Homotopy type theory

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Overview

Part I. Homotopy type theory

Main reference: HoTT Book homotopytypetheory.org/book/

Part II. Cubical type theory



Lecture I: Equality, equality, equality!

- 1. Intensional Martin-Löf type theory
- 2. Homotopy interpretation
- 3. H-levels
- 4. Univalence axiom

Some milestones

1970/80s Martin-Löf's intensional type theory

- 1994 Groupoid interpretation by Hofmann&Streicher
- 2006 Awodey/Warren: interpretation of Id in Quillen model categories
- 2006 Voevodsky's note on homotopy λ -calculus
- 2009 Lumsdaine and van den Berg/Garner: types are ∞ -groupoids
- 2009 Voevodsky's univalent foundations
 - h-level, equivalence, univalence
 - model of MLTT in simplicial sets
- 2012/13 IAS Special Year on UF



M. Hofmann (1965–2018)



V.Voevodsky (1966–2017)

Intensional Martin-Löf type theory

• Dependently type λ -calculus with

- \blacktriangleright dependent products Π and dependent sums Σ
- data types N₀ (empty type), N₁ (unit type), N₂ (booleans), N (natural numbers), ...
- intensional Martin-Löf identity type Id
- universes $U_0 : U_1, U_1 : U_2, U_2 : U_3, \ldots$
- No axioms (for now), all constants are explained computationally

Two notions of "sameness" in type theory

VS.

Judgmental equality

 $u \equiv v : A$ and $A \equiv B$

- judgment of type theory
- definitional equality, unfolding definitions
- In Coq/Agda: no direct access, used for computation

Identity types $\mathsf{Id}_A(u,v)$

- a type
- "propositional" equality
- can appear in assumptions/context

Identity types (Martin-Löf)

Formation and introduction rule:

$$\frac{\vdash A \quad u:A \quad v:A}{\vdash \mathsf{Id}_A(u,v)} \qquad \qquad \frac{u:A}{\mathsf{refl}\, u:\mathsf{Id}_A(u,u)}$$

Identity induction:

$$\begin{array}{c} \vdash A & x:A,y:A,z:\mathsf{Id}_A(x,y) \vdash C(x,y,z) \\ & d:\Pi(x:A).C(x,x,\mathsf{refl}\,x) \\ \hline & u:A & v:A & p:\mathsf{Id}_A(u,v) \\ \hline & \mathsf{J}\,d\,u\,v\,p:C(u,v,p) \end{array}$$

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Definitional equality: $\int dx x (\operatorname{refl} x) \equiv dx : C(x, x, \operatorname{refl} x)$

Based identity induction (Paulin-Mohring)

Fix a type A and a : A.

$$\frac{x:A,z:\mathsf{Id}_A(a,x)\vdash C(x,z)}{\mathsf{I}_A^\prime e\,u\,p:C(u,p)}$$

Definitional equality: $J' e a (refl a) \equiv e : C(a, refl a)$

Equivalent to identity induction.

Based identity induction (Paulin-Mohring)

Fix a type A and a : A.

$$\frac{x:A,z:\mathsf{Id}_A(a,x)\vdash C(x,z)}{\mathsf{I}_A(a,\mathsf{refl}\,a) \quad u:A \quad p:\mathsf{Id}_A(a,u)}$$

Definitional equality: $J' e a (refl a) \equiv e : C(a, refl a)$

Equivalent to identity induction.

We also write $x =_A y$ for $Id_A(x, y)$.

Special case: transport

Given $x : A \vdash B(x)$ we get

$$\mathsf{transport}^{x.B}:\Pi(x\ y:A).\ x=y\to B(x)\to B(y)$$

with

transport (refl
$$x$$
) $u \equiv u : B(x)$.

