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Homotopy type theory and synthetic homotopy theory

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 $M\pi$ IM Bonn Topology Seminar

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Materialism vs. structuralism

- Early 20th century: set theory as mathematical foundations
- Everything is a set.
- Elements aren't an actual notion.
- Different ways to encode natural numbers:
- Von Neumann: $0 := \emptyset$, $1 := 0 \cup \{0\} = \{\emptyset\}$, $2 := 1 \cup \{1\} = \{\emptyset, \{\{\emptyset\}\}\}$,...
- Zermelo: $0' := \emptyset, 1' := \{0'\} = \{\emptyset\}, 2' := \{1'\} := \{\{\emptyset\}\}, \dots$
- Some statements about single natural numbers are now dependent on the coding:
- $0 \in 2$, but $0' \notin 2'$
- What does a statement like " $n \in m$ " even mean?
- Syntactically, we can even make statements such as:

•
$$\mathbb{Q} \in \mathbb{C}, 0 \in \pi, \frac{1}{2} \in \frac{2}{4}, \mathbb{R} \in \exp(2)$$

■ Not how we think about the ∈-relation!

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Equality vs. isomorphism

- In modern-day mathematics, we often treat isomorphic structures as equal.
- Problem: If $A \cong B$ and $x \in A$, then in general $x \notin B$!
- Examples: $2\mathbb{N} \cong 2\mathbb{N} + 1$ as sets, $\mathbb{Z}/2\mathbb{Z} \cong {id, (01)}$ as groups, $(-1, 1) \cong (-\pi, \pi)$ as topological spaces, . . .
- Solution: Make the isomorphism explicit. Given $\varphi : A \cong B$, if $x \in A$ we do have $\varphi(x) \in B$.
- But this is a rather manual process: syntactically, $x \in B$ makes sense (*well-formed*), even if $A \not\subseteq B$.

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More structuralist foundations?

- Question: Alternative foundations that have more structuralist flavor?
- Some desiderata:
 - abstract away from *encodings* (\mathbb{N} vs. \mathbb{N}')
 - disallow "nonsense expressions" like $0 \in 1, \mathbb{N} \in \pi, \dots$
 - capture isomorphism more natively
- Answer: Yes, for instance use *type theory* instead of **set theory**.
- In particular, the variant due to Per Martin-Löf, Martin-Löf type theory (MLTT).
- Extension of MLTT: "Isomorphism as equality" made precise by Vladimir Voevodsky's Univalence Axiom ~> Homotopy Type Theory/Univalent Foundations (HoTT/UF)
- In this talk: Basic vocabulary of MLTT & taste of synthetic homotopy theory in HoTT

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Homotopical foundations? Sets vs. homotopy types

Let's follow Yuri Manin¹ in imagining what homotopical foundations could look like: Instead of **sets**, clouds of discrete elements, we envisage some sorts of vague **spaces**, which can be very severely deformed, mapped one to another, and all the while the specific space is not impor- tant, but only the space **up to deformation**.

Replace sets by homotopy types!

All maps are continuous.

¹*M. Gelfand*, Notices Am. Math. Soc. 56, Non.10, 1268–1274 (2009; Zbl 1178.01044). *Emphases and interpretations due to the speaker.*

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Homotopical foundations? Everything is continuous

Earlier, all these spaces were thought of as Cantor **sets with topology**, their maps were Cantor maps, some of them were **homotopies** that should have been factored out, and so on.

Set theory is fundamentally discrete (*e.g.* def. of a topological space).

Homotopical foundations should be fundamentally continuous.

Then, have to *break* continuity this to achieve discreteness:

I am pretty strongly convinced that there is an ongoing reversal in the collective consciousness of mathematicians: the right hemispherical and homotopical picture of the world becomes the basic intuition, and if you want to get a discrete set, then you pass to the set of connected components of a space defined only up to homotopy.

