an equivalence, and the following diagram commutes

$$\begin{array}{ccc} \text{fib}_f(y) & \xrightarrow{\eta} & \circ(\text{fib}_f(y)) \\ \gamma \downarrow & \swarrow & \\ \text{fib}_{\circ f}(\eta_B y) & & \end{array}$$

NOTATION – Again, the inverse of  $- \circ \eta_A$  will be denoted  $\circ_{\text{ind}} : \prod_{a:A} B(\eta_A a) \rightarrow \prod_{x:\circ A} Bx$ , and its computation rule  $\circ_{\text{ind}}^\beta : \prod_{f:\prod_{a:A} B(\eta_A a)} \prod_{x:A} \circ_{\text{ind}}(f)(\eta_A x) = fx$

*Proof.* We only prove the last point. It is straightforward to define a map

$$\phi : \sum_{x:X} fx = y \rightarrow \sum_{x:\circ X} \circ fx = \eta_Y y,$$

using  $\eta$  functions. We will use the following lemma to prove that the function induced by  $\phi$  defines an equivalence:

**Lemma 3.4**

Let  $X : \text{Type}$ ,  $Y : \text{Type}^\circ$  and  $f : X \rightarrow Y$ . If for all  $y : Y$ ,  $\circ(\text{fib}_f(y))$  is contractible, then  $\circ X \simeq Y$ .

Hence we just need to check that every  $\circ$ -fiber  $\circ(\text{fib}_\phi(x;p))$  is contractible. Technical transformations allow one to prove

$$\text{fib}_\phi(x;p) \simeq \text{fib}_s(y;p^{-1})$$

for

$$s : \begin{array}{ccc} \text{fib}_{\eta_X}(x) & \longrightarrow & \text{fib}_{\eta_Y}(\circ f x) \\ (a,q) & \longmapsto & (f a, -) \end{array}$$

But left-exctness allows to characterize the contractibility of fibers:

**Lemma 3.5**

Let  $A, B : \text{Type}$ . Let  $f : A \rightarrow B$ . If  $\circ A$  and  $\circ B$  are contractible, then so is  $\text{fib}_f(b)$  for any  $b : B$ .

Thus, we just need to prove that  $\circ(\text{fib}_{\eta_X}(a))$  and  $\circ(\text{fib}_{\eta_Y}(b))$  are contractible. But one can check that  $\eta$  maps always satisfy this property. Finally,  $\circ(\text{fib}_s(y;p^{-1}))$  is contractible, so  $\circ(\text{fib}_\phi(x;p))$  also, and the result is proved.  $\square$

Let us finish these properties by the following proposition, giving an equivalent characterization of left-exactness.

**Proposition 3.6**

Let  $\circ$  be a modality. Then  $\circ$  is left-exact if and only if  $\circ$  preserves path spaces, i.e.

$$\prod_{A:\text{Type}} \prod_{x,y:A} \text{IsEquiv}(\circ(\text{ap}_{\eta_A}))$$

where  $\circ(\text{ap}_{\eta_A}) : \circ(x = y) \rightarrow \eta_A x = \eta_A y$ .

*Proof.* We will rather prove something slightly more general, using an encode-decode proof [HoTT, Section 8.9] ; we will characterize, for a type  $A$  and a fixed inhabitant  $x : A$  the type

$$\eta_A x = y$$

for any  $y : \circ A$ .

Let  $\text{Cover} : \circ A \rightarrow \text{Type}^\circ$  be defined by induction by

$$\text{Cover}(y) \stackrel{\text{def}}{=} \circ_{\text{rec}}(\lambda y, \circ(x = y)).$$

Note that for any  $y : \circ A$ ,  $\text{Cover}(y)$  is always modal. We will show that  $\eta_A x = y \simeq \text{Cover}(y)$ . Now, let  $\text{Encode} : \prod_{y:\circ A} \eta_A x = y \rightarrow \text{Cover}(y)$  be defined by

$$\text{Encode}(y, p) \stackrel{\text{def}}{=} \text{transport}_{\text{Cover}}^p \left( \text{transport}_{\text{idmap}}^{\circ_{\text{rec}}^\beta((\lambda z, \circ(x=z)), x)} (\eta_{x=x} 1) \right)$$

and  $\text{Decode} : \prod_{y:\circ A} \text{Cover}(y) \rightarrow \eta_A x = y$  by

$$\text{Decode} \stackrel{\text{def}}{=} \circ_{\text{ind}} \left( \lambda y p, \circ(\text{ap}_{\eta_A}) \left( \text{transport}_{\text{idmap}}^{\circ_{\text{rec}}^\beta((\lambda z, \circ(x=y)), y)} p \right) \right)$$

Then one can show, using  $\circ$ -induction and path-induction, that for any  $y : \circ A$ ,  $\text{Encode}(y, -)$  and  $\text{Decode}(y, -)$  are each other inverses. Then, taking  $y' = \eta_A y$ , we have just shown that  $\eta_A x = \eta_A y \simeq \text{Cover}(\eta_A y)$ , which is itself equivalent, by  $\circ_{\text{rec}}^\beta$ , to  $\circ(x = y)$ . It is straightforward to check that the composition  $\circ(x = y) \rightarrow \text{Cover}(\eta_A y) \rightarrow \eta_A x = \eta_A y$  is exactly  $\circ(\text{ap}_{\eta_A})$ .

Now, let us prove the backward implication. Let  $A$  be a type such that  $\circ A$  is contractible, and  $x, y : A$ . As  $\eta_A x, \eta_A y : \circ A$ , we know that  $\eta_A x = \eta_A y$  is contractible. But as  $\eta_A x = \eta_A y \simeq \circ(x = y)$  by assumption,  $\circ(x = y)$  is also contractible.  $\square$

As this whole thesis deals with truncation levels, it should be interesting to see how they are changed under a modality. We already know that if a type  $T$  is  $(-2)$ -truncated, i.e. contractible, then it is unchanged by the reflector:

$$\circ T \simeq \circ \mathbf{1} \simeq \mathbf{1} \simeq T.$$

Thus,  $\text{Type}_{-2}$  is closed by any reflective subuniverse. Now, let  $T : \text{HProp}$ . To check that  $\circ T$  is an h-proposition, it suffices to check that

$$\prod_{x,y:\circ T} x = y$$

For any  $x : \circ T$ , the type  $\prod_{y:\circ T} x = y$  is modal, as all  $x = y$  are ; by the same argument,  $\prod_{x:\circ T} x = y$  is modal too for any  $y : \circ T$ . Using twice the dependent eliminator of  $\circ$ , it now suffices to check that

$$\prod_{x,y:T} \eta_T x = \eta_T y.$$

As  $T$  is supposed to be an h-proposition, this is true. It suffices to state

**Lemma 3.7**

*For any modality,  $\text{Type}_{-1}$  is closed under the reflector  $\circ$ , i.e.*

$$\prod_{P:\text{HProp}} \text{IsHProp}(\circ P).$$

A simple induction on the truncation level, together with the left-exactness property allows to state

**Lemma 3.8**

*For any left-exact modality, all  $\text{Type}_p$  are closed under the reflector  $\circ$ , i.e.*

$$\prod_{P:\text{Type}_p} \text{Is-}p\text{-type}(\circ P).$$

We note that this is not a equivalent characterization of left-exactness, as it is satisfied by truncations, and we will see they are not left-exact.

## 3.2 Examples of modalities

### 3.2.1 The identity modality

Let us begin with the most simple modality one can imagine: the one doing nothing. We can define it by letting  $\circ A \stackrel{\text{def}}{=} A$  for any type  $A$ , and  $\eta_A \stackrel{\text{def}}{=} \text{idmap}$ . Obviously, the desired computation rules are satisfied, so that the identity modality is indeed a left-exact modality.

It might sound useless to consider such a modality, but it can be precious when looking for properties of modalities: if it does not hold for the identity modality, it cannot hold for an abstract one.

### 3.2.2 Truncations

The first class of non-trivial examples might be the *truncations* modalities, seen in 2.4.1.

### 3.2.3 Double negation modality

#### Proposition 3.9

The double negation modality  $\circ A \stackrel{\text{def}}{=} \neg\neg A$  is a modality.

*Proof.* We define the modality with

- (i) We will define the predicate  $P$  later.
- (ii)  $\circ$  is defined by  $\circ A = \neg\neg A$
- (iii) We want a term  $\eta_A$  of type  $A \rightarrow \neg\neg A$ . Taking

$$\eta_A \stackrel{\text{def}}{=} \lambda x : A, \lambda y : \neg A, y a$$

do the job.

Now, we can define  $P$  to be exactly  $\prod_{A:\text{Type}} \text{IsEquiv } \eta_A$ .

- (iv) Let  $A, B : \text{Type}$ , and  $\varphi : A \rightarrow \neg\neg B$ . We want to extend it into  $\psi : \neg\neg A \rightarrow \neg\neg B$ . Let  $a : \neg\neg A$  and  $b : \neg B$ . Then  $a(\lambda x : A, \varphi x b) : \mathbf{0}$ , as wanted. One can check that it forms an equivalence.
- (v) Let  $A : \text{Type}$  and  $B : A \rightarrow \text{Type}$  such that  $P(A)$  and  $\prod_{a:A} P(Ba)$ . There is a map

$$\sum_{x:A} Bx \rightarrow A$$

thus by the previous point, we can extend it into

$$\kappa : \neg\neg \sum_{x:A} Bx \rightarrow A.$$

It remains to check that for any  $x : \neg\neg \sum_{x:A} Bx$ ,  $B(\kappa x)$ .

But the previous map can be easily extended to the dependent case, and thus it suffices to show that for all  $x : \sum_{x:A} Bx$ ,  $B(\kappa(\eta x))$ . As  $\kappa \circ \eta = \text{idmap}$ , the goal is solved by  $\pi_2 x$ .

□

Unfortunately, it appears that the only type which can be modal are h-propositions, as they are equivalent to their double negation which is always an h-proposition. Thus, the type of modal types is consisted only of h-proposition, which is not satisfactory. The main purpose of this thesis, in particular chapter 5 is to extend this modality into a better one.

### 3.3 New type theories

New type theory: Enhance me. Actually, this might be better in the section “Translation”.

We suppose here that  $\circ$  is a left-exact modality such that  $\text{Type}^\circ$  is modal. This is for example the case when the modality is *accessible* (see [HoTT/Coq] for definition and proof).

#### Proposition 3.10

The modal universe  $\text{Type}^\circ$  is non-trivial if the type  $\circ 0$  is empty.

*Proof.*

□

The translation might be clearer than this result...

#### Proposition 3.11

A left exact modality  $\circ$  induces a consistent type theory if and only if  $\circ 0$  can not be inhabited in the initial type theory. In that case, the modality is said to be consistent.

*Proof.* By condition (iv) of Definition 3.1,  $\circ 0$  is an initial object of  $\text{Type}^\circ$ , and thus corresponds to false for modal mere proposition. As  $\circ 1 = 1$ ,  $\text{Type}^\circ$  is consistent when  $\circ 0 \neq 1$ , that is when there is no proof of  $\circ 0$ . □

### 3.4 Truncated modalities

As for colimits, we define a truncated version of modalities, in order to use it in chapter 5. Basically, a truncated modality is the same as a modality, but restricted to  $\text{Type}_n$ .

#### Definition 3.12 : Truncated modality

Let  $n \geq -1$  be a truncation index. A left exact modality at level  $n$  is the data of

- (i) A predicate  $P : \text{Type}_n \rightarrow \text{HProp}$
- (ii) For every  $n$ -truncated type  $A$ , a  $n$ -truncated type  $\circ A$  such that  $P(\circ A)$
- (iii) For every  $n$ -truncated type  $A$ , a map  $\eta_A : A \rightarrow \circ A$

such that

- (iv) For every  $n$ -truncated types  $A$  and  $B$ , if  $P(B)$  then

$$\begin{cases} (\circ A \rightarrow B) & \rightarrow & (A \rightarrow B) \\ f & \mapsto & f \circ \eta_A \end{cases}$$

is an equivalence.

- (v) for any  $A : \text{Type}_n$  and  $B : A \rightarrow \text{Type}_n$  such that  $P(A)$  and  $\prod_{x:A} P(Bx)$ , then  $P(\sum_{x:A} B(x))$
- (vi) for any  $A : \text{Type}_n$  and  $x, y : A$ , if  $\circ A$  is contractible, then  $\circ(x = y)$  is contractible.

Properties of truncated left-exact modalities described in 3.3 are still true when restricted to  $n$ -truncated types, except the one that does not make sense:  $\text{Type}_n^\circ$  cannot be modal, as it is not even a  $n$ -truncated type.

### 3.5 Formalization

Let us discuss here about the formalization of the theory of modalities. General modalities are formalized in the Coq/HoTT library [HoTT/Coq], thanks to a huge work of Mike Shulman [Shu15]. The formalization might seem to be straightforward, but the universe levels (at least, their automatic handling by Coq) are here a great issue. Hence, we have to explicitly give the universe levels and their constraints in a large part of the library. For example, the reflector  $\circ$  of a modality is defined, in [HoTT/Coq] as

$$\circ : \text{Type}^i \rightarrow \text{Type}^i;$$

it maps any universe to itself.

In chapter 5, we will need a slightly more general definition of modality. The actual definitions stay the same, but the universes constraints we consider change. The reflector  $\circ$  will now have type

$$\circ : \text{Type}^i \rightarrow \text{Type}^j, \quad i \leq j;$$

it maps any universe to a possibly higher one. Other components of the definition of a modality are changed in the same way.

Fortunately, this change seems small enough for all properties of modalities to be kept. Of course, the examples of modalities mapping any universe to itself are still an example of generalized modality, it just does not use the possibility to inhabit a higher universe. This has been computer-checked, it can be found at [https://github.com/KevinQuirin/HoTT/tree/extended\\_modalities](https://github.com/KevinQuirin/HoTT/tree/extended_modalities).

We would like to have the same generalization for truncated modalities. But there are a lot of new universe levels popping out, mostly because in  $\text{Type}_n = \sum_{T:\text{Type}} \text{Is-}n\text{-type } T$ ,  $\text{Is-}n\text{-type}$  come with its own universes. Hence, handling “by hand” so many universes together with their constraints quickly go out of control. One idea to fix this issue could be to use *resizing rules* [Voe11], allowing  $h$ -propositions to live in the smallest universe. We could then get rid of the universes generated by  $\text{Is-}n\text{-type}$ , and treat the truncated modality exactly as generalized modalities.

### 3.6 Translation

As said in section 3.3, left-exact modalities allows to perform model transformation. But it can be enhanced a bit by exhibiting a *translation* of type theories, from CIC into itself, as it has been done for forcing [JTS12; Jab+16]. Let us explain here how this translation works.

Let  $\circ$  be an accessible left-exact modality. We describe, for each term constructor, how to build its translation. We denote  $\pi_{\circ}(A)$  the proof that  $\circ(A)$  is always modal.

