Categorical axioms for functional real-number computation

Parts 1 & 2

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Joint work with Alex Simpson, University of Edinburgh, Scotland

MAP, LEIDEN, 28 Nov – 2 Dec 2011

This is joint work with Alex Simpson published in LICS'2001

With some recent additions.

Mainly done in 1998-2000 while I was at Edinburgh and then St Andrews.

Plan for the tutorial

- 1. Real-number computation in Gödel's system T. (Delivered by myself.)
- 2. Interval objects in categories with finite products. (Delivered by myself.)
- 3. Interval objects in categories of interest. (Delivered by Alex.)
- 4. Directions and questions. (Delivered by Alex.)

Although I will resist temptation as much as possible, there will be some spoilers.

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Alex's slides are available at http://homepages.inf.ed.ac.uk/als/Talks/simpson_map.pdf
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Some Haskell code for my slides is available at http://www.cs.bham.ac.uk/~mhe/.talks/map2011/

Main idea

What is a line segment?

We exploit the notion of convexity to both:

- 1. Compute with line segments.
- 2. Define what line segments are.

Compare with

What are the natural numbers?

Peano axioms, Lawvere's notion of natural numbers object.

Recursion/induction is exploited to both

- 1. Compute with natural numbers.
- 2. Define what the natural numbers are.

Back to our main idea

We exploit the notion of convexity to both:

- 1. Compute with line segments.
- 2. Define what line segments are.

Convexity says: between any two points there is a line segment.

To define convexity.

We exploit the idea that between any two points there is a midpoint.

Main idea

We exploit the notion of convexity to both:

- 1. Compute with line segments.
- 2. Define what line segments are.

Convexity says: between any two points there is a line segment.

To define convexity.

We exploit the idea that between any two points there is a midpoint.

And that taking midpoints can be infinitely iterared.

Wishes

- 1. Want to compute with real numbers without knowing how they are represented.
- 2. Want a natural universal property for real numbers (induction, recursion).
- 3. Want a definition that applies to any category (with finite products).
- 4. The definition should work in Set (it does).
- 5. It should work in any topos (get the Cauchy completion of the Cauchy reals).
- 6. In Top, we should get the Euclidean topology (we do).
- 7. In Loc or formal spaces, we should get the localic line (we don't know).

Related work

Higgs (using initial algebras) (1978). He gets the Scott topology on $[0, \infty]$.

Escardo-Streicher (using initial-final (co)algebras in categories of domains) (1997).

Pavlovic-Pratt (using final coalgebras) (1999).

Freyd (using final coalgebras) (1999, 2008).

Our starting point for this work is Higgs, with ideas from Escardo-Streicher.

But there are common ideas with Freyd, particularly the use of midpoint algebras.

We consider a minimal higher-type programming language

Gödel's system T. Real numbers can be encoded in many ways.

- 1. We fix a secret, concrete encoding (e.g. binary notation with signed digits), which we may change (e.g. for the sake of efficiency).
- 2. We add an abstract type for [0,1] or [-1,1] or [u,v].

Our theory is explicitly based on convexity.

It doesn't favour, or depend on, any particular choice of an interval.

System T extended with an interval type

System I. Our types are

$$X, Y ::= \mathbb{N} \mid \mathbb{I} \mid 1 \mid X \times Y \mid X + Y \mid X \to Y$$

The type \mathbb{I} is to be interpreted as [0,1] or [-1,1], or [u,v] with u < v.

The terms for all types except \mathbb{I} are standard:

- 1. Zero, successor and primitive recursion for \mathbb{N} .
- 2. Projection and pairing for finite products.
- 3. Injections and case analysis for binary sums.
- 3. Lambda-calculus for function spaces.

Constants for the type \mathbb{I} when $\mathbb{I} = [u, v]$

We have four constants, where $\mathbb{I}^{\mathbb{N}}$ abbreviates $\mathbb{N} \to \mathbb{I}$:

1. $u, v : \mathbb{I}$.

Two extreme points.

2. affine: $\mathbb{I} \to \mathbb{I} \to \mathbb{I} \to \mathbb{I}$.

Medial recursion.

In the models we'll have $\operatorname{affine}_A \colon A \to A \to \mathbb{I} \to A$ where A is any convex object.