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Dependent type theory (DTT)

• DTT consists of derivations of judgments involving:

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types A, terms a: A, contexts \Gamma \equiv [x_1: A_1, \dots, x_n: A_n]
```

Intuitions: types: objects, terms: elements, contexts: lists of variables

- Valid derivations are produced from a bunch of given rules (next slide).
- Dependent types/type families $\Gamma \vdash A$:

"A is a (dep.) type in context Γ "

- This means: for any \vec{x} in Γ , we have that $A(\vec{x})$ is a type.
- Examples:
 - $\cdot \vdash$ Bool • $\cdot \vdash \mathbb{N}$ and $\cdot \vdash \mathbb{R}$ • $n : \mathbb{N} \vdash \mathbb{R}^{n}$ • p : Prime, $n : \mathbb{N} \vdash \mathbb{F}_{p^{n}}$ • $x : M \vdash T_{n}M$

• Dependent terms $\Gamma \vdash f : A$:

"f is a (dep.) term in A (over ctxt. Γ)"

• This means: for any \vec{x} in Γ , we have a term $f(\vec{x}) : A(\vec{x})$.

• Examples:

• $\cdot \vdash \bot$: Bool and $\cdot \vdash \top$: Bool • $n : \mathbb{N} \vdash \operatorname{succ}(n) : \mathbb{N}$ • $n : \mathbb{N} \vdash \vec{0}_n : \mathbb{R}^n$ • $p : \operatorname{Prime}, n : \mathbb{N} \vdash 1_{p^n} : \mathbb{F}_{p^n}$ • $x : M \vdash \vec{0}_x : T_x M$

Basics of type theory 0000

Type formers: new types from old ones

Product types

• Given types A and B are types, there ex. a type $A \times B$ (formation).

 $\frac{\Gamma \vdash A \qquad \Gamma \vdash B}{\Gamma \vdash A \times B} \text{ (x-Form)}$

• Given terms a : A and b : B, there ex. a term $\langle a, b \rangle : A \times B$ (introduction).

 $\frac{\Gamma \vdash a : A \qquad \Gamma \vdash b : B}{\Gamma \vdash \langle a, b \rangle : A \times B}$ (×-Intro)

• Given a term $p: A \times B$, there ex. terms $\operatorname{pr}_1(p) : A \text{ and } \operatorname{pr}_2(p) : B (elimination).$

 $\frac{\Gamma \vdash p : A \times B}{\Gamma \vdash \operatorname{pr}_{2}(p) : A} (\times \operatorname{\mathsf{-Elim}}_{1}) \frac{\Gamma \vdash p : A \times B}{\Gamma \vdash \operatorname{pr}_{2}(p) : B} (\times \operatorname{\mathsf{-Elim}}_{2})$

• Computation: $\operatorname{pr}_1(\langle a, b \rangle) \equiv a$, $\operatorname{pr}_2(\langle a, b \rangle) \equiv b$ • $(\lambda a, f(a))(x) \equiv f(x)$ and $\lambda a, f(a) \equiv f(x)$

Function types

- Given types A and B, there ex. a type $A \rightarrow B$ $\frac{\Gamma \vdash A \qquad \Gamma \vdash B}{\Gamma \vdash A \rightarrow B} (\rightarrow \text{-Form})$
- Given for all a : A a term f(a) : B, there ex. a term $\lambda a. f(a) : A \to B$ (i.e. " $a \mapsto f(a)$ ").

$$\frac{\Gamma, a: A \vdash f(a): B}{\Gamma \vdash \lambda a. f(a): A \to B} (\to \text{-Intro})$$

Given terms $f: A \rightarrow B$ and a: A, there ex. a term f(a) : B.

$$\frac{\Gamma \vdash f: A \to B \quad \Gamma \vdash a: A}{\Gamma \vdash f(a): B} \text{ (\rightarrow-Elim)$}$$

Basics of type theory 00000

Dependent type formers

- Terms of **product type**: pairs $\langle a, b \rangle : A \times B$ • with a: A and b: B.
- ۲ **Dependent generalization**: A type and $a: A \vdash B(a)$ dep. type \rightsquigarrow dep. pair or dep. sum type $\sum B(a)$ whose elements are a:Apairs $\langle a, b \rangle$ with a : A and b : B(a).
- Terms of **function type**: functions $f : A \rightarrow B$ taking a : A to f(a) : B.
- **Dependent generalization**: A type and $a: A \vdash B(a)$ dep. type \rightsquigarrow dep. function or dep. *product* type B(a) whose elements are functions (**sections**) f taking a : A to f(a):B(a)