- For types

$$[\text{Type}] \stackrel{\text{def}}{=} (\text{Type}^{\circ}, \pi_{\text{Type}^{\circ}})$$

where  $\pi_{\text{Type}^{\circ}}$  is a proof that  $\text{Type}^{\circ}$  is itself modal. To ease the reading in what follows, we introduce the notation

$$\llbracket A \rrbracket \stackrel{\text{def}}{=} \pi_1 [A]$$

- For dependent sums

$$\begin{aligned} [\sum_{x:A} B] &\stackrel{\text{def}}{=} \left( \sum_{x:\llbracket A \rrbracket} \llbracket B \rrbracket, \pi_{\Sigma}^{[A],[B]} \right) \\ [(x, y)] &\stackrel{\text{def}}{=} ([x], [y]) \\ [\pi_i t] &\stackrel{\text{def}}{=} \pi_i [t] \end{aligned}$$

where  $\pi_{\Sigma}^{A,B}$  is a proof that  $\sum_{x:A} B$  is modal when  $A$  and  $B$  are.

- For dependent products

$$\begin{aligned} [\prod_{x:A} B] &\stackrel{\text{def}}{=} \left( \prod_{x:\llbracket A \rrbracket} \llbracket B \rrbracket, \pi_{\Pi}^{[A],[B]} \right) \\ [\lambda x : A, M] &\stackrel{\text{def}}{=} \lambda x : \llbracket A \rrbracket, [M] \\ [t t'] &\stackrel{\text{def}}{=} [t][t'] \end{aligned}$$

where  $\pi_{\Pi}^{A,B}$  is a proof that  $\prod_{x:A} B$  is modal when  $B$  is.

- For paths

$$\begin{aligned} [A = B] &\stackrel{\text{def}}{=} \left( [A] = [B], \pi_{=}^{[A],[B]} \right) \\ [1] &\stackrel{\text{def}}{=} 1 \\ [J] &\stackrel{\text{def}}{=} J \end{aligned}$$

where  $\pi_{=}^{A,B}$  is a proof that  $A = B$  is modal when  $A$  and  $B$  are, if  $A, B : \text{Type}$ , or a proof that  $A = B$  is modal as soon as their type is modal if  $A, B : X$ .

- For positive types (we only treat the case of the sum as an example)

$$\begin{aligned}
[A + B] &\stackrel{def}{=} (\circ(\llbracket A \rrbracket + \llbracket B \rrbracket); \pi_\circ(\llbracket A \rrbracket + \llbracket B \rrbracket)) \\
[\text{in}_\ell t] &\stackrel{def}{=} \eta(\text{in}_\ell[t]) \\
[\text{in}_r t] &\stackrel{def}{=} \eta(\text{in}_r[t]) \\
[\langle f, g \rangle] &\stackrel{def}{=} \circ_{\text{rec}}^{\llbracket A \rrbracket + \llbracket B \rrbracket} \langle [f], [g] \rangle
\end{aligned}$$

- For truncations ( $i \leq n$ )

$$\begin{aligned}
[\llbracket A \rrbracket_i] &\stackrel{def}{=} (\circ(\llbracket \llbracket A \rrbracket \rrbracket_i; \pi_\circ(\llbracket \llbracket A \rrbracket \rrbracket_i)) \\
[\llbracket t \rrbracket_i] &\stackrel{def}{=} \eta[\llbracket t \rrbracket_i] \\
[\llbracket f \rrbracket_i] &\stackrel{def}{=} \circ_{\text{rec}}^{\llbracket \llbracket A \rrbracket \rrbracket_i} [\llbracket f \rrbracket_i]
\end{aligned}$$

Then, we translate contexts pointwise:

$$\begin{aligned}
[\emptyset] &\stackrel{def}{=} \emptyset \\
[\Gamma, x : A] &\stackrel{def}{=} [\Gamma], x : \llbracket A \rrbracket
\end{aligned}$$

As in the forcing translation [JTS12], the main issue is that convertibility might not be preserved. For example, let  $f : A \rightarrow X$  and  $g : B \rightarrow X$ . Then  $\langle f, g \rangle(\text{in}_\ell t)$  is convertible to  $f t$ , but  $[\langle f, g \rangle(\text{in}_\ell t)]$  reduces to  $\circ_{\text{rec}}^{\llbracket A \rrbracket + \llbracket B \rrbracket} \langle [f], [g] \rangle(\eta(\text{in}_\ell t))$ , which is only equal to  $[f t]$ .

Two solutions to this problem can come to our mind:

- We could use the eliminator  $J$  of equality in the conversion rule, but this would require to use a type theory with explicit conversion in the syntax, like in [JTS12]. Such type theories has been studied in [GW; DGW13]. We do not chose this solution, and thus do not give more details.
- We can ask the modality  $\circ$  to be a strict modality, in the sense that retraction in the equivalence of  $(-\circ\eta)$  is conversion instead of equality, like for the closed modality. That way, we keep the conversion rule, *i.e.* if  $\Gamma \vdash u \equiv v$ , then  $\llbracket \Gamma \rrbracket \vdash [u] \equiv [v]$ . That is the solution we chose.

NOTA

Note that, for any (accessible) modality  $\circ$ , we can define an equivalent strict modality, by defining an inductive type  $\circ^S$  generated by

$$\eta^S : \prod_{A:\text{Type}} A \rightarrow \circ^S A$$

with an axiom asserting that all  $\circ^S A$  are  $\circ$ -modal, and an induction prin-



ciple restricted to  $\circ$ -modals types

$$\prod_{A:\text{Type}} \prod_{B:\circ^S A \rightarrow \text{Type}^\circ} \prod_{a:A} B(\eta_A^S a) \rightarrow \prod_{a:\circ^S A} B a.$$

As in [Shu11], we can change the axiom by the equivalent

$$\prod_{A:\text{Type}} \text{IsEquiv}(\eta_A : A \rightarrow \circ A),$$

and unfold the definition of  $\text{IsEquiv}$  to see that  $\circ^S$  is a valid HIT. We are actually building  $\circ^S$  as the *localization* [HTT, Definition 5.2.7.2] of  $\circ$ -modal types. This idea is developed in [Shu12].

Then, it is straightforward to see that  $\circ^S$  is a strict modality, equivalent to  $\circ$ .

We first want to show that the translation respects substitution:

**Proposition 3.13**

If  $\Gamma \vdash A : \text{Type}$ ,  $\Gamma, x : A \vdash B : \text{Type}$  and  $\Gamma, x : A \vdash b : B$ , then

$$[b[a/x]] \equiv [b][[a]/x].$$

*Proof.* It can be shown directly by induction on the term  $b$ . □

The usual result we want about any translation is its soundness:

**Proposition 3.14 : Soundness of the translation**

Let  $\Gamma$  is a valid context,  $A$  a type and  $t$  a term. If  $\Gamma \vdash t : A$ , then

$$[\Gamma] \vdash [t] : [A].$$

*Proof.* We prove it by induction on the proof of  $\Gamma \vdash t : A$ . We use the name of rules as in [HoTT, Appendix A]. We note  $M$  the predicate “is modal”.

•  $\Pi$ -FORM:

$$\frac{\frac{[\Gamma] \vdash [A] : [\text{Type}]}{[\Gamma] \vdash [A] : \text{Type}} \Sigma\text{-ELIM} \quad \frac{[\Gamma, x : A] \vdash [B] : [\text{Type}]}{[\Gamma, x : A] \vdash [B] : \text{Type}} \Sigma\text{-ELIM}}{[\Gamma] \vdash \prod_{x:[A]} [B] : \text{Type}} \Pi\text{-FORM}$$

together with

$$\frac{\frac{[\Gamma] \vdash [A] : [\text{Type}]}{[\Gamma] \vdash [A]_2 : M(A)} \Sigma\text{-ELIM} \quad \frac{[\Gamma, x : A] \vdash [B] : [\text{Type}]}{[\Gamma, x : A] \vdash [B]_2 : M(B)} \Sigma\text{-ELIM}}{[\Gamma] \vdash \pi_{\Pi}^{[A]_2, [B]_2} : M(\prod_{x:[A]} [B])}$$

yields

$$[\Gamma] \vdash \prod_{x: \llbracket A \rrbracket} \llbracket B \rrbracket : [\text{Type}]$$

- $\Pi$ -INTRO:

$$\frac{[\Gamma, x : A] \vdash [b] : \llbracket B \rrbracket}{[\Gamma] \vdash \lambda x : \llbracket A \rrbracket, [b] : \prod_{x: \llbracket A \rrbracket} \llbracket B \rrbracket} \Pi\text{-INTRO}$$

- $\Pi$ -ELIM:

$$\frac{[\Gamma] \vdash [f] : \prod_{x: \llbracket A \rrbracket} \llbracket B \rrbracket \quad [\Gamma] \vdash [a] : \llbracket A \rrbracket}{[\Gamma] \vdash [f][a] : \llbracket B \rrbracket[[a]/x]} \Pi\text{-ELIM}$$

- As the translation go through dependent sums as well, the proof trees for  $\Sigma$ -FORM,  $\Sigma$ -INTRO,  $\Sigma$ -ELIM and  $\Sigma$ -COMP are similar.

- $\Pi$ -COMP:

$$\frac{[\Gamma, x : A] \vdash [b] : \llbracket B \rrbracket \quad [\Gamma] \vdash [a] : \llbracket A \rrbracket}{[\Gamma] \vdash (\lambda x : \llbracket A \rrbracket, [b])([a]) \equiv [b][[a]/x] : \llbracket B \rrbracket[[a]/x]} \Pi\text{-COMP}$$

- $+$ -FORM:

$$\frac{\frac{[\Gamma] \vdash [A] : \llbracket \text{Type} \rrbracket}{[\Gamma] \vdash \llbracket A \rrbracket : \text{Type}} \Sigma\text{-ELIM} \quad \frac{[\Gamma] \vdash [B] : \llbracket \text{Type} \rrbracket}{[\Gamma] \vdash \llbracket B \rrbracket : \text{Type}} \Sigma\text{-ELIM}}{\frac{[\Gamma] \vdash \llbracket A \rrbracket + \llbracket B \rrbracket : \text{Type}}{[\Gamma] \vdash \circ(\llbracket A \rrbracket + \llbracket B \rrbracket) : \llbracket \text{Type} \rrbracket} \pi_{\circ}^{\llbracket A \rrbracket + \llbracket B \rrbracket}} +\text{-FORM}$$

- $+$ -INTRO<sub>1,2</sub>:

$$\frac{\frac{[\Gamma] \vdash [A] : \llbracket \text{Type} \rrbracket}{[\Gamma] \vdash \llbracket A \rrbracket : \text{Type}} \Sigma\text{-ELIM} \quad \frac{[\Gamma] \vdash [B] : \llbracket \text{Type} \rrbracket}{[\Gamma] \vdash \llbracket B \rrbracket : \text{Type}} \Sigma\text{-ELIM} \quad [\Gamma] \vdash [a] : \llbracket A \rrbracket}{\frac{[\Gamma] \vdash \text{inl}([a]) : \llbracket A \rrbracket + \llbracket B \rrbracket}{[\Gamma] \vdash \eta(\text{inl}([a])) : \llbracket A + B \rrbracket}} +\text{-INTRO}_1$$

and

$$\frac{\frac{[\Gamma] \vdash [A] : \llbracket \text{Type} \rrbracket}{[\Gamma] \vdash \llbracket A \rrbracket : \text{Type}} \Sigma\text{-ELIM} \quad \frac{[\Gamma] \vdash [B] : \llbracket \text{Type} \rrbracket}{[\Gamma] \vdash \llbracket B \rrbracket : \text{Type}} \Sigma\text{-ELIM} \quad [\Gamma] \vdash [b] : \llbracket B \rrbracket}{\frac{[\Gamma] \vdash \text{inl}([b]) : \llbracket A \rrbracket + \llbracket B \rrbracket}{[\Gamma] \vdash \eta(\text{inl}([b])) : \llbracket A + B \rrbracket}} +\text{-INTRO}_2$$

- $+$ -ELIM: We treat the non-dependent case.

$$\frac{\frac{[\Gamma] \vdash [C] : \llbracket \text{Type} \rrbracket \quad [\Gamma] \vdash [f] : \llbracket A \rightarrow C \rrbracket \quad [\Gamma] \vdash [d] : \llbracket B \rightarrow C \rrbracket}{[\Gamma] \vdash \langle [f], [g] \rangle : \llbracket A \rrbracket + \llbracket B \rrbracket \rightarrow \llbracket C \rrbracket} \text{+-ELIM}}{[\Gamma] \vdash \circ_{\text{rec}}^{\llbracket A \rrbracket + \llbracket B \rrbracket} \langle [f], [g] \rangle : \circ(\llbracket A \rrbracket + \llbracket B \rrbracket) \rightarrow \llbracket C \rrbracket}$$

- $\text{+-COMP}_{1,2}$ : Again, we only treat the non-dependent case.

$$\frac{\frac{[\Gamma] \vdash [C] : \llbracket \text{Type} \rrbracket \quad [\Gamma] \vdash [f] : \llbracket A \rightarrow C \rrbracket \quad [\Gamma] \vdash [d] : \llbracket B \rightarrow C \rrbracket \quad [\Gamma] \vdash [a] : \llbracket A \rrbracket}{[\Gamma] \vdash \langle [f], [g] \rangle (\text{inl}[a]) \equiv [f][a] : \llbracket C \rrbracket} \text{+-COMP}_1}{[\Gamma] \vdash \circ_{\text{rec}}^{\llbracket A \rrbracket + \llbracket B \rrbracket} \langle [f], [g] \rangle (\eta(\text{inl}[a])) \equiv [f][a] : \llbracket C \rrbracket} \circ_{\text{strict}}$$

$\text{+-COMP}_2$  is done in the same way.

- $\text{=-FORM}$ :

$$\frac{\frac{[\Gamma] \vdash [A] : \llbracket \text{Type} \rrbracket}{[\Gamma] \vdash \llbracket A \rrbracket : \text{Type}} \Sigma\text{-ELIM} \quad [\Gamma] \vdash [a], [b] : \llbracket A \rrbracket}{[\Gamma] \vdash [a] = [b] : \text{Type}} \text{=-FORM} \quad \frac{\frac{[\Gamma] \vdash [A] : \llbracket \text{Type} \rrbracket}{[\Gamma] \vdash [A]_2 : M(A)} \Sigma\text{-ELIM}}{[\Gamma] \vdash \pi_{=, [a], [b]}^{[a], [b]} : M([a] = [b])} \Sigma\text{-INTRO} \quad \frac{[\Gamma] \vdash [a] = [b] : \text{Type} \quad [\Gamma] \vdash \pi_{=, [a], [b]}^{[a], [b]} : M([a] = [b])}{[\Gamma] \vdash [a] = [b] : \llbracket \text{Type} \rrbracket} \Sigma\text{-INTRO}$$

- $\text{=-INTRO}$ :

$$\frac{[\Gamma] \vdash [A] : \llbracket \text{Type} \rrbracket \quad [\Gamma] \vdash [a] : \llbracket A \rrbracket}{[\Gamma] \vdash 1_{[a]} : [a] = [a]} \text{=-INTRO}$$

- $\text{=-ELIM}$ : We only treat transport.

$$\frac{\frac{[\Gamma, x : A] \vdash [P] : \llbracket \text{Type} \rrbracket}{[\Gamma, x : A] \vdash \llbracket P \rrbracket : \text{Type}} \Sigma\text{-ELIM} \quad [\Gamma] \vdash [a], [b] : \llbracket A \rrbracket \quad [\Gamma] \vdash [p] : [a] = [b] \quad [\Gamma] \vdash [u] : \llbracket P a \rrbracket}{[\Gamma] \vdash \text{transport}_{\llbracket P \rrbracket}^{[p]} [u] : [P][b]} \text{=-ELIM}$$

□

#### NOTA

We note that if the modality is not left-exact (or not accessible), like truncations modalities, then  $\text{Type}^\circ$  is not itself modal. It is although still possible to write a translation, but we can only define it on a type theory with only one universe. Indeed, the judgement  $\Gamma \vdash \text{Type}^i : \text{Type}^j$  cannot be expressed, and thus cannot be translated to  $\llbracket \Gamma \rrbracket \vdash \llbracket \text{Type}^i \rrbracket : \llbracket \text{Type}^j \rrbracket$ .

