Homotopy Type Theory Equality as Equality



Dr Marco Benini

marco.benini@uninsubria.it

Dipartimento di Scienza e Alta Tecnologia Università degli Studi dell'Insubria

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In HoTT there are two notions of equality:

- judgemental equality $\Gamma \vdash a \equiv b : T$
- propositional equality a = T b

The former models conversion

The latter is

- the *identity type* over the type *T*
- the *space of paths* from *a* to *b* in the space *T*

Are these really equalities?

Equality is an *equivalence relation*

MLTT, on which HoTT is based on, contains

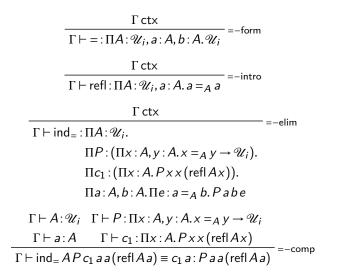
$$\frac{\Gamma \vdash a:A}{\Gamma \vdash a \equiv a:A} \equiv -\text{refl} \qquad \frac{\Gamma \vdash a \equiv b:A}{\Gamma \vdash b \equiv a:A} \equiv -\text{sym}$$
$$\frac{\Gamma \vdash a \equiv b:A \quad \Gamma \vdash b \equiv c:A}{\Gamma \vdash a \equiv c:A} \equiv -\text{trans}$$

Hence, judgemental equality is an equivalence relation...

... between regular judgements!

Equivalence relation

The identity type is defined by



Lemma 2.1 (Path inversion)

For every type A and every x, y: A there is a function $(_)^{-1}$: $x =_A y \rightarrow y =_A x$ such that $\operatorname{refl}_x^{-1} \equiv \operatorname{refl}_x$.

Proof. Define $P := \lambda x : A, y : A, p : x =_A y. y =_A x$ and $c_1 := \lambda x : A. refl_x$. Thus, $(_)^{-1} := ind_= AP c_1 x y$. Hence $refl_x^{-1} \equiv ind_= AP c_1 x x refl_x \equiv c_1 x \equiv refl_x$.

Generally, type checking is implicit in proofs

Lemma 2.2 (Path composition)

For every type A and every x, y, z: A there is a function

 $_\cdot_: x = y \rightarrow y = z \rightarrow x = z$

such that $refl_x \cdot refl_x \equiv refl_x$ for any x : A. Proof.

$$D := \lambda x : A, y : A, p : x =_A y, \Pi z : A, q : y =_A z. x =_A z$$

$$E := \lambda x : A, z : A, q : x =_A z. x =_A z$$

$$e := \lambda x : A. \operatorname{refl}_x$$

$$d := \lambda x : A. \operatorname{ind}_= A E e$$

$$f := \lambda A : \mathcal{U}_i, x : A, y : A, z : A, p : x =_A y, q : y =_A z. \operatorname{ind}_= A D d x y p z q$$

Then $\cdot := f A_X y z$ is the sought term. The judgemental equality $\operatorname{refl}_x \cdot \operatorname{refl}_x \equiv \operatorname{refl}_x$ follows by $=-\operatorname{comp}$. Equality is an *equivalence relation*

By =-intro, $=_A$ is reflexive

Lemma 2.1 tells that $=_A$ is symmetric

Lemma 2.2 tells that $=_A$ is transitive

Hence $=_A$ is an equivalence relation between terms in the same type A

Equality is a *congruence*

It suffices to show that equality is a congruence w.r.t. the structural constructors: application, abstraction, function space formation:

1. if
$$f = g$$
 then $f = g a$

- 2. if a = b then f = a = f b
- 3. if A = B then $(\lambda x : A. e) = (\lambda x : B. e)$
- 4. if a = b then $(\lambda x : A. a) = (\lambda x : A. b)$
- 5. if A = B then $(\Pi x : A, C) = (\Pi x : B, C)$
- 6. if B = C then $(\Pi x : A, B) = (\Pi x : A, C)$

Because of the way in which we defined inductive types, it follows that equality is a congruence also w.r.t. them if it is w.r.t. the fundamental constructors above.