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Natural numbers

- The structure of natural numbers is freely generated 0 and ${\rm succ.}$
- Proof by induction: Want to prove a property for all k. Then it suffices to assume that k = 0 or k = n + 1 (given that it holds for n).
- More generally: Given any set A, to define a function $f : \mathbb{N} \to A$, it suffices to define f(0) and f(n+1) (given that f(n) has been already defined).
- To define \mathbb{N} in type theory, formulate the induction principle type-theoretically:

& computation rules: $\operatorname{ind}_{\mathbb{N}}(p_0, p_s)(0) \equiv p_0 : P(0)$ and $\operatorname{ind}_{\mathbb{N}}(p_0, p_s)(\operatorname{succ}(n)) \equiv p_s(n, \operatorname{ind}_{\mathbb{N}}(p_0, p_s, n)) : P(\operatorname{succ}(n))$

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The Curry–Howard interpretation

Type theory	Logic	Set theory
A	proposition A	set A
x:A	evidence/witness for A	element $x \in A$
0,1	\perp, \top	$\emptyset, \{\emptyset\}$
A + B	$A \lor B$	disjoint union $A + B$
A imes B	$A \wedge B$	set $A \times B$ of ordered pairs
$A \rightarrow B$	$A \Rightarrow B$	set $A \rightarrow B$ of functions
$x: A \vdash B(x)$	property/predicate $B(x)$	family of sets $(B_x)_{x \in A}$
$x:A\vdash b:B(x)$	conditional proof	choice of elements/section $x\mapsto \langle x,b(x) angle$
$\sum B(x)$	$\exists x.B(x)$	disjoint sum $\coprod B(x)$
x:A		x:A
$\prod B(x)$	$\forall x.B(x)$	product $\prod B(x)$
$x{:}A$	1	x:A

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Equality vs. equality

- Recall: We wanted a nice (meaning intrinsic) way to treat isomorphism.
- So far, our type theory comes with two basic judgments of equality: term equality $x \equiv y : A$ and type equality $A \equiv B$.
- This is called **definitional** or **judgmental equality**.
- These are produced by *rewrite rules*, *i.e.* syntactic conversions, given by the postulated computation rules (*e.g.* $pr_1(\langle a, b \rangle) \equiv a$).
- **Problem:** We cannot expect this to adequately model an interesting notion of isomorphism.
- In particular, having too many definitional equalities destroys the computational behavior of the theory. → Can't use as programming language!
- Solution: Introduce another notion of equality!

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Identity type: Formation and introduction

- Per Martin–Löf's identity types from the 1970s. ~ propositional equality
- Idea: Let x, y : A. Then there is a type $(x =_A y)$ of *identifications* or *proofs* that x is equal to y (*formation*).
- In a topological picture, we could imagine $p: (x =_A y)$ to be a *path* from x to y (more on this later).
- For any x : A there should be a term $\operatorname{refl}_x : (x =_A x)$ (introduction).

$$\frac{\Gamma \vdash A}{\Gamma \vdash x, y : A \vdash (x =_A y)} \text{ Id-Form} \qquad \qquad \frac{\Gamma \vdash A}{\Gamma, x : A \vdash \text{refl}_x : (x =_A x)} \text{ Id-Intro}$$

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Identity type: Elimination and computation

- **Q**: How do we *eliminate* out of $(x =_A y)$?
- A: Another induction principle!
- Idea: Identity types are freely generated by the reflexivity terms.
- Identity or path induction: Given a type *B* depending on x, y : A and $p : x =_A y$, to give a term in B(x, y, p) we can assume $y \equiv x$ and $p \equiv \operatorname{refl}_x$:

$$\frac{\Gamma \vdash A \qquad \Gamma, x: A, y: A, p: x =_A y \vdash B(x, y, p)}{\Gamma \vdash \operatorname{ind}_{=_A} : \prod_{a:A} B(a, a, \operatorname{refl}_a) \to \prod_{x,y:A} \prod_{p:(x=_A y)} B(x, y, p)} \operatorname{Id-Elim}$$

with *computation* rule: $\operatorname{ind}_{=_A}(q, a, a, \operatorname{refl}_a) \equiv q$

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Identity type: Equality as structure

- Using path induction, we can show that the identity really behaves like equality should.
- We have postulated a *reflexivity* function refl : $\prod_{x:A} (x =_A x)$.
- Goal: Want to define *symmetry/inversion* inv : $\prod_{x,y:A} (x =_A y) \rightarrow (y =_A x)$ and *transitivity/composition* comp : $\prod_{x,y,z:A} (x =_A y) \rightarrow (y =_A z) \rightarrow (x =_A z).$

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Identity type: Inversion

Theorem (Inversion for the identity type)

Let *A* be a type. There is a function inv :
$$\prod_{x,y:A} (x =_A y) \rightarrow (y =_A x)$$
.

Proof.

We want to produce a function depending on x, y : A and $p : (x =_A y)$, landing in $B(x, y, p) :\equiv (y =_A x)$. By path induction, it suffices to assume $x \equiv y$ and $p \equiv \operatorname{refl}_x$. We have the function $f :\equiv \lambda x.\operatorname{refl}_x : \prod_{x:A} (x =_A x)$. Thus, we take $\operatorname{inv} :\equiv \operatorname{ind}_{=_A}(f) : \prod_{x,y:A} \prod_{p:(x=_A y)} (y =_A x)$.

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Types as groupoids

• Define composition comp : $\prod_{x,y,z:A} (x =_A y) \rightarrow (y =_A z) \rightarrow (x =_A z)$ similarly by path induction.

- Let us abbreviate $p^{-1} :\equiv \operatorname{inv}_{x,y}(p)$ and $p * q :\equiv \operatorname{comp}_{x,y,z}(p,q)$.
- One can also show some expected laws, namely associativity, neutrality, and inversion, e.g.

 $(p*q)*r =_{(x=Az)} p*(q*r), \quad \operatorname{refl}_y*p =_{(x=Ay)} p, \quad p^{-1}*p =_{(x=Ax)} \operatorname{id}_x, \dots$

- These are known as the groupoid laws.
- They arise as higher identities/homotopies $\varphi : p =_{(x=_A y)} q$ for $p, q : (x =_A y)$:



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Types as weak ∞ -groupoids

- Thus, via the dependent identity type, any type A can be endowed with the structure of a groupoid. ~→ Martin Hofmann and Thomas Streicher's groupoid model with non-trivial identity types (1994).
- But any identity type $(x =_A y)$ is in particular a type and hence carries itself a groupoid structure.
- Moreover, all these ensuing groupoid laws hold only in the *propositional sense*, *i.e.* not definitionally but only up to higher paths, in arbitrarily high dimensions.

 \sim types as weak ∞ -groupoids (conj. Hofmann–Streicher, made more precise semantically in 2006 by Voevodsky and Streicher)

More on this in Léonard's talk next Monday, March 21!

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The Curry–Howard–Voevodsky interpretation²

Type theory Logic		Set theory	Homotopy theory
A	proposition	set	space/homotopy type
x:A	witness/realizer	element	point
0,1	\perp, \top	Ø, {Ø}	Ø, *
A+B	$A \lor B$	disjoint union	coproduct space
$A \times B$	$A \wedge B$	set of ordered pairs	product space
$A \to B$	$A \Rightarrow B$	set of functions	function space
$x: A \vdash B(x)$	predicate $B(x)$	family of sets	fibration
$x: A \vdash b: B(x)$	conditional proof	choice of elements	section
$\Sigma_{x:A}B(x)$	$\exists x.B(x)$	disjoint sum	total space
$\Pi_{x:A}B(x)$	$\forall x.B(x)$	product	space of sections
$p:(x=_A y)$	x = y	x = y	path $x \rightsquigarrow y$ in A