An implementation of this translation has been made, in the form of a Coq plugin, available at <https://github.com/KevinQuirin/translation-mod/>. We give here a brief description. For each module, there is a table  $T$  containing a list of pairs consisting of constants  $c$  (resp. inductive type  $i$ ) together with its translation  $[c]$  (resp. another inductive type  $[i]$ ). Each

time we need the translation of a constant, the plugin read this table to find it. Then, we add two new commands in Coq: `Modal Definition` and `Modal Translate`.

`Modal Definition` allows to give a definition in the reflective subuniverse;

`Modal Definition foo : bar using ○`

open a new goal of type `[bar]`, waits for the user to give a proof, and define a new term `foom : [bar]` and a new constant `foo : bar` at the `Defined` command. Then, it adds in  $T$  a new pair  $(\text{foo}, \text{foo}^m)$ .

`Modal Translate` allows to translate automatically a previously existing constant or inductive type. If `foo  $\stackrel{\text{def}}{=} \text{qux} : \text{bar}$`  is a constant,

`Modal Translate foo using ○`

computes the value of `[foo]`, and add in  $T$  the pair  $(\text{foo}, [\text{foo}])$ . If  $I(x_1 : A_1) \cdots (x_n : A_n) : \text{Type}$  is an inductive type with  $p$  constructors  $C_i : T_i$ , then the plugin builds a new inductive type  $I^m(x_1 : [A_1]) \cdots (x_n : [A_n]) : \text{Type}$  with constructors  $C_i^m : [T_i]$ , and add  $(I, I^m)$  in the table  $T$ . Then, the translation of  $I(t_1, \dots, t_n)$  will be  $\circ(I^m([t_1], \dots, [t_n]))$ .

# 4 Colimits

A comathematician is a device  
turning cotheorems into ffee.

---

Co-Alfréd Rényi

As seen in chapter 2, adding sigma-types to type theory results in adding limits over graphs in the underlying category, and adding higher inductive types results in adding colimits over graphs. If limits has been extensively studied in [AKL15], theory of colimits was not completely treated.

The following is conjoint work with Simon Boulrier and Nicolas Tabareau, helped by precious discussions with Egbert Rijke. The sections 4.1 and 4.2 are extended version of the blog post [Bou16].

## 4.1 Colimits over graphs

As colimits are just dual to limits, it seems that it would be very easy to translate the work on limits to colimits. Although, even if it might be because we are more habituated to manipulate sigma-types than higher inductive types, it seems way harder.

### 4.1.1 Definitions

Let's recall the definitions of graphs and diagrams over graphs, introduced in [AKL15].

#### Definition 4.1 : Graph

A graph  $G$  is the data of

- a type  $G_0$  of vertices ;
- for any  $i, j : G_0$ , a type  $G_1(i, j)$  of edges.

#### Definition 4.2 : Diagram

A diagram  $D$  over a graph  $G$  is the data of

- for any  $i : G_0$ , a type  $D_0(i)$  ;
- for any  $i, j : G_0$  and all  $\phi : G_1(i, j)$ , a map  $D_1(\phi) : D_0(i) \rightarrow D_0(j)$

When the context is clear,  $G_0$  will be simply denoted  $G$ ,  $G_1(i, j)$  will be noted  $G(i, j)$ ,  $D_0(i)$  will be noted  $D(i)$  or  $D_i$ , and  $D_1(\phi)$  will be noted  $D_{i,j}(\phi)$  or simply  $D(\phi)$  ( $i$  and  $j$  can be inferred from  $\phi$ ).

EXAMPLES :

- One can consider the following graph, namely the graph of (co)equalizers

$$\bullet \rightrightarrows \bullet$$

Here,  $G_0 = 2$ ,  $G_1(\top, \perp) = 2$  and other  $G_1(i, j)$  are empty.

A diagram over this graph consists of two types  $A$  and  $B$ , and two maps  $f, g : A \rightarrow B$ , producing the diagram

$$A \begin{array}{c} \xrightarrow{f} \\ \rightrightarrows \\ \xrightarrow{g} \end{array} B$$

- The graph of the mapping telescope is

$$\bullet \longrightarrow \bullet \longrightarrow \dots$$

In other words,  $G_0 = \mathbb{N}$  and  $G_1(i, i+1) = 1$ .

A diagram over the mapping telescope is a sequence of types  $P : \mathbb{N} \rightarrow \text{Type}$  together with arrows  $f_n : P_n \rightarrow P_{n+1}$ :

$$P_0 \xrightarrow{f_0} P_1 \xrightarrow{f_1} \dots$$

What we would like now would be to define the colimits of these diagrams over graphs, that would satisfy type theoretic versions of usual properties: it should make the diagram commute, and be universal with respect to this property. From now on, let  $G$  be a graph and  $D$  a diagram over this graph.

The commutation of the diagram is easy: the colimit should be the tip of a cocone.

#### Definition 4.3 : Cocone

Let  $Q$  be a type. A cocone over  $D$  into  $Q$  is the data of arrows  $q_i : D_i \rightarrow Q$ , and for any  $i, j : G$  and  $g : G(i, j)$ , an homotopy  $q_j \circ D(g) \sim q_i$ .

If  $Q$  and  $Q'$  are type with an arrow  $f : Q \rightarrow Q'$ , and if  $C$  is a cocone over  $D$  into  $Q$ , one can easily build a cocone on  $D$  into  $Q'$  by postcomposing all maps of the cocone by  $f$ , giving a map

$$\text{postcompose}_{\text{cocone}} : \text{cocone}_D(Q) \rightarrow (Q' : \text{Type}) \rightarrow (Q \rightarrow Q') \rightarrow \text{cocone}_D(Q')$$

The other way around (from a cocone into  $Q'$ , give a map  $Q \rightarrow Q'$ ) is exactly the second condition we seek:

**Definition 4.4 : Universality of a cocone**

Let  $Q$  be a type, and  $C$  be a cocone over  $D$  into  $Q$ .  $C$  is said universal if for any type  $Q'$ ,  $\text{postcompose}_{\text{cocone}}(C, Q')$  is an equivalence.

We can finally define what it means for  $Q$  to be a colimit of  $D$ .

**Definition 4.5 : Colimit**

A type  $Q$  is said to be a colimit of  $D$  if there is a cocone  $C$  over  $D$  into  $Q$ , which is universal.

EXAMPLE – Let  $A, B$  be types and  $f, g : A \rightarrow B$ . Let  $Q$  be the HIT generated by

$$\left| \begin{array}{l} q : B \rightarrow Q \\ \alpha : q \circ f \sim q \circ g \end{array} \right.$$

. Then  $Q$  is a colimit of the coequalizer diagram associated to  $A, B, f, g$ . We say that  $Q$  is a coequalizer of  $f$  and  $g$ .

Note that for any diagram  $D$ , one can build a free colimit of  $D$ , namely the higher inductive type  $\text{colim}(D)$  generated by

$$\left| \begin{array}{l} \text{colim} : \prod_{i:G} D_i \rightarrow \text{colim}(D) \\ \alpha_{\text{colim}} : \prod_{i,j:G} \prod_{g:G(i,j)} \prod_{x:D_i} \text{colim}_j \circ D(g) \sim \text{colim}_i \end{array} \right.$$

**4.1.2 Properties of colimits**

Diagrams can be thought as functors from type of graphs to Type, and hence one can define morphisms between diagrams as natural transformation.

**Definition 4.6 : Morphism of diagram**

Let  $D$  and  $D'$  be two diagrams over the same graph  $G$ . A morphism of diagram  $m$  between  $D$  and  $D'$  is the data of

- for all  $i : G$ , a map  $m_i : D_i \rightarrow D'_i$
- for all  $g : G(i, j)$ , a path  $D'(g) \circ m_i = m_j \circ D(g)$

This definition leads to obvious definition of identity morphism of diagrams, and composition of morphisms of diagrams.

Then, two diagrams  $D$  and  $D'$  are said to be equivalent if there is a morphism of diagrams  $m$  between  $D$  and  $D'$  such that all  $D_i$  are equivalences. It can easily be checked that the morphism  $m^{-1}$  given by inverting all  $m_i$ 's satisfies  $m \circ m^{-1} = \text{id}$  and  $m^{-1} \circ m = \text{id}$ .

In the previous section, we defined the map  $\text{postcompose}_{\text{cocone}}$  changing a cocone into  $Q$  and a map  $Q \rightarrow Q'$  into a cocone into  $Q'$ . We now define a map  $\text{precompose}_{\text{cocone}}$  taking a morphism of diagrams  $m$  between  $D$  and  $D'$ , and a cocone over  $D'$  into  $X$ , and giving a cocone over  $D$  into  $X$ :

**Definition 4.7**

Let  $m$  be a morphism of diagrams between  $D$  and  $D'$ , and  $X$  a type. Any cocone over  $D'$  into  $X$  can be changed into a cocone over  $D$  into  $X$ , by precomposing all maps in the cocone by the  $m_i$ 's:

$$\text{precompose}_{\text{cocone}} : \text{Hom}(D, D') \rightarrow \text{cocone}_{D'}(X) \rightarrow \text{cocone}_D(X).$$

Precomposition by a morphism of diagrams and postcomposition by a morphism are compatible with composition and identities, in the sense that

$$\begin{aligned} \text{precompose}_{\text{cocone}}(m \circ m') &= (\text{precompose}_{\text{cocone}} m) \circ (\text{precompose}_{\text{cocone}} m') \\ \text{precompose}_{\text{cocone}}(\text{idmap}) &= \text{idmap} \\ \text{postcompose}_{\text{cocone}}(\varphi \circ \varphi') &= (\text{postcompose}_{\text{cocone}} \varphi) \circ (\text{postcompose}_{\text{cocone}} \varphi') \\ \text{postcompose}_{\text{cocone}}(\text{idmap}) &= \text{idmap} \end{aligned}$$

These properties allows us to express functoriality properties of colimits. If  $m$  is a morphism between diagrams  $D$  and  $D'$ , then  $\text{postcompose}_{\text{cocone}}^{-1} \circ \text{precompose}_{\text{cocone}}$  is a map  $Q \rightarrow Q'$ , where  $Q$  (resp.  $Q'$ ) is a colimit of  $D$  (resp.  $D'$ ). One can even check that if  $m$  is an equivalence of diagrams, then the produced map  $Q \rightarrow Q'$  is an equivalence of types. This is the lemma:

**Lemma 4.8**

Let  $D$  and  $D'$  be two equivalent diagrams, with respective colimits  $Q$  and  $Q'$ . Then  $Q \simeq Q'$ .

In particular, identity of diagrams being an equivalence, it asserts that the colimit of a diagram is unique (up to equivalence). From now on, as we supposed since chapter 2 the univalence axiom, we will say *the* colimit of a diagram.

One more interesting property of colimits is that it is stable by dependent sums. More precisely, let  $X$  be a type, and  $D_x$  a diagram over a graph  $G$  for all  $x : X$ . We want to link the colimits  $Q_x$  of diagrams  $D_x$  with the colimit of  $\sum_{x:X} D_x$ .

**Definition 4.9 : Dependent diagram**

Let  $G$  be a graph,  $X$  a type and  $D_x$  a diagram over  $G$  for all  $x : X$ . The diagram  $\sum_{x:X} D_x$  is the diagram defined by

- $(\sum_{x:X} D_x)(i) = \sum_{x:X} D_x(i)$
- $(\sum_{x:X} D_x)(\phi) = (\text{idmap}, D_x(\phi))$

Note that a family  $C_x$  of cocones over  $D_x$  can be extended to a cocone  $\sum_{x:X} C_x$  on  $\sum_{x:X} D_x$ . Then, the expected result is true



**Proposition 4.10**

If, for all  $x : X$ ,  $Q_x$  is the colimit of  $D_x$ , then  $\sum_{x:X} Q_x$  is the colimit of  $\sum_{x:X} D_x$ .

**4.1.3 Truncated colimits**

As said in the introduction, we now give a truncated version of colimits. Colimits actually behave well with respect to truncations. Indeed, if  $D$  is a diagram and  $P$  a colimit of  $D$ , then  $\|P\|_n$  is the  $n$ -colimit of the  $n$ -truncated diagram  $\|D\|_n$ . Let's make it more precise.

**Definition 4.11 : Truncation of a diagram**

Let  $D$  be a diagram over a graph  $G$ , and  $n$  a truncation index. Then the diagram  $\|D\|_n$  is the diagram over  $G$  defined by

- $(\|D\|_n)_0(i) \stackrel{\text{def}}{=} \|D_0(i)\|_n : \text{Type}_n$
- $(\|D\|_n)_1(\phi) \stackrel{\text{def}}{=} |D_1(\phi)|_n : \|D_0(i)\|_n \rightarrow \|D_0(j)\|_n$

**Definition 4.12**

Let  $D$  be a diagram over a graph  $G$ ,  $P$  be a type, and  $C$  a cocone over  $D$  into  $P$ .  $C$  is said  $n$ -universal if for any  $Q : \text{Type}_n$ ,  $\text{postcompose}_{\text{cocone}}(C, Q)$  is an equivalence.

Then,  $P$  is said to be a  $n$ -colimit of  $D$  if there is a cocone  $C$  over  $D$  into  $P$  which is  $n$ -universal.

We can now give the fundamental proposition linking colimit and  $n$ -colimit.

**Proposition 4.13**

Let  $D$  be a diagram, and  $P : \text{Type}$ . Then, if  $P$  is a colimit of  $D$ ,  $\|P\|_n$  is a  $n$ -colimit of  $\|D\|_n$ .

The proof of this is really straightforward: a cocone over  $D$  into  $P$  can be changed equivalently into a cocone over  $\|D\|_n$  into  $\|P\|_n$ , using the elimination principle 2.16 of truncations, and then we can show that the following diagram commutes for any  $X : \text{Type}_n$

$$\begin{array}{ccc}
 \|P\|_n \rightarrow X & \longrightarrow & \text{cocone}(\|D\|_n, X) \\
 \downarrow \wr & & \uparrow \wr \\
 P \rightarrow X & \xrightarrow{\sim} & \text{cocone}(D, X)
 \end{array}$$

**NOTA**

— This result does not hold for limits. If it were true, then applying it to the

following equalizer diagram

$$A \begin{array}{c} \xrightarrow{f} \\ \rightrightarrows_{\lambda, y} \end{array} B$$

with  $A, B : \text{Type}$ ,  $f : A \rightarrow B$  and  $y : B$  would lead to an equivalence

$$\left\| \sum_{a:A} f a = y \right\|_n \simeq \sum_{a: \|A\|_n} |f|_n a = |y|_n,$$

proving left-exactness of  $n$ -truncation.

