

A 2-dimensional perspective on polymorphism

Nathanael Arkor (Masaryk University)

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Simply-typed
 λ -calculus

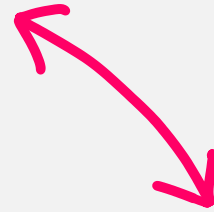
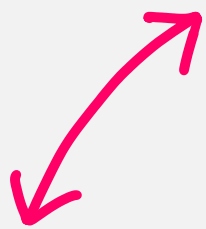
Type theory

Logic

Category theory

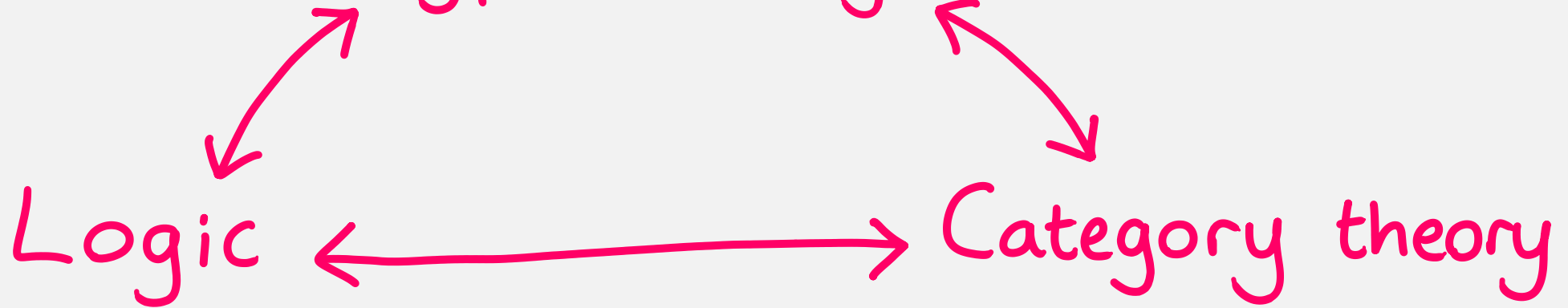
Intuitionistic
logic

Cartesian-closed
categories



System F /
Polymorphic λ -calculus

Type theory



Intuitionistic universal
second-order logic

???

Variable binding

In a type theory, **terms** may abstract over **terms**.

We say that a type theory

- is **polymorphic** if **terms** may abstract over **types**;
- is **dependent** if **types** may abstract over **terms**;
- admits (second-order) type constructors if **types** may abstract over **types**.

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Recap

Multisorted universal
algebra



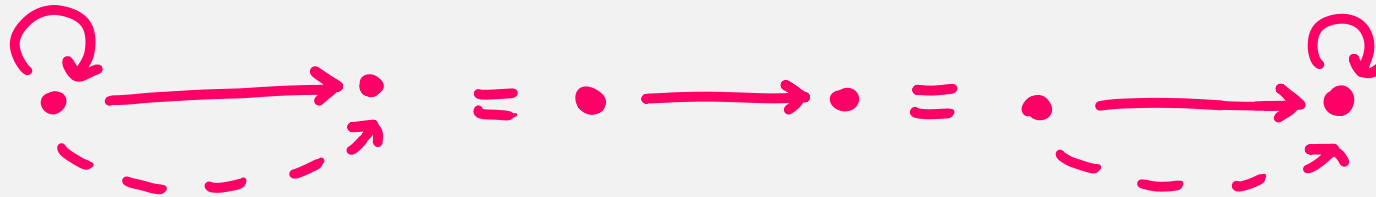
Cartesian
categories

Categories

Informally, a category is a directed reflexive multigraph in which



subject to



Categories

A small category comprises

- a set $|C|$ of objects;
- for each pair $x, y \in |C|$, a set $C(x, y)$ of morphisms;
- for each $x \in |C|$, an identity morphism $1_x \in C(x, x)$;
- for each $f \in C(x, y)$ and $g \in C(y, z)$, a composite $f; g \in C(x, z)$;

such that composition is unital and associative.

Cartesian categories

A category $\mathcal{C}$ is **cartesian** when, for each pair $x, y \in |\mathcal{C}|$, there is a specified object $x \times y$ and morphisms

$$\begin{array}{ccc} & x \times y & \\ \pi_1 \swarrow & & \searrow \pi_2 \\ x & & y \end{array}$$

through which every span over (x, y) factors uniquely; and an object **1** for which each object $x \in |\mathcal{C}|$ has a unique morphism $x \xrightarrow{\langle \rangle} 1$.

Categorical semantics

The idea relating type theory to category theory is to interpret **contexts** as **objects**, **types** as **singleton contexts**, and **terms** as **morphisms** (and vice versa).