(8)



Equality is a *congruence*

MLTT, on which HoTT is based, contains

$$\frac{\Gamma \vdash A \equiv A' : \mathscr{U}_i \quad \Gamma, x : A \vdash B \equiv B' : \mathscr{U}_i}{\Gamma \vdash \Pi x : A . B \equiv \Pi x : A' . B' : \mathscr{U}_i} \qquad \Pi \text{-form-eq}$$

$$\frac{\Gamma, x : A \vdash b \equiv b' : B \quad \Gamma \vdash A \equiv A' : \mathscr{U}_i}{\Gamma \vdash \lambda x : A . b \equiv \lambda x : A' . b' : \Pi x : A . B} \qquad \Pi \text{-intro-eq}$$

$$\frac{\Gamma \vdash f \equiv g : \Pi x : A . B \quad \Gamma \vdash a \equiv a' : A}{\Gamma \vdash f a \equiv g a' : B[a/x]} \qquad \Pi \text{-elim-eq}$$

Hence judgemental equality is a congruence.

Lemma 3.1 (Transport)

Let $P: A \rightarrow \mathcal{U}_i$ and $p: x =_A y$. Then there is $p_*: Px \rightarrow Py$. Proof. Pose

ruse

$$D := \lambda x : A, y : A, p : x = y. P x \to P y$$
$$d := \lambda x : A. id_{(Px)}$$

Thus $p_* := \operatorname{ind}_= A D d \times y p$.

Lemma 3.2

If $f =_{\Pi x:A.B} g$ then $f =_{B[a/x]} g$ a for every a:A.

Proof.

Let $P := \lambda h: (\Pi x : A. B)$. f = B[a/x] ha. Let p: f = g. Then $p_*: f = B[a/x] f a \rightarrow f = B[a/x] g a$ by Lemma 3.1. Thus $p_* (\operatorname{refl} B[a/x](f a)): f = B[a/x] g a$. Apparently, it would be simple to prove also

Lemma 3.3

If
$$a =_A b$$
 then $f =_{B[a/x]} f b$ for every $f : \Pi x : A.B$.

Proof. Let $P :\equiv \lambda y : A.f = B[a/x] f y$. Let p : a = b. Then $p_* : f = B[a/x] f a \rightarrow f = B[a/x] f b$ by Lemma 3.1. Thus p_* (refl B[a/x](f a)): f = B[a/x] f b.

The part in red is wrong because *P* does not type check. Observe how the proof is correct when $f: A \rightarrow B$.

Definition 3.4 (Homotopy)

Let $f,g:\Pi x:A.B$. Then a homotopy from f to g is a function of type

$$(f \sim g) :\equiv \Pi x : A. f x =_B g x .$$

happly:
$$(f = g) \rightarrow (f \sim g)$$
.

Proof.

$$D := \lambda y, z : (\Pi x : A, B), q : y = z, y \sim z$$
$$d := \lambda y : (\Pi x : A, B), \lambda x : A, refl_{yx}$$

Then happly: \equiv ind₌ ($\Pi x : A.B$) Ddfg has type (f = g) \rightarrow ($f \sim g$).

Theorem 3.6 Let $f,g:\Pi x: A.B$. Then there is a term funext such that

funext: $(f \sim g) \rightarrow (f = g)$.

Proof.

By a complex proof due to Voevodsky.

Beware that the proof is not clean: it uses many preliminary results, some of which may have been proved using function extensionality! However, it is believed that it can be performed avoiding that principle.

Lemma 3.7

If $\Pi x : A.a =_B b$ then $(\lambda x : A.a) =_{\Pi x : A.B} (\lambda x : A.b)$.

Proof.

Observe that $(\lambda x : A.a)x \equiv a$ and $(\lambda x : A.b)x \equiv b$, thus the hypothesis becomes $\Pi x : A.(\lambda x : A.a)x =_B (\lambda x : A.b)x$, that is, $(\lambda x : A.a) \sim (\lambda x : A.b)$. The conclusion follows by Theorem 3.6.

However, as before, the following, apparently natural proof, is wrong:

Lemma 3.8

If
$$A =_{\mathcal{U}_i} B$$
 and $\Gamma, x : A \vdash a : C$ then $(\lambda x : A, a) =_{\Pi x : A, C} (\lambda x : B, a)$.

Proof.