3. $M: \mathbb{I}^{\mathbb{N}} \to \mathbb{I}$.

Medial convex combination of a sequence of points.

With only this, we can naturally go a long way, as I'll show you soon.

Interpretation when I = [u, v]

- 1. $u, v : \mathbb{I}$.
- 2. affine: $\mathbb{I} \to \mathbb{I} \to \mathbb{I} \to \mathbb{I}$.

The term affine $yz\colon \mathbb{I}\to \mathbb{I}$ is interpreted as the unique f(x)=ax+b with f(u)=y and f(v)=z.

3. $M: \mathbb{I}^{\mathbb{N}} \to \mathbb{I}$.

The term $M \vec{x} = M(x_0, x_1, x_2, \dots) = M x_n$ is interpreted as the convex combination

$$\sum_{n\geq 0} x_n 2^{-n-1} = \frac{x_0}{2} + \frac{x_1}{4} + \frac{x_2}{8} + \cdots$$

Definability

We can define the midpoint operation $m: \mathbb{I} \times \mathbb{I} \to \mathbb{I}$,

$$m(x,y) = (x+y)/2,$$

by

$$m(x, y) = M(x, y, y, y, y, \dots).$$

Equational logic

The midpoint operation m is a medial mean or midpoint algebra:

$$m(x,x) = x,$$

$$m(x,y) = m(y,x),$$

$$m(m(x,y),m(s,t)) = m(m(x,s),m(y,t)).$$

These are called idempotency, commutativity and transposition.

Semilattices satisfy this. But they don't have cancellation:

$$m(x,y) = m(x,z) \implies y = z.$$

Equational logic

$$M_n x_n = m \left(x_0, M_n x_{n+1} \right).$$

Informally, M is the infinitely iterated midpoint operation:

$$M_n x_n = m(x_0, m(x_1, m(x_2, m(x_3, \dots)))).$$

Equational logic

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We don't know whether these equations are complete in the absence of cancellation.

A first glimpse of the universal property

The function affine $xy \colon \mathbb{I} \to \mathbb{I}$ is the unique map $h \colon \mathbb{I} \to \mathbb{I}$ with

$$h(u) = x,$$

$$h(v) = y,$$

$$h(m(z,t)) = m(h(z), h(t)).$$

It is also (automatically) an M homomorphism:

$$h\left(igwedge_n z_n
ight) = igwedge_n (h(z_n)).$$

Preliminary justification of the view that affine is a medial recursion combinator.

Interpretation when I = [0, 1]

Special case, which highlights the role of convexity in our axiomatization:

- 1. $0, 1: \mathbb{I}$.
- 2. affine: $\mathbb{I} \to \mathbb{I} \to \mathbb{I} \to \mathbb{I}$ is binary convex combination:

affine
$$xyp = px + (1-p)y$$
.

3. $M: \mathbb{I}^{\mathbb{N}} \to \mathbb{I}$ is still medial convex combination.

Definability

$$1 - x = affine 10x,$$

 $xy = affine 0xy.$

Can also define all rational numbers in I:

- 1. They have periodic binary expansions.
- 2. Define a sequence of *numbers* zero and one, then apply M to it.

Medial power series

Suppose

$$f(x) = \sum_{n} a_n x^n.$$

Then

$$\frac{1}{2}f\left(\frac{x}{2}\right) = \frac{1}{2}\sum_{n}a_{n}x^{n}2^{-n}$$

$$= \sum_{n}a_{n}x^{n}2^{-n-1}$$

$$= M_{n}a_{n}x^{n}.$$

Write $f_{\mathrm{M}}(x) = \frac{1}{2} f\left(\frac{x}{2}\right)$. This is the medial modification of f.

The medial power series functional

We have a functional

powerseries:
$$\mathbb{I}^{\mathbb{N}} \to (\mathbb{I} \to \mathbb{I})$$

defined by

powerseries
$$\vec{a} = \lambda x \cdot \underset{n}{\text{M}} a_n x^n$$
.

Medial power series in continuous models

In a model of continuous functionals (e.g. compactly generated spaces, sequential spaces, QCB spaces), the function \mathbf{M} and hence

powerseries:
$$\mathbb{I}^{\mathbb{N}} \to (\mathbb{I} \to \mathbb{I})$$

are continuous.

