

# Introduction to Effectus Theory

TACL'17, Prague

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## Outline

Background

A crash course on effect algebras and effect modules

Effectuses

Basic results in effectus theory

Effectuses for probability and classical computation

Assert maps for sequential conjunction and conditioning

Quotients and comprehension

Tool support for effectus probability

Conclusions



## Where we are, so far

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## About this talk

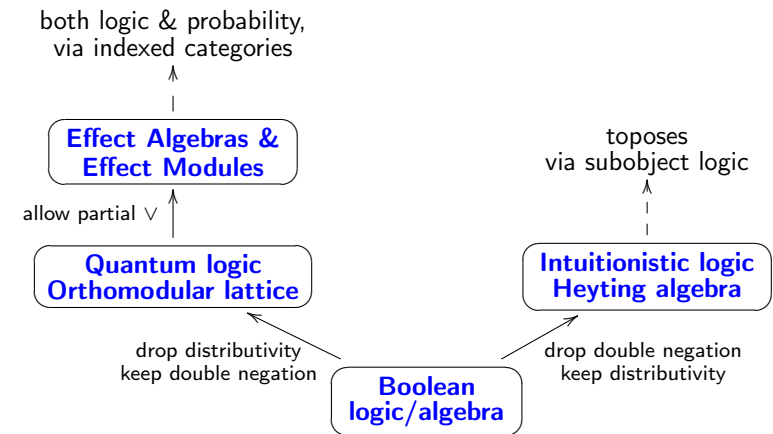
- ▶ Overview of quantum logic research at Nijmegen
- ▶ Performed within context of ERC Advanced Grant **Quantum Logic, Computation, and Security**
  - Running period: 1 May 2013 – 1 May 2018
- ▶ Focus on categorical axiomatisation of the quantum world
  - esp. differences/similarities with probabilistic and classical computing
- ▶ Key notion is **effectus**, a special kind of category (see later)



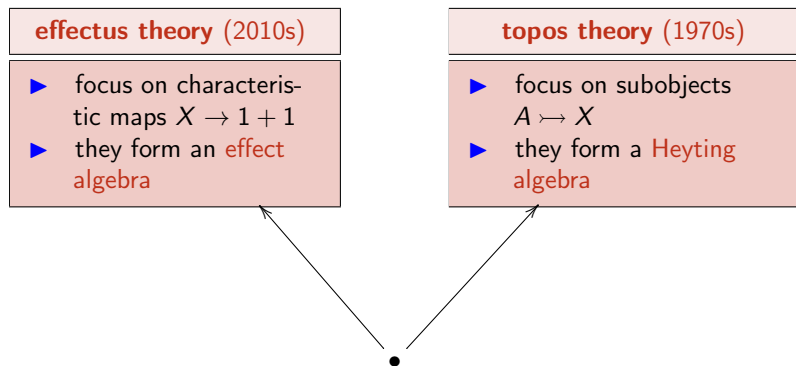
## Group picture



## From Boolean to intuitionistic & quantum logic



## Aha-moments in categorical logic



## Example (without knowing yet what an effectus is)

The opposite  $\mathbf{Rng}^{\text{op}}$  of the category of rings (with unit) is an effectus, with:

$$\begin{array}{l} R \xrightarrow{\text{predicate}} 1 + 1 \quad \text{in } \mathbf{Rng}^{\text{op}} \\ \hline \mathbb{Z} \times \mathbb{Z} \longrightarrow R \quad \text{in } \mathbf{Rng} \\ \hline \text{idempotent } e \in R, \text{ so } e^2 = e \end{array}$$

Hence the predicates on  $R \in \mathbf{Rng}^{\text{op}}$  are its idempotents

- ▶ These idempotents  $e \in R$  form an **effect algebra**, with:  
truth 1    falsum 0    orthocomplement  $e^\perp = 1 - e$   
Additionally there is a **partial sum**  $e \vee d = e + d$  if  $ed = 0 = de$ .
- ▶ If  $R$  is **commutative**, then the idempotents form a **Boolean algebra!** (this case is well-known/studied, eg. in sheaf theory for commutative rings)

## Origin of 'effectus'

### New Directions paper

- ▶ B. Jacobs, *New Directions in Categorical Logic, for Classical, Probabilistic and Quantum Logic*, LMCS 11(3), 2015
- ▶ Introduces **four** successive assumptions (and elaborates them)

### Intro paper

- ▶ Cho, Jacobs, Westerbaan, Westerbaan, *Introduction to Effectus Theory*, 2015, [arxiv.org/abs/1512.05813](https://arxiv.org/abs/1512.05813), 150p.