#### 4.1.4 Towards highly coherent colimits

In category theory, a diagram over a graph  $G$  in a category  $\mathcal{C}$  is a functor  $G \rightarrow \mathcal{C}$ . Our definition of diagrams doesn't reflect this definition, as we don't take care of composition of morphisms in the category (actually, we only define a map  $G \rightarrow \mathcal{C}$ ). Diagrams over a category are defined in [HoTT, Exercise 7.16]. We will here define these diagrams, and the associated colimits.

NOTE

This new definition of diagrams is not sufficient to reflect what we would want to express. If we view homotopy type theory as  $\omega$ -topos theory, what we want is rather a  $\omega$ -functor from a graph into the  $\omega$ -topos. That is an important open problem in homotopy type theory (even defining simplicial types is an open problem). It requires to handle an infinity of coherence levels, with finite data.

However, we could define, for any fixed  $n$ , diagrams and colimits coherent up to coherence level  $n$  (but that would be a real nightmare).

The main goal of this section is to define the colimit of the coequalizer with degeneracy  $\delta$

$$\begin{array}{ccc} & \delta & \\ & \curvearrowright & \\ A & \begin{array}{c} \xrightarrow{f} \\ \rightrightarrows_g \end{array} & B \end{array}$$

and compositions  $c_f : f \circ \delta = \text{idmap}$  and  $c_g : g \circ \delta = \text{idmap}$ . We will use this coequalizer to define the Boulier's construction in next section 4.2.

If we only take the previous definition of colimits, what we miss is the commutation of the following diagram

$$\begin{array}{ccc} q \circ f \circ \delta & \xrightarrow{q \circ c_f} & q \\ \alpha \circ \delta \downarrow & \nearrow q \circ c_g & \\ q \circ g \circ \delta & & \end{array}$$

Our idea to define the colimit of this diagram with degeneracy is to add it directly into the definition of the higher inductive type:

$$\left| \begin{array}{ll} \text{colim} & : B \rightarrow Q \\ \text{colim}_\alpha & : \prod_{x:A} f\,x = g\,x \\ \text{colim}_\alpha^\circ & : \prod_{y:B} \text{colim}_\alpha(\delta\,y) = c_f(y) \cdot c_g(y)^{-1} \end{array} \right.$$

NOTE

We indeed see here why this idea cannot be extended to a fully coherent notion of colimits: we cannot define a higher inductive type with an infinity of constructors. Hopefully, adding this first level of coherence will be sufficient for our applications.

The new constructor  $\text{colim}_\alpha^\circ$  indeed asserts the commutation of the desired diagram. We can view this higher inductive type as the same type as the colimit over the coequalizer graph, but which does not add already existing paths.

One can easily (but very technically) check that properties in section 4.1.2 are still satisfied by this new notion of colimit.

## 4.2 Van Doorn's and Boulrier's constructions

In topos theory, there is a result that we would want to use in chapter 5:

**Lemma 4.14 :** [MM92, p. IV.7.8]

*In a topos  $\mathcal{E}$ , if  $f \in \text{Hom}_{\mathcal{E}}(A, B)$  is an epimorphism, then the colimit of*

$$A \times_B A \rightrightarrows A$$

*is  $B$ . The pullback  $A \times_B A$  is called the kernel pair of  $f$ .*

Unfortunately, this result fails in higher topos ; the kernel pair should be replaced by the Čech nerve of  $f$ .

$$\dots \rightrightarrows A \times_B A \times_B A \rightrightarrows A \times_B A \rightrightarrows A \xrightarrow[\text{colim}]{f} B$$

The issue we face in homotopy type theory is that the definition of the Čech nerve, and in general of simplicial objects is a hard open problem. It involves an infinite tower of coherences, and we do not know how to handle this. However, there is a way to define a diagram depending on a map  $f$ , which colimit is  $\text{Im}(f)$ .

The starting point of the construction is Floris Van Doorn's construction of proposition truncation [Van16].

**Proposition 4.15 : Van Doorn's construction**

Let  $A : \text{Type}$ . We define the higher inductive type  $TA$  as the coequalizer of

$$A \times A \xrightarrow[\pi_2]{\pi_1} A.$$

The colimit of the diagram

$$A \xrightarrow{q} TA \xrightarrow{q} TTA \xrightarrow{q} TTTA \xrightarrow{q} \dots$$

is  $\|A\|_{-1}$ .

Let's compare the direct definitions of  $\|A\|_{-1}$  and  $TA$

$$\|A\|_{-1} \left| \begin{array}{l} \text{tr} : A \rightarrow \|A\|_{-1} \\ \alpha_{\text{tr}} : \prod_{x,y:\|A\|_{-1}} x = y \end{array} \right. \quad TA \left| \begin{array}{l} q : A \rightarrow TA \\ \alpha : \prod_{x,y:A} qx = qy \end{array} \right.$$

The definitions are almost the same, except that the path constructor of  $TA$  quantifies over  $A$ , while the one of  $\|A\|_{-1}$  quantifies over  $\|A\|_{-1}$  itself: such a higher inductive type is a *recursive* inductive type. Thus, proposition 4.15 allows us to build the truncation in a non-recursive way. The counterpart is that we have to iterate the construction. In [Bou16], we found a way to generalize a bit this result. The main idea is that iterating the kernel pair construction will result in a diagram of colimit  $\text{Im}(f)$ .

Now, let  $A, B : \text{Type}$  and  $f : A \rightarrow B$ . We define the kernel pair of  $f$  as the coequalizer of

$$A \times_B A \xrightarrow[\pi_2]{\pi_1} A.$$

In other words,  $\text{KP}(f)$  is the higher inductive type generated by

$$\left| \begin{array}{l} \text{kp} : A \rightarrow \text{KP}(f) \\ \alpha : \prod_{x,y:A} fx = fy \rightarrow kpx = kp y \end{array} \right.$$

Using the eliminator of coequalizers, one can build a map  $\widehat{f} : \text{KP}(f) \rightarrow B$ , such that the following commutes

$$\begin{array}{ccc} A & \xrightarrow{\text{kp}} & \text{KP}(f) \\ & \searrow f & \downarrow \widehat{f} \\ & & B \end{array}$$

Then we can build  $\text{KP}(\widehat{f})$  and build a map  $\widehat{\widehat{f}} : \text{KP}(\widehat{f}) \rightarrow B$ , etc. We have the following result

**Proposition 4.16 : Boulier's construction**

For any  $f : A \rightarrow B$ ,  $\text{Im}(f)$  is the colimit of the iterated kernel pair diagram of  $f$

$$A \longrightarrow \text{KP}(f) \longrightarrow \text{KP}(\widehat{f}) \longrightarrow \text{KP}(\widehat{\widehat{f}}) \longrightarrow \dots$$

In particular, if  $f$  is a surjection, the colimit of this diagram is  $B$ .

*Proof.* The main idea of the proof is the equivalence between the diagrams

$$A \longrightarrow \text{KP}(f) \longrightarrow \text{KP}(\widehat{f}) \longrightarrow \dots$$

$$\sum_{y:B} \text{fib}_f(y) \longrightarrow \sum_{y:B} T(\text{fib}_f(y)) \longrightarrow \sum_{y:B} TT(\text{fib}_f(y)) \longrightarrow \dots$$

Let's begin by showing the first non-trivial equivalence:

$$s : \text{KP}(f) \simeq \sum_{y:B} T(\text{fib}_f(y)). \quad (4.1)$$

$\text{KP}(f)$  is the colimit of  $A \times_B A \xrightarrow[\pi_2]{\pi_1} A$ , and  $\sum_{y:B} T(\text{fib}_f(y))$  is the colimit of  $\sum_{y:B} \text{fib}_f(y) \times \text{fib}_f(y) \xRightarrow{\quad} \sum_{y:B} \text{fib}_f(y)$ . As the two diagrams are equivalent, their colimits are equivalent. We will need the following fact, easily checked

$$\pi_1 \circ s = \widehat{f}.$$

Now, let's prove the other equivalences. We need the following lemma

**Lemma 4.17**

Let  $X, Y : \text{Type}$  and  $\varphi : X \rightarrow Y$ . Then  $\text{fib}_{\widehat{\varphi}}(y) \simeq T(\text{fib}_{\varphi}(y))$ .

*Proof.* We have the following sequence of equivalences:

$$\begin{aligned} \text{fib}_{\widehat{\varphi}}(y) &\stackrel{\text{def}}{=} \sum_{x:\text{KP}(\varphi)} \widehat{\varphi} x = y \\ &\simeq \sum_{x:\sum_{y:B} T(\text{fib}_{\varphi}(y))} \widehat{\varphi} \circ s^{-1}(x) = y \quad \text{by 4.1} \\ &\simeq \sum_{x:\sum_{y:B} T(\text{fib}_{\varphi}(y))} \pi_1(x) = y \\ &\simeq T(\text{fib}_{\varphi}(y)) \end{aligned}$$

◇

Then, using the sum-of-fibers property, we can change the iterated kernel pair of  $f$  into

$$\sum_{y:B} \text{fib}_f(y) \longrightarrow \sum_{y:B} \text{fib}_{\widehat{f}}(y) \longrightarrow \sum_{y:B} \text{fib}_{\widehat{\widehat{f}}}(y) \longrightarrow \dots$$

With the just proved lemma, and a bit of induction, we can prove the desired equivalence of diagrams.

As colimits are stable under dependent sum, we know that the colimit of the diagram is thus  $\sum_{y:B} Qy$ , where  $Q$  is the colimit of

$$\text{fib}_f(y) \longrightarrow T(\text{fib}_f(y)) \longrightarrow TT(\text{fib}_f(y)) \longrightarrow \dots$$

But proposition 4.15 asserts that  $Q \simeq \|\text{fib}_f(y)\|_{-1}$ , and the result is proved.  $\square$

The main issue with Van Doorn's construction is that it does not preserve truncations levels at all. For example, when computing  $\|\mathbf{1}\|_{-1}$ , the first step is  $T\mathbf{1} \simeq S^1$ , which is a 1-type. Asking for preservation of all truncation levels along the diagram might be too much, but the least we could ask is that when starting with a  $P : \text{HProp}$ , the diagram should be the constant diagram  $P \rightarrow P \rightarrow P \rightarrow \dots$ . The Boulier counterpart of this is, when starting with an embedding  $f$ , all  $\widehat{f}$  are embeddings.

This can be achieved by changing operators  $T$  and  $KP$ , by asking them to preserve identities:

$$TA \left| \begin{array}{l} q : A \rightarrow TA \\ \alpha : \prod_{x,y:A} qx = qy \\ \alpha_1 : \prod_{x:A} \alpha(x,x) = 1 \end{array} \right. ; \quad KP(f) \left| \begin{array}{l} kp : A \rightarrow KP(f) \\ \alpha : \prod_{x,y:A} fx = fy \rightarrow qx = qy \\ \alpha_1 : \prod_{x:A} \alpha(x,x,1) = 1 \end{array} \right.$$

This new  $KP$  can be thought of as the coequalizer preserving the “degeneracy”  $\delta$ , as in section 4.1.4:

$$\begin{array}{c} \delta \\ \curvearrowright \\ A \times_B A \xrightarrow[\pi_2]{\pi_1} A \end{array}$$

Then, the following is still true

**Proposition 4.18 : Boulier's construction**

For any  $f : A \rightarrow B$ ,  $\text{Im}(f)$  is the colimit of the iterated kernel pair diagram of  $f$

$$A \longrightarrow KP(f) \longrightarrow KP(\widehat{f}) \longrightarrow KP(\widehat{\widehat{f}}) \longrightarrow \dots$$

Moreover, if  $f$  is an embedding,  $\widehat{f}$  also is.

The proof is almost the same as for proposition 4.16, except that the new constructors in the higher inductives types introduce another level of coherence, which is very technical to handle.

### 4.3 Formalization

Except the next section 4.4, all this chapter has been formalized in Coq, mostly by Simon Boulrier, and the library is available at <https://github.com/SimonBoulrier/hott-colimits>.

Formalization of colimits: what could we say ?...

### 4.4 Towards groupoid objects

Defining groupoid objects in homotopy type theory is an open problem, just as defining simplicial or even semisimplicial types. We will just give here some of our thoughts about this problem.

The first thing to say is that defining a groupoid object in type theory is exactly the same problem as defining a highly coherent equivalence relation. At the moment, the only fully coherent equivalence relation we know in homotopy type theory is the equality, which we can slightly modify to create another ones. For example, if  $f : A \rightarrow B$ , the relation  $f x = f y$  defines an equivalence relation on  $A$ . Actually, when seeing homotopy type theory as the language of  $\omega$ -topoi, the Giraud-Rezk-Lurie axioms in [HTT] asserts that these are the only equivalence relation we can define.

We will call a *uncoherent equivalence relation*, or UER, on a type  $A$  any symmetric, reflexive and transitive relation  $R$  on  $A$ , i.e.  $R$  is a UER on  $A$  if

1. For all  $x, y : A$ ,  $R(x, y) : \text{Type}$
2. For all  $x, y : A$ ,  $\text{Sym}_R(x, y) : R(x, y) \rightarrow R(y, x)$
3. For all  $x : A$ ,  $\text{Refl}_R(x) : R(x, x)$
4. For all  $x, y, z : A$ ,  $\text{Trans}_R(x, y, z) : R(x, y) \rightarrow R(y, z) \rightarrow R(x, z)$

Then, if we want to mimic the behaviour of equalities, we can think of an equivalence relation on  $A$  as the data of an UER  $R_0$  on  $A$ , and for all  $x, y : A$ , an UER  $R_1^{x,y}$  on  $R(x, y)$ , and for all  $u, v : R(x, y)$ , an UER  $R_2^{u,v}$  on  $R_1(u, v)$ , etc. This can be formalized by a coinductive type  $R : \text{ER}(A)$  with constructors

- $R_0$  is an UER on  $A$
- $R_1 : \prod_{x,y:A} \text{ER}(R_0(x, y))$

The issue with such a definition is that all these uncoherent equivalence relation have to be coherent with each other, for example we want

$$R_1^{x,x}(\text{Trans}_{R_0}(x, x, x) \text{Refl}_{R_0}(x) \text{Refl}_{R_0}(x), \text{Refl}_{R_0}(x))$$

Adding all these desired coherences by hand is not an option, as there are an infinity of them.

