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# 1 For Finitary Induction-Induction, 2 Induction is Enough

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## 12 — Abstract —

13 Inductive-inductive types (IITs) are a generalisation of inductive types in type theory. They allow  
14 the mutual definition of types with multiple sorts where later sorts can be indexed by previous ones.  
15 An example is the Chapman-style syntax of type theory with conversion relations for each sort where  
16 e.g. the sort of types is indexed by contexts. In this paper we show that if a model of extensional  
17 type theory (ETT) supports indexed W-types, then it supports finitely branching IITs. We use a  
18 small internal type theory called the theory of signatures to specify IITs. We show that if a model of  
19 ETT supports the syntax for the theory of signatures, then it supports all IITs. We construct this  
20 syntax from indexed W-types using preterms and typing relations and prove its initiality following  
21 Streicher. The construction of the syntax and its initiality proof were formalised in Agda.

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## 36 **1** Introduction

37 Many mutual inductive types can be reduced to indexed inductive types, where the index  
38 disambiguates different sorts. For example, consider the mutual inductive datatype with two  
39 sorts `isEven` and `isOdd`, defined by the following constructors.

40 `isEven` :  $\mathbb{N} \rightarrow \text{Set}$

41 `isOdd` :  $\mathbb{N} \rightarrow \text{Set}$

42 `zeroEven` : `isEven zero`



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43  $\text{sucEven} : (n : \mathbb{N}) \rightarrow \text{isOdd } n \rightarrow \text{isEven } (\text{suc } n)$   
 44  $\text{sucOdd} : (n : \mathbb{N}) \rightarrow \text{isEven } n \rightarrow \text{isOdd } (\text{suc } n)$   
 45

46 This can be reduced to the following single inductive family where  $\text{isEven? true}$  represents  
 47  $\text{isEven}$  and  $\text{isEven? false}$  represent  $\text{isOdd}$ .

48  $\text{isEven?} : \text{Bool} \rightarrow \mathbb{N} \rightarrow \text{Set}$   
 49  $\text{zeroEven} : \text{isEven? true zero}$   
 50  $\text{sucEven} : (n : \mathbb{N}) \rightarrow \text{isEven? false } n \rightarrow \text{isEven? true } (\text{suc } n)$   
 51  $\text{sucOdd} : (n : \mathbb{N}) \rightarrow \text{isEven? true } n \rightarrow \text{isEven? false } (\text{suc } n)$   
 52

53 Inductive-inductive types (IITs [26]) allow the mutual definition of a type and a family of  
 54 types over the first one. IITs were originally introduced to represent the well-typed syntax of  
 55 type theory itself, and a prominent example is still Chapman's [13] syntax for a type theory.  
 56 A minimised version is the IIT of contexts and types given by the following constructors.

57  $\text{Con} : \text{Set}$   
 58  $\text{Ty} : \text{Con} \rightarrow \text{Set}$   
 59  $\text{empty} : \text{Con}$   
 60  $\text{ext} : (\Gamma : \text{Con}) \rightarrow \text{Ty } \Gamma \rightarrow \text{Con}$   
 61  $\text{U} : (\Gamma : \text{Con}) \rightarrow \text{Ty } \Gamma$   
 62  $\text{El} : (\Gamma : \text{Con}) \rightarrow \text{Ty } (\text{ext } \Gamma (\text{U } \Gamma))$   
 63

64 This type has two sorts,  $\text{Con}$  and  $\text{Ty}$ . The  $\text{ext}$  constructor of  $\text{Con}$  refers to  $\text{Ty}$  and the  $\text{Ty}$ -  
 65 constructor  $\text{U}$  refers to  $\text{Con}$ , hence the two sorts have to be defined simultaneously. Moreover,  
 66  $\text{Ty}$  is indexed over  $\text{Con}$ . This precludes a reduction analogous to the reduction of  $\text{isEven}$ – $\text{isOdd}$ ,  
 67 as we would get a type indexed over itself. Another unique feature of IITs (which also holds  
 68 for higher inductive types [29]) is that later constructors can refer to previous constructors:  
 69 in our case,  $\text{El}$  mentions  $\text{ext}$ .

70 The elimination principle for the above IIT has the following two motives (one for each  
 71 sort) and four methods (one for each constructor).

72  $\text{Con}^D : \text{Con} \rightarrow \text{Set}$   
 73  $\text{Ty}^D : \text{Con}^D \Gamma \rightarrow \text{Ty } \Gamma \rightarrow \text{Set}$   
 74  $\text{empty}^D : \text{Con}^D \text{empty}$   
 75  $\text{ext}^D : (\Gamma^D : \text{Con}^D \Gamma) \rightarrow \text{Ty}^D \Gamma^D A \rightarrow \text{Con}^D (\text{ext } \Gamma A)$   
 76  $\text{U}^D : (\Gamma^D : \text{Con}^D \Gamma) \rightarrow \text{Ty}^D \Gamma^D (\text{U } \Gamma)$   
 77  $\text{El}^D : (\Gamma^D : \text{Con}^D \Gamma) \rightarrow \text{Ty}^D (\text{ext}^D \Gamma^D (\text{U}^D \Gamma^D)) (\text{El } \Gamma)$   
 78

79 Above we used implicit quantifications for  $\Gamma : \text{Con}$  and  $A : \text{Ty } \Gamma$  to ease readability, e.g.  $\text{Ty}^D$   
 80 has an implicit parameter  $\Gamma$  before its explicit parameter of type  $\text{Con}^D \Gamma$ .

81 Given the above motives and methods the elimination principle provides two functions

82  $\text{elimCon} : (\Gamma : \text{Con}) \rightarrow \text{Con}^D \Gamma$   
 83  $\text{elimTy} : (A : \text{Ty } \Gamma) \rightarrow \text{Ty}^D (\text{elimCon } \Gamma) A$   
 84

85 with the following computation rules.

86  $\text{elimCon empty} = \text{empty}^D$

```

87   elimCon (ext Γ A) = extD (elimCon Γ) (elimTy A)
88   elimTy (U Γ)     = UD (elimCon Γ)
89   elimTy (El Γ)    = ElD (elimCon Γ)
90

```

91 The functions `elimCon` and `elimTy` are an example of a *recursive-recursive* definition (using  
92 nomenclature from [26]). This means two mutually defined functions where the type of the  
93 second function depends on the first function. The proof assistant Agda [28] allows defining  
94 such functions (even from non-IITs) and is currently the only proof assistant supporting  
95 IITs<sup>1</sup>.

96 Reducing IITs to inductive types (more precisely, to indexed W-types) is an open problem.  
97 Forsberg [26] presented a reduction in extensional type theory, however, this only provides  
98 a simpler, non-recursive-recursive elimination principle. Hugunin [19] reduced several IITs  
99 to inductive types, working inside a cubical type theory, but he also only constructed the  
100 simple eliminator. To illustrate the difference, we list the motives, methods and the simple  
101 elimination principle for the `Con-Ty` example. Again, we use implicit quantifications.

```

102   ConS      : Con → Set
103   TyS      : Ty Γ → Set
104   emptyS   : ConS empty
105   extS     : ConS Γ → TyS A → ConS (ext Γ A)
106   US      : ConS Γ → TyS (U Γ)
107   ElS     : ConS Γ → TyS (El Γ)
108   selimCon : (Γ : Con) → ConS Γ
109   selimTy  : (A : Ty Γ) → TyS A
110

```

111 This simple elimination principle is not capable of defining standard (metacircular) interpret-  
112 ation [4] of our small syntax. Using pattern matching notation, this interpretation is the  
113 following:

```

114   [[-]]      : Con → Set1
115   [[-]]      : [[Γ]] → Set1
116   [[empty]]  := ⊤
117   [[ext Γ A]] := (γ : [[Γ]]) × [[A]] γ
118   [[U Γ]] γ  := Set
119   [[El Γ]] (γ, X) := X
120

```

121 The reason that we need the general elimination principle to define `[[ - ]]` is that `[[ - ]]` for types  
122 refers to `[[ - ]]` for contexts, hence this function is recursive-recursive.

123 Kaposi, Kovács, and Altenkirch [21] introduced a small type theory, called the theory of  
124 signatures, to describe quotient inductive-inductive types (QIIT). QIITs are generalisations  
125 of IITs where equality constructors are also allowed. A QIIT signature is a context in  
126 the theory of QIIT signatures, for example natural numbers are specified by the context  
127  $(Nat : \mathbf{U}, zero : Nat, suc : Nat \rightarrow Nat)$  of length three ( $Nat$ ,  $zero$  and  $suc$  are variable  
128 names). The theory of QIIT signatures is itself a QIIT. In *ibid.*, it is proved that if a model  
129 of extensional type theory supports the theory of QIIT signatures, then it supports all QIITs.

<sup>1</sup> An experimental version of Coq with IITs is also available on GitHub.

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130 By omitting the equality type former from the theory of QIIT signatures, we obtain a  
131 theory of IIT signatures and the construction is still valid. It follows that if a model of  
132 extensional type theory supports the theory of IIT signatures, it supports all IITs.

133 In this paper we show that any model of extensional type theory with indexed  $W$ -types  
134 supports the theory of IIT signatures, and as a consequence all IITs. The difficulty in this  
135 construction is that the theory of IIT signatures is itself a QIIT, it is both inductive-inductive  
136 and has equality constructors. However, it can be seen as the well-typed syntax of a small  
137 type theory without any computation rules. Hence we can represent the syntax of normal  
138 forms without quotienting. We construct this well-typed normal syntax using preterms and  
139 typing relations from indexed  $W$ -types. Finally, we prove the elimination principle in the  
140 style of the initiality proof of Streicher.

141 Streicher [30] constructs the syntactic model of type theory using well-typed preterms  
142 and then shows initiality of this model by (1) defining a partial map to any other model  
143 by induction on preterms and (2) showing that whenever this partial function receives a  
144 well-typed preterm on its input it actually gives an output. Instead of defining a partial  
145 function, we define the graph of the same function as a relation and then show that it is  
146 functional as a second step. This can be seen as an indexed variant of the construction using  
147 partial functions.

148 Just as [21], we only consider finitary IITs, that is, constructors can only have a finite  
149 number of recursive arguments. An example constructor for  $\text{Con-Ty}$  which is not allowed is  
150 the following:

$$151 \quad \Pi_{\infty} : (I : \text{Con}) \rightarrow (\mathbb{N} \rightarrow \text{Ty } I) \rightarrow \text{Ty } I$$

### 152 Structure of paper and list of contributions

153 We describe related work in Section 1.1, and explain our notation and Agda formalisation in  
154 Section 1.2. Then the following three sections describe our three contributions:

- 155 ■ Section 2. We define what it means for a model of extensional type theory (ETT,  
156 Definition 1) to support all inductive-inductive types (IITs): Definition 12. The novel  
157 contribution here is a (predicative) Church encoding of signatures following [8].
- 158 ■ Section 3. In Theorem 23, we show that if a model of ETT supports the theory of IIT  
159 signatures (Definition 15), then it supports IITs. This is an adaptation of a proof in [21].
- 160 ■ Section 4. Our main contribution is showing that if a model of ETT supports indexed  
161  $W$ -types, then it supports the theory of IIT signatures (Theorem 57), and hence, all IITs  
162 (Corollary 58).

163 We list further work in Section 5.

164 The contents of this paper were presented at the TYPES 2019 conference in Oslo [22].

### 165 1.1 Related Work

166 The current work builds heavily on the work of Kaposi et al. [21] on finitary quotient  
167 inductive-inductive types (QIITs); we reuse both QIIT syntax and semantics by restricting  
168 to IITs, and we reuse the term model construction of QIITs as well. We also make use of the  
169 extension to infinitary QIITs [24] to derive the specification of the elimination principle for  
170 the theory of IIT signatures.

171 IITs (although not by this name) were first used to describe the well-typed syntax of type  
172 theory [15, 13]. Agda supported these general inductive definitions even before they were  
173 named IITs and given semantics by Nordvall Forsberg and Setzer [27]. Nordvall Forsberg's

thesis [26] contains a specification similar in style to Dybjer and Setzer’s codes for inductive-recursive types [17]. He also develops a categorical semantics based on dialgebras and provides a reduction of IITs to indexed inductive types, however only constructs the simple elimination principle as opposed to the general one. Altenkirch et al. [2] define signatures for QIITs (thus IITs as well) and their categorical semantics, however without proving existence of initial algebras. Their notion of signature, like Nordvall Forsberg’s, involves more encoding overhead than ours.

Cartmell [12] introduced generalised algebraic theories using a type-theoretic syntax. Removing equations from his signatures and only considering finite signatures, we obtain finitary IIT signatures similar to ours. He does not consider constructing initial algebras using simpler classes of inductive types.

Hugunin [19] constructs several IITs in cubical Agda from inductive types. In this setting, the lack of UIP makes constructions significantly more involved, and essentially involves coinductive-coinductive well-formedness predicates defined as homotopy limits. Hugunin does not consider a generic syntax of IITs and only works on specific examples (although the examples vary greatly). He also only constructs simple elimination principles.

Streicher [30] presents an interpretation of the well-formed presyntax of a type theory into a categorical model, which is an important ingredient in constructing an initial model, although he does not present details on the construction of the term model or its initiality proof. Our initiality proof can be seen as an indexed variant of his construction (see Subsection 4.2 for a comparison).

Voevodsky was interested in constructing initial models of type theories from presyntaxes. Inspired by this, Brunerie et al. [10] formalised Streicher’s proof in Agda for a type theory with  $\Pi$ ,  $\Sigma$ ,  $\mathbb{N}$ , identity types and an infinite hierarchy of universes. They used UIP, function extensionality and quotient types in the formalisation. In this paper we construct a type theory without computation rules, hence we avoid using quotients.

Intrinsic (well-typed) syntaxes for type theories were constructed using IITs [13], inductive-recursive types [15, 6] and QIITs [4]. In this paper we avoid using such general classes of inductive types as our goal is to reduce IITs to indexed inductive types.

Reducing general classes of inductive types to simpler classes has a long tradition in type theory. Indexed W-types were reduced to W-types [3] (using the essentially Streicher’s idea of preterms and a typing predicate), small inductive-recursive types to indexed W-types [25], mutual inductive types to indexed W-types [23], W-types to natural numbers and quotients [1]. (Q)IITs can be reduced to quotient inductive types using the reduction of generalised algebraic theories to essentially algebraic theories [12]. Using the same reduction as mutual inductive types to indexed inductive types, (Q)IITs with more than two sorts can be reduced to (Q)IITs with only two sorts [20].

Awodey, Frey and Speight [8] construct inductive types using a restricted Church encoding in a type theory with an impredicative universe. We use the predicative version of their encoding to define IIT signatures.

Our reduction of IITs to indexed inductive types goes through two steps: first we construct a concrete QIIT using inductive types, then we construct all IITs from this particular QIIT. A more direct approach is proposed by [5]: here the initial algebra would be constructed directly for any IIT signature without going through an intermediate step.

## 1.2 Notation and Formalisation

► **Definition 1** (Model of extensional type theory (ETT)). *By a model of ETT we mean a category with families (CwF) [16, 18] with a countable predicative hierarchy of universes*

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221 closed under the following type formers:  $\Pi$ ,  $\Sigma$ ,  $\top$  and an identity type with uniqueness of  
222 identity proofs and equality reflection.

223 We will use Agda-like type theoretic syntax to work in the internal language of models of  
224 ETT:

- 225 ■ Universes are written  $\text{Set}_i$ . We usually omit level indices in this paper.
- 226 ■  $\Pi$  types are notated as  $(x : A) \rightarrow B$ , or as  $A \rightarrow B$  when non-dependent. We sometimes  
227 omit function arguments, by implicitly generalising over variables.
- 228 ■  $\Sigma$ -types, notated either as  $(x : A) \times B$ , or as  $\sum_x B$  when we want to leave the type of the  
229 first projection implicit. Projections are either named or given by  $\text{proj}_1$  and  $\text{proj}_2$ . We  
230 use  $A \times B$  for non-dependent pairs.
- 231 ■ The unit type  $\top$  has the constructor  $\text{tt}$  which is definitionally equal to all elements of  $\top$ .
- 232 ■ The equality (identity) type is written  $t = u$ , it has a constructor  $\text{refl} : t = t$ , and equality  
233 reflection, hence we use the same  $=$  sign for definitional equality. We occasionally indicate  
234 by  $e_1, \dots, e_n \# t$  that  $t$  is well-typed thanks to the equalities  $e_1, \dots, e_n$ . To construct proofs,  
235 sometimes we write equational reasoning, e.g.  $fa \stackrel{e}{=} fb$  where  $e : a = b$ . We also have  
236 uniqueness of identity proofs (UIP), expressing  $(e : t = t) \rightarrow e = \text{refl}$ . Note that function  
237 extensionality, expressing  $((x : A) \rightarrow f x = g x) \rightarrow f = g$  is derivable.

