### Containers for Effects and Contexts

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### This course

- We will think about computational effects and contexts as modelled with monads, comonads and related machinery.
- We will primarily be interested in questions like: Where do they come from? How to generate them? How many are they?

And also: How to arrive at answers to such questions with as little work as possible?

- In other words, we will amuse ourselves with the combinatorics of monads etc.
- The main tool: Containers (possibly quotient containers). But not today.
- Today's ambition: Monads, monad maps and distributive laws.

# Useful prior knowledge

- This is not strictly needed, but will help.
- Basics of functional programming and the use of monads (and perhaps idioms, comonads) in functional programming.
- From category theory:
  - functors, natural transformations
  - adjunctions
  - symmetric monoidal (closed) categories
  - Cartesian (closed) categories, coproducts
  - initial algebra, final coalgebra of a functor
  - . . . :-(
- All examples however will be for Set. :-)
- (But many generalize to any Cartesian (closed) or monoidal (closed) category.)

# Monads

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# Monads

- $\bullet$  A monad on a category  ${\mathcal C}$  is given by a
  - a functor  $T : \mathcal{C} \to \mathcal{C}$ ,
  - a natural transformation  $\eta : \mathsf{Id}_{\mathcal{C}} \to \mathcal{T}$  (the *unit*),
  - a natural transformation µ : T · T → T (the multiplication)

such that



 This definition says that monads are monoids in the monoidal category ([C, C], Id<sub>C</sub>, ·).

#### An alternative formulation: Kleisli triples

- A more FP-friendly formulation is this.
- A Kleisli triple is given by
  - an object mapping  $\mathcal{T}:|\mathcal{C}| 
    ightarrow |\mathcal{C}|$ ,
  - for any object A, a map  $\eta_A: A \to TA$ ,
  - for any map  $k : A \rightarrow TB$ , a map  $k^* : TA \rightarrow TB$  (the *Kleisli extension* operation)

such that

- if  $k: A \to TB$ , then  $k^* \circ \eta_A = k$ ,
- $\bullet \ \eta^\star_A = \operatorname{id}_{\mathit{T\!A}},$
- if  $k : A \to TB$ ,  $\ell : B \to TC$ , then  $(\ell^* \circ k)^* = \ell^* \circ k^* : TA \to TC$ .
- (Notice there are no explicit functoriality and naturality conditions.)

#### Monads = Kleisli triples

- There is a bijection between monads and Kleisli triples.
- Given T,  $\eta$ ,  $\mu$ , one defines

• if  $k : A \to TB$ , then  $k^* = TA \xrightarrow{Tk} T(TB) \xrightarrow{\mu_B} TB$ .

• Given T (on objects only),  $\eta$  and  $-^{\star}$ , one defines

• if 
$$f : A \to B$$
, then  
 $Tf = \left(A \xrightarrow{f} B \xrightarrow{\eta_B} TB\right)^* : TA \to TB$ ,  
•  $\mu_A = \left(TA \xrightarrow{\text{id}_{TA}} TA\right)^* : T(TA) \to TA$ .

#### Kleisli category of a monad

- A monad T on a category C induces a category KI(T) called the Kleisli category of T defined by
  - an object is an object of  $\mathcal{C}$ ,
  - a map of from A to B is a map of C from A to TB,

• 
$$\operatorname{id}_{A}^{T} = A \xrightarrow{\eta_{A}} TA$$
,  
•  $\operatorname{if} k : A \to^{T} B, \ell : B \to^{T} C$ , then  
 $\ell \circ^{T} k = A \xrightarrow{k} TB \xrightarrow{T\ell} T(TC) \xrightarrow{\mu_{C}} TC$ 

From C there is an identity-on-objects *inclusion* functor J to KI(T), defined on maps by

• if 
$$f : A \to B$$
, then  
 $Jf = A \xrightarrow{f} B \xrightarrow{\eta_B} TB = A \xrightarrow{\eta_A} TA \xrightarrow{Tf} TB$ .