Let $P := \lambda z : \mathscr{U}_i.(\lambda x : A.a) =_{\Pi x:A.C} (\lambda x : z.a)$. Let $p : A =_{\mathscr{U}_i} B$. Then $p_* : (\lambda x : A.a) =_{\Pi x:A.C} (\lambda x : A.a) \rightarrow (\lambda x : A.a) =_{\Pi x:A.C} (\lambda x : B.a)$ by Lemma 3.1. Thus p_* (refl($\Pi x : A.C$)($\lambda x : A.a$)):($\lambda x : A.a$) = $_{\Pi x:A.C} (\lambda x : B.a$).

Lemma 3.9

If $A =_{\mathcal{U}_i} B$ and $\Gamma, x : A \vdash C : \mathcal{U}_i$ then $(\Pi x : A, C) =_{\mathcal{U}_i} (\Pi x : B, C).$

Proof. Let $P := \lambda z : \mathcal{U}_i.(\Pi x : A. C) =_{\mathcal{U}_i} (\Pi x : z. C).$ Let $p : A =_{\mathcal{U}_i} B.$

Then $p_*: (\Pi x : A, C) =_{\mathscr{U}_i} (\Pi x : A, C) \rightarrow (\Pi x : A, C) =_{\mathscr{U}_i} (\Pi x : B, C)$ by Lemma 3.1. Thus $p_*(refl^{\mathscr{U}_i}(\Pi x : A, C)): (\Pi x : A, C) =_{\mathscr{U}_i} (\Pi x : B, C)$

Thus $p_*(\operatorname{refl} \mathscr{U}_i(\Pi x : A. C)) : (\Pi x : A. C) =_{\mathscr{U}_i} (\Pi x : B. C).$

Congruence

Lemma 3.10

If $\Pi x : A.(B =_{\mathcal{U}_i} C)$ then $(\Pi x : A.B) =_{\mathcal{U}_i} (\Pi x : A.C).$

Proof. Since $B \equiv (\lambda x : A.B) x$ and $C \equiv (\lambda x : A.C) x$, the hypothesis becomes $(\lambda x : A.B) \sim (\lambda x : A.C)$. Then, by Theorem 3.6, there is $t : (\lambda x : A.B) =_{A \rightarrow \mathscr{U}_i} (\lambda x : A.C)$. Pose

$$D := \lambda y, z : (A \to \mathcal{U}_i), q : y =_{(A \to \mathcal{U}_i)} z. (\Pi x : A, y x) =_{\mathcal{U}_i} (\Pi x : A, z x)$$
$$d := \lambda y : (A \to \mathcal{U}_i). \operatorname{refl}_{(\Pi x : A, y x)}$$

Observe how d: Dyy refl_y. Thus

$$\operatorname{ind}_{=}(A \to \mathscr{U}_i) D d (\lambda x : A. B) (\lambda x : A. C) t$$

inhabits

$$(\Pi x : A.B) =_{\mathcal{U}_i} (\Pi x : A.C) .$$

Equality is a *congruence*

By Lemmas 3.9, and 3.10, equality $=_{T}$ is a congruence w.r.t. function space formation for every type T.

By Lemmas 3.2 and 3.3, equality $=_{\mathcal{T}}$ is a congruence w.r.t. application when dealing with non-dependent functions.

By Lemma 3.7, equality $=_{T}$ is a congruence w.r.t. abstraction **limited to the body**, i.e., having a fixed domain.

The proofs of Lemmas 3.7 and 3.10 are correct, but they rely on a principle we have not shown: if $a \equiv b$ then a = T b.

Also, we have shown that judgemental equality is a congruence, but we omitted to consider types:

- under the hypotheses of Π -intro-eq, we should prove **both** $\Gamma \vdash \lambda x : A. b \equiv \lambda x : A'. b' : \Pi x : A. B$ and $\Gamma \vdash \lambda x : A. b \equiv \lambda x : A'. b' : \Pi x : A'. B$ **because** $\Pi x : A. B \equiv \Pi x : A'. B$.
- under the hypotheses of Π -elim-eq, we should prove **both** $\Gamma \vdash f a \equiv g a' : B[a/x]$ and $\Gamma \vdash f a \equiv g a' : B[a'/x]$ **because** $B[a/x] \equiv B[a'/x]$.