Categorical semantics

The idea relating type theory to category theory is to interpret **contexts** as **objects**, **types** as **singleton contexts**, and **terms** as morphisms (and vice versa).

Different type theoretic structure then corresponds to analogous category theoretic structure.

Algebraic structure is cartesian structure

Fix a set S of sorts, and consider a cartesian category $\mathcal{C}$ whose set of objects is given by finite cartesian products of sorts.

We may interpret a morphism

$$A_1 \times \dots \times A_n \longrightarrow B_1 \times \dots \times B_m$$

as a tuple of terms

$$\{ a_1 : A_1, \dots, a_n : A_n \vdash t_i : B_i \}_{1 \leq i \leq m}$$

The identity morphism on $A_1 \times \dots \times A_n$ is given by variable projection:

$$\{ a_1 : A_1, \dots, a_n : A_n \vdash a_i : A_i \}_{1 \leq i \leq n}$$

The composition of

$$A_1 \times \dots \times A_n \xrightarrow{\{t_i\}_i} B_1 \times \dots \times B_m \xrightarrow{\{s_j\}_j} C_1 \times \dots \times C_l$$

is given by substitution:

$$\{ a_1 : A_1, \dots, a_n : A_n \vdash s_j [b_i \mapsto t_i]_{1 \leq i \leq m} \}_{1 \leq j \leq l}$$

We may view a term

$$a_1 : A_1, \dots, a_n : A_n \vdash t : B$$

equivalently as an n -ary operator

$$t : (A_1, \dots, A_n) \longrightarrow B$$

and in this way we can set up a correspondence

cartesian categories



multisorted universal algebras

(AKA simply-typed pairing calculus)

An example

A **monoid** is expressed by a cartesian category whose objects are generated by a single sort **M**, and whose morphisms are generated by

$$M \times M \xrightarrow{\otimes} M$$

$$1 \xrightarrow{e} M$$

Subject to

$$\begin{array}{ccc} M \times M \times M & \xrightarrow{\otimes \times 1_M} & M \times M \\ 1_M \times \otimes \downarrow & & \downarrow \otimes \\ M \times M & \xrightarrow{\otimes} & M \end{array}$$

$$\begin{array}{ccccc} & e \times 1_M & & 1_M \times e & \\ 1 \times M & \xrightarrow{\quad} & M \otimes M & \xleftarrow{\quad} & M \times 1 \\ & \searrow \pi_2 & \downarrow & \swarrow \pi_1 & \\ & & M & & \end{array}$$

Algebra to type theory

To express variable-binding structure, such as the λ -abstraction operator of the λ -calculus, we require further structure. In particular, we observe that

$$\frac{\Gamma, x:A \vdash t:B \quad \textcircled{1}}{\Gamma \vdash \lambda(x:A).t : \text{Fn}(A,B) \quad \textcircled{2}}$$

together with application sets up a bijection between terms of the form $\textcircled{1}$ and $\textcircled{2}$.

Cartesian closure

Categorically, this structure is expressed via **adjunction**, which is a relationship between two kinds of morphism.

In particular, a cartesian category is **closed** if $(-) \times A$ has a right adjoint $(-)^A$ for each object A , which means that

$$\mathcal{C}(\Gamma \times A, B) \cong \mathcal{C}(\Gamma, B^A)$$

natural in Γ and B .

What about algebraic structure on types?

In a simple type theory, each term has an associated **context** of **term variables**, and a **type**.

$$\Gamma \vdash t : B$$

We shall consider a setting in which each type has an associated **context** of **type variables**, and a **kind**.

$$\Xi \vdash A : \mathcal{U}$$

In this setting, **kinds and types** have the same structure that **types and terms** had: that is, they form a cartesian category.

For instance, in the **simply-typed λ -calculus**, there is a single (implicit) kind **$\mathcal{U}$** and operations

$$\mathcal{U} \times \mathcal{U} \xrightarrow{\text{Prod}} \mathcal{U}$$

$$1 \xrightarrow{\text{Unit}} \mathcal{U}$$

$$\mathcal{U} \times \mathcal{U} \xrightarrow{\text{Fn}} \mathcal{U}$$

What about terms?

Since types are only well-formed in a context of type variables, terms must have an associated context of type variables and term variables.

$$\Xi \mid \Gamma \vdash t : B$$

Thus, for each type context Ξ , we have an associated cartesian category of types and terms in context Ξ .

How can we collect this data into a single structure that captures the relationship between these categories?