Leibniz' *indiscernibility of identicals*: "if x is identical to y, then x and y have all the same properties"

The identity type is an equivalence relation:

1. refl
$$x : x = x$$

2. if $p : x = y$, then $p^{-1} : y = x$
3. if $p : x = y$ and $q : y = z$, then $p \cdot q : x = z$
Moreover: $(refl x)^{-1} \equiv refl x$ and $(refl x) \cdot q \equiv q$

Congruence

For $f \colon A \to B$ and $p \colon x =_A y$ have $\operatorname{ap} f p \colon f x =_B f y$

1. ap
$$f(\operatorname{refl} x) \equiv \operatorname{refl}(f x)$$

2. ap $(f \circ g) p = \operatorname{ap} f(\operatorname{ap} g p)$
3. ap $\operatorname{id} p = p$

Function extensionality?

In mathematics we often want to identify two functions whenever they are pointwise equal. In type theory this can be formulated as:

$$\begin{split} \Pi(A:\mathsf{U})(B:A\to\mathsf{U})(f\ g:\Pi(x:A).B\,x).\\ (\Pi(x:A).f\,x=_{B\,x}g\,x)\to f=g \end{split}$$

A principle of modularity!

However, this is not derivable and has to be assumed as an axiom.

Voevodsky: function extensionality follows from univalence axiom!

(In **BISH** one works with setoids instead.)

Function extensionality?

Intensional MLTT without function extensionality violates the principle (Russel&Whitehead, PM 2nd ed, 1925) that

[..] a function can only enter into a proposition through its values.

In MLTT

 $\vdash C(f)$ true and $x: A \vdash f x =_B g x$ true do in general **not** entail

 $\vdash C(g)$ true.

(Take $f := \lambda x.x$, $C(z) := f =_{N \to N} z$, and $g := \lambda x. S^x 0.$)

Structure vs. property?

Using universes and Σ -types we can conveniently encode the type of types with binary operation as:

 $BinOp(A) :\equiv A \times A \rightarrow A$ $Bin :\equiv \Sigma(A : U).$ BinOp(A)

For (A, m): Bin we can express commutativity of m by:

$$\mathsf{Law}(A,m):\equiv \Pi(x\ y:A).\ m(x,y) =_A m(y,x)$$

and CBin := $\Sigma(A : U)\Sigma(m : BinOp(A))$. Law(A, m). Proof of commutativity now part of the data: (A, m, p) : CBinA priori (A, m, p) and (A, m, p') are different things!

Cure: setoids (Bishop)?

Structure of Id?

We can iterate the identity type!

$$u =_A v$$
 $p =_{u =_A v} q$ $\alpha =_{p =_{u =_A v} q} \beta$

What is this structure and is it interesting?

Uniqueness of Identity Proofs (UIP)?

Does this hierarchy collapse? Are all $p =_{u=A^v} q$ are inhabited?

$$\mathsf{UIP} :\equiv \Pi(A:\mathsf{U})\Pi(x\ y:A)(p\ q:x=_A y).\ p=q$$

In the set-theoretic model of type theory UIP holds.

. . .

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Answer here: understand this structure via homotopy theory!

Groupoid model (Hofmann/Streicher 1994)

Hofmann and Streicher note that Id-types satisfy the groupoid laws up to an Id-equality. Write $1_x :\equiv \text{refl } x$ and let $p : x =_A y$.

▶
$$p \cdot 1_y = p$$
 and $1_x \cdot p = p$
▶ $p \cdot p^{-1} = 1_x$ and $p^{-1} \cdot p = 1_y$
▶ $(p \cdot q) \cdot r = p \cdot (q \cdot r)$

Groupoid model

Each (closed) type A interpreted as a groupoid and ${\rm Id}_A(a,b)$ has as objects the morphisms $a\to b$ in A

 $\mathbb{Z}/2\mathbb{Z}$ considered as a groupoid gives counter-example to UIP!

A predecessor of the homotopy interpretation of identity types.

Types are weak ∞ -groupoids (\sim 2009)

A generalization of the observation that types induce groupoids (up to paths).