More in general, we would expect that if $a \equiv b$ then $C[a] \equiv C[b]$.

And we have not yet discussed why Lemmas 3.3 and 3.8 fail.

Lemma 4.1

If $\Gamma \vdash a \equiv b : A$ then $\Gamma \vdash \operatorname{refl}_a : a =_A b$. Proof. Observe that $(a =_A a) \equiv_L (a =_A x)[a/x]$ and $(a =_A b) \equiv_L (a =_A x)[b/x]$, where \equiv_L means syntactically equal. Thus $\Gamma \vdash (a =_A a) \equiv (a =_A b) : \mathscr{U}_i$ because \equiv is congruence. From the hypothesis, we get $\Gamma \vdash a : A$ and $\Gamma \vdash A : \mathscr{U}_i$ by Lemmas 4.2 and 4.3. Hence $\Gamma \vdash \operatorname{refl}_a : a =_A a$ by $\equiv -\operatorname{intro.}$ Thus $\Gamma \vdash \operatorname{refl}_a : a =_A b$ by $\equiv -\operatorname{subst.}$

From $\Gamma \vdash \Pi x : A.a =_B b : \mathscr{U}_i$ we can derive $\Gamma, x : A \vdash a =_B b$, and in turn $\Gamma, x : A \vdash a : B$ by Lemma 4.2. Then the missing part in Lemmas 3.7 and 3.10 is immediately obtained by Π -comp and Lemma 4.1.

Inversion

Lemma 4.2 (Inversion)

- 1. If $\Gamma \vdash x : T$ with x a variable, then $\Gamma \vdash x : A$ by $\forall ble$ and $\Gamma \vdash A \equiv T : \mathcal{U}_i$, or $\Gamma \vdash A \equiv \mathcal{U}_i : \mathcal{U}_k$ and $\Gamma \vdash T \equiv \mathcal{U}_j : \mathcal{U}_k$, i < j < k.
- 2. If $\Gamma \vdash \kappa : T$ with κ a constant, then $\Gamma \vdash \kappa : A$ by the corresponding introduction rule, and $\Gamma \vdash A \equiv T : \mathscr{U}_i$, or $\Gamma \vdash A \equiv \mathscr{U}_i : \mathscr{U}_k$ and $\Gamma \vdash T \equiv \mathscr{U}_j : \mathscr{U}_k$, i < j < k.
- 3. If $\Gamma \vdash \mathcal{U}_i : T$ then $\Gamma \vdash \mathcal{U}_i : \mathcal{U}_{i+1}$ by \mathcal{U} -intro and $\Gamma \vdash T \equiv \mathcal{U}_j$, i < j.
- 4. If $\Gamma \vdash \Pi x : A.B : T$ then $\Gamma \vdash \Pi x : A.B : \mathcal{U}_i$ by Π -form, and $\Gamma \vdash T \equiv \mathcal{U}_j$, $i \leq j$.
- 5. If $\Gamma \vdash \lambda x : A.b : T$ then $\Gamma \vdash \lambda x : A.b : \Pi x : A.B$ by Π -intro, and $\Gamma \vdash \Pi x : A.B \equiv T : \mathcal{U}_i$.
- If Γ⊢ f a: T then Γ⊢ f a: A by ⊓-elim, and Γ⊢ A ≡ T: 𝒰_i, or Γ⊢ A ≡ 𝒰_i: 𝒰_k and Γ⊢ T ≡ 𝒰_j: 𝒰_k, i < j < k.

Proof.

It suffices to observe that the last step of a derivation of $\Gamma \vdash t: T$ is either an instance of \mathscr{U} -cumul or \equiv -subst from a premise $\Gamma \vdash t: T'$, or an instance of a rule introducing the main operator.

Lemma 4.3

- 1. If $\Gamma, x : A, \Delta \operatorname{ctx}$ then $\Gamma \operatorname{ctx}$, and $\Gamma \vdash A : \mathscr{U}_i$.
- 2. If $\Gamma \vdash a: A$ then $\Gamma \operatorname{ctx}$, and $\Gamma \vdash A: \mathscr{U}_i$.
- 3. If $\Gamma \vdash a \equiv b : A$ then $\Gamma \operatorname{ctx}, \Gamma \vdash A : \mathscr{U}_i$, and $\Gamma \vdash a : A, \Gamma \vdash b : A$.