238 The contents of Section 4 were formalised in Agda, the formalisation is available at  
239 <https://github.com/ambfont/UniversalII>. Agda's pattern matching mechanism im-  
240 plies uniqueness of identity proofs, we assumed function extensionality as an axiom and used  
241 rewrite rules [14] to obtain limited equality reflection.

### 242 **2 A Definition of Inductive-Inductive Types**

243 In this section we specify what it means that a model of ETT supports IITs. We first define  
244 the notion of IIT signature. Signatures for algebraic theories are usually given by inductive  
245 definitions. On the one hand, we take this even further: our notion of signature is given  
246 by a small type theory tailor-made to describe signatures, which we call the *theory of IIT*  
247 *signatures*. On the other hand we would like to avoid using a complicated inductive definition  
248 (a type theory is a quotient inductive-inductive type [4]) to describe a simpler class of  
249 inductive types. Hence we use a Church encoding [8] of the theory of IIT signatures, thereby  
250 avoiding the need for pre-existing inductive definitions. Another feature of our signatures is  
251 that they can include types from the model of ETT (such as  $\mathbb{N}$  in the `isEven-isOdd`). This is  
252 why signatures are specified internally to the particular model of ETT.<sup>2</sup>

253 We define the theory of IIT signatures by saying what its algebras (models) are. We call  
254 the *theory of IIT signatures algebras* simply *signature algebras*. The theory of signatures is a  
255 small type theory consisting of a (1) a substitution calculus (category with families, CwF  
256 [16]) equipped with (2) a universe, (3) a function space where the domain is in the universe  
257 and (4) another function space with external domain. We explain the usage of these type  
258 formers through examples after the definition.

---

<sup>2</sup> There is another method inspired by Capriotti [11] which allows stating what it means that any CwF  $\mathcal{C}$  (not necessarily a model of ETT) supports IITs with definitional computation rules. In this method, signatures are described in the internal language of  $\hat{\mathcal{C}}$ , the presheaf model over  $\mathcal{C}$ . We do not use this approach because it is more technical, and it would not strengthen our main result Corollary 58 as the proof of Theorem 57 needs  $\mathcal{C}$  to be a model of ETT.

259 ► **Definition 2** (Signature algebra, SignAlg). *In a model of ETT, a signature algebra is an*  
 260 *iterated  $\Sigma$  type consisting of the following four (families of) sets, 17 operations and 18*  
 261 *equalities.*

262 (1) *Substitution calculus*

263  $\text{Con} : \text{Set}$

264  $\text{Ty} : \text{Con} \rightarrow \text{Set}$

265  $\text{Sub} : \text{Con} \rightarrow \text{Con} \rightarrow \text{Set}$

266  $\text{Tm} : (\Gamma : \text{Con}) \rightarrow \text{Ty } \Gamma \rightarrow \text{Set}$

267  $\text{id} : \text{Sub } \Gamma \Gamma$

268  $-\circ - : \text{Sub } \Theta \Delta \rightarrow \text{Sub } \Gamma \Theta \rightarrow \text{Sub } \Gamma \Delta$

269  $\text{ass} : (\sigma \circ \delta) \circ \nu = \sigma \circ (\delta \circ \nu)$

270  $\text{idl} : \text{id} \circ \sigma = \sigma$

271  $\text{idr} : \sigma \circ \text{id} = \sigma$

272  $-[-] : \text{Ty } \Delta \rightarrow \text{Sub } \Gamma \Delta \rightarrow \text{Ty } \Gamma$

273  $-[-] : \text{Tm } \Delta A \rightarrow (\sigma : \text{Sub } \Gamma \Delta) \rightarrow \text{Tm } \Gamma (A[\sigma])$

274  $[\text{id}] : A[\text{id}] = A$

275  $[\circ] : A[\sigma \circ \delta] = A[\sigma][\delta]$

276  $[\text{id}] : t[\text{id}] = t$

277  $[\circ] : t[\sigma \circ \delta] = t[\sigma][\delta]$

278  $\cdot : \text{Con}$

279  $\epsilon : \text{Sub } \Gamma \cdot$

280  $\cdot\eta : (\sigma : \text{Sub } \Gamma \cdot) \rightarrow \sigma = \epsilon$

281  $-\triangleright - : (\Gamma : \text{Con}) \rightarrow \text{Ty } \Gamma \rightarrow \text{Con}$

282  $-, - : (\sigma : \text{Sub } \Gamma \Delta) \rightarrow \text{Tm } \Gamma (A[\sigma]) \rightarrow \text{Sub } \Gamma (\Delta \triangleright A)$

283  $\pi_1 : \text{Sub } \Gamma (\Delta \triangleright A) \rightarrow \text{Sub } \Gamma \Delta$

284  $\pi_2 : (\sigma : \text{Sub } \Gamma (\Delta \triangleright A)) \rightarrow \text{Tm } \Gamma (A[\pi_1 \sigma])$

285  $\pi_1 \beta : \pi_1(\sigma, t) = \sigma$

286  $\pi_2 \beta : \pi_2(\sigma, t) = t$

287  $\pi \eta : (\pi_1 \sigma, \pi_2 \sigma) = \sigma$

288  $-, \circ : (\sigma, t) \circ \delta = (\sigma \circ \delta, t[\delta])$

289 (2) *Universe*

290  $\text{U} : \text{Ty } \Gamma$

291  $\text{El} : \text{Tm } \Gamma \text{U} \rightarrow \text{Ty } \Gamma$

292  $\text{U}[] : \text{U}[\sigma] = \text{U}$

293  $\text{El}[] : (\text{El } a)[\sigma] = \text{El}(a[\sigma])$

294 (3) *Inductive parameters*

295  $\Pi : (a : \text{Tm } \Gamma \text{U}) \rightarrow \text{Ty}(\Gamma \triangleright \text{El } a) \rightarrow \text{Ty } \Gamma$

296  $-\@ - : \text{Tm } \Gamma (\Pi a B) \rightarrow (u : \text{Tm } \Gamma (\text{El } a)) \rightarrow \text{Tm } \Gamma (\text{El}(B[\text{id}, u]))$

297  $\Pi[] : (\Pi a B)[\sigma] = \Pi(a[\sigma])(B[\sigma \circ \text{p}, \text{q}])$

298  $\@[ ] : (t \@ \alpha)[\sigma] = (t[\sigma]) \@ (\alpha[\sigma])$



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299 (4) External parameters

300  $\hat{\Pi} : (T : \text{Set}) \rightarrow (T \rightarrow \text{Ty } \Gamma) \rightarrow \text{Ty } \Gamma$

301  $-\hat{\alpha} - : \text{Tm } \Gamma (\hat{\Pi} T B) \rightarrow (\alpha : T) \rightarrow \text{Tm } \Gamma (B \alpha)$

302  $\hat{\Pi} [] : (\hat{\Pi} T B)[\sigma] = \hat{\Pi} T (\lambda \alpha. (B \alpha)[\sigma])$

303  $\hat{\alpha} [] : (t \hat{\alpha} \alpha)[\sigma] = (t[\sigma]) \hat{\alpha} \alpha$

305 Given an  $M : \text{SignAlg}$ , we denote its components by  $\text{Con}^M$ ,  $\text{Ty}^M$ ,  $\text{Sub}^M$ ,  $\text{Tm}^M$ ,  $\text{id}^M$ , and so  
306 on. We omit the indices if there is only one signature algebra in scope (e.g. in Definition 3  
307 and Example 4).

308 ► **Definition 3 (Abbreviations).** For a signature algebra, we use  $\text{wk} : \text{Sub}(\Gamma \triangleright A) \Gamma$  to mean  
309  $\pi_1 \text{id}$ . We recover de Bruijn indices by setting  $0 := \pi_2 \text{id}$  and  $1 + n := n[\text{wk}]$ .  $\Pi a (B[\text{wk}])$  is  
310 abbreviated by  $a \Rightarrow B$ ,  $\hat{\Pi} T (\lambda \_ . B)$  by  $T \Rightarrow B$ .

311 ► **Example 4 (Example contexts in a signature algebra).** Given a signature algebra, we can  
312 define a context which specifies natural numbers. For readability, an informal version of the  
313 same context is displayed on the right using variable names.

314  $\cdot \triangleright \text{U} \triangleright z : \text{El } 0 \triangleright s : 1 \Rightarrow \text{El } 1$        $\cdot \triangleright N : \text{U} \triangleright z : \text{El } N \triangleright s : N \Rightarrow \text{El } N$

315 We start with the empty context  $\cdot$ , then we declare a sort  $\text{U}$ , then we declare an operator  
316 producing an element of the sort denoted by  $\text{El } 0$  where  $0$  is the de Bruijn index referring to  
317 the sort. Finally, we declare an operator which takes as input an element of the sort (now it  
318 became de Bruijn index  $1$ ) and produces an element of the same sort. Note the asymmetry  
319 of the function type  $\Rightarrow$ : the domain needs to be an element of  $\text{U}$ , while the codomain can be  
320 any type (including another function type). This ensures strict positivity of the operators.

321 Lists with elements of a given  $T : \text{Set}$  type are given by the following context. Here we use  
322 the function space with external domain  $\Rightarrow$  to include a  $T$  in the signature. For readability,  
323 we omit the  $\lambda$  and the superscripts and we do not write the compatibility condition. On the  
324 right we list the same signature with variable names.

325  $\cdot \triangleright \text{U} \triangleright \text{El } 0 \triangleright T \Rightarrow 1 \Rightarrow \text{El } 1$        $\cdot \triangleright L : \text{U} \triangleright \text{nil} : \text{El } L \triangleright \text{cons} : T \Rightarrow L \Rightarrow \text{El } L$

327 The  $\text{Con-Ty}$  example from Section 1 is given by the following context.

|  |  |
|--|--|
| <p>328 <math>\cdot \triangleright</math></p> <p>329 <math>\text{U} \triangleright</math></p> <p>330 <math>0 \Rightarrow \text{U} \triangleright</math></p> <p>331 <math>\text{El } 1 \triangleright</math></p> <p>332 <math>\Pi 2 (2 @ 0 \Rightarrow \text{El } 3) \triangleright</math></p> <p>333 <math>\Pi 3 (\text{El } (3 @ 0)) \triangleright</math></p> <p>334 <math>\Pi 4 (\text{El } (4 @ (2 @ 0 @ (1 @ 0))))</math></p> <p>335</p> | <p>328 <math>\cdot \triangleright</math></p> <p>329 <math>\text{Con} : \text{U} \triangleright</math></p> <p>330 <math>\text{Ty} : \text{Con} \Rightarrow \text{U} \triangleright</math></p> <p>331 <math>\text{empty} : \text{El } \text{Con} \triangleright</math></p> <p>332 <math>\text{ext} : \Pi (\Gamma : \text{Con}) (\text{Ty} @ \Gamma \Rightarrow \text{El } \text{Con}) \triangleright</math></p> <p>333 <math>\text{U} : \Pi (\Gamma : \text{Con}) (\text{El } (\text{Ty} @ \Gamma)) \triangleright</math></p> <p>334 <math>\text{El} : \Pi (\Gamma : \text{Con}) (\text{El } (\text{Ty} @ (\text{ext} @ \Gamma @ (\text{U} @ \Gamma))))</math></p> |
|--|--|

336 The above examples are contexts in any signature algebra, and we could take this as a  
337 definition of signature:  $(M : \text{SignAlg}) \rightarrow \text{Con}^M$  is the usual Church-encoding of contexts.  
338 However (as we will see in Remark 24) the notion of constructor for such signatures would  
339 be too strong. Another approach would be to assume that there is a syntax for signature  
340 algebras (an initial signature algebra), and then a signature would be a context in this  
341 signature algebra. We will define syntactic signatures using this approach in the next section

(Definition 16), but for now we do not want to assume the existence of any inductive type. Instead, we will use a restricted Church encoding. This requires the notion of morphism of signatures.

The notion of morphism is determined by the notion of algebra [24], but we include it here for completeness.

► **Definition 5** (Signature morphism,  $\text{SignMor}$ ). *A morphism from signature algebras  $M$  to  $N$  denoted  $\text{SignMor } M N$  consists of four functions and 17 equalities expressing that the functions preserve the operations of the two algebras. We use the same naming as in Definition 2 and use superscripts to denote which algebra is meant.*

$$\begin{aligned}
& (1) \text{ Substitution calculus} \\
\text{Con} & : \text{Con}^M && \rightarrow \text{Con}^N \\
\text{Ty} & : \text{Ty}^M \Gamma && \rightarrow \text{Ty}^N (\text{Con } \Gamma) \\
\text{Sub} & : \text{Sub}^M \Gamma \Delta && \rightarrow \text{Sub}^N (\text{Con } \Gamma) (\text{Con } \Delta) \\
\text{Tm} & : \text{Tm}^M \Gamma A && \rightarrow \text{Tm}^N (\text{Con } \Gamma) (\text{Ty } A) \\
\text{id} & : \text{Sub id}^M && = \text{id}^N \\
\circ & : \sigma \circ^M \delta && = \text{Sub } \sigma \circ^N \text{Sub } \delta \\
[] & : A[\sigma]^M && = \text{Ty } A[\text{Sub } \sigma]^N \\
[] & : t[\sigma]^M && = \text{Tm } t[\text{Sub } \sigma]^N \\
\cdot & : \text{Con } \cdot^M && = \cdot^N \\
\epsilon & : \text{Sub } \epsilon^M && = \epsilon^N \\
\triangleright & : \text{Con } (\Gamma \triangleright^M A) = \text{Con } \Gamma \triangleright^N \text{Ty } A \\
, & : \text{Sub } (\sigma,^M t) = \text{Sub } \sigma,^N \text{Tm } t \\
\pi_1 & : \text{Sub } (\pi_1^M \sigma) = \pi_1^N (\text{Sub } \sigma) \\
\pi_2 & : \text{Tm } (\pi_2^M \sigma) = \pi_2^N (\text{Sub } \sigma) \\
& (2) \text{ Universe} \\
\text{U} & : \text{Ty } \text{U}^M && = \text{U}^N \\
\text{El} & : \text{Ty } (\text{El}^M a) && = \text{El}^N (\text{Tm } a) \\
& (3) \text{ Inductive parameters} \\
\Pi & : \text{Ty } (\Pi^M a B) = \Pi^N (\text{Tm } a) (\text{Ty } B) \\
@ & : \text{Tm } (t @^M u) = \text{Tm } t @^N \text{Tm } u \\
& (4) \text{ External parameters} \\
\hat{\Pi} & : \text{Ty } (\hat{\Pi}^M T B) = \hat{\Pi}^N T (\lambda \alpha. \text{Ty } (B \alpha)) \\
\hat{\circ} & : \text{Tm } (t \hat{\circ}^M \alpha) = \text{Tm } t \hat{\circ}^N \alpha
\end{aligned}$$

Given an  $f : \text{SignMor } M N$ , we denote its first four components just by  $f_{\text{Con}}$ ,  $f_{\text{Ty}}$ ,  $f_{\text{Sub}}$ ,  $f_{\text{Tm}}$  or just write  $f$  if it is clear which one is meant.

We define IIT signatures using the Church encoding introduced by Awodey, Frey and Speight [8]. A difference is that we avoid impredicativity. This restricts the possible eliminations on signatures: we can only eliminate into a universe which is smaller than the level of signatures. However, this still covers all eliminations in this paper, and it is also not an issue for us that signatures do not live in the smallest universe.