²Table based on: Emily Riehl *The synthetic theory of* ∞ *-categories vs the synthetic theory of* ∞ *-categories*, Presentation at Vladimir Voevodsky Memorial Conference, IAS, Princeton, NJ, USA, 2018.

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Dependent types as fibrations

- Identity proofs $p: (x =_A y)$ are a kind of "path".
- Indeed, dependent types behave well w.r.t. paths in the base.
- Namely, every dependent type supports a notion of path transport.
- For $a: A \vdash B$, we can define a function $\operatorname{tr}_A: \prod B(x) \to B(y)$.
- Again by path induction, with $tr_B(x, x, refl_x) :\equiv id_{B(x)}$.
- Indeed, this is connected with a synthetic notion of path lifting:



x, y: A p: (x = A y)

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Homotopical interpretations of MLTT?

- Types as weak ∞ -groupoids (precursor: Hofmann–Streicher; established by Voevodsky, Kapulkin–Lumsdaine during 2006–2012)
- Can model MLTT in "abstract homotopy theories", with identity types as path space fibrations (Awodey–Warren 2006)
- Syntactic structure groupoid and factorization structures from id types (van den Berg, Garner, Gambino, Lumsdaine mid-2000s)
- Voevodsky '06: Univalence Axiom (UA) giving rise to homotopy type theory (HoTT) as an extension of MLTT
- Univalence identifies equality of types with equivalence
- What does this mean, more precisely?

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Weak equivalences

- What is an appropriate notion for equivalence between types? It is a kind of notion of isomorphism.
- Let $f : A \to B$ be a function between types. We say that f is a *weak equivalence* (after Voevodsky) if the following type is inhabited:

$$\mathrm{isWeq}(f) :\equiv \Big(\sum_{g:B \to A} \prod_{x:A} (g \circ f)(x) = x\Big) \times \Big(\sum_{h:B \to A} \prod_{y:B} (f \circ h)(y) = y\Big)$$

- *A priori*, it looks as if being a weak equivalence is *structure* rather than a *property*. But one can show that it actually is just a property (more later).
- We can define the type of equivalences from A to B as

$$(A\simeq B):\equiv \sum_{f:A\rightarrow B} \mathrm{isWeq}(f).$$

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Universe and univalence

- How else could two types be equal?
- We postulate the existence of a ("large") type \mathcal{U} of all ("small") types, *i.e.*: If A is a ("small") type, then $A : \mathcal{U}$.
- This will be convenient because it allows us to identify (\mathcal{U} -small) dependent types $a: A \vdash B(a)$ with families $B: A \rightarrow \mathcal{U}$.
- Since \mathcal{U} is a (large) type, there exists the identity type $(A =_{\mathcal{U}} B)$ for $A, B : \mathcal{U}$.
- There is a map $\operatorname{idToWeq}_{A,B} : (A =_{\mathcal{U}} B) \to (A \simeq B)$ defined by path induction (mapping $\operatorname{refl}_A : (A =_{\mathcal{U}} A)$ to $\operatorname{id}_A : (A \simeq A)$).
- Voevodsky's Univalence Axiom states that idToWeq is an equivalence, thus "equivalence is equivalent to equality":

$$(A =_{\mathcal{U}} B) \simeq (A \simeq B)$$

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Consequences of univalence

- Why is univalence useful or desirable?
- Function extensionality: For $x : A \vdash B(x) : U$ and $f, g : \prod B(x)$, we have

$$(f = g) \simeq \prod_{x:A} (f(x) =_B g(x)).$$

- Fibrations are families: For a type $A : \mathcal{U}$, we have $\sum_{E:\mathcal{U}} (E \to A) \simeq (A \to \mathcal{U})$.
- Univalent foundations: Isomorphism-invariant foundations of mathematics (unlike set theory which is sensitive to encoding)
- **Structure identity principles:** Find out more in Paige's talk in two weeks, Monday, March 28!

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Homotopy fibers and type families

• Let $f : A \to B$ be a map between types. Voevodsky defines the *homotopy fiber* at y : B as the type

$$\operatorname{fib}(f, y) :\equiv \sum_{x:A} f(x) =_B y.$$

- Using univalence, one can show that every map $f : A \to B$ is equivalent to the 1st coordinate projection $\operatorname{pr}_1 : \left(\sum_{b \in B} \operatorname{fib}(f, b)\right) \to A$ (*fibrant replacement*).
- Converting between a map into *B* and a family over *B* is given by considering the **family** of fibers or, resp., the *associated* projection:

$$\left(\sum_{E:\mathcal{U}} E \to B\right) \xrightarrow{\lambda E, f.\lambda b.\operatorname{fib}(f,b)} (B \to \mathcal{U})$$
where $\pi_P :\equiv \operatorname{pr}_1 : \left(\sum_{b:B} P(b)\right) \to B$. This, again, uses univalence.

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Homotopy levels

Voevodsky defines the following hierarchy of homotopy levels:

• A type A is *contractible* or a (-2)-type if we have an inhabitant

$$\operatorname{isContr}(A) :\equiv \sum_{x:A} \prod_{y:A} (x =_A y)$$

• A type A is a *proposition* or a (-1)-type if we have an inhabitant

$$\operatorname{isProp}(A) :\equiv \prod_{x,y:A} \operatorname{isContr}(x =_A y).$$

• A type A is a set or a 0-type if we have an inhabitant

$$\operatorname{isSet}(A) :\equiv \prod_{x,y:A} \operatorname{isProp}(x =_A y).$$

• In general: For $n \ge 1$, a type *A* is an *n*-type if we have an inhabitant

$$\operatorname{is-n-type}(A) :\equiv \prod_{x,y:A} \operatorname{is-}(n-1)\operatorname{-type}(x =_A y).$$

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Propositions and weak equivalences

 Propositions are important because their inhabitants are determined uniquely up to homotopy.

 \sim mere properties (up to homotopy) rather than structure.

- Examples: is-n-type(A), isWeq(f), ...
- Voevodsky initially defined a weak equivalence $f : A \to B$ such that all its fibers are contractible:

 $\prod_{b:B} \operatorname{isContr}(\operatorname{fib}(b, f))$

• This type is again a proposition, and it is equivalent to our previous definition (bi-invertibility).

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The circle S^1 in HoTT: Idea

- The circle S¹ will be defined as the "free type" equipped with a base point b : S¹ and a loop ℓ : b = b, satisfying an appropriate *induction principle*.
- *Intuition:* Let $P : \mathbf{S}^1 \to \mathcal{U}$ be a family. Then, given an element y : P(b) and a path $p : y =_{\ell} y$ over ℓ , this induces a *section* $f : \prod_{x:\mathbf{S}^1} P(x)$ (plus computational properties).

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Synthetic homotopy groups

- Proposed alternative, more structuralist foundations...
- ...that even have homotopical meaning.
- Basic entities are homotopy types rather than bare sets.
- Define objects by "universal properties" via typing rules \sim independence from coding.
- More conceptual proofs, *e.g.* in homotopy theory.
- More general statements: models are "abstract homotopy theories" (Awodey–Warren '06, Shulman '19, ...)
- Plus: can be verified on a computer.

Outline O	Introduction 00000	Basics of type theory	Identity types	Homotopy type theory	Synthetic homotopy theory	Summary O	References ●O
Refer	ences						

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Thank you!