

Johns Hopkins University

# Formalizing $\infty$ -category theory in the RZK proof assistant joint with Nikolai Kudasov and Jonathan Weinberger





Interactions of Proof Assistants and Mathematics

- 1. Computer formalization of mathematics
- 2. In search of foundations for higher structures
- 3. Simplicial type theory and the  $\mathrm{Rz}\kappa$  proof assistant
- 4. Synthetic  $\infty$ -category theory
- 5. A formalized proof of the  $\infty\text{-categorical Yoneda lemma}$



# Computer formalization of mathematics

## Motivation

CAHIERS DE TOPOLOGIE ET GÉOMÉTRIE DIFFÉRENTIELLE CATÉGORIQUES VOL. XXXII-1 (1991)

#### *w***-GROUPOIDS AND HOMOTOPY TYPES**

by M.M. KAPRANOV and V.A. VOEVODSKY

**RESUME.** Nous présentons une description de la categorie homotopique des CW-complexes en termes des  $\infty$ -groupoïdes. La possibilité d'une telle description a été suggérée par A. Grothendieck dans son memoire "A la poursuite des champs".

It is well-known [GZ] that CW-complexes X such that  $\pi_1(X,x)=0$  for all  $i\geq 2$ ,  $x\in X$ , are described, at the homotopy level, by groupoids. A. Grothendieck suggested, in his unpublished memoir [Gr], that this connection should have a higher-dimensional generalisation involving polycategories. viz. polycategorical analogues of groupoids. It is the purpose of this paper to establish such a generalisation.

- 15 statements =
  - 4 theorems
  - + 9 propositions
  - + 1 lemma
  - + 1 corollary
- 5 short "obvious" proofs + 3 proofs
- Carlos Simpson's "Homotopy types of strict 3-groupoids" (1998) shows that the 3-type of  $S^2$  can't be realized by a strict 3-groupoid contradicting the last corollary.
- But no explicit mistake was found. Voevodsky: "I was sure that we were right until the fall of 2013 (!!)"

A sociological problem



MATHEMATICS

# The Origins and Motivations of Univalent Foundations

A Personal Mission to Develop Computer Proof Verification to Avoid Mathematical Mistakes

By Vladimir Voevodsky • Published 2014

"A technical argument by a trusted author, which is hard to check and looks similar to arguments known to be correct, is hardly ever checked in detail."

# Computer formalized mathematics

Formalized mathematics, in tandem with other forms of computerized mathematics<sup>1</sup>, provides better management of mathematical knowledge, an opportunity to carry out ever more complex and larger projects, and hitherto unseen levels of precision.

> — Andrej Bauer, "The dawn of formalized mathematics," delivered at the 8th European Congress of Mathematics

Recent successes include:

- $\bullet$  the Kepler conjecture, resolving a 1611 conjecture, 2003–2014,  $\rm HOL~LIGHT$
- the Feit-Thompson Odd Order Theorem, a foundational result in the classification of finite simple groups, 2006–2012, Coq
- the liquid tensor experiment, formalizing condensed mathematics, 2020–2022,  $\rm LEAN$
- the Brunerie number, computing  $\pi_4 S^3 \cong \mathbb{Z}/2\mathbb{Z}$ , 2015–2022, CUBICAL AGDA

<sup>&</sup>lt;sup>1</sup>Jacques Carette, William M. Farmer, Michael Kohlhase, and Florian Rabe. Big math and the one-brain barrier — the tetrapod model of mathematical knowledge. Mathematical Intelligencer, 43(1):78–87, 2021.



# In search of foundations for higher structures

# Rebuilding the pragmatic foundations for higher structures

I am pretty strongly convinced that there is an ongoing reversal in the collective consciousness of mathematicians: the homotopical picture of the world becomes the basic intuition, and if you want to get a discrete set, then you pass to the set of connected components of a space defined only up to homotopy ... Cantor's problems of the infinite recede to the background: from the very start, our images are so infinite that if you want to make something finite out of them, you must divide them by another infinity.

> — Yuri Manin "We do not choose mathematics as our profession, it chooses us: Interview with Yuri Manin" by Mikhail Gelfand

## $\infty$ -categories in set theory

Essentially,  $\infty$ -categories are 1-categories in which all the sets have been replaced by  $\infty$ -groupoids aka homotopy types:

sets ::  $\infty$ -groupoids categories ::  $\infty$ -categories

Where

• categories have sets of objects,  $\infty$ -categories have  $\infty$ -groupoids of objects, and

• categories have hom-sets,  $\infty$ -categories have  $\infty$ -groupoidal mapping spaces. While the axioms that turn a directed graph into a category are expressed in the language of set theory — a category has a composition function satisfying axioms expressed in first-order logic with equality — composition in an  $\infty$ -category, as a morphism between  $\infty$ -groupoids, isn't a "function" in the traditional sense (since homotopy types do not have underlying sets of points).