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383 ► **Definition 6** (IIT signature). *An IIT signature is a context in an arbitrary signature algebra,*  
 384 *which is also compatible with morphisms:*

$$385 \quad \text{Sign} := (\text{sig} : (M : \text{SignAlg}) \rightarrow \text{Con}^M) \times$$

$$386 \quad ((M N : \text{SignAlg})(f : \text{SignMor } M N) \rightarrow f_{\text{Con}}(\text{sig } M) = \text{sig } N).$$

388 The compatibility condition says that if we obtain an  $M$ -context using  $\text{sig}$  at signature  
 389 algebra  $M$  and then we transport it to  $N$  using  $f$ , we get the same  $N$ -context as directly  
 390 applying  $\text{sig}$  to  $N$ .

391 The lack of impredicativity implies that our notion of signatures do not form a signature  
 392 algebra.

393 ► **Lemma 7.** *There is no  $M : \text{SignAlg}$ , in which  $\text{Con}^M = \text{Sign}$ .*

394 **Proof.** If the  $\text{Con}$  component in  $\text{SignAlg}$  is  $\text{Set}_i$ , then  $\text{SignAlg}$  is in  $\text{Set}_{i+1}$ , but as  $\text{Sign}$   
 395 is defined as  $(\text{SignAlg} \rightarrow \dots) \times \dots$ , it is at least in  $\text{Set}_{i+1}$ , so we can't choose  $\text{Con}^M : \text{Set}_i$  to  
 396 be  $\text{Sign} : \text{Set}_{i+1}$ . ◀

397 Note that the notion of IIT signature is relative to a model of ETT: it is expressed as a  
 398 term (of a function type) in the model. This is necessary because of the function space  $\hat{\Pi}$ ,  
 399 which has as domain an arbitrary type in the model. We make use of  $\hat{\Pi}$  in signatures with  
 400 external parameters, like the type of the elements in lists.

401 ► **Example 8** (Example signature). Now we can formally describe the contexts given in  
 402 Example 4 as signatures. For natural numbers, we have the following pair of functions. The  
 403 second function returns an equality proof which we describe using equational reasoning.

$$404 \quad (\text{nat}, \text{natc}) :=$$

$$405 \quad (\lambda M. (\cdot^M \triangleright^M \mathbf{U}^M \triangleright^M \text{El}^M 0^M \triangleright^M 1^M \Rightarrow^M \text{El}^M 1^M),$$

$$406 \quad \lambda M N f. f_{\text{Con}} (\cdot^M \triangleright^M \mathbf{U}^M \triangleright^M \text{El}^M 0^M \triangleright^M 1^M \Rightarrow^M \text{El}^M 1^M) =$$

$$407 \quad f_{\text{Con}} (\cdot^M \triangleright^M \mathbf{U}^M \triangleright^M \text{El}^M 0^M) \triangleright^N f_{\text{Ty}} (1^N \Rightarrow^N \text{El}^N 1^N) =$$

$$408 \quad f_{\text{Con}} (\cdot^M \triangleright^M \mathbf{U}^M) \triangleright^N f_{\text{Ty}} (\text{El}^M 0^M) \triangleright^N f_{\text{Tm}} 1^N \Rightarrow^M f_{\text{Ty}} (\text{El}^N 1^N) =$$

$$409 \quad f_{\text{Con}} \cdot^M \triangleright^N f_{\text{Ty}} \mathbf{U}^M \triangleright^N \text{El}^N (f_{\text{Tm}} 0^M) \triangleright^N 1^M \Rightarrow^M \text{El}^M (f_{\text{Tm}} 1^N) =$$

$$410 \quad \cdot^N \triangleright^N \mathbf{U}^N \triangleright^N \text{El}^N 0^N \triangleright^N 1^N \Rightarrow^N \text{El}^N 1^N)$$

412 The first component builds the context describing natural numbers in  $M$ , the second one  
 413 uses the fact that  $f$  is a morphism, that is, it preserves all operations.

414 The signatures for lists and  $\text{Con-Ty}$  can be given analogously.

415 Given a model of ETT and an IIT signature in it, we would like to say what it means  
 416 that the model supports the given IIT. For this we define the signature algebra  $\text{ADS}$  which  
 417 will provide notions of algebras, displayed algebras and sections for each signature. This is  
 418 the same as the  $-^A$ ,  $-^D$  and  $-^S$  operations in [21]. Before defining  $\text{ADS}$ , we illustrate its  
 419 usage by an example.

420 ► **Example 9** (Algebras, displayed algebras and sections for natural numbers). For the signature  
 421 of natural numbers as given in Example 8, algebras are given by the  $\Sigma$ -type  $(N : \text{Set}) \times N \times$   
 422  $(N \rightarrow N)$ . A displayed algebra over  $(N, z, s)$  is given by the  $\Sigma$ -type

$$423 \quad (N^D : N \rightarrow \text{Set}) \times N^D z \times ((n : N) \rightarrow N^D n \rightarrow N^D (s n)),$$

424 and a section of a displayed algebra  $(N^D, z^D, s^D)$  over  $(N, z, s)$  is given by the  $\Sigma$ -type

$$425 \quad (N^S : (n : N) \rightarrow N^D n) \times (N^S z = z^D) \times ((n : N) \rightarrow N^S (s n) = s^D n (N^S n)).$$

426 Displayed algebras over the initial algebra are called motives and methods of the eliminator,  
427 while a section of a displayed algebra over the initial algebra is the eliminator together with  
428 its computation rules.

429 ► **Definition 10** (The signature algebra ADS). *We define an element of `SignAlg` by listing all*  
430 *its components `Con`, `Ty`, `Sub`, and so on, one per row. Each such component has three parts*  
431 *denoted by  $^A$ ,  $^D$  and  $^S$ , respectively. The equality components of `SignAlg` are omitted as they*  
432 *are all reflexivity.*

$$\begin{array}{lll}
433 & (\Gamma^A : \text{Set}) & \times (\Gamma^D : \Gamma^A \rightarrow \text{Set}) & \times (\Gamma^S : (\gamma : \Gamma^A) \rightarrow \Gamma^D \gamma \rightarrow \text{Set}) \\
434 & (A^A : \Gamma^A \rightarrow \text{Set}) & \times (A^D : \Gamma^D \gamma \rightarrow A^A \gamma \rightarrow \text{Set}) & \times (A^S : \Gamma^S \gamma \gamma^D \rightarrow (\alpha : A^A \gamma) \rightarrow \\
435 & & & A^D \gamma^D \alpha \rightarrow \text{Set}) \\
436 & (\sigma^A : \Gamma^A \rightarrow \Delta^A) & \times (\sigma^D : \Gamma^D \gamma \rightarrow \Delta^D (\sigma^A \gamma)) & \times (\sigma^S : \Gamma^S \gamma \gamma^D \rightarrow \\
437 & & & \Delta^S (\sigma^A \gamma) (\sigma^D \gamma^D)) \\
438 & (t^A : (\gamma : \Gamma^A) \rightarrow A^A \gamma) & \times (t^D : (\gamma^D : \Gamma^D \gamma) \rightarrow \\
439 & & A^D \gamma^D (t^A \gamma)) & \times (t^S : (\gamma^S : \Gamma^S \gamma \gamma^D) \rightarrow \\
440 & \text{id}^A \gamma := \gamma & \text{id}^D \gamma^D := \gamma^D & \text{id}^S \gamma^S := \gamma^S \\
441 & (\sigma \circ \delta)^A \gamma := \sigma^A (\delta^A \gamma) & (\sigma \circ \delta)^D \gamma^D := \sigma^D (\delta^D \gamma^D) & (\sigma \circ \delta)^S \gamma^S := \sigma^S (\delta^S \gamma^S) \\
442 & (A[\sigma])^A \gamma := A^A (\sigma^A \gamma) & (A[\sigma])^D \gamma^D := A^D (\sigma^D \gamma^D) & (A[\sigma])^S \gamma^S := A^S (\sigma^S \gamma^S) \\
443 & (t[\sigma])^A \gamma := t^A (\sigma^A \gamma) & (t[\sigma])^D \gamma^D := t^D (\sigma^D \gamma^D) & (t[\sigma])^S \gamma^S := t^S (\sigma^S \gamma^S) \\
444 & \cdot^A := \top & \cdot^D \_ := \top & \cdot^S \_ := \top \\
445 & \epsilon^A \_ := \text{tt} & \epsilon^D \_ := \text{tt} & \epsilon^S \_ := \text{tt} \\
446 & (\Gamma \triangleright A)^A := & (\Gamma \triangleright A)^D (\gamma, \alpha) := & (\Gamma \triangleright A)^S (\gamma, \alpha) (\gamma^D, \alpha^D) := \\
447 & (\gamma : \Gamma^A) \times A^A \gamma & (\gamma^D : \Gamma^D \gamma) \times A^D \gamma^D \alpha & (\gamma^S : \Gamma^S \gamma \gamma^D) \times A^S \gamma^S \alpha \alpha^D \\
448 & (\sigma, t)^A \gamma := (\sigma^A \gamma, t^A \gamma) & (\sigma, t)^D \gamma^D := (\sigma^D \gamma^D, t^D \gamma^D) & (\sigma, t)^S \gamma^S := (\sigma^S \gamma^S, t^S \gamma^S) \\
449 & (\pi_1 \sigma)^A \gamma := \text{proj}_1 (\sigma^A \gamma) & (\pi_1 \sigma)^D \gamma^D := \text{proj}_1 (\sigma^D \gamma^D) & (\pi_1 \sigma)^S \gamma^S := \text{proj}_1 (\sigma^S \gamma^S) \\
450 & (\pi_2 \sigma)^A \gamma := \text{proj}_2 (\sigma^A \gamma) & (\pi_2 \sigma)^D \gamma^D := \text{proj}_2 (\sigma^D \gamma^D) & (\pi_2 \sigma)^S \gamma^S := \text{proj}_2 (\sigma^S \gamma^S) \\
451 & \text{U}^A \gamma := \text{Set} & \text{U}^D \gamma^D T := T \rightarrow \text{Set} & \text{U}^S \gamma^S T T^D := (\alpha : T) \rightarrow T^D \alpha \\
452 & (\text{El } a)^A \gamma := a^A \gamma & (\text{El } a)^D \gamma^D \alpha := a^D \gamma^D \alpha & (\text{El } a)^S \gamma^S \alpha \alpha^D := (a^S \gamma^S \alpha = \alpha^D) \\
453 & (\Pi a B)^A \gamma := & (\Pi a B)^D \gamma^D f := & (\Pi a B)^S \gamma^S f f^D := (\alpha : a^A \gamma) \rightarrow \\
454 & (\alpha : a^A \gamma) \rightarrow B^A (\gamma, \alpha) & (\alpha^D : a^D \gamma^D \alpha) \rightarrow & B^S (\gamma^S, \text{refl}_{a^S \gamma^S \alpha}) (f \alpha) \\
455 & & B^D (\gamma^D, \alpha^D) (f \alpha) & (f^D (a^S \gamma^S \alpha)) \\
456 & (t \otimes u)^A \gamma := t^A \gamma (u^A \gamma) & (t \otimes u)^D \gamma^D := t^D \gamma^D (u^D \gamma^D) & (t \otimes u)^S \gamma^S :=_{u^S \gamma^S \#} t^S \gamma^S (u^A \gamma) \\
457 & (\hat{\Pi} T B)^A \gamma := & (\hat{\Pi} T B)^D \gamma^D f := & (\hat{\Pi} T B)^S \gamma^S f f^D := (\alpha : T) \rightarrow \\
458 & (\alpha : T) \rightarrow (B \alpha)^A \gamma & (\alpha : T) \rightarrow (B \alpha)^D \gamma^D (f \alpha) & (B \alpha)^S \gamma^S (f \alpha) (f^D \alpha) \\
459 & (t \hat{\otimes} \alpha)^A \gamma := t^A \gamma \alpha & (t \hat{\otimes} \alpha)^D \gamma^D := t^D \gamma^D \alpha & (t \hat{\otimes} \alpha)^S \gamma^S := t^S \gamma^S \alpha
\end{array}$$

461 Definition 10 can be explained by columns (see [21, Sections 4 and 6] for more details) or by  
462 rows (see [21, Section 7.4]).

463 We first explain it by columns: the first column ( $^A$  components) corresponds to the  
464 standard model (set model, metacircular interpretation [4]): contexts are sets, types are

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465 families, terms are functions, the universe  $U$  is given by  $\text{Set}$ , function spaces are given by the  
 466 external function space. The  $^D$  column is a logical predicate interpretation,  $^A$  and  $^D$  together  
 467 are a unary version of the parametric model for dependent types [7]. Contexts are predicates,  
 468 types are families of predicates, terms say that the  $^A$  interpretation respects the predicates  
 469 (this is usually called fundamental lemma of the logical predicate).  $U$  is given by predicate  
 470 space, the predicate at a  $\Pi$  type holds for a function if it respects the predicates. For  $\hat{\Pi}$ , the  
 471 predicate is defined pointwise. The last column  $^S$  is a modified dependent logical relation  
 472 which refers to both  $^A$  and  $^D$ . Contexts are binary relations where the second parameter  
 473 depends on the first one, types are dependent variants of this, terms say that the relation  
 474 is respected by  $^A$  and  $^D$ , respectively.  $U$  is however not relation space, but a function and  
 475  $(\text{El } a)^S$  is the graph of the function  $a^S$ .  $\Pi^S$  for a function again says that the function respects  
 476 the relation, however we do not simply say

$$477 \quad (\Pi a B)^S \gamma^S f f^D := (\alpha : a^A \gamma)(\alpha^D : a^D \gamma^D \alpha)(\alpha^S : (\text{El } a)^S \gamma^S \alpha \alpha^D) \rightarrow B^S \dots,$$

478 as  $(\text{El } a)^S \gamma^S \alpha \alpha^D$  is just an equality  $a^S \gamma^S \alpha = \alpha^D$  which we can singleton contract. So we  
 479 omit  $\alpha^D$  and this equality as an input and replace  $\alpha^D$  by  $a^S \gamma^S \alpha$  in the definition.

480 When viewing ADS by rows, we can see that it is a part of the CwF model of type theory  
 481 [21, Section 7.4]. In the CwF model, a context is given by a CwF. Now, from the category  
 482 part of the CwF, we only have objects  $(\Gamma^A)$ , and from the families, we have the families for  
 483 types  $\Gamma^D$  and terms  $\Gamma^S$ . Types are the corresponding parts of displayed CwFs, substitutions  
 484 are parts of CwF morphisms, terms are parts of CwF sections.  $U$  is part of the CwF of sets,  
 485  $\text{El } a$  is the part of the discrete displayed CwF coming from  $a$  (which is a CwF-morphism  
 486 from  $\Gamma$  to the CwF of sets).  $\Pi$  is given by a dependent product of displayed CwFs where it  
 487 is essential that the domain is discrete,  $\hat{\Pi}$  is the pointwise direct product.

488 ► **Definition 11** (The set signature algebra  $A$ ).  $A : \text{SignAlg}$  is given by the first  $^A$  components  
 489 of ADS (Definition 10), that is,  $\text{Con}^A := \text{Set}$ ,  $\text{Ty}^A \Gamma := \Gamma \rightarrow \text{Set}$ ,  $\text{Sub}^A \Gamma \Delta := \Gamma \rightarrow \Delta$ , and  
 490 so on. There is a morphism from ADS to  $A$  defined by  ${}^{-A}$  at each component, which we also  
 491 denote by  ${}^{-A} : \text{SignMor ADS } A$ .

492 ► **Definition 12** (A model of ETT supports IITs). A model of ETT supports IITs if for any  
 493 signature  $(\text{sig}, \text{sigc}) : \text{Sign}$  there is a

$$494 \quad \text{con}_{\text{sig}} : (\text{sig ADS})^A$$

495 and an

$$496 \quad \text{elim}_{\text{sig}} : (\gamma^D : (\text{sig ADS})^D \text{con}_{\text{sig}}) \rightarrow (\text{sig ADS})^S \text{con}_{\text{sig}} \gamma^D.$$

497 In other words, for any signature, we have an algebra called  $\text{con}$  (constructors) and for any  
 498 displayed algebra over the constructors, we have a section (called the eliminator).