By the Tychonoff theorem, $\mathbb{I}^{\mathbb{N}}$ is compact. Hence so is the image of powerseries.

(A natural compact set of continuous functions without invoking Arzela-Ascoli.)

We often find $\mathbb{I} = [-1,1]$ more convenient to work with

From now on I will adopt this notational convention.

Definability in system T extended with $\mathbb{I} = [-1, 1]$

$$x \oplus y = \frac{x+y}{2} = m(x,y) = \mathrm{M}(x,y,y,y,\dots),$$
 $-x = \mathrm{affine}\,1(-1)x,$
 $0 = -1 \oplus 1,$
 $xy = \mathrm{affine}(-x)xy,$
 $f_{\mathrm{M}}(x) = \frac{\mathrm{M}}{x}a_{n}x^{n},$

Rational numbers.

The commutativity and associativity laws for multiplication are a consequence of the universal property of affine, and so are x(-1) = -x, x0 = 0 and x1 = x.

Some functions definable by medial power series

Automatically convergent and continuous (M is total and continuous).

$$\frac{1}{2-x} = M_n x^n$$

$$\exp_{M}(x) = M_n x^n / n!$$

$$\sin_{M}(x) = M_n \operatorname{parity}(n) (-1)^{\left\lfloor \frac{n-1}{2} \right\rfloor} x^n / n!$$

$$\frac{1}{2} \ln \left(1 + \frac{x}{2} \right) = M_n (-1)^n x^{n+1} / (n+1).$$

$$\frac{1}{2} \sqrt{1 + \frac{x}{2}} = M_n \frac{(-1)^n (2n)!}{(1-2n)(n!)^2 4^n} x^n$$

And many others.

Implementation of the interval abstract data type

One can use, among other representations of real numbers:

- 1. Cauchy sequences of rationals.
- 2. Rational continued fractions.
- 3. Binary notation with negative digits.
- 4. Nested sequences of rational intervals.

And for efficiency one can replace rational numbers by dyadic numbers.

Implementation using binary notation with signed digits

```
type I = [Int] -- Represents [-1,1] in binary using digits -1,0,1.
minusOne, one :: I
minusOne = repeat (-1)
one = repeat 1
type J = [Int] -- Represents [-n,n] in binary using digits |d| \le n, for any n.
divideBy :: Int -> J -> I
divideBy n (a:b:x) = let d = 2*a+b
                    in if d < -n then -1: divideBy n (d+2*n:x)
                  else if d > n then 1 : divideBy n (d-2*n:x)
                                 else 0 : divideBy n (d:x)
mid :: I -> I -> I
mid x y = divideBy 2 (zipWith (+) x y)
bigMid :: [I] -> I
bigMid = (divideBy 4).bigMid' where bigMid'((a:b:x):(c:y):zs) = 2*a+b+c : bigMid'((mid x y):zs)
affine :: I -> I -> I -> I
affine a b x = bigMid [h d | d <- x]
 where h(-1) = a
       h = 0 = mid = b
       h = b
```

Implementation using the term algebra of ${ m M}$

Even shorter (and way more inefficient in practice):

```
data I = MinusOne | One | M [I]

affine :: I -> I -> I -> I

affine x y = h

where h MinusOne = x

h One = y

h (M zs) = M [h z | z <- zs]</pre>
```

The shortest ever implementation of an abstract data type for real numbers.

Implementation using the term algebra of ${ m M}$

Rename to compare with the previous implementation:

These two implementations are inter-translatable

One translation: signed-digit binary expansions are particular M terms.

```
inclusion :: I -> I'
inclusion x = M [h d | d <- x]
where h (-1) = MinusOne
    h     0 = M (MinusOne : repeat One)
    h     1 = One</pre>
```

The other: Evaluation of a term in a particular algebra.

```
eval :: I' -> I
eval MinusOne = minusOne
eval One = one
eval (M xs) = bigMid [eval x | x <- xs]</pre>
```