The next idea is to use the Boulier's construction. Let  $R_0$  be an UER on a type  $A$ . We define then the higher inductive type  $\Xi_0$  generated by

$$\left| \begin{array}{ll} \xi_0 & : A \rightarrow \Xi_0 \\ \alpha_0 & : \prod_{x,y:A} R_0(x,y) \rightarrow \xi_0 x = \xi_0 y \\ \alpha_0^{\text{Refl}} & : \prod_{x:A} \alpha_0(x,x, \text{Refl}_{R_0}(x)) = 1 \\ \alpha_0^{\text{Sym}} & : \prod_{x,y:A} \prod_{u:R_0(x,y)} \alpha_0(y,x, \text{Sym}_{R_0}(u)) = (\alpha_0(x,y,u))^{-1} \\ \alpha_0^{\text{Trans}} & : \prod_{x,y,z:A} \prod_{u:R_0(x,y)} \prod_{v:R_0(y,z)} \alpha_0(x,z, \text{Trans}_{R_0}(u,v)) = \alpha_0(x,y,u) \cdot \alpha_0(y,z,v) \end{array} \right.$$

$\Xi_0$  can be seen as the quotient type of  $A$  by  $R_0$ . In other words,  $\Xi_0$  is the same type as  $A$ , but where  $R_0$  has been changed by equalities. Then, an equivalence relation on  $A$  could be defined coinductively as an UER  $R_0$  on  $A$  together with an equivalence relation on  $\Xi_0$ .

Our hope is that the Boulier's construction is still valid in this context, *i.e.* that if we consider the colimit  $\Xi_\omega$  of the diagram

$$\begin{array}{ccccccc} A & \xrightarrow{\quad} & \Xi_0 & \xrightarrow{\quad} & \Xi_1 & \xrightarrow{\quad} & \cdots \\ & \searrow & \downarrow \zeta_0 & & \downarrow \zeta_1 & \nearrow & \\ & & \Xi_\omega & & & & \end{array}$$

then the equivalence relation defined by  $(R_i)$  is equivalent to the equivalence relation on  $A$  defined by  $x \sim y \stackrel{\text{def}}{=} \zeta x = \zeta y$ .

Define groupoid objects in HoTT, then write it here



## 5 Sheaves in homotopy type theory

Reductio ad absurdum, which Euclid loved so much, is one of a mathematician's finest weapons. It is a far finer gambit than any chess gambit: a chess player may offer the sacrifice of a pawn or even a piece, but a mathematician offers the game.

---

Godfrey Harold Hardy

In topos theory, sheafification can be seen as a way to transform a topos into another one. It is used, for example, to build, from any topos  $\mathcal{T}$ , a boolean topos (*i.e.* satisfying the excluded middle property) satisfying the axiom of choice and negating the continuum hypothesis [MM92, Theorem VI.2.1]. This is actually an adaptation of a slightly older method, in set theory, to change a model  $\mathfrak{M}$  of ZFC into a model  $\mathfrak{M}[G]$  of ZFC, satisfying other principles, called *forcing*. It's most famous application is the proof of consistency of ZFC with the negation of the continuum hypothesis, by Paul Cohen [Coh66], answering (neither negatively nor positively) the first Hilbert's problem. Indeed, Gödel proved in 1938 the consistency of ZFC with continuum hypothesis [Göd38] using the constructible model  $\mathfrak{L}$ . The global idea of this technique is to add to the theory ZFC partial information about the witness of  $\neg\text{CH}$ . Then, supposing that ZFC is coherent, it is provable that ZFC together with a finite number of approximation of the desired object is still consistent. Then, the compactness theorem allows to prove the consistency of ZFC with *all* approximations, *i.e.* with a witness of  $\neg\text{HC}$ .

Then, forcing has been adapted to the setting of topos theory by Myles Tierney [Tie72], through the notion of sheaves. Note that, in topos theory, there are two different kind of sheaves: Grothendieck sheaves, which only exists on a presheaf topos, and Lawvere-Tierney sheaves. One can show that Lawvere-Tierney sheaves, when considered on a presheaf topos, are exactly the Grothendieck sheaves; thus, Lawvere-Tierney sheaves can be seen as a generalization of Grothendieck sheaves. Given a topos  $\mathcal{T}$ , one can build another topos – the topos of sheaves  $\text{Sh}(\mathcal{T})$  – together with geometric embedding from  $\text{Sh}(\mathcal{T})$  to  $\mathcal{T}$  called sheafification. Depending on the sheaves we chose to treat, the topos  $\text{Sh}(\mathcal{T})$  satisfies new principles. The construction of

the geometric embedding is done in [MM92, Section V.3], and briefly recalled in section 5.1.

The development of higher topos theory (and more generally, higher category theory) leads to wonder if a notion of sheafification still exists in this setting. This question is answered positively in [HTT], where the author build a sheafification functor, but only for Grothendieck sheaves. Surprisingly, sheafification in a higher topos is just an iteration of the process of sheafification in topos theory. It seems that Lawvere-Tierney sheaves were not considered in this new setting.

Similar questions have been considered around the Curry-Howard isomorphism, to extend a programming language close to type theory with new logical or computational principle while keeping consistency automatically. For instance, much efforts have been done to provide a computational content to the law of excluded middle in order to define a constructive version of classical logic. This has lead to various calculi, with most notably the  $\lambda\mu$ -calculus of Parigot [Par93], but this line of work has not appeared to be fruitful to define a new version of type theory with classical principles. Other works have tried to extend continuation-passing-style (CPS) transformation to type theory, but they have been faced with the difficulty that the CPS transformation is incompatible with (full) dependent sums [BU02], which puts emphasis on the tedious link between the axiom of choice and the law of excluded middle in type theory. Nevertheless the axiom of choice has shown to be realizable by computational meaning in a classical setting by techniques turning around the notion of (modified) bar induction [BBC98], Krivine’s realizability [Kri03] and even more recently with restriction on elimination of dependent sums and lazy evaluation [Her12]. The work on forcing in type theory [JTS12; Jab+16] also gives a computational meaning to a type theory enriched with new logical or computational principle.

Section 5.2 presents a definition of the sheafification functor in the setting of homotopy type theory. Actually, this construction is entirely complementary to forcing in type theory, as forcing corresponds to the presheaf construction while Lawvere-Tierney sheafification corresponds to the topological transformation that allows to go from the presheaf construction to the sheaf construction.

## 5.1 Sheaves in topoi

In this section, we will rather work in an arbitrary topos rather in type theory. The next section will present a generalisation of the results presented here.

Let us fix for the whole section a topos  $\mathcal{E}$ , with subobject classifier  $\Omega$ . A *Lawvere-Tierney topology* on  $\mathcal{E}$  is a way to modify slightly truth values of  $\mathcal{E}$ . It allows to speak about *locally true* things instead of *true* things.

**Definition 5.1 : Lawvere-Tierney topology [MM92]**

A Lawvere-Tierney topology is an endomorphism  $j : \Omega \rightarrow \Omega$  preserving  $\top$  ( $j \top = \top$ ), idempotent ( $j \circ j = j$ ) and commuting with products ( $j \circ \wedge = \wedge \circ (j, j)$ ).

A classical example of Lawvere-Tierney topology is given by double negation. Other examples are given by Grothendieck topologies, in the sense

**Theorem 5.2 : [MM92, Theorem V.1.2]**

Every Grothendieck topology  $J$  on a small category  $\mathbf{C}$  determines a Lawvere-Tierney topology  $j$  on the presheaf topos  $\mathbf{Sets}^{\mathbf{C}^{\text{op}}}$ .

Any Lawvere-Tierney topology  $j$  on  $\mathcal{E}$  induces a closure operator  $A \mapsto \overline{A}$  on subobjects. If we see a subobject  $A$  of  $E$  as a characteristic function  $\chi_A$ , the closure  $\overline{A}$  corresponds to the subobject of  $E$  whose characteristic function is

$$\chi_{\overline{A}} = j \circ \chi_A.$$

A subobject  $A$  of  $E$  is said to be dense when  $\overline{A} = E$ .

Then, we are interested in objects of  $\mathcal{E}$  for which it is impossible to make a distinction between objects and their dense subobjects, *i.e.* for which “true” and “locally true” coincide. Such objects are called *sheaves*, and are defined as

**Definition 5.3 : Sheaves [MM92, Section V.2]**

An object  $F$  of  $\mathcal{E}$  is a sheaf (or  $j$ -sheaf) if for every dense monomorphism  $m : A \hookrightarrow E$  in  $\mathcal{E}$ , the canonical map  $\text{Hom}_{\mathcal{E}}(E, F) \rightarrow \text{Hom}_{\mathcal{E}}(A, F)$  is an isomorphism.

One can show that  $\text{Sh}_{\mathcal{E}}$ , the full sub-category of  $\mathcal{E}$  given by sheaves, is again a topos, with classifying object

$$\Omega_j = \{P \in \Omega \mid jP = P\}.$$

Lawvere-Tierney sheafification is a way to build a left adjoint  $\mathbf{a}_j$  to the inclusion  $\mathcal{E} \hookrightarrow \text{Sh}(\mathcal{E})$ , exhibiting  $\text{Sh}(\mathcal{E})$  as a reflective subcategory of  $\mathcal{E}$ . In particular, that implies that logical principles valid in  $\mathcal{E}$  are still valid in  $\text{Sh}(\mathcal{E})$ .

For any object  $E$  of  $\mathcal{E}$ ,  $\mathbf{a}_j(E)$  is defined as in the following diagram

$$\begin{array}{ccc}
 E & \xrightarrow{\{\cdot\}_E} & \Omega^E \\
 \theta_E \downarrow & & \downarrow j^E \\
 E' & \xrightarrow{\quad} & \Omega_j^E \\
 \text{closure} \searrow & & \nearrow \\
 & \mathbf{a}_j(E) &
 \end{array}$$

The proof that  $\mathbf{a}_j$  defines a left adjoint to the inclusion can be found in [MM92].

One classical example of use of sheafification is the construction, from any topos, of a boolean topos negating the continuum hypothesis. More precisely:

**Theorem 5.4 : Negation of CH [MM92, Theorem VI.2.1]**

*There exists a Boolean topos satisfying the axiom of choice, in which the continuum hypothesis fails.*

The proof actually follows almost exactly the famous proof of the construction by Paul Cohen of a model of ZFC negating the continuum hypothesis [Coh66]. Together with the model of constructible sets  $\mathfrak{L}$  by Kurt Gödel [Göd40], it proves that CH is independent of ZFC, solving first Hilbert’s problem.

## 5.2 Sheaves in homotopy type theory

The idea of this section is to consider sheafification in topoi as only the first step towards sheafification in type theory. We note that axioms for a Lawvere-Tierney topology on the subobject classifier  $\Omega$  of a topos are very close to those of a modality on  $\Omega$ . We will extensively use this idea, applying it to every subobject classifier  $\text{Type}_n$  we described in 2.4. The subobject classifier  $\Omega$  of a topos is seen as the *truth values* of the topos, which corresponds to the type  $\text{HProp}$  in our setting ; the topos is considered proof irrelevant, corresponding to our  $\text{HSet}$ . Sheafification in topoi is thus a way, when translated to the setting of homotopy type theory, to build, from a left-exact modality on  $\text{HProp}$ , a left-exact modality on  $\text{HSet}$ . Our hope in this section is to iterate this construction by applying it to the subobject classifier  $\text{HSet}$  equipped with a left-exact modality, to build a new left-exact modality on  $\text{Type}_1$ , and so on.

The first thing we can note is that such a construction will not allow to reach every type: it is known that there exists types with no finite truncation level [HoTT, Example 8.8.6]. Even worse, some types are not even the limit of its successive truncations, even in a hypercomplete setting [MV98]. It suggests that defining a sheafification functor for all truncated types won’t give (at least easily) a sheafification functor on whole  $\text{Type}$ . Another issue that can be pointed is the complexity of proofs. If, in a topos-theoretic setting, everything is proof-irrelevant, it won’t be the case for higher settings, forcing us to prove results that were previously true on the nose. This will oblige us to write long and technical proofs of coherence, and more deeply, to modify completely some lemmas, such as Proposition [MM92, Theorem IV.7.8], stating that epimorphisms are coequalizers of their kernel pair.

The main idea is thus to follow as closely as possible the topos-theoretic construction, and change it as few times as possible to make it work in our higher setting.

Note that the principles we want to add are added directly from the  $\text{HProp}$  level, the extension to all truncated types is automatic. The choice of the left-

exact modality on  $\mathbf{HProp}$  is thus crucial. For the rest of the section, we fix one, noted  $\circ_{-1}$ . The reader can think of the double negation  $\circ_{\neg\neg}$  defined in 3.2.3. We will define, by induction on the truncation level, left-exact modalities on all  $\mathbf{Type}_n$ , as in the following theorem.

**Theorem 5.5**

*The sequence defined by induction by*

$$\begin{aligned} \circ : \forall (n : \mathbf{nat}), \mathbf{Type}_n &\rightarrow \mathbf{Type}_n \\ \circ_{-1} (T) &\stackrel{\text{def}}{=} j T \\ \circ_{n+1} (T) &\stackrel{\text{def}}{=} \sum_{u:T \rightarrow \mathbf{Type}_n^\circ} \circ_{-1} \left\| \sum_{a:T} u = (\lambda t, \circ_n(a = t)) \right\| \end{aligned}$$

*defines a sequence of left-exact modalities, coherent with each others in the sense that the following diagram commutes for any  $P : \mathbf{Type}_n$ , where  $\widehat{P}$  is  $P$  seen as an inhabitant of  $\mathbf{Type}_{n+1}$ .*

$$\begin{array}{ccc} P & \xrightarrow{\sim} & \widehat{P} \\ \eta_n \downarrow & & \downarrow \eta_{n+1} \\ \circ_n P & \xrightarrow{\sim} & \circ_{n+1} \widehat{P} \end{array}$$

### 5.2.1 Sheaf theory

Let  $n$  be a truncation index greater than  $-1$ , and  $\circ_n$  be the left-exact modality given by our induction hypothesis. As in the topos-theoretic setting, we will define what it means for a type to be a  $n$ -sheaf (or just “sheaf” if the context is clear), and consider the reflective subuniverses of these sheaves ; the reflector will exactly be the sheafification functor. The main issue to give the “good” definition is the choice of the subobject classifier in which dense subobjects will be chosen: two choices appears,  $\mathbf{HProp}$  and  $\mathbf{Type}_n$  ; we will actually use both. What guided our choice is the crucial property that the type of all  $n$ -sheaves has to be a  $(n+1)$ -sheaf.

From the modality  $\circ_n$ , one can build a *closure operator*.

**Definition 5.6 : (closure, closed, EnJ)**

Let  $E$  be a type.

- The closure of a subobject of  $E$  with  $n$ -truncated homotopy fibers (or  $n$ -subobject of  $E$ , for short), classified by  $\chi : E \rightarrow \mathbf{Type}_n$ , is the subobject of  $E$  classified by  $\circ_n \circ \chi$ .
- An  $n$ -subobject of  $E$  classified by  $\chi$  is said to be closed in  $E$  if it is equal to its closure, i.e. if  $\chi = \circ_n \circ \chi$ .

- An  $n$ -subobject of  $E$  classified by  $\chi$  is said to be dense in  $E$  if its closure is  $E$ , i.e. if  $\bigcirc_n \circ \chi = \lambda e, \mathbf{1}$

Topos-theoretic sheaves are characterized by a property of existence and uniqueness, which will be translated, as usual, into a proof that a certain function is an equivalence.