499 One can check that Definition 12 gives the right notion of constructors and elimination  
 500 principle for the signatures in Example 8.

501 ► **Example 13** (A model of ETT supports natural numbers). For the signature  $(\text{nat}, \text{natc})$  of  
 502 natural numbers in Example 8, the type of  $\text{con}_{\text{nat}}$  is

$$503 \quad (\text{nat ADS})^A = \\
 504 \quad (\cdot^{\text{ADS}} \triangleright^{\text{ADS}} \cup^{\text{ADS}} \triangleright^{\text{ADS}} \text{El}^{\text{ADS}} 0^{\text{ADS}} \triangleright^{\text{ADS}} 1^{\text{ADS}} \Rightarrow^{\text{ADS}} \text{El}^{\text{ADS}} 1^{\text{ADS}})^A = \\
 505 \quad \left( ((\cdot \triangleright U) \triangleright \text{El}(\pi_2 \text{id})) \triangleright (\pi_2(\pi_1 \text{id})) \Rightarrow \text{El}(\pi_2(\pi_1 \text{id})) \right)^A =$$

$$\begin{aligned}
& (\gamma'' : (\gamma' : ((\gamma : \cdot^A) \times U^A \gamma)) \times (\text{El } (\pi_2 \text{ id}))^A \gamma') \times \left( \Pi (\pi_2 (\pi_1 \text{ id})) (\pi_2 (\pi_1 (\pi_1 \text{ id}))) \right)^A \gamma'' = \\
& (\gamma'' : (\gamma' : ((\gamma : \top) \times \text{Set})) \times (\text{proj}_2 \gamma')) \times (\text{proj}_2 (\text{proj}_1 \gamma'') \rightarrow \text{proj}_2 (\text{proj}_1 \gamma'')),
\end{aligned}$$

which is a left-nested  $\Sigma$  type isomorphic to its right-nested counterpart

$$(N : \text{Set}) \times (N \times (N \rightarrow N)).$$

Writing  $((\text{tt}, \text{Nat}), \text{zero}), \text{suc}$  for  $\text{con}_{\text{nat}}$ , the type of  $\text{elim}_{\text{nat}}$  computes as follows.

$$\begin{aligned}
& (\gamma^D : (\text{nat ADS})^D \text{con}_{\text{nat}}) \rightarrow (\text{nat ADS})^S \text{con}_{\text{nat}} \gamma^D = \\
& \left( \gamma^D : \left( ((\cdot \triangleright U) \triangleright \text{El } (\pi_2 \text{ id})) \triangleright (\pi_2 (\pi_1 \text{ id})) \Rightarrow \text{El } (\pi_2 (\pi_1 \text{ id}))) \right)^D \text{con}_{\text{nat}} \right) \rightarrow \\
& \left( ((\cdot \triangleright U) \triangleright \text{El } (\pi_2 \text{ id})) \triangleright (\pi_2 (\pi_1 \text{ id})) \Rightarrow \text{El } (\pi_2 (\pi_1 \text{ id})) \right)^S \text{con}_{\text{nat}} \gamma^D = \\
& \left( \gamma^D : \left( ((\cdot \triangleright U) \triangleright \text{El } (\pi_2 \text{ id})) \triangleright (\pi_2 (\pi_1 \text{ id})) \Rightarrow \text{El } (\pi_2 (\pi_1 \text{ id}))) \right)^D \right. \\
& \quad \left. (((\text{tt}, \text{Nat}), \text{zero}), \text{suc}) \right) \rightarrow \\
& \left( ((\cdot \triangleright U) \triangleright \text{El } (\pi_2 \text{ id})) \triangleright (\pi_2 (\pi_1 \text{ id})) \Rightarrow \text{El } (\pi_2 (\pi_1 \text{ id})) \right)^S (((\text{tt}, \text{Nat}), \text{zero}), \text{suc}) \gamma^D = \\
& \left( (((\text{tt}, N^D), z^D), s^D) : (\gamma^{D''} : (\gamma^{D'} : ((\gamma^D : \cdot^D \text{tt}) \times U^D \gamma^D \text{Nat})) \times (\text{El } (\pi_2 \text{ id}))^D \gamma^{D'} \text{zero}) \times \right. \\
& \quad \left. \left( \Pi (\pi_2 (\pi_1 \text{ id})) (\pi_2 (\pi_1 (\pi_1 \text{ id}))) \right)^D \gamma^{D''} \text{suc} \right) \rightarrow \\
& \left( ((\cdot \triangleright U) \triangleright \text{El } (\pi_2 \text{ id})) \triangleright (\pi_2 (\pi_1 \text{ id})) \Rightarrow \text{El } (\pi_2 (\pi_1 \text{ id})) \right)^S (((\text{tt}, \text{Nat}), \text{zero}), \text{suc}) \\
& \quad \left( (((\text{tt}, N^D), z^D), s^D) = \right. \\
& \left( (((\text{tt}, N^D), z^D), s^D) : (\gamma^{D''} : (\gamma^{D'} : ((\gamma^D : \cdot^D \text{tt}) \times U^D \gamma^D \text{Nat})) \times (\text{El } (\pi_2 \text{ id}))^D \gamma^{D'} \text{zero}) \times \right. \\
& \quad \left. \left( \Pi (\pi_2 (\pi_1 \text{ id})) (\pi_2 (\pi_1 (\pi_1 \text{ id}))) \right)^D \gamma^{D''} \text{suc} \right) \rightarrow \\
& \left( \gamma^{S''} : (\gamma^{S'} : ((\gamma^S : \cdot^S \text{tt}) \times U^S \gamma^S \text{Nat } N^D)) \times (\text{El } (\pi_2 \text{ id}))^S \gamma^{S'} \text{zero } z^D \right) \times \\
& \left( \Pi (\pi_2 (\pi_1 \text{ id})) (\pi_2 (\pi_1 (\pi_1 \text{ id}))) \right)^S \gamma^{S''} \text{suc } s^D = \\
& \left( (((\text{tt}, N^D), z^D), s^D) : (\gamma^{D''} : (\gamma^{D'} : ((\gamma^D : \top) \times (\text{Nat} \rightarrow \text{Set}))) \times \text{proj}_2 \gamma^{D'} \text{zero}) \times \right. \\
& \quad \left. (\text{proj}_2 (\text{proj}_1 \gamma^{D''}) n \rightarrow \text{proj}_2 (\text{proj}_1 \gamma^{D''}) (\text{suc } n)) \right) \rightarrow \\
& \left( \gamma^{S''} : (\gamma^{S'} : ((\gamma^S : \top) \times ((n : \text{Nat}) \rightarrow N^D n)) \times \text{proj}_2 \gamma^{S'} \text{zero} = z^D) \times \right. \\
& \quad \left. ((n : \text{Nat}) \rightarrow \text{proj}_2 (\text{proj}_1 (\text{proj}_1 \gamma^{S''})) (\text{suc } n) = s^D (\text{proj}_2 (\text{proj}_1 (\text{proj}_1 \gamma^{S''})) n)) \right)
\end{aligned}$$

This is again a left-nested version of the expected elimination principle

$$\begin{aligned}
& (N^D : \text{Nat} \rightarrow \text{Set})(z^D : N^D \text{zero})(s^D : (n : \text{Nat}) \rightarrow N^D n \rightarrow N^D (\text{suc } n)) \rightarrow \\
& (N^S : (n : \text{Nat}) \rightarrow N^D n) \times (N^S \text{zero} = z^D) \times ((n : \text{Nat}) \rightarrow N^S (\text{suc } n) = s^D (N^S n))
\end{aligned}$$

## 6:14 For Finitary Induction-Induction, Induction is Enough

535 ▶ **Remark 14.** The computation rules of the elimination principle are only expected up to the  
 536 internal equality type, but as we work with a model of ETT, we also get them as definitional  
 537 equalities by equality reflection.

### 538 **3** Constructing all IITs from the Theory of IIT Signatures

539 In the previous section, using the notions of signature algebras and signature morphisms,  
 540 we defined IIT signatures and what it means for a model of ETT to support all IITs. In  
 541 this section we show that if a model of ETT supports the theory of IIT signatures, then  
 542 it supports all IITs. Using the Church encoding of Definition 6, every model of ETT can  
 543 describe IIT signatures. In contrast, in Definition 15, we will require existence of an initial  
 544 signature algebra.

545 The contents of this section are an adjustment of [21, Sections 4 and 6] to our setting.

546 ▶ **Definition 15.** *A model of ETT supports the theory of IIT signatures if there is a signature*  
 547 *algebra  $\mathbb{I} : \text{SignAlg}$  equipped with a unique morphism  $\llbracket - \rrbracket_M : \text{SignMor} \mathbb{I} M$  into any algebra  $M$ .*  
 548 *Sometimes we omit the subscript  $M$ . We call  $\mathbb{I}$  the syntax or initial algebra, the morphism*  
 549  *$\llbracket - \rrbracket$  is called recursor.*

550 ▶ **Definition 16** (Syntactic signatures). *In a model of ETT supporting the theory of IIT*  
 551 *signatures, we call elements of  $\text{Con}^{\mathbb{I}}$  syntactic signatures.*

552 One may wonder what is the relationship between the two notion of signatures.

553 ▶ **Lemma 17.** *In a model of ETT supporting the theory of IIT signatures, signatures and*  
 554 *syntactic signatures are isomorphic.*

555 **Proof.** We can turn a  $(\text{sig}, \text{sigc}) : \text{Sign}$  into  $\text{Con}^{\mathbb{I}}$  by  $\text{sig} \mathbb{I}$  and an  $\Omega : \text{Con}^{\mathbb{I}}$  into a  $\text{Sign}$  by  
 556  $(\lambda M. \llbracket \Omega \rrbracket_M, \lambda M N f. (f \llbracket \Omega \rrbracket_M = (f \circ \llbracket - \rrbracket_M) \Omega = \llbracket \Omega \rrbracket_N))$  where the equality proof in the  
 557 second component comes from uniqueness of the recursor (we have to define composition  
 558 of morphisms  $\circ$  for this). The compositions of these two maps are the identities:  $(\text{sig}, \text{sigc})$   
 559 is mapped to  $(\lambda M. \llbracket \text{sig } \mathbb{I} \rrbracket_M, \dots) = (\lambda M. \llbracket - \rrbracket_M (\text{sig } \mathbb{I}), \dots)$  which is equal to  $(\lambda M. \text{sig } M, \dots)$   
 560 because of  $\text{sigc}$ ;  $\Omega$  is mapped to  $\llbracket \Omega \rrbracket_{\mathbb{I}} = \Omega$  by uniqueness of  $\llbracket - \rrbracket$ . ◀

561 We will define the term signature algebra by which we obtain the constructors  $\text{con}$  for any  
 562 IIT signature. Then we will define another signature algebra which provides the eliminator.  
 563 Before doing these, we illustrate the idea of both constructions on natural numbers.

564 ▶ **Example 18.** For natural numbers, we will define the constructors  $\text{con}$  as the following  
 565 natural number algebra ( $\text{Nat}$ ,  $\text{zero}$ ,  $\text{suc}$ ). We write variable names instead of de Bruijn indices  
 566 for readability.

567  $\text{Nat} := \text{Tm}^{\mathbb{I}} (\cdot \triangleright N : \mathbb{U} \triangleright z : \text{El } N \triangleright s : N \Rightarrow \text{El } N) (\text{El } N)$

568  $\text{zero} := z$

569  $\text{suc} := \lambda t. (s @ t)$   
 570

571 Natural numbers are simply  $\mathbb{I}$ -terms of type  $\text{El } N$  in the context which is the syntactic  
 572 signature for natural numbers. In this context, the only way to define a term of type  $\text{El } N$   
 573 is to use  $z$  and  $s$ , corresponding to the  $\text{zero}$  and  $\text{suc}$  constructors.

574 To define the action of the eliminator on a natural number  $n : \text{Nat}$ , let's look at the type  
 575 of the displayed algebra interpretation of the number:

576  $\llbracket n \rrbracket_{\text{ADS}}^{\text{D}} : (\gamma^{\text{D}} : \llbracket \cdot \triangleright N : \mathbb{U} \triangleright z : \text{El } N \triangleright s : N \Rightarrow \text{El } N \rrbracket^{\text{D}} \text{con}) \rightarrow \llbracket \text{El } N \rrbracket^{\text{D}} (\llbracket n \rrbracket^{\text{A}} \text{con})$

577 This says that for a displayed algebra  $\gamma^D = (N^D, z^D, s^D)$  over  $\text{con}$  (i.e. the motives and  
 578 methods of the eliminator), we get a witness of the predicate  $\llbracket \text{El } N \rrbracket^D = N^D$  at the algebra  
 579 interpretation of  $n$ . This is not yet good, as we would like to get  $N^D n$  instead of  $N^D (\llbracket n \rrbracket^A \text{ con})$   
 580 as a result. However, interpretation into the term signature algebra will imply that  $n =$   
 581  $\llbracket n \rrbracket^A \text{ con}$ .

582 ► **Definition 19** (Term signature algebra  $\text{IC}_\Omega$ ). *For an  $\Omega : \text{Con}^I$ , we define  $\text{IC}_\Omega : \text{SignAlg}$  which  
 583 we call the term signature algebra. It is equipped with a morphism  $-^I : \text{SignMor}(\text{IC}_\Omega) \mathbb{I}$ . We  
 584 define  $\text{IC}_\Omega$  by listing its components  $\text{Con}$ ,  $\text{Ty}$ ,  $\text{Sub}$ , and so on, one per row. Each component  
 585 has two parts denoted by  $^I$  and  $^C$ . The  $^I$  part just reuses the corresponding components from  
 586  $\mathbb{I}$ , and thus the morphism  $-^I$  is defined as the obvious projection. We omit the equality  
 587 components, as they come from UIP or are trivial. We also omit the components for terms  
 588 and substitutions as their  $^C$  parts consist of uninformative equational reasoning.*

$$\begin{array}{ll}
 589 & \Gamma^I : \text{Con}^I & \Gamma^C : \text{Sub}^I \Omega \Gamma^I \rightarrow \llbracket \Gamma \rrbracket_A \\
 590 & A^I : \text{Ty}^I \Gamma^I & A^C : (\nu : \text{Sub}^I \Omega \Gamma^I) \rightarrow \text{Tm}^I \Omega (A^I[\nu]) \rightarrow \llbracket A \rrbracket_A (\Gamma^C \nu) \\
 591 & \sigma^I : \text{Sub}^I \Gamma^I \Delta^I & \sigma^C : \Delta^C (\sigma^I \circ \nu) = \llbracket \sigma \rrbracket_A (\Gamma^C \nu) \\
 592 & t^I : \text{Tm}^I \Gamma^I A^I & t^C : A^C \nu (t^I[\nu]) = \llbracket t \rrbracket_A (\Gamma^C \nu) \\
 593 & (A[\sigma])^I := A^I[\sigma^I] & (A[\sigma])^C \nu t := A^C (\sigma^I \circ \nu) t \\
 594 & \cdot^I := \cdot^I & \cdot^C \nu := \text{tt} \\
 595 & (\Gamma \triangleright A)^I := \Gamma^I \triangleright^I A^I & (\Gamma \triangleright A)^C \nu := (\Gamma^C (\pi_1 \nu), A^C (\pi_1 \nu) (\pi_2 \nu)) \\
 596 & \text{U}^I := \text{U}^I & \text{U}^C \nu a := \text{Tm}^I \Omega (\text{El}^I a) \\
 597 & (\text{El } a)^I := \text{El}^I a^I & (\text{El } a)^C \nu t := {}_{a^C} \nu \# t \\
 598 & (\Pi a B)^I := \Pi^I a^I B^I & (\Pi a B)^C \nu t := \lambda \alpha. B^C (\nu, {}_{a^C} \nu \# \alpha) (t @_{a^C} \nu \# \alpha) \\
 599 & (\hat{\Pi} T B)^I := \hat{\Pi}^I T B^I & (\hat{\Pi} T B)^C \nu t := \lambda \alpha. (B \alpha)^C \nu (t \hat{\alpha} \alpha) \\
 600 & & 
 \end{array}$$

601 ► **Example 20.** Now, given a syntactic signature  $\Omega : \text{Con}^I$ , we get the constructors as an  
 602  $\Omega$ -algebra by  $\omega := (\llbracket \Omega \rrbracket_{\text{IC}_\Omega})^C \text{id}^I : \llbracket \Omega \rrbracket_A$ . If  $\Omega$  is the syntactic signature for natural numbers,  
 603 we get the constructors as in Example 18.