These two implementations are inter-translatable

One translation: signed-digit binary expansions are particular M terms.

```
inclusion :: I -> I'
inclusion x = M [h d | d <- x]
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```

Evaluation can also be seen as a "kind of" normalization procedure.

Brief pause to quickly look at some Haskell code and run it

These algorithms are written in the system T fragment of Haskell.

And they run fast (but not fast enough to beat our competitors).

Non-definability

Theorem. The truncated doubling function double: $\mathbb{I} \to \mathbb{I}$,

$$double(x) = \max(-1, \min(2x, 1)) = \begin{cases} -1 & \text{if } x \in [-1, -\frac{1}{2}], \\ 2x & \text{if } x \in [-\frac{1}{2}, \frac{1}{2}], \\ 1 & \text{if } x \in [\frac{1}{2}, 1], \end{cases}$$

is computable but **not** system I definable.

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is computable but **not** system I definable.

Lemma. If $f: \mathbb{I}^n \to \mathbb{I}$ is definable and $\vec{x}, \vec{y} \in \mathbb{I}^n$ are such that $x_i = y_i$ whenever $x_i \in \{-1, 1\}$, then $f(\vec{x}) \in \{-1, 1\}$ implies $f(\vec{x}) = f(\vec{y})$.

Hence: If $f: \mathbb{I} \to \mathbb{I}$ is definable and $f(x) \in \{-1, 1\}$ for some $x \in (-1, 1)$ then f is a constant function.

Definability from the truncated doubling function

Define the truncation map $I: \mathbb{R} \to \mathbb{I}$ by $I(x) = \max(-1, \min(x, 1))$ so that it is the identity on \mathbb{I} .

Lemma. The functions on the left-hand side are definable from double.

$$\begin{array}{rcl} \mathrm{I}(x+y) &=& \mathrm{double}(x\oplus y) & \mathrm{truncated\ sum} \\ x\ominus y &=& x\oplus (-y) \\ \mathrm{I}(x-y) &=& \mathrm{double}(x\ominus y) & \mathrm{truncated\ subtraction} \\ \mathrm{max}(0,x) &=& \mathrm{I}\left(\frac{1}{2}\operatorname{double}\left(\mathrm{I}\left(x-\frac{1}{2}\right)\right)+\frac{1}{2}\right) \\ \mathrm{max}(x,y) &=& \mathrm{double}\left(\mathrm{I}\left(\frac{x}{2}+\max\left(0,y\ominus x\right)\right)\right) \\ \mathrm{min}(x,y) &=& -\max(-x,-y) \\ |x| &=& \max(-x,x) \end{array}$$

Natural to add double as primitive

- 1. The four primitive operations we have selected form the basis of our categorical definition of interval object.
- 2. But the doubling function will play an important role in definability.

One can also add the maximum-value functional

$$\operatorname{Max} : (\mathbb{I} \to \mathbb{I}) \to \mathbb{I}$$

But this goes beyond system T, amounting to a manifestation of the fan functional.

Systems I and II

System I: system T extended with $(\mathbb{I}, -1, 1, affine, M)$.

System II: system I extended with double.

Read "system double-I".

Definability in system II

In both systems, all definable functions $\mathbb{I}^n \to \mathbb{I}$ are of course computable.

Theorem. (First-order relative computational completeness.)

In system II,

- 1. Every computable $\mathbb{I}^n \to \mathbb{I}$ is definable relatively to some computable $\mathbb{N} \to \mathbb{N}$.
- 2. Every continuous $\mathbb{I}^n \to \mathbb{I}$ is definable relatively to some oracle $\mathbb{N} \to \mathbb{N}$.

Of course, system T doesn't define all computable functions $\mathbb{N} \to \mathbb{N}$.

Definability in system II

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The proof applies a reduction of limit computations to medial convex combinations, and the Stone-Weierstrass approximation theorem.

Before the proof, we consider some corollaries.

Definability in Gödel's system T

With signed-digit binary notation for the interval $\mathbb{I} = [-1, 1]$:

Corollary. (First-order relative computational completeness.)

Any computable $\mathbb{I}^n \to \mathbb{I}$ is T definable relatively to some computable $\mathbb{N} \to \mathbb{N}$.

Proof. Because -1, 1, affine, M, double are system T definable.

QED

Corollary. (First-order absolute computational completeness.)

Any computable $\mathbb{I}^n \to \mathbb{I}$ is definable in system T with μ -recursion.

Proof. Because all computable $\mathbb{N} \to \mathbb{N}$ are μ -recursive.

QED

Definability of limits in system II

Lemma. If $(x_n)_{n>0}$ is a fast Cauchy sequence in \mathbb{I} , that is,

$$|x_m - x_n| \leq 2^{-n}$$
 for every $m \geq n$,

then, defining $x_0 = 0$, we have

$$\lim_{n} x_n = \operatorname{double} \left(\underset{n}{\operatorname{M}} \operatorname{double}^{n+1} (x_{n+1} \ominus x_n) \right).$$

Proof. The sum is the limit of the partial sums, which are $\frac{x_1}{2}, \frac{x_2}{2}, \frac{x_3}{2}, \ldots$ QED

Definability of the limit operator in system II

Corollary. There is a (total, continuous) system II definable functional

$$\lim \colon \mathbb{I}^{\mathbb{N}} o \mathbb{I}$$

such that $\lim \vec{x}$ is the limit of \vec{x} for any fast Cauchy sequence $\vec{x} \in \mathbb{I}^{\mathbb{N}}$.

This is a definable instance of Tietze's extension theorem, because the fast Cauchy sequences form a closed subspace of $\mathbb{I}^{\mathbb{N}}$.

Definability of truncated polynomials

Recall the truncation map $I: \mathbb{R} \to \mathbb{I}$ defined by $I(x) = \max(-1, \min(x, 1))$.

Lemma. For every rational polynomial $p: \mathbb{I}^n \to \mathbb{R}$, the truncated polynomial $I \circ p: \mathbb{I}^n \to \mathbb{I}$ is system II definable.

Definability of truncated polynomials

Recall the truncation map $I: \mathbb{R} \to \mathbb{I}$ defined by $I(x) = \max(-1, \min(x, 1))$.

Lemma. For every rational polynomial $p: \mathbb{I}^n \to \mathbb{R}$, the truncated polynomial $I \circ p: \mathbb{I}^n \to \mathbb{I}$ is system II definable.

Proof. Express the polynomial as a sum of monomials.

Consider $q(\vec{x}) = \text{sum of the absolute values of the monomials.}$

Let k be such that 2^k always exceeds $q(\vec{x})$ over the compact space \mathbb{I}^n .

Then one can use the truncated arithmetic operations to define the scaled polynomial $p(\vec{x})/2^k$, without any truncations arising.

The desired $I \circ p(\vec{x})$ is then defined as $double^k(p(\vec{x})/2^k)$. QED.

Proof of the first-order definability theorem

Let $f: \mathbb{I}^n \to \mathbb{I}$ be continuous. By Stone–Weierstrass, there is a Cauchy sequence of rational polynomials $g_i: \mathbb{I}^n \to \mathbb{R}$ such that

$$||g_i - f|| \le 2^{-i}$$

Then f is definable from an oracle that enumerates the lists of rational coefficients of the g_i 's, because

$$f(\vec{x}) = \lim_{i} I(g_i(\vec{x})).$$

The computable case uses a computable version of Stone–Weierstrass. QED

Universal property of I in categories with finite products

For the sake of clarity, I will formulate the universal property:

- 1. Using finite products, natural numbers object $\mathbb N$ and exponentials $X^{\mathbb N}$, first.
- 2. Using finite products only, at a second stage.

The free midpoint algebra over two generators in Set

It is the set of dyadic numbers $m/2^n$ in the unit interval.

We need a completeness axiom. It will be expressed in the form of infinite iteration.

Iterative midpoint algebras

A midpoint algebra (A,m) is iterative if there is a map $\mathrm{M}\colon A^\mathbb{N} \to A$ and

$$\underset{n}{\mathrm{M}} a_n = m(a_0, \underset{n}{\mathrm{M}} (a_{n+1}))$$

and such that

$$(\forall i(a_i = m(x_i, a_{i+1}))) \implies a_0 = M_i x_i.$$

The second condition makes M to be the unique map satisfying the first equation, but is stronger than saying that the first equation has a unique solution.

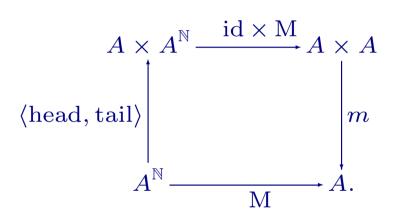
By uniqueness, any midpoint homomorphism of iterative midpoint algebras is automatically an $\mathbf M$ homomorphism.

Iterative midpoint algebras

The equation

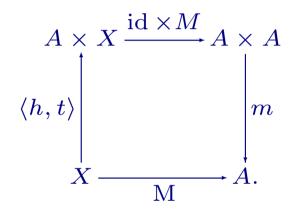
$$\operatorname*{M}_{n}a_{n}=m(a_{0},\operatorname*{M}_{n}\left(a_{n+1}
ight))$$

amounts to the diagram



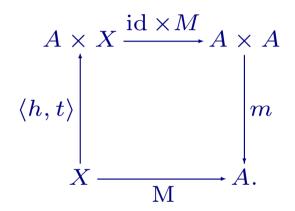
Iteration assuming binary products only

A midpoint algebra (A,m) is iterative if for every map $\langle h,t\rangle\colon X\to A\times X$ there is a unique map $M\colon X\to A$ such that



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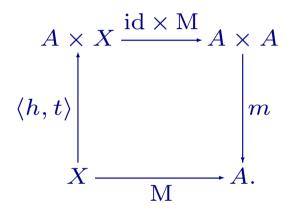


In equational form:

$$M(x) = m(h(x), M(t(x))).$$

Iteration assuming binary products only

A midpoint algebra (A,m) is iterative if for every map $\langle h,t\rangle\colon X\to A\times X$ there is a unique map $M\colon X\to A$ such that



If $A^{\mathbb{N}}$ exists then this is equivalent to the previous definition considering $X = A^{\mathbb{N}}$, and using the fact that $A^{\mathbb{N}}$ is a final co-algebra for the functor $- \times A$.

Convex body

An (abstract) convex body is a cancellative, iterative midpoint algebra.

There are many concrete examples.

These examples and the role of cancellation will be elaborated in Alex's lectures.

Interval object in a category with finite products

An interval object is a convex body freely generated by two global points:

- 1. Consider the category of convex bodies with two given points.
- 2. Midpoint-algebra homomorphisms that preserve the points.
- 3. An interval object is an initial object.

Interval object in a category with finite products

An interval is a convex body $\mathbb{I}=[u,v]$ with points $u,v\colon 1\to \mathbb{I}$ such that for any convex body A with points $a,b\colon 1\to A$ there is a unique $h\colon \mathbb{I}\to A$ such that

$$h(u) = a,$$

$$h(v) = b,$$

$$h(m(x,y)) = m(h(x), h(y)).$$

Interval object in a category with finite products

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$$h(u) = a,$$

$$h(v) = b,$$

$$h(m(x,y)) = m(h(x), h(y)).$$

In the absence of function spaces, we consider a parametric version of the notion.

In their presence, there is affine: $A \to A \to \mathbb{I} \to A$ such that h = affine ab.

Convex bodies really are convex if there is an interval object

Let $\mathbb{I} = [0, 1]$ be an interval object.

Then for any two points a_0 and a_1 of a convex body A there is a parametrized line segment $h = affine \ a_0 a_1 \colon \mathbb{I} \to A$ with $h(0) = a_0$ and $h(1) = a_1$.

Moreover, the axioms for binary convex combinations affine xyp with $x,y\in A$ and $p\in [0,1]$, suggestively written as

affine
$$xyp = px + (1-p)y$$
,

are derivable from the universal property of [0, 1].

Model of system I

Cartesian closed category with natural numbers object and interval object.

Thus, we see that in any such category one can define plenty of real arithmetic.

Cartesian closedness and a natural numbers object are not really necessary to get plenty of real arithmetic, provided we consider a parametric interval object.

Examples of interval objects

Alex's lectures:

Sets: [u, v] with standard midpoint.

Elementary topos with NNO: Cauchy completion of the Cauchy-reals interval.

Topological spaces: [u, v] with the Euclidean topology.

Constructive sets, MLTT, etc: You'll see.

Locales and formal spaces: Don't know.

Convex bodies freely generated by an object

There are plenty of examples.

- 1. The generating space is the n-point discrete space.
- 2. The generating space is the Sierpinski space.
- 3. The generating space is a domain.

And more (worked out or to be worked out).

Again in Alex's lectures.

Thanks!

Alex's turn now.