Lumsdaine and van den Berg/Garner: the iterated ld-types give rise to the structure of ∞ -groupoids!

$$A \qquad u =_A v \quad p =_{u =_A v} q \quad \alpha =_{p =_{u =_A v} q} \beta \quad \dots$$

0-cells 1-cells 2-cells 3-cells ...

Classical homotopy theory

 Let I := [0,1] and f,g: X → Y be two continuous maps between topological spaces X and Y. A homotopy between f and g is a continuous map H: X × [0,1] → Y with:

$$\begin{cases} H(x,0) = f(x) \\ H(x,1) = g(x) \end{cases}$$

Write $f \simeq_H g$.

▶ $X \simeq Y$ (for spaces X and Y) if we have $f: X \to Y$ and $g: Y \to X$ such that $g \circ f \simeq_{H_1} \operatorname{id}_X$ and $f \circ g \simeq_{H_2} \operatorname{id}_Y$ for suitable homotopies H_1 and H_2 . Homotopy interpretation of type theory

Paths and higher paths in a space X give rise to its so-called fundamental ∞ -groupoid.

 $\begin{array}{cccc} u \in X & p \colon \mathbb{I} \to X & \alpha \colon \mathbb{I} \times \mathbb{I} \to X & \theta \colon \mathbb{I} \times \mathbb{I} \times \mathbb{I} \to X & \dots \\ & u \simeq_p v & p \simeq_\alpha q & \alpha \simeq_\theta \beta \\ \text{points paths 2-paths 3-paths} \end{array}$

- Voevodsky (2006/2009): model of type theory in simplicial sets (combinatorial representation of spaces)
- Awodey/Warren (2006): interpretation of Id-types in model structures (abstract framework for homotopy theory)

Changes our idea what kind of objects type theory is about!

Hofmann & Streicher (1998) already were wondering about this:

This, however, would require "2-level groupoids" in which we have morphisms between morphisms and accordingly the identity sets are not necessarily discrete. We do not know whether such structures (or even **infinite-level generalisations therof**) can be sensibly organised into a model of type theory. Spaces as types

Types	Logic	Homotopy
A	proposition	space
a:A	proof	point
$x: A \vdash B(x)$	predicate of sets	fibration
$x: A \vdash b(x): B(x)$	conditional proof	section
N_0,N_1	\perp, \top	$\emptyset, \{*\}$
A + B	$A \lor B$	coproduct
$A \times B$	$A \wedge B$	product space
$A \to B$	$A \Rightarrow B$	function space
$\Sigma(x:A) B(x)$	$\exists (x:A) B(x)$	total space
$\Pi(x:A)B(x)$	$\forall (x:A) B(x)$	space of sections
Id_A	equality $=$	path space $A^{\mathbb{I}}$

From the HoTT Book (p.75)

An important difference between homotopy type theory and classical homotopy theory is that homotopy type theorv provides a synthetic description of spaces, in the following sense. Synthetic geometry is geometry in the style of Euclid: one starts from some basic notion (points and lines), constructions (a line connecting any two points), and axioms (all right angles are equal), and deduces consequences logically. This is in contrast with analytic geometry, where notions such as points and lines are represented concretely using cartesian coordinates in \mathbb{R}^n —lines are sets of points-and the basic constructions and axioms are derived from this representation. While classical homotopy theory is analytic (spaces and paths are made of points), homotopy type theory is synthetic: points, paths, and paths between paths are basic, indivisible, primitive notions.

Propositions

Let us first look at types which are homotopically rather boring.

We call types which are "subsingletons" (h-)propositions:

$$\mathsf{isProp}(A) :\equiv \Pi(x \ y : A). \ x =_A y$$

Not to be confused with "propositions" from the propositions-as-types interpretation.

Example

$$\label{eq:sprop} \begin{split} & \mathsf{isProp}(\mathsf{N}_0) \text{ and } \mathsf{isProp}(\mathsf{N}_1), \\ & \mathsf{but} \ \neg \, \mathsf{isProp}(\mathsf{N}) \text{ since } 0 \neq 1 \text{ (why?)} \end{split}$$

Slightly more interesting are sets:

$$\mathsf{isSet}(A) :\equiv \Pi(x \ y : A)(p \ q : x =_A y). \ p = q$$

so $\mathsf{isSet}(A)$ is $\Pi(x \ y : A)$. $\mathsf{isProp}(x =_A y)$.