# Monad algebras

An algebra of a monad (T, η, μ) is an object A with a map a : TA → A such that



• A map between two algebras (A, a) and (B, b) is a map h such that



The algebras of the monad and maps between them form a category EM(T) with an obvious forgetful functor
 U: EM(T) → C.

#### Computational interpretation

- Think of C as the category of pure functions and of TA as the type of effectful computations of values of a type A.
- $\eta_A : A \to TA$  is the identity function on A viewed as trivially effectful.
- Jf : A → TB is a general pure function f : A → B viewed as trivially effectful.
- $\mu_A : T(TA) \to TA$  flattens an effectful computation of an effectful computation.
- k<sup>\*</sup>: TA → TB is an effectful function k : A → TB extended into one that can input an effectful computation.
- An algebra (A, a : TA → A) serves as a recipe for handling the effects in computations of values of type A.

# Kleisli adjunction

- In the opposite direction of J : C → KI(T) there is a functor R : KI(T) → C defined by
  - RA = TA,
  - if  $k : A \to^T B$ , then  $Rk = TA \xrightarrow{k^*} TB$ .
- *R* is right adjoint to *J*.



• Importantly,  $R \cdot J = T$ . Indeed,

• R(JA) = TA,

- if  $f: A \to B$ , then  $R(Jf) = (\eta_B \circ f)^* = Tf$ .
- Moreover, the unit of the adjunction is  $\eta$ .
- $J \dashv R$  is the initial adjunction factorizing T in this way.

# Eilenberg-Moore adjunction

In the opposite direction of U : EM(T) → C there is a functor L : C → EM(T) defined by

• 
$$LA = (TA, \mu_A)$$
,

• if  $f : A \to B$ , then  $Lf = Tf : (TA, \mu_A) \to (TB, \mu_B)$ .

• L is left adjoint to U.



•  $U \cdot L = T$ . Indeed,

- $U(LA) = U(TA, \mu_A) = TA$ ,
- if  $f: A \to B$ , then U(Lf) = U(Tf) = Tf.
- The unit of the adjunction is  $\eta$ .
- $L \dashv U$  is the final adjunction factorizing T.

#### Exceptions monads

- The functor:
  - TA = E + A where E is some set (of exceptions)
- The monad structure:

• 
$$\eta_A x = \operatorname{inr} x$$
,  
•  $\mu_A(\operatorname{inl} e) = \operatorname{inl} e$ ,  
 $\mu_A(\operatorname{inr}(\operatorname{inl} e)) = \operatorname{inl} e$ ,  
 $\mu_A(\operatorname{inr}(\operatorname{inr} x)) = \operatorname{inr} x$ .

- This is the only monad structure on this functor.
- (This example generalizes to any coCartesian category, in fact to any monoidal category with a given monoid. In a coCartesian category, any object *E* carries exactly one monoid structure defined by  $o = ?_E : 0 \rightarrow E$  and  $\oplus = \nabla_E : E + E \rightarrow E$ .)

#### Reader monads

- The functor:
  - $TA = S \Rightarrow A$  where S is a set (of readable states)
- The monad structure:

• 
$$\eta_A x = \lambda s. x$$
,

- $\mu_A f = \lambda s. f s s.$
- This is the only monad structure on this functor.

• (This example generalizes to any monoidal closed category with a given comonoid. In a Cartesian closed category, any object S comes with a unique comonoid structure given by  $!_S : S \to 1$ ,  $\Delta_S : S \to S \times S$ .)

### Writer monads

- We are interested in this functor:
  - $TA = P \times A$  where P is a set (of updates)
- The possible monad structures are:

• Monad structures on this functor are in a bijection with monoid structures on *P*.

• (This example generalizes to any monoidal category with a given monoid.)

#### State monads

#### • The monad:

- $T A = S \Rightarrow S \times A$  where S is a set (of readable/overwritable states),
- $\eta_A x = \lambda s.(s, x)$
- $\mu_A f = \lambda s$ . let (s', g) = f s in g(s', x)

• (This example works in any monoidal closed category.)