604 An  $a : \text{Tm}^I \Omega \text{U}$  is a sort term for the syntactic signature  $\Omega$ . If  $\Omega$  is the syntactic signature  
 605 for natural numbers,  $a$  can only be  $N$  (1 as a de Bruijn index). If  $\Omega$  is the syntactic signature  
 606 for  $\text{Con-Ty}$  (Example 4),  $a$  can be  $\text{Con}$ ,  $\text{Ty} @ \text{empty}$ ,  $\text{Ty} @ (\text{ext} @ \text{empty} @ (\text{U} @ \text{empty}))$ , and  
 607 so on. In any case, for such an  $a$ , we obtain  $(\llbracket a \rrbracket_{\text{IC}_\Omega})^C \text{id}^I : \text{Tm}^I \Omega (\text{El } a) = \llbracket a \rrbracket_A \omega$ . That is, the  
 608 algebra interpretation of a sort term at the constructors is equal to terms of that sort.

609 A  $t : \text{Tm}^I \Omega (\text{El } a)$  is a term of a sort type  $a$  constructed using the constructors in  $\Omega$ . For  
 610 natural numbers, such a  $t$  can only be  $s$  applied iteratively to  $z$ . For such a  $t$ , we obtain  
 611  $(\llbracket t \rrbracket_{\text{IC}_\Omega})^C \text{id}^I : (t = \llbracket t \rrbracket_A \omega)$ . That is, a constructor term is equal to its algebra interpretation at  
 612 the constructors. This is exactly the equation needed at the end of Example 18.

613 ► **Definition 21** (Eliminator signature algebra  $\text{IE}_\Omega$ ). *Given an  $\Omega : \text{Con}^I$ , we use the abbreviation  
 614  $\omega := \llbracket \Omega \rrbracket_{\text{IC}_\Omega} \text{id}^I$  as in Example 20. Assuming an  $\omega^D : (\llbracket \Omega \rrbracket_{\text{ADS}})^D \omega$ , we define the signature  
 615 algebra  $\text{IE}_{\omega^D}$ . It is equipped with a morphism  $-^I : \text{SignMor} \text{IE}_{\omega^D} \mathbb{I}$ . We define  $\text{IE}_{\omega^D}$  by listing  
 616 its components  $\text{Con}$ ,  $\text{Ty}$ ,  $\text{Sub}$ , and so on, one per row. Each component has two parts denoted  
 617 by  $^I$  and  $^E$ . The  $^I$  part just reuses the corresponding components of  $\mathbb{I}$ , thus the morphism  $-^I$  is  
 618 defined as the obvious projection. We omit the equality components, as they come from UIP  
 619 or are trivial. We also omit the components for terms and substitutions as their  $^E$  parts are  
 620 uninformative equational reasonings.*

$$621 \quad \Gamma^I : \text{Con}^I \quad \Gamma^E : (\nu : \text{Sub}^I \Omega \Gamma^I) \rightarrow \llbracket \Gamma \rrbracket^S (\llbracket \nu \rrbracket^A \omega) (\llbracket \nu \rrbracket^D \omega^D)$$



## 6:16 For Finitary Induction-Induction, Induction is Enough

|     |  |  |
|-----|--|--|
| 622 | $A^! : \text{Ty}^! \Gamma^!$                                   | $A^E : (\nu : \text{Sub}^! \Omega \Gamma^!)(t : \text{Tm}^! \Omega (A^![\nu])) \rightarrow$  |
| 623 |  | $\llbracket A \rrbracket^S (I^E \nu) (\llbracket t \rrbracket^A \omega) (\llbracket t \rrbracket^D \omega^D)$  |
| 624 | $\sigma^! : \text{Sub}^! \Gamma^! \Delta^!$                    | $\sigma^E : \Delta^E (\sigma^! \circ \nu) = \llbracket \sigma \rrbracket^S (I^E \nu)$  |
| 625 | $t^! : \text{Tm}^! \Gamma^! A^!$                               | $t^E : A^E \nu (t^![\nu]) = \llbracket t \rrbracket^S (I^E \nu)$   |
| 626 | $(A[\sigma])^! := A^![\sigma^!]$                               | $(A[\sigma])^E \nu t := A^E (\sigma^! \circ \nu) t$  |
| 627 | $\cdot^! := \cdot^!$   | $\cdot^E \nu := \text{tt}$   |
| 628 | $(\Gamma \triangleright A)^! := \Gamma^! \triangleright^! A^!$ | $(\Gamma \triangleright A)^E \nu := (I^E (\pi_1 \nu), A^E (\pi_1 \nu) (\pi_2 \nu))$  |
| 629 | $\mathbb{U}^! := \mathbb{U}^!$                                 | $\mathbb{U}^E \nu a := \lambda \alpha. \llbracket \alpha \rrbracket^{c \text{id}\#} (\llbracket \llbracket \alpha \rrbracket^{c \text{id}\#} \alpha \rrbracket^D \omega^D)$  |
| 630 | $(\text{El } a)^! := \text{El}^! a^!$                          | $(\text{El } a)^E \nu t := (\llbracket a \rrbracket^S (I^E \nu) (\llbracket t \rrbracket^A \omega) \stackrel{\llbracket t \rrbracket^{c \text{id}}}{=} \llbracket a \rrbracket^S (I^E \nu) t \stackrel{a^E \nu}{=} \llbracket t \rrbracket^D \omega^D)$          |
| 631 | $(\Pi a B)^! := \Pi^! a^! B^!$                                 | $(\Pi a B)^E \nu t :=$   |
| 632 |  | $\lambda \alpha. \llbracket \alpha \rrbracket^{c \text{id}\#} (B^E (\nu, \llbracket a \rrbracket^{c \text{id}} \llbracket \nu \rrbracket^{c \text{id}\#} \alpha) (t \otimes \llbracket a \rrbracket^{c \text{id}} \llbracket \nu \rrbracket^{c \text{id}\#} u))$ |
| 633 | $(\hat{\Pi} T B)^! := \hat{\Pi}^! T B^!$                       | $(\hat{\Pi} T B)^E \nu t := \lambda \alpha. (B \alpha)^E \nu (t \hat{\alpha} \alpha)$  |
| 634 |  |  |

► **Example 22.** Given the assumptions  $\Omega, \omega^D$  of  $\text{IE}$ , we obtain the eliminator by  $\llbracket \Omega \rrbracket_{\text{IE}_{\omega^D}} \text{id}^! : \llbracket \Omega \rrbracket^S \omega \omega^D$ . The eliminator is a section of the displayed algebra  $\omega^D$ , that is, a dependent function together with equalities witnessing that all the operations are preserved. If  $\Omega$  is the syntactic signature for natural numbers, we get the eliminator of Example 18.

For a sort term  $a : \text{Tm}^! \Omega \mathbb{U}$ , the interpretation  $(\llbracket a \rrbracket_{\text{IE}_{\omega^D}})^E \text{id}$  says that  $(\lambda \alpha. \llbracket \alpha \rrbracket^D \omega^D) = \llbracket a \rrbracket^S (\llbracket \Omega \rrbracket^E \text{id})$ , that is, the function for the sort  $a$  in the eliminator section is the displayed algebra interpretation at  $\omega^D$  (motives and methods). For natural numbers, this is the same as  $(\lambda n. \llbracket n \rrbracket^D (N^D, z^D, s^D)) = (\lambda n. \text{elimNat} (N^D, z^D, s^D) n)$ .

The interpretation of a constructor term  $t : \text{Tm}^! \Omega (\text{El } a)$  is uninteresting as it provides an equality between two different equality proofs of the computation  $(\beta)$  rule for  $t$ .

► **Theorem 23.** *If a model of ETT supports the theory of IIT signatures, then it supports all IITs.*

**Proof.** For a signature  $(\text{sig}, \text{sigc})$ , we define constructors as

$$\text{con}_{\text{sig}} := (\llbracket \text{sig } \mathbb{I} \rrbracket_{\text{IC}_{\text{sig}^!}})^C \text{id}^! : (\text{sig ADS})^A$$

This typechecks as  $\llbracket \text{sig } \mathbb{I} \rrbracket_{\text{A}} = \llbracket - \rrbracket_{\text{A}} (\text{sig } \mathbb{I}) \stackrel{\text{sigc}}{=} \text{sig } \text{A} = (\text{sig ADS})^A$ . We define the eliminator by and an

$$\text{elim}_{\text{sig}} \gamma^D := (\llbracket \text{sig } \mathbb{I} \rrbracket_{\text{IE}_{\gamma^D}})^E \text{id}^! : (\text{sig ADS})^S \text{con}_{\text{sig}} \gamma^D.$$

This typechecks firstly because the type of  $\gamma^D$  matches the type of the parameter of  $\text{IE}$ :

$$(\text{sig ADS})^D \text{con}_{\text{sig}} \stackrel{\text{sigc}}{=} (\llbracket - \rrbracket_{\text{ADS}} (\text{sig } \mathbb{I}))^D \text{con}_{\text{sig}} = (\llbracket \text{sig } \mathbb{I} \rrbracket_{\text{ADS}})^D \text{con}_{\text{sig}},$$

and the result also has the correct type:

$$\llbracket \text{sig } \mathbb{I} \rrbracket^S \text{con}_{\text{sig}} \gamma^D = (\llbracket - \rrbracket_{\text{ADS}} (\text{sig } \mathbb{I}))^S \text{con}_{\text{sig}} \gamma^D \stackrel{\text{sigc}}{=} (\text{sig ADS})^S \text{con}_{\text{sig}} \gamma^D.$$

656

► **Remark 24.** In the above proof, we crucially relied on the *sigc* property to define the constructors (and the eliminator). This is why the simple Church encoding of signatures is not sufficient.

## 4 Constructing the Theory of IIT Signatures

In this section we show that any model of ETT which supports indexed W-types also supports the theory of signatures, and as a consequence of Theorem 23, all IITs. For this, we work in the internal language of a model of ETT supporting indexed W-types [3]. Indexed W-types correspond to the usual notion of (possibly mutual) indexed inductive types. We use Agda-style notation to define such inductive families: we list the sorts and constructors and use pattern matching when eliminating from them. For an encoding of mutual inductive families as indexed W-types, see e.g. [23].

We construct the theory of IIT signatures in the following steps:

1. We view the theory of signatures as a type theory, and we define its untyped syntax as mutual inductive types together with typing judgments given by inductive relations on the untyped syntax. Then the syntax  $\mathbb{1} : \text{SignAlg}$  is constructed using those untyped terms for which the typing relation holds.
2. We construct  $\llbracket - \rrbracket : \text{SignMor} \mid M$  for arbitrary  $M : \text{SignAlg}$ , by:
  - a. defining a relation  $- \sim -$  between the well-typed syntax and a given signature algebra. The idea is that given a syntactic context  $\Gamma$  and a semantic context  $\Gamma^M$  of the signature algebra  $M$ , we have  $\Gamma \sim \Gamma^M$  if and only if  $\llbracket \Gamma \rrbracket = \Gamma^M$ , and similarly for types, terms, and substitutions;
  - b. showing that this relation is functional and thus obtaining a morphism.
3. Proving the uniqueness of this morphism by showing that any morphism  $f : \text{SignMor} \mid M$  satisfies the relation. For example, for any syntactic context  $\Gamma$  we have  $\Gamma \sim f \Gamma$ .

The next sections detail each of these steps.

### 4.1 Syntax

The goal is to define the syntactic signature algebra where contexts are pairs of a precontext together with a well-formedness proof, and similarly for types, terms and substitutions.

Crucially, we do not have conversion relations for typed syntax, nor do we need to use quotients when constructing the syntax. This is possible because there are no  $\beta$ -rules in the theory of signatures. Hence, we consider only normal terms in the untyped syntax, and define weakening and substitution by recursion. Avoiding quotients is important for two reasons. First, it greatly simplifies formalisation. Second, we aim to reduce the theory of signatures only to inductive types, thus making Theorem 57 stronger.

Now we present the definition of the untyped syntax and the associated typing judgments.

#### 4.1.1 Untyped Syntax and its Properties

► **Definition 25** (Untyped syntax). *The untyped syntax is defined as the following inductive datatype.*

(1) *Substitution calculus*

$\text{Con}^{\text{P}} : \text{Set}$

$\text{Ty}^{\text{P}} : \text{Set}$

$\text{Sub}^{\text{P}} : \text{Set}$

$\text{Tm}^{\text{P}} : \text{Set}$

$\cdot^{\text{P}} : \text{Con}^{\text{P}}$

$\epsilon^{\text{P}} : \text{Sub}^{\text{P}}$

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702  $- \triangleright^P - : \text{Con}^P \rightarrow \text{Ty}^P \rightarrow \text{Con}^P$   
703  $- ,^P - : \text{Sub}^P \rightarrow \text{Tm}^P \rightarrow \text{Sub}^P$   
704  $\text{var}^P : \mathbb{N} \rightarrow \text{Tm}^P$   
705 (2) *Universe*  
706  $\text{U}^P : \text{Ty}^P$   
707  $\text{EI}^P : \text{Tm}^P \rightarrow \text{Ty}^P$   
708 (3) *Inductive parameters*  
709  $\text{II}^P : \text{Tm}^P \rightarrow \text{Ty}^P \rightarrow \text{Ty}^P$   
710  $- @^P - : \text{Tm}^P \rightarrow \text{Tm}^P \rightarrow \text{Tm}^P$   
711 (4) *External parameters*  
712  $\hat{\Pi}^P : (T : \text{Set}) \rightarrow (T \rightarrow \text{Ty}^P) \rightarrow \text{Ty}^P$   
713  $\tilde{\Pi}^P : (T : \text{Set}) \rightarrow (T \rightarrow \text{Tm}^P) \rightarrow \text{Tm}^P$   
714  $- \hat{\otimes} - : \text{Tm}^P \rightarrow (\alpha : T) \rightarrow \text{Tm}^P$   
715 (5) *Default value*  
716  $\text{err}^P : \text{Tm}^P$   
717

718 Variables are modeled as de Bruijn indices, i.e. as natural numbers pointing to a position in  
719 the context. We use the additional default constructor  $\text{err}^P : \text{Tm}^P$  in case of error (ill-scoped  
720 substitution). The typing judgments will not mention  $\text{err}^P$ . The main interest of  $\text{err}^P$  is that  
721 it behaves like a closed term (which the theory of signatures lacks), in the sense that it is  
722 invariant under substitution. This makes expected equalities about substitution true even in  
723 the ill-typed case, thus reducing the number of hypotheses for the corresponding lemmas  
724 (see Lemma 32).

725 We will define substitutions  $-[-]$  of types and terms recursively.

726 Note that  $(\text{II}^P A B)[\sigma]$  should be defined as  $\text{II}^P (A[\sigma]) (B[\text{wk}_0 \sigma ,^P \text{var}^P 0])$ , and thus we  
727 need to define  $\text{wk}_0$ , the weakening of substitutions. The basic idea is to increment the de  
728 Bruijn indices of all the variables. Actually, this is not so simple because of the  $\text{II}^P$  type: we  
729 want to define  $\text{wk}_0 (\text{II}^P A B)$  as the  $\text{II}$  type of the weakening of  $A$  and  $B$ , but here,  $B$  must  
730 be weakened with respect to the second last variable of the context, rather than the last one.  
731 For this reason, we need to generalise the weakening as occurring anywhere in the context.

732 ► **Definition 26** (Untyped weakening). *We define untyped weakening recursively on terms by*  
733 *the following functions.*

734  $\text{wk}_n : \text{Ty}^P \rightarrow \text{Ty}^P$   
735  $\text{wk}_n : \text{Tm}^P \rightarrow \text{Tm}^P$   
736  $\text{wk}_0 : \text{Sub}^P \rightarrow \text{Sub}^P$   
737

738 *The natural number  $n$  specifies at which position of the context the weakening occurs. Here,*  
739  *$\text{wk}_0$  weakens with respect to the last variable.*

740 Later, in Lemma 36, we show that weakening preserves typing. Stating a typing rule for  
741 this operation requires weakening at the middle of a context. This is why we define pairs of  
742 untyped contexts, which should be thought of as a splitting of a context at some position.  
743 We call the second context a telescope over the first one.