**Definition 5.7 : Restriction** (`E_to_χmono_map`, `E_to_χ_map`)

Let  $E, F : \text{Type}$  and  $\chi : E \rightarrow \text{Type}$ . We define the restriction map  $\Phi_E^\chi$  as

$$\Phi_E^\chi : \begin{array}{ccc} E \rightarrow F & \longrightarrow & \sum_{e:E} \chi e \rightarrow F \\ f & \longmapsto & f \circ \pi_1 \end{array} .$$

Here, we need to distinguish between dense  $(-1)$ -subobjects, that will be used in the definition of sheaves, and dense  $n$ -subobjects, that will be used in the definition of separated types.

**Definition 5.8 : Separated Type** (`separated`)

A type  $F$  in  $\text{Type}_{n+1}$  is separated if for any type  $E$ , and all dense  $n$ -subobject of  $E$  classified by  $\chi$ ,  $\Phi_E^\chi$  is an embedding.

With topos theory point of view, it means that given a map  $\sum_{e:E} \chi e \rightarrow F$ , if there is an extension  $\tilde{f} : E \rightarrow F$ , then it is unique, as in

$$\begin{array}{ccc} \sum_{e:E} \chi e & \xrightarrow{f} & F \\ \pi_1 \downarrow & \nearrow \tilde{f} & \\ E & & \end{array} \quad !$$

**Definition 5.9 : Sheaf** (`Snsheaf_struct`)

A type  $F$  of  $\text{Type}_{n+1}$  is a  $(n+1)$ -sheaf if it is separated, and for any type  $E$  and all dense  $(-1)$ -subobject of  $E$  classified by  $\chi$ ,  $\Phi_E^\chi$  is an equivalence.

In topos-theoretic words, it means that given a map  $f : \sum_{e:E} \chi e \rightarrow F$ , one can extend it uniquely to  $\tilde{f} : E \rightarrow F$ , as in

$$\begin{array}{ccc} \sum_{e:E} \chi e & \xrightarrow{f} & F \\ \pi_1 \downarrow & \nearrow \exists! \tilde{f} & \\ E & & \end{array}$$

Note that these definitions are almost the same as the ones in [MM92]. The main difference is that separated is defined for  $n$ -subobjects, while sheaf only

for  $(-1)$ -subobjects. It might seem bizarre to make such a distinction, but the following proposition gives a better understanding of the situation.

**Proposition 5.10 : (nj\_paths\_separated)**

A type  $F$  is  $\text{Type}_{n+1}$  is separated if, and only if all its path types are  $n$ -modal, ie

$$\prod_{x,y:F} (\odot_n(x = y)) = (x = y).$$

A  $(n+1)$ -sheaf is hence just a type satisfying the usual property of sheaves (i.e. existence of uniqueness of arrow extension from dense  $(-1)$ -subobjects), with the condition that all its path types are  $n$ -sheaves. It is a way to force the compatibility of the modalities we are defining.

One can check that the property  $\text{IsSeparated}$  (resp.  $\text{IsSheaf}$ ) is  $\text{HProp}$ : given a  $X : \text{Type}_{n+1}$ , there is at most one way for it to be separated (resp. a sheaf). In particular, when needed to prove equality between two sheaves, it suffices to show the equality between the underlying types.

As said earlier, these definitions allow us to prove the fundamenteal property that the type of all  $n$ -sheaves is itself a  $(n+1)$ -sheaf (this can be viewed as an equivalent definition of left-exactness).

**Proposition 5.11 : (nType\_j\_Type\_is\_SnType\_j\_Type)**

$\text{Type}_n^\odot$  is a  $(n+1)$ -sheaf.

*Proof.* We have two things to prove here : separation, and sheafness.

- Let  $E : \text{Type}$  and  $\chi : E \rightarrow \text{Type}$ , dense in  $E$ . Let  $\phi_1, \phi_2 : E \rightarrow \text{Type}_n^\odot$ , such that  $\phi_1 \circ \pi_1 = \phi_2 \circ \pi_1$  and let  $x : E$ . We show  $\phi_1(x) = \phi_2(x)$  using univalence.

As  $\chi$  is dense, we have a term  $m_x : \odot_n(\chi x)$ . But as  $\phi_2(x)$  is modal, we can obtain a term  $h_x : \chi x$ . As  $\phi_1$  and  $\phi_2$  are equal on  $\sum_{e:E} \chi e$ , we have an arrow  $\phi_1(x) \rightarrow \phi_2(x)$ . The same method leads to an arrow  $\phi_2(x) \rightarrow \phi_1(x)$ , and one can prove that they are each other inverse.

- Now, we prove that  $\text{Type}_n^\odot$  is a sheaf. Let  $E : \text{Type}$  and  $\chi : E \rightarrow \text{HProp}$ , dense in  $E$ . Let  $f : \sum_{e:E} \chi e \rightarrow \text{Type}_n^\odot$ . We want to extend  $f$  into a map  $E \rightarrow \text{Type}_n^\odot$ .

We define  $g$  as  $g(e) = \odot_n(\text{fib}_\phi(e))$ , where

$$\phi : \sum_{b:\sum_{e:E} \chi e} (f b) \rightarrow E$$

defined by  $\phi(x) = (x_1)_1$ . Using the following lemma, one can prove that the map  $f \mapsto g$  defines an inverse of  $\Phi_E^\chi$ .

**Lemma 5.12 : (nj\_fibers\_compose)**

Let  $A, B, C : \text{Type}_n$ ,  $f : A \rightarrow B$  and  $g : B \rightarrow C$ . Then if all fibers of  $f$  and  $g$  are  $n$ -truncated, then

$$\prod_{c:C} (\circ_n(\text{fib}_{g \circ f}(c))) \simeq \circ_n \left( \sum_{w:\text{fib}_g(c)} \circ_n(\text{fib}_f(w_1)) \right).$$

*Proof.* This is just a modal counterpart of the property characterizing fibers of composition of function.  $\diamond$

□

Another fundamental property on sheaves we will need is that the type of (dependent) functions is a sheaf as soon as its codomain is a sheaf.

**Proposition 5.13 : (dep\_prod\_SnType\_j\_Type)**

If  $A : \text{Type}_{n+1}$  and  $B : A \rightarrow \text{Type}_{n+1}$  such that for any  $a : A$ ,  $(B a)$  is a sheaf, then  $\prod_{a:A} B a$  is a sheaf.

*Proof.* Again, when proving equivalences, we will only define the maps. The proofs of section and retraction are technical, not really interesting, and present in the formalisation.

- *Separation:* Let  $E : \text{Type}$  and  $\chi : E \rightarrow \text{Type}_n$  dense in  $E$ . Let  $\phi_1, \phi_2 : E \rightarrow \prod_{a:A} B a$  equal on  $\sum_{e:E} \chi e$  i.e. such that  $\phi_1 \circ \pi_1 = \phi_2 \circ \pi_1$ . Then for any  $a : A$ ,  $(\lambda x : E, \phi_1(x, a))$  and  $(\lambda x : E, \phi_2(x, a))$  coincide on  $\sum_{e:E} (\chi e)$ , and as  $B a$  is separated, they coincide also on all  $E$ .
- *Sheaf:* Let  $E : \text{Type}$ ,  $\chi : E \rightarrow \text{HProp}$  dense in  $E$  and  $f : \sum_{e:E} \chi e \rightarrow \prod_{a:A} B a$ . Let  $a : A$ ; the map  $(\lambda x, f(x, a))$  is valued in the sheaf  $B a$ , so it can be extended to all  $E$ , allowing  $f$  to be extended to all  $E$ .

□

**5.2.2 Sheafification**

The sheafification process will be defined in two steps. The first one will build, from any  $T : \text{Type}_{n+1}$ , a separated object  $\square_{n+1} T : \text{Type}_{n+1}$ ; one can show that  $\square_{n+1}$  defines a modality on  $\text{Type}_{n+1}$ . The second step will build, from any separated type  $T : \text{Type}_{n+1}$ , a sheaf  $\circ_{n+1}(T)$ ; one can show that  $\circ_{n+1}$  is indeed the left-exact modality we are searching.

Let  $n$  be a fixed truncation index, and  $\circ_n$  a left-exact modality on  $\text{Type}_n$ , compatible with  $\circ_{-1}$  as in



**Condition 5.14**

For any mere proposition  $P$  (where  $\widehat{P}$  is  $P$  seen as a  $\text{Type}_n$ ),  $\circ_n \widehat{P} = \circ_{-1} P$  and the following coherence diagram commutes

$$\begin{array}{ccc} P & \xrightarrow{\sim} & \widehat{P} \\ \eta_{-1} \downarrow & & \downarrow \eta_n \\ \circ_{-1} P & \xrightarrow{\sim} & \circ_n \widehat{P} \end{array}$$

**From types to separated types**

Let  $T : \text{Type}_{n+1}$ . We define  $\square_{n+1} T$  as the image of  $\circ_n^T \circ \{\cdot\}_T$ , as in

$$\begin{array}{ccc} T & \xrightarrow{\{\cdot\}_T} & (\text{Type}_n)^T, \\ \mu_T \downarrow & & \downarrow \circ_n^T \\ \square_{n+1} T & \longrightarrow & (\text{Type}_n^\circ)^T \end{array}$$

where  $\{\cdot\}_T$  is the singleton map  $\lambda(t : T), \lambda(t' : T), t = t'$ .  $\square_{n+1} T$  can be given explicitly by

$$\begin{aligned} \square_{n+1} T &\stackrel{\text{def}}{=} \text{Im}(\lambda t : T, \lambda t', \circ_n(t = t')) \\ &\stackrel{\text{def}}{=} \sum_{u : T \rightarrow \text{Type}_n^\circ} \left\| \sum_{a : A} (\lambda t, \circ_n(a = t)) = u \right\|. \end{aligned}$$

This corresponds to the free separated object used in the topos-theoretic construction, but using  $\text{Type}_n^\circ$  instead of the  $j$ -subobject classifier  $\Omega_j$ .

**Proposition 5.15 : (separated\_Type\_is\_separated)**

For any  $T : \text{Type}_{n+1}$ ,  $\square_{n+1} T$  is separated.

*Proof.* We use the following lemma:

**Lemma 5.16 : (separated\_mono\_is\_separated)**

A  $(n+1)$ -truncated type  $T$  with an embedding  $f : T \rightarrow U$  into a separated  $(n+1)$ -truncated type  $U$  is itself separated.

*Proof.* Let  $E : \text{Type}$  and  $\chi : E \rightarrow \text{Type}_n$  dense in  $E$ . Let  $\phi_1, \phi_2 : \sum_{e:E} \chi e \rightarrow T$  such that  $\phi_1 \circ \pi_1 \sim \phi_2 \circ \pi_1$ . Postcomposing by  $f$  yields an homotopy  $f \circ \phi_1 \circ \pi_1 \sim f \circ \phi_2 \circ \pi_1$ . As  $f \circ \phi_1, f \circ \phi_2 : \sum_{e:E} \chi e \rightarrow U$ , and  $U$  is separated, we can deduce  $f \circ \phi_1 \sim f \circ \phi_2$ . As  $f$  is an embedding,  $\phi_1 \sim \phi_2$ .  $\diamond$

Post or Pre?

As  $\square_{n+1} T$  embeds in  $(\text{Type}_n^\circ)^T$ , we only have to show that the latter is separated. But it is the case because  $\text{Type}_n^\circ$  is a sheaf (by Proposition 5.11) and a function type is a sheaf as soon as its codomain is a sheaf (by Proposition 5.13).  $\square$

We will now show that  $\square_{n+1}$  defines a modality, with unit map  $\mu$ . The left-exactness of  $\square_{n+1}$  will come from the second part of the process. The first thing to show that  $\square_{n+1} T$  is universal among separated type below  $T$ . In the topos-theoretic sheafification, it comes easily from the fact that epimorphisms are coequalizers of their kernel pairs. As it is not true anymore in our setting, we will use its generalization, proposition 4.18. Here is a sketch of the proof: as  $\mu_T$  is a surjection (it is defined by the surjection-embedding factorization),  $\square_{n+1} T$  is the colimit of its iterated kernel pair. Hence, for any type  $Q$  defining a cocone on  $\text{KP}(\mu_T)$ , there is a unique arrow  $\square_{n+1} T \rightarrow Q$ . What remains to show is any separated type  $Q$  defines a cocone on  $\text{KP}(\mu_T)$ ; we will actually show that any separated type  $Q$  defines a cocone on  $\|\text{KP}(\mu_T)\|_{n+1}$ , which is enough. We do it by defining another diagram  $\hat{T}$ , equivalent to  $\|\text{KP}(\mu_T)\|_{n+1}$ , for which it is easy to define a cocone into any separated type  $Q$ .

This comes from the following construction which connects  $\square_{n+1} T$  to the colimit of the iterated kernel pair of  $\mu_T$ .

**Definition 5.17 : (OTid)**

Let  $X : \text{Type}$ . Let  $\hat{T}_X$  be the higher inductive type generated by

- $\mathfrak{t} : \|X\|_{n+1} \rightarrow \hat{T}_X$
- $\mathfrak{a} : \forall a b : \|X\|_{n+1}, \circ(a = b) \rightarrow \mathfrak{t}(a) = \mathfrak{t}(b)$
- $\mathfrak{a}_1 : \forall a : \|X\|_{n+1}, \mathfrak{a}(a, a, \eta_{a=a} 1) = 1$

We view  $\hat{T}$  as the coequalizer of

$$\sum_{a,b:\|X\|_{n+1}} \circ(a = b) \xrightarrow[\pi_2]{\pi_1} \|X\|_{n+1}$$

preserving  $\eta_{a=a} 1$ .

We consider the diagram  $\hat{T}$  :

$$\|X\|_{n+1} \longrightarrow \|\hat{T}_X\|_{n+1} \longrightarrow \|\hat{T}_{\hat{T}_X}\|_{n+1} \longrightarrow \dots$$

The main result we want about  $\hat{T}$  is the following:

**Lemma 5.18 : (separation\_colimit\_OTtelescope)**

Let  $T : \text{Type}_{n+1}$ . Then  $\square_{n+1} T$  is the  $(n+1)$ -colimit of the diagram  $\hat{T}$ .

The key point of the proof is that diagrams  $\mathring{T}$  and  $\|\text{KP}(\mu_T)\|_{n+1}$  are equivalent. We will need the following lemma:

**Lemma 5.19 : (OT\_0mono\_sep)**

Let  $A, S : \text{Type}_{n+1}$ ,  $S$  separated, and  $f : A \rightarrow S$ . Then if

$$\forall a, b : A, f(a) = f(b) \simeq \circ(a = b), \quad (5.1)$$

then

$$\forall a, b : \|\text{KP}_f\|_{n+1}, |\tilde{f}|_{n+1}(a) = |\tilde{f}|_{n+1}(b) \simeq \circ(a = b).$$

*Sketch of proof.* By induction on truncation, we need to show that

$$\forall a, b : \text{KP}_f, \tilde{f}(|a|_{n+1}) = \tilde{f}(|b|_{n+1}) \simeq \circ(|a|_{n+1} = |b|_{n+1}).$$

We use the encode-decode [HoTT, Section 8.9] method to characterize  $\tilde{f}(|a|_{n+1}) = x$ , and the result follows. We refer to the formalization for details.  $\square$

This lemma allows to prove that, in the iterated kernel pair diagram of  $f$

$$\begin{array}{ccccccc} X & \longrightarrow & \text{KP}(f) & \longrightarrow & \text{KP}(f_1) & \longrightarrow & \text{KP}(f_2) \longrightarrow \dots \\ & \searrow & \downarrow f_1 & & \downarrow f_2 & & \downarrow f_3 \\ & & & & S & & \end{array}$$

if  $f$  satisfies 5.1, then each  $|f_i|_{n+1}$  does.