#### List monad and variations

- The list monad:
  - TA = List A,

• 
$$\eta_A x = [x],$$

- $\mu_A xss = \text{concat} xss$ .
- Some variations:
  - $TA = \{xs : A^* \mid xs \text{ is square-free}\}$
  - $TA = \{xs : A^* \mid xs \text{ is duplicate-free}\}$

• 
$$TA = 1 + A \times A$$

• 
$$TA = \mathcal{M}_{\mathrm{f}} A$$

- $TA = \mathcal{P}_{\mathrm{f}} A$
- non-empty versions of the above
- Can you characterize the algebras of these monads?

# Monad maps

# Monad maps

 A monad map between monads *T*, *T'* on a category *C* is a natural transformation *τ* : *T* → *T'* satisfying



- Monads on C and maps between them form a category Monad(C).
- Monad maps are monoid maps in the monoidal category  $([\mathcal{C},\mathcal{C}], Id_{\mathcal{C}}, \cdot)$  and the category of monads is the category of monoids in  $([\mathcal{C},\mathcal{C}], Id_{\mathcal{C}}, \cdot)$ .

## Kleisli triple maps

• A map between two Kleisli triples T, T' is, for any object A, a map  $\tau_A : TA \to T'A$  such that

• 
$$\tau_A \circ \eta_A = \eta'_A$$
,

- if  $k : A \to TB$ , then  $\tau_B \circ k^* = (\tau_B \circ k)^{*'} \circ \tau_A$ .
- (No explicit naturality condition on  $\tau$ !)
- Kleisli triples on C and maps between them form a category that is isomorphic to **Monad**(C).

#### Monad maps vs. functors between Kleisli categories

There is a bijection between monad maps *τ* : *T* → *T'* and functors *V* : KI(*T*) → KI(*T'*) such that



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- This is defined by
  - *VA* = *A*,
  - if  $k : A \to TB$ , then  $Vk = A \xrightarrow{k} TB \xrightarrow{\tau_B} T'B$ .

and

• 
$$\tau_A = V(TA \xrightarrow{\operatorname{id}_{TA}} {}^TA) : TA \to {}^{T'}A$$

## Monad maps vs. functors between E-M categories

 There is a bijection between monad maps τ : T → T' and functors V : EM(T') → EM(T) such that



(Note the reversed direction.)

• This is defined by

and

• 
$$\tau_A = \text{let} (T'A, a) \leftarrow V(T'A, \mu'_A) \text{ in } a \circ T\eta'_A.$$

#### Examples: Exceptions, reader, writer monads

- Monad maps between the exception monads for sets *E*, *E'* are in a bijection with pairs of an element of *E'* + 1 and a function between *E* and *E'*. (Why?)
- Monad maps between the reader monads for sets *S*, *S'* are in a bijection with maps between *S'*, *S*.
- Monad maps between the writer monads for monoids (P, o, ⊕) and (P', o', ⊕') are in a bijection with homomorphisms between these monoids.

#### Examples: From exceptions to writer or vice versa

There is no monad map τ from the exception monad for a set E and the writer monad for a monoid (P, o, ⊕) (unless E = 0).
 There is not even a natural transformation between the underlying functors: it is impossible to have a map

 $\tau_0: \mathbf{0} + E \rightarrow P \times \mathbf{0}.$ 

 Monad maps *τ* from the writer monad for (*P*, o, ⊕) to the exception monad for *E* are in a bijection between monoid homomorphisms between (*P*, o, ⊕) and the free monoid on the left zero semigroup on *E*. (Can you simplify this condition further?) They can be written as

$$\tau_{X} = P \times X \longrightarrow (E+1) \times X \longrightarrow E \times X + 1 \times X \longrightarrow E + X$$

#### Examples: Reader and state monads

- The monad maps between the state monads for S and C are in a bijection with *lenses*, i.e., pairs of functions *lkp* : C → S, *upd* : C × S → C such that
  - *lkp*(*upd*(*c*,*s*)) = *s*,
  - upd (c, lkp c)) = c,
  - upd(upd(c,s),s') = upd(c,s').