### Several other papers by ERC team members, eg.

- ▶ Kenta Cho, on equivalence between 'total' and 'partial' description
- ▶ Robin Adams, on "effect" logic & type theory
- ▶ Bas & Bram Westerbaan, on von Neumann algebra model

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## Effect algebras, definition

Effect algebras axiomatise the unit interval  $[0, 1]$  with its (partial!) addition  $+$  and "negation"  $x^\perp = 1 - x$ .

### Definition

A **Partial Commutative Monoid** (PCM) consists of a set  $M$  with zero  $0 \in M$  and partial operation  $\odot: M \times M \rightarrow M$ , which is suitably commutative and associative.

One writes  $x \perp y$  if  $x \odot y$  is defined.

### Definition

An **effect algebra** is a PCM in which each element  $x$  has a unique 'orthosupplement'  $x^\perp$  with  $x \odot x^\perp = 1 (= 0^\perp)$ . Additionally,  $x \perp 1 \Rightarrow x = 0$  must hold.

## Effect algebras, observations

- ▶ There is then a **partial order**, via  $x \leq y$  iff  $y = x \odot z$ , for some  $z$
- ▶ Each **Boolean algebra** is an effect algebra, with:

$$x \perp y \text{ iff } x \wedge y = 0, \quad \text{and then } x \odot y = x \vee y$$

- ▶ In fact, each **orthomodular lattice** is an effect algebra (in the same way)
- ▶ Frequently occurring form: **unit intervals**:

$$[0, 1]_G = \{x \in G \mid 0 \leq x \leq 1\}$$

in an ordered Abelian group with order unit  $1 \in G$ .

- $x^\perp = 1 - x$
- $x \perp y$  iff  $x + y \leq 1$ , and in that case  $x \odot y = x + y$ .



## Homomorphisms of effect algebras

### Definition

A homomorphism of effect algebras  $f: X \rightarrow Y$  satisfies:

- ▶  $f(1) = 1$
- ▶ if  $x \perp x'$  then both  $f(x) \perp f(x')$  and  $f(x \oplus x') = f(x) \oplus f(x')$ .

This yields a category **EA** of effect algebras.

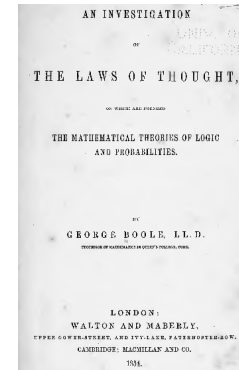
Example:

- ▶ A **probability measure** yields a map  $\Sigma_X \rightarrow [0, 1]$  in **EA**
- ▶ Recall the **indicator** (characteristic) function  $\mathbf{1}_U: X \rightarrow [0, 1]$ , for a subset  $U \subseteq X$ .
  - It gives a map of effect algebras:

$$\mathcal{P}(X) \xrightarrow{\mathbf{1}_{(-)}} [0, 1]^X$$

## Naturality of partial sums/disjunctions in logic

George Boole in 1854 thought of **disjunction** as a **partial operation**



“Now those laws have been determined from the study of instances, in all of which it has been a necessary condition, that the classes or things added together in thought should be **mutually exclusive**. The expression  $x + y$  seems indeed uninterpretable, unless it be assumed that the things represented by  $x$  and the things represented by  $y$  are entirely **separate**; that they embrace no individuals in common.” (p.66)



## Effect modules

Effect modules are effect algebras with a **scalar multiplication**, with scalars not from  $\mathbb{R}$  or  $\mathbb{C}$ , but from  $[0, 1]$ .

(Or more generally from an “effect monoid”, ie. effect algebra with multiplication)

### Definition

An **effect module**  $M$  is a effect algebra with an action  $[0, 1] \times M \rightarrow M$  that is a “bihomomorphism”

A **map of effect modules** is a map of effect algebras that commutes with scalar multiplication.

We get a category **EMod**  $\leftrightarrow$  **EA**.



## Effect modules, main examples

### Probabilistic examples

- ▶ **Fuzzy predicates**  $[0, 1]^X$  on a set  $X$ , with scalar multiplication

$$r \cdot p \stackrel{\text{def}}{=} x \mapsto r \cdot p(x)$$

- ▶ **Measurable predicates**  $\text{Hom}(X, [0, 1])$ , for a measurable space  $X$ , with the same scalar multiplication
- ▶ **Continuous predicates**  $\text{Hom}(X, [0, 1])$ , for a topological space  $X$

### Quantum examples

- ▶ **Effects**  $\mathcal{E}(H)$  on a Hilbert space: operators  $A: H \rightarrow H$  satisfying  $0 \leq A \leq I$ , with scalar multiplication  $(r, A) \mapsto rA$ .
- ▶ **Effects** in a  $C^*/W^*$ -algebra  $A$ : positive elements below the unit:

$$[0, 1]_A = \{a \in A \mid 0 \leq a \leq 1\}.$$

This one covers the previous illustrations.