Uniqueness of Identity Proofs simply states that any type is a set!

How is a type a set?

1. Given x : A and $f : \Pi(y : A) . x = y \rightarrow x = y$, then for y : Aand p : x = y $p = (f x 1)^{-1} \cdot (f y p)$

by (based) identity induction and $1 = (f x 1)^{-1} \cdot (f x 1)$ 2. For $q: A \to B$ define: $const(q) :\equiv \Pi(x \ y : A)$. $q x =_B q y$

3. If we additionally know $\Pi(y:A)$. const(f y) in (1), then A is a set: for $p, q: x =_A y$:

$$p = (f x \mathbf{1})^{-1} \cdot (f y p) = (f x \mathbf{1})^{-1} \cdot (f y q) = q$$

Theorem

Any proposition is a set.

Proof.

Given α : is Prop(A) we can set $f y p := \alpha x y$ in the above.

Hedberg's theorem

A type A is *decidable* if:

$$\mathsf{dec}(A) :\equiv A + \neg A$$

Theorem (Hedberg 1995)

If A has decidable equality, i.e., we have $\Pi(x \; y:A). \deg(x=y),$ then A is a set.

Proof.

To built $f y : x = y \rightarrow x = y$ by distinguishing cases $x = y + \neg(x = y)$. In case x = y use this element for f y p. Otherwise, if $\neg(x = y)$, we get a contradiction from assuming x = y. In both cases we have const(f y).

Corollary

 $\mathsf{isSet}(\mathsf{N}_2)\text{, }\mathsf{isSet}(\mathsf{N}).$

Assuming *function extensionality* we can prove that being a property or set is itself a property:

- 1. isProp(isProp(A))
- 2. isProp(isSet(A))

We can fix our type of types with a commutative operation to:

$$\begin{split} \Sigma(A:\mathsf{U})(\alpha:\mathsf{isSet}(A))(m:A\times A\to A).\\ \Pi(x\;y:A).\;m(x,y)=m(y,x) \end{split}$$

Any two proofs of $\Pi(x \; y: A). \; m(x,y) = m(y,x)$ are then equal!

Contractibility

A special role is played by *contractible* types:

$$\mathsf{isContr}(A) :\equiv \Sigma(x:A)\Pi(y:A). x =_A y$$

Example

For a: A define singl $(a) \equiv \Sigma(x:A).a = x$. Then:

 $\mathsf{isContr}(\mathsf{singl}(a))$

Prove for all x : A and p : a = x that $(a, 1_a) = (x, p)$ by induction on p.

From an interview with Jean-Pierre Serre, 2003:

[T]o apply Leray's theory I needed to construct fibre spaces which did not exist if one used the standard definition. Namely, for every space X, I needed a fibre space Ewith base X and with trivial homotopy (for instance, contractible). But how to get such a space?

One night in 1950, on the train bringing me back from our summer vacation, I saw it in a flash: just take for E the space of paths on X (with fixed origin a), the projection $E \rightarrow X$ being the evaluation map: path \mapsto extremity of the path. The fibre is then the loop space of (X, a). I had no doubt: this was it! So much so that I even woke up my wife to tell her...[..] It is strange that such a simple construction had so many consequences.