744 ► **Definition 27** (Untyped telescopes). *An untyped telescope is given simply by a  $\text{Con}^P$ .*

► **Definition 28** (Merging of a context and a telescope).

$$\begin{aligned} 745 \quad & -; - && : \text{Con}^P \rightarrow \text{Con}^P \rightarrow \text{Con}^P \\ 746 \quad & \Gamma; \cdot && := \Gamma \\ 747 \quad & \Gamma; (\Delta \triangleright^P A) && := (\Gamma; \Delta) \triangleright^P A \\ 748 \end{aligned}$$

749 ► **Definition 29** (Weakening for telescopes). *Weakening for telescopes is defined pointwise.*  
750  $\|\Gamma\|$  denotes the length of the context  $\Gamma$ .

$$\begin{aligned} 751 \quad & \text{wk}_0 && : \text{Con}^P \rightarrow \text{Con}^P \\ 752 \quad & \text{wk}_0 \cdot^P && := \cdot^P \\ 753 \quad & \text{wk}_0 (\Delta \triangleright^P A) && := \text{wk}_0 \Delta \triangleright^P \text{wk}_{\|\Delta\|} A \\ 754 \end{aligned}$$

755 This will be used to give typing rules for telescopes in Definition 35.

756 ► **Definition 30** (Untyped unary substitution). *We define single substitution by recursion on*  
757 *the presyntax:*

$$\begin{aligned} 758 \quad & -[- := -] : \text{Ty}^P \rightarrow \mathbb{N} \rightarrow \text{Tm}^P \rightarrow \text{Ty}^P \\ 759 \quad & -[- := -] : \text{Tm}^P \rightarrow \mathbb{N} \rightarrow \text{Tm}^P \rightarrow \text{Tm}^P \\ 760 \end{aligned}$$

761 This is enough to state the typing judgments: indeed, the typing rule for application involves  
762 only a unary substitution.

763 However, to construct the syntax as a signature algebra, we need to define parallel  
764 substitutions:

► **Definition 31** (Untyped substitution calculus).

$$\begin{aligned} 765 \quad & -[-] : \text{Ty}^P \rightarrow \text{Sub}^P \rightarrow \text{Ty}^P \\ 766 \quad & -[-] : \text{Tm}^P \rightarrow \text{Sub}^P \rightarrow \text{Tm}^P \\ 767 \quad & - \circ - : \text{Sub}^P \rightarrow \text{Sub}^P \rightarrow \text{Sub}^P \\ 768 \end{aligned}$$

769 *These can be defined either by iterating unary substitutions, or by recursion on untyped*  
770 *syntax: the two ways yield provably equal definitions. In the following, we assume that they*  
771 *are defined by recursion. We also make use of the following definition:*

$$\begin{aligned} 772 \quad & \text{keep} : \text{Sub}^P \rightarrow \text{Sub}^P \\ 773 \quad & := \lambda \sigma. (\text{wk}_0 \sigma \cdot^P \text{var}^P 0) \\ 774 \end{aligned}$$

775 *The idea is that if  $\sigma$  is a substitution from  $\Gamma$  to  $\Delta$ , then  $\text{keep } \sigma$  is a substitution between*  
776 *contexts  $\Gamma \triangleright A[\sigma]$  and  $\Delta \triangleright A$  for any type  $A$  where the last term is just a de Bruijn index 0.*  
777 *This occurs when defining  $(\Pi^P A B)[\sigma]$  as  $\Pi^P (A[\sigma]) (B[\text{keep } \sigma])$ .*

778 *We define the identity substitution on a context  $\Gamma$  as follows, where  $\text{keep}^{\|\Gamma\|}$  is  $\text{keep}$*   
779 *iterated  $\|\Gamma\|$  times:*

$$\begin{aligned} 780 \quad & \text{id}^P : \text{Con}^P \rightarrow \text{Sub}^P \\ 781 \quad & := \lambda \Gamma. \text{keep}^{\|\Gamma\|} \epsilon^P \\ 782 \end{aligned}$$

783 ► **Lemma 32** (Exchange laws for weakening and substitution). *Below,  $Z$  denotes either a term*  
784 *or a type and  $\text{keep}^n$  denotes the  $n$  times iteration of  $\text{keep}$ .*

$$785 \quad \text{wk-wk} \quad : \text{wk}_{n+p+1}(\text{wk}_n Z) = \text{wk}_n(\text{wk}_{n+p} Z)$$

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786  $\text{wk}_n[n] : (\text{wk}_n Z)[n := z] = Z$   
 787  $\text{wk}_+[] : (\text{wk}_{n+p+1} Z)[n := \text{wk}_p u] = \text{wk}_{n+p}(Z[n := u])$   
 788  $\text{wk}[+] : (\text{wk}_n Z)[n + p + 1 := u] = \text{wk}_n(Z[n + p := u])$   
 789  $[][+] : Z[n := u][n + p := z] = Z[n + p + 1 := z][n := (u[p := z])]$   
 790  $[\text{keep}^n\text{-wk}_0] : Z[\text{keep}^n(\text{wk}_0 \sigma)] = \text{wk}_n(Z[\text{keep}^n \sigma])$   
 791  $\text{wk}_n[\text{keep}^n\text{-},] : (\text{wk}_n Z)[\text{keep}^n(\sigma, {}^p u)] = Z[\text{keep}^n \sigma]$   
 792  $[:=][\text{keep}] : Z[n := u][\text{keep}^n \sigma] = Z[\text{keep}^{n+1} \sigma][n := u[\sigma]]$   
 793

794 **Proof.** By induction on the untyped syntax. ◀

795 ▶ **Corollary 33.** *As particular cases for  $n = 0$ , we get*

796  $\circ \text{wk}_0 : \sigma \circ (\text{wk}_0 \tau) = \text{wk}_0(\sigma \circ \tau)$   
 797  $\text{wk}_0 \circ, : \text{wk}_0 \sigma \circ (\tau, {}^p t) = \sigma \circ \tau$   
 798  $[\text{wk}_0] : t[\text{wk}_0 \sigma] = \text{wk}_0(t[\sigma])$   
 799  $\text{wk}_0[,] : (\text{wk}_0 Z)[\sigma, {}^p u] = Z[\sigma]$   
 800  $[0 :=][] : Z[0 := u][\sigma] = Z[\text{keep} \sigma][0 := u[\sigma]]$   
 801

▶ **Lemma 34** (Composition functor law and associativity).

802  $[][] : Z[\sigma][\tau] = Z[\sigma \circ \tau]$   
 803  $\text{ass} : (\sigma \circ \delta) \circ \tau = \sigma \circ (\delta \circ \tau)$   
 804

805 We defer laws for identity substitutions after the definition of the typing judgments, as  
 806 the proofs require that some inputs are well-typed.

### 807 4.1.2 Typing Relations and Their Properties

808 ▶ **Definition 35** (Typing relations). *The typing relations are defined as the following inductive*  
 809 *type indexed over the untyped syntax:*

810 (1) *Substitution calculus*

811  $- \vdash : \text{Con}^P \rightarrow \text{Set}$   
 812  $- \vdash - : \text{Con}^P \rightarrow \text{Ty}^P \rightarrow \text{Set}$   
 813  $- \vdash - \in_{\mathbb{N}} - : \text{Con}^P \rightarrow \mathbb{N} \rightarrow \text{Ty}^P \rightarrow \text{Set}$   
 814  $- \vdash - \in - : \text{Con}^P \rightarrow \text{Tm}^P \rightarrow \text{Ty}^P \rightarrow \text{Set}$   
 815  $- \vdash - \Rightarrow - : \text{Con}^P \rightarrow \text{Sub}^P \rightarrow \text{Con}^P \rightarrow \text{Set}$   
 816  $\cdot^w : \cdot^P \vdash$   
 817  $\epsilon^w : \Gamma \vdash \epsilon^P \Rightarrow \cdot^P$   
 818  $- \triangleright^w - : (\Gamma \vdash) \rightarrow (\Gamma \vdash A) \rightarrow \Gamma \triangleright^P A \vdash$   
 819  $,^w : (\Delta \vdash) \rightarrow (\Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow (\Delta \vdash A) \rightarrow (\Gamma \vdash t \in A[\sigma]) \rightarrow \Gamma \vdash \sigma, {}^p t \Rightarrow \Delta \triangleright^P A$   
 820  $\text{var}^w : (\Gamma \vdash n \in_{\mathbb{N}} A) \rightarrow \Gamma \vdash \text{var}^P n \in A$   
 821  $0^w : (\Gamma \vdash) \rightarrow (\Gamma \vdash A) \rightarrow \Gamma \triangleright^P A \vdash 0 \in_{\mathbb{N}} \text{wk}^P A$   
 822  $S^w : (\Gamma \vdash) \rightarrow (\Gamma \vdash A) \rightarrow (\Gamma \vdash n \in_{\mathbb{N}} A) \rightarrow (\Gamma \vdash B) \rightarrow \Gamma \triangleright^P B \vdash S n \in_{\mathbb{N}} \text{wk}^P A$   
 823

(2) *Universe*

824  $\mathsf{U}^w : (\Gamma \vdash) \rightarrow \Gamma \vdash \mathsf{U}^P$   
825  $\mathsf{El}^w : (\Gamma \vdash) \rightarrow (\Gamma \vdash a \in \mathsf{U}^P) \rightarrow \Gamma \vdash \mathsf{El}^P a$   
826 (3) *Inductive parameters*

827  $\mathsf{\Pi}^w : (\Gamma \vdash) \rightarrow (\Gamma \vdash a \in \mathsf{U}^P) \rightarrow (\Gamma \triangleright^P \mathsf{El}^P a \vdash B) \rightarrow \Gamma \vdash \mathsf{\Pi}^P a B$   
828  $\mathsf{app}^w : (\Gamma \vdash) \rightarrow (\Gamma \vdash a \in \mathsf{U}^P) \rightarrow (\Gamma \triangleright^P \mathsf{El}^P a \vdash B)$   
829  $\rightarrow (\Gamma \vdash t \in \mathsf{\Pi}^P a B) \rightarrow (\Gamma \vdash u \in \mathsf{El}^P a) \rightarrow \Gamma \vdash t \circledast^P u \in B[0 := u]$   
830 (4) *External parameters*

831  $\hat{\mathsf{\Pi}}^w : (T : \mathsf{Set}) \rightarrow (A : T \rightarrow \mathsf{T}_Y^P) \rightarrow (\Gamma \vdash) \rightarrow ((t : T) \rightarrow \Gamma \vdash A t) \rightarrow \Gamma \vdash \hat{\mathsf{\Pi}}^P T A$   
832  $\mathsf{app}^w : (T : \mathsf{Set}) \rightarrow (A : T \rightarrow \mathsf{T}_Y^P) \rightarrow (\Gamma \vdash) \rightarrow ((t : T) \rightarrow \Gamma \vdash A t)$   
833  $\rightarrow (\Gamma \vdash t \in \hat{\mathsf{\Pi}}^P T A) \rightarrow (u : T) \rightarrow \Gamma \vdash t \hat{\circledast} u \in A u$

835 There is possibility of redundancy in the arguments of the constructors. Here, we are  
836 “paranoid” (nomenclature from [9]), so that we get more inductive hypotheses when performing  
837 recursion.

► **Lemma 36** (Weakening preserves typing).

838  $\mathsf{wk}_0^w : (\Gamma \vdash A) \rightarrow (\Gamma; \Delta \vdash) \rightarrow \Gamma \triangleright^P A; \mathsf{wk}_0 \Delta \vdash$   
839  $\mathsf{wk}^w : (\Gamma \vdash A) \rightarrow (\Gamma; \Delta \vdash B) \rightarrow \Gamma \triangleright^P A; \mathsf{wk}_0 \Delta \vdash \mathsf{wk}_{\|\Delta\|} B$   
840  $\mathsf{wk}^w : (\Gamma \vdash A) \rightarrow (\Gamma; \Delta \vdash t \in B) \rightarrow \Gamma \triangleright^P A; \mathsf{wk}_0 \Delta \vdash \mathsf{wk}_{\|\Delta\|} t \in \mathsf{wk}_{\|\Delta\|} B$   
841  $\mathsf{wk}_0^w : (\Gamma \vdash A) \rightarrow (\Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow \Gamma \triangleright^P A \vdash \mathsf{wk}_0 \sigma \Rightarrow \Delta$   
842

843 **Proof.** By mutual induction on the typing relations. ◀

844 We show that judgments are stable under substitution.

► **Lemma 37** (Substitution preserves typing).

845  $\mathsf{[]}^w : (\Gamma \vdash) \rightarrow (\Delta \vdash A) \rightarrow (\Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow \Gamma \vdash A[\sigma]$   
846  $\mathsf{[]}^w : (\Gamma \vdash) \rightarrow (\Delta \vdash t \in A) \rightarrow (\Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow \Gamma \vdash t[\sigma] \in A[\sigma]$   
847  $\mathsf{[]}^w : (\Delta \vdash x \in_{\mathbb{N}} A) \rightarrow (\Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow \Gamma \vdash x[\sigma] \in A[\sigma]$   
848  $\circ^w : (\Gamma \vdash) \rightarrow (\Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow (\Delta \vdash \tau \Rightarrow E) \rightarrow \Gamma \vdash \tau \circ \sigma \Rightarrow E$   
849

850 **Proof.** By mutual induction on the typing relations. ◀

851 We show the category and functor laws involving identity substitution for well-formed  
852 types, terms and substitutions.

► **Lemma 38** (Identity laws).

853  $[\mathsf{id}^P] : (\Gamma \vdash A) \rightarrow A[\mathsf{id}^P \Gamma] = A$   
854  $[\mathsf{id}^P] : (\Gamma \vdash x \in_{\mathbb{N}} A) \rightarrow x[\mathsf{id}^P \Gamma] = Vx$   
855  $[\mathsf{id}^P] : (\Gamma \vdash t \in A) \rightarrow t[\mathsf{id}^P \Gamma] = t$   
856  $\mathsf{idr}^P : (\Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow \sigma \circ \mathsf{id}^P \Gamma = \sigma$   
857  $\mathsf{idl}^P : (\Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow \mathsf{id}^P \Delta \circ \sigma = \sigma$   
858

859 Finally, we show that the identity substitution itself is well-typed:

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► **Lemma 39** (Typing for the identity substitution).

$$\text{id}^w : (\Gamma \vdash) \rightarrow \Gamma \vdash \text{id}^p \Gamma \Rightarrow \Gamma$$

► **Definition 40** (Proposition). *A type is a proposition, or proof-irrelevant, if it has at most one inhabitant.*

$$\text{is-prop } T := (a : T) \rightarrow (a' : T) \rightarrow a = a'$$

► **Lemma 41** (Proof irrelevance of typing relations).

$$\text{Con}^{wp} : \text{is-prop } (\Gamma \vdash)$$

$$\text{Ty}^{wp} : \text{is-prop } (\Gamma \vdash A)$$

$$\text{Var}^{wp} : \text{is-prop } (\Gamma \vdash x \in_{\mathbb{N}} A)$$

$$\text{Tm}^{wp} : \text{is-prop } (\Gamma \vdash t \in A)$$

$$\text{Sub}^{wp} : \text{is-prop } (\Gamma \vdash \sigma \Rightarrow \Delta)$$

► **Lemma 42** (Unicity of typing).

$$\text{Tm}^w = \text{Ty} : (\Gamma \vdash t \in A) \rightarrow (\Gamma \vdash t \in B) \rightarrow A = B$$

$$\text{Var}^w = \text{Ty} : (\Gamma \vdash x \in_{\mathbb{N}} A) \rightarrow (\Gamma \vdash x \in_{\mathbb{N}} B) \rightarrow A = B$$

Let us consider for instance the application constructor  $\text{app}^w$ : for a codomain type  $B$  it yields an overall type  $C = B[0 := u]$  for an application. Even if  $C$  is known a priori, there may be another  $B$  for which  $B[0 := u] = C$ , possibly leading to many proofs that  $t @^p u$  has type  $C$ . Unicity of typing solves this issue, as  $B$  is then uniquely determined by the type  $\Pi^p A B$  of  $t$ .