Hyperdoctrines

The traditional answer to this question is the notion of **hyperdoctrine**, which is a **contravariant functor** from a cartesian category of kinds and types to the category of cartesian categories.

$$Tm: Ty^{op} \longrightarrow CartCat$$

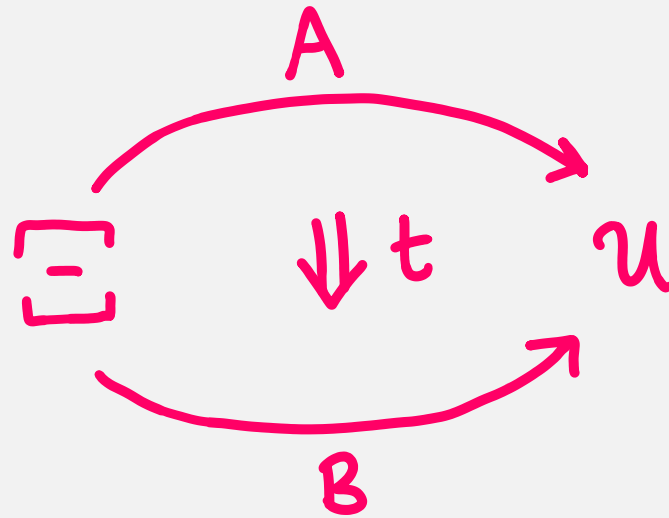
Then $Tm(\Xi)$ is the category of types and terms in type context Ξ .

However, this formalism is conceptually dissatisfying for several reasons.

- Term-in-term and type-in-type substitution are interpreted as **composition**, but type-in-term substitution is interpreted as **functorial action**.
- The definition as is only permits a single kind.
- The definition is not amenable to generalisation to **linear kinds**.

An alternative perspective

Start with a cartesian category $\mathcal{C}$ of kinds and types. We consider a notion of **2-cell** between morphisms of $\mathcal{C}$.



This represents a term

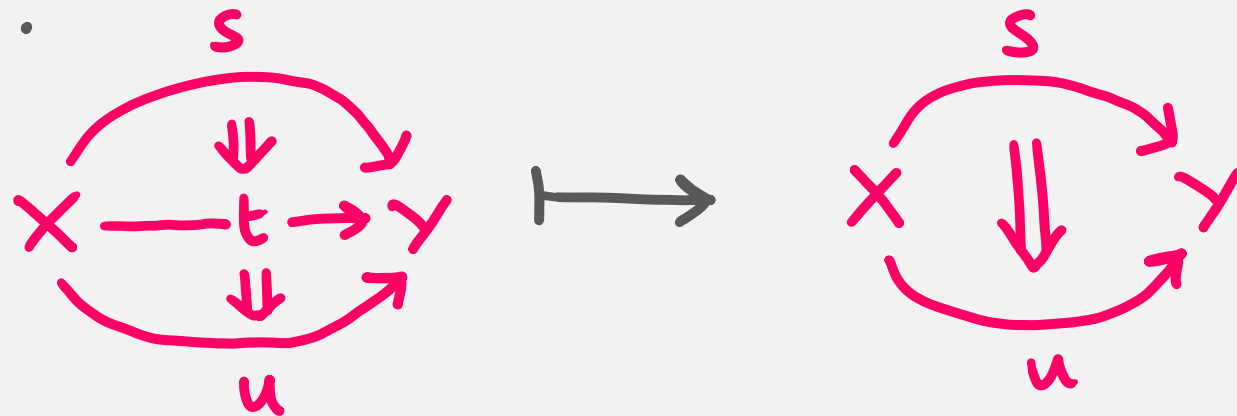
$$\Xi \mid a:A \vdash t:B \quad (\text{where } \begin{array}{l} \Xi \vdash A:\mathcal{U} \\ \Xi \vdash B:\mathcal{U} \end{array})$$

Type-in-term substitution

Type-in-type substitution is given by composition of morphisms (or 1-cells).

$$X \longrightarrow Y \longrightarrow Z \longmapsto X \longrightarrow Z$$

Term-in-term substitution is given by composition of 2-cells.



What about **type-in-term substitution**?

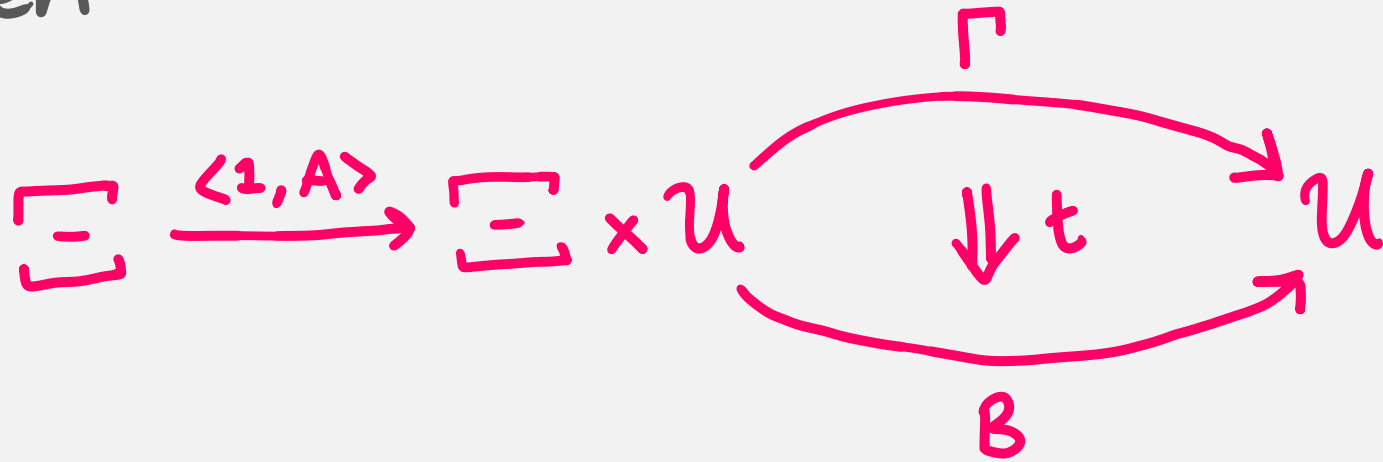
In other words, suppose we have a term in a context with a type variable, and we wish to substitute a concrete type for the type variable.

$$\frac{\boxed{\Xi}, \alpha : \mathcal{U} \vdash B : \mathcal{U} \quad \boxed{\Xi}, \alpha : \mathcal{U} \mid \Gamma \vdash t : B \quad \boxed{\Xi} \vdash A : \mathcal{U}}{\boxed{\Xi} \mid \Gamma[\alpha \mapsto A] \vdash t[\alpha \mapsto A] : B[\alpha \mapsto A]}$$

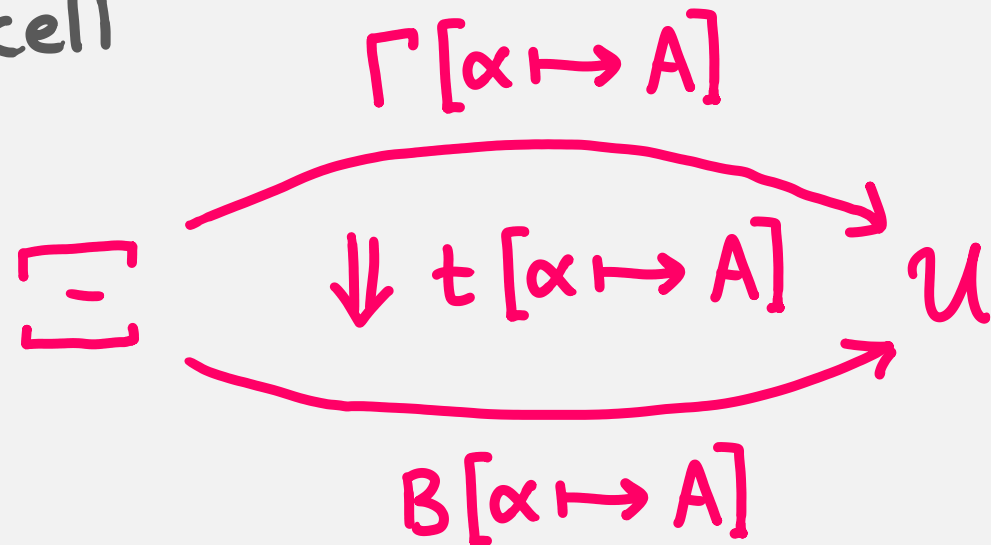
How do we interpret this categorically?

Left-whiskering

Given



we want a 2-cell



Left-sesquicategories

A left-sesquicategory comprises

- a category $\mathcal{C}$;
- for each pair $x, y \in |\mathcal{C}|$, a category structure on $\mathcal{C}(x, y)$, whose morphisms we call 2-cells;
- for each $x \xrightarrow{f} y$ and $y \begin{array}{c} \xrightarrow{g} \\ \Downarrow \gamma \\ \xrightarrow{g'} \end{array} z$, a whiskering

2-cell
$$\begin{array}{ccc} & \xrightarrow{f; g} & \\ x & \Downarrow f; \gamma & z \\ & \xrightarrow{f; g'} & \end{array};$$

such that whiskering respects identities and composition.

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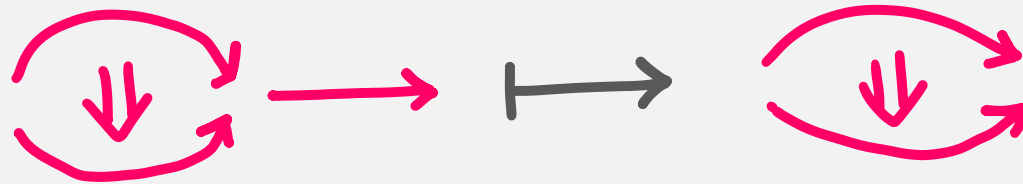
$$\begin{array}{ccc} x & \xrightarrow{f} & y \\ & \searrow & \downarrow \gamma \\ & & z \end{array} \quad \begin{array}{c} \xrightarrow{g} \\ \Downarrow \gamma \\ \xrightarrow{g'} \end{array}$$

2-cell $\begin{array}{ccc} x & \xrightarrow{f; g} & z \\ & \Downarrow f; \gamma \\ & \xrightarrow{f; g'} & z \end{array}$;

such that whiskering respects identities and composition.

Right-whiskering?

The definition of **2-category** is the same as a left-sesquicategory with an additional **right-whiskering** operation (subject to a compatibility axiom between left- and right-whiskering).

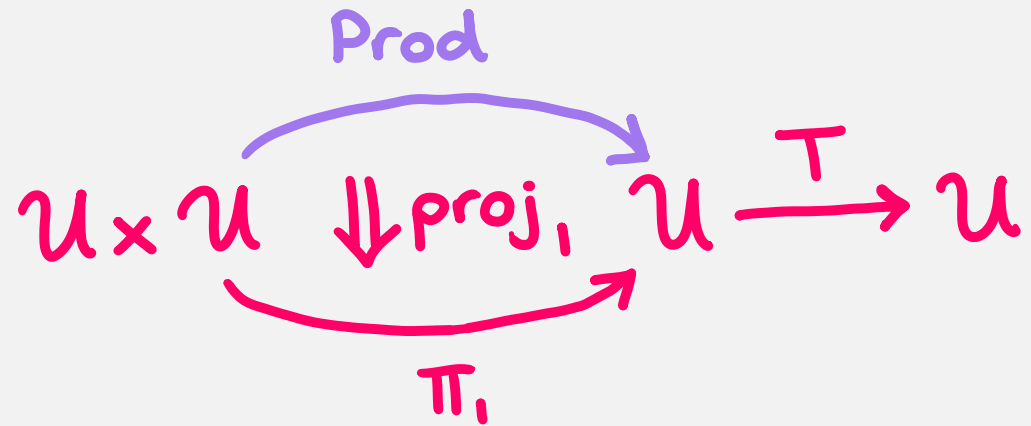


What would this mean for a type theory?

Consider the following diagram:

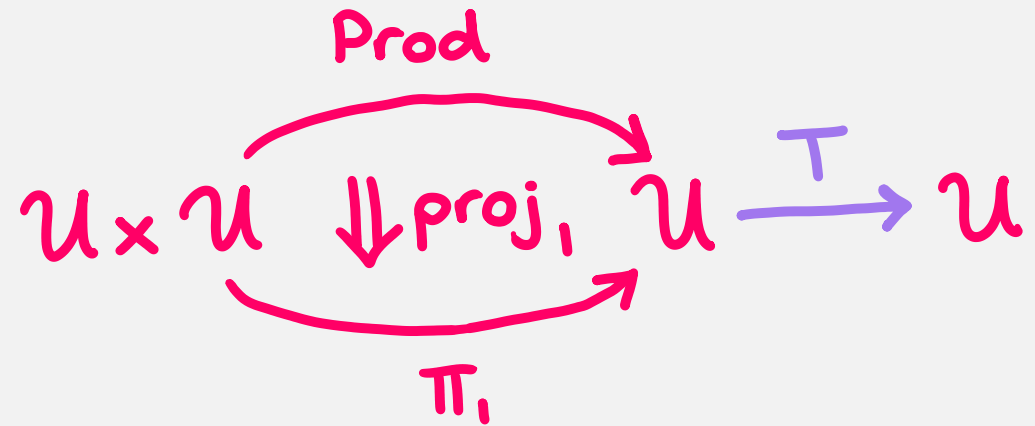
$$\begin{array}{ccccc} & \text{Prod} & & & \\ & \curvearrowright & & & \\ u \times u & \Downarrow \text{proj}_1 & u & \xrightarrow{T} & u \\ & \curvearrowleft & & & \\ & \pi_1 & & & \end{array}$$