This is why  $\infty$ -categories are so difficult to model within set theory.

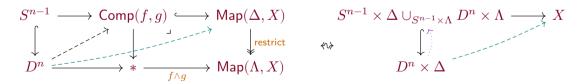
# Composing paths

In the total singular complex aka the fundamental  $\infty$ -groupoid aka the anima or "soul"

of a space X, composites of paths are witnessed by higher paths:  $\int_{a}^{b} \int_{a}^{b} \int_{a}^{g} \int_{a}^{g}$ 

Theorem. The space of composites of two paths f and g in X is contractible.

Proof: The space of composites of paths f and g in X is defined by the pullback:



A space is contractible just when any sphere  $S^{n-1}$  can be filled to a disk  $D^n$  for  $n \ge 0$ . The extension exists since the inclusion admits a continuous deformation retract.

# Could ∞-category theory be taught to undergraduates? As far as we know, there are no existing formalizations of ∞-category theory in any proof assistant library such as LEAN-MATHLIB, AGDA-UNIMATH, COQ-HOTT,... Why not?

Could ∞-Category Theory Be Taught to Undergraduates?



#### Emily Riehl

1. The Algebra of Paths

It is natural to probe a suitably nice topological space X by means of its paths, the continuous functions from the standard unit interval  $I = [0, 1] \subset \mathbb{R}$  to X. But what structure do the paths in X form!

To start, the paths form the edges of a directed graph whose vertices are the points of X: a path  $p: I \rightarrow X$  defines an arrow from the point p(0) to the point p(1). Moreover,

Techy Kield is a professor of mathematics at Johon Hapkins Delawrolsy. Hen enabl address is net richt(1)two.edu. Consensational by Nettons Anachier Robert Steven Sen. For permitation in reprint this methic plane contact: reperint scientification.org. DOI:https://doi.org/10.1009/j.sci0002 this graph is reflexive, with the constant path refl<sub>x</sub> at each point  $x \in X$  defining a distinguished endoarrow.

Can this reflexive directed graph be given the structure of a category T of to so, it is natural to define the composite of a path p from x to y and a path q from y to zby gluing together these continuous maps—i.e., by concatenating the gaths—and then hyr perparametrizing via the homeomorphism  $I \cong I \cup_{i=0} I$  that traverses each path at double speed:



But the composition operation \* fails to be associative or unital. In general, given a path r from z to w, the The traditional foundations of mathematics are not really suitable for "higher mathematics" such as  $\infty$ -category theory, where the basic objects are built out of higher-dimensional types instead of mere sets. However, there are proposals for new foundations for mathematics that are closer to mathematician's core intuitions, based on Martin-Löf's dependent type theory such as

- homotopy type theory,
- higher observational type theory, and the
- simplicial type theory, that we use here.

## $\infty\text{-}\mathsf{categories}$ in homotopy type theory

The identity type family gives each type the structure of an  $\infty$ -groupoid: each type A has a family of identity types over x, y : A whose terms  $p : x =_A y$  are called paths. In a "directed" extension of homotopy type theory introduced in

Emily Riehl and Michael Shulman, A type theory for synthetic  $\infty$ -categories, Higher Structures 1(1):116–193, 2017

each type A also has a family of hom types  $\text{Hom}_A(x, y)$  over x, y : A whose terms  $f: \text{Hom}_A(x, y)$  are called arrows.

defn (Riehl-Shulman after Joyal and Rezk). A type A is an  $\infty$ -category if:

- Every pair of arrows  $f: \operatorname{Hom}_A(x, y)$  and  $g: \operatorname{Hom}_A(y, z)$  has a unique composite, defining a term  $g \circ f: \operatorname{Hom}_A(x, z)$ .
- Paths in A are equivalent to isomorphisms in A.

With more of the work being done by the foundation system, perhaps someday  $\infty$ -category theory will be easy enough to teach to undergraduates?