### 4.1.3 The Syntax as a Signature Algebra

► **Definition 43** (Syntax for the theory of signatures). *We define the syntax as an element of  $\text{SignAlg}$  by pairs of untyped syntax and typing relations:*

$$\text{Con}^l := \sum_{\Gamma} \Gamma \vdash$$

$$\text{Ty}^l(\Gamma, \Gamma^w) := \sum_A \Gamma \vdash A$$

$$\text{Tm}^l(\Gamma, \Gamma^w)(A, A^w) := \sum_t \Gamma \vdash t \in A$$

$$\text{Sub}^l(\Gamma, \Gamma^w)(\Delta, \Delta^w) := \sum_{\sigma} \Gamma \vdash \sigma \Rightarrow \Delta$$

*The other fields are given straightforwardly. Regarding the equations, it is enough to prove them only for the untyped syntactic part: as we argued in Lemma 41, the proofs of typing judgments are automatically equal.*

► **Remark 44.** Up until Definition 43, UIP is not used. Function extensionality on the other hand is necessary because the untyped metatheoretic  $\Pi$  takes a metatheoretic function as an argument. An example induction step that uses function extensionality is in Lemma 38, in particular in the case  $(\hat{\Pi} T A)[\text{id}] = \hat{\Pi} T A$ . Indeed, the left hand side of this equation is equal to  $\hat{\Pi} T (\lambda t. (A t)[\text{id}])$  by definition, whereas the induction hypothesis states that  $(t : T) \rightarrow (A t)[\text{id}] = A t$ .

## 4.2 Relating the Syntax to a Signature Algebra

It remains to show that the constructed syntax  $\mathbb{I}$  is the initial signature algebra. To achieve this, we first define a relation between the syntax and any signature algebra, then show that the relation is functional, which lets us extract a signature morphism from the relation.

This approach is an alternative presentation of Streicher’s method for interpreting preterms in an arbitrary model of type theory [30]. Streicher first defines a family of partial maps from the presyntax to a model, then shows that the maps are total on well-formed input. We have found that our approach is significantly easier to formalise. To see why, note that the right notion of partial map in type theory, which does not presume decidable definedness, is fairly heavyweight:

$$\text{PartialMap } A B := A \rightarrow ((P : \text{Set}) \times \text{is-prop } P \times (P \rightarrow B))$$

In the above definition, we notice an opportunity for converting a fibered definition of a type family into an indexed one; if we drop the propositionality for  $P$  for the time being, we may equivalently return a family indexed over  $B$ , which is exactly just a relation  $A \rightarrow B \rightarrow \text{Set}$ . Then, in our approach, we recover uniqueness of  $P$  through the functionality requirement on the  $A \rightarrow B \rightarrow \text{Set}$  relation, and totality by already assuming well-formedness of  $A$ . In type theory, using indexed families instead of display maps is a common convenience, since the former are natively supported, while the latter require carrying around auxiliary propositional equalities.

### 4.2.1 The Functional Relation

Given an  $M : \text{SignAlg}$ , we define the functional relation satisfied by the  $\llbracket - \rrbracket : \text{SignMor} \mathbb{I} M$  by recursion on the typing judgments. If  $\Gamma$  is a context in  $\mathbb{I}$  and  $\Gamma^M$  is a semantic context (i.e. a context in the signature algebra  $M$ ), we want to define a type  $\Gamma \sim \Gamma^M$  equivalent to  $\llbracket \Gamma \rrbracket = \Gamma^M$ . Of course, at this stage,  $\llbracket - \rrbracket$  is not available yet since the point of defining this relation is to construct  $\llbracket - \rrbracket$  in the end.

For a type  $A$  in a context  $\Gamma$ , we want to define a relation  $A \sim A^M$  that is equivalent to  $\llbracket A \rrbracket = A^M$ . For this equality to make sense, the semantic type  $A^M$  must live in the semantic context  $\llbracket \Gamma \rrbracket$ . But again,  $\llbracket - \rrbracket$  is not yet available at this stage. Exploiting the expected equivalence between  $\Gamma \sim \Gamma^M$  and  $\llbracket \Gamma \rrbracket = \Gamma^M$ , we may consider defining  $A \sim A^M$  under the hypotheses that  $A^M$  lies in a semantics context  $\Gamma^M$  which is related to  $\Gamma$ . Then, the type of the relation for types is

$$(\Gamma : \text{Con}^{\mathbb{I}}) \rightarrow (A : \text{Ty}^{\mathbb{I}} \Gamma) \rightarrow (\Gamma^M : \text{Con}^M) \rightarrow (\Gamma \sim \Gamma^M) \rightarrow (A^M : \text{Ty}^M \Gamma^M) \rightarrow \text{Set}$$

Note that the relation on contexts must be defined mutually with the relation on types (see for example the case of context extension), but here, the relation on contexts appears as the type of an argument of the relation on types. We want to avoid using such recursive-recursive definitions as they are not allowed by the elimination principles of indexed inductive types, so we instead just remove the hypothesis  $\Gamma \sim \Gamma^M$  from the list of arguments. We proceed similarly for terms and substitutions. Actually, this removal is not without harm. For example, consider relating the empty substitution  $\Gamma \vdash \epsilon^P \Rightarrow \cdot^P$  to a semantic substitution  $\sigma^M : \text{Sub}^M \Gamma^M \Delta^M$ . We would like to assert that  $\sigma^M$  equals the empty semantic substitution  $\epsilon^M$ , but this is not possible because typechecking requires that  $\Delta^M$  is the empty semantic context. This is precisely what was ensured by the hypothesis  $\cdot^{\mathbb{I}} \sim \Delta^M$  we removed. Our way out here is to state that  $\sigma^M$  is related to the empty substitution if the target semantic context  $\Delta^M$  is empty, and, acknowledging this equality, if  $\sigma^M$  is the empty substitution.



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939 Let us mention another possible solution for avoiding recursion-recursion: defining  
 940  $A \sim A^M$  so that it is equivalent to  $(e : \llbracket \Gamma \rrbracket = \Gamma^M) \times (\llbracket A \rrbracket =_{e\#} A^M)$ . In comparison, our  
 941 approach yields a more concise definition of the relation. For example, in the case of the  
 942 universe, this would lead to the definition  $\mathsf{U}^w \Gamma^w \sim A^M := (\Gamma^w \sim \Gamma^M) \times (A^M = \mathsf{U}^M)$ ,  
 943 instead of our definition  $\mathsf{U}^w \Gamma^w \sim A^M := (A^M = \mathsf{U}^M)$ .

944 ► **Definition 45** (Relation  $- \sim -$ ). *We define the relation by recursion on the typing judgments.*  
 945 *In the following, we abbreviate  $A^w \sim_{\Gamma^M} A^M$  by  $A^w \sim A^M$  when  $\Gamma^M$  can be inferred, and*  
 946 *similarly for terms and substitutions.*

947 (1) *Substitution calculus*

$$\begin{array}{ll}
 948 & - \sim - & : \Gamma \vdash \rightarrow \mathsf{Con}^M \rightarrow \mathsf{Set} \\
 949 & - \sim_{\Gamma^M} - & : \Gamma \vdash A \rightarrow \mathsf{Ty}^M \Gamma^M \rightarrow \mathsf{Set} \\
 950 & - \sim_{\Gamma^M \vdash A^M} - & : \Gamma \vdash t \in A \rightarrow \mathsf{Tm}^M \Gamma^M A^M \rightarrow \mathsf{Set} \\
 951 & - \sim_{\Gamma^M \vdash A^M} - & : \Gamma \vdash x \in_{\mathbb{N}} A \rightarrow \mathsf{Tm}^M \Gamma^M A^M \rightarrow \mathsf{Set} \\
 952 & - \sim_{\Gamma^M \Rightarrow \Delta^M} - & : \Gamma \vdash \sigma \Rightarrow \Delta \rightarrow \mathsf{Sub}^M \Gamma^M \Delta^M \rightarrow \mathsf{Set} \\
 953 & & \\
 954 & \cdot^w \sim \Gamma^M & := \Gamma^M = \cdot^M \\
 955 & \epsilon^w \sim_{\Gamma^M \Rightarrow E^M} \delta^M & := (e_E : E^M = \cdot^M) \times (\delta^M =_{e_E\#} \epsilon^M) \\
 956 & (\Gamma^w \triangleright^w A^w) \sim \Delta^M & := \sum_{\Gamma^M} (\Gamma^w \sim \Gamma^M) \times \sum_{A^M} (A^w \sim A^M) \times \\
 957 & & (\Delta^M = \Gamma^M \triangleright^M A^M) \\
 958 & ({}^w \Delta^w \sigma^w A^w t^w) \sim_{\Gamma^M \Rightarrow E^M} \delta^M & := \sum_{\Delta^M} (\Delta^w \sim \Delta^M) \times \sum_{\sigma^M} (\sigma^w \sim \sigma^M) \times \\
 959 & & \sum_{A^M} (A^w \sim A^M) \times \sum_{t^M} (t^w \sim t^M) \times \\
 960 & & (e_E : E^M = \Delta^M \triangleright^M A^M) \times \\
 961 & & (\delta =_{e_E\#} \sigma^M, {}^M t^M) \\
 962 & \mathsf{var}^w x^w \sim t^M & := x^w \sim t^M \\
 963 & \mathsf{O}^w \Gamma^w A^w \sim_{\Delta^M \vdash B^M} t^M & := \sum_{\Gamma^M} (\Gamma^w \sim \Gamma^M) \times \sum_{A^M} (A^w \sim A^M) \times \\
 964 & & (e_\Delta : \Delta^M = \Gamma^M \triangleright^M A^M) \times \\
 965 & & (e_B : B^M =_{e_\Delta\#} \mathsf{wk}^M A^M) \times (t^M =_{e_\Delta, e_B\#} \mathsf{vz}^M) \\
 966 & \mathsf{S}^w \Gamma^w A^w n^w B^w \sim_{\Delta^M \vdash C^M} t^M & := \sum_{\Gamma^M} (\Gamma^w \sim \Gamma^M) \times \sum_{A^M} (A^w \sim A^M) \times \\
 967 & & \sum_{B^M} (B^w \sim B^M) \times \sum_{n^M} (n^w \sim n^M) \times \\
 968 & & (e_\Delta : \Delta^M = \Gamma^M \triangleright^M B^M) \times \\
 969 & & (e_C : C^M =_{e_\Delta\#} \mathsf{wk}^M A^M) \times \\
 970 & & (t^M =_{e_\Delta, e_C\#} \mathsf{vs}^M n^M) \\
 971 & (2) *Universe* & \\
 972 & \mathsf{U}^w \Gamma^w A^w \sim A^M & := A^M = \mathsf{U}^M
 \end{array}$$

$$973 \quad \text{El}^w \Gamma^w a^w \sim A^M \quad := \sum_{a^M} (a^w \sim a^M) \times (A^M = \text{El}^M a^M)$$

974 (3) *Inductive parameters*

$$975 \quad \Pi^w \Gamma^w a^w B^w \sim C^M \quad := \sum_{a^M} (a^w \sim a^M) \times \sum_{B^M} (B^w \sim B^M) \\ 976 \quad \times (C^M = \Pi^M a^M B^M)$$

$$977 \quad \text{app}^w \Gamma^w a^w B^w t^w u^w \sim_{\Gamma^M \vdash C^M} x^M := \sum_{a^M} (a^w \sim a^M) \times \sum_{B^M} (B^w \sim B^M) \times \\ 978 \quad \sum_{t^M} (t^w \sim t^M) \times \sum_{u^M} (u^w \sim u^M) \times \\ 979 \quad (e_C : C^M = B^M [0 := u^M]^M) \times \\ 980 \quad (x^M =_{e_C \#} t^M \hat{\otimes}^M u^M)$$

981 (4) *Metatheoretic parameters*

$$982 \quad \hat{\Pi}^w T A \Gamma^w A^w \sim B^M \quad := \sum_{A^M} ((t : T) \rightarrow A^w \sim A^M t) \times (B^M = \hat{\Pi}^M T A^M)$$

$$983 \quad \text{a}\hat{\text{p}}^w T A \Gamma^w A^w t^w u \sim_{\Gamma^M \vdash B^M} x^M := \sum_{A^M} ((t : T) \rightarrow A^w \sim A^M t) \times \sum_{t^M} (t^w \sim t^M) \times \\ 984 \quad (e_B : B^M = \hat{\Pi}^M T A^M) \times (x^M =_{e_B \#} t^M \hat{\otimes}^M u)$$

## 986 4.2.2 Right Uniqueness

987 Next, we prove that this relation is right unique. Then, we show that the relation is stable  
988 under weakening and substitution. The last step consists of showing left-totality, i.e. giving a  
989 related semantic counterpart to any well-typed context, type or term. Everything is proved  
990 by induction on the typing judgments.

991 ► **Lemma 46** (Right uniqueness). *The relation is right unique in the following sense:*

$$992 \quad \Sigma \sim^P : (\Gamma^w : \Gamma \vdash) \quad \rightarrow \text{is-prop} \left( \sum_{\Gamma^M} \Gamma^w \sim \Gamma^M \right)$$

$$993 \quad \Sigma \sim^P : (A^w : \Gamma \vdash A) \quad \rightarrow \text{is-prop} \left( \sum_{A^M} A^w \sim A^M \right)$$

$$994 \quad \Sigma \sim^P : (t^w : \Gamma \vdash t \in A) \quad \rightarrow \text{is-prop} \left( \sum_{t^M} t^w \sim t^M \right)$$

$$995 \quad \Sigma \sim^P : (x^w : \Gamma \vdash x \in_{\mathbb{N}} A) \rightarrow \text{is-prop} \left( \sum_{x^M} x^w \sim x^M \right)$$

$$996 \quad \Sigma \sim^P : (\sigma^w : \Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow \text{is-prop} \left( \sum_{\sigma^M} \sigma^w \sim \sigma^M \right)$$

998 ► **Remark 47.** We mentioned that in order to avoid a recursive-recursive definition, we  
999 removed some hypotheses in the list of arguments of the relation. Such hypotheses are  
1000 sometimes missed, for example in the case of the empty substitution or in the case of  
1001 variables, requiring us to state additional equalities. Because of this, we need UIP to show  
1002 that  $\sum_{\Gamma^M} \Gamma \sim \Gamma^M$  and  $\sum_{A^M} A \sim A^M$  are propositions. One may think that the use of  
1003 UIP could be avoided by using the alternative verbose definition that we suggested before,  
1004 expecting that  $\sum_{\Gamma^M} \sum_{A^M} A \sim A^M$ , rather than  $\sum_{A^M} A \sim A^M$ , is a proposition. However,  
1005 this is not obvious. For example, we were not able to define  $\text{El}^w \Gamma^w a^w \sim A^M$  in this fashion.

1006 In related work, Hugunin investigated constructing IITs without UIP [19] in cubical type  
 1007 theory, and demonstrated that well-formedness predicates used in syntactic algebras can  
 1008 subtly break in that setting. Also, while Hugunin does not use UIP, he only shows the  
 1009 simple version version of dependent elimination for the constructed IITs. Hence, the question  
 1010 whether IITs are reducible to inductive types in a UIP-free setting remains open.

### 1011 4.2.3 Stability under Weakening and Substitution

1012 Stability of the relation under weakening must be proved before stability under substitution.  
 1013 Indeed, in the proof of stability under substitution, the  $\Pi$  case requires to show that  
 1014  $\Pi(A[\sigma])(B[\text{keep}\sigma])$  is related to  $\Pi^M(A^M[\sigma]^M)(B^M[\text{keep}^M\sigma]^M)$ . We would like to apply  
 1015 the induction hypothesis, so we need to show that  $\text{keep}\sigma = \text{wk}_0\sigma, \text{p var}^P 0$  is related to  
 1016  $\text{keep}^M\sigma^M$ , knowing that  $\sigma$  is related to  $\sigma^M$ . As  $\text{keep}\sigma = \text{wk}_0\sigma, \text{p var}^P 0$ , we are left with  
 1017 showing that  $\text{wk}_0\sigma = \sigma \circ \text{wk}$  (where  $\text{wk} = \text{wk}_0 \text{id}$ ) relates to its semantic counterpart.

