# Chapter 7: Computations lifted to a functor context II. Monads

Part 2: Laws and structure of monads and semimonads

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#### Semimonad laws I: The intuitions

What properties of functor block programs do we expect to have?

- In  $x \leftarrow c$ , the value of x will go over items held in container c
- Manipulating items in container is followed by a generator:

Manipulating items in container is preceded by a generator:

• Within a generator, for {...} yield can be inlined:

```
\begin{array}{lll} x \leftarrow \text{cont} & & \text{yy} \leftarrow \text{for } \{ \ x \leftarrow \text{cont} \\ y \leftarrow p(x) & & \text{y} \leftarrow p(x) \ \} \ \text{yield y} \\ z \leftarrow \text{cont2(y)} & & z \leftarrow \text{cont2(yy)} \end{array}
```

 $cont.flatMap(x \Rightarrow p(x).flatMap(cont2)) = cont.flatMap(p).flatMap(cont2)$ 

### Semimonad laws II: The laws for flatMap

For brevity, write flm instead of flatMap

A semimonad  $S^A$  has  $flm^{[A,B]}: (A \Rightarrow S^B) \Rightarrow S^A \Rightarrow S^B$  with 3 laws:

②  $\operatorname{flm}\left(f^{A\Rightarrow S^B}\circ\operatorname{fmap}g^{B\Rightarrow C}\right)=\operatorname{flm}f\circ\operatorname{fmap}g$  (naturality in B)

$$S^{A} \xrightarrow{\text{flm } f^{A \Rightarrow S^{B}}} S^{B} \xrightarrow{\text{fmap } g^{B \Rightarrow C}} S^{C}$$

$$flm (f^{A \Rightarrow S^{B}} \circ \text{fmap } g^{B \Rightarrow C})$$

Is there a shorter and clearer formulation of these laws?

#### Semimonad laws III: The laws for flatten

The methods flatten (denoted by ftn) and flatMap are equivalent:

$$\operatorname{ftn}^{[A]}: S^{S^A} \Rightarrow S^A \equiv \operatorname{flm}^{\left[S^A,A\right]}(m^{S^A} \Rightarrow m)$$

$$\operatorname{flm}\left(f^{A \Rightarrow S^B}\right) \equiv \operatorname{fmap} f \circ \operatorname{ftn}$$

$$S^A \xrightarrow{\operatorname{flm}\left(f^{A \Rightarrow S^B}\right)} S^{S^B}$$

It turns out that flatten has only 2 laws:



2 fmap  $(ftn^{[A]}) \circ ftn^{[A]} = ftn^{[S^A]} \circ ftn^{[A]}$  (associativity)



## Equivalence of a natural transformation and a "lifting"

- Equivalence of flm and ftn: ftn = flm (id); flm  $f = \text{fmap } f \circ \text{ftn}$
- We saw this before: deflate = fmapOpt(id);  $fmapOpt f = fmap f \circ deflate$ 
  - ▶ Is there a general pattern where two such functions are equivalent?
- Let  $tr: F^{G^A} \Rightarrow F^A$  be a natural transformation (F and G are functors)
- Define ftr:  $(A \Rightarrow G^B) \Rightarrow F^A \Rightarrow F^B$  by ftr  $f = \operatorname{fmap} f \circ \operatorname{tr}$
- It follows that tr = ftr(id), and we have equivalence between tr and ftr:

$$\operatorname{tr}: F^{G^A} \Rightarrow F^A = \operatorname{ftr}(m^{G^A} \Rightarrow m)$$

$$\operatorname{ftr}(f^{A \Rightarrow G^B}) = \operatorname{fmap} f \circ \operatorname{tr}$$

$$f^A \xrightarrow{\operatorname{ftr}(f^{A \Rightarrow G^B})} F^B$$

- An automatic law for ftr ("naturality in A") follows from the definition: fmap  $g \circ \text{ftr } f = \text{fmap } g \circ \text{fmap } f \circ \text{tr} = \text{fmap } (g \circ f) \circ \text{tr} = \text{ftr } (g \circ f)$ 
  - ► This is why tr always has one law fewer than ftr
- To demonstrate equivalence in the direction ftr → tr: Start with an arbitrary ftr satisfying "naturality in A", then obtain tr = ftr (id) from it, then verify ftr f = fmap f ∘ tr with that tr; fmap f ∘ ftr (id) = ftr (f ∘ id) = ftr f

## Semimonad laws IV: Deriving the laws for flatten

Denote for brevity  $q^{\uparrow} \equiv \text{fmap } q$  for any function q ("lifting"  $q^{A \Rightarrow B}$  to S) Express flm  $f = f^{\uparrow} \circ \text{ftn}$  and substitute that into flm's 3 laws:

- flm  $(f \circ g) = f^{\uparrow} \circ \text{flm } g$  gives  $(f \circ g)^{\uparrow} \circ \text{ftn} = f^{\uparrow} \circ g^{\uparrow} \circ \text{ftn}$ — this law holds automatically due to functor composition law
- ②  $\operatorname{flm}(f \circ g^{\uparrow}) = \operatorname{flm} f \circ g^{\uparrow}$  gives  $(f \circ g^{\uparrow})^{\uparrow} \circ \operatorname{ftn} = f^{\uparrow} \circ \operatorname{ftn} \circ g^{\uparrow}$ ; using the functor composition law, we reduce this to  $g^{\uparrow\uparrow} \circ \operatorname{ftn} = \operatorname{ftn} \circ g^{\uparrow} \operatorname{this}$  is the naturality law
- ③ flm  $(f \circ \text{flm } g) = \text{flm } f \circ \text{flm } g$  with functor composition law gives  $f^{\uparrow} \circ g^{\uparrow \uparrow} \circ \text{ftn}^{\uparrow} \circ \text{ftn} = f^{\uparrow} \circ \text{ftn} \circ g^{\uparrow} \circ \text{ftn}$ ; using ftn's naturality and omitting the common factor  $f^{\uparrow} \circ g^{\uparrow \uparrow}$ , we get  $\text{ftn}^{\uparrow} \circ \text{ftn} = \text{ftn} \circ \text{ftn} \text{associativity law}$ 
  - flatten has the simplest type signature and the fewest laws
  - It is usually easy to check naturality!
    - ▶ Parametricity theorem: Any pure, fully parametric code for a function of type  $F^A \Rightarrow G^A$  will implement a natural transformation
  - Checking flatten's associativity needs a lot more work!

The cats library has a FlatMap type class, defining flatten via flatMap

## Checking the associativity law for standard monads

- Implement flatten for these functors and check the laws (see code):
  - ▶ Option monad:  $F^A \equiv 1 + A$ ; ftn:  $1 + (1 + A) \Rightarrow 1 + A$
  - ▶ Either monad:  $F^A \equiv Z + A$ ; ftn :  $Z + (Z + A) \Rightarrow Z + A$
  - ▶ List monad:  $F^A \equiv \text{List}^A$ ; ftn : List List  $\Rightarrow \text{List}^A$
  - ▶ Writer monad:  $F^A \equiv A \times W$ ; ftn :  $(A \times W) \times W \Rightarrow A \times W$
  - ▶ Reader monad:  $F^A \equiv R \Rightarrow A$ ; ftn :  $(R \Rightarrow (R \Rightarrow A)) \Rightarrow R \Rightarrow A$
  - ▶ State:  $F^A \equiv S \Rightarrow A \times S$ ; ftn :  $(S \Rightarrow (S \Rightarrow A \times S) \times S) \Rightarrow S \Rightarrow A \times S$
  - ► Continuation monad:  $F^A \equiv (A \Rightarrow R) \Rightarrow R$ ; ftn :  $((((A \Rightarrow R) \Rightarrow R) \Rightarrow R) \Rightarrow (A \Rightarrow R) \Rightarrow R$
- Code implementing these flatten functions is fully parametric in A
  - ▶ Naturality of these functions follows from parametricity theorem
  - Associativity needs to be checked for each monad!
- Example of a useful semimonad that is *not* a full monad:
  - $F^A \equiv A \times V \times W; \text{ ftn } ((a \times v_1 \times w_1) \times v_2 \times w_2) = a \times v_1 \times w_2$
- Examples of *non-associative* (i.e. wrong) implementations of flatten:
  - $F^A \equiv A \times W \times W; \text{ ftn} ((a \times v_1 \times v_2) \times w_1 \times w_2) = a \times w_2 \times w_1$
  - $ightharpoonup F^A \equiv \text{List}^A$ , but flatten concatenates the nested lists in reverse order

#### Motivation for monads

- Monads represent values with a "special computational context"
- Specific monads will have methods to create various contexts
- Monadic composition will "combine" the contexts associatively
- It is generally useful to have an "empty context" available:

pure : 
$$A \Rightarrow M^A$$

Adding the empty context to another context should be a no-op

• Empty context is followed by a generator:

```
y \leftarrow pure(x) y = x

z \leftarrow cont(y) z \leftarrow cont(y)

pure(x).flatMap(y \Rightarrow cont(y)) = cont(x) pure \circ flm f = f - left identity
```