# Simplicial type theory and the $\mathbf{R}_{\mathbf{Z}\mathbf{K}}$ proof assistant

# Shapes in the theory of the directed interval

Our types may depend on other types and also on shapes  $\Phi \subset 2^n$ , which are polytopes embedded in a directed cube defined in a language

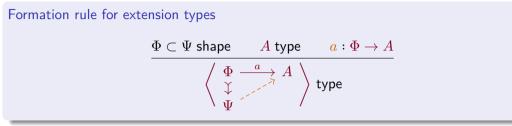
 $\top, \bot, \wedge, \lor, \equiv \qquad \text{and} \qquad 0, 1, \leq$ 

satisfying intuitionistic logic and strict interval axioms.

e.g.,  $\Delta^n := \{(t_1, \dots, t_n) : 2^n \mid t_n < \dots < t_1\}$  $\Lambda^1 := \mathcal{P}$  $\Delta^2 \coloneqq \{(t_1, t_2) : 2^2 \mid t_2 \leq t_1\} \coloneqq \begin{cases} (t, t) & (1, 1) \\ (1, t) & (1, t) \\ (0, 0) & (t, 0) \\ (t, 0) & (1, 0) \\ (t, 0) & (t, 0) \\ (t, 0$  $\partial \Delta^2 := \{ (t_1, t_2) : 2^2 \mid (t_2 < t_1) \land ((0 = t_2) \lor (t_2 = t_1) \lor (t_1 = 1)) \}$  $\Lambda_1^2 := \{ (t_1, t_2) : 2^2 \mid (t_2 < t_1) \land ((0 = t_2) \lor (t_1 = 1)) \}$ 

Because  $\phi \wedge \psi$  implies  $\phi$ , there are shape inclusions such as  $\Lambda_1^2 \subset \partial \Delta^2 \subset \Delta^2$ .

# Extension types



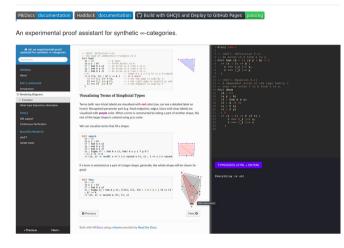
A term 
$$f: \left\langle \begin{array}{c} \Phi \xrightarrow{a} A \\ \downarrow \\ \Psi \end{array} \right\rangle$$
 defines

 $f: \Psi \to A$  so that  $f(t) \equiv a(t)$  for  $t: \Phi$ .

The simplicial type theory allows us to *prove* equivalences between extension types along composites or products of shape inclusions.

# An experimental proof assistant $\mathrm{Rz\kappa}$ for $\infty\text{-category}$ theory

#### rzk



# The proof assistant $\mathbf{R}_{\mathbf{Z}\mathbf{K}}$ was written by Nikolai Kudasov:

#### About this project

Internaty, rzt uses a version of second-order abstrats sprats allowing relatively straightforward handling of blickies (such as lambda abstraction). In the future, rzt aims to support dependent type inference relying on E-unification resection of the stratter sprats (2) (Juling such representation is molivated by automatic handling of blinkers and easily automated bolieptate code. The idea is that this should keep the implementation of rzk: relatively small and less error prove that more in the existing percenciles to implementation of dependent type scheckers.

An importent part of 'zik' is a topic layer solver, which is essentially a theorem prover for a part of the type theory. A related project, dedicated just to that part is available at https://gitub.com/firux/simple-topes, size/ik-roses supprise used defined cubes, topes, and tope layer axioms. Once stable, size/ik-topes, will be morged into 'zik, expanding the proof assistant to the type theory with shapes, allowing formalisations for (variants of) cubical, globular, and other geometric versions of HoTT.

### rzk-lang.github.io/rzk

A formalized proof of the  $\infty\text{-}\mathsf{categorical}$  Yoneda lemma

Our initial aim was to write a formalized proof of the  $\infty$ -categorical Yoneda lemma.

github.com/emilyriehl/yoneda or emilyriehl.github.io/yoneda/

- proof from Emily Riehl & Mike Shulman, A type theory for synthetic ∞-categories, Higher Structures 2017.
- formalizations written by Nikolai Kudasov, Emily Riehl, Jonathan Weinberger.
- completed March 12 April 17, 2023

Our ultimate aim is to compare  $\infty\mbox{-}category$  theory in simplicial type theory with ordinary category theory in traditional foundations. Thus,

- We've included a formalization of the 1-categorical Yoneda lemma in Lean by Sina Hazratpour as part of an Introduction to Proofs course at Johns Hopkins.
- We wrote a first version of yoneda-lemma-precategories.lagda.md.

More recently, we've professionalized our library, implementing a style guide suggested by Fredrik Bakke, who also contributed some formalizations.

Future work: formalize synthetic  $\infty$ -category theory

Help us formalize other results from synthetic  $\infty$ -category in RZK!

We have suggested some formalization goals at

github.com/rzk-lang/sHoTT or rzk-lang.github.io/sHoTT

that should be achievable if you have prior familiarity with homotopy type theory.