Proof.

By a long deep induction on the derivations.

Theorem 4.4 (Substitution)

If $\Gamma \vdash a \equiv b : A$ and $\Gamma, x : A \vdash C : B$ then $\Gamma \vdash B[a/x] \equiv B[b/x] : \mathscr{U}_i$ and $\Gamma \vdash C[a/x] \equiv C[b/x] : B[a/x].$

Proof.

From $\Gamma, x : A \vdash C : B$, we get $\Gamma, x : A \vdash B : \mathcal{U}_i$, and from $\Gamma \vdash a \equiv b : A$ we get $\Gamma \vdash a : A$ and $\Gamma \vdash b : A$ by Lemma 4.3.

Then
$$\Gamma \vdash \lambda x : A.B \equiv \lambda x : A.B : A \rightarrow \mathcal{U}_i$$
 by \equiv -refl after Π -intro, so $\Gamma \vdash (\lambda x : A.B) a \equiv (\lambda x : A.B) b : \mathcal{U}_i$ by Π -elim-eq.
But $\Gamma \vdash B[a/x] \equiv (\lambda x : A.B) a : \mathcal{U}_i$ by \equiv -sym after Π -comp.
Also $\Gamma \vdash (\lambda x : A.B) b \equiv B[b/x] : \mathcal{U}_i$ by Π -comp.
Hence $\Gamma \vdash B[a/x] \equiv B[b/x] : \mathcal{U}_i$ by \equiv -trans.

Similarly, $\Gamma \vdash (\lambda x : A. C) a \equiv (\lambda x : A. C) b : B[a/x]$, thus $\Gamma \vdash C[a/x] \equiv C[b/x] : B[a/x]$ following the same reasoning. Hence we solved all the previously listed issues about judgemental equality. It remains to analyse why Lemmas 3.3 and 3.8 fail.

Using some black magic, one can prove

Lemma 4.5

If $\Gamma \vdash \Pi x : A.B \equiv \Pi x : A'.B' : \mathcal{U}_i$ then $\Gamma \vdash A \equiv A' : \mathcal{U}_i$ and $\Gamma, x : A \vdash B \equiv B' : \mathcal{U}_i$.

Suppose Lemma 3.8 holds: if $A =_{\mathcal{U}_i} B$ and $\Gamma, x : A \vdash a : C$ then $(\lambda x : A.a) =_{\Pi x : A.C} (\lambda x : B.a).$

Pose $a :\equiv x$ and $C :\equiv A$ and assume $A =_{\mathscr{U}_i} B$. Then $id_A =_{\Pi x:A,A} id_B$, so $\Gamma \vdash id_B : \Pi x : A.A$ by Lemma 4.3, thus $\Gamma, x : B \vdash x : B$ and $\Gamma \vdash \Pi x : A.A \equiv \Pi x : B.B : \mathscr{U}_i$ by Lemma 4.2. Hence $\Gamma \vdash A \equiv B : \mathscr{U}_i$ by Lemma 4.5.

However, for example, 1+1=2 but $1+1\neq 2$. Thus Lemma 3.8 is untenable.

Equivalence vs Equality

Consider Lemma 3.3: if $a =_A b$ then $f =_{B[a/x]} f b$ for every $f: \Pi x: A.B$. It holds if $f: A \to B$, so assume f to be dependent. And it is significant when $a \neq b$, so assume this fact. Under these constraints, assume Lemma 3.3.

Observe that if t: C and t: D then either $C \equiv D$, or both $C \equiv \mathcal{U}_i$ and $D \equiv \mathcal{U}_j$, $i \neq j$ by Lemma 4.2.

Take $f := \lambda x : A$. refl_x : $\Pi x : A$. $x =_A x$. Let $a =_A b$.

Then either $(a =_A a) \equiv (b =_A b)$ or $(a =_A a)$ and $(b =_A b)$ are judgementally equivalent to distinct universes. The latter case is impossible since Church-Rosser Theorem holds in the pure calculus, and \equiv implies convertibility.