1018 To achieve that, we show that  $\text{wk}_0$  preserves the relation, for types and terms. This  
 1019 requires to generalise a bit and show that  $\text{wk}_n$  preserves the relation, as  $\text{wk}_0(\Pi AB) =$   
 1020  $\Pi(\text{wk}_0 A)(\text{wk}_1 B)$ . But remember that  $\text{wk}_n$  performs a weakening in the middle of a context,  
 1021 so we first define the semantic counterpart of this:

$$\begin{aligned} 1022 \quad \Sigma \text{wk}_0 \Rightarrow^M : (\Gamma^w : \Gamma \vdash) &\rightarrow (\Gamma^w \sim \Gamma^M) \rightarrow \\ 1023 \quad &(\Delta^w : \Gamma; \Delta \vdash) \rightarrow (\Delta^w \sim \Delta^M) \rightarrow \\ 1024 \quad &(A^M : \text{Ty}^M \Gamma^M) \rightarrow (\Delta'^M : \text{Con}^M) \times (\text{Sub}^M \Delta'^M \Delta^M) \\ 1025 \end{aligned}$$

1026 Here,  $\Delta'^M$  should be thought of as the context  $\Delta^M$  where the weakening has happened in  
 1027 the middle of the context, by inserting the type  $A^M$  after the prefix  $\Gamma^M$ . Indeed, we expect  
 1028 that  $\Gamma^M$  is a prefix of  $\Delta^M$ , as  $\Gamma^M$  relates to  $\Gamma$  and  $\Delta^M$  to  $\Gamma; \Delta$ . The substitution from  
 1029 the weakened context to the original one must be computed at the same time otherwise the  
 1030 induction hypothesis is not strong enough. Then, we separate the two components under the  
 1031 same (implicit) hypotheses:

$$\begin{aligned} 1032 \quad \text{wk}_0^M A^M \Delta^M : \text{Con}^M \\ 1033 \quad \text{wk} \Rightarrow^M A^M \Delta^M : \text{Sub}^M(\text{wk}_0^M A^M \Delta^M) \Delta^M \\ 1034 \end{aligned}$$

1035 Note that if recursion-recursion is available in the metatheory,  $\text{wk}_0^M$  and  $\text{wk} \Rightarrow^M$  can be  
 1036 defined directly without introducing this intermediate  $\Sigma \text{wk}_0 \Rightarrow^M$ .

1037 ► **Lemma 48** (Weakening preserves typing). *The following statements are all under the*  
 1038 *hypotheses*  $(\Gamma^w : \Gamma \vdash)$ ,  $(\Gamma^w \sim \Gamma^M)$ ,  $(\Delta^w : \Gamma; \Delta \vdash)$ ,  $(\Delta^w \sim \Delta^M)$ ,  $(A^w : \Gamma \vdash A)$ , and  
 1039  $(A^w \sim A^M)$ .

$$\begin{aligned} 1040 \quad \text{wk}_0 \sim : \text{wk}_0^w A^w \Delta^w &\sim \text{wk}_0^M A^M \Delta^M \\ 1041 \quad \text{wk} \sim : (T^w : \Gamma; \Delta \vdash T) &\rightarrow (T^w \sim T^M) \rightarrow \text{wk}^w A^w T^w \sim T^M [\text{wk}_0 \Rightarrow^M A^M \Delta^M]^M \\ 1042 \quad \text{wk} \sim : (t^w : \Gamma; \Delta \vdash t \in T) &\rightarrow (t^w \sim t^M) \rightarrow \text{wk}^w A^w t^w \sim t^M [\text{wk}_0 \Rightarrow^M A^M \Delta^M]^M \\ 1043 \quad \text{wk} \sim : (x^w : \Gamma; \Delta \vdash t \in_{\mathbb{N}} T) &\rightarrow (x^w \sim x^M) \rightarrow \text{wk}^w A^w x^w \sim x^M [\text{wk}_0 \Rightarrow^M A^M \Delta^M]^M \\ 1044 \end{aligned}$$

1045 **Proof.** By mutual induction on the typing judgments. ◀

► **Lemma 49** (Weakening of substitution preserves  $- \sim -$ ).

$$\begin{aligned} 1046 \quad \text{wk}_0 \sim : (\Gamma^w : \Gamma \vdash) &\rightarrow (\Gamma^w \sim \Gamma^M) \rightarrow (A^w : \Gamma \vdash A) \rightarrow (A^w \sim A^M) \rightarrow \\ 1047 \quad &(\sigma^w : \Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow (\sigma^w \sim \sigma^M) \rightarrow (\text{wk}_0^w A^w \sigma^w \sim \sigma^M \circ^M \text{wk}^M) \\ 1048 \end{aligned}$$

1049 **Proof.** By induction on the typing judgments. ◀

1050 Next, we want to prove that given any well-typed substitution  $\sigma : \text{Sub } \Gamma \Delta$  and semantic  
1051 contexts  $\Gamma^M$  and  $\Delta^M$ , related to  $\Gamma$  and  $\Delta$ , respectively, there is a semantic substitution  
1052 related to  $\sigma$ . In the extension case  $\Gamma \vdash \sigma, {}^p t \Rightarrow \Delta \triangleright^p A$ , the induction hypothesis provides  
1053  $\sigma^M, \Delta^M, A^M$  related to their syntactic counterpart. However, the premises of the induction  
1054 hypothesis for getting a relevant  $t^M$  require showing that the type  $A^M[\sigma^M]^M$  is related to  
1055 the syntactic type  $A[\sigma]$ .

► **Lemma 50** (Preservation of the relation by substitution for variables).

$$1056 \quad \llbracket \sim : (\sigma^w : \Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow (\sigma^w \sim \sigma^M) \rightarrow (x^w : \Delta \vdash x \in_{\mathbb{N}} A) \rightarrow (x^w \sim x^M) \rightarrow$$

$$1057 \quad \llbracket^w x^w \sigma^w \sim x^M[\sigma^M]^M$$

1059 **Proof.** Induction on typing. ◀

1060 ► **Lemma 51** (Preservation of the relation by substitution for types and terms). *We assume*  
1061  $(\sigma^w : \Gamma \vdash \sigma \Rightarrow \Delta)$ ,  $(\sigma^w \sim \sigma^M)$ ,  $(\Gamma^w : \Gamma \vdash)$ ,  $(\Gamma^w \sim \Gamma^M)$ ,  $(\Delta^w : \Delta \vdash)$ , and  $(\Delta^w \sim \Delta^M)$ :

$$1062 \quad \llbracket \sim : (A^w : \Delta \vdash A) \rightarrow (A^w \sim A^M) \rightarrow \llbracket^w \Gamma^w A^w \sigma^w \sim A^M[\sigma^M]^M$$

$$1063 \quad \llbracket \sim : (t^w : \Delta \vdash t \in A) \rightarrow (t^w \sim t^M) \rightarrow \llbracket^w \Gamma^w t^w \sigma^w \sim t^M[\sigma^M]^M$$

1065 **Proof.** Mutual induction on typing. ◀

1066 ► **Lemma 52** (The relation is preserved by composition and identity). *We have the same*  
1067 *hypotheses as in the previous lemma.*

$$1068 \quad \circ \sim : (E^w : E \vdash) \rightarrow (E^w \sim E^M) \rightarrow (\delta^w : \Delta \vdash \delta \Rightarrow E) \rightarrow (\delta^w \sim \delta^M) \rightarrow$$

$$1069 \quad \circ^w \Gamma^w \delta^w \sigma^w \sim \delta^M \circ^M \sigma^M$$

$$1070 \quad \text{id} \sim : (\Gamma^w : \Gamma \vdash) \rightarrow (\Gamma^w \sim \Gamma^M) \rightarrow \text{id}^w \Gamma^w \sim \text{id}_{\Gamma^M}$$

#### 1072 4.2.4 Left-Totality and the Recursor

1073 Before defining the recursor  $\llbracket - \rrbracket$ , we show left totality of the relation: that is, the image of a  
1074 syntactic context is a unique semantic context which is related to it, and similarly for types  
1075 and terms.

► **Lemma 53** (Left totality of  $- \sim -$ ).

$$1076 \quad \Sigma \text{Con} \sim : (\Gamma^w : \Gamma \vdash) \rightarrow \sum_{\Gamma^M} \Gamma^w \sim \Gamma^M$$

$$1077 \quad \Sigma \text{Ty} \sim : (\Gamma^w : \Gamma \vdash) \rightarrow (\Gamma^w \sim \Gamma^M) \rightarrow (A^w : \Gamma \vdash A) \rightarrow (A^M : \text{Ty}^M \Gamma^M) \times (A^w \sim A^M)$$

$$1078 \quad \Sigma \text{Tm} \sim : (\Gamma^w : \Gamma \vdash) \rightarrow (\Gamma^w \sim \Gamma^M) \rightarrow (A^w : \Gamma \vdash A) \rightarrow (A^w \sim A^M) \rightarrow$$

$$1079 \quad (t^w : \Gamma \vdash t \in A) \rightarrow (t^M : \text{Tm}^M \Gamma^M A^M) \times (t^w \sim t^M)$$

$$1080 \quad \Sigma \text{Var} \sim : (\Gamma^w : \Gamma \vdash) \rightarrow (\Gamma^w \sim \Gamma^M) \rightarrow (A^w : \Gamma \vdash A) \rightarrow (A^w \sim A^M) \rightarrow$$

$$1081 \quad (x^w : \Gamma \vdash x \in_{\mathbb{N}} A) \rightarrow (x^M : \text{Tm}^M \Gamma^M A^M) \times (x^w \sim x^M)$$

$$1082 \quad \Sigma \text{Sub} \sim : (\Gamma^w : \Gamma \vdash) \rightarrow (\Gamma^w \sim \Gamma^M) \rightarrow (\Delta^w : \Delta \vdash) \rightarrow (\Delta^w \sim \Delta^M) \rightarrow$$

$$1083 \quad (\sigma^w : \Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow (\sigma^M : \text{Sub}^M \Gamma^M \Delta^M) \times (\sigma^w \sim \sigma^M)$$

## 6:28 For Finitary Induction-Induction, Induction is Enough

1085 **Proof.** By induction on well-formedness judgments. The right uniqueness of the relation is  
 1086 used in this induction. ◀

1087 ▶ **Lemma 54** (Existence of the recursor). *For any  $M : \text{SignAlg}$  there is a  $\llbracket - \rrbracket : \text{SignMor } \mathbb{I} M$*   
 1088 *where  $\mathbb{I}$  is given in Definition 43.*

1089 **Proof.** Using the first projections in the construction of the left-totality construction and  
 1090 right uniqueness. ◀

### 1091 4.3 Uniqueness

1092 It remains to show that the morphism constructed in Lemma 54 is unique. We exploit right  
 1093 uniqueness of the relation: it is enough to show that any such morphism maps a syntactic  
 1094 context to a related semantic context, and similarly for types and terms.

1095 ▶ **Lemma 55.** *We assume an arbitrary signature morphism  $f$  from  $\mathbb{I}$  to  $M$ . This induces*  
 1096 *the following maps:*

$$\begin{aligned}
 1097 \quad \text{Con}^f &: (\Gamma \vdash) \rightarrow \text{Con}^M \\
 1098 \quad \text{Ty}^f &: (\Gamma^w : \Gamma \vdash) \rightarrow (\Gamma \vdash A) \rightarrow \text{Ty}^M(\text{Con}^f \Gamma^w) \\
 1099 \quad \text{Tm}^f &: (\Gamma^w : \Gamma \vdash) \rightarrow (A^w : \Gamma \vdash A) \rightarrow (\Gamma \vdash t \in A) \rightarrow \text{Tm}^M(\text{Con}^f \Gamma^w)(\text{Ty}^f \Gamma^w A^w) \\
 1100 \quad \text{Var}^f &: (\Gamma^w : \Gamma \vdash) \rightarrow (A^w : \Gamma \vdash A) \rightarrow (\Gamma \vdash x \in_{\mathbb{N}} A) \rightarrow \text{Tm}^M(\text{Con}^f \Gamma^w)(\text{Ty}^f \Gamma^w A^w) \\
 1101 \quad \text{Sub}^f &: (\Gamma^w : \Gamma \vdash) \rightarrow (\Delta^w : \Delta \vdash) \rightarrow (\Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow \text{Sub}^M(\text{Con}^f \Gamma^w)(\text{Con}^f \Delta^w) \\
 1102
 \end{aligned}$$

1103 *The images of the above maps are related by  $- \sim -$ :*

$$\begin{aligned}
 1104 \quad \sim \text{Con}^f &: (\Gamma^w : \Gamma \vdash) \rightarrow \Gamma^w \sim \text{Con}^f \Gamma^w \\
 1105 \quad \sim \text{Ty}^f &: (\Gamma^w : \Gamma \vdash) \rightarrow (A^w : \Gamma \vdash A) \rightarrow \Gamma^w \sim \text{Ty}^f \Gamma^w A^w \\
 1106 \quad \sim \text{Tm}^f &: (\Gamma^w : \Gamma \vdash) \rightarrow (A^w : \Gamma \vdash A) \rightarrow (t^w : \Gamma \vdash t \in A) \rightarrow \Gamma^w \sim \text{Tm}^f \Gamma^w A^w t^w \\
 1107 \quad \sim \text{Var}^f &: (\Gamma^w : \Gamma \vdash) \rightarrow (A^w : \Gamma \vdash A) \rightarrow (x^w : \Gamma \vdash x \in_{\mathbb{N}} A) \rightarrow \Gamma^w \sim \text{Var}^f \Gamma^w A^w x^w \\
 1108 \quad \sim \text{Sub}^f &: (\Gamma^w : \Gamma \vdash) \rightarrow (\Delta^w : \Delta \vdash) \rightarrow (\sigma^w : \Gamma \vdash \sigma \Rightarrow \Delta) \rightarrow \Gamma^w \sim \text{Sub}^f \Gamma^w \Delta^w \sigma^w \\
 1109
 \end{aligned}$$

1110 **Proof.** By induction on typing relations. ◀

1111 ▶ **Corollary 56** (Uniqueness of the recursor). *By right uniqueness of  $- \sim -$ , there is only one*  
 1112 *morphism  $\text{SignMor } \mathbb{I} M$  for any  $M$ .*

1113 ▶ **Theorem 57.** *If a model of ETT supports indexed W-types, it supports the theory of IIT*  
 1114 *signatures.*

1115 **Proof.** We define the syntax  $\mathbb{I}$  by Definition 43 which only used indexed W-types, the recursor  
 1116 by Lemma 54 and we prove its uniqueness property by Corollary 56. ◀

1117 ▶ **Corollary 58.** *If a model of ETT supports indexed W-types, it supports all IITs.*

1118 **Proof.** Combining Theorem 57 and Theorem 23. ◀

## 1119 5 Further Work

1120 The current work only concerns finitary IITs. An extension would be to also allow infinitely  
 1121 branching inductive types such as W-types. This would first require giving semantics for  
 1122 infinitary IITs and adapting the term model construction. These would be straightforward  
 1123 following [24]. However, it seems to be more difficult to construct the syntax of infinitary  
 1124 IIT signatures without using quotients. The reason is that such syntax would not be  
 1125 strictly restricted to neutral terms: the term model construction for infinitary IITs requires  
 1126  $\lambda$ -abstraction and  $\beta\eta$ -rules for infinitary  $\Pi$  types. A definition of normal preterms and typing  
 1127 judgments on them may still be possible, but it appears to be much more complicated than  
 1128 before (the current authors have attempted this without conclusive success).

1129 As mentioned in Section 4.2.2, it also remains an open problem whether IITs are reducible  
 1130 to inductive types in a UIP-free setting. To show this, we would need to construct the syntax  
 1131 of signatures without UIP, and also reproduce the semantics and term model construction  
 1132 for IITs without UIP.

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