It is also possible to formalize standard (book) homotopy type theory in RZK, and these background results are used as prerequisites for our main project.



# Synthetic $\infty$ -category theory

# Hom types

In the simplicial type theory, any type A has a family of hom types depending on two terms in x, y : A:

$$\operatorname{Hom}_{A}(x,y) := \left\langle \begin{array}{c} \partial \Delta^{1} \xrightarrow{|x,y|} \\ \downarrow \\ \Delta^{1} \end{array} \right\rangle \operatorname{type}$$

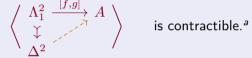
A term  $f: \operatorname{Hom}_A(x, y)$  defines an arrow in A from x to y.

We think of the type  $\text{Hom}_A(x, y)$  as the mapping space in A from x to y.

A type A also has a family of identity types or path spaces x = y depending on two terms in x, y : A, which we will connect to the hom-types momentarily.

## $Pre-\infty$ -categories

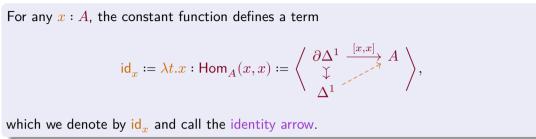
defn (Riehl-Shulman after Joyal). A type A is a pre- $\infty$ -category if every pair of arrows  $f: \operatorname{Hom}_{A}(x, y)$  and  $g: \operatorname{Hom}_{A}(y, z)$  has a unique composite, i.e.,



<sup>a</sup>A type C is contractible just when  $\sum_{a \in C} \prod_{a \in C} c = x$ .

By contractibility, 
$$\left\langle \begin{array}{c} \Lambda_1^2 \xrightarrow{[f,g]} A \\ \downarrow \\ \Delta^2 \end{array} \right\rangle$$
 has a unique inhabitant  $\operatorname{comp}_{f,g} : \Delta^2 \to A$ .  
Write  $g \circ f : \operatorname{Hom}_A(x,z)$  for its inner face, *the* composite of  $f$  and  $g$ .

# Identity arrows



For any  $f: \operatorname{Hom}_A(x,y)$  in a pre- $\infty$ -category A, the term in the contractible type

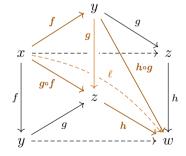
$$\lambda(s,t).f(t): \left\langle \begin{array}{c} \Lambda_1^2 \xrightarrow{[\mathsf{id}_x,f]} A \\ \downarrow \\ \Delta^2 \end{array} \right\rangle$$

witnesses the unit axiom  $f = f \circ id_x$ .

# Associativity of composition

Prop. In a pre- $\infty$ -category A, composition is associative: for any arrows  $f : \operatorname{Hom}_A(x, y)$ ,  $g : \operatorname{Hom}_A(y, z)$ , and  $h : \operatorname{Hom}_A(z, w)$ , we have  $h \circ (g \circ f) = (h \circ g) \circ f$ .

**Proof**: Consider the composable arrows in the pre- $\infty$ -category  $\Delta^1 \rightarrow A$ :



Composing defines a term in the type  $\Delta^2 \rightarrow (\Delta^1 \rightarrow A)$  which defines an arrow  $\ell \colon \operatorname{Hom}_A(x, w)$  so that  $\ell = h \circ (g \circ f)$  and  $\ell = (h \circ g) \circ f$ .

# Isomorphisms

An arrow  $f: \operatorname{Hom}_A(x, y)$  in a pre- $\infty$ -category is an isomorphism if it has a two-sided inverse  $g: \operatorname{Hom}_A(y, x)$ . However, the type

$$\sum_{g \colon \operatorname{Hom}_A(y,x)} (g \circ f = \operatorname{id}_x) \times (f \circ g = \operatorname{id}_y)$$

has higher-dimensional structure and is not a proposition. Instead define

$$\mathrm{is\text{-}iso}(f)\coloneqq \left(\sum_{g\colon \operatorname{Hom}_A(y,x)}g\circ f=\mathrm{id}_x\right)\times \left(\sum_{h\colon \operatorname{Hom}_A(y,x)}f\circ h=\mathrm{id}_y\right).$$

For x, y : A, the type of isomorphisms from x to y is:

$$x\cong_A y\coloneqq \sum_{f:\operatorname{Hom}_A(x,y)}\operatorname{is-iso}(f).$$

### $\infty$ -categories

By path induction, to define a map

$$\mathsf{iso-eq} \colon (x =_A y) \to (x \cong_A y)$$

for all x, y : A it suffices to define

 $\mathsf{iso-eq}(\mathsf{refl}_x) \coloneqq \mathsf{id}_x.$ 

defn (Riehl–Shulman after Rezk). A pre- $\infty$ -category A is  $\infty$ -category iff every isomorphism is an identity, i.e., iff the map

$$\text{iso-eq} \colon \prod_{x,y:A} (x =_A y) \to (x \cong_A y)$$

is an equivalence.