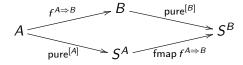
Empty context is preceded by a generator:

```
x \leftarrow cont y \leftarrow pure(x) x \leftarrow cont y = x
```

 $cont.flatMap(x \Rightarrow pure(x)) = cont$  flm(pure) = id - right identity

#### The monad laws formulated in terms of pure and flatten

Naturality law for pure: f ∘ pure = pure ∘ fmap f



Left identity: pure ∘ flm f = pure ∘ fmap f ∘ ftn = f ∘ pure ∘ ftn = f
requires that pure ∘ ftn = id (both sides applied to S<sup>A</sup>)

$$S^{A} \xrightarrow{\text{pure}^{[S^{A}]}} S^{S^{A}} \xrightarrow{\text{ftn}^{[A]}} S^{A}$$

• Right identity:  $flm (pure) = fmap (pure) \circ ftn = id^{S^A \Rightarrow S^A}$ 



## Formulating laws via Kleisli functions

- Recall: we formulated the laws of filterables via fmapOpt
  - type signature of fmapOpt :  $(A \Rightarrow 1 + B) \Rightarrow S^A \Rightarrow S^B$
  - ▶ and then we had to compose functions of types  $A \Rightarrow 1 + B$  via  $\diamond_{Ont}$
- Here we have flm :  $(A \Rightarrow S^B) \Rightarrow S^A \Rightarrow S^B$  instead of fmapOpt
- Can we compose **Kleisli functions** with "twisted" types  $A \Rightarrow S^B$ ?
- Use flm to define Kleisli composition:  $f^{A\Rightarrow S^B} \diamond g^{B\Rightarrow S^C} \equiv f \circ \text{flm } g$
- Define **Kleisli identity**  $id_{\diamond}$  of type  $A \Rightarrow S^A$  as  $id_{\diamond} \equiv pure$
- Composition law:  $flm(f \diamond g) = flm f \circ flm g$  (same as for fmapOpt)
  - ▶ Shows that flatMap is a "lifting" of  $A \Rightarrow S^B$  to  $S^A \Rightarrow S^B$
- These laws are similar to functor "lifting" laws...
  - ▶ except that ⋄ is used for composing Kleisli functions
- What are the properties of <?</p>
  - $\triangleright$  Exactly similar to the properties of function composition  $f \circ g$

#### Reformulate flm's laws in terms of the $\diamond$ operation:

- flm's left and right identity laws: pure  $\diamond f = f$  and  $f \diamond$  pure = f
- Associativity law:  $(f \diamond g) \diamond h = f \diamond (g \diamond h)$ 
  - ▶ Follows from the flm law:  $f \circ \text{flm}(g \circ \text{flm}h) = f \circ \text{flm} g \circ \text{flm} h$

# \* Motivation for categories and functors

Compare different "liftings" seen so far, and generalize

Category	Type $A \rightsquigarrow B$	Identity	Composition
plain functions	$A \Rightarrow B$	$id: A \Rightarrow A$	$f^{A\Rightarrow B}\circ g^{B\Rightarrow C}$
lifted to F	$F^A \Rightarrow F^B$	$id: F^A \Rightarrow F^A$	$f^{F^A \Rightarrow F^B} \circ g^{F^B \Rightarrow F^C}$
Kleisli over F	$A \Rightarrow F^B$	pure : $A \Rightarrow F^A$	$f^{A\Rightarrow F^B} \diamond g^{B\Rightarrow F^C}$

Category theory generalizes this situation

**Category**: a certain class of "twisted functions"  $A \rightsquigarrow B$  called morphisms

- For any two morphisms  $f^{A \leadsto B}$  and  $g^{B \leadsto C}$  the **composition** morphism  $f \diamond g$  of type  $A \leadsto C$  must exist
- For each type A, the **identity** morphism id<sub> $\diamond$ </sub> of type  $A \rightsquigarrow A$  must exist
- Composition respects identity:  $id_{\diamond} \diamond f = f$  and  $f \diamond id_{\diamond} = f$
- Composition is associative:  $(f \diamond g) \diamond h = f \diamond (g \diamond h)$

General functor: a map from one category to another

- A functor must fmap each morphism from one category to the other
- Functor laws: fmap must preserve identity and composition
  - ▶ What we call "functor" is called **endofunctor** in category theory
- ► An endofunctor's fmap goes from plain functions to F-lifted functions

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## \* From Kleisli back to flatMap

The Kleisli functions,  $A \rightsquigarrow B \equiv A \Rightarrow S^B$ , form a category iff S is a monad

- fmap and flatMap are computationally equivalent to Kleisli composition:
  - ▶ Define flatMap through Kleisli: flm  $f^{A\Rightarrow S^B} \equiv id^{S^A\Rightarrow S^A} \diamond f$
  - ▶ Require two additional laws that connect ⋄, fmap, and ⋄:
    - **★** Left naturality:  $f^{A\Rightarrow B} \circ g^{B\Rightarrow S^C} = (f \circ \text{pure}) \diamond g$
    - **★** Right naturality:  $f^{A\Rightarrow S^B} \circ \operatorname{fmap} g^{B\Rightarrow C} = f \diamond (g \circ \operatorname{pure})$
- ▶ So, can define fmap through Kleisli: fmap  $g^{A\Rightarrow B}\equiv id^{S^A\Rightarrow S^A}\diamond (g\circ pure)$

The laws for pure and flatMap then follow from category axioms for Kleisli:

- Left and right identity laws follow from id  $\diamond$  pure = id and pure  $\diamond$  f = f
- Associativity for flatMap follows from  $(id \diamond f) \diamond g = id \diamond (f \diamond g)$
- Use "left naturality", get:  $(f \circ g) \diamond h = (f \circ pure) \diamond g \diamond h = f \circ (g \diamond h)$
- Naturality for pure: pure  $\circ$  fmap  $f = \text{pure} \diamond (f \circ \text{pure}) = f \circ \text{pure}$
- Define flatten:  $ftn = id^{SS^A} \Rightarrow S^{S^A} \diamond id^{S^A} \Rightarrow S^A$
- Naturality for flatten:  $ftn \circ fmap f = id \diamond id \diamond (f \circ pure) = id \diamond fmap f$ and  $fmap (fmap f) \circ ftn = id \diamond ((fmap f) \circ pure) \circ id \diamond id = id \diamond fmap f$

## Structure of semigroups and monoids

- Semimonad contexts are combined associatively, as in a semigroup
  - ▶ A full monad includes an "empty" context, i.e. the identity element
  - Semigroup with an identity element is a monoid

#### Some constructions of semigroups and monoids (see code):

- **1** Any type Z is a semigroup with operation  $z_1 \circledast z_2 = z_1$  (or  $z_2$ )
- ② 1+S is a monoid if S is (at least) a semigroup (or  $S\equiv 0$ )
- **3** List<sup>A</sup> is a monoid (for any type A), also  $Seq^A$  etc.
- **1** The function type  $A \Rightarrow A$  is a monoid (for any type A)
  - ▶ The operation  $f \circledast g$  can be either  $f \circ g$  or  $g \circ f$
- ullet Any totally ordered type is a monoid, with  $\circledast$  defined as max or min

- $\ M[S]$  is a monoid if  $M[\_]$  is a monad and S is a monoid
- - ▶ The "action" is  $\alpha : S \Rightarrow P \Rightarrow P$  such that  $\alpha(s_2) \circ \alpha(s_1) = \alpha(s_1 \circledast s_2)$
  - ▶  $S \times P$  is a "twisted product." Examples:  $(A \Rightarrow A) \times A$ ; Bool  $\times (1 + A)$
  - Other examples of monoids: Int (many), String, Set<sup>A</sup>, Akka's Route

# Structure of (semi)monads

How to recognize a (semi)monad by its type? Open question!

Intuition from flatten: reshuffle data in  $F^{FA}$  to fit into  $F^{A}$ Some constructions of exponential-polynomial (semi)monads:

- $F^A \equiv Z$  (constant functor) for a fixed type Z
  - For a full monad, need to choose Z=1
- $F^A \equiv A \times G^A$  for any functor  $G^A$  (a full monad only if  $G^A \equiv 1$ )
- $F^A \equiv G^A \times H^A$  for any (semi)monads  $G^A$  and  $H^A$ 
  - but  $G^A + H^A$  is generally *not* a semimonad
- $\bullet$   $F^A \equiv R \Rightarrow G^A$  is a (semi)monad for any (semi)monad  $G^A$
- $F^A \equiv A + G^A$  is a monad for a monad  $G^A$  (free pointed over G)
- **6**  $F^A \equiv G^{Z+A\times W}$  is a monad if G is a monad and W a monoid
- $F^A \equiv A + G^{F^A}$  (recursive) for any functor  $G^A$  (free monad over G) Semimonad-only constructions:
- §  $F^A \equiv G^A + G^{F^A}$  (recursive) for any functor  $G^A$
- - ▶ Obtain a full monad only when  $G^A \equiv 1$ , i.e.  $F^A \equiv H^A \Rightarrow A$

#### Exercises II

- Show that M[S] is a monoid if M[] is a monad and S is a monoid.
- 2 A framework implements a "route" type R as  $R \equiv Q \Rightarrow (E + S)$ , where Q is a guery, E is an error response, and S is a success response. A server is defined as a "sum" of several routes. For a given query Q, the response is the first route (if it exists) that yields a success. Implement the route "summation" operation and show that it makes R into a semigroup. What would be necessary to make R into a monoid?
- **3** Verify the associativity law for the semimonad  $F^A \equiv Z + \text{Bool} \times A$ .
- Show that the functor  $F^A \equiv \text{Boolean} \times M^A$  (where  $M^A$  is an arbitrary monad) can be made into a semimonad but not into a monad.
- 5 If W and R are arbitrary fixed types, which of the functors can be made into a semimonad:  $F^A \equiv W \times (R \Rightarrow A)$ ,  $G^A = R \Rightarrow (W \times A)$ ?
- **6** Show that  $F^A \equiv (P \Rightarrow A) + (Q \Rightarrow A)$  is not a semimonad (cannot define flatMap) when P and Q are arbitrary, different types.
- 1 Implement the flatten and pure methods for  $D^A \equiv 1 + A \times A$  (type D[A] = Option[(A, A)]) in at least two significantly different ways, and show that the monad laws always fail to hold. ( $D^A$  is not a monad!)

## Exercises II (continued)

**8** A programmer implemented the fmap method for  $F^A \equiv A \times (A \Rightarrow Z)$  as

```
def fmap[A,B](f: A\RightarrowB): ((A, A\RightarrowZ)) \Rightarrow (B, B\RightarrowZ) =
   { case (a, az) \Rightarrow (f(a), (_: B) \Rightarrow az(a)) }
```

Show that this implementation fails to satisfy the functor laws.

- **9** Show that  $P^A \equiv Z + W \times A$  is a (full) monad if W is a monoid.
- Verify that the full monad laws hold for construction 4.
- Implement flatten and pure for  $F^A \equiv A + (R \Rightarrow A)$ , where R is a fixed type, and show that all the monad laws hold.
- For construction 5, show that an identity law would fail if pure were defined as  $a \Rightarrow Right(Monad[G].pure(a))$  instead of as Left(a).
- Implement the monad methods for  $F^A \equiv (Z \Rightarrow 1 + A) \times \text{List}^A$  using the known monad constructions (no need to check the laws).
- Implement the semimonad construction 2 by discarding the first effect (not the second), and show that the associativity law is still satisfied.
- For semimonad construction 8, show that the associativity law holds.
- Verify the identity laws for the State and Continuation monads.

#### Addendum: Miscellaneous remarks on monads

- A non-empty list  $F^A \equiv A \times \text{List}^A$  is a semigroup but not a monoid.
- Any polynomial functor  $F^A \equiv p(A)$  can be made into a monad when p(x) is a polynomial of the form  $p(x) = x^{n_1} + x^{n_2} + ... + x^{n_k}$  for some positive integers  $n_1$ , ...,  $n_k$ . Indeed, any  $F^A$  of this form may be built from the identity monad via constructions 3 and 5. To illustrate this, denote  $E_1 \equiv 1$ ,  $E_{n+1} \equiv 1 + E_n$ . Monoid construction 2 makes  $E_n$  into monoids. Then the monads  $E_n \Rightarrow A$  (reader) and  $E_n \times A$  (writer) are equivalent to polynomial monads  $A \times ... \times A$  and A + ... + A.
- ullet Contrafunctors cannot be monads or semimonads: if  $\mathcal{H}^A$  is a contrafunctor then  $H^{H^A}$  is a functor, so a natural transformation between  $H^{H^A}$  and  $H^A$  (in either direction) is impossible.
- An example of combining natural transformations: Given functors C, F, G and natural transformations  $C^A \Rightarrow F^A$  and  $C^A \Rightarrow G^A$  and taking the product, we get a natural transformation  $C^A \Rightarrow F^A \times G^A$ .
- If  $M^A$  is a monad then  $M^{M^A}$  is not automatically a monad (need counterexample?).
- Two monadic values  $m_1, m_2 : M^A$  can be merged by ignoring the payload of one of them and merging the effects; and we can merge the effects in any chosen order:
  - for {  $x \leftarrow m_1$ ;  $\_ \leftarrow m_2$  } yield x or for {  $\_ \leftarrow m_1$ ;  $x \leftarrow m_2$  } yield x
- A curious example: The functor  $Q^A \equiv (A \to Z) \to 1 + A$  is not a monad (and not even a lawful applicative) but  $M^A \equiv (A \rightarrow 1 + 1) \rightarrow 1 + A$  is a monad.