• Can you characterize the monad maps from the reader monad for S to the state monad for C? The other way around? (Be careful here!)

#### Examples: Nonempty lists and powerset

- How many monad maps are there from the nonempty list monad to itself?
- Answer: 4, viz. the identity map, reverse, take only the first element, take only the last element.
- Why does taking the 2nd element not qualify? Or taking the two first elements? (These are natural transformations, but...)

• How many monad maps are there from the nonempty list monad to the nonempty powerset monad? The other way around?

# Compatible compositions of monads

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## Compatible compositions of monads

 A compatible composition of two monads (T<sub>0</sub>, η<sub>0</sub>, μ<sub>0</sub>), (T<sub>1</sub>, η<sub>1</sub>, μ<sub>1</sub>) is a monad structure (η, μ) on T = T<sub>0</sub> · T<sub>1</sub> satisfying



Conditions 1-3 say just that T<sub>0</sub> · η<sub>1</sub> and η<sub>0</sub> · T<sub>1</sub> are monad morphisms between (T<sub>0</sub>, η<sub>0</sub>, μ<sub>0</sub>) resp. (T<sub>1</sub>, η<sub>1</sub>, μ<sub>1</sub>) and (T, η, μ).
 Condition 1 fixes that η = η<sub>0</sub> · η<sub>1</sub>; so the only freedom is about μ.

#### Distributive laws of monads

A distributive law of a monad (T<sub>1</sub>, η<sub>1</sub>, μ<sub>1</sub>) over (T<sub>0</sub>, η<sub>0</sub>, μ<sub>0</sub>) is a natural transformation θ : T<sub>1</sub> · T<sub>0</sub> → T<sub>0</sub> · T<sub>1</sub> such that



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#### Compatible compositions = distributive laws

- Compatible compositions of (*T*<sub>0</sub>, *η*<sub>0</sub>, *μ*<sub>0</sub>), (*T*<sub>1</sub>, *η*<sub>1</sub>, *μ*<sub>1</sub>) are in a bijection with distributive laws of (*T*<sub>1</sub>, *η*<sub>1</sub>, *μ*<sub>1</sub>) over (*T*<sub>0</sub>, *η*<sub>0</sub>, *μ*<sub>0</sub>).
- Given  $\mu,$  one recovers  $\theta$  by

$$\theta = T_1 \cdot T_0 \xrightarrow{\eta_0 \cdot T_1 \cdot T_0 \cdot \eta_1} T_0 \cdot T_1 \cdot T_0 \cdot T_1 \xrightarrow{\mu} T_0 \cdot T_1$$

• Given  $\theta$ ,  $\mu$  is defined by

$$\mu = T_0 \cdot T_1 \cdot T_0 \cdot T_1 \xrightarrow{T_0 \cdot \theta \cdot T_1} T_0 \cdot T_0 \cdot T_1 \cdot T_1 \xrightarrow{\mu_0 \cdot \mu_1} T_0 \cdot T_1$$

#### Algebras of compatible compositions

 Given a distributive law θ, a θ-pair of algebras is given by a set A with a (T<sub>0</sub>, η<sub>0</sub>, μ<sub>0</sub>)-algebra structure (A, a<sub>0</sub>) and a (T<sub>1</sub>, η<sub>1</sub>, μ<sub>1</sub>)-algebra structure (A, a<sub>1</sub>) such that



- Such pairs of algebras are in a bijection with (*T*, η, μ)-algebras.
- Given  $a_0, a_1$ , one constructs a as

• 
$$a = T_0(T_1A) \xrightarrow{T_0a_1} T_0A \xrightarrow{a_0} A.$$

• Given a,  $a_0$  and  $a_1$  are defined by

• 
$$a_0 = T_0 A \xrightarrow{T_0 \eta_{1,A}} T_0(T_1 A) \xrightarrow{a} A$$
,  
•  $a_1 = T_1 A \xrightarrow{\eta_0 \tau_{1,A}} T_0(T_1 A) \xrightarrow{a} A$ .