**NOTA**

It is clear that if  $A$  and  $B$  are equivalent types, and  $\forall a, b : A, f(a) = f(b) \simeq \circ(a = b)$ , then

$$\text{Coeq}_1 \left( \sum_{a,b:A} f a = f b \xrightarrow[\pi_2]{\pi_1} A \right) \simeq \text{Coeq}_1 \left( \sum_{a,b:B} \circ(a = b) \xrightarrow[\pi_2]{\pi_1} B \right)$$

*Proof of lemma 5.18.* As said, it suffices to show that  $\|C(\mu_T)\|_{n+1} = \mathring{T}$ .

$$\begin{array}{ccccccc} \|\text{KP}^0(\mu_T)\|_{n+1} & \longrightarrow & \|\text{KP}^1(\mu_T)\|_{n+1} & \longrightarrow & \|\text{KP}^2(\mu_T)\|_{n+1} & \longrightarrow & \dots \\ \downarrow \wr & & \downarrow \wr & & \downarrow \wr & & \\ \mathring{T}_0 & \longrightarrow & \mathring{T}_1 & \longrightarrow & \mathring{T}_2 & \longrightarrow & \dots \end{array}$$

The first equivalence is trivial. Let's then start with the second. What we need to show is

$$\|\text{KP}(\mu_T)\|_{n+1} \simeq \|\mathring{T}_T\|_{n+1},$$

*i.e.*

$$\mathrm{Coeq}_1 \left( \sum_{a,b:T} \mu_T a = \mu_T b \xRightarrow[\pi_2]{\pi_1} T \right) \simeq \mathrm{Coeq}_1 \left( \sum_{a,b:T} \circ(a=b) \xRightarrow[\pi_2]{\pi_1} T \right).$$

By the previous remark, it suffices to show that  $\mu_T$  satisfies condition (5.1), *i.e.*  $\forall a,b : T, \circ_n(a=b) = (\mu_T a = \mu_T b)$ . By univalence, we want arrows in both ways, forming an equivalence.

- Suppose  $p : (\mu_T a = \mu_T b)$ . Then projecting  $p$  along first components yields  $q : \prod_{t:T} \circ_n(a=t) = \circ_n(b=t)$ . Taking for example  $t = b$ , we deduce  $\circ_n(a=b) = \circ_n(b=b)$ , and the latter is inhabited by  $\eta_{b=b}1$ .
- Suppose now  $p : \circ_n(a=b)$ . Let  $\iota$  be the first projection from  $\square_{n+1} T \rightarrow (T \rightarrow \mathrm{Type}_n^\circ)$ .  $\iota$  is an embedding, thus it suffices to prove  $\iota(\mu_T a) = \iota(\mu_T b)$ , *i.e.*  $\prod_{t:T} \circ_n(a=t) = \circ_n(b=t)$ . The latter remains true by univalence.

The fact that these two form an equivalence is technical, we refer to the formalization for an explicit proof.

Let's show the other equivalences by induction. Suppose that, for a given  $i : \mathbb{N}$ ,  $\|\mathrm{KP}^i(\mu_T)\|_{n+1} \simeq \hat{T}_i$ . We want to prove  $\|\mathrm{KP}^{i+1}(\mu_T)\|_{n+1} \simeq \hat{T}_{i+1}$ , *i.e.*

$$\begin{aligned} & \left\| \mathrm{Coeq}_1 \left( \sum_{a,b:\mathrm{KP}^i(\mu_T)} f_i a = f_i b \xRightarrow[\pi_2]{\pi_1} \mathrm{KP}^i(\mu_T) \right) \right\|_{n+1} \\ & \simeq \left\| \mathrm{Coeq}_1 \left( \sum_{a,b:\|\hat{T}_i\|_{n+1}} \circ(a=b) \xRightarrow[\pi_2]{\pi_1} \|\hat{T}_i\|_{n+1} \right) \right\|_{n+1} \end{aligned}$$

where  $f_i$  is the map  $\mathrm{KP}^i(\mu_T) \rightarrow \square_{n+1} T$ . But lemma 5.19 just asserted that  $f_i$  satisfies 5.1, hence the previous nota yields the result.

One would need to show that, modulo these equivalences, the arrows of the two diagrams are equal. We leave that to the reader, who can refer to the formalization if needed.  $\square$

Now, let  $Q$  be any separated  $\mathrm{Type}_{n+1}$ , and  $f : X \rightarrow Q$ . Then the following diagram commutes

$$\begin{array}{ccccc} \|X\|_{n+1} & \longrightarrow & \|\hat{T}_X\|_{n+1} & \longrightarrow & \|\hat{T}_{\hat{T}_X}\|_{n+1} \longrightarrow \dots \\ & \searrow & \downarrow & \swarrow & \\ & & Q & & \end{array}$$

But we know (lemma 5.18) that  $\square_{n+1} T$  is the  $(n+1)$ -colimit of the diagram  $\hat{T}$ , thus there is an universal arrow  $\square_{n+1} T \rightarrow Q$ . This is enough to state the following proposition.

**Proposition 5.20 : (separation\_reflective\_subuniverse)**

$(\Box_{n+1}, \mu)$  defines a reflective subuniverse on  $\text{Type}_{n+1}$ .

To show that  $\Box_{n+1}$  is a modality, it remains to show that separation is a property stable under sigma-types. Let  $A : \text{Type}_{n+1}$  be a separated type and  $B : A \rightarrow \text{Type}_{n+1}$  be a family of separated types. We want to show that  $\sum_{x:A} Bx$  is separated. Let  $E$  be a type, and  $\chi : E \rightarrow \text{Type}_n$  a dense subobject of  $E$ .

Let  $f, g$  be two maps from  $\sum_{e:E} \chi e$  to  $\sum_{x:A} Bx$ , equal when precomposed with  $\pi_1$ .

$$\begin{array}{ccc}
 \sum_{e:E} \chi e & \xrightarrow[\substack{g \circ \pi_1 \\ f}]{f \circ \pi_1} & \sum_{x:A} Bx \\
 \downarrow \text{dense} & \nearrow f, g & \\
 E & & 
 \end{array}$$

We can restrict the previous diagram to

$$\begin{array}{ccc}
 \sum_{e:E} \chi e & \xrightarrow[\substack{\pi_1 \circ g \circ \pi_1 \\ \pi_1 \circ f}]{\pi_1 \circ f \circ \pi_1} & A \\
 \downarrow \text{dense} & \nearrow \pi_1 \circ f, \pi_1 \circ g & \\
 E & & 
 \end{array}$$

and as  $A$  is separated,  $\pi_1 \circ f = \pi_1 \circ g$ . For the second components, let  $x : E$ . Notice that  $\sum_{y:E} x = y$  has a dense  $n$ -subobject,  $\sum_{y:\sum_{e:E} \chi e} x = y_1$ :

$$\begin{array}{ccc}
 \sum_{y:\sum_{e:E} \chi e} x = y_1 & \xrightarrow[\substack{\pi_2 \circ g \circ \pi_1 \circ \pi_1 \\ \pi_2 \circ f \circ \pi_1}]{\pi_2 \circ f \circ \pi_1 \circ \pi_1} & Bx \\
 \downarrow \text{dense} & \nearrow \pi_2 \circ f \circ \pi_1, \pi_2 \circ g \circ \pi_1 & \\
 \sum_{y:E} x = y & & 
 \end{array}$$

Using the separation property of  $Bx$ , one can show that second components, transported correctly along the first components equality, are equal. The complete proof can be found in the formalization. This proves the following proposition

**Proposition 5.21 : (separated\_modality)**

$(\Box_{n+1}, \mu)$  defines a modality on  $\text{Type}_{n+1}$ .

As this modality is just a step in the construction, we do not need to show that it is left exact, we will only do it for the sheafification modality.

### From Separated Type to Sheaf

For any  $T$  in  $\text{Type}_{n+1}$ ,  $\circ_{n+1} T$  is defined as the closure of  $\square_{n+1} T$ , seen as a subobject of  $T \rightarrow \text{Type}_n^\circ$ .  $\circ_{n+1} T$  can be given explicitly by

$$\circ_{n+1} T \stackrel{\text{def}}{=} \sum_{u:T \rightarrow \text{Type}_n^\circ} \circ_{-1} \left\| \sum_{a:T} (\lambda t, \circ_n(a=t)) = u \right\|.$$

To prove that  $\circ_{n+1} T$  is a sheaf for any  $T : \text{Type}_{n+1}$ , we use the following lemma.

**Lemma 5.22 : (closed\_to\_sheaf)**

*Any closed  $(-1)$ -subobject of a sheaf is a sheaf.*

*Proof.* Let  $U$  be a sheaf, and  $\kappa : U \rightarrow \text{HProp}$  be a closed  $(-1)$ -subobject. Let  $E : \text{Type}$  and  $\chi : E \rightarrow \text{HProp}$  dense in  $E$ . Let  $\phi : \sum_{e:E} \chi e \rightarrow \sum_{u:U} \kappa u$ . As  $\pi_1 \circ \phi$  is a map  $\sum_{e:E} \chi e \rightarrow U$  and  $U$  is a sheaf, it can be extended into  $\psi : E \rightarrow U$ . As  $\kappa$  is closed, it suffices now to prove  $\prod_{e:E} \circ_n(\kappa(\psi e))$  to obtain a map  $E \rightarrow \sum_{u:U} \kappa u$ .

Let  $e : E$ . As  $\chi$  is dense, we have a term  $w : \circ_n(\chi e)$ , and by  $\circ_n$ -induction, a term  $\tilde{w} : \chi e$ . Then, by retraction property,  $\psi(e) = \phi(e, \tilde{w})$ , and by  $\pi_2 \circ \phi$ , we have hence our term of type  $\kappa(\psi e)$ . □

As  $T \rightarrow \text{Type}_n^\circ$  is a sheaf, and  $\circ_{n+1} T$  is closed in  $T \rightarrow \text{Type}_n^\circ$ ,  $\circ_{n+1} T$  is a sheaf. We now prove that it forms a reflective subuniverse.

**Proposition 5.23 : (sheafification\_subu)**

$(\circ_{n+1}, \nu)$  defines a reflective subuniverse.

*Proof.* Let  $T, Q : \text{Type}_{n+1}$  such that  $Q$  is a sheaf. Let  $f : T \rightarrow Q$ . Because  $Q$  is a sheaf, it is in particular separated; thus we can extend  $f$  to  $\square_{n+1} f : \square_{n+1} T \rightarrow Q$ .

But as  $\circ_{n+1} T$  is the closure of  $\square_{n+1} T$ ,  $\square_{n+1} T$  is dense into  $\circ_{n+1} T$ , so the sheaf property of  $Q$  allows to extend  $\square_{n+1} f$  to  $\circ_{n+1} f : \circ_{n+1} T \rightarrow Q$ .

As all these steps are universal, the composition is. □

The next step is the closure under dependent sums, to state:

**Proposition 5.24 : (sheafification\_modality)**

$(\circ_{n+1}, \nu)$  defines a modality.

*Proof.* The proof uses the same ideas as in subsection 5.2.2. Let  $A : \text{Type}_{n+1}$  a sheaf and  $B : A \rightarrow \text{Type}_{n+1}$  a sheaf family. By proposition 5.21, we already

know that  $\sum_{a:A} Ba$  is separated. Let  $E$  be a type, and  $\chi : E \rightarrow \mathbf{HProp}$  a dense subobject. Let  $f : \sum_{e:E} \chi e \rightarrow \sum_{x:A} Bx$ ; we want to extend it into a map  $E \rightarrow \sum_{x:A} Bx$ .

$$\begin{array}{ccc} \sum_{e:E} \chi e & \xrightarrow{f} & \sum_{x:A} Bx \\ \downarrow & \nearrow & \\ E & & \end{array}$$

As  $A$  is a sheaf, and  $\pi_1 \circ f : \sum_{e:E} \chi e \rightarrow A$ , we can recover an map  $g_1 : E \rightarrow A$ . We then want to show  $\prod_{e:E} B(g_1 e)$ . Let  $e : E$ . As  $\chi$  is dense, we have a term  $w : \circ_n(\chi e)$ , and as  $B(g_1 e)$  is a sheaf, we can recover a term  $\tilde{w} : \chi e$ . Then  $g_1(e) = f(e, \tilde{w})$ , and  $\pi_2 \circ f$  gives the result.  $\square$

It remains to show that  $\circ_{n+1}$  is left exact and is compatible with  $\circ_{-1}$ . To do that, we need to extend the notion of compatibility and show that actually every modality  $\circ_{n+1}$  is compatible with  $\circ_n$  on lower homotopy types.

**Proposition 5.25**

If  $T : \mathbf{Type}_n$ , then  $\circ_{n+1}\widehat{T} = \circ_n T$ , where  $\widehat{T}$  is  $T$  seen as a  $\mathbf{Type}_{n+1}$ .

*Proof.* We prove it by induction on  $n$ :

- For  $n = -1$ : Let  $T : \mathbf{HProp}$ . Then

$$\begin{aligned} \circ_0 \widehat{T} &\stackrel{\text{def}}{=} \sum_{u:T \rightarrow \mathbf{Type}_n^\circ} \circ_{-1} \left\| \sum_{a:T} (\lambda t, \circ_{-1}(a = t)) = u \right\|_{-1} \\ &= \sum_{u:T \rightarrow \mathbf{Type}_n^\circ} \circ_{-1} \left( \sum_{a:T} (\lambda t, \circ_{-1}(a = t)) = u \right) \end{aligned}$$

because the type inside the truncation is already in  $\mathbf{HProp}$ . Now, let define  $\phi : \circ_{-1} T \rightarrow \circ_0 T$  by

$$\phi t = (\lambda t', \mathbf{1}; \kappa)$$

where  $\kappa$  is defined by  $\circ_{-1}$ -induction on  $t$ . Indeed, as  $T$  is an  $\mathbf{HProp}$ ,  $(a = t) \simeq \mathbf{1}$ . Let  $\psi : \circ_0 T \rightarrow \circ_{-1} T$  by obtaining the witness  $a : T$  (which is possible because we are trying to inhabit a modal proposition), and letting  $\psi(u; x) = \eta_T a$ . These two maps form an equivalence (the section and retraction are trivial because the equivalence is between mere propositions).

- Suppose now that  $\circ_{n+1}$  is compatible with all  $\circ_k$  on lower homotopy types. Let  $\circ_{n+2}$  be as above, and let  $T : \mathbf{Type}_{n+1}$ . Then, as  $\circ_{n+1}$  is

compatible with  $\circ_n$ , and  $(a = t)$  is in  $\text{Type}_n$ ,

$$\circ_{n+2}\widehat{T} = \sum_{u:T \rightarrow \text{Type}_{n+1}^\circ} \circ_{-1} \left\| \sum_{a:T} (\lambda t, \circ_n(a = t)) = u \right\|_{-1}.$$

It remains to prove that for every  $(u, x)$  inhabiting the  $\Sigma$ -type above,  $u$  is in  $T \rightarrow \text{Type}_n^\circ$ , i.e. that for every  $t : T$ ,  $\text{Is-}n\text{-type}(u\,t)$ . But for any truncation index  $p$ , the type  $\text{Is-}p\text{-type } X : \mathbf{HProp}$  is a sheaf as soon as  $X$  is, so we can get rid of  $\circ_{-1}$  and of the truncation, which tells us that for every  $t : T$ ,  $u\,t = \circ_n(a = t) : \text{Type}_n$ .  $\square$

This proves in particular that  $\circ_{n+1}$  is compatible with  $\circ_{-1}$  in the sense of condition 5.14.

The last step is the left-exactness of  $\circ_{n+1}$ . Let  $T$  be in  $\text{Type}_{n+1}$  such that  $\circ_{n+1}T$  is contractible. Thanks to the just shown compatibility between  $\circ_{n+1}$  and  $\circ_n$  for  $\text{Type}_n$ , left exactness means that for any  $x, y : T$ ,  $\circ_n(x = y)$  is contractible.

Using a proof by univalence as we have done for proving  $\circ_n(a = b) \simeq (\mu_T(a) = \mu_T(b))$  in Proposition 5.18, we can show that:

**Proposition 5.26 :** (`good_sheafification_unit_paths_are_nj_paths`)

For all  $a, b : T$ ,  $\circ_n(a = b) \simeq (v_T a = v_T b)$ .

As  $\circ_{n+1}T$  is contractible, path spaces of  $\circ_{n+1}T$  are contractible, in particular  $(v_T a = v_T b)$ , which proves left exactness.

### 5.2.3 Summary

Starting from any left-exact modality  $\circ_{-1}$  on  $\mathbf{HProp}$ , we have defined for any truncation level  $n$ , a new left-exact modality  $\circ_n$  on  $\text{Type}_n$ , which corresponds to  $\circ_{-1}$  when restricted to  $\mathbf{HProp}$ .

When  $\circ_{-1}$  is consistent (in the sense of proposition 3.11),  $\circ_n \mathbf{0} = \circ_{-1} \mathbf{0}$  is also not inhabited, hence  $\circ_n$  is consistent. In particular, the modality induced by the double negation modality on  $\mathbf{HProp}$  is consistent.

**Fix me**

In topos theory, the topos of Lawvere-Tierney sheaves for the double negation topology is a boolean topos. In homotopy type theory, this result can be expressed as:

**Proposition 5.27**

$(\circ_{\neg\neg})_n$ , the modality obtained by sheafification of the double negation modality, induces a type theory where the propositional excluded middle law holds, i.e.

$$\prod_{P:\mathbf{HProp}} P + \neg P.$$



*Proof.* For now, the only thing we know is that  $\prod_{P:\mathbf{HProp}} \neg\neg P \rightarrow P$ . Let  $P : \mathbf{HProp}$ , and pose  $Q \stackrel{\text{def}}{=} P + \neg P$ . Then, as  $P$  and  $\neg P$  are disjoint h-propositions,  $P + \neg P$  is itself a h-proposition [HoTT/Coq, ishprop\_sum].

We want to find a proof of  $Q : \mathbf{HProp}$ , and thus we only need a proof of  $\neg\neg Q$ , which is inhabited by

$$\lambda (x : \neg Q), x(\text{inr}(\lambda y : P, x(\text{inl } y))).$$

□

### 5.2.4 Extension to Type

In the previous section, we have defined a (countably) infinite family of modalities  $\text{Type}_i \rightarrow \text{Type}_i$ . One can extend them to whole Type by composing with truncation:

#### Lemma 5.28

Let  $\circ_i : \text{Type}_i \rightarrow \text{Type}_i$  be a modality. Then  $\circ \stackrel{\text{def}}{=} \circ_i \circ \|\cdot\|_i : \text{Type} \rightarrow \text{Type}$  is a modality in the sense of section 3.1

If  $\circ_{-1}$  is the double negation modality on  $\mathbf{HProp}$  and  $i = -1$ ,  $\circ$  is exactly the double negation modality on  $\text{Type}$  described in 3.2.3. Choosing  $i \geq 0$  is a refinement of this double negation modality on  $\text{Type}$ : it will collapse every type to a  $\text{Type}_i$ , instead of an  $\mathbf{HProp}$ .

Obviously, as truncation modalities are not left-exact [HoTT, Exercise 7.11],  $\circ$  isn't either. But in the following sense, when restricted to  $i$ -truncated types, it is:

#### Lemma 5.29

Let  $A : \text{Type}_i$ . Then if  $\circ(A)$  is contractible, for any  $x, y : A$ ,  $\circ(x = y)$  is contractible.

*Proof.* For  $i$ -truncated types,  $\circ = \circ_i$ , and  $\circ_i$  is left-exact. □

The compatibility between the modalities  $\circ_n$  and between the modalities  $\|\cdot\|_n$  allow us to chose the truncation index as high as desired. Taking it as a non-fixed parameter allows to work in an universe where the new principle (e.g. mere excluded middle) is true for any explicit truncated type. Indeed,  $i$  can be chosen dynamically along a proof, and thus be increased as much as needed, without changing results for lower truncated types.

By proposition 3.11, these left-exact modalities induces a consistent type theory. Furthermore, the univalence remains true in this new type theory in the following sense:

**Proposition 5.30**

Let  $n$  be a given truncation index, and  $\circ$  the modality associated to  $n$  as defined in lemma 5.28. Then, for any type  $A, B : \text{Type}_n^\circ$ , if  $\varphi$  is the canonical arrow

$$A = B \rightarrow A \simeq B,$$

then  $\text{IsEquiv}(\varphi)$  is modal.

*Proof.* The first thing to notice is that, if  $X$  and  $Y$  are modal, and  $f : X \rightarrow Y$ , then the mere proposition  $\text{IsEquiv } f$  is also modal. Therefore, it suffices to show that both  $A = B$  and  $A \simeq B$  are modal. By proposition 3.3,  $A = B$  is modal. Moreover,  $(A \simeq B) \simeq \sum_{f:A \rightarrow B} \text{IsEquiv } f$ . Therefore, as  $A$  and  $B$  are modal,  $A \simeq B$  is too.

Hence,  $\text{IsEquiv } \varphi$  is modal.  $\square$

We can view sheafification in terms of model of type theory but because of the resulting modality on  $\text{Type}$  is not left exact, we need to restrict ourselves to a type theory with only one universe. Let  $\mathfrak{M}$  be a model of homotopy type theory with one universe. Using the modality  $\circ_{\neg\neg}$  (for any level  $n$ ) associated to the sheafification, there is a model  $\circ_{\neg\neg}\mathfrak{M}$  of type theory with one universe (using results in Section 3.3), where excluded middle is true, and which is univalent (as shown in Proposition 5.30).

### 5.3 Formalization

A Coq formalization of the sheafification process based on the Coq/HoTT library [HoTT/Coq] is available at <https://github.com/KevinQuirin/sheafification>.

After reviewing the content and some statistics about the formalization in Section 5.3.1, we present the limitations of our formalization in Section 5.3.2, in particular the issues relative to universe polymorphism.

#### 5.3.1 Content of the formalization

We provide a more detailed insight of the structure of our formalization:

- Colimits and iterated kernel pairs are formalized in `Limit`, `T.v`, `OT.vv`, `OT_Tf.v`, `T_teslescope.v`, `Tf_Omono_sep.v`.
- Reflective subuniverses and modalities are formalized in `reflective_subuniverse.v`, `modalities.v`.
- The definition of the dense topology as a left exact modality on  $\text{HProp}$  is given in `sheaf_base_case.v`.
- Section 5.2.1 is formalized in `sheaf_def_and_thm.v`.
- Section 5.2.2 is formalized in `sheaf_induction.v`.

Overall, the project contains 8000 lines, and it could be reduced a bit by improving the way Coq tries to rewrite and apply lemmas automatically. The `coqwc` tool counts 1600 lines of specifications (definitions, lemmas, theorems, propositions) and 5500 lines of proof script. This constitutes a significant amount of work but the part dedicated to sheaves and sheafification is only 2200 lines of proof script, which seems quite reasonable and encouraging, because it suggests that homotopy type theory provides a convenient tool to formalize some part of the theory of higher topoi.

### 5.3.2 Limitations of the formalization

In the formalization, we had to use the `type-in-type` option, to handle the universe issues we faced. However, a lot of the code compiles without this flag, but need universe polymorphism.

Universes are used in type theory to ensure consistency by checking that definitions are well-stratified according to a certain hierarchy. Universe polymorphism [ST14] supports generic definitions over universes, reusable at different levels. Although the presence of universe polymorphism is mandatory for our formalization, its implementation is still too rigid to allow a complete formalization of our work for the following reasons.

If Coq handles cumulativity on `Type` natively, it is not the case for the  $\Sigma$ -type `Typen`, which require propositional resizing. This issue could be solved by adding an axiom of cumulativity for `Typen` with an explicit management of universes. But as it would not have any computational content, such a solution would really complicate the proofs as the axiom would appear everywhere cumulativity is needed and it would need explicit annotations for universe levels everywhere in the formalization.

One issue with universe polymorphism lies in the management of recursive definitions. Indeed, the following recursive definition of sheafification

$$\begin{aligned} \circ : \forall (n : \text{nat}), \text{Type}_n &\rightarrow \text{Type}_n \\ \circ_{-1} (T) &\stackrel{\text{def}}{=} \neg\neg T \\ \circ_{n+1} (T) &\stackrel{\text{def}}{=} \sum_{u : T \rightarrow \text{Type}_n^\circ} \circ_{-1} \left\| \sum_{a : T} u = (\lambda t, \circ_n(a = t)) \right\| \end{aligned}$$

is not allowed. This is because Coq forces the universe of the first `Typen` occurring in the definition to be the same for every  $n$ , whereas the universe of the first `Typen+1` occurring in `○n+1` should be at least one level higher as the one of `Typen` occurring in `○n` because of the use of  $\Sigma$ -type over  $T \rightarrow \text{Type}_n^\circ$  and equality on the return type of `○n`. Thus, the induction step presented in this paper has been formalized, but the complete recursive sheafification can not be defined for the moment. Note that the same increasing in the universe levels occurs in the Rezk completion for categories [AKS15]. In the definition of the completion, they use the Yoneda embedding and representable functors, which is similar to our use of characteristic functions.

This restriction in our formalization may be solved by generalizing the management of universe polymorphism for recursive definition or by the use of general “resizing axiom” which is still under discussion in the community.

# 6

## Conclusion and future works

### 6.1 Conclusion

Write a conclusion.

### 6.2 Future work

**Extension to Type.** At the moment, our sheafification functor only handles truncated type, and we have to compose it with truncations. It would be way more satisfying to be able to define it on whole Type left-exactly. The main issue is that some types, which are not  $n$ -truncated for any  $n$ , are not even the limit of their truncations [MV98]. Therefore, there seems to be no way to create a link between a non-truncated type and truncated types, to extend our inductive definition. It might be possible to have such a link using axioms such as Whitehead’s principle [HoTT, Section 8.8] or Postnikov principle [HTT, Section 5.5.6], and use it to build a real modality on Type.

**Lawvere-Tierney sheaves in higher topos theory.** If we rely on the leitmotiv

Homotopy type theory is the internal language of  $(\infty, 1)$ -topos,

we could transpose our work to higher topos theory. As there are more tools in topos theory (*e.g.* we can access the definitional equality), it could be a first step in solving the previous future work. This kind of “reverse engineered” proof has already been done for a proof of the Blakers-Massey theorem by Charles Rezk [Rez], inspired by the homotopy-type-theoretic proof by Peter LeFanu Lumsdaine, Eric Finster and Dan Licata.

**Lawvere-Tierney subsumes Grothendieck?** In topos theory, there are two different notions of sheaves: the Grothendieck sheaves and the Lawvere-Tierney sheaves. The former is a topological, geometrical concept, while the latter is rather a logical concept. Grothendieck sheaves are based on *Grothendieck topologies* [MM92, Chapter III], and one can show that Lawvere-Tierney topologies on a presheaf topos  $\mathbf{Sets}^{C^{op}}$  correspond exactly to Grothendieck topologies on  $C$ . Then, we have the following:

**Theorem 6.1 :** [MM92, Section V.4, theorem 2]

*Let  $\mathbf{C}$  be a small category and  $j$  a Lawvere-Tierney topology on  $\mathbf{Sets}^{\mathbf{C}^{\text{op}}}$ , while  $J$  is the corresponding Grothendieck topology on  $\mathbf{C}$ . Then a presheaf  $P$  is a sheaf for  $j$  iff  $P$  is a  $J$ -sheaf.*

The concept of Grothendieck sheaf and Grothendieck sheafification already exists in  $(\infty, 1)$ -topos [HTT, Section 6.2.2]. It would be nice to check if theorem 6.1 still holds, either in the setting of homotopy type theory or in the setting of higher topos. The former requires to formalize Grothendieck topologies, sheaves and sheafification from higher topos theory to homotopy type theory, while the latter requires to work on the previous point.

## What remains to be done

Write a better abstract . . . . .	i
Write the acknowledgments . . . . .	iii
Funext: insert ref here . . . . .	3
Finish him! . . . . .	3
Check plugin . . . . .	3
These references were added without even opening them. Maybe a check would be good . . . . .	17
Check post or pre . . . . .	21
New type theory: Enhance me. Actually, this might be better in the section “Translation”. . . . .	29
The translation might be clearer than this result... . . . .	29
Formalization of colimits: what could we say?... . . . .	47
Define groupoid objects in HoTT, then write it here . . . . .	48
Post or Pre? . . . . .	57
Fix me . . . . .	64
Write a conclusion. . . . .	69





## Nomenclature

$(x : A) \rightarrow (B a)$	Dependent product over $B$ , page 7
$p \cdot q$	Concatenation of paths, page 10
$\text{fib}_f(b)$	Fiber of $f$ over $b$ , page 8
$\text{idpath}$ or $1$	Constant path, page 9
$\text{idpath}_x$ or $1_x$	Constant path over $x$ , page 9
$p^{-1}$	Inverse of path, page 10
$\mathbb{N}$	Type of naturals, page 8
$1$	Unit type, page 6
$\prod_{a:A} B a$	Dependent product over $B$ , page 7
$\Sigma A$	Suspension of a type, page 16
$\simeq$	Equivalence of types, page 12
$\sum_{a:A} B a$	Dependent sum over $B$ , page 8
$\text{Type}^i$	$i$ -th universe, page 6
$\text{Type}_n$	Type of $n$ -truncated types, page 18
$\ \cdot\ $	$n$ -truncation of types, page 20
$ \cdot _n$	$n$ -truncation of terms or arrows, page 20
$0$	Empty type, page 6
$A + B$	Coproduct of types, page 7
$a : A$	Judgement “ $a$ is of type $A$ ”, page 5
$a =_A b$	Type of paths from $a$ to $b$ in $A$ , page 9
$a = b$	Type of paths from $a$ to $b$ , page 9
$A \times B$	Product of types, page 7
$A \rightarrow B$	Type of arrows from $A$ to $B$ , page 7



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