

# The Dao of Functional Programming

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## 目录

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目录	i
序言 . . . . .	xiii
集合论 . . . . .	xiii
约定 . . . . .	xiv
<b>1 Clean Slate</b>	
白板	<b>1</b>
1.1 Types and Functions	
类型与函数 . . . . .	1
1.2 Yin and Yang	
阴阳 . . . . .	2
1.3 Elements	
元素 . . . . .	3
1.4 The Object of Arrows	
箭头的对象 . . . . .	4

<b>2</b>	<b>Composition</b>	
	组合	<b>7</b>
2.1	Composition	
	组合 . . . . .	7
2.2	Function application	
	函数应用 . . . . .	9
2.3	Identity	
	恒等 . . . . .	10
2.4	Monomorphisms	
	单态射 . . . . .	11
2.5	Epimorphisms	
	满态射 . . . . .	13
<b>3</b>	<b>Isomorphisms</b>	
	同构	<b>15</b>
3.1	Isomorphic Objects	
	同构对象 . . . . .	15
3.2	Naturality	
	自然性 . . . . .	17
3.3	Reasoning with Arrows	
	使用箭头推理 . . . . .	19
	Reversing the Arrows	
	反转箭头 . . . . .	22
<b>4</b>	<b>Sum Types</b>	
	和类型	<b>23</b>
4.1	Bool	
	布尔类型 . . . . .	23
4.2	Enumerations	
	枚举类型 . . . . .	25
4.3	Sum Types	
	和类型 . . . . .	27
4.4	Maybe	
	可能类型 . . . . .	29
4.5	Logic	
	逻辑 . . . . .	29

4.6	Cocartesian Categories	
	余笛卡尔范畴 . . . . .	29
	One Plus Zero	
	一加零 . . . . .	30
	Something Plus Zero	
	某物加零 . . . . .	31
	Commutativity	
	交换性 . . . . .	31
	Associativity	
	结合性 . . . . .	31
	Functoriality	
	函子性 . . . . .	32
	Symmetric Monoidal Category	
	对称么半范畴 . . . . .	33
5	Product Types	
	积类型	35
	Logic	
	逻辑 . . . . .	36
	Tuples and Records	
	元组和记录 . . . . .	36
5.1	Cartesian Category	
	笛卡尔范畴 . . . . .	37
	Tuple Arithmetic	
	元组算术 . . . . .	37
	Functoriality	
	函子性 . . . . .	39
5.2	Duality	
	对偶性 . . . . .	40
5.3	Monoidal Category	
	么半范畴 . . . . .	41
	Monoids	
	么半群 . . . . .	42
6	Function Types	
	函数类型	45

Elimination rule	
消去规则 . . . . .	45
Introduction rule	
引入规则 . . . . .	46
Currying	
柯里化 . . . . .	47
Relation to lambda calculus	
与 演算的关系 . . . . .	49
Modus ponens	
演绎规则 . . . . .	50
6.1 Sum and Product Revisited	
再谈和与积 . . . . .	50
Sum types	
和类型 . . . . .	50
Product types	
积类型 . . . . .	51
Functoriality revisited	
函子性再探 . . . . .	52
6.2 Functoriality of the Function Type	
函数类型的函子性 . . . . .	53
6.3 Bicartesian Closed Categories	
双笛卡尔封闭范畴 . . . . .	54
Distributivity	
分配性 . . . . .	54
<b>7 Recursion</b>	
递归	<b>59</b>
7.1 Natural Numbers	
自然数 . . . . .	59
Introduction Rules	
引入规则 . . . . .	60
Elimination Rules	
消去规则 . . . . .	61
In Programming	
在编程中 . . . . .	62
7.2 Lists	
列表 . . . . .	63

Elimination Rule	
消去规则 . . . . .	64
7.3 Functoriality	
函子性 . . . . .	65
<b>8 Functors</b>	
<b>函子</b>	<b>67</b>
8.1 Categories	
范畴 . . . . .	67
Category of Sets	
集合的范畴 . . . . .	68
Opposite Categories	
对偶范畴 . . . . .	69
Product Categories	
积范畴 . . . . .	71
Slice Categories	
截面范畴 . . . . .	73
Coslice Categories	
余截面范畴 . . . . .	74
8.2 Functors	
函子 . . . . .	75
Functors between Categories	
范畴之间的函子 . . . . .	78
8.3 Functors in Programming	
编程中的函子 . . . . .	81
Endofunctors	
自函子 . . . . .	81
Bifunctors	
双函子 . . . . .	85
Contravariant Functors	
逆变函子 . . . . .	86
Profunctors	
变截函子 . . . . .	88
8.4 The Hom-Functor	
Hom 函子 . . . . .	89
8.5 Functor Composition	
函子的组合 . . . . .	94

Category of Categories	
范畴的范畴	98
<b>9 Natural Transformations</b>	<b>99</b>
9.1 Natural Transformations Between Hom-Functors	99
9.2 Natural Transformation Between Functors	101
9.3 Natural Transformations in Programming	103
Vertical composition of natural transformations	105
Functor categories	107
Horizontal composition of natural transformations	107
Whiskering	110
Interchange law	111
9.4 Universal Constructions Revisited	112
Picking objects	113
Cospans as natural transformations	113
Functoriality of cospans	114
Sum as a universal cospan	115
Product as a universal span	116
Exponentials	116
9.5 Limits and Colimits	119
Equalizers	121
Coequalizers	122
The existence of the terminal object	123
9.6 The Yoneda Lemma	124
Yoneda lemma in programming	127
The contravariant Yoneda lemma	128
9.7 Yoneda Embedding	128
9.8 Representable Functors	131
The guessing game	132
Representable functors in programming	132
9.9 2-category Cat	133
9.10 Useful Formulas	134
<b>10 Adjunctions</b>	<b>135</b>
10.1 The Currying Adjunction	135
10.2 The Sum and the Product Adjunctions	136
The diagonal functor	136

The sum adjunction . . . . .	137
The product adjunction . . . . .	138
Distributivity . . . . .	139
10.3 Adjunction between functors . . . . .	140
10.4 Limits and Colimits as Adjunctions . . . . .	141
10.5 Unit and Counit of an Adjunction . . . . .	142
Triangle identities . . . . .	145
The unit and counit of the currying adjunction . . . . .	146
10.6 Adjunctions Using Universal Arrows . . . . .	148
Comma category . . . . .	148
Universal arrow . . . . .	149
Universal arrows from adjunctions . . . . .	149
Adjunction from universal arrows . . . . .	150
10.7 Properties of Adjunctions . . . . .	150
Left adjoints preserve colimits . . . . .	150
Right adjoints preserve limits . . . . .	152
10.8 Freyd's adjoint functor theorem . . . . .	153
Freyd's theorem in a preorder . . . . .	154
Solution set condition . . . . .	155
Defunctionalization . . . . .	156
10.9 Free/Forgetful Adjunctions . . . . .	160
The category of monoids . . . . .	161
Free monoid . . . . .	162
Free monoid in programming . . . . .	163
10.10 The Category of Adjunctions . . . . .	164
10.11 Levels of Abstraction . . . . .	165
<b>11 Dependent Types</b>	<b>167</b>
11.1 Dependent Vectors . . . . .	168
11.2 Dependent Types Categorically . . . . .	169
Fibrations . . . . .	170
Type families as fibrations . . . . .	170
Pullbacks . . . . .	171
Substitution . . . . .	174
Dependent environments . . . . .	175
Weakening . . . . .	175
Base-change functor . . . . .	175

11.3	Dependent Sum . . . . .	177
	Adding the atlas . . . . .	179
	Existential quantification . . . . .	180
11.4	Dependent Product . . . . .	181
	Dependent product in Haskell . . . . .	181
	Dependent product of sets . . . . .	181
	Dependent product categorically . . . . .	182
	Adding the atlas . . . . .	184
	Universal quantification . . . . .	186
11.5	Equality . . . . .	186
	Equational reasoning . . . . .	187
	Equality vs isomorphism . . . . .	189
	Equality types . . . . .	189
	Introduction rule . . . . .	190
	$\beta$ -reduction and $\eta$ -conversion . . . . .	190
	Induction principle for natural numbers . . . . .	191
	Equality elimination rule . . . . .	192
<b>12</b>	<b>Algebras</b>	<b>195</b>
12.1	Algebras from Endofunctors . . . . .	196
12.2	Category of Algebras . . . . .	197
	Initial algebra . . . . .	198
12.3	Lambek's Lemma and Fixed Points . . . . .	199
	Fixed point in Haskell . . . . .	200
12.4	Catamorphisms . . . . .	201
	Examples . . . . .	202
	Lists as initial algebras . . . . .	203
12.5	Initial Algebra from Universality . . . . .	205
12.6	Initial Algebra as a Colimit . . . . .	207
	The proof . . . . .	209
<b>13</b>	<b>Coalgebras</b>	<b>213</b>
13.1	Coalgebras from Endofunctors . . . . .	213
13.2	Category of Coalgebras . . . . .	214
13.3	Anamorphisms . . . . .	216
	Infinite data structures . . . . .	217
13.4	Hylomorphisms . . . . .	218



The impedance mismatch . . . . .	219
13.5 Terminal Coalgebra from Universality . . . . .	220
13.6 Terminal Coalgebra as a Limit . . . . .	222
<b>14 Monads</b>	<b>225</b>
14.1 Programming with Side Effects . . . . .	225
Partiality . . . . .	226
Logging . . . . .	226
Environment . . . . .	227
State . . . . .	227
Nondeterminism . . . . .	228
Input/Output . . . . .	228
Continuation . . . . .	229
14.2 Composing Effects . . . . .	230
14.3 Alternative Definitions . . . . .	232
14.4 Monad Instances . . . . .	234
Partiality . . . . .	234
Logging . . . . .	234
Environment . . . . .	235
State . . . . .	235
Nondeterminism . . . . .	236
Continuation . . . . .	237
Input/Output . . . . .	237
14.5 Do Notation . . . . .	238
14.6 Continuation Passing Style . . . . .	239
Tail recursion and CPS . . . . .	240
Using named functions . . . . .	242
Defunctionalization . . . . .	243
14.7 Monads Categorically . . . . .	244
Substitution . . . . .	244
Monad as a monoid . . . . .	245
14.8 Free Monads . . . . .	247
Category of monads . . . . .	247
Free monad . . . . .	248
Stack calculator example . . . . .	251
14.9 Monoidal Functors . . . . .	253
Lax monoidal functors . . . . .	254

Functorial strength . . . . .	255
Applicative functors . . . . .	257
Closed functors . . . . .	258
Monads and applicatives . . . . .	259
<b>15 Monads and Adjunctions</b>	<b>261</b>
15.1 String Diagrams . . . . .	261
String diagrams for the monad . . . . .	265
String diagrams for the adjunction . . . . .	266
15.2 Monads from Adjunctions . . . . .	267
15.3 Examples of Monads from Adjunctions . . . . .	269
Free monoid and the list monad . . . . .	269
The currying adjunction and the state monad . . . . .	271
M-sets and the writer monad . . . . .	272
Pointed objects and the <b>Maybe</b> monad . . . . .	275
The continuation monad . . . . .	275
15.4 Monad Transformers . . . . .	276
State monad transformer . . . . .	278
15.5 Monad Algebras . . . . .	280
Eilenberg-Moore category . . . . .	281
Kleisli category . . . . .	283
<b>16 Comonads</b>	<b>285</b>
16.1 Comonads in Programming . . . . .	286
The <b>Stream</b> comonad . . . . .	286
16.2 Comonads Categorically . . . . .	288
Comonoids . . . . .	289
16.3 Comonads from Adjunctions . . . . .	290
Costate comonad . . . . .	291
Comonad coalgebras . . . . .	293
Lenses . . . . .	294
<b>17 Ends and Coends</b>	<b>297</b>
17.1 Profunctors . . . . .	297
Collages . . . . .	298
Profunctors as relations . . . . .	299
Profunctor composition in Haskell . . . . .	300
17.2 Coends . . . . .	301

Extranatural transformations . . . . .	303
Profunctor composition using coends . . . . .	305
Colimits as coends . . . . .	306
17.3 Ends . . . . .	307
Natural transformations as an end . . . . .	309
Limits as ends . . . . .	311
17.4 Continuity of the Hom-Functor . . . . .	311
17.5 Fubini Rule . . . . .	312
17.6 Ninja Yoneda Lemma . . . . .	313
Yoneda lemma in Haskell . . . . .	314
17.7 Day Convolution . . . . .	315
Applicative functors as monoids . . . . .	316
Free Applicatives . . . . .	318
17.8 The Bicategory of Profunctors . . . . .	319
Monads in a bicategory . . . . .	320
Prearrows as monads in Prof . . . . .	321
17.9 Existential Lens . . . . .	322
Existential lens in Haskell . . . . .	322
Existential lens in category theory . . . . .	323
Type-changing lens in Haskell . . . . .	324
Lens composition . . . . .	325
Category of lenses . . . . .	326
17.10 Lenses and Fibrations . . . . .	326
Transport law . . . . .	327
Identity law . . . . .	328
Composition law . . . . .	328
Type-changing lens . . . . .	329
17.11 Important Formulas . . . . .	330
<b>18 Tambara Modules</b>	<b>331</b>
18.1 Tannakian Reconstruction . . . . .	331
Monoids and their Representations . . . . .	331
Tannakian reconstruction of a monoid . . . . .	333
Cayley’s theorem . . . . .	335
Proof of Tannakian reconstruction . . . . .	337
Tannakian reconstruction in Haskell . . . . .	338
Tannakian reconstruction with adjunction . . . . .	340

18.2	Profunctor Lenses . . . . .	341
	Iso . . . . .	342
	Profunctors and lenses . . . . .	342
	Tambara module . . . . .	343
	Profunctor lenses . . . . .	345
	Profunctor lenses in Haskell . . . . .	346
18.3	General Optics . . . . .	347
	Prisms . . . . .	348
	Traversals . . . . .	349
18.4	Mixed Optics . . . . .	352
<b>19</b>	<b>Kan Extensions</b>	<b>353</b>
19.1	Closed Monoidal Categories . . . . .	353
	Internal hom for Day convolution . . . . .	354
	Powering and co-powering . . . . .	355
19.2	Inverting a functor . . . . .	357
19.3	Right Kan extension . . . . .	359
	Right Kan extension as an end . . . . .	360
	Right Kan extension in Haskell . . . . .	362
	Limits as Kan extensions . . . . .	363
	Left adjoint as a right Kan extension . . . . .	364
	Codensity monad . . . . .	366
	Codensity monad in Haskell . . . . .	367
19.4	Left Kan extension . . . . .	368
	Left Kan extension as a coend . . . . .	369
	Left Kan extension in Haskell . . . . .	370
	Colimits as Kan extensions . . . . .	371
	Right adjoint as a left Kan extension . . . . .	372
	Day convolution as a Kan extension . . . . .	373
19.5	Useful Formulas . . . . .	374
<b>20</b>	<b>Enrichment</b>	<b>375</b>
20.1	Enriched Categories . . . . .	375
	Set-theoretical foundations . . . . .	375
	Hom-Objects . . . . .	376
	Enriched Categories . . . . .	377
	Examples . . . . .	378

Preorders . . . . .	378
Self-enrichment . . . . .	379
20.2 $\mathcal{V}$ -Functors . . . . .	380
The Hom-functor . . . . .	381
Enriched co-presheaves . . . . .	382
Functorial strength and enrichment . . . . .	383
20.3 $\mathcal{V}$ -Natural Transformations . . . . .	385
20.4 Yoneda Lemma . . . . .	387
20.5 Weighted Limits . . . . .	387
20.6 Ends as Weighted Limits . . . . .	389
20.7 Kan Extensions . . . . .	391
20.8 Useful Formulas . . . . .	392

## 序言

大多数编程教材，遵循 Brian Kernighan 的做法，都是以“Hello World!”开始的。这很自然，因为我们想立即通过让计算机执行命令并打印出这些著名的词语来获得满足感。但计算机编程的真正掌握远比这更深刻，急于求成可能只会给你一种虚假的力量感，而实际上你只是在模仿大师。如果你的目标只是学习一项有用且薪水丰厚的技能，那么，尽管去写你的“Hello World!”程序吧。有大量的书籍和课程可以教你如何用你选择的任何语言编写代码。然而，如果你真的想深入编程的本质，你需要耐心和坚持。

范畴论是数学的一个分支，它提供了与编程实践经验相符的抽象。借用克劳塞维茨的一句话：编程只是以其他方式继续数学的过程。当用数据类型和函数来解释范畴论的许多复杂概念时，程序员们可能比专业数学家更容易理解它们。

当我面对新的范畴概念时，我常常会在 Wikipedia 或 nLab 上查找它们，或者重新阅读 Mac Lane 或 Kelly 的某一章。这些都是很好的资源，但它们要求你对主题有一定的熟悉度，并且有能力填补其中的空白。本书的一个目标是提供必要的引导，以继续学习范畴论。

在范畴论和计算机科学中，有许多民间知识在文献中是找不到的。当你通过干巴巴的定义和定理来学习时，很难获得有用的直觉。我尽可能地提供了那些缺失的直觉，并解释了不仅是什么，还解释了为什么。

本书的标题暗示了 Benjamin Hoff 的“The Tao of Pooh”和 Robert Pirsig 的“Zen and the Art of Motorcycle Maintenance”，这两本书都是西方人尝试吸收东方哲学元素的作品。粗略地说，范畴论之于编程，正如道（Dao）<sup>1</sup>之于西方哲学。许多范畴论的定义在第一次阅读时显得毫无意义，但随着时间的推移，你会逐渐理解其中深刻的智慧。如果要用一句话总结范畴论，那就是：“事物通过它们与宇宙的关系来定义。”

## 集合论

传统上，集合论被认为是数学的基础，尽管最近类型论也在争夺这一头衔。从某种意义上说，集合论是数学的汇编语言，包含了许多实现细节，这些细节往往会掩盖高级思想的表达。

范畴论并不是要取代集合论，通常它被用来构建抽象，然后用集合来建模。事实上，范畴论的基本定理尤内达引理将范畴与集合论中的模型联系起来。我们可以在计算机图形学中找到有用的直觉，在那里我们构建和操作抽象世界，直到最后一刻才将它们投影并采样到数字显示器上。

为了学习范畴论，不必精通集合论。但一些基本知识是必要的。例如，集合包含元素的概念。我们说，给定一个集合  $S$  和一个元素  $a$ ，可以问  $a$  是否属于  $S$ 。这个陈述写作  $a \in S$ （ $a$  是  $S$  的成员）。也可以有一个不包含任何元素的空集合。

---

<sup>1</sup>Dao 是 Tao 的现代拼写

集合元素的重要属性是它们可以比较是否相等。给定两个元素  $a \in S$  和  $b \in S$ ，我们可以问： $a$  是否等于  $b$ ？或者我们可以强加条件  $a = b$ ，如果  $a$  和  $b$  是通过不同的方法从集合  $S$  中选择的元素的结果。集合元素的相等性是所有范畴论中交换图的本质。

两个集合的笛卡尔积  $S \times T$  被定义为一组所有的元素对  $\langle s, t \rangle$ ，其中  $s \in S$  和  $t \in T$ 。

一个从源集合（称为  $f$  的定义域）到目标集合（称为  $f$  的值域）的函数  $f: S \rightarrow T$  也被定义为一组对。这些对的形式为  $\langle s, t \rangle$ ，其中  $t = fs$ 。这里  $fs$  是函数  $f$  作用在参数  $s$  上的结果。你可能更熟悉函数应用的符号  $f(s)$ ，但这里我将遵循 **Haskell** 的惯例，省略括号（以及多个变量的逗号）。

在编程中，我们习惯于通过一系列指令来定义函数。我们提供一个参数  $s$  并应用指令，最终产生结果  $t$ 。我们经常担心计算结果可能需要多长时间，或者算法是否会终止。在数学中，我们假设对于任何给定的参数  $s \in S$ ，结果  $t \in T$  是立即可得的，并且是唯一的。在编程中，我们称这种函数为纯函数且是全函数。

## 约定

我尽量使全书的符号保持一致。它大致基于 **nLab** 中流行的风格。

特别地，我决定使用小写字母，如  $a$  或  $b$  来表示范畴中的对象，并使用大写字母如  $S$  来表示集合（尽管集合是集合与函数范畴中的对象）。通用范畴有名称如  $\mathcal{C}$  或  $\mathcal{D}$ ，而特定的范畴有名称如 **Set** 或 **Cat**。

编程示例以 **Haskell** 语言编写。尽管这不是一本 **Haskell** 手册，但语言构造的引入是逐渐进行的，以帮助读者理解代码。**Haskell** 语法通常基于数学符号，这是一个额外的优势。程序片段以如下格式编写：

```
apply :: (a -> b, a) -> b
apply (f, x) = f x
```





# Clean Slate

## 白板

---

编程始于类型 (Types) 和函数 (Functions)。你可能对类型和函数是什么有一些先入为主的观念：抛弃它们！它们会混淆你的思维。

不要考虑事物是如何在硬件中实现的。计算机只是众多计算模型中的一种。我们不应该依附于此。你可以在脑海中进行计算，或者使用笔和纸进行计算。物理载体与编程的思想无关。

### 1.1 Types and Functions

#### 类型与函数

引用老子的话<sup>1</sup>：“可描述的类型不是永恒的类型。”换句话说，类型 (Type) 是一种原始概念。它无法被定义。

我们可以不称它为“类型”，而是称为“对象”(Object) 或“命题”(Proposition)。在数学的不同领域（如类型论、范畴论和逻辑）中，这些词汇被用来描述它。

可能有不止一种类型，所以我们需要一种方式来命名它们。我们可以通过指向它们来做到这一点，但为了有效地与他人交流，我们通常为它们命名。因此，我们会谈论类型 *a*、*b*、*c*；或者 **Int**、**Bool**、**Double** 等等。这些只是名称。

类型本身没有意义。使它特别的是它如何与其他类型连接。这些连接由箭头 (Arrows) 描述。一个箭头有一个类型作为其源，另一个类型作为其目标。目标可以与源相同，在这种情况下，箭头会回环。

类型之间的箭头称为“函数”(Function)。对象之间的箭头称为“态射”(Morphism)。命题之间的箭头称为“蕴涵”(Entailment)。这些只是用来描述不同数学领域中的箭头的

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<sup>1</sup>老子的现代拼写是 Laozi，但我会使用传统的拼写。老子是《道德经》(Tao Te Ching 或 Daodejing) 的半传奇作者，这是一部关于道教的经典著作。

词汇。你可以互换使用它们。

命题是可能为真的东西。在逻辑中，我们将两个对象之间的箭头解释为  $a$  蕴涵  $b$ ，或者  $b$  可以从  $a$  推导出来。

在两个类型之间可能有多个箭头，所以我们需要为它们命名。例如，这里有一个从类型  $a$  到类型  $b$  的箭头，叫做  $f$ 。

$$a \xrightarrow{f} b$$

解释这一点的一种方式是说函数  $f$  接受一个类型为  $a$  的参数，并生成一个类型为  $b$  的结果。或者说  $f$  是一种证明，如果  $a$  为真，那么  $b$  也为真。

注意：类型论、lambda 演算（Lambda Calculus，编程的基础）、逻辑和范畴论之间的联系被称为 Curry-Howard-Lambek 对应（Curry-Howard-Lambek Correspondence）。

## 1.2 Yin and Yang

### 阴阳

一个对象由它的连接来定义。箭头（Arrow）是两个对象连接的证明，一个证据。有时没有证明，对象是断开的；有时有很多证明；有时只有一个证明——两个对象之间的唯一箭头。

什么是唯一的？这意味着如果你能找到两个这样的东西，那么它们一定是相等的。

一个对每个对象都有唯一出射箭头的对象称为“初始对象”（Initial Object）。

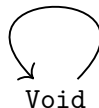
它的对偶是一个从每个对象都有唯一入射箭头的对象。它被称为“终端对象”（Terminal Object）。

在数学中，初始对象通常表示为  $0$ ，终端对象表示为  $1$ 。

从  $0$  到任何对象  $a$  的箭头表示为  $i_a$ ，通常缩写为  $i$ 。

从任何对象  $a$  到  $1$  的箭头表示为  $!_a$ ，通常缩写为  $!$ 。

初始对象是一切的源头。作为一种类型，它在 Haskell 中被称为 **Void**。它象征着一切事物源于其中的混沌。由于有一个从 **Void** 到一切事物的箭头，也有一个从 **Void** 到它自身的箭头。



因此，**Void** 产生了 **Void** 和其他一切。

终端对象将一切联合起来。作为一种类型，它被称为 **Unit**。它象征着终极秩序。

在逻辑中，终端对象象征着终极真理，用  $T$  或  $\top$  表示。事实是，从任何对象到它都有一个箭头，这意味着无论你的假设是什么， $\top$  都是正确的。

相对地，初始对象象征逻辑谬误、矛盾或反事实。它写作 **False**，用倒 **T** 符号  $\perp$  表示。事实是，从它到任何对象都有一个箭头，这意味着你可以从错误的前提开始证明任何事情。

在英语中，有一种特殊的语法结构用于反事实蕴涵。当我们说，“如果愿望是马，乞丐会骑马”，我们的意思是愿望与马的等价性意味着乞丐能够骑马。但我们知道这个前提是错误的。

编程语言让我们可以相互交流，也可以与计算机交流。有些语言对计算机来说更容易理解，另一些则更接近理论。我们将使用 **Haskell** 作为折中。

在 **Haskell** 中，终端类型的名称是 **()**，一对空括号，读作 **Unit**。这种符号稍后会更有意义。

在 **Haskell** 中有无限多的类型，并且从 **Void** 到每个类型都有一个唯一的函数/箭头。所有这些函数都有相同的名称：**absurd**。

编程	范畴论	逻辑
类型	对象	命题
函数	态射（箭头）	蕴涵
<b>Void</b>	初始对象, 0	<b>False</b> $\perp$
<b>()</b>	终端对象, 1	<b>True</b> $\top$

1.3 Elements

元素

一个对象没有部分，但它可能有结构。结构由指向对象的箭头定义。我们可以用箭头探测对象。

在编程和逻辑中，我们希望初始对象没有结构。所以我们假设它没有入射箭头（除了从它自身回环的那个）。因此 **Void** 没有结构。

终端对象有最简单的结构。只有一个从任何对象到它的入射箭头：只有一种方式可以从任何方向探测它。在这方面，终端对象表现得像一个不可分割的点。它唯一的属性是它存在，并且从任何其他对象到它的箭头证明了这一点。

由于终端对象非常简单，我们可以用它来探测其他更复杂的对象。

如果有多个箭头从终端对象指向某个对象 *a*，这意味着 *a* 有某种结构：有多种方式可以看待它。由于终端对象表现得像一个点，我们可以将每个箭头视为从它选取目标的不同点或元素。

在范畴论中，如果 *x* 是一个箭头，我们说它是 *a* 的全局元素（Global Element）。

$1 \overset{x}{\rightarrow} a$

我们经常简单地称之为元素（省略“全局”）。

在类型论中,  $x : A$  意味着  $x$  是  $A$  类型的。

在 Haskell 中, 我们使用双冒号符号:

```
x :: A
```

(Haskell 对具体类型使用大写名称, 对类型变量使用小写名称。)

我们说  $x$  是  $A$  类型的一个项, 但在范畴论中, 我们将其解释为箭头  $x : 1 \rightarrow A$ , 即  $A$  的全局元素。<sup>2</sup>

在逻辑中, 这样的  $x$  被称为  $A$  的证明, 因为它对应于蕴涵  $T \rightarrow A$  (如果 **True** 为真, 那么  $A$  也为真)。请注意,  $A$  可能有许多不同的证明。

由于我们规定不允许有任何其他对象到 **Void** 的箭头, 因此从终端对象到它没有箭头。因此, **Void** 没有元素。这就是为什么我们认为 **Void** 是空的。

终端对象只有一个元素, 因为只有一个从它到它自身的箭头,  $1 \rightarrow 1$ 。这就是为什么我们有时称它为单一元素集。

注意: 在范畴论中, 没有禁止初始对象从其他对象接收箭头。然而, 在我们这里研究的笛卡尔闭范畴中, 这是不允许的。

## 1.4 The Object of Arrows

### 箭头的对象

任何两个对象之间的箭头形成一个集合<sup>3</sup>。这就是为什么集合论的一些知识是学习范畴论的先决条件。

在编程中, 我们谈论从  $a$  到  $b$  的函数的类型。在 Haskell 中我们写:

```
f :: a -> b
```

意思是  $f$  是“从  $a$  到  $b$  的函数”类型。在这里,  $a \rightarrow b$  只是我们给这个类型起的名字。

如果我们希望函数类型与其他类型被相同对待, 我们需要一个对象, 它可以表示从  $a$  到  $b$  的箭头集合。

要完全定义这个对象, 我们必须描述它与其他对象的关系, 特别是与  $a$  和  $b$  的关系。我们还没有工具来做到这一点, 但我们会到达那里。

目前, 让我们记住以下区别: 一方面, 我们有连接两个对象  $a$  和  $b$  的箭头。这些箭头形成一个集合。另一方面, 我们有一个从  $a$  到  $b$  的箭头对象。这个对象的“元素”被定义为从终端对象  $()$  到我们称之为  $a \rightarrow b$  的对象的箭头。

在编程中我们使用的符号倾向于模糊这个区别。这就是为什么在范畴论中我们称箭头对象为指数对象 (Exponential Object) 并将其写作  $b^a$  (源对象在指数中)。因此, 以下语句:

<sup>2</sup>Haskell 类型系统区分  $x :: A$  和  $x :: () \rightarrow A$ 。然而, 在范畴语义中, 它们表示相同的东西。

<sup>3</sup>严格来说, 这只在局部小范畴中成立。

```
f :: a -> b
```

等同于

$$1 \xrightarrow{f} b^a$$

在逻辑中，箭头  $A \rightarrow B$  是一个蕴涵：它陈述了“如果  $A$ ，那么  $B$ ”的事实。指数对象  $B^A$  是相应的命题。它可能为真，也可能为假，我们不知道。你必须证明它。这样的证明是  $B^A$  的一个元素。

给我看  $B^A$  的一个元素，我就知道  $B$  是从  $A$  推导出来的。

再考虑一下这个语句，“如果愿望是马，乞丐会骑马”——这次作为一个对象。它不是一个空对象，因为你可以指出它的证明——类似于：“一个有马的人骑马。乞丐有愿望。因为愿望是马，所以乞丐有马。因此，乞丐骑马。”但即使你有这个语句的证明，对你来说也没有用，因为你永远无法证明它的前提：“愿望 = 马”。



# Composition

## 组合

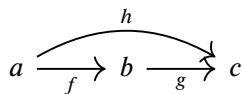
### 2.1 Composition

#### 组合

编程是关于组合（Composition）的。借用维特根斯坦（Wittgenstein）的话，可以说：“对于不能分解的东西，不应该谈论。”这不是一种禁止，而是一种事实陈述。研究、理解和描述的过程与分解的过程是一样的，我们的语言也反映了这一点。

我们构建对象（Objects）和箭头（Arrows）词汇的原因正是为了表达组合的思想。

给定一个从  $a$  到  $b$  的箭头  $f$  和一个从  $b$  到  $c$  的箭头  $g$ ，它们的组合是一个直接从  $a$  到  $c$  的箭头。换句话说，如果有两个箭头，其中一个的目标与另一个的源相同，我们总是可以将它们组合起来得到第三个箭头。



在数学中，我们用一个小圆圈来表示组合：

$$h = g \circ f$$

我们读作：“ $h$  是  $f$  之后的  $g$ 。”选择“之后”一词暗示了动作的时间顺序，这在大多数情况下是一种有用的直觉。

组合的顺序可能看起来是反向的，但这是因为我们认为函数是在右边接受参数的。在 Haskell 中，我们用点号代替圆圈：

```
h = g . f
```

这就是每个程序的简要概括。为了完成  $h$ ，我们将其分解为更简单的问题，即  $f$  和  $g$ 。这些问题可以进一步分解，依此类推。

现在假设我们能够将  $g$  自身分解为  $j \circ k$ 。我们有：

$$h = (j \circ k) \circ f$$

我们希望这个分解与以下分解相同：

$$h = j \circ (k \circ f)$$

我们希望能够说我们已经将  $h$  分解为三个更简单的问题：

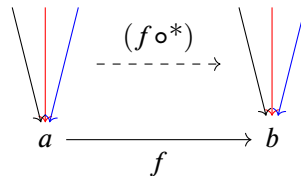
$$h = j \circ k \circ f$$

而不必跟踪哪个分解是先进行的。这就是组合的**结合性** (Associativity)，从现在起我们将假设它。

组合是箭头两种映射的来源，分别称为**前置组合** (Pre-composition) 和**后置组合** (Post-composition)。

当你**后置组合**一个箭头  $h$  和一个箭头  $f$  时，它生成箭头  $f \circ h$  (箭头  $f$  是在箭头  $h$  之后应用的)。当然，你只能将  $h$  与源是  $h$  目标的箭头进行后置组合。通过  $f$  的后置组合写作  $(f \circ *)$ ，为  $h$  留下一个空位。老子会说，“后置组合的有用性来自于不存在的东西。”

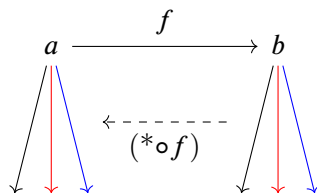
因此，一个箭头  $f: a \rightarrow b$  诱导出箭头的映射  $(f \circ *)$ ，它将探测  $a$  的箭头映射到探测  $b$  的箭头。



由于对象没有内部结构，当我们说  $f$  将  $a$  转换为  $b$  时，这正是我们所指的。

后置组合让我们可以将焦点从一个对象转移到另一个对象。

相对地，你可以通过  $f$  进行**前置组合**，或者应用  $(* \circ f)$  到源自  $b$  的箭头，将它们映射到源自  $a$  的箭头（注意方向的变化）。



前置组合让我们可以将视角从观察者  $b$  转移到观察者  $a$ 。

前置和后置组合是箭头的映射。由于箭头形成集合，这些映射是集合之间的**函数** (Functions)。



另一种看待前置和后置组合的方式是，它们是两个孔的组合运算符  $(\circ^*)$  的部分应用的结果，其中我们可以用一个固定的箭头预填一个孔或另一个孔。

在编程中，出射箭头被解释为从其源提取数据。入射箭头被解释为生成或构造目标。出射箭头定义接口，入射箭头定义构造器。

对于 Haskell 程序员，以下是作为高阶函数的后置组合的实现：

```
postCompWith :: (a -> b) -> (x -> a) -> (x -> b)
postCompWith f = \h -> f . h
```

类似地，前置组合的实现如下：

```
preCompWith :: (a -> b) -> (b -> x) -> (a -> x)
preCompWith f = \h -> h . f
```

做以下练习来证明自己，焦点和视角的转换是可组合的。

**Exercise 2.1.1.** 假设你有两个箭头， $f: a \rightarrow b$  和  $g: b \rightarrow c$ 。它们的组合  $g \circ f$  诱导出箭头的映射  $((g \circ f) \circ^*)$ 。证明如果你先应用  $(f \circ^*)$  然后再应用  $(g \circ^*)$ ，结果是相同的。符号表示为：

$$((g \circ f) \circ^*) = (g \circ^*) \circ (f \circ^*)$$

提示：选择一个任意对象  $x$  和一个箭头  $h: x \rightarrow a$ ，看看是否得到相同的结果。注意，这里的  $\circ$  是多义词。在右侧，它表示两个后置组合之间的常规函数组合。

**Exercise 2.1.2.** 确信前一个练习中的组合是结合的。提示：从三个可组合的箭头开始。

**Exercise 2.1.3.** 证明前置组合  $(\circ^* f)$  是可组合的，但组合的顺序是反向的：

$$(\circ^* (g \circ f)) = (\circ^* f) \circ (\circ^* g)$$

## 2.2 Function application

### 函数应用

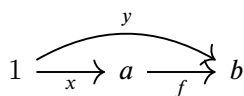
我们准备好写第一个程序了。有句谚语说：“千里之行，始于足下。”考虑从 1 到  $b$  的旅程。我们的一小步可以从终端对象 1 到某个  $a$  的箭头。它是  $a$  的一个元素。我们可以将其写为：

$$1 \xrightarrow{x} a$$

旅程的其余部分是箭头：

$$a \xrightarrow{f} b$$

这两个箭头是可组合的（它们共享对象  $a$  作为中间对象），它们的组合是从 1 到  $b$  的箭头  $y$ 。换句话说， $y$  是  $b$  的一个元素：



我们可以将其写为：

$$y = f \circ x$$

我们使用  $f$  将  $a$  的一个元素映射到  $b$  的一个元素。由于这是我们经常做的事情，我们称之为函数  $f$  对  $x$  的应用，并使用简写符号

$$y = f x$$

让我们将其翻译为 **Haskell**。我们从一个类型为  $a$  的元素  $x$  开始（简写为  $x :: () \rightarrow a$ ）

```
x :: a
```

我们将一个函数  $f$  声明为从  $a$  到  $b$  的“箭头对象”的元素

```
f :: a -> b
```

其中的理解（稍后将详细说明）是它对应于从  $a$  到  $b$  的箭头。结果是  $b$  的一个元素

```
y :: b
```

定义为：

```
y = f x
```

我们称之为将函数应用于参数，但我们能够完全用函数组合来表达它。（注意：在其他编程语言中，函数应用需要使用括号，例如  $y = f(x)$ 。）

## 2.3 Identity

### 恒等

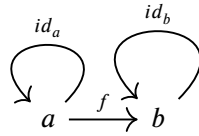
你可以将箭头视为表示变化：对象  $a$  变为对象  $b$ 。一个回环的箭头表示对象自身的变化。但是，变化有它的对偶：没有变化，无为，或者用老子的话来说，无为（**Wu Wei**）。

每个对象都有一个特殊的箭头，称为恒等（**Identity**），它使对象保持不变。这意味着，当你将这个箭头与任何其他箭头组合时，无论是入射的还是出射的，你都会得到那个箭头。作为一种动作，恒等箭头什么都不做，也不需要时间。

对象  $a$  上的恒等箭头称为  $id_a$ 。因此，如果我们有一个箭头  $f: a \rightarrow b$ ，我们可以在任一侧与恒等箭头组合

$$id_b \circ f = f = f \circ id_a$$

或用图像表示：



我们可以轻松检查恒等箭头对元素的作用。让我们取一个元素  $x: 1 \rightarrow a$  并将其与  $id_a$  组合。结果是：

$$id_a \circ x = x$$

这意味着恒等箭头使元素保持不变。

在 **Haskell** 中，我们使用相同的名称 `id` 表示所有的恒等函数（我们不会用其作用的类型下标）。上面的方程式，它指定了 `id` 对元素的作用，直接翻译为：

```
id x = x
```

并且它成为了函数 `id` 的定义。

我们之前已经看到，初始对象和终端对象都有唯一的回环箭头。现在我们说，每个对象都有一个回环的恒等箭头。记住我们之前说过的关于唯一性的内容：如果你能找到两个这样的东西，那么它们一定是相等的。我们必须得出结论，我们之前提到的这些唯一的回环箭头必须是恒等箭头。我们现在可以标注这些图：



在逻辑中，恒等箭头对应于自明的真理。它是一个简单的证明，证明“如果  $a$  为真，那么  $a$  为真。”这也被称为恒等规则（Identity Rule）。

如果恒等什么都不做，那我们为什么还要关心它？想象你正在进行一趟旅行，组合了一些箭头，发现自己回到了起点。问题是：你做了什么，还是你浪费了时间？回答这个问题的唯一方法是将你的路径与恒等箭头进行比较。

有些往返旅行会带来变化，而有些则不会。

更重要的是，恒等箭头将允许我们比较对象。它们是同构（Isomorphism）定义的重要组成部分。

**Exercise 2.3.1.**  $(id_a \circ *)$  对终止于  $a$  的箭头做了什么？ $(* \circ id_a)$  对源自  $a$  的箭头做了什么？

## 2.4 Monomorphisms

### 单态射

考虑函数 `even`，它测试其输入是否能被 2 整除：

```
even :: Int -> Bool
```

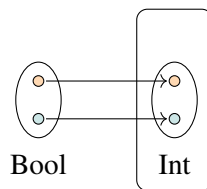
这是一个多对一的函数：所有偶数映射到 **True**，所有奇数映射到 **False**。输入的大部分信息被丢弃了，我们只对其偶性感兴趣，而不是它的实际值。通过丢弃信息，我们得到了抽象<sup>1</sup>。函数（以及后来的函子）体现了抽象。

与此相反的是函数 `injectBool`：

```
injectBool :: Bool -> Int
injectBool b = if b then 1 else 0
```

这个函数不会丢弃信息。你可以从它的结果中恢复它的参数。

不会丢弃信息的函数也很有用：它们可以被认为是将其源注入到其目标中。你可以将源的类型想象为嵌入到目标中的一种形状。在这里，我们将一个包含两个元素的 **Bool** 形状嵌入到整数类型中。

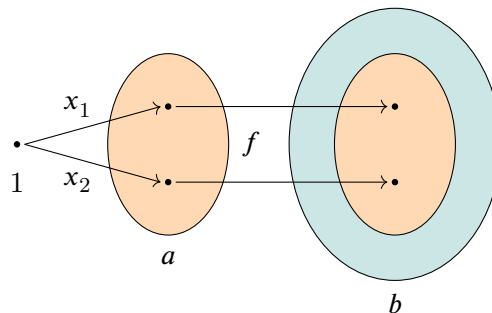


单射 (Injective Functions)，或单射 (Injections)，被定义为总是将不同的值分配给不同的参数。换句话说，它们不会将多个元素压缩为一个。

这里有另一种稍微复杂的表达方式：单射仅当两个元素相等时才将它们映射为一个。

我们可以将这个定义翻译为范畴语言，将“元素”替换为从终端对象来的箭头。我们会说， $f: a \rightarrow b$  是单射的，如果对于任何一对全局元素  $x_1: 1 \rightarrow a$  和  $x_2: 1 \rightarrow a$ ，有以下蕴涵成立：

$$f \circ x_1 = f \circ x_2 \implies x_1 = x_2$$



这个定义的问题是，并非每个范畴都有一个终端对象。一个更好的定义将用任意形状替换全局元素。因此，单射的概念被推广为单态射 (Monomorphism)。

<sup>1</sup>抽象 (Abstract) 字面意思是“抽离”。

一个箭头  $f: a \rightarrow b$  是单态射 (Monomorphic) 的, 如果对于任何选择的对象  $c$  和一对箭头  $g_1: c \rightarrow a$  和  $g_2: c \rightarrow a$ , 有以下蕴涵成立:

$$f \circ g_1 = f \circ g_2 \implies g_1 = g_2$$

要证明箭头  $f: a \rightarrow b$  不是单态射, 只需找到一个反例:  $a$  中的两个不同形状,  $f$  将它们映射到  $b$  中相同的形状。

单态射或简称“单态” (Monos) 通常用特殊的箭头表示, 如  $a \hookrightarrow b$  或  $a \rightarrowtail b$ 。

在范畴论中, 对象是不可分的, 因此我们只能通过箭头谈论子对象。我们说, 单态射  $a \hookrightarrow b$  选择了  $b$  中形状为  $a$  的子对象。

**Exercise 2.4.1.** 证明从终端对象来的任何箭头都是单态射。

## 2.5 Epimorphisms

### 满态射

函数 `injectBool` 是单射 (因此是单态射), 但它仅覆盖了其目标的一小部分——在无穷多个整数中只有两个。

```
injectBool :: Bool -> Int
injectBool b = if b then 1 else 0
```

相比之下, 函数 `even` 覆盖了整个 `Bool` (它可以生成 `True` 和 `False`)。覆盖其整个目标的函数称为满射 (Surjection)。

为了推广单射, 我们使用了额外的映射输入。为了推广满射, 我们将使用映射输出。满射的范畴对应物称为满态射 (Epimorphism)。

一个箭头  $f: a \rightarrow b$  是满态射 (Epimorphism) 的, 如果对于任何选择的对象  $c$  和一对箭头  $g_1: b \rightarrow c$  和  $g_2: b \rightarrow c$ , 有以下蕴涵成立:

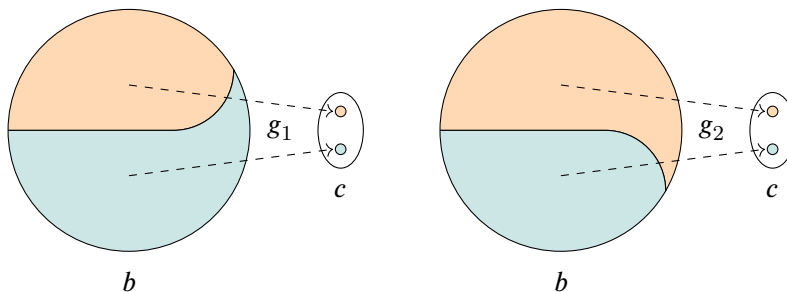
$$g_1 \circ f = g_2 \circ f \implies g_1 = g_2$$

相反, 要证明  $f$  不是满态射, 只需选择一个对象  $c$  和两个不同的箭头  $g_1$  和  $g_2$ , 它们在与  $f$  预组合时一致。

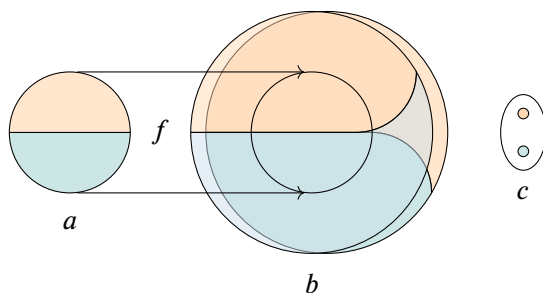
为了深入理解这个定义, 我们必须将映射输出可视化。正如映射到对象可以被认为是一种形状, 映射出对象可以被认为是一种属性。

当处理集合时, 这一点很清楚, 尤其是当目标集是有限时。你可以将目标集的一个元素视为定义一种颜色。源中的所有元素映射到该元素时都被“涂”上一种特定的颜色。例如, 函数 `even` 将所有偶数整数涂上 `True` 的颜色, 将所有奇数整数涂上 `False` 的颜色。

在满态射的定义中, 我们有两个这样的映射,  $g_1$  和  $g_2$ 。假设它们之间仅有轻微差异。 $b$  的大部分被它们两者相似地涂上了颜色。



如果  $f$  不是满态射，可能它的像只覆盖了由  $g_1$  和  $g_2$  相似地涂上的部分。然后这两个箭头在与  $f$  预组合时在  $a$  上的表现一致，即使它们在整体上是不同的。



当然，这只是一个插图。在实际范畴中是不能窥探对象内部的。

满态射或简称“满态” (Epis) 通常用特殊箭头表示，如  $a \twoheadrightarrow b$ 。

在集合中，同时是单射和满射的函数称为双射 (Bijection)。它在两个集合的元素之间提供了一个一对一的可逆映射。在范畴论中，这个角色由同构 (Isomorphisms) 扮演。然而，一般来说，并不是真的同时是单态射和满态射的箭头就是同构的。

**Exercise 2.5.1.** 证明到终端对象的任何箭头都是满态射。

# Isomorphisms

## 同构

### 3.1 Isomorphic Objects

#### 同构对象

当我们说：

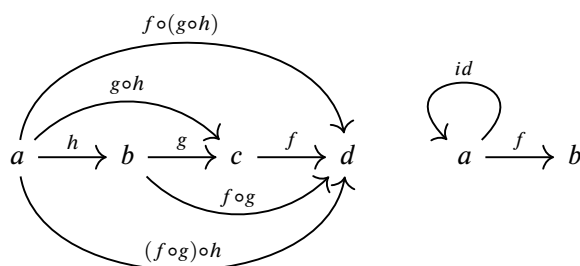
$$f \circ (g \circ h) = (f \circ g) \circ h$$

或者：

$$f = f \circ id$$

我们是在断言箭头的相等性。左边的箭头是一个操作的结果，而右边的箭头是另一个操作的结果。但结果是相等的。

我们通常通过绘制交换图来说明这种相等性，例如：



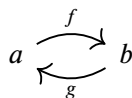
因此我们比较箭头的相等性。

我们不比较对象的相等性<sup>1</sup>。我们将对象视为箭头的汇合点，因此如果我们想比较两个对象，我们会看箭头。

最简单的两个对象之间的关系是箭头。

<sup>1</sup>半开玩笑地说，在范畴论中调用对象的相等性被认为是“邪恶的”。

最简单的往返是两个方向相反的箭头的组合。



可能有两种往返方式。一种是从  $a$  到  $a$  的  $g \circ f$ 。另一种是从  $b$  到  $b$  的  $f \circ g$ 。

如果它们两个都生成身份箭头，那么我们说  $g$  是  $f$  的逆元：

$$g \circ f = id_a$$

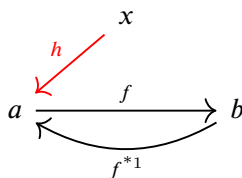
$$f \circ g = id_b$$

我们写作  $g = f^{*1}$ （读作  $f$  的逆元）。箭头  $f^{*1}$  撤销了箭头  $f$  的作用。

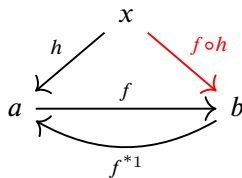
这样的一对箭头被称为同构，这两个对象被称为同构的。

同构的存在告诉我们它连接的两个对象是什么？

我们说过，对象通过与其他对象的相互作用来描述。因此，让我们考虑从观察者  $x$  的角度看这两个同构对象的样子。假设有一个箭头  $h$  从  $x$  到  $a$ 。



有一个对应的箭头从  $x$  到  $b$ 。它只是  $f \circ h$  的组合，或者  $(f \circ *)$  对  $h$  的作用。



类似地，对于任何探测  $b$  的箭头，有一个对应的探测  $a$  的箭头。它是  $(f^{*1} \circ *)$  的作用。

我们可以使用映射  $(f \circ *)$  和  $(f^{*1} \circ *)$  在  $a$  和  $b$  之间来回移动焦点。

我们可以组合这两个映射（见习题2.1.1）以形成一个往返。结果等同于我们应用复合  $((f^{*1} \circ f) \circ *)$ 。但这等于  $(id_a \circ *)$ ，如我们从习题2.3.1中所知，它保持箭头不变。

类似地，由  $f \circ f^{*1}$  引起的往返保持箭头  $x \rightarrow b$  不变。

这在两个箭头组之间创建了一个“配对系统”。想象每个箭头向它的配对发送消息，这由  $f$  或  $f^{*1}$  决定。然后每个箭头会收到一条消息，而且那将是来自它配对的。没有箭头会被遗漏，也没有箭头会收到多于一条消息。数学家称这种配对系统为双射或一对一的对应。



因此，从  $x$  的角度来看，箭头与箭头地，两个对象  $a$  和  $b$  看起来完全相同。就箭头而言，这两个对象之间没有区别。

两个同构对象具有完全相同的属性。

特别地，如果你将  $x$  替换为终端对象  $1$ ，你会看到这两个对象具有相同的元素。对于每个元素  $x: 1 \rightarrow a$ ，有一个对应的元素  $y: 1 \rightarrow b$ ，即  $y = f \circ x$ ，反之亦然。同构对象的元素之间存在双射。

这些不可区分的对象被称为同构的，因为它们具有“相同的形状”。你看过一个，就等于看过了所有。

我们将这个同构写作：

$$a \cong b$$

当涉及到对象时，我们用同构代替相等。

在编程中，两个同构的类型具有相同的外部行为。一个类型可以用另一个类型来实现，反之亦然。一个类型可以被另一个类型替换而不改变系统的行为（可能除外性能）。

在经典逻辑中，如果  $B$  从  $A$  推导出来，且  $A$  从  $B$  推导出来，那么  $A$  和  $B$  在逻辑上是等价的。我们经常说“当且仅当” $A$  为真时， $B$  为真。然而，与逻辑和类型理论之间的前几次平行不同，如果你认为证明是相关的，这次的等价并不那么直截了当。实际上，它导致了一个新的基础数学分支的发展，称为同伦类型论，简称 **HoTT**。

**Exercise 3.1.1.** 提出一个论点，证明从两个同构对象出发的箭头之间存在双射。绘制相应的图。

**Exercise 3.1.2.** 证明每个对象都与自身同构。

**Exercise 3.1.3.** 如果有两个终端对象，证明它们是同构的。

**Exercise 3.1.4.** 证明前一个习题中的同构是唯一的。

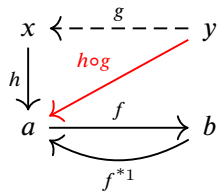
## 3.2 Naturality

### 自然性

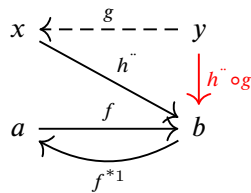
我们已经看到，当两个对象同构时，我们可以使用后组合来在它们之间切换焦点：要么是  $(f \circ *)$ ，要么是  $(f^{*1} \circ *)$ 。

相反，要在不同的观察者之间切换，我们会使用前组合。

的确，从  $x$  到  $a$  的箭头  $h$  与从  $y$  到同一对象的箭头  $h \circ g$  相关。



类似地，一个从  $x$  探测  $b$  的箭头  $h''$  对应于一个从  $y$  探测  $b$  的箭头  $h'' \circ g$ 。



在这两种情况下，我们通过应用前组合  $(*\circ g)$  来改变视角从  $x$  到  $y$ 。

重要的观察是，视角的改变保持了由同构建立的配对系统。如果从  $x$  的角度来看两个箭头是配对的，那么从  $y$  的角度来看它们仍然是配对的。这就像说，先用  $g$  预组合（切换视角）然后再用  $f$  后组合（切换焦点），或者先用  $f$  后组合然后再用  $g$  预组合是无关紧要的。符号上，我们写作：

$$(*\circ g)\circ(f\circ*) = (f\circ*)\circ(*\circ g)$$

我们称之为自然性条件。

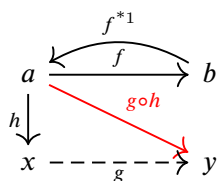
当你将这个等式应用于一个态射  $h: x \rightarrow a$  时，它的意义就会揭示出来。两边都简化为  $f\circ h\circ g$ 。

$$\begin{array}{ccc} h & \xrightarrow{(*\circ g)} & h\circ g \\ (f\circ*)\downarrow & & \downarrow(f\circ*) \\ f\circ h & \xrightarrow{(*\circ g)} & f\circ h\circ g \end{array}$$

在这里，自然性条件是由于结合性而自动满足的，但我们很快就会看到它在不太平凡的情况下的推广。

箭头被用来传播同构的信息。自然性告诉我们，所有的对象都获得了它的一致视图，而不管路径如何。

我们也可以逆转观察者和被观察者的角色。例如，使用一个箭头  $h: a \rightarrow x$ ，对象  $a$  可以从  $x$  探测任意对象。如果有一个箭头  $g: x \rightarrow y$ ，它可以将焦点切换到  $y$ 。切换视角到  $b$  是通过  $f^{*1}$  的前组合完成的。



同样，我们有自然性条件，这次是从同构对的角度来看：

$$(* \circ f^{*1}) \circ (g \circ *) = (g \circ *) \circ (* \circ f^{*1})$$

在范畴论中，当我们需要从一个地方移动到另一个地方时，通常需要两个步骤。这里，前组合和后组合的操作可以按任意顺序完成——我们说它们交换。但通常情况下，执行步骤的顺序会导致不同的结果。我们经常施加交换条件，并说如果这些条件成立，一个操作与另一个操作是兼容的。

**Exercise 3.2.1.** 证明  $f^{*1}$  的自然性条件的两边在作用于  $h$  时简化为：

$$b \xrightarrow{f^{*1}} a \xrightarrow{h} x \xrightarrow{g} y$$

### 3.3 Reasoning with Arrows

#### 使用箭头推理

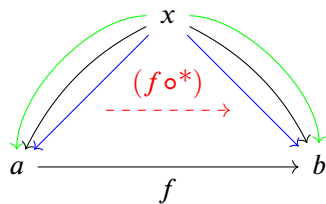
Master Yoneda says: “At the arrows look!”

If two objects are isomorphic, they have the same sets of incoming arrows.

If two objects are isomorphic, they also have the same sets of outgoing arrows.

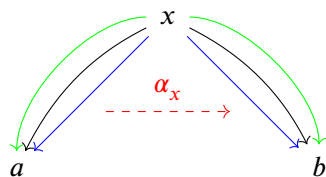
If you want to see if two objects are isomorphic, at the arrows look!

When two objects  $a$  and  $b$  are isomorphic, any isomorphism  $f$  induces a one-to-one mapping  $(f \circ *)$  between corresponding sets of arrows.



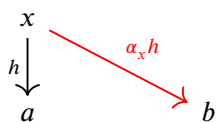
函数  $(f \circ *)$  将每个箭头  $h: x \rightarrow a$  映射到一个箭头  $f \circ h: x \rightarrow b$ 。它的逆  $(f^{*1} \circ *)$  将每个箭头  $h': x \rightarrow b$  映射到一个箭头  $(f^{*1} \circ h')$ 。

假设我们不知道这些对象是否同构，但我们知道在每个对象  $x$  和箭头  $h: x \rightarrow a$  之间存在一个可逆映射  $\alpha_x$ ，即在对象  $a$  和  $b$  之间的箭头之间存在双射。



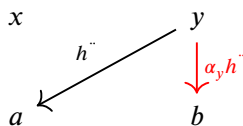
之前，箭头的双射是由同构  $f$  生成的。现在，箭头的双射是由  $\alpha_x$  给定的。这是否意味着这两个对象是同构的？我们能从映射  $\alpha_x$  的族中构造同构  $f$  吗？答案是肯定的，只要族  $\alpha_x$  满足自然性条件。

这是  $\alpha_x$  对特定箭头  $h$  的作用。



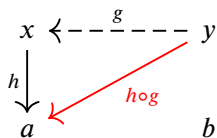
这种映射及其逆  $\alpha_x^{*1}$  将箭头从  $x \rightarrow b$  映射到箭头  $x \rightarrow a$ ，如果确实存在同构  $f$ ，它将扮演  $(f \circ *)$  和  $(f^{*1} \circ *)$  的角色。映射族  $\alpha$  描述了一种“人工”的方式来从  $a$  切换焦点到  $b$ 。

这是从另一个观察者  $y$  的角度来看相同的情况：



注意， $y$  使用的是同一族中的另一个映射  $\alpha_y$ 。

只要存在一个箭头  $g: y \rightarrow x$ ，这两个映射  $\alpha_x$  和  $\alpha_y$  就会纠缠在一起。在这种情况下，前组合  $(* \circ g)$  允许我们切换视角到  $y$ （注意方向）。



我们将焦点切换与视角切换分离。前者由  $\alpha$  完成，后者由前组合完成。自然性要求这两者之间的兼容性。

确实，从某个  $h$  开始，我们可以应用  $(* \circ g)$  切换到  $y$  的视角，然后应用  $\alpha_y$  切换焦点到  $b$ ：

$$\alpha_y \circ (* \circ g)$$

或者我们可以先让  $x$  使用  $\alpha_x$  切换焦点到  $b$ ，然后使用  $(* \circ g)$  切换视角：

$$(* \circ g) \circ \alpha_x$$

在这两种情况下，我们最终都从  $y$  的角度看到了  $b$ 。我们之前已经做过这个练习，当时我们有一个  $a$  和  $b$  之间的同构，我们发现结果是相同的。我们称之为自然性条件。

如果我们希望  $\alpha$  给我们一个同构，我们必须强加等效的自然性条件：

$$\alpha_y \circ (* \circ g) = (* \circ g) \circ \alpha_x$$

当作用于箭头  $h: x \rightarrow a$  时，我们希望这个图交换：

$$\begin{array}{ccc} h & \xrightarrow{(* \circ g)} & h \circ g \\ \downarrow \alpha_x & & \downarrow \alpha_y \\ \alpha_x h & \xrightarrow{(* \circ g)} & (\alpha_x h) \circ g = \alpha_y (h \circ g) \end{array}$$

这样我们就知道，用  $(f \circ *)$  替换所有  $\alpha$  是可行的。但这样的  $f$  是否存在？我们能从  $\alpha$  中重建  $f$  吗？答案是肯定的，我们将使用 **Yoneda** 技巧来实现这一点。

由于  $\alpha_x$  是为每个对象  $x$  定义的，它也可以为  $a$  本身定义。根据定义， $\alpha_a$  将一个从  $a \rightarrow a$  的态射映射到  $a \rightarrow b$  的态射。我们确定至少存在一个从  $a \rightarrow a$  的态射，即身份态射  $id_a$ 。事实证明，我们正在寻找的同构  $f$  由以下公式给出：

$$f = \alpha_a(id_a)$$

或者形象地表示为：

$$\begin{array}{ccc} a & & \\ id_a \downarrow & \searrow f = \alpha_a(id_a) & \\ a & & b \end{array}$$

让我们验证一下。如果  $f$  确实是我们的同构，那么对于任意  $x$ ， $\alpha_x$  应该等于  $(f \circ *)$ 。为此，我们将自然性条件替换为  $a$ 。我们得到：

$$\alpha_y(h \circ g) = (\alpha_a h) \circ g$$

如以下图所示：

$$\begin{array}{ccc} a & \xleftarrow{g} & y \\ h \downarrow & \searrow \alpha_a(h) & \downarrow \alpha_y(h \circ g) \\ a & & b \end{array}$$

由于  $h$  的源和目标都是  $a$ ，该等式必须在  $h = id_a$  时也成立：

$$\alpha_y(id_a \circ g) = (\alpha_a(id_a)) \circ g$$

但是  $id_a \circ g$  等于  $g$ ，而  $\alpha_a(id_a)$  是我们的  $f$ ，所以我们得到：

$$\alpha_y g = f \circ g = (f \circ *) g$$

换句话说，对于每个对象  $y$  和每个态射  $g: y \rightarrow a$ ， $\alpha_y = (f \circ *)$ 。

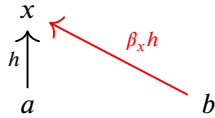
注意，尽管  $\alpha_x$  是为每个  $x$  和每个从  $x \rightarrow a$  的箭头单独定义的，但事实证明它完全由一个单一的身份箭头的值所决定。这就是自然性的力量！

## Reversing the Arrows

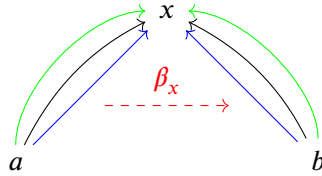
### 反转箭头

正如老子所说，观察者与被观察者之间的二元对立是无法完成的，除非允许观察者与被观察者互换角色。

再次，我们想证明两个对象  $a$  和  $b$  是同构的，但这次我们想将它们视为观察者。箭头  $h: a \rightarrow x$  从  $a$  的角度探测任意对象  $x$ 。之前，当我们知道这两个对象是同构的时，我们可以使用  $(* \circ f^{*1})$  切换视角到  $b$ 。这次我们有一个变换  $\beta_x$ 。它在箭头  $x \rightarrow a$  和  $x \rightarrow b$  之间建立了双射。



如果我们想观察另一个对象  $y$ ，我们将使用  $\beta_y$  在  $a$  和  $b$  之间切换视角，依此类推。



如果两个对象  $x$  和  $y$  之间有一个箭头  $g: x \rightarrow y$ ，那么我们可以选择使用  $(g \circ *)$  切换焦点。如果我们想同时切换视角和切换焦点，有两种方法可以做到。自然性要求结果相同：

$$(g \circ *) \circ \beta_x = \beta_y \circ (g \circ *)$$

的确，如果我们用  $(* \circ f^{*1})$  替换  $\beta$ ，我们将恢复同构的自然性条件。

**Exercise 3.3.1.** 使用身份态射的技巧，从映射族  $\beta$  中恢复  $f^{*1}$ 。

**Exercise 3.3.2.** 使用前一个习题中的  $f^{*1}$ ，对于任意对象  $y$  和任意箭头  $g: a \rightarrow y$ ，求出  $\beta_y g$  的值。

正如老子所说：要展示一个同构，定义一个在一万个箭头之间的自然变换往往比找到两个对象之间的一对箭头更容易。

---

# Sum Types 和类型

---

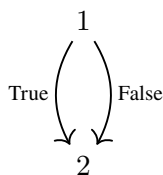
## 4.1 Bool

### 布尔类型

我们已经知道如何组合箭头。那么我们如何组合对象呢？

我们已经定义了 0（初始对象）和 1（终端对象）。那么 2 是什么？它就是 1 加 1。

一个 2 是一个具有两个元素的对象：从 1 发出的两个箭头。我们将其中一个箭头称为 **True**，另一个箭头称为 **False**。不要将这些名称与初始和终端对象的逻辑解释混淆。这两个只是箭头。



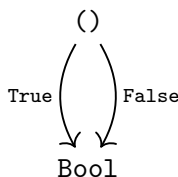
这个简单的概念可以立即用 **Haskell** 表达<sup>1</sup>，即定义一个类型，传统上称为 **Bool**，以纪念其发明者 George Boole（1815-1864）。

```
data Bool where
True  :: () -> Bool
False :: () -> Bool
```

---

<sup>1</sup>这种定义风格在 **Haskell** 中称为广义代数数据类型或 **GADTs**

它对应于相同的图（只是在 **Haskell** 中重命名了一些内容）：



正如我们之前所见，元素有一种简写表示法，因此这是一个更紧凑的版本：

```
data Bool where
  True  :: Bool
  False :: Bool
```

现在我们可以定义 **Bool** 类型的一个项，例如

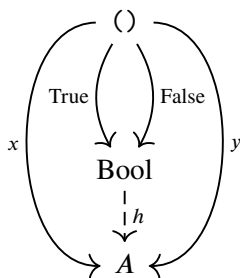
```
x :: Bool
x = True
```

第一行声明 **x** 是 **Bool** 的一个元素（实际上是一个函数  $() \rightarrow \text{Bool}$ ），第二行告诉我们它是两个元素中的哪个。

我们在 **Bool** 定义中使用的 **True** 和 **False** 函数被称为数据构造器。它们可以用来构造特定的项，就像上面的例子一样。顺便提一下，在 **Haskell** 中，函数名称通常以小写字母开头，除非它们是数据构造器。

我们对 **Bool** 类型的定义仍然不完整。我们知道如何构造一个 **Bool** 项，但我们不知道如何使用它。我们必须能够定义从 **Bool** 发出的箭头——即从 **Bool** 到其他类型的映射。

第一个观察结果是，如果我们有一个从 **Bool** 到某个具体类型 **A** 的箭头 **h**，那么我们自动会得到两个从单位对象到 **A** 的箭头，只需通过组合即可。以下两个（扭曲的）三角形是可交换的：



换句话说，每个 **Bool**  $\rightarrow$  **A** 函数都会生成一对 **A** 的元素。

给定一个具体类型 **A**：

```
h :: Bool -> A
```

我们有：



```
x = h True
y = h False
```

其中

```
x :: A
y :: A
```

注意，这里使用了应用函数到元素的简写表示法：

```
h True -- 意味着: h . True
```

我们现在准备通过添加一个条件来完成对`Bool`的定义，即从`Bool`到`A`的任何函数不仅生成，而且等价于一对`A`的元素。换句话说，一对元素唯一地决定了从`Bool`的函数。

这意味着我们可以以两种方式解释上面的图：给定`h`，我们可以很容易地得到`x`和`y`。但反过来也成立：一对元素`x`和`y`唯一地定义了`h`。

这里有一个双射在起作用。这次是元素对  $(x, y)$  与箭头  $h$  之间的一对一映射。

在 Haskell 中，`h`的定义封装在`if, then, else`结构中。给定

```
x :: A
y :: A
```

我们定义映射为

```
h :: Bool -> A
h b = if b then x else y
```

在这里，`b`是`Bool`类型的一个项。

一般来说，数据类型是通过引入规则创建的，并通过消除规则解构。`Bool`数据类型有两个引入规则，一个使用`True`，另一个使用`False`。`if, then, else`结构定义了消除规则。

考虑到上面对`h`的定义，我们可以检索用于定义它的两个项，这被称为计算规则。它告诉我们如何计算`h`的结果。如果我们用`True`调用`h`，结果是`x`；如果我们用`False`调用它，结果是`y`。

我们永远不要忘记编程的目的：将复杂问题分解为一系列更简单的问题。`Bool`的定义说明了这个想法。每当我们构造一个从`Bool`到某类型的映射时，我们将其分解为构造目标类型的一对元素的两个更小的任务。我们用两个更简单的问题换取了一个更大的问题。

## 4.2 Enumerations

### 枚举类型

在 0、1 和 2 之后是什么？一个具有三个数据构造器的对象。例如：

```
data RGB where
  Red   :: RGB
  Green :: RGB
  Blue  :: RGB
```

如果您厌倦了冗长的语法，可以使用此类型定义的简写：

```
data RGB = Red | Green | Blue
```

此引入规则允许我们构造RGB类型的项，例如：

```
c :: RGB
c = Blue
```

要定义从RGB到其他类型的映射，我们需要更通用的消除模式。就像从Bool到某个类型的函数由两个元素决定一样，从RGB到A的函数由A的三个元素x, y, z决定。我们使用模式匹配语法来编写这样的函数：

```
h :: RGB -> A
h Red   = x
h Green = y
h Blue  = z
```

这只是一个函数，它的定义分为三种情况。

我们也可以使用相同的语法用于Bool，代替if, then, else：

```
h :: Bool -> A
h True  = x
h False = y
```

实际上，还有第三种编写相同内容的方法，即case语句：

```
h c = case c of
  Red   -> x
  Green -> y
  Blue  -> z
```

甚至是：

```
h :: Bool -> A
h b = case b of
  True  -> x
  False -> y
```

编程时，您可以根据需要使用这些方式中的任何一种。

这些模式也适用于具有四个、五个或更多数据构造器的类型。例如，十进制数字是以下之一：

```
data Digit = Zero | One | Two | Three | ... | Nine
```

有一个巨大的 Unicode 字符枚举，称为 **Char**。它们的构造器有特殊的名称：你在字符本身前后加上单引号，例如：

```
c :: Char
c = 'a'
```

正如老子所说，万物之模式，需时多年，故人们发明了通配符模式“下划线”，它匹配一切。

由于模式是按顺序匹配的，因此您应该将通配符模式作为系列中的最后一个：

```
yesno :: Char -> Bool
yesno c = case c of
  'y' -> True
  'Y' -> True
  _    -> False
```

但我们为什么要止步于此呢？类型 `Int` 可以被看作是在  $2^{29}$  到  $2^{29}$  范围内的整数枚举（或更多，取决于实现）。当然，在这种范围内进行详尽的模式匹配是不可行的，但原理仍然成立。

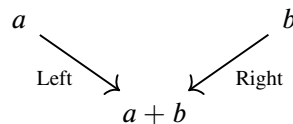
实际上，类型**Char**用于 Unicode 字符，**Int**用于固定精度整数，**Double**用于双精度浮点数，以及其他几个类型，都内置于语言中。

这些不是无限类型。它们的元素可以被枚举，即使可能需要一万年。类型 `Integer` 则是无限的。

## 4.3 Sum Types

## 和类型

**Bool**类型可以看作是和类型  $2 = 1 + 1$ 。但没有什么能阻止我们用其他类型替换 1，甚至用不同的类型替换这两个 1。我们可以使用两个箭头定义一个新类型  $a + b$ 。我们称它们为**Left**和**Right**。定义图就是引入规则：

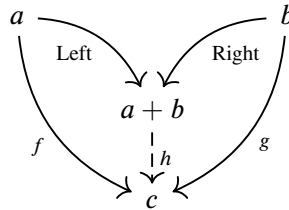


在 Haskell 中，类型  $a + b$  被称为 **Either**  $a\ b$ 。类似于 **Bool**，我们可以将其定义为：

```
data Either a b where
Left  :: a -> Either a b
Right :: b -> Either a b
```

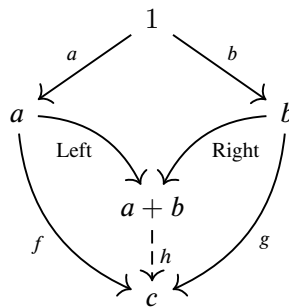
(注意小写字母用于类型变量。)

类似地，从  $a + b$  到某个类型  $c$  的映射由以下可交换图决定：



给定一个函数  $h$ ，我们只需通过组合它与 **Left** 和 **Right** 即可得到一对函数  $f$  和  $g$ 。反过来，这对函数唯一地决定了  $h$ 。这是消除规则。

当我们想将此图转换为 **Haskell** 时，我们需要选择两种类型的元素。我们可以通过定义从终端对象的箭头来完成：



沿着这个图的箭头，我们得到：

$$h \circ \text{Left} \circ a = f \circ a$$

$$h \circ \text{Right} \circ b = g \circ b$$

**Haskell** 语法几乎逐字重复了这些方程，最终得到这个模式匹配语法用于定义  $h$ ：

```

h :: Either a b -> c
h (Left a) = f a
h (Right b) = g b
  
```

(再次注意小写字母用于类型变量，并且这些字母与这些类型的项相同。与人类不同，编译器不会因此感到困惑。)

你还可以从右向左阅读这些方程，这样你就会看到和类型的计算规则：定义  $h$  所使用的两个函数可以通过应用  $h$  到 **(Left a)** 和 **(Right b)** 来恢复。

你也可以使用 **case** 语法定义  $h$ ：

```

h e = case e of
  Left a -> f a
  Right b -> g b
  
```

那么，数据类型的本质是什么？不过是操纵箭头的⼀个方法。

## 4.4 Maybe

### 可能类型

一个非常有用的数据类型，**Maybe**被定义为  $1 + a$ ，对于任意  $a$ 。这是它在 **Haskell** 中的定义：

```
data Maybe a where
  Nothing :: () -> Maybe a
  Just    :: a  -> Maybe a
```

数据构造器**Nothing**是从单位类型的箭头，而**Just**从**a**构造**Maybe a**。**Maybe a**与**Either () a**是同构的。它也可以用简写符号定义：

```
data Maybe a = Nothing | Just a
```

**Maybe**主要用于对部分函数的返回类型进行编码：这些函数在某些参数值上未定义。在这种情况下，这些函数不会失败，而是返回**Nothing**。在其他编程语言中，部分函数通常使用异常（或核心转储）来实现。

## 4.5 Logic

### 逻辑

在逻辑中，命题  $A + B$  被称为逻辑或。你可以通过提供  $A$  的证明或  $B$  的证明来证明它。任意一个证明都足够了。

如果你想证明  $C$  从  $A + B$  中得出，你必须为两种可能性做好准备：一种是有人通过证明  $A$  来证明  $A + B$ （此时  $B$  可能是假的），另一种是通过证明  $B$  来证明  $A + B$ （此时  $A$  可能是假的）。在第一种情况下，你必须展示  $C$  如何从  $A$  中得出。在第二种情况下，你需要证明  $C$  从  $B$  中得出。这些正是  $A + B$  消除规则中的箭头。

## 4.6 Cocartesian Categories

### 余笛卡尔范畴

在 **Haskell** 中，我们可以使用**Either**定义任意两种类型的和。一个类别中，如果所有和存在，并且初始对象也存在，我们称这个类别为余笛卡尔，而和则被称为余积。你可能注意到，和类型模仿了数字的加法。事实证明，初始对象扮演了零的角色。

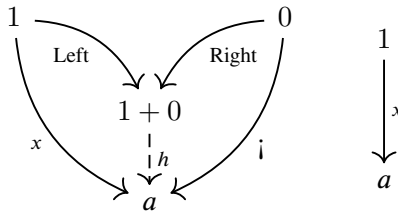
#### One Plus Zero

## 一加零

我们首先展示  $1 + 0 \cong 1$ ，这意味着终端对象与初始对象的和是同构于终端对象的。此类证明的标准程序是使用 Yoneda 技巧。由于和类型是通过映射出去定义的，我们应该比较它们的箭头。

Yoneda 论证说，如果两个对象有一个自然的双射  $\beta_a$ ，它在从它们到任意对象  $a$  的箭头集合之间建立，那么这两个对象是同构的。

让我们看看  $1 + 0$  的定义以及它到任意对象  $a$  的映射。这个映射由一对  $(x, i)$  定义，其中  $x$  是  $a$  的一个元素， $i$  是从初始对象到  $a$  的唯一箭头（在 Haskell 中是 `absurd` 函数）。



我们想在从  $1 + 0$  发出的箭头与从  $1$  发出的箭头之间建立一对一的映射。箭头  $h$  由一对  $(x, i)$  决定。由于只有一个  $i$ ，因此  $h$  与  $x$  之间存在一个双射。

我们定义  $\beta_a$  将由一对  $(x, i)$  定义的任何  $h$  映射到  $x$ 。反过来， $\beta_a^{*1}$  将  $x$  映射到一对  $(x, i)$ 。但这是一个自然变换吗？

要回答这个问题，我们需要考虑当我们从  $a$  切换到通过箭头  $g: a \rightarrow b$  与  $a$  连接的某个  $b$  时会发生什么。我们现在有两个选项：

- 使  $h$  通过后组合  $x$  和  $i$  与  $g$  来切换焦点。我们得到一个新对  $(y = g \circ x, i)$ 。然后使用  $\beta_b$ 。
- 使用  $\beta_a$  将  $(x, i)$  映射到  $x$ 。然后跟随  $(g \circ *)$  进行后组合。

在这两种情况下，我们都得到相同的箭头  $y = g \circ x$ 。因此映射  $\beta$  是自然的。因此  $1 + 0$  与  $1$  是同构的。

在 Haskell 中，我们可以定义构成同构的两个函数，但没有直接表达它们是彼此逆的方式。

```
f :: Either () Void -> ()
f (Left ()) = ()
f (Right _) = ()

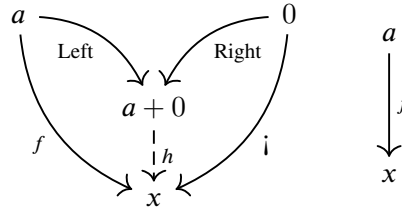
f_1 :: () -> Either () Void
f_1 _ = Left ()
```

函数定义中的下划线通配符表示该参数被忽略。函数 `f` 的第二个子句是多余的，因为 `Void` 类型没有项。

## Something Plus Zero

### 某物加零

一个非常相似的论证可以用来证明  $a + 0 \ddot{\circ} a$ 。以下图解释了这一点。



我们可以通过实现一个(多态)函数`h`,它适用于任何类型`a`,将此论证转化为 Haskell。

**Exercise 4.6.1.** 在 *Haskell* 中实现两个函数,这两个函数形成了 `(Either a Void)` 与 `a` 之间的同构。

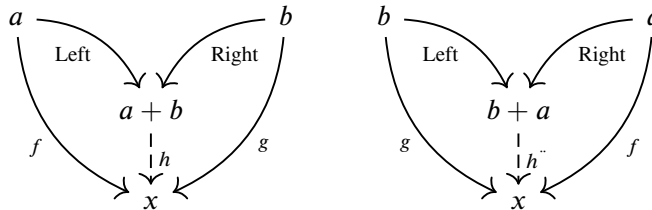
我们可以使用类似的论证来证明  $0 + a \ddot{\circ} a$ , 但和类型的更一般属性使得这点显得多余。

## Commutativity

### 交换性

和类型定义中的图具有漂亮的左右对称性,这表明它满足交换规则,即  $a + b \ddot{\circ} b + a$ 。

让我们考虑公式两边的映射。你可以很容易地看到,对于左侧由一对  $(f, g)$  决定的每个  $h$ , 右侧有一个对应的  $h''$ , 它由一对  $(g, f)$  给出。这就建立了箭头之间的双射。



**Exercise 4.6.2.** 证明上面定义的双射是自然的。提示:  $f$  和  $g$  通过与  $k: x \rightarrow y$  的后组合来改变焦点。

**Exercise 4.6.3.** 在 *Haskell* 中实现见证 `(Either a b)` 与 `(Either b a)` 之间同构的函数。注意, 这个函数本身是它的逆。

## Associativity

### 结合性

正如在算术中, 我们定义的和是结合的:

$$(a + b) + c \ddot{\circ} a + (b + c)$$

编写左侧的映射很容易：

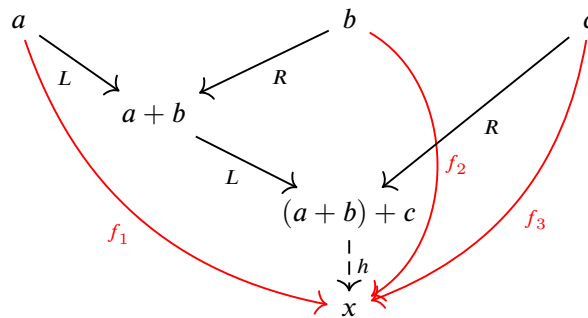
```
h :: Either (Either a b) c -> x
h (Left (Left a)) = f1 a
h (Left (Right b)) = f2 b
h (Right c)        = f3 c
```

注意使用嵌套模式，如 `(Left (Left a))` 等。该映射完全由三个函数定义。可以使用相同的函数来定义右侧的映射：

```
h' :: Either a (Either b c) -> x
h' (Left a)          = f1 a
h' (Right (Left b)) = f2 b
h' (Right (Right c)) = f3 c
```

这建立了两个定义映射的函数组之间的一对一映射。这种映射是自然的，因为所有的焦点转换都是通过后组合完成的。因此，两边是同构的。

这个代码也可以用图形化的形式展示。以下是同构左侧的图：



## Functoriality

### 函子性

由于和是由映射出的性质定义的，所以很容易看出当我们改变焦点时会发生什么：它会随着定义积的箭头焦点的变化而“自然地”变化。但当我们移动这些箭头的源时，会发生什么呢？

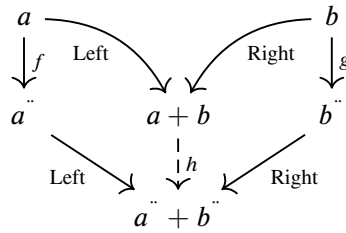
假设我们有箭头，将  $a$  和  $b$  映射到某个  $a''$  和  $b''$ ：

$$f: a \rightarrow a''$$

$$g: b \rightarrow b''$$

这些箭头与构造器 `Left` 和 `Right` 分别组合，定义了和之间的映射：





箭头对  $(\text{Left} \circ f, \text{Right} \circ g)$  唯一地定义了箭头  $h: a + b \rightarrow a'' + b''$ 。

这种和的性质称为函子性。你可以想象它允许你在和的内部转换两个对象，并获得一个新的和。我们还说函子性允许我们提升一对箭头以操作和。

**Exercise 4.6.4.** 证明函子性保持组合。提示：取两条可组合的箭头,  $g: b \rightarrow b''$  和  $g'': b'' \rightarrow b'''$ , 证明应用  $g'' \circ g$  给出与首先应用  $g$  将  $a + b$  变换为  $a + b''$ , 然后应用  $g''$  将  $a + b''$  变换为  $a + b'''$  相同的结果。

**Exercise 4.6.5.** 证明函子性保持身份。提示：使用  $id_b$  并证明它被映射到  $id_{a+b}$ 。

## Symmetric Monoidal Category

### 对称么半范畴

当一个孩子学习加法时，我们称之为算术。当一个成年人学习加法时，我们称之为余笛卡尔范畴。

无论我们是加数字，组合箭头，还是构造对象的和，我们都在重复使用将复杂事物分解为其简单组成部分的相同思想。

正如老子所说，当事物结合形成新事物时，如果操作是结合的，并且有一个中性元素，我们就知道如何处理万事万物。

我们定义的和类型满足这些属性：

$$a + 0 \doteq a$$

$$a + b \doteq b + a$$

$$(a + b) + c \doteq a + (b + c)$$

并且它是函子性的。具有这种操作的范畴称为对称么半范畴。当操作是和（余积）时，它被称为余笛卡尔。在下一章中，我们将看到另一种被称为笛卡尔的么半结构，不带“余”字。



## Chapter 5

# Product Types

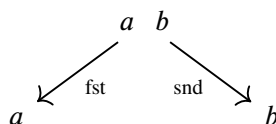
## 积类型

我们可以使用和类型枚举给定类型的可能值，但这种编码可能是低效的。我们需要十个构造器才能编码从零到九的数字。

```
data Digit = Zero | One | Two | Three | ... | Nine
```

但是，如果我们将两个数字组合成一个数据结构，即一个两位数的十进制数，我们就能编码一百个数字。正如老子所说，只需四位数字就可以编码一万个数字。

这种以这种方式组合两种类型的数据类型称为积，或笛卡尔积。它的定义特性是消去规则：有两个箭头从  $a \times b$  出发；一个叫“fst”，指向  $a$ ，另一个叫“snd”，指向  $b$ 。它们被称为（笛卡尔）投影。它们让我们从积  $a \times b$  中检索  $a$  和  $b$ 。

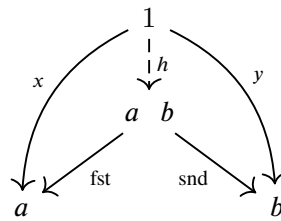


假设有人给了你一个积的元素，即一个从终端对象 1 到  $a \times b$  的箭头  $h$ 。你可以通过组合轻松检索一对元素：一个给定  $a$  的元素

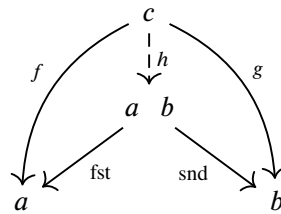
$$x = \text{fst} \circ h$$

和一个给定  $b$  的元素

$$y = \text{snd} \circ h$$



实际上, 给定一个从任意对象  $c$  到  $a \times b$  的箭头, 我们可以通过组合定义一对箭头  $f: c \rightarrow a$  和  $g: c \rightarrow b$ 。



正如我们之前对和类型所做的那样, 我们可以反过来使用这个图来定义积类型: 我们规定一个函数对  $f$  和  $g$  与从  $c$  到  $a \times b$  的映射是一一对应的关系。这是积的引入规则。

特别地, 从终端对象的映射在 **Haskell** 中用于定义积类型。给定两个元素,  $a :: A$  和  $b :: B$ , 我们构造积

```
(a, b) :: (A, B)
```

内置的积语法就是这样: 一对括号和中间的逗号。它既适用于定义两个类型的积  $(A, B)$ , 也适用于数据构造器  $(a, b)$ , 它接受两个元素并将它们配对在一起。

我们应该始终牢记编程的目的: 将复杂问题分解为一系列简单的问题。在积的定义中, 我们再次看到这一点。每当我们必须构造一个进入积的映射时, 我们将其分解为两个较小的任务, 即构造一个函数对, 每个函数映射到积的一个组成部分。这就像说, 为了实现一个返回一对值的函数, 足以实现两个函数, 每个函数返回对中一个元素。

## Logic

### 逻辑

在逻辑中, 积类型对应于逻辑合取。为了证明  $A \wedge B$  ( $A$  和  $B$ ), 你需要同时提供  $A$  和  $B$  的证明。这些是指向  $A$  和  $B$  的箭头。消去规则表明, 如果你有  $A \wedge B$  的证明, 那么你自动获得  $A$  的证明 (通过 `fst`) 和  $B$  的证明 (通过 `snd`)。

## Tuples and Records

### 元组和记录

正如老子所说, 万物的积不过是一个具有万物投影的对象。

我们可以使用元组表示法在 **Haskell** 中形成任意积。例如, 三种类型的积写作  $(A, B, C)$ 。该类型的一个项可以由三个元素构造:  $(a, b, c)$ 。

在数学家所称的“符号滥用”中, 零个类型的积写作  $()$ , 一个空元组, 它恰好与终端对象或单位类型相同。这是因为积的行为非常像数字的乘法, 终端对象扮演了“一”的角色。

在 **Haskell** 中, 与其为所有元组定义单独的投影, 我们使用模式匹配语法。例如, 要从三元组中提取第三个组件, 我们可以这样写

```
thrd :: (a, b, c) -> c
thrd (_, _, c) = c
```

我们对想忽略的组件使用通配符。

老子说, “命名是所有特殊事物的起源。”在编程中, 如果不给它们命名, 跟踪特定元组中组件的含义是困难的。记录语法允许我们为投影命名。这是以记录方式编写的积的定义:

```
data Product a b = Pair { fst :: a, snd :: b }
```

**Pair** 是数据构造器, **fst** 和 **snd** 是投影。

这是如何声明和初始化特定对的:

```
ic :: Product Int Char
ic = Pair 10 'A'
```

## 5.1 Cartesian Category

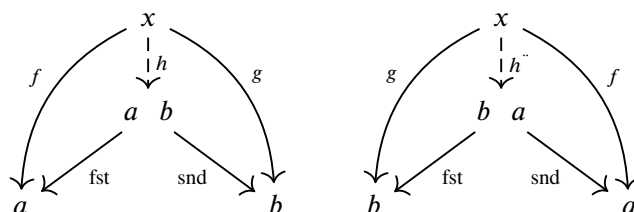
### 笛卡尔范畴

在 **Haskell** 中, 我们可以定义任意两种类型的积。具有所有积和终端对象的范畴称为笛卡尔范畴。

### Tuple Arithmetic

#### 元组算术

积所满足的恒等式可以使用映射性质导出。例如, 要证明  $a \circ b \circ a$ , 考虑以下两个图:



它们显示，对于任何对象  $x$ ，到  $a \ b$  的箭头与到  $b \ a$  的箭头是一一对应的。这是因为这些箭头中的每一个都由相同的  $f$  和  $g$  对确定。

你可以检查自然性条件是否得到了满足，因为当你使用箭头  $k: x \rightarrow x$  切换焦点时，所有起始于  $x$  的箭头都通过前组合 ( $\circ k$ ) 来转换。

在 **Haskell** 中，这个同构可以实现为一个函数，它是其自身的逆：

```
swap :: (a, b) -> (b, a)
swap x = (snd x, fst x)
```

这是使用模式匹配编写的相同函数：

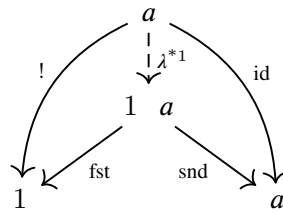
```
swap (x, y) = (y, x)
```

重要的是要记住，积仅在“同构意义上”是对称的。这并不意味着交换对的顺序不会改变程序的行为。对称性意味着交换对的信息内容相同，但访问它需要进行修改。

终端对象是积的单位， $1 \ a \ a$ 。见证  $1 \ a$  和  $a$  之间同构的箭头称为左单位元：

$$\lambda: 1 \ a \rightarrow a$$

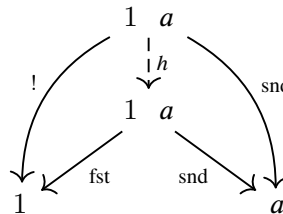
它可以实现为  $\lambda = \text{snd}$ 。它的逆  $\lambda^{*1}$  定义为以下图中的唯一箭头：



从  $a$  到  $1$  的箭头称为  $!$ （发音为，*bang*）。这确实表明

$$\text{snd} \circ \lambda^{*1} = \text{id}$$

我们仍然需要证明  $\lambda^{*1}$  是  $\text{snd}$  的左逆。考虑以下图：



很明显，对于  $h = \text{id}$  来说，这个图是交换的。对于  $h = \lambda^{*1} \circ \text{snd}$ ，这个图也是交换的，因为我们有：

$$\text{snd} \circ \lambda^{*1} \circ \text{snd} = \text{snd}$$

由于  $h$  应该是唯一的，我们得出结论：

$$\lambda^{*1} \circ \text{snd} = \text{id}$$

这种使用普遍构造的推理是相当标准的。

以下是用 **Haskell** 编写的其他一些同构（没有证明逆）。这是结合律：

```
assoc :: ((a, b), c) -> (a, (b, c))
assoc ((a, b), c) = (a, (b, c))
```

这是右单位

```
runit :: (a, ()) -> a
runit (a, _) = a
```

这两个函数对应于结合子

$$\alpha: (a \times b) \times c \rightarrow a \times (b \times c)$$

和右单位元：

$$\rho: a \times 1 \rightarrow a$$

**Exercise 5.1.1.** 证明左单位证明中的双射是自然的。提示，使用箭头  $g: a \rightarrow b$  来更改焦点。

**Exercise 5.1.2.** 构造一个箭头

$$h: b + a \times b \rightarrow (1 + a) \times b$$

这个箭头是唯一的吗？

提示：这是映射到积的映射，所以它由一对箭头给出。这些箭头，反过来，从和类型中映射出来，因此每一个都是由一对箭头给出的。

提示：映射  $b \rightarrow 1 + a$  由  $(Left \circ !)$  给出

**Exercise 5.1.3.** 重做上一个练习，这次将  $h$  视为从和类型中映射出。

**Exercise 5.1.4.** 实现一个 **Haskell** 函数 `maybeAB :: Either b (a, b) -> (Maybe a, b)`。这个函数是由其类型签名唯一定义的吗？还是有一些余地？

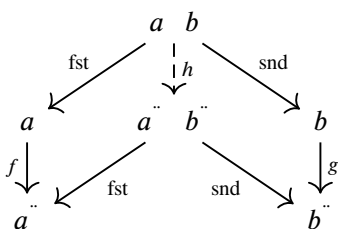
## Functoriality

### 函子性

假设我们有箭头将  $a$  和  $b$  映射到某个  $a''$  和  $b''$ ：

$$\begin{aligned} f: a &\rightarrow a'' \\ g: b &\rightarrow b'' \end{aligned}$$

这些箭头与投影 `fst` 和 `snd` 的组合分别用于定义积之间的映射  $h$ ：



这个图的简写符号是：

$$a \quad b \xrightarrow{f \quad g} a'' \quad b''$$

这种积的性质称为函子性。你可以想象它允许你在积内部转换两个对象以获得新的积。我们还说函子性允许我们提升一对箭头以操作积。

## 5.2 Duality

### 对偶性

当一个孩子看到一个箭头时，它知道哪一端指向源，哪一端指向目标

$$a \rightarrow b$$

但这也许只是一个先入之见。如果我们把  $b$  称为源， $a$  称为目标，宇宙会有很大不同吗？

我们仍然能够将这个箭头与这个箭头组合

$$b \rightarrow c$$

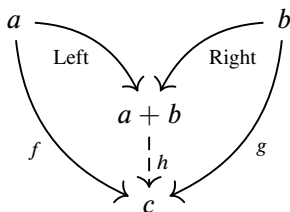
其“目标” $b$  与  $a \rightarrow b$  的“源”相同，结果仍然是一个箭头

$$a \rightarrow c$$

只不过现在我们会说它从  $c$  到  $a$ 。

在这个对偶宇宙中，我们称之为“初始”的对象将被称为“终端”，因为它是从所有对象来的唯一箭头的“目标”。相反，终端对象将被称为初始对象。

现在考虑我们用来定义和对象的这个图：



在新的解释中，箭头  $h$  将从任意对象  $c$  “到”我们称为  $a + b$  的对象。这个箭头由一对箭头  $(f, g)$  唯一定义，其“源”是  $c$ 。如果我们将 **Left** 重命名为 **fst**，将 **Right** 重命名为 **snd**，我们将得到积的定义图。



积是和类型的对偶。

相反，和类型是积的对偶。

范畴论中的每个构造都有其对偶。

如果箭头的方向只是解释问题，那么在编程中，和类型和积类型有什么区别呢？这种区别可以追溯到我们一开始做的一个假设：没有指向初始对象的箭头（除身份箭头外）。这与终端对象有大量指向外部的箭头形成对比，我们用这些箭头来定义（全局）元素。事实上，我们假设每个感兴趣的对象都有元素，而没有元素的对象是与Void同构的。

当我们讨论函数类型时，我们将看到更深的差异。

## 5.3 Monoidal Category

### 么半范畴

我们已经看到积满足以下简单规则：

$$\begin{aligned} 1 \otimes a &\cong a \\ a \otimes b &\cong b \otimes a \\ (a \otimes b) \otimes c &\cong a \otimes (b \otimes c) \end{aligned}$$

并且是函子性的。

定义了具有这些属性的运算的范畴称为对称么半范畴<sup>1</sup>。当我们处理和类型和初始对象时，我们看到了类似的结构。

一个范畴可以同时有多个么半结构。当你不想为你的么半结构命名时，你可以用张量符号代替加号或积号，用字母  $I$  代替中性元素。对称么半范畴的规则可以写作：

$$\begin{aligned} I \otimes a &\cong a \\ a \otimes b &\cong b \otimes a \\ (a \otimes b) \otimes c &\cong a \otimes (b \otimes c) \end{aligned}$$

这些同构通常写作称为结合子的可逆箭头家族和单位子。如果么半范畴不是对称的，则有单独的左单位和右单位子。

$$\begin{aligned} \alpha &: (a \otimes b) \otimes c \rightarrow a \otimes (b \otimes c) \\ \lambda &: I \otimes a \rightarrow a \\ \rho &: a \otimes I \rightarrow a \end{aligned}$$

<sup>1</sup>严格来说，两个对象的积是同构定义的，而么半范畴中的积必须是确切定义的。但通过选择一个积，我们可以得到一个么半范畴

对称性由下式见证：

$$\gamma: a \otimes b \rightarrow b \otimes a$$

函子性让我们提升一对箭头：

$$f: a \rightarrow a''$$

$$g: b \rightarrow b''$$

以操作张量积：

$$a \otimes b \xrightarrow{f \otimes g} a'' \otimes b''$$

如果我们将态射视为动作，那么它们的张量积对应于同时执行两个动作。与态射的序列组合相比，这表明它们的时间顺序。

你可以将张量积想象为积和和的最小公分母。它仍然有一个引入规则，需要两个对象  $a$  和  $b$ ；但它没有消去规则。一旦创建，张量积就“忘记”了它是如何创建的。与笛卡尔积不同，它没有投影。

一些有趣的张量积甚至不是对称的。

## Monoids

### 幺半群

幺半群是非常简单的结构，具有二元运算和一个单位。以加法和零为运算的自然数构成一个幺半群。以乘法和一为运算的自然数也构成一个幺半群。

直觉上，幺半群让你将两件事物结合起来，得到另一件事物。还有一个特殊的事物，将其与任何其他事物结合，都会返回相同的事物。那就是单位元。并且结合必须是结合的。

未被假定的是结合是对称的，或存在逆元素。

定义幺半群的规则让人联想到范畴的规则。不同之处在于，在幺半群中，任何两件事物都是可组合的，而在范畴中通常不是这样：只有当一个箭头的目标是另一个箭头的源时，你才能组合这两个箭头。除非该范畴仅包含一个对象，在这种情况下，所有箭头都是可组合的。

包含单个对象的范畴称为幺半群。组合运算是箭头的组合，单位是身份箭头。

这是一个完全有效的定义。然而，在实践中，我们通常对嵌入更大范畴中的幺半群更感兴趣。特别是在编程中，我们希望能够类型和函数的范畴内定义幺半群。

但是，在范畴中，我们倾向于整体定义运算，而不是关注个别元素。因此我们从对象  $m$  开始。二元运算是一个有两个参数的函数。由于积的元素是成对的元素，我们可以将二元运算表征为从积  $m \times m$  到  $m$  的箭头：

$$\mu: m \times m \rightarrow m$$

单位元素可以定义为从终端对象  $1$  的箭头：

$$\eta: 1 \rightarrow m$$

我们可以直接将这种描述翻译为 Haskell，定义一个类型类，它配备了两个方法，传统上称为 `mappend` 和 `mempty`：

```
class Monoid m where
  mappend :: (m, m) -> m
  mempty  :: () -> m
```

这两个箭头  $\mu$  和  $\eta$  必须满足幺半群律，但我们再次需要在整体上表述它们，而不涉及元素。

为了表述左单位律，我们首先创建积  $1 \times m$ 。然后我们使用  $\eta$  “选择  $m$  中的单位元素”，或者，用箭头的术语来说，将  $1$  变成  $m$ 。由于我们正在操作积  $1 \times m$ ，我们必须提升对  $\langle \eta, id_m \rangle$ ，确保我们“不接触” $m$ 。最后，我们使用  $\mu$  执行“乘法”。

我们希望结果与原始的  $m$  元素相同，但不提及元素。因此，我们只是使用左单位元  $\lambda$  从  $1 \times m$  到  $m$  而不“搅动事物。”

$$\begin{array}{ccc} 1 \times m & \xrightarrow{\eta \times id_m} & m \times m \\ & \searrow \lambda & \downarrow \mu \\ & & m \end{array}$$

这里是右单位的类似律：

$$\begin{array}{ccc} m \times m & \xleftarrow{id_m \times \eta} & m \times 1 \\ & \swarrow \rho & \downarrow \mu \\ & & m \end{array}$$

为了表述结合律，我们必须从三重积开始，并在整体上操作。在这里， $\alpha$  是结合子，它重新排列积而不“搅动事物”。

$$\begin{array}{ccc} (m \times m) \times m & \xrightarrow{\alpha} & m \times (m \times m) \\ \downarrow \mu \times id & & \downarrow id \times \mu \\ m \times m & \xrightarrow{\mu} & m \times m \\ & \searrow \mu & \swarrow \mu \\ & m & \end{array}$$

注意，我们不需要对我们与对象  $m$  和  $1$  一起使用的范畴积假设太多，特别是我们从未需要使用投影。这表明上述定义同样适用于任意幺半范畴中的张量积。它甚至不需要是对称的。我们只需假设：存在一个单位对象，积是函子的，并且它满足单位和结合律（最多同构）。

因此，如果我们将  $\times$  替换为  $\otimes$ ，并将  $1$  替换为  $I$ ，我们将得到任意幺半范畴中幺半群的定义。

任意么半范畴中的么半群是一个配备两个态射的对象  $m$ :

$$\mu: m \otimes m \rightarrow m$$

$$\eta: I \rightarrow m$$

满足单位和结合律:

$$\begin{array}{ccc}
 1 \otimes m & \xrightarrow{\eta \otimes id_m} & m \otimes m \xleftarrow{id_m \otimes \eta} m \otimes 1 \\
 & \searrow \lambda & \downarrow \mu \swarrow \rho \\
 & & m
 \end{array}$$
  

$$\begin{array}{ccc}
 (m \otimes m) \otimes m & \xrightarrow{\alpha} & m \otimes (m \otimes m) \\
 \downarrow \mu \otimes id_m & & \downarrow id_m \otimes \mu \\
 m \otimes m & & m \otimes m \\
 & \searrow \mu \quad \swarrow \mu & \\
 & & m
 \end{array}$$

我们使用了  $\otimes$  的函子性来提升箭头对, 例如  $\eta \otimes id_m$ 、 $\mu \otimes id_m$  等。

## Function Types

## 函数类型

在函数式编程中，还有一种核心的组合方式。当你将一个函数作为参数传递给另一个函数时，外部函数可以将这个参数作为自身机制中的一个可插拔部分。这使得你可以实现一个通用的排序算法，该算法接受任意的比较函数。

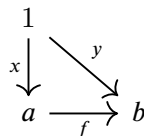
如果我们将函数建模为对象之间的箭头，那么拥有一个函数作为参数意味着什么呢？

我们需要一种将函数对象化的方法，以便定义以“箭头对象”作为源或目标的箭头。接受函数作为参数或返回函数的函数被称为 *higher-order function*（高阶函数）。高阶函数是函数式编程的工作马。

### Elimination rule

#### 消去规则

函数的定义性特征是它可以应用于一个参数来产生结果。我们已经根据组合定义了函数应用：



这里， $f$  被表示为从  $a$  到  $b$  的箭头，但我们希望能够将  $f$  替换为箭头对象的一个元素，或者用数学家的话来说，替换为指数对象  $b^a$ ；在编程中，我们称之为函数类型  $a \rightarrow b$ 。

给定  $b^a$  的一个元素和  $a$  的一个元素，函数应用应该产生  $b$  的一个元素。换句话说，

给定一对元素：

$$f: 1 \rightarrow b^a$$

$$x: 1 \rightarrow a$$

它应该产生一个元素：

$$y: 1 \rightarrow b$$

请记住，这里  $f$  表示  $b^a$  的一个元素。之前，它是从  $a$  到  $b$  的一个箭头。

我们知道，一对元素  $(f, x)$  等价于积  $b^a \times a$  的一个元素。因此，我们可以将函数应用定义为一个单一的箭头：

$$\epsilon_{ab}: b^a \times a \rightarrow b$$

这样，应用的结果  $y$  由以下交换图定义：

$$\begin{array}{ccc} 1 & & \\ (f,x) \downarrow & \searrow y & \\ b^a \times a & \xrightarrow{\epsilon_{ab}} & b \end{array}$$

函数应用是函数类型的消去规则。

当有人给你一个函数对象的元素时，你唯一能做的就是使用  $\epsilon$  将它应用于参数类型的一个元素。

## Introduction rule

### 引入规则

为了完成函数对象的定义，我们还需要引入规则。

首先，假设有一种方法可以从其他对象构造函数对象  $b^a$ 。这意味着存在一个箭头

$$h: c \rightarrow b^a$$

我们知道我们可以使用  $\epsilon_{ab}$  消去  $h$  的结果，但我们必须首先将其乘以  $a$ 。因此，首先将  $c$  乘以  $a$ ，然后使用函子性将其映射到  $b^a \times a$ 。

函子性让我们可以将一对箭头应用于一个积以得到另一个积。在这里，箭头对是  $(h, id_a)$ （我们希望将  $c$  转变为  $b^a$ ，但我们对修改  $a$  不感兴趣）

$$c \times a \xrightarrow{h \times id_a} b^a \times a$$

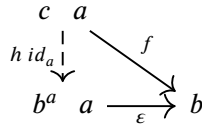
现在我们可以用函数应用继续将其映射到  $b$ ：

$$c \times a \xrightarrow{h \times id_a} b^a \times a \xrightarrow{\epsilon_{ab}} b$$

这个复合箭头定义了一个我们称之为  $f$  的映射：

$$f: c \rightarrow a \rightarrow b$$

以下是相应的图示：



这个交换图告诉我们，给定一个  $h$ ，我们可以构造一个  $f$ ；但我们也可以要求反过来：每一个映射  $f: c \rightarrow a \rightarrow b$  都应该唯一地定义一个到指数对象的映射  $h: c \rightarrow b^a$ 。

我们可以利用这个属性，即箭头集合之间的一一对应关系来定义指数对象。这是函数对象  $b^a$  的引入规则。

我们已经看到积是通过它的映射进入性质定义的。而函数应用则定义为从一个积中映射出来的映射出。

## Currying

### 柯里化

有几种方式可以看待这个定义。一种是将其视为柯里化的一个例子。

到目前为止，我们只考虑了单参数的函数。这并不是一个真正的限制，因为我们总是可以实现一个双参数的函数作为一个从积到函数的（单参数）函数。函数对象定义中的  $f$  就是这样一个函数：

```
f :: (c, a) -> b
```

而  $h$  则是一个返回函数的函数：

```
h :: c -> (a -> b)
```

柯里化就是这两个箭头集合之间的同构。

这种同构可以通过一对（高阶）函数在 **Haskell** 中表示出来。由于在 **Haskell** 中，柯里化适用于任何类型，这些函数使用类型变量编写——它们是多态的：

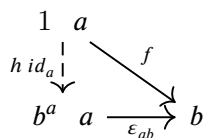
```
curry    :: ((c, a) -> b) -> (c -> (a -> b))
```

```
uncurry  :: (c -> (a -> b)) -> ((c, a) -> b)
```

换句话说，函数对象定义中的  $h$  可以写成：

$$h = \text{curry } f$$

当然，以这种方式书写，**curry**和**uncurry**的类型对应于函数对象而非箭头。这种区别通常被忽略，因为指数的元素和定义它们的箭头之间有一一对应的关系。当我们用终端对象替换任意对象  $c$  时，这一点很容易看出。我们得到：



在这种情况下， $h$  是对象  $b^a$  的一个元素， $f$  是从  $1 \rightarrow a$  到  $b$  的一个箭头。但我们知道  $1 \rightarrow a$  同构于  $a$ ，所以实际上， $f$  是从  $a$  到  $b$  的一个箭头。

因此，从现在开始，我们将  $\rightarrow$  箭头称为  $\rightarrow$  箭头，而不必过多纠缠于此。这种现象的正确表达方式是说这个范畴是自封闭的。

我们可以将  $\epsilon_{ab}$  写成 Haskell 函数 `apply`：

```
apply :: (a -> b, a) -> b
apply (f, x) = f x
```

但这只是一个语法技巧：函数应用内置于语言中：`f x` 意味着  $f$  应用于  $x$ 。其他编程语言要求函数的参数用括号括起来，而在 Haskell 中则不需要。

尽管将函数应用定义为一个单独的函数似乎是多余的，Haskell 库确实提供了一个用于此目的的中缀操作符 `$`：

```
($) :: (a -> b) -> a -> b
f $ x = f x
```

但这个技巧在于常规的函数应用绑定到左边，例如，`f x y` 与 `(f x) y` 相同；但美元符号绑定到右边，因此

```
f $ g x
```

与 `f (g x)` 相同。在第一个例子中， $f$  必须是一个（至少）双参数函数；在第二个例子中，它可以是一个单参数函数。

在 Haskell 中，柯里化无处不在。双参数函数几乎总是被写作返回一个函数的函数。由于函数箭头  $\rightarrow$  绑定到右边，因此不需要为此类类型加括号。例如，配对构造函数具有如下签名：

```
pair :: a -> b -> (a, b)
```

你可以将其视为一个双参数函数，返回一个配对，或者是一个单参数函数，返回一个单参数函数  $b \rightarrow (a, b)$ 。因此，可以部分应用此类函数，其结果为另一个函数。例如，我们可以定义：

```
pairWithTen :: a -> (Int, a)
pairWithTen = pair 10 -- partial application of pair
```

## Relation to lambda calculus



## 与演算的关系

另一种看待函数对象定义的方法是将  $c$  解释为  $f$  定义的环境类型。在这种情况下，通常将环境称为  $\Gamma$ 。箭头被解释为使用  $\Gamma$  中定义的变量的表达式。

考虑一个简单的例子，表达式：

$$ax^2 + bx + c$$

你可以将其看作是由一个实数三元组  $(a, b, c)$  和一个变量  $x$ （假设为一个复数）参数化的。该三元组是一个积  $\mathbb{R} \times \mathbb{R} \times \mathbb{R}$  的元素。这个积就是我们的表达式的环境  $\Gamma$ 。

变量  $x$  是  $\mathbb{C}$  的一个元素。表达式是从积  $\Gamma \times \mathbb{C}$  到结果类型（这里也是  $\mathbb{C}$ ）的箭头：

$$f: \Gamma \times \mathbb{C} \rightarrow \mathbb{C}$$

这是从一个积映射出的映射，因此我们可以用它来构造一个函数对象  $\mathbb{C}^{\mathbb{C}}$  并定义一个映射  $h: \Gamma \rightarrow \mathbb{C}^{\mathbb{C}}$

$$\begin{array}{ccc} \Gamma & \times & \mathbb{C} \\ \downarrow h \text{ id}_{\mathbb{C}} & \searrow f & \\ \mathbb{C}^{\mathbb{C}} & \times & \mathbb{C} \\ & \xrightarrow{\epsilon} & \mathbb{C} \end{array}$$

这个新的映射  $h$  可以被看作是函数对象的构造器。所得的函数对象表示所有从  $\mathbb{C}$  到  $\mathbb{C}$  的函数，这些函数可以访问环境  $\Gamma$ ，即参数三元组  $(a, b, c)$ 。

对应于我们最初的表达式  $ax^2 + bx + c$ ，在  $\mathbb{C}^{\mathbb{C}}$  中有一个特定的函数，我们写作：

$$\lambda x. ax^2 + bx + c$$

或者在 Haskell 中，使用反斜杠代替  $\lambda$ ：

```
\x -> a * x^2 + b * x + c
```

箭头  $h: \Gamma \rightarrow \mathbb{C}^{\mathbb{C}}$  由箭头  $f$  唯一确定。此映射生成我们称之为  $\lambda x.f$  的函数。

一般而言，函数对象的定义图变为：

$$\begin{array}{ccc} \Gamma & \times & a \\ \downarrow h \text{ id}_a & \searrow f & \\ b^a & \times & a \\ & \xrightarrow{\epsilon} & b \end{array}$$

提供表达式  $f$  的自由参数的环境  $\Gamma$  是代表参数类型的多个对象的积（在我们的例子中是  $\mathbb{R} \times \mathbb{R} \times \mathbb{R}$ ）。

空环境由终端对象 1 表示，积的单位。在这种情况下， $f$  只是一个从  $a$  到  $b$  的箭头，而  $h$  只是从函数对象  $b^a$  中挑选出与  $f$  对应的一个元素。

需要牢记的是，通常情况下，函数对象表示依赖于外部参数的函数。这样的函数被称为闭包。闭包是从其环境中捕获值的函数。

以下是我们例子在 Haskell 中的翻译。与  $f$  对应的是一个表达式：

```
(a :+ 0) * x * x + (b :+ 0) * x + (c :+ 0)
```

如果我们用`Double`来近似  $\mathbb{R}$ ，我们的环境是一个积(`Double, Double, Double`)。类型`Complex`由另一个类型参数化——这里我们再次使用`Double`：

```
type C = Complex Double
```

从`Double`到`C`的转换是通过将虚部设为零来完成的，例如(`a :+ 0`)。

相应的箭头  $h$  接受环境并生成一个类型为 `C -> C` 的闭包：

```
h :: (Double, Double, Double) -> (C -> C)
h (a, b, c) = \x -> (a :+ 0) * x * x + (b :+ 0) * x + (c :+ 0)
```

## Modus ponens

### 演绎规则

在逻辑中，函数对象对应于一个蕴涵。从终端对象到函数对象的箭头是该蕴涵的证明。函数应用  $\epsilon$  对应于逻辑学家称之为演绎规则的概念：如果你有  $A \Rightarrow B$  的证明以及  $A$  的证明，那么这就构成了  $B$  的证明。

## 6.1 Sum and Product Revisited

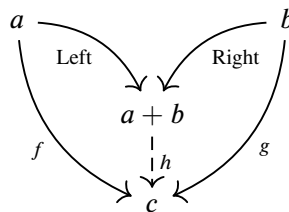
### 再谈和与积

当函数与其他类型的元素获得相同的地位时，我们拥有了直接将图表转换为代码的工具。

### Sum types

#### 和类型

我们从和类型的定义开始。



我们说过，箭头对  $(f, g)$  唯一地决定了从和类型到其他对象的映射  $h$ 。我们可以使用一个高阶函数简洁地将其写成：

```
h = mapOut (f, g)
```

其中：

```
mapOut :: (a -> c, b -> c) -> (Either a b -> c)
mapOut (f, g) = \aorb -> case aorb of
  Left  a -> f a
  Right b -> g b
```

这个函数以一对函数作为参数，并返回一个函数。

首先，我们通过模式匹配提取  $(f, g)$  中的  $f$  和  $g$ 。然后我们使用 `lambda` 构造一个新函数。这个 `lambda` 接受一个类型为 `Either a b` 的参数，我们称之为 `aorb`，并对其进行 `case` 分析。如果它是用 `Left` 构造的，我们将其内容传递给  $f$ ，否则传递给  $g$ 。

请注意，我们返回的函数是一个闭包。它从环境中捕获  $f$  和  $g$ 。

我们实现的函数与图示非常相似，但它并不是通常的 Haskell 风格。Haskell 程序员更喜欢将多参数函数柯里化。此外，如果可能的话，他们更喜欢消除 `lambdas`。

以下是相同函数的 Haskell 标准库中的版本，它以小写字母 `either` 命名：

```
either :: (a -> c) -> (b -> c) -> Either a b -> c
either f _ (Left x)      = f x
either _ g (Right y)     = g y
```

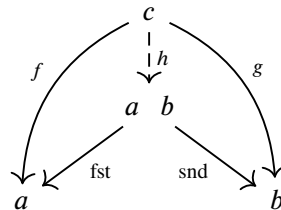
另一方向的双射（从  $h$  到对  $(f, g)$ ）也遵循图的箭头：

```
unEither :: (Either a b -> c) -> (a -> c, b -> c)
unEither h = (h . Left, h . Right)
```

## Product types

### 积类型

积类型通过它们的映射入属性对偶地定义。



这是直接从这个图在 Haskell 中的读取：

```
h :: (c -> a, c -> b) -> (c -> (a, b))
h (f, g) = \c -> (f c, g c)
```

这是用 Haskell 风格编写的版本，作为中缀操作符 `&&&`：

```

(&&&) :: (c -> a) -> (c -> b) -> (c -> (a, b))
(f &&& g) c = (f c, g c)

```

双射的另一个方向是：

```

fork :: (c -> (a, b)) -> (c -> a, c -> b)
fork h = (fst . h, snd . h)

```

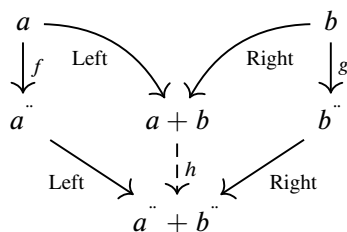
这也与图的读取密切相关。

## Functoriality revisited

### 函子性再探

无论是和类型还是积类型都是函子的，这意味着我们可以将函数应用到它们的内容上。我们准备好将这些图转化为代码。

这是和类型的函子性：



读取这个图，我们可以立即使用`either`编写 `h`：

```
h f g = either (Left . f) (Right . g)
```

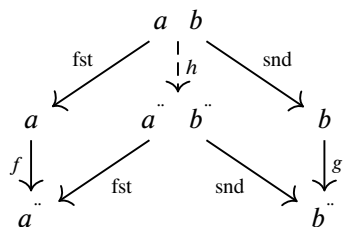
或者我们可以将其扩展并称之为`bimap`：

```

bimap :: (a -> a') -> (b -> b') -> Either a b -> Either a' b'
bimap f g (Left a) = Left (f a)
bimap f g (Right b) = Right (g b)

```

对于积类型也类似：



`h` 可以写成：

```
h f g = (f . fst) &&& (g . snd)
```

或者可以将其扩展为：

```
bimap :: (a -> a') -> (b -> b') -> (a, b) -> (a', b')
bimap f g (a, b) = (f a, g b)
```

在这两种情况下，我们都称这个高阶函数为**bimap**，因为在 **Haskell** 中，和类型和积类型都是一个更通用类**Bifunctor**的实例。

## 6.2 Functoriality of the Function Type

### 函数类型的函子性

函数类型或指数类型也是函子的，但有一个不同之处。我们感兴趣的是从  $b^a$  到  $b^{a''}$  的映射，其中带撇号的对象通过一些箭头与不带撇号的对象相关联——这些箭头有待确定。

指数类型通过其映射入属性定义，因此如果我们在寻找

$$k: b^a \rightarrow b^{a''}$$

我们应该画出有  $k$  作为映射入  $b^{a''}$  的图。我们通过将  $b^a$  替换为  $c$  并将带撇号的对象替换为不带撇号的对象，从原始定义中得到这个图：

$$\begin{array}{ccc} b^a & a'' & \\ \downarrow k \text{ id}_a & \searrow g & \\ b^{a''} & a'' & \xrightarrow{\epsilon} b'' \end{array}$$

问题是：我们可以找到一个箭头  $g$  来完成这个图吗？

$$g: b^a \rightarrow b^{a''}$$

如果我们找到这样一个  $g$ ，它将唯一地确定我们的  $k$ 。

思考这个问题的方法是考虑如何实现  $g$ 。它将  $b^a \rightarrow a''$  的积作为其参数。可以将其视为一个对：从  $a$  到  $b$  的函数对象的一个元素和一个  $a''$  的元素。我们唯一能对函数对象做的事情是将其应用于某些东西。但  $b^a$  需要一个类型为  $a$  的参数，而我们所拥有的只是  $a''$ 。除非有人给我们一个箭头  $a'' \rightarrow a$ ，否则我们无能为力。该箭头应用于  $a''$  将生成  $b^a$  的参数。然而，应用的结果是  $b$  类型，而  $g$  应该生成一个  $b''$ 。再一次，我们需要一个箭头  $b \rightarrow b''$  来完成我们的赋值。

这可能听起来很复杂，但底线是我们需要两个箭头来连接带撇号和不带撇号的对象。不同之处在于第一个箭头从  $a''$  到  $a$ ，这在通常的函子性考虑中似乎是逆向的。为了将  $b^a$  映射到  $b^{a''}$ ，我们需要一对箭头：

$$\begin{aligned} f: a'' &\rightarrow a \\ g: b &\rightarrow b'' \end{aligned}$$

这在 Haskell 中更容易解释。我们的目标是实现一个函数  $a' \rightarrow b'$ ，给定一个函数  $h :: a \rightarrow b$ 。

这个新函数接受一个类型为  $a'$  的参数，因此在我们将其传递给  $h$  之前，我们需要将  $a'$  转换为  $a$ 。这就是为什么我们需要一个函数  $f :: a' \rightarrow a$ 。

由于  $h$  生成一个  $b$ ，而我们希望返回一个  $b'$ ，我们需要另一个函数  $g :: b \rightarrow b'$ 。所有这些都非常好地适合于一个高阶函数：

```
dimap :: (a' -> a) -> (b -> b') -> (a -> b) -> (a' -> b')
dimap f g h = g . h . f
```

类似于 `bimap` 是类型类 `Bifunctor` 的一个接口，`dimap` 是类型类 `Profunctor` 的成员。

## 6.3 Bicartesian Closed Categories

### 双笛卡尔封闭范畴

一个同时为任意对象对定义了积和指数，并且具有终端对象的范畴被称为笛卡尔封闭。这个想法是，同态集对于所讨论的范畴来说并不是外来的东西：这个范畴在形成同态集的操作下是“封闭的”。

如果范畴还具有和类型（余积）和初始对象，那么它被称为双笛卡尔封闭。

这是建模编程语言的最小结构。

使用这些操作构造的数据类型被称为代数数据类型。我们有加法、乘法和指数（但没有减法或除法）类型；以及我们在高中代数中熟悉的所有定律。它们在同构意义上得到满足。还有一个代数定律我们还没有讨论。

### Distributivity

#### 分配性

数的乘法对加法是分配的。我们应该期望在双笛卡尔封闭范畴中也是如此吗？

$$b \rightarrow a + c \cong (b \rightarrow a) \rightarrow (b \rightarrow c)$$

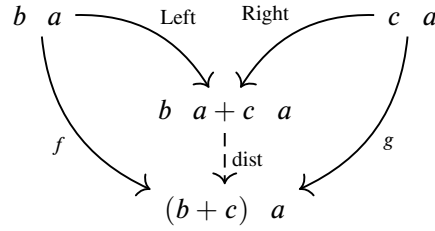
从左到右的映射很容易构造，因为它同时是一个和类型的映射出和积的映射入。我们可以通过逐步将其分解为更简单的映射来构造它。在 Haskell 中，这意味着实现一个函数：

```
dist :: Either (b, a) (c, a) -> (Either b c, a)
```

一个从左边的和类型映射出的映射由一对箭头给出：

$$f : b \rightarrow a \rightarrow (b + c) \rightarrow a$$

$$g : c \rightarrow a \rightarrow (b + c) \rightarrow a$$

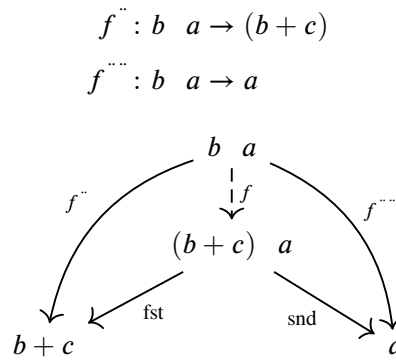


我们将其写成 Haskell 代码：

```
dist = either f g
where
f    :: (b, a) -> (Either b c, a)
g    :: (c, a) -> (Either b c, a)
```

在 `where` 子句中定义辅助函数的实现。

现在我们需要实现  $f$  和  $g$ 。它们是积中的映射，因此每一个都对应于一对箭头。例如，第一个由一对箭头给出：



在 Haskell 中：

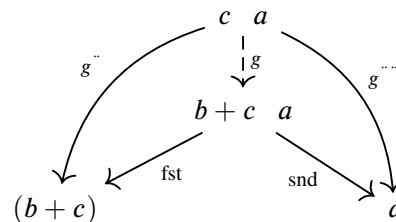
```
f = f' &&& f''
f' :: (b, a) -> Either b c
f'' :: (b, a) -> a
```

第一个箭头可以通过投影第一个分量  $b$  并使用 `Left` 来构造和类型。第二个只是投影 `snd`：

$$f'' = \text{Left} \circ \text{fst}$$

$$f''' = \text{snd}$$

类似地，我们将  $g$  分解为一对  $g''$  和  $g'''$ ：



将所有这些组合在一起，我们得到：

```
dist = either f g
where
f    = f' &&& f''
f'   = Left . fst
f''  = snd
g    = g' &&& g''
g'   = Right . fst
g''  = snd
```

这些是辅助函数的类型签名：

```
f    :: (b, a) -> (Either b c, a)
g    :: (c, a) -> (Either b c, a)
f'   :: (b, a) -> Either b c
f''  :: (b, a) -> a
g'   :: (c, a) -> Either b c
g''  :: (c, a) -> a
```

它们也可以内联以生成这种简洁形式：

```
dist = either ((Left . fst) &&& snd) ((Right . fst) &&& snd)
```

这种编程风格被称为无点式，因为它省略了参数（点）。出于可读性原因，Haskell 程序员更喜欢更明确的风格。上面的函数通常会实现为：

```
dist (Left (b, a)) = (Left b, a)
dist (Right (c, a)) = (Right c, a)
```

请注意，我们只使用了和类型和积的定义。双射的另一个方向需要使用指数，因此它仅在双笛卡尔封闭范畴中有效。这在 Haskell 的直接实现中并不立即显现：

```
undist :: (Either b c, a) -> Either (b, a) (c, a)
undist (Left b, a) = Left (b, a)
undist (Right c, a) = Right (c, a)
```

但这是因为在 Haskell 中柯里化是隐式的。

这是这个函数的无点式版本：

```
undist = uncurry (either (curry Left) (curry Right))
```

这可能不是最易读的实现，但它强调了我们需要指数的事实：我们使用了 `curry` 和 `uncurry` 来实现这个映射。

我们将在后续章节中使用更强大的工具：伴随来回到这个恒等式。



**Exercise 6.3.1.** 证明：

$$2 \times a \cong a + a$$

其中  $2$  是布尔类型。首先用图形方式证明，然后实现两个 *Haskell* 函数来见证这个同构。



# Recursion

## 递归

---

当你站在两个镜子之间时，你会看到自己的反射，反射的反射，反射的反射的反射，如此反复。每个反射都是基于前一个反射定义的，但它们共同产生了无限。

递归是一种将单一任务分解为许多步骤的模式，这些步骤的数量可能是无限的。

递归是基于对不可能性的暂时搁置。你面临一个可能需要任意多步骤的任务。你暂时假设你知道如何解决它。然后你问自己一个问题：“如果我已经解决了除最后一步以外的所有问题，我会如何进行最后一步？”

### 7.1 Natural Numbers

#### 自然数

自然数  $N$  的对象并不包含数字。对象没有内部结构。结构由箭头定义。

我们可以使用从终端对象到自然数对象的箭头来定义一个特殊的元素。按照惯例，我们将这个箭头称为  $Z$ ，表示“零”。

$$Z: 1 \rightarrow N$$

但我们必须能够定义无穷多个箭头，以表示对于每一个自然数，还有另一个比它大一的数字。

我们可以形式化这个声明：假设我们知道如何创建一个自然数  $n: 1 \rightarrow N$ 。我们如何迈出下一步，指向下一个数字——它的继承者？

这下一步不必比直接将  $n$  与一个从  $N$  到  $N$  的箭头进行后合成更复杂。这个箭头不应该是恒等，因为我们希望一个数字的继承者与该数字不同。但一个单一的箭头就足够了，我们将其称为  $S$ ，表示“继承者”。

与  $n$  的继承者对应的元素由以下组合给出：

$$1 \xrightarrow{n} N \xrightarrow{S} N$$

(我们有时在同一个图中多次绘制同一个对象，如果我们想要拉直循环箭头。)

特别地，我们可以定义 *One* 为  $Z$  的继承者：

$$1 \xrightarrow{Z} N \xrightarrow{S} N \quad \text{with a curved arrow labeled } One \text{ from } 1 \text{ to } N$$

并将 *Two* 定义为  $Z$  的继承者的继承者

$$1 \xrightarrow{Z} N \xrightarrow{S} N \xrightarrow{S} N \quad \text{with a curved arrow labeled } Two \text{ from } 1 \text{ to the second } N$$

如此继续下去。

## Introduction Rules

### 引入规则

这两个箭头  $Z$  和  $S$  是自然数对象  $N$  的引入规则。不同的是，其中一个是递归的： $S$  同时使用  $N$  作为它的源和目标。

$$1 \xrightarrow{Z} N \quad \text{with a curved arrow labeled } S \text{ from } N \text{ to } N$$

这两个引入规则可以直接翻译为 Haskell 代码：

```
data Nat where
  Z :: Nat
  S :: Nat -> Nat
```

它们可以用于定义任意自然数；例如：

```
zero, one, two :: Nat
zero = Z
one  = S zero
two  = S one
```

这种自然数类型的定义在实际应用中并不十分有用。然而，它经常被用于定义类型级别的自然数，其中每个数字都有其自己的类型。

你可能会在皮亚诺算术中遇到这种结构。

**Elimination Rules****消去规则**

引入规则的递归性质使得定义消去规则时稍微有些复杂。我们将按照前几章的模式，首先假设我们给定了一个从  $N$  映射出的映射：

$$h: N \rightarrow a$$

然后看看我们能从中推导出什么。

之前，我们能够将这样的  $h$  分解为更简单的映射（对于和类型和积类型是映射对，对于指数类型是从积映射出）。

$N$  的引入规则与和类型的引入规则类似（它要么是  $Z$ ，要么是继承者），所以我们预计  $h$  可以分为两个箭头。实际上，我们可以通过组合  $h \circ Z$  轻松地得到第一个箭头。这个箭头选择  $a$  的一个元素。我们称它为  $\text{init}$ ：

$$\text{init}: 1 \rightarrow a$$

但没有明显的方法来找到第二个箭头。

为了看清这一点，让我们扩展  $N$  的定义：

$$1 \xrightarrow{Z} N \xrightarrow{S} N \xrightarrow{S} N \quad \dots$$

并将  $h$  和  $\text{init}$  插入其中：

$$\begin{array}{ccccccc} 1 & \xrightarrow{Z} & N & \xrightarrow{S} & N & \xrightarrow{S} & N & \dots \\ & \searrow \text{init} & \downarrow h & & \downarrow h & & \downarrow h & \\ & & a & & a & & a & \end{array}$$

直观地说，从  $N$  到  $a$  的箭头代表了  $a$  元素的序列  $a_n$ 。第零个元素由以下公式给出：

$$a_0 = \text{init}$$

下一个元素是

$$a_1 = h \circ S \circ Z$$

接下来是

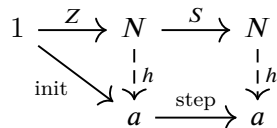
$$a_2 = h \circ S \circ S \circ Z$$

如此继续下去。

因此，我们将一个箭头  $h$  替换为无穷多个箭头  $a_n$ 。当然，新的箭头更简单，因为它们表示  $a$  的元素，但它们是无穷多个。

问题在于，不管你怎么看，从  $N$  映射出的任意映射都包含无限量的信息。

我们必须大幅简化问题。由于我们使用了一个单一的箭头  $S$  来生成所有自然数，我们可以尝试使用一个单一的箭头  $a \rightarrow a$  来生成所有元素  $a_n$ 。我们将这个箭头称为  $\text{step}$ ：



由这样的对  $\text{init}$  和  $\text{step}$  生成的从  $N$  映射出的映射称为递归映射。并非所有从  $N$  映射出的映射都是递归的。事实上，只有极少数是递归的；但递归映射足以定义自然数对象。

我们使用上面的图作为消去规则。我们规定，从  $N$  映射出的每个递归映射  $h$  与一对  $\text{init}$  和  $\text{step}$  一一对应。

这意味着评估规则（提取给定  $h$  的  $(\text{init}, \text{step})$ ）不能为任意箭头  $h: N \rightarrow a$  制定，只能为那些先前使用对  $(\text{init}, \text{step})$  递归定义的箭头制定。

箭头  $\text{init}$  可以总是通过组合  $h \circ Z$  恢复。箭头  $\text{step}$  是以下方程的解：

$$\text{step} \circ h = h \circ S$$

如果  $h$  是使用某个  $\text{init}$  和  $\text{step}$  定义的，那么这个方程显然有解。

重要的是我们要求这个解是唯一的。

直观上，这对  $\text{init}$  和  $\text{step}$  生成了元素序列  $a_0, a_1, a_2$ ，等等。如果有两个箭头  $h$  和  $h''$  由同一对  $(\text{init}, \text{step})$  给出，这意味着它们生成的序列是相同的。

所以，如果  $h$  与  $h''$  有某种不同，这将意味着  $N$  包含的数字不仅仅是由  $Z$  和  $S$  生成的数字序列。例如，如果我们在  $N$  中添加  $*1$ （即使  $Z$  成为某人的继承者），我们可能会让  $h$  和  $h''$  在  $*1$  处有所不同，但仍由同一对  $\text{init}$  和  $\text{step}$  生成。唯一性意味着在  $Z$  和  $S$  生成的数字之间、之前或之后没有其他自然数。

我们在这里讨论的消去规则对应于原始递归。在依赖类型的章节中，我们将看到这种规则的更高级版本，对应于归纳原理。

## In Programming

### 在编程中

消去规则可以在 Haskell 中实现为递归函数：

```

rec :: a -> (a -> a) -> (Nat -> a)
rec init step = \n ->
  case n of
    Z      -> init
    (S m) -> step (rec init step m)

```

这个单一的函数，称为递归器，足以实现所有自然数的递归函数。例如，这是我们如何实现加法的：

```

plus :: Nat -> Nat -> Nat
plus n = rec init step
where
  init = n
  step = S

```

这个函数将 $n$ 作为参数，并生成一个函数（闭包），该函数接受另一个数字并将 $n$ 加到它上面。

在实际编程中，程序员更喜欢直接实现递归——这种方法等同于内联递归器`rec`。以下实现可能更容易理解：

```

plus n m = case m of
  Z -> n
  (S k) -> S (plus k n)

```

这可以理解为：如果 $m$ 是零，那么结果是 $n$ 。否则，如果 $m$ 是某个 $k$ 的继承者，那么结果是 $k + n$ 的继承者。这与说`init = n`和`step = S`完全相同。

在命令式语言中，递归通常被迭代所取代。从概念上讲，迭代似乎更容易理解，因为它对应于顺序分解。序列中的步骤通常遵循某种自然顺序。这与递归分解形成对比，在递归分解中，我们假设我们已经完成了第 $n$ 步之前的所有工作，然后将该结果与下一步结合起来。

另一方面，递归在处理递归定义的数据结构（如列表或树）时更加自然。

这两种方法是等效的，编译器通常会将递归函数转换为循环，这被称为尾递归优化。

**Exercise 7.1.1.** *Implement a curried version of addition as a mapping out of  $N$  into the function object  $N^N$ . Hint: use these types in the recursor:*

```

init :: Nat -> Nat
step :: (Nat -> Nat) -> (Nat -> Nat)

```

## 7.2 Lists

### 列表

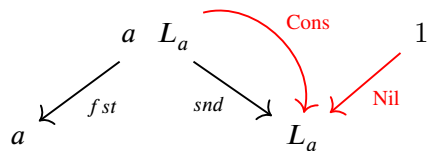
一个事物的列表要么是空的，要么是一个事物后跟着一个事物的列表。

这个递归定义转化为类型  $L_a$  的两个引入规则，即  $a$  的列表：

$$\begin{aligned}
 \text{Nil} &: 1 \rightarrow L_a \\
 \text{Cons} &: a \rightarrow L_a \rightarrow L_a
 \end{aligned}$$

`Nil` 元素描述一个空列表，而 `Cons` 从头部和尾部构造一个列表。

以下图描述了投影和列表构造函数之间的关系。投影提取用 `Cons` 构造的列表的头部和尾部。



这种描述可以立即翻译为 Haskell 代码：

```
data List a where
  Nil  :: List a
  Cons :: (a, List a) -> List a
```

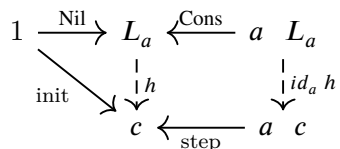
## Elimination Rule

### 消去规则

假设我们有一个从  $a$  的列表映射到某个任意类型  $c$  的映射：

$$h: L_a \rightarrow c$$

这是我们如何将其插入到列表的定义中：



我们使用了积的函子性来将对  $(id_a, h)$  应用于积  $a \times L_a$ 。

与自然数对象类似，我们可以尝试定义两个箭头， $init = h \circ Nil$  和  $step$ 。箭头  $step$  是以下方程的解：

$$step \circ (id_a \times h) = h \circ Cons$$

同样，并不是所有的  $h$  都能简化为这样的一对箭头。

然而，给定  $init$  和  $step$ ，我们可以定义一个  $h$ 。这样的函数称为折叠，或列表的降阶同态。

这是 Haskell 中的列表递归器：

```
recList :: c -> ((a, c) -> c) -> (List a -> c)
recList init step = \as ->
  case as of
  Nil      -> init
  Cons (a, as) -> step (a, recList init step as)
```



给定`init`和`step`，它生成一个从列表映射出的映射。

列表是一种如此基本的数据类型，以至于Haskell为其提供了内置语法。类型`(List a)`写作`[a]`。构造函数`Nil`是一个空的方括号对`[]`，而构造函数`Cons`是一个中缀的冒号`(:)`。

我们可以对这些构造函数进行模式匹配。一个通用的从列表映射出的映射的形式如下：

```
h :: [a] -> c
h []      = -- empty-list case
h (a : as) = -- case for the head and the tail of a non-empty list
```

对应于列表递归器`recList`，以下是你可以在标准库中找到的函数`foldr`（折叠右）的类型签名：

```
foldr :: (a -> c -> c) -> c -> [a] -> c
```

这是一个可能的实现：

```
foldr step init = \as ->
  case as of
  [] -> init
  a : as -> step a (foldr step init as)
```

作为一个例子，我们可以使用`foldr`来计算自然数列表元素的和：

```
sum :: [Nat] -> Nat
sum = foldr plus Z
```

**Exercise 7.2.1.** 考虑在列表的定义中用终端对象替换 $a$ 时会发生什么。提示：自然数的一元编码是什么？

**Exercise 7.2.2.** 从 $L_a$ 映射到 $1 + a$ 的映射有多少种？我们能列表递归器得到它们吗？Haskell 函数的签名如何：

```
h :: [a] -> Maybe a
```

**Exercise 7.2.3.** 实现一个函数，从列表中提取第三个元素，如果列表足够长。提示：使用`Maybe a`作为结果类型。

## 7.3 Functoriality

### 函子性

函子性大致意味着转换数据结构“内容”的能力。列表 $L_a$ 的内容类型是 $a$ 。给定一个箭头 $f: a \rightarrow b$ ，我们需要定义一个列表映射 $h: L_a \rightarrow L_b$ 。

列表是通过映射出属性定义的，所以我们将消去规则的目标  $c$  替换为  $L_b$ 。我们得到：

$$\begin{array}{ccccc}
 1 & \xrightarrow{\text{Nil}_a} & L_a & \xleftarrow{\text{Cons}_a} & a \quad L_a \\
 \searrow \text{init} & & \downarrow h & & \downarrow id_a \circ h \\
 & & L_b & \xleftarrow{\text{step}} & a \quad L_b
 \end{array}$$

由于这里涉及两个不同的列表，我们必须区分它们的构造函数。例如，我们有：

$$\text{Nil}_a: 1 \rightarrow L_a$$

$$\text{Nil}_b: 1 \rightarrow L_b$$

同样的，对于 **Cons** 也是如此。

$\text{init}$  的唯一候选是  $\text{Nil}_b$ ，也就是说， $h$  作用于一个  $a$  的空列表会生成一个  $b$  的空列表：

$$h \circ \text{Nil}_a = \text{Nil}_b$$

剩下的就是定义箭头：

$$\text{step}: a \quad L_b \rightarrow L_b$$

我们可以猜测：

$$\text{step} = \text{Cons}_b \circ (f \quad id_{L_b})$$

这对应于 **Haskell** 中的函数：

```
mapList :: (a -> b) -> List a -> List b
mapList f = recList init step
where
  init = Nil
  step (a, bs) = Cons (f a, bs)
```

或者，使用内置的列表语法并内联递归器，

```
map :: (a -> b) -> [a] -> [b]
map f [] = []
map f (a : as) = f a : map f as
```

你可能想知道是什么阻止我们选择  $\text{step} = \text{snd}$ ，结果是：

```
badMap :: (a -> b) -> [a] -> [b]
badMap f [] = []
badMap f (a : as) = badMap f as
```

我们将在下一章中看到，为什么这是一个糟糕的选择。（提示：当我们将 **badMap** 应用于  $id$  时会发生什么？）

# Functors

## 函子

### 8.1 Categories

#### 范畴

到目前为止，我们只看到了一个范畴——即 *types*（类型）和 *functions*（函数）的范畴。让我们快速总结一下关于范畴的基本信息。

范畴是一个 *objects*（对象）和在它们之间的 *arrows*（箭头）的集合。每一对可组合的箭头都可以进行组合。组合是 *associative*（结合律的），并且每个对象都有一个自身环绕的 *identity*（单位箭头）。

类型和函数形成范畴的事实可以通过在 *Haskell* 中定义组合来表达：

```
(.) :: (b -> c) -> (a -> b) -> (a -> c)
g . f = \x -> g (f x)
```

两个函数 *g* 和 *f* 的组合是一个新的函数，它首先将 *f* 应用于其参数，然后将 *g* 应用于结果。

*identity*（单位箭头）是一个多态的“无操作”函数：

```
id :: a -> a
id x = x
```

你可以很容易地验证这种组合是结合律的，并且与 *id* 组合不会改变函数的行为。

基于范畴的定义，我们可以想到各种奇怪的范畴。例如，有一个范畴没有对象也没有箭头。它满足所有范畴的条件，只是内容为空。还有一个范畴只包含一个对象和一个箭头（你能猜出那个箭头是什么吗？）。有一个范畴包含两个不相连的对象，还有一个范畴的两个对象通过一个箭头（加上两个单位箭头）连接，等等。这些是我称之为“stick-figure categories”（简易范畴）的例子——只包含少量对象和箭头的范畴。

## Category of Sets

### 集合的范畴

我们还可以将一个范畴剥离掉所有的箭头（除了单位箭头）。这样的纯对象范畴称为 *discretecategory*（离散范畴）或集合。因为我们将箭头与结构关联，因此集合是一个没有结构的范畴。

集合形成了它们自己的范畴，称为 *Set*。在这个范畴中的对象是集合，而箭头是集合之间的函数。这些函数被定义为一种特殊的关系，而关系本身被定义为成对的集合。

在最低的近似下，我们可以在集合的范畴中建模编程。我们通常将类型视为值的集合，将函数视为集合论函数。这没有什么问题。事实上，迄今为止我们描述的所有范畴学构造都有其集合论的根源。范畴积是集合笛卡尔积的推广，和则是并集的推广，等等。

范畴论提供了更高的精确性：它在绝对必要的结构和多余细节之间进行了细致的区分。

例如，一个集合论函数不符合我们作为程序员所处理的函数定义。我们的函数必须具有底层算法，因为它们必须能够通过某些物理系统（无论是计算机还是人脑）进行计算。

## Opposite Categories

### 对偶范畴

在编程中，重点是类型和函数的范畴，但我们可以使用这个范畴作为构建其他范畴的起点。

其中一个范畴称为 *oppositecategory*（对偶范畴）。这是一个所有原始箭头都被反转的范畴：在原始范畴中称为箭头源的部分现在称为目标，反之亦然。

范畴  $C$  的对偶称为  $C^{op}$ 。当我们讨论 *duality*（对偶性）时，我们已经窥见过这个范畴。 $C^{op}$  的对象与  $C$  的对象相同。

每当在  $C$  中有一个箭头  $f: a \rightarrow b$  时，在  $C^{op}$  中会有一个对应的箭头  $f^{op}: b \rightarrow a$ 。

两个这样的箭头  $f^{op}: a \rightarrow b$  和  $g^{op}: b \rightarrow c$  的组合  $g^{op} \circ f^{op}$  由箭头  $(f \circ g)^{op}$  给出（注意顺序的反转）。

$C$  中的 *terminalobject*（终端对象）是  $C^{op}$  中的 *initialobject*（初始对象），*product*（积）在  $C$  中对应于 *sum*（和）在  $C^{op}$  中，等等。

## Product Categories

### 积范畴

给定两个范畴  $C$  和  $D$ ，我们可以构造一个 *productcategory*（积范畴） $C \times D$ 。在这个范畴中的对象是成对的对象  $\langle c, d \rangle$ ，箭头是成对的箭头。

如果我们在  $C$  中有一个箭头  $f: c \rightarrow c''$ ，并且在  $D$  中有一个箭头  $g: d \rightarrow d''$ ，那么在  $C \times D$  中会有一个对应的箭头  $\langle f, g \rangle$ 。该箭头从  $\langle c, d \rangle$  指向  $\langle c'', d'' \rangle$ ，这两者都是  $C \times D$  中的对象。如果它们的组成部分在  $C$  和  $D$  中分别是可组合的，则可以组合两个这样的箭头。单位箭头是一对单位箭头。

我们最感兴趣的两个积范畴是  $C \times C$  和  $C^{op} \times C$ ，其中  $C$  是我们熟悉的类型和函数的范畴。

在这两个范畴中，对象都是  $C$  中的成对对象。在第一个范畴  $C \times C$  中，从  $\langle a, b \rangle$  到  $\langle a'', b'' \rangle$  的 *morphism*（态射）是一个对  $\langle f: a \rightarrow a'', g: b \rightarrow b'' \rangle$ 。在第二个范畴  $C^{op} \times C$  中，态射是一个对  $\langle f: a'' \rightarrow a, g: b \rightarrow b'' \rangle$ ，其中第一个箭头方向相反。

## Slice Categories

### 截面范畴

在一个组织良好的宇宙中，对象总是对象，箭头总是箭头。只是有时箭头的集合可以被视为对象。但 *slice categories*（截面范畴）打破了这种整洁的分离：它们将单个箭头变成了对象。

*Slice category*  $C/c$  描述了从范畴  $C$  的角度来看特定对象  $c$  的方式。它是指向  $c$  的所有箭头的总和。但要指定一个箭头，我们需要指定它的两个端点。由于其中一个端点固定为  $c$ ，我们只需指定另一个端点。

在  $C/c$  中的一个对象（也称为 *over\* category*）是一个对  $\langle e, p \rangle$ ，其中  $p: e \rightarrow c$ 。

在两个对象  $\langle e, p \rangle$  和  $\langle e'', p'' \rangle$  之间的箭头是  $C$  的一个箭头  $f: e \rightarrow e''$ ，它使得以下三角形交换：

$$\begin{array}{ccc} e & \xrightarrow{f} & e'' \\ & \searrow p & \swarrow p'' \\ & c & \end{array}$$

## Coslice Categories

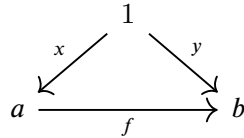
### 余截面范畴

存在一个 *coslice category*（余截面范畴） $c/C$  的对偶概念，也称为 *under\* category*。它是从固定对象  $c$  发出的箭头的范畴。在这个范畴中的对象是成对的  $\langle a, i: c \rightarrow a \rangle$ 。 $c/C$  中的态射是使相关三角形交换的箭头。

$$\begin{array}{ccc} & c & \\ i \swarrow & & \searrow j \\ a & \xrightarrow{f} & b \end{array}$$

特别地，如果范畴  $C$  有一个 *terminal object*（终端对象） $1$ ，那么  $\text{coslice } 1/C$  中的对象就是  $C$  中所有对象的 *globalelements*（全局元素）。

$1/C$  的态射对应于箭头  $f: a \rightarrow b$ ，它将  $a$  的全局元素集合映射到  $b$  的全局元素集合。



特别地，从类型和函数的范畴构建余截面范畴验证了我们将类型视为值的集合的直觉，其中值由类型的全局元素表示。

## 8.2 Functors

### 函子

我们在讨论代数数据类型时已经看到了 *functoriality*（函子性）的例子。其思想是这种数据类型“记住”了其创建的方式，并且我们可以通过将一个箭头应用到其“内容”上来操控这种记忆。

在某些情况下，这种直觉非常有说服力：我们将 *producttype*（积类型）视为一个包含其成分的对。毕竟，我们可以通过 *projections*（投影）来获取它们。

在 *functionobjects*（函数对象）的情况下，这一点不太明显。你可以将函数对象可视化为暗地里存储所有可能的结果，并使用函数参数对它们进行索引。一个从 *Bool* 到其他类型的函数显然等同于一个值对，一个用于 *True*，另一个用于 *False*。将某些函数实现为 *lookuptables*（查找表）是一个众所周知的编程技巧。它称为 *memoization*（备忘录化）。

尽管将以自然数作为参数的函数备忘录化并不现实；我们仍然可以将它们概念化为（无限或甚至不可数的）查找表。

如果你可以将数据类型视为值的容器，那么将函数应用于所有这些值并创建一个变换后的容器是有意义的。当这种可能存在时，我们称该数据类型是 *functorial*（函子性的）。

同样，函数类型需要更多的“怀疑暂停”。你将函数对象视为一个查找表，以某种类型为键。如果你想使用另一种相关类型作为键，你需要一个将新键转换为原始键的函数。这就是为什么函数对象的函子性之一是反向箭头：

```
dimap :: (a' -> a) -> (b -> b') -> (a -> b) -> (a' -> b')
dimap f g h = g . h . f
```

你正在将转换应用于一个具有对类型  $a$  的值作出响应的“受体”的函数  $h :: a^* \rightarrow b$ , 并且你希望使用它来处理  $a^*$  类型的输入。这仅在你有一个从  $a^*$  到  $a$  的转换器时可能, 即  $f :: a^* \rightarrow a$ 。

一个数据类型“包含”另一个类型的值的概念也可以通过说一个数据类型被另一个数据类型参数化来表达。例如, 类型  $List\ a$  是由类型  $a$  参数化的。

换句话说,  $List$  将类型  $a$  映射为类型  $List\ a$ 。没有参数的  $List$  本身被称为 *typeconstructor* (类型构造子)。

## Functors between Categories

### 范畴之间的函子

在范畴论中, 类型构造子被建模为对象到对象的映射。它是一个作用于对象的函数。这不要与对象之间的箭头混淆, 后者是范畴结构的一部分。

事实上, 想象一个 *categories* (范畴之间) 的映射更容易。源范畴中的每个对象都映射到目标范畴中的一个对象。如果  $a$  是  $C$  中的一个对象, 那么在  $D$  中有一个对应的对象  $Fa$ 。

*Functorial mapping* (函子映射), 或 *functor* (函子), 不仅映射对象, 还映射它们之间的箭头。在第一个范畴中的每个箭头  $f: a \rightarrow b$  在第二个范畴中都有一个对应的箭头:  $Ff: Fa \rightarrow Fb$ 。

$$\begin{array}{ccc} a & \xrightarrow{\quad\quad\quad} & Fa \\ \downarrow f & & \downarrow Ff \\ b & \xrightarrow{\quad\quad\quad} & Fb \end{array}$$

我们使用相同的字母 (此处为  $F$ ) 来命名对象映射和箭头映射。

如果范畴提炼出 *structure* (结构) 的本质, 那么函子就是保留这种结构的映射。在源范畴中相关的对象在目标范畴中也相关。

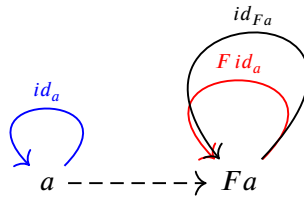
范畴的结构由箭头及其组合定义。因此, 函子必须保留组合。在一个范畴中组合的内容:  $h = g \circ f$  应该在第二个范畴中保持组合:  $Fh = F(g \circ f) = Fg \circ Ff$

我们可以在  $C$  中组合两个箭头并将复合映射到  $D$ , 或者我们可以映射单个箭头, 然后在  $D$  中组合它们。我们要求结果相同。

$$\begin{array}{ccccc} a & \xrightarrow{\quad\quad\quad} & Fa & & \\ \downarrow f & & \downarrow Ff & & \\ b & \xrightarrow{\quad\quad\quad} & Fb & & \\ \downarrow g & & \downarrow Fg & & \\ c & \xrightarrow{\quad\quad\quad} & Fc & & \end{array}$$

$g \circ f$  (左侧蓝色曲线)       $F(g \circ f)$  (中间红色曲线)       $Fg \circ Ff$  (右侧黑色曲线)

最后, 函子必须保留 *identity arrows* (单位箭头):  $Fid_a = id_{Fa}$



这些条件一起定义了什么是保持范畴结构的函子。

同样重要的是要理解什么条件不属于定义的一部分。例如，允许一个函子将多个对象映射为一个对象。它还可以将多个箭头映射为一个箭头，只要它们的端点匹配。

极端情况下，任何范畴都可以映射到一个只有一个对象和一个箭头的单例范畴。

此外，目标范畴中的所有对象或箭头不一定都必须由函子覆盖。极端情况下，我们可以将一个单例范畴的函子映射到任何（非空）范畴。这样的函子选择一个单一对象及其单位箭头。

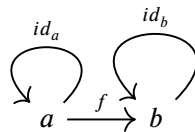
**Constant functor**（常量函子） $\Delta_c$  是一个函子的例子，它将源范畴中的所有对象映射到目标范畴中的一个对象  $c$ ，并将源范畴中的所有箭头映射到该对象的单位箭头  $id_c$ 。

在范畴论中，函子常用于在另一个范畴内部创建一个范畴的模型。它们能够将多个对象和箭头合并为一个，这意味着它们生成了源范畴的简化视图。它们“抽象”了源范畴的某些方面。

它们可能只覆盖目标范畴的某些部分，这意味着这些模型嵌入在一个更大的环境中。

从某些极小的“stick-figure categories”简易范畴（例如具有两个对象和一个箭头的范畴）中导出的函子可用于定义更大范畴中的模式。

**Exercise 8.2.1.** 描述一个源自“walkingarrow”范畴的函子。它是一个只有两个对象和一个箭头的简易范畴（再加上必需的单位箭头）。



**Exercise 8.2.2.** “walkingiso”范畴与“walkingarrow”范畴相似，但多了一个从  $b$  回到  $a$  的箭头。证明从这个范畴出发的函子总是选择目标范畴中的一个同构。

## 8.3 Functors in Programming

### 编程中的函子

**Endofunctors**（自函子）是最容易在编程语言中表达的函子类。这些函子将一个范畴（此处为类型和函数的范畴）映射回自身。



## Endofunctors

### 自函子

自函子的第一部分是将类型映射到类型。这是通过类型构造子完成的，它们是类型级别的函数。

*List* 类型构造子将一个任意类型  $a$  映射为类型 *List* $a$ 。

*Maybe* 类型构造子将  $a$  映射为 *Maybe* $a$ 。

自函子的第二部分是箭头的映射。给定一个函数  $a \rightarrow b$ ，我们希望能够定义一个函数 *List* $a \rightarrow \text{List}b$  或 *Maybe* $a \rightarrow \text{Maybe}b$ 。这就是我们之前讨论过的数据类型的 *functoriality*（函子性）。函子性使我们能够 *lift*（提升）一个任意的函数到变换后的类型之间的函数。

函子性可以在 *Haskell* 中通过一个 *typeclass*（类型类）来表达。在这种情况下，类型类由类型构造子  $f$  参数化（在 *Haskell* 中我们使用小写名称作为类型构造子变量）。我们说  $f$  是一个 *Functor*，如果存在一个相应的函数映射，称为 *fmap*：

```
class Functor f where
    fmap :: (a -> b) -> (f a -> f b)
```

编译器知道  $f$  是一个类型构造子，因为它被应用于类型，例如  $fa$  和  $fb$ 。

要向编译器证明特定类型构造子是一个 *Functor*，我们必须为其提供 *fmap* 的实现。这通过定义类型类 *Functor* 的一个 *instance*（实例）来实现。例如：

```
instance Functor Maybe where
    fmap g Nothing = Nothing
    fmap g (Just a) = Just (g a)
```

一个函子还必须满足一些定律：它必须保持组合性和单位性。这些定律不能在 *Haskell* 中表达，但应该由程序员检查。我们之前已经看到过一个 *badMap* 的定义，它不满足单位定律，但它仍然会被编译器接受。它为列表类型构造子 `[]` 定义了一个“非法”的 *Functor* 实例。

**Exercise 8.3.1.** 证明 *WithInt* 是一个函子：

```
data WithInt a = WithInt a Int
```

有一些基本的函子可能看起来很简单，但它们作为其他函子的构建块发挥了作用。

我们有一个 *identityendofunctor*（恒等自函子），它将所有对象映射到自身，并将所有箭头映射到自身。

```
data Id a = Id a
```

**Exercise 8.3.2.** 证明 *Id* 是一个 *Functor*。提示：为其实现 *Functor* 实例。

我们还有一个常量函子  $\Delta_c$ ，它将所有对象映射到一个单一对象  $c$ ，并将所有箭头映射到该对象的单位箭头  $id_c$ 。在 *Haskell* 中，它是一个以目标对象  $c$  为参数的函子族：

```
data Const c a = Const c
```

这个类型构造子忽略了其第二个参数。

**Exercise 8.3.3.** 证明 (*Const*) 是一个 *Functor*。提示：该类型构造子接受两个参数，但在 *Functor* 实例中，它只对第一个参数部分应用。在第二个参数中，它是函子性的。

## Bifunctors

### 双函子

我们还看到了一些类型构造子，它们接受两个类型作为参数：如积和和类型。它们也是函子性的，但它们提升一对函数而不是一个函数。在范畴论中，我们将这些定义为从积范畴  $C \times C$  到  $C$  的函子。

这样的函子将一对对象映射到一个对象，并将一对箭头映射到一个箭头。

在 *Haskell* 中，我们将这样的函子视为 *Bifunctor* 类型类的成员。

```
class Bifunctor f where
    bimap :: (a -> a') -> (b -> b') -> (f a b -> f a' b')
```

编译器通过查看它被应用于两个类型（例如  $f\ a\ b$ ）来推断  $f$  是一个两个参数的类型构造子。

要向编译器证明特定类型构造子是一个 *Bifunctor*，我们需要定义一个实例。例如，可以这样定义一个对的双函子性：

```
instance Bifunctor (,) where
    bimap g h (a, b) = (g a, h b)
```

**Exercise 8.3.4.** 证明 *MoreThanA* 是一个双函子：

```
data MoreThanA a b = More a (Maybe b)
```

## Contravariant Functors

### 逆变函子

从对偶范畴  $C^{op}$  出发的函子称为 *contravariant*（逆变）的。它们的特点是提升箭头的方向相反。通常的函子有时称为 *covariant*（协变）的。

在 *Haskell* 中，逆变函子构成了一个类型类 *Contravariant*：

```
class Contravariant f where
    contramap :: (b -> a) -> (f a -> f b)
```

将函子分为生产者和消费者有时很方便。在这个类比中，协变函子是一个生产者。你可以通过应用  $fmap$  一个  $a^* \rightarrow b$  的函数，将一个  $a$  的生产者转变为一个  $b$  的生产者。相反，要将一个  $a$  的消费者转变为一个  $b$  的消费者，你需要一个反向的函数  $b^* \rightarrow a$ 。

例子：一个谓词是一个返回 *True* 或 *False* 的函数：

```
data Predicate a = Predicate (a -> Bool)
```

很容易看出它是一个逆变函子：

```
instance Contravariant Predicate where
  contramap f (Predicate h) = Predicate (h . f)
```

实际上，逆变函子的唯一非平凡例子是函数对象的各种变体。

一种判断给定函数类型在其类型参数上是协变还是逆变的方法是通过分配极性。我们说函数的返回类型处于正位置，因此它是协变的；参数类型处于负位置，因此它是逆变的。但是，如果你将整个函数对象放在另一个函数的负位置上，那么它的极性就会反转。

考虑这个数据类型：

```
data Tester a = Tester ((a -> Bool) -> Bool)
```

它将  $a$  放在双负位置上，因此是正位置。因此它是一个协变的 *Functor*。它作为  $a$  的生产者：

```
instance Functor Tester where
  fmap f (Tester g) = Tester g'
  where g' h = g (h . f)
```

注意这里的括号是重要的。类似的函数  $a^* \rightarrow Bool^* \rightarrow Bool$  将  $a$  放在负位置上。因为它是一个从  $a$  返回函数 ( $Bool^* \rightarrow Bool$ ) 的函数。等价地，你可以将其变为一个接受对的函数： $(a, Bool)^* \rightarrow Bool$ 。无论哪种方式， $a$  最终都在负位置上。

## Profunctors

### 变截函子

我们之前看到函数类型是函子性的。它一次提升两个函数，就像 *Bifunctor* 一样，只不过其中一个函数的方向相反。

在范畴论中，这对应于一个从  $C^{op} \times C$  到 *Set* 的函子。这样的函子称为 *Profunctors* (变截函子)。

在 *Haskell* 中，变截函子形成了一个类型类 *Profunctor*：

```
class Profunctor f where
  dimap :: (a' -> a) -> (b -> b') -> (f a b -> f a' b')
```

你可以将一个变截函子视为一个同时是生产者和消费者的类型。它消耗一种类型并产生另一种类型。

函数类型  $a^* > b$  可以写成中缀运算符  $* >$ ，它是 *Profunctor* 的一个实例：

```
instance Profunctor (->) where
  dimap f g h = g . h . f
```

这与我们的直觉一致，即一个函数  $a^* > b$  消耗类型  $a$  的参数并产生类型  $b$  的结果。在编程中，所有非平凡的变截函子都是函数类型的变体。

## 8.4 The Hom-Functor

### Hom 函子

两个对象之间的箭头形成一个集合。这个集合称为 *hom\*set* (同态集)，通常写作  $C(a, b)$ 。

我们可以将 *hom\*set*  $C(a, b)$  解释为从  $a$  观察  $b$  的所有方式。

另一种看待 *hom\*sets* 的方式是将它们视为一个映射，它将一个集合  $C(a, b)$  分配给每对对象。集合本身是 *Set* 范畴中的对象。所以我们有一个范畴之间的映射。

这个映射是函子性的。要看到这一点，让我们考虑当我们转换两个对象  $a$  和  $b$  时会发生什么。我们感兴趣的是一个将集合  $C(a, b)$  映射到集合  $C(a'', b'')$  的转换。*Set* 中的箭头是常规函数，因此只需定义它们在集合上对单个元素的操作。

$C(a, b)$  的元素是一个箭头  $h: a \rightarrow b$ ， $C(a'', b'')$  的元素是一个箭头  $h'': a'' \rightarrow b''$ 。我们知道如何将一个转换为另一个：我们需要用箭头  $g'': a'' \rightarrow a$  对  $h$  进行前组合，并用箭头  $g: b \rightarrow b''$  对它进行后组合。

换句话说，将对  $\langle a, b \rangle$  的一对对象映射为集合  $C(a, b)$  的映射是一个 *profunctor*：

$$C^{op} \ C \rightarrow \text{Set}$$

我们经常感兴趣的是在保持一个对象固定的情况下变换另一个对象。当我们固定源对象并变换目标对象时，结果是一个函子，写作：

$$C(a, *): C \rightarrow \text{Set}$$

这个函子在箭头  $g: b \rightarrow b''$  上的作用写作：

$$C(a, g): C(a, b) \rightarrow C(a, b'')$$

它通过后组合给出：

$$C(a, g) = (g \circ *)$$

变换  $b$  意味着从一个对象切换到另一个对象，因此完整的函子  $C(a, *)$  将所有从  $a$  发出的箭头组合成一个一致的范畴视图。这是“ $a$  的世界观”。

相反，当我们固定目标对象并变换源对象时，我们得到一个逆变函子：

$$C(*, b): C^{op} \rightarrow \text{Set}$$

其作用在箭头  $g'': a'' \rightarrow a$  上写作：

$$C(g'', b): C(a, b) \rightarrow C(a'', b)$$

它通过前组合给出：

$$C(g'', b) = (* \circ g'')$$

函子  $C(*, b)$  将所有指向  $b$  的箭头组织成一个一致的视图。它是“ $b$  的世界观”。

我们现在可以重新表述同构章节中的结果。如果两个对象  $a$  和  $b$  是同构的，那么它们的  $hom * sets$  也是同构的。特别是：

$$C(a, x) \cong C(b, x)$$

和

$$C(x, a) \cong C(x, b)$$

我们将在下一章讨论自然性条件。

另一种看待  $hom * functor C(a, *)$  的方法是将其视为一个提供“ $a$  是否与我相连？”问题答案的 *oracle*（神谕）。如果集合  $C(a, x)$  为空，答案是否定的：“ $a$  与  $x$  不相连。”否则，集合  $C(a, x)$  中的每个元素都是存在这种连接的证明。

相反，逆变函子  $C(*, a)$  回答的问题是：“我与  $a$  相连吗？”

综上所述， $proof * functor C(x, y)$  在对象之间建立了一个 *proof \* relevant relation*（证明相关关系）。集合  $C(x, y)$  中的每个元素都是  $x$  与  $y$  相连的证明。如果集合为空，这两个对象是无关的。

## 8.5 Functor Composition

### 函子的组合

就像我们可以组合函数一样，我们也可以组合函子。两个函子是可组合的，如果一个函子的目标范畴与另一个的源范畴相同。

在对象上，*functor composition*（函子组合） $G$  之后的  $F$  首先将  $F$  应用于一个对象，然后将  $G$  应用于结果；在箭头上也是如此。

显然，你只能组合可组合的函子。然而，所有 *endofunctors*（自函子）都是可组合的，因为它们的目标范畴与源范畴相同。

在 *Haskell* 中，函子是一个参数化的数据类型，因此两个函子的组合也是一个参数化的数据类型。在对象上，我们定义：

```
data Compose g f a = Compose (g (f a))
```

编译器推断  $f$  和  $g$  必须是类型构造子，因为它们被应用于类型： $f$  被应用于类型参数  $a$ ， $g$  被应用于结果类型。

或者，你可以告诉编译器前两个参数是类型构造子。你可以通过提供一个 *kind signature*（种类签名）来实现这一点，这需要一个语言扩展 *KindSignatures*，你可以在源文件的顶部添加：

```
{-# language KindSignatures #-}
```

你还应该导入 *Data.Kind* 库，该库定义了 *Type*：

```
import Data.Kind
```

种类签名就像类型签名一样，只不过它可以用于描述操作类型的函数。

常规类型具有种类 *Type*。类型构造子具有种类  $Type^* > Type$ ，因为它们将类型映射为类型。

*Compose* 接受两个类型构造子并生成一个类型构造子，因此它的种类签名是：

```
(Type -> Type) -> (Type -> Type) -> (Type -> Type)
```

完整的定义是：

```
data Compose :: (Type -> Type) -> (Type -> Type) -> (Type -> Type)
where
  Compose :: (g (f a)) -> Compose g f a
```

任何两个类型构造子都可以这样组合。目前没有要求它们必须是函子。

但是，如果我们想提升一个函数使用类型构造子的组合 *g* 之后的 *f*，那么它们必须是函子。此要求作为约束在实例声明中编码：

```
instance (Functor g, Functor f) => Functor (Compose g f) where
  fmap h (Compose gfa) = Compose (fmap (fmap h) gfa)
```

约束 (*Functor g, Functor f*) 表示条件是两个类型构造子必须是 *Functor* 类的实例。约束后跟随双箭头。

我们正在建立函子性的类型构造子是 *Compose f g*，它是部分应用的 *Compose* 对两个函子。

在 *fmap* 的实现中，我们对数据构造子 *Compose* 进行模式匹配。它的参数 *gfa* 是类型 *g(fa)*。我们使用一个 *fmap* 来“获取 *g* 下的内容”。然后我们使用 (*fmap h*) 来获取 *f* 下的内容。编译器通过分析类型来知道应该使用哪个 *fmap*。

你可以将一个复合函子视为一个容器中的容器。例如，`[]` 与 *Maybe* 的组合是一个可选值的列表。

**Exercise 8.5.1.** 定义一个 *Functor* 之后 *Contravariant* 的组合。提示：你可以重用 *Compose*，但你必须提供一个不同的实例声明。

## Category of Categories

### 范畴的范畴

我们可以将函子视为范畴之间的箭头。正如我们刚刚看到的，函子是可组合的，检查这个组合是结合律的很容易。我们还为每个范畴提供了一个恒等（自）函子。因此，范畴

本身似乎形成了一个范畴，我们称之为  $\mathbf{Cat}$ 。

这是数学家开始担心“大小”问题的地方。这是指代存在悖论的简写。因此，正确的表达是  $\mathbf{Cat}$  是一个小范畴的范畴。但是只要我们不涉及存在性的证明，我们就可以忽略大小问题。





## Chapter 9

---

# Natural Transformations

---

We’ve seen that, when two objects  $a$  and  $b$  are isomorphic, they generate bijections between sets of arrows, which we can now express as isomorphisms between hom-sets. For all  $x$ , we have:

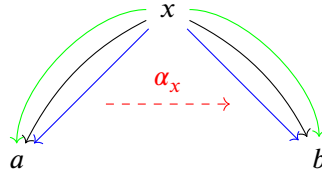
$$\begin{aligned} C(a, x) &\cong C(b, x) \\ C(x, a) &\cong C(x, b) \end{aligned}$$

The converse is not true, though. An isomorphism between hom-sets does not result in an isomorphism between object *unless* additional naturality conditions are satisfied. We’ll now re-formulate these naturality conditions in progressively more general settings.

### 9.1 Natural Transformations Between Hom-Functors

One way an isomorphism between two objects can be established is by directly providing two arrows—one the inverse of the other. But quite often it’s easier to do it indirectly, by defining bijections between arrows, either the ones impinging on the two objects, or the ones emanating from the two objects.

For instance, as we’ve seen before, we may have, for every  $x$ , an invertible mapping of arrows  $\alpha_x$ .



In other words, for every  $x$ , there is a mapping of hom-sets:

$$\alpha_x : C(x, a) \rightarrow C(x, b)$$

When we vary  $x$ , the two hom-sets become two (contravariant) functors,  $C(*, a)$  and  $C(*, b)$ , and  $\alpha$  can be seen as a mapping between them. Such a mapping of functors, called a transformation, is really a family of individual mappings  $\alpha_x$ , one per each object  $x$  in the category  $\mathcal{C}$ .

The functor  $C(*, a)$  describes the way the worlds sees  $a$ , and the functor  $C(*, b)$  describes the way the world sees  $b$ .

The transformation  $\alpha$  switches back and forth between these two views. Every component of  $\alpha$ , the bijection  $\alpha_x$ , shows that the view of  $a$  from  $x$  is isomorphic to the view of  $b$  from  $x$ .

The naturality condition we discussed before was the condition:

$$\alpha_y \circ (* \circ g) = (* \circ g) \circ \alpha_x$$

It relates components of  $\alpha$  taken at different objects. In other words, it relates the views from two different observers  $x$  and  $y$ , who are connected by an arrow  $g: y \rightarrow x$ .

Both sides of this equation are acting on the hom-set  $C(x, a)$ . The result is in the hom-set  $C(y, b)$ . We can rewrite the two sides as:

$$\begin{aligned} C(x, a) &\xrightarrow{(* \circ g)} C(y, a) \xrightarrow{\alpha_y} C(y, b) \\ C(x, a) &\xrightarrow{\alpha_x} C(x, b) \xrightarrow{(* \circ g)} C(y, b) \end{aligned}$$

Precomposition with  $g: y \rightarrow x$  is also a mapping of hom-sets. In fact it is the lifting of  $g$  by the contravariant hom-functor. We can write it as  $C(g, a)$  and  $C(g, b)$ , respectively.

$$\begin{aligned} C(x, a) &\xrightarrow{C(g, a)} C(y, a) \xrightarrow{\alpha_y} C(y, b) \\ C(x, a) &\xrightarrow{\alpha_x} C(x, b) \xrightarrow{C(g, b)} C(y, b) \end{aligned}$$

The naturality condition can therefore be rewritten as:

$$\alpha_y \circ C(g, a) = C(g, b) \circ \alpha_x$$

It can be illustrated by this commuting diagram:

$$\begin{array}{ccc} C(x, a) & \xrightarrow{C(g, a)} & C(y, a) \\ \downarrow \alpha_x & & \downarrow \alpha_y \\ C(x, b) & \xrightarrow{C(g, b)} & C(y, b) \end{array}$$

We can now re-formulate our previous result: An invertible transformation  $\alpha$  between the functors  $C(*, a)$  and  $C(*, b)$  that satisfies the naturality condition is equivalent to an isomorphism between  $a$  and  $b$ .

We can follow exactly the same reasoning for the outgoing arrows. This time we start with a transformation  $\beta$  whose components are:

$$\beta_x : C(a, x) \rightarrow C(b, x)$$

The two (covariant) functors  $C(a, *)$  and  $C(b, *)$  describe the view of the world from the perspective of  $a$  and  $b$ , respectively. The invertible transformation  $\beta$  tells us that these two views are equivalent, and the naturality condition

$$(g \circ *) \circ \beta_x = \beta_y \circ (g \circ *)$$

tells us that they behave nicely when we switch focus.

Here's the commuting diagram that illustrates the naturality condition:

$$\begin{array}{ccc} C(a, x) & \xrightarrow{C(a, g)} & C(a, y) \\ \downarrow \beta_x & & \downarrow \beta_y \\ C(b, x) & \xrightarrow{C(b, g)} & C(b, y) \end{array}$$

Again, such an invertible natural transformation  $\beta$  establishes the isomorphism between  $a$  and  $b$ .

## 9.2 Natural Transformation Between Functors

The two hom-functors from the previous section were

$$Fx = C(a, x)$$

$$Gx = C(b, x)$$

They both map the category  $C$  to  $\text{Set}$ , because that's where the hom-sets live. We can say that they create two different *models* of  $C$  inside  $\text{Set}$ .

A natural transformation is a structure-preserving mapping between two such models.

$$\begin{array}{ccc} & & C(a, x) \\ & \nearrow^{C(a, *)} & \downarrow \beta_x \\ x & & \\ & \searrow_{C(b, *)} & C(b, x) \end{array}$$

This idea naturally extends to functors between any pair of categories. Any two functors

$$F : C \rightarrow D$$

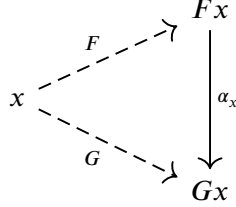
$$G : C \rightarrow D$$

may be seen as two different models of  $\mathcal{C}$  inside  $\mathcal{D}$ .

To transform one model into another we connect the corresponding dots using arrows in  $\mathcal{D}$ . For every object  $x$  in  $\mathcal{C}$  we pick an arrow that goes from  $Fx$  to  $Gx$ :

$$\alpha_x : Fx \rightarrow Gx$$

A natural transformation thus maps objects to arrows.



The structure of a model, though, has as much to do with objects as it does with arrows, so let's see what happens to arrows. For every arrow  $f : x \rightarrow y$  in  $\mathcal{C}$ , we have two corresponding arrows in  $\mathcal{D}$ :

$$Ff : Fx \rightarrow Fy$$

$$Gf : Gx \rightarrow Gy$$

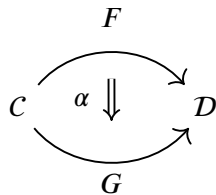
These are the two liftings of  $f$ . We can use them to move within the bounds of each of the two models. Then there are the components of  $\alpha$  which let us switch *between* models.

Naturality says that it shouldn't matter whether you first move inside the first model and then jump to the second one, or first jump to the second one and then move within it. This is illustrated by the commuting *naturality square*:

$$\begin{array}{ccc} Fx & \xrightarrow{Ff} & Fy \\ \downarrow \alpha_x & & \downarrow \alpha_y \\ Gx & \xrightarrow{Gf} & Gy \end{array}$$

Such a family of arrows  $\alpha_x$  that satisfies the naturality condition is called a *natural transformation*.

This is a diagram that shows a pair of categories, two functors between them, and a natural transformation  $\alpha$  between the functors:



Since for every arrow in  $C$  there is a corresponding naturality square, we can say that a natural transformation maps objects to arrows, and arrows to commuting squares.

If every component  $\alpha_x$  of a natural transformation is an isomorphism,  $\alpha$  is called a *natural isomorphism*.

We can now restate the main result about isomorphisms: Two objects are isomorphic if and only if there is a natural isomorphism between their hom-functors (either the covariant, or the contravariant ones—either one will do).

Natural transformations provide a very convenient high-level way of expressing commuting conditions in a variety of situations. We'll use them in this capacity to reformulate the definitions of algebraic data types.

## 9.3 Natural Transformations in Programming

A natural transformation is a family of arrows parameterized by objects. In programming, this corresponds to a family of functions parameterized by types, that is a *polymorphic function*.

The type of the argument to a natural transformation is described using one functor, and the return type using another.

In Haskell, we can define a data type that accepts two type constructors representing two functors, and produces a type of natural transformations:

```
data Natural :: (Type -> Type) -> (Type -> Type) -> Type where
  Natural :: (forall a. f a -> g a) -> Natural f g
```

The `forall` quantifier tells the compiler that the function is polymorphic—that is, it's defined for every type `a`. As long as `f` and `g` are functors, this formula defines a natural transformation.

The types defined by `forall` are very special, though. They are polymorphic in the sense of *parametric polymorphism*. It means that a single formula is used for all types. We've seen the example of the identity function, which can be written as:

```
id :: forall a. a -> a
id x = x
```

The body of this function is very simple, just the variable `x`. It doesn't matter what type `x` is, the formula remains the same.

This is in contrast to *ad-hoc polymorphism*. An ad-hoc polymorphic function may use different implementations for different types. An example of such a function is `fmap`, the member function of the `Functor` typeclass. There is one implementation of `fmap` for lists, a different one for `Maybe`, and so on, case by case.

The standard definition of a (parametric) natural transformation in Haskell uses a *type synonym*:

```
type Natural f g = forall a. f a -> g a
```

A `type` declaration introduces an alias, a shorthand, for the right-hand-side.

It turns out that limiting the type of a natural transformation to adhere to parametric polymorphism has far-reaching consequences. Such a function automatically satisfies naturality conditions. It's an example of parametricity producing so called *theorems for free*.

We can't express equalities of arrows in Haskell, but we can use naturality to transform programs. In particular, if `alpha` is a natural transformation, we can replace:

```
fmap h . alpha
```

with:

```
alpha . fmap h
```

Here, the compiler will automatically figure out what versions of `fmap` and which components of `alpha` to use.

We can also use more advanced language options to make the choices explicit. We can express naturality using a pair of functions:

```
oneWay ::
  forall f g a b. (Functor f, Functor g) =>
    Natural f g -> (a -> b) -> f a -> g b
oneWay alpha h = fmap @g h . alpha @a
```

```
otherWay ::
  forall f g a b. (Functor f, Functor g) =>
    Natural f g -> (a -> b) -> f a -> g b
otherWay alpha h = alpha @b . fmap @f h
```

The annotations `@a` and `@b` specify the components of the parametrically polymorphic function `alpha`, and the annotations `@f` and `@g` specify the functors for which the ad-hoc polymorphic `fmap` is instantiated.

The following Haskell extensions have to be specified at the top of the file:

```
{-# language RankNTypes #-}
{-# language TypeApplications #-}
{-# language ScopedTypeVariables #-}
```

Here's an example of a useful function that is a natural transformation between the list functor and the `Maybe` functor:

```
safeHead :: Natural [] Maybe
safeHead [] = Nothing
```

```
safeHead (a : as) = Just a
```

(The standard library `head` function is “unsafe” in that it faults when given an empty list.)

Another example is the function `reverse`, which reverses a list. It’s a natural transformation from the list functor to the list functor:

```
reverse :: Natural [] []  
reverse [] = []  
reverse (a : as) = reverse as ++ [a]
```

Incidentally, this is a very inefficient implementation. The actual library function uses an optimized algorithm.

A useful intuition for understanding natural transformations builds on the idea that functors acts like containers for data. There are two completely orthogonal things that you can do with a container: You can transform the data it contains, without changing the shape of the container. This is what `fmap` does. Or you can transfer the data, without modifying it, to another container. This is what a natural transformation does: It’s a procedure for moving “stuff” between containers without knowing what kind of “stuff” it is.

In other words, a natural transformation repackages the contents of one container into another container. It does it in a way that is agnostic of the type of the contents, which means it cannot inspect, create, or modify the contents. All it can do is to move it to a new location, or drop it.

Naturality condition enforces the orthogonality of these two operations. It doesn’t matter if you first modify the data and then move it to another container; or first move it, and then modify.

This is another example of successfully decomposing a complex problem into a sequence of simpler ones. Keep in mind, though, that not every operation with containers of data can be decomposed in that way. Filtering, for instance, requires both examining the data, as well as changing the size or even the shape of the container.

On the other hand, almost every parametrically polymorphic function is a natural transformation. In some cases you may have to consider the identity or the constant functor as either source or the target. For instance, the polymorphic identity function can be thought of as a natural transformation between two identity functors.

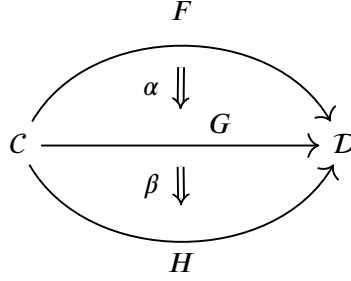
## Vertical composition of natural transformations

Natural transformations can only be defined between *parallel* functors, that is functors that share the same source category and the same target category. Such parallel functors form a *functor category*. The standard notation for a functor category between two categories  $C$  and  $D$  is  $[C, D]$ . You just put the names of the two categories between square brackets.

The objects in  $[C, D]$  are functors, the arrows are natural transformations.

To show that this is indeed a category, we have to define the composition of natural transformations. This is easy if we keep in mind that components of natural transformations are regular arrows in the target category. These arrows compose.

Indeed, suppose that we have a natural transformation  $\alpha$  between two functors  $F$  and  $G$ . We want to compose it with another natural transformation  $\beta$  that goes from  $G$  to  $H$ .



Let's look at the components of these transformations at some object  $x$

$$\alpha_x: F x \rightarrow G x$$

$$\beta_x: G x \rightarrow H x$$

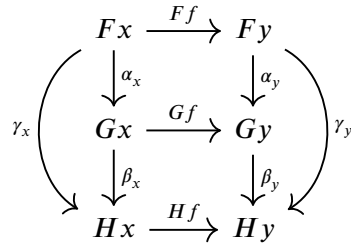
These are just two arrows in  $D$  that are composable. So we can define a composite natural transformation  $\gamma$  as follows:

$$\gamma: F \rightarrow H$$

$$\gamma_x = \beta_x \circ \alpha_x$$

This is called the *vertical composition* of natural transformations. You'll see it written using a dot  $\gamma = \beta \cdot \alpha$  or a simple juxtaposition  $\gamma = \beta\alpha$ .

Naturality condition for  $\gamma$  can be shown by pasting together (vertically) two naturality squares for  $\alpha$  and  $\beta$ :



In Haskell, vertical composition of natural transformation is just regular function composition applied to polymorphic functions. Using the intuition that natural transformations move items between containers, vertical composition combines two such moves, one after another.



### Functor categories

Since the composition of natural transformations is defined in terms of composition of arrows, it is automatically associative.

There is also an identity natural transformation  $id_F$  defined for every functor  $F$ . Its component at  $x$  is the usual identity arrow at the object  $Fx$ :

$$(id_F)_x = id_{Fx}$$

To summarize, for every pair of categories  $C$  and  $D$  there is a category of functors  $[C, D]$  with natural transformations as arrows.

The hom-set in that category is the set of natural transformations between two functors  $F$  and  $G$ . Following the standard notational convention, we write it as:

$$[C, D](F, G)$$

with the name of the category followed by the names of the two objects (here, functors) in parentheses.

In category theory objects and arrows are drawn differently. Objects are dots and arrows are pointy lines.

In  $\text{Cat}$ , the category of categories, functors are drawn as arrows. But in a functor category  $[C, D]$  functors are dots and natural transformations are arrows.

What is an arrow in one category could be an object in another.

**Exercise 9.3.1.** *Prove the naturality condition of the composition of natural transformations:*

$$\gamma_y \circ Ff = Hf \circ \gamma_x$$

*Hint: Use the definition of  $\gamma$  and the two naturality conditions for  $\alpha$  and  $\beta$ .*

### Horizontal composition of natural transformations

The second kind of composition of natural transformations is induced by the composition of functors. Suppose that we have a pair of composable functors

$$F: C \rightarrow D \qquad G: D \rightarrow E$$

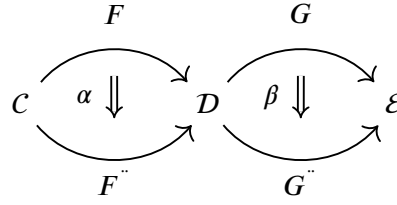
and, in parallel, another pair of composable functors:

$$F'': C \rightarrow D \qquad G'': D \rightarrow E$$

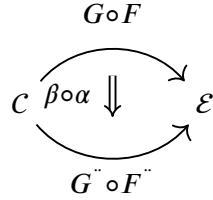
We also have two natural transformations:

$$\alpha: F \rightarrow F'' \qquad \beta: G \rightarrow G''$$

Pictorially:



The *horizontal composition*  $\beta \circ \alpha$  maps  $G \circ F$  to  $G'' \circ F''$ .



Let's pick an object  $x$  in  $C$  and try to define the component of the composite  $(\beta \circ \alpha)$  at  $x$ . It should be a morphism in  $E$ :

$$(\beta \circ \alpha)_x: G(Fx) \rightarrow G''(F''x)$$

We can use  $\alpha$  to map  $x$  to an arrow

$$\alpha_x: Fx \rightarrow F''x$$

We can lift this arrow using  $G$

$$G(\alpha_x): G(Fx) \rightarrow G(F''x)$$

To get from there to  $G''(F''x)$  we can use the appropriate component of  $\beta$

$$\beta_{F''x}: G(F''x) \rightarrow G''(F''x)$$

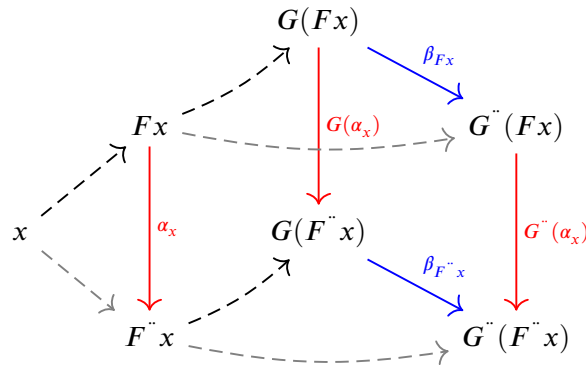
Altogether, we have

$$(\beta \circ \alpha)_x = \beta_{F''x} \circ G(\alpha_x)$$

But there is another equally plausible candidate:

$$(\beta \circ \alpha)_x = G''(\alpha_x) \circ \beta_{Fx}$$

Fortunately, they are equal due to naturality of  $\beta$ .



The proof of naturality of  $\beta \circ \alpha$  is left as an exercise to a dedicated reader.

We can translate this directly to Haskell. We start with two natural transformations:

```
alpha :: forall x. F x -> F' x
beta  :: forall x. G x -> G' x
```

Their horizontal composition has the following type signature:

```
beta_alpha :: forall x. G (F x) -> G' (F' x)
```

It has two equivalent implementations. The first one is:

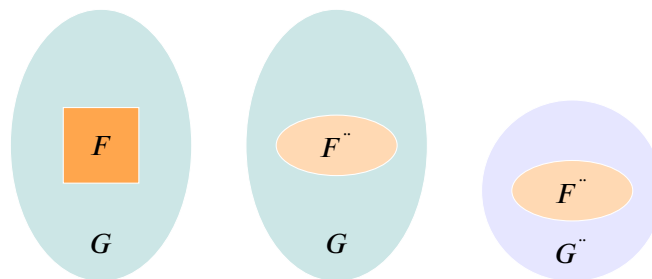
```
beta_alpha = beta . fmap alpha
```

The compiler will automatically pick the correct version of `fmap`, the one for the functor `G`. The second implementation is:

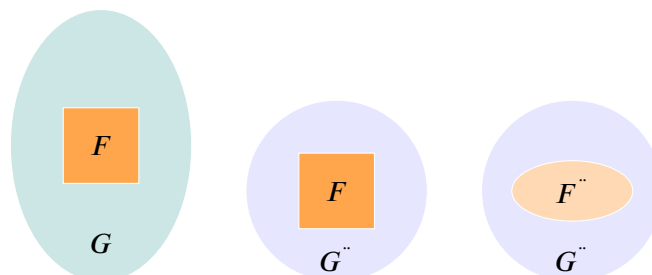
```
beta_alpha = fmap alpha . beta
```

Here, the compiler will pick the version of `fmap` for the functor `G'`.

What's the intuition for horizontal composition? We've seen before that a natural transformation can be seen as repackaging data between two containers—functors. Here we are dealing with nested containers. We start with the outer container described by `G` that is filled with inner containers, each described by `F`. We have two natural transformations, `alpha` for transferring the contents of `F` to `F'`, and `beta` for moving the contents of `G` to `G'`. There are two ways of moving data from `G (F x)` to `G' (F' x)`. We can use `fmap alpha` to repackage all inner containers, and then use `beta` to repackage the outer container.



Or we can first use `beta` to repackage the outer container, and then apply `fmap alpha` to repackage all the inner containers. The end result is the same.



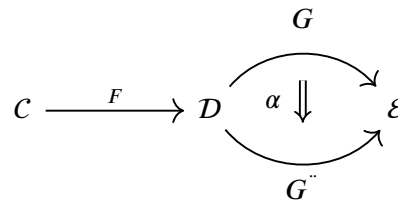
**Exercise 9.3.2.** Implement two versions of horizontal composition of `safeHead` after `reverse`. Compare their results acting on various arguments.

**Exercise 9.3.3.** Do the same with the horizontal composition of `reverse` after `safeHead`.

## Whiskering

Quite often horizontal composition is used with one of the natural transformations being the identity. There is a shorthand notation for such composition. For instance,  $\alpha \circ id_F$  is written as  $\alpha \circ F$ .

Because of the characteristic shape of the diagram, such composition is called “whiskering”.



In components, we have:

$$(\alpha \circ F)_x = \alpha_{Fx}$$

Let’s consider how we would translate this to Haskell. A natural transformation is a polymorphic function. Because of parametricity, it’s defined by the same formula for all types. So whiskering on the right doesn’t change the formula, it changes the function signature.

For instance, if this is the declaration of `alpha`:

```
alpha :: forall x. G x -> G' x
```

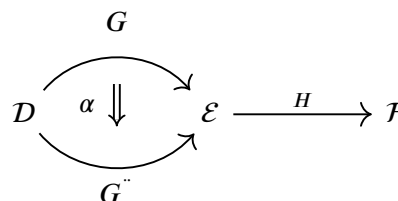
then its whiskered version would be:

```
alpha_f :: forall x. G (F x) -> G' (F x)
alpha_f = alpha
```

Because of Haskell’s type inference, this shift is implicit. When a polymorphic function is called, we don’t have to specify which component of the natural transformation is executed—the type checker figures it out by looking at the type of the argument.

The intuition in this case is that we are repackaging the outer container leaving the inner containers intact.

Similarly,  $id_H \circ \alpha$  is written as  $H \circ \alpha$ .



In components:

$$(H \circ \alpha)_x = H(\alpha_x)$$

In Haskell, the lifting of  $\alpha_x$  by  $H$  is done using `fmap`, so given:

```
alpha :: forall x. G x -> G' x
```

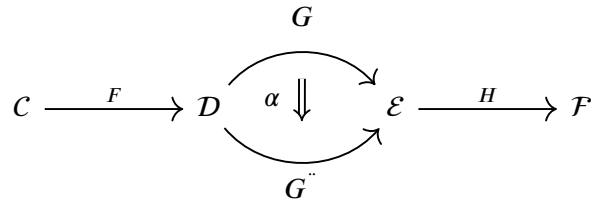
the whiskered version would be:

```
h_alpha :: forall x. H (G x) -> H (G' x)
h_alpha = fmap alpha
```

Again, Haskell's type inference engine figures out which version of `fmap` to use (here, it's the one from the `Functor` instance of `G`).

The intuition is that we are repackaging the contents of the inner containers leaving the outer container intact.

Finally, in many applications a natural transformation is whiskered on both sides:



In components, we have:

$$(H \circ \alpha \circ F)_x = H(\alpha_{F x})$$

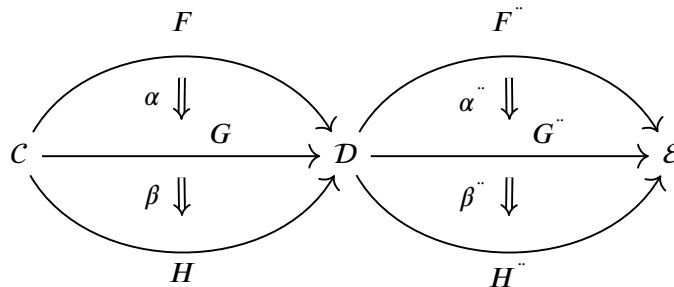
and in Haskell:

```
h_alpha_f :: forall x. H (G (F x)) -> H (G' (F x))
h_alpha_f = fmap alpha
```

Here the intuition is that we have a triple layer of containers; and we are rearranging the middle one, leaving the outer container and all the inner containers intact.

### Interchange law

We can combine vertical composition with horizontal composition, as seen in the following diagram:



The interchange law states that the order of composition doesn't matter: we can first do vertical compositions and then the horizontal one, or first do the horizontal compositions and then the vertical one.

## 9.4 Universal Constructions Revisited

Lao Tzu says, the simplest pattern is the clearest.

We've seen definitions of sums, products, exponentials, natural numbers, and lists.

The old-school approach to defining such data types is to explore their internals. It's the set-theory way: we look at how the elements of new sets are constructed from the elements of old sets. An element of a sum is either an element of the first set, or the second set. An element of a product is a pair of elements. And so on. We are looking at objects from the engineering point of view.

In category theory we take the opposite approach. We are not interested in what's inside the object or how it's implemented. We are interested in the purpose of the object, how it can be used, and how it interacts with other objects. We are looking at objects from the utilitarian point of view.

Both approaches have their advantages. The categorical approach came later, because you need to study a lot of examples before clear patterns emerge. But once you see the patterns, you discover unexpected connections between things, like the duality between sums and products.

Defining particular objects through their connections requires looking at possibly infinite numbers of objects with which they interact.

"Tell me your relation to the Universe, and I'll tell you who you are."

Defining an object by its mappings-out or mappings-in with respect to all objects in the category is called a *universal construction*.

Why are natural transformations so important? It's because most categorical constructions involve commuting diagrams. If we can re-cast these diagrams as naturality squares, we move one level up the abstraction ladder and gain new valuable insights.

Being able to compress a lot of facts into small elegant formulas helps us see new patterns. We'll see, for instance, that natural isomorphisms between hom-sets pop up all over category theory and eventually lead to the idea of an adjunction.

But first we'll study several examples in greater detail to get some understanding of the terse language of category theory. We'll try, for instance, to decode the statement that the sum, or the coproduct of two objects, is defined by the following natural isomorphism:

$$[2, C](D, \Delta_x) \cong C(a + b, x)$$

### Picking objects

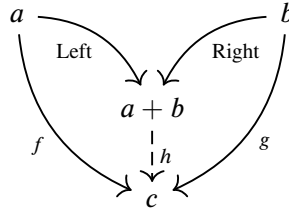
Even such a simple task as pointing at an object has a special interpretation in category theory. We have already seen that pointing at an element of a set is equivalent to selecting a function from the singleton set to it. Similarly, picking an object in a category is equivalent to selecting a functor from the single-object category. Alternatively, it can be done using a constant functor from another category.

Quite often we want to pick a pair of objects. That, too, can be accomplished by selecting a functor from a two-object stick-figure category. Similarly, picking an arrow is equivalent to selecting a functor from the “walking arrow” category, and so on.

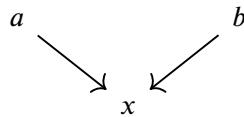
By judiciously selecting our functors and natural transformations between them, we can reformulate all the universal constructions we’ve seen so far.

### Cospans as natural transformations

The definition of a sum requires the selection of two objects to be summed; and a third one to serve as the target of the mapping out.



This diagram can be further decomposed into two simpler shapes called *cospans*:



To construct a cospan we first have to pick a pair of objects. To do that we’ll start with a two-object category  $\mathbf{2}$ . We’ll call its objects 1 and 2. We’ll use a functor

$$D: \mathbf{2} \rightarrow \mathcal{C}$$

to select the objects  $a$  and  $b$ :

$$D\,1 = a$$

$$D\,2 = b$$

( $D$  stands for “diagram”, since the two objects form a very simple diagram consisting of two dots in  $\mathcal{C}$ .)

We'll use the constant functor

$$\Delta_x: 2 \rightarrow C$$

to select the object  $x$ . This functor maps both 1 and 2 to  $x$  (and the two identity arrows to  $id_x$ ).

Since both functors go from 2 to  $C$ , we can define a natural transformation  $\alpha$  between them. In this case, it's just a pair of arrows:

$$\alpha_1: D 1 \rightarrow \Delta_x 1$$

$$\alpha_2: D 2 \rightarrow \Delta_x 2$$

These are exactly the two arrows in the cospan.

Naturality condition for  $\alpha$  is trivial, since there are no arrows (other than identities) in 2.

There may be many cospans sharing the same three objects—meaning: there may be many natural transformations between the two functors  $D$  and  $\Delta_x$ . These natural transformations form a hom-set in the functor category  $[2, C]$ , namely:

$$[2, C](D, \Delta_x)$$

### Functoriality of cospans

Let's consider what happens when we start varying the object  $x$  in a cospan. We have a mapping  $F$  that takes  $x$  to the set of cospans over  $x$ :

$$F x = [2, C](D, \Delta_x)$$

This mapping turns out to be functorial in  $x$ .

To see that, consider an arrow  $m: x \rightarrow y$ . The lifting of this arrow is a mapping between two sets of natural transformations:

$$[2, C](D, \Delta_x) \rightarrow [2, C](D, \Delta_y)$$

This might look very abstract until you remember that natural transformations have components, and these components are just regular arrows. An element of the left-hand side is a natural transformation:

$$\mu: D \rightarrow \Delta_x$$

It has two components corresponding to the two objects in 2. For instance, we have

$$\mu_1: D 1 \rightarrow \Delta_x 1$$

or, using the definitions of  $D$  and  $\Delta$ :

$$\mu_1: a \rightarrow x$$



This is just the left leg of our cospan.

Similarly, the element of the right-hand side is a natural transformation:

$$v: D \rightarrow \Delta_y$$

Its component at 1 is an arrow

$$v_1: a \rightarrow y$$

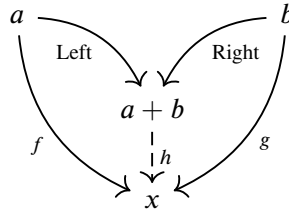
We can get from  $\mu_1$  to  $v_1$  simply by post-composing it with  $m: x \rightarrow y$ . So the lifting of  $m$  is a component-by-component post-composition ( $m \circ *$ ):

$$v_1 = m \circ \mu_1$$

$$v_2 = m \circ \mu_2$$

### Sum as a universal cospan

Of all the cospans that you can build on the pair  $a$  and  $b$ , the one with the arrows we called Left and Right converging on  $a + b$  is very special. There is a unique mapping out of it to any other cospan—a mapping that makes two triangles commute.



We are now in the position to translate this condition to a statement about natural transformations and hom-sets. The arrow  $h$  is an element of the hom-set

$$C(a + b, x)$$

A cospan over  $x$  is a natural transformation, that is an element of the hom-set in the functor category:

$$[2, C](D, \Delta_x)$$

Both are hom-sets in their respective categories. And both are just sets, that is objects in the category *Set*. This category forms a bridge between the functor category  $[2, C]$  and a “regular” category  $C$ , even though, conceptually, they seem to be at very different levels of abstraction.

Paraphrasing Sigmund Freud, “Sometimes a set is just a set.”

Our universal construction is the bijection or the isomorphism of sets:

$$[2, C](D, \Delta_x) \cong C(a + b, x)$$

Moreover, if we vary the object  $x$ , the two sides behave like functors from  $\mathcal{C}$  to  $\mathbf{Set}$ . Therefore it makes sense to ask if this mapping of functors is a natural isomorphism.

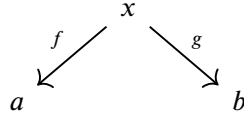
Indeed, it can be shown that the naturality condition for this isomorphism translates into commuting conditions for the triangles in the definition of the sum. So the definition of the sum can be replaced by a single equation.

### Product as a universal span

An analogous argument can be made about the universal construction for the product. Again, we start with the stick-figure category  $\mathbf{2}$  and the functor  $D$ . But this time we use a natural transformation going in the opposite direction

$$\alpha: \Delta_x \rightarrow D$$

Such a natural transformation is a pair of arrows that form a *span*:



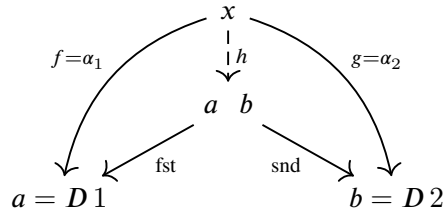
Collectively, these natural transformations form a hom-set in the functor category :

$$[\mathbf{2}, \mathcal{C}](\Delta_x, D)$$

Every element of this hom-set is in one-to-one correspondence with a unique mapping  $h$  into the product  $a \times b$ . Such a mapping is a member of the hom-set  $\mathcal{C}(x, a \times b)$ . This correspondence is expressed as the isomorphism:

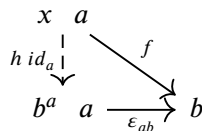
$$[\mathbf{2}, \mathcal{C}](\Delta_x, D) \cong \mathcal{C}(x, a \times b)$$

It can be shown that the naturality of this isomorphism guarantees that the triangles in this diagram commute:



### Exponentials

The exponentials, or function objects, are defined by this commuting diagram:



Here,  $f$  is an element of the hom-set  $C(x \rightarrow a, b)$  and  $h$  is an element of  $C(x, b^a)$ .

The isomorphism between these sets, natural in  $x$ , defines the exponential object.

$$C(x \rightarrow a, b) \cong C(x, b^a)$$

The  $f$  in the diagram above is an element of the left-hand side, and  $h$  is the corresponding element of the right-hand side. The transformation  $\alpha_x$  (which also depends on  $a$  and  $b$ ) maps  $f$  to  $h$ .

$$\alpha_x: C(x \rightarrow a, b) \rightarrow C(x, b^a)$$

In Haskell, we call it `curry`. Its inverse,  $\alpha^{*1}$  is known as `uncurry`.

Unlike in the previous examples, here both hom-sets are in the same category, and it's easy to analyze the isomorphism in more detail. In particular, we'd like to see how the commuting condition:

$$f = \epsilon_{ab} \circ (h \circ id_a)$$

arises from naturality.

The standard Yoneda trick is to make a substitution for  $x$  that would reduce one of the hom-sets to an endo-hom-set, that is a hom-set whose source is the same the target. This will allow us to pick a canonical element of that hom-set, that is the identity arrow.

In our case, substituting  $b^a$  for  $x$  will allow us to pick  $h = id_{(b^a)}$ .

$$\begin{array}{ccc} b^a & a & \\ id_{(b^a)} \downarrow id_a & \searrow f & \\ b^a & a & \xrightarrow{\epsilon_{ab}} b \end{array}$$

The commuting condition in this case tells us that  $f = \epsilon_{ab}$ . In other words, we get the formula for  $\epsilon_{ab}$  in terms of  $\alpha$ :

$$\epsilon_{ab} = \alpha_x^{*1}(id_x)$$

where  $x$  is equal to  $b^a$ .

Since we recognize  $\alpha^{*1}$  as `uncurry`, and  $\epsilon$  as function application, we can write it in Haskell as:

```
apply :: (a -> b, a) -> b
apply = uncurry id
```

This may be surprising at first, until you realize that the currying of  $(a \rightarrow b, a) \rightarrow b$  leads to  $(a \rightarrow b) \rightarrow (a \rightarrow b)$ .

We can also encode the two sides of the main isomorphism as Haskell functors:

```
data LeftFunctor a b x = LF ((x, a) -> b)
```

```
data RightFunctor a b x = RF (x -> (a -> b))
```

They are both contravariant functors in the type variable `x`.

```
instance Contravariant (LeftFunctor a b) where
  contramap g (LF f) = LF (f . bimap g id)
```

This says that the lifting of  $g: x \rightarrow y$  is given by the following pre-composition:

$$C(y \ a, b) \xrightarrow{(* \circ (g \ id_a))} C(x \ a, b)$$

Similarly:

```
instance Contravariant (RightFunctor a b) where
  contramap g (RF h) = RF (h . g)
```

translates to:

$$C(y, b^a) \xrightarrow{(* \circ g)} C(x, b^a)$$

The natural transformation  $\alpha$  is just a thin encapsulation of `curry`; and its inverse is `uncurry`:

```
alpha :: forall a b x. LeftFunctor a b x -> RightFunctor a b x
alpha (LF f) = RF (curry f)
```

```
alpha_1 :: forall a b x. RightFunctor a b x -> LeftFunctor a b x
alpha_1 (RF h) = LF (uncurry h)
```

Using the two formulas for the lifting of  $g: x \rightarrow y$ , here's the naturality square:

$$\begin{array}{ccc} C(y \ a, b) & \xrightarrow{(* \circ (g \ id_a))} & C(x \ a, b) \\ \downarrow \alpha_y & & \downarrow \alpha_x \\ C(y, b^a) & \xrightarrow{(* \circ g)} & C(x, b^a) \end{array}$$

Let's now apply the Yoneda trick to it and replace  $y$  with  $b^a$ . This also allows us to substitute  $g$ —which now goes for  $x$  to  $b^a$ —with  $h$ .

$$\begin{array}{ccc} C(b^a \ a, b) & \xrightarrow{(* \circ (h \ id_a))} & C(x \ a, b) \\ \downarrow \alpha_{(b^a)} & & \downarrow \alpha_x \\ C(b^a, b^a) & \xrightarrow{(* \circ h)} & C(x, b^a) \end{array}$$

We know that the hom-set  $C(b^a, b^a)$  contains at least the identity arrow, so we can pick the element  $id_{(b^a)}$  in the lower left corner.

Reversing the arrow on the left, we know that  $\alpha^{*1}$  acting on identity produces  $\varepsilon_{ab}$  in the upper left corner (that's the [uncurry](#) id trick).

Pre-composition with  $h$  acting on identity produces  $h$  in the lower right corner.

$\alpha^{*1}$  acting on  $h$  produces  $f$  in the upper right corner.

$$\begin{array}{ccc} \varepsilon_{ab} & \xrightarrow{(* \circ (h \text{ id}_a))} & f \\ \alpha^{*1} \uparrow & & \uparrow \alpha^{*1} \\ \text{id}_{(b^a)} & \xrightarrow{(* \circ h)} & h \end{array}$$

(The  $\mapsto$  arrows denote the action of functions on elements of sets.)

So the selection of  $\text{id}_{(b^a)}$  in the lower left corner fixes the other three corners. In particular, we can see that the upper arrow applied to  $\varepsilon_{ab}$  produces  $f$ , which is exactly the commuting condition:

$$\varepsilon_{ab} \circ (h \text{ id}_a) = f$$

the one that we set out to derive.

## 9.5 Limits and Colimits

In the previous section we defined the sum and the product using natural transformations. These were transformations between diagrams defined as functors from a very simple stick-figure category 2, one of the functors being the constant functor.

Nothing prevents us from replacing the category 2 with something more complex. For instance, we could try categories that have non-trivial arrows between objects, or categories with infinitely many objects.

There is a whole vocabulary built around such constructions.

We used objects in the category 2 for indexing objects in the category  $\mathcal{C}$ . We can replace 2 with an arbitrary indexing category  $\mathcal{J}$ . A diagram in  $\mathcal{C}$  is still defined as a functor  $D: \mathcal{J} \rightarrow \mathcal{C}$ . It picks objects in  $\mathcal{C}$ , but it also picks arrows between them.

As the second functor we'll still use the constant functor  $\Delta_x: \mathcal{J} \rightarrow \mathcal{C}$ .

A natural transformation, that is an element of the hom-set

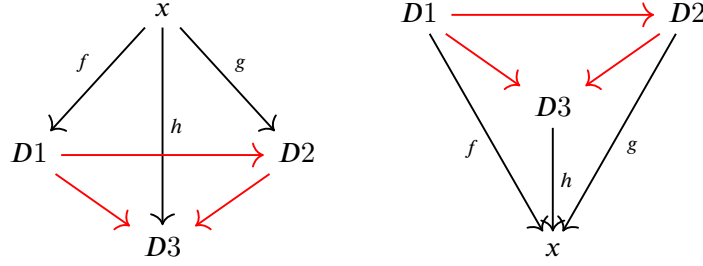
$$[\mathcal{J}, \mathcal{C}](\Delta_x, D)$$

is now called a *cone*. Its dual, an element of

$$[\mathcal{J}, \mathcal{C}](D, \Delta_x)$$

is called a *cocone*. They generalize the span and the cospan, respectively.

Diagrammatically, cones and cocones look like this:



Since the indexing category may now contain arrows, the naturality conditions for these diagrams are no longer trivial. The constant functor  $\Delta_x$  shrinks all vertices to one, so naturality squares shrink to triangles. Naturality means that all triangles with  $x$  in their apex must now commute.

The universal cone, if it exists, is called the *limit* of the diagram  $D$ , and is written as  $\text{Lim}D$ . Universality means that it satisfies the following isomorphism, natural in  $x$ :

$$[\mathcal{J}, \mathcal{C}](\Delta_x, D) \cong \mathcal{C}(x, \text{Lim}D)$$

For each cone with the apex  $x$  there is a unique mapping from  $x$  into the limit  $\text{Lim}D$ .

A limit of a Set-valued functor has a particularly simple characterization. It's a set of cones with the singleton set at the apex. Indeed, elements of the limit, that is functions from the singleton set to it, are in one-to-one correspondence with such cones:

$$[\mathcal{J}, \mathcal{C}](\Delta_1, D) \cong \mathcal{C}(1, \text{Lim}D)$$

Dually, the universal cocone is called a *colimit*, and is described by the following natural isomorphism:

$$[\mathcal{J}, \mathcal{C}](D, \Delta_x) \cong \mathcal{C}(\text{Colim}D, x)$$

We can now say that a product is a limit (and a sum, a colimit) of a diagram from the indexing category  $\mathbf{2}$ .

Limits and colimits distill the essence of a pattern.

A limit, like a product, is defined by its mapping-in property. A colimit, like a sum, is defined by its mapping-out property.

There are many interesting limits and colimits, and we'll see some when we discuss algebras and coalgebras.

**Exercise 9.5.1.** Show that the limit of a “walking arrow” category, that is a two-object category with an arrow connecting the two objects, has the same elements as the first object in the diagram (“elements” are the arrows from the terminal object).

## Equalizers

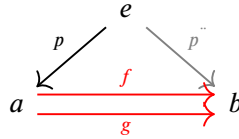
A lot of high-school math involves learning how to solve equations or systems of equations. An equation equates the outcomes of two different ways of producing something. If we are allowed to subtract things, we usually shove everything to one side and simplify the problem to the one of calculating the zeros of some expression. In geometry, the same idea is expressed as the intersection of two geometric objects.

In category theory all these patterns are embodied in a single construction called an equalizer. An equalizer is a limit of a diagram whose pattern is given by a stick-figure category with two parallel arrows:

$$i \rightrightarrows j$$

The two arrows represent two ways of producing something.

A functor from this category picks a pair of objects and a pair of morphisms in the target category. The limit of this diagram embodies an intersection of the two outcomes. It is an object  $e$  with two arrows  $p: e \rightarrow a$  and  $p'': e \rightarrow b$ .



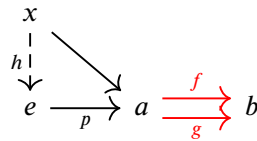
We have two commuting conditions:

$$\begin{aligned} p'' &= f \circ p \\ p'' &= g \circ p \end{aligned}$$

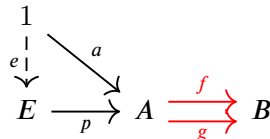
It means that  $p''$  is fully determined by one of the equations, while the other turns into the constraints:

$$f \circ p = g \circ p$$

Since the equalizer is the limit, it is the universal such pair, as illustrated in this diagram:



To develop the intuition for equalizers it's instructive to consider how it works for sets. As usual, the trick is to replace  $x$  with the singleton set 1:

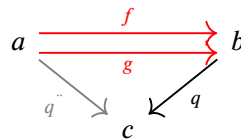


In this case  $a$  is an element of  $A$  such that  $fa = ga$ . That's just a way of saying that  $a$  is the solution of a pair of equations. Universality means that there is a unique element  $e$  of  $E$  such that  $poe = a$ . In other words, elements of  $E$  are in one-to-one correspondence with the solutions of the system of equations.

## Coequalizers

What's dual to the idea of equating or intersecting? It's the process of discovering commonalities and organizing things into buckets. For instance, we can distribute integers into even and odd buckets. In category theory, this process of bucketizing is described by coequalizers.

A coequalizer is the colimit of the same diagram that we used to define the equalizer:



This time, the arrow  $q''$  is fully determined by  $q$ ; and  $q$  must satisfy the equation:

$$q \circ f = q \circ g$$

Again, we can gain some intuition by considering a coequalizer of two functions acting on sets.

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

An  $x \in A$  is mapped to two elements  $fx$  and  $gx$  in  $B$ , but then  $q$  maps them back to a single element of  $C$ . This element represents the bucket. Universality means that  $C$  is a copy of  $B$  in which the elements that were produced from the same  $x$  have been identified.

Consider an example where  $A$  is a set of pairs of integers  $(m, n)$ , such that either both are even or both are odd. We want to coequalize two functions that are the two projections  $(fst, snd)$ . The equalizer set  $C$  will have two elements corresponding to two buckets. We'll represent it as `Bool`. The equalizing function `q` selects the bucket:

```
q :: Int -> Bool
q n = n `mod` 2 == 0
```

Any function `q'` that cannot distinguish between the components of our pairs can be uniquely factorized through the function `h`:

```
h :: (Int -> a) -> Bool -> a
h q' True  = g' 0
h q' False = g' 1
```



**Exercise 9.5.2.** Run a few tests that show that, in the example above, the factorization  $(h \circ g') \circ q$  gives the same result as  $g'$  given by the following definition:

```
import Data.Bits

q' :: Int -> Bool
q' x = testBit x 0
```

**Exercise 9.5.3.** What is the coequalizer of the pair  $(id, reverse)$ , both of the type  $String \rightarrow String$ ? Test its universality by factorizing the following function:

```
q' :: String -> Maybe Char
q' s = if even len
      then Nothing
      else Just (s !! (len `div` 2))
where len = length s
```

### The existence of the terminal object

Lao Tzu says: great acts are made up of small deeds.

So far we've been studying limits of tiny diagrams, that is functors from simple stick-figure categories. Nothing, however, prevents us from defining limits and colimits where the patterns are taken to be infinite categories. But there is a gradation of infinities. When the objects in a category form a proper set, we call such a category *small*. Unfortunately, the very basic example, the category **Set** of sets, is not small. We know that there is no set of all sets. **Set** is a *large* category. But at least all the hom-sets in **Set** are sets. We say that **Set** is *locally small*. In what follows we'll be always working with locally small categories.

A small limit is a limit of a small diagram, that is a functor from a category whose objects and morphisms form sets. A category in which all small limits exist is called small complete, or just *complete*. In particular, in such a category, a product of an arbitrary *set* of objects exists. You can also equalize an arbitrary set of arrows between two objects. If such category is locally small, that means all equalizers exist.

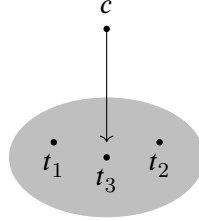
Conversely, a (small) cocomplete category has all small colimits. In particular, such a category has all small coproducts and coequalizers.

The category **Set** is both complete and cocomplete.

In a cocomplete locally small category there is a simple criterion for the existence of the terminal object: It's enough that a weakly terminal set exists.

A *weakly terminal* object, just like the terminal object, has an arrow coming from any object; except that such an arrow is not necessarily unique.

A *weakly terminal set* is a family of objects  $t_i$  indexed by a set  $I$  such that, for any object  $c$  in  $C$  there exists an  $i$  and an arrow  $c \rightarrow t_i$ . Such a set is also called a *solution set*.



In a cocomplete category we can always construct a coproduct  $\coprod_{i \in I} t_i$ . This coproduct is a weakly terminal object, because there is an arrow to it from every  $c$ . This arrow is the composite of the arrow to some  $t_i$  followed by the injection  $t_i: t_i \rightarrow \coprod_{j \in I} t_j$ .

Given a weakly terminal object, we can construct the (strongly) terminal object. We first define a subcategory  $\mathcal{T}$  of  $C$  whose objects are  $t_i$ . Morphisms in  $\mathcal{T}$  are all the morphisms in  $C$  that go between the objects of  $\mathcal{T}$ . This is called a *full* subcategory of  $C$ . By our construction,  $\mathcal{T}$  is small.

There is an obvious inclusion functor  $F$  that embeds  $\mathcal{T}$  in  $C$ . This functor defines a small diagram in  $C$ . It turns out that the colimit of this diagram is the terminal object in  $C$ .

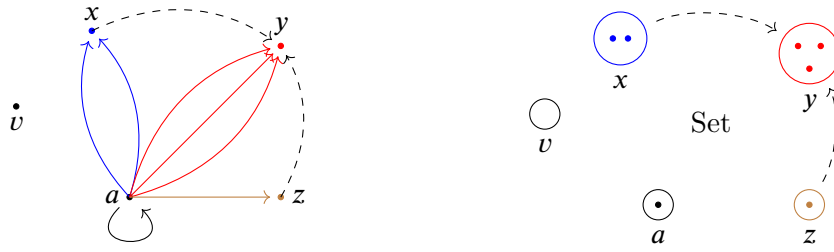
Dually, a similar construction can be used to define an initial object as a limit of a weakly initial set.

This property of solution sets will come handy in the proof of the Freyd's adjoint functor theorem.

## 9.6 The Yoneda Lemma

A functor from some category  $C$  to the category of sets can be thought of as a model of this category in  $\mathbf{Set}$ . Modeling, in general, is a lossy process: it discards some information. A constant  $\mathbf{Set}$ -valued functor is an extreme example: it maps the whole category to a single set and its identity function.

A hom-functor produces a model of the category as viewed from a certain vantage point. The functor  $C(a, *)$ , for instance, offers the panorama of  $C$  from the vantage point of  $a$ . It organizes all the arrows emanating from  $a$  into neat packages that are connected by images of arrows that go between them, all in accordance with the original structure of the source category.



Some vantage points are better than others. For instance, the view from the initial object is quite sparse. Every object  $x$  is mapped to a singleton set  $C(0, x)$  corresponding to the unique mapping  $0 \rightarrow x$ .

The view from the terminal object is more interesting: it maps all objects to their sets of (global) elements  $C(1, x)$ .

The Yoneda lemma may be considered one of the most profound statements, or one of the most trivial statements in category theory. Let's start with the profound version.

Consider two models of  $C$  in  $\mathbf{Set}$ . The first one is given by the hom-functor  $C(a, *)$ . It's the panoramic, very detailed view of  $C$  from the vantage point of  $a$ . The second is given by some arbitrary functor  $F: C \rightarrow \mathbf{Set}$ . Any natural transformation between them embeds one model in the other. It turns out that the set of all such natural transformations is fully determined by the set  $Fa$ .

Since the set of natural transformation is the hom-set in the functor category  $[C, \mathbf{Set}]$ , the formal statement of the Yoneda lemma takes the form:

$$[C, \mathbf{Set}](C(a, *), F) \cong Fa$$

Moreover, this isomorphism is natural in both  $a$  and  $F$ .

The reason this works is because all the mappings involved in this theorem are bound by the requirements of preserving the structure of the category  $C$  and the structure of its models. In particular, naturality conditions impose a huge set of constraints on the way the components of a natural transformation propagate from one point to another.

The proof of the Yoneda lemma starts with a single identity arrow and lets naturality propagate it across the whole category.

Here's the sketch of the proof. It consists of two parts: First, given a natural transformation we construct an element of  $Fa$ . Second, given an element of  $Fa$  we construct the corresponding natural transformation.

First, let's pick an arbitrary element on the left-hand side of the Yoneda lemma: a natural transformation  $\alpha$ . Its component at  $x$  is a function:

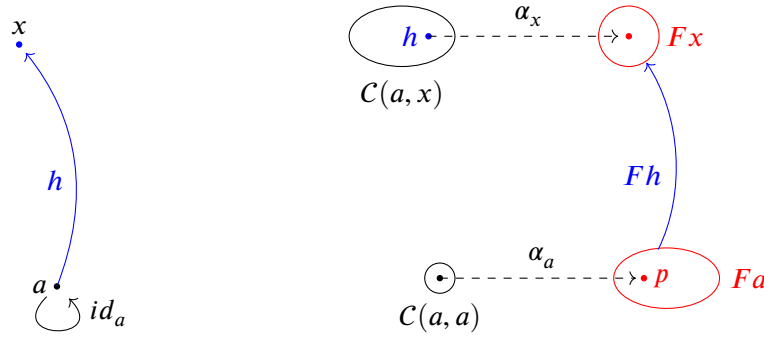
$$\alpha_x: C(a, x) \rightarrow Fx$$

We can now apply the Yoneda trick: substitute  $a$  for  $x$ :

$$\alpha_a: C(a, a) \rightarrow Fa$$

and then pick the identity  $id_a$  as the canonical element of  $C(a, a)$ . The result is an element  $\alpha_a(id_a)$  in the set  $Fa$ . This defines a mapping in one direction, from natural transformations to elements of the set  $Fa$ .

Now the other way around. Given an element  $p$  of the set  $Fa$  we want to construct a natural transformation  $\alpha$ . First, we assign  $p$  to be the action of  $\alpha_a$  on  $id_a \in C(a, a)$ .



Now let's take an arbitrary object  $x$  and an arbitrary element of  $C(a, x)$ . The latter is an arrow  $h: a \rightarrow x$ . Our natural transformation must map it to an element of  $Fx$ . We can do it by lifting the arrow  $h$  using  $F$ . We get a function:

$$Fh: Fa \rightarrow Fx$$

We can apply this function to  $p$  and get an element of  $Fx$ . We take this element to be the action of  $\alpha_x$  on  $h$ :

$$\alpha_x h = (Fh)p$$

The isomorphism in the Yoneda lemma is natural both in  $a$  and in  $F$ . The latter means that you can “move” from the functor  $F$  to another functor  $G$  by applying an arrow in the functor category, that is a natural transformation. This is quite a leap in the levels of abstraction, but all the definitions of functoriality and naturality work equally well in the functor category, where objects are functors, and arrows are natural transformations.

**Exercise 9.6.1.** Fill in the gap in the proof when  $Fa$  is empty.

**Exercise 9.6.2.** Show that the mapping

$$C(a, x) \rightarrow Fx$$

defined above is a natural transformation. Hint: Vary  $x$  using some  $f: x \rightarrow y$ .

**Exercise 9.6.3.** Show that the formula for  $\alpha_x$  can be derived from the assumption that  $\alpha_a(id_a) = p$  and the naturality condition. Hint: The lifting of  $h$  by the hom-functor  $C(a, h)$  is given by post-composition.

### Yoneda lemma in programming

Now for the trivial part: The proof of the Yoneda lemma translates directly to Haskell code. We start with the type of natural transformation between the hom-functor  $a \rightarrow x$  and some functor  $f$ , and show that it's equivalent to the type of  $f$  acting on  $a$ .

```
forall x. (a -> x) -> f x.    -- is isomorphic to (f a)
```

We produce a value of the type  $(f\ a)$  using the standard Yoneda trick

```
yoneda :: Functor f => (forall x. (a -> x) -> f x) -> f a
yoneda g = g id
```

Here's the inverse mapping:

```
yoneda_1 :: Functor f => f a -> (forall x. (a -> x) -> f x)
yoneda_1 y = \h -> fmap h y
```

Note that we are cheating a little by mixing types and sets. The Yoneda lemma in the present formulation works with Set-valued functors. Again, the correct incantation is to say that we use the enriched version of the Yoneda lemma in a self-enriched category.

The Yoneda lemma has some interesting applications in programming. For instance, let's consider what happens when we apply the Yoneda lemma to the identity functor. We get the isomorphism between the type  $a$  (the identity functor acting on  $a$ ) and

```
forall x. (a -> x) -> x
```

We interpret this as saying that any data type  $a$  can be replaced by a higher order polymorphic function. This function takes another function—called a handler, a callback, or a *continuation*—as an argument.

This is the standard continuation passing transformation that's used a lot in distributed programming, for instance when the value of type  $a$  has to be retrieved from a remote server. It's also useful as a program transformation that turns recursive algorithms into tail-recursive functions.

Continuation-passing style is difficult to work with because the composition of continuations is highly nontrivial, resulting in what programmers often call a “callback hell.” Fortunately continuations form a monad, which means their composition can be hidden behind the `do` notation.

### The contravariant Yoneda lemma

By reversing a few arrow, the Yoneda lemma can be applied to contravariant functors as well. It works on natural transformations between the contravariant hom-functor  $C(*, a)$  and a contravariant functor  $F$ :

$$[C^{op}, \text{Set}](C(*, a), F) \cong Fa$$

This is the Haskell implementation of the mapping:

```
coyoneda :: Contravariant f => (forall x. (x -> a) -> f x) -> f a
coyoneda g = g id
```

And this is the inverse transformation:

```
coyoneda_1 :: Contravariant f => f a -> (forall x. (x -> a) -> f x)
coyoneda_1 y = \h -> contramap h y
```

## 9.7 Yoneda Embedding

In a closed category, we have exponential objects that serve as stand-ins for hom-sets. This is obviously a thing in  $\text{Set}$ , where hom-sets, being sets, are automatically objects in  $\text{Set}$ .

On the other hand, in the category of categories  $\text{Cat}$ , hom-sets are *sets* of functors, and it's not immediately obvious that they can be promoted to objects in  $\text{Cat}$ —that is, categories. But, as we've seen before, they can! Functors between any two categories form a functor *category*.

Because of that, it's possible to curry functors just like we curried functions. A functor from a product category can be viewed as a functor returning a functor. In other words,  $\text{Cat}$  is a closed (symmetric) monoidal category.

In particular, we can apply currying to the hom-functor  $C(a, b)$ . It is a profunctor, or a functor from the product category:

$$C^{op} \times C \rightarrow \text{Set}$$

But it's also a contravariant functor in the first argument  $a$ . And for every  $a$  in  $C^{op}$  it produces a covariant functor  $C(a, *)$ , which is an object in the functor category  $[C, \text{Set}]$ . We can write this mapping as:

$$C^{op} \rightarrow [C, \text{Set}]$$

Alternatively, we can fix  $b$  and produce a contravariant functor  $C(*, b)$ . This mapping can be written as

$$C \rightarrow [C^{op}, \text{Set}]$$

Both mappings are functorial, which means that, for instance, an arrow in  $C$  is mapped to a natural transformation in  $[C^{op}, \text{Set}]$ .

These  $\text{Set}$ -valued functor categories are common enough that they have special names. The functors in  $[C^{op}, \text{Set}]$  are called *presheaves*, and the ones in  $[C, \text{Set}]$  are called *co-presheaves*. (The names come from algebraic topology.)

Let's focus our attention on the following reading of the hom-functor:

$$\mathcal{Y}: C \rightarrow [C^{op}, \text{Set}]$$

It takes an object  $x$  and maps it to a presheaf

$$\mathcal{Y}_x = C(*, x)$$

which can be visualized as the totality of views of  $x$  from all possible directions.

Let's also review its action on arrows. The functor  $\mathcal{Y}$  lifts an arrow  $f: x \rightarrow y$  to a mapping of presheaves:

$$\alpha: C(*, x) \rightarrow C(*, y)$$

The component of this natural transformation at some  $z$  is a function between hom-sets:

$$\alpha_z: C(z, x) \rightarrow C(z, y)$$

which is simply implemented as the post-composition  $(f \circ *)$ .

Such a functor  $\mathcal{Y}$  can be thought of as creating a model of  $C$  in the presheaf category. But this is no run-of-the-mill model—it's an *embedding* of one category inside another. This particular one is called the *Yoneda embedding* and the functor  $\mathcal{Y}$  is called the *Yoneda functor*.

First of all, every object of  $C$  is mapped to a *different* object (presheaf) in  $[C^{op}, \text{Set}]$ . We say that it's *injective on objects*.

But that's not all: every arrow in  $C$  is mapped to a *different* arrow. We say that the embedding functor is *faithful*.

If that weren't enough, the mapping of hom-sets is also *surjective*, meaning that every arrow between objects in  $[C^{op}, \text{Set}]$  comes from some arrow in  $C$ . We say that the functor is *full*.

Altogether, the embedding is *fully faithful*, that is the mapping of arrows is one-to-one. However, in general, the Yoneda embedding is *not* surjective on objects, hence the word “embedding.”

The fact that the embedding is fully faithful is the direct consequence of the Yoneda lemma. Indeed, we know that, for any functor  $F: C^{op} \rightarrow \text{Set}$ , we have a natural isomorphism:

$$[C^{op}, \text{Set}](C(*, x), F) \cong Fx$$

In particular, we can substitute another hom-functor  $C(*, y)$  for  $F$  to get:

$$[C^{op}, \text{Set}](C(*, x), C(*, y)) \cong C(x, y)$$

The left-hand side is the hom-set in the presheaf category and the right-hand side is the hom-set in  $\mathcal{C}$ . They are isomorphic, which proves that the embedding is fully faithful. In fact, the Yoneda lemma tells us that the isomorphism is natural in  $x$  and  $y$ .

Let's have a closer look at this isomorphism. Let's pick an element of the right-hand set  $\mathcal{C}(x, y)$ — an arrow  $f: x \rightarrow y$ . The isomorphism maps it to a natural transformation whose component at  $z$  is a function:

$$\mathcal{C}(z, x) \rightarrow \mathcal{C}(z, y)$$

This mapping is implemented as post-composition ( $f \circ^*$ ).

In Haskell, we would write it as:

```
toNatural :: (x -> y) -> (forall z. (z -> x) -> (z -> y))
toNatural f = \h -> f . h
```

In fact, this syntax works too:

```
toNatural f = (f . )
```

The inverse mapping is:

```
fromNatural :: (forall z. (z -> x) -> (z -> y)) -> (x -> y)
fromNatural alpha = alpha id
```

(Notice the use of the Yoneda trick again.)

This isomorphism maps identity to identity and composition to composition. That's because it's implemented as post-composition, and post-composition preserves both identity and composition. We've shown this fact before, in the chapter on isomorphisms:

$$((f \circ g) \circ^*) = (f \circ^*) \circ (g \circ^*)$$

Because it preserves composition and identity, this isomorphism also preserves *isomorphisms*. So if  $x$  is isomorphic to  $y$  then the presheaves  $\mathcal{C}(*, x)$  and  $\mathcal{C}(*, y)$  are isomorphic, and vice versa.

This is exactly the result that we've been using all along to prove numerous isomorphisms in previous chapters. If the hom-sets are naturally isomorphic, then the objects are isomorphic.

The Yoneda embedding builds on the idea that there is nothing more to an object than its relationships with other objects. The presheaf  $\mathcal{C}(*, a)$ , like a hologram, encodes the totality of views of  $a$  from the perspective of the whole category  $\mathcal{C}$ . The Yoneda embedding tells us that, when we combine all these individual holograms, we get a perfect hologram of the whole category.



## 9.8 Representable Functors

Objects in a co-presheaf category are functors that assign sets to objects in  $C$ . Some of these functors work by picking a reference object  $a$  and assigning, to all objects  $x$ , their hom-sets  $C(a, x)$ :

$$Fx = C(a, x)$$

Such functors, and all the functors isomorphic to those, are called *representable*. The whole functor is “represented” by a single object  $a$ .

In a closed category, the functor which assigns to every object  $x$  the set of elements of the exponential object  $x^a$  is represented by  $a$ . This is because the set of elements of  $x^a$  is isomorphic to  $C(a, x)$ :

$$C(1, x^a) \cong C(1 \multimap a, x) \cong C(a, x)$$

Seen this way, the representing object  $a$  is like a logarithm of a functor.

The analogy goes deeper: just like a logarithm of a product is a sum of logarithms, a representing object for a product data type is a sum. For instance, the functor that squares its argument using a product,  $Fx = x \times x$ , is represented by 2, which is the sum  $1 + 1$ . Indeed, we’ve seen before that  $x \times x \cong x^2$ .

Representable functors play a very special role in the category of Set-valued functors. Notice that the Yoneda embedding maps all objects of  $C$  to representable presheaves. It maps an object  $x$  to a presheaf represented by  $x$ :

$$\mathcal{Y}: x \mapsto C(*, x)$$

We can find the entire category  $C$ , objects and morphisms, embedded inside the presheaf category as representable functors. The question is, what else is there in the presheaf category “in between” representable functors?

Just like rational numbers are dense among real numbers, so representables are “dense” among (co-) presheaves. Every real number may be approximated by rational numbers. Every presheaf is a colimit of representables (and every co-presheaf, a limit). We’ll come back to this topic when we talk about (co-) ends.

**Exercise 9.8.1.** *Describe limits and colimits as representing objects. What are the functors they represent?*

**Exercise 9.8.2.** *Consider a singleton functor  $F: C \rightarrow \mathbf{Set}$  that assigns to each object  $c$  a singleton set  $\hat{c}$  that contains just that object (that is, a different singleton for every object). Define the action of  $F$  on arrows. Show that  $F$  being representable is equivalent to  $C$  having an initial object.*

## The guessing game

The idea that objects can be described by the way they interact with other objects is sometimes illustrated by playing an imaginary guessing game. One category theorist picks a secret object in a category, and the other has to guess which object it is (up to isomorphism, of course).

The guesser is allowed to point at objects, and use them as “probes” into the secret object. The opponent is supposed to respond each time with a set: the set of arrows from the probing object  $a$  to the secret object  $x$ . This, of course, is the hom-set  $C(a, x)$ .

The totality of these answers, as long as the opponent is not cheating, will define a presheaf  $F: C^{op} \rightarrow \text{Set}$ , and the object they are hiding is its representing object.

But how do we know that the second category theorist is not cheating? To test that, we ask questions about arrows. For every arrow we select, they should give us a function between two sets—the sets they gave us for its endpoints. We can then check if all identity arrows are mapped to identity functions, and whether compositions of arrows map to compositions of functions. In other words, we’ll be able to verify that  $F$  is indeed a functor.

However, a clever enough opponent may still fool us. The presheaf they are revealing to us may describe a fantastic object—a figment of their imagination—and we won’t be able to tell. It turns out that such fantastic beasts are often as interesting as the real ones.

## Representable functors in programming

In Haskell, we define a class of representable functors using two functions that witness the isomorphism:

$$Fx = C(a, x)$$

The first one, `tabulate`, turns a function into a lookup table; and the second, `index`, uses the representing type `Key` to index into it.

```
class Representable f where
  type Key f :: Type
  tabulate :: (Key f -> x) -> f x
  index    :: f x -> (Key f -> x)
```

Algebraic data types that use sums are not representable (there is no formula for taking a logarithm of a sum). For instance, the list type is defined as a sum, so it’s not representable. However, an infinite stream is.

Conceptually, a stream is like an infinite tuple, which is technically a product. Such a stream is represented by the type of natural numbers. In other words, an infinite stream is equivalent to a mapping out of natural numbers.

```
data Stream a = Stm a (Stream a)
```

Here's the instance definition:

```
instance Representable Stream where
  type Key Stream = Nat
  tabulate g = tab Z
  where
    tab n = Stm (g n) (tab (S n))
  index stm = \n -> ind n stm
  where
    ind Z (Stm a _) = a
    ind (S n) (Stm _ as) = ind n as
```

Representable types are useful for implementing memoization of functions.

**Exercise 9.8.3.** Implement the **Representable** instance for **Pair**:

```
data Pair x = Pair x x
```

**Exercise 9.8.4.** Is the constant functor that maps everything to the terminal object representable?

*Hint: what's the logarithm of 1?*

*In Haskell, such a functor could be implemented as:*

```
data Unit a = U
```

*Implement the instance of **Representable** for it.*

**Exercise 9.8.5.** The list functor is not representable. But can it be considered a sum or representables?

## 9.9 2-category Cat

In the category of categories, Cat, the hom-sets are not “just” sets. Each of them can be promoted to a functor category, with natural transformations playing the role of arrows. This kind of structure is called a 2-category.

In the language of 2-categories, objects are called 0-cells, arrows between them are called 1-cells, and arrows between arrows are called 2-cells.

The obvious generalization of that picture would be to have 3-cells that go between 2-cells and so on. An  $n$ -category has cells going up to the  $n$ -th level.

But why not have arrows going all the way? Enter infinity categories. Far from being a curiosity,  $\infty$ -categories have practical applications. For instance they are used in algebraic

topology to describe points, paths between points, surfaces swiped by paths, volumes swiped by surfaces, and so on, ad infinitum.

## 9.10 Useful Formulas

- Yoneda lemma for covariant functors:

$$[C, \text{Set}](C(a, *), F) \cong Fa$$

- Yoneda lemma for contravariant functors:

$$[C^{op}, \text{Set}](C(*, a), F) \cong Fa$$

- Corollaries to the Yoneda lemma:

$$[C, \text{Set}](C(x, *), C(y, *)) \cong C(y, x)$$

$$[C^{op}, \text{Set}](C(*, x), C(*, y)) \cong C(x, y)$$

## Chapter 10

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# Adjunctions

---

A sculptor subtracts irrelevant stone until a sculpture emerges. A mathematician abstracts irrelevant details until a pattern emerges.

We were able to define a lot of constructions using their mapping-in and mapping-out properties. Those, in turn, could be compactly written as isomorphisms between hom-sets. This pattern of natural isomorphisms between hom-sets is called an adjunction and, once recognized, pops up virtually everywhere.

### 10.1 The Currying Adjunction

The definition of the exponential is the classic example of an adjunction that relates mappings-out and mappings-in. Every mapping out of a product corresponds to a unique mapping into the exponential:

$$C(e \times a, b) \cong C(e, b^a)$$

The object  $b$  takes the role of the focus on the left hand side; the object  $e$  becomes the observer on the right hand side.

We can spot two functors at play. They are both parameterized by  $a$ . On the left we have the product functor  $(\times a)$  applied to  $e$ . On the right we have the exponential functor  $(\times)^a$  applied to  $b$ .

If we write these functors as:

$$L_a e = e \times a$$

$$R_a b = b^a$$

then the natural isomorphism

$$C(L_a e, b) \cong C(e, R_a b)$$

is called the adjunction between them.

In components, this isomorphism tells us that, given a mapping  $\phi \in C(L_a e, b)$ , there is a unique mapping  $\phi^T \in C(e, R_a b)$  and vice versa. These mappings are sometimes called the *transpose* of each other—the nomenclature taken from matrix algebra.

The shorthand notation for the adjunction is  $L \dashv R$ . Substituting the product functor for  $L$  and the exponential functor for  $R$ , we can write the currying adjunction concisely as:

$$(* \dashv a) \dashv (*)^a$$

The exponential object  $b^a$  is sometimes called the *internal hom* and is written as  $[a, b]$ . This is in contrast to the *external hom*, which is the set  $C(a, b)$ . The external hom is *not* an object in  $C$  (except when  $C$  itself is  $\text{Set}$ ). With this notation, the currying adjunction can be written as:

$$C(e \times a, b) \cong C(e, [a, b])$$

A category in which this adjunction holds is called cartesian closed.

Since functions play central role in every programming language, cartesian closed categories form the basis of all models of programming. We interpret the exponential  $b^a$  as the function type  $a \rightarrow b$ .

Here  $e$  plays the role of the external environment—the  $\Gamma$  of the lambda calculus. The morphism in  $C(\Gamma \times a, b)$  is interpreted as an expression of type  $b$  in the environment  $\Gamma$  extended by a variable of type  $a$ . The function type  $a \rightarrow b$  therefore represents a closure that may capture a value of type  $e$  from its environment.

Incidentally, the category of (small) categories  $\text{Cat}$  is also cartesian closed, as reflected in this adjunction between product categories and functor categories that uses the same internal-hom notation:

$$\text{Cat}(\mathcal{A} \times \mathcal{B}, \mathcal{C}) \cong \text{Cat}(\mathcal{A}, [\mathcal{B}, \mathcal{C}])$$

Here, both sides are sets of natural transformations.

## 10.2 The Sum and the Product Adjunctions

The currying adjunction relates two endofunctors, but an adjunction can be easily generalized to functors that go between different categories. Let's see some examples first.

### The diagonal functor

The sum and the product types were defined using bijections where one of the sides was a single arrow and the other was a pair of arrows. A pair of arrows can be seen as a single arrow in the product category.

To explore this idea, we need to define the diagonal functor  $\Delta$ , which is a special mapping from  $\mathcal{C}$  to  $\mathcal{C} \times \mathcal{C}$ . It takes an object  $x$  and duplicates it, producing a pair of objects  $\langle x, x \rangle$ . It also takes an arrow  $f$  and duplicates it  $\langle f, f \rangle$ .

Interestingly, the diagonal functor is related to the constant functor we've seen previously. The constant functor can be thought of as a functor of two variables—it just ignores the second one. We've seen this in the Haskell definition:

```
data Const c a = Const c
```

To see the connection, let's look at the product category  $\mathcal{C} \times \mathcal{C}$  as a functor category  $[2, \mathcal{C}]$ , in other words, the exponential object  $\mathcal{C}^2$  in  $\mathbf{Cat}$ . Indeed, a functor from  $2$  (the stick-figure category with two objects) picks a pair of objects—which is equivalent to a single object in the product category.

A functor  $\mathcal{C} \rightarrow [2, \mathcal{C}]$  can be uncurried to  $\mathcal{C} \times 2 \rightarrow \mathcal{C}$ . The diagonal functor ignores the second argument, the one coming from  $2$ : it does the same thing whether the second argument is 1 or 2. That's exactly what the constant functor does as well. This is why we use the same symbol  $\Delta$  for both.

Incidentally, this argument can be easily generalized to any indexing category, not just  $2$ .

### The sum adjunction

Recall that the sum is defined by its mapping out property. There is a one-to-one correspondence between the arrows coming out of the sum  $a + b$  and pairs of arrows coming from  $a$  and  $b$  separately. In terms of hom-sets, we can write it as:

$$\mathcal{C}(a + b, x) \cong \mathcal{C}(a, x) \times \mathcal{C}(b, x)$$

where the product on the right-hand side is just a cartesian product of sets, that is the set of pairs. Moreover, we've seen earlier that this bijection is natural in  $x$ .

We know that a pair of arrows is a single arrow in the product category. We can, therefore, look at the elements on the right-hand side as arrows in  $\mathcal{C} \times \mathcal{C}$  going from the object  $\langle a, b \rangle$  to the object  $\langle x, x \rangle$ . The latter can be obtained by acting with the diagonal functor  $\Delta$  on  $x$ . We have:

$$\mathcal{C}(a + b, x) \cong (\mathcal{C} \times \mathcal{C})(\langle a, b \rangle, \Delta x)$$

This is a bijection between hom-sets in two different categories. It satisfies naturality conditions, so it's a natural isomorphism.

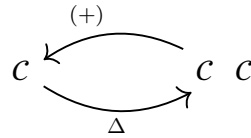
We can spot a pair of functors here as well. On the left we have the functor that takes a pair of objects  $\langle a, b \rangle$  and produces their sum  $a + b$ :

$$(+): \mathcal{C} \times \mathcal{C} \rightarrow \mathcal{C}$$

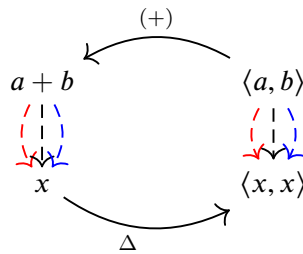
On the right-hand side, we have the diagonal functor  $\Delta$  going in the opposite direction:

$$\Delta: \mathcal{C} \rightarrow \mathcal{C} \times \mathcal{C}$$

Altogether, we have a pair of functors between a pair of categories:



and an isomorphism between the hom-sets:



In other words, we have the adjunction:

$$(\quad) \dashv \Delta$$

### The product adjunction

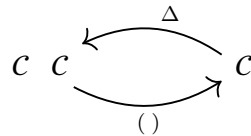
We can apply the same reasoning to the definition of a product. This time we have a natural isomorphism between pairs of arrows and a mapping *into* the product.

$$\mathcal{C}(x, a) \times \mathcal{C}(x, b) \cong \mathcal{C}(x, a \times b)$$

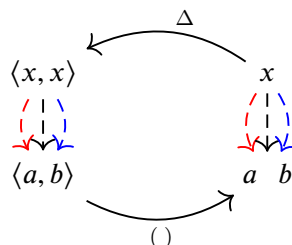
Replacing pairs of arrows with arrows in the product category we get:

$$(\mathcal{C} \times \mathcal{C})(\Delta x, \langle a, b \rangle) \cong \mathcal{C}(x, a \times b)$$

These are the two functors going in the opposite direction:



and this is the isomorphism of hom-sets:





In other words, we have the adjunction:

$$\Delta \dashv ( )$$

### Distributivity

In a bicartesian closed category products distribute over sums. We've seen one direction of the proof using universal constructions. Adjunctions combined with the Yoneda lemma give us more powerful tools to tackle this problem.

We want to show the natural isomorphism:

$$(b + c) \times a \cong b \times a + c \times a$$

Instead of proving this identity directly, we'll show that the mappings out from both sides to an arbitrary object  $x$  are isomorphic:

$$C((b + c) \times a, x) \cong C(b \times a + c \times a, x)$$

The left hand side is a mapping out of a product, so we can apply the currying adjunction to it:

$$C((b + c) \times a, x) \cong C(b + c, x^a)$$

This gives us a mapping out of a sum which, by the sum adjunction is isomorphic to the product of two mappings:

$$C(b + c, x^a) \cong C(b, x^a) \times C(c, x^a)$$

We can now apply the inverse of the currying adjunction to both components:

$$C(b, x^a) \times C(c, x^a) \cong C(b \times a, x) \times C(c \times a, x)$$

Using the inverse of the sum adjunction, we arrive at the final result:

$$C(b \times a, x) \times C(c \times a, x) \cong C(b \times a + c \times a, x)$$

Every step in this proof was a natural isomorphism, so their composition is also a natural isomorphism. By Yoneda lemma, the two objects that form the left- and the right-hand side of distributivity law are therefore isomorphic.

A much shorter proof of this statement follows from the property of left adjoints that we'll discuss soon.

### 10.3 Adjunction between functors

In general, an adjunction relates two functors going in opposite directions between two categories. The left functor

$$L: \mathcal{D} \rightarrow \mathcal{C}$$

and the right functor:

$$R: \mathcal{C} \rightarrow \mathcal{D}$$

The adjunction  $L \dashv R$  is defined as a natural isomorphism between two hom-sets.

$$\mathcal{C}(Lx, y) \cong \mathcal{D}(x, Ry)$$

In other words, we have a family of invertible functions between sets:

$$\phi_{xy}: \mathcal{C}(Lx, y) \rightarrow \mathcal{D}(x, Ry)$$

natural in both  $x$  and  $y$ . For instance, naturality in  $y$  means that, for any  $f: y \rightarrow y''$  the following diagram commutes:

$$\begin{array}{ccc} \mathcal{C}(Lx, y) & \xrightarrow{\mathcal{C}(Lx, f)} & \mathcal{C}(Lx, y'') \\ \updownarrow \phi_{xy} & & \updownarrow \phi_{xy''} \\ \mathcal{D}(x, Ry) & \xrightarrow{\mathcal{D}(x, Rf)} & \mathcal{D}(x, Ry'') \end{array}$$

or, considering that a lifting of arrows by hom-functors is the same as post-composition:

$$\begin{array}{ccc} \mathcal{C}(Lx, y) & \xrightarrow{f \circ *} & \mathcal{C}(Lx, y'') \\ \updownarrow \phi_{xy} & & \updownarrow \phi_{xy''} \\ \mathcal{D}(x, Ry) & \xrightarrow{Rf \circ *} & \mathcal{D}(x, Ry'') \end{array}$$

The double-headed arrows can be traversed in either direction (using  $\phi_{xy}^{*1}$  when going up), since they are the components of an isomorphism.

Pictorially, we have two functors:

$$\begin{array}{ccc} & L & \\ C & \xleftarrow{\quad} & D \\ & R & \end{array}$$

and, for any pair  $x$  and  $y$ , two isomorphic hom-sets:

$$\begin{array}{ccc} Lx & & x \\ \downarrow \text{red} & \xleftarrow{L} & \downarrow \text{red} \\ y & & Ry \\ \uparrow \text{blue} & \xrightarrow{R} & \uparrow \text{blue} \end{array}$$

These hom-sets come from two different categories, but sets are just sets. We say that  $L$  is the left adjoint of  $R$ , or that  $R$  is the right adjoint of  $L$ .

In Haskell, the simplified version of this could be encoded as a multi-parameter type class:

```
class (Functor left, Functor right) => Adjunction left right where
  ltor :: (left x -> y) -> (x -> right y)
  rtol :: (x -> right y) -> (left x -> y)
```

It requires the following pragma at the top of the file:

```
{-# language MultiParamTypeClasses #-}
```

Therefore, in a bicartesian category, the sum is the left adjoint to the diagonal functor; and the product is its right adjoint. We can write this very concisely (or we could impress it in clay, in a modern version of cuneiform):

$$(+)\dashv\Delta\dashv( )$$

**Exercise 10.3.1.** Draw the commuting square witnessing the naturality of the adjunction function  $\phi_{xy}$  in  $x$ .

**Exercise 10.3.2.** The hom-set  $C(Lx, y)$  on the left-hand side of the adjunction formula suggests that  $Lx$  could be seen as a representing object for some functor (a co-presheaf). What is this functor? Hint: It maps  $y$  to a set. What set is it?

**Exercise 10.3.3.** Conversely, a representing object  $a$  for a presheaf  $P$  is defined by:

$$Px \cong D(x, a)$$

What is the presheaf for which  $Ry$ , in the adjunction formula, is the representing object.

## 10.4 Limits and Colimits as Adjunctions

The definition of a limit also involves a natural isomorphism between hom-sets:

$$[J, C](\Delta_x, D) \cong C(x, \text{Lim} D)$$

The hom-set on the left is in the functor category. Its elements are cones, or natural transformations between the constant functor  $\Delta_x$  and the diagram functor  $D$ . The one on the right is a hom-set in  $C$ .

In a category where all limits exist, we have the adjunction between these two functors:

$$\Delta_{(*)}: C \rightarrow [J, C]$$

and:

$$\text{Lim}(*): [\mathcal{J}, \mathcal{C}] \rightarrow \mathcal{C}$$

Dually, the colimit is described by the following natural isomorphism:

$$[\mathcal{J}, \mathcal{C}](D, \Delta_x) \cong \mathcal{C}(\text{Colim } D, x)$$

We can write both adjunctions using one terse formula:

$$\text{Colim} \dashv \Delta \dashv \text{Lim}$$

In particular, since the product category  $\mathcal{C} \times \mathcal{C}$  is equivalent to  $\mathcal{C}^2$ , or the functor category  $[2, \mathcal{C}]$ , we can rewrite a product and a coproduct as a limit and a colimit:

$$[2, \mathcal{C}](\Delta_x, \langle a, b \rangle) \cong \mathcal{C}(x, a + b)$$

$$\mathcal{C}(a + b, x) \cong [2, \mathcal{C}](\langle a, b \rangle, \Delta_x)$$

where  $\langle a, b \rangle$  denotes a diagram that is the action of a functor  $D: 2 \rightarrow \mathcal{C}$  on the two objects of 2.

## 10.5 Unit and Counit of an Adjunction

We compare arrows for equality, but we prefer to use isomorphisms for comparing objects.

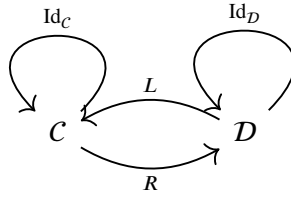
We have a problem when it comes to functors, though. On the one hand, they are objects in the functor category, so isomorphisms are the way to go; on the other hand, they are arrows in  $\text{Cat}$  so maybe it's okay to compare them for equality?

To shed some light on this dilemma, we should ask ourselves *why* we use equality for arrows. It's not because we like equality, but because there's nothing else for us to do in a set but to compare elements for equality. Two elements of a hom-set are either equal or not, period.

That's not the case in  $\text{Cat}$  which, as we know, is a 2-category. Here, hom-sets themselves have the structure of a category—the functor category. In a 2-category we have arrows between arrows so, in particular, we can define isomorphisms between arrows. In  $\text{Cat}$  these would be natural isomorphisms between functors.

However, even though we have the option of replacing arrow equalities with isomorphisms, categorical laws in  $\text{Cat}$  are still expressed as equalities. For instance, the composition of a functor  $F$  with the identity functor is *equal* to  $F$ , and the same for associativity. A 2-category in which the laws are satisfied “on the nose” is called *strict*, and  $\text{Cat}$  is an example of a strict 2-category.

But as far as comparing categories goes, we have more options. Categories are objects in  $\mathbf{Cat}$ , so it's possible to define an isomorphism of categories as a pair of functors  $L$  and  $R$ :



such that:

$$L \circ R = \text{Id}_C$$

$$\text{Id}_D = R \circ L$$

This definition involves equality of functors, though. What's worse, acting on objects, it involves equality of objects:

$$L(Rx) = x$$

$$y = R(Ly)$$

This is why it's more proper to talk about a weaker notion of *equivalence* of categories, where equalities are replaced by isomorphisms:

$$L \circ R \cong \text{Id}_C$$

$$\text{Id}_D \cong R \circ L$$

On objects, an equivalence of categories means that a round trip produces an object that is isomorphic, rather than equal, to the original one. In most cases, this is exactly what we want.

An adjunction is also defined as a pair of functors going in opposite directions, so it makes sense to ask what the result of a round trip is.

The isomorphism that defines an adjunction works for any pair of objects  $x$  and  $y$

$$C(Lx, y) \cong D(x, Ry)$$

so, in particular, it works if we replace  $y$  with  $Lx$

$$C(Lx, Lx) \cong D(x, R(Lx))$$

We can now use the Yoneda trick and pick the identity arrow  $\text{id}_{Lx}$  on the left. The isomorphism maps it to a unique arrow on the right, which we'll call  $\eta_x$ :

$$\eta_x: x \rightarrow R(Lx)$$

Not only is this mapping defined for every  $x$ , but it's also natural in  $x$ . The natural transformation  $\eta$  is called the *unit* of the adjunction. If we observe that the  $x$  on the left is the action of the identity functor on  $x$ , we can write:

$$\eta: \text{Id}_D \rightarrow R \circ L$$

As an example, let's evaluate the unit of the coproduct adjunction:

$$C(a + b, x) \circ (C \dashv C)(\langle a, b \rangle, \Delta x)$$

by replacing  $x$  with  $a + b$ . We get:

$$\eta_{\langle a, b \rangle}: \langle a, b \rangle \rightarrow \Delta(a + b)$$

This is a pair of arrows that are exactly the two injections  $\langle \text{Left}, \text{Right} \rangle$ .

We can do a similar trick by replacing  $x$  with  $Ry$ :

$$C(L(Ry), y) \circ D(Ry, Ry)$$

Corresponding to  $\text{id}_{Ry}$  on the right, we get an arrow on the left:

$$\epsilon_y: L(Ry) \rightarrow y$$

These arrows form another natural transformation called the *counit* of the adjunction:

$$\epsilon: L \circ R \rightarrow \text{Id}_C$$

Notice that, if those two natural transformations were invertible, they would witness the equivalence of categories. But even if they're not, this kind of “half-equivalence” is still very interesting in the context of category theory.

As an example, let's evaluate the counit of the product adjunction:

$$(C \dashv C)(\Delta x, \langle a, b \rangle) \circ C(x, a + b)$$

by replacing  $x$  with  $a + b$ . We get:

$$\epsilon_{\langle a, b \rangle}: \Delta(a + b) \rightarrow \langle a, b \rangle$$

This is a pair of arrows that are exactly the two projections  $\langle \text{fst}, \text{snd} \rangle$ .

**Exercise 10.5.1.** *Derive the counit of the coproduct adjunction and the unit of the product adjunction.*

### Triangle identities

We can use the unit/counit pair to formulate an equivalent definition of an adjunction. To do that, we start with a pair of natural transformations:

$$\eta: \text{Id}_D \rightarrow R \circ L$$

$$\varepsilon: L \circ R \rightarrow \text{Id}_C$$

and impose additional *triangle identities*.

These identities can be derived from the standard definition of the adjunction by noticing that  $\eta$  can be used to replace an identity functor with the composite  $R \circ L$ , effectively letting us insert  $R \circ L$  anywhere an identity functor would work.

Similarly,  $\varepsilon$  can be used to eliminate the composite  $L \circ R$  (i.e., replace it with identity).

So, for instance, starting with  $L$ :

$$L = L \circ \text{Id}_D \xrightarrow{L \circ \eta} L \circ R \circ L \xrightarrow{\varepsilon \circ L} \text{Id}_C \circ L = L$$

Here, we used the horizontal composition of natural transformation, with one of them being the identity transformation (a.k.a., whiskering).

The first triangle identity is the condition that this chain of transformations result in the identity natural transformation. Pictorially:

$$\begin{array}{ccc} L & \xrightarrow{L \circ \eta} & L \circ R \circ L \\ & \searrow id_L & \downarrow \varepsilon \circ L \\ & & L \end{array}$$

Similarly, we want the following chain of natural transformations to also compose to identity:

$$R = \text{Id}_D \circ R \xrightarrow{\eta \circ R} R \circ L \circ R \xrightarrow{R \circ \varepsilon} R \circ \text{Id}_C = R$$

or, pictorially:

$$\begin{array}{ccc} R & \xrightarrow{\eta \circ R} & R \circ L \circ R \\ & \searrow id_R & \downarrow R \circ \varepsilon \\ & & R \end{array}$$

It turns out that an adjunction can be alternatively defined in terms of the two natural transformations,  $\eta$  and  $\varepsilon$ , satisfying the triangle identities:

$$(\varepsilon \circ L) \cdot (L \circ \eta) = id_L$$

$$(R \circ \varepsilon) \cdot (\eta \circ R) = id_R$$

From those, the mapping of hom-sets can be easily recovered. For instance, let's start with an arrow  $f: x \rightarrow Ry$ , which is an element of  $\mathcal{D}(x, Ry)$ . We can lift it to

$$Lf: Lx \rightarrow L(Ry)$$

We can then use  $\eta$  to collapse the composite  $L \circ R$  to identity. The result is an arrow  $Lx \rightarrow y$ , which is an element of  $\mathcal{C}(Lx, y)$ .

The definition of the adjunction using unit and counit is more general in the sense that it can be translated to an arbitrary 2-category setting.

**Exercise 10.5.2.** *Given an arrow  $g: Lx \rightarrow y$  implement an arrow  $x \rightarrow Ry$  using  $\varepsilon$  and the fact that  $R$  is a functor. Hint: Start with the object  $x$  and see how you can get from there to  $Ry$  with one stopover.*

### The unit and counit of the currying adjunction

Let's calculate the unit and the counit of the currying adjunction:

$$\mathcal{C}(e \rightarrow a, b) \cong \mathcal{C}(e, b^a)$$

If we replace  $b$  with  $e \rightarrow a$ , we get

$$\mathcal{C}(e \rightarrow a, e \rightarrow a) \cong \mathcal{C}(e, (e \rightarrow a)^a)$$

Corresponding to the identity arrow on the left, we get the unit of the adjunction on the right:

$$\eta: e \rightarrow (e \rightarrow a)^a$$

This is a curried version of the product constructor. In Haskell, we write it as:

```
unit :: e -> (a -> (e, a))
unit = curry id
```

The counit is more interesting. Replacing  $e$  with  $b^a$  we get:

$$\mathcal{C}(b^a \rightarrow a, b) \cong \mathcal{C}(b^a, b^a)$$

Corresponding to the identity arrow on the right, we get:

$$\varepsilon: b^a \rightarrow a \rightarrow b$$

which is the function application arrow.

In Haskell:



```
counit :: (a -> b, a) -> b
counit = uncurry id
```

When the adjunction is between two endofunctors, we can write an alternative Haskell definition of it using the unit and the counit:

```
class (Functor left, Functor right) =>
  Adjunction left right | left -> right, right -> left where
  unit   :: x -> right (left x)
  counit :: left (right x) -> x
```

The additional two clauses `left -> right` and `right -> left` tell the compiler that, when using an instance of the adjunction, one functor can be derived from the other. This definition requires the following compile extensions:

```
{-# language MultiParamTypeClasses #-}
{-# LANGUAGE FunctionalDependencies #-}
```

The two functors that form the currying adjunction can be written as:

```
data L r x = L (x, r)    deriving (Functor, Show)
data R r x = R (r -> x)  deriving Functor
```

and the `Adjunction` instance for currying is:

```
instance Adjunction (L r) (R r) where
  unit x = R (\r -> L (x, r))
  counit (L (R f, r)) = f r
```

The first triangle identity states that the following polymorphic function:

```
triangle :: L r x -> L r x
triangle = counit . fmap unit
```

is the identity, and so is the second one:

```
triangle' :: R r x -> R r x
triangle' = fmap counit . unit
```

Notice that these two functions require the use of functional dependencies to be well-defined. Triangle identities cannot be expressed in Haskell, so it's up to the implementor of the adjunction to prove them.

**Exercise 10.5.3.** *Test a few examples of the first triangle identity for the currying adjunction. Here's an example:*

```
triangle (L (2, 'a'))
```

**Exercise 10.5.4.** How would you test the second triangle identity for the currying adjunction? Hint: the result of `triangle` is a function, so you can't display it, but you could call it.

## 10.6 Adjunctions Using Universal Arrows

We've seen the definition of an adjunction using the isomorphism of hom-sets, and another one using the pair of unit/counit. It turns out that we can define an adjunction using just one element of this pair, as long as it satisfies certain universality condition. To see that, we will construct a new category whose objects are arrows.

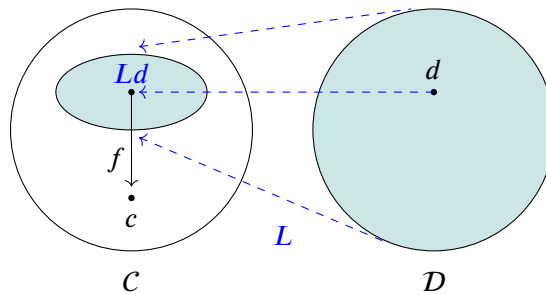
We've seen before an example of such a category—the slice category  $C/c$  that collects all the arrows that converge on  $c$ . Such a category describes the view of the object  $c$  from every possible angle in  $C$ .

### Comma category

When dealing with an adjunction:

$$C(Ld, c) \cong D(d, Rc)$$

we are observing the object  $c$  from a narrower perspective defined by the functor  $L$ . Think of  $L$  as defining a model of the category  $D$  inside  $C$ . We are interested in the view of  $c$  from the perspective of this model. The arrows that describe this view form the comma category  $L/c$ .



An object in the *comma category*  $L/c$  is a pair  $\langle d, f \rangle$ , where  $d$  is an object of  $D$  and  $f: Ld \rightarrow c$  is an arrow in  $C$ .

A morphism from  $\langle d, f \rangle$  to  $\langle d'', f'' \rangle$  is an arrow  $h: d \rightarrow d''$  that makes the diagram on the left commute:

$$\begin{array}{ccc} Ld & \xrightarrow{Lh} & Ld'' \\ & \searrow f & \swarrow f'' \\ & c & \end{array} \qquad d \xrightarrow{h} d''$$

### Universal arrow

The universal arrow from  $L$  to  $c$  is defined as the terminal object in the comma category  $L/c$ . Let's unpack this definition. The terminal object in  $L/c$  is a pair  $\langle t, \tau \rangle$  with a unique morphism from any object  $\langle d, f \rangle$ . Such a morphism is an arrow  $h: d \rightarrow t$  that satisfies the commuting condition:

$$\begin{array}{ccc} Ld & \xrightarrow{\quad Lh \quad} & Lt \\ & \searrow f \quad \swarrow \tau & \\ & c & \end{array}$$

In other words, for any  $f$  in the hom-set  $C(Ld, c)$  there is a unique element  $h$  in the hom-set  $D(d, t)$  such that:

$$f = \tau \circ Lh$$

Such a one-to-one mapping between elements of two hom-sets hints at the underlying adjunction.

### Universal arrows from adjunctions

Let's first convince ourselves that, when the functor  $L$  has a right adjoint  $R$ , then for every  $c$  there exists a universal arrow from  $L$  to  $c$ . Indeed, this arrow is given by the pair  $\langle Rc, \epsilon_c \rangle$ , where  $\epsilon$  is the counit of the adjunction. First of all, the component of the counit has the right signature for the object in the comma category  $L/c$ :

$$\epsilon_c: L(Rc) \rightarrow c$$

We'd like to show that  $\langle Rc, \epsilon_c \rangle$  is the terminal object in  $L/c$ . That is, for any object  $\langle d, f: Ld \rightarrow c \rangle$  there is a unique  $h: d \rightarrow Rc$  such that  $f = \epsilon_c \circ Lh$ :

$$\begin{array}{ccc} Ld & \xrightarrow{\quad Lh \quad} & L(Rc) \\ & \searrow f \quad \swarrow \epsilon_c & \\ & c & \end{array}$$

To prove this, let's write one of the naturality conditions for  $\phi_{dc}$  as the function of  $d$ :

$$\phi_{dc}: C(Ld, c) \rightarrow D(d, Rc)$$

For any arrow  $h: d \rightarrow d''$  the following diagram must commute:

$$\begin{array}{ccc} C(Ld'', c) & \xrightarrow{* \circ Lh} & C(Ld, c) \\ \uparrow \phi_{d'', c} & & \uparrow \phi_{d, c} \\ D(d'', Rc) & \xrightarrow{* \circ h} & D(d, Rc) \end{array}$$

We can use the Yoneda trick by setting  $d''$  to  $Rc$ .

$$\begin{array}{ccc}
C(L(Rc), c) & \xrightarrow{* \circ Lh} & C(Ld, c) \\
\uparrow \phi_{Rc, c} & & \uparrow \phi_{d, c} \\
D(Rc, Rc) & \xrightarrow{* \circ h} & D(d, Rc)
\end{array}$$

We can now pick the special element of the hom-set  $D(Rc, Rc)$ , namely the identity arrow  $id_{Rc}$  and propagate it through the rest of the diagram. The upper left corner becomes  $\varepsilon_c$ , the lower right corner becomes  $h$ , and the upper right corner becomes the adjoint to  $h$ , which we called  $f$ :

$$\begin{array}{ccc}
\varepsilon_c & \xrightarrow{* \circ Lh} & f \\
\uparrow \phi_{Rc, c} & & \uparrow \phi_{d, c} \\
id_{Rc} & \xrightarrow{* \circ h} & h
\end{array}$$

The upper arrow then gives us the sought after equality  $f = (* \circ Lh)\varepsilon_c = \varepsilon_c \circ Lh$ .

### Adjunction from universal arrows

The converse result is even more interesting. If, for every  $c$ , we have a universal arrow from  $L$  to  $c$ , that is a terminal object  $\langle t_c, \varepsilon_c \rangle$  in the comma category  $L/c$ , then we can construct a functor  $R$  that is the right adjoint to  $L$ . The action of this functor on objects is given by  $Rc = t_c$ , and the family  $\varepsilon_c$  is automatically natural in  $c$ , and it forms the counit of the adjunction.

There is also a dual statement: An adjunction can be constructed starting from a family of universal arrows  $\eta_d$ , which form initial objects in the comma category  $d/R$ .

These results will help us prove the Freyd's adjoint functor theorem.

## 10.7 Properties of Adjunctions

### Left adjoints preserve colimits

We defined colimits as universal cocones. For every cocone—that is a natural transformation from the diagram  $D: \mathcal{J} \rightarrow \mathcal{C}$  to the constant functor  $\Delta_x$ —there's supposed to be a unique factorizing morphism from the colimit  $\text{Colim } D$  to  $x$ . This condition can be written as a one-to-one correspondence between the set of cocones and a particular hom-set:

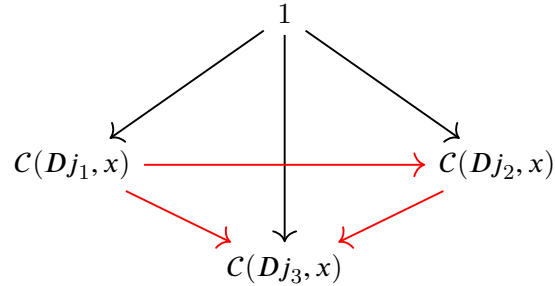
$$[\mathcal{J}, \mathcal{C}](D, \Delta_x) \cong \mathcal{C}(\text{Colim } D, x)$$

The factorizing condition is encoded in the naturality of this isomorphism.

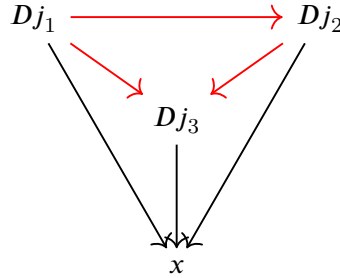
It turns out that the set of cocones, which is an object in  $\text{Set}$ , is itself a *limit* of the following  $\text{Set}$ -valued functor  $F: \mathcal{J} \rightarrow \text{Set}$ :

$$Fj = \mathcal{C}(Dj, x)$$

To show this, we'll start with the limit of  $F$  and end up with the set of cocones. You may recall that a limit of a  $\mathbf{Set}$ -valued functor is equal to a set of cones with the apex 1 (the singleton set). In our case, each such cone describes a selection of morphisms from the corresponding hom-set  $\mathcal{C}(Dj, x)$ :



Each of these morphisms has as target the same object  $x$ , so they form the sides of a cocone with the apex  $x$ .



The commuting conditions for the cone with the apex 1 are simultaneously the commuting condition for this cocone with the apex  $x$ . But these are exactly the cocones in the set  $[\mathcal{J}, \mathcal{C}](D, \Delta_x)$ .

We can therefore replace the original set of cocones with the limit of  $\mathcal{C}(D^*, x)$  to get:

$$\text{Lim } \mathcal{C}(D^*, x) \cong \mathcal{C}(\text{Colim } D, x)$$

The contravariant hom-functor is sometimes notated as:

$$h_x = \mathcal{C}(*, x)$$

In this notation we can write:

$$\text{Lim } (h_x \circ D) \cong h_x(\text{Colim } D)$$

The limit of a hom-functor acting on a diagram  $D$  is isomorphic to the hom-functor acting on a colimit of this diagram. This is usually abbreviated to: The hom-functor preserves colimits. (With the understanding that the contravariant hom-functor turns colimits into limits.)

A functor that preserves colimits is called co-continuous. Thus the contravariant hom-functor is co-continuous.

Now suppose that we have the adjunction  $L \dashv R$ , where  $L: C \rightarrow D$  and  $R$  goes in the opposite direction. We want to show that the left functor  $L$  preserves colimits, that is:

$$L(\text{Colim } D) \cong \text{Colim}(L \circ D)$$

for any diagram  $D: J \rightarrow C$  for which the colimit exists.

We'll use the Yoneda lemma to show that the mappings out of both sides to an arbitrary  $x$  are isomorphic:

$$D(L(\text{Colim } D), x) \cong D(\text{Colim}(L \circ D), x)$$

We apply the adjunction to the left hand side to get:

$$D(L(\text{Colim } D), x) \cong C(\text{Colim } D, Rx)$$

Preservation of colimits by the hom-functor gives us:

$$\cong \text{Lim } C(D^*, Rx)$$

Using the adjunction again, we get:

$$\cong \text{Lim } D((L \circ D)^*, x)$$

And the second application of preservation of colimits gives us the desired result:

$$\cong D((\text{Colim } (L \circ D))^*, x)$$

Since this is true for any  $x$ , we get our result.

We can use this result to reformulate our earlier proof of distributivity in a cartesian closed category. We use the fact that the product is the left adjoint of the exponential. Left adjoints preserve colimits. A coproduct is a colimit, therefore:

$$(b + c) \times a \cong b \times a + c \times a$$

Here, the left functor is  $Lx = x \times a$ , and the diagram  $D$  selects a pair of objects  $b$  and  $c$ .

### Right adjoints preserve limits

Using a dual argument, we can show that right adjoints preserve limits, that is:

$$R(\text{Lim } D) \cong \text{Lim } (R \circ D)$$

We start by showing that the (covariant) hom-functor preserves limits.

$$\text{Lim } C(x, D^*) \cong C(x, \text{Lim } D)$$

This follows from the argument that a set of cones that defines the limit is isomorphic to the limit of the Set-valued functor:

$$Fj = C(x, Dj)$$

A functor that preserves limits is called continuous.

To show that, given the adjunction  $L \dashv R$ , the right functor  $R: \mathcal{D} \rightarrow \mathcal{C}$  preserves limits, we use the Yoneda argument:

$$C(x, R(\text{Lim } D)) \cong C(x, \text{Lim } (R \circ D))$$

Indeed, we have:

$$C(x, R(\text{Lim } D)) \cong \mathcal{D}(Lx, \text{Lim } D) \cong \text{Lim } \mathcal{D}(Lx, D^*) \cong C(x, \text{Lim } (R \circ D))$$

## 10.8 Freyd's adjoint functor theorem

In general functors are lossy—they are not invertible. In some cases we can make up the lost information by replacing it with the “best guess.” If we do it in an organized manner, we end up with an adjunction. The question is: given a functor between two categories, what are the conditions under which we can construct its adjoint.

The answer to this question is given by the Freyd's adjoint functor theorem. At first it might seem like this is a technical theorem involving a very abstract construction called the solution set condition. We'll see later that this condition translates directly to a programming technique called defunctionalization.

In what follows, we'll focus our attention on constructing the right adjoint to a functor  $L: \mathcal{D} \rightarrow \mathcal{C}$ . A dual reasoning can be used to solve the converse problem of finding the left adjoint to a functor  $R: \mathcal{C} \rightarrow \mathcal{D}$ .

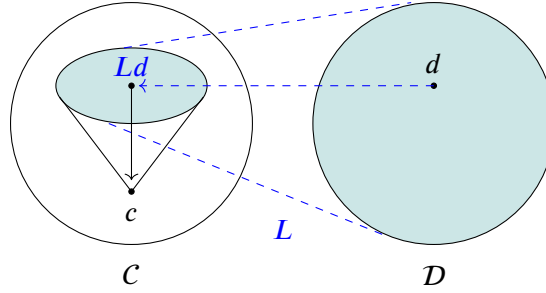
The first observation is that, since the left functor in an adjunction preserves colimits, we have to postulate that our functor  $L$  preserves colimits. This gives us a hint that the construction of the right adjoint relies on the ability to construct colimits in  $\mathcal{D}$ , and being able to somehow transport them back to  $\mathcal{C}$  using  $L$ .

We could demand that all colimits, large and small, exist in  $\mathcal{D}$  but this condition is too strong. Even a small category that has all colimits is automatically a preorder—that is, it can't have more than one morphism between any two objects.

But let's ignore size problems for a moment, and see how one would construct the right adjoint to a colimit-preserving functor  $L$ , whose source category  $\mathcal{D}$  is small and has all colimits, large and small (thus it is a preorder).

### Freyd's theorem in a preorder

The easiest way to define the right adjoint to  $L$  is to construct, for every object  $c$ , a universal arrow from  $L$  to  $c$ . Such an arrow is the terminal object in the comma category  $L/c$ —the category of arrows which originate in the image of  $L$  and converge on the object  $c$ .

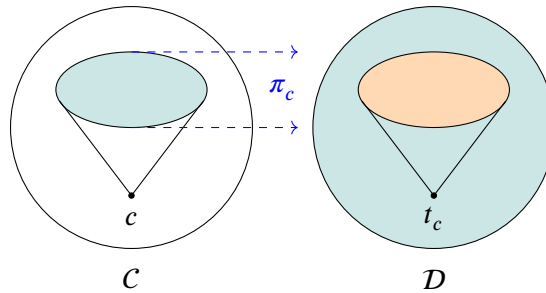


The important observation is that this comma category describes a cocone in  $C$ . The base of this cocone is formed by those objects in the image of  $L$  that have an unobstructed view of  $c$ . The arrows in the base of the cocone are the morphisms in  $L/c$ . These are exactly the arrows that make the sides of the cocone commute.

$$\begin{array}{ccc} Ld & \xrightarrow{Lh} & Ld'' \\ & \searrow f & \swarrow f'' \\ & c & \end{array} \quad d \xrightarrow{h} d''$$

The base of this cocone can then be projected back to  $D$ . There is a projection  $\pi_c$  which maps every pair  $(d, f)$  in  $L/c$  back to  $d$ , thus forgetting the arrow  $f$ . It also maps every morphism in  $L/c$  to an arrow in  $D$  that gave rise to it. This way  $\pi_c$  defines a diagram in  $D$ . The colimit of this diagram exists, because we have assumed that all colimits exist in  $D$ . Let's call this colimit  $t_c$ :

$$t_c = \text{colim } \pi_c$$



Let's see if we can use this  $t_c$  to construct a terminal object in  $L/c$ . We have to find an arrow, let's call it  $\epsilon_c: Lt_c \rightarrow c$ , such that the pair  $\langle t_c, \epsilon_c \rangle$  is terminal in  $L/c$ .



Notice that  $L$  maps the diagram generated by  $\pi_c$  back to the base of the cocone defined by  $L/c$ . The projection  $\pi_c$  did nothing more than to ignore the sides of this cocone, leaving its base intact.

We now have two cocones in  $\mathcal{C}$  with the same base: the original one with the apex  $c$  and the new one obtained by applying  $L$  to the cocone in  $\mathcal{D}$ . Since  $L$  preserves colimits, the colimit of the new cocone is  $Lt_c$ —the image of the colimit  $t_c$ :

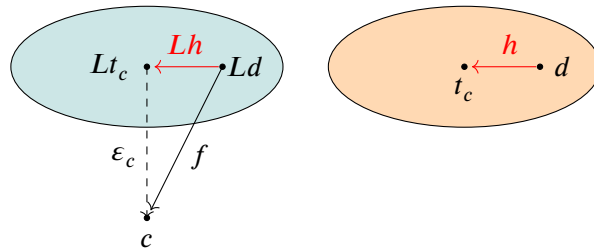
$$\operatorname{colim} (L \circ \pi_c) = L(\operatorname{colim} \pi_c) = Lt_c$$

By universal construction, we deduce that there must be a unique cocone morphism from the colimit  $Lt_c$  to  $c$ . That morphism, which we'll call  $\varepsilon_c$ , makes all the relevant triangles commute.

What remains to be shown is that  $\langle t_c, \varepsilon_c \rangle$  is terminal in  $L/c$ , that is, for any  $\langle d, f : Ld \rightarrow c \rangle$  there is a unique comma-category morphism  $h : d \rightarrow t_c$  that makes the following triangle commute:

$$\begin{array}{ccc} Ld & \xrightarrow{\quad Lh \quad} & Lt_c \\ & \searrow f \quad \swarrow \varepsilon_c & \\ & c & \end{array}$$

Notice that any such  $d$  is automatically part of the diagram produced by  $\pi_c$  (it's the result of  $\pi_c$  acting on  $\langle d, f \rangle$ ). We know that  $t_c$  is the limit of the  $\pi_c$  diagram. So there must be a wire from  $d$  to  $t_c$  in the limiting cocone. We pick this wire as our  $h$ .



The commuting condition then follows from  $\varepsilon_c$  being a morphism between two cocones. It is a unique cocone morphism simply because  $\mathcal{D}$  is a preorder.

This proves that there is a universal arrow  $\langle t_c, \varepsilon_c \rangle$  for every  $c$ , therefore we have a functor  $R$  defined on objects as  $Rc = t_c$  that is the right adjoint to  $L$ .

### Solution set condition

The problem with the previous proof is that comma categories in most practical cases are large: their objects don't form a set. But maybe we can approximate the comma category by selecting a smaller but representative set of objects and arrows?

To select the objects, we'd use a mapping from some indexing set  $I$ . We define a set of objects  $d_i$  where  $i \in I$ . Since we are trying to approximate the comma category  $L/c$ , we select objects together with arrows  $f_i: Ld_i \rightarrow c$ .

The relevant part of the comma category is encoded in morphism between objects satisfying the commuting condition. We could try to specialize this condition to only apply inside our family of objects, but that would not be enough. We have to find a way to probe all other objects of the comma category.

To do this, we reinterpret the commuting condition as a recipe for factorizing an arbitrary  $f: Ld \rightarrow c$  through some pair  $\langle d_i, f_i \rangle$ :

$$\begin{array}{ccc} Ld & \xrightarrow{Lh} & Ld_i \\ & \searrow f & \swarrow f_i \\ & c & \end{array}$$

A *solution set* is a family of pairs  $\langle d_i, f_i: Ld_i \rightarrow c \rangle$  indexed by a set  $I$  that can be used to factor any pair  $\langle d, f: Ld \rightarrow c \rangle$ . It means that there exists an index  $i \in I$  and an arrow  $h: d \rightarrow d_i$  that factorizes  $f$ :

$$f = f_i \circ Lh$$

Another way of expressing this property is to say that there exists a *weakly terminal* set of object in the comma category  $L/c$ . A weakly terminal set has the property that for any object in the category there is a morphism to at least one object in the set.

Previously we've seen that having the terminal object in the comma category  $L/c$  for every  $c$  is enough to define the adjunction. It turns out that we can achieve the same goal using the solution set.

The assumptions of the Freyd's adjoint functor theorem state that we have a colimit-preserving functor  $L: \mathcal{D} \rightarrow \mathcal{C}$  from a small co-complete category. Both these conditions relate to *small* diagrams. If we can pick a solution set  $\langle d_i, f_i: Ld_i \rightarrow c \rangle$  for every  $c$ , then the right adjoint  $R$  exists. Solution sets for different  $c$ 's may be different.

We've seen before that in a cocomplete category the existence of a weakly terminal set is enough to define a terminal object. In our case it means that, for any  $c$ , we can construct the universal arrow from  $L$  to  $c$ . And this is enough to define the whole adjunction.

A dual version of the adjoint functor theorem can be used to construct the left adjoint.

## Defunctionalization

Every programming language lets us define functions, but not all languages support higher level functions (functions taking functions as arguments, functions returning functions, or data types constructed from functions) or anonymous functions (a.k.a., lambdas). It turns out that, even in

such languages, higher order functions can be implemented using the process called defunctionalization. This technique is based on the adjoint functor theorem. Moreover, defunctionalization can be used whenever passing functions around is impractical, for instance in a distributed system.

The idea behind defunctionalization is that the function type is defined as the right adjoint to the product.

$$C(e \times a, b) \cong C(e, b^a)$$

The adjoint functor theorem can be used to approximate this adjoint.

In general, any finite program can only have a finite number of function definitions. These functions (together with the environments they capture) form the solution set that we can use to construct the function type. In practice, we do it only for a small subset of functions which occur as arguments to, or are returned from, other functions.

A typical example of the usage of higher order functions is in continuation passing style. For instance, here's a function that calculates the sum of the elements of a list. But instead of returning the sum it calls a continuation `k` with the result:

```
sumK :: [Int] -> (Int -> r) -> r
sumK [] k = k 0
sumK (i : is) k =
    sumK is (\s -> k (i + s))
```

If the list is empty, the function calls the continuation with zero. Otherwise it calls itself recursively, with two arguments: the tail of the list `is`, and a new continuation:

```
\s -> k (i + s)
```

This new continuation calls the previous continuation `k`, passing it the sum of the head of the list and its argument `s` (which is the accumulated sum).

Notice that this lambda is a closure: It's a function of one variable `s`, but it also has access to `k` and `i` from its environment.

To extract the final sum, we call our recursive function with the trivial continuation, the identity:

```
sumList :: [Int] -> Int
sumList as = sumK as (\i -> i)
```

Anonymous functions are convenient, but nothing prevents us from using named functions. However, if we want to factor out the continuations, we have to be explicit about passing in the environments.

For instance, we can replace our first lambda:

```
\s -> k (i + s)
```

with the function `more`, but we have to explicitly pass the pair `(i, k)` as the environment of the type `(Int, Int -> r)`:

```
more :: (Int, Int -> r) -> Int -> r
more (i, k) s = k (i + s)
```

The other lambda, the identity, uses the empty environment, so it becomes:

```
done :: Int -> Int
done i = i
```

Here's the implementation of our algorithm using these two named functions:

```
sumK' :: [Int] -> (Int -> r) -> r
sumK' [] k = k 0
sumK' (i : is) k =
  sumK' is (more (i, k))
```

```
sumList :: [Int] -> Int
sumList is = sumK' is done
```

In fact, if all we are interested in is calculating the sum, we can replace the polymorphic type `r` with `Int` with no other changes.

This implementation still uses higher order functions. In order to eliminate them, we have to analyze what it means to pass a function as an argument. Such a function can only be used in one way: it can be applied to its arguments. This property of a function type is expressed as the counit of the currying adjunction:

$$\epsilon: b^a \rightarrow b$$

or, in Haskell, as a higher-order function:

```
apply :: (a -> b, a) -> b
```

This time we are interested in constructing the counit from first principles. We've seen that this can be accomplished using the comma category. In our case, an object of the comma category for the product functor  $L_a = (*)$  is a pair

$$(e, f: (e \rightarrow a) \rightarrow b)$$

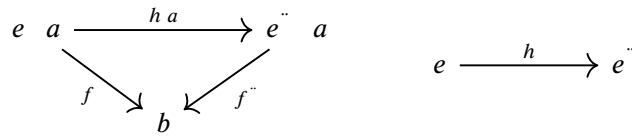
or, in Haskell:

```
data Comma a b e = Comma e ((e, a) -> b)
```

A morphism in this category between  $(e, f)$  and  $(e'', f'')$  is an arrow  $h: e \rightarrow e''$ , which satisfies the commuting condition:

$$f'' \circ h = f$$

We interpret this morphism as “reducing” the environment  $e$  down to  $e''$ . The arrow  $f''$  is able to produce the same output of the type  $b$  using a potentially smaller environment given by  $h(e)$ . For instance  $e$  may contain variables that are irrelevant for computing  $b$  from  $a$ , and  $h$  projects them out.



In fact, we performed this kind of reduction when defining `more` and `done`. In principle, we could have passed the tail `is` to both functions, since it's accessible at the point of call. But we knew that they didn't need it.

Using the Freyd's theorem, we could define the function object  $a \rightarrow b$  as the colimit of the diagram defined by the comma category. Such a colimit is essentially a giant coproduct of all environments modulo identifications given by comma-category morphisms. This identification does the job of reducing the environment needed by  $a \rightarrow b$  to the bare minimum.

In our example, the continuations we're interested in are functions `Int -> Int`. In fact we are not interested in generating the generic function type `Int -> Int`; just the minimal one that would accommodate our two functions `more` and `done`. We can do it by creating a very small solution set.

In our case the solution set consists of pairs  $(e_i, f_i: e_i \rightarrow a \rightarrow b)$  such that any pair  $(e, f: e \rightarrow a \rightarrow b)$  can be factorized through one of the  $f_i$ 's. More precisely, the only two environments we're interested in are `(Int, Int -> Int)` for `more`, and the empty environment `()` for `done`.

In principle, our solution set should allow for the factorization of every object of the comma category, that is a pair of the type:

```
(e, (e, Int) -> Int)
```

but here we are only interested in two specific functions. Also, we are not concerned with the uniqueness of the representation so, instead of using a colimit (as we did for the adjoint functor theorem), we'll just use a coproduct of all the environments of interest. We end up with the following data type that is the sum of the two environments, `()` and `(Int, Int -> Int)`, we're interested in. We end up with the type:

```
data Kont = Done | More Int Kont
```

Notice that we have recursively encoded the `Int->Int` part of the environment as `Kont`. Thus we have also removed the need to use functions as arguments to data constructors.

If you look at this definition carefully, you will discover that it's the definition of a list of `Int`, modulo some renamings. Every call to `More` pushes another integer on the `Kont` stack. This interpretation agrees with our intuition that recursive algorithms require some kind of a runtime stack.

We are now ready to implement our approximation to the counit of the adjunction. It's composed from the bodies of the two functions, with the understanding that recursive calls also go through `apply`:

```
apply :: (Kont, Int) -> Int
apply (Done, i) = i
apply (More i k, s) = apply (k, i + s)
```

Compare this with our earlier:

```
done i = i
more (i, k) s = k (i + s)
```

The main algorithm can now be rewritten without any higher order functions or lambdas:

```
sumK'' :: [Int] -> Kont -> Int
sumK'' [] k = apply (k, 0)
sumK'' (i : is) k = sumK'' is (More i k)
```

```
sumList'' is = sumK'' is Done
```

The main advantage of defunctionalization is that it can be used in distributed environments. Arguments to remote functions, as long as they are data structures and not functions, can be serialized and sent along the wire. All that's needed is for the receiver to have access to `apply`.

## 10.9 Free/Forgetful Adjunctions

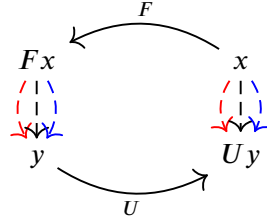
The two functors in the adjunction play different roles: the picture of the adjunction is not symmetric. Nowhere is this illustrated better than in the case of the free/forgetful adjunctions.

A forgetful functor is a functor that “forgets” some of the structure of its source category. This is not a rigorous definition but, in most cases, it's pretty obvious what structure is being forgotten. Very often the target category is just the category of sets, which is considered the

epitome of structurelessness. The result of the forgetful functor in that case is called the “underlying” set, and the functor itself is often called  $U$ .

More precisely, we say that a functor forgets *structure* if the mapping of hom-sets is not surjective, that is, there are arrows in the target hom-set that have no corresponding arrows in the source hom-set. Intuitively, it means that the arrows in the source have some structure to preserve, so there are fewer of them; and that structure is absent in the target.

The left adjoint to a forgetful functor is called a *free functor*.

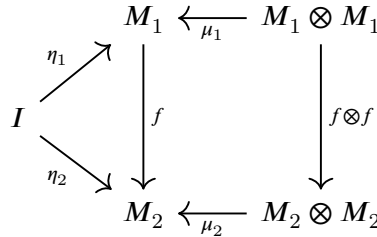


A classic example of a free/forgetful adjunction is the construction of the free monoid.

### The category of monoids

Monoids in a monoidal category  $\mathcal{C}$  form their own category  $\text{Mon}(\mathcal{C})$ . Its objects are monoids, and its arrows are the arrows of  $\mathcal{C}$  that preserve the monoidal structure.

The following diagram explains what it means for  $f$  to be a monoid morphism, going from a monoid  $(M_1, \eta_1, \mu_1)$  to a monoid  $(M_2, \eta_2, \mu_2)$ :



A monoid morphism  $f$  must map unit to unit, which means that:

$$f \circ \eta_1 = \eta_2$$

and it must map multiplication to multiplication:

$$f \circ \mu_1 = \mu_2 \circ (f \otimes f)$$

Remember, the tensor product  $\otimes$  is functorial, so it can lift pairs of arrows, as in  $f \otimes f$ .

In particular, the category  $\text{Set}$  is monoidal, with cartesian product and the terminal object providing the monoidal structure.

In particular, monoids in  $\text{Set}$  are sets with additional structure. They form their own category  $\text{Mon}(\text{Set})$  and there is a forgetful functor  $U$  that simply maps the monoid to the set of its elements. When we say that a monoid is a set, we mean the underlying set.

## Free monoid

We want to construct the free functor

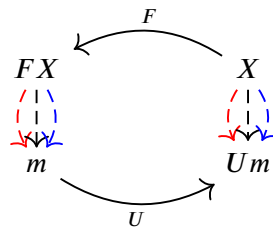
$$F: \text{Set} \rightarrow \text{Mon}(\text{Set})$$

that is adjoint to the forgetful functor  $U$ .

We start with an arbitrary set  $X$  and an arbitrary monoid  $m$ . On the right-hand side of the adjunction we have the set of functions from  $X$  to  $Um$ . On the left-hand side, we have a set of highly constrained structure-preserving monoid morphisms from  $FX$  to  $m$ . How can these two hom-sets be isomorphic?

In  $\text{Mon}(\text{Set})$ , monoids are sets of elements, and monoid morphisms are functions between such sets, satisfying additional constraints: preserving unit and multiplication.

Arrows in  $\text{Set}$ , on the other hand, are just functions with no additional constraints. So, in general, there are fewer arrows between monoids than there are between their underlying sets.



Here's the idea: if we want to have a one to one matching between arrows, we want  $FX$  to be much larger than  $X$ . This way, there will be many more functions from it to  $m$ —so many that, even after rejecting the ones that don't preserve the structure, we'll still have enough to match every function  $f: X \rightarrow Um$ .

We'll construct the monoid  $FX$  starting from the set  $X$ , and adding more and more elements as we go. We'll call the initial set  $X$  the *generators* of  $FX$ . We'll construct a monoid morphism  $g: FX \rightarrow m$  starting with the original function  $f$  and extending it to act on more and more elements.

On generators,  $x \in X$ ,  $g$  works the same as  $f$ :

$$gx = fx$$

Since  $FX$  is supposed to be a monoid, it has to have a unit. We can't pick one of the generators to be the unit, because it would impose constraints on the part of  $g$  that is already fixed by  $f$ —it would have to map it to the unit  $e$  of  $m$ . So we'll just add an extra element  $e$  to  $FX$  and call it the unit. We'll define the action of  $g$  on it by saying that it is mapped to the unit  $e$  of  $m$ :

$$ge = e$$



We also have to define monoidal multiplication in  $FX$ . Let's start with a product of two generators  $a$  and  $b$ . The result of the multiplication cannot be another generator because, again, that would constrain the part of  $g$  that's fixed by  $f$ —products must be mapped to products. So we have to make all products of generators new elements of  $FX$ . Again, the action of  $g$  on those products is fixed:

$$g(a \cdot b) = ga \cdot gb$$

Continuing with this construction, any new multiplication produces a new element of  $FX$ , except when it can be reduced to an existing element by applying monoid laws. For instance, the new unit  $e$  times a generator  $a$  must be equal to  $a$ . But we have made sure that  $e$  is mapped to the unit of  $m$ , so the product  $ge \cdot ga$  is automatically equal to  $ga$ .

Another way of looking at this construction is to think of the set  $X$  as an alphabet. The elements of  $FX$  are then strings of characters from this alphabet. The generators are single-letter strings, “ $a$ ”, “ $b$ ”, and so on. The unit is an empty string “”. Multiplication is string concatenation, so “ $a$ ” times “ $b$ ” is a new string “ $ab$ ”. Concatenation is automatically associative and unital, with the empty string as the unit.

The intuition behind free functors is that they generate structure “freely,” as in “with no additional constraints.” They also do it lazily: instead of performing operations, they just record them. They create generic domain-specific programs that can be executed later by specific interpreters.

The free monoid “remembers to do the multiplication” at a later time. It stores the arguments to multiplication in a string, but doesn't perform the multiplication. It's only allowed to simplify its records based on generic monoidal laws. For instance, it doesn't have to store the command to multiply by the unit. It can also “skip the parentheses” because of associativity.

**Exercise 10.9.1.** *What is the unit and the counit of the free monoid adjunction  $F \dashv U$ ?*

## Free monoid in programming

In Haskell, monoids are defined using the following typeclass:

```
class Monoid m where
  mappend :: m -> m -> m
  mempty  :: m
```

Here, `mappend` is the curried form of the mapping from the product:  $(m, m) \rightarrow m$ . The `mempty` element corresponds to the arrow from the terminal object (unit of the monoidal category), or simply an element of `m`.

A free monoid generated by some type `a`, which serves as a set of generators, is represented by a list type `[a]`. An empty list serves as the unit; and monoid multiplication is implemented as list concatenation, traditionally written in infix form:

```
(++) :: [a] -> [a] -> [a]
(++) []      ys = ys
(++) (x:xs) ys = x : xs ++ ys
```

A list is an instance of a `Monoid`:

```
instance Monoid [a] where
    mempty = []
    mappend = (++)
```

To show that it's a free monoid, we have to be able to construct a monoid morphism from the list of `a` to an arbitrary monoid `m`, provided we have an (unconstrained) mapping from `a` to (the underlying set of) `m`. We can't express all of this in Haskell, but we can define the function:

```
foldMap :: Monoid m => (a -> m) -> ([a] -> m)
foldMap f = foldr mappend mempty . fmap f
```

This function transforms the elements of the list to monoidal values using `f` and then folds them using `mappend`, starting with the unit `mempty`.

It's easy to see that an empty list is mapped to the monoidal unit. It's not too hard to see that a concatenation of two lists is mapped to the monoidal product of the results. So, indeed, `foldMap` is a monoid morphism.

Following the intuition of a free monoid being a domain-specific program for multiplying stuff, `foldMap` provides an *interpreter* for this program. It performs all the multiplications that have been postponed. Note that the same program may be interpreted in many different ways, depending on the choice of the concrete monoid and the function `f`.

We'll come back to free monoids as lists in the chapter on algebras.

**Exercise 10.9.2.** *Write a program that takes a list of integers and interprets it in two different ways: once using the additive and once using the multiplicative monoid of integers.*

## 10.10 The Category of Adjunctions

We can define composition of adjunctions by taking advantage of the composition of functors that define them. Two adjunctions,  $L \dashv R$  and  $L'' \dashv R''$ , are composable if they share the

category in the middle:

$$\begin{array}{ccccc} & L'' & & L & \\ C & \xleftarrow{\quad} & D & \xleftarrow{\quad} & \mathcal{E} \\ & R'' & & R & \end{array}$$

By composing the functors we get a new adjunction  $(L'' \circ L) \dashv (R \circ R'')$ .

Indeed, let's consider the hom-set:

$$\mathcal{C}(L''(Le), c)$$

Using the  $L'' \dashv R''$  adjunction, we can transpose  $L''$  to the right, where it becomes  $R''$ :

$$\mathcal{D}(Le, R''c)$$

and using  $L \dashv R$  we can similarly transpose  $L$ :

$$\mathcal{E}(e, R(R''c))$$

Combining these two isomorphisms, we get the composite adjunction:

$$\mathcal{C}((L'' \circ L)e, c) \cong \mathcal{E}(e, (R \circ R'')c)$$

Because functor composition is associative, the composition of adjunctions is also associative. It's easy to see that a pair of identity functors forms a trivial adjunction that serves as the identity with respect to composition of adjunctions. Therefore we can define a category  $\text{Adj}(\text{Cat})$  in which objects are categories and arrows are adjunctions (by convention, pointing in the direction of the left adjoint).

Adjunctions can be defined purely in terms of functors and natural transformations, that is 1-cells and 2-cells in the 2-category  $\text{Cat}$ . There is nothing special about  $\text{Cat}$ , and in fact adjunctions can be defined in any 2-category. Moreover, the category of adjunctions is itself a 2-category.

## 10.11 Levels of Abstraction

Category theory is about structuring our knowledge. In particular, it can be applied to the knowledge of category theory itself. Hence we see a lot of mixing of abstraction levels in category theory. The structures that we see at one level can be grouped into higher-level structures which exhibit even higher levels of structure, and so on.

In programming we are used to building hierarchies of abstractions. Values are grouped into types, types into kinds. Functions that operate on values are treated differently than functions that operate on types. We often use different syntax to separate levels of abstractions. Not so in category theory.

A set, categorically speaking, can be described as a discrete category. Elements of the set are objects of this category and, other than the obligatory identity morphisms, there are no arrows between them.

The same set can then be seen as an object in the category  $\mathbf{Set}$ . Arrows in this category are functions between sets.

The category  $\mathbf{Set}$ , in turn, is an object in the category  $\mathbf{Cat}$ . Arrows in  $\mathbf{Cat}$  are functors.

Functors between any two categories  $\mathcal{C}$  and  $\mathcal{D}$  are objects in the functor category  $[\mathcal{C}, \mathcal{D}]$ . Arrows in this category are natural transformations.

We can define functors between functor categories, product categories, opposite categories, and so on, *ad infinitum*.

Completing the circle, hom-sets in every category are sets. We can define mappings and isomorphisms between them, reaching across disparate categories. Adjunctions are possible because we can compare hom-sets that live in different categories.

## Dependent Types

---

We’ve seen types that depend on other types. They are defined using type constructors with type parameters, like `Maybe` or `[]`. Most programming languages have some support for generic data types—data types parameterized by other data types.

Categorically, such types are modeled as functors<sup>1</sup>.

A natural generalization of this idea is to have types that are parameterized by values. For instance, it’s often advantageous to encode the length of a list in its type. A list of length zero would have a different type than a list of length one, and so on.

Obviously, you cannot change the length of such a list, since it would change its type. This is not a problem in functional programming, where all data types are immutable anyway. When you prepend an element to a list, you create a new list, at least conceptually. With a length-encoded list, this new list is of a different type, that’s all!

Types parameterized by values are called *dependent types*. There are languages like Idris or Agda that have full support for dependent types. It’s also possible to implement dependent types in Haskell, but support for them is still rather patchy.

The reason for using dependent types in programming is to make programs provably correct. In order to do that, the compiler must be able to check the assumptions made by the programmer.

Haskell, with its strong type system, is able to uncover a lot of bugs at compile time. For instance, it won’t let you write `a <> b` (infix notation for `mappend`), unless you provide the `Monoid` instance for the type of your variables.

However, within Haskell’s type system, there is no way to express or, much less enforce, the unit and associativity laws for the monoid. For that, the instance of the `Monoid` type class would have to carry with itself proofs of equality (not actual code):

---

<sup>1</sup>A type constructor that has no `Functor` instance can be thought of as a functor from a discrete category—a category with no arrows other than identities

```

assoc :: m <> (n <> p) = (m <> n) <> p
lunit :: mempty <> m = m
runit :: m <> mempty = m

```

Dependent types, and equality types in particular, pave the way towards this goal.

The material in this chapter is more advanced, and not used in the rest of the book, so you may safely skip it on first reading. Also, to avoid confusion between fibers and functions, I decided to use capital letters for objects in parts of this chapter.

## 11.1 Dependent Vectors

We'll start with the standard example of a counted list, or a vector:

```

data Vec n a where
  VNil  :: Vec Z a
  VCons :: a -> Vec n a -> Vec (S n) a

```

The compiler will recognize this definition as dependently typed if you include the following language pragmas:

```

{-# LANGUAGE DataKinds #-}
{-# LANGUAGE GADTs #-}

```

The first argument to the type constructor is a natural number `n`. Notice: this is a value, not a type. The type checker is able to figure this out from the usage of `n` in the two data constructors. The first one creates a vector of the type `Vec Z a`, and the second creates a vector of the type `Vec (S n) a`, where `Z` and `S` are defined as the constructors of natural numbers:

```

data Nat = Z | S Nat

```

We can be more explicit about the parameters if we use the pragma:

```

{-# LANGUAGE KindSignatures #-}

```

and import the library:

```

import Data.Kind

```

We can then specify that `n` is a `Nat`, whereas `a` is a `Type`:

```

data Vec (n :: Nat) (a :: Type) where
  VNil  :: Vec Z a
  VCons :: a -> Vec n a -> Vec (S n) a

```

Using one of these definitions we can, for instance, construct a vector (of integers) of length zero:

```
emptyV :: Vec Z Int
emptyV = VNil
```

It has a different type than a vector of length one:

```
singleV :: Vec (S Z) Int
singleV = VCons 42 VNil
```

and so on.

We can now define a dependently typed function that returns the first element of a vector:

```
headV :: Vec (S n) a -> a
headV (VCons a _) = a
```

This function is guaranteed to work exclusively with non-zero-length vectors. These are the vectors whose size matches  $(S\ n)$ , which cannot be  $Z$ . If you try to call this function with `emptyV`, the compiler will flag the error.

Another example is a function that zips two vectors together. Encoded in its type signature is the requirement that the two vectors be of the same size  $n$  (the result is also of the size  $n$ ):

```
zipV :: Vec n a -> Vec n b -> Vec n (a, b)
zipV (VCons a as) (VCons b bs) = VCons (a, b) (zipV as bs)
zipV VNil VNil = VNil
```

Dependent types are especially useful when encoding the shapes of containers. For instance, the shape of a list is encoded in its length. A more advanced example would encode the shape of a tree as a runtime value.

**Exercise 11.1.1.** Implement the function `tailV` that returns the tail of the non-zero-length vector. Try calling it with `emptyV`.

## 11.2 Dependent Types Categorically

The easiest way to visualize dependent types is to think of them as families of types indexed by elements of a set. In the case of counted vectors, the indexing set would be the set of natural numbers  $\mathbb{N}$ .

The zeroth type would be the unit type  $()$  representing an empty vector. The type corresponding to  $(S\ Z)$  would be  $a$ ; then we'd have a pair  $(a, a)$ , a triple  $(a, a, a)$  and so on, with higher and higher powers of  $a$ .

If we want to talk about the whole family as one big set, we can take the sum of all these

types. For instance, the sum of all powers of  $a$  is the familiar list type, a.k.a., a free monoid:

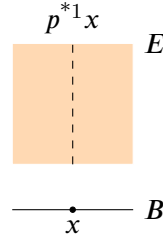
$$\text{List}(a) = 1 + a + a \cdot a + a \cdot a \cdot a + \dots = \sum_{n:\mathbb{N}} a^n$$

## Fibrations

Although intuitively easy to visualize, this point of view doesn't generalize nicely to category theory, where we don't like mixing sets with objects. So we turn this picture on its head and instead of talking about injecting family members into the sum, we consider a mapping that goes in the opposite direction.

This, again, we can first visualize using sets. We have one big set  $E$  describing the *entire* family, and a function  $p$  called the projection, or a *display map*, that goes from  $E$  down to the indexing set  $B$  (also called the *base*).

This function will, in general, map multiple elements to one. We can then talk about the inverse image of a particular element  $x \in B$  as the set of elements that get mapped down to it by  $p$ . This set is called the *fiber* and is written  $p^{*1}x$  (even though, in general,  $p$  is not invertible in the usual sense). Seen as a collection of fibers,  $E$  is often called a *fiber bundle* or just a bundle.



Now forget about sets. A *fibration* in an arbitrary category is a pair of objects  $e$  and  $b$  and an arrow  $p: e \rightarrow b$ .

So this is really just an arrow, but the context is everything. When an arrow is called a fibration, we use the intuition from sets, and imagine its source  $e$  as a collection of fibers, with  $p$  projecting each fiber down to a single point in the base  $b$ .

We can go even further: since (small) categories form a category  $\text{Cat}$  with functors as arrows, we can define a fibration of a category, taking another category as its base.

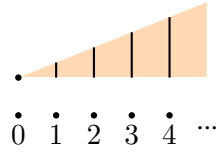
## Type families as fibrations

We will therefore model type families as fibrations. For instance, our counted-vector family can be represented as a fibration whose base is the type of natural numbers. The whole family is a sum (coproduct) of consecutive powers (products) of  $a$ :

$$\text{List}(a) = a^0 + a^1 + a^2 + \dots = \sum_{n:\mathbb{N}} a^n$$



with the zeroth power—the initial object—representing the vector of size zero.



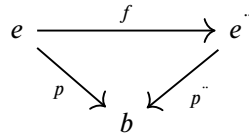
The projection  $p: \text{List}(a) \rightarrow \mathbb{N}$  is the familiar length function.

In category theory we like to describe things in bulk—defining internal structure of things by structure-preserving maps between them. Such is the case with fibrations. If we fix the base object  $b$  and consider all possible source objects in the category  $\mathcal{C}$ , and all possible projections down to  $b$ , we get a *slice category*  $\mathcal{C}/b$ . This category represents all the ways we can slice the objects of  $\mathcal{C}$  over the base  $b$ .

Recall that the objects in the slice category are pairs  $\langle e, p: e \rightarrow b \rangle$ , and a morphism between two objects  $\langle e, p \rangle$  and  $\langle e'', p'' \rangle$  is an arrow  $f: e \rightarrow e''$  that commutes with the projections, that is:

$$p'' \circ f = p$$

The best way to visualize this is to notice that such a morphism maps fibers of  $p$  to fibers of  $p''$ . It's a “fiber-preserving” mapping between bundles.



Our counted vectors can be seen as objects in the slice category  $\mathcal{C}/\mathbb{N}$  given by pairs  $\langle \text{List}(a), \text{length} \rangle$ . A morphism in this category maps vectors of length  $n$  to vectors of the same length  $n$ .

## Pullbacks

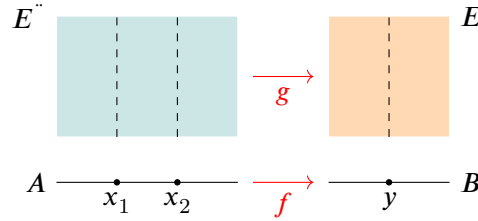
We've seen a lot of examples of commuting squares. Such a square is a graphical representation of an equation: two paths between opposite corners of a square, each a result of a composition of two morphisms, are equal.

Like with every equality we may want to replace one or more of its components with an unknown, and try to solve the resulting equation. For instance, we may ask the question: Is there an object together with two arrows that would complete a commuting square? If many such objects exist, is there a universal one? If the missing piece of the puzzle is the upper left corner of a square (the source), we call it a pullback. If it's the lower right corner (the target), we call it a pushout.

$$\begin{array}{ccc}
 ? & \xrightarrow{?} & E \\
 \downarrow ? & & \downarrow p \\
 A & \xrightarrow{f} & B
 \end{array}
 \qquad
 \begin{array}{ccc}
 E & \xrightarrow{f} & E'' \\
 p \downarrow & & \downarrow ? \\
 B & \xrightarrow{?} & ?
 \end{array}$$

Let's start with a particular fibration  $p: E \rightarrow B$  and ask ourselves the question: what happens when we change the base from  $B$  to some  $A$  that is related to it through a mapping  $f: A \rightarrow B$ . Can we “pull the fibers back” along  $f$ ?

Again, let's think about sets first. Imagine picking a fiber in  $E$  over some point  $y \in B$  that is in the image of  $f$ . If  $f$  were invertible, there would be an element  $x = f^{-1}y$ . We'd plant our fiber over it. In general, though,  $f$  is not invertible. It means that there could be more elements of  $A$  that are mapped to our  $y$ . In the picture below you see two such elements,  $x_1$  and  $x_2$ . We'll just duplicate the fiber above  $y$  and plant it over all elements that map to  $y$ . This way, every point in  $A$  will have a fiber sticking out of it. The sum of all these fibers will form a new bundle  $E''$ .



We have thus constructed a new fibration with the base  $A$ . Its projection  $p'': E'' \rightarrow A$  maps each point in a given fiber to the point over which this fiber was planted. There is also an obvious mapping  $g: E'' \rightarrow E$  that maps fibers to their corresponding fibers.

By construction, this new fibration  $\langle E'', p'' \rangle$  satisfies the condition:

$$p \circ g = f \circ p''$$

which can be represented as a commuting square:

$$\begin{array}{ccc}
 E'' & \xrightarrow{g} & E \\
 p'' \downarrow & & \downarrow p \\
 A & \xrightarrow{f} & B
 \end{array}$$

In  $\mathbf{Set}$ , we can explicitly construct  $E''$  as a *subset* of the cartesian product  $A \times E$  with  $p'' = \pi_1$  and  $g = \pi_2$  (the two cartesian projections). An element of  $E''$  is a pair  $\langle a, e \rangle$ , such that:

$$f(a) = p(e)$$

This commuting square is the starting point for the categorical generalization. However, even in  $\mathbf{Set}$  there are many different fibrations over  $A$  that make this diagram commute. We

have to pick the universal one. Such a universal construction is called a *pullback*, or a *fibred product*.

In category theory, a pullback of  $p: e \rightarrow b$  along  $f: a \rightarrow b$  is an object  $e''$  together with two arrows  $p'': e'' \rightarrow a$  and  $g: e'' \rightarrow e$  that makes the following diagram commute

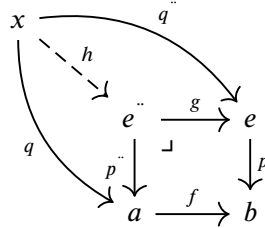
$$\begin{array}{ccc} e'' & \xrightarrow{g} & e \\ p'' \downarrow & & \downarrow p \\ a & \xrightarrow{f} & b \end{array}$$

and that satisfies the universal condition.

The universal condition says that, for any other candidate object  $x$  with two arrows  $q'': x \rightarrow e$  and  $q: x \rightarrow a$  such that  $p \circ q'' = f \circ q$  (making the bigger “square” commute), there is a unique arrow  $h: x \rightarrow e''$  that makes the two triangles commute, that is:

$$\begin{aligned} q &= p'' \circ h \\ q'' &= g \circ h \end{aligned}$$

Pictorially:



The angle symbol in the upper corner of the square is used to mark pullbacks.

If we look at the pullback through the prism of sets and fibrations,  $e$  is a bundle over  $b$ , and we are constructing a new bundle  $e''$  out of the fibers taken from  $e$ . Where we plant these fibers over  $a$  is determined by (the inverse image of)  $f$ . This procedure makes  $e''$  a bundle over both  $a$  and  $b$ , the latter with the projection  $p \circ g = f \circ p''$ .

The  $x$  in this picture is some other bundle over  $a$  with the projection  $q$ . It is simultaneously a bundle over  $b$  with the projection  $f \circ q = p \circ q''$ . The unique mapping  $h$  maps the fibers of  $x$  given by  $q^{*1}$  to fibers of  $e''$  given by  $p''^{*1}$ .

All mappings in this picture work on fibers. Some of them rearrange fibers over new bases—that’s what a pullback does. Other mappings modify individual fibers—the mapping  $h: x \rightarrow e''$  works like this.

If you think of bundles as containers of fibers, the rearrangements of fibers corresponds to natural transformations, and the modifications of fibers correspond to the action of `fmap`.

The universal condition then tells us that  $q''$  can be factored into a modification of fibers  $h$ , followed by the rearrangement of fibers  $g$ .

It's worth noting that picking the terminal object or the singleton set as the pullback target gives us automatically the definition of the cartesian product:

$$\begin{array}{ccc} b & e & \xrightarrow{\pi_2} e \\ \pi_1 \downarrow & \lrcorner & \downarrow ! \\ b & \xrightarrow{!} & 1 \end{array}$$

Alternatively, we can think of this picture as planting as many copies of  $e$  as there are elements in  $b$ . We'll use this analogy when we talk about the dependent sum and product.

Notice also that a single fiber can be extracted from a fibration by pulling it back to the terminal object. In this case the mapping  $x: 1 \rightarrow b$  picks an element of the base, and the pullback along it extracts a single fiber  $\varphi$ :

$$\begin{array}{ccc} \varphi & \xrightarrow{g} & e \\ ! \downarrow & \lrcorner & \downarrow p \\ 1 & \xrightarrow{x} & b \end{array}$$

The arrow  $g$  injects this fiber back into  $e$ . By varying  $x$  we can pick different fibers in  $e$ .

**Exercise 11.2.1.** *Show that the pullback with the terminal object as the target is the product.*

**Exercise 11.2.2.** *Show that a pullback can be defined as a limit of the diagram from a stick-figure category with three objects:*

$$a \rightarrow b \leftarrow c$$

**Exercise 11.2.3.** *Show that a pullback in  $\mathcal{C}$  with the target  $b$  is a product in the slice category  $\mathcal{C}/b$ . Hint: Define two projections as morphisms in the slice category. Use universality of the pullback to show the universality of the product.*

## Substitution

We have two alternative descriptions of dependent types: one as fibrations and another as type families. It's in the latter framework that the pullback along a morphism  $f$  can be interpreted as a substitution. When we have a type family  $Ty$  parameterized by elements  $y: B$  and we always define a new type family by substituting  $fx$  for  $y$ .

$$\begin{array}{ccc} T(fx) & & Ty \\ \uparrow & & \uparrow \\ x & \xrightarrow{f} & y \end{array}$$

The new type family is thus parameterized by different shapes.

## Dependent environments

When modeling lambda calculus, we used the objects of a cartesian closed category to serve both as types and environments. An empty environment was modeled as the terminal object (unit type), and we were building more complex environments using products. The order in which we multiply types doesn't matter since the product is symmetric (up to isomorphism).

When dealing with dependent types, we have to take into account that the type we are adding to the environment may depend on the values of the types already present in the environment. As before, we start with an empty environment modeled as the terminal object.

## Weakening

### Base-change functor

We used a cartesian closed category as a model for programming. To model dependent types, we need to impose an additional condition: We require the category to be *locally cartesian closed*. This is a category in which all slice categories are cartesian closed.

In particular, such categories have all pullbacks, so it's always possible to change the base of any fibration. Base change induces a mapping between slice categories that is functorial.

Given two slice categories  $C/b$  and  $C/a$  and an arrow between bases  $f: b \rightarrow a$  the base-change functor  $f^<: C/a \rightarrow C/b$  maps a fibration  $\langle e, p \rangle$  to the fibration  $f^<\langle e, p \rangle = \langle f^<e, f^<p \rangle$ , which is given by the pullback:

$$\begin{array}{ccc} f^<e & \xrightarrow{g} & e \\ f^<p \downarrow & \lrcorner & \downarrow p \\ b & \xrightarrow{f} & a \end{array}$$

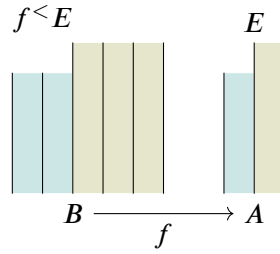
Notice that the functor  $f^<$  goes in the opposite direction to the arrow  $f$ .

To visualize the base-change functor let's consider how it works on sets.

$$\begin{array}{ccc} f^<E & \xrightarrow{g} & E \\ f^<p \downarrow & \lrcorner & \downarrow p \\ B & \xrightarrow{f} & A \end{array}$$

We have the intuition that the fibration  $p$  decomposes the set  $E$  into fibers over each point of  $A$ .

We can think of  $f$  as another fibration that similarly decomposes  $B$ . Let's call these fibers in  $B$  "patches." For instance, if  $A$  is just a two-element set, then the fibration given by  $f$  splits  $B$  into two patches. The pullback takes a fiber from  $E$  and plants it over the whole patch in  $B$ . The resulting set  $f^<E$  looks like a patchwork, where each patch is planted with clones of a single fiber from  $E$ .



Since we have a function from  $B$  to  $A$  that may map many elements to one, the fibration over  $B$  has finer grain than the coarser fibration over  $A$ . The simplest, least-effort way to turn the fibration of  $E$  over  $A$  to a fibration over  $B$ , is to spread the existing fibers over the patches defined by (the inverse of)  $f$ . This is the essence of the universal construction of the pullback.

In particular, if  $A$  is a singleton set (the terminal object), then we have only one fiber (the whole of  $E$ ) and the bundle  $f^<E$  is a cartesian product  $B \times E$ . Such bundle is called a *trivial bundle*.

A non-trivial bundle is not a product, but it can be *locally* decomposed into products. Just as  $B$  is a sum of patches, so  $f^<E$  is a sum of products of these patches and the corresponding fibers of  $E$ .

You may also think of  $A$  as providing an *atlas* that enumerates all the patches in the *base*  $B$ . Imagine that  $A$  is a set of countries and  $B$  is a set of cities. The mapping  $f$  assigns a country to each city.

Continuing with this example, let  $E$  be the set of languages fibrated by the country. If we assume that in each city the language of the given country is spoken, the base-change functor replants the country's languages over each of its cities.

By the way, this idea of using local patches and an atlas goes back to differential geometry and general relativity, where we often glue together local coordinate systems to describe topologically nontrivial bundles, like Möbius strips or Klein bottles.

As we'll see soon, in a locally cartesian closed category, the base change functor has both the left and the right adjoints. The left adjoint to  $f^<$  is called  $f_!$  (sometimes pronounced “f down-shriek”) and the right adjoint is called  $f_<$  (“f down-star”):

$$f_! \dashv f^< \dashv f_<$$

In programming, the left adjoint is called the dependent sum, and the right adjoint is called the dependent product or dependent function:

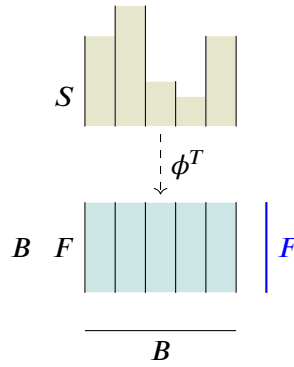
$$\Sigma_f \dashv f^< \dashv \Pi_f$$

$$\begin{array}{ccccc}
 f < e'' & \xrightarrow{f < h} & f < e & & e'' \xrightarrow{h} e \\
 & \searrow f < p'' & \downarrow f < p & & \downarrow p'' \\
 & & b & \xrightarrow{f} & a
 \end{array}$$

Categorically, dependent sum is modeled as the left adjoint of the base-change functor.





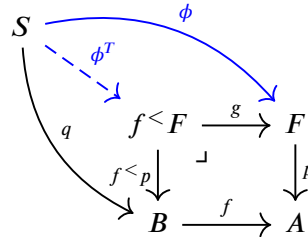


Applying this idea to our counted-vector example,  $\phi^T$  stands for infinitely many functions, one per every natural number. In practice, we define these functions using recursion. For instance, here's a mapping out of a vector of integers:

```
sumV :: Vec n Int -> Int
sumV VNil = 0
sumV (VCons n v) = n + sumV v
```

### Adding the atlas

We can generalize our diagram by replacing the terminal object with an arbitrary base  $A$  (an atlas). Instead of a single fiber, we now have a fibration  $\langle F, p \rangle$ , and we use the pullback square that defines the base-change functor  $f^<$ :



We can imagine that the fibration over  $B$  is finer grain, since  $f$  may map multiple points to one. Think, for instance, of a function `even :: Nat -> Bool` that creates two bunches of even and odd numbers. In this picture,  $f$  defines a coarser “resampling” of the original  $S$ .

The universality of the pullback results in the following isomorphism of hom-sets:

$$(C/B) \left( \left\langle \frac{S}{q} \right\rangle, f^< \left\langle \frac{F}{p} \right\rangle \right) \cong (C/A) \left( \left\langle \frac{S}{f \circ q} \right\rangle, \left\langle \frac{F}{p} \right\rangle \right)$$

Here,  $\phi^T$  is an element of the left-hand side, and  $\phi$  is the corresponding element of the right-hand side.

We interpret this isomorphism as the adjunction between the base change functor  $f^<$  on the left and the dependent sum functor on the right.

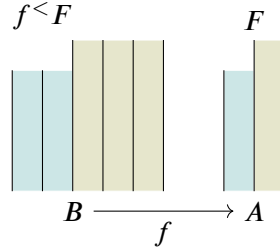
$$(C/B) \left( \left\langle \frac{S}{q} \right\rangle, f^< \left\langle \frac{F}{p} \right\rangle \right) \ddot{o} (C/A) \left( \Sigma_f \left\langle \frac{S}{q} \right\rangle, \left\langle \frac{F}{p} \right\rangle \right)$$

The dependent sum is thus given by this formula:

$$\Sigma_f \left\langle \frac{S}{q} \right\rangle = \left\langle \frac{S}{f \circ q} \right\rangle$$

This says that, if  $S$  is fibered over  $B$  using  $q$ , and there is a mapping  $f$  from  $B$  to  $A$ , then  $S$  is automatically (more coarsely) fibered over  $A$ , the projection being the composition  $f \circ q$ .

We've seen before that, in *Set*,  $f$  defines patches within  $B$ . Fibers of  $F$  are replanted in these patches to form  $f^<F$ . Locally—that is within each patch— $f^<F$  looks like a cartesian product.



$S$  itself is fibered in two ways: coarsely chopped over  $A$  using  $f \circ q$  and finely julienned over  $B$  using  $q$ .

In category theory, the dependent sum, which is the left adjoint to the base change functor  $f^<$ , is denoted by  $f_!$ . For a given  $f: b \rightarrow a$ , it's a functor:

$$f_!: C/b \rightarrow C/a$$

Its action on an object  $(s, q: s \rightarrow b)$  is given by post-composition by  $f$ :

$$f_!(s, q) = (s, f \circ q)$$

## Existential quantification

In the *propositions as types* interpretation, type families correspond to families of propositions. The dependent sum type  $\Sigma_{x:B} T(x)$  corresponds to the proposition: There exists an  $x$  for which  $T(x)$  is true:

$$\mathbb{C}_{x:B} T(x)$$

Indeed, a term of the type  $\Sigma_{x:B} T(x)$  is a pair of an element  $x: B$  and an element  $y: T(x)$ —which shows that  $T(x)$  is inhabited for some  $x$ .

## 11.4 Dependent Product

In type theory, the dependent product, or dependent function, or pi-type  $\Pi_{x:B} T(x)$ , is defined as a function whose return *type* depends on the *value* of its argument.

It's called a function, because you can evaluate it. Given a dependent function  $f : \Pi_{x:B} T(x)$ , you may apply it to an argument  $x : B$  to get a value  $f(x) : T(x)$ .

### Dependent product in Haskell

A simple example of a dependent product is a function that constructs a vector of a given size and fills it with copies of a given value:

```
replicateV :: a -> SNat n -> Vec n a
replicateV _ SZ = VNil
replicateV x (SS n) = VCons x (replicateV x n)
```

At the time of this writing, Haskell's support for dependent types is limited, so the implementation of dependent functions requires the use of singleton types. In this case, the number that is the argument to `replicateV` is passed as a singleton natural:

```
data SNat n where
  SZ :: SNat Z
  SS :: SNat n -> SNat (S n)
```

(Note that `replicateV` is a function of two arguments, so it can be either considered a dependent function of a pair, or a regular function returning a dependent function.)

### Dependent product of sets

Before we describe the categorical model of dependent functions, it's instructive to consider how they work on sets. A dependent function selects one element from each set  $T(x)$ .

You may visualize the totality of this selection as a giant tuple—an element of a cartesian product. For instance, in the trivial case of  $B$  a two-element set  $\{1, 2\}$ , a dependent function type is just a cartesian product  $T(1) \times T(2)$ . In general, you get one tuple component per every value of  $x$ . It's a giant tuple indexed by elements of  $B$ . This is the meaning of the product notation,  $\Pi_{x:B} T(x)$ .

In our example, `replicateV` picks a particular counted vector for each value of  $n$ . Counted vectors are equivalent to tuples so, for  $n$  equal zero, `replicateV` returns an empty tuple `()`; for  $n = 1$  it returns a single value  $x$ ; for  $n$  equal two, it duplicates  $x$  returning  $(x, x)$ ; etc.

The function `replicateV`, evaluated at some  $x :: a$ , is equivalent to an infinite tuple of

tuples:

$$(((), x, (x, x), (x, x, x), \dots))$$

which is a specific element of the type:

$$(((), a, (a, a), (a, a, a), \dots))$$

### Dependent product categorically

In order to build a categorical model of dependent functions, we need to change our perspective from a family of types to a fibration. We start with a bundle  $E/B$  fibered by the projection  $p: E \rightarrow B$ . A dependent function is called a *section* of this bundle.

If you visualize the bundle as a bunch of fibers sticking out from the base  $B$ , a section is like a haircut: it cuts through each fiber to produce a corresponding value. In physics, such sections are called fields—with spacetime as the base.

Just like we talked about a function object representing a set of functions, we can talk about an object  $S(E)$  that represents a set of sections of a given bundle  $E$ .

Just like we defined function application as a mapping out of the product:

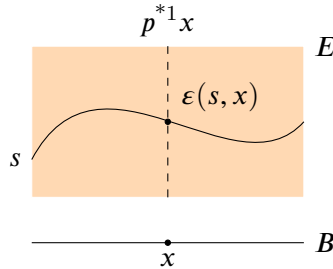
$$\varepsilon_{BC}: C^B \rightarrow C$$

we can define the dependent function application as a mapping:

$$\varepsilon: S(E) \rightarrow E$$

We can visualize it as picking a section  $s$  in  $S(E)$  and an element  $x$  of the base  $B$  and producing a value in the bundle  $E$ . (In physics, this would correspond to measuring a field at a particular point in spacetime.)

But this time we have to insist that this value be in the correct fiber. If we project the result of applying  $\varepsilon$  to  $(s, x)$ , it should fall back to the  $x$ .



In other words, this diagram must commute:

$$\begin{array}{ccc} S(E) \times B & \xrightarrow{\varepsilon} & E \\ \pi_2 \searrow & & \swarrow p \\ & B & \end{array}$$

This makes  $\varepsilon$  a morphism in the slice category  $C/B$ .

And just like the exponential object was universal, so is the object of sections. The universality condition has the same form: For any other object  $G$  with an arrow  $\phi: G \rightarrow B \rightarrow E$  there is a unique arrow  $\phi^T: G \rightarrow S(E)$  that makes the following diagram commute:

$$\begin{array}{ccc} G & \xrightarrow{\phi} & B \rightarrow E \\ \phi^T \downarrow & \searrow \varepsilon & \\ S(E) & \xrightarrow{\quad} & B \end{array}$$

The difference is that both  $\varepsilon$  and  $\phi$  are now morphisms in the slice category  $C/B$ .

The one-to-one correspondence between  $\phi$  and  $\phi^T$  forms the adjunction:

$$(C/B) \left( \left\langle \begin{array}{c} G \\ \pi_2 \end{array}, \begin{array}{c} B \\ p \end{array} \right\rangle, \left\langle \begin{array}{c} E \\ p \end{array} \right\rangle \right) \text{ } \ddot{\circ} \text{ } C(G, S(E))$$

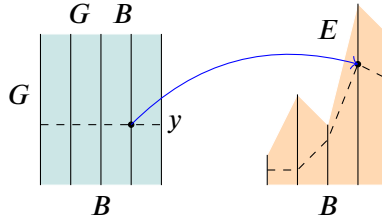
which we can use as the definition of the object of sections  $S(E)$ . The counit of this adjunction is the dependent-function application. We get it by replacing  $G$  with  $S(E)$  and selecting the identity morphism on the right. The counit is thus a member of the hom-set:

$$(C/B) \left( \left\langle \begin{array}{c} S(E) \\ \pi_2 \end{array}, \begin{array}{c} B \\ p \end{array} \right\rangle, \left\langle \begin{array}{c} E \\ p \end{array} \right\rangle \right)$$

Compare the above adjunction with the currying adjunction that defines the function object  $E^B$ :

$$C(G \times B, E) \text{ } \ddot{\circ} \text{ } C(G, E^B)$$

Now recall that, in *Set*, we interpret the product  $G \times B$  as planting copies of  $G$  as identical fibers over each element of  $B$ . So a single element of the left-hand side of our adjunction is a family of functions, one per fiber. Any given  $y \in G$  cuts a horizontal slice through  $G \times B$ . These are the pairs  $(y, b)$  for all  $b \in B$ . Our family of functions maps this slice to the corresponding fibers of  $E$  thus creating a section of  $E$ .



The adjunction tells us that this family of mappings uniquely determines a function from  $G$  to  $S(E)$ . Every  $y \in G$  is thus mapped to a different element  $s$  of  $S(E)$ . Therefore elements of  $S(E)$  are in one-to-one correspondence with sections of  $E$ .

These are all set-theoretical intuitions. We can generalize them by first noticing that the right hand side of the adjunction can be easily expressed as a hom-set in the slice category  $C/1$  over the terminal object.

Indeed, there is one-to-one correspondence between objects  $X$  in  $C$  and objects  $\langle X, ! \rangle$  in  $C/1$  (here  $!$  is the unique arrow to the terminal object). Arrows in  $C/1$  are arrows of  $C$  with no additional constraints. We therefore have:

$$(C/B) \left( \left\langle \begin{array}{c} G \quad B \\ \pi_2 \end{array} \right\rangle, \left\langle \begin{array}{c} E \\ p \end{array} \right\rangle \right) \ddot{\circ} (C/1) \left( \left\langle \begin{array}{c} G \\ ! \end{array} \right\rangle, \left\langle \begin{array}{c} S(E) \\ ! \end{array} \right\rangle \right)$$

### Adding the atlas

The next step is to “blur the focus” by replacing the terminal object with a more general base  $A$ , serving as the atlas.

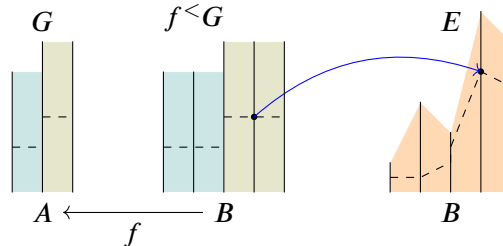
The right-hand side of the adjunction becomes a hom-set in the slice category  $C/A$ .  $G$  itself gets coarsely fibred by some  $q: G \rightarrow A$ .

Remember that  $G \rightarrow B$  can be understood as a pullback along the mapping  $!: B \rightarrow 1$ , or a change of base from  $1$  to  $B$ . If we want to replace  $1$  with  $A$ , we should replace the product  $G \rightarrow B$  with a more general pullback of  $q$ . Such a change of base is parameterized by a new morphism  $f: B \rightarrow A$ .

$$\begin{array}{ccc} G \times B & \xrightarrow{\pi_1} & G \\ \downarrow \pi_2 \lrcorner & & \downarrow ! \\ B & \xrightarrow{!} & 1 \end{array} \longrightarrow \begin{array}{ccc} f^<G & \xrightarrow{g} & G \\ f^<q \downarrow \lrcorner & & \downarrow q \\ B & \xrightarrow{f} & A \end{array}$$

The result is that, instead of a bunch of  $G$  fibers over  $B$ , we get a pullback  $f^<G$  that is populated by groups of fibers from the fibration  $q: G \rightarrow A$ . This way  $A$  serves as an atlas that enumerates all the patches populated by uniform fibers.

Imagine, for instance, that  $A$  is a two-element set. The fibration  $q$  will split  $G$  into two fibers. They will serve as our generic fibers. These fibers are now replanted over the two patches in  $B$  to form  $f^<G$ . The replanting is guided by  $f^{*1}$ .



The adjunction that defines the dependent function type is therefore:

$$(C/B) \left( f^< \left\langle \begin{smallmatrix} G \\ q \end{smallmatrix} \right\rangle, \left\langle \begin{smallmatrix} E \\ p \end{smallmatrix} \right\rangle \right) \dashv (C/A) \left( \left\langle \begin{smallmatrix} G \\ q \end{smallmatrix} \right\rangle, \Pi_f \left\langle \begin{smallmatrix} E \\ p \end{smallmatrix} \right\rangle \right)$$

This is a generalization of an adjunction that we used to define the object of sections  $S(E)$ . This one defines a new object  $\Pi_f E$  that is a rearrangement of the object of sections.

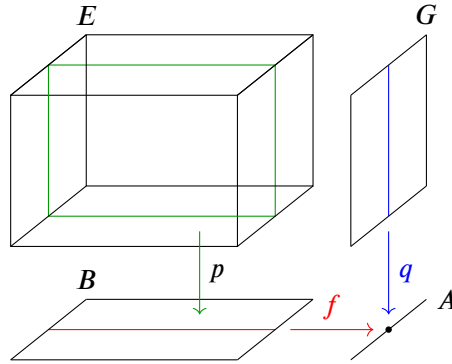
The adjunction is a mapping between morphisms in their respective slice categories:

$$\begin{array}{ccc} f^< G & \xrightarrow{\phi} & E \\ & \searrow f^< q & \swarrow p \\ & B & \end{array} \qquad \begin{array}{ccc} G & \xrightarrow{\phi^T} & \Pi_f E \\ & \searrow q & \swarrow \Pi_f p \\ & A & \end{array}$$

To gain some intuition into this adjunction, let's consider how it works on sets.

- The right hand side operates in a coarsely grained fibration over the atlas  $A$ . It is a family of functions, one function per patch. For every patch we get a function from the “thick fiber” of  $G$  (drawn in blue below) to the “thick fiber” of  $\Pi_f E$  (not shown).
- The left hand side operates in a more finely grained fibration over  $B$ . These fibers are grouped into small bundles over patches. Once we pick a patch (drawn in red below), we get a family of functions from that patch to the corresponding patch in  $E$  (drawn in green)—a section of a small bundle in  $E$ . So, patch-by-patch, we get small sections of  $E$ .

The adjunction tells us that the elements of the “thick fiber” of  $\Pi_f E$  correspond to small sections of  $E$  over the same patch.



In category theory, the dependent product, which is the right adjoint to the base change functor  $f^<$ , is denoted by  $f_<$ . For a given  $f : b \rightarrow a$ , it's a functor:

$$f_< : C/b \rightarrow C/a$$

The following exercises shed some light on the role played by  $f$ . It can be seen as localizing the sections of  $E$  by restricting them to “neighborhoods” defined by  $f^{*1}$ .

**Exercise 11.4.1.** Consider what happens when  $A$  is a two-element set  $\{0, 1\}$  and  $f$  maps the whole of  $B$  to one element, say 1. How would you define the function on the right-hand side of the adjunction? What should it do to the fiber over 0?

**Exercise 11.4.2.** Let's pick  $G$  to be a singleton set 1, and let  $x: 1 \rightarrow A$  be a fibration that selects an element in  $A$ . Using the adjunction, show that:

- $f^<1$  has two types of fibers: singletons over the elements of  $f^{*1}(x)$  and empty sets otherwise.
- A mapping  $\phi: f^<1 \rightarrow E$  is equivalent to a selection of elements, one from each fiber of  $E$  over the elements of  $f^{*1}(x)$ . In other words, it's a partial section of  $E$  over the subset  $f^{*1}(x)$  of  $B$ .
- A fiber of  $\Pi_f E$  over a given  $x$  is such a partial section.
- What happens when  $A$  is also a singleton set?

## Universal quantification

The logical interpretation of the dependent product  $\Pi_{x:B} T(x)$  is a universally quantified proposition. An element of  $\Pi_{x:B} T(x)$  is a section—the proof that it's possible to select an element from each member of the family  $T(x)$ . It means that none of them is empty. In other words, it's a proof of the proposition:

$$\bigwedge_{x:B} T(x)$$

## 11.5 Equality

Our first experience in mathematics involves equality. We learn that

$$1 + 1 = 2$$

and we don't think much of it afterwards.

But what does it mean that  $1 + 1$  is equal to 2? Two is a number, but one plus one is an expression, so they are not the same thing. There is some mental processing that we have to perform before we pronounce these two things equal.

Contrast this with the statement  $0 = 0$ , in which both sides of equality are *the same thing*.

It makes sense that, if we are to define equality, we'll have to at least make sure that everything is equal to itself. We call this property *reflexivity*.

Recall our definition of natural numbers:



```
data Nat where
  Z :: Nat
  S :: Nat -> Nat
```

This is how we can define equality for natural numbers:

```
equal :: Nat -> Nat -> Bool
equal Z Z = True
equal (S m) (S n) = equal m n
equal _ _ = False
```

We are recursively stripping *S*'s in each number until one of them reaches *Z*. If the other reaches *Z* at the same time, we pronounce the numbers we started with to be equal, otherwise they are not.

## Equational reasoning

Notice that, when defining equality in Haskell, we were already using the equal sign. For instance, the equal sign in:

```
equal Z Z = True
```

tells us that wherever we see the expression `equal Z Z` we can replace it with `True` and vice versa.

This is the principle of substituting equals for equals, which is the basis for *equational reasoning* in Haskell. We can't encode proofs of equality directly in Haskell, but we can use equational reasoning to reason about Haskell programs. This is one of the main advantages of pure functional programming. You can't perform such substitutions in imperative languages, because of side effects.

If we want to prove that  $1 + 1$  is 2, we have to first define addition. The definition can either be recursive in the first or in the second argument. This one recurses in the second argument:

```
add :: Nat -> Nat -> Nat
add n Z = n
add n (S m) = S (add n m)
```

We encode  $1 + 1$  as:

```
add (S Z) (S Z)
```

We can now use the definition of `add` to simplify this expression. We try to match the first clause, and we fail, because `S Z` is not the same as `Z`. But the second clause matches. In it, `n` is an arbitrary number, so we can substitute `S Z` for it, and get:

```
add (S Z) (S Z) = S (add (S Z) Z)
```

In this expression we can perform another substitution of equals using the first clause of the definition of `add` (again, with `n` replaced by `S Z`):

```
add (S Z) Z = (S Z)
```

We arrive at:

```
add (S Z) (S Z) = S (S Z)
```

We can clearly see that the right-hand side is the encoding of 2. But we haven't shown that our definition of equality is reflexive so, in principle, we don't know if

```
eq (S (S Z)) (S (S Z))
```

yields `True`. We have to use step-by-step equational reasoning again:

```
equal (S (S Z) (S (S Z))) =
  {- second clause of the definition of equal -}
equal (S Z) (S Z) =
  {- second clause of the definition of equal -}
equal Z Z =
  {- first clause of the definition of equal -}
True
```

We can use this kind of reasoning to prove statements about concrete numbers, but we run into problems when reasoning about generic numbers—for instance, showing that something is true for all `n`. Using our definition of addition, we can easily show that `add n Z` is the same as `n`. But we can't prove that `add Z n` is the same as `n`. The latter proof requires the use of induction.

We end up distinguishing between two kinds of equality. One is proven using substitutions, or rewriting rules, and is called *definitional equality*. You can think of it as macro expansion or inline expansion in programming languages. It also involves  $\beta$ -reductions: performing function application by replacing formal parameters by actual arguments, as in:

```
(\x -> x + x) 2 =
  {- beta reduction -}
2 + 2
```

The second more interesting kind of equality is called *propositional equality* and it may require actual proofs.

## Equality vs isomorphism

We said that category theorists prefer isomorphism over equality—at least when it comes to objects. It is true that, within the confines of a category, there is no way to differentiate between isomorphic objects. In general, though, equality is stronger than isomorphism. This is a problem, because it's very convenient to be able to substitute equals for equals, but it's not always clear that one can substitute isomorphic for isomorphic.

Mathematicians have been struggling with this problem, mostly trying to modify the definition of isomorphism—but a real breakthrough came when they decided to simultaneously weaken the definition of equality. This led to the development of *homotopy type theory*, or HoTT for short.

Roughly speaking, in type theory, specifically in Martin-Löf theory of dependent types, equality is represented as a type, and in order to prove equality one has to construct an element of that type—in the spirit of the Curry-Howard interpretation.

Furthermore, in HoTT, the proofs themselves can be compared for equality, and so on ad infinitum. You can picture this by considering proofs of equality not as points but as some abstract paths that can be morphed into each other; hence the language of homotopies.

In this setting, instead of isomorphism, which involves strict equalities of arrows:

$$f \circ g = id$$

$$g \circ f = id$$

one defines an *equivalence*, in which these equalities are treated as types.

The main idea of HoTT is that one can impose the *univalence axiom* which, roughly speaking, states that equalities are equivalent to equivalences, or symbolically:

$$(A = B) \ddot{\circ} (A \ddot{\circ} B)$$

Notice that this is an axiom, not a theorem. We can either take it or leave it and the theory is still valid (at least we think so).

## Equality types

Suppose that you want to compare two terms for equality. The first requirement is that both terms be of the same type. You can't compare apples with oranges. Don't get confused by some programming languages allowing comparisons of unlike terms: in every such case there is an implicit conversion involved, and the final equality is always between same-type values.

For every pair of values there is, in principle, a separate type of proofs of equality. There is a type for  $0 = 0$ , there is a type for  $1 = 1$ , and there is a type for  $1 = 0$ ; the latter hopefully uninhabited.

Equality type, a.k.a., identity type, is therefore a dependent type: it depends on the two values that we are comparing. It's usually written as  $\text{Id}_A$ , where  $A$  is the type of both values, or using an infix notation as  $x =_A y$  (equal sign with the subscript  $A$ ).

For instance, the type of equality of two zeros is written as  $\text{Id}_{\mathbb{N}}(0, 0)$  or:

$$0 =_{\mathbb{N}} 0$$

Notice: this is not a statement or a term. It's a *type*, like **Int** or **Bool**. You can define a value of this type if you have an introduction rule for it.

### Introduction rule

The introduction rule for the equality type is the dependent function:

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

which can be interpreted in the spirit of propositions as types as the proof of the statement:

$$\mathbb{A}_{x:A} x = x$$

This is the familiar reflexivity: it shows that, for all  $x$  of type  $A$ ,  $x$  is equal to itself. You can apply this function to some concrete value  $x$  of type  $A$ , and it will produce a new value of type  $\text{Id}_A(x, x)$ .

We can now prove that  $0 = 0$ . We can execute  $\text{refl}_{\mathbb{N}}(0)$  to get a value of the type  $0 =_{\mathbb{N}} 0$ . This value is the proof that the type is inhabited, and therefore corresponds to a true proposition.

This is the only introduction rule for equality, so you might think that all proofs of equality boil down to “they are equal because they are the same.” Surprisingly, this is not the case.

### $\beta$ -reduction and $\eta$ -conversion

In type theory we have this interplay of introduction and elimination rules that essentially makes them the inverse of each other.

Consider the definition of a product. We introduce it by providing two values,  $x : A$  and  $y : B$  and we get a value  $p : A \times B$ . We can then eliminate it by extracting two values using two projections. But how do we know if these are the same values that we used to construct it? This is something that we have to postulate. We call it the computation rule or the  $\beta$ -reduction rule.

Conversely, if we are given a value  $p : A \times B$ , we can extract the two components using projections, and then use the introduction rule to recompose it. But how do we know that we'll get the same  $p$ ? This too has to be postulated. This is sometimes called the uniqueness condition, or the  $\eta$ -conversion rule.

In the categorical model of type theory these two rules follow from the universal construction.

The equality type also has the elimination rule, which we'll discuss shortly, but we don't impose the uniqueness condition. It means that it's possible that there are some equality proofs that were not obtained using `refl`.

This is exactly the weakening of the notion of equality that makes HoTT interesting to mathematicians.

### Induction principle for natural numbers

Before formulating the elimination rule for equality, it's instructive to first discuss a simpler elimination rule for natural numbers. We've already seen such rule describing primitive recursion. It allowed us to define recursive functions by specifying a value `init` and a function `step`.

Using dependent types, we can generalize this rule to define the *dependent elimination rule* that is equivalent to the principle of mathematical induction.

The principle of induction can be described as a device to prove, in one fell swoop, whole families of propositions indexed by natural numbers. For instance, the statement that `add Z n` is equal to `n` is really an infinite number of propositions, one per each value of `n`.

We could, in principle, write a program that would meticulously verify this statement for a very large number of cases, but we'd never be sure if it holds in general. There are some conjectures about natural numbers that have been tested this way using computers but, obviously, they can never exhaust an infinite set of cases.

Roughly speaking, we can divide all mathematical theorems into two groups: the ones that can be easily formulated and the ones whose formulation is complex. They can be further subdivided into the ones whose proofs are simple, and the ones that are hard or impossible to prove. For instance, the famous Fermat's Last Theorem was extremely easy to formulate, but its proof required some massively complex mathematical machinery.

Here, we are interested in theorems about natural numbers that are both easy to formulate and easy to prove. We'll assume that we know how to generate a family of propositions or, equivalently, a dependent type  $T(n)$ , where  $n$  is a natural number.

We'll also assume that we have a value:

$$\text{init} : T(Z)$$

or, equivalently, the proof of the zeroth proposition; and a dependent function:

$$\text{step} : \prod_{n:\mathbb{N}} (T(n) \rightarrow T(Sn))$$

This function is interpreted as generating a proof of the  $(n + 1)$ st proposition from the proof of the  $n$ th proposition.

The *dependent elimination rule* for natural numbers postulates that, given such *init* and *step*, there exists a dependent function:

$$f : \prod_{n:\mathbb{N}} T(n)$$

This function is interpreted as providing the proof that  $T(n)$  is true for all  $n$ .

Moreover, this function, when applied to zero reproduces *init*:

$$f(Z) = \text{init}$$

and, when applied to the successor of  $n$ , is consistent with taking a step:

$$f(Sn) = (\text{step}(n))(f(n))$$

(Here,  $\text{step}(n)$  produces a function, which is then applied to the value  $f(n)$ .) These are the two *computation rules* for natural numbers.

Notice that the induction principle is not a theorem about natural numbers. It's part of the *definition* of the type of natural numbers.

Not all dependent mappings out of natural numbers can be decomposed into *init* and *step*, just as not all theorems about natural numbers can be proven inductively. There is no  $\eta$ -conversion rule for natural numbers.

### Equality elimination rule

The elimination rule for equality type is somewhat analogous to the induction principle for natural numbers. There we used *init* to ground ourselves at the start of the journey, and *step* to make progress. The elimination rule for equality requires a more powerful grounding, but it doesn't have a *step*. There really is no good analogy for how it works, other than through a leap of faith.

The idea is that we want to construct a mapping *out* of the equality type. But since equality type is itself a two-parameter family of types, the mapping out should be a dependent function. The target of this function is another family of types:

$$T(x, y, p)$$

that depends on the pair of values that are being compared  $x, y : A$ , and the proof of equality  $p : \text{Id}(x, y)$ .

The function we are trying to construct is:

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

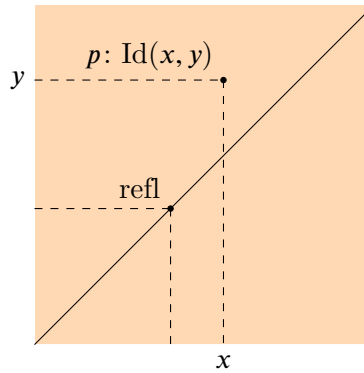
It's convenient to think of it as generating a proof that for all points  $x$  and  $y$ , and for every proof that the two are equal, the proposition  $T(x, y, p)$  is true. Notice that, potentially, we have a different proposition for *every proof* that the two points are equal.

The least that we can demand from  $T(x, y, p)$  is that it should be true when  $x$  and  $y$  are literally the same, and the equality proof is the obvious *refl*. This requirement can be expressed as a dependent function:

$$t : \prod_{x:A} T(x, x, \text{refl}(x))$$

Notice that we are not even considering proofs of  $x = x$ , other than those given by reflexivity. Do such proofs exist? We don't know and we don't care.

So this is our grounding, the starting point of a journey that should lead us to defining our  $f$  for all pairs of points and all proofs of equality. The intuition is that we are defining  $f$  as a function on a plane  $(x, y)$ , with a third dimension given by  $p$ . To do that, we're given something that's defined on the diagonal  $(x, x)$ , with  $p$  restricted to *refl*.



You would think that we need something more, some kind of a step that would move us from one point to another. But, unlike with natural numbers, there is no *next* point or *next* equality proof to jump to. All we have at our disposal is the function  $t$  and nothing else.

Therefore we postulate that, given a type family  $T(x, y, p)$  and a function:

$$t : \prod_{x:A} T(x, x, \text{refl}(x))$$

there exists a function:

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

such that (computation rule):

$$f(x, x, \text{refl}(x)) = t(x)$$

Notice that the equality in the computation rule is *definitional equality*, not a type.

Equality elimination tells us that it's always possible to extend the function  $t$ , which is defined on the diagonal, to the whole 3-d space.

This is a very strong postulate. One way to understand it is to argue that, within the framework of type theory—which is formulated using the language of introduction and elimination rules, and the rules for manipulating those—it’s *impossible* to define a type family  $T(x, y, p)$  that would *not* satisfy the equality elimination rule.

The closest analogy that we’ve seen so far is the result of parametricity, which states that, in Haskell, all polymorphic functions between endofunctors are automatically natural transformations. Another example, this time from calculus, is that any analytic function defined on the real axis has a unique extension to the whole complex plane.

The use of dependent types blurs the boundary between programming and mathematics. There is a whole spectrum of languages, starting with Haskell barely dipping its toes in dependent types while still firmly established in commercial usage, all the way to theorem provers, which are helping mathematicians formalize mathematical proofs.



## Chapter 12

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# Algebras

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The essence of algebra is the formal manipulation of expressions. But what are expressions, and how do we manipulate them?

The first things to observe about algebraic expressions like  $2(x + y)$  or  $ax^2 + bx + c$  is that there are infinitely many of them. There is a finite number of rules for making them, but these rules can be used in infinitely many combinations. This suggests that the rules are used *recursively*.

In programming, expressions are virtually synonymous to (parsing) trees. Consider this simple example of an arithmetic expression:

```
data Expr = Val Int
          | Plus Expr Expr
```

It's a recipe for building trees. We start with little trees using the **Val** constructor. We then plant these seedlings into nodes, and so on.

```
e2 = Val 2
e3 = Val 3
e5 = Plus e2 e3
e7 = Plus e5 e2
```

Such recursive definitions work perfectly well in a programming language. The problem is that every new recursive data structure would require its own library of functions that operate on it.

From type-theory point of view, we've been able to define recursive types, such as natural numbers or lists, by providing, in each case, specific introduction and elimination rules. What we need is something more general, a procedure for generating arbitrary recursive types from simpler pluggable components.

There are two orthogonal concerns when it comes to recursive data structures. One is the

machinery of recursion. The other is the pluggable components.

We know how to work with recursion: We assume that we know how to construct small trees. We then use the recursive step to plant those trees into nodes to make bigger trees.

Category theory tells us how to formalize this imprecise description.

## 12.1 Algebras from Endofunctors

The idea of planting smaller trees into nodes requires that we formalize what it means to have a data structure with holes—a “container for stuff.” This is exactly what functors are for. Because we want to use these functors recursively, they have to be *endo*-functors.

For instance, the endofunctor from our earlier example would be defined by the following data structure, where `x`’s mark the spots:

```
data ExprF x = ValF Int
              | PlusF x x
```

Information about all possible shapes of expressions is abstracted into one single functor.

The other important piece of information when defining an algebra is the recipe for evaluating expressions. This, too, can be encoded using the same endofunctor.

Thinking recursively, let’s assume that we know how to evaluate all subtrees of a larger expression. Then the remaining step is to plug these results into the top level node and evaluate it.

For instance, suppose that the `x`’s in the functor were replaced by integers—the results of evaluation of the subtrees. It’s pretty obvious what we should do in the last step. If the top of our tree is just a leaf `ValF` (which means there were no subtrees to evaluate) we’ll just return the integer stored in it. If it’s a `PlusF` node, we’ll add the two integers in it. This recipe can be encoded as:

```
eval :: ExprF Int -> Int
eval (ValF n)      = n
eval (PlusF m n)   = m + n
```

We have made some seemingly obvious assumptions based on common sense. For instance, since the node was called `PlusF` we assumed that we should add the two numbers. But multiplication or subtraction would work equally well.

Since the leaf `ValF` contained an integer, we assumed that the expression should evaluate to an integer. But there is an equally plausible evaluator that pretty-prints the expression by converting it to a string. This evaluator uses concatenation instead of addition:

```
pretty :: ExprF String -> String
pretty (ValF n)    = show n
pretty (PlusF s t) = s ++ " + " ++ t
```

In fact there are infinitely many evaluators, some sensible, others less so, but we shouldn't be judgmental. Any choice of the target type and any choice of the evaluator should be equally valid. This leads to the following definition:

An *algebra* for an endofunctor  $F$  is a pair  $(c, \alpha)$ . The object  $c$  is called the *carrier* of the algebra, and the evaluator  $\alpha: Fc \rightarrow c$  is called the *structure map*.

In Haskell, given the functor `f` we define:

```
type Algebra f c = f c -> c
```

Notice that the evaluator is *not* a polymorphic function. It's a specific choice of a function for a specific type `c`. There may be many choices of the carrier types and there be many different evaluators for a given type. They all define separate algebras.

We have previously defined two algebras for `ExprF`. This one has `Int` as a carrier:

```
eval :: Algebra ExprF Int
eval (ValF n)    = n
eval (PlusF m n) = m + n
```

and this one has `String` as a carrier:

```
pretty :: Algebra ExprF String
pretty (ValF n)    = show n
pretty (PlusF s t) = s ++ " + " ++ t
```

## 12.2 Category of Algebras

Algebras for a given endofunctor  $F$  form a category. An arrow in that category is an algebra morphism, which is a structure-preserving arrow between their carrier objects.

Preserving structure in this case means that the arrow must commute with the two structure maps. This is where functoriality comes into play. To switch from one structure map to another, we have to be able to lift an arrow that goes between their carriers.

Given an endofunctor  $F$ , an *algebra morphism* between two algebras  $(a, \alpha)$  and  $(b, \beta)$  is an arrow  $f: a \rightarrow b$  that makes this diagram commute:

$$\begin{array}{ccc} Fa & \xrightarrow{Ff} & Fb \\ \downarrow \alpha & & \downarrow \beta \\ a & \xrightarrow{f} & b \end{array}$$

In other words, the following equation must hold:

$$f \circ \alpha = \beta \circ Ff$$

The composition of two algebra morphisms is again an algebra morphism, which can be seen by pasting together two such diagrams (a functor maps composition to composition). The identity arrow is also an algebra morphism, because

$$id_a \circ \alpha = \alpha \circ F(id_a)$$

(a functor maps identity to identity).

The commuting condition in the definition of an algebra morphism is very restrictive. Consider for instance a function that maps an integer to a string. In Haskell there is a `show` function (actually, a method of the `Show` class) that does it. It is *not* an algebra morphism from `eval` to `pretty`.

**Exercise 12.2.1.** Show that `show` is not an algebra morphism. Hint: Consider what happens to the `PlusF` node.

## Initial algebra

The initial object in the category of algebras for a given functor  $F$  is called the *initial algebra* and, as we'll see, it plays a very important role.

By definition, the initial algebra  $(i, \iota)$  has a unique algebra morphism  $f$  from it to any other algebra  $(a, \alpha)$ . Diagrammatically:

$$\begin{array}{ccc} Fi & \xrightarrow{Ff} & Fa \\ \downarrow \iota & & \downarrow \alpha \\ i & \xrightarrow{f} & a \end{array}$$

This unique morphism is called a *catamorphism* for the algebra  $(a, \alpha)$ . It is sometimes written using “banana brackets” as  $\langle \alpha \rangle$ .

**Exercise 12.2.2.** Let's define two algebras for the following functor:

```
data FloatF x = Num Float | Op x x
```

The first algebra:

```
addAlg :: Algebra FloatF Float
addAlg (Num x) = log x
addAlg (Op x y) = x + y
```

The second algebra:

```

mulAlg :: Algebra FloatF Float
mulAlg (Num x) = x
mulAlg (Op x y) = x * y

```

Make a convincing argument that `log` (logarithm) is an algebra morphism between these two. (`Float` is a built-in floating-point number type.)

## 12.3 Lambek's Lemma and Fixed Points

Lambek's lemma says that the structure map  $\iota$  of the initial algebra is an isomorphism.

The reason for it is the self-similarity of algebras. You can lift any algebra  $(a, \alpha)$  using  $F$ , and the result  $(Fa, F\alpha)$  is also an algebra with the structure map  $F\alpha: F(Fa) \rightarrow Fa$ .

In particular, if you lift the initial algebra  $(i, \iota)$ , you get a new algebra with the carrier  $Fi$  and the structure map  $F\iota: F(Fi) \rightarrow Fi$ . It follows then that there must be a unique algebra morphism from the initial algebra to it:

$$\begin{array}{ccc}
 Fi & \xrightarrow{Fh} & F(Fi) \\
 \downarrow \iota & & \downarrow F\iota \\
 i & \xrightarrow{h} & Fi
 \end{array}$$

This  $h$  is the inverse of  $\iota$ . To see that, let's consider the composition  $\iota \circ h$ . It is the arrow at the bottom of the following diagram

$$\begin{array}{ccccc}
 Fi & \xrightarrow{Fh} & F(Fi) & \xrightarrow{F\iota} & Fi \\
 \downarrow \iota & & \downarrow F\iota & & \downarrow \iota \\
 i & \xrightarrow{h} & Fi & \xrightarrow{\iota} & i
 \end{array}$$

This is a pasting of the original diagram with a trivially commuting diagram. Therefore the whole rectangle commutes. We can interpret this as  $\iota \circ h$  being an algebra morphism from  $(i, \iota)$  to itself. But there already is such an algebra morphism—the identity. So, by uniqueness of the mapping out from the initial algebra, these two must be equal:

$$\iota \circ h = id_i$$

Knowing that, we can now go back to the previous diagram, which states that:

$$h \circ \iota = F\iota \circ Fh$$

Since  $F$  is a functor, it maps composition to composition and identity to identity. Therefore the right hand side is equal to:

$$F(\iota \circ h) = F(id_i) = id_{Fi}$$

We have thus shown that  $h$  is the inverse of  $\iota$ , which means that  $\iota$  is an isomorphism. In other words:

$$Fi \circ i$$

We interpret this identity as stating that  $i$  is a fixed point of  $F$  (up to isomorphism). The action of  $F$  on  $i$  “doesn’t change it.”

There may be many fixed points, but this one is the *least fixed point* because there is an algebra morphism from it to any other fixed point. The least fixed point of an endofunctor  $F$  is denoted  $\mu F$ , so we write:

$$i = \mu F$$

## Fixed point in Haskell

Let’s consider how the definition of the fixed point works with our original example given by the endofunctor:

```
data ExprF x = ValF Int | PlusF x x
```

Its fixed point is a data structure defined by the property that `ExprF` acting on it reproduces it. If we call this fixed point `Expr`, the fixed point equation becomes (in pseudo-Haskell):

```
Expr = ExprF Expr
```

Expanding `ExprF` we get:

```
Expr = ValF Int | PlusF Expr Expr
```

Compare this with the recursive definition (actual Haskell):

```
data Expr = Val Int | Plus Expr Expr
```

We get a recursive data structure as a solution to the fixed-point equation.

In Haskell, we can define a fixed point data structure for any functor (or even just a type constructor). As we’ll see later, this doesn’t always give us the carrier of the initial algebra. It only works for those functors that have the “leaf” component.

Let’s call `Fix f` the fixed point of a functor `f`. Symbolically, the fixed-point equation can be written as:

$$f(\text{Fix } f) \circ \text{Fix } f$$

or, in code,

```
data Fix f where
  In :: f (Fix f) -> Fix f
```

The data constructor `In` is exactly the structure map of the initial algebra whose carrier is `Fix f`. Its inverse is:

```
out :: Fix f -> f (Fix f)
out (In x) = x
```

The Haskell standard library contains a more idiomatic definition:

```
newtype Fix f = Fix { unFix :: f (Fix f) }
```

To create terms of the type `Fix f` we often use “smart constructors.” For instance, with the `ExprF` functor, we would define:

```
val :: Int -> Fix ExprF
val n = In (ValF n)

plus :: Fix ExprF -> Fix ExprF -> Fix ExprF
plus e1 e2 = In (PlusF e1 e2)
```

and use it to generate expression trees like this one:

```
e9 :: Fix ExprF
e9 = plus (plus (val 2) (val 3)) (val 4)
```

## 12.4 Catamorphisms

Our goal, as programmers, is to be able to perform a computation over a recursive data structure—to “fold” it. We now have all the ingredients.

The data structure is defined as a fixed point of a functor. An algebra for this functor defines the operation we want to perform. We’ve seen the fixed point and the algebra combined in the following diagram:

$$\begin{array}{ccc} Fi & \xrightarrow{Ff} & Fa \\ \downarrow \iota & & \downarrow \alpha \\ i & \xrightarrow{f} & a \end{array}$$

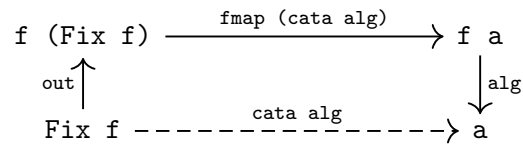
that defines the catamorphism  $f$  for the algebra  $(a, \alpha)$ .

The final piece of information is the Lambek’s lemma, which tells us that  $\iota$  could be inverted because it’s an isomorphism. It means that we can read this diagram as:

$$f = \alpha \circ Ff \circ \iota^{*1}$$

and interpret it as a recursive definition of  $f$ .

Let’s redraw this diagram using Haskell notation. The catamorphism depends on the algebra so, for the algebra with the carrier `a` and the evaluator `alg`, we’ll have the catamorphism `cata alg`.



By simply following the arrows, we get this recursive definition:

```
cata :: Functor f => Algebra f a -> Fix f -> a
cata alg = alg . fmap (cata alg) . out
```

Here's what's happening: We apply this definition to some **Fix** *f*. Every **Fix** *f* is obtained by applying **In** to a functorful of **Fix** *f*:

```
data Fix f where
  In :: f (Fix f) -> Fix f
```

The function **out** “strips” the data constructor **In**:

```
out :: Fix f -> f (Fix f)
out (In x) = x
```

We can now evaluate the functorful of **Fix** *f* by **fmap**'ing **cata** *alg* over it. This is a recursive application. The idea is that the trees inside the functor are smaller than the original tree, so the recursion eventually terminates. It terminates when it hits the leaves.

After this step, we are left with a functorful of values, and we apply the evaluator **alg** to it, to get the final result.

The power of this approach is that all the recursion is encapsulated in one data type and one library function: We have the definition of **Fix** and the catamorphism **cata**. The client of the library provides only the *non-recursive* pieces: the functor and the algebra. These are much easier to deal with. We have decomposed a complex problem into simpler components.

## Examples

We can immediately apply this construction to our earlier examples. You can check that:

```
cata eval e9
```

evaluates to 9 and

```
cata pretty e9
```

evaluates to the string `"2 + 3 + 4"`.

Sometimes we want to display the tree on multiple lines with indentation. This requires passing a depth counter to recursive calls. There is a clever trick that uses a function type as a carrier:



```
pretty' :: Algebra ExprF (Int -> String)
pretty' (ValF n) i = indent i ++ show n
pretty' (PlusF f g) i = f (i + 1) ++ "\n" ++
                        indent i ++ "+" ++ "\n" ++
                        g (i + 1)
```

The auxiliary function `indent` replicates the space character:

```
indent n = replicate (n * 2) ' '
```

The result of:

```
cata pretty' e9 0
```

when printed, looks like this:

```
  2
+
  3
+
  4
```

Let's try defining algebras for other familiar functors. The fixed point of the `Maybe` functor:

```
data Maybe x = Nothing | Just x
```

after some renaming, is equivalent to the type of natural numbers

```
data Nat = Z | S Nat
```

An algebra for this functor consists of a choice of the carrier `a` and an evaluator:

```
alg :: Maybe a -> a
```

The mapping out of `Maybe` is determined by two things: the value corresponding to `Nothing` and a function `a->a` corresponding to `Just`. In our discussion of the type of natural numbers we called these `init` and `step`. We can now see that the elimination rule for `Nat` is the catamorphism for this algebra.

## Lists as initial algebras

The list type that we've seen previously is equivalent to a fixed point of the following functor, which is parameterized by the type of the list contents `a`:

```
data ListF a x = NilF | ConsF a x
```

An algebra for this functor is a mapping out:

```
alg :: ListF a c -> c
alg NilF = init
alg (ConsF a c) = step (a, c)
```

which is determined by the value `init` and the function `step`:

```
init :: c
step :: (a, c) -> c
```

A catamorphism for such an algebra is the list recursor:

```
recList :: c -> ((a, c) -> c) -> (List a -> c)
```

where `(List a)` can be identified with the fixed point `Fix (ListF a)`.

We’ve seen before a recursive function that reverses a list. It was implemented by appending elements to the end of a list, which is very inefficient. It’s easy to rewrite this function using a catamorphism, but the problem remains.

Prepending elements, on the other hand, is cheap. A better algorithm would traverse the list, accumulating elements in a first-in-first-out queue, and then pop them one-by-one and prepend them to a new list.

The queue regimen can be implemented using composition of closures: each closure is a function that remembers its environment. Here’s the algebra whose carrier is a function type:

```
revAlg :: Algebra (ListF a) ([a] -> [a])
revAlg NilF = id
revAlg (ConsF a f) = \as -> f (a : as)
```

At each step, this algebra creates a new function. This function, when executed, will apply the previous function `f` to a list, which is the result of prepending the current element `a` to the function’s argument `as`. The resulting closure remembers the current element `a` and the previous function `f`.

The catamorphism for this algebra accumulates a queue of such closures. To reverse a list, we apply the result of the catamorphism for this algebra to the empty list:

```
reverse :: Fix (ListF a) -> [a]
reverse as = (cata revAlg as) []
```

This trick is at the core of the fold-left function, `foldl`. Care should be taken when using it, because of the danger of stack overflow.

Lists are so common that their eliminators (called “folds”) are included in the standard library. But there are infinitely many possible recursive data structures, each generated by its own functor, and we can use the same catamorphism on all of them.

It’s worth mentioning that the list construction works in any monoidal category with co-

products. We can replace the list functor with the more general:

$$Fx = I + a \otimes x$$

where  $I$  is the unit object and  $\otimes$  is the tensor product. The solution to the fixed point equation:

$$L_a \cong I + a \otimes L_a$$

can be formally written as a series:

$$L_a = I + a + a \otimes a + a \otimes a \otimes a + \dots$$

We interpret this as a definition of a list, which can be empty  $I$ , a singleton  $a$ , a two-element list  $a \otimes a$  and so on.

Incidentally, if you squint hard enough, this solution can be obtained by following a sequence of formal transformations:

$$\begin{aligned} & L_a \cong I + a \otimes L_a \\ & L_a * a \otimes L_a \cong I \\ & (I * a) \otimes L_a \cong I \\ & L_a \cong I / (I * a) \\ & L_a \cong I + a + a \otimes a + a \otimes a \otimes a + \dots \end{aligned}$$

where the last step uses the formula for the sum of the geometric series. Admittedly, the intermediate steps make no sense, since there is no subtraction or division defined on objects, yet the final result make sense and, as we'll see later, it may be made rigorous by considering a colimit of a chain of objects.

## 12.5 Initial Algebra from Universality

Another way of looking at the initial algebra, at least in  $\mathbf{Set}$ , is to view it as a collection of catamorphisms that, as a whole, hint at the existence of an underlying object. Instead of seeing  $\mu F$  as a set of trees, we can look at it as a set of functions from algebras to their carriers.

In a way, this is just another manifestation of the Yoneda lemma: every data structure can be described either by mappings in or mappings out. The mappings in, in this case, are the constructors of the recursive data structure. The mappings out are all the catamorphisms that can be applied to it.

First, let's make the polymorphism in the definition of `cata` explicit:

```
cata :: Functor f => forall a. Algebra f a -> Fix f -> a
cata alg = alg . fmap (cata alg) . out
```

and then flip the arguments. We get:

```
cata' :: Functor f => Fix f -> forall a. Algebra f a -> a
cata' (In x) = \alg -> alg (fmap (flip cata' alg) x)
```

The function `flip` reverses the order of arguments to a function:

```
flip :: (a -> b -> c) -> (b -> a -> c)
flip f b a = f a b
```

This gives us a mapping from `Fix f` to a set of polymorphic functions.

Conversely, given a polymorphic function of the type:

```
forall a. Algebra f a -> a
```

we can reconstruct `Fix f`:

```
uncata :: Functor f => (forall a. Algebra f a -> a) -> Fix f
uncata alga = alga In
```

In fact, these two functions, `cata'` and `uncata`, are the inverse of each other, establishing the isomorphism between `Fix f` and the type of polymorphic functions:

```
data Mu f = Mu (forall a. Algebra f a -> a)
```

We can now substitute `Mu f` everywhere we used `Fix f`.

Folding over `Mu f` is easy, since `Mu` carries in itself its own set of catamorphisms:

```
cataMu :: Algebra f a -> (Mu f -> a)
cataMu alg (Mu h) = h alg
```

You might be wondering how one can construct terms of the type `Mu f` for, let's say lists. It can be done using recursion:

```
fromList :: forall a. [a] -> Mu (ListF a)
fromList as = Mu h
  where h :: forall x. Algebra (ListF a) x -> x
        h alg = go as
          where
            go [] = alg NilF
            go (n: ns) = alg (ConsF n (go ns))
```

To compile this code you have to use the language pragma:

```
{-# language ScopedTypeVariables #-}
```

which puts the type variable `a` in the scope of the `where` clause.

**Exercise 12.5.1.** Write a test that takes a list of integers, converts it to the `Mu` form, and calculates the sum using `cataMu`.

## 12.6 Initial Algebra as a Colimit

In general, there is no guarantee that the initial object in the category of algebras exists. But if it exists, Lambek’s lemma tells us that it’s a fixed point of the endofunctor for those algebras. The construction of this fixed point is a little mysterious, since it involves tying the recursive knot.

Loosely speaking, the fixed point is reached after we apply the functor infinitely many times. Then, applying it once more won’t change anything. Infinity plus one is still infinity. This idea can be made precise if we take it one step at a time. For simplicity, let’s consider algebras in the category of sets, which has all the nice properties.

We’ve seen, in our examples, that building instances of recursive data structures always starts with the leaves. The leaves are the parts in the definition of the functor that don’t depend on the type parameter: the `NilF` of the list, the `ValF` of the tree, the `Nothing` of the `Maybe`, etc.

We can tease them out if we apply our functor  $F$  to the initial object—the empty set  $0$ . Since the empty set has no elements, the instances of the type  $F0$  are leaves only.

Indeed, the only inhabitant of the type `Maybe Void` is constructed using `Nothing`. The only inhabitants of the type `ExprF Void` are `ValF n`, where `n` is an `Int`.

In other words,  $F0$  is the “type of leaves” for the functor  $F$ . Leaves are trees of depth one. For the `Maybe` functor there’s only one. The type of leaves for this functor is a singleton:

```
m1 :: Maybe Void
m1 = Nothing
```

In the second iteration, we apply  $F$  to the leaves from the previous step and get trees of depth at most two. Their type is  $F(F0)$ .

For instance, these are all the terms of the type `Maybe (Maybe Void)`:

```
m2, m2' :: Maybe (Maybe Void)
m2 = Nothing
m2' = Just Nothing
```

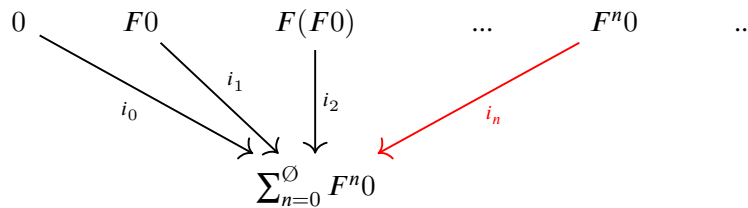
We can continue this process, adding deeper and deeper trees at each step. In the  $n$ -th iteration, the type  $F^n0$  ( $n$ -fold application of  $F$  to the initial object) describes all trees of depth up to  $n$ . However, for every  $n$ , there are still infinitely many trees of depth greater than  $n$  that are not covered.

If we knew how to define  $F^\emptyset 0$ , we would have covered all possible trees. The next best thing that we could try is to add up all those partial trees and construct an infinite sum type. Just like we have defined sums of two types, we can define sums of many types, including infinitely many.

An infinite sum (a coproduct):

$$\sum_{n=0}^{\emptyset} F^n 0$$

is just like a finite sum, except that it has infinitely many constructors  $i_n$ :



It has the universal mapping-out property, just like the sum of two types, only with infinitely many cases. (Obviously, we can't express it in Haskell.)

To construct a tree of depth  $n$ , we would first select it from  $F^n 0$  and use the  $n$ -th constructor  $i_n$  to inject it into the sum.

There is just one problem: the same tree shape can also be constructed using any of the  $F^m 0$ , for  $m > n$ .

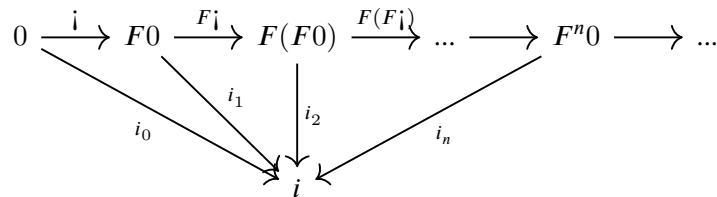
Indeed, we've seen the leaf **Nothing** appear in **Maybe Void** and **Maybe (Maybe Void)**. In fact it shows up in any nonzero power of **Maybe** acting on **Void**.

Similarly, **Just Nothing** shows up in all powers starting with two.

**Just (Just (Nothing))** shows up in all powers starting with three, and so on...

But there is a way to get rid of all these duplicates. The trick is to replace the sum by a colimit. Instead of a diagram consisting of discrete objects, we can construct a chain (such chains are called  $\omega$ -chains). Let's call this chain  $\Gamma$ , and its colimit  $i$ :

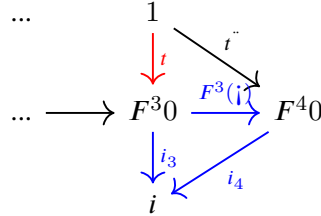
$$i = \text{Colim } \Gamma$$



It's almost the same as the sum, but with additional arrows at the base of the cocone. These arrows are the cumulative liftings of the unique arrow  $\downarrow$  that goes from the initial object to  $F0$

(we called it **absurd** in Haskell). The effect of these arrows is to collapse the set of infinitely many copies of the same tree down to just one representative.

To see that, consider for instance a tree of depth 3. It can be first found as an element of  $F^3 0$ , that is to say, as an arrow  $t: 1 \rightarrow F^3 0$ . It is injected into the colimit  $i$  as the composite  $i_3 \circ t$ .



The same shape of a tree is also found in  $F^4 0$ , as the composite  $t'' = F^3(i) \circ t$ . It is injected into the colimit as the composite  $i_4 \circ t'' = i_4 \circ F^3(i) \circ t$ .

This time, however, we have the commuting triangle—the face of the cocone:

$$i_4 \circ F^3(i) = i_3$$

which means that:

$$i_4 \circ t'' = i_4 \circ F^3(i) \circ t = i_3 \circ t$$

The two copies of the tree have been identified in the colimit. You can convince yourself that this procedure removes all duplicates.

## The proof

We can prove directly that  $i = \text{Colim } \Gamma$  is the initial algebra. There is however one assumption that we have to make: the functor  $F$  must preserve the colimits of  $\omega$ -chains. The colimit of  $F\Gamma$  must be equal to  $Fi$ .

$$\text{Colim}(F\Gamma) \cong Fi$$

Fortunately, this assumption holds in  $\text{Set}$ <sup>1</sup>.

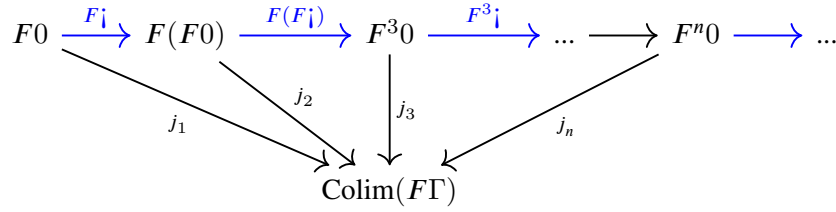
Here's the sketch of the proof: To show the isomorphism, we'll first construct an arrow  $i \rightarrow Fi$  and then an arrow  $\iota: Fi \rightarrow i$  in the opposite direction. We'll skip the proof that they are the inverse of each other. Then we'll show the universality of  $(i, \iota)$  by constructing a catamorphism to an arbitrary algebra.

All subsequent proofs follow a simple pattern. We start with a universal cocone that defines a colimit. Then we construct another cocone based on the same chain. From universality, there must be a unique arrow from the colimit to the apex of this new cocone.

<sup>1</sup>This is the consequence of the fact that colimits in  $\text{Set}$  are built from disjoint unions of sets.

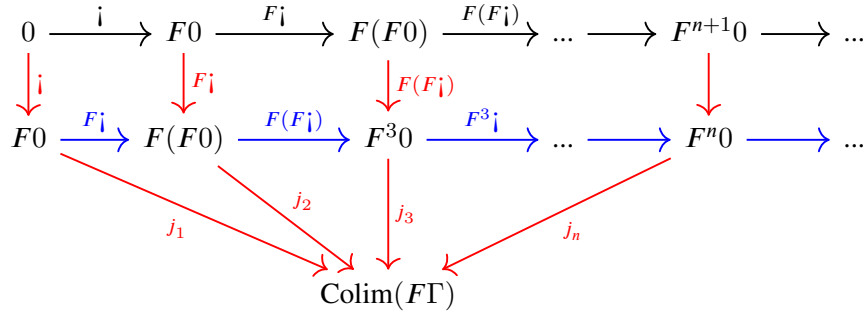
We use this trick to construct the mapping  $i \rightarrow Fi$ . If we can construct a cocone from the chain  $\Gamma$  to  $\text{Colim}(F\Gamma)$  then, by universality, there must be an arrow from  $i$  to  $\text{Colim}(F\Gamma)$ . The latter, by our assumption that  $F$  preserves colimits, is isomorphic to  $Fi$ . So we'll have a mapping  $i \rightarrow Fi$ .

To construct this cocone, first notice that  $\text{Colim}(F\Gamma)$  is, by definition, the apex of a cocone  $F\Gamma$ .



The diagram  $F\Gamma$  is the same as  $\Gamma$ , except that it's missing the naked initial object at the start of the chain.

The spokes of the cocone we are looking for, from  $\Gamma$  to  $\text{Colim}(F\Gamma)$ , are marked in red in the diagram below:

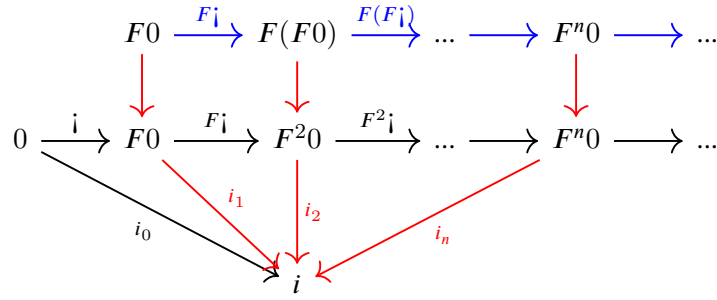


Since  $i = \text{Colim } \Gamma$  is the apex of the universal cocone based on  $\Gamma$ , there must be a unique mapping out of it to  $\text{Colim}(F\Gamma)$  which, as we said, was equal to  $Fi$ . This is the mapping we were looking for:

$$i \rightarrow Fi$$

Next, notice that the chain  $F\Gamma$  is a sub-chain of  $\Gamma$ , so it can be embedded in it. It means that we can construct a cocone from  $F\Gamma$  to the apex  $i$  by going through (a sub-chain of)  $\Gamma$  (the red arrows below).





From the universality of the  $\text{Colim}(F\Gamma)$  it follows that there is a mapping out

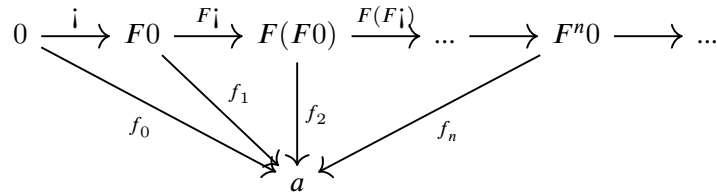
$$\text{Colim}(F\Gamma) \rightarrow i$$

and thus we have the mapping in the other direction:

$$\iota: Fi \rightarrow i$$

This shows that  $i$  is a carrier of an algebra. In fact, it can be shown that the two mappings are the inverse of each other, as we would expect from the Lambek's lemma.

To show that  $(i, \iota)$  is indeed the initial algebra, we have to construct a mapping out of it to an arbitrary algebra  $(a, \alpha: Fa \rightarrow a)$ . Again, we can use universality, as long as we can construct a cocone from  $\Gamma$  to  $a$ .



The zeroth spoke of this cocone goes from  $0$  to  $a$ , so it's just  $f_0 = \iota$ .

The first spoke,  $F0 \rightarrow a$ , is  $f_1 = \alpha \circ Ff_0$ , because  $Ff_0: F0 \rightarrow Fa$  and  $\alpha: Fa \rightarrow a$ .

The third spoke,  $F(F0) \rightarrow a$  is  $f_2 = \alpha \circ Ff_1$ . And so on...

The unique mapping from  $i$  to  $a$  is then our catamorphism. With some more diagram chasing, it can be shown that it's indeed an algebra morphism.

Notice that this construction only works if we can "prime" the process by creating the leaves of the functor. If, on the other hand,  $F0 \cong 0$ , then there are no leaves, and all further iterations will keep reproducing  $0$ .



## Chapter 13

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# Coalgebras

---

Coalgebras are just algebras in the opposite category. End of chapter!

Well, maybe not... As we've seen before, the category in which we're working is not symmetric with respect to duality. In particular, if we compare the terminal and the initial objects, their properties are not symmetric. Our initial object has no incoming arrows, whereas the terminal one, besides having unique incoming arrows, has lots of outgoing arrows.

Since initial algebras were constructed starting from the initial object, we might expect terminal coalgebras—which are their duals, therefore generated from the terminal object—not to be just their mirror images, but to add their own interesting twists.

We've seen that the main application of algebras was in processing recursive data structures: in folding them. Dually, the main application of coalgebras is in generating, or unfolding, the recursive, tree-like, data structures. The unfolding is done using an anamorphism.

We use catamorphisms to chop trees, we use anamorphisms to grow them.

We cannot produce information from nothing so, in general, both a catamorphism and an anamorphism tend to reduce the amount of information that's contained in their input.

After you sum a list of integers, it's impossible to recover the original list.

By the same token, if you grow a recursive data structure using an anamorphism, the seed must contain all the information that ends up in the tree. You don't gain new information, but the advantage is that the information you have is now stored in a form that's more convenient for further processing.

### 13.1 Coalgebras from Endofunctors

A coalgebra for an endofunctor  $F$  is a pair consisting of a carrier  $a$  and a structure map: an arrow  $a \rightarrow Fa$ .

In Haskell, we define:

```
type Coalgebra f a = a -> f a
```

We often think of the carrier as the type of a seed from which we grow the data structure, be it a list or a tree.

For instance, here's a functor that can be used to create a binary tree, with integers stored at the nodes:

```
data TreeF x = LeafF | NodeF Int x x
deriving (Show, Functor)
```

We don't even have to define the instance of `Functor` for it—the `deriving` clause tells the compiler to generate the canonical one for us (together with the `Show` instance to allow conversion to `String`, if we want to display it).

A coalgebra is a function that takes a seed of the carrier type and produces a functorful of new seeds. These new seeds can then be used to generate the subtrees, recursively.

Here's a coalgebra for the functor `TreeF` that takes a list of integers as a seed:

```
split :: Coalgebra TreeF [Int]
split [] = LeafF
split (n : ns) = NodeF n left right
  where
    (left, right) = partition (<= n) ns
```

If the seed is empty, it generates a leaf; otherwise it creates a new node. This node stores the head of the list and fills the node with two new seeds. The library function `partition` splits a list using a user-defined predicate, here `(<= n)`, less-than-or-equal to `n`. The result is a pair of lists: the first one satisfying the predicate; and the second, not.

You can convince yourself that a recursive application of this coalgebra creates a binary sorted tree. We'll use this coalgebra later to implement a sort.

## 13.2 Category of Coalgebras

By analogy with algebra morphisms, we can define coalgebra morphisms as the arrows between carriers that satisfy a commuting condition.

Given two coalgebras  $(a, \alpha)$  and  $(b, \beta)$ , the arrow  $f : a \rightarrow b$  is a coalgebra morphism if the following diagram commutes:

$$\begin{array}{ccc} a & \xrightarrow{f} & b \\ \downarrow \alpha & & \downarrow \beta \\ Fa & \xrightarrow{Ff} & Fb \end{array}$$

The interpretation is that it doesn't matter if we first map the carriers and then apply the coalgebra  $\beta$ , or first apply the coalgebra  $\alpha$  and then apply the arrow to its contents, using the lifting  $Ff$ .

Coalgebra morphisms can be composed, and the identity arrow is automatically a coalgebra morphism. It's easy to see that coalgebras, just like algebras, form a category.

This time, however, we are interested in the terminal object in this category—a *terminal coalgebra*. If a terminal coalgebra  $(t, \tau)$  exists, it satisfies the dual of the Lambek's lemma.

**Exercise 13.2.1.** *Lambek's lemma: Show that the structure map  $\tau$  of the terminal coalgebra  $(t, \tau)$  is an isomorphism. Hint: The proof is dual to the one for the initial algebra.*

As a consequence of the Lambek's lemma, the carrier of the terminal algebra is a fixed point of the endofunctor in question.

$$Ft \cong t$$

with  $\tau$  and  $\tau^{*1}$  serving as the witnesses of this isomorphism.

It also follows that  $(t, \tau^{*1})$  is an algebra; just as  $(i, i^{*1})$  is a coalgebra, assuming that  $(i, i)$  is the initial algebra.

We've seen before that the carrier of the initial algebra is a fixed point. In principle, there may be many fixed points for the same endofunctor. The initial algebra is the least fixed point and the terminal coalgebra the greatest fixed point.

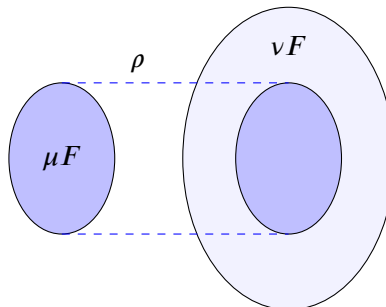
The greatest fixed point of an endofunctor  $F$  is denoted by  $\nu F$ , so we have:

$$t = \nu F$$

We can also see that there must be a unique algebra morphism (a catamorphism) from the initial algebra to the terminal coalgebra. That's because the terminal coalgebra is also an algebra.

Similarly, there is a unique coalgebra morphism from the initial algebra (which is also a coalgebra) to the terminal coalgebra. In fact, it can be shown that it's the same underlying morphism  $\rho: \mu F \rightarrow \nu F$  in both cases.

In the category of sets, the carrier set of the initial algebra is a subset of the carrier set of the terminal coalgebra, with the function  $\rho$  embedding the former in the latter.



We’ll see later that in Haskell the situation is more subtle, because of lazy evaluation. But, at least for functors that have the leaf component—that is, their action on the initial object is non-trivial—Haskell’s fixed point type works as a carrier for both the initial algebra and the terminal coalgebra.

```
data Fix f where
  In :: f (Fix f) -> Fix f
```

**Exercise 13.2.2.** *Show that, for the identity functor in Set, every object is a fixed point, the empty set is the least fixed point, and the singleton set is the greatest fixed point. Hint: The least fixed point must have arrows going to all other fixed points, and the greatest fixed point must have arrows coming from all other fixed points.*

**Exercise 13.2.3.** *Show that the empty set is the carrier of the initial algebra for the identity functor in Set. Dually, show that the singleton set is this functor’s terminal coalgebra. Hint: Show that the unique arrows are indeed (co-) algebra morphisms.*

### 13.3 Anamorphisms

The terminal coalgebra  $(t, \tau)$  is defined by its universal property: there is a unique coalgebra morphism  $h$  from any coalgebra  $(a, \alpha)$  to  $(t, \tau)$ . This morphism is called the *anamorphism*. Being a coalgebra morphism, it makes the following diagram commute:

$$\begin{array}{ccc} a & \xrightarrow{h} & t \\ \downarrow \alpha & & \downarrow \tau \\ Fa & \xrightarrow{Fh} & Ft \end{array}$$

Just like with algebras, we can use the Lambek’s lemma to “solve” for  $h$ :

$$h = \tau^{*1} \circ Fh \circ \alpha$$

The solution is called an anamorphism and is sometimes written using “lens brackets” as  $\llbracket \alpha \rrbracket$ .

Since the terminal coalgebra (just like the initial algebra) is a fixed point of a functor, the above recursive formula can be translated directly to Haskell as:

```
ana :: Functor f => Coalgebra f a -> a -> Fix f
ana coa = In . fmap (ana coa) . coa
```

Here’s the interpretation of this formula: Given a seed of type `a`, we first act on it with the coalgebra `coa`. This gives us a functorful of seeds. We expand these seeds by recursively applying the anamorphism using `fmap`. We then apply the constructor `In` to get the final result.

As an example, we can apply the anamorphism to the `split` coalgebra we defined earlier: `ana split` takes a list of integers and creates a sorted tree.

We can then use a catamorphisms to fold this tree into a sorted list. We define the following algebra:

```
toList :: Algebra TreeF [Int]
toList LeafF = []
toList (NodeF n ns ms) = ns ++ [n] ++ ms
```

It concatenates the left list with the singleton pivot and the right list. To sort a list we combine the anamorphism with the catamorphism:

```
qsort = cata toList . ana split
```

This gives us a (very inefficient) implementation of quicksort. We'll come back to it in the next section.

## Infinite data structures

When studying algebras we relied on data structures that had a leaf component—that is endofunctors that, when acting on the initial object, would produce a result different from the initial object. When constructing recursive data structures we had to start somewhere, and that meant constructing the leaves first.

With coalgebras, we are free to drop this requirement. We no longer have to construct recursive data structures “by hand”—we have anamorphisms to do that for us. An endofunctor that has no leaves is perfectly acceptable: its coalgebras are going to generate infinite data structures.

Infinite data structures are representable in Haskell because of its laziness. Things are evaluated on the need-to-know basis. Only those parts of an infinite data structure that are explicitly demanded are calculated; the evaluation of the rest is kept in suspended animation.

To implement infinite data structures in strict languages, one must resort to representing values as functions—something Haskell does behind the scenes (these functions are called *thunks*).

Let's look at a simple example: an infinite stream of values. To generate it, we first define a functor that looks very much like the one we used to generate lists, except that it lacks the leaf component (the empty-list constructor). You may recognize it as a product functor, with the first component fixed to be the stream's payload:

```
data StreamF a x = StreamF a x
deriving Functor
```

An infinite stream is the fixed point of this functor.

```
type Stream a = Fix (StreamF a)
```

Here's a simple coalgebra that uses a single integer `n` as a seed:

```
step :: Coalgebra (StreamF Int) Int
step n = StreamF n (n+1)
```

It stores the current seed as a payload, and seeds the next budding stream with `n + 1`.

The anamorphism for this coalgebra, when seeded with zero, generates the stream of all natural numbers.

```
allNats :: Stream Int
allNats = ana step 0
```

In a non-lazy language this anamorphism would run forever, but in Haskell it's instantaneous. The incremental price is paid only when we want to retrieve some of the data, for instance, using these accessors:

```
head :: Stream a -> a
head (In (StreamF a _)) = a

tail :: Stream a -> Stream a
tail (In (StreamF _ s)) = s
```

## 13.4 Hylomorphisms

The type of the output of an anamorphism is a fixed point of a functor, which is the same type as the input to a catamorphism. In Haskell, they are both described by the same data type, `Fix f`. Therefore it's possible to compose them together, as we've done when implementing quicksort. In fact, we can combine a coalgebra with an algebra in one recursive function called a *hylomorphism*:

```
hylo :: Functor f => Algebra f b -> Coalgebra f a -> a -> b
hylo alg coa = alg . fmap (hylo alg coa) . coa
```

We can rewrite quicksort as a hylomorphism:

```
qsort = hylo toList split
```

Notice that there is no trace of the fixed point in the definition of the hylomorphism. Conceptually, the coalgebra is used to build (unfold) the recursive data structure from the seed, and the algebra is used to fold it into a value of type `b`. But because of Haskell's laziness, the intermediate data structure doesn't have to be materialized in full in memory. This is particularly important when dealing with very large intermediate trees. Only the branches that are currently



being traversed are evaluated and, as soon as they have been processed, they are passed to the garbage collector.

Hylomorphisms in Haskell are a convenient replacement for recursive backtracking algorithms, which are very hard to implement correctly in imperative languages. We take advantage of the fact that designing a data structure is easier than following complicated flow of control and keeping track of our place in a recursive algorithm.

This way, data structures can be used to visualize complex flows of control.

### The impedance mismatch

We've seen that, in the category of sets, the initial algebras don't necessarily coincide with terminal coalgebras. The identity functor, for instance, has the empty set as the carrier of the initial algebra and the singleton set as the carrier of its terminal coalgebra.

We have other functors that have no leaf components, such as the stream functor. The initial algebra for such a functor is the empty set as well.

In Set, the initial algebra is the subset of the terminal coalgebra, and hylomorphisms can only be defined for this subset. It means that we can use a hylomorphism only if the anamorphism for a particular coalgebra lands us in this subset. In that case, because the embedding of initial algebras in terminal coalgebras is injective, we can find the corresponding element in the initial algebra and apply the catamorphism to it.

In Haskell, however, we have one type, `Fix f`, combining both, the initial algebra and the terminal coalgebra. This is where the simplistic interpretation of Haskell types as sets of values breaks down.

Let's consider this simple stream algebra:

```
add :: Algebra (StreamF Int) Int
add (StreamF n sum) = n + sum
```

Nothing prevents us from using a hylomorphism to calculate the sum of all natural numbers:

```
sumAllNats :: Int
sumAllNats = hylo add step 1
```

It's a perfectly well-formed Haskell program that passes the type checker. So what value does it produce when we run it? (Hint: It's not  $\infty$ .) The answer is: we don't know, because this program never terminates. It runs into infinite recursion and eventually exhausts the computer's resources.

This is the aspect of real-life computations that mere functions between sets cannot model. Some computer function may never terminate.

Recursive functions are formally described by *domain theory* as limits of partially defined functions. If a function is not defined for a particular value of the argument, it is said to return a bottom value  $\perp$ . If we include bottoms as special elements of every type (these are then called *lifted* types), we can say that our function `sumAllNats` returns a bottom of the type `Int`. In general, catamorphisms for infinite types don't terminate, so we can treat them as returning bottoms.

It should be noted, however, that the inclusion of bottoms complicates the categorical interpretation of Haskell. In particular, many of the universal constructions that rely on uniqueness of mappings no longer work as advertised.

The “bottom” line is that Haskell code should be treated as an illustration of categorical concepts rather than a source of rigorous proofs.

## 13.5 Terminal Coalgebra from Universality

The definition of an anamorphism can be seen as an expression of the universal property of the terminal coalgebra. Here it is, with the universal quantification made explicit:

```
ana :: Functor f => forall a. Coalgebra f a -> (a -> Fix f)
ana coa = In . fmap (ana coa) . coa
```

What it tells us is that, given any coalgebra, there is a mapping from its carrier to the carrier of the terminal coalgebra, `Fix f`. We know, from the Lambek's lemma, that this mapping is in fact a coalgebra morphism.

Let's uncurry this definition:

```
ana :: Functor f => forall a. (a -> f a, a) -> Fix f
ana (coa, x) = In (fmap (curry ana coa) (coa x))
```

We can use this formula as the alternative definition of the carrier for the terminal coalgebra. We can replace `Fix f` with the type we are defining—let's call it `Nu f`. The type signature:

```
forall a. (a -> f a, a) -> Nu f
```

tells us that we can construct an element of `Nu f` from a pair  $(a \rightarrow f\ a, a)$ . It looks just like a data constructor, except that it's polymorphic in `a`.

Data types with a polymorphic constructor are called *existential* types. In pseudo-code (not actual Haskell) we would define `Nu f` as:

```
data Nu f = Nu (exists a. (Coalgebra f a, a))
```

Compare this with the definition of the least fixed point of an algebra:

```
data Mu f = Mu (forall a. Algebra f a -> a)
```

To construct an element of an existential type, we have the option of picking the most convenient type—the type for which we have the data required by the constructor.

For instance, we can construct a term of the type `Nu (StreamF Int)` by picking `Int` as the convenient type, and providing the pair:

```
nuArgs :: (Int -> StreamF Int Int, Int)
nuArgs = (\n -> StreamF n (n+1) , 0)
```

The clients of an existential data type have no idea what type was used in its construction. All they know is that such a type *exists*—hence the name. If they want to use an existential type, they have to do it in a way that is not sensitive to the choice that was made in its construction. In practice, it means that an existential type must carry with itself both the producer and the consumer of the hidden value.

This is indeed the case in our example: the producer is just the value of type `a`, and the consumer is the function `a -> f a`.

Naively, all that the clients could do with this pair, without any knowledge of what the type `a` was, is to apply the function to the value. But if `f` is a functor, they can do much more. They can repeat the process by applying the lifted function to the contents of `f a`, and so on. They end up with all the information that’s contained in the infinite stream.

There are several ways of defining existential data types in Haskell. We can use the uncurried version of the anamorphism directly as the data constructor:

```
data Nu f where
  Nu :: forall a f. (a -> f a, a) -> Nu f
```

Notice that, in Haskell, if we explicitly quantify one type, all other type variables must also be quantified: here, it’s the type constructor `f` (however, `Nu f` is not existential in `f`, since it’s an explicit parameter).

We can also omit the quantification altogether:

```
data Nu f where
  Nu :: (a -> f a, a) -> Nu f
```

This is because type variables that are not arguments to the type constructor are automatically treated as existentials.

We can also use the more traditional form:

```
data Nu f = forall a. Nu (a -> f a, a)
```

(This one requires the quantification of `a`.)

At the time of this writing there is a proposal to introduce the keyword `exists` to Haskell that would make this definition work:

```
data Nu f = Nu (exists a. (a -> f a, a))
```

(Later we'll see that existential data types correspond to coends in category theory.)

The constructor of `Nu f` is literally the (uncurried) anamorphism:

```
anaNu :: Coalgebra f a -> a -> Nu f
anaNu coa a = Nu (coa, a)
```

If we are given a stream in the form of `Nu (StreamF a)`, we can access its element using accessors functions. This one extracts the first element:

```
head :: Nu (StreamF a) -> a
head (Nu (unf, s)) =
  let (StreamF a _) = unf s
  in a
```

and this one advances the stream:

```
tail :: Nu (StreamF a) -> Nu (StreamF a)
tail (Nu (unf, s)) =
  let (StreamF _ s') = unf s
  in Nu (unf, s')
```

You can test them on an infinite stream of integers:

```
allNats = Nu nuArgs
```

## 13.6 Terminal Coalgebra as a Limit

In category theory we are not afraid of infinities—we make sense of them.

At face value, the idea that we could construct a terminal coalgebra by applying the functor  $F$  infinitely many times to some object, let's say the terminal object  $1$ , makes no sense. But the idea is very convincing: Applying  $F$  one more time is like adding one to infinity—it's still infinity. So, naively, this is a fixed point of  $F$ :

$$F(F^{\infty}1) \cong F^{\infty+1}1 \cong F^{\infty}1$$

To turn this loose reasoning into a rigorous proof, we have to tame the infinity, which means we have to define some kind of limiting procedure.

As an example, let's consider the product functor:

$$F_a x = a \times x$$

Its terminal coalgebra is an infinite stream. We'll approximate it by starting with the terminal object 1. The next step is:

$$F_a 1 = a \quad 1 \quad \circ \quad a$$

which we could imagine is a stream of length one. We can continue with:

$$F_a(F_a 1) = a \quad (a \quad 1) \quad \circ \quad a \quad a$$

a stream of length two, and so on.

This looks promising, but what we need is one object that would combine all these approximations. We need a way to glue the next approximation to the previous one.

Recall, from an earlier exercise, the limit of the “walking arrow” diagram. This limit has the same elements as the starting object in the diagram. In particular, consider the limit of the single-arrow diagram  $D_1$ :

$$\begin{array}{ccc} & & \text{Lim } D_1 \\ & \swarrow \pi_0 & \downarrow \pi_1 \\ 1 & \xleftarrow{!} & F1 \end{array}$$

( $!$  is the unique morphism targeting the terminal object 1). This limit has the same elements as  $F1$ . Similarly, the limit of a two-arrow diagram  $D_2$ :

$$\begin{array}{ccccc} & & & & \text{Lim } D_2 \\ & \swarrow \pi_0 & & \swarrow \pi_1 & \downarrow \pi_2 \\ 1 & \xleftarrow{!} & F1 & \xleftarrow{F!} & F(F1) \end{array}$$

has the same elements as  $F(F1)$ .

We can continue extending this diagram to infinity. It turns out that the limit of this infinite chain is our fixed point carrier of the terminal coalgebra.

$$\begin{array}{ccccccc} & & & t & & & \\ & \swarrow \pi_0 & & \downarrow \pi_2 & & \searrow \pi_n & \\ 1 & \xleftarrow{!} & F1 & \xleftarrow{F!} & F(F1) & \xleftarrow{F(F!)} & \dots \xleftarrow{F^n!} \dots \end{array}$$

The proof of this fact can be obtained from the analogous proof for initial algebras by reversing the arrows.



## Chapter 14

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# Monads

---

What do a wheel, a clay pot, and a wooden house have in common? They are all useful because of the emptiness in their center.

Lao Tzu says: “The value comes from what is there, but the use comes from what is not there.”

What does the **Maybe** functor, the list functor, and the reader functor have in common? They all have emptiness in their center.

When monads are explained in the context of programming, it’s hard to see the common pattern when you focus on the functors. To understand monads you have to look inside functors and read between the lines of code.

### 14.1 Programming with Side Effects

So far we’ve been talking about programming in terms of computations that were modeled mainly on functions between sets (with the exception of non-termination). In programming, such functions are called *total* and *pure*.

A total function is defined for all values of its arguments.

A pure function is implemented purely in terms of its arguments and, in case of closures, the captured values—it has no access to, much less the ability to modify the outside world.

Most real-world programs, though, have to interact with the external world: they read and write files, process network packets, prompt users for data, etc. Most programming languages solve this problem by allowing side effect. A side effect is anything that breaks the totality or the purity of a function.

Unfortunately, this shotgun approach adopted by imperative languages makes reasoning about programs extremely hard. When composing effectful computations one has to carefully reason about the composition of effects on a case-by-case basis. To make things even harder,

most effects are hidden not only inside the implementation (as opposed to the interface) of a particular function, but also in the implementation of all the functions that it's calling, recursively.

The solution adopted by purely functional languages, like Haskell, is to encode side effects in the return types of pure functions. Amazingly, this is possible for all relevant effects.

The idea is that, instead of a computation of the type `a -> b` with side effects, we use a function `a -> f b`, where the type constructor `f` encodes the appropriate effect. At this point there are no conditions imposed on `f`. It doesn't even have to be a **Functor**, much less a monad. This will come later, when we talk about effect composition.

Below is the list of common effects and their pure-function versions.

## Partiality

In imperative languages, partiality is often encoded using exceptions. When a function is called with the “wrong” value for its argument, it throws an exception. In some languages, the type of exception is encoded in the signature of the function using special syntax.

In Haskell, a partial computation can be implemented by a function returning the result inside the **Maybe** functor. Such a function, when called with the “wrong” argument, returns **Nothing**, otherwise it wraps the result in the **Just** constructor.

If we want to encode more information about the type of the failure, we can use the **Either** functor, with the **Left** traditionally passing the error data (often a simple **String**); and **Right** encapsulating the real return, if available.

The caller of a **Maybe**-valued function cannot easily ignore the exceptional condition. In order to extract the value, they have to pattern-match the result and decide how to deal with **Nothing**. This is in contrast to the “poor-man's **Maybe**” of some imperative languages where the error condition is encoded using a null pointer.

## Logging

Sometimes a computation has to log some values in some external data structure. Logging or auditing is a side effect that's particularly dangerous in concurrent programs, where multiple threads might try to access the same log simultaneously.

The simple solution is for a function to return the computed value paired with the item to be logged. In other words, a logging computation of the type `a -> b` can be replaced by a pure function:

```
a -> Writer w b
```

where the **Writer** functor is a thin encapsulation of the product:



```
newtype Writer w a = Writer (a, w)
```

with `w` being the type of the log.

The caller of this function is then responsible for extracting the value to be logged. This is a common trick: make the function provide all the data, and let the caller deal with the effects.

## Environment

Some computations need read-only access to some external data stored in the environment. The read-only environment, instead of being secretly accessed by a computation, can be simply passed to a function as an additional argument. If we have a computation `a -> b` that needs access to some environment `e`, we replace it with a function `(a, e) -> b`. At first, this doesn't seem to fit the pattern of encoding side effects in the return type. However, such a function can always be curried to the form:

```
a -> (e -> b)
```

The return type of this function can be encoded in the reader functor, itself parameterized by the environment type `e`:

```
newtype Reader e a = Reader (e -> a)
```

This is an example of a delayed side effect. The function:

```
a -> Reader e a
```

doesn't want to deal with effects so it delegates the responsibility to the caller. You may think of it as producing a script to be executed at a later time. The function `runReader` plays the role of a very simple interpreter of this script:

```
runReader :: Reader e a -> e -> a
runReader (Reader h) e = h e
```

## State

The most common side effect is related to accessing and potentially modifying some shared state. Unfortunately, shared state is the notorious source of concurrency errors. This is a serious problem in object-oriented languages where stateful objects can be transparently shared between many clients. In Java, such objects may be provided with individual mutexes at the cost of impaired performance and the risk of deadlocks.

In functional programming we make state manipulations explicit: we pass the state as an additional argument and return the modified state paired with the return value. We replace a stateful computation `a -> b` with

```
(a, s) -> (b, s)
```

where `s` is the type of state. As before, we can curry such a function to get it to the form:

```
a -> (s -> (b, s))
```

This return type can be encapsulated in the following functor:

```
newtype State s a = State (s -> (a, s))
```

The caller of such a function is supposed to retrieve the result and the modified state by providing the initial state and calling the helper function, the interpreter, `runState`:

```
runState :: State s a -> s -> (a, s)
runState (State h) s = h s
```

Notice that, modulo constructor unpacking, `runState` is bona fide function application.

## Nondeterminism

Imagine performing a quantum experiment that measures the spin of an electron. Half of the time the spin will be up, and half of the time it will be down. The result is non-deterministic. One way to describe it is to use the many-worlds interpretation: when we perform the experiment, the Universe splits into two universes, one for each result.

What does it mean for a function to be non-deterministic? It means that it will return different results every time it's called. We can model this behavior using the many-worlds interpretation: we let the function return *all possible results* at once. In practice, we'll settle for a (possibly infinite) list of results:

We replace a non-deterministic computation `a -> b` with a pure function returning a functorful of results—this time it's the list functor:

```
a -> [b]
```

Again, it's up to the caller to decide what to do with these results.

## Input/Output

This is the trickiest side effect because it involves interacting with the external world. Obviously, we cannot model the whole world inside a computer program. So, in order to keep the program pure, the interaction has to happen outside of it. The trick is to let the program generate a script. This script is then passed to the runtime to be executed. The runtime is the effectful virtual machine that runs the program.

This script itself sits inside the opaque, predefined `IO` functor. The values hidden in this functor are not accessible to the program: there is no `runIO` function. Instead, the `IO` value

produced by the program is executed, at least conceptually, *after* the program is finished.

In reality, because of Haskell’s laziness, the execution of I/O is interleaved with the rest of the program. Pure functions that comprise the bulk of your program are evaluated on demand—the demand being driven by the execution of the **IO** script. If it weren’t for I/O, nothing would ever be evaluated.

The **IO** object that is produced by a Haskell program is called **main** and its type signature is:

```
main :: IO ()
```

It’s the **IO** functor containing the unit—meaning: there is no useful value other than the input/output script.

We’ll talk about how **IO** actions are created soon.

## Continuation

We’ve seen that, as a consequence of the Yoneda lemma, we can replace a value of type **a** with a function that takes a handler for that value. This handler is called a continuation. Calling a handler is considered a side effect of a computation. In terms of pure functions, we encode it as:

```
a -> Cont r b
```

where **Cont r** is the following functor:

```
newtype Cont r a = Cont ((a -> r) -> r)
```

It’s the responsibility of the caller of this function to provide the continuation, a function **k :: a -> r**, and retrieve the result:

```
runCont :: Cont r a -> (a -> r) -> r
runCont (Cont f) k = f k
```

This is the **Functor** instance for **Cont r**:

```
instance Functor (Cont r) where
  -- f :: a -> b
  -- k :: b -> r
  fmap f c = Cont (\k -> runCont c (k . f))
```

Notice that this is a covariant functor because the type **a** is in a doubly negative position.

In a cartesian closed category, continuations are generated by the endofunctor:

$$K_r a = r^{r^a}$$

## 14.2 Composing Effects

Now that we know how to make one giant leap using a function that produces both a value and a side effect, the next problem is to figure out how to decompose this leap into smaller human-sized steps. Or, conversely, how to combine such smaller steps into one larger step.

The way effectful computations are composed in imperative languages is to use regular function composition for the values and let the side effects combine themselves willy-nilly.

When we represent effectful computations as pure functions, we are faced with the problem of composing two functions of the form

```
g :: a -> f b
h :: b -> f c
```

In all cases of interest the type constructor `f` happens to be a **Functor**, so we'll assume that in what follows.

The naive approach would be to unpack the result of the first function, pass the value to the next function, then compose the effects of both functions on the side, and combine them with the result of the second function. This is not always possible, even for cases that we have studied so far, much less for an arbitrary type constructor.

For the sake of the argument, it's instructive to see how we could do it for the **Maybe** functor. If the first function returns **Just**, we pattern match it to extract the contents and call the next function with it.

But if the first function returns **Nothing**, we have no value with which to call the second function. We have to short-circuit it, and return **Nothing** directly. So composition is possible, but it means modifying flow of control by skipping the second call based on the side effect of the first call.

For some functors the composition of side effects is possible, for others it's not. How can we characterize those “good” functors?

For a functor to encode composable side effects we must at least be able to implement the following polymorphic higher-order function:

```
composeWithEffects :: Functor f =>
  (b -> f c) -> (a -> f b) -> (a -> f c)
```

This is very similar to regular function composition:

```
(.) :: (b -> c) -> (a -> b) -> (a -> c)
```

so it's natural to ask if there is a category in which the former defines a composition of arrows. Let's see what more is needed to construct such a category.

Objects in this new category are the same Haskell types as before. But an arrow  $a \rightarrow b$ , is implemented as a Haskell function:

```
g :: a -> f b
```

Our `composeWithEffects` can then be used to implement the composition of such arrows.

To have a category, we require that this composition be associative. We also need an identity arrow for every object `a`. This is an arrow  $a \rightarrow a$ , so it corresponds to a Haskell function:

```
idWithEffects :: a -> f a
```

It must behave like identity with respect to `composeWithEffects`.

Another way of looking at this arrow is that it lets you add a trivial effect to any value of type `a`. It's the effect that combined with any other effect does nothing to it.

We have just defined a monad! After some renaming and rearranging, we can write it as a typeclass:

```
class Functor m => Monad m where
  (<=<) :: (b -> m c) -> (a -> m b) -> (a -> m c)
  return :: a -> m a
```

The infix operator `<=<` replaces the function `composeWithEffects`. The `return` function is the identity arrow in our new category. (This is not the definition of the monad you'll find in the Haskell's `Prelude` but, as we'll see soon, it's equivalent to it.)

As an exercise, let's define the `Monad` instance for `Maybe`. The “fish” operator `<=<` composes two functions:

```
f :: a -> Maybe b
g :: b -> Maybe c
```

into one function of the type `a -> Maybe c`. The unit of this composition, `return`, encloses a value in the `Just` constructor.

```
instance Monad Maybe where
  g <=< f = \a -> case f a of
    Nothing -> Nothing
    Just b -> g b
  return = Just
```

You can easily convince yourself that category laws are satisfied. In particular `return <=< g` is the same as `g` and `f <=< return` is the same as `f`. The proof of associativity is also pretty straightforward: If any of the functions returns `Nothing`, the result is `Nothing`; otherwise it's just a straightforward function composition, which is associative.

The category that we have just defined is called the *Kleisli category* for the monad `m`. The functions `a -> m b` are called the *Kleisli arrows*. They compose using `<=<` and the identity

arrow is called `return`.

All functors from the previous section are `Monad` instances. If you look at them as type constructors, or even functors, it's hard to see any similarities between them. The thing they have in common is that they can be used to implement *composable* Kleisli arrows.

As Lao Tze would say: Composition is something that happens *between* things. While focusing our attention on things, we often lose sight of what's in the gaps.

### 14.3 Alternative Definitions

The definition of a monad using Kleisli arrows has the advantage that the monad laws are simply the associativity and the unit laws of a category. There are two other equivalent definitions of a monad, one preferred by mathematicians, and one by programmers.

First, let's notice that, when implementing the fish operator, we are given two functions as arguments. The only thing a function is useful for is to be applied to an argument. When we apply the first function `f :: a -> m b` we get a value of the type `m b`. At this point we would be stuck, if it weren't for the fact that `m` is a functor. Functoriality lets us apply the second function `g :: b -> m c` to `m b`. Indeed the lifting of `g` by `m` is of the type:

```
m b -> m (m c)
```

This is almost the result we are looking for, if we could only flatten `m(m c)` to `m c`. This flattening is called `join`. In other words, if we are given:

```
join :: m (m a) -> m a
```

we can implement `<=<`:

```
g <=< f = \a -> join (fmap g (f a))
```

or, using point free notation:

```
g <=< f = join . fmap g . f
```

Conversely, `join` can be implemented in terms of `<=<`:

```
join = id <=< id
```

The latter may not be immediately obvious, until you realize that the rightmost `id` is applied to `m (m a)`, and the leftmost is applied to `m a`. We interpret a Haskell function:

```
m (m a) -> m (m a)
```

as an arrow in the Kleisli category  $m(ma) \Rightarrow ma$ . Similarly, the function:

```
m a -> m a
```

implements a Kleisli arrow  $ma \rightarrow a$ . Their Kleisli composition produces a Kleisli arrow  $m(ma) \rightarrow a$  or a Haskell function:

```
m (m a) -> m a
```

This leads us to the equivalent definition of a monad in terms of `join` and `return`:

```
class Functor m => Monad m where
  join :: m (m a) -> m a
  return :: a -> m a
```

This is still not the definition you will find in the standard Haskell `Prelude`. Since the fish operator is a generalization of the dot operator, using it is equivalent to point-free programming. It lets us compose arrows without naming intermediate values. Although some consider point-free programs more elegant, most programmers find them difficult to follow.

But function composition is really done in two steps: We apply the first function, then apply the second function to the result. Explicitly naming the intermediate result is often helpful in understanding what's going on.

To do the same with Kleisli arrows, we have to know how to apply the second Kleisli arrow to a named monadic value—the result of the first Kleisli arrow. The function that does that is called *bind* and is written as an infix operator:

```
(>>=) :: m a -> (a -> m b) -> m b
```

Obviously, we can implement Kleisli composition in terms of `bind`:

```
g <=< f = \a -> (f a) >>= g
```

Conversely, `bind` can be implemented in terms of the Kleisli arrow:

```
ma >>= k = (k <=< id) ma
```

This leads us to the following definition:

```
class Monad m where
  (>>=) :: m a -> (a -> m b) -> m b
  return :: a -> m a
```

This is almost the definition you'll find in the `Prelude`, except for the additional constraint. This constraint states the fact that every instance of `Monad` is also an instance of `Applicative`. We will postpone the discussion of applicatives to the section on monoidal functors.

We can also implement `join` using `bind`:

```
join :: (Monad m) => m (m a) -> m a
join mma = mma >>= id
```

The Haskell function `id` goes from `m a` to `m a` or, as a Kleisli arrow,  $ma \rightarrow a$ .

Interestingly, a **Monad** defined using `bind` is automatically a functor. The lifting function for it is called `liftM`

```
liftM :: Monad m => (a -> b) -> (m a -> m b)
liftM f ma = ma >>= (return . f)
```

## 14.4 Monad Instances

We are now ready to define monad instances for the functors we used for side effects. This will allow us to compose side effects.

### Partiality

We've already seen the version of the **Maybe** monad implemented using Kleisli composition. Here's the more familiar implementation using `bind`:

```
instance Monad Maybe where
    Nothing >>= k = Nothing
    (Just a) >>= k = k a
    return = Just
```

Adding a trivial effect to any value means enclosing it in **Just**.

### Logging

In order to compose functions that produce logs, we need a way to combine individual log entries. This is why the writer monad:

```
newtype Writer w a = Writer (a, w)
```

requires the type of the log to be an instance of **Monoid**. This allows us to append logs, and also to create a trivial effect: an empty log.

```
instance Monoid w => Monad (Writer w) where
    (Writer (a, w)) >>= k = let (Writer (b, w')) = k a
                           in Writer (b, mappend w w')
    return a = Writer (a, mempty)
```

The `let` clause is used for introducing local bindings. Here, the result of applying `k` is pattern matched, and the local variables `b` and `w'` are initialized. The `let/in` construct is an expression whose value is given by the content of the `in` clause.



## Environment

The reader monad is a thin encapsulation of a function from the environment to the return type:

```
newtype Reader e a = Reader (e -> a)
```

Here's the **Monad** instance:

```
instance Monad (Reader e) where
  ma >>= k = Reader (\e -> let a = runReader ma e
                        in runReader (k a) e)
  return a = Reader (\e -> a)
```

The implementation of **bind** for the reader monad creates a function that takes the environment as its argument. This environment is used twice, first to run **ma** to get the value of **a**, and then to evaluate the value produced by **k a**.

The implementation of **return** ignores the environment.

**Exercise 14.4.1.** Define the **Functor** and the **Monad** instance for the following data type:

```
newtype E e a = E (e -> Maybe a)
```

*Hint: You may use this handy function:*

```
runE :: E e a -> e -> Maybe a
runE (E f) e = f e
```

## State

Like reader, the state monad is a function type:

```
newtype State s a = State (s -> (a, s))
```

Its **bind** is similar, except that the result of **k** acting on **a** has to be run with the modified state **s'**.

```
instance Monad (State s) where
  st >>= k = State (\s -> let (a, s') = runState st s
                        in runState (k a) s')
  return a = State (\s -> (a, s))
```

Applying **bind** to identity gives us the definition of **join**:

```
join :: State s (State s a) -> State s a
join mma = State (\s -> let (ma, s') = runState mma s
                        in runState ma s')
```

Notice that we are essentially passing the result of the first `runState` to the second `runState`, except that we have to uncurry the second one so it can accept a pair:

```
join mma = State (\s -> (uncurry runState) (runState mma s))
```

In this form, it's easy to convert it to point-free notation:

```
join mma = State (uncurry runState . runState mma)
```

There are two basic Kleisli arrows (the first one, conceptually, coming from the terminal object `()`) with which we can construct an arbitrary stateful computation. The first one retrieves the current state:

```
get :: State s s
get = State (\s -> (s, s))
```

and the second one modifies it:

```
set :: s -> State s ()
set s = State (\_ -> ((), s))
```

A lot of monads come with their own libraries of predefined basic Kleisli arrows.

## Nondeterminism

For the list monad, let's consider how we would implement `join`. It must turn a list of lists into a single list. This can be done by concatenating all the inner lists using the library function `concat`. From there, we can derive the implementation of `bind`.

```
instance Monad [] where
  as >>= k = concat (fmap k as)
  return a = [a]
```

Here, `return` constructs a singleton list. Thus a trivial version of nondeterminism is determinism.

What imperative languages do using nested loops we can do in Haskell using the list monad. Think of `as` in `bind` as aggregating the result of running the inner loop and `k` as the code that runs in the outer loop.

In many ways, Haskell's list behaves more like what is called an *iterator* or a *generator* in imperative languages. Because of laziness, the elements of the list are rarely stored in memory all at once, so you may conceptualize a Haskell list as a pointer to the head and a recipe for advancing it forward towards the tail. Or you may think of a list as a coroutine that produces, on demand, elements of a sequence.

## Continuation

The implementation of `bind` for the continuation monad:

```
newtype Cont r a = Cont ((a -> r) -> r)
```

requires some backward thinking, because of the inherent inversion of control—the “don’t call us, we’ll call you” principle.

The result of `bind` is of the type `Cont r b`. To construct it, we need a function that takes, as an argument `k :: b -> r`:

```
ma >>= fk = Cont (\k -> ...)
```

We have two ingredients at our disposal:

```
ma :: Cont r a
fk :: a -> Cont r b
```

We’d like to run `ma`, and for that we need a continuation that would accept an `a`.

```
runCont ma (\a -> ...)
```

Once we have an `a`, we can execute our `fk`. The result is of the type `Cont r b`, so we can run it with our continuation `k :: b -> r`.

```
runCont (fk a) k
```

Taken together, this convoluted process produces the following implementation:

```
instance Monad (Cont r) where
  ma >>= fk = Cont (\k -> runCont ma (\a -> runCont (fk a) k))
  return a = Cont (\k -> k a)
```

As I mentioned earlier, composing continuations is not for the faint of heart. However, it has to be implemented only once—in the definition of the continuation monad. From there on, the `do` notation will make the rest relatively easy.

## Input/Output

The `IO` monad’s implementation is baked into the language. The basic I/O primitives are available through the library. They are either in the form of Kleisli arrows, or `IO` objects (conceptually, Kleisli arrows from the terminal object `()`).

For instance, the following object contains a command to read a line from the standard input:

```
getLine :: IO String
```

There is no way to extract the string from it, since it's not there yet; but the program can process it through a further series of Kleisli arrows.

The `IO` monad is the ultimate procrastinator: the composition of its Kleisli arrows piles up task after task to be executed later by the Haskell runtime.

To output a string followed by a newline, you can use this Kleisli arrow:

```
putStrLn :: String -> IO ()
```

Combining the two, you may construct a simple `main` object:

```
main :: IO ()
main = getLine >>= putStrLn
```

which echoes a string you type.

## 14.5 Do Notation

It's worth repeating that the sole purpose of monads in programming is to let us decompose one big Kleisli arrow into multiple smaller ones.

This can be either done directly, in a point-free style, using Kleisli composition `<=<`; or by naming intermediate values and binding them to Kleisli arrows using `>>=`.

Some Kleisli arrows are defined in libraries, others are reusable enough to warrant out-of-line implementation but, in practice, the majority are implemented as single-shot inline lambdas.

Here's a simple example:

```
main :: IO ()
main =
  getLine >>= \s1 ->
    getLine >>= \s2 ->
      putStrLn ("Hello " ++ s1 ++ " " ++ s2)
```

which uses an ad-hoc Kleisli arrow of the type `String->IO ()` defined by the lambda expression:

```
\s1 ->
  getLine >>= \s2 ->
    putStrLn ("Hello " ++ s1 ++ " " ++ s2)
```

The body of this lambda is further decomposed using another ad-hoc Kleisli arrow:

```
\s2 -> putStrLn ("Hello " ++ s1 ++ " " ++ s2)
```

Such constructs are so common that there is special syntax called the `do` notation that cuts through a lot of boilerplate. The above code, for instance, can be written as:

```
main = do
  s1 <- getLine
  s2 <- getLine
  putStrLn ("Hello " ++ s1 ++ " " ++ s2)
```

The compiler will automatically convert it to a series of nested lambdas. The line `s1 <- getLine` is usually read as: “`s1` gets the result of `getLine`.”

Here’s another example: a function that uses the list monad to generate all possible pairs of elements taken from two lists.

```
pairs :: [a] -> [b] -> [(a, b)]
pairs as bs = do
  a <- as
  b <- bs
  return (a, b)
```

Notice that the last line in a `do` block must produce a monadic value—here this is accomplished using `return`.

Most imperative languages lack the abstraction power to generically define a monad, and instead they attempt to hard-code some of the more common monads. For instance, they implement exceptions as an alternative to the `Either` monad, or concurrent tasks as an alternative to the continuation monad. Some, like C++, introduce coroutines that mimic Haskell’s `do` notation.

**Exercise 14.5.1.** *Implement the following function that works for any monad:*

```
ap :: Monad m => m (a -> b) -> m a -> m b
```

*Hint: Use `do` notation to extract the function and the argument. Use `return` to return the result.*

**Exercise 14.5.2.** *Rewrite the `pairs` function using the bind operators and lambdas.*

## 14.6 Continuation Passing Style

I mentioned before that the `do` notation provides the syntactic sugar that makes working with continuations more natural. One of the most important applications of continuations is in transforming programs to use CPS (continuation passing style). The CPS transformation is common in compiler construction. Another very important application of CPS is in converting recursion to iteration.

The common problem with deeply recursive programs is that they may blow the runtime stack. A function call usually starts by pushing function arguments, local variables, and the

return address on the stack. Thus deeply nested recursive calls may quickly exhaust the (usually fixed-size) runtime stack resulting in a runtime error. This is the main reason why imperative languages prefer looping to recursion, and why most programmers learn about loops before they study recursion. However, even in imperative languages, when it comes to traversing recursive data structures, such as linked lists or trees, recursive algorithms are more natural.

The problem with using loops, though, is that they require mutation. There is usually some kind of a counter or a pointer that is advanced and checked with each turn of the loop. This is why purely functional languages that shun mutation must use recursion in place of loops. But since looping is more efficient and it doesn't consume the runtime stack, the compiler tries to covert recursive calls to loops. In Haskell all tail-recursive functions are turned into loops.

### Tail recursion and CPS

Tail recursion means that the recursive call happens at the very end of the function. The function doesn't perform any additional operations on the result of the tail call. For instance this program is not tail recursive, because it has to add `i` to the result of the recursive call:

```
sum1 :: [Int] -> Int
sum1 [] = 0
sum1 (i : is) = i + sum1 is
```

In contrast, the following implementation is tail recursive because the result of the recursive call to `go` is returned without further modification:

```
sum2 = go 0
  where go n [] = n
        go n (i : is) = go (n + i) is
```

The compiler can easily turn the latter into a loop. Instead of making the recursive call, it will overwrite the value of the first argument `n` with `n + i`, overwrite the pointer to the head of the list with the pointer to its tail, and then jump to the beginning of the function.

Note however that it doesn't mean that the Haskell compiler won't be able to cleverly optimize the first implementation. It just means that the second implementation, which is tail recursive, is *guaranteed* to be turned into a loop.

In fact, it's always possible to turn recursion into tail recursion by performing the CPS transformation. This is because a continuation encapsulates *the rest of the computation*, so it's always the last call in a function.

To see how it works in practice, consider a simple tree traversal. Let's define a tree that stores strings in both nodes and leaves:

```
data Tree = Leaf String
          | Node Tree String Tree
```

To concatenate these strings we use the traversal that first recurses into the left subtree, and then into the right subtree:

```
show :: Tree -> String
show (Node lft s rgt) =
  let ls = show lft
      rs = show rgt
  in ls ++ s ++ rs
```

This is definitely not a tail recursive function, and it's not obvious how to turn it into one. However, we can almost mechanically rewrite it using the continuation monad:

```
showk :: Tree -> Cont r String
showk (Leaf s) = return s
showk (Node lft s rgt) = do
  ls <- showk lft
  rs <- showk rgt
  return (ls ++ s ++ rs)
```

We can run the result with the trivial continuation `id`:

```
show :: Tree -> String
show t = runCont (showk t) id
```

This implementation is automatically tail recursive. We can see it clearly by desugaring the `do` notation:

```
showk :: Tree -> (String -> r) -> r
showk (Leaf s) k = k s
showk (Node lft s rgt) k =
  showk lft (\ls ->
    showk rgt (\rs ->
      k (ls ++ s ++ rs)))
```

Let's analyze this code. The function calls itself, passing the left subtree `lft` and the following continuation:

```
\ls ->
  showk rgt (\rs ->
    k (ls ++ s ++ rs))
```

This lambda in turn calls `showk` with the right subtree `rgt` and another continuation:

```
\rs -> k (ls ++ s ++ rs)
```

This innermost lambda that has access to all three strings: left, middle, and right. It concatenates them and calls the outermost continuation `k` with the result.

In each case, the recursive call to `showk` is the last call, and its result is immediately returned. Moreover, the type of the result is the generic type `r`, which in itself guarantees that we can't perform any operations on it. When we finally run the result of `showk`, we pass it the identity (instantiated for the `String` type):

```
show :: Tree -> String
show t = runCont (showk t) id
```

## Using named functions

But suppose that our programming language doesn't support anonymous functions. Is it possible to replace the lambdas with named functions? We've done this before when we discussed the adjoint functor theorem. We notice that the lambdas generated by the continuation monad are closures—they capture some values from their environment. If we want to replace them with named functions, we'll have to pass the environment explicitly.

We replace the first lambda with the call to the function named `next`, and pass it the necessary environment in the form of a tuple of three values (`s`, `rgt`, `k`):

```
showk :: Tree -> (String -> r) -> r
showk (Leaf s) k = k s
showk (Node lft s rgt) k =
  showk lft (next (s, rgt, k))
```

The three values are the string from the current node of the tree, the right subtree, and the outer continuation.

The function `next` makes the recursive call to `showk` passing to it the right subtree and a continuation named `conc`:

```
next :: (String, Tree, String -> r) -> String -> r
next (s, rgt, k) ls = showk rgt (conc (ls, s, k))
```

Again, `conc` explicitly captures the environment containing two strings and the outer continuation. It performs the concatenation and calls the outer continuation with the result:

```
conc :: (String, String, String -> r) -> String -> r
conc (ls, s, k) rs = k (ls ++ s ++ rs)
```

Finally, we define the trivial continuation:



```
done :: String -> String
done s = s
```

that we use to extract the final result:

```
show t = showk t done
```

## Defunctionalization

Continuation passing style requires the use of higher order functions. If this is a problem, e.g., when implementing distributed systems, we can always use the adjoint functor theorem to defunctionalize our program.

The first step is to create the sum of all relevant environments, including the empty one we used in `done`:

```
data Kont = Done
         | Next String Tree Kont
         | Conc String String Kont
```

Notice that this data structure can be reinterpreted as a list or a stack. It can be seen as a list of elements of the following sum type:

```
data Sum = Next' String Tree | Conc' String String
```

This list is our version of the runtime stack necessary to implement a recursive algorithm.

Since we are only interested in producing a string as the final result, we're going to approximate the `String -> String` function type. This is the approximate counit of the adjunction that defines it (see the adjoint functor theorem):

```
apply :: (Kont, String) -> String
apply (Done, s) = s
apply (Next s rgt k, ls) = showk rgt (Conc ls s k)
apply (Conc ls s k, rs) = apply (k, ls ++ s ++ rs)
```

The `showk` function can be now implemented without recourse to higher order functions:

```
showk :: Tree -> Kont -> String
showk (Leaf s) k = apply (k, s)
showk (Node lft s rgt) k = showk lft (Next s rgt k)
```

To extract the result, we call it with `Done`:

```
showTree t = showk t Done
```

## 14.7 Monads Categorically

In category theory monads first arose in the study of algebras. In particular, the bind operator can be used to implement the very important operation of substitution.

### Substitution

Consider this simple expression type. It's parameterized by the type `x` that we can use for naming our variables:

```
data Ex x = Val Int
          | Var x
          | Plus (Ex x) (Ex x)
deriving (Functor, Show)
```

We can, for instance, construct an expression  $(2 + a) + b$ :

```
ex :: Ex Char
ex = Plus (Plus (Val 2) (Var 'a')) (Var 'b')
```

We can implement the `Monad` instance for `Ex`:

```
instance Monad Ex where
  Val n >>= k = Val n
  Var x >>= k = k x
  Plus e1 e2 >>= k =
    let x = e1 >>= k
        y = e2 >>= k
    in (Plus x y)

  return x = Var x
```

Now suppose that you want to make a substitution by replacing the variable  $a$  with  $x_1 + 2$  and  $b$  with  $x_2$  (for simplicity, let's not worry about other letters of the alphabet). This substitution is represented by the Kleisli arrow `sub`:

```
sub :: Char -> Ex String
sub 'a' = Plus (Var "x1") (Val 2)
sub 'b' = Var "x2"
```

As you can see, we were even able to change the type used for naming variables from `Char` to `String`.

When we bind this Kleisli arrow to `ex`:

```
ex' :: Ex String
ex' = ex >=> sub
```

we get, as expected, a tree corresponding to  $(2 + (x_1 + 2)) + x_2$ .

### Monad as a monoid

Let's analyze the definition of a monad that uses `join`:

```
class Functor m => Monad m where
  join :: m (m a) -> m a
  return :: a -> m a
```

We have an endofunctor `m` and two polymorphic functions.

In category theory, the functor that defines the monad is traditionally denoted by  $T$  (probably because monads were initially called “triples”). The two polymorphic functions become natural transformations. The first one, corresponding to `join`, maps the “square” of  $T$  (a composition of  $T$  with itself) to  $T$ :

$$\mu: T \circ T \rightarrow T$$

(Of course, only *endo*-functors can be squared this way.)

The second, corresponding to `return`, maps the identity functor to  $T$ :

$$\eta: \text{Id} \rightarrow T$$

Compare this with our earlier definition of a monoid in a monoidal category:

$$\mu: m \otimes m \rightarrow m$$

$$\eta: I \rightarrow m$$

The similarity is striking. This is why we often call the natural transformation  $\mu$  the *monadic multiplication*. But in what category can the composition of functors be considered a tensor product?

Enter the category of endofunctors. Objects in this category are endofunctors and arrows are natural transformations.

But there's more structure to that category. We know that any two endofunctors can be composed. How can we interpret this composition if we want to treat endofunctors as objects? An operation that takes two objects and produces a third object looks like a tensor product. The only condition imposed on a tensor product is that it's functorial in both arguments. That is, given a pair of arrows:

$$\alpha: T \rightarrow T''$$

$$\beta: S \rightarrow S''$$

we can lift it to the mapping of the tensor product:

$$\alpha \otimes \beta: T \otimes S \rightarrow T'' \otimes S''$$

In the category of endofunctors, the arrows are natural transformations so, if we replace  $\otimes$  with  $\circ$ , the lifting is the mapping:

$$\alpha \circ \beta: T \circ T'' \rightarrow S \circ S''$$

But this is just horizontal composition of natural transformations (now you understand why it's denoted by a circle).

The unit object in this monoidal category is the identity endofunctor, and unit laws are satisfied “on the nose,” meaning

$$\text{Id} \circ T = T = T \circ \text{Id}$$

We don't need any unitors. We don't need any associators either, since functor composition is automatically associative.

A monoidal category in which unitors and associators are identity morphisms is called a *strict* monoidal category.

Notice, however, that composition is not symmetric, so this is not a symmetric monoidal category.

So, all said, a monad is a monoid in the monoidal category of endofunctors.

A monad  $(T, \eta, \mu)$  consists of an object in the category of endofunctors—meaning an endofunctor  $T$ ; and two arrows—meaning natural transformations:

$$\eta: \text{Id} \rightarrow T$$

$$\mu: T \circ T \rightarrow T$$

For this to be a monoid, these arrows must satisfy monoidal laws. Here are the unit laws (with unitors replaced by strict equalities):

$$\begin{array}{ccccc} \text{Id} \circ T & \xrightarrow{\eta \circ T} & T \circ T & \xleftarrow{T \circ \eta} & T \circ \text{Id} \\ & \searrow = & \downarrow \mu & \swarrow = & \\ & & T & & \end{array}$$

and this is the associativity law:

$$\begin{array}{ccc} (T \circ T) \circ T & \xrightarrow{=} & T \circ (T \circ T) \\ \downarrow \mu \circ T & & \downarrow T \circ \mu \\ T \circ T & \xrightarrow{\mu} & T \circ T \\ & \searrow \mu & \swarrow \mu \\ & T & \end{array}$$

We used the whiskering notation for horizontal composition of  $\mu \circ T$  and  $T \circ \mu$ .

These are the monad laws in terms of  $\mu$  and  $\eta$ . They can be directly translated to the laws for `join` and `return`. They are also equivalent to the laws of the Kleisli category built from arrows  $a \rightarrow Tb$ .

## 14.8 Free Monads

A monad lets us specify a sequence of actions that may produce side effects. Such a sequence tells the computer both what to do and how to do it. But sometimes more flexibility is required: We'd like to separate the "what" from the "how." A free monad lets us produce the sequence without committing to a particular monad for its execution. This is analogous to defining a free monoid (a list), which lets us postpone the choice of the algebra to apply to it; or to creating an AST (abstract syntax tree) before compiling it to executable code.

Free constructions are defined as left adjoints to forgetful functors. So first we have to define what it means to forget to be a monad. Since a monad is an endofunctor equipped with additional structure, we'd like to forget this structure. We take a monad  $(T, \eta, \mu)$  and keep only  $T$ . But in order to define such a mapping as a functor, we first need to define the category of monads.

### Category of monads

The objects in the category of monads  $\text{Mon}(\mathcal{C})$  are monads  $(T, \eta, \mu)$ . We can define an arrow between two monads  $(T, \eta, \mu)$  and  $(T'', \eta'', \mu'')$  as a natural transformation between the two endofunctors:

$$\lambda: T \rightarrow T''$$

However, since monads are endofunctors *with structure*, we want these natural transformations to preserve the structure. Preservation of unit means that the following diagram must commute:

$$\begin{array}{ccc} & \text{Id} & \\ \eta \swarrow & & \searrow \eta'' \\ T & \xrightarrow{\lambda} & T'' \end{array}$$

Preservation of multiplication means that the following diagram must commute:

$$\begin{array}{ccc} T \circ T & \xrightarrow{\lambda \circ \lambda} & T'' \circ T'' \\ \downarrow \mu & & \downarrow \mu'' \\ T & \xrightarrow{\lambda} & T'' \end{array}$$

Another way of looking at  $\text{Mon}(\mathcal{C})$  is that it's a category of monoids in the monoidal category  $([\mathcal{C}, \mathcal{C}], \circ, \text{Id})$ .

## Free monad

Now that we have a category of monads, we can define the forgetful functor:

$$U : \text{Mon}(\mathcal{C}) \rightarrow [\mathcal{C}, \mathcal{C}]$$

that maps every triple  $(T, \eta, \mu)$  to  $T$  and every monad morphism to the underlying natural transformation.

We would like a free monad to be generated by a left adjoint to this forgetful functor. The problem is that this left adjoint doesn't always exist. As usual, this is related to size issues: monads tend to blow things up. The bottom line is that free monads exist for some, but not all, endofunctors. Therefore we can't define a free monad through an adjunction. Fortunately, in most cases of interest, a free monad can be defined as a fixed point of an algebra.

The construction is analogous to how we defined a free monoid as an initial algebra for the list functor:

```
data ListF a x = NilF | ConsF a x
```

or the more general:

$$F_a x = I + a \otimes x$$

This time, however, the monoidal category in which a monad is defined as a monoid is the category of endofunctors  $([\mathcal{C}, \mathcal{C}], \circ, \text{Id})$ . A free monoid in this category is the initial algebra for the higher order “list” functor that maps functors to functors:

$$\Phi_F G = \text{Id} + F \circ G$$

Here, the coproduct of two functors is defined point-wise. On objects:

$$(F + G)a = Fa + Ga$$

and on arrows:

$$(F + G)f = Ff + Gf$$

(We form a coproduct of two morphisms using the functoriality of the coproduct. We assume that  $\mathcal{C}$  is co-cartesian, that is all coproducts exist.)

The initial algebra is the (least) fixed point of this operator, or the solution to the recursive equation:

$$L_F \circ \text{Id} = F \circ L_F$$

This formula establishes a natural isomorphism between two functors. Going from right to left,  $\text{Id} + F \circ L_F \rightarrow L_F$ , we have a mapping out of the sum, which is equivalent to a pair of natural

transformations:

$$\begin{aligned}\text{Id} &\rightarrow L_F \\ F \circ L_F &\rightarrow L_F\end{aligned}$$

When translating this to Haskell, the components of these transformations become two constructors. We define the following recursive data type parameterized by a functor `f`:

```
data FreeMonad f a where
  Pure  :: a -> FreeMonad f a
  Free  :: f (FreeMonad f a) -> FreeMonad f a
```

If we think of the functor `f` as a container of values, the constructor `Free` takes a functorful of `(FreeMonad f a)` and stashes it away. An arbitrary value of the type `FreeMonad f a` is therefore a tree in which every node is a functorful of branches, and each leaf contains a value of the type `a`.

Because this definition is recursive, the `Functor` instance for it is also recursive:

```
instance Functor f => Functor (FreeMonad f) where
  fmap g (Pure a) = Pure (g a)
  fmap g (Free ffa) = Free (fmap (fmap g) ffa)
```

Here, the outer `fmap` uses the `Functor` instance of `f`, while the inner `(fmap g)` recurses into the branches.

It's easy to show that `FreeMonad` is a `Monad`. The monadic unit `eta` is just a thin encapsulation of the identity functor:

```
eta :: a -> FreeMonad f a
eta a = Pure a
```

Monadic multiplication, or `join`, is defined recursively:

```
mu :: Functor f => FreeMonad f (FreeMonad f a) -> FreeMonad f a
mu (Pure fa) = fa
mu (Free ffa) = Free (fmap mu ffa)
```

The `Monad` instance for `FreeMonad f` is therefore:

```
instance Functor f => Monad (FreeMonad f) where
  return a = eta a
  m >=> k = mu (fmap k m)
```

We can also define `bind` directly:

```
(Pure a)    >>= k = k a
(Free ffa) >>= k = Free (fmap (>>= k) ffa)
```

A free monad accumulates monadic actions in a tree-like structure without committing to any particular evaluation strategy. This tree can be “interpreted” using an algebra. But this time it’s an algebra in the category of endofunctors, so its carrier is an endofunctor  $G$  and the structure map  $\alpha$  is a natural transformation  $\Phi_F G \rightarrow G$ :

$$\alpha: \text{Id} + F \circ G \rightarrow G$$

This natural transformation, being a mapping out of a sum, is equivalent to a pair of natural transformations :

$$\lambda: \text{Id} \rightarrow G$$

$$\rho: F \circ G \rightarrow G$$

We can translate it to Haskell as a pair of polymorphic functions:

```
type MAlg f g a = (a -> g a, f (g a) -> g a)
```

Since the free monad is the initial algebra, there is a unique mapping—the catamorphism—from it to any other algebra. Recall how we defined a catamorphism for a regular algebra:

```
cata :: Functor f => Algebra f a -> Fix f -> a
cata alg = alg . fmap (cata alg) . out
```

The `out` part unwraps the contents of the fixed point. Here we can do this by pattern-matching on the two constructors of the free monad. If it’s a leaf, we apply our  $\lambda$  to it. If it’s a node, we recursively process its contents, and apply our  $\rho$  to the result:

```
mcata :: Functor f => MAlg f g a -> FreeMonad f a -> g a
mcata (l, r) (Pure a) = l a
mcata (l, r) (Free ffa) =
  r (fmap (mcata (l, r)) ffa)
```

Many tree-like monads are in fact free monads for simple functors.

**Exercise 14.8.1.** A (non-empty) rose tree is defined as:

```
data Rose a = Leaf a | Rose [Rose a]
deriving Functor
```

Implement conversions back and forth between `Rose a` and `FreeMonad [] a`.

**Exercise 14.8.2.** Implement conversions between a binary tree and `FreeMonad Bin a`, where:



```
data Bin a = Bin a a
```

**Exercise 14.8.3.** Find a functor whose free monad is equivalent to the list monad `[a]`.

### Stack calculator example

As an example, let's consider a stack calculator implemented as an embedded domain-specific language, EDSL. We'll use the free monad to accumulate simple commands written in this language.

The commands are defined by the functor `StackF`. Think of the parameter `k` as the continuation.

```
data StackF k = Push Int k
              | Top (Int -> k)
              | Pop k
              | Add k
              deriving Functor
```

For instance, `Push` is supposed to push an integer on the stack and then call the continuation `k`.

The free monad for this functor can be thought of as a tree, with most branches having just one child, thus forming lists. The exception is the `Top` node, which has many children, one per every value of `Int`.

Here's the free monad for this functor:

```
type FreeStack = FreeMonad StackF
```

In order to create domain-specific programs we'll define a few helper functions. There is a generic one that lifts a functorful of values to a free monad:

```
liftF :: (Functor f) => f r -> FreeMonad f r
liftF fr = Free (fmap (Pure) fr)
```

We also need a series of “smart constructors,” which are Kleisli arrows for our free monad:

```
push :: Int -> FreeStack ()
push n = liftF (Push n ())

pop :: FreeStack ()
pop = liftF (Pop ())

top :: FreeStack Int
top = liftF (Top id)
```

```
add :: FreeStack ()
add = liftF (Add ())
```

Since a free monad is a monad, we can conveniently combine Kleisli arrows using the `do` notation. For instance, here's a toy program that adds two numbers and returns their sum:

```
calc :: FreeStack Int
calc = do
  push 3
  push 4
  add
  x <- top
  pop
  return x
```

In order to execute this program, we need to define an algebra whose carrier is an endofunctor. Since we want to implement a stack-based calculator, we'll use a version of the state functor. Its state is a stack—a list of integers. The state functor is defined as a function type; here it's a function that takes a list and returns a new list coupled with the type parameter `k`:

```
data StackAction k = St ([Int] -> ([Int], k))
deriving Functor
```

To run the action, we apply the function to the stack:

```
runAction :: StackAction k -> [Int] -> ([Int], k)
runAction (St act) ns = act ns
```

We define the algebra as a pair of polymorphic functions corresponding to the two constructors of the free monad, `Pure` and `Free`:

```
runAlg :: MAlg StackF StackAction a
runAlg = (stop, go)
```

The first function terminates the execution of the program and returns a value:

```
stop :: a -> StackAction a
stop a = St (\xs -> (xs, a))
```

The second function pattern matches on the type of the command. Each command carries with it a continuation. This continuation has to be run with a (potentially modified) stack. Each command modifies the stack in a different way:

```

go :: StackF (StackAction k) -> StackAction k
go (Pop k)      = St (\ns -> runAction k (tail ns))
go (Top ik)     = St (\ns -> runAction (ik (head ns)) ns)
go (Push n k)   = St (\ns -> runAction k (n: ns))
go (Add k)      = St (\ns -> runAction k
                        ((head ns + head (tail ns)): tail (tail ns)))

```

For instance, **Pop** discards the top of the stack. **Top** takes an integer from top of the stack and uses it to pick the branch to be executed. It does it by applying the function **ik** to the integer. **Add** adds the two numbers at the top of the stack and pushes the result.

Notice that the algebra we have defined does not involve recursion. Separating recursion from the actions is one of the advantages of the free monad approach. The recursion is instead encoded once and for all in the catamorphism.

Here's the function that can be used to run our toy program:

```

run :: FreeMonad StackF k -> ([Int], k)
run prog = runAction (mcata runAlg prog) []

```

Obviously, the use of partial functions **head** and **tail** makes our interpreter fragile. A badly formed program will cause a runtime error. A more robust implementation would use an algebra that allows for error propagation.

The other advantage of using free monads is that the same program may be interpreted using different algebras.

**Exercise 14.8.4.** *Implement a “pretty printer” that displays the program constructed using our free monad. Hint: Implement the algebra that uses the **Const** functor as the carrier:*

```

showAlg :: MAlg StackF (Const String) a

```

## 14.9 Monoidal Functors

We've seen several examples of monoidal categories. Such categories are equipped with some kind of binary operation, e.g., a cartesian product, a sum, composition (in the category of endofunctors), etc. They also have a special object that serves as the unit with respect to that binary operation. Unit and associativity laws are satisfied either on the nose (in strict monoidal categories) or up to isomorphism.

Every time we have more than one instance of some structure, we may ask ourselves the question: is there a whole category of such things? In this case: do monoidal categories form their own category? For this to work we would have to define arrows between monoidal categories.

A *monoidal functor*  $F$  from a monoidal category  $(C, \otimes, i)$  to another monoidal category  $(D, \oplus, j)$  maps tensor product to tensor product and unit to unit—all up to isomorphism:

$$\begin{aligned} Fa \oplus Fb &\overset{\sim}{\rightarrow} F(a \otimes b) \\ j &\overset{\sim}{\rightarrow} Fi \end{aligned}$$

Here, on the left-hand side we have the tensor product and the unit in the target category, and on the right their counterparts in the source category.

If the two monoidal categories in question are not strict, that is the unit and associativity laws are satisfied only up to isomorphism, there are additional coherency conditions that ensure that unitors are mapped to unitors and associators are mapped to associators.

The category of monoidal categories with monoidal functors as arrows is called  $\text{MonCat}$ . In fact it's a 2-category, since one can define structure-preserving natural transformations between monoidal functors.

### Lax monoidal functors

One of the perks of monoidal categories is that they allow us to define monoids. You can easily convince yourself that monoidal functors map monoids to monoids. It turns out that you don't need the full power of monoidal functors to accomplish that. Let's consider what the minimal requirements are for a functor to map monoids to monoids.

Let's start with a monoid  $(m, \mu, \eta)$  in the monoidal category  $(C, \otimes, i)$ . Consider a functor  $F$  that maps  $m$  to  $Fm$ . We want  $Fm$  to be a monoid in the target monoidal category  $(D, \oplus, j)$ . For that we need to find two mappings:

$$\begin{aligned} \eta'' : j &\rightarrow Fm \\ \mu'' : Fm \oplus Fm &\rightarrow Fm \end{aligned}$$

satisfying monoidal laws.

Since  $m$  is a monoid, we do have at our disposal the liftings of the original mappings:

$$\begin{aligned} F\eta : Fi &\rightarrow Fm \\ F\mu : F(m \otimes m) &\rightarrow Fm \end{aligned}$$

What we are missing, in order to implement  $\eta''$  and  $\mu''$ , are two additional arrows:

$$\begin{aligned} j &\rightarrow Fi \\ Fm \oplus Fm &\rightarrow F(m \otimes m) \end{aligned}$$

A monoidal functor would provide such arrows. However, for what we're trying it accomplish, we don't need these arrows to be invertible.

A *lax monoidal functor* is a functor equipped with a morphism  $\phi_i$  and a natural transformation  $\phi_{ab}$ :

$$\begin{aligned}\phi_i &: j \rightarrow Fi \\ \phi_{ab} &: Fa \oplus Fb \rightarrow F(a \otimes b)\end{aligned}$$

satisfying the appropriate unitality and associativity conditions.

Such a functor maps a monoid  $(m, \mu, \eta)$  to a monoid  $(Fm, \mu'', \eta'')$  with:

$$\begin{aligned}\eta'' &= F\eta \circ \phi_i \\ \mu'' &= F\mu \circ \phi_{ab}\end{aligned}$$

The simplest example of a lax monoidal functor is an endofunctor that preserves the usual cartesian product. We can define it in Haskell as a typeclass:

```
class Monoidal f where
  unit  :: f ()
  (>*<) :: f a -> f b -> f (a, b)
```

Corresponding to  $\phi_{ab}$  we have an infix operator which, according to Haskell conventions, is written in its curried form.

**Exercise 14.9.1.** Implement the *Monoidal* instance for the list functor.

## Functorial strength

There is another way a functor may interact with monoidal structure, one that hides in plain sight when we do programming. We take it for granted that functions have access to the environment. Such functions are called closures.

For instance, here's a function that captures a variable `a` from the environment and pairs it with its argument:

```
\x -> (a, x)
```

This definition makes no sense in isolation, but it does when the environment contains the variable `a`, e.g.,

```
pairWith :: Int -> (String -> (Int, String))
pairWith a = \x -> (a, x)
```

The function returned by calling `pairWith 5` “closes over” the 5 from its environment.

Now consider the following modification, which returns a singleton list that contains the closure:

```
pairWith' :: Int -> [String -> (Int, String)]
pairWith' a = [\x -> (a, x)]
```

As a programmer you'd be very surprised if this didn't work. But what we do here is highly nontrivial: we are smuggling the environment *under* the list functor. According to our model of lambda calculus, a closure is a morphism from the product of the environment and the function argument. Here the lambda, which is really a function of `(Int, String)`, is defined inside a list functor, but it captures the value `a` that is defined *outside* the list.

The property that lets us smuggle the environment under a functor is called *functorial strength* or *tensorial strength* and can be implemented in Haskell as:

```
strength :: Functor f => (e, f a) -> f (e, a)
strength (e, as) = fmap (e, ) as
```

The notation `(e, )` is called a *tuple section* and is equivalent to the partial application of the pair constructor: `(,) e`.

In category theory, strength for an endofunctor  $F$  is defined as a natural transformation that smuggles a tensor product into a functor:

$$\sigma : a \otimes F(b) \rightarrow F(a \otimes b)$$

There are some additional conditions which ensure that it works nicely with the unitors and the associator of the monoidal category in question.

The fact that we were able to implement `strength` for an arbitrary functor means that, in Haskell, every functor is strong. This is the reason why we don't have to worry about accessing the environment from inside a functor.

Even more importantly, every monad in Haskell is strong by virtue of being a functor. This is also why every monad is automatically **Monoidal**.

```
instance Monad m => Monoidal m where
  unit = return ()
  ma >*< mb = do
    a <- ma
    b <- mb
    return (a, b)
```

If you desugar this code to use monadic bind and lambdas, you'll notice that the final `return` needs access to both `a` and `b`, which are defined in outer environments. This would be impossible without a monad being strong.

In category theory, though, not every endofunctor in a monoidal category is strong. For now, the magic incantation is that the category we're working with is self-enriched, and every

endofunctor defined in Haskell is enriched. We'll come back to it when we talk about enriched categories. In Haskell, strength boils down to the fact that we can always `fmap` a partially applied pair constructor `(a, )`.

### Applicative functors

In programming, the idea of applicative functors arose from the following question: A functor lets us lift a function of one variable. How can we lift a function of two or more variables?

By analogy with `fmap`, we'd like to have a function:

```
liftA2 :: (a -> b -> c) -> f a -> f b -> f c
```

A function of two arguments—here, in its curried form—is a function of one argument returning a function. So, assuming that `f` is a functor, we can `fmap` the first argument of `liftA2`, which has the type:

```
a -> (b -> c)
```

over the second argument `(f a)` to get:

```
f (b -> c)
```

The problem is, we don't know how to apply `f (b -> c)` to the remaining argument `(f b)`.

The class of functors that let us do that is called **Applicative**. It turns out that, once we know how to lift a two-argument function, we can lift functions of any number of arguments, except zero. A zero-argument function is just a value, so lifting it means implementing a function:

```
pure :: a -> f a
```

Here's the Haskell definition:

```
class Functor f => Applicative f where
  pure  :: a -> f a
  (<*>) :: f (a -> b) -> f a -> f b
```

The application of a functorful of functions to a functorful of arguments is defined as an infix operator `<*>` that is customarily called “splat.”

There is also an infix version of `fmap`:

```
(<$>) :: Functor f => (a -> b) -> f a -> f b
```

which can be used in this terse implementation of `liftA2`:

```
liftA2 :: Applicative f => (a -> b -> c) -> f a -> f b -> f c
liftA2 g as bs = g <$> as <*> bs
```

Both operators bind to the left, which makes this syntax mimic regular function application.

An applicative functor must also satisfy a set of laws:

```
pure id <*> v = v           -- Identity
pure f <*> pure x = pure (f x) -- Homomorphism
u <*> pure y = pure ($ y) <*> u -- Interchange
pure (.) <*> u <*> v <*> w = u <*> (v <*> w) -- Composition
```

**Exercise 14.9.2.** Implement `liftA3`, a function that lifts a 3-argument function using an applicative functor.

## Closed functors

If you squint at the definition of the splat operator:

```
(<*>) :: f (a -> b) -> (f a -> f b)
```

you may see it as mapping function objects to function objects.

This becomes clearer if you consider a functor between two categories, both of them closed. You may start with a function object  $b^a$  in the source category and apply the functor  $F$  to it:

$$F(b^a)$$

Alternatively, you may map the two objects  $a$  and  $b$  and construct a function object between them in the target category:

$$(Fb)^{Fa}$$

If we demand that the two ways be isomorphic, we get a definition of a strict *closed functor*. But, as was the case with monoidal functors, we are more interested in the lax version, which is equipped with a one-way natural transformation:

$$F(b^a) \rightarrow (Fb)^{Fa}$$

If  $F$  is an endofunctor, this translates directly into the definition of the splat operator.

The full definition of a lax closed functor includes the mapping of the monoidal unit and some coherence conditions. All said, an applicative functor is a lax closed functor.

In a closed cartesian category, the exponential is related to the cartesian product through the currying adjunction. It's no surprise then, that in such a category lax monoidal and lax closed (applicative) endofunctors are the same.

We can easily express this in Haskell:

```
instance (Functor f, Monoidal f) => Applicative f where
  pure a = fmap (const a) unit
  fs <*> as = fmap apply (fs >*< as)
```



where `const` is a function that ignores its second argument:

```
const :: a -> b -> a
const a b = a
```

and `apply` is the uncurried function application:

```
apply :: (a -> b, a) -> b
apply (f, a) = f a
```

And the other way around we have:

```
instance Applicative f => Monoidal f where
  unit = pure ()
  as >*< bs = (,) <$> as <*> bs
```

In the latter, we used the pair constructor `(,)` as a two-argument function.

## Monads and applicatives

Since in a cartesian closed category every monad<sup>1</sup> is lax monoidal, it is automatically applicative. We can show it directly by implementing `ap`, which has the same type signature as the `splat` operator:

```
ap :: (Monad m) => m (a -> b) -> m a -> m b
ap fs as = do
  f <- fs
  a <- as
  return (f a)
```

This connection is expressed in the Haskell definition of a `Monad` by having `Applicative` as its superclass:

```
class Applicative m => Monad m where
  (>=)      :: forall a b. m a -> (a -> m b) -> m b
  return    :: a -> m a
  return    = pure
```

Notice the default implementation of `return` as `pure`.

The converse is not true: not every `Applicative` is a `Monad`. The standard counterexample is the `Applicative` instance for a list functor that uses zipping:

---

<sup>1</sup>Again, the correct incantation is “every enriched monad”

```
instance Applicative [] where
  pure = repeat
  fs <*> as = zipWith apply fs as
```

Of course, the list functor is also a monad, so there is another `Applicative` instance based on that. Its splat operator applies every function to every argument.

In programming, monad is more powerful than applicative. That's because monadic code lets you examine the contents of a monadic value and branch depending on it. This is true even for the `IO` monad which otherwise provides no means of extracting the value. In this example we are branching on the contents of an `IO` object:

```
main :: IO ()
main = do
  s <- getLine
  if s == "yes"
  then putStrLn "Thank you!"
  else putStrLn "Next time."
```

Of course, the inspection of the value is postponed until the runtime interpreter of `IO` gets hold of this code.

Applicative composition using the splat operator doesn't allow for one part of the computation to inspect the result of the other. This a limitation that can be turned into an advantage. The absence of dependencies makes it possible to run the computations in parallel. Haskell's parallel libraries use applicative programming extensively.

On the other hand, monads let us use the very convenient `do` syntax, which is arguably more readable than the applicative syntax. Fortunately, there is a language extension `ApplicativeDo`, which instructs the compiler to selectively use applicative constructs in interpreting `do` blocks, whenever there are no dependencies.

**Exercise 14.9.3.** Verify `Applicative` laws for the `zip` instance of the list functor.

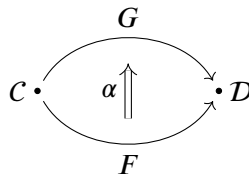
# Monads and Adjunctions

## 15.1 String Diagrams

A line partitions a plane. We can think of it as either dividing a plane or as connecting two halves of the plane.

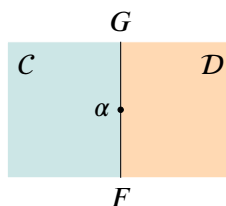
A dot partitions a line. We can think of it as either separating two half-lines or as joining them together.

This is a diagram in which two categories are represented as dots, two functors as arrows, and a natural transformation as a double arrow.



But the same idea can be represented by drawing categories as areas of a plane, functors as lines between areas, and natural transformations as dots that join line segments.

The idea is that a functor always goes between a pair of categories, therefore it can be drawn as a boundary between them. A natural transformation always goes between a pair of functors, therefore it can be drawn as a dot joining two segments of a line.



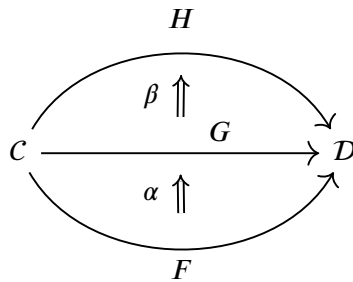
This is an example of a *string diagram*. You read such a diagram bottom-up, left-to-right (think of the  $(x, y)$  system of coordinates).

The bottom of this diagram shows the functor  $F$  that goes from  $C$  to  $D$ . The top of the diagram shows the functor  $G$  that goes between the same two categories. The transition happens in the middle, where a natural transformation  $\alpha$  maps  $F$  to  $G$ .

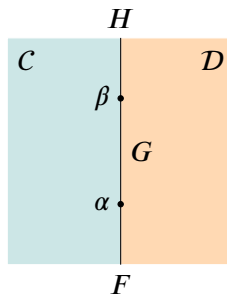
In Haskell, this diagram is interpreted as a polymorphic function between two endofunctors:

```
alpha :: forall x. F x -> G x
```

So far it doesn't seem like we gain a lot by using this new visual representation. But let's apply it to something more interesting: vertical composition of natural transformations:



The corresponding string diagram shows the two categories and three functors between them joined by two natural transformations.



As you can see, you can reconstruct the original diagram from the string diagram by scanning it bottom-to-top.

Again, in Haskell we'll be dealing with three endofunctors, and the vertical composition of `beta` after `alpha`:

```
alpha :: forall x. F x -> G x
beta  :: forall x. G x -> H x
```

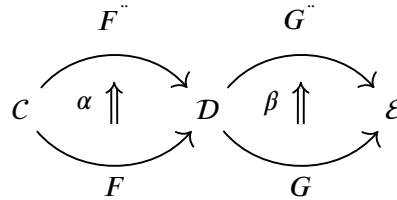
is implemented using regular function composition:

```

beta_alpha :: forall x. F x -> H x
beta_alpha = beta . alpha

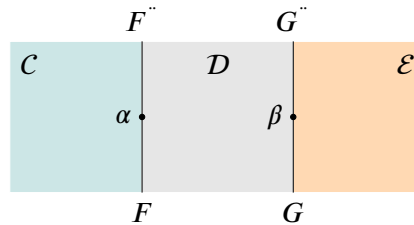
```

Let's continue with the horizontal composition of natural transformations:



This time we have three categories, so we'll have three areas.

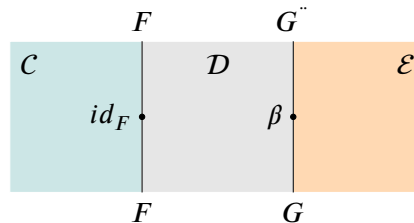
The bottom of the string diagram corresponds to the composition of functors  $G \circ F$  (in this order). The top corresponds to  $G'' \circ F''$ . One natural transformation,  $\alpha$ , connects  $F$  to  $F''$ ; the other,  $\beta$ , connects  $G$  to  $G''$ .



Parallel vertical lines in this new system correspond to functor composition.

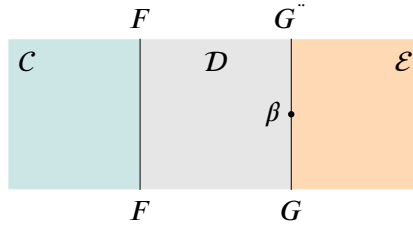
You may think of the horizontal composition of natural transformations as happening along the imaginary horizontal line in the middle of the diagram. But what if somebody was sloppy in drawing the diagram, and one of the dots was a little higher than the other? As it turns out, the exact positioning of the dots doesn't matter, due to the interchange law.

But first, let's illustrate whiskering: horizontal composition in which one of the natural transformation is the identity. We can draw it like this:



But, really, the identity can be inserted at any point on a vertical line, so we don't even have to

draw it. The following diagram represents the whiskering of  $\beta \circ F$ .



In Haskell, where `beta` is a polymorphic function:

```
beta :: forall x. G x -> G' x
```

we read this diagram as:

```
beta_f :: forall x. G (F x) -> G' (F x)
beta_f = beta
```

with the understanding that the type checker instantiates the polymorphic function `beta` for the correct type.

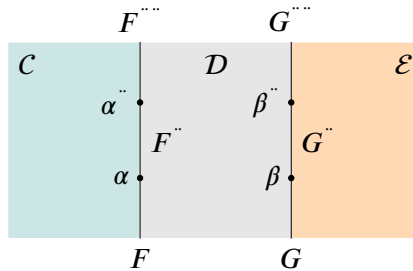
Similarly, you can easily imagine the diagram for  $G \circ \alpha$ , and its Haskell realization:

```
g_alpha :: forall x. G (F x) -> G (F' x)
beta_f = fmap alpha
```

with:

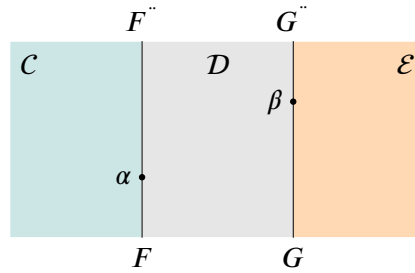
```
alpha :: forall x. F x -> F' x
```

Here's the string diagram that corresponds to the interchange law:



This diagram is purposefully ambiguous. Are we supposed to first do vertical composition of natural transformations and then the horizontal one? Or should we compose  $\beta \circ \alpha$  and  $\beta'' \circ \alpha''$  horizontally, and then compose the results vertically? The interchange law says that it doesn't matter: the result is the same.

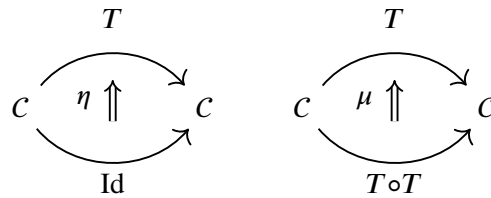
Now try to replace a pair of natural transformations in this diagram with identities. If you replace  $\alpha''$  and  $\beta''$ , you get the horizontal composition of  $\beta \circ \alpha$ . If you replace  $\alpha''$  and  $\beta$  with identity natural transformations, and rename  $\beta''$  to  $\beta$ , you get the diagram in which  $\alpha$  is shifted down with respect to  $\beta$ , and so on.



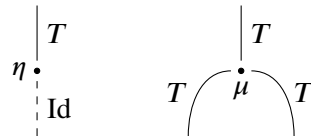
The interchange law tells us that all these diagrams are equal. We are free to slide natural transformations like beads on a string.

### String diagrams for the monad

A monad is defined as an endofunctor equipped with two natural transformations, as illustrated by the following diagrams:



Since we are dealing with just one category, when translating these diagrams to string diagrams, we can dispose of the naming (and the shading) of categories, and just draw the strings alone.

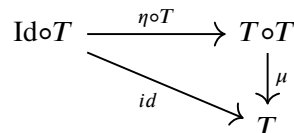


In the first diagram it's customary to skip the dashed line corresponding to the identity functor. The  $\eta$  dot can be used to freely inject a  $T$  line into a diagram. Two  $T$  lines can be joined by the  $\mu$  dot.

String diagrams are especially useful in expressing monad laws. For instance, we have the left identity law:

$$\mu \circ (\eta \circ T) = id$$

which can be visualized as a commuting diagram:



The corresponding string diagrams represents the equality of the two paths through this diagram:

$$\begin{array}{c} T \\ | \\ \cdot \\ \eta \end{array} \begin{array}{c} \text{---} \mu \text{---} \\ | \\ T \end{array} = \begin{array}{c} T \\ | \\ T \end{array}$$

You may think of this equality as the result of yanking the top and bottom strings resulting in the  $\eta$  appendage being retracted into the straight line.

There is a symmetric right identity law:

$$\begin{array}{c} T \\ | \\ \cdot \\ \eta \end{array} \begin{array}{c} \text{---} \mu \text{---} \\ | \\ T \end{array} = \begin{array}{c} T \\ | \\ T \end{array}$$

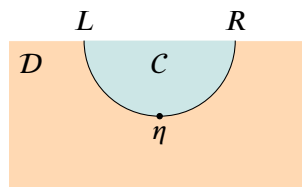
Finally, this is the associativity law in terms of string diagrams:

$$\begin{array}{c} T \\ | \\ \cdot \\ \mu \end{array} \begin{array}{c} \text{---} \mu \text{---} \\ | \\ T \end{array} \begin{array}{c} T \\ | \\ \cdot \\ \mu \end{array} \begin{array}{c} \text{---} \mu \text{---} \\ | \\ T \end{array} = \begin{array}{c} T \\ | \\ \cdot \\ \mu \end{array} \begin{array}{c} \text{---} \mu \text{---} \\ | \\ T \end{array} \begin{array}{c} T \\ | \\ \cdot \\ \mu \end{array} \begin{array}{c} \text{---} \mu \text{---} \\ | \\ T \end{array}$$

### String diagrams for the adjunction

As we discussed before, an adjunction is a relation between a pair of functors,  $L: \mathcal{D} \rightarrow \mathcal{C}$  and  $R: \mathcal{C} \rightarrow \mathcal{D}$ . It can be defined by a pair of natural transformations, the unit  $\eta$  and the counit  $\epsilon$ , satisfying triangular identities.

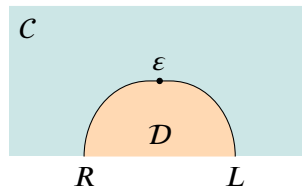
The unit of the adjunction can be illustrated by a “cup”-shaped diagram:



The identity functor at the bottom of the diagram is omitted from the picture. The  $\eta$  dot turns the identity functor below it to the composition  $R \circ L$  above it.

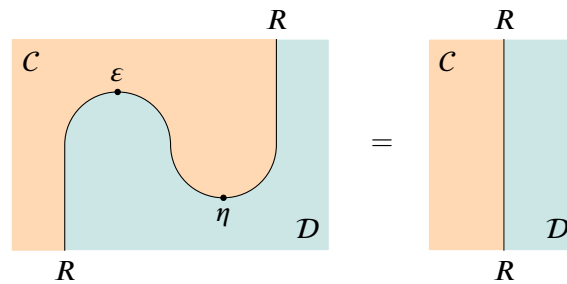


Similarly, the counit can be visualized as a “cap”-shaped string diagram with the implicit identity functor at the top:



Triangle identities can be easily expressed using string diagrams. They also make intuitive sense, as you can imagine pulling on the string from both sides to straighten the curve.

For instance, this is the first triangle identity, sometimes called the *zigzag* identity:



Reading the left diagram bottom-to-top produces a series of mappings:

$$Id_D \circ R \xrightarrow{\eta \circ R} R \circ L \circ R \xrightarrow{R \circ \epsilon} R \circ Id_C$$

This must be equal to the right-hand-side, which may be interpreted as the (invisible) identity natural transformation on  $R$

In the case  $R$  is an endofunctor, we can translate the first diagram directly to Haskell. The whiskering of the unit of the adjunction  $\eta$  by  $R$  results in the polymorphic function `unit` being instantiated at `R x`. The whiskering of  $\epsilon$  results in the lifting of `counit` by the functor  $R$ . The vertical composition translates to function composition:

```
triangle :: forall x. R x -> R x
triangle = fmap counit . unit
```

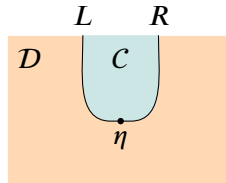
**Exercise 15.1.1.** Draw the string diagrams for the second triangle identity and translate them to Haskell.

## 15.2 Monads from Adjunctions

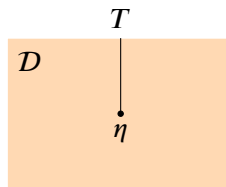
You might have noticed that the same symbol  $\eta$  is used for the unit of the adjunction and for the unit of the monad. This is *not* a coincidence.

At first sight it might seem like we are comparing apples to oranges: an adjunction is defined with two functors between two categories and a monad is defined by one endofunctor operating on a single category. However, the composition of two functors going in opposite directions is an endofunctor, and the unit of the adjunction maps the identity endofunctor to the endofunctor  $R \circ L$ .

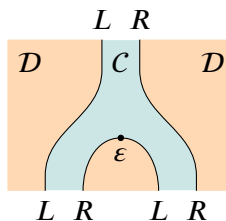
Compare this diagram:



with the one defining the monadic unit:



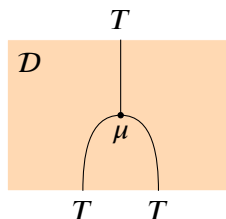
It turns out that, for any adjunction  $L \dashv R$ , the endofunctor  $T = R \circ L$  is a monad, with the multiplication  $\mu$  defined by the following diagram:



Reading this diagram bottom-to-top, we get the following transformation (imagine slicing it horizontally at the dot):

$$R \circ L \circ R \circ L \xrightarrow{R \circ \epsilon \circ L} R \circ L$$

Compare this with the definition of the monadic  $\mu$ :



We get the definition of  $\mu$  for the monad  $R \circ L$  as the double-whiskering of  $\varepsilon$ :

$$\mu = R \circ \varepsilon \circ L$$

The Haskell translation of the string diagram defining  $\mu$  in terms of  $\varepsilon$  is always possible. The monadic multiplication, or `join`, becomes:

```
join :: forall x. T (T x) -> T x
join = fmap counit
```

where `fmap` corresponds to the lifting by the endofunctor  $T$  defined as the composition  $R \circ L$ . Notice that  $\mathcal{D}$  in this case is the Haskell category of types and functions, but  $\mathcal{C}$  can be an outside category.

To complete the picture, we can use string diagrams to derive monadic laws using triangle identities. The trick is to replace all strings in monadic laws by pairs of parallel strings and then rearrange them according to the rules.

To summarize, every adjunction  $L \dashv R$  with the unit  $\eta$  and counit  $\varepsilon$  defines a monad  $(R \circ L, \eta, R \circ \varepsilon \circ L)$ .

We'll see later that, dually, the other composition,  $L \circ R$  defines a comonad.

**Exercise 15.2.1.** *Draw string diagrams to illustrate monadic laws (unit and associativity) for the monad derived from an adjunction.*

## 15.3 Examples of Monads from Adjunctions

We'll go through several examples of adjunctions that generate some of the monads that we use in programming. We'll expand on these examples later, when we talk about monad transformers.

Most examples involve functors that leave the category of Haskell types and functions, even though the round trip that generates the monad ends up being an endofunctor. This is why it's often impossible to express such adjunctions in Haskell.

To additionally complicate things, there is a lot of bookkeeping related to explicit naming of data constructors, which is necessary for type inference to work. This may sometimes obscure the simplicity on the underlying formulas.

### Free monoid and the list monad

The list monad is generated by the free monoid adjunction we've seen before. The unit of this adjunction,  $\eta_X: X \rightarrow U(FX)$ , injects the elements of the set  $X$  as the generators of the free monoid  $FX$ , after which  $U$  extracts the underlying set.

In Haskell, we represent the free monoid as a list type, and its generators are singleton lists. The unit  $\eta_X$  maps elements of  $X$  to such singletons:

```
return x = [x]
```

To implement the counit,  $\varepsilon_M : F(UM) \rightarrow M$ , we take a monoid  $M$ , forget its multiplication, and use its set of elements as generators for a new free monoid. A component of the counit at  $M$  is then a monoid morphism from the free monoid back to  $M$  or, in Haskell, `[m] -> m`. It turns out that this monoid morphism is a special case of a catamorphism.

First, recall the Haskell implementation of a general list catamorphism:

```
foldMap :: Monoid m => (a -> m) -> ([a] -> m)
foldMap f = foldr mappend mempty . fmap f
```

Here, we interpret `(a -> m)` as a regular function from `a` to the underlying set of a monoid `m`. The result is interpreted as a *monoid morphism* from the free monoid generated by `a` (that is a list of `a`'s) to `m`. This is just one direction of the adjunction:

$$\text{Set}(a, Um) \text{ } \overset{\circ}{\circ} \text{ } \text{Mon}(Fa, m)$$

To get the counit as a monoid morphism `[m] -> m` we apply `foldMap` to identity. The result is `(foldMap id)` or, in terms of `foldr`:

```
epsilon = foldr mappend mempty
```

It is a monoid morphism since it maps an empty list to the monoidal unit, and concatenation to monoidal product.

Monadic multiplication, or `join`, is given by the whiskering of the counit:

$$\mu = U \circ \varepsilon \circ F$$

You can easily convince yourself that whiskering on the left doesn't do much here, since it's just a lifting of a monoid morphism by the forgetful functor (it keeps the function while forgetting its special property of preserving structure).

The right whiskering by  $F$  is more interesting. It means that the component  $\mu_X$  corresponds to the component of  $\varepsilon$  at  $FX$ , which is the free monoid generated from the set  $X$ . This free monoid is defined by:

```
mempty = []
mappend = (++)
```

which gives us the definition of `join`:

```
join = foldr (++) []
```

As expected, this is the same as `concat`: In the list monad, multiplication is concatenation.

### The currying adjunction and the state monad

The state monad is generated by the currying adjunction that we used to define the exponential object. The left functor is defined by a product with some fixed object  $s$ :

$$L_s a = a \times s$$

We can, for instance, implement it as a Haskell type:

```
newtype L s a = L (a, s)
```

The right functor is the exponentiation, parameterized by the same object  $s$ :

$$R_s c = c^s$$

In Haskell, it's a thinly encapsulated function type:

```
newtype R s c = R (s -> c)
```

The monad is given by the composition of these two functors. On objects:

$$(R_s \circ L_s) a = (a \times s)^s$$

In Haskell we would write it as:

```
newtype St s a = St (R s (L s a))
```

If you expand this definition, it's easy to recognize in it the **State** functor:

```
newtype State s a = State (s -> (a, s))
```

The unit of the adjunction  $L_s \dashv R_s$  is a mapping:

$$\eta_a : a \rightarrow (a \times s)^s$$

which can be implemented in Haskell as:

```
unit :: a -> R s (L s a)
unit a = R (\s -> L (a, s))
```

You may recognize in it a thinly veiled version of **return** for the state monad:

```
return :: a -> State s a
return a = State (\s -> (a, s))
```

Here's the component of the counit of this adjunction at  $c$ :

$$\epsilon_c : c^s \times s \rightarrow c$$

It can be implemented in Haskell as:

```
counit :: L s (R s a) -> a
counit (L ((R f), s)) = f s
```

which, after stripping data constructors, is equivalent to `apply`, or the uncurried version of `runState`.

Monad multiplication  $\mu$  is given by the whiskering of  $\epsilon$  from both sides:

$$\mu = R_s \circ \epsilon \circ L_s$$

Here it is translated to Haskell:

```
mu :: R s (L s (R s (L s a))) -> R s (L s a)
mu = fmap counit
```

Whiskering on the right doesn't do anything other than select a component of the natural transformation. This is done automatically by Haskell's type inference engine. Whiskering on the left is done by lifting the component of the natural transformation. Again, type inference picks the correct implementation of `fmap`—here, it's equivalent to precomposition.

Compare this with the implementation of `join`:

```
join :: State s (State s a) -> State s a
join mma = State (fmap (uncurry runState) (runState mma))
```

Notice the dual use of `runState`:

```
runState :: State s a -> s -> (a, s)
runState (State h) s = h s
```

When it's uncurried, its type signature becomes:

```
uncurry runState :: (State s a, s) -> (a, s)
```

which is equivalent to that of `counit`.

When partially applied, `runState` just strips the data constructor exposing the underlying function type:

```
runState st :: s -> (a, s)
```

## M-sets and the writer monad

The writer monad:

```
newtype Writer m a = Writer (a, m)
```

is parameterized by a monoid `m`. This monoid is used for accumulating log entries. The adjunction we are going to use involves a category of M-sets for that monoid.

An  $M$ -set is a set  $S$  on which we define the action of a monoid  $M$ . Such an action is a mapping:

$$a: M \times S \rightarrow S$$

We often use the curried version of the action, with the monoid element in the subscript position. Thus  $a_m$  becomes a function  $S \rightarrow S$ .

This mapping has to satisfy some constraints. The action of the monoidal unit 1 must not change the set, so it has to be the identity function:

$$a_1 = id_S$$

and two consecutive actions must combine to an action of their monoidal product:

$$a_{m_1} \circ a_{m_2} = a_{m_1 \cdot m_2}$$

This choice of the order of multiplication defines what it called the *left action*. (The right action has the two monoidal elements swapped on the right-hand side.)

$M$ -sets form a category  $MSet$ . The objects are pairs  $(S, a: M \times S \rightarrow S)$  and the arrows are *equivariant maps*, that is functions between sets that preserve actions.

A function  $f: S \rightarrow R$  is an *equivariant* mapping from  $(S, a)$  to  $(R, b)$  if the following diagram commutes, for every  $m \in M$ :

$$\begin{array}{ccc} S & \xrightarrow{f} & R \\ \downarrow a_m & & \downarrow b_m \\ S & \xrightarrow{f} & R \end{array}$$

In other words, it doesn't matter if we first do the action  $a_m$ , and then map the set; or first map the set, and then do the corresponding action  $b_m$ .

There is a forgetful functor  $U$  from  $MSet$  to  $Set$ , which assigns the set  $S$  to the pair  $(S, a)$ , thus forgetting the action.

Corresponding to it there is a free functor  $F$ . Its action on a set  $S$  produces an  $M$ -set. It's a set that is a cartesian product of  $S$  and  $M$ , where  $M$  is treated as a set of elements (in other words, the result of the action of a forgetful functor on a monoid). An element of this  $M$ -set is a pair  $(x \in S, m \in M)$  and the free action is defined by:

$$\phi_n: (x, m) \mapsto (x, n \cdot m)$$

leaving the element  $x$  unchanged, and only multiplying the  $m$ -component.

To show that  $F$  is left adjoint to  $U$  we have to construct the following natural isomorphism:

$$MSet(FS, Q) \cong Set(S, UQ)$$

for any set  $S$  and any  $M$ -set  $Q$ . If we represent  $Q$  as a pair  $(R, b)$ , the element of the right hand side of the adjunction is a plain function  $u: S \rightarrow R$ . We can use this function to construct an equivariant mapping on the left.

The trick here is to notice that such an equivariant mapping  $f: FS \rightarrow Q$  is fully determined by its action on the elements of the form  $(x, 1) \in FS$ , where  $1$  is the monoidal unit.

Indeed, from the equivariance condition it follows that:

$$\begin{array}{ccc} (x, 1) & \xrightarrow{f} & r \\ \downarrow \phi_m & & \downarrow b_m \\ (x, m \cdot 1) & \xrightarrow{f} & r'' \end{array}$$

or:

$$f(\phi_m(x, 1)) = f(x, m) = b_m(f(x, 1))$$

Thus every function  $u: S \rightarrow R$  uniquely defines an equivariant mapping  $f: FS \rightarrow Q$  given by:

$$f(x, m) = b_m(ux)$$

The unit of this adjunction  $\eta_S: S \rightarrow U(FS)$  maps an element  $x$  to a pair  $(x, 1)$ . Compare this with the definition of `return` for the writer monad:

```
return a = Writer (a, mempty)
```

The counit is given by an equivariant map:

$$\varepsilon_Q: F(UQ) \rightarrow Q$$

The left hand side is the  $M$ -set constructed by taking the underlying set of  $Q$  and taking its product with the underlying set of  $M$ . The original action of  $Q$  is forgotten and replaced by the free action. The obvious choice for the counit is:

$$\varepsilon_Q: (x, m) \mapsto a_m x$$

where  $x$  is an element of (the underlying set of)  $Q$  and  $a$  is the action defined in  $Q$ .

Monad multiplication  $\mu$  is given by the whiskering of the counit.

$$\mu = U \circ \varepsilon \circ F$$

It means replacing  $Q$  in the definition of  $\varepsilon_Q$  with a free  $M$ -set whose action is the free action. In other words, we replace  $x$  with  $(x, m)$  and  $a_n$  with  $\phi_n$ . (Whiskering with  $U$  doesn't change anything.)

$$\mu_S: ((x, m), n) \mapsto \phi_n(x, m) = (x, n \cdot m)$$

Compare this with the definition of `join` for the writer monad:



```
join :: Monoid m => Writer m (Writer m a) -> Writer m a
join (Writer (Writer (x, m), n)) = Writer (x, mappend n m)
```

### Pointed objects and the **Maybe** monad

Pointed objects are objects with a designated element. Since picking an element is done using an arrow from the terminal object, the category of pointed objects is defined using pairs  $(a, p: 1 \rightarrow a)$ , where  $a$  is an object in  $\mathcal{C}$ .

The morphisms between these pairs are the arrows in  $\mathcal{C}$  that preserve the points. Thus a morphism from  $(a, p: 1 \rightarrow a)$  to  $(b, q: 1 \rightarrow b)$  is an arrow  $f: a \rightarrow b$  such that  $q = f \circ p$ . This category is also called a *coslice category* and is written as  $1/\mathcal{C}$ .

There is an obvious forgetful functor  $U: 1/\mathcal{C} \rightarrow \mathcal{C}$  that forgets the point. Its left adjoint is a free functor  $F$  that maps an object  $a$  to a pair  $(1 + a, \text{Left})$ . In other words,  $F$  freely ads a point to an object using a coproduct.

The **Either** monad is similarly constructed by replacing  $1$  with a fixed object  $e$ .

**Exercise 15.3.1.** Show that  $U \circ F$  is the **Maybe** monad.

### The continuation monad

The continuation monad is defined in terms of a pair of contravariant functors in the category of sets. We don't have to modify the definition of the adjunction to work with contravariant functors. It's enough to select the opposite category for one of the endpoints.

We'll define the left functor as:

$$L_Z: \text{Set}^{op} \rightarrow \text{Set}$$

It maps a set  $X$  to the hom-set in  $\text{Set}$ :

$$L_Z X = \text{Set}(X, Z)$$

This functor is parameterized by another set  $Z$ . The right functor is defined by essentially the same formula:

$$R_Z: \text{Set} \rightarrow \text{Set}^{op}$$

$$R_Z X = \text{Set}^{op}(Z, X) = \text{Set}(X, Z)$$

The composition  $R \circ L$  can be written in Haskell as  $((x \rightarrow r) \rightarrow r)$ , which is the same as the (covariant) endofunctor that defines the continuation monad.

## 15.4 Monad Transformers

Suppose that you want to combine multiple effects, say, state with the possibility of failure. One option is to define your own monad from scratch. You define a functor:

```
newtype MaybeState s a = MS (s -> Maybe (a, s))
    deriving Functor
```

together with the function to extract the result (or report failure):

```
runMaybeState :: MaybeState s a -> s -> Maybe (a, s)
runMaybeState (MS h) s = h s
```

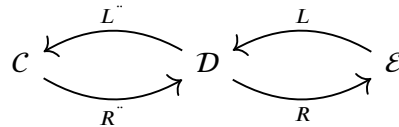
You define the monad instance for it:

```
instance Monad (MaybeState s) where
    return a = MS (\s -> Just (a, s))
    ms >>= k = MS (\s -> case runMaybeState ms s of
        Nothing -> Nothing
        Just (a, s') -> runMaybeState (k a) s')
```

and, if you are diligent enough, check that it satisfies the monad laws.

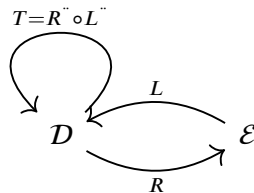
There is no general recipe for combining monads. In that sense, monads are not composable. However, we know that adjunctions are composable. We’ve also seen how to get monads from adjunctions and, as we’ll soon see, every monad can be obtained this way. So, if we can match adjunctions, the monads that they generate will automatically compose.

Consider two composable adjunctions:



There are three monads in this picture. There is the “inner” monad  $R'' \circ L''$  and the “outer” monad  $R \circ L$  as well as the composite  $R \circ R'' \circ L'' \circ L$ .

If we call the inner monad  $T = R'' \circ L''$ , then  $R \circ T \circ L$  is the composite monad called the *monad transformer*, because it transforms the monad  $T$  into a new monad.



In our example, we can treat **Maybe** as the inner monad:

$$Ta = 1 + a$$

It is transformed using the outer adjunction  $L_s \dashv R_s$ , the one that generates the state monad:

$$L_s a = a \ s$$

$$R_s c = c^s$$

The result is:

$$(R_s \circ T \circ L_s) a = (1 + a \ s)^s$$

or, in Haskell:

```
s -> Maybe (a, s)
```

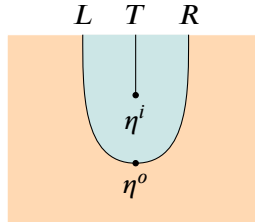
which matches the definition of our **MaybeState** monad.

In general, the inner monad  $T$  is defined by its unit  $\eta^i$  and multiplication  $\mu^i$  (the superscript  $i$  standing for “inner”). The “outer” adjunction is defined by its unit  $\eta^o$  and counit  $\varepsilon^o$ .

The unit of the composite monad is the natural transformation:

$$\eta: Id \rightarrow R \circ T \circ L$$

given by the string diagram:



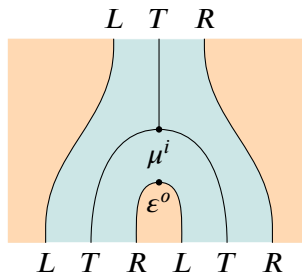
It is the vertical composition of the whiskered inner unit  $R \circ \eta^i \circ L$  and the outer unit  $\eta^o$ . In components:

$$\eta_a = R(\eta_{La}^i) \circ \eta_a^o$$

The multiplication of the composite monad is a natural transformation:

$$\mu: R \circ T \circ L \circ R \circ T \circ L \rightarrow R \circ T \circ L$$

given by the string diagram:



It's the vertical composition of the multiply whiskered outer counit:

$$R \circ T \circ \varepsilon^o \circ T \circ L$$

followed by the whiskered inner multiplication  $R \circ \mu^i \circ L$ . In components:

$$\mu_c = R(\mu_{Lc}^i) \circ (R \circ T)(\varepsilon_{(T \circ L)c}^o)$$

### State monad transformer

Let's unpack these equations for the case of the state monad transformer. The state monad is generated by the currying adjunction. The left functor  $L_s$  is the product functor  $(a, s)$ , and the right functor  $R_s$  is the exponential, a.k.a., the reader functor  $(s \rightarrow a)$ .

As we've seen before, the outer counit  $\varepsilon_a^o$  is function application:

```
counit :: (s -> a, s) -> a
counit (f, x) = f x
```

and the unit  $\eta_a^o$  is the curried pair constructor:

```
unit :: a -> s -> (a, s)
unit x = \s -> (x, s)
```

We'll keep the inner monad  $(T, \eta^i, \mu^i)$  arbitrary. In Haskell, we'll call this triple `m`, `return`, and `join`.

The composite monad that we get by applying the state monad transformer to the monad  $T$ , is the composition  $R \circ T \circ L$  or, in Haskell:

```
newtype StateT s m a = StateT (s -> m (a, s))

runStateT :: StateT s m a -> s -> m (a, s)
runStateT (StateT h) s = h s
```

The unit of the monad transformer is the vertical composition of  $\eta^o$  and  $R \circ \eta^i \circ L$ . In components:

$$\eta_a = R(\eta_{La}^i) \circ \eta_a^o$$

There are a lot of moving parts in this formula, so let's analyze it step-by-step. We start from the right: we have the  $a$ -component of the unit of the adjunction, which is an arrow from  $a$  to  $R(La)$ . In Haskell, it's the function `unit`.

```
unit :: a -> s -> (a, s)
```

Let's evaluate this function at some  $x :: a$ . The result is another function  $s \rightarrow (a, s)$ . We pass this function as an argument to  $R(\eta_{La}^i)$ .

$\eta_{La}^i$  is the component of `return` of the inner monad taken at  $La$ . Here,  $La$  is the type  $(a, s)$ . So we are instantiating the polymorphic function `return :: a -> m a` as a function  $(a, s) \rightarrow m (a, s)$ . (The type inferencer will do this automatically for us.)

Next, we are lifting this component of `return` using  $R$ . Here,  $R$  is the exponential  $(*)^s$ , so it lifts a function by post-composition. It will post-compose `return` to whatever function is passed to it. In our case, that's the function that was produced by `unit`. Notice that the types match: we are post-composing  $(a, s) \rightarrow m (a, s)$  after  $s \rightarrow (a, s)$ .

We can write the result of this composition as:

```
return x = StateT (return . \s -> (x, s))
```

or, inlining function composition:

```
return x = StateT (\s -> return (x, s))
```

We inserted the data constructor `StateT` to make the type checker happy. This is the `return` of the composite monad in terms of the `return` of the inner monad.

The same reasoning can be applied to the formula for the component of the composite  $\mu$  at some  $a$ :

$$\mu_a = R(\mu_{La}^i) \circ (R \circ T)(\epsilon_{(T \circ L)a}^o)$$

The inner  $\mu^i$  is the `join` of the monad  $m$ . Applying  $R$  turns it into post-composition.

The outer  $\epsilon^o$  is function application taken at  $T(La)$  or  $m (a, s)$ . It's a function of the type:

```
(s -> m (a, s), s) -> m (a, s)
```

which, inserting the appropriate data constructors, can be written as `uncurry runStateT`:

```
uncurry runStateT :: (StateT s m a, s) -> m (a, s)
```

The application of  $(R \circ T)$  lifts this component of  $\epsilon$  using the composition of functors  $R$  and  $T$ . The former is implemented as post-composition, and the latter is the `fmap` of the monad  $m$ .

Putting all this together, we get a point-free formula for `join` of the state monad transformer:

```
join :: StateT s m (StateT s m a) -> StateT s m a
join mma = StateT (join . fmap (uncurry runStateT) . runStateT mma)
```

Here, the partially applied `(runStateT mma)` strips off the data constructor from the argument `mma`:

```
runStateT mma :: s -> m (a, x)
```

Our earlier example of `MaybeState` can now be rewritten using a monad transformer:

```
type MaybeState s a = StateT s Maybe a
```

The vanilla `State` monad can be recovered by applying the `StateT` monad transformer to the identity functor, which has a `Monad` instance defined in the library (notice that the last type variable `a` is skipped in this definition):

```
type State s = StateT s Identity
```

Other monad transformers follow the same pattern. They are defined in the Monad Transformer Library, `MTL`.

## 15.5 Monad Algebras

Every adjunction generates a monad, and so far we've been able to define adjunctions for all the monads of interest for us. But is every monad generated by an adjunction? The answer is yes, and there are usually many adjunctions—in fact a whole category of adjunctions—for every monad.

Finding an adjunction for a monad is analogous to factorization. We want to express a functor as a composition of two other functors,  $T = R \circ L$ . The problem is complicated by the fact that this factorization also requires finding the appropriate intermediate category. We'll find such a category by studying algebras for a monad.

A monad is defined by an endofunctor, and we know that it's possible to define algebras for an endofunctor. Mathematicians often think of monads as tools for generating expressions and algebras as tools for evaluating those expressions. However, expressions generated by monads impose some compatibility conditions on those algebras.

For instance, you may notice that the monadic unit  $\eta_a: a \rightarrow Ta$  has the type signature that looks like the inverse of the structure map of an algebra  $\alpha: Ta \rightarrow a$ . Of course,  $\eta$  is a natural transformation that is defined for every type, whereas an algebra has a fixed carrier type. Nevertheless, we might reasonably expect that one might undo the action of the other.

Consider the earlier example of the expression monad `Ex`. An algebra for this monad is a choice of the carrier type, let's say `Char` and an arrow:

```
alg :: Ex Char -> Char
```

Since `Ex` is a monad, it defines a unit, or `return`, which is a polymorphic function that can be used to generate simple expressions from values. The unit of `Ex` is:

```
return x = Var x
```

We can instantiate the unit for an arbitrary type, in particular for the carrier type of our algebra. It makes sense to demand that *evaluating* `Var c`, where `c` is a character, should give us back the same `c`. In other words, we'd like:

```
alg . return = id
```

This condition will immediately eliminate a lot of algebras, such as:

```
alg (Var c) = 'a' -- not compatible with the monad Ex
```

The second condition we'd like to impose is that the algebra that's compatible with a monad respects substitution. A monad lets us flatten nested expressions using `join`. An algebra lets us evaluate such expressions.

There are two ways of doing that: we can apply the algebra to a flattened expression, or we can apply it to the inner expression first (using `fmap`), and then evaluate the resulting expression.

```
alg (join mma) = alg (fmap alg mma)
```

where `mma` is of the nested type `Ex (Ex Char)`.

In category theory these two conditions define a monad algebra.

We say that  $(a, \alpha: Ta \rightarrow a)$  is a *monad algebra* for the monad  $(T, \mu, \eta)$  if the following diagrams commute:

$$\begin{array}{ccc} a & \xrightarrow{\eta_a} & Ta \\ & \searrow id_a & \downarrow \alpha \\ & & a \end{array} \qquad \begin{array}{ccc} T(Ta) & \xrightarrow{T\alpha} & Ta \\ \downarrow \mu_a & & \downarrow \alpha \\ Ta & \xrightarrow{\alpha} & a \end{array}$$

These laws are sometimes called the unit law and the multiplication law for monad algebras.

Since monad algebras are just special kinds of algebras, they form a sub-category of algebras. Recall that algebra morphisms are arrows that satisfy the following condition:

$$\begin{array}{ccc} Ta & \xrightarrow{Tf} & Tb \\ \downarrow \alpha & & \downarrow \beta \\ a & \xrightarrow{f} & b \end{array}$$

In light of this definition, we can re-interpret the second monad-algebra diagram as asserting that the structure map  $\alpha$  of a monad algebra (the bottom arrow) is also an algebra morphism from  $(Ta, \mu_a)$  to  $(a, \alpha)$ . This will come in handy in what follows.

## Eilenberg-Moore category

The category of monad algebras for a given monad  $T$  on  $\mathcal{C}$  is called the Eilenberg-Moore category and is denoted by  $\mathcal{C}^T$ . It turns out that it is a good choice for the intermediate category that lets us factorize the monad  $T$  as a composition of a pair of adjoint functors.

The process goes as follows: we define a pair of functors, show that they form an adjunction, and then show that the monad generated by this adjunction is the original monad.

First of all, there is an obvious forgetful functor, which we'll call  $U^T$ , from  $\mathcal{C}^T$  to  $\mathcal{C}$ . It maps an algebra  $(a, \alpha)$  to its carrier  $a$ , and treats algebra morphisms as regular morphisms between carriers.

More interestingly, there is a free functor  $F^T$  that is the left adjoint to  $U^T$ .

$$\begin{array}{ccc} & F^T & \\ \mathcal{C}^T & \xleftarrow{\quad} & \mathcal{C} \\ & U^T & \end{array}$$

On objects,  $F^T$  maps an object  $a$  of  $\mathcal{C}$  to a *monad algebra*, an object in  $\mathcal{C}^T$ . For the carrier of this algebra we pick not  $a$  but  $Ta$ . For the structure map, which is the mapping  $T(Ta) \rightarrow Ta$  we pick the component of monad multiplication  $\mu_a: T(Ta) \rightarrow Ta$ .

It's easy to check that this algebra  $(Ta, \mu_a)$  is indeed a monad algebra—the necessary commuting conditions follow from monad laws. Indeed, substituting the algebra  $(Ta, \mu_a)$  into the monad-algebra diagrams, we get (with the algebra part drawn in red):

$$\begin{array}{ccc} Ta & \xrightarrow{\eta_{Ta}} & T(Ta) \\ & \searrow id_{Ta} & \downarrow \mu_a \\ & & Ta \end{array} \qquad \begin{array}{ccc} T(T(Ta)) & \xrightarrow{T\mu_a} & T(Ta) \\ \downarrow \mu_{Ta} & & \downarrow \mu_a \\ T(Ta) & \xrightarrow{\mu_a} & Ta \end{array}$$

The first diagram is just the left monadic unit law in components. The  $\eta_{Ta}$  arrow corresponds to the whiskering of  $\eta \circ T$ . The second diagram is the associativity of  $\mu$  with the two whiskerings  $\mu \circ T$  and  $T \circ \mu$  expressed in components.

To prove that we have an adjunction, we'll define two natural transformations to serve as the unit and the counit of the adjunction.

For the unit of the adjunction we pick the monadic unit  $\eta$  of  $T$ . They both have the same signature—in components,  $\eta_a: a \rightarrow U^T(F^T a)$ .

The counit is a natural transformation:

$$\varepsilon: F^T \circ U^T \rightarrow Id$$

The component of  $\varepsilon$  at  $(a, \alpha)$  is an algebra morphism from the free algebra generated by  $a$ , that is  $(Ta, \mu_a)$ , back to  $(a, \alpha)$ . As we've seen earlier,  $\alpha$  itself is such a morphism. We can therefore pick  $\varepsilon_{(a, \alpha)} = \alpha$ .

Triangular identities for these definitions of  $\eta$  and  $\varepsilon$  follow from unit laws for the monad and the monad algebra.

As is true for all adjunctions, the composition  $U^T \circ F^T$  is a monad. We'll show that this is the same monad we started with. Indeed, on objects, the composition  $U^T(F^T a)$  first maps  $a$  to a free monad algebra  $(Ta, \mu)$  and then forgets the structure map. The net result is the mapping of  $a$  to  $Ta$ , which is exactly what the original monad did.



On arrows, it lifts an arrow  $f: a \rightarrow b$  using  $T$ . The fact that the arrow  $Tf$  is an algebra morphism from  $(Ta, \mu_a)$  to  $(Tb, \mu_b)$  follows from naturality of  $\mu$ :

$$\begin{array}{ccc} T(Ta) & \xrightarrow{T(Tf)} & T(TB) \\ \downarrow \mu_a & & \downarrow \mu_b \\ Ta & \xrightarrow{Tf} & TB \end{array}$$

Finally, we have to show that the unit and the counit of the monad  $U^T \circ F^T$  are the same as the unit and the counit of our original monad.

The units are the same by construction.

The monad multiplication of  $U^T \circ F^T$  is given by the whiskering  $U^T \circ \varepsilon \circ F^T$  of the unit of the adjunction. In components, this means instantiating  $\varepsilon$  at  $(Ta, \mu_a)$ , which gives us  $\mu_a$  (the action of  $U^T$  on arrows is trivial). This is indeed the original monad multiplication.

We have thus shown that, for any monad  $T$  we can define the Eilenberg-Moore category and a pair of adjoint functors that factorize this monad.

### Kleisli category

Inside every Eilenberg-Moore category there is a smaller Kleisli category struggling to get out. This smaller category is the image of the free functor we have constructed in the previous section.

Despite appearances, the image of a functor does not necessarily define a subcategory. Granted, it maps identities to identities and composition to composition. The problem may arise if two arrows that were not composable in the source category become composable in the target category. This may happen if the target of the first arrow is mapped to the same object as the source of the second arrow. In the example below,  $Ff$  and  $Fg$  are composable, but their composition  $Fg \circ Ff$  may be absent from the image of the first category.

$$\begin{array}{ccc} a & & Fa \\ \downarrow f & & \downarrow Ff \\ b & & Fb = Fc \\ & & \downarrow Fg \\ c & & Fd \\ \downarrow g & & \swarrow Fg \circ Ff \\ d & & \end{array}$$

However, the free functor  $F^T$  maps distinct objects into distinct free algebras, so its image is indeed a subcategory of  $\mathcal{C}^T$ .

We have encountered the Kleisli category before. There are many ways of constructing the same category, and the simplest one is to describe the Kleisli category in terms of Kleisli arrows.

A Kleisli category for the monad  $(T, \eta, \mu)$  is denoted by  $C_T$ . Its objects are the same as the objects of  $C$ , but an arrow in  $C_T$  from  $a$  to  $b$  is represented by an arrow in  $C$  that goes from  $a$  to  $Tb$ . You may recognize it as the Kleisli arrow  $a \multimap b$  we've defined before. Because  $T$  is a monad, these Kleisli arrows can be composed using the “fish” operator  $<=<$ .

To establish the adjunction:

$$\begin{array}{ccc} & L_T & \\ C_T & \xleftarrow{\quad} & C \\ & R^T & \end{array}$$

we define the left functor  $L_T: C \rightarrow C_T$  as identity on objects. We still have to define what it does to arrows. It should map a regular arrow  $f: a \rightarrow b$  to a Kleisli arrow from  $a$  to  $b$ . This Kleisli arrow  $a \multimap b$  is represented by an arrow  $a \rightarrow Tb$  in  $C$ . Such an arrow always exists as the composite  $\eta_b \circ f$ :

$$L_T f: a \xrightarrow{f} b \xrightarrow{\eta_b} Tb$$

The right functor  $R_T: C_T \rightarrow C$  is defined on objects as a mapping that takes an  $a$  in the Kleisli category to an object  $Ta$  in  $C$ . Given a Kleisli arrow  $a \multimap b$ , which is represented by an arrow  $g: a \rightarrow Tb$ ,  $R_T$  will map it to an arrow  $R_T a \rightarrow R_T b$ , that is an arrow  $Ta \rightarrow Tb$  in  $C$ . We take this arrow to be the composite  $\mu_b \circ Tg$ :

$$Ta \xrightarrow{Tg} T(Tb) \xrightarrow{\mu_b} Tb$$

To establish the adjunction, we'll show the isomorphism of hom-sets:

$$C_T(L_T a, b) \cong C(a, R_T b)$$

An element of the left hand-side is a Kleisli arrow  $a \multimap b$ , which is represented by  $f: a \rightarrow Tb$ . We can find the same arrow on the right hand side, since  $R_T b$  is  $Tb$ . So the isomorphism is between Kleisli arrows in  $C^T$  and the arrows in  $C$  that represent them.

The composite  $R_T \circ L_T$  is equal to  $T$  and, indeed, it can be shown that this adjunction generates the original monad.

In general, there may be many adjunctions that generate the same monad. Adjunctions themselves form a 2-category, so it's possible to compare adjunctions using adjunction morphisms (1-cells in the 2-category). It turns out that the Kleisli adjunction is the initial object among all adjunctions that generate a given monad. Dually, the Eilenberg-Moore adjunction is terminal.

## Chapter 16

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# Comonads

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If it were easily pronounceable, we should probably call side effects “ntext,” because the dual to side effects is “context.”

Just like we were using Kleisli arrows to deal with side effects, we use co-Kleisli arrows to deal with contexts.

Let’s start with the familiar example of an environment as a context. We have previously constructed a reader monad from it, by currying the arrow:

```
(a, e) -> b
```

This time, however, we’ll treat it as a co-Kleisli arrow, which is an arrow from a “contextualized” argument.

As was the case with monads, we are interested in being able to compose such arrows. This is relatively easy for the environment-carrying arrows:

```
composeWithEnv :: ((b, e) -> c) -> ((a, e) -> b) -> ((a, e) -> c)
composeWithEnv g f = \ (a, e) -> g (f (a, e), e)
```

It’s also straightforward to implement an arrow that serves as an identity with respect to this composition:

```
idWithEnv :: (a, e) -> a
idWithEnv (a, e) = a
```

This strongly suggests the idea that there is a category in which co-Kleisli arrows serve as morphisms.

**Exercise 16.0.1.** *Show that the composition of co-Kleisli arrows using `composeWithEnv` is associative.*

## 16.1 Comonads in Programming

A functor `w` (consider it a stylized upside-down `m`) is a comonad if it supports composition of co-Kleisli arrows:

```
class Functor w => Comonad w where
  (=<=) :: (w b -> c) -> (w a -> b) -> (w a -> c)
  extract :: w a -> a
```

Here, the composition is written in the form of an infix operator. The unit of composition is called `extract`, since it extracts a value from the context.

Let's try it with our example. It is convenient to pass the environment as the first component of the pair. The comonad is then given by the functor that's a partial application of the pair constructor `((,) e)`.

```
instance Comonad ((,) e) where
  g <= f = \ea -> g (fst ea, f ea)
  extract = snd
```

As with monads, co-Kleisli composition may be used in point-free style of programming. But we can also use the dual to `join` called `duplicate`:

```
duplicate :: w a -> w (w a)
```

or the dual to bind called `extend`:

```
extend :: (w a -> b) -> w a -> w b
```

Here's how we can implement co-Kleisli composition in terms of `duplicate` and `fmap`:

```
g <= f = g . fmap f . duplicate
```

**Exercise 16.1.1.** Implement `duplicate` in terms of `extend` and vice versa.

### The Stream comonad

Interesting examples of comonads deal with larger, sometimes infinite, contexts. Here's an infinite stream:

```
data Stream a = Cons a (Stream a)
  deriving Functor
```

If we consider such a stream as a value of the type `a` in the context of an infinite tail, we can provide a `Comonad` instance for it:

```
instance Comonad Stream where
  extract (Cons a as) = a
  duplicate (Cons a as) = Cons (Cons a as) (duplicate as)
```

Here, `extract` returns the head of the stream and `duplicate` turns a stream into a stream of streams, in which each consecutive stream is the tail of the previous one.

The intuition is that `duplicate` sets the stage for iteration, but it does it in a very general way. The head of each of the substreams can be interpreted as a future “current position” in the original stream.

It would be easy to perform a computation that goes over the head elements of these streams. But that’s not where the power of a comonad lies. It lets us perform computations that require an arbitrary look-ahead. Such a computation requires access not only to heads of consecutive substreams, but to their tails as well.

This is what `extend` does: it applies a given co-Kleisli arrow `f` to all the streams generated by `duplicate`:

```
extend f (Cons a as) = Cons (f (Cons a as)) (extend f as)
```

Here’s an example of a co-Kleisli arrow that averages the first five elements of a stream:

```
avg :: Stream Double -> Double
avg = (/5). sum . stmTake 5
```

It uses a helper function that extracts the first `n` items:

```
stmTake :: Int -> Stream a -> [a]
stmTake 0 _ = []
stmTake n (Cons a as) = a : stmTake (n - 1) as
```

We can run `avg` over the whole stream using `extend` to smooth local fluctuation. Electrical engineers might recognize this as a simple low-pass filter with `extend` implementing the convolution. It produces a running average of the original stream.

```
smooth :: Stream Double -> Stream Double
smooth = extend avg
```

Comonads are useful for structuring computations in spatially or temporally extended data structures. Such computations are local enough to define the “current location,” but require gathering information from neighboring locations. Signal processing or image processing are good examples. So are simulations, in which differential equations have to be iteratively solved inside volumes: climate simulations, cosmological models, or nuclear reactions, to name a few. Conway’s Game of Life is also a good testing ground for comonadic methods.

Sometimes it’s convenient to perform calculation on continuous streams of data, postpon-

ing the sampling until the very last step. Here's an example of a signal that is a function of time (represented by `Double`)

```
data Signal a = Sig (Double -> a) Double
```

The first component is a continuous stream of `a`'s implemented as a function of time. The second component is the current time.

This is the `Comonad` instance for the continuous stream:

```
instance Comonad Signal where
  extract (Sig f x) = f x
  duplicate (Sig f x) = Sig (\y -> Sig f (x - y)) x
  extend g (Sig f x) = Sig (\y -> g (Sig f (x - y))) x
```

Here, `extend` convolves the filter

```
g :: Signal a -> a
```

over the whole stream.

**Exercise 16.1.2.** Implement the `Comonad` instance for a bidirectional stream:

```
data BiStream a = BStr [a] [a]
```

Assume that both list are infinite. Hint: Consider the first list as the past (in reverse order); the head of the second list as the present, and its tail as the future.

**Exercise 16.1.3.** Implement a low-pass filter for `BiStream` from the previous exercise. It averages over three values: the current one, the one from the immediate past, and the one from the immediate future. For electrical engineers: implement a Gaussian filter.

## 16.2 Comonads Categorically

We can get the definition of a comonad by reversing the arrows in the definition of a monad. Our `duplicate` corresponds to the reversed `join`, and `extract` is the reversed `return`.

A comonad is thus an endofunctor  $W$  equipped with two natural transformations:

$$\delta: W \rightarrow W \circ W$$

$$\varepsilon: W \rightarrow \text{Id}$$

These transformations (corresponding to `duplicate` and `extract`, respectively) must satisfy the same identities as the monad, except with the arrows reversed.

These are the counit laws:

$$\begin{array}{ccccc}
 \text{Id} \circ W & \xleftarrow{\varepsilon \circ W} & W \circ W & \xrightarrow{W \circ \varepsilon} & W \circ \text{Id} \\
 & \searrow = & \uparrow \delta & \swarrow = & \\
 & & W & & 
 \end{array}$$

and this is the associativity law:

$$\begin{array}{ccc}
 (W \circ W) \circ W & \xrightarrow{=} & W \circ (W \circ W) \\
 \delta \circ W \uparrow & & \uparrow W \circ \delta \\
 W \circ W & & W \circ W \\
 \delta \swarrow & & \searrow \delta \\
 & W & 
 \end{array}$$

## Comonoids

We've seen how monadic laws follow from monoid laws. We can expect that comonad laws should follow from a dual version of a monoid.

Indeed, a *comonoid* is an object  $w$  in a monoidal category  $(\mathcal{C}, \otimes, I)$  equipped with two morphisms called co-multiplication and a co-unit:

$$\begin{aligned}
 \delta &: w \rightarrow w \otimes w \\
 \varepsilon &: w \rightarrow I
 \end{aligned}$$

We can replace the tensor product with endofunctor composition and the unit object with the identity functor to get the definition of a comonad as a comonoid in the category of endofunctors.

In Haskell we can define a `Comonoid` typeclass for the cartesian product:

```
class Comonoid w where
  split  :: w -> (w, w)
  destroy :: w -> ()
```

Comonoids are less talked about than their siblings, monoids, mainly because they are taken for granted. In a cartesian category, every object can be made into a comonoid just by using the diagonal map  $\Delta_a : a \rightarrow a \times a$  for co-multiplication, and the unique arrow to the terminal object for counit.

In programming this is something we do without thinking. Co-multiplication means being able to duplicate a value, and counit means being able to abandon a value.

In Haskell, we can easily implement the `Comonoid` instance for any type:

```
instance Comonoid w where
  split w = (w, w)
  destroy w = ()
```

In fact, we don't think twice of using the argument of a function twice, or not using it at all. But, if we wanted to be explicit, functions like:

```
f x = x + x
g y = 42
```

could be written as:

```
f x = let (x1, x2) = split x
      in x1 + x2
g y = let () = destroy y
      in 42
```

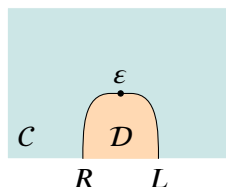
There are some situations, though, when duplicating or discarding a variable is undesirable. This is the case when the argument is an external resource, like a file handle, network port, or a chunk of memory allocated on the heap. Such resources are supposed to have well-defined lifetimes between being allocated and deallocated. Tracking lifetimes of objects that can be easily duplicated or discarded is very difficult and a notorious source of programming errors.

A programming model based on a cartesian category will always have this problem. The solution is to instead use a monoidal (closed) category that doesn't support duplication or destruction of objects. Such a category is a natural setting for *linear types*. Elements of linear types are used in Rust and, at the time of this writing, are being tried in Haskell. In C++ there are constructs that mimic linearity, like `unique_ptr` and move semantics.

### 16.3 Comonads from Adjunctions

We've seen that an adjunction  $L \dashv R$  between two functors  $L: \mathcal{D} \rightarrow \mathcal{C}$  and  $R: \mathcal{C} \rightarrow \mathcal{D}$  gives rise to a monad  $R \circ L: \mathcal{D} \rightarrow \mathcal{D}$ . The other composition,  $L \circ R$ , which is an endofunctor in  $\mathcal{C}$ , turns out to be a comonad.

The counit of the adjunction serves as the counit of the comonad. This can be illustrated by the following string diagram:

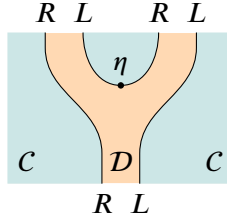




The comultiplication is given by the whiskering of  $\eta$ :

$$\delta = L \circ \eta \circ R$$

as illustrated by this string diagram:



As before, comonad laws can be derived from triangle identities.

### Costate comonad

We've seen that the state monad can be generated from the currying adjunction between the product and the exponential. The left functor was defined as a product with some fixed object  $s$ :

$$L_s a = a \times s$$

and the right functor was the exponentiation, parameterized by the same object  $s$ :

$$R_s c = c^s$$

The composition  $L_s \circ R_s$  generates a comonad called the *costate comonad* or the *store comonad*.

Translated to Haskell, the right functor assigns a function type `s -> c` to `c`, and the left functor pairs `c` with `s`. The result of the composition is the endofunctor:

```
data Store s c = St (s -> c) s
```

or, using GADT notation:

```
data Store s c where
  St :: (s -> c) -> s -> Store s c
```

The functor instance post-composes the function to the first component of `Store`:

```
instance Functor (Store s) where
  fmap g (St f s) = St (g . f) s
```

The counit of this adjunction, which becomes the comonadic `extract`, is function application:

```
extract :: Store s c -> c
extract (St f s) = f s
```

The unit of this adjunction is a natural transformation  $\eta: \text{Id} \rightarrow R_s \circ L_s$ . We've used it as the `return` of the state monad. This is its component at `c`:

```
unit :: c -> (s -> (c, s))
unit c = \s -> (c, s)
```

To get `duplicate` we need to whisker  $\eta$  it between the two functors:

$$\delta = L_s \circ \eta \circ R_s$$

Whiskering on the right means taking the component of  $\eta$  at the object  $R_s c$ , and whiskering on the left means lifting this component using  $L_s$ . Since Haskell translation of whiskering is a tricky process, let's analyze it step-by-step.

For simplicity, let's fix the type `s` to, say, `Int`. We encapsulate the left functor into a `newtype`:

```
newtype Pair c = P (c, Int)
deriving Functor
```

and keep the right functor a type synonym:

```
type Fun c = Int -> c
```

The unit of the adjunction can be written as a natural transformation using explicit `forall`:

```
eta :: forall c. c -> Fun (Pair c)
eta c = \s -> P (c, s)
```

We can now implement comultiplication as the whiskering of `eta`. The whiskering on the right is encoded in the type signature, by using the component of `eta` at `Fun c`. The whiskering on the left is done by lifting `eta` using the `fmap` defined for the `Pair` functor. We use the language pragma `TypeApplications` to make it explicit which `fmap` is to be used:

```
delta :: forall c. Pair (Fun c) -> Pair (Fun (Pair (Fun c)))
delta = fmap @Pair eta
```

This can be rewritten more explicitly as:

```
delta (P (f, s)) = P (\s' -> P (f, s'), s)
```

The `Comonad` instance can thus be written as:

```
instance Comonad (Store s) where
  extract (St f s) = f s
  duplicate (St f s) = St (St f) s
```

The store comonad is a useful programming concept. To understand it, let's consider again the case where `s` is `Int`.

We interpret the first component of `Store Int c`, the function `f :: Int -> c`, to be an accessor to an imaginary infinite stream of values, one for each integer.

The second component can be interpreted as the current index. Indeed, `extract` uses this index to retrieve the current value.

With this interpretation, `duplicate` produces an infinite stream of streams, each shifted by a different offset, and `extend` performs a convolution on this stream. Of course, laziness saves the day: only the values we explicitly demand will be evaluated.

Notice also that our earlier example of the `Signal` comonad is reproduced by `Store Double`.

**Exercise 16.3.1.** A cellular automaton can be implemented using the store comonad. This is the co-Kleisli arrow describing rule 110:

```
step :: Store Int Cell -> Cell
step (St f n) =
  case (f (n-1), f n, f (n+1)) of
    (L, L, L) -> D
    (L, D, D) -> D
    (D, D, D) -> D
    _ -> L
```

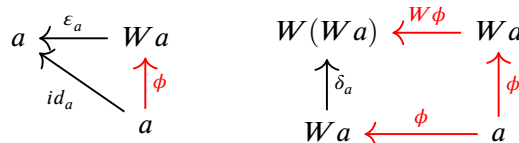
A cell can be either live or dead:

```
data Cell = L | D
deriving Show
```

Run a few generations of this automaton. Hint: Use the function `iterate` from the Prelude.

## Comonad coalgebras

Dually to monad algebras we have comonad coalgebras. Given a comonad  $(W, \epsilon, \delta)$ , we can construct a coalgebra, which consists of a carrier object  $a$  and an arrow  $\phi: a \rightarrow W a$ . For this coalgebra to compose nicely with the comonad, we'll require that we be able to extract the value that was injected using  $\phi$ ; and that the lifting of  $\phi$ , when acting on the result of  $\phi$ , be equivalent to duplication:



Just like with monad algebras, comonad coalgebras form a category. Given a comonad  $(W, \epsilon, \delta)$  in  $\mathcal{C}$ , its comonad coalgebras form the category called the Eilenberg-Moore category (sometimes prefixed with co-)  $\mathcal{C}^W$ .

There is a co-Kleisli subcategory of  $\mathcal{C}^W$  denoted by  $\mathcal{C}_W$ .

Given a comonad  $W$ , we can construct an adjunction using either  $\mathcal{C}^W$  or  $\mathcal{C}_W$  that reproduces the comonad  $W$ . The construction is fully analogous to the one for monads.

## Lenses

The coalgebra for the **Store** comonad is of particular interest. We'll do some renaming first. Let's call the carrier **s** and the state **a**.

```
data Store a s = St (a -> s) a
```

The coalgebra is given by a function:

```
phi :: s -> Store a s
```

which is equivalent to a pair of functions:

```
set :: s -> a -> s
get :: s -> a
```

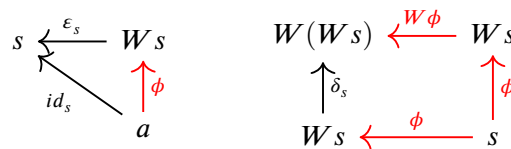
Such a pair is called a lens: **s** is called the source, and **a** is the focus.

With this interpretation **get** lets us extract the focus, and **set** replaces the focus with a new value to produce a new **s**.

Lenses were first introduced to describe the retrieval and modification of data in database records. Then they found application is working with data structures. A lens objectifies the idea of having read/write access to a part of a larger object. For instance, a lens can focus on one of the components of a pair or a particular component of a record. We'll discuss lenses and optics in the next chapter.

Let's apply the laws of the comonad coalgebra to a lens. For simplicity, let's omit data constructors from the equations. We get the following simplified definitions:

```
phi s = (set s, get s)
epsilon (f, a) = f a
delta (f, a) = (\x -> (f, x), a)
```



The first law tells us that applying the result of **set** to the result of **get** results in identity:

```
set s (get s) = s
```

This is called the set/get law of the lens. Nothing should change when you replace the focus with the same focus.

The second law requires the application of `fmap phi` to the result of `phi`:

```
fmap phi (set s, get s) = (phi . set s, get s)
```

This should be equal to the application of `delta`:

```
delta (set s, get s) = (\x -> (set s, x), get s)
```

Comparing the two, we get:

```
phi . set s = \x -> (set s, x)
```

Let's apply it to some `a`:

```
phi (set s a) = (set s, a)
```

Using the definition of `phi` gives us:

```
(set (set s a), get (set s a)) = (set s, a)
```

We have two equalities. The first components are functions, so we apply them to some `a'` and get the set/set lens law:

```
set (set s a) a' = set s a'
```

Setting the focus to `a` and then overwriting it with `a'` is the same as setting the focus directly to `a'`.

The second components give us the get/set law:

```
get (set s a) = a
```

After we set the focus to `a`, the result of `get` is `a`.

Lenses that satisfy these laws are called *lawful lenses*. They are comonad coalgebras for the store comonad.



---

# Ends and Coends

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## 17.1 Profunctors

In the rarified air of category theory we encounter patterns that are so far removed from their origins that we have problems visualizing them. It doesn't help that the more abstract a pattern gets the more dissimilar the concrete examples of it are.

An arrow from  $a$  to  $b$  is relatively easy to visualize. We have a very familiar model for it: a function that consumes elements of  $a$  and produces elements of  $b$ . A hom-set is a collection of such arrows.

A functor is an arrow between categories. It consumes objects and arrows from one category and produces objects and arrows from another. We can think of it a recipe for building such objects (and arrows) from materials provided by the source category. In particular, we often think of an endofunctor as a container of building materials.

A profunctor maps a pair of objects  $\langle a, b \rangle$  to a set  $P\langle a, b \rangle$  and a pair of arrows:

$$\langle f : s \rightarrow a, g : b \rightarrow t \rangle$$

to a function:

$$P\langle f, g \rangle : P\langle a, b \rangle \rightarrow P\langle s, t \rangle$$

A profunctor is an abstraction that combines elements of many other abstractions. Since it's a functor  $C^{op} \times C \rightarrow \mathbf{Set}$ , we can think of it as constructing a set from a pair of objects, and a function from a pair of arrows (one of them going in the opposite direction). This doesn't help our imagination though.

Fortunately, we have a good model for a profunctor: the hom-functor. The set of arrows between two objects behaves like a profunctor when you vary the objects. It also makes sense that there is a difference between varying the source and the target of the hom-set.

We can, therefore, think of an arbitrary profunctor as generalizing the hom-functor. A profunctor provides additional bridges between objects, on top of hom-sets that are already there.

There is, however one big difference between an element of the hom-set  $C(a, b)$  and an element of the set  $P\langle a, b \rangle$ . Elements of hom-sets are arrows, and arrows can be composed. It's not immediately obvious how to compose profunctors.

Granted, the lifting of arrows by a profunctor can be seen as generalizing composition—just not between profunctors, but between hom-sets and profunctors. For instance, we can “precompose”  $P\langle a, b \rangle$  with an arrow  $f: s \rightarrow a$  to obtain  $P\langle s, b \rangle$ :

$$P\langle f, id_b \rangle: P\langle a, b \rangle \rightarrow P\langle s, b \rangle$$

Similarly, we can “postcompose” it with  $g: b \rightarrow t$ :

$$P\langle id_a, g \rangle: P\langle a, b \rangle \rightarrow P\langle a, t \rangle$$

This kind of heterogenous composition takes a composable pair consisting of an arrow and an element of a profunctor and produces an element of a profunctor.

A profunctor can be extended this way on both sides by lifting a pair of arrows:

## Collages

There is no reason to restrict a profunctor to a single category. We can easily define a profunctor between two categories as a functor  $P: C^{op} \times D \rightarrow \mathbf{Set}$ . Such a profunctor can be used to glue two categories together by generating the missing hom-sets from the objects in  $C$  to the objects in  $D$ .

A collage (or a cograph) of two categories  $C$  and  $D$  is a category whose objects are objects from both categories (a disjoint union). A hom-set between two objects  $x$  and  $y$  is either a hom-set in  $C$ , if both objects are in  $C$ ; a hom-set in  $D$ , if both are in  $D$ ; or the set  $P\langle x, y \rangle$  if  $x$  is in  $C$  and  $y$  is in  $D$ . Otherwise the hom-set is empty.

Composition of morphisms is the usual composition, except if one of the morphisms is an element of  $P\langle x, y \rangle$ . In that case we lift the morphism we're trying to pre- or post-compose.

It's easy to see that a collage is indeed a category. The new morphisms that go between the two sides of the collage are sometimes called heteromorphisms. They can only go from  $C$  to  $D$ , never the other way around.

Seen this way, a profunctor  $C^{op} \times C \rightarrow \mathbf{Set}$  should really be called an *endo*-profunctor. It defines a collage of  $C$  with itself.



**Exercise 17.1.1.** *Show that there is a functor from a collage of two categories to a stick-figure “walking arrow” category that has two objects and one arrow between them (and two identity arrows).*

**Exercise 17.1.2.** *Show that, if there is a functor from  $C$  to the walking arrow category then  $C$  can be split into a collage of two categories.*

### Profunctors as relations

Under a microscope, a profunctor looks like a hom-functor, and the elements of the set  $P\langle a, b \rangle$  look like individual arrows. But when we zoom out, we can view a profunctor as a relation between objects. These are not the usual relations; they are *proof-relevant* relations.

To understand this concept better, let’s consider a regular functor  $F: C \rightarrow \text{Set}$  (in other words, a co-presheaf). One way to interpret it is to say that it defines a subset of objects of  $C$ , namely those objects that are mapped to non-empty sets. Every element of  $Fa$  is then treated as a proof that  $a$  is a member of this subset. If, on the other hand,  $Fa$  is an empty set, then  $a$  is not a member of the subset.

We can apply the same interpretation to profunctors. If the set  $P\langle a, b \rangle$  is empty, we say that  $b$  is not related to  $a$ . If it’s not empty, we say that each element of the set  $P\langle a, b \rangle$  represents a proof that  $b$  is related to  $a$ . We can then treat a profunctor as a proof-relevant relation.

Notice that we don’t assume anything about this relation. It doesn’t have to be reflexive, as it’s possible for  $P\langle a, a \rangle$  to be empty (in fact,  $P\langle a, a \rangle$  makes sense only for endo-profunctors). It doesn’t have to be symmetric either.

Since the hom-functor is an example of an (endo-) profunctor, this interpretation lets us view the hom-functor in a new light: as a built-in proof-relevant relation between objects in a category. If there’s an arrow between two objects, they are related. Notice that this relation is reflexive, since  $C(a, a)$  is never empty: at the very least, it contains the identity morphism.

Moreover, as we’ve seen before, hom-functors interact with profunctors. If  $a$  is related to  $b$  through  $P$ , and the hom-sets  $C(s, a)$  and  $D(b, t)$  are non-empty, then automatically  $s$  is related to  $t$  through  $P$ . Profunctors are therefore proof-relevant relations that are compatible with the structure of the categories in which they operate.

We know how to compose a profunctor with hom-functors, but how would we compose two profunctors? We can get a clue from the composition of relations.

Suppose that you want to charge your cellphone, but you don’t have a charger. In order to connect you to a charger it’s enough that you have a friend who owns a charger. Any friend will do. You compose the relation of having a friend with the relation of a person having a charger to get a relation of being able to charge your phone. The proof that you can charge your phone is a pair of proofs, one of friendship and one of the possession of a charger.

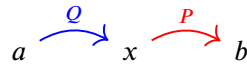
In general, we say that two objects are related by the composite relation if there exists an object in the middle that is related to both of them.

## Profunctor composition in Haskell

Composition of relations can be translated to profunctor composition in Haskell. Let's first recall the definition of a profunctor:

```
class Profunctor p where
  dimap :: (s -> a) -> (b -> t) -> (p a b -> p s t)
```

The key to understanding profunctor composition is that it requires the *existence* of the object in the middle. For object  $b$  to be related to object  $a$  through the composite  $P \diamond Q$  there has to exist an object  $x$  that bridges the gap:



This can be encoded in Haskell using an existential type. Given two profunctors  $p$  and  $q$ , their composition is a new profunctor `Procompose p q`:

```
data Procompose p q a b where
  Procompose :: q a x -> p x b -> Procompose p q a b
```

We are using a **GADT** to express the existential nature of the object  $x$ . The two arguments to the data constructor can be seen as a pair of proofs: one proves that  $x$  is related to  $a$ , and the other that  $b$  is related to  $x$ . This pair then constitutes the proof that  $b$  is related to  $a$ .

An existential type can be seen as a generalization of a sum type. We are summing over all possible types  $x$ . Just like a finite sum can be constructed by injecting one of the alternatives (think of the two constructors of `Either`), the existential type can be constructed by picking one particular type for  $x$  and injecting it into the definition of `Procompose`.

Just as mapping out from a sum type requires a pair of function, one per each alternative; a mapping out from an existential type requires a family of functions, one per every type. The mapping out from `Procompose`, for instance, is given by a polymorphic function:

```
mapOut :: Procompose p q a b -> (forall x. q a x -> p x b -> c) -> c
mapOut (Procompose qax pxb) f = (f qax pxb)
```

The composition of profunctors is again a profunctor, as can be seen from this instance:

```
instance (Profunctor p, Profunctor q) => Profunctor (Procompose p q)
  where
    dimap l r (Procompose qax pxb) =
      Procompose (dimap l id qax) (dimap id r pxb)
```

This is just saying that you can extend the composite profunctor by extending the first one to the left and the second one to the right.

The fact that this definition of profunctor composition happens to work in Haskell is due to parametricity. The language constraints the types of profunctors in a way that makes this work. In general, though, taking a simple sum over intermediate objects would result in over-counting, so in category theory we have to compensate for that.

## 17.2 Coends

The over-counting in the naive definition of profunctor composition happens when two candidates for the object in the middle are connected by a morphism:

$$a \xrightarrow{Q} x \xrightarrow{f} y \xrightarrow{P} b$$

We can either extend  $Q$  on the right, by lifting  $Q\langle id, f \rangle$ , and use  $y$  as the middle object; or we can extend  $P$  on the left, by lifting  $P\langle f, id \rangle$ , and use  $x$  as the intermediary.

In order to avoid the double-counting, we have to tweak our definition of a sum type when applied to profunctors. The resulting construction is called a coend.

First, let's re-formulate the problem. We are trying to sum over all objects  $x$  in the product:

$$P\langle a, x \rangle \quad Q\langle x, b \rangle$$

The double-counting happens because we can open up the gap between the two profunctors, as long as there is a morphism that we can fit between them. So we are really looking at a more general product:

$$P\langle a, x \rangle \quad Q\langle y, b \rangle$$

The important observation is that, if we fix the endpoints  $a$  and  $b$ , this product is a profunctor in  $\langle y, x \rangle$ . This is easily seen after a little rearrangement (up to isomorphism):

$$Q\langle y, b \rangle \quad P\langle a, x \rangle$$

We are interested in the sum of the diagonal parts of this profunctor, that is when  $x$  is equal to  $y$ .

So let's see how we would go about defining the sum of all diagonal entries of a general profunctor  $P$ . In fact, this construction works for any functor  $P: C^{op} \times C \rightarrow D$ , not just for Set-valued profunctors.

The sum of the diagonal objects is defined by injections; in this case, one per every object in  $C$ . Here we show just two of them and the dashed line representing all the rest:

$$\begin{array}{ccc} P\langle y, y \rangle & \text{-----} & P\langle x, x \rangle \\ & \searrow \quad \swarrow & \\ & i_y \quad i_x & \\ & \searrow \quad \swarrow & \\ & d & \end{array}$$

If we were defining a sum, we'd make it a universal object equipped with such injections. But because we are dealing with functors of two variables, we want to identify the injections that are related by “extending” some common ancestor—here,  $P\langle y, x \rangle$ . We want the following diagram to commute, whenever there is a connecting morphism  $f : x \rightarrow y$ :

$$\begin{array}{ccccc} & & P\langle y, x \rangle & & \\ & \swarrow P\langle id, f \rangle & & \searrow P\langle f, id \rangle & \\ P\langle y, y \rangle & & & & P\langle x, x \rangle \\ & \searrow i_y & & \swarrow i_x & \\ & & d & & \end{array}$$

This diagram is called a co-wedge, and its commuting condition is called the co-wedge condition. For every  $f : x \rightarrow y$ , we demand that:

$$i_x \circ P\langle f, id_y \rangle = i_y \circ P\langle id_x, f \rangle$$

The *universal* co-wedge is called a coend.

Since a coend generalizes the sum to a potentially infinite domain, we write it using the integral sign, with the “integration variable” at the top:

$$\int^{x: C} P\langle x, x \rangle$$

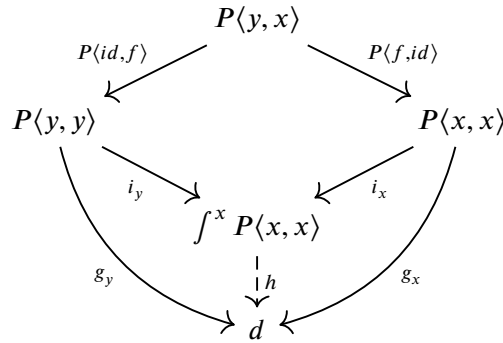
Universality means that, whenever there is an object  $d$  in  $D$  equipped with a family of arrows  $g_x : P\langle x, x \rangle \rightarrow d$  satisfying the co-wedge condition, there is a unique mapping out from the coend:

$$h : \int^{x: C} P\langle x, x \rangle \rightarrow d$$

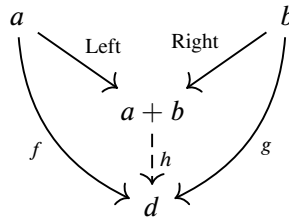
that factorizes every  $g_x$  through the injection  $i_x$ :

$$g_x = h \circ i_x$$

Pictorially, we have:



Compare this with the definition of a sum of two objects:



Just like the sum was defined as a universal cospan, a coend is defined as a universal co-wedge.

In particular, if you were to construct a coend of a Set-valued profunctor, you would start with a sum (a discriminated union) of all the sets  $P\langle x, x \rangle$ . Then you would identify all the elements of this sum that satisfy the co-wedge condition. You'd identify the element  $a \in P\langle x, x \rangle$  with the element  $b \in P\langle y, y \rangle$  whenever there is an element  $c \in P\langle y, x \rangle$  and a morphism  $f : x \rightarrow y$ , such that:

$$P\langle id, f \rangle(c) = b$$

and

$$P\langle f, id \rangle(c) = a$$

Notice that, in a discrete category (which is just a set of objects with no arrows between them) the co-wedge condition is trivial (there are no  $f$ 's other than identities), so a coend is just a straightforward sum (coproduct) of the diagonal objects  $P\langle x, x \rangle$ .

## Extranatural transformations

A family of arrows in the target category parameterized by the objects of the source category can often be combined into a single natural transformation between two functors.

The injections in our definition of a cowedge form a family of functions that is parameterized by objects, but they don't neatly fit into a definition of a natural transformation.

$$\begin{array}{ccc}
 P\langle y, y \rangle & \text{-----} & P\langle x, x \rangle \\
 & \searrow \quad \swarrow & \\
 & i_y \quad i_x & \\
 & \searrow \quad \swarrow & \\
 & d &
 \end{array}$$

The problem is that the functor  $P: C^{op} \times C \rightarrow D$  is contravariant in the first argument and covariant in the second; so its diagonal part, which on objects is defined as  $x \mapsto P\langle x, x \rangle$ , is neither.

The closest analog of naturality at our disposal is the cowedge condition:

$$\begin{array}{ccccc}
 & & P\langle y, x \rangle & & \\
 & \swarrow P\langle id, f \rangle & & \searrow P\langle f, id \rangle & \\
 P\langle y, y \rangle & & & & P\langle x, x \rangle \\
 & \searrow i_y & & \swarrow i_x & \\
 & & d & &
 \end{array}$$

Indeed, as is the case with the naturality square, it involves the interaction between the lifting of a morphism  $f: x \rightarrow y$  (here, in two different ways) and the components of the transformation  $i$ .

Granted, the standard naturality condition deals with pairs of functors. Here, the target of the transformation is a fixed object  $d$ . But we can always reinterpret it as the output of a constant profunctor  $\Delta_d: C^{op} \times C \rightarrow D$ . Thus to generalize naturality, we replace  $\Delta_d$  with an arbitrary profunctor  $Q$ .

We reinterpret the cowedge condition as a special case of the more general *extranatural* transformation. An extranatural transformation is a family of arrows:

$$\alpha_{cd}: P\langle c, c \rangle \rightarrow Q\langle d, d \rangle$$

between two functors of the form:

$$P: C^{op} \times C \rightarrow \mathcal{E}$$

$$Q: D^{op} \times D \rightarrow \mathcal{E}$$

Extranaturality in  $c$  means that the following diagram commutes for any morphism  $f: c \rightarrow c'$ :

$$\begin{array}{ccccc}
 & & P\langle c', c \rangle & & \\
 & \swarrow P\langle id, f \rangle & & \searrow P\langle f, id \rangle & \\
 P\langle c', c' \rangle & & & & P\langle c, c \rangle \\
 & \searrow \alpha_{c' d} & & \swarrow \alpha_{cd} & \\
 & & Q\langle d, d \rangle & &
 \end{array}$$

Extranaturality in  $d$  means that the following diagram commutes for any morphism  $g: d \rightarrow d''$ :

$$\begin{array}{ccc}
 & P\langle c, c \rangle & \\
 \alpha_{cd} \swarrow & & \searrow \alpha_{cd''} \\
 Q\langle d, d \rangle & & Q\langle d'', d'' \rangle \\
 Q\langle id, g \rangle \searrow & & \swarrow Q\langle g, id \rangle \\
 & Q\langle d, d'' \rangle &
 \end{array}$$

Given this definition, we get our cowedge condition as the extranaturality of the mapping between the profunctor  $P$  and the constant profunctor  $\Delta_d$ .

We can now reformulate the definition of the coend as a pair  $(c, i)$  where  $c$  is the object equipped with the extranatural transformation  $i: P \rightarrow \Delta_c$  that is universal among such pairs.

Universality means that for any object  $d$  equipped with the extranatural transformation  $\alpha: P \rightarrow \Delta_d$  there is a unique morphism  $h: c \rightarrow d$  that factorizes all the components of  $\alpha$  through the components of  $i$ :

$$\alpha_x = h \circ i_x$$

We call this object  $c$  the coend, and write it as:

$$c = \int^x P\langle x, x \rangle$$

**Exercise 17.2.1.** Verify that that, for the extranatural transformation  $P \rightarrow \Delta_d$ , the first extranaturality diamond is equivalent to the cowedge condition, and the second is trivially satisfied.

### Profunctor composition using coends

Equipped with the definition of a coend we can now formally define the composition of two profunctors:

$$(P \diamond Q)\langle a, b \rangle = \int^{x: C} Q\langle a, x \rangle \cdot P\langle x, b \rangle$$

Compare this with:

```
data Procompose p q a b where
  Procompose :: q a x -> p x b -> Procompose p q a b
```

The reason why in Haskell we don't have to worry about the co-wedge condition is analogous to the reason why all parametrically polymorphic functions automatically satisfy naturality condition. A coend is defined using a family of injections; in Haskell all these injections are defined by a *single* polymorphic function:

```
data Coend p where
  Coend :: p x x -> Coend p
```

Parametricity then enforces the co-wedge condition.

Coends introduce a new level of abstraction in dealing with profunctors. Calculations using coends usually take advantage of their mapping-out property. To define a mapping out of a coend to some object  $d$ :

$$\int^x P\langle x, x \rangle \rightarrow d$$

it's enough to define a family of functions from the diagonal entries of the functor to  $d$ :

$$g_x : P\langle x, x \rangle \rightarrow d$$

satisfying the cowedge condition. You can get a lot of mileage from this trick, especially when combined with the Yoneda lemma. We'll see examples of this in what follows.

**Exercise 17.2.2.** Define a **Profunctor** instance for the pair of profunctors:

```
newtype ProPair q p a b x y = ProPair (q a y, p x b)
```

*Hint: Keep the first four parameters fixed:*

```
instance (Profunctor p, Profunctor q) => Profunctor (ProPair q p a b)
```

**Exercise 17.2.3.** Profunctor composition can be expressed using a coend:

```
newtype CoEndCompose p q a b = CoEndCompose (Coend (ProPair q p a b))
```

Define a **Profunctor** instance for **CoEndCompose**.

## Colimits as coends

A function of two variables that ignores one of its arguments is equivalent to a function of one variable. Similarly, a profunctor that ignores one of its arguments is equivalent to a functor. Conversely, given a functor  $F$ , we can construct a trivial profunctor. Its action on objects is given by:

$$P\langle x, y \rangle = Fy$$

Its action on a pair of arrows ignores one of the arrows:

$$P\langle f, g \rangle = Fg$$



For any  $f : x \rightarrow y$ , our definition of a coend for such a profunctor reduces to the following diagram:

$$\begin{array}{ccc}
 & Fx & \\
 Ff \swarrow & & \searrow id_{Fx} \\
 Fy & & Fx \\
 i_y \searrow & & \swarrow i_x \\
 & \int^x Fx & \\
 g_y \swarrow & \downarrow h & \searrow g_x \\
 & d &
 \end{array}$$

After shrinking the identity arrows, the original co-wedge becomes a co-cone, and the universal condition turns into the definition of a colimit. This justifies the use the coend notation for colimits:

$$\int^x Fx = \text{colim} F$$

The functor  $F$  defines a diagram in the target category. The pattern is the whole source category.

We can gain useful intuition if we consider a discrete category, in which a profunctor is a (possibly infinite) matrix and a coend is the sum (coproduct) of its diagonal elements. A profunctor that is constant along one axis corresponds to a matrix whose rows are identical (each given by a “vector”  $Fx$ ). The sum of the diagonal elements of such a matrix is equal to the sum of all components of the vector  $Fx$ .

$$\begin{pmatrix} Fa & Fb & Fc & \dots \\ Fa & Fb & Fc & \dots \\ Fa & Fb & Fc & \dots \\ \dots & \dots & \dots & \dots \end{pmatrix}$$

In a non-discrete category, this sum generalizes to a colimit.

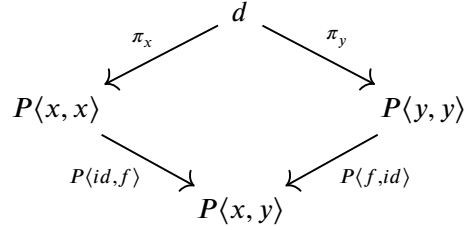
### 17.3 Ends

Just like a coend generalizes the sum of the diagonal elements of a profunctor—its dual, an end, generalizes the product. A product is defined by its projections, and so is an end.

The generalization of a span that we used in the definition of a product would be an object  $d$  with a family of projections, one per every object  $x$ :

$$\pi_x : d \rightarrow P\langle x, x \rangle$$

The dual to a co-wedge is called a wedge:



For every arrow  $f : x \rightarrow y$  we demand that:

$$P\langle f, id_y \rangle \circ \pi_y = P\langle id_x, f \rangle \circ \pi_x$$

The end is a universal wedge. We use the integral sign for it too, this time with the “integration variable” at the bottom.

$$\int_{x: C} P\langle x, x \rangle$$

You might be wondering why, in calculus, integrals based on multiplication rather than summation are rarely used. That’s because we can always use a logarithm to replace multiplication with addition. We don’t have this luxury in category theory, so ends and coends are equally important.

To summarize, an end is an object equipped with a family of morphisms (projections):

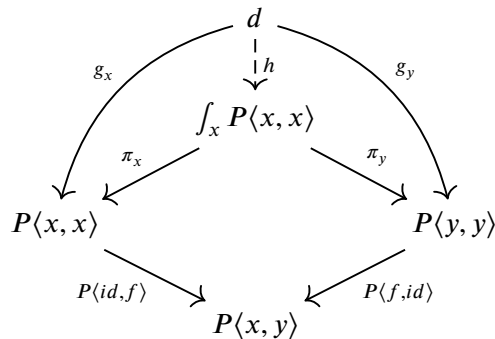
$$\pi_a : \left( \int_x P\langle x, x \rangle \right) \rightarrow P\langle a, a \rangle$$

satisfying the wedge condition.

It is universal among such objects; that is, for any other object  $d$  equipped with a family of arrows  $g_x$  satisfying the wedge condition, there is a unique morphism  $h$  that factorizes the family  $g_x$  through the family  $\pi_x$ :

$$g_x = \pi_x \circ h$$

Pictorially, we have:



Equivalently, we can say that the end is a pair  $(e, \pi)$  consisting of an object  $e = \int_x P\langle x, x \rangle$  and an extranatural transformation  $\pi: \Delta_d \rightarrow e$  that is universal among such pairs. The wedge condition turns out to be a special case of extranaturality condition.

If you were to construct an end of a Set-valued profunctor, you'd start with a giant product of all  $P\langle x, x \rangle$  for all objects in the category  $\mathcal{C}$ , and then prune the tuples that don't satisfy the wedge condition.

In particular, imagine using the singleton set 1 in place of  $d$ . The family  $g_x$  would select one element from each set  $P\langle x, x \rangle$ . This would give you a giant tuple. You'd weed out most of these tuples, leaving only the ones that satisfy the wedge condition.

Again, in Haskell, due to parametricity, the wedge condition is automatically satisfied, and the definition of the end for a profunctor `p` simplifies to:

```
type End p = forall x. p x x
```

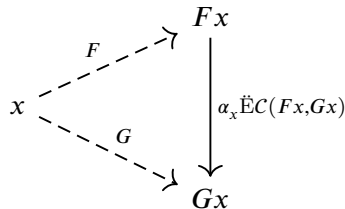
The Haskell implementation of an `End` doesn't showcase the fact that it is dual to the `Coend`. This is because, at the time of this writing, Haskell doesn't have a built-in syntax for existential types. If it did, the `Coend` would be implemented as:

```
type Coend p = exists x. p x x
```

The existential/universal duality between a `Coend` and an `End` means that it's easy to construct a `Coend`—all you need is to pick one type `x` for which you have a value of the type `p x x`. On the other end, to construct an `End` you have to provide a whole family of values `p x x`, one for every type `x`. In other words, you need a polymorphic formula that is parameterized by `x`. A definition of a polymorphic function is a canonical example of such a formula.

### Natural transformations as an end

The most interesting application of an end is in concisely defining the set of natural transformations. Consider two functors,  $F$  and  $G$ , going between two categories  $\mathcal{B}$  and  $\mathcal{C}$ . A natural transformation between them is a family of arrows  $\alpha_x$  in  $\mathcal{C}$ . You may think of it as picking one element  $\alpha_x$  from each hom-set  $\mathcal{C}(Fx, Gx)$ .



We know that the mapping  $\langle a, b \rangle \rightarrow \mathcal{C}(a, b)$  defines a profunctor. It turns out that, for any pair of functors, the mapping  $\langle a, b \rangle \rightarrow \mathcal{C}(Fa, Gb)$  also behaves like a profunctor. The action of

this profunctor on a pair of arrows  $\langle f: s \rightarrow a, g: b \rightarrow t \rangle$  is a function:

$$C(Fa, Gb) \rightarrow C(Fs, Gt)$$

given by the composition:

$$Fs \xrightarrow{Ff} Fa \xrightarrow{h} Gb \xrightarrow{Gg} Gt$$

where  $h$  is an element of  $C(Fa, Gb)$ .

The diagonal parts of this profunctor are perfect candidates for the components of a natural transformation. In fact, the end:

$$\int_{x: B} C(Fx, Gx)$$

defines a set of natural transformations from  $F$  to  $G$ .

To show this, let's check the wedge condition. Plugging in our profunctor, we get:

$$\begin{array}{ccc} & \int_x C(Fx, Gx) & \\ \pi_a \swarrow & & \searrow \pi_b \\ C(Fa, Ga) & & C(Fb, Gb) \\ (Ff \circ *) \searrow & & \swarrow (* \circ Gf) \\ & C(Fa, Gb) & \end{array}$$

We can pick a single element of the set  $\int_x C(Fx, Gx)$  by instantiating the universal condition for the singleton set:

$$\begin{array}{ccc} & 1 & \\ \alpha_a \swarrow & \downarrow \alpha & \searrow \alpha_b \\ & \int_x C(Fx, Gx) & \\ \pi_a \swarrow & & \searrow \pi_b \\ C(Fa, Ga) & & C(Fb, Gb) \\ (Ff \circ *) \searrow & & \swarrow (* \circ Gf) \\ & C(Fa, Gb) & \end{array}$$

We pick the component  $\alpha_a$  from the hom-set  $C(Fa, Ga)$  and the component  $\alpha_b$  from  $C(Fb, Gb)$ . The wedge condition then boils down to:

$$Ff \circ \alpha_a = \alpha_b \circ Gf$$

for any  $f: a \rightarrow b$ . This is exactly the naturality condition. So any element  $\alpha$  of this end is automatically a natural transformation.

The set of natural transformations, or the hom-set in the functor category, is thus given by the end:

$$[C, D](F, G) \cong \int_{x: B} C(Fx, Gx)$$

In Haskell, this is consistent with our earlier definition:

```
type Natural f g = forall x. f x -> g x
```

As we discussed earlier, to construct an **End** we have to give it a whole family of values parameterized by types. Here, these values are the components of a polymorphic function.

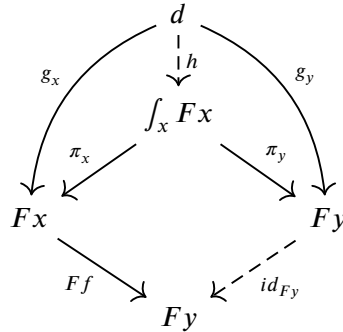
## Limits as ends

Just like we were able to express colimits as coends, we can express limits as ends. As before, we define a trivial profunctor that ignores its first argument:

$$P\langle x, y \rangle = Fy$$

$$P\langle f, g \rangle = Fg$$

The universal condition that defines an end becomes the definition of a universal cone:



We can thus use the end notation for limits:

$$\int_x Fx = \lim F$$

**Exercise 17.3.1.** A product is a limit of a functor from a two-object category  $\mathbf{2}$ . Show that it can be defined as an end. Hint: There are no non-identity morphisms in  $\mathbf{2}$ .

## 17.4 Continuity of the Hom-Functor

In category theory, a functor  $F$  is called *continuous* if it preserves limits (and co-continuous, if it preserves colimits). It means that, if you have a diagram in the source category, it doesn't matter if you first use  $F$  to map the diagram and then take the limit in the target category, or take the limit in the source category and then use  $F$  to map this limit.

The hom-functor is an example of a functor that is continuous in its second argument. Since a product is the simplest example of a limit, this means, in particular, that:

$$C(x, a \times b) \cong C(x, a) \times C(x, b)$$

The left hand side applies the hom-functor to the product (a limit of a span). The right hand side maps the diagram, here just a pair of objects, and takes the product (limit) in the target category. The target category for the hom-functor is  $\mathbf{Set}$ , so this is just a cartesian product. The two sides are isomorphic by the universal property of the product: the mapping into the product is defined by a pair of mappings into the two objects.

Continuity of the hom-functor in the first argument is reversed: it maps colimits to limits. Again, the simplest example of a colimit is the sum, so we have:

$$C(a + b, x) \cong C(a, x) + C(b, x)$$

This follows from the universality of the sum: a mapping out of the sum is defined by a pair of mapping out of the two objects.

It can be shown that an end can be expressed as a limit, and a coend as a colimit. Therefore, by continuity of the hom-functor, we can always pull out the integral sign from inside a hom-set. By analogy with the product, we have the mapping-in formula for an end:

$$D\left(d, \int_a P\langle a, a \rangle\right) \cong \int_a D(d, P\langle a, a \rangle)$$

By analogy with the sum, we have a mapping-out formula for the coend:

$$D\left(\int_a P\langle a, a \rangle, d\right) \cong \int_a D(P\langle a, a \rangle, d)$$

Notice that, in both cases, the right-hand side is an end.

## 17.5 Fubini Rule

The Fubini rule in calculus states the conditions under which we can switch the order of integration in double integrals. It turns out that we can similarly switch the order of double ends and coends. The Fubini rule for ends works for functors of the form  $P: C \times C^{op} \times D \times D^{op} \rightarrow \mathcal{E}$ . The following expressions, as long as they exist, are isomorphic:

$$\int_{c: C} \int_{d: D} P\langle c, c \rangle \langle d, d \rangle \cong \int_{d: D} \int_{c: C} P\langle c, c \rangle \langle d, d \rangle \cong \int_{\langle c, d \rangle: C \times D} P\langle c, c \rangle \langle d, d \rangle$$

In the last end, the functor  $P$  is reinterpreted as  $P: (C \times D)^{op} \rightarrow \mathcal{E}$

The analogous rule works for coends as well.

## 17.6 Ninja Yoneda Lemma

Having expressed the set of natural transformations as an end, we can now rewrite the Yoneda lemma. This is the original formulation:

$$[C, \text{Set}](C(a, *), F) \cong Fa$$

Here,  $F$  is a (covariant) functor from  $C$  to  $\text{Set}$  (a co-presheaf), and so is the hom-functor  $C(a, *)$ . Expressing the set of natural transformations as an end we get:

$$\int_{x: C} \text{Set}(C(a, x), Fx) \cong Fa$$

Similarly, we have the Yoneda lemma for a contravariant functor (a presheaf)  $G$ :

$$\int_{x: C} \text{Set}(C(x, a), Gx) \cong Ga$$

These versions of the Yoneda lemma, expressed in terms of ends, are often half-jokingly called *ninja-Yoneda lemmas*. The fact that the “integration variable” is explicit makes them somewhat easier to use in complex formulas.

There is also a dual set of *ninja co-Yoneda lemmas* that use coends instead. For a covariant functor, we have:

$$\int^{x: C} C(x, a) \cdot Fx \cong Fa$$

and for the contravariant one we have:

$$\int^{x: C} C(a, x) \cdot Gx \cong Ga$$

Physicists might notice the similarity of these formulas to integrals involving the Dirac delta function—strictly speaking, a distribution. This is why profunctors are sometimes called *distributors*, following the adage that “distributors are to functors as distributions are to functions.” Engineers might notice the similarity of the hom-functor to the impulse function.

This intuition is often expressed by saying that we can perform the “integration over  $x$ ” in this formula, resulting in replacing  $x$  with  $a$  in the integrand  $Gx$ .

If  $C$  is a discrete category, the coend reduces to the sum (coproduct), and the hom-functor reduces to the unit matrix (the Kronecker delta). The co-Yoneda lemma then becomes:

$$\sum_j \delta_i^j v_j = v_i$$

In fact, a lot of linear algebra translates directly to the theory of  $\text{Set}$ -valued functors. You may often view such functors as vectors in a vector space, in which hom-functors form a basis. Profunctors become matrices and coends are used to multiply such matrices, calculate their traces, or multiply vectors by matrices.

Yet another name for profunctors, especially in Australia, is “bimodules.” This is because the lifting of morphisms by a profunctor is somewhat similar to the left and right actions on sets.

We’ll now proceed with the proof of the co-Yoneda lemma, which is quite instructive, as it uses a few common tricks. Most importantly, we rely on the corollary of the Yoneda lemma, which says that, if all the mappings out from two objects to an arbitrary object are isomorphic, then the two objects are themselves isomorphic. In our case, we’ll consider the mappings-out to an arbitrary set  $S$  and show that:

$$\text{Set} \left( \int^{x: C} C(x, a) \multimap Fx, S \right) \cong \text{Set}(Fa, S)$$

Using the co-continuity of the hom-functor, we can pull out the integral sign, replacing the coend with an end:

$$\int_{x: C} \text{Set}(C(x, a) \multimap Fx, S)$$

Since the category of sets is cartesian closed, we can curry the product:

$$\int_{x: C} \text{Set}(C(x, a), S^{Fx})$$

We can now use the Yoneda lemma to “integrate over  $x$ .” The result is  $S^{Fa}$ . Finally, in  $\text{Set}$ , the exponential object is isomorphic to the hom-set:

$$S^{Fa} \cong \text{Set}(Fa, S)$$

Since  $S$  was arbitrary, we conclude that:

$$\int^{x: C} C(x, a) \multimap Fx \cong Fa$$

**Exercise 17.6.1.** *Prove the contravariant version of the co-Yoneda lemma.*

## Yoneda lemma in Haskell

We’ve already seen the Yoneda lemma implemented in Haskell. We can now rewrite it in terms of an end. We start by defining a profunctor that will go under the end. Its type constructor takes a functor `f` and a type `a` and generates a profunctor that’s contravariant in `x` and covariant in `y`:

```
data Yo f a x y = Yo ((a -> x) -> f y)
```

The Yoneda lemma establishes the isomorphism between the end over this profunctor and the type obtained by acting with the functor `f` on `a`. This isomorphism is witnessed by a pair of functions:



```

yoneda :: Functor f => End (Yo f a) -> f a
yoneda (Yo g) = g id

```

```

yoneda_1 :: Functor f => f a -> End (Yo f a)
yoneda_1 fa = Yo (\h -> fmap h fa)

```

Similarly, the co-Yoneda lemma uses a coend over the following profunctor:

```

data CoY f a x y = CoY (x -> a) (f y)

```

The isomorphism is witnessed by a pair of functions. The first one says that if you have a function  $x \rightarrow a$  and a functorful of  $x$  then you can make a functorful of  $a$  using the `fmap`:

```

coyoneda :: Functor f => Coend (CoY f a) -> f a
coyoneda (Coend (CoY g fa)) = fmap g fa

```

You can do it without knowing anything about the existential type  $x$ .

The second says that if you have a functorful of  $a$ , you can create a coend by injecting it (together with the identity function) into the existential type:

```

coyoneda_1 :: Functor f => f a -> Coend (CoY f a)
coyoneda_1 fa = Coend (CoY id fa)

```

## 17.7 Day Convolution

Electrical engineers are familiar with the idea of convolution. We can convolve two streams by shifting one of them and summing its product with the other one:

$$(f \star g)(x) = \int_{*\emptyset}^{\emptyset} f(y)g(x * y)dy$$

This formula can be translated almost verbatim to category theory. We can start by replacing the integral with a coend. The problem is, we don't know how to subtract objects. We do however know how to add them, in a co-cartesian category.

Notice that the sum of the arguments to the two functions is equal to  $x$ . We could enforce this condition by introducing the Dirac delta function or the “impulse function,”  $\delta(a + b * x)$ . In category theory we use the hom-functor  $C(a + b, x)$  to do the same. Thus we can define a convolution of two Set-valued functors:

$$(F \star G)x = \int^{a,b} C(a + b, x) \quad Fa \quad Gb$$

Informally, if we could define subtraction as the right adjoint to coproduct, we'd write:

$$\int^{a,b} C(a + b, x) \quad Fa \quad Gb \quad \ddot{\circ} \quad \int^{a,b} C(a, b * x) \quad Fa \quad Gb \quad \ddot{\circ} \quad \int^b F(b * x) \quad Gb$$

There is nothing special about coproduct so, in general, Day convolution is defined in any monoidal category with a tensor product:

$$(F \star G)x = \int^{a,b} C(a \otimes b, x) \quad Fa \quad Gb$$

In fact, Day convolution for a monoidal category  $(C, \otimes, I)$  endows the category of co-presheaves  $[C, \text{Set}]$  with a monoidal structure. Simply said, if you can multiply objects in  $C$ , you can multiply set-valued functors on  $C$ .

It's easy to check that Day convolution is associative (up to isomorphism) and that  $C(I, *)$  serves as the unit object. For instance, we have:

$$(C(I, *) \star G)x = \int^{a,b} C(a \otimes b, x) \quad C(I, a) \quad Gb \quad \circ \quad \int^b C(I \otimes b, x) \quad Gb \quad \circ \quad Gx$$

So the unit of Day convolution is the Yoneda functor taken at monoidal unit, which lends itself to the anagrammatic slogan, “ONE of DAY is the YONEDA of ONE.”

If the tensor product is symmetric, then the corresponding Day convolution is also symmetric (up to isomorphism).

In the special case of a cartesian closed category, we can use the currying adjunction to simplify the formula:

$$(F \star G)x = \int^{a,b} C(a \times b, x) \quad Fa \quad Gb \quad \circ \quad \int^{a,b} C(a, x^b) \quad Fa \quad Gb \quad \circ \quad \int^b F(x^b) \quad Gb$$

In Haskell, the product-based Day convolution can be defined using an existential type:

```
data Day f g x where
  Day :: ((a, b) -> x) -> f a -> g b -> Day f g x
```

If we think of functors as containers of values, Day convolution tells us how to combine two different containers into one—given a function that combines two different values into one.

**Exercise 17.7.1.** Define the **Functor** instance for **Day**.

**Exercise 17.7.2.** Implement the associator for **Day**.

```
assoc :: Day f (Day g h) x -> Day (Day f g) h x
```

## Applicative functors as monoids

We've seen before the definition of applicative functors as lax monoidal functors. It turns out that, just like monads, applicative functors can also be defined as monoids.

Recall that a monoid is an object in a monoidal category. The category we're interested in is the co-presheaf category  $[C, \text{Set}]$ . If  $C$  is cartesian, then the co-presheaf category is monoidal

with respect to Day convolution, with the unit object  $C(I, *)$ . A monoid in this category is a functor  $F$  equipped with two natural transformations that serve as unit and multiplication:

$$\eta: C(I, *) \rightarrow F$$

$$\mu: F \star F \rightarrow F$$

In particular, in a cartesian closed category where the unit is the terminal object,  $C(1, a)$  is isomorphic to  $a$ , and the component of the unit at  $a$  is:

$$\eta_a: a \rightarrow Fa$$

You may recognize this function as `pure` in the definition of `Applicative`.

```
pure :: a -> f a
```

Let's consider the set of natural transformations from which  $\mu$  is taken. We'll write it as an end:

$$\mu \in \int_x \text{Set}((F \star F)x, Fx)$$

Plugging in the definition of Day convolution, we get:

$$\int_x \text{Set}\left(\int^{a,b} C(a \times b, x) \times Fa \times Fb, Fx\right)$$

We can pull out the coend using co-continuity of the hom-functor:

$$\int_{x,a,b} \text{Set}(C(a \times b, x) \times Fa \times Fb, Fx)$$

We can then use the currying adjunction in `Set` to obtain:

$$\int_{x,a,b} \text{Set}(C(a \times b, x), \text{Set}(Fa \times Fb, Fx))$$

Finally, we apply the Yoneda lemma to perform the integration over  $x$ :

$$\int_{a,b} \text{Set}(Fa \times Fb, F(a \times b))$$

The result is the set of natural transformations from which to select the second part of the lax monoidal functor:

```
(>*<) :: f a -> f b -> f (a, b)
```

## Free Applicatives

We have just learned that applicative functors are monoids in the monoidal category:

$$([C, \text{Set}], C(I, *), \star)$$

It's only natural to ask what a free monoid in that category is.

Just like we did with free monads, we'll construct a free applicative as the initial algebra, or the least fixed point of the list functor. Recall that the list functor was defined as:

$$\Phi_a x = 1 + a \otimes x$$

In our case it becomes:

$$\Phi_F G = C(I, *) + F \star G$$

Its fixed point is given by the recursive formula:

$$A_F \cong C(I, *) + F \star A_F$$

When translating this to Haskell, we observe that functions from the unit `() -> a` are isomorphic to elements of `a`.

Corresponding to the two addends in the definition of  $A_F$ , we get two constructors:

```
data FreeA f x where
  DoneA  :: x -> FreeA f x
  MoreA  :: ((a, b) -> x) -> f a -> FreeA f b -> FreeA f x
```

I have inlined the definition of Day convolution:

```
data Day f g x where
  Day :: ((a, b) -> x) -> f a -> g b -> Day f g x
```

The easiest way to show that `FreeA f` is an applicative functor is to go through `Monoidal`:

```
class Monoidal f where
  unit  :: f ()
  (>*<) :: f a -> f b -> f (a, b)
```

Since `FreeA f` is a generalization of a list, the `Monoidal` instance for free applicative generalizes the idea of list concatenation. We do the pattern matching on the first list, resulting in two cases.

In the first case, instead of an empty list we have `DoneA x`. Prepending it to the second argument doesn't change the length of the list, but it modifies the type of the values stored in it. It pairs each of them with `x`:

```
(DoneA x) >*< fry = fmap (x,) fry
```

The second case is a “list” whose head `fa` is a functorful of `a`’s, and the tail `frb` is of the type `FreeA f b`. The two are glued using a function `abx :: (a, b) -> x`.

```
(MoreA abx fa frb) >*< fry = MoreA (reassoc abx) fa (frb >*< fry)
```

To produce the result, we concatenate the two tails using the recursive call to `>*<` and prepend `fa` to it. To glue this head to the new tail we have to provide a function that re-associates the pairs:

```
reassoc :: ((a, b) -> x) -> (a, (b, y)) -> (x, y)
reassoc abx (a, (b, y)) = (abx (a, b), y)
```

The complete instance is thus:

```
instance Functor f => Monoidal (FreeA f) where
  unit = DoneA ()
  (DoneA x) >*< fry = fmap (x,) fry
  (MoreA abx fa frb) >*< fry = MoreA (reassoc abx) fa (frb >*< fry)
```

Once we have the `Monoidal` instance, it’s straightforward to produce the `Applicative` instance:

```
instance Functor f => Applicative (FreeA f) where
  pure a = DoneA a
  ff <*> fx = fmap app (ff >*< fx)

  app :: (a -> b, a) -> b
  app (f, a) = f a
```

**Exercise 17.7.3.** Define the `Functor` instance for the free applicative.

## 17.8 The Bicategory of Profunctors

Since we know how to compose profunctors using coends, the question arises: is there a category in which they serve as morphisms? The answer is yes, as long as we relax the rules a bit. The problem is that the categorical laws for profunctor composition are not satisfied “on the nose,” but only up to isomorphism.

For instance, we can try to show associativity of profunctor composition. We start with:

$$((P \diamond Q) \diamond R)\langle s, t \rangle = \int^b \left( \int^a P\langle s, a \rangle \quad Q\langle a, b \rangle \right) R\langle b, t \rangle$$

and, after a few transformations, arrive at:

$$(P \diamond (Q \diamond R))\langle s, t \rangle = \int^a P\langle s, a \rangle \left( \int^b Q\langle a, b \rangle R\langle b, t \rangle \right)$$

We use the associativity of the product and the fact that we can switch the order of coends using the Fubini theorem. Both are true only up to isomorphism. We don't get associativity "on the nose."

The identity profunctor turns out to be the hom-functor, which can be written symbolically as  $C(*, =)$ , with placeholders for both arguments. For instance:

$$(C(*, =) \diamond P)\langle s, t \rangle = \int^a C(s, a) P\langle a, t \rangle \cong P\langle s, t \rangle$$

This is the consequence of the (contravariant) ninja co-Yoneda lemma, which is also an isomorphism, not an equality.

A category in which categorical laws are satisfied up to isomorphism is called a bicategory. Notice that such a category must be equipped with 2-cells—morphisms between morphisms, which we've already seen in the definition of a 2-category. We need those in order to be able to define isomorphisms between 1-cells.

A bicategory  $\text{Prof}$  has (small) categories as objects, profunctors as 1-cells, and natural transformations as 2-cells.

Since profunctors are functors  $C^{op} \times D \rightarrow \text{Set}$ , the standard definition of natural transformations between them applies. It's a family of functions parameterized by objects of  $C^{op} \times D$ , which are themselves pairs of objects.

The naturality condition for a transformation  $\alpha_{\langle a, b \rangle}$  between two profunctors  $P$  and  $Q$  takes the form:

$$\begin{array}{ccc} & P\langle a, b \rangle & \\ \alpha_{\langle a, b \rangle} \swarrow & & \searrow P\langle f, g \rangle \\ Q\langle a, b \rangle & & P\langle s, t \rangle \\ Q\langle f, g \rangle \searrow & & \swarrow \alpha_{\langle s, t \rangle} \\ & Q\langle s, t \rangle & \end{array}$$

for every pair of arrows:

$$\langle f : s \rightarrow a, g : b \rightarrow t \rangle$$

## Monads in a bicategory

We've seen before that categories, functors, and natural transformations form a 2-category  $\text{Cat}$ . Let's focus on one object, a category  $C$ , that is a 0-cell in  $\text{Cat}$ . The 1-cells that start and end at this object form a regular category, in this case it's the functor category  $[C, C]$ . The objects

in this category are endo-1-cells of the outer 2-category  $\mathbf{Cat}$ . The arrows between them are the 2-cells of the outer 2-category.

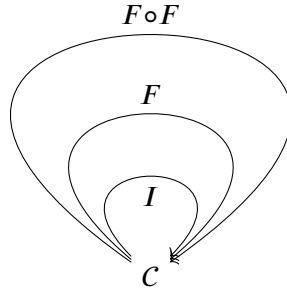
This endo-one-cell category is automatically equipped with monoidal structure. We simply define the tensor product as the composition of 1-cells—all 1-cells with the same source and target compose. The monoidal unit object is the identity 1-cell,  $I$ . In  $[C, C]$  this product is the composition of endofunctors and the unit is the identity functor.

If we now focus our attention on just one endo-1-cell  $F$ , we can “square” it, that is use the monoidal product to multiply it by itself. In other words, use the 1-cell composition to create  $F \circ F$ . We say that  $F$  is a monad if we can find 2-cells:

$$\mu: F \circ F \rightarrow F$$

$$\eta: I \rightarrow F$$

that behave like multiplication and unit, that is they make the associativity and unit diagrams commute.



In fact a monad can be defined in an arbitrary bicategory, not just the 2-category  $\mathbf{Cat}$ .

### **Prearrows as monads in $\mathbf{Prof}$**

Since  $\mathbf{Prof}$  is a bicategory, we can define a monad in it. It is an endo-profunctor (a 1-cell):

$$P: C^{op} \times C \rightarrow \mathbf{Set}$$

equipped with two natural transformations (2-cells):

$$\mu: P \diamond P \rightarrow P$$

$$\eta: C(*, =) \rightarrow P$$

that satisfy the associativity and unit conditions.

Let's look at these natural transformations as elements of ends. For instance:

$$\mu \in \int_{\langle a, b \rangle} \mathbf{Set} \left( \int^x P \langle a, x \rangle \times P \langle x, b \rangle, P \langle a, b \rangle \right)$$

By co-continuity, this is equivalent to:

$$\int_{\langle a, b \rangle, x} \text{Set} \left( P\langle a, x \rangle \rightarrow P\langle x, b \rangle, P\langle a, b \rangle \right)$$

Similarly, the unit natural transformation is:

$$\eta \in \int_{\langle a, b \rangle} \text{Set}(C(a, b), P\langle a, b \rangle)$$

In Haskell, such profunctor monads are called pre-arrows:

```
class Profunctor p => PreArrow p where
  (>>>) :: p a x -> p x b -> p a b
  arr    :: (a -> b) -> p a b
```

An **Arrow** is a **PreArrow** that is also a Tambara module. We'll talk about Tambara modules in the next chapter.

## 17.9 Existential Lens

The first rule of category-theory club is that you don't talk about the internals of objects.

The second rule of category-theory club is that, if you have to talk about the internals of objects, use arrows only.

### Existential lens in Haskell

What does it mean for an object to be a composite—to have parts? At the very minimum, you should be able to retrieve a part of such an object. Even better if you can replace that part with a new one. This pretty much defines a lens:

```
get  :: s -> a
set  :: s -> a -> s
```

Here, **get** extracts the part **a** from the whole **s**, and **set** replaces that part with a new **a**. Lens laws help to reinforce this picture. And it's all done in terms of arrows.

Another way of describing a composite object is to say that it can be split into a focus and a residue. The trick is that, although we want to know what type the focus is, we don't care about the type of the residue. All we need to know about the residue is that it can be combined with the focus to recreate the whole object.

In Haskell, we would express this idea using an existential type:

```
data LensE s a where
  LensE :: (s -> (c, a), (c, a) -> s) -> LensE s a
```



This tells us that there exists some unspecified type  $c$ , such that  $s$  can be split into, and reconstructed from, a product  $(c, a)$ .



The `get/set` version of the lens can be derived from this existential form.

```
toGet :: LensE s a -> (s -> a)
toGet (LensE (l, r)) = snd . l

toSet :: LensE s a -> (s -> a -> s)
toSet (LensE (l, r)) s a = r (fst (l s), a)
```

Notice that we don't need to know anything about the type of the residue. We take advantage of the fact that the existential lens contains both the producer and the consumer of  $c$  and we're just mediating between the two.

It's impossible to extract a “naked” residue, as witnessed by the fact that the following code doesn't compile:

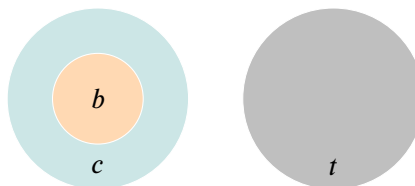
```
getResidue :: Lens s a -> c
getResidue (Lens (l, r)) = fst . l
```

### Existential lens in category theory

We can easily translate the new definition of the lens to category theory by expressing the existential type as a coend:

$$\int^c C(s, c \rightarrow a) \rightarrow C(c \rightarrow a, s)$$

In fact, we can generalize it to a type-changing lens, in which the focus  $a$  can be replaced with a new focus of a different type  $b$ . Replacing  $a$  with  $b$  will produce a new composite object  $t$ :



The lens is now parameterized by two pairs of objects:  $\langle s, t \rangle$  for the outer ones, and  $\langle a, b \rangle$  for the inner ones. The existential residue  $c$  remains hidden:

$$\mathcal{L}\langle s, t \rangle \langle a, b \rangle = \int^c C(s, c \rightarrow a) \rightarrow C(c \rightarrow b, t)$$

The product under the coend is the diagonal part of the profunctor that is covariant in  $y$  and contravariant in  $x$ :

$$C(s, y \ a) \ C(x \ b, t)$$

**Exercise 17.9.1.** *Show that:*

$$C(s, y \ a) \ C(x \ b, t)$$

*is a profunctor in  $\langle x, y \rangle$ .*

## Type-changing lens in Haskell

In Haskell, we can define a type-changing lens as the following existential type:

```
data LensE s t a b where
  LensE :: (s -> (c, a)) -> ((c, b) -> t) -> LensE s t a b
```

As before, we can use the existential lens to get and set the focus:

```
toGet :: LensE s t a b -> (s -> a)
toGet (LensE l r) = snd . l

toSet :: LensE s t a b -> (s -> b -> t)
toSet (LensE l r) s a = r (fst (l s), a)
```

The two functions,  $s \rightarrow (c, a)$  and  $(c, b) \rightarrow t$  are often called the *forward* and the *backward* pass. The forward pass can be used to extract the focus  $a$ . The backward pass provides the answer to the question: If we wanted the result of the forward pass to be some other  $b$ , what  $t$  should we pass to it?

And sometimes we're just asking: What change  $t$  should we make to the input if we wanted to change the focus by  $b$ . The latter point of view is especially useful when using lenses to describe neural networks.

The simplest example of a lens acts on a product. It can extract or replace one component of the product, treating the other as the residue. In Haskell, we'd implement it as:

```
prodLens :: LensE (c, a) (c, b) a b
prodLens = LensE id id
```

Here, the type of the whole is the product  $(c, a)$ . When we replace  $a$  with  $b$  we end up with the target type  $(c, b)$ . Since the source and the target are already products, the two functions in the definition of the existential lens are just identities.

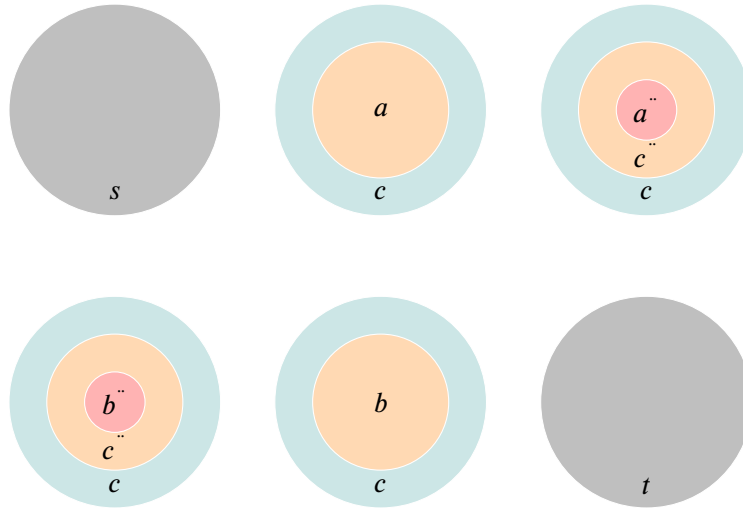
## Lens composition

The main advantage of using lenses is that they compose. A composition of two lenses lets us zoom in on a subcomponent of a component.

Suppose that we start with a lens that lets us access the focus **a** and change it to **b**. This focus is part of a whole described by the source **s** and the target **t**.

We also have the inner lens that can access the focus of **a'** inside the whole of **a**, and replace it with **b'** to give us a new **b**.

We can now construct a composite lens that can access **a'** and **b'** inside of **s** and **t**. The trick is to realize that we can take, as the new residue, a product of the two residues:



```
compLens :: LensE a b a' b' -> LensE s t a b -> LensE s t a' b'
compLens (LensE l2 r2) (LensE l1 r1) = LensE l3 r3
  where l3 = assoc' . bimap id l2 . l1
        r3 = r1 . bimap id r2 . assoc
```

The left mapping in the new lens is given by the following composite:

$$s \xrightarrow{l_1} (c, a) \xrightarrow{(id, l_2)} (c, (c'', a'')) \xrightarrow{assoc''} ((c, c''), a'')$$

and the right mapping is given by:

$$((c, c''), b'') \xrightarrow{assoc} (c, (c'', b'')) \xrightarrow{(id, r_2)} (c, b) \xrightarrow{r_1} t$$

We have used the associativity and functoriality of the product:

```
assoc :: ((c, c'), b') -> (c, (c', b'))
assoc ((c, c'), b') = (c, (c', b'))
```

```

assoc' :: (c, (c', a')) -> ((c, c'), a')
assoc' (c, (c', a')) = ((c, c'), a')

instance Bifunctor (,) where
  bimap f g (a, b) = (f a, g b)

```

As an example, let's compose two product lenses:

```

l3 :: LensE (c, (c', a')) (c, (c', b')) a' b'
l3 = compLens prodLens prodLens

```

and apply it to a nested product:

```

x :: (String, (Bool, Int))
x = ("Outer", (True, 42))

```

Our composite lens lets us not only retrieve the innermost component:

```

toGet l3 x
> 42

```

but also replace it with a value of a different type (here, `Char`):

```

toSet l3 x 'z'
> ("Outer", (True, 'z'))

```

## Category of lenses

Since lenses can be composed, you might be wondering if there is a category in which lenses are hom-sets.

Indeed, there is a category `Lens` whose objects are pairs of objects in  $\mathcal{C}$ , and arrows from  $\langle s, t \rangle$  to  $\langle a, b \rangle$  are elements of  $\mathcal{L}\langle s, t \rangle \langle a, b \rangle$ .

The formula for the composition of existential lenses is too complicated to be useful in practice. In the next chapter we'll see an alternative representation of lenses using Tambara modules, in which composition is just a composition of functions.

## 17.10 Lenses and Fibrations

There is an alternative view of lenses using the language of fiber bundles. A projection  $p$  that defines a fibration can be seen as “decomposing” the bundle  $E$  into fibers.

In this view,  $p$  plays the role of `get`:

$$p: E \rightarrow B$$

The base  $B$  represents the type of the focus and  $E$  represents the type of the composite from which that focus can be extracted.

The other part of the lens, `set`, is a mapping:

$$q: E \rightarrow B$$

Let's see how we can interpret it using fibrations.

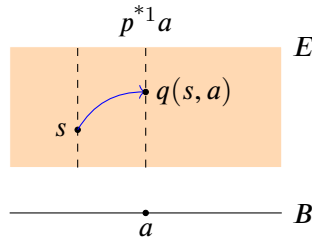
### Transport law

We interpret  $q$  as “transporting” an element of the bundle  $E$  to a new fiber. The new fiber is specified by an element of  $B$ .

This property of the transport is expressed by the get/set lens law, or the *transport law*, that says that “you get what you set”:

```
get (set s a) = a
```

We say that  $q(s, a)$  transports  $s$  to a new fiber over  $a$ :

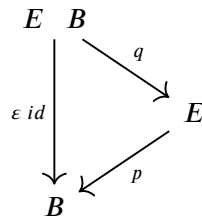


We can rewrite this law in terms of  $p$  and  $q$ :

$$p \circ q = \pi_2$$

where  $\pi_2$  is the second projection from the product.

Equivalently, we can represent it as a commuting diagram:



Here, instead of using the projection  $\pi_2$ , I used a comonoidal counit  $\epsilon$ :

$$\epsilon: E \rightarrow 1$$

followed by the unit law for the product. Using a comonoid makes it easier to generalize this construction to a tensor product in a monoidal category.

## Identity law

Here's the set/get law or the *identity* law. It says that “nothing changes if you set what you get”:

$$\text{set } s \text{ (get } s) = s$$

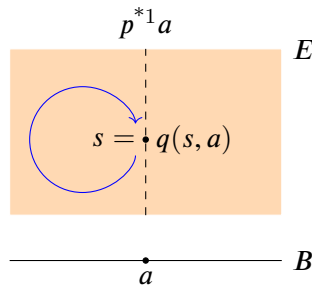
We can write it in terms of a comonoidal comultiplication:

$$\delta: E \rightarrow E \otimes E$$

The set/get law requires the following composite to be an identity:

$$E \xrightarrow{\delta} E \otimes E \xrightarrow{id \otimes p} E \otimes B \xrightarrow{q} E$$

Here's the illustration of this law in a bundle:



## Composition law

Finally, here's the set/set law, or the *composition* law. It says that “the last set wins”:

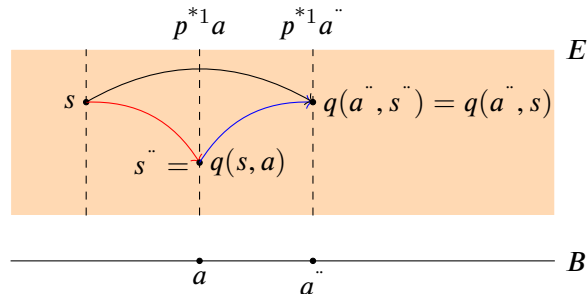
$$\text{set } (\text{set } s \text{ } a) \text{ } a' = \text{set } s \text{ } a'$$

and the corresponding commuting diagram:

$$\begin{array}{ccc} E \otimes B & \otimes B & \\ id \otimes \epsilon \downarrow & \searrow q \otimes id & \\ E \otimes B & & E \otimes B \\ q \downarrow & \swarrow q & \\ E & & \end{array}$$

Again, to get rid of the middle  $B$ , I used the counit rather than a projection from the product.

This is what the set/set law looks like in a bundle:

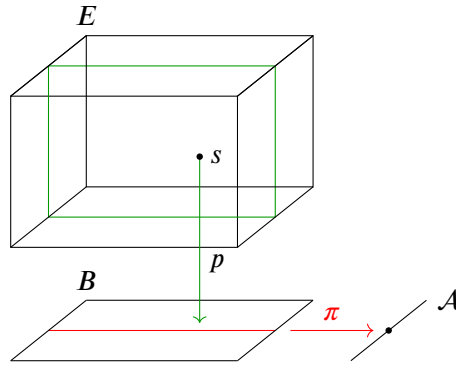


### Type-changing lens

A type-changing lens generalizes transport to act between bundles. We have to define a whole family of bundles. We start with a category  $\mathcal{A}$  whose objects define the types that we will use for the foci of our lens.

We construct the set  $B$  as the combined set of all elements of all focus types.  $B$  is fibred over  $\mathcal{A}$ —the projection  $\pi$  sending an element of  $B$  to its corresponding type. You may think of  $B$  as the set of objects of the coslice category  $1/\mathcal{A}$ .

The bundle of bundles  $E$  is a set that's fibred over  $B$  with the projection  $p$ . Since  $B$  itself is fibred over  $\mathcal{A}$ ,  $E$  is transitively fibred over  $\mathcal{A}$ , with the composite projection  $\pi \circ p$ . It's this coarser fibration that splits  $E$  into a family of bundles. Each of these bundles corresponds to a different type of the composite for a given focus type. A type-changing lens will move between these bundles.



The projection  $p$  takes an element  $s \in E$  and produces an element  $b \in B$  whose type is given by  $\pi b$ . This is the generalization of `get`.

The transport  $q$ , which corresponds to `set`, takes an element  $s \in E$  and an element  $b \in B$  and produces a new element  $t \in E$ . The important observation is that  $s$  and  $t$  may belong to different sub-bundles of  $E$ .

The transport satisfies the following laws:

The get/set law (transport):

$$p(q(b, s)) = b$$

The set/get law (identity):

$$q(p(s), s) = s$$

The set/set law (composition):

$$q(c, q(b, s)) = q(c, s)$$

## 17.11 Important Formulas

This is a handy (co-)end calculus cheat-sheet.

- Continuity of the hom-functor:

$$D\left(d, \int_a P\langle a, a \rangle\right) \ddot{\circ} \int_a D(d, P\langle a, a \rangle)$$

- Co-continuity of the hom-functor:

$$D\left(\int_a P\langle a, a \rangle, d\right) \ddot{\circ} \int_a D(P\langle a, a \rangle, d)$$

- Ninja Yoneda:

$$\int_x \text{Set}(C(a, x), Fx) \ddot{\circ} Fa$$

- Ninja co-Yoneda:

$$\int^x C(x, a) \quad Fx \ddot{\circ} Fa$$

- Ninja Yoneda for contravariant functors (presheaves):

$$\int_x \text{Set}(C(x, a), Gx) \ddot{\circ} Ga$$

- Ninja co-Yoneda for contravariant functors:

$$\int^x C(a, x) \quad Gx \ddot{\circ} Ga$$

- Day convolution:

$$(F \star G)_x = \int^{a,b} C(a \otimes b, x) \quad Fa \quad Gb$$



---

## Tambara Modules

---

It's not often that an obscure corner of category theory gains sudden prominence in programming. Tambara modules got a new lease on life in their application to profunctor optics. They provide a clever solution to the problem of composing optics. We've seen that, in the case of lenses, the getters compose nicely using function composition, but the composition of setters involves some shenanigans. The existential representation doesn't help much. The profunctor representation, on the other hand, makes composition a snap.

The situation is somewhat analogous to the problem of composing geometric transformations in graphics programming. For instance, if you try to compose two rotations around two different axes, the formula for the new axis and the angle is quite complicated. But if you represent rotations as matrices, you can use matrix multiplication; or, if you represent them as quaternions, you can use quaternion multiplication. Profunctor representation lets you compose optics using straightforward function composition.

### 18.1 Tannakian Reconstruction

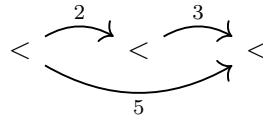
#### Monoids and their Representations

The theory of representations is a science in itself. Here, we'll approach it from the categorical perspective. Instead of groups, we'll consider monoids. A monoid can be defined as a special object in a monoidal category, but it can also be thought of as a single-object category  $\mathcal{M}$ . If we call its object  $<$ , the hom-set  $\mathcal{M}(<, <)$  contains all the information we need.

What we called “product” in a monoid is replaced by the composition of morphisms. By the laws of a category, it's associative and unital—the identity morphism serving as the monoidal unit.

In this sense, every single-object category is automatically a monoid and all monoids can be made into single-object categories.

For instance, a monoid of the whole numbers with addition can be thought of as a category with a single abstract object  $<$  and a morphism for every number. To compose two such morphisms, you add their numbers, as in the example below:



The morphism corresponding to zero is automatically the identity morphism.

We can *represent* a monoid as transformations of a set. Such a representation is given by a functor  $F: \mathcal{M} \rightarrow \mathbf{Set}$ . It maps the single object  $<$  to some set  $S$ , and it maps the hom-set  $\mathcal{M}(<, <)$  to a set of functions  $S \rightarrow S$ . By functor laws, it maps identity to identity and composition to composition, so it preserves the structure of the monoid.

If the functor is fully faithful, its image contains exactly the same information as the monoid and nothing more. But, in general, functors cheat. The hom-set  $\mathbf{Set}(S, S)$  may contain some other functions that are not in the image of  $\mathcal{M}(<, <)$ ; and multiple morphisms in  $\mathcal{M}$  may be mapped to a single function.

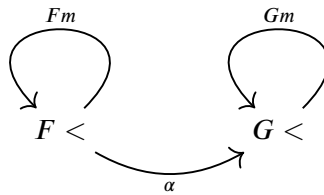
In the extreme, the whole hom-set  $\mathcal{M}(<, <)$  may be mapped to the identity morphism  $id_S$ . So, just by looking at the set  $S$ —the image of  $<$  under the functor  $F$ —we cannot dream of reconstructing the original monoid.

Not all is lost, though, if we are allowed to look at all the representations of a given monoid simultaneously. Such representations form a category—the functor category  $[\mathcal{M}, \mathbf{Set}]$ , a.k.a. the co-presheaf category over  $\mathcal{M}$ . Arrows in this category are natural transformations.

Since the source category  $\mathcal{M}$  contains only one object, naturality conditions take a particularly simple form. A natural transformation  $\alpha: F \rightarrow G$  has only one component, a function  $\alpha: F < \rightarrow G <$ . Given a morphism  $m: < \rightarrow <$ , the naturality square reads:

$$\begin{array}{ccc} F < & \xrightarrow{\alpha} & G < \\ \downarrow Fm & & \downarrow Gm \\ F < & \xrightarrow{\alpha} & G < \end{array}$$

It's a relationship between three functions acting on two sets:



The naturality condition tells us that:

$$Gm \circ \alpha = \alpha \circ Fm$$

In other words, if you pick any element  $x$  in the set  $F \prec$ , you can map it to  $G \prec$  using  $\alpha$  and then apply the transformation  $Gm$  corresponding to  $m$ ; or you can first apply the transformation  $Fm$  and then map the result using  $\alpha$ . The result must be the same.

Such functions are called *equivariant*. We often call  $Fm$  the *action* of  $m$  on the set  $F \prec$ . An equivariant function connects an action on one set to its corresponding action on another set using either pre-composition or post-composition.

### Tannakian reconstruction of a monoid

How much information do we need to reconstruct a monoid from its representations? Just looking at the sets is definitely not enough, since any monoid can be represented on any set. But if we include structure-preserving functions between those sets, we might have a chance.

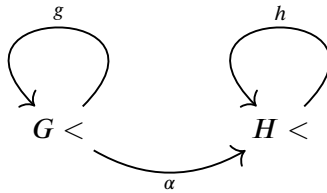
Given a functor  $F: \mathcal{M} \rightarrow \text{Set}$ , consider the set of *all* functions  $F \prec \rightarrow F \prec$ , that is the hom-set  $\text{Set}(F \prec, F \prec)$ . At least some of these functions are the actions of the monoid. These are the functions of the form  $Fm$ , where  $m$  is an arrow in  $\mathcal{M}$ . Keep in mind, though, that there may be many more functions in that hom-set that don't correspond to actions.

Now let's look at another set  $G \prec$ , which is the image of some other functor  $G$ . In its hom-set  $\text{Set}(G \prec, G \prec)$  we'll find, among others, the corresponding actions of the form  $Gm$ . An equivariant function, that is a natural transformation in  $[\mathcal{M}, \text{Set}]$ , will connect any two related action  $Fm$  to  $Gm$ .

Now imagine creating a gigantic tuple by taking one function from each of the sets  $\text{Set}(F \prec, F \prec)$ , for all functors  $F: \mathcal{M} \rightarrow \text{Set}$ . We are interested only in tuples whose elements are connected. Here's what I mean: If we pick  $g \in \text{Set}(G \prec, G \prec)$  and  $h \in \text{Set}(H \prec, H \prec)$  and there is a natural transformation (equivariant function)  $\alpha$  between the two functors  $G$  and  $H$ , we want the two functions to be related:

$$\alpha \circ g = h \circ \alpha$$

or, pictorially:



Notice that this correlation also works on pairs  $g$  and  $h$  which are not of the form  $g = Gm$  and  $h = Hm$ .

Such tuples are exactly the elements of the end:

$$\int_F \text{Set}(F \prec, F \prec)$$

whose wedge condition provides the constraints we are looking for.

$$\begin{array}{ccc}
 & \int_F \text{Set}(F <, F <) & \\
 \pi_G \swarrow & & \searrow \pi_H \\
 \text{Set}(G <, G <) & & \text{Set}(H <, H <) \\
 \alpha \circ * \searrow & & \swarrow * \circ \alpha \\
 & \text{Set}(G <, H <) &
 \end{array}$$

Here  $\alpha$  is a morphism in the functor category  $[\mathcal{M}, \text{Set}]$ :

$$\alpha: G \rightarrow H$$

This natural transformation has only one component, which we'll also call  $\alpha$ . It's an equivariant function between the two representations.

Here are some details. The profunctor under the end is given by:

$$P\langle G, H \rangle = \text{Set}(G <, H <)$$

It's a functor of the form:

$$P: [\mathcal{M}, \text{Set}]^{op} [\mathcal{M}, \text{Set}] \rightarrow \text{Set}$$

Consider its action on pairs of morphisms in  $[\mathcal{M}, \text{Set}]$ . Given a pair of natural transformations:

$$\begin{aligned}
 \alpha: G'' &\rightarrow G \\
 \beta: H &\rightarrow H''
 \end{aligned}$$

their lifting is a function:

$$P\langle \alpha, \beta \rangle: P\langle G, H \rangle \rightarrow P\langle G'', H'' \rangle$$

Substituting our definition of  $P$ , we have:

$$P\langle \alpha, \beta \rangle: \text{Set}(G <, H <) \rightarrow \text{Set}(G'' <, H'' <)$$

We get this function by pre-composing with  $\alpha$  and post-composing with  $\beta$  (these functions are the only components of the two natural transformations  $\alpha$  and  $\beta$ ):

$$P\langle \alpha, \beta \rangle = \beta \circ * \circ \alpha$$

That is, given a function  $f \in \text{Set}(G <, H <)$ , we produce a function  $\beta \circ f \circ \alpha \in \text{Set}(G'' <, H'' <)$ .

In the wedge condition, if we pick  $g$  to be the element of  $\text{Set}(G <, G <)$  and  $h$  to be the element of  $\text{Set}(H <, H <)$ , we reproduce our condition:

$$\alpha \circ g = h \circ \alpha$$

The Tannakian reconstruction theorem, in this case, tells us that:

$$\int_F \text{Set}(F \langle, F \langle) \cong \mathcal{M}(\langle, \langle)$$

In other words, we can recover the monoid from its representations. We'll see the proof of this theorem in the context of a more general statement.

### Cayley's theorem

In group theory, Cayley's theorem states that every group is isomorphic to a (subgroup of the) group of permutations. A *group* is just a monoid in which every element has an inverse. Permutations are bijective functions that map a set to itself. They *permute* the elements of a set.

In category theory, Cayley's theorem is practically built into the definition of a monoid and its representations.

The connection between the single-object interpretation and the more traditional set-of-elements interpretation of a monoid is easy to establish. We do this by constructing the functor  $F: \mathcal{M} \rightarrow \text{Set}$  that maps  $\langle$  to the special set  $S$  that is equal to the hom-set:  $S = \mathcal{M}(\langle, \langle)$ . Elements of this set are identified with morphisms in  $\mathcal{M}$ . We define the action of  $F$  on morphisms as post-composition:

$$(Fm)n = mon$$

Here  $m$  is a morphism in  $\mathcal{M}$  and  $n$  is an element of  $S$ , which happens to also be a morphism in  $\mathcal{M}$ .

We can take this particular representation as an alternative definition of a monoid in the monoidal category  $\text{Set}$ . All we need is to implement unit and multiplication:

$$\begin{aligned} \eta: 1 &\rightarrow S \\ \mu: S \otimes S &\rightarrow S \end{aligned}$$

The unit picks the element of  $S$  that corresponds to  $id_\langle$  in  $\mathcal{M}(\langle, \langle)$ . Multiplication of two elements  $m$  and  $n$  is given by the element that corresponds to  $mon$ .

At the same time we can look at  $S$  as an image of  $F: \mathcal{M} \rightarrow \text{Set}$ , in which case it's the functions  $S \rightarrow S$  that form a representation of the monoid. This is the essence of the Cayley's theorem: Every monoid can be represented by a set of endo-functions.

In programming, the best example of applying the Cayley's theorem is in the efficient implementation of list reversal. Recall the naive recursive implementation of reversal:

```
reverse :: [a] -> [a]
reverse [] = []
reverse (a : as) = reverse as ++ [a]
```

It splits the list into the head and the tail, reverses the tail, and appends a singleton made out of the head to the result. The problem is that every append has to traverse the growing list resulting in  $O(N^2)$  performance.

Remember, however, that a list is a (free) monoid:

```
instance Monoid [a] where
  mempty = []
  mappend as bs = as ++ bs
```

We can use Cayley's theorem to represent this monoid as functions on lists:

```
type DList a = [a] -> [a]
```

To represent a list, we turn it into a function. It's a function (a closure) that prepends this list `as` to its argument `xs`:

```
rep :: [a] -> DList a
rep as = \xs -> as ++ xs
```

This representation is called a *difference list*.

To turn a function back to a list, it's enough to apply it to an empty list:

```
unRep :: DList a -> [a]
unRep f = f []
```

It's easy to check that the representation of an empty list is an identity function, and that the representation of a concatenation of two lists is a composition of representations:

```
rep [] = id
rep (xs ++ ys) = rep xs . rep ys
```

So this is exactly the Cayley representation of the list monoid.

We can now translate the reversal algorithm to produce this new representation:

```
rev :: [a] -> DList a
rev [] = rep []
rev (a : as) = rev as . rep [a]
```

and turn it back to a list:

```
fastReverse :: [a] -> [a]
fastReverse = unRep . rev
```

At first sight it might seem like we haven't done much except add a layer of conversion on top of our recursive algorithm. Except that the new algorithm has  $O(N)$  rather than  $O(N^2)$  performance. To see that, consider reversing a simple list `[1, 2, 3]`. The function `rev` turns this list into a composition of functions:

```
rep [3] . rep [2] . rep [1]
```

It does it in linear time. The function `unRep` executes this composite starting with an empty list. But notice that each `rep` prepends its argument to the cumulative result. In particular, the final `rep [3]` executes:

```
[3] ++ [2, 1]
```

Unlike appending, prepending is a constant-time operation, so the whole algorithm takes  $O(N)$  time.

Another way of looking at it is to realize that `rev` queues up the actions in the order of the elements of the list, starting at the head. But the queue of functions is executed in the first-in-first-out (FIFO) order.

Because of Haskell's laziness, list reversal using `foldl` has similar performance:

```
reverse = foldl (\as a -> a : as) []
```

This is because `foldl`, before returning the result, traverses the list left-to-right accumulating functions (closures). It then executes them as necessary, in the FIFO order.

### Proof of Tannakian reconstruction

Monoid reconstruction is a special case of a more general theorem in which, instead of the single-object category, we use a regular category. As in the monoid case, we'll reconstruct the hom-set, only this time it will be a regular hom-set between two objects. We'll prove the formula:

$$\int_{F: [C, \text{Set}]} \text{Set}(Fa, Fb) \circ C(a, b)$$

The trick is to use the Yoneda lemma to represent the action of  $F$ :

$$Fa \circ [C, \text{Set}](C(a, *), F)$$

and the same for  $Fb$ . We get:

$$\int_{F: [C, \text{Set}]} \text{Set}([C, \text{Set}](C(a, *), F), [C, \text{Set}](C(b, *), F))$$

Notice that the two sets of natural transformations here are hom-sets in  $[C, \text{Set}]$ .

Recall the corollary to the Yoneda lemma that works for any category  $\mathcal{A}$ :

$$[\mathcal{A}, \text{Set}](\mathcal{A}(x, *), \mathcal{A}(y, *)) \circ \mathcal{A}(y, x)$$

We can write it using an end:

$$\int_{z: C} \text{Set}(\mathcal{A}(x, z), \mathcal{A}(y, z)) \circ \mathcal{A}(y, x)$$

In particular, we can replace  $\mathcal{A}$  with the functor category  $[C, \text{Set}]$ . We get:

$$\int_{F: [C, \text{Set}]} \text{Set}([C, \text{Set}](C(a, *), F), [C, \text{Set}](C(b, *), F)) \circ [C, \text{Set}](C(b, *), C(a, *))$$

We can then apply the Yoneda lemma again to the right hand side and get:

$$C(a, b)$$

which is exactly the sought after result.

It's important to realize how the structure of the functor category enters the end through the wedge condition. It does that through natural transformations. Every time we have a natural transformation between two functors  $\alpha: G \rightarrow H$ , the following diagram must commute:

$$\begin{array}{ccc} & \int_F \text{Set}(Fa, Fb) & \\ \pi_G \swarrow & & \searrow \pi_H \\ \text{Set}(Ga, Gb) & & \text{Set}(Ha, Hb) \\ \text{Set}(id, \alpha) \searrow & & \swarrow \text{Set}(\alpha, id) \\ & \text{Set}(Ga, Hb) & \end{array}$$

To get some intuition about Tannakian reconstruction, you may recall that  $\text{Set}$ -valued functors have the interpretation as proof-relevant subsets. A functor  $F: C \rightarrow \text{Set}$  (a co-presheaf) defines a subset of the objects of (a small category)  $C$ . We say that an object  $a$  is in that subset only if  $Fa$  is non-empty. Each element of  $Fa$  can then be interpreted as a proof of that.

But unless the category in question is discrete, not all subsets will correspond to co-presheaves. In particular, whenever there is an arrow  $f: a \rightarrow b$ , there also is a function  $Ff: Fa \rightarrow Fb$ . According to our interpretation, such function maps every proof that  $a$  is in the subset defined by  $F$  to a proof that  $b$  is in that subset. Co-presheaves thus define proof-relevant subsets that are compatible with the structure of the category.

Let's reinterpret Tannakian reconstruction in the same spirit.

$$\int_{F: [C, \text{Set}]} \text{Set}(Fa, Fb) \circ C(a, b)$$

An element of the left-hand side is a proof that for every subset that is compatible with the structure of  $C$ , if  $a$  belongs to that subset, so does  $b$ . That is only possible if there is an arrow from  $a$  to  $b$ .

## Tannakian reconstruction in Haskell

We can immediately translate this result to Haskell. We replace the end by `forall`. The left hand side becomes:



```
forall f. Functor f => f a -> f b
```

and the right hand side is the function type `a->b`.

We’ve seen polymorphic functions before: they were functions defined for all types, or sometimes for classes of types. Here we have a function that is defined for all functors. It says: give me a functorful of `a`’s and I’ll produce a functorful of `b`’s—no matter what functor you use. The only way this can be implemented (using parametric polymorphism) is if this function has secretly captured a function of the type `a->b` and is applying it using `fmap`.

Indeed, one direction of the isomorphism is just that: capturing a function and `fmapping` it over the argument:

```
toRep :: (a -> b) -> (forall f. Functor f => f a -> f b)
toRep g fa = fmap g fa
```

The other direction uses the Yoneda trick:

```
fromRep :: (forall f. Functor f => f a -> f b) -> (a -> b)
fromRep g a = unId (g (Id a))
```

where the identity functor is defined as:

```
data Id a = Id a

unId :: Id a -> a
unId (Id a) = a

instance Functor Id where
  fmap g (Id a) = Id (g a)
```

This kind of reconstruction might seem trivial and pointless. Why would anyone want to replace function type `a->b` with a much more complicated type:

```
type Getter a b = forall f. Functor f => f a -> f b
```

It’s instructive, though, to think of `a->b` as the precursor of all optics. It’s a lens that focuses on the `b` part of `a`. It tells us that `a` contains enough information, in one form or another, to construct a `b`. It’s a “getter” or an “accessor.”

Obviously, functions compose. What’s interesting though is that functor representations also compose, and they compose using simple function composition, as seen in this example:

```
boolToStrGetter :: Getter Bool String
boolToStrGetter = toRep (show) . toRep (bool 0 1)
```

Other optics don’t compose so easily, but their functor (and profunctor) representations do.

### Tannakian reconstruction with adjunction

The trick in generalizing the Tannakian reconstruction is to define the end over some specialized functor category  $\mathcal{T}$  by first applying the forgetful functor to its functors. Let's assume that we have the free/forgetful adjunction  $F \dashv U$  between two functor categories  $\mathcal{T}$  and  $[C, \text{Set}]$ :

$$\mathcal{T}(FQ, P) \cong [C, \text{Set}](Q, UP)$$

where  $Q$  is a functor in  $[C, \text{Set}]$  and  $P$  a functor in  $\mathcal{T}$ .

Our starting point for Tannakian reconstruction is the following end:

$$\int_{P: \mathcal{T}} \text{Set}\left((UP)a, (UP)s\right)$$

Incidentally, the mapping  $\mathcal{T} \rightarrow \text{Set}$  parameterized by the object  $a$ , and given by the formula:

$$P \mapsto (UP)a$$

is sometimes called the *fiber functor*, so the end formula can be interpreted as a set of natural transformations between two fiber functors. Conceptually, a fiber functor describes an “infinitesimal neighborhood” of an object. It maps functors to sets but, more importantly, it maps natural transformations to functions. These functions probe the environment in which the object lives. In particular, natural transformations in  $\mathcal{T}$  are involved in wedge conditions that define the end. (In calculus, stalks of sheaves play a very similar role.)

As we did before, we first apply the Yoneda lemma to get:

$$\int_{P: \mathcal{T}} \text{Set}\left([C, \text{Set}]\left(C(a, *), UP\right), [C, \text{Set}]\left(C(s, *), UP\right)\right)$$

We can now use the adjunction:

$$\int_{P: \mathcal{T}} \text{Set}\left(\mathcal{T}\left(FC(a, *), P\right), \mathcal{T}\left(FC(s, *), P\right)\right)$$

We end up with a mapping between two natural transformations in the functor category  $\mathcal{T}$ . We can perform the integration using the corollary to the Yoneda lemma, giving us:

$$\mathcal{T}\left(FC(s, *), FC(a, *)\right)$$

We can apply the adjunction once more:

$$\text{Set}\left(C(s, *), (U \circ F)C(a, *)\right)$$

and the Yoneda lemma again:

$$\left((U \circ F)C(a, *)\right)_s$$

The final observation is that the composition  $U \circ F$  of adjoint functors is a monad in the functor category. Let's call this monad  $\Phi$ . The result is the following identity that will serve as the foundation for profunctor optics:

$$\int_{P: \tau} \text{Set}((UP)a, (UP)s) \ddot{\circ} (\Phi C(a, *))_s$$

The right-hand side is the action of the monad  $\Phi = U \circ F$  on the representable functor  $C(a, *)$ , which is then evaluated at  $s$ .

Compare this with the earlier formula for Tannakian reconstruction, especially if we rewrite it in the following form:

$$\int_{F: [C, \text{Set}]} \text{Set}(Fa, Fs) \ddot{\circ} C(a, *)_s$$

Keep in mind that, in the derivation of optics, we'll replace  $a$  and  $s$  with pairs of objects  $\langle a, b \rangle$  and  $\langle s, t \rangle$  from  $C^{op} \times C$ . In that case our functors will become profunctors.

## 18.2 Profunctor Lenses

Our goal is to find a functor representation for optics. We've seen before that, for instance, type-changing lenses can be seen as hom-sets in the Lens category. The objects in Lens are pairs of objects from some category  $C$ , and a hom-set from one such pair  $\langle s, t \rangle$  to another  $\langle a, b \rangle$  is given by the coend formula:

$$\mathcal{L}\langle s, t \rangle \langle a, b \rangle = \int^c C(s, c \dashv a) \times C(c \dashv b, t)$$

Notice that the pair of hom-sets in this formula can be seen as a single hom-set in the product category  $C^{op} \times C$ :

$$\mathcal{L}\langle s, t \rangle \langle a, b \rangle = \int^c (C^{op} \times C)(c \ddot{\circ} \langle a, b \rangle, \langle s, t \rangle)$$

where we define the action of  $c$  on a pair  $\langle a, b \rangle$  as:

$$c \ddot{\circ} \langle a, b \rangle = \langle c \dashv a, c \dashv b \rangle$$

This is a shorthand notation for the diagonal part of a more general action of  $C^{op} \times C$  on itself given by:

$$\langle c, c' \rangle \ddot{\circ} \langle a, b \rangle = \langle c \dashv a, c' \dashv b \rangle$$

This suggests that, to represent such optics, we should be looking at co-presheaves on the category  $C^{op} \times C$ , that is, we should be considering profunctor representations.

## Iso

As a quick check of this idea, let's apply our reconstruction formula to the simple case of  $\mathcal{T} = [C^{op} \ C, \text{Set}]$  with no additional structure. In that case we don't need to use the forgetful functors, or the monad  $\Phi$ , and we just get the straightforward application of Tannakian reconstruction:

$$\mathcal{O}\langle s, t \rangle \langle a, b \rangle = \int_{P: \mathcal{T}} \text{Set} \left( P\langle a, b \rangle, P\langle s, t \rangle \right) \ddot{\circ} \left( (C^{op} \ C)(\langle a, b \rangle, *) \right) \langle s, t \rangle$$

The right hand side evaluates to:

$$(C^{op} \ C)(\langle a, b \rangle, \langle s, t \rangle) = C(s, a) \ C(b, t)$$

This optic is known in Haskell as **Iso** (or an adapter):

```
type Iso s t a b = (s -> a, b -> t)
```

and it, indeed, has a profunctor representation corresponding to the following end:

```
type IsoP s t a b = forall p. Profunctor p => p a b -> p s t
```

Given a pair of functions it's easy to construct this profunctor-polymorphic function:

```
toIsoP :: (s -> a, b -> t) -> IsoP s t a b
toIsoP (f, g) = dimap f g
```

This is simply saying that any profunctor can be used to lift a pair of functions.

Conversely, we may ask the question: How can a single polymorphic function map the set  $P\langle a, b \rangle$  to the set  $P\langle s, t \rangle$  for *every* profunctor imaginable? The only thing this function knows about the profunctor is that it can lift a pair of functions. Therefore it must be a closure that either contains or is able to produce a pair of functions  $(s \rightarrow a, b \rightarrow t)$ .

**Exercise 18.2.1.** *Implement the function:*

```
fromIsoP :: IsoP s t a b -> (s -> a, b -> t)
```

*Hint: Use the fact that a pair of identity functions can be used to construct the following profunctor:*

```
data Adapter a b s t = Ad (s -> a, b -> t)
```

## Profunctors and lenses

Let's try to apply the same logic to lenses. We have to find a class of profunctors to plug into our profunctor representation. Let's assume that the forgetful functor  $U$  only forgets additional structure but doesn't change the sets, so the set  $P\langle a, b \rangle$  is the same as the set  $(UP)\langle a, b \rangle$ .

Let's start with the existential representation. We have at our disposal an object  $c$  and a pair of functions:

$$\langle f, g \rangle: C(s, c \multimap a) \multimap C(c \multimap b, t)$$

We want to build a profunctor representation, so we have to be able to map the set  $P\langle a, b \rangle$  to the set  $P\langle s, t \rangle$ . We could get  $P\langle s, t \rangle$  by lifting these two functions, but only if start from  $P\langle c \multimap a, c \multimap b \rangle$ . Indeed:

$$P\langle f, g \rangle: P\langle c \multimap a, c \multimap b \rangle \rightarrow P\langle s, t \rangle$$

What we are missing is the mapping:

$$P\langle a, b \rangle \rightarrow P\langle c \multimap a, c \multimap b \rangle$$

And this is exactly the additional structure we shall demand from our profunctor class.

### Tambara module

A profunctor  $P$  equipped with the family of transformations:

$$\alpha_{\langle a, b \rangle, c}: P\langle a, b \rangle \rightarrow P\langle c \multimap a, c \multimap b \rangle$$

is called a *Tambara module*.

We want this family to be natural in  $a$  and  $b$ , but what should we demand from  $c$ ? The problem with  $c$  is that it appears twice, once in the contravariant, and once in the covariant position. So, if we want to interact nicely with arrows like  $h: c \rightarrow c''$ , we have to modify the naturality condition. We may consider a more general profunctor  $P\langle c'' \multimap a, c \multimap b \rangle$  and treat  $\alpha$  as producing its diagonal elements, ones in which  $c''$  is the same as  $c$ .

A transformation  $\alpha$  between diagonal parts of two profunctors  $P$  and  $Q$  is called a *dinatural transformation* (*di-agonally natural*) if the following diagram commutes for any  $f: c \rightarrow c''$ :

$$\begin{array}{ccccc}
 & & P\langle c'', c \rangle & & \\
 & \swarrow P\langle f, c \rangle & & \searrow P\langle c'', f \rangle & \\
 P\langle c, c \rangle & & & & P\langle c'', c'' \rangle \\
 \downarrow \alpha_c & & & & \downarrow \alpha_{c''} \\
 Q\langle c, c \rangle & & & & Q\langle c'', c'' \rangle \\
 & \swarrow P\langle c, f \rangle & & \searrow P\langle f, c \rangle & \\
 & & Q\langle c, c'' \rangle & & 
 \end{array}$$

(I used the common shorthand  $P\langle f, c \rangle$ , reminiscent of whiskering, for  $P\langle f, id_c \rangle$ .)

In our case, the dinaturality condition simplifies to:

$$\begin{array}{ccc}
 & P\langle a, b \rangle & \\
 \alpha_{\langle a, b \rangle, c} \swarrow & & \searrow \alpha_{\langle a, b \rangle, c''} \\
 P\langle c \ a, c \ b \rangle & & P\langle c'' \ a, c'' \ b \rangle \\
 P\langle c \ a, f \ b \rangle \searrow & & \swarrow P\langle f \ b, c \ b \rangle \\
 & P\langle c \ a, c'' \ b \rangle &
 \end{array}$$

(Here, again  $P\langle f \ b, c \ b \rangle$  stands for  $P\langle f \ id_b, id_c \ b \rangle$ .)

There is one more consistency condition on Tambara modules: they must preserve the monoidal structure. The action of multiplying by  $c$  makes sense in a cartesian category: we have to have a product for any pair of objects, and we want to have the terminal object to serve as the unit of multiplication. Tambara modules have to respect unit and preserve multiplication. For the unit (terminal object), we impose the following condition:

$$\alpha_{\langle a, b \rangle, 1} = id_{P\langle a, b \rangle}$$

For multiplication, we have:

$$\alpha_{\langle a, b \rangle, c''} \circ \alpha_{\langle c \ a, c \ b \rangle, c''} \circ \alpha_{\langle a, b \rangle, c}$$

or, pictorially:

$$\begin{array}{ccc}
 P\langle a, b \rangle & \xrightarrow{\alpha_{\langle a, b \rangle, c''} \circ c} & P\langle c'' \ c \ a, c'' \ c \ b \rangle \\
 \alpha_{\langle a, b \rangle, c} \searrow & & \swarrow \alpha_{\langle c \ a, c \ b \rangle, c''} \\
 & P\langle c \ a, c \ b \rangle &
 \end{array}$$

(Notice that the product is associative up to isomorphism, so there is a hidden associator in this diagram.)

Since we want Tambara modules to form a category, we have to define morphisms between them. These are natural transformations that preserve the additional structure. Let's say we have a natural transformation  $\rho$  between two Tambara modules  $\rho: (P, \alpha) \rightarrow (Q, \beta)$ . We can either apply  $\alpha$  and then  $\rho$ , or do  $\rho$  first and then  $\beta$ . We want the result to be the same:

$$\begin{array}{ccc}
 P\langle a, b \rangle & \xrightarrow{\alpha_{\langle a, b \rangle, c}} & P\langle c \ a, c \ b \rangle \\
 \rho_{\langle a, b \rangle} \downarrow & & \downarrow \rho_{\langle c \ a, c \ b \rangle} \\
 Q\langle a, b \rangle & \xrightarrow{\beta_{\langle a, b \rangle, c}} & Q\langle c \ a, c \ b \rangle
 \end{array}$$

Keep in mind that the structure of the Tambara category is encoded in these natural transformations. They will determine, through the wedge condition, the shape of the ends that enter the definition of profunctor lenses.

### Profunctor lenses

Now that we have some intuition about how Tambara modules are related to lenses, let's go back to our main formula:

$$\mathcal{L}\langle s, t \rangle \langle a, b \rangle = \int_{P: \tau} \text{Set} \left( (UP)\langle a, b \rangle, (UP)\langle s, t \rangle \right) \ddot{\circ} \left( \Phi(C^{op} \ C)(\langle a, b \rangle, *) \right) \langle s, t \rangle$$

This time we're taking the end over the Tambara category. The only missing part is the monad  $\Phi = U \circ F$  or the functor  $F$  that freely generates Tambara modules.

It turns out that, instead of guessing the monad, it's easier to guess the comonad. There is a comonad in the category of profunctors that takes a profunctor  $P$  and produces another profunctor  $\Theta P$ . Here's the formula:

$$(\Theta P)\langle a, b \rangle = \int_c P\langle c \ a, c \ b \rangle$$

You can check that this is indeed a comonad by implementing  $\varepsilon$  and  $\delta$  ([extract](#) and [duplicate](#)). For instance,  $\varepsilon$  maps  $\Theta P \rightarrow P$  using the projection  $\pi_1$  for the terminal object (the unit of cartesian product).

What's interesting about this comonad is that its coalgebras are Tambara modules. Again, these are coalgebras that map profunctors to profunctors. They are natural transformations  $P \rightarrow \Theta P$ . We can write such a natural transformation as an element of the end:

$$\int_{a,b} \text{Set} \left( P\langle a, b \rangle, (\Theta P)\langle a, b \rangle \right) = \int_{a,b} \int_c \text{Set} \left( P\langle a, b \rangle, P\langle c \ a, c \ b \rangle \right)$$

I used the continuity of the hom-functor to pull out the end over  $c$ . The resulting end encodes a set of natural (dinatural in  $c$ ) transformations that define a Tambara module:

$$\alpha_{\langle a, b \rangle, c} : P\langle a, b \rangle \rightarrow P\langle c \ a, c \ b \rangle$$

In fact, these coalgebras are *comonad* coalgebras, that is they are compatible with the comonad  $\Theta$ . In other words, Tambara modules form the Eilenberg-Moore category of coalgebras for the comonad  $\Theta$ .

The left adjoint to  $\Theta$  is a monad  $\Phi$  given by the formula:

$$(\Phi P)\langle s, t \rangle = \int^{u,v,c} (C^{op} \ C) \left( c \ \ddot{\circ} \ \langle u, v \rangle, \langle s, t \rangle \right) \ P\langle u, v \rangle$$

where I used the shorthand notation:

$$(C^{op} \ C) \left( c \ \ddot{\circ} \ \langle u, v \rangle, \langle s, t \rangle \right) = C(s, c \ u) \ C(c \ v, t)$$

This adjunction can be easily verified using some end/coend manipulations: The mapping out of  $\Phi P$  to some profunctor  $Q$  can be written as an end. The coends in  $\Phi$  can then be taken

out using co-continuity of the hom-functor. Finally, applying the ninja-Yoneda lemma produces the mapping into  $\Theta Q$ . We get:

$$[(C^{op} \ C, \text{Set}](P\Phi, Q) \cong [(C^{op} \ C, \text{Set}](P, \Theta Q)$$

Replacing  $Q$  with  $P$  we immediately see that the set of algebras for  $\Phi$  is isomorphic to the set of coalgebras for  $\Theta$ . In fact they are monad algebras for  $\Phi$ . This means that the Eilenberg-Moore category for the monad  $\Phi$  is the same as the Tambara category.

Recall that the Eilenberg-Moore construction factorizes a monad into a free/forgetful adjunction. This is exactly the adjunction we were looking for when deriving the formula for profunctor optics.

What remains is to evaluate the action of  $\Phi$  on the representable functor:

$$\left( \Phi(C^{op} \ C)(\langle a, b \rangle, *) \right) \langle s, t \rangle = \int^{u,v,c} (C^{op} \ C)(c \ \ddot{\circ} \ \langle u, v \rangle, \langle s, t \rangle) \ (C^{op} \ C)(\langle a, b \rangle, \langle u, v \rangle)$$

Applying the co-Yoneda lemma, we get:

$$\int^c (C^{op} \ C)(c \ \ddot{\circ} \ \langle a, b \rangle, \langle s, t \rangle) = \int^c C(s, c \ a) \ C(c \ b, t)$$

which is exactly the existential representation of the lens.

## Profunctor lenses in Haskell

To define profunctor representation in Haskell we introduce a class of profunctors that are Tambara modules with respect to cartesian product (we'll see more general Tambara modules later). In the Haskell library this class is called **Strong**. It also appears in the literature as **Cartesian**:

```
class Profunctor p => Cartesian p where
  alpha :: p a b -> p (c, a) (c, b)
```

The polymorphic function `alpha` has all the relevant naturality properties guaranteed by parametric polymorphism.

The profunctor lens is just a type synonym for a function type that is polymorphic in **Cartesian** profunctors:

```
type LensP s t a b = forall p. Cartesian p => p a b -> p s t
```

The easiest way to implement such a function is to start from the existential representation of a lens and apply `alpha` followed by `dimap` to the profunctor argument:

```
toLensP :: LensE s t a b -> LensP s t a b
toLensP (LensE from to) = dimap from to . alpha
```

Because profunctor lenses are just functions, we can compose them as such:



```

lens1 :: LensP s t x y
-- p s t -> p x y
lens2 :: LensP x y a b
-- p x y -> p a b
lens3 :: LensP s t a b
-- p s t -> p a b
lens3 = lens2 . lens1

```

The converse mapping from a profunctor representation to the set/get representation of the lens is also possible. For that we need to guess the profunctor that we can feed into `LensP`. It turns out that the get/set representation of the lens is such a profunctor, when we fix the pair of types `a` and `b`. We define:

```

data FlipLens a b s t = FlipLens (s -> a) (s -> b -> t)

```

It's easy to show that it's indeed a profunctor:

```

instance Profunctor (FlipLens a b) where
  dimap f g (FlipLens get set) = FlipLens (get . f) (fmap g . set . f)

```

Not only that—it is also a `Cartesian` profunctor:

```

instance Cartesian (FlipLens a b) where
  alpha(FlipLens get set) = FlipLens get' set'
  where get' = get . snd
        set' = \ (x, s) b -> (x, set s b)

```

We can now initialize `FlipLens` with a trivial pair of a getter and a setter and feed it to our profunctor representation:

```

fromLensP :: LensP s t a b -> (s -> a, s -> b -> t)
fromLensP pp = (get', set')
  where FlipLens get' set' = pp (FlipLens id (\s b -> b))

```

## 18.3 General Optics

Tambara modules were originally defined for an arbitrary monoidal category<sup>1</sup> with a tensor product  $\otimes$  and a unit object  $I$ . Their structure maps have the form:

$$\alpha_{\langle a, b \rangle, c} : P\langle a, b \rangle \rightarrow P\langle c \otimes a, c \otimes b \rangle$$

<sup>1</sup>In fact, Tambara modules were originally defined for a category enriched over vector spaces

You can easily convince yourself that all coherency laws translate directly to this case, and the derivation of profunctor optics works without a change.

## Prisms

From the programming point of view there are two obvious monoidal structures to explore: the product and the sum. We've seen that the product gives rise to lenses. The sum, or the coproduct, gives rise to prisms.

We get the existential representation simply by replacing the product by the sum in the definition of a lens:

$$\mathcal{P}\langle s, t \rangle \langle a, b \rangle = \int^c C(s, c + a) \ C(c + b, t)$$

To simplify this, notice that the mapping out of a sum is equivalent to the product of mappings:

$$\int^c C(s, c + a) \ C(c + b, t) \ \ddot{\circ} \ \int^c C(s, c + a) \ C(c, t) \ C(b, t)$$

Using the co-Yoneda lemma, we can get rid of the coend to get:

$$C(s, t + a) \ C(b, t)$$

In Haskell, this defines a pair of functions:

```
match :: s -> Either t a
build :: b -> t
```

To understand this, let's first translate the existential form of the prism:

```
data Prism s t a b where
  Prism :: (s -> Either c a) -> (Either c b -> t) -> Prism s t a b
```

Here `s` either contains the focus `a` or the residue `c`. Conversely, `t` can be built either from the new focus `b`, or from the residue `c`.

This logic is reflected in the conversion functions:

```
toMatch :: Prism s t a b -> (s -> Either t a)
toMatch (Prism from to) s =
  case from s of
    Left c -> Left (to (Left c))
    Right a -> Right a
```

```
toBuild :: Prism s t a b -> (b -> t)
toBuild (Prism from to) b = to (Right b)
```

```

toPrism :: (s -> Either t a) -> (b -> t) -> Prism s t a b
toPrism match build = Prism from to
  where
    from = match
    to (Left c) = c
    to (Right b) = build b

```

The profunctor representation of the prism is almost identical to that of the lens, except for swapping the product for the sum.

The class of Tambara modules for the sum type is called **Choice** in the Haskell library, or **Cocartesian** in the literature:

```

class Profunctor p => Cocartesian p where
  alpha' :: p a b -> p (Either c a) (Either c b)

```

The profunctor representation is a polymorphic function type:

```

type PrismP s t a b = forall p. Cocartesian p => p a b -> p s t

```

The conversion from the existential prism is virtually identical to that of the lens:

```

toPrismP :: Prism s t a b -> PrismP s t a b
toPrismP (Prism from to) = dimap from to . alpha'

```

Again, profunctor prisms compose using function composition.

## Traversals

A traversal is a type of optic that focuses on multiple foci at once. Imagine, for instance, that you have a tree that can have zero or more leaves of type **a**. A traversal should be able to get you a list of those nodes. It should also let you replace these nodes with a new list. And here's the problem: the length of the list that delivers the replacements must match the number of nodes, otherwise bad things happen.

A type-safe implementation of a traversal would require us to keep track of the sizes of lists. In other words, it would require dependent types.

In Haskell, a (non-type-safe) traversal is often written as:

```

type Traversal s t a b = s -> ([b] -> t, [a])

```

with the understanding that the sizes of the two lists are determined by **s** and must be the same.

When translating traversals to categorical language, we'll express this condition using a sum over the sizes of the list. A counted list of size  $n$  is an  $n$ -tuple, or an element of  $a^n$ , so we

can write:

$$\mathrm{Tr}\langle s, t \rangle \langle a, b \rangle = \mathrm{Set}\left(s, \sum_n (\mathrm{Set}(b^n, t) \multimap a^n)\right)$$

We interpret a traversal as a function that, given a source  $s$  produces an existential type that is hiding an  $n$ . It says that there exists an  $n$  and a pair consisting of a function  $b^n \rightarrow t$  and an  $n$ -tuple  $a^n$ .

The existential form of a traversal must take into account the fact that the residues for different  $n$ 's will have, in principle, different types. For instance, you can decompose a tree into an  $n$ -tuple of leaves  $a^n$  and the residue  $c_n$  with  $n$  holes. So the correct existential representation for a traversal must involve a coend over all sequences  $c_n$  that are indexed by natural numbers:

$$\mathrm{Tr}\langle s, t \rangle \langle a, b \rangle = \int^{c_n} C(s, \sum_m c_m \multimap a^m) \multimap C(\sum_k c_k \multimap b^k, t)$$

The sums here are coproducts in  $\mathcal{C}$ .

One way to look at sequences  $c_n$  is to interpret them as fibrations. For instance, in  $\mathrm{Set}$  we would start with a set  $C$  and a projection  $p: C \rightarrow \mathbb{N}$ , where  $\mathbb{N}$  is a set of natural numbers. Similarly  $a^n$  could be interpreted as a fibration of the free monoid on  $a$  (the set of lists of  $a$ 's) with the projection that extracts the length of the list.

Or we can look at  $c_n$ 's as mappings from the set of natural numbers to  $C$ . In fact, we can treat natural numbers as a discrete category  $\mathcal{N}$ , in which case  $c_n$ 's are functors  $\mathcal{N} \rightarrow C$ .

$$\mathrm{Tr}\langle s, t \rangle \langle a, b \rangle = \int^{c: [\mathcal{N}, C]} C(s, \sum_m c_m \multimap a^m) \multimap C(\sum_k c_k \multimap b^k, t)$$

To show the equivalence of the two representations, we first rewrite the mapping out of a sum as a product of mappings:

$$\int^{c: [\mathcal{N}, C]} C(s, \sum_m c_m \multimap a^m) \prod_k C(c_k \multimap b^k, t)$$

and then use the currying adjunction:

$$\int^{c: [\mathcal{N}, C]} C(s, \sum_m c_m \multimap a^m) \prod_k C(c_k, [b^k, t])$$

Here,  $[b^k, t]$  is the internal hom, which is an alternative notation for the exponential object  $t^{b^k}$ .

The next step is to recognize that a product in this formula represents a set of natural transformations in  $[\mathcal{N}, C]$ . Indeed, we could write it as an end:

$$\prod_k C(c_k, [b^k, t]) \multimap \int_{k: \mathcal{N}} C(c_k, [b^k, t])$$

This is because an end over a discrete category is just a product. Alternatively, we could write it as a hom-set in the functor category:

$$[\mathcal{N}, C](c_*, [b^*, t])$$

with placeholders replacing the arguments to the two functors in question:

$$k \mapsto c_k$$

$$k \mapsto [b^k, t]$$

We can now use the co-Yoneda lemma in the functor category  $[\mathcal{N}, C]$ :

$$\int^{c: [\mathcal{N}, C]} C(s, \sum_m c_m \cdot a^m) \cdot [\mathcal{N}, C](c_*, [b^*, t]) \cdot C(s, \sum_m [b^m, t] \cdot a^m)$$

This result is more general than our original formula, but it turns into it when restricted to the category of sets.

To derive a profunctor representation for traversals, we should look more closely at the kind of transformations that are involved. We define the action of a functor  $c: [\mathcal{N}, C]$  on  $a$  as:

$$c \cdot a = \sum_m c_m \cdot a^m$$

These actions can be composed by expanding the formula using distributivity laws:

$$c \cdot (c' \cdot a) = \sum_m c_m \cdot (\sum_n c'_n \cdot a^n)^m$$

If the target category is **Set**, this is equivalent to the following Day convolution (for non-**Set** categories, one could use the enriched version of the Day convolution):

$$(c \star c')_k = \int^{m, n} \mathcal{N}(m + n, k) \cdot c_m \cdot c'_n$$

This gives monoidal structure to the category  $[\mathcal{N}, C]$ .

The existential representation of traversals can be written in terms of the action of this monoidal category on  $C$ :

$$\text{Tr}\langle s, t \rangle \langle a, b \rangle = \int^{c: [\mathcal{N}, C]} C(s, c \cdot a) \cdot C(c \cdot b, t)$$

To derive the profunctor representation of traversals, we have to generalize Tambara modules to the action of a monoidal category:

$$\alpha_{\langle a, b \rangle, c}: P\langle a, b \rangle \rightarrow P\langle c \cdot a, c \cdot b \rangle$$

It turns out that the original derivation of profunctor optics still works for these generalized Tambara modules, and traversals can be written as polymorphic functions:

$$\text{Tr}\langle s, t \rangle \langle a, b \rangle = \int_{P: \mathcal{T}} \text{Set}\left((UP)\langle a, b \rangle, (UP)\langle s, t \rangle\right)$$

where the end is taken over a generalized Tambara module.

## 18.4 Mixed Optics

Whenever we have an action of a monoidal category  $\mathcal{M}$  on  $\mathcal{C}$  we can define the corresponding optic. A category with such an action is called an *actegory*. We can go even further by considering two separate actions. Suppose that  $\mathcal{M}$  can act on both  $\mathcal{C}$  and  $\mathcal{D}$ . We'll use the same notation for both actions:

$$\bullet: \mathcal{M} \times \mathcal{C} \rightarrow \mathcal{C}$$

$$\bullet: \mathcal{M} \times \mathcal{D} \rightarrow \mathcal{D}$$

We can then define the *mixed optics* as:

$$\mathcal{O}\langle s, t \rangle \langle a, b \rangle = \int^{m: \mathcal{M}} \mathcal{C}(s, m \bullet a) \times \mathcal{D}(m \bullet b, t)$$

These mixed optics have profunctor representations in terms of profunctors:

$$P: \mathcal{C}^{op} \times \mathcal{D} \rightarrow \mathbf{Set}$$

and the corresponding Tambara modules that use two separate actions:

$$\alpha_{\langle a, b \rangle, m}: P\langle a, b \rangle \rightarrow P\langle m \bullet a, m \bullet b \rangle$$

with  $a$  an object of  $\mathcal{C}$ ,  $b$  an object of  $\mathcal{D}$ , and  $m$  an object of  $\mathcal{M}$ .

**Exercise 18.4.1.** *What are the mixed optics for the action of the cartesian product when one of the categories is the terminal category? What if the first category is  $\mathcal{C}^{op} \times \mathcal{C}$  and the second is terminal?*

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# Kan Extensions

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If category theory keeps raising levels of abstraction it's because it's all about discovering patterns. Once patterns are discovered, it's time to study patterns formed by these patterns, and so on.

We've seen the same recurring concepts described more and more tersely at higher and higher levels of abstraction.

For instance, we first defined the product using a universal construction. Then we saw that the spans in the definition of the product were natural transformations. That led to the interpretation of the product as a limit. Then we saw that we could define it using adjunctions. We were able to combine it with the coproduct in one terse formula:

$$(+) \dashv \Delta \dashv (-)$$

Lao Tzu said: "If you want to shrink something, you must first allow it to expand."

Kan extensions raise the level of abstraction even higher. Mac Lane said: "All concepts are Kan extensions."

## 19.1 Closed Monoidal Categories

We've seen how a function object can be defined as the right adjoint to the categorical product:

$$C(a \times b, c) \cong C(a, [b, c])$$

Here I used the alternative notation  $[b, c]$  for the internal hom—the exponential  $c^b$ .

An adjunction between two functors can be thought of as one being the pseudo-inverse of the other. They don't compose to identity, but their composition *is* related to the identity functor through unit and counit. For instance, if you squint hard enough, the counit of the currying adjunction:

$$\epsilon_{bc}: [b, c] \rightarrow b \rightarrow c$$

suggests that  $[b, c]$  embodies, in a sense, the inverse of multiplication. It plays a similar role as  $c/b$  in:

$$c/b \cdot b = c$$

In a typical categorical manner, we may ask the question: What if we replace the product with something else? The obvious thing, replacing it with a coproduct, doesn't work (thus we have no analog of subtraction). But maybe there are other well-behaved binary operations that have a right adjoint.

A natural setting for generalizing a product is a monoidal category with a tensor product  $\otimes$  and a unit object  $I$ . If we have an adjunction:

$$C(a \otimes b, c) \cong C(a, [b, c])$$

we'll call the category *closed monoidal*. In a typical categorical abuse of notation, unless it leads to confusion, we'll use the same symbol (a pair of square brackets) for the monoidal internal hom as we did for the cartesian hom. There is an alternative lollipop notation for the right adjoint to the tensor product:

$$C(a \otimes b, c) \cong C(a, b \multimap c)$$

It is often used in the context of linear types.

The definition of the internal hom works well for a symmetric monoidal category. If the tensor product is not symmetric, the adjunction defines a *left closed* monoidal category. The left internal hom is adjoint to the “post-multiplication” functor  $(* \otimes b)$ . The right-closed structure is defined as the right adjoint to the “pre-multiplication” functor  $(b \otimes *)$ . If both are defined then the category is called *bi-closed*.

### Internal hom for Day convolution

As an example, consider the symmetric monoidal structure in the category of co-presheaves with Day convolution:

$$(F \star G)x = \int^{a,b} C(a \otimes b, x) \cdot Fa \cdot Gb$$

We are looking for the adjunction:

$$[C, \text{Set}](F \star G, H) \cong [C, \text{Set}](F, [G, H]_{\text{Day}})$$

The natural transformation on the left-hand side can be written as an end over  $x$ :

$$\int_x \text{Set} \left( \int^{a,b} C(a \otimes b, x) \cdot Fa \cdot Gb, Hx \right)$$



We can use co-continuity to pull out the coends:

$$\int_{x,a,b} \text{Set} \left( C(a \otimes b, x) \quad Fa \quad Gb, Hx \right)$$

We can then use the currying adjunction in  $\text{Set}$  (the square brackets stand for the internal hom in  $\text{Set}$ ):

$$\int_{x,a,b} \text{Set} \left( Fa, [C(a \otimes b, x) \quad Gb, Hx] \right)$$

Finally, we use the continuity of the hom-set to move the two ends inside the hom-set:

$$\int_a \text{Set} \left( Fa, \int_{x,b} [C(a \otimes b, x) \quad Gb, Hx] \right)$$

We discover that the right adjoint to Day convolution is given by:

$$([G, H]_{\text{Day}})_a = \int_{x,b} \left( C(a \otimes b, x), [Gb, Hx] \right) \ddot{\circ} \int_b [Gb, H(a \otimes b)]$$

The last transformation is the application of the Yoneda lemma in  $\text{Set}$ .

**Exercise 19.1.1.** *Implement the internal hom for Day convolution in Haskell. Hint: Use a type alias.*

**Exercise 19.1.2.** *Implement witnesses to the adjunction:*

```
ltor :: (forall a. Day f g a -> h a) -> (forall a. f a -> DayHom g h a)
rtol :: Functor h =>
  (forall a. f a -> DayHom g h a) -> (forall a. Day f g a -> h a)
```

## Powering and co-powering

In the category of sets, the internal hom (the function object, or the exponential) is isomorphic to the external hom (the set of morphisms between two objects):

$$C^B \ddot{\circ} \text{Set}(B, C)$$

We can therefore rewrite the currying adjunction that defines the internal hom in  $\text{Set}$  as:

$$\text{Set}(A \quad B, C) \ddot{\circ} \text{Set} \left( A, \text{Set}(B, C) \right)$$

We can generalize this adjunction to the case where  $B$  and  $C$  are not sets but objects in some category  $\mathcal{C}$ . The external hom in any category is always a set. But the left-hand side is no longer defined by a product. Instead it defines the action of a set  $A$  on an object  $b$ :

$$\mathcal{C}(A \cdot b, c) \ddot{\circ} \text{Set} \left( A, \mathcal{C}(b, c) \right)$$

that is called a *co-power*.

You may think of this action as adding together (taking a coproduct of)  $A$  copies of  $b$ . For instance, if  $A$  is a two-element set  $2$ , we get:

$$C(2 \cdot b, c) \cong \text{Set}\left(2, C(b, c)\right) \cong C(b, c) \amalg C(b, c) \cong C(b + b, c)$$

In other words,

$$2 \cdot b \cong b + b$$

In this sense a co-power defines multiplication in terms of iterated addition, the way we learned it in school.

If we multiply  $b$  by the hom-set  $C(b, c)$  and take the coend over  $b$ 's, the result is isomorphic to  $c$ :

$$\int^b C(b, c) \cdot b \cong c$$

Indeed, the mappings to an arbitrary  $x$  from both sides are isomorphic due to the Yoneda lemma:

$$C\left(\int^b C(b, c) \cdot b, x\right) \cong \int_b \text{Set}\left(C(b, c), C(b, x)\right) \cong C(c, x)$$

As expected, in  $\text{Set}$ , the co-power decays to the cartesian product.

$$\text{Set}(A \cdot B, C) \cong \text{Set}\left(A, \text{Set}(B, C)\right) \cong \text{Set}(A \times B, C)$$

Similarly, we can express powering as iterated multiplication. We use the same right-hand side, but this time we use the mapping-in to define the *power*:

$$C(b, A \pitchfork c) \cong \text{Set}\left(A, C(b, c)\right)$$

You may think of the power as multiplying together  $A$  copies of  $c$ . Indeed, replacing  $A$  with  $2$  results in:

$$C(b, 2 \pitchfork c) \cong \text{Set}\left(2, C(b, c)\right) \cong C(b, c) \amalg C(b, c) \cong C(b, c \amalg c)$$

In other words:

$$2 \pitchfork c \cong c \amalg c$$

which is a fancy way of writing  $c^2$ .

If we power  $c$  by the hom-set  $C(c'', c)$  and take the end over all  $c$ 's, the result is isomorphic to  $c''$ :

$$\int_c C(c'', c) \pitchfork c \cong c''$$

This follows from the Yoneda lemma. Indeed the mappings from any  $x$  to both sides are isomorphic:

$$C\left(x, \int_c C(c'', c) \pitchfork c\right) \cong \int_c \text{Set}\left(C(c'', c), C(x, c)\right) \cong C(x, c'')$$

In  $\mathbf{Set}$ , the power decays to the exponential, which is isomorphic to the hom-set:

$$A \multimap C \cong C^A \cong \mathbf{Set}(A, C)$$

This is the consequence of the symmetry of the product.

$$\begin{aligned} \mathbf{Set}(B, A \multimap C) &\cong \mathbf{Set}(A, \mathbf{Set}(B, C)) \cong \mathbf{Set}(A \times B, C) \\ &\cong \mathbf{Set}(B \times A, C) \cong \mathbf{Set}(B, \mathbf{Set}(A, C)) \end{aligned}$$

## 19.2 Inverting a functor

One aspect of category theory is to discard information by performing lossy transformations; the other is recovering the lost information. We’ve seen examples of making up for lost data with free functors—the adjoints to forgetful functors. Kan extensions are another example. Both make up for data that is lost by a functor that is not invertible.

There are two reasons why a functor might not be invertible. One is that it may map multiple objects or arrows into a single object or arrow. In other words, it’s not injective on objects or arrows. The other reason is that its image may not cover the whole target category. In other words, it’s not surjective on objects or arrows.

Consider for instance an adjunction  $L \dashv R$ . Suppose that  $R$  is not injective, and it collapses two objects  $c$  and  $c''$  into a single object  $d$

$$Rc = d$$

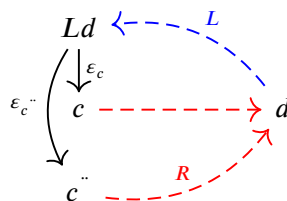
$$Rc'' = d$$

$L$  has no chance of undoing it. It can’t map  $d$  to both  $c$  and  $c''$  at the same time. The best it can do is to map  $d$  to a “more general” object  $Ld$  that has arrows to both  $c$  and  $c''$ . These arrows are needed to define the components of the counit of the adjunction:

$$\epsilon_c : Ld \rightarrow c$$

$$\epsilon_{c''} : Ld \rightarrow c''$$

where  $Ld$  is both  $L(Rc)$  and  $L(Rc'')$



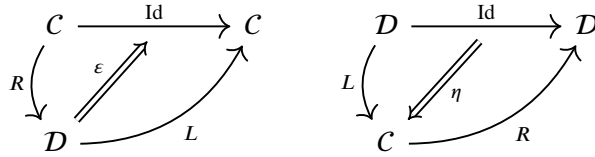
Moreover, if  $R$  is not surjective on objects, the functor  $L$  must somehow be defined on those objects of  $\mathcal{D}$  that are not in the image of  $R$ . Again, naturality of the unit and counit will constrain possible choices, as long as there are arrows connecting these objects to the image of  $R$ .

Obviously, all these constraints mean that an adjunction can only be defined in very special cases.

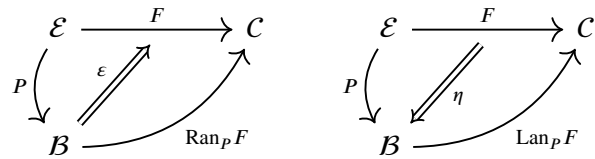
Kan extensions are even weaker than adjunctions.

If adjoint functors work like inverses, Kan extensions work like fractions.

This is best seen if we redraw the diagrams defining the counit and the unit of an adjunction. In the first diagram,  $L$  seems to play the role of  $1/R$ . In the second diagram  $R$  pretends to be  $1/L$ .



The right Kan extension  $\text{Ran}_P F$  and the left Kan extension  $\text{Lan}_P F$  generalize these by replacing the identity functor with some functor  $F: \mathcal{E} \rightarrow \mathcal{C}$ . The Kan extensions then play the role of fractions  $F/P$ . Conceptually, they undo the action of  $P$  and follow it with the action of  $F$ .



Just like with adjunctions, the “undoing” is not complete. The composition  $\text{Ran}_P F \circ P$  doesn’t reproduce  $F$ ; instead it’s related to it through the natural transformation  $\epsilon$  called the counit. Similarly, the composition  $\text{Lan}_P F \circ P$  is related to  $F$  through the unit  $\eta$ .

Notice that the more information  $F$  discards, the easier it is for Kan extensions to “invert” the functor  $P$ . In as sense, it only has to invert  $P$  “modulo  $F$ ”.

Here’s the intuition behind Kan extensions. We start with a functor  $F$ :

$$\mathcal{E} \xrightarrow{F} \mathcal{C}$$

There is a second functor  $P$  that squishes  $\mathcal{E}$  in another category  $\mathcal{B}$ . This may be an embedding that is lossy and non-surjective. Our task is to somehow *extend* the definition of  $F$  to cover the whole of  $\mathcal{B}$ .

In the ideal world we would like the following diagram to commute:

$$\begin{array}{ccc} \mathcal{E} & \xrightarrow{F} & C \\ P \downarrow & \nearrow \text{Kan}_P F & \\ B & & \end{array}$$

But that would involve equality of functors, which is something we try to avoid at all cost.

The next best thing would be to ask for a natural isomorphism between the two paths through this diagram. But even that seems like asking too much. So we finally settle down on demanding that one path be deformable into another, meaning there is a one-way natural transformation between them. The direction of this transformation distinguishes between right and left Kan extensions.

### 19.3 Right Kan extension

The right Kan extension is a functor  $\text{Ran}_P F$  equipped with a natural transformation  $\varepsilon$ , called the counit of the Kan extension, defined as:

$$\varepsilon: (\text{Ran}_P F) \circ P \rightarrow F$$

The pair  $(\text{Ran}_P F, \varepsilon)$  is universal among such pairs  $(G, \alpha)$ , where  $G$  is a functor  $G: B \rightarrow C$  and  $\alpha$  is a natural transformation:

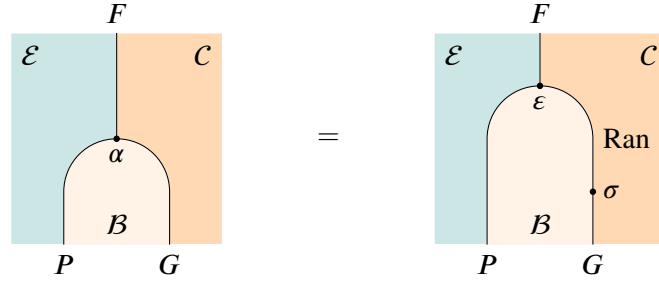
$$\alpha: G \circ P \rightarrow F$$

Universality means that for any such  $(G, \alpha)$  there is a unique natural transformation  $\sigma: G \rightarrow \text{Ran}_P F$

which factorizes  $\alpha$ , that is:

$$\alpha = \varepsilon \cdot (\sigma \circ P)$$

This is a combination of vertical and horizontal compositions of natural transformations in which  $\sigma \circ P$  is the whiskering of  $\sigma$ . Here's the same equation drawn in terms of string diagrams:



If the right Kan extension along  $P$  is defined for every functor  $F$ , then the universal construction can be generalized to an adjunction—this time it's an adjunction between two functor categories:

$$[\mathcal{E}, C](G \circ P, F) \dashv [B, C](G, \text{Ran}_P F)$$

For every  $\alpha$  that is an element of the left-hand side, there is a unique  $\sigma$  that is an element of the right-hand side.

In other words, the right Kan extension, if it exists for every  $F$ , is the right adjoint to functor pre-composition:

$$(* \circ P) \dashv \text{Ran}_P$$

The component of the counit of this adjunction at  $F$  is  $\epsilon$ .

This is somewhat reminiscent of the currying adjunction:

$$\mathcal{E}(a \multimap b, c) \dashv \mathcal{E}(a, [b, c])$$

in which the product is replaced by functor composition. (The analogy is not perfect, since composition can be considered a tensor product only in the category of endofunctors.)

### Right Kan extension as an end

Recall the ninja Yoneda lemma:

$$Fb \dashv \int_e \text{Set}(B(b, e), Fe)$$

Here,  $F$  is a co-presheaf, that is a functor from  $B$  to  $\text{Set}$ . The right Kan extensions of  $F$  along  $P$  generalizes this formula:

$$(\text{Ran}_P F)b \dashv \int_e \text{Set}(B(b, Pe), Fe)$$

This works for a co-presheaf. In general we are interested in  $F: \mathcal{E} \rightarrow \mathcal{C}$ , so we need to replace the hom-set in  $\mathbf{Set}$  by a power. Thus the right Kan extension is given by the following end (if it exists):

$$(\mathbf{Ran}_P F)b \ddot{\circ} \int_e \mathcal{B}(b, Pe) \pitchfork F e$$

The proof essentially writes itself: at every step there is only one thing to do. We start with the adjunction:

$$[\mathcal{E}, \mathcal{C}](G \circ P, F) \ddot{\circ} [\mathcal{B}, \mathcal{C}](G, \mathbf{Ran}_P F)$$

and rewrite it using ends:

$$\int_e \mathcal{C}(G(Pe), Fe) \ddot{\circ} \int_b \mathcal{C}(Gb, (\mathbf{Ran}_P F)b)$$

We plug in our formula to get:

$$\ddot{\circ} \int_b \mathcal{C}\left(Gb, \int_e \mathcal{B}(b, Pe) \pitchfork F e\right)$$

We use the continuity of the hom-functor to pull the end to the front:

$$\ddot{\circ} \int_b \int_e \mathcal{C}\left(Gb, \mathcal{B}(b, Pe) \pitchfork F e\right)$$

Then we use the definition of power:

$$\int_b \int_e \mathbf{Set}\left(\mathcal{B}(b, Pe), \mathcal{C}(Gb, Fe)\right)$$

and apply the Yoneda lemma:

$$\int_e \mathcal{C}(G(Pe), Fe)$$

This result is indeed the left-hand side of the adjunction.

If  $F$  is a co-presheaf, the power in the formula for the right Kan extension decays to the exponential/hom-set:

$$(\mathbf{Ran}_P F)b \ddot{\circ} \int_e \mathbf{Set}\left(\mathcal{B}(b, Pe), Fe\right)$$

Notice also that, if  $P$  has a left adjoint, let's call it  $P^{*1}$ , that is:

$$\mathcal{B}(b, Pe) \ddot{\circ} \mathcal{E}(P^{*1}b, e)$$

we could use the ninja Yoneda lemma to evaluate the end in:

$$(\mathbf{Ran}_P F)b \ddot{\circ} \int_e \mathbf{Set}\left(\mathcal{B}(b, Pe), Fe\right) \ddot{\circ} \int_e \mathbf{Set}(\mathcal{E}(P^{*1}b, e), Fe) \ddot{\circ} F(P^{*1}b)$$

to get:

$$\mathbf{Ran}_P F \ddot{\circ} F \circ P^{*1}$$

Since the adjunction is a weakening of the idea of an inverse, this result is in agreement with the intuition that the Kan extension “inverts”  $P$  and follows it with  $F$ .

## Right Kan extension in Haskell

The end formula for the right Kan extension can be immediately translated to Haskell:

```
newtype Ran p f b = Ran (forall e. (b -> p e) -> f e)
```

The counit  $\varepsilon$  of the right Kan extension is a natural transformation from the composition of  $(\text{Ran } p \text{ } f)$  after  $p$  to  $f$ :

```
counit :: forall p f e'. Ran p f (p e') -> f e'
```

To implement it, we have to produce the value of the type  $(f \text{ } c')$  given a polymorphic function

```
h :: forall e. (p e' -> p e) -> f e
```

We do it by instantiating this function at the type  $e = e'$  and calling it with the identity on  $(p \text{ } e')$ :

```
counit (Ran h) = h id
```

The computational power of the right Kan extension comes from its universal property. We start with a functor  $G$  equipped with a natural transformation:

$$\alpha: G \circ P \rightarrow F$$

This can be expressed as a Haskell data type:

```
type Alpha p f g = forall e. g (p e) -> f e
```

Universality tells us that there is a unique natural transformation  $\sigma$  from this functor to the corresponding right Kan extension:

```
sigma :: Functor g => Alpha p f g -> forall b. (g b -> Ran p f b)
sigma alpha gb = Ran (\b_pe -> alpha $ fmap b_pe gb)
```

that factorizes  $\alpha$  through the counit  $\varepsilon$ :

$$\alpha = \varepsilon \cdot (\sigma \circ P)$$

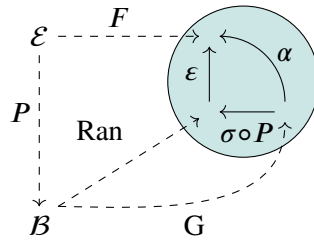
Recall that whiskering means that we instantiate `sigma` at  $b = p \text{ } c$ . It is then followed by `counit`. The factorization of  $\alpha$  is thus given by:

```
factorize' :: Functor g => Alpha p f g -> forall e. g (p e) -> f e
factorize' alpha gpc = alpha gpc
```

The components of the three natural transformations are all morphism in the target category



$\mathcal{C}$ :



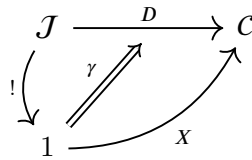
**Exercise 19.3.1.** Implement the **Functor** instance for **Ran**.

### Limits as Kan extensions

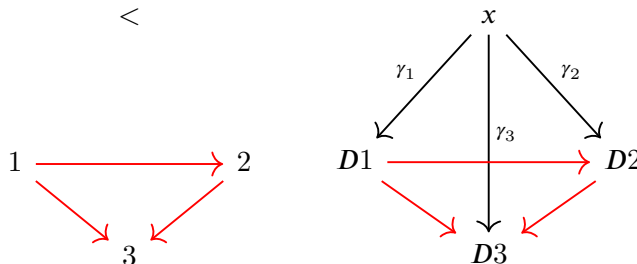
We have previously defined limits as universal cones. The definition of a cone involves two categories: the indexing category  $\mathcal{J}$  that defines the shape of the diagram, and the target category  $\mathcal{C}$ . A diagram is a functor  $D: \mathcal{J} \rightarrow \mathcal{C}$  that embeds the shape in the target category.

We can introduce a third category  $1$ : the terminal category that contains a single object and a single identity arrow. We can then use a functor  $X$  from that category to pick the apex  $x$  of the cone in  $\mathcal{C}$ . Since  $1$  is terminal in  $\mathbf{Cat}$ , we also have the unique functor from  $\mathcal{J}$  to it, which we'll call  $!$ . It maps all objects to the only object of  $1$ , and all arrows to its identity arrow.

It turns out that the limit of  $D$  is the right Kan extension of the diagram  $D$  along  $!$ . First, let's observe that the composition  $X \circ !$  maps the shape  $\mathcal{J}$  to a single object  $x$ , so it does the job of the constant functor  $\Delta_x$ . It thus picks the apex of a cone. A cone with the apex  $x$  is a natural transformation  $\gamma$ :

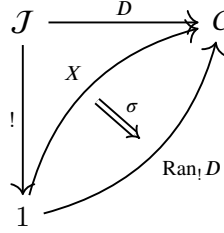


The following diagrams illustrate this. On the left we have two categories:  $1$  with a single object  $<$ , and  $\mathcal{J}$  with three objects forming the shape for the diagram. On the right we have the image of  $D$  and the image of  $X \circ !$ , which is the apex  $x$ . The three components of  $\gamma$  connect the apex  $x$  to the diagram. Naturality of  $\gamma$  ensures that the triangles that form the sides of the cone commute.



The right Kan extension  $(\text{Ran}_! D, \varepsilon)$  is the universal such cone.  $\text{Ran}_! D$  is a functor from  $\mathbf{1}$  to  $\mathbf{C}$ , so it selects an object in  $\mathbf{C}$ . This is indeed the apex,  $\text{Lim} D$ , of the universal cone.

Universality means that for any pair  $(X, \gamma)$  there is a natural transformation  $\sigma: X \rightarrow \text{Ran}_! D$



which factorizes  $\gamma$ .

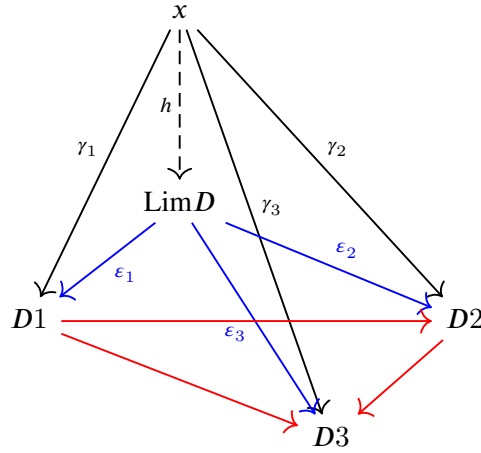
The transformation  $\sigma$  has only one component  $\sigma_<$ , which is an arrow  $h$  connecting the apex  $x$  to the apex  $\text{Lim} D$ . The factorization:

$$\gamma = \varepsilon \cdot (\sigma \circ !)$$

reads, in components:

$$\gamma_i = \varepsilon_i \circ h$$

It makes the triangles in the following diagram commute:



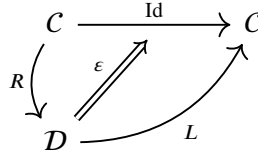
This universal condition makes  $\text{Lim} D$  the limit of the diagram  $D$ .

### Left adjoint as a right Kan extension

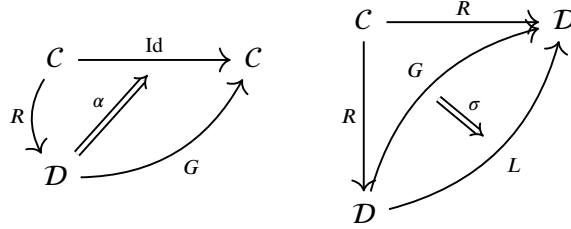
We started by describing Kan extensions as a generalization of adjunctions. Looking at the pictures, if we have a pair of adjoint functors  $L \dashv R$ , we expect the left functor to be the right Kan extension of the identity along the right functor.

$$L \dashv \text{Ran}_R \text{Id}$$

Indeed, the counit of the Kan extension is the same as the counit of the adjunction:



We also have to show universality:



To do that, we have at our disposal the unit of the adjunction:

$$\eta: \text{Id} \rightarrow R \circ L$$

We construct  $\sigma$  as the composite:

$$G \rightarrow G \circ \text{Id} \xrightarrow{G \circ \eta} G \circ R \circ L \xrightarrow{\alpha \circ L} \text{Id} \circ L \rightarrow L$$

In other words, we define  $\sigma$  as:

$$\sigma = (\alpha \circ L) \cdot (G \circ \eta)$$

We could ask the converse question: if  $\text{Ran}_R \text{Id}$  exists, is it automatically the left adjoint to  $R$ ? It turns out that we need one more condition for that: The Kan extension must be preserved by  $R$ , that is:

$$R \circ \text{Ran}_R \text{Id} \simeq \text{Ran}_R R$$

We'll see in the next section that the right-hand side of this condition defines the codensity monad.

**Exercise 19.3.2.** Show the factorization condition:

$$\alpha = \varepsilon \cdot (\sigma \circ R)$$

for the  $\sigma$  that was defined above. Hint: draw the corresponding string diagrams and use the triangle identity for the adjunction.

### Codensity monad

We've seen that every adjunction  $L \dashv F$  produces a monad  $F \circ L$ . It turns out that this monad is the right Kan extension of  $F$  along  $F$ . Interestingly, even if  $F$  doesn't have a left adjoint, the Kan extension  $\text{Ran}_F F$  is still a monad called the *codensity monad* denoted by  $T^F$ :

$$T^F = \text{Ran}_F F$$

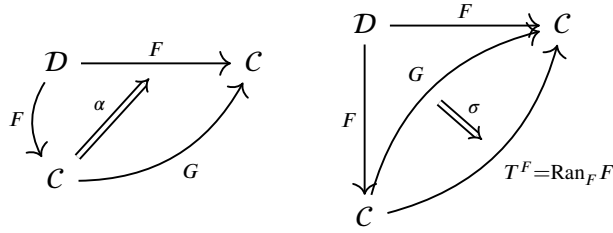
If we were serious about the interpretation of Kan extensions as fractions, a codensity monad would correspond to  $F/F$ . A functor for which this “fraction” is equal to identity is called *codense*.

To see that  $T^F$  is a monad, we have to define monadic unit and multiplication:

$$\eta: \text{Id} \rightarrow T^F$$

$$\mu: T^F \circ T^F \rightarrow T^F$$

Both follow from universality. For every  $(G, \alpha)$  we have a  $\sigma$ :



To get the unit, we replace  $G$  with the identity functor  $\text{Id}$  and  $\alpha$  with the identity natural transformation.

To get multiplication, we replace  $G$  with  $T^F \circ T^F$  and note that we have at our disposal the counit of the Kan extension:

$$\varepsilon: T^F \circ F \rightarrow F$$

We can choose  $\alpha$  of the type:

$$\alpha: T^F \circ T^F \circ F \rightarrow F$$

to be the composite:

$$T^F \circ T^F \circ F \xrightarrow{id \circ \varepsilon} T^F \circ F \xrightarrow{\varepsilon} F$$

or, using the whiskering notation:

$$\alpha = \varepsilon \cdot (T^F \circ \varepsilon)$$

The corresponding  $\sigma$  gives us the monadic multiplication.

Let's now show that, if we start from an adjunction:

$$D(Lc, d) \cong C(c, Fd)$$

the codensity monad is given by  $F \circ L$ . Let's start with the mapping from an arbitrary functor  $G$  to  $F \circ L$ :

$$[C, C](G, F \circ L) \cong \int_c C(Gc, F(Lc))$$

We can rewrite it using the Yoneda lemma:

$$\cong \int_c \int_d \text{Set}(\mathcal{D}(Lc, d), C(Gc, Fd))$$

Here, taking the end over  $d$  has the effect of replacing  $d$  with  $Lc$ . We can now use the adjunction:

$$\cong \int_c \int_d \text{Set}(C(c, Fd), C(Gc, Fd))$$

and perform the ninja-Yoneda integration over  $c$  to get:

$$\cong \int_d C(G(Fd), Fd)$$

This, in turn, defines a set of natural transformations:

$$\cong [D, C](G \circ F, F)$$

The pre-composition by  $F$  is the left adjoint to the right Kan extension:

$$[D, C](G \circ F, F) \cong [C, C](G, \text{Ran}_F F)$$

Since  $G$  was arbitrary, we conclude that  $F \circ L$  is indeed the codensity monad  $\text{Ran}_F F$ .

Since every monad can be derived from some adjunction, it follows that *every monad is a codensity monad* for some adjunction.

## Codensity monad in Haskell

Translating the codensity monad to Haskell, we get:

```
newtype Codensity f c = C (forall d. (c -> f d) -> f d)
```

together with the extractor:

```
runCodensity :: Codensity f c -> forall d. (c -> f d) -> f d
runCodensity (C h) = h
```

This looks very similar to a continuation monad. In fact it turns into continuation monad if we choose **f** to be the identity functor. We can think of **Codensity** as taking a callback  $(c \rightarrow f\ d)$  and calling it when the result of type **c** becomes available.

Here's the monad instance:

```
instance Monad (Codensity f) where
  return x = C (\k -> k x)
  m >>= kl = C (\k -> runCodensity m (\a -> runCodensity (kl a) k))
```

Again, this is almost exactly like the continuation monad:

```
instance Monad (Cont r) where
  return x = Cont (\k -> k x)
  m >>= kl = Cont (\k -> runCont m (\a -> runCont (kl a) k))
```

This is why **Codensity** has the performance advantages of the continuation passing style. Since it nests continuations “inside out,” it can be used to optimize long chains of binds that are produced by **do** blocks.

This property is especially important when working with free monads, which accumulate binds in tree-like structures. When we finally interpret a free monad, these accumulated binds require traversing the ever-growing tree. For every bind, the traversal starts at the root. Compare this with the earlier example of reversing a list, which was optimized by accumulating functions in a FIFO queue. The codensity monad offers the same kind of performance improvement.

**Exercise 19.3.3.** Implement the **Functor** instance for **Codensity**.

**Exercise 19.3.4.** Implement the **Applicative** instance for **Codensity**.

## 19.4 Left Kan extension

Just like the right Kan extension was defined as a *right* adjoint to functor pre-composition, the left Kan extension is defined as the *left* adjoint to functor pre-composition:

$$[B, C](\text{Lan}_P F, G) \cong [\mathcal{E}, C](F, G \circ P)$$

(There are also adjoints to *post*-composition: they are called Kan lifts.)

Alternatively,  $\text{Lan}_P F$  can be defined as a functor equipped with a natural transformation called the unit:

$$\eta: F \rightarrow \text{Lan}_P F \circ P$$

Notice that the direction of the unit of the left Kan extension is opposite of that of the counit of the right Kan extension.

The pair  $(\text{Lan}_P F, \eta)$  is universal, meaning that, for any other pair  $(G, \alpha)$ , where

$$\alpha: F \rightarrow G \circ P$$

there is a unique mapping  $\sigma: \text{Lan}_P F \rightarrow G$

that factorizes  $\alpha$ :

$$\alpha = (\sigma \circ P) \cdot \eta$$

Again, the direction of  $\sigma$  is reversed with respect to the right Kan extension.

Using string diagrams, we can picture the universal condition as:

This establishes the one-to-one mapping between two sets of natural transformations. For every  $\alpha$  on the left there is a unique  $\sigma$  on the right:

$$[\mathcal{E}, \mathcal{C}](F, G \circ P) \cong [\mathcal{B}, \mathcal{C}](\text{Lan}_P F, G)$$

### Left Kan extension as a coend

Recall the ninja co-Yoneda lemma. For every co-presheaf  $F$ , we have:

$$Fb \cong \int^c B(c, b) \quad Fc$$

The left Kan extension generalizes this formula to:

$$(\text{Lan}_P F)b \cong \int^e B(Pe, b) \quad Fe$$

For a general functor  $F: \mathcal{E} \rightarrow \mathcal{C}$ , we replace the product with the copower:

$$(\text{Lan}_P F) b \ddot{\circ} \int^e B(Pe, b) \cdot Fe$$

As long as the coend in question exists, we can prove this formula by considering a mapping out to some functor  $G$ . We represent the set of natural transformations as the end over  $b$ :

$$\int_b \mathcal{C} \left( \int^e B(Pe, b) \cdot Fe, Gb \right)$$

Using cocontinuity, we pull out the coend, turning it into an end:

$$\int_b \int_e \mathcal{C} \left( B(Pe, b) \cdot Fe, Gb \right)$$

and we plug in the definition of co-power:

$$\int_b \int_e \mathcal{C} \left( B(Pe, b), \mathcal{C}(Fe, Gb) \right)$$

We can now use the Yoneda lemma to integrate over  $b$ , replacing  $b$  with  $Pe$ :

$$\int_e \mathcal{C}(Fe, G(Pe)) \ddot{\circ} [\mathcal{E}, \mathcal{C}](F, G \circ P)$$

This indeed gives us the left adjoint to functor pre-composition:

$$[\mathcal{B}, \mathcal{C}](\text{Lan}_P F, G) \ddot{\circ} [\mathcal{E}, \mathcal{C}](F, G \circ P)$$

In  $\text{Set}$ , the co-power decays to a cartesian product, so we get a simpler formula:

$$(\text{Lan}_P F) b \ddot{\circ} \int^e B(Pe, b) \cdot Fe$$

Notice that, if the functor  $P$  has a right adjoint, let's call it  $P^{*1}$ :

$$B(Pe, b) \ddot{\circ} \mathcal{E}(e, P^{*1}b)$$

we can use the ninja co-Yoneda lemma to get:

$$(\text{Lan}_P F) b \ddot{\circ} (F \circ P^{*1})b$$

thus reinforcing the intuition that a Kan extension inverts  $P$  and follows it with  $F$ .

### Left Kan extension in Haskell

When translating the formula for the left Kan extension to Haskell, we replace the coend with the existential type. Symbolically:



```
type Lan p f b = exists e. (p e -> b, f e)
```

This is how we would encode the existential using GADT's:

```
data Lan p f b where
  Lan :: (p e -> b) -> f e -> Lan p f b
```

The unit of the left Kan extension is a natural transformation from the functor  $f$  to the composition of  $(\text{Lan } p \ f)$  after  $p$ :

```
unit :: forall p f e'.
  f e' -> Lan p f (p e')
```

To implement the unit, we start with a value of the type  $(f \ e')$ . We have to come up with some type  $e$ , a function  $p \ e \rightarrow p \ e'$ , and a value of the type  $(f \ e)$ . The obvious choice is to pick  $e = e'$  and use the identity at  $(p \ e')$ :

```
unit fe = Lan id fe
```

The computational power of the left Kan extension lies in its universal property. Given a functor  $g$  and a natural transformation from  $f$  to the composition of  $g$  after  $p$ :

```
type Alpha p f g = forall e. f e -> g (p e)
```

there is a unique natural transformation  $\sigma$  from the corresponding left Kan extension to  $g$ :

```
sigma :: Functor g => Alpha p f g -> forall b. (Lan p f b -> g b)
sigma alpha (Lan pe_b fe) = fmap pe_b (alpha fe)
```

that factorizes  $\alpha$  through the unit  $\eta$ :

$$\alpha = (\sigma \circ P) \cdot \eta$$

The whiskering of  $\sigma$  means instantiating it at  $b = p \ e$ , so the factorization of  $\alpha$  is implemented as:

```
factorize :: Functor g => Alpha p f g -> f e -> g (p e)
factorize alpha = sigma alpha . unit
```

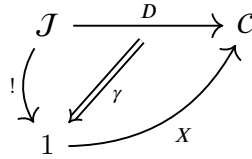
**Exercise 19.4.1.** Implement the `Functor` instance for `Lan`.

## Colimits as Kan extensions

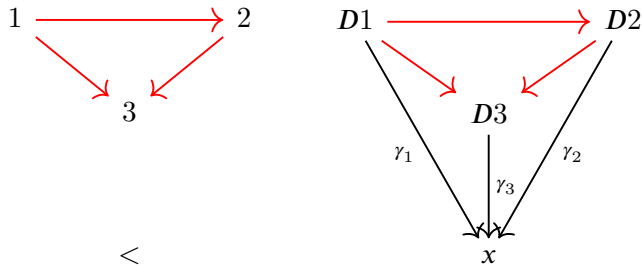
Just like limits can be defined as right Kan extensions, colimits can be defined as left Kan extension.

We start with an indexing category  $\mathcal{J}$  that defines the shape of the colimit. The functor  $D$  selects this shape in the target category  $\mathcal{C}$ . The apex of the cocone is selected by a functor from

the terminal single-object category  $1$ . The natural transformation defines a cocone from  $D$  to  $X$ :



Here's an illustrative example of a simple shape consisting of three objects and three morphisms (not counting identities). The object  $x$  is the image of the single object  $<$  under the functor  $X$ :



The colimit is the universal cocone, which is given by the left Kan extension of  $D$  along the functor  $!$ :

$$\text{Colim } D = \text{Lan}_! D$$

### Right adjoint as a left Kan extension

We've seen that, when we have an adjunction  $L \vdash R$ , the left adjoint is related to the right Kan extension. Dually, if the right adjoint exists, it can be expressed as the left Kan extension of the identity functor:

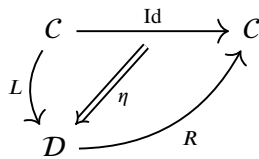
$$R \circ \text{Lan}_L \text{Id}$$

Conversely, if the left Kan extension of identity exists and it preserves the functor  $L$ :

$$L \circ \text{Lan}_L \text{Id} \circ \text{Lan}_L L$$

than  $\text{Lan}_L \text{Id}$  is the right adjoint of  $L$ . The left Kan extension of  $L$  along itself is called the density comonad.

The unit of Kan extension is the same as the unit of the adjunction:



The proof of universality is analogous to the one for the right Kan extension.

**Exercise 19.4.2.** Implement the **Comonad** instance for the density comonad:

```
data Density f c where
  D :: (f d -> c) -> f d -> Density f c
```

### Day convolution as a Kan extension

We've seen Day convolution defined as a tensor product in the category of co-presheaves over a monoidal category  $C$ :

$$(F \star G)c = \int^{a,b} C(a \otimes b, c) \cdot Fa \cdot Gb$$

Co-presheaves, that is functors in  $[C, \text{Set}]$ , can also be tensored using an *external tensor product*. An external product of two objects, instead of producing an object in the same category, picks an object in a different category. In our case, the product of two functors ends up in the category of co-presheaves on  $C \times C$ :

$$\bar{\otimes}: [C, \text{Set}] \times [C, \text{Set}] \rightarrow [C \times C, \text{Set}]$$

The product of two co-presheaves acting on a pair of objects in  $C \times C$ , is given by the formula:

$$(F \bar{\otimes} G)\langle a, b \rangle = Fa \cdot Gb$$

It turns out that Day convolution of two functors can be expressed as a left Kan extension of their external product along the tensor product in  $C$ :

$$F \star G \doteq \text{Lan}_{\otimes}(F \bar{\otimes} G)$$

Pictorially:

$$\begin{array}{ccc} C \times C & \xrightarrow{F \bar{\otimes} G} & \text{Set} \\ \otimes \downarrow & \nearrow \text{Lan}_{\otimes}(F \bar{\otimes} G) & \\ C & & \end{array}$$

Indeed, using the coend formula for the left Kan extension we get:

$$(\text{Lan}_{\otimes}(F \bar{\otimes} G))c \doteq \int^{a,b} C(a \otimes b, c) \cdot (F \bar{\otimes} G)\langle a, b \rangle$$

$$\doteq \int^{a,b} C(a \otimes b, c) \cdot (Fa \cdot Gb)$$

Since the two functors are Set-valued, the co-power decays into the cartesian product:

$$\doteq \int^{a,b} C(a \otimes b, c) \cdot Fa \cdot Gb$$

and reproduces the formula for Day convolution.

## 19.5 Useful Formulas

- Co-power:

$$C(A \cdot b, c) \ddot{\circ} \text{Set}(A, C(b, c))$$

- Power:

$$C(b, A \pitchfork c) \ddot{\circ} \text{Set}(A, C(b, c))$$

- Right Kan extension:

$$[\mathcal{E}, C](G \circ P, F) \ddot{\circ} [\mathcal{B}, C](G, \text{Ran}_P F)$$

$$(\text{Ran}_P F) b \ddot{\circ} \int_e \mathcal{B}(b, Pe) \pitchfork Fe$$

- Left Kan extension:

$$[\mathcal{B}, C](\text{Lan}_P F, G) \ddot{\circ} [\mathcal{E}, C](F, G \circ P)$$

$$(\text{Lan}_P F) b \ddot{\circ} \int^e \mathcal{B}(Pe, b) \cdot Fe$$

- Right Kan extension in Set:

$$(\text{Ran}_P F) b \ddot{\circ} \int_e \text{Set}(\mathcal{B}(b, Pe), Fe)$$

- Left Kan extension in Set:

$$(\text{Lan}_P F) b \ddot{\circ} \int^e \mathcal{B}(Pe, b) \pitchfork Fe$$

## Chapter 20

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# Enrichment

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Lao Tzu says: "To know you have enough is to be rich."

### 20.1 Enriched Categories

This might come as a surprise, but the Haskell definition of a **Functor** cannot be fully explained without some background in enriched categories. In this chapter I'll try to show that, at least conceptually, enrichment is not a huge step from the ordinary category theory.

Additional motivation for studying enriched categories comes from the fact that a lot of literature, notably the website nLab, contains descriptions of concepts in most general terms, which often means in terms of enriched categories. Most of the usual constructs can be translated just by changing the vocabulary, replacing hom-sets with hom-objects and `Set` with a monoidal category  $\mathcal{V}$ .

Some enriched concepts, like weighted limits and colimits, turn out to be powerful on their own, to the extent that one might be tempted to replace Mac Lane's adage, "All concepts are Kan extensions" with "All concepts are weighted (co-)limits."

#### Set-theoretical foundations

Category theory is very frugal at its foundations. But it (reluctantly) draws upon set theory. In particular the idea of the hom-set, defined as a set of arrows between two objects, drags in set theory as the prerequisite to category theory. Granted, arrows form a set only in a *locally small* category, but that's a small consolation, considering that dealing with things that are too big to be sets requires even more theory.

It would be nice if category theory were able to bootstrap itself, for instance by replacing hom-sets with more general objects. That's exactly the idea behind enriched categories. These hom-object, though, have to come from some other category that has hom-sets and, at some

point we have to fall back on set-theoretical foundations. Nevertheless, having the option of replacing structureless hom-sets with something different expands our ability to model more complex systems.

The main property of sets is that, unlike objects, they are not atomic: they have *elements*. In category theory we sometimes talk about *generalized elements*, which are simply arrows pointing at an object; or *global elements*, which are arrows from the terminal object (or, sometimes, from the monoidal unit  $I$ ). But most importantly, sets define *equality of elements*.

Virtually all that we've learned about categories can be translated into the realm of enriched categories. However, a lot of categorical reasoning involves commuting diagrams, which express the equality of arrows. In the enriched setting we don't have arrows going between objects, so all these constructions will have to be modified.

## Hom-Objects

At first sight, replacing hom-sets with objects might seem like a step backward. After all, sets have elements, while objects are formless blobs. However, the richness of hom-objects is encoded in the morphisms of the category they come from. Conceptually, the fact that sets are structure-less means that there are lots of morphisms (functions) between them. Having fewer morphisms often means having more structure.

The guiding principle in defining enriched categories is that we should be able to recover ordinary category theory as a special case. After all hom-sets *are* objects in the category  $\mathbf{Set}$ . In fact we've worked really hard to express properties of sets in terms of functions rather than elements.

Having said that, the very definition of a category in terms of composition and identity involves morphisms that are *elements* of hom-sets. So let's first re-formulate the primitives of a category without recourse to elements.

Composition of arrows can be defined in bulk as a function between hom-sets:

$$\circ: C(b, c) \times C(a, b) \rightarrow C(a, c)$$

Instead of talking about the identity arrow, we can use a function from the singleton set:

$$j_a: 1 \rightarrow C(a, a)$$

This shows us that, if we want to replace hom-sets  $C(a, b)$  with objects from some category  $\mathcal{V}$ , we have to be able to *multiply* these objects to define composition, and we need some kind of *unit object* to define identity. We could ask for  $\mathcal{V}$  to be cartesian but, in fact, a monoidal category works just fine. As we'll see, the unit and associativity laws of a monoidal category translate directly to identity and associativity laws for composition.

## Enriched Categories

Let  $\mathcal{V}$  be a monoidal category with a tensor product  $\otimes$ , a unit object  $I$ , and the associator and two unitors (as well as their inverses):

$$\alpha: (a \otimes b) \otimes c \rightarrow a \otimes (b \otimes c)$$

$$\lambda: I \otimes a \rightarrow a$$

$$\rho: a \otimes I \rightarrow a$$

A category  $C$  enriched over  $\mathcal{V}$  has objects and, for any pair of objects  $a$  and  $b$ , a hom-object  $C(a, b)$ . This hom-object is an object in  $\mathcal{V}$ . Composition is defined using arrows in  $\mathcal{V}$ :

$$\circ: C(b, c) \otimes C(a, b) \rightarrow C(a, c)$$

Identity is defined by the arrow:

$$j_a: I \rightarrow C(a, a)$$

Associativity is expressed in terms of the associators in  $\mathcal{V}$ :

$$\begin{array}{ccc} (C(c, d) \otimes C(b, c)) \otimes C(a, b) & \xrightarrow{\alpha} & C(c, d) \otimes (C(b, c) \otimes C(a, b)) \\ \downarrow \circ \otimes id & & \downarrow id \otimes \circ \\ C(b, d) \otimes C(a, b) & \xrightarrow{\circ} & C(c, d) \otimes C(a, c) \\ & \searrow \circ & \swarrow \circ \\ & C(a, d) & \end{array}$$

Unit laws are expressed in terms of unitors in  $\mathcal{V}$ :

$$\begin{array}{ccc} I \otimes C(a, b) & \xrightarrow{\lambda} & C(a, b) \\ j_b \otimes id \downarrow & \nearrow \circ & \\ C(b, b) \otimes C(a, b) & & \end{array} \quad \begin{array}{ccc} C(a, b) \otimes I & \xrightarrow{\rho} & C(a, b) \\ id \otimes j_a \downarrow & \nearrow \circ & \\ C(a, b) \otimes C(a, a) & & \end{array}$$

Notice that these are all diagrams in  $\mathcal{V}$ , where we do have arrows forming hom-sets. We still fall back on set theory, but at a different level.

A category enriched over  $\mathcal{V}$  is also called a  $\mathcal{V}$ -category. In what follows we'll assume that the enriching category is *symmetric* monoidal, so we can form opposite and product  $\mathcal{V}$ -categories.

The category  $C^{op}$  opposite to a  $\mathcal{V}$ -category  $C$  is obtained by reversing hom-objects, that is:

$$C^{op}(a, b) = C(b, a)$$

Composition in the opposite category involves reversing the order of hom-objects, so it only works if the tensor product is symmetric.

We can also define a tensor product of  $\mathcal{V}$ -categories; again, provided that  $\mathcal{V}$  is symmetric. The product of two  $\mathcal{V}$ -categories  $C \otimes D$  has, as objects, pairs of objects, one from each category. The hom-objects between such pairs are defined to be tensor products:

$$(C \otimes D)(\langle c, d \rangle, \langle c'', d'' \rangle) = C(c, c'') \otimes D(d, d'')$$

We need symmetry of the tensor product in order to define composition. Indeed, we need to swap the two hom-objects in the middle, before we can apply the two available compositions:

$$\circ: \left( C(c'', c'''), D(d'', d''') \right) \otimes \left( C(c, c'') \otimes D(d, d'') \right) \rightarrow C(c, c''') \otimes D(d, d''')$$

The identity arrow is the tensor product of two identities:

$$I_C \otimes I_D \xrightarrow{j_c \otimes j_d} C(c, c) \otimes D(d, d)$$

**Exercise 20.1.1.** Define composition and unit in the  $\mathcal{V}$ -category  $C^{op}$ .

**Exercise 20.1.2.** Show that every  $\mathcal{V}$ -category  $C$  has an underlying ordinary category  $C_0$  whose objects are the same, but whose hom-sets are given by (monoidal global) elements of the hom-objects, that is elements of  $\mathcal{V}(I, C(a, b))$ .

## Examples

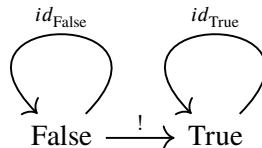
Seen from this new perspective, the ordinary categories we've studied so far were trivially enriched over the monoidal category  $(\text{Set}, \times, 1)$ , with the cartesian product as the tensor product, and the singleton set as the unit.

Interestingly, a 2-category can be seen as enriched over  $\text{Cat}$ . Indeed, 1-cells in a 2-category are themselves objects in another category. The 2-cells are just arrows in that category. In particular the 2-category  $\text{Cat}$  of small categories is enriched in itself. Its hom-objects are functor categories, which are objects in  $\text{Cat}$ .

## Preorders

Enrichment doesn't always mean adding more stuff. Sometimes it looks more like impoverishment, as is the case of enriching over a walking arrow category.

This category has just two objects which, for the purpose of this construction, we'll call False and True. There is a single arrow from False to True (not counting identity arrows), which makes False the initial object and True the terminal one.





To make this into a monoidal category, we define the tensor product, such that:

$$\text{True} \otimes \text{True} = \text{True}$$

and all other combinations produce False. True is the monoidal unit, since:

$$\text{True} \otimes x = x$$

A category enriched over the monoidal walking arrow is called a *preorder*. A hom-object  $C(a, b)$  between any two objects can be either False or True. We interpret True to mean that  $a$  precedes  $b$  in the preorder, which we write as  $a \leq b$ . False means that the two objects are unrelated.

The important property of composition, as defined by:

$$C(b, c) \otimes C(a, b) \rightarrow C(a, c)$$

is that, if both hom-objects on the left are True, then the right hand side must also be True. (It can't be False, because there is no arrow going from True to False.) In the preorder interpretation, it means that  $\leq$  is transitive:

$$b \leq c \text{ \& \& } a \leq b \implies a \leq c$$

By the same reasoning, the existence of the identity arrow:

$$j_a: \text{True} \rightarrow C(a, a)$$

means that  $C(a, a)$  is always True. In the preorder interpretation, this means that  $\leq$  is reflexive,  $a \leq a$ .

Notice that a preorder doesn't preclude cycles and, in particular, it's possible to have  $a \leq b$  and  $b \leq a$  without  $a$  being equal to  $b$ .

A preorder may also be defined without resorting to enrichment as a *thin category*—a category in which there is at most one arrow between any two objects.

## Self-enrichment

Any cartesian closed category  $\mathcal{V}$  can be viewed as self-enriched. This is because every external hom-set  $C(a, b)$  can be replaced by the internal hom  $b^a$  (the object of arrows).

In fact every *monoidal closed* category  $\mathcal{V}$  is self-enriched. Recall that, in a monoidal closed category we have the hom-functor adjunction:

$$\mathcal{V}(a \otimes b, c) \cong \mathcal{V}(a, [b, c])$$

The counit of this adjunction works as the evaluation morphism:

$$\epsilon_{bc}: [b, c] \otimes b \rightarrow c$$

To define composition in this self-enriched category, we need an arrow:

$$\circ: [b, c] \otimes [a, b] \rightarrow [a, c]$$

The trick is to consider the whole hom-set at once and show that we can always pick a canonical element in it. We start with the set:

$$\mathcal{V}([b, c] \otimes [a, b], [a, c])$$

We can use the adjunction to rewrite it as:

$$\mathcal{V}([b, c] \otimes [a, b]) \otimes a, c)$$

All we have to do now is to pick an element of this hom-set. We do it by constructing the following composite:

$$([b, c] \otimes [a, b]) \otimes a \xrightarrow{\alpha} [b, c] \otimes ([a, b] \otimes a) \xrightarrow{id \otimes \epsilon_{ab}} [b, c] \otimes b \xrightarrow{\epsilon_{bc}} c$$

We used the associator and the counit of the adjunction.

We also need an arrow that defines the identity:

$$j_a: I \rightarrow [a, a]$$

Again, we can pick it as a member of the hom-set  $\mathcal{V}(I, [a, a])$ . We use the adjunction:

$$\mathcal{V}(I, [a, a]) \circ \mathcal{V}(I \otimes a, a)$$

We know that this hom-set contains the left unitor  $\lambda$ , so we can use it to define  $j_a$ .

## 20.2 $\mathcal{V}$ -Functors

An ordinary functor maps objects to objects and arrows to arrows. Similarly, an enriched functor  $F$  maps object to objects, but instead of acting on individual arrows, it must map hom-objects to hom-objects. This is only possible if the hom-objects in the source category  $\mathcal{C}$  belong to the same category as the hom-objects in the target category  $\mathcal{D}$ . In other words, both categories must be enriched over the same  $\mathcal{V}$ . The action of  $F$  on hom-objects is then defined using arrows in  $\mathcal{V}$ :

$$F_{ab}: \mathcal{C}(a, b) \rightarrow \mathcal{D}(Fa, Fb)$$

For clarity we specify the pair of objects in the subscript of  $F$ .

A functor must preserve composition and identity. These can be expressed as commuting diagrams in  $\mathcal{V}$ :

$$\begin{array}{ccc} C(b, c) \otimes C(a, b) & \xrightarrow{\circ} & C(a, c) \\ \downarrow F_{bc} \otimes F_{ab} & & \downarrow F_{ac} \\ D(Fb, Fc) \otimes D(Fa, Fb) & \xrightarrow{\circ} & D(Fa, Fb) \end{array} \quad \begin{array}{ccc} & I & \\ j_a \swarrow & & \searrow j_{Fa} \\ C(a, a) & \xrightarrow{F_{aa}} & D(Fa, Fa) \end{array}$$

Notice that I used the same symbol  $\circ$  for two different compositions and the same  $j$  for two different identity mappings. Their meaning can be derived from the context.

As before, all diagrams are in the category  $\mathcal{V}$ .

### The Hom-functor

The hom-functor in a category that is enriched over a monoidal *closed* category  $\mathcal{V}$  is an enriched functor:

$$\text{Hom}_C: C^{op} \otimes C \rightarrow \mathcal{V}$$

Here, in order to define an enriched functor, we have to treat  $\mathcal{V}$  as self-enriched.

It's clear how this functor works on (pairs of) objects:

$$\text{Hom}_C\langle a, b \rangle = C(a, b)$$

To define an enriched functor, we have to define the action of Hom on hom-objects. Here, the source category is  $C^{op} \otimes C$  and the target category is  $\mathcal{V}$ , both enriched over  $\mathcal{V}$ . Let's consider a hom-object from  $\langle a, a^\circ \rangle$  to  $\langle b, b^\circ \rangle$ . The action of the hom-functor on this hom-object is an arrow in  $\mathcal{V}$ :

$$\text{Hom}_{\langle a, a^\circ \rangle \langle b, b^\circ \rangle}: (C^{op} \otimes C)(\langle a, a^\circ \rangle, \langle b, b^\circ \rangle) \rightarrow \mathcal{V}(\text{Hom}\langle a, a^\circ \rangle, \text{Hom}\langle b, b^\circ \rangle)$$

By definition of the product category, the source is a tensor product of two hom-objects. The target is the internal hom in  $\mathcal{V}$ . We are thus looking for an arrow:

$$C(b, a) \otimes C(a^\circ, b^\circ) \rightarrow [C(a, a^\circ), C(b, b^\circ)]$$

We can use the currying hom-functor adjunction to unpack the internal hom:

$$(C(b, a) \otimes C(a^\circ, b^\circ)) \otimes C(a, a^\circ) \rightarrow C(b, b^\circ)$$

We can construct this arrow by rearranging the product and applying the composition twice.

In the enriched setting, the closest we can get to defining an individual morphism from  $a$  to  $b$  is to use an arrow from the unit object. We define a (monoidal-global) element of a hom-object as a morphism in  $\mathcal{V}$ :

$$f : I \rightarrow C(a, b)$$

We can define what it means to lift such an arrow using the hom-functor. For instance, keeping the first argument constant, we'd define:

$$C(c, f) : C(c, a) \rightarrow C(c, b)$$

as the composite:

$$C(c, a) \xrightarrow{\lambda^{*1}} I \otimes C(c, a) \xrightarrow{f \otimes id} C(a, b) \otimes C(c, a) \xrightarrow{\circ} C(c, b)$$

Similarly, the contravariant lifting of  $f$ :

$$C(f, c) : C(b, c) \rightarrow C(a, c)$$

can be defined as:

$$C(b, c) \xrightarrow{\rho^{*1}} C(b, c) \otimes I \xrightarrow{id \otimes f} C(b, c) \otimes C(a, b) \xrightarrow{\circ} C(a, c)$$

A lot of the familiar constructions we've studied in ordinary category theory have their enriched counterparts, with products replaced by tensor products and  $\mathbf{Set}$  replaced by  $\mathcal{V}$ .

**Exercise 20.2.1.** *What is a functor between two preorders?*

### Enriched co-presheaves

Co-presheaves, that is  $\mathbf{Set}$ -valued functors, play an important role in category theory, so it's natural to ask what their counterparts are in the enriched setting. The generalization of a co-presheaf is a  $\mathcal{V}$ -functor  $C \rightarrow \mathcal{V}$ . This is only possible if  $\mathcal{V}$  can be made into a  $\mathcal{V}$ -category, that is when it's monoidal-closed.

An enriched co-presheaf maps object of  $C$  to objects of  $\mathcal{V}$  and it maps hom-objects of  $C$  to internal homs of  $\mathcal{V}$ :

$$F_{ab} : C(a, b) \rightarrow [Fa, Fb]$$

In particular, the Hom-functor is an example of a  $\mathcal{V}$ -valued  $\mathcal{V}$ -functor:

$$\mathrm{Hom} : C^{op} \otimes C \rightarrow \mathcal{V}$$

The hom-functor is a special case of an enriched profunctor, which is defined as:

$$C^{op} \otimes D \rightarrow \mathcal{V}$$

**Exercise 20.2.2.** *The tensor product is a functor in  $\mathcal{V}$ :*

$$\otimes: \mathcal{V} \times \mathcal{V} \rightarrow \mathcal{V}$$

*Show that if  $\mathcal{V}$  is monoidal closed, the tensor product defines a  $\mathcal{V}$ -functor. Hint: Define its action on internal homs.*

### Functorial strength and enrichment

When we were discussing monads, I mentioned an important property that made them work in programming. The endofunctors that define monads must be strong, so that we can access external contexts inside monadic code.

It turns out that the way we have defined endofunctors in Haskell makes them automatically strong. The reason is that strength is related to enrichment and, as we've seen, a cartesian closed category is self-enriched. Let's start with some definitions.

Functorial strength for an endofunctor  $F$  in a monoidal category is defined as a natural transformation with components:

$$\sigma_{ab}: a \otimes F(b) \rightarrow F(a \otimes b)$$

There are some pretty obvious coherence conditions that make strength respect the properties of the tensor product. This is the associativity condition:

$$\begin{array}{ccc} (a \otimes b) \otimes F(c) & \xrightarrow{\sigma_{(a \otimes b)c}} & F((a \otimes b) \otimes c) \\ \downarrow \alpha & & \downarrow F(\alpha) \\ a \otimes (b \otimes F(c)) & \xrightarrow{a \otimes \sigma_{bc}} a \otimes F(b \otimes c) \xrightarrow{\sigma_{a(b \otimes c)}} & F(a \otimes (b \otimes c)) \end{array}$$

and this is the unit condition:

$$\begin{array}{ccc} I \otimes F(a) & \xrightarrow{\sigma_{Ia}} & F(I \otimes a) \\ & \searrow \lambda & \downarrow F(\lambda) \\ & & F(a) \end{array}$$

In a general monoidal category this is called the *left strength*, and there is a corresponding definition of the right strength. In a symmetric monoidal category, the two are equivalent.

An enriched endofunctor maps hom-objects to hom-objects:

$$F_{ab}: C(a, b) \rightarrow C(Fa, Fb)$$

If we treat a monoidal closed category  $\mathcal{V}$  as self-enriched, the hom-objects are internal homs, so an enriched endofunctor is equipped with the mapping:

$$F_{ab}: [a, b] \rightarrow [Fa, Fb]$$

Compare this with our definition of a Haskell **Functor**:

```
class Functor f where
  fmap :: (a -> b) -> (f a -> f b)
```

The function types involved in this definition,  $(a \rightarrow b)$  and  $(f\ a \rightarrow f\ b)$ , are the *internal* homs. So a Haskell **Functor** is indeed an enriched functor.

We don't normally distinguish between external and internal homs in Haskell, since their sets of elements are isomorphic. It's a simple consequence of the currying adjunction:

$$C(1\ b, c) \cong C(1, [b, c])$$

and the fact that the terminal object is the unit of the cartesian product.

It turns out that in a self-enriched category  $\mathcal{V}$  every strong endofunctor is automatically enriched. Indeed, to show that a functor  $F$  is enriched we need to define the mapping between internal homs, that is an element of the hom-set:

$$F_{ab} \in \mathcal{V}([a, b], [Fa, Fb])$$

Using the hom adjunction, this is isomorphic to:

$$\mathcal{V}([a, b] \otimes Fa, Fb)$$

We can construct this mapping by composing the strength and the counit of the adjunction (the evaluation morphism):

$$[a, b] \otimes Fa \xrightarrow{\sigma_{[a,b]a}} F([a, b] \otimes a) \xrightarrow{F\epsilon_{ab}} Fb$$

Conversely, every enriched endofunctor in  $\mathcal{V}$  is strong. To show strength, we need to define the mapping  $\sigma_{ab}$ , or equivalently (by hom-adjunction):

$$a \rightarrow [Fb, F(a \otimes b)]$$

Recall the definition of the unit of the hom adjunction, the coevaluation morphism:

$$\eta_{ab}: a \rightarrow [b, a \otimes b]$$

We construct the following composite:

$$a \xrightarrow{\eta_{ab}} [b, a \otimes b] \xrightarrow{F_{b,a \otimes b}} [Fb, F(a \otimes b)]$$

This can be translated directly to Haskell:

```
strength :: Functor f => (a, f b) -> f (a, b)
strength = uncurry (\a -> fmap (coeval a))
```

with the following definition of `coeval`:

```
coeval :: a -> (b -> (a, b))
coeval a = \b -> (a, b)
```

Since currying and evaluation are built into Haskell, we can further simplify this formula:

```
strength :: Functor f => (a, f b) -> f (a, b)
strength (a, bs) = fmap (a, ) bs
```

## 20.3 $\mathcal{V}$ -Natural Transformations

An ordinary natural transformation between two functors  $F$  and  $G$  from  $\mathcal{C}$  to  $\mathcal{D}$  is a selection of arrows from the hom-sets  $D(Fa, Ga)$ . In the enriched setting, we don't have arrows, so the next best thing we can do is to use the unit object  $I$  to do the selection. We define a component of a  $\mathcal{V}$ -natural transformation at  $a$  as an arrow:

$$\nu_a : I \rightarrow D(Fa, Ga)$$

Naturality condition is a little tricky. The standard naturality square involves the lifting of an arbitrary arrow  $f : a \rightarrow b$  and the equality of the following compositions:

$$\nu_b \circ Ff = Gf \circ \nu_a$$

Let's consider the hom-sets that are involved in this equation. We are lifting a morphism  $f \in \mathcal{C}(a, b)$ . The composites on both sides of the equation are the elements of  $D(Fa, Gb)$ .

On the left, we have the arrow  $\nu_b \circ Ff$ . The composition itself is a mapping from the product of two hom-sets:

$$D(Fb, Gb) \times D(Fa, Fb) \rightarrow D(Fa, Gb)$$

Similarly, on the right we have  $Gf \circ \nu_a$ , which is a composition:

$$D(Ga, Gb) \times D(Fa, Ga) \rightarrow D(Fa, Gb)$$

In the enriched setting we have to work with hom-objects rather than hom-sets, and the selection of the components of the natural transformation is done using the unit  $I$ . We can always produce the unit out of thin air using the inverse of the left or the right unitor.

Altogether, the naturality condition is expressed as the following commuting diagram:

$$\begin{array}{ccccc}
 & I \otimes C(a, b) & \xrightarrow{\nu_b \otimes F_{ab}} & D(Fb, Gb) \otimes D(Fa, Fb) & \\
 \nearrow \lambda^{*1} & & & & \searrow \circ \\
 C(a, b) & & & & D(Fa, Gb) \\
 \searrow \rho^{*1} & & & & \nearrow \circ \\
 & C(a, b) \otimes I & \xrightarrow{G_{ab} \otimes \nu_a} & D(Ga, Gb) \otimes D(Fa, Ga) &
 \end{array}$$

This also works for an ordinary category, where we can trace two paths through this diagram by first picking an  $f$  from  $C(a, b)$ . We can then use  $\nu_b$  and  $\nu_a$  to pick components of the natural transformation. We also lift  $f$  using either  $F$  or  $G$ . Finally, we use composition to reproduce the naturality equation.

This diagram can be further simplified if we use our earlier definition of the hom-functor's action on global elements of hom-objects. The components of a natural transformation are defined as such global elements:

$$\nu_a : I \rightarrow D(Fa, Ga)$$

There are two such liftings at our disposal:

$$D(d, \nu_b) : D(d, Fb) \rightarrow D(d, Gb)$$

and:

$$D(\nu_a, d) : D(Ga, d) \rightarrow D(Fa, d)$$

We get something that looks more like the familiar naturality square:

$$\begin{array}{ccc}
 & D(Fa, Fb) & \\
 F_{ab} \nearrow & & \searrow D(Fa, \nu_b) \\
 C(a, b) & & D(Fa, Gb) \\
 G_{ab} \searrow & & \nearrow D(\nu_a, Gb) \\
 & D(Ga, Gb) &
 \end{array}$$

$\mathcal{V}$ -natural transformations between two  $\mathcal{V}$ -functors  $F$  and  $G$  form a set we call  $\mathcal{V}\text{-nat}(F, G)$ .

Earlier we have seen that, in ordinary categories, the set of natural transformations can be written as an end:

$$[C, D](F, G) \doteq \int_a D(Fa, Ga)$$

It turns out that ends and coends can be defined for enriched profunctors, so this formula works for enriched natural transformations as well. The difference is that, instead of a *set* of natural transformations  $\mathcal{V}\text{-nat}(F, G)$ , it defines the *object* of natural transformations  $[C, D](F, G)$  in  $\mathcal{V}$ .



The definition of the (co-)end of a  $\mathcal{V}$ -profunctor  $P: C \otimes C^{op} \rightarrow \mathcal{V}$  is analogous to the definition we've seen for ordinary profunctors. For instance, the end is an object  $e$  in  $\mathcal{V}$  equipped with an extranatural transformation  $\pi: e \rightarrow P$  that is universal among such objects.

## 20.4 Yoneda Lemma

The ordinary Yoneda lemma involves a Set-valued functor  $F$  and a set of natural transformations:

$$[C, \text{Set}](C(c, *), F) \cong Fc$$

To generalize it to the enriched setting, we'll consider a  $\mathcal{V}$ -valued functor  $F$ . As before, we'll use the fact that we can treat  $\mathcal{V}$  as self-enriched, as long as it's closed, so we can talk about  $\mathcal{V}$ -valued  $\mathcal{V}$ -functors.

The weak version of the Yoneda lemma deals with a *set* of  $\mathcal{V}$ -natural transformations. Therefore, we have to turn the right hand side into a set as well. This is done by taking the (monoidal-global) elements of  $Fc$ . We get:

$$\mathcal{V}\text{-nat}(C(c, *), F) \cong \mathcal{V}(I, Fc)$$

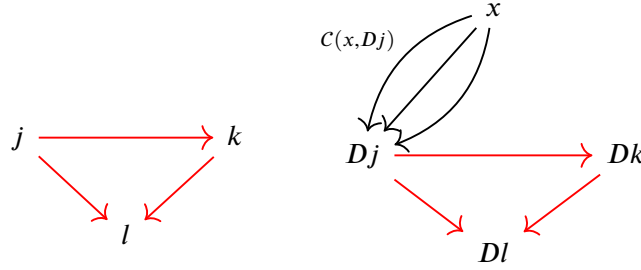
The strong version of the Yoneda lemma works with objects of  $\mathcal{V}$  and uses the end over the internal hom in  $\mathcal{V}$  to represent the object of natural transformations:

$$\int_x [C(c, x), Fx] \cong Fc$$

## 20.5 Weighted Limits

Limits (and colimits) are built around commuting triangles, so they are not immediately translatable to the enriched setting. The problem is that cones are constructed from “wires,” that is individual morphisms. You may think of hom-sets as a thick bundle of wires, each wire having zero thickness. When constructing a cone, you are selecting a single wire from a hom-set. We have to replace wires with something thicker.

Consider a diagram, that is a functor  $D$  from the indexing category  $\mathcal{J}$  to the target category  $C$ . The wires for the cone with the apex  $x$  are selected from hom-sets  $C(x, Dj)$ , where  $j$  is an object of  $\mathcal{J}$ .



This selection of a  $j$ 'th wire can be described as a function from the singleton set 1:

$$\gamma_j: 1 \rightarrow C(x, Dj)$$

We can try to gather these functions into a natural transformation:

$$\gamma: \Delta_1 \rightarrow C(x, D^*)$$

where  $\Delta_1$  is a constant functor mapping all objects of  $\mathcal{J}$  to the singleton set. Naturality conditions ensure that the triangles forming the sides of the cone commute.

The set of all cones with the apex  $x$  is then given by the set of natural transformations:

$$[\mathcal{J}, \text{Set}](\Delta_1, C(x, D^*))$$

This reformulation gets us closer to the enriched setting, since it rephrases the problem in terms of hom-sets rather than individual morphisms. We could start by considering both  $\mathcal{J}$  and  $C$  to be enriched over  $\mathcal{V}$ , in which case  $D$  would be a  $\mathcal{V}$ -functor.

There is just one problem: how do we define a constant  $\mathcal{V}$ -functor  $\Delta_x: C \rightarrow D$ ? Its action on objects is obvious: it maps all objects in  $C$  to one object  $x$  in  $D$ . But what should it do to hom-objects?

An ordinary constant functor  $\Delta_x$  maps all morphisms in  $C(a, b)$  to the identity in  $D(x, x)$ . In the enriched setting, though,  $D(x, x)$  is an object with no internal structure. Even if it happened to be the unit  $I$ , there's no guarantee that for every hom-object  $C(a, b)$  we could find an arrow to  $I$ ; and even if there was one, it might not be unique. In other words, there is no reason to believe that  $I$  is the terminal object.

The solution is to “smear the singularity”: instead of using the constant functor to select a single wire, we should use some other “weighting” functor  $W: \mathcal{J} \rightarrow \text{Set}$  to select a thicker “cylinder”. Such a weighted cone with the apex  $x$  is an element of the set of natural transformations:

$$[\mathcal{J}, \text{Set}](W, C(x, D^*))$$

A *weighted limit*, also known as an *indexed limit*,  $\lim^W D$ , is then defined as the universal weighted cone. It means that for any weighted cone with the apex  $x$  there is a unique morphism

from  $x$  to  $\lim^W D$  that factorizes it. The factorization is guaranteed by the naturality of the isomorphism that defines the weighted limit:

$$C(x, \lim^W D) \cong [\mathcal{J}, \text{Set}](W, C(x, D^*))$$

The regular, non-weighted limit is often called a *conical* limit, and it corresponds to using the constant functor as the weight.

This definition can be translated almost verbatim to the enriched setting by replacing  $\text{Set}$  with  $\mathcal{V}$ :

$$C(x, \lim^W D) \cong [\mathcal{J}, \mathcal{V}](W, C(x, D^*))$$

Of course, the meaning of the symbols in this formula is changed. Both sides are now objects in  $\mathcal{V}$ . The left-hand side is the hom-object in  $C$ , and the right-hand side is the object of natural transformations between two  $\mathcal{V}$ -functors.

Dually, a weighted colimit is defined by the natural isomorphism:

$$C(\text{colim}^W D, x) \cong [\mathcal{J}^{op}, \mathcal{V}](W, C(D^*, x))$$

Here, the colimit is weighed by a functor  $W: \mathcal{J}^{op} \rightarrow \mathcal{V}$  from the opposite category.

Weighted (co-)limits, both in ordinary and in enriched categories, play a fundamental role: they can be used to re-formulate a lot of familiar constructions, like (co-)ends, Kan extensions, etc.

## 20.6 Ends as Weighted Limits

An end has a lot in common with a product or, more generally, with a limit. If you squint hard enough, the projections  $\pi_x: e \rightarrow P\langle a, a \rangle$  form the sides of a cone; except that instead of commuting triangles we have wedges. It turns out that we can express ends as weighted limits. The advantage of this formulation is that it also works in the enriched setting.

We've seen that the end of a  $\mathcal{V}$ -valued  $\mathcal{V}$ -profunctor can be defined using the more fundamental notion of an extranatural transformation. This in turn allowed us to define the *object* of natural transformations, which enabled us to define weighted limits. We can now go ahead and extend the definition of the end to work with a more general  $\mathcal{V}$ -functor of mixed variance with values in a  $\mathcal{V}$ -category  $\mathcal{D}$ :

$$P: C^{op} \otimes C \rightarrow \mathcal{D}$$

We'll use this functor as a diagram in  $\mathcal{D}$ .

At this point mathematicians start worrying about size issues. After all we are embedding a whole category—squared—as a single diagram in  $\mathcal{D}$ . To avoid the size problems, we'll just assume that  $C$  is small; that is, its objects form a set.

We want to take a weighted limit of the diagram defined by  $P$ . The weight must be a  $\mathcal{V}$ -functor  $C^{op} \otimes C \rightarrow \mathcal{V}$ . There is one such functor that's always at our disposal, the hom-functor  $\text{Hom}_C$ . We will use it to define the end as a weighted limit:

$$\int_c P\langle c, c \rangle = \lim^{\text{Hom}} P$$

First, let's convince ourselves that this formula works in an ordinary (Set-enriched) category. Since ends are defined by their mapping-in property, let's consider a mapping from an arbitrary object  $d$  to the weighted limit and use the standard Yoneda trick to show the isomorphism. By definition, we have:

$$D(d, \lim^{\text{Hom}} P) \cong [C^{op} \times C, \text{Set}](C(*, =), D(d, P(*, =)))$$

We can rewrite the set of natural transformations as an end over pairs of objects  $\langle c, c'' \rangle$ :

$$\int_{\langle c, c'' \rangle} \text{Set}(C(c, c''), D(d, P\langle c, c'' \rangle))$$

Using the Fubini theorem, this is equivalent to the iterated end:

$$\int_c \int_{c''} \text{Set}(C(c, c''), D(d, P\langle c, c'' \rangle))$$

We can now apply the ninja-Yoneda lemma to perform the integration over  $c''$ . The result is:

$$\int_c D(d, P\langle c, c \rangle) \cong D(d, \int_c P\langle c, c \rangle)$$

where we used continuity to push the end under the hom-functor. Since  $d$  was arbitrary, we conclude that, for ordinary categories:

$$\lim^{\text{Hom}} P \cong \int_c P\langle c, c \rangle$$

This justifies our use of the weighed limit to define the end in the enriched case.

An analogous formula works for the coend, except that we use the colimit with the hom-functor in the opposite category  $\text{Hom}_{C^{op}}$  as the weight:

$$\int^c P\langle c, c \rangle = \text{colim}^{\text{Hom}_{C^{op}}} P$$

**Exercise 20.6.1.** Show that for ordinary Set-enriched categories the weighted colimit definition of a coend reproduces the earlier definition. Hint: use the mapping out property of the coend.

**Exercise 20.6.2.** Show that, as long as both sides exist, the following identities hold in ordinary (Set-enriched) categories (they can be generalized to the enriched setting):

$$\begin{aligned} \lim^W D \cong \int_{j: J} Wj \multimap Dj \\ \text{colim}^W D \cong \int^{j: J} Wj \cdot Dj \end{aligned}$$

Hint: Use the mapping in/out with the Yoneda trick and the definition of power and copower.

## 20.7 Kan Extensions

We've seen how to express limits and colimits as Kan extensions using a functor from the singular category  $\mathbf{1}$ . Weighted limits let us dispose of the singularity, and a judicious choice of the weight lets us express Kan extensions in terms of weighted limits.

First, let's work out the formula for ordinary,  $\mathbf{Set}$ -enriched categories. The right Kan extension is defined as:

$$(\mathrm{Ran}_P F)e \doteq \int_c \mathcal{B}(e, Pc) \pitchfork Fc$$

We'll consider the mapping into it from an arbitrary object  $d$ . The derivation follows a number of simple steps, mostly by expanding the definitions.

We start with:

$$\mathcal{D}(d, (\mathrm{Ran}_P F)e)$$

and substitute the definition of the Kan extension:

$$\mathcal{D}\left(d, \int_c \mathcal{B}(e, Pc) \pitchfork Fc\right)$$

Using the continuity of the hom-functor, we can pull out the end:

$$\int_c \mathcal{D}\left(d, \mathcal{B}(e, Pc) \pitchfork Fc\right)$$

We then use the definition of the pitchfork:

$$\mathcal{D}(d, A \pitchfork d^\circ) \doteq \mathbf{Set}\left(A, \mathcal{D}(d, d^\circ)\right)$$

to get:

$$\int_c \mathcal{D}\left(d, \mathcal{B}(e, Pc) \pitchfork Fc\right) \doteq \int_c \mathbf{Set}\left(\mathcal{B}(e, Pc), \mathcal{D}(d, Fc)\right)$$

This can be written as a set of natural transformation:

$$[C, \mathbf{Set}]\left(\mathcal{B}(e, P^*), \mathcal{D}(d, F^*)\right)$$

The weighted limit is also defined through the set of natural transformations:

$$\mathcal{D}(d, \lim^W F) \doteq [C, \mathbf{Set}]\left(W, \mathcal{D}(d, F^*)\right)$$

leading us to the final result:

$$\mathcal{D}(d, \lim^{B(e, P^*)} F)$$

Since  $d$  was arbitrary, we can use the Yoneda trick to conclude that:

$$(\mathrm{Ran}_P F)e = \lim^{B(e, P^*)} F$$

This formula becomes the definition of the right Kan extension in the enriched setting.

Similarly, the left Kan extension can be defined as a weighted colimit:

$$(\mathrm{Lan}_P F)e = \mathrm{colim}^{B(P^*, e)} F$$

**Exercise 20.7.1.** *Derive the formula for the left Kan extension for ordinary categories.*

## 20.8 Useful Formulas

- Yoneda lemma:

$$\int_x [C(c, x), Fx] \cong Fc$$

- Weighted limit:

$$C(x, \lim^W D) \cong [J, \mathcal{V}](W, C(x, D^*))$$

- Weighted colimit:

$$C(\operatorname{colim}^W D, x) \cong [J^{op}, \mathcal{V}](W, C(D^*, x))$$

- Right Kan extension:

$$(\operatorname{Ran}_P F)e = \lim^{B(e, P^*)} F$$

- Left Kan extension:

$$(\operatorname{Lan}_P F)e = \operatorname{colim}^{B(P^*, e)} F$$