#### Any monad and an exceptions monad

 The exceptions monad for *E* distributes in a unique way over any monad (*T*<sub>0</sub>, η<sub>0</sub>, μ<sub>0</sub>).

• 
$$\theta: E + T_0 A \rightarrow T_0(E + A)$$
  
 $\theta_A (inl e) = \eta_0 (inl e),$   
 $\theta_A (inr c) = T_0 inr$ 

• So we have a unique monad structure on  $TA = T_0(E + A)$  that is compatible with  $(T_0, \eta_0, \mu_0)$ .

• (This generalizes to any coCartesian category, also to any monoidal category with a comonoid.)

#### Any monad and a writer monad

 There is a unique distributive law of the writer monad for (P, o, ⊕) over any monad (T<sub>0</sub>, η<sub>0</sub>, μ<sub>0</sub>).

• 
$$\theta: P \times T_0 A \to T_0(P \times A)$$
  
 $\theta_A(p,c) = T_0(\lambda x. (p, x)) c.$   
( $\theta$  is nothing but the unique strength of  $T_0$ !)

 So monad structures on TA = T<sub>0</sub>(P × A) compatible with (T<sub>0</sub>, η<sub>0</sub>, μ<sub>0</sub>) are in a bijection with monoid structures on P.

• (This generalizes to any Cartesian category and any monoidal category in the form of a bijection between strengths and distributive laws.)

#### Monoid actions

A right action of a monoid (P, o, ⊕) on a set S is a map
 ↓: S × P → S satisfying

$$s \downarrow o = s$$
  
 $s \downarrow (p \oplus p') = (s \downarrow p) \downarrow p'$ 

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#### Reader and writer monads

- Distributive laws of the writer monad for (P, o, ⊕) over the reader monad for S are in a bijective correspondence with right actions of (P, o, ⊕) on S.
- The compatible composition of the two monads determined by a right action ↓ is

$$TA = S \Rightarrow P \times A$$
  

$$\eta x = \lambda s. (o, x)$$
  

$$\mu f = \lambda s. \text{ let } (p,g) = f s$$
  

$$(p', x) = g (s \downarrow p)$$
  
in  $(p \oplus p', x)$ 

—the update monad for S, (P, o,  $\oplus$ ),  $\downarrow$ .

# State logging

- Take S to be some set (of states).
- Take P = List S,  $o = [], \oplus = ++$  (state logs).

• 
$$s \downarrow [] = s$$
  
 $s \downarrow (s' :: ss) = s' \downarrow ss$ 

(so  $s \downarrow ss$  is the last element of s :: ss)

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## Reading a stack and popping

- Take *S* = List *E* (states of a stack of elements drawn from a set *E*).
- Take P = Nat, o = 0, ⊕ = + (possible numbers of elements to pop).

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•  $es \downarrow n = removelast n es$ .

#### Reading a stack and pushing

- Take again S = List E (states of a stack of elements drawn from a set E).
- Take P = List E, o = [], ⊕ = ++ (lists of elements to push on the stack).

- $es \downarrow es' = es + es'$ .
- (So here we choose (S, ↓) to be the initial (P, o, ⊕)-set—which is always a possibility.)

#### Matching pairs of monoid actions

$$egin{aligned} & \mathsf{o}_1\searrow p_0=p_0\ & (p_1\oplus_1p_1')\searrow p_0=p_1\searrow (p_1'\searrow p_0)\ & p_1\searrow \mathsf{o}_0=\mathsf{o}_0\ & p_1\searrow (p_0\oplus_0p_0')=(p_1\searrow p_0)\oplus_0 ((p_1\swarrow p_0)\searrow p_0') \end{aligned}$$

$$p_1 \swarrow o_0 = p_1 \ p_1 \swarrow o_0 = p_1 \ p_1 \swarrow (p_0 \oplus_0 p_0') = (p_1 \swarrow p_0) \swarrow p_0' \ o_1 \swarrow p_0 = o_1 \ (p_1 \oplus_1 p_1') \swarrow p_0 = (p_1 \swarrow (p_1' \searrow p_0)) \oplus_1 (p_1' \swarrow p_0)$$