# $\infty$ -groupoids



### Similarly by path induction define

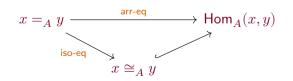
$$\mathsf{arr-eq} \colon (x =_A y) \to \mathsf{Hom}_A(x,y)$$

for all x, y : A by  $\operatorname{arr-eq}(\operatorname{refl}_x) := \operatorname{id}_x$ .

A type A is an  $\infty$ -groupoid iff every arrow is an identity, i.e., iff arr-eq is an equivalence.

Prop. A type is an  $\infty$ -groupoid if and only if it is an  $\infty$ -category and all of its arrows are isomorphisms.

Proof:



# $\infty$ -categories for undergraduates

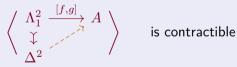


defn. An  $\infty$ -groupoid is a type in which arrows are equivalent to identities:

arr-eq:  $(x = A y) \rightarrow \text{Hom}_A(x, y)$  is an equivalence.

### defn. An $\infty$ -category is a type

• which has unique binary composites of arrows:



• and in which isomorphisms are equivalent to identities:

iso-eq:  $(x = A y) \rightarrow (x \cong A y)$  is an equivalence.





# A formalized proof of the $\infty\text{-}\mathsf{categorical}$ Yoneda $\operatorname{\mathsf{lemma}}$

# Covariant type families



defn (Riehl-Shulman after Joyal). A type family B(x) over x : A is covariant if for every  $f : \operatorname{Hom}_A(x, y)$  and u : B(x) there is a unique lift of f with domain u.

The codomain of the unique lift defines a term  $f_*u : B(y)$ .

Prop. Fix a : A. The type family  $\text{Hom}_A(a, x)$  over x : A is covariant if and only if A is a pre- $\infty$ -category.

Prop. When A is a pre- $\infty$ -category, for any u : B(x),  $f : \text{Hom}_A(x, y)$ , and  $g : \text{Hom}_A(y, z)$ , then  $g_*(f_*u) = (g \circ f)_*u$  and  $(\text{id}_x)_*u = u$ .

Prop. For any covariant families B(x) and C(x) over x : A, a pre- $\infty$ -category, any family of maps  $\phi : \prod_{x:A} B(x) \to C(x)$  is natural.

Prop. If B(x) is covariant over x : A, a pre- $\infty$ -category, then each fiber B(x) is an  $\infty$ -groupoid.

# The Yoneda lemma



Let B(x) be a covariant family over x : A, a pre- $\infty$ -category, and fix a : A.

Yoneda lemma. The maps

$$\begin{split} \text{evid} &\coloneqq \lambda \phi.\phi(a,\text{id}_a) : \left(\prod_{x:A} \text{Hom}_A(a,x) \to B(x)\right) \to B(a) \quad \text{and} \\ \text{yon} &\coloneqq \lambda u.\lambda x.\lambda f.f_*u : B(a) \to \left(\prod_{x:A} \text{Hom}_A(a,x) \to B(x)\right) \end{split}$$

are inverse equivalences.

Proof: By definition, evid  $\circ$  yon $(u) := (id_a)_*u$ . By functoriality  $(id_a)_*u = u$ , so yon is a section of evid. To see that yon is a retraction of evid, start from the definition yon  $\circ$  evid $(\phi)(x, f) := f_*\phi(a, id_a)$ . By naturality of  $\phi$  and the identity law for pre- $\infty$ -categories  $f_*\phi(a, id_a) = \phi(x, f \circ id_a) = \phi(x, f)$ .

# Conclusions and future work

Observations:

- *∞*-category theory is significantly easier to formalize in a foundation system based on homotopy type theory.
- By moving much of the complexity of "higher structures" into the background foundation system, the gap between  $\infty$ -category theory and 1-category narrows substantially.
- A computer proof assistant is a fantastic tool for learning to write proofs in new foundations indeed, through formalization in RZK we caught an error of circular reasoning in the Riehl–Shulman paper!

Future work:

- We would love help formalizing more results from  $\infty\text{-category theory in }\mathrm{Rz\kappa}.$
- But the initial version of the simplicial type theory is not sufficiently powerful to prove all results about ∞-categories, so further extensions of this synthetic framework are needed.

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