Loop space $\Omega(X, a)$ in type theory: $a =_X a$

Homotopy levels

One of Voevodsky's main contributions to type theory!

h-level n A expresses that homotopy-level of a type A is n:

 $\begin{array}{lll} \mathsf{h}\text{-level } 0\,A & \equiv & \mathsf{isContr}(A) \\ \mathsf{h}\text{-level } (n+1)\,A & \equiv & \Pi(x \; y:A). \,\mathsf{h}\text{-level } n\,(x=_A y) \end{array}$

h-level		
0	contractible	N_1
1	proposition	N_0, N_1
2	set	N, N_2
3	groupoids	
4	2-groupoids	

Warning: HoTT book uses *n*-types, $n \ge -2$:

is-*n*-type $A \equiv$ h-level (n+2) A

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h-level			Warning: HoTT book
0	contractible	N_1	uses n -types, $n \geq -2$:
1	proposition	N_0, N_1	
2	set	N, N_2	is- n -type $A\equiv$
3	groupoids		h-level $(n+2)A$
4	2-groupoids		

Homotopy equivalences (Voevodsky)

- 1. Let $f \colon A \to B$.
- 2. For y: B define $\operatorname{fib}_f(y) :\equiv \Sigma(x:A) . f x = y$
- 3. f is an equivalence if it has contractible fibers:

 $\mathsf{isEquiv}(f) :\equiv \Pi(y : B). \mathsf{isContr}(\mathsf{fib}_f(y))$

- 4. $A \simeq B$ iff $\Sigma(f \colon A \to B)$. isEquiv(f)
- 5. isEquiv(id_A) like isContr(singl(a))
- 6. Type of *quasi-inverses* of f denoted qinv(f):

 $\Sigma(g\colon B\to A).(\Pi(x:A).\,g(f\,x)=x)\times(\Pi(y:B).\,f(g\,y)=y)$

- 7. $qinv(f) \leftrightarrow isEquiv(f)$
- 8. Assuming function extensionality: isProp(isEquiv(f))

The univalence axiom

The univalence axiom specifies what the equality for universes should be.

Define

$$\mathsf{idToEquiv}_{\mathsf{U}}: \Pi(A \ B:\mathsf{U}).A =_{\mathsf{U}} B \to A \simeq B$$

by path induction, mapping refl A to id_A proving $A \simeq A$.

Univalence axiom (Voevodsky)

 $\Pi(A \ B : \mathsf{U}). \mathsf{isEquiv}(\mathsf{idToEquiv}_{\mathsf{U}} A B)$

1. The univalence axiom is a statement about a universe U

UAu $\Pi(A \ B : \mathsf{U})$. isEquiv(idToEquiv₁₁ A B)

$$2. \ (A =_{\mathsf{U}} B) \simeq (A \simeq B)$$

- 3. UA implies function extensionality! (Voevodsky)
- 4. UA implies
 - : $\Pi(AB: U). A \simeq B \rightarrow A = UB$ "naive univalence" ua ua_{β} : $\Pi(AB:U)(f:A \simeq B)(x:A)$. "computation" rule transport^{$\lambda(X:U)$.X}(ua f) x = f x

- 5. ua and ua_{β} also imply UA (Licata)
- 6. Open problem: does "naive univalence" already imply UA?

UA and UIP?

Univalence is incompatible with uniqueness of identity proofs.

1. Define swap: $N_2 \rightarrow N_2$ by:

swap(true) = false swap(false) = true

- 2. swap is its own quasi-inverse, thus an equivalence;
- 3. by UA we get: ua swap : $N_2 =_U N_2$;
- 4. we know: transport (ua swap) true = swap true \equiv false,
- 5. but: transport 1_{N_2} true \equiv true,
- 6. so: ua swap $\neq_{N_2=_U N_2} 1_{N_2}$ and hence $\neg isSet(U)$.

Sharpening of \neg isSet(U)

Theorem (Kraus/Sattler)

Given a hierarchy of univalent universes U_0, U_1, U_2, \ldots

 $\mathsf{U}_0:\mathsf{U}_1\qquad \mathsf{U}_1:\mathsf{U}_2\qquad \mathsf{U}_2:\mathsf{U}_3\qquad \dots$

we have

$$\neg$$
(h-level $(n+2)$ U_n).