Consider the following diagram:



$$\alpha : U, \beta : U \vdash \text{Prod}(\alpha, \beta) : U$$

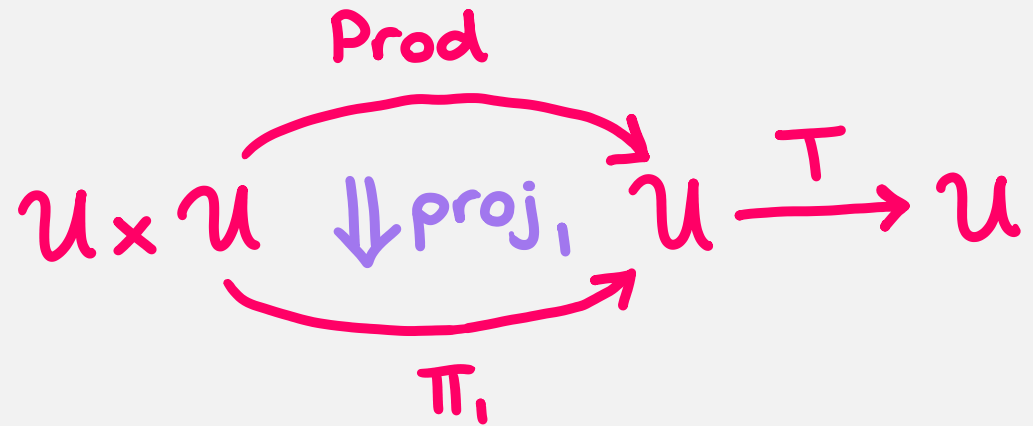
Consider the following diagram:



$$\alpha : U, \beta : U \vdash \text{Prod}(\alpha, \beta) : U$$

$$\alpha : U \vdash T(\alpha) : U$$

Consider the following diagram:



$$\alpha : \mathcal{U}, \beta : \mathcal{U} \vdash \text{Prod}(\alpha, \beta) : \mathcal{U}$$

$$\alpha : \mathcal{U} \vdash \tau(\alpha) : \mathcal{U}$$

$$\alpha : \mathcal{U}, \beta : \mathcal{U}, p : \text{Prod}(\alpha, \beta) \vdash \text{proj}_1(p) : \alpha$$

Right-whiskering for the following diagram

$$\begin{array}{ccc}
 & \text{Prod} & \\
 & \curvearrowright & \\
 \mathcal{U} \times \mathcal{U} & \Downarrow \text{proj}_1 & \mathcal{U} \xrightarrow{\tau} \mathcal{U} \\
 & \curvearrowleft & \\
 & \pi_1 &
 \end{array}$$

implies the existence of a 2-cell

$$\begin{array}{ccc}
 \text{T(Prod(-,-))} & & \\
 \curvearrowright & & \\
 \mathcal{U} \times \mathcal{U} & \Downarrow & \mathcal{U} \\
 \curvearrowleft & & \\
 \text{T}(\pi_1) & &
 \end{array}
 \quad \frac{}{\alpha : \mathcal{U}, \beta : \mathcal{U}, \tau : \text{T(Prod}(\alpha, \beta)) \vdash \text{---} : \text{T}(\alpha)}$$

which is not necessarily the case.

Interlude: enriched categories

Often the morphisms of a category carry more structure than simply sets. In these instances, it is often worth considering the homs $\mathcal{C}(x, y)$ of a category to be objects of some other category $\mathcal{V}$.

- When $\mathcal{V} = \mathbf{Set}$, we get ordinary categories.
- When $\mathcal{V} = \mathbb{R}_{\geq 0}$, we get metric spaces.
- When $\mathcal{V} = \mathbf{Cat}$, we get 2-categories.

Left-sesquicategories as enriched categories

The category $\mathbf{Cat}$ is equipped with $(\alpha\lambda\text{-normal})$ right-skew-monoidal structure given by

$$A \otimes B := |A| \times B \quad J := \mathbb{1}$$

A left-sesquicategory is a $(\mathbf{Cat}, \otimes, J)$ -enriched cat.

Left-sesquicategories as enriched categories

The category $\mathbf{Cat}$ is equipped with $(\alpha\lambda\text{-normal})$ right-skew-monoidal structure given by

$$A \otimes B := \underbrace{|A|}_{\text{no right-whiskering}} \times B \quad J := \mathbb{1}$$

no right-whiskering

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Left-sesquicategories as enriched categories

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(Abstractly, this structure is induced by the skew-warping given by the monoidal comonad

$$\mathbf{Set} \begin{array}{c} \xrightarrow{\quad} \\ \xleftarrow[\text{1-1}]{\perp} \end{array} \mathbf{Cat} \quad)$$

A left-sesquicategory is a $(\mathbf{Cat}, \otimes, J)$ -enriched cat.

Cartesian structure

The structure of a left-sesquicategory alone is not quite sufficient: we require **cartesian products** of both **kinds** and **types** to be able to form contexts of type and term variables.

Cartesian structure: kinds

A left-sesquicategory is **cartesian** when equipped with **enriched cartesian products** (a kind of 2-dimensional limit).

Cartesian structure: kinds

A left-sesquicategory is **cartesian** when equipped with **enriched cartesian products** (a kind of 2-dimensional limit).

Given $\boxed{\begin{smallmatrix} \Gamma_1 \\ - \\ A_1 \end{smallmatrix}} \Downarrow^{t_1} \mathcal{U}_1$ and $\boxed{\begin{smallmatrix} \Gamma_2 \\ - \\ A_2 \end{smallmatrix}} \Downarrow^{t_2} \mathcal{U}_2,$

we require $\boxed{\begin{smallmatrix} \langle \Gamma_1, \Gamma_2 \rangle \\ - \\ \langle A_1, A_2 \rangle \end{smallmatrix}} \Downarrow^{\langle t_1, t_2 \rangle} \mathcal{U}_1 \times \mathcal{U}_2$ satisfying appropriate laws.

Cartesian structure: types

The skew-monoidal structure on **Cat** lifts to **CartCat**, via the monoidal adjunction

$$\text{Cat} \begin{array}{c} \xrightarrow{F} \\ \xleftarrow{U} \\ \text{CartCat} \end{array}$$

A homwise-cartesian left-sesquicategory is a $(\text{CartCat}, \otimes, J)$ -enriched category.

Cartesian structure: types

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A homwise-cartesian left-sesquicategory is a $(\text{CartCat}, \otimes, J)$ -enriched category.

(Intuitively, each hom-category is cartesian, and this structure interacts nicely with left-whiskering.)

Universal algebra with kinds

Just as cartesian categories model (multisorted) universal algebra, so do cartesian homwise-cartesian left-sesquicategories model (multikinded) universal algebra with kinds (hierarchical algebra).

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Universal algebra with kinds

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If we enrich instead over cartesian-closed categories, we obtain a model for simple type theories.

If we ask for enriched cartesian-closure, we obtain a model for second-order type operators.

Simple type theories
with second-order type
operators



Simple type theories



Binding algebra



Universal algebra



Hierarchical algebra



Polymorphic type theories
with second-order type operators



Simple type theories
with second-order type
operators



Simple type theories



Binding algebra



Universal algebra



Polymorphic type
theories



Hierarchical algebra



Polymorphism

To capture variable binding (either binding term variables in terms, or type variables in types), we saw that the appropriate categorical structure was that of **adjunction**.

To capture polymorphism, which is type variable binding in terms, we expect that we shall need something similar to adjunction, except simultaneously relating 1-cells and 2-cells.

Impredicative polymorphism

The formation and introduction rules for impredicative polymorphism are as follows.

$$\frac{\boxed{-}, \alpha : \mathcal{U} \vdash B : \mathcal{U}}{\quad} (\forall\text{-FORM})$$

$$\boxed{-} \vdash \forall (\alpha : \mathcal{U}). B : \mathcal{U}$$

$$\frac{\boxed{-}, \alpha : \mathcal{U} \mid \Gamma \vdash t : B}{\quad} (\forall\text{-INTRO})$$

$$\boxed{-} \mid \Gamma \vdash \bigwedge (\alpha : \mathcal{U}). t : \forall (\alpha : \mathcal{U}). B$$

Impredicative polymorphism

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$$\Xi, \alpha : \mathcal{U} \vdash B : \mathcal{U}$$

($\forall$ -FORM)

$$\Xi$$

$$\vdash \forall$$

$$(\alpha : \mathcal{U})$$

$$B : \mathcal{U}$$

quantifies over itself

$$\Xi, \alpha : \mathcal{U} \mid \Gamma \vdash t : B$$

($\forall$ -INTRO)

$$\Xi \mid \Gamma \vdash \bigwedge (\alpha : \mathcal{U}). t : \forall (\alpha : \mathcal{U}). B$$

Categorically, given a diagram of this form:

$$\begin{array}{ccc} & \Gamma & \\ & \curvearrowright & \\ [-] \times \mathcal{U} & \Downarrow t & \mathcal{U} \\ & \curvearrowleft & \\ & B & \end{array}$$

we want a diagram of this form:

$$\begin{array}{ccc} & \Gamma & \\ & \curvearrowright & \\ [-] & \Downarrow \wedge t & \mathcal{U} \\ & \curvearrowleft & \\ & \vee B & \end{array}$$

(and vice versa).

Local adjunctions

Let $\mathcal{A}$ and $\mathcal{B}$ be left-sesquicategories and

$$\mathcal{A} \begin{array}{c} \xrightarrow{L} \\ \xleftarrow{R} \end{array} \mathcal{B}$$

be left-sesquifunctors. A **local adjunction** between L and R is a family of adjunctions

$$\mathcal{B}(LA, B) \begin{array}{c} \xrightarrow{L_{A,B}} \\ \xleftarrow{R_{A,B}} \end{array} \mathcal{A}(A, RB)$$

natural in $A \in \mathcal{A}$, $B \in \mathcal{B}$.

Polymorphism via local adjunction

Let $\mathcal{C}$ be a cartesian left-sesquicategory. Fix an object $u \in \mathcal{C}$. A local adjunction between

$$\mathcal{C} \begin{array}{c} \xrightarrow{(-) \times u} \\ \xleftarrow{1_{\mathcal{C}}} \end{array} \mathcal{C}$$

is a natural family

$$\mathcal{C}(\Xi \times u, \Delta)(l_{\Xi, \Delta} \Gamma, B) \cong \mathcal{C}(\Xi, \Delta)(\Gamma, r_{\Xi, \Delta} B)$$

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is a natural family

$$\mathcal{C}(\Xi \times u, u)(\Gamma, B) \cong \mathcal{C}(\Xi, u)(\Gamma, \forall_u B)$$

Take $l_{x,y} := (-) \circ \pi_1$, and denote r by $\forall_u$.

Taking $\Delta = u$, this exactly expresses polymorphism.

Universally quantifiable objects

Let $\mathcal{C}$ be a cartesian left-sesquicategory.

We say that an object $u \in |\mathcal{C}|$ is **universally quantifiable** when

$$\mathcal{C}(-, -)^{(-) \circ \pi_1} \Rightarrow \mathcal{C}(- \times u, -)$$

has a local right adjoint.

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(Cf. **exponentiable objects** in a cartesian category.)

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$\mathcal{C}$ **admits impredicative polymorphism** when every object is universally quantifiable.

Aside: the Chevalley condition

In the hyperdoctrine approach, to model polymorphism we require a family of adjoints $\forall_\Gamma$ satisfying a Chevalley condition imposing compatibility between polymorphic abstraction and type-in-term substitution.

This is precisely naturality of the local adjunction.

Cartesian homwise - cartesian-closed
left-sesquicategories admitting polymorphism
model

System F
(which captures polymorphic type theories)

Cartesian - closed homwise - cartesian-closed
left-sesquicategories admitting polymorphism
model

System F_ω

(which captures polymorphic type theories
with second-order type operators)

System F /
Polymorphic λ -calculus

Type theory

Logic

Category theory

Intuitionistic universal
first-order logic

Cartesian monoidal
left-sesquicategories
admitting polymorphism



Predicativity

Whilst, historically, impredicative polymorphism has proven an important concept, in practice it is difficult to find models of System F (for a similar reason it is difficult to find models of the untyped λ -calculus).

More commonly, we are interested in theories with predicative polymorphism, where terms that abstract over **small types** necessarily have **large types**.

Predicative polymorphism

The formation and introduction rules for predicative polymorphism are as follows.

$$\frac{\boxed{-}, \alpha : \mathcal{U}_i \vdash B : \mathcal{U}_i}{\quad} (\forall\text{-FORM})$$

$$\boxed{-} \vdash \forall (\alpha : \mathcal{U}_i) . B : \mathcal{U}_{i+1}$$

abstraction increases the size
of a type

$$\boxed{-}, \alpha : \mathcal{U}_i \mid \Gamma \vdash t : B$$

($\forall$ -INTRO)

$$\boxed{-} \mid \Gamma \vdash \bigwedge (\alpha : \mathcal{U}_i) . t : \forall (\alpha : \mathcal{U}_i) . B$$

Predicative polymorphism is expressed by **relative local adjunction**. We consider an $\mathbb{N}$ -indexed chain of full sub-left-sesquicategories

$$\mathcal{C}_0 \xrightarrow{J_0} \mathcal{C}_1 \xrightarrow{J_1} \mathcal{C}_2 \xrightarrow{J_2} \dots$$

and distinguished objects $u_i \in |\mathcal{C}_i|$. We then consider a **relative** (and $\mathbb{N}$ -indexed) analogue of a local adjunction.

$$\mathcal{C}_i(\Xi \times u_i, \Delta)(a \circ \pi_1, b) \cong \mathcal{C}_{i+1}(\underline{J_i} \Xi, \underline{J_i} \Delta)(a, \forall b)$$

we may only abstract
over i -small types

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$$\mathcal{C}_i(\Xi \times u_i, \Delta)(a \circ \pi_1, b) \cong \mathcal{C}_{i+1}(J_i \Xi, J_i \Delta)(a, \forall b)$$

This more closely reflects the type systems of functional programming languages like Standard ML.

Summary

- Polymorphic type theories may be modelled in a 2-dimensional/enriched categorical framework.
- This approach extends the CCC model of the STLC more naturally than prior models.

Future work

- Relation with **dependent types**: any dependent type theory with **Π -types** and a **universe** should give rise to a predicative polymorphic type theory.