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## Zappa-Szép product of monoids

A Zappa-Szép product (aka knit product, bicrossed product, bilateral semidirect product) of two monoids (P<sub>0</sub>, o<sub>0</sub>, ⊕<sub>0</sub>) and (P<sub>1</sub>, o<sub>1</sub>, ⊕<sub>1</sub>) is a monoid structure (o, ⊕) on P = P<sub>0</sub> × P<sub>1</sub> such that

$$egin{aligned} \mathsf{o} &= (\mathsf{o}_0,\mathsf{o}_1) \ (p,\mathsf{o}_1) \oplus (p',\mathsf{o}_1) &= (p \oplus_0 p',\mathsf{o}_1) \ (\mathsf{o}_0,p) \oplus (\mathsf{o}_0,p') &= (\mathsf{o}_0,p \oplus_1 p') \ (p,\mathsf{o}_1) \oplus (\mathsf{o}_0,p') &= (p,p') \end{aligned}$$

- Zappa-Szép products of (P<sub>0</sub>, o<sub>0</sub>, ⊕<sub>0</sub>) and (P<sub>1</sub>, o<sub>1</sub>, ⊕<sub>1</sub>) are in a bijective correspondence with matching pairs of actions of (P<sub>0</sub>, o<sub>0</sub>, ⊕<sub>0</sub>) and (P<sub>1</sub>, o<sub>1</sub>, ⊕<sub>1</sub>).
- Given  $\oplus$ , one constructs  $\searrow$  and  $\swarrow$  by
  - $(p_1 \searrow p_0, p_1 \swarrow p_0) = (o_0, p_1) \oplus (p_0, o_1)$
- Given  $\searrow$  and  $\swarrow$ ,  $\oplus$  is defined by
  - $(p_0, p_1) \oplus (p'_0, p'_1) = (p_0 \oplus_0 (p_1 \swarrow p'_0), (p_1 \searrow p'_0) \oplus_1 p'_1)$

#### Two writer monads

 Compatible compositions of writer monads for (P<sub>0</sub>, o<sub>0</sub>, ⊕<sub>0</sub>) and (P<sub>1</sub>, o<sub>1</sub>, ⊕<sub>1</sub>) are in a bijection with matching pairs of actions of the two monoids.

• They are isomorphic to writer monads for the corresponding Zappa-Szép products.

# Combining popping and pushing

• Take  $(P_0, o_0, \oplus_0) = (Nat, 0, +)$ ,  $(P_1, o_1, \oplus_1) = (List E, [], ++)$  where E is some set.

• Pairs (*n*, *es*) represent net effects of sequences of pop, push instructions on a stack: some number of elements is removed from and some new specific elements are added to the stack.

# Combining reading, popping, pushing

- How do I now show that
  - $TA = \text{List } E \Rightarrow \text{Nat} \times (\text{List } E \times A)$

is a monad?

- This is of the form  $T_0 \cdot T_1 \cdot T_2$  where
  - $T_0A = \text{List } E \Rightarrow A$
  - $T_1A = \text{Nat} \times A$
  - $T_2A = \text{List } E \times A$
- We already know that
  - $T_{01} = T_0 \cdot T_1$
  - $T_{02} = T_0 \cdot T_2$
  - $T_{12} = T_1 \cdot T_2$

are compatible compositions of monads.

- We want to be sure that  $(T_0 \cdot T_1) \cdot T_2$  and  $T_0 \cdot (T_1 \cdot T_2)$  are compatible compositions of monads.
- Moreover they'd better be the same monad!

 In terms of distributive laws, this only requires checking the Yang-Baxter equation:

