

# Domain Theory in Constructive and Predicative Univalent Foundations

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## Abstract

We develop domain theory in constructive univalent foundations without Voevodsky’s resizing axioms. In previous work in this direction, we constructed the Scott model of PCF and proved its computational adequacy, based on directed complete posets (dcpo). Here we further consider algebraic and continuous dcpo, and construct Scott’s  $D_\infty$  model of the untyped  $\lambda$ -calculus. A common approach to deal with size issues in a predicative foundation is to work with *information systems* or *abstract bases* or *formal topologies* rather than dcpo, and *approximable relations* rather than Scott continuous functions. Here we instead accept that dcpo may be large and work with type universes to account for this. For instance, in the Scott model of PCF, the dcpo have carriers in the second universe  $\mathcal{U}_1$  and suprema of directed families with indexing type in the first universe  $\mathcal{U}_0$ . Seeing a poset as a category in the usual way, we can say that these dcpo are large, but locally small, and have small filtered colimits. In the case of algebraic dcpo, in order to deal with size issues, we proceed mimicking the definition of accessible category. With such a definition, our construction of Scott’s  $D_\infty$  again gives a large, locally small, algebraic dcpo with small directed suprema.

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## 1 Introduction

In domain theory [1] one considers posets with suitable completeness properties, possibly generated by certain elements called *compact*, or more generally generated by a certain *way below* relation, giving rise to algebraic and continuous domains. As is well known, domain theory has applications to programming language semantics [40, 38, 31], higher-type computability [25], topology, topological algebra and more [17, 16].

In this work we explore the development of domain theory from the univalent point of view [43, 46]. Additionally, we work constructively (we don’t assume excluded middle or choice axioms) and predicatively (we don’t assume Voevodsky’s resizing principles [44, 45, 46], and so, in particular, powersets are large). Most of the work presented here has been formalized in the proof assistant Agda [6, 15, 10] (see Section 7 for details). In our predicative setting, it is extremely important to check universe levels carefully, and the use of a proof assistant such as Agda has been invaluable for this purpose.

In previous work in this direction [8] (extended by Brendan Hart [18]), we constructed the Scott model of PCF and proved its computational adequacy, based on directed complete posets (dcpo). Here we further consider algebraic and continuous dcpo, and construct Scott’s  $D_\infty$  model of the untyped  $\lambda$ -calculus [38].

A common approach to deal with size issues in a predicative foundation is to work with *information systems* [39], *abstract bases* [1] or *formal topologies* [36, 7] rather than dcpo,

and *approximable relations* rather than (Scott) continuous functions. Here we instead accept that dcpos may be large and work with type universes to account for this. For instance, in our development of the Scott model of PCF [40, 31], the dcpos have carriers in the second universe  $\mathcal{U}_1$  and suprema of directed families with indexing type in the first universe  $\mathcal{U}_0$ . Seeing a poset as a category in the usual way, we can say that these dcpos are large, but locally small, and have small filtered colimits. In the case of algebraic dcpos, in order to deal with size issues, we proceed mimicking the definition of accessible category [27]. With such a definition, our construction of Scott’s  $D_\infty$  again gives a large, locally small, algebraic dcpo with small directed suprema.

## Organization

*Section 2:* Foundations. *Section 3:* (Im)predicativity. *Section 4:* Basic domain theory, including directed complete posets, continuous functions, lifting,  $\Omega$ -completeness, exponentials, powersets as dcpos. *Section 5:* Limit and colimits of dcpos, Scott’s  $D_\infty$ . *Section 6:* Way below relation, bases, compact element, continuous and algebraic dcpos, ideal completion, retracts, examples. *Section 7:* Conclusion and future work.

## Related Work

Domain theory has been studied predicatively in the setting of *formal topology* [36, 7] in [37, 28, 29, 26] and the more recent categorical paper [22]. In this predicative setting, one avoids size issues by working with abstract bases or formal topologies rather than dcpos, and approximable relations rather than Scott continuous functions. Hedberg [19] presented these ideas in Martin-Löf Type Theory and formalized them in the proof assistant ALF. A modern formalization in Agda based on Hedberg’s work was recently carried out in Lidell’s master thesis [24].

Our development differs from the above line of work in that it studies dcpos directly and uses type universes to account for the fact that dcpos may be large. There are two Coq formalizations of domain theory in this direction [5, 11]. Both formalizations study  $\omega$ -chain complete preorders, work with setoids, and make use of Coq’s impredicative sort **Prop**. In our development we avoid the use of setoids thanks to the adoption of the univalent point of view. Moreover, we work predicatively and we work with directed sets rather than  $\omega$ -chains, as we intend our theory to be also applicable to topology and algebra [17, 16].

There are also constructive accounts of domain theory aimed at program extraction [4, 30]. Both [4] and [30] study  $\omega$ -chain complete posets ( $\omega$ -cpos) and define notions of  $\omega$ -continuity for them. Interestingly, Bauer and Kavkler [4] note that there can only be non-trivial examples of  $\omega$ -continuous  $\omega$ -cpos when Markov’s Principle holds [4, Proposition 6.2]. This leads the authors of [30] to weaken the definition of  $\omega$ -continuous  $\omega$ -cpo by using the double negation of existential quantification in the definition of the way below relation [30, Remark 3.2]. In light of this, it is interesting to observe that when we study directed complete posets (dcpos) rather than  $\omega$ -cpos, and continuous dcpos rather than  $\omega$ -continuous  $\omega$ -cpos, we can avoid Markov’s Principle or a weakened notion of the way below relation to obtain non-trivial continuous dcpos (see for instance Examples 58, 59 and 82).

Another approach is the field of *synthetic domain theory* [35, 34, 20, 32, 33]. Although the work in this area is constructive, it is still impredicative, based on topos logic, but more importantly it has a focus different from that of regular domain theory: the aim is to isolate a few basic axioms and find models in (realizability) toposes where “every object is a domain and every morphism is continuous”. These models often validate additional axioms, such

as Markov's Principle and countable choice, and moreover falsify excluded middle. Our development has a different goal, namely to develop regular domain theory constructively and predicatively, but in a foundation compatible with excluded middle and choice, while not relying on them or Markov's Principle or countable choice.

## 2 Foundations

We work in intensional Martin-Löf Type Theory with type formers  $+$  (binary sum),  $\Pi$  (dependent products),  $\Sigma$  (dependent sum),  $\text{Id}$  (identity type), and inductive types, including  $\mathbf{0}$  (empty type),  $\mathbf{1}$  (type with exactly one element  $\star : \mathbf{1}$ ),  $\mathbf{N}$  (natural numbers). Moreover, we have type universes (for which we typically write  $\mathcal{U}$ ,  $\mathcal{V}$ ,  $\mathcal{W}$  or  $\mathcal{T}$ ) with the following closure conditions. We assume a universe  $\mathcal{U}_0$  and two operations: for every universe  $\mathcal{U}$  a successor universe  $\mathcal{U}^+$  with  $\mathcal{U} : \mathcal{U}^+$ , and for every two universes  $\mathcal{U}$  and  $\mathcal{V}$  another universe  $\mathcal{U} \sqcup \mathcal{V}$  such that for any universe  $\mathcal{U}$ , we have  $\mathcal{U}_0 \sqcup \mathcal{U} \equiv \mathcal{U}$  and  $\mathcal{U} \sqcup \mathcal{U}^+ \equiv \mathcal{U}^+$ . Moreover,  $(-) \sqcup (-)$  is idempotent, commutative, associative, and  $(-)^+$  distributes over  $(-) \sqcup (-)$ . We write  $\mathcal{U}_1 \equiv \mathcal{U}_0^+$ ,  $\mathcal{U}_2 \equiv \mathcal{U}_1^+$ ,  $\dots$  and so on. If  $X : \mathcal{U}$  and  $Y : \mathcal{V}$ , then  $X + Y : \mathcal{U} \sqcup \mathcal{V}$  and if  $X : \mathcal{U}$  and  $Y : X \rightarrow \mathcal{V}$ , then the types  $\Sigma_{x:X} Y(x)$  and  $\Pi_{x:X} Y(x)$  live in the universe  $\mathcal{U} \sqcup \mathcal{V}$ ; finally, if  $X : \mathcal{U}$  and  $x, y : X$ , then  $\text{Id}_X(x, y) : \mathcal{U}$ . The type of natural numbers  $\mathbf{N}$  is assumed to be in  $\mathcal{U}_0$  and we postulate that we have copies  $\mathbf{0}_{\mathcal{U}}$  and  $\mathbf{1}_{\mathcal{U}}$  in every universe  $\mathcal{U}$ . All our examples go through with just two universes  $\mathcal{U}_0$  and  $\mathcal{U}_1$ , but the theory is more easily developed in a general setting.

In general we adopt the same conventions of [43]. In particular, we simply write  $x = y$  for the identity type  $\text{Id}_X(x, y)$  and use  $\equiv$  for the judgemental equality, and for dependent functions  $f, g : \Pi_{x:X} A(x)$ , we write  $f \sim g$  for the pointwise equality  $\Pi_{x:X} f(x) = g(x)$ .

Within this type theory, we adopt the univalent point of view [43]. A type  $X$  is a *proposition* (or *truth value* or *subsingleton*) if it has at most one element, i.e. the type  $\text{is-prop}(X) \equiv \prod_{x,y:X} x = y$  is inhabited. A major difference between univalent foundations and other foundational systems is that we *prove* that types are propositions or properties. For instance, we can show (using function extensionality) that the axioms of directed complete poset form a proposition. A type  $X$  is a *set* if any two elements can be identified in at most one way, i.e. the type  $\prod_{x,y:X} \text{is-prop}(x = y)$  is inhabited.

We will assume two extensionality principles:

- (i) *Propositional extensionality*: if  $P$  and  $Q$  are two propositions, then we postulate that  $P = Q$  exactly when both  $P \rightarrow Q$  and  $Q \rightarrow P$  are inhabited.
- (ii) *Function extensionality*: if  $f, g : \prod_{x:X} A(x)$  are two (dependent) functions, then we postulate that  $f = g$  exactly when  $f \sim g$ .

Function extensionality has the important consequence that the propositions form an exponential ideal, i.e. if  $X$  is a type and  $Y : X \rightarrow \mathcal{U}$  is such that every  $Y(x)$  is a proposition, then so is  $\Pi_{x:X} Y(x)$ . In light of this, universal quantification is given by  $\Pi$ -types in our type theory.

In Martin-Löf Type Theory, an element of  $\prod_{x:X} \sum_{y:Y} \phi(x, y)$ , by definition, gives us a function  $f : X \rightarrow Y$  such that  $\prod_{x:X} \phi(x, f(x))$ . In some cases, we wish to express the weaker “for every  $x : X$ , there exists some  $y : Y$  such that  $\phi(x, y)$ ” without necessarily having an assignment of  $x$ 's to  $y$ 's. A good example of this is when we define directed families later (see Definition 7). This is achieved through the propositional truncation.

Given a type  $X : \mathcal{U}$ , we postulate that we have a proposition  $\|X\| : \mathcal{U}$  with a function  $|-| : X \rightarrow \|X\|$  such that for every proposition  $P : \mathcal{V}$  in any universe  $\mathcal{V}$ , every function  $f : X \rightarrow P$

137 factors (necessarily uniquely, by function extensionality) through  $|-|$ . Diagrammatically,

$$\begin{array}{ccc}
 X & \xrightarrow{f} & P \\
 & \searrow & \nearrow \\
 & |-| & \\
 & \|X\| &
 \end{array}$$

138

139 Existential quantification  $\exists_{x:X} Y(x)$  is given by  $\|\Sigma_{x:X} Y(x)\|$ . One should note that if we  
 140 have  $\exists_{x:X} Y(x)$  and we are trying to prove some proposition  $P$ , then we may assume that we  
 141 have  $x : X$  and  $y : Y(x)$  when constructing our inhabitant of  $P$ . Similarly, we can define  
 142 disjunction as  $P \vee Q \equiv \|P + Q\|$ .

### 143 3 Impredicativity

144 We now explain what we mean by (im)predicativity in univalent foundations.

145 ► **Definition 1** (Has size, has-size in [14]). *A type  $X : \mathcal{U}$  is said to have size  $\mathcal{V}$  for some*  
 146 *universe  $\mathcal{V}$  when we have  $Y : \mathcal{V}$  that is equivalent to  $X$ , i.e.  $X$  has-size  $\mathcal{V} \equiv \sum_{Y:\mathcal{V}} Y \simeq X$ .*

147 Here, the symbol  $\simeq$  refers to Voevodsky's notion of equivalence [14, 43]. The type  $X$  has-size  $\mathcal{V}$   
 148 is a proposition if and only if the univalence axiom holds [14].

149 ► **Definition 2** (Type of propositions  $\Omega_{\mathcal{U}}$ ). *The type of propositions in a universe  $\mathcal{U}$  is*  
 150  *$\Omega_{\mathcal{U}} \equiv \sum_{P:\mathcal{U}} \text{is-prop}(P) : \mathcal{U}^+$ .*

151 Observe that  $\Omega_{\mathcal{U}}$  itself lives in the successor universe  $\mathcal{U}^+$ . We often think of the types  
 152 in some fixed universe  $\mathcal{U}$  as *small* and accordingly we say that  $\Omega_{\mathcal{U}}$  is *large*. Similarly, the  
 153 powerset of a type  $X : \mathcal{U}$  is large. Given our predicative setup, we must pay attention to  
 154 universes when considering powersets.

155 ► **Definition 3** ( $\mathcal{V}$ -powerset  $\mathcal{P}_{\mathcal{V}}(X)$ ,  $\mathcal{V}$ -subsets). *Let  $\mathcal{V}$  be a universe and  $X : \mathcal{U}$  type. We define*  
 156 *the  $\mathcal{V}$ -powerset  $\mathcal{P}_{\mathcal{V}}(X)$  as  $X \rightarrow \Omega_{\mathcal{V}} : \mathcal{V}^+ \sqcup \mathcal{U}$ . Its elements are called  $\mathcal{V}$ -subsets of  $X$ .*

157 ► **Definition 4** ( $\in, \subseteq$ ). *Let  $x$  be an element of a type  $X$  and let  $A$  be an element of  $\mathcal{P}_{\mathcal{V}}(X)$ .*  
 158 *We write  $x \in A$  for the type  $\text{pr}_1(A(x))$ . Given two  $\mathcal{V}$ -subsets  $A$  and  $B$  of  $X$ , we write  $A \subseteq B$*   
 159 *for  $\prod_{x:X} (x \in A \rightarrow x \in B)$ .*

160 Functional and propositional extensionality imply that  $A = B \iff A \subseteq B$  and  $B \subseteq A$ .

161 ► **Definition 5** (Total type  $\mathbb{T}(A)$ ). *Given a  $\mathcal{V}$ -subset  $A$  of a type  $X$ , we write  $\mathbb{T}(A)$  for the*  
 162 *total type  $\sum_{x:X} x \in A$ .*

163 One could ask for a *resizing axiom* asserting that  $\Omega_{\mathcal{U}}$  has size  $\mathcal{U}$ , which we call *the*  
 164 *propositional impredicativity of  $\mathcal{U}$* . A closely related axiom is *propositional resizing*, which  
 165 asserts that every proposition  $P : \mathcal{U}^+$  has size  $\mathcal{U}$ . Without the addition of such resizing  
 166 axioms, the type theory is said to be *predicative*. As an example of the use of impredicativity  
 167 in mathematics, we mention that the powerset has unions of arbitrary subsets if and only if  
 168 propositional resizing holds [14, **existence-of-unions-gives-PR**].

169 We mention that the resizing axioms are actually theorems when classical logic is assumed.  
 170 This is because if  $P \vee \neg P$  holds for every proposition in  $P : \mathcal{U}$ , then the only propositions  
 171 (up to equivalence) are  $\mathbf{0}_{\mathcal{U}}$  and  $\mathbf{1}_{\mathcal{U}}$ , which have equivalent copies in  $\mathcal{U}_0$ , and  $\Omega_{\mathcal{U}}$  is equivalent  
 172 to a type  $\mathbf{2}_{\mathcal{U}} : \mathcal{U}$  with exactly two elements. The existence of a computational interpreta-  
 173 tion of propositional impredicativity axioms for univalent foundations is an open problem,  
 174 however [42, 41].

## 4 Basic Domain Theory

Our basic ingredient is the notion of *directed complete poset* (dcpo). In set-theoretic foundations, a dcpo can be defined to be a poset that has least upper bounds of all directed families. A naive translation of this to our foundation would be to proceed as follows. Define a poset in a universe  $\mathcal{U}$  to be a type  $P : \mathcal{U}$  with a reflexive, transitive and antisymmetric relation  $-\sqsubseteq- : P \times P \rightarrow \mathcal{U}$ . According to the univalent point of view, we also require that the type  $P$  is a *set* and the values  $p \sqsubseteq q$  of the order relation are *subsingletons*. Then we could say that the poset  $(P, \sqsubseteq)$  is *directed complete* if every directed family  $I \rightarrow X$  with indexing type  $I : \mathcal{U}$  has a least upper bound. The problem with this definition is that there are no interesting examples in our constructive and predicative setting. For instance, assume that the poset  $\mathbf{2}$  with two elements  $0 \sqsubseteq 1$  is directed complete, and consider a proposition  $A : \mathcal{U}$  and the directed family  $A + \mathbf{1} \rightarrow \mathbf{2}$  that maps the left component to 1 and the right component to 0. By case analysis on its hypothetical supremum, we conclude that the negation of  $A$  is decidable. This amounts to weak excluded middle, which is known to be equivalent to De Morgan's Law, and doesn't belong to the realm of constructive mathematics. To try to get an example, we may move to the poset  $\Omega_0$  of propositions in the universe  $\mathcal{U}_0$ , ordered by implication. This poset does have all suprema of families  $I \rightarrow \Omega_0$  indexed by types  $I$  in the *first universe*  $\mathcal{U}_0$ , given by existential quantification. But if we consider a directed family  $I \rightarrow \Omega_0$  with  $I$  in the *same universe* as  $\Omega_0$  lives, namely the *second universe*  $\mathcal{U}_1$ , existential quantification gives a proposition in the *third universe*  $\mathcal{U}_2$  and so doesn't give its supremum. In this example, we get a poset such that

- (i) the carrier lives in the universe  $\mathcal{U}_1$ ,
- (ii) the order has truth values in the universe  $\mathcal{U}_0$ , and
- (iii) suprema of directed families indexed by types in  $\mathcal{U}_0$  exist.

Regarding a poset as a category in the usual way, we have a large, but locally small, category with small filtered colimits (suprema). This is typical of all the examples we have considered so far in practice, such as the dcpos in the Scott model of PCF and Scott's  $D_\infty$  model of the untyped  $\lambda$ -calculus. We may say that the predicativity restriction increases the universe usage by one. However, for the sake of generality, we formulate our definition of dcpo with the following universe conventions:

- (i) the carrier lives in a universe  $\mathcal{U}$ ,
- (ii) the order has truth values in a universe  $\mathcal{T}$ , and
- (iii) suprema of directed families indexed by types in a universe  $\mathcal{V}$  exist.

So our notion of dcpo has three universe parameters  $\mathcal{U}, \mathcal{V}, \mathcal{T}$ . We will say that the dcpo is *locally small* when  $\mathcal{T}$  is not necessarily the same as  $\mathcal{V}$ , but the order has truth values of size  $\mathcal{V}$ . Most of the time we mention  $\mathcal{V}$  explicitly and leave  $\mathcal{U}$  and  $\mathcal{T}$  to be understood from the context.

► **Definition 6** (Poset). *A poset  $(P, \sqsubseteq)$  is a set  $P : \mathcal{U}$  together with a proposition-valued binary relation  $\sqsubseteq : P \rightarrow P \rightarrow \mathcal{T}$  satisfying:*

- (i) reflexivity:  $\prod_{p:P} p \sqsubseteq p$ ;
- (ii) antisymmetry:  $\prod_{p,q:P} p \sqsubseteq q \rightarrow q \sqsubseteq p \rightarrow p = q$ ;
- (iii) transitivity:  $\prod_{p,q,r:P} p \sqsubseteq q \rightarrow q \sqsubseteq r \rightarrow p \sqsubseteq r$ .

► **Definition 7** (Directed family). *Let  $(P, \sqsubseteq)$  be a poset and  $I$  any type. A family  $\alpha : I \rightarrow P$  is directed if it is inhabited (i.e.  $\|I\|$  is pointed) and  $\prod_{i,j:I} \exists k:I \alpha_i \sqsubseteq \alpha_k \times \alpha_j \sqsubseteq \alpha_k$ .*

► **Definition 8** ( $\mathcal{V}$ -directed complete poset,  $\mathcal{V}$ -dcpo). *Let  $\mathcal{V}$  be a type universe. A  $\mathcal{V}$ -directed complete poset (or  $\mathcal{V}$ -dcpo, for short) is a poset  $(P, \sqsubseteq)$  such that every directed family  $I \rightarrow P$  with  $I : \mathcal{V}$  has a supremum in  $P$ .*

We will sometimes leave the universe  $\mathcal{V}$  implicit, and simply speak of “a dcpo”. On other occasions, we need to carefully keep track of universe levels. To this end, we make the following definition.

► **Definition 9** ( $\mathcal{V}$ -DCPO $_{\mathcal{U},\mathcal{T}}$ ). Let  $\mathcal{V}$ ,  $\mathcal{U}$  and  $\mathcal{T}$  be universes. We write  $\mathcal{V}$ -DCPO $_{\mathcal{U},\mathcal{T}}$  for the type of  $\mathcal{V}$ -dcpos with carrier in  $\mathcal{U}$  and order taking values in  $\mathcal{T}$ .

► **Definition 10** (Pointed dcpo). A dcpo  $D$  is pointed if it has a least element, which we will denote by  $\perp_D$ , or simply  $\perp$ .

► **Definition 11** (Locally small). A  $\mathcal{V}$ -dcpo  $D$  is locally small if we have  $\sqsubseteq_{\text{small}} : D \rightarrow D \rightarrow \mathcal{V}$  such that  $\prod_{x,y:D} (x \sqsubseteq_{\text{small}} y) \simeq (x \sqsubseteq_D y)$ .

► **Example 12** (Powersets as pointed dcpos). Powersets give examples of pointed dcpos. The subset inclusion  $\subseteq$  makes  $\mathcal{P}_{\mathcal{V}}(X)$  into a poset and given a (not necessarily directed) family  $A_{(-)} : I \rightarrow \mathcal{P}_{\mathcal{V}}(X)$  with  $I : \mathcal{V}$ , we may consider its supremum in  $\mathcal{P}_{\mathcal{V}}(X)$  as given by  $\lambda x. \exists i. I x \in A_i$ . Note that  $(\exists i. I x \in A_i) : \mathcal{V}$  for every  $x : X$ , so this is well-defined. Finally,  $\mathcal{P}_{\mathcal{V}}$  has a least element, the empty set:  $\lambda x. \mathbf{0}_{\mathcal{V}}$ . Thus,  $\mathcal{P}_{\mathcal{V}}(X) : \mathcal{V}$ -DCPO $_{\mathcal{V}+\sqcup\mathcal{U},\mathcal{V}+\sqcup\mathcal{U}}$ . When  $\mathcal{V} \equiv \mathcal{U}$  (as in Example 59), we get the simpler, locally small  $\mathcal{P}_{\mathcal{U}}(X) : \mathcal{U}$ -DCPO $_{\mathcal{U}+\mathcal{U}}$ . ◻

Fix two  $\mathcal{V}$ -dcpos  $D$  and  $E$ .

► **Definition 13** (Continuous function). A function  $f : D \rightarrow E$  is (Scott) continuous if it preserves directed suprema, i.e. if  $I : \mathcal{V}$  and  $\alpha : I \rightarrow D$  is directed, then  $f(\bigsqcup \alpha)$  is the supremum in  $E$  of the family  $f \circ \alpha$ .

► **Lemma 14**. If  $f : D \rightarrow E$  is continuous, then it is monotone, i.e.  $x \sqsubseteq_D y$  implies  $f(x) \sqsubseteq_E f(y)$ .

**Proof.** Given  $x, y : D$  with  $x \sqsubseteq y$ , consider the directed family  $\mathbf{1} + \mathbf{1} \rightarrow D$  defined as  $\text{inl}(\star) \mapsto x$  and  $\text{inr}(\star) \mapsto y$ . Its supremum is  $y$  and  $f$  must preserve it, so  $f(x) \sqsubseteq f(y)$ . ◀

► **Lemma 15**. If  $f : D \rightarrow E$  is continuous and  $\alpha : I \rightarrow D$  is directed, then so is  $f \circ \alpha$ .

**Proof.** Using Lemma 14. ◀

► **Definition 16** (Strict function). Suppose that  $D$  and  $E$  are pointed. A continuous function  $f : D \rightarrow E$  is strict if  $f(\perp_D) = \perp_E$ .

## 4.1 Lifting

► **Construction 17** ( $\mathcal{L}_{\mathcal{V}}(X)$ ,  $\eta_X$ , cf. [8, 13]). Let  $X : \mathcal{U}$  be a set. For any universe  $\mathcal{V}$ , we construct a pointed  $\mathcal{V}$ -dcpo  $\mathcal{L}_{\mathcal{V}}(X) : \mathcal{V}$ -DCPO $_{\mathcal{V}+\sqcup\mathcal{U},\mathcal{V}+\sqcup\mathcal{U}}$ , known as the *lifting* of  $X$ . Its carrier is given by the type  $\sum_{P:\mathcal{V}} \text{is-prop}(P) \times (P \rightarrow X)$  of *partial elements* of  $X$ .

Given a partial element  $(P, i, \varphi) : \mathcal{L}_{\mathcal{V}}(X)$ , we write  $(P, i, \varphi) \downarrow$  for  $P$  and say that the partial element is defined if  $P$  holds. Moreover, we often leave the second component implicit, writing  $(P, \varphi)$  for  $(P, i, \varphi)$ .

The order is given by  $l \sqsubseteq_{\mathcal{L}_{\mathcal{V}}(X)} m \equiv (l \downarrow \rightarrow l = m)$ , and it has a least element given by  $(\mathbf{0}, \mathbf{0}\text{-is-prop, unique-from-}\mathbf{0})$  where  $\mathbf{0}\text{-is-prop}$  is a witness that the empty type is a proposition and  $\text{unique-from-}\mathbf{0}$  is the unique map from the empty type.

259 Given a directed family  $(Q_{(-)}, \varphi_{(-)}) : I \rightarrow \mathcal{L}_{\mathcal{V}}(X)$ , its supremum is given by  $(\exists_{i:I} Q_i, \psi)$ ,  
 260 where  $\psi$  is such that

$$\begin{array}{ccc}
 \sum_{i:I} Q_i & \xrightarrow{(i,q) \mapsto \varphi_i(q)} & D \\
 \searrow \text{``}|-|\text{''} & & \nearrow \psi \\
 & \exists_{i:I} Q_i &
 \end{array}$$

262 commutes. (This is possible, because the top map is weakly constant (i.e. any of its values  
 263 are equal) and  $D$  is a set [23, Theorem 5.4].)

264 Finally, we write  $\eta_X : X \rightarrow \mathcal{L}_{\mathcal{V}}(X)$  for the embedding  $x \mapsto (\mathbf{1}, \mathbf{1}\text{-is-prop}, \lambda u.x)$ .  $\lrcorner$

265 Note that we require  $X$  to be a set, so that  $\mathcal{L}_{\mathcal{V}}(X)$  is a poset, rather than an  $\infty$ -category.  
 266 In practice, we often have  $\mathcal{V} \equiv \mathcal{U}$  (see for instance Example 58, Section 5.2, or the Scott  
 267 model of PCF [8]), but we develop the theory for the more general case. We can describe  
 268 the order on  $\mathcal{L}_{\mathcal{V}}(X)$  more explicitly, as follows.

269 **► Lemma 18.** *If we have elements  $(P, \varphi)$  and  $(Q, \psi)$  of  $\mathcal{L}_{\mathcal{V}}(X)$ , then  $(P, \varphi) \sqsubseteq (Q, \psi)$  holds  
 270 if and only if we have  $f : P \rightarrow Q$  such that  $\prod_{p:P} \varphi(p) = \psi(f(p))$ .*

271 Observe that this exhibits  $\mathcal{L}_{\mathcal{V}}(X)$  as locally small. We will show that  $\mathcal{L}_{\mathcal{V}}(X)$  is the *free*  
 272 pointed  $\mathcal{V}$ -dcpo on a set  $X$ , but to do that, we first need a lemma.

273 **► Lemma 19.** *Let  $D$  be a pointed  $\mathcal{V}$ -dcpo. Then  $D$  has suprema of families indexed by  
 274 propositions in  $\mathcal{V}$ , i.e. if  $P : \mathcal{V}$  is a proposition, then any  $\alpha : P \rightarrow D$  has a supremum  $\bigvee \alpha$ .*

275 Moreover, if  $E$  is a (not necessarily pointed)  $\mathcal{V}$ -dcpo and  $f : D \rightarrow E$  is continuous, then  
 276  $f(\bigvee \alpha)$  is the supremum of the family  $f \circ \alpha$ .

277 **Proof.** Let  $D$  be a pointed  $\mathcal{V}$ -dcpo,  $P : \mathcal{V}$  a proposition and  $\alpha : P \rightarrow D$  a function. Now  
 278 define  $\beta : \mathbf{1}_{\mathcal{V}} + P \rightarrow D$  by  $\text{inl}(\star) \mapsto \perp_D$  and  $\text{inr}(p) \mapsto \alpha(p)$ . Then,  $\beta$  is easily seen to be  
 279 directed and so it has a well-defined supremum in  $D$ , which is also the supremum of  $\alpha$ . The  
 280 second claim follows from the fact that  $\beta$  is directed, so continuous maps must preserve its  
 281 supremum.  $\blacktriangleleft$

282 **► Lemma 20.** *Let  $X : \mathcal{U}$  be a set and let  $(P, \varphi)$  be an arbitrary element of  $\mathcal{L}_{\mathcal{V}}(X)$ . Then  
 283  $(P, \varphi) = \bigvee_{p:P} \eta_X(\varphi(p))$ .*

284 **► Theorem 21.** *The lifting  $\mathcal{L}_{\mathcal{V}}(X)$  gives the free  $\mathcal{V}$ -dcpo on a set  $X$ . Put precisely, if  $X : \mathcal{U}$   
 285 is a set, then for every  $\mathcal{V}$ -dcpo  $D : \mathcal{V}\text{-DCPO}_{\mathcal{U}', \mathcal{T}'}$  and function  $f : X \rightarrow D$ , there is a unique  
 286 continuous function  $\bar{f} : \mathcal{L}_{\mathcal{V}}(X) \rightarrow D$  such that*

$$\begin{array}{ccc}
 X & \xrightarrow{f} & D \\
 \searrow \eta_X & & \nearrow \bar{f} \\
 & \mathcal{L}_{\mathcal{V}}(X) &
 \end{array}$$

288 commutes.

289 **Proof.** We define  $\bar{f} : \mathcal{L}_{\mathcal{V}}(X) \rightarrow D$  by  $(P, \varphi) \mapsto \bigvee_{p:P} f(\varphi(p))$ , which is well-defined by  
 290 Lemma 19 and easily seen to be continuous. For uniqueness, suppose that we have  
 291  $g : \mathcal{L}_{\mathcal{V}}(X) \rightarrow D$  continuous such that  $g \circ \eta_X = f$ . Let  $(P, \varphi)$  be an arbitrary element



of  $\mathcal{L}_{\mathcal{V}}(X)$ . Using Lemma 20, we have:

$$\begin{aligned}
 g(P, \varphi) &= g\left(\bigvee_{p:P} \eta_X(\varphi(p))\right) \\
 &= \bigvee_{p:P} g(\eta_X(\varphi(p))) && \text{(by Lemma 19 and continuity of } g\text{)} \\
 &= \bigvee_{p:P} f(\phi(p)) && \text{(by assumption on } g\text{)} \\
 &= \bar{f}(P, \varphi) && \text{(by definition),}
 \end{aligned}$$

as desired.  $\blacktriangleleft$

There is yet another way in which the lifting is a free construction, cf. [8, Section 4.3]. What is noteworthy about this is that freely adding subsingleton suprema automatically gives all directed suprema.

► **Definition 22** ( $\Omega_{\mathcal{V}}$ -complete). A poset  $(P, \sqsubseteq)$  is  $\Omega_{\mathcal{V}}$ -complete if it has suprema for all families indexed by a proposition in  $\mathcal{V}$ .

► **Theorem 23.** The lifting  $\mathcal{L}_{\mathcal{V}}(X)$  gives the free  $\Omega_{\mathcal{V}}$ -complete poset on a set  $X$ . Put precisely, if  $X : \mathcal{U}$  is a set, then for every  $\Omega_{\mathcal{V}}$ -complete poset  $(P, \sqsubseteq)$  with  $P : \mathcal{U}'$  and  $\sqsubseteq$  taking values in  $\mathcal{T}'$  and function  $f : X \rightarrow P$ , there exists a unique monotone  $\bar{f} : \mathcal{L}_{\mathcal{V}}(X) \rightarrow P$  preserving all suprema indexed by propositions in  $\mathcal{V}$ , such that

$$\begin{array}{ccc}
 X & \xrightarrow{f} & P \\
 \eta_X \searrow & & \nearrow \bar{f} \\
 & \mathcal{L}_{\mathcal{V}}(X) &
 \end{array}$$

commutes.

**Proof.** Similar to the proof of Theorem 21; also see [8, Proof of Theorem 4.16].  $\blacktriangleleft$

Finally, a variation of Construction 17 freely adds a least element to a dcpo.

► **Construction 24** ( $\mathcal{L}'_{\mathcal{V}}(D)$ ). Let  $D : \mathcal{V}\text{-DCPO}_{\mathcal{U}, \mathcal{T}}$  be a  $\mathcal{V}$ -dcpo. We construct a pointed  $\mathcal{V}$ -dcpo  $\mathcal{L}'_{\mathcal{V}}(D) : \mathcal{V}\text{-DCPO}_{\mathcal{V}+\sqcup\mathcal{U}, \mathcal{V}\sqcup\mathcal{T}}$ . Its carrier is given by the type  $\sum_{P:\mathcal{V}} \text{is-prop}(P) \times (P \rightarrow D)$ . The order is given by  $(P, \varphi) \sqsubseteq_{\mathcal{L}'_{\mathcal{V}}(D)} (Q, \psi) \equiv \sum_{f:P \rightarrow Q} \prod_{p:P} \varphi(p) = \psi(f(p))$  and has a least element  $(\mathbf{0}, \mathbf{0}\text{-is-prop, unique-from-}\mathbf{0})$ .

Now let  $\alpha \equiv (Q_{(-)}, \varphi_{(-)}) : I \rightarrow \mathcal{L}'_{\mathcal{V}}(D)$  be a directed family. Consider  $\Phi : (\sum_{i:I} Q_i) \rightarrow D$  given by  $(i, q) \mapsto \varphi_i(q)$ . The supremum of  $\alpha$  is given by  $(\exists_{i:I} Q_i, \psi)$ , where  $\psi$  takes a witness that  $\sum_{i:I} Q_i$  is inhabited to the directed (for which we needed  $\exists_{i:I} Q_i$ ) supremum  $\bigsqcup \Phi$  in  $D$ .

Finally, we write  $\eta'_D : D \rightarrow \mathcal{L}'_{\mathcal{V}}(D)$  for the continuous map  $x \mapsto (\mathbf{1}, \mathbf{1}\text{-is-prop, } \lambda u. x)$ .  $\sqcup$

► **Theorem 25.** The construction  $\mathcal{L}'_{\mathcal{V}}(D)$  gives the free pointed  $\mathcal{V}$ -dcpo on a  $\mathcal{V}$ -dcpo  $D$ . Put precisely, if  $D : \mathcal{V}\text{-DCPO}_{\mathcal{U}, \mathcal{T}}$  is a  $\mathcal{V}$ -dcpo, then for every pointed  $\mathcal{V}$ -dcpo  $E : \mathcal{V}\text{-DCPO}_{\mathcal{U}', \mathcal{T}'}$  and continuous function  $f : D \rightarrow E$ , there is a unique strict continuous function  $\bar{f} : \mathcal{L}'_{\mathcal{V}}(D) \rightarrow E$  such that

$$\begin{array}{ccc}
 D & \xrightarrow{f} & E \\
 \eta'_D \searrow & & \nearrow \bar{f} \\
 & \mathcal{L}'_{\mathcal{V}}(D) &
 \end{array}$$

commutes.



326 **Proof.** Similar to the proof of Theorem 21. ◀

## 327 4.2 Exponentials

328 ► **Construction 26** ( $E^D$ ). Let  $D$  and  $E$  be two  $\mathcal{V}$ -dcpos. We construct another  $\mathcal{V}$ -dcpo  $E^D$   
 329 as follows. Its carrier is given by the type of continuous functions from  $D$  to  $E$ .

330 These functions are ordered pointwise, i.e. if  $f, g : D \rightarrow E$ , then

$$331 \quad f \sqsubseteq_{E^D} g := \prod_{x:D} f(x) \sqsubseteq_E g(x).$$

332 Accordingly, directed suprema are also given pointwise. Explicitly, let  $\alpha : I \rightarrow E^D$  be a  
 333 directed family. For every  $x : D$ , we have the family  $\alpha_x : I \rightarrow E$  given by  $i \mapsto \alpha_i(x)$ . This is  
 334 a directed family in  $E$  and so we have a well-defined supremum  $\bigsqcup \alpha_x : E$  for every  $x : D$ .  
 335 The supremum of  $\alpha$  is then given by  $x \mapsto \bigsqcup \alpha_x$ , where one should check that this assignment  
 336 is indeed continuous.

337 Finally, if  $E$  is pointed, then so is  $E^D$ , because, in that case, the function  $x \mapsto \perp_E$  is the  
 338 least continuous function from  $D$  to  $E$ . ⌋

339 ► **Remark 27.** In general, the universe levels of  $E^D$  can be quite large and complicated. For if  
 340  $D : \mathcal{V}\text{-DCPO}_{\mathcal{U}, \mathcal{T}}$  and  $D : \mathcal{V}\text{-DCPO}_{\mathcal{U}', \mathcal{T}'}$ , then  $E^D : \mathcal{V}\text{-DCPO}_{\mathcal{V}^+ \sqcup \mathcal{U} \sqcup \mathcal{T} \sqcup \mathcal{U}' \sqcup \mathcal{T}', \mathcal{U} \sqcup \mathcal{T}'}$ . Even if  
 341  $\mathcal{V} = \mathcal{U} \equiv \mathcal{T} \equiv \mathcal{U}' \equiv \mathcal{T}'$ , the carrier of  $E^D$  still lives in the “large” universe  $\mathcal{V}^+$ . (Actually,  
 342 this scenario cannot happen non-trivially in a predicative setting, since non-trivial dcpos  
 343 cannot be “small” [9].) Even so, as observed in [8], if we take  $\mathcal{U} \equiv \mathcal{T} \equiv \mathcal{U}' \equiv \mathcal{T}' \equiv \mathcal{U}_1$  and  
 344  $\mathcal{V} \equiv \mathcal{U}_0$ , then  $D, E, E^D$  are all elements of  $\mathcal{U}_0\text{-DCPO}_{\mathcal{U}_1, \mathcal{U}_1}$ .

## 345 5 Scott’s $D_\infty$

346 We now construct, predicatively, Scott’s famous pointed dcpo  $D_\infty$  which is isomorphic to its  
 347 own function space  $D_\infty^{D_\infty}$  (Theorem 39). We follow Scott’s original paper [38] rather closely,  
 348 but with two differences. Firstly, we explicitly keep track of the universe levels to make sure  
 349 that our constructions go through predicatively. Secondly, [38] describes sequential (co)limits,  
 350 while we study the more general directed (co)limits (Section 5.1) and then specialize to  
 351 sequential (co)limits later (Section 5.2).

### 352 5.1 Limits and Colimits

353 ► **Definition 28** (Deflation). Let  $D$  be a dcpo. An endofunction  $f : D \rightarrow D$  is a deflation if  
 354  $f(x) \sqsubseteq x$  for all  $x : D$ .

355 ► **Definition 29** (Embedding-projection pair). Let  $D$  and  $E$  be two dcpos. An embedding-  
 356 projection pair from  $D$  to  $E$  consists of two continuous functions  $\varepsilon : D \rightarrow E$  (the embedding)  
 357 and  $\pi : E \rightarrow D$  (the projection) such that:

- 358 (i)  $\varepsilon$  is a section of  $\pi$ ;
- 359 (ii)  $\varepsilon \circ \pi$  is a deflation.

360 For the remainder of this section, fix the following setup. Let  $\mathcal{V}, \mathcal{U}, \mathcal{T}$  and  $\mathcal{W}$  be type  
 361 universes. Let  $(I, \sqsubseteq)$  be a directed preorder with  $I : \mathcal{V}$  and  $\sqsubseteq$  taken values in  $\mathcal{W}$ . Suppose  
 362 that we have:

- 363 (i) for every  $i : I$ , a  $\mathcal{V}$ -dcpo  $D_i : \mathcal{V}\text{-DCPO}_{\mathcal{U}, \mathcal{T}}$ ;
- 364 (ii) for every  $i, j : I$  with  $i \sqsubseteq j$ , an embedding-projection pair  $(\varepsilon_{i,j}, \pi_{i,j})$  from  $D_i$  to  $D_j$ ;

such that

- (i) for every  $i : I$ , we have  $\varepsilon_{i,i} = \pi_{i,i} = \text{id}$ ;
- (ii) for every  $i, j, k : I$  with  $i \sqsubseteq j \sqsubseteq k$ , we have  $\varepsilon_{i,k} \sim \varepsilon_{j,k} \circ \varepsilon_{i,j}$  and  $\pi_{i,k} \sim \pi_{i,j} \circ \pi_{j,k}$ .

► **Construction 30** ( $D_\infty$ ). Given the above inputs, we construct another  $\mathcal{V}$ -dcpo  $D_\infty : \mathcal{V}\text{-DCPO}_{\mathcal{U} \sqcup \mathcal{V} \sqcup \mathcal{W}, \mathcal{U} \sqcup \mathcal{T}}$  as follows. Its carrier is given by the type:

$$\sigma : \prod_{i:I} \prod_{D_i} \prod_{j:I, i \sqsubseteq j} \pi_{i,j}(\sigma_j) = \sigma_i.$$

These functions are ordered pointwise, i.e. if  $\sigma, \tau : I \rightarrow D_i$ , then

$$\sigma \sqsubseteq_{D_\infty} \tau \equiv \prod_{i:I} \sigma_i \sqsubseteq_{D_i} \tau_i.$$

Accordingly, directed suprema are also given pointwise. Explicitly, let  $\alpha : A \rightarrow D_\infty$  be a directed family. For every  $i : I$ , we have the family  $A \rightarrow D_i$  given by  $a \mapsto (\alpha(a))_i$ , and denoted by  $\alpha_i$ . One can show that  $\alpha_i$  is directed and so we have a well-defined supremum  $\bigsqcup \alpha_i : D_i$  for every  $i : I$ . The supremum of  $\alpha$  is then given by the function  $i : I \mapsto \bigsqcup \alpha_i$ , where one should check that  $\pi_{i,j}(\bigsqcup \alpha_j) = \bigsqcup \alpha_i$  holds whenever  $i \sqsubseteq j$ .  $\lrcorner$

► **Remark 31.** We allow for general universe levels here, which is why  $D_\infty$  lives in the relatively complicated universe  $\mathcal{U} \sqcup \mathcal{V} \sqcup \mathcal{W}$ . In concrete examples, such as in Section 5.2, the situation simplifies to  $\mathcal{V} = \mathcal{W} = \mathcal{U}_0$  and  $\mathcal{U} = \mathcal{T} = \mathcal{U}_1$ .

► **Construction 32** ( $\pi_{i,\infty}$ ). For every  $i : I$ , we have a continuous function  $\pi_{i,\infty} : D_\infty \rightarrow D_i$ , given by  $\sigma \mapsto \sigma_i$ .  $\lrcorner$

► **Construction 33** ( $\varepsilon_{i,\infty}$ ). For every  $i, j : I$ , consider the function

$$\kappa : D_i \rightarrow \left( \sum_{k:I} i \sqsubseteq k \times j \sqsubseteq k \right) \rightarrow D_j$$

$$\kappa_x(k, l_i, l_j) = \pi_{i,j}(\varepsilon_{i,k}(x)).$$

Using directedness of  $(I, \sqsubseteq)$ , we can show that for every  $x : D_i$  the map  $\kappa_x$  is weakly constant (i.e. all its values are equal). Therefore, we can apply [23, Theorem 5.4] and factor  $\kappa_x$  through  $\exists_{k:I} (i \sqsubseteq k \times j \sqsubseteq k)$ . But  $(I, \sqsubseteq)$  is directed, so  $\exists_{k:I} (i \sqsubseteq k \times j \sqsubseteq k)$  is a singleton. Thus, we obtain a function  $\rho_{i,j} : D_i \rightarrow D_j$  such that: if we are given  $k : I$  with  $(l_i, l_j) : i \sqsubseteq k \times j \sqsubseteq k$ , then  $\rho_{i,j}(x) = \kappa_x(k, l_i, l_j)$ .

Finally, this allows us to construct for every  $i : I$ , a continuous function  $\varepsilon_{i,\infty} : D_i \rightarrow D_\infty$  by mapping  $x : D_i$  to the function  $\lambda(j : I). \rho_{i,j}(x)$ .  $\lrcorner$

► **Theorem 34.** For every  $i : I$ , the pair  $(\varepsilon_{i,\infty}, \pi_{i,\infty})$  is an embedding-projection pair.

► **Lemma 35.** Let  $i, j : I$  such that  $i \sqsubseteq j$ . Then  $\pi_{i,j} \circ \pi_{j,\infty} \sim \pi_i$ , and  $\varepsilon_{j,\infty} \circ \varepsilon_{i,j} \sim \varepsilon_{i,\infty}$ .

► **Theorem 36.** The dcpo  $D_\infty$  with the maps  $(\pi_{i,\infty})_{i:I}$  is the limit of  $\left( (D_i)_{i:I}, (\pi_{i,j})_{i \sqsubseteq j} \right)$ . That is, given

- (i) a  $\mathcal{V}$ -dcpo  $E : \mathcal{V}\text{-DCPO}_{\mathcal{U}', \mathcal{T}'}$ ,
  - (ii) continuous functions  $f_i : E \rightarrow D_i$  for every  $i : I$ ,
- such that  $\pi_{i,j} \circ f_j \sim f_i$  whenever  $i \sqsubseteq j$ , we have a continuous function  $f_\infty : E \rightarrow D_\infty$  such that  $\pi_{i,\infty} \circ f_\infty \sim f_i$  for every  $i : I$ . Moreover,  $f_\infty$  is the unique such continuous function.
- The function  $f_\infty$  is given by mapping  $y : E$  to the function  $\lambda(i : I). f_i(y)$ .

403 ► **Theorem 37.** *The dcpo  $D_\infty$  with the maps  $(\varepsilon_{i,\infty})_{i:I}$  is the colimit of  $((D_i)_{i:I}, (\varepsilon_{i,j})_{i \sqsubseteq j})$ .*  
 404 *That is, given*  
 405 (i) *a  $\mathcal{V}$ -dcpo  $E : \mathcal{V}\text{-DCPO}_{\mathcal{U}', \mathcal{T}'}$ ,*  
 406 (ii) *continuous functions  $g_i : D_i \rightarrow E$  for every  $i : I$ ,*  
 407 *such that  $g_j \circ \varepsilon_{i,j} \sim g_i$  whenever  $i \sqsubseteq j$ , we have a continuous function  $g_\infty : D_\infty \rightarrow E$  such that*  
 408  *$g_\infty \circ \varepsilon_{i,\infty} \sim g_i$  for every  $i : I$ . Moreover,  $g_\infty$  is the unique such continuous function.*  
 409 *The function  $g_\infty$  is given by  $\sigma \mapsto \bigsqcup_{i:I} g_i(\sigma_i)$ , where one should check that the family*  
 410  *$i \mapsto g_i(\sigma_i)$  is indeed directed.*

411 **Proof.** For uniqueness, it is useful to know that an element  $\sigma : D_\infty$  can be expressed as the  
 412 directed supremum  $\bigsqcup_{i:I} \varepsilon_{i,\infty}(\sigma_i)$ . The rest can be checked directly. ◀

413 It should be noted that in both universal properties  $E$  can have its carrier in any universe  $\mathcal{U}'$   
 414 and its order taking values in any universe  $\mathcal{T}'$ , even though we required all  $D_i$  to have their  
 415 carriers and orders in two fixed universes  $\mathcal{U}$  and  $\mathcal{T}$ , respectively.

## 416 5.2 Scott's Example Using Self-exponentiation

417 We now show that we can construct Scott's  $D_\infty$  [38] predicatively. Formulated pre-  
 418 cisely, we construct a pointed  $D_\infty : \mathcal{U}_0\text{-DCPO}_{\mathcal{U}_1, \mathcal{U}_1}$  such that  $D_\infty$  is isomorphic to its  
 419 self-exponential  $D_\infty^{D_\infty}$ .

420 We employ the machinery from Section 5.1. Following [38, pp. 126–127], we inductively  
 421 define pointed dcpos  $D_n : \mathcal{U}_0\text{-DCPO}_{\mathcal{U}_1, \mathcal{U}_1}$  for every natural number  $n$ :

- 422 (i)  $D_0 \equiv \mathcal{L}_{\mathcal{U}_0}(\mathbf{1}_{\mathcal{U}_0})$ ;
- 423 (ii)  $D_{n+1} \equiv D_n^{D_n}$ .

424 Next, we inductively define embedding-projection pairs  $(\varepsilon_n, \pi_n)$  from  $D_n$  to  $D_{n+1}$ :

- 425 (i)  $\varepsilon_0 : D_0 \rightarrow D_1$  is given by mapping  $x : D_0$  to the continuous function that is constantly  $x$ ;
- 426  $\pi_0 : D_1 \rightarrow D_0$  is given by evaluating a continuous function  $f : D_0 \rightarrow D_0$  at  $\perp$ ;
- 427 (ii)  $\varepsilon_{n+1} : D_{n+1} \rightarrow D_{n+2}$  takes a continuous function  $f : D_n \rightarrow D_n$  to the continuous
- 428 composite  $D_{n+1} \xrightarrow{\pi_n} D_n \xrightarrow{f} D_n \xrightarrow{\varepsilon_n} D_{n+1}$ ;
- 429  $\pi_{n+1} : D_{n+2} \rightarrow D_{n+1}$  takes a continuous function  $f : D_{n+1} \rightarrow D_{n+1}$  to the continuous
- 430 composite  $D_n \xrightarrow{\varepsilon_n} D_{n+1} \xrightarrow{f} D_{n+1} \xrightarrow{\pi_n} D_n$ .

431 In order to apply the machinery from Section 5.1, we will need embedding-projection  
 432 pairs  $(\varepsilon_{n,m}, \pi_{n,m})$  from  $D_n$  to  $D_m$  whenever  $n \leq m$ . Let  $n$  and  $m$  be natural numbers with  
 433  $n \leq m$  and let  $k$  be the natural number  $m - n$ . We define the pairs by induction on  $k$ :

- 434 (i) if  $k = 0$ , then we set  $\varepsilon_{n,n} = \pi_{n,n} = \text{id}$ ;
- 435 (ii) if  $k = l + 1$ , then  $\varepsilon_{n,m} = \varepsilon_{n+1} \circ \varepsilon_{n,n+l}$  and  $\pi_{n,m} = \pi_{n,n+l} \circ \pi_{n+l}$ .

436 So, Constructions 30, 32 and 33 give us  $D_\infty : \mathcal{U}_0\text{-DCPO}_{\mathcal{U}_1, \mathcal{U}_1}$  with embedding-projection  
 437 pairs  $(\varepsilon_{n,\infty}, \pi_{n,\infty})$  from  $D_n$  to  $D_\infty$  for every natural number  $n$ .

438 ► **Lemma 38.** *Let  $n$  be a natural number. The function  $\pi_n : D_{n+1} \rightarrow D_n$  is strict. Hence,*  
 439 *so is  $\pi_{n,m}$  whenever  $n \leq m$ .*

440 **Proof.** The first statement is proved by induction on  $n$ . The second by induction on  $k$  with  
 441  $k \equiv m - n$ . ◀

442 ► **Theorem 39.** *The dcpo  $D_\infty$  is pointed and isomorphic to  $D_\infty^{D_\infty}$ .*

**Proof.** Since every  $D_n$  is pointed, we can consider the function  $\sigma : \prod_{n:\mathbf{N}} D_n$  given by  $\sigma(n) \equiv \perp_{D_n}$ . Then  $\sigma$  is an element of  $D_\infty$  by Lemma 38 and it is the least, so  $D_\infty$  is indeed pointed.

We start by constructing a continuous function  $\varepsilon'_\infty : D_\infty \rightarrow D_\infty^{D_\infty}$ . By Theorem 37, it suffices to define continuous functions  $\varepsilon'_n : D_n \rightarrow D_\infty^{D_\infty}$  for every natural number  $n$  such that  $\varepsilon'_m \circ \varepsilon_{n,m} \sim \varepsilon'_n$  whenever  $n \leq m$ . We do so as follows:

- (i)  $\varepsilon'_{n+1} : D_{n+1} \rightarrow D_\infty^{D_\infty}$  is given by mapping a continuous function  $f : D_n \rightarrow D_n$  to the continuous composite  $D_\infty \xrightarrow{\pi_{n,\infty}} D_n \xrightarrow{f} D_n \xrightarrow{\varepsilon_{n,\infty}} D_\infty$ ;
- (ii)  $\varepsilon'_0 : D_0 \rightarrow D_\infty^{D_\infty}$  is defined as the continuous composite  $D_0 \xrightarrow{\varepsilon_0} D_1 \xrightarrow{\varepsilon'_1} D_\infty$ .

Next, we construct a continuous function  $\pi'_\infty : D_\infty^{D_\infty} \rightarrow D_\infty$ . By Theorem 36, it suffices to define continuous functions  $\pi'_n : D_n \rightarrow D_\infty^{D_\infty}$  for every natural number  $n$  such that  $\pi_{n,m} \circ \pi'_m \sim \pi'_n$  whenever  $n \leq m$ . We do so as follows:

- (i)  $\pi'_{n+1} : D_\infty^{D_\infty} \rightarrow D_{n+1} \equiv D_n^{D_n}$  is given by mapping a continuous function  $f : D_\infty \rightarrow D_\infty$  to the continuous composite  $D_n \xrightarrow{\varepsilon_{n,\infty}} D_\infty \xrightarrow{f} D_\infty \xrightarrow{\pi_{n,\infty}} D_n$ ;
- (ii)  $\pi'_0 : D_\infty^{D_\infty} \rightarrow D_0$  is defined as the continuous composite  $D_\infty \xrightarrow{\pi'_1} D_1 \xrightarrow{\pi_0} D_0$ .

It remains to prove that  $\varepsilon'_\infty$  and  $\pi'_\infty$  are inverses. To this end, it is convenient to have an alternative description of the maps  $\varepsilon'_\infty$  and  $\pi'_\infty$ .

$$\text{For every } \sigma : D_\infty, \text{ we have } \varepsilon'_\infty(\sigma) = \bigsqcup_{n:\mathbf{N}} \varepsilon'_{n+1}(\sigma_{n+1}). \quad (1)$$

$$\text{For every continuous } f : D_\infty \rightarrow D_\infty, \text{ we have } \pi'_\infty(f) = \bigsqcup_{n:\mathbf{N}} \varepsilon_{n+1,\infty}(\pi'_{n+1}(f)). \quad (2)$$

Using these equations we can prove that  $\varepsilon'_\infty$  and  $\pi'_\infty$  are inverses exactly as in [38, Proof of Theorem 4.4].  $\blacktriangleleft$

► **Remark 40.** Of course, Theorem 39 is only interesting in case  $D_\infty \not\equiv \mathbf{1}$ . Fortunately,  $D_\infty$  has (infinitely) many elements besides  $\perp_{D_\infty}$ . For instance, we can consider  $x_0 \equiv \eta(\star) : D_0$  and  $\sigma_0 : \prod_{n:\mathbf{N}} D_n$  given by  $\sigma_0(n) \equiv \varepsilon_{0,n}(x_0)$ . Then,  $\sigma_0$  is an element of  $D_\infty$  not equal to  $\perp_{D_\infty}$ , because  $x_0 \neq \perp_{D_0}$ .

## 6 Continuous and Algebraic Dcpo

We next consider dcpo generated by certain elements called compact, or more generally generated by a certain way below relation, giving rise to algebraic and continuous domains.

### 6.1 The Way Below Relation

► **Definition 41** (Way below relation,  $x \ll y$ ). *Let  $D$  be a  $\mathcal{V}$ -dcpo and  $x, y : D$ . We say that  $x$  is way below  $y$ , denoted by  $x \ll y$ , if for every  $I : \mathcal{V}$  and directed family  $\alpha : I \rightarrow D$ , whenever we have  $y \sqsubseteq \bigsqcup \alpha$ , then there exists some element  $i : I$  such that  $x \sqsubseteq \alpha_i$  already. Symbolically,*

$$x \ll y \equiv \prod_{I:\mathcal{V}} \prod_{\alpha:I \rightarrow D} \left( \text{is-directed}(\alpha) \rightarrow y \sqsubseteq \bigsqcup \alpha \rightarrow \exists i:I. x \sqsubseteq \alpha_i \right).$$

► **Lemma 42.** *The way below relation enjoys the following properties.*

- (i) *It is proposition-valued.*

480 (ii) If  $x \ll y$ , then  $x \sqsubseteq y$ .

481 (iii) If  $x \sqsubseteq y \ll v \sqsubseteq w$ , then  $x \ll w$ .

482 (iv) It is antisymmetric.

483 (v) It is transitive.

484 ► **Lemma 43.** Let  $D$  be a dcpo. Then  $x \sqsubseteq y$  implies  $\prod_{z:D} (z \ll x \rightarrow z \ll y)$ .

485 **Proof.** By Lemma 42(iii). ◀

486 ► **Definition 44** (Compact). Let  $D$  be a dcpo. An element  $x : D$  is called compact if  $x \ll x$ .

487 ► **Example 45.** The least element of a pointed dcpo is always compact.

488 ► **Example 46** (Compact elements in  $\mathcal{L}_{\mathcal{V}}(X)$ ). Let  $X : \mathcal{U}$  be a set. An element  $(P, \varphi) : \mathcal{L}_{\mathcal{V}}(X)$  is compact if and only if  $P$  is decidable.

490 ► **Definition 47** (Kuratowski finite). A type  $X$  is Kuratowski finite if there exists some  
491 natural number  $n : \mathbb{N}$  and a surjection  $e : \text{Fin}(n) \rightarrow X$ .

492 That is,  $X$  is Kuratowski finite if its elements can be finitely enumerated, possibly with  
493 repetitions.

494 ► **Example 48** (Compact elements in  $\mathcal{P}_{\mathcal{U}}(X)$ ). Let  $X : \mathcal{U}$  be a set. An element  $A : \mathcal{P}_{\mathcal{U}}(X)$  is  
495 compact if and only if its total type  $\mathbb{T}A$  is Kuratowski finite.

496 **Proof.** Write  $\iota : \text{List}(X) \rightarrow \mathcal{P}_{\mathcal{U}}(X)$  for the map that regards a list on  $X$  as a subset of  $X$ .  
497 The inductively generated type  $\text{List}(X)$  of lists on  $X$  lives in the same universe  $\mathcal{U}$  as  $X$ .

498 Suppose that  $A$  is compact. We must show that  $\mathbb{T}(A)$  is Kuratowski finite. Consider the  
499 map  $\alpha : \text{List}(\mathbb{T}(A)) \rightarrow \mathcal{P}_{\mathcal{U}(X)}$  which takes a list  $[(x_0, p_0), \dots, (x_{n-1}, p_{n-1})]$  to  $\iota([x_0, \dots, x_{n-1}])$ .  
500 Since the empty list is an element of  $\text{List}(\mathbb{T}(A))$  and because we can concatenate lists,  $\alpha$  is  
501 directed. Moreover,  $\text{List}(\mathbb{T}(A)) : \mathcal{U}$  and  $A = \bigsqcup \alpha$  holds. Hence, by compactness, there exists  
502 some  $l \equiv [(x_0, p_0), \dots, (x_{n-1}, p_{n-1})] : \text{List}(\mathbb{T}(A))$  such that  $A \subseteq \alpha(l)$  already. Hence, the  
503 map  $m : \text{Fin}(n) \mapsto (x_m, p_m) : \mathbb{T}(A)$  is a surjection, so  $\mathbb{T}(A)$  is Kuratowski finite.

504 Conversely, suppose that  $A$  is a subset such that  $\mathbb{T}(A)$  is Kuratowski finite. We must  
505 prove that it is compact. Let  $B_{(-)} : I \rightarrow \mathcal{P}_{\mathcal{U}}(X)$  be directed such that  $A \subseteq \bigsqcup_{i:I} B_i$ . Since  
506  $\exists_{i:I} A \subseteq B_i$  is a proposition, we can use Kuratowski finiteness of  $\mathbb{T}(A)$  to obtain a natural  
507 number  $n$  and a surjection  $e : \text{Fin}(n) \rightarrow \mathbb{T}(A)$ . For each  $m : \text{Fin}(n)$ , find  $i_m$  such that  
508  $e_m \in B_{i_m}$ . By directedness of  $I$ , there exists  $k : I$  such that  $e_m \in B_k$  for every  $m : \text{Fin}(n)$ .  
509 Hence,  $\exists_{k:I} A \subseteq B_k$ , as desired. ◀

## 510 6.2 Continuous Dcpo

511 Classically, a continuous dcpo is a dcpo where every element is the directed join of the set of  
512 elements way below it [3]. Predicatively, we must be careful, because if  $x$  is an element of a  
513 dcpo  $D$ , then  $\sum_{y:D} y \ll x$  is typically large, so its directed join need not exist for size reasons.  
514 Our solution is to use a predicative version of bases [1] that accounts for size issues. For the  
515 special case of algebraic dcpo, our situation is the poset analogue of accessible categories [2].  
516 Indeed, in category theory requiring smallness is common, even in impredicative settings, see  
517 for instance [21], where continuous dcpo are generalized to continuous categories.

518 ► **Definition 49** (Basis, approximating family). A basis for  $\mathcal{V}$ -dcpo  $D$  is a function  $\beta : B \rightarrow D$   
519 with  $B : \mathcal{V}$  such that for every  $x : D$  there exists some  $\alpha : I \rightarrow B$  with  $I : \mathcal{V}$  such that

520 (i)  $\beta \circ \alpha$  is directed and its supremum is  $x$ ;

521 (ii)  $\beta(\alpha_i) \ll x$  for every  $i : I$ .

522 We summarise these requirements by saying that  $\alpha$  is an approximating family for  $x$ .

523 Moreover, we require that  $\ll$  is small when restricted to the basis. That is, we have  
 524  $\ll^B : B \rightarrow B \rightarrow \mathcal{V}$  such that  $(\beta(b) \ll \beta(b')) \simeq (b \ll^B b')$  for every  $b, b' : B$ .

525 ► **Definition 50** (Continuous dcpo). A dcpo  $D$  is continuous if there exists some basis for it.

526 We postpone giving examples of continuous dcpos until we have developed the theory  
 527 further, but the interested reader may look ahead to Examples 58, 59 and 82.

528 A useful property of bases is that it allows us to express the order fully in terms of the  
 529 way below-relation, giving a converse to Lemma 43.

530 ► **Lemma 51.** Let  $D$  be a dcpo with basis  $\beta : B \rightarrow D$ . Then  $x \sqsubseteq y$  holds if and only if  
 531  $\prod_{b:B} (\beta(b) \ll x \rightarrow \beta(b) \ll y)$ .

532 **Proof.** The left-to-right implication holds by Lemma 43. For the converse, suppose that we  
 533 have  $x, y : D$  such that for every  $\prod_{b:B} (\beta(b) \ll x \rightarrow \beta(b) \ll y)$ . Since  $x \sqsubseteq y$  is a proposition,  
 534 we can obtain  $\alpha : I \rightarrow B$  such that  $\beta \circ \alpha$  is directed and  $\bigsqcup \beta \circ \alpha = x$  and  $\beta(\alpha_i) \ll x$  for  
 535 every  $i : I$ . It then suffices to show that  $\bigsqcup \beta \circ \alpha \sqsubseteq y$ . Since  $\bigsqcup$  gives the least upper bound,  
 536 it is enough to prove that  $\beta(\alpha_i) \sqsubseteq y$  for every  $i : I$ , but this holds by our hypothesis, our  
 537 assumption that  $\beta(\alpha_i) \ll x$  for every  $i : I$ , and Lemma 42(ii). ◀

538 ► **Lemma 52.** Let  $D$  be a  $\mathcal{V}$ -dcpo with a basis  $\beta : B \rightarrow D$ . Then  $\sqsubseteq$  is small when restricted  
 539 to the basis, i.e.  $\beta(b_1) \sqsubseteq \beta(b_2)$  has size  $\mathcal{V}$  for every two elements  $b_1, b_2 : B$ . Hence, we have  
 540  $\sqsubseteq^B : B \rightarrow B \rightarrow \mathcal{V}$  such that  $\prod_{b_1, b_2 : B} (b_1 \sqsubseteq^B b_2) \simeq (\beta(b_1) \sqsubseteq \beta(b_2))$ .

541 **Proof.** Let  $b_1, b_2 : B$  and note that we have the following equivalences:

$$\begin{aligned}
 542 \quad (\beta(b_1) \sqsubseteq \beta(b_2)) &\simeq \prod_{b:B} (\beta(b) \ll \beta(b_1) \rightarrow \beta(b) \ll \beta(b_2)) && \text{(by Lemma 51)} \\
 543 \quad &\simeq \prod_{b:B} (b \ll^B b_1 \rightarrow b \ll^B b_2) && \text{(by definition of a basis),} \\
 544 \quad &
 \end{aligned}$$

545 but the latter is a type in  $\mathcal{V}$ . ◀

546 The most significant properties of a basis are the interpolation properties. We consider  
 547 nullary, unary and binary versions here. The binary interpolation property actually follows  
 548 fairly easily from the unary one, but we still record it, because we wish to show that bases  
 549 are examples of the abstract bases that we define later (cf. Example 62).

550 ► **Lemma 53** (Nullary interpolation). Let  $D$  be a dcpo with a basis  $\beta : B \rightarrow D$ . For every  
 551  $x : D$ , there exists some  $b : B$  such that  $\beta(b) \ll x$ .

552 **Proof.** Immediate from the definitions of a basis and a directed family. ◀

553 ► **Lemma 54** (Unary interpolation). Let  $D$  be a  $\mathcal{V}$ -dcpo with basis  $\beta : B \rightarrow D$  and let  $x, y : D$ .  
 554 If  $x \ll y$ , then there exists some  $b : B$  such that  $x \ll \beta(b) \ll y$ .

555 **Proof.** Our proof is a predicative version of [12]. Let  $x, y : D$  with  $x \ll y$ . Since  $\beta$  is a basis,  
 556 there exists an approximating family  $\alpha : I \rightarrow D$  for  $y$ . Consider the family

$$557 \quad \left( K \equiv \sum_{b:B} \sum_{i:I} b \ll^B \alpha_i : \mathcal{V} \right) \xrightarrow{\text{pr}_1} B \xrightarrow{\beta} D. \quad (\dagger)$$

558 ► **Claim.** The family  $(\dagger)$  is directed.

559 Proof. By directedness of  $\alpha$  and nullary interpolation, the type  $K$  is inhabited.

560 Now suppose that we have  $b_1, b_2 : B$  and  $i_1, i_2 : I$  with  $b_1 \ll^B \alpha_{i_1}$  and  $b_2 \ll^B \alpha_{i_2}$ . By  
 561 directedness of  $\alpha$ , there exists  $k : I$  with  $\alpha_{i_1}, \alpha_{i_2} \sqsubseteq^B \alpha_k$ . Since  $\beta$  is a basis for  $D$ , there exists  
 562 an approximating family  $\gamma : J \rightarrow B$  for  $\beta(\alpha_k)$ . From  $b_1 \ll^B \alpha_{i_1}$  we obtain  $b_1 \ll^B \alpha_k$  and  
 563 similarly,  $b_2 \ll^B \alpha_k$ . Hence, there exist  $j_1, j_2 : J$  such that  $b_1 \sqsubseteq^B \gamma_{j_1}$  and  $b_2 \sqsubseteq^B \gamma_{j_2}$ . By  
 564 directedness of  $J$ , there exists  $m : J$  with  $\gamma_{j_1}, \gamma_{j_2} \sqsubseteq^B \gamma_m$ . Thus, putting this all together, we  
 565 see that:  $b_1, b_2 \sqsubseteq^B \gamma_m \ll^B \alpha_k$ . Hence,  $(\dagger)$  is directed.  $\triangleleft$

566 Thus,  $(\dagger)$  has a supremum  $s$  in  $D$ .

567  $\triangleright$  Claim. We have  $y \sqsubseteq s$ .

568 Proof. Since  $y = \bigsqcup \beta \circ \alpha$ , it suffices to prove that  $\beta(\alpha_i) \sqsubseteq s$  for every  $i : I$ . Let  $i : I$  be  
 569 arbitrary and let  $\gamma_j : J \rightarrow B$  be some approximating family for  $\beta(\alpha_i)$ . Then it is enough to  
 570 establish  $\beta(\gamma_j) \sqsubseteq s$  for every  $j : J$ . But we know that  $\gamma_j \ll^B \alpha_i$ , so  $\beta_{\gamma_j} \sqsubseteq s$  by definition of  
 571  $(\dagger)$  and the fact that  $s$  is the supremum of  $(\dagger)$ .  $\triangleleft$

572 Finally, from  $y \sqsubseteq s$  and  $x \ll y$ , it follows that there must exist  $b : B$  and  $i : I$  such that:  
 573  $x \sqsubseteq \beta(b) \ll \beta(\alpha_i) \ll y$ , which finishes the proof.  $\blacktriangleleft$

574  $\blacktriangleright$  **Lemma 55** (Binary interpolation). *Let  $D$  be a  $\mathcal{V}$ -dcpo with basis  $\beta : B \rightarrow D$  and let*  
 575  *$x, y, z : D$ . If  $x, y \ll z$ , then there exists some  $b : B$  such that  $x, y \ll \beta(b) \ll z$ .*

576 **Proof.** Let  $x, y, z : D$  such that  $x, y \ll z$ . By unary interpolation, there are  $b_x, b_y : B$  such  
 577 that  $x \ll \beta(b_x) \ll z$  and  $y \ll \beta(b_y) \ll z$ . Since  $\beta$  is a basis, there exists a family  $\alpha : I \rightarrow B$   
 578 such that  $\beta(\alpha_i) \ll z$  for every  $i : I$ , and  $\beta \circ \alpha$  is directed and has supremum  $z$ . Since  
 579  $\beta(b_x) \ll z$ , there must exist  $i_x : I$  with  $\beta(b_x) \sqsubseteq \beta(\alpha_{i_x})$ . Similarly, there exists  $i_y : I$  such  
 580 that  $\beta(b_y) \sqsubseteq \beta(\alpha_{i_y})$ . By directedness of  $\beta \circ \alpha$ , there exists  $k : I$  with  $\beta(\alpha_{i_x}), \beta(\alpha_{i_y}) \sqsubseteq \beta(\alpha_k)$ .  
 581 Hence,

$$582 \quad x \ll \beta(b_x) \sqsubseteq \beta(\alpha_{i_x}) \sqsubseteq \beta(\alpha_k) \ll z \quad \text{and} \quad y \ll \beta(b_y) \sqsubseteq \beta(\alpha_{i_y}) \sqsubseteq \beta(\alpha_k) \ll z,$$

583 so that  $x, y \ll \beta(\alpha_k) \ll z$ , as wished.  $\blacktriangleleft$

### 584 6.3 Algebraic Dcpo

585 We now turn to a particular class of continuous dcpo, called algebraic dcpo.

586  $\blacktriangleright$  **Definition 56** (Algebraic dcpo). *A dcpo  $D$  is algebraic if there exists some basis  $\beta : B \rightarrow D$*   
 587 *for it such that  $\beta(b)$  is compact for every  $b : B$ .*

588  $\blacktriangleright$  **Lemma 57.** *Let  $D$  be a  $\mathcal{V}$ -dcpo. Then  $D$  is algebraic if and only if there exists  $\beta : B \rightarrow D$*   
 589 *with  $B : \mathcal{V}$  such that*

- 590 (i) *every element  $\beta(b)$  is compact;*
- 591 (ii) *for every  $x : D$ , there exists  $\alpha : I \rightarrow B$  with  $I : \mathcal{V}$  such that  $x = \bigsqcup \beta \circ \alpha$ .*

592 **Proof.** We just need to show that having  $\beta : B \rightarrow D$  and  $\alpha : I \rightarrow B$  such that every element  
 593  $\beta(b)$  is compact and  $x = \bigsqcup \beta \circ \alpha$ , already implies that  $\beta(\alpha_i) \ll x$  for every  $i : I$ . But if  $i : I$ ,  
 594 then  $\beta(\alpha_i) \ll \beta(\alpha_i) \sqsubseteq \bigsqcup \beta \circ \alpha = x$  by compactness of  $\beta(\alpha_i)$ , so Lemma 42(iii) now finishes  
 595 the proof.  $\blacktriangleleft$

596  $\blacktriangleright$  **Example 58** ( $\mathcal{L}_{\mathcal{U}}(X)$  is algebraic). Let  $X : \mathcal{U}$  be a set and consider  $\mathcal{L}_{\mathcal{U}}(X) : \mathcal{U}\text{-DCPO}_{\mathcal{U}^+, \mathcal{U}^+}$ .  
 597 The basis  $[\perp, \eta_X] : (1_{\mathcal{U}} + X) \rightarrow \mathcal{L}_{\mathcal{U}}(X)$  exhibits  $\mathcal{L}_{\mathcal{U}}(X)$  as an algebraic dcpo.



Proof. By Example 46, the elements  $\perp$  and  $\eta_X(x)$  (with  $x : X$ ) are all compact, so it remains to show that  $\mathbf{1}_U + X$  is indeed a basis. Recalling Lemmas 19 and 20, we can write any element  $(P, \varphi) : \mathcal{L}_V(X)$  as the directed join  $\bigsqcup([\perp, \eta_X] \circ \alpha)$  with  $\alpha \equiv [\text{id}, \varphi] : (\mathbf{1}_U + P) \rightarrow (\mathbf{1}_U + X)$ . By Lemma 57 the proof is finished.  $\triangleleft$

► **Example 59** ( $\mathcal{P}_U(X)$  is algebraic). Let  $X : \mathcal{U}$  be a set and consider  $\mathcal{P}_U(X) : \mathcal{U}\text{-DCPO}_{U^+, \mathcal{U}}$ . The basis  $\iota : \text{List}(X) \rightarrow \mathcal{P}_U(X)$  that maps a finite list to a Kuratowski finite subset exhibits  $\mathcal{P}_U(X)$  as an algebraic dpcpo.

Proof. By Example 48, the element  $\iota(l)$  is compact for every list  $l : \text{List}(X)$ , so it remains to show that  $\text{List}(X)$  is indeed a basis. In the proof of Example 48, we saw that every  $\mathcal{U}$ -subset  $A$  of  $X$  can be expressed as the directed supremum  $\bigsqcup \iota \circ \alpha$  where  $\alpha : \text{List}(\mathbb{T}(A)) \rightarrow \text{List}(X)$  takes a list  $[(x_0, p_0), \dots, (x_{n-1}, p_{n-1})]$  to the list  $[x_0, \dots, x_{n-1}]$ . Another application of Lemma 57 now finishes the proof.  $\triangleleft$

► **Example 60** (Scott's  $D_\infty$  is algebraic). The pointed dpcpo  $D_\infty : \mathcal{U}_0\text{-DCPO}_{\mathcal{U}_1, \mathcal{U}_1}$  with  $D_\infty \cong D_\infty^{\mathcal{D}_\infty}$  from Section 5.2 is algebraic. We postpone the proof until Section 6.4, since we will need some additional results on locally small dcpos.

## 6.4 Ideal Completion

Finally, we consider how to build dcpos from posets, or more generally from abstract bases, using the rounded ideal completion [1, Section 2.2.6]. Given our definition of the notion of dpcpo, the reader might expect us to define ideals using families rather than subsets. However, we use subsets for extensionality reasons. Two subsets  $A$  and  $B$  of some  $X$  are equal exactly when  $x \in A \iff x \in B$  for every  $x : X$ . However, given two (directed) families  $\alpha : I \rightarrow X$  and  $\beta : J \rightarrow X$ , it is of course not the case (it does not even typecheck) that  $\alpha = \beta$  when  $\Pi_{i:I} \exists j:J \alpha_i = \beta_j$  and  $\Pi_{j:J} \exists i:I \beta_j = \alpha_i$  hold. We could try to construct the ideal completion by quotienting the families, but then it seems impossible to define directed suprema in the ideal completion without resorting to choice.

► **Definition 61** (Abstract basis). A pair  $(B, \prec)$  with  $B : \mathcal{V}$  and  $\prec$  taking values in  $\mathcal{V}$  is called a  $\mathcal{V}$ -abstract basis if:

- (i)  $\prec$  is proposition-valued;
- (ii)  $\prec$  is transitive;
- (iii)  $\prec$  satisfies nullary interpolation, i.e. for every  $x : B$ , there exists some  $y : B$  with  $y \prec x$ ;
- (iv)  $\prec$  satisfies binary interpolation, i.e. for every  $x, y : B$  with  $x \prec y$ , there exists some  $z : B$  with  $x \prec z \prec y$ .

► **Example 62.** Let  $D$  be a  $\mathcal{V}$ -dpcpo with a basis  $\beta : B \rightarrow D$ . By Lemmas 42, 53 and 55, the pair  $(B, \ll^B)$  is an example of a  $\mathcal{V}$ -abstract basis.

► **Example 63.** Any preorder  $(P, \sqsubseteq)$  with  $P : \mathcal{V}$  and  $\sqsubseteq$  taking values in  $\mathcal{V}$  is a  $\mathcal{V}$ -abstract basis, since reflexivity implies both interpolation properties.

For the remainder of this section, fix some arbitrary  $\mathcal{V}$ -abstract basis  $(B, \prec)$ .

► **Definition 64** (Directed subset). Let  $A$  be a  $\mathcal{V}$ -subset of  $B$ . Then  $A$  is directed if  $A$  is inhabited (i.e.  $\exists x:B x \in A$  holds) and for every  $x, y \in A$ , there exists some  $z \in A$  such that  $x, y \sqsubseteq z$ .

639 ► **Definition 65** (Ideal, lower set). *Let  $A$  be a  $\mathcal{V}$ -subset of  $B$ . Then  $A$  is an ideal if  $A$  is a*  
 640 *directed subset of  $B$  and  $A$  is a lower set, i.e. if  $x \prec y$  and  $y \in A$ , then  $x \in A$  as well.*

641 ► **Construction 66** (Rounded ideal completion  $\text{Idl}(B, \prec)$ ). We construct a  $\mathcal{V}$ -dcpo, known as  
 642 the (rounded) ideal completion  $\text{Idl}(B, \prec) : \mathcal{V}\text{-DCPO}_{\mathcal{V}^+, \mathcal{V}}$  of  $(B, \prec)$ . The carrier is given by  
 643 the type  $\sum_{I : B \rightarrow \mathcal{V}} \text{is-ideal}(I)$  of ideals on  $(B, \prec)$ . The order is given by subset inclusion  $\subseteq$ .  
 644 If we have a directed family  $\alpha : A \rightarrow \text{Idl}(B, \prec)$  of ideals (with  $A : \mathcal{V}$ ), then the subset given  
 645 by  $\lambda x. \exists a : A. x \in \alpha_a$  is again an ideal and the supremum of  $\alpha$  in  $\text{Idl}(B, \prec)$ . ◻

646 ► **Lemma 67** (Rounded ideals). *The ideals of  $\text{Idl}(B, \prec)$  are rounded. That is, if  $I : \text{Idl}(B, \prec)$*   
 647 *and  $x \in I$ , then there exists some  $y \in I$  with  $x \prec y$ .*

648 **Proof.** Immediate from the fact that ideals are directed sets. ◀

649 ► **Definition 68** (Principal ideal  $\downarrow x$ ). We write  $\downarrow(-) : B \rightarrow \text{Idl}(B, \prec)$  for the map that takes  
 650  $x : B$  to the principal ideal  $\lambda y. y \prec x$ .

651 ► **Lemma 69.** *Let  $I : \text{Idl}(B, \prec)$  be an ideal. Then  $I$  may be expressed as the supremum of*  
 652 *the directed family  $(x, p) : \mathbb{T}(I) \mapsto \downarrow x : \text{Idl}(B, \prec)$ , which we will denote by  $I = \bigsqcup_{x \in I} \downarrow x$ .*

653 **Proof.** Directedness of the family follows from the fact that  $I$  is a directed subset. Since  $I$  is  
 654 a lower set,  $\downarrow x \subseteq I$  holds for every  $x \in I$ , establishing  $\bigsqcup_{x \in I} \downarrow x \subseteq I$ . The reverse inclusion  
 655 follows from Lemma 67. ◀

656 We wish to prove that  $\text{Idl}(B, \prec)$  is continuous with basis  $\downarrow(-) : B \rightarrow \text{Idl}(B, \prec)$ . To this end,  
 657 it is useful to express  $\ll_{\text{Idl}(B, \prec)}$  in more elementary terms.

658 ► **Lemma 70.** *Let  $I, J : \text{Idl}(B, \prec)$  be two ideals. Then  $I \ll J$  holds if and only there exists*  
 659  *$x \in J$  such that  $I \subseteq \downarrow x$ .*

660 **Proof.** The left-to-right implication follows immediately from Lemma 69.

661 For the converse, note that  $I \ll J$  is a proposition, so we may assume that we have  $x \in J$   
 662 with  $I \subseteq \downarrow x$ . Now let  $\alpha : A \rightarrow \text{Idl}(B, \prec)$  be a directed family such that  $J \subseteq \bigsqcup \alpha$ . Then there  
 663 must exist some  $a : A$  for which  $x \in \alpha_a$ . But  $I \subseteq \downarrow x$  and  $\alpha_a$  is a lower set, so  $I \subseteq \alpha_a$ . ◀

664 ► **Theorem 71.** *The map  $\downarrow(-) : B \rightarrow \text{Idl}(B, \prec)$  is a basis for  $\text{Idl}(B, \prec)$ . Thus,  $\text{Idl}(B, \prec)$  is*  
 665 *a continuous  $\mathcal{V}$ -dcpo.*

666 **Proof.** Let  $I : \text{Idl}(B, \prec)$  be arbitrary. By Lemma 69 we can express  $I$  as the supremum  
 667  $\bigsqcup_{x \in I} \downarrow x$ , so it is enough to prove that  $\downarrow x \ll I$  for every  $x \in I$ . But this follows from  
 668 Lemmas 67 and 70. ◀

669 ► **Lemma 72.** *If  $\prec$  is reflexive, then the compact elements of  $\text{Idl}(B, \prec)$  are exactly the*  
 670 *principal ideals and  $\text{Idl}(B, \prec)$  is algebraic.*

671 **Proof.** Immediate from Lemma 70. ◀

672 ► **Theorem 73.** *The ideal completion is the free dcpo on a small poset. That is, if we have*  
 673 *a poset  $(P, \sqsubseteq)$  with  $P : \mathcal{V}$  and  $\sqsubseteq$  taking values in  $\mathcal{V}$ , then for every  $D : \mathcal{V}\text{-DCPO}_{\mathcal{U}, \mathcal{T}}$  and*  
 674 *monotone function  $f : P \rightarrow D$ , there is a unique continuous function  $\bar{f} : \text{Idl}(P, \sqsubseteq) \rightarrow D$  such*  
 675 *that*

676

$$\begin{array}{ccc}
 P & \xrightarrow{f} & D \\
 \searrow \downarrow(-) & & \nearrow \bar{f} \\
 & \text{Idl}(P, \sqsubseteq) &
 \end{array}$$

677 *commutes.*

678 **Proof.** Given  $(P, \sqsubseteq)$ ,  $D$  and  $f$  as in the theorem, we define  $\bar{f}$  by mapping an ideal  $I$  to the  
 679 supremum of the directed (since  $I$  is an ideal) family  $\mathbb{T}(I) \xrightarrow{\text{pr}_1} P \xrightarrow{f} D$ .

680 Commutativity of the diagram expresses that  $f(x) = \bigsqcup_{y \sqsubseteq x} f(y)$  for every  $x : P$ . By anti-  
 681 symmetry of  $\sqsubseteq$ , it suffices to prove  $f(x) \sqsubseteq \bigsqcup_{y \sqsubseteq x} f(y)$  and  $\bigsqcup_{y \sqsubseteq x} f(y) \sqsubseteq f(x)$ . The first holds  
 682 by reflexivity of  $\sqsubseteq$  and the second holds because  $f$  is monotone.

683 Uniqueness of  $\bar{f}$  follows easily using Lemma 69. Finally, continuity of  $\bar{f}$  is not hard to  
 684 establish either.  $\blacktriangleleft$

685 **► Definition 74** (Continuous retract, section, retraction). *A  $\mathcal{V}$ -dcpo  $D$  is a continuous retract*  
 686 *of another  $\mathcal{V}$ -dcpo  $E$  if we have continuous functions  $s : D \rightarrow E$  (the section) and  $r : E \rightarrow D$*   
 687 *(the retraction) such that  $r(s(x)) = x$  for every  $x : D$ .*

688 **► Theorem 75.** *If  $E$  is a dcpo with basis  $\beta : B \rightarrow D$  and  $D$  is a continuous retract of  $E$*   
 689 *with retraction  $r$ , then  $r \circ \beta$  is a basis for  $D$ .*

690 **Proof.** Let  $E$  be a dcpo with basis  $\beta : B \rightarrow D$  and suppose that we have continuous  
 691 retraction  $r : E \rightarrow D$  with continuous section  $s : D \rightarrow E$ . Given  $x : D$ , there exists some  
 692 approximating family  $\alpha : I \rightarrow B$  for  $s(x)$ . We claim that  $\alpha$  is an approximating family for  $x$   
 693 as well, i.e.

694 (i)  $r(\beta(\alpha_i)) \ll x$  for every  $i : I$  and

695 (ii)  $\bigsqcup r \circ \beta \circ \alpha = x$ .

696 The second follows from continuity of  $r$ , since:  $\bigsqcup r \circ \beta \circ \alpha = r(\bigsqcup \beta \circ \alpha) = r(s(x)) = x$ . For  
 697 (i), suppose that  $i : I$  and that  $\gamma : J \rightarrow D$  is a directed family satisfying  $x \sqsubseteq \bigsqcup \gamma$ . We must  
 698 show that there exists  $j : J$  with  $r(\beta(\alpha_i)) \sqsubseteq \gamma_j$ . By continuity of  $s$ , we get  $s(x) \sqsubseteq \bigsqcup s \circ \gamma$ .  
 699 Hence, since  $\beta(\alpha_i) \ll s(x)$ , there must exist  $j : J$  with  $\beta(\alpha_i) \sqsubseteq s(\gamma_j)$ . Thus, by monotonicity  
 700 of  $r$ , we get the desired  $r(\beta(\alpha_i)) \sqsubseteq r(s(\gamma_j)) = \gamma_j$ .  $\blacktriangleleft$

701 We now turn to locally small dcpos, as they allow us to find canonical approximating families,  
 702 which is used in the proof of Theorem 78.

703 **► Lemma 76.** *Let  $D$  be a  $\mathcal{V}$ -dcpo with basis  $\beta : B \rightarrow D$ . The following are equivalent:*

704 (i)  *$D$  is locally small;*

705 (ii)  *$\beta(b) \ll x$  has size  $\mathcal{V}$  for every  $x : D$  and  $b : B$ .*

706 **Proof.** Recalling Lemma 51, the type  $x \sqsubseteq y$  is equivalent to  $\prod_{b:B} (\beta(b) \ll x \rightarrow \beta(b) \ll y)$   
 707 for every  $x, y : D$ . Thus, (ii) implies (i). Conversely, assume that  $D$  is locally small and let  
 708  $x : D$  and  $b : B$ . We claim that  $\beta(b) \ll x$  is equivalent to  $\exists b' : B (b \ll^B b' \times \beta(b') \sqsubseteq_{\text{small}} x) : \mathcal{V}$ .  
 709 The left-to-right implication is given by Lemma 54, and the converse by Lemma 42(iii).  $\blacktriangleleft$

710 **► Lemma 77.** *Let  $D$  be a  $\mathcal{V}$ -dcpo with basis  $\beta : B \rightarrow D$ . If  $D$  is locally small, then an*  
 711 *element  $x : D$  is the supremum of the large directed family  $(\sum_{b:B} \beta(b) \ll x) \xrightarrow{\text{pr}_1} B \xrightarrow{\beta} D$ .*  
 712 *Moreover, if  $D$  is locally small, then this directed family is small.*

713 **Proof.** The family  $\text{pr}_1 \circ \beta$  is directed by the nullary (Lemma 53) and binary (Lemma 55)  
 714 interpolation properties. Now suppose that  $D$  is locally small. By Lemma 76, we have  $I : \mathcal{V}$   
 715 and  $\alpha : I \rightarrow D$  directed such that  $\bigsqcup \alpha$  is the supremum of  $(\sum_{b:B} \beta(b) \ll x) \xrightarrow{\text{pr}_1} B \xrightarrow{\beta} D$ .  
 716 Since  $\beta : B \rightarrow D$  is a basis of  $D$ , we see that  $x \sqsubseteq \bigsqcup \alpha$ . For the reverse inequality, it suffices to  
 717 show that  $\beta(b) \sqsubseteq x$  for every  $b : B$  with  $\beta(b) \ll x$ . But this follows from Lemma 42(ii).  $\blacktriangleleft$

718 **► Theorem 78.** *Let  $D$  be a  $\mathcal{V}$ -dcpo with basis  $\beta : B \rightarrow D$  and suppose that  $D$  is locally small.*  
 719 *Then  $D$  is a continuous retract of the algebraic  $\mathcal{V}$ -dcpo  $\text{Idl}(B, \sqsubseteq^B)$  (recall Lemma 52).*

**Proof.** By Lemma 72,  $\text{Idl}(B, \sqsubseteq^B)$  is indeed algebraic. Let  $D$  be a  $\mathcal{V}$ -dcpo satisfying the hypotheses of the lemma. Let  $\ll_{\text{small}} : B \rightarrow D \rightarrow \mathcal{V}$  be such that  $(b \ll_{\text{small}} x) \simeq (\beta(b) \ll x)$  for every  $x : D$  and  $b : B$ .

For every  $x : D$ , we can consider the subset  $\downarrow x$  given by  $\lambda(b : B). b \ll_{\text{small}} x$ . We show that it is an ideal. By Lemma 77 it is a directed subset. And if  $b \in \downarrow x$  and  $b' \sqsubseteq^B b$ , then  $b' \in \downarrow x$  as well by virtue of Lemma 42(iii). So  $\downarrow x$  is a lower set, and indeed an ideal.

We claim that the map  $\downarrow(-)$  is continuous. By Lemma 43, it is monotone. Thus, we are left to show that if  $\alpha : I \rightarrow D$  is directed, then  $\downarrow(\bigsqcup \alpha) \subseteq \bigsqcup_{i:I} \downarrow \alpha_i$ . Let  $b \in \downarrow(\bigsqcup \alpha)$ , i.e.  $b \in B$  such that  $b \ll_{\text{small}} \bigsqcup \alpha$ . By Lemma 54, there exists  $b' : B$  with  $b \ll^B b' \ll_{\text{small}} \bigsqcup \alpha$ . Hence, there must exist  $i : I$  such that  $\beta(b) \ll \beta(b') \sqsubseteq \alpha_i$ , thus,  $b \in \downarrow \alpha_i$  and  $\downarrow(-)$  is indeed continuous.

Next, define  $r : \text{Idl}(B, \sqsubseteq^B) \rightarrow D$  using Theorem 73 as the unique continuous function such that

$$\begin{array}{ccc} B & \xrightarrow{\beta} & D \\ \downarrow(-) \searrow & & \nearrow r \\ & \text{Idl}(B, \sqsubseteq^B) & \end{array}$$

commutes, i.e.  $r$  maps an ideal  $I$  to the directed supremum  $\bigsqcup_{b \in I} \beta(b)$  in  $D$ .

Finally, we show that  $\downarrow(-)$  is a section of  $r$ . That is, the equality  $\bigsqcup_{b \ll_{\text{small}} x} \beta(b) = x$  holds for every  $x : D$ . But this is exactly Lemma 77.  $\blacktriangleleft$

One may wonder how restrictive the condition that  $D$  is locally small is. We note that if  $X$  is a set, then  $\mathcal{L}_{\mathcal{V}}(X)$  (by Lemma 18) and  $\mathcal{P}_{\mathcal{V}}(X)$  are examples of locally small  $\mathcal{V}$ -dcpo. A natural question is what happens with exponentials. In general,  $E^D$  may fail to be locally small even when both  $D$  and  $E$  are. However, we do have the following result.

**► Lemma 79.** *Let  $D$  and  $E$  be  $\mathcal{V}$ -dcpo. Suppose that  $D$  is continuous and  $E$  is locally small. Then  $E^D$  is locally small.*

**Proof.** Since being locally small is a proposition, we may assume that we are given a basis  $\beta : B \rightarrow D$  of  $D$ . We claim that for every two continuous functions  $f, g : D \rightarrow E$  we have an equivalence

$$\left( \prod_{x:D} f(x) \sqsubseteq_E g(x) \right) \simeq \left( \prod_{b:B} f(\beta(b)) \sqsubseteq_{\text{small}} g(\beta(b)) \right).$$

Since  $B : \mathcal{V}$  and  $\sqsubseteq_{\text{small}}$  takes values in  $\mathcal{V}$ , the second type is also in  $\mathcal{V}$ . For the equivalence, note that the left-to-right implication is trivial. For the converse, assume the right-hand side and let  $x : D$ . By continuity of  $D$ , there exists some approximating family  $\alpha : I \rightarrow B$  for  $x$ . We use it as follows:

$$\begin{aligned} f(x) &= f\left(\bigsqcup \beta \circ \alpha\right) \\ &= \bigsqcup_{i:I} f(\beta(\alpha_i)) && \text{(by continuity of } f) \\ &\sqsubseteq \bigsqcup_{i:I} g(\beta(\alpha_i)) && \text{(by assumption)} \\ &= g\left(\bigsqcup \beta \circ \alpha\right) && \text{(by continuity of } g) \\ &= g(x), \end{aligned}$$

which finishes the proof.  $\blacktriangleleft$

Moreover, the (co)limit of locally small dcpos is locally small.

► **Lemma 80.** *Given a system  $(D_i, \varepsilon_{i,j}, \pi_{i,j})$  as in Section 5.1, if every  $D_i$  is locally small, then so is  $D_\infty$ .*

Finally, the requirement that  $D$  is locally small is necessary, in the following sense.

► **Lemma 81.** *Let  $D$  be a  $\mathcal{V}$ -dcpo with basis  $\beta : B \rightarrow D$ . Suppose that  $D$  is a continuous retract of  $\text{Idl}(B, \sqsubseteq^B)$ . Then  $D$  is locally small.*

**Proof.** Let  $s : D \rightarrow \text{Idl}(B, \sqsubseteq^B)$  be a section of a map  $r : \text{Idl}(B, \sqsubseteq^B) \rightarrow D$ , with both maps continuous. Then  $x \sqsubseteq_D y$  holds if and only if  $s(x) \sqsubseteq_{\text{Idl}(B, \sqsubseteq^B)} s(y)$ . Since  $\text{Idl}(B, \sqsubseteq^B)$  is locally small, so must  $D$ . ◀

We have now developed the theory sufficiently to give a proof of Example 60.

Proof of Example 60 (Scott's  $D_\infty$  is algebraic). Firstly, notice that  $D_0$  is not just a  $\mathcal{U}_0$ -dcpo, but in fact a  $\mathcal{U}_0$ -sup lattice, i.e. it has joins for all families indexed by types in  $\mathcal{U}_0$ . Moreover, since joins in exponentials are given pointwise, every  $D_n$  is in fact a  $\mathcal{U}_0$ -sup lattice. In particular, every  $D_n$  has all finite joins. Hence, if we have  $\alpha : I \rightarrow D_n$  with  $I : \mathcal{U}_0$ , then we can consider the directed family  $\bar{\alpha} : \bar{I} \rightarrow D_n$  with  $\bar{I} \equiv \sum_{k:\mathbf{N}} (\text{Fin } k \rightarrow D_n)$  and  $\bar{\alpha}$  mapping a pair  $(k, f)$  to the finite join  $\bigvee_{0 \leq i < k} f(i)$ . Moreover, if every  $\alpha_i$  is compact, then so is every  $\bar{\alpha}_{\bar{i}}$ , since finite joins of compact elements are compact again. We show this explicitly for binary joins from which the general case follows by induction. If  $a, b : D_n$  are compact and  $a, b \sqsubseteq a \vee b \sqsubseteq \bigsqcup \gamma$  for some directed family  $\gamma : J \rightarrow D_n$ , then by compactness of  $a$  and  $b$ , there exist  $j_a, j_b : J$  such that  $a \sqsubseteq \gamma_{j_a}$  and  $b \sqsubseteq \gamma_{j_b}$ . By directedness of  $\gamma$ , there exists  $k : J$  with  $a, b \sqsubseteq \gamma_k$ . Hence,  $a \vee b \sqsubseteq \gamma_k$ , as desired.

► **Claim.** Every  $D_n$  is locally small and has a basis  $\beta_n : B_n \rightarrow D_n$  of compact elements.

Proof. We prove this by induction. For  $n = 0$ , this follows from Lemma 18 and Example 58. Now suppose that  $B_m$  is locally small and has a basis  $\beta_m : B_m \rightarrow D_m$ . By Lemma 79, the dcpo  $B_{m+1} \equiv B_m^{B_m}$  is locally small. If we have  $a, b : B_m$ , then we define the continuous step function  $(a \Rightarrow b) : D_m \rightarrow D_m$  by  $x \mapsto \bigvee_{\beta_m(a) \sqsubseteq x} \beta_m(b)$ , which is well-defined since  $D_m$  is locally small. We are going to show that  $a \Rightarrow b$  is compact for every  $a, b : B_m$  and that every  $f : D_{m+1}$  is the join of certain step functions. To this end, we first observe that

$$(a \Rightarrow b \sqsubseteq f) \iff (\beta_m(b) \sqsubseteq f(\beta_m(a))), \quad (\dagger)$$

which follows from the fact that continuous functions are monotone.

For compactness, suppose that  $a \Rightarrow b \sqsubseteq \bigsqcup_{i:I} f_i$ . By  $(\dagger)$  we have  $\beta_m(b) \sqsubseteq \bigvee_{i:I} (f_i(\beta_m(a)))$ . By compactness of  $\beta_m(b)$ , there exists  $i : I$  such that  $\beta_m(b) \sqsubseteq f_i(\beta_m(a))$  already. Using  $(\dagger)$  once more, we get the desired  $a \Rightarrow b \sqsubseteq f_i$ .

Now let  $f : D_m \rightarrow D_m$  be continuous. We claim that  $f$  is the join of the step-functions below it, i.e.  $f = \bigvee_{a,b:B_m, a \Rightarrow b \sqsubseteq f} a \Rightarrow b$ , which is well-defined, since  $D_{m+1}$  is locally small. One inequality clearly holds as we are only considering step-functions below  $f$ . For the reverse inequality, let  $x : D_m$  be arbitrary. By Lemma 77, we have:

$$x = \bigsqcup_{\substack{a':B_m \\ \beta_m(a') \ll x}} \beta_m(a') \quad \text{and} \quad f(x) = \bigsqcup_{\substack{b':B_m \\ \beta_m(b') \ll f(x)}} \beta_m(b'). \quad (\ddagger)$$

Hence, it suffices to show that  $\beta_m(b') \sqsubseteq \bigvee_{a,b:B_m, a \Rightarrow b \sqsubseteq f} (a \Rightarrow b)(x)$  whenever  $b' : B_m$  is such that  $\beta_m(b') \ll f(x)$ . By  $(\dagger)$  and the definition of a step-function it is enough to find  $a' : B_m$

such that  $\beta_m(b') \sqsubseteq f(\beta_m(a'))$  and  $\beta_m(a') \sqsubseteq x$ . Using  $(\ddagger)$ , our assumption  $\beta_m(b') \ll f(x)$  and continuity of  $f$ , we get that there exists  $a' : B_m$  with  $\beta_m(a') \ll x$  (and thus  $\beta_m(a') \sqsubseteq x$ ) and  $b_m(b') \sqsubseteq f(\beta_m(a'))$ , as desired.

Thus, by the paragraph preceding the claim,  $D_{m+1}$  has a basis of compact elements:  $\beta_{m+1} : (\sum_{k:\mathbf{N}}(\text{Fin}(k) \rightarrow (D_m \times D_m))) \rightarrow D_{m+1}$  with  $\beta_{m+1}(k, \lambda i.(a_i, b_i)) \equiv \bigvee_{0 \leq i < k} a_i \Rightarrow b_i$ , finishing the proof of the claim.  $\triangleleft$

Finally, we show that a basis of compact elements for  $D_\infty$  is  $\beta_\infty : (B_\infty \equiv \sum_{n:\mathbf{N}} B_n) \rightarrow D_\infty$  where  $\beta_\infty(n, b) \equiv \varepsilon_{n,\infty}(\beta_n(b))$ . We first check compactness by showing that if  $x : D_n$  is compact, then so is  $\varepsilon_{n,\infty}(x)$ . This follows easily from the fact that  $(\varepsilon_{n,\infty}, \pi_{n,\infty})$  is an embedding-projection. For if  $\alpha : I \rightarrow D_\infty$  is directed and  $\varepsilon_{n,\infty}(x) \sqsubseteq \bigsqcup \alpha$ , then  $x = \pi_{n,\infty}(\varepsilon_{n,\infty}(x)) \sqsubseteq \pi_{n,\infty}(\bigsqcup \alpha) = \bigsqcup \pi_{n,\infty} \circ \alpha$ , by continuity of  $\pi_{n,\infty}$ . Thus, by compactness of  $x$ , there exist  $i : I$  such that  $x \sqsubseteq \pi_{n,\infty}(\alpha_i)$  already. Hence,  $\varepsilon_{n,\infty}(x) \sqsubseteq \varepsilon_{n,\infty}(\pi_{n,\infty}(\alpha_i)) \sqsubseteq \alpha_i$ , so  $\varepsilon_{n,\infty}(x)$  is indeed compact. Now let  $\sigma : D_\infty$  be arbitrary. As mentioned in the proof of Theorem 37, we have  $\sigma = \bigsqcup_{n:\mathbf{N}} \varepsilon_{n,\infty}(\sigma_n)$ . By Lemma 77 and the claim, we can express every  $\sigma_n : D_n$  as  $\bigsqcup_{b:B_n, \beta_n(b) \ll \sigma_n} \beta_n(b)$ . Hence,

$$\sigma = \bigsqcup_{n:\mathbf{N}} \varepsilon_{n,\infty} \left( \bigsqcup_{\substack{b:B_n \\ \beta_n(b) \ll \sigma_n}} \beta_n(b) \right) = \bigsqcup_{n:\mathbf{N}} \bigsqcup_{\substack{b:B_n \\ \beta_n(b) \ll \sigma_n}} \varepsilon_{n,\infty}(\beta_n(b))$$

by continuity of  $\varepsilon_{n,\infty}$ . Thus,  $\sigma$  may be expressed as the supremum of the directed family  $(\sum_{n:\mathbf{N}} \sum_{b:B_n} \beta_n(b) \ll \sigma_n) \rightarrow B_\infty \xrightarrow{\beta_\infty} D_\infty$ . (And in light of Lemma 76 and the claim, the type  $\sum_{n:\mathbf{N}} \sum_{b:B_n} \beta_n(b) \ll \sigma_n$  can be replaced by a type in  $\mathcal{U}_0$ .) Finally, using Lemma 57, we see that  $D_\infty$  is indeed algebraic.  $\triangleleft$

We end this section by describing an example of a continuous dcpo, built using the ideal completion, that is not algebraic. In fact, this dcpo has no compact elements at all.

► **Example 82** (A continuous dcpo that is not algebraic). We inductively define a type and an order representing dyadic rationals  $m/2^n$  in the interval  $(-1, 1)$  for integers  $m, n$ . The intuition for the upcoming definitions is the following. Start with the point 0 in the middle of the interval (represented by `center` below). Then consider the two functions (respectively represented by `left` and `right` below)

$$\begin{aligned} l, r &: (-1, 1) \rightarrow (-1, 1) \\ l(x) &= (x - 1)/2 \\ r(x) &= (x + 1)/2 \end{aligned}$$

that generate the dyadic rationals. Observe that  $l(x) < 0 < r(x)$  for every  $x : (-1, 1)$ . Accordingly, we inductively define the following types.

► **Definition 83** (Dyadics  $\mathbb{D}$ ). *The type of dyadics  $\mathbb{D} : \mathcal{U}_0$  is the inductive type with three constructors:*

$$\text{center} : \mathbb{D} \quad \text{left} : \mathbb{D} \rightarrow \mathbb{D} \quad \text{right} : \mathbb{D} \rightarrow \mathbb{D}.$$

► **Definition 84** (Order  $\prec$  on  $\mathbb{D}$ ). *Let  $\prec : \mathbb{D} \rightarrow \mathbb{D} \rightarrow \mathcal{U}_0$  be inductively defined as:*

$$\begin{array}{lll} \text{center} \prec \text{center} & \equiv \mathbf{0} & \text{left } x \prec \text{center} \equiv \mathbf{1} & \text{right } x \prec \text{center} \equiv \mathbf{0} \\ \text{center} \prec \text{left } y & \equiv \mathbf{0} & \text{left } x \prec \text{left } y \equiv x \prec y & \text{right } x \prec \text{left } y \equiv \mathbf{0} \\ \text{center} \prec \text{right } y & \equiv \mathbf{1} & \text{left } x \prec \text{right } y \equiv \mathbf{1} & \text{right } x \prec \text{right } y \equiv x \prec y. \end{array}$$

One then shows that  $\prec$  is proposition-valued, transitive, irreflexive, trichotomous, dense and that it has no endpoints. *Trichotomy* means that exactly one of  $x \prec y$ ,  $x = y$ ,  $y \prec x$  holds. *Density* says that for every  $x, y : \mathbb{D}$ , there exists some  $z : \mathbb{D}$  such that  $x \prec z \prec y$ . Finally, *having no endpoints* means that for every  $x : \mathbb{D}$ , there exist some  $y, z : \mathbb{D}$  with  $y \prec x \prec z$ . Using these properties, we can show that  $(\mathbb{D}, \prec)$  is a  $\mathcal{U}_0$ -abstract basis. Thus, taking the rounded ideal completion, we get  $\text{Idl}(\mathbb{D}, \prec) : \mathcal{U}_0\text{-DCPO}_{\mathcal{U}_1, \mathcal{U}_0}$ , which is continuous with basis  $\downarrow(-) : \mathbb{D} \rightarrow \text{Idl}(\mathbb{D}, \prec)$  by Theorem 71. But  $\text{Idl}(\mathbb{D}, \prec)$  cannot be algebraic, since none of its elements are compact. Indeed suppose that we had an ideal  $I$  with  $I \ll I$ . By Lemma 70, there would exist  $x \in I$  with  $I \subseteq \downarrow x$ . But this implies  $x \prec x$ , but  $\prec$  is irreflexive, so this is impossible.

## 7 Conclusion and Future Work

We have developed domain theory constructively and predicatively in univalent foundations, including Scott's  $D_\infty$  model of the untyped  $\lambda$ -calculus, as well as notions of continuous and algebraic dcpos. We avoid size issues in our predicative setting by having large dcpos with joins of small directed families. Often we find it convenient to work with locally small dcpos, whose orders have small truth values.

In future work, we wish to give a predicative account of the theory of algebraic and continuous exponentials, which is a rich and challenging topic even classically. We also intend to develop applications to topology and locale theory. It is also important to understand when classical theorems do not have constructive and predicative counterparts. For instance, Zorn's Lemma doesn't imply excluded middle but it implies propositional resizing [9] and we are working on additional examples.

We have formalized the following in Agda [10], in addition to the Scott model of PCF and its computational adequacy [8, 18]:

1. dcpos,
2. limits and colimits of dcpos, Scott's  $D_\infty$ ,
3. lifting and exponential constructions,
4. pointed dcpos have subsingleton joins (in the right universe),
5. way-below relation, continuous, algebraic dcpos, interpolation properties,
6. abstract bases and rounded ideal completions (including its universal property),
7. continuous dcpos are continuous retract of their ideal completion, and hence of algebraic dcpos,
8. ideal completion of dyadics, giving an example of a non-algebraic, continuous dcpo.

In the near future we intend to complete our formalization to also include Theorems 21, 23 and 25, Examples 59 and 60, and Lemma 79.

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