Thus, in the pure calculus *a* converts to *b*, that is (*) $a \equiv b$, contradiction. Therefore, Lemma 3.3 in its full generality is untenable.

(*) This is a consequence of Church-Rosser Theorem in MLTT, which has been *almost* proved by the speaker.

A notion of equality is a *congruence* w.r.t. path operations when

- if $p, q: a =_A b$ and $p =_{a=_A b} q$ then $p^{-1} =_{b=_A a} q^{-1}$
- if $p,q: a =_A b$, $s: c =_A a$ and $p =_{a=_A b} q$ then $s \cdot p =_{c=_A b} s \cdot q$
- if $p,q:a=_A b$, $s:b=_A c$ and $p=_{a=_A b} q$ then $p \cdot s=_{a=_A c} q \cdot s$

Clearly, by Lemma 4.1, this notion makes sense for propositional equality only.

Congruence, again

Proposition 4.6

If
$$p, q: a =_A b$$
 and $p =_{a=_A b} q$ then
1. $p^{-1} =_{b=_A a} q^{-1}$
2. if $s: c =_A a$ then $s \cdot p =_{c=_A b} s \cdot q$
3. if $s: b =_A c$ then $p \cdot s =_{a=_A c} q \cdot s$

Proof.

Let h: p = q. Pose

$$D_{1} :\equiv \lambda x, y : a =_{A} b. x = y \rightarrow x^{-1} = y^{-1}$$
$$D_{2} :\equiv \lambda x, y : a =_{A} b. x = y \rightarrow s \cdot x = s \cdot y$$
$$D_{3} :\equiv \lambda x, y : a =_{A} b. x = y \rightarrow x \cdot s = y \cdot s$$
$$d_{1} :\equiv \lambda x : a =_{A} b. \operatorname{refl}_{x^{-1}}$$
$$d_{2} :\equiv \lambda x : a =_{A} b. \operatorname{refl}_{s \cdot x}$$
$$d_{3} :\equiv \lambda x : a =_{A} b. \operatorname{refl}_{x \cdot s}$$

then ind $(a =_A b) D_i d_i p q h$ for i = 1, 2, 3 inhabits the various cases.

The good news:

- judgemental and propositional equalities are equivalence relations
- judgemental equality is a congruence w.r.t. type formers
- judgemental equality, thanks to Lemma 4.1 and Proposition 4.6, is a (trivial) congruence w.r.t. path operations
- propositional equality is a congruence w.r.t. path operations

The bad news: in general, propositional equality is **not** a congruence w.r.t. type formers.

However, it is to some extent.

Hence, reasoning with equivalences (\simeq) is unavoidable in HoTT.

The moral is that there is a small but significant disagreement between the H (homotopy) and the double T (type theory) in HoTT, that prevents a natural encapsulation of the homotopical reasoning in the logical/type theoretical one.

Finally, structural proof-theoretic properties of MLTT play a fundamental role in the fine analysis of HoTT, see, e.g., Church-Rosser Theorem.

This aspect of HoTT is poorly developed.

More in general, HoTT, in its current stage of development, lacks a clean, systematic presentation which is, in the author's opinion, the biggest obstacle to its study and use.

The main reference is *The Univalent Foundation Program*, Homotopy Type Theory: Univalent Foundations of Mathematics, Institute for Advanced Study (2013), https://homotopytypetheory.org/book.

Martin-Löf type theory is described in *Per Martin-Löf*, An intuitionistic theory of types: Predicative part, *H.E. Rose* and *J.C. Shepherdson* eds., Logic Colloquium '73, Studies in Logic and the Foundations of Mathematics 80, Elsevier (1975), pp. 73—118.

We suggest also *Per Martin-Löf*, Intuitionistic Type Theory: Notes by Giovanni Sambin of a series of lectures given in Padua, June 1980, Studies in Proof Theory 1, Bibliopolis, Naples, Italy (1984).

The results about Church-Rosser Theorem and Lemma 4.5 can be found in *Marco Benini*, Subject Reduction in Multi-Universe Type Theories, *M.Benini*, *O. Beyersdorff*, *M. Rathjen*, *P. Schuster* eds., Mathematics for Computation (M4C), World Scientific (2023).

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