Special cases of univalence

1. If A, B : U are propositions (so have isProp(A) and isProp(B)), then:

$$(A \leftrightarrow B) \to A \simeq B$$

So UA implies propositional extensionality:

$$(A \leftrightarrow B) \to A = B$$

- 2. If A and B are sets, equivalence specializes to bijection/isomorphism between sets.
- 3. If A and B are groupoids, equivalence specializes to categorical equivalence.

Equality of structures

Recall example of type CBin of types with a commutative operation:

 $\Sigma(A:\mathsf{U})(\alpha:\mathsf{isSet}(A))(m:A{\times}A\to A)\Pi(x\,y:A).\,m(x,y)=m(y,x)$

Given $A' = (A, \alpha_A, m_A, p_A)$ and $B' = (B, \alpha_B, m_B, p_B)$ there is an obvious candidate of homomorphism:

$$f \colon A \to B$$
 such that $f(m_A(x,y)) = m_B(f x, f y)$

Univalence lifts to isomorphisms of this algebraic structure:

$$(A'\cong B')\simeq (A'=B')$$

This works for many other algebraic structures (Aczel, Coquand/Danielsson)

Independence of UA

Voevodsky gave a model of UA using Kan simplicial sets formulated in a *classical* meta-theory (ZFC plus two inaccessible cardinals).

(Various *constructive* models based on cubical sets; more later...)

(Since the set-theoretic model is not a model of UA we know that UA is independent of intensional MLTT.)

So MLTT can't distinguish equivalent types: Given $P \colon U \to U$ and $A, B \colon U$ with $A \simeq B$, we can't have PA but $\neg (PB)$.

In contrast to set theory: $\{0\} \cong \{1\}$ and $0 \in \{0\}$, but $0 \notin \{1\}$.

Summary

- Intensional MLTT lacks extensionality principles
- Iterating Martin-Löf's identity type gives rise to interesting structure
- Types as spaces, spaces as types. Changes our idea what this theory is a theory of! (Not necessarily sets!)
- Types can be stratified by their h-level
- The univalence axiom is a strong extensionality principle. Type theory invariant under equivalence.

• When is
$$f: A \rightarrow B$$
 surjective?

$\Pi(y:B)\Sigma(x:A).\,f\,x=y$

Given a type A its propositional truncation is a proposition ||A|| with inc: $A \rightarrow ||A||$, such that for any other type B with is Prop(B) there is a map

$$\mathrm{rec} \colon (A \to B) \to \|A\| \to B$$

with: $\operatorname{rec} f(\operatorname{inc} a) \equiv f a : B$

▶ If A is a proposition, then $A \leftrightarrow ||A||$, so $A \simeq ||A||$, so A = ||A||.

 $\blacktriangleright \|A\|$ expresses that A is inhabited, but we can't extract its witness in general

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The logic of h-propositions

We can define surjective as:

$$\Pi(y:B) \| \Sigma(x:A). f x = y \|$$

This suggest a interpretation of the logical connectives as (h-)propositions

$$T \equiv N_{1}$$

$$\perp \equiv N_{0}$$

$$A \Rightarrow B \equiv A \rightarrow B$$

$$A \land B \equiv A \times B$$

$$A \lor B \equiv \|A + B\|$$

$$\forall (x:A) B \equiv \Pi(x:A) B$$

$$\exists (x:A) B \equiv \|\Sigma(x:A) B\|$$

This interpretation satisfies all the expected properties from logic.

What kind of type former is $\|-\|$?

$$\frac{a:A}{\operatorname{inc} a:\|A\|} \qquad \qquad \frac{u:\|A\|}{\operatorname{squash} u\,v:\operatorname{Id}_{\|A\|}(u,v)}$$

Has constructors for points and paths! (From the recursor one can derive a suitable induction principle.)

Compare: inductive types specified by point constructors

$$\frac{n:\mathsf{N}}{\mathsf{O}:\mathsf{N}} \qquad \qquad \frac{n:\mathsf{N}}{\mathsf{S}\,n:\mathsf{N}}$$

Propositional truncation is a higher inductive type (HIT).