## Basic adjunction, between effects and states

**Theorem** By “homming into  $[0, 1]$ ” one gets an adjunction:

$$\mathbf{EMod}^{\text{op}} \begin{array}{c} \xrightarrow{\text{Hom}(-, [0,1])} \\ \top \\ \xleftarrow{\text{Hom}(-, [0,1])} \end{array} \mathbf{Conv}$$

This adjunction restricts to an equivalence of categories between:

- ▶ **Banach** effect modules, which have a complete norm  
(or equivalently, complete order unit spaces)
- ▶ convex **compact Hausdorff** spaces

This is called **Kadison duality**

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## Effectus

An **effectus** is a category with finite coproducts  $(0, +)$  and  $1$  such that

- ▶ these diagrams are pullbacks:

$$\begin{array}{ccc} A + X & \xrightarrow{\text{id}+g} & A + Y \\ f+\text{id} \downarrow & & \downarrow f+\text{id} \\ B + X & \xrightarrow{\text{id}+g} & B + Y \end{array} \quad \begin{array}{ccc} A & \xrightarrow{\text{id}} & A \\ \kappa_1 \downarrow & & \downarrow \kappa_1 \\ A + X & \xrightarrow{\text{id}+f} & A + Y \end{array}$$

- ▶ these arrows are jointly monic:

$$X + X + X \begin{array}{c} \xrightarrow{\mathbb{V}=[\kappa_1, \kappa_2, \kappa_2]} \\ \xrightarrow{\mathbb{X}=[\kappa_2, \kappa_1, \kappa_2]} \end{array} X + X$$

**Perspective:**

$$\left( \begin{array}{c} \text{disjoint and universal} \\ \text{coproducts} \end{array} \right) \Rightarrow \left( \text{effectus} \right) \Rightarrow \left( \begin{array}{c} \text{disjoint} \\ \text{coproducts} \end{array} \right)$$

## Internal logic

effectus	meaning
objects $X$	types
arrows $X \xrightarrow{f} Y$	programs
$1$ (final object)	singleton/unit type
$1 \xrightarrow{\omega} X$	state
$X \xrightarrow{p} 1 + 1$	predicate
$1 \xrightarrow{\omega} X \xrightarrow{p} 1 + 1$ $\omega \models p$	validity $\omega \models p$
$1 \rightarrow 1 + 1$	scalar
$f_*(\omega) = f \circ \omega$	state transformation
$f^*(q) = q \circ f$	predicate transformation

$$\boxed{f_*(\omega) \models q \iff \omega \models f^*(q)}$$



## Discrete probability example

▶ **Claim:**  $\mathcal{Kl}(\mathcal{D})$  is an effectus!  
 ▶ **Question:** What are the predicates and states?

- ▶ **Predicates** are maps  $p: X \rightarrow 1 + 1 = 2$  in  $\mathcal{Kl}(\mathcal{D})$ 
  - hence they are functions  $p: X \rightarrow \mathcal{D}(2) \cong [0, 1]$
  - predicates on  $X$  in  $\mathcal{Kl}(\mathcal{D})$  are thus **fuzzy**: elements of  $[0, 1]^X$
- ▶ **States** are maps  $\omega: 1 \rightarrow X$  in  $\mathcal{Kl}(\mathcal{D})$ 
  - hence functions  $1 \rightarrow \mathcal{D}(X)$ , or elements of  $\mathcal{D}(X)$
  - and so **discrete probability distributions** on  $X$
- ▶ **Validity**  $\omega \models p$  is Kleisli composition  $p \circ \omega: 1 \rightarrow 1 + 1$ 
  - the outcome is a probability in  $\mathcal{D}(2) \cong [0, 1]$
  - it is given by the **expected value**  $\sum_x \omega(x) \cdot p(x)$

## Examples of states and predicates in an effectus

	State	Predicate	Validity	Scalars
	$1 \xrightarrow{\omega} X$	$X \xrightarrow{p} 1 + 1$	$\omega \models p$	$1 \rightarrow 1 + 1$
classical <b>Sets</b>	element $\omega \in X$	subset $p \subseteq X$	$\omega \in p$	$\{0, 1\}$
probabilistic $\mathcal{Kl}(\mathcal{D})$	discrete distribution $\omega \equiv \sum_i s_i  x_i\rangle$	fuzzy predicates $X \xrightarrow{p} [0, 1]$	$\sum_i s_i p(x_i)$	$[0, 1]$
probabilistic $\mathcal{Kl}(\mathcal{G})$	probability measure $\Sigma_X \xrightarrow{\phi} [0, 1]$	measurable predicates $X \xrightarrow{p} [0, 1]$	$\int p d\phi$	$[0, 1]$
quantum <b>vNA</b> <sup>op</sup>	normal state $\omega: X \rightarrow \mathbb{C}$	effect $0 \leq p \leq 1$ in $X$	$\omega(p)$	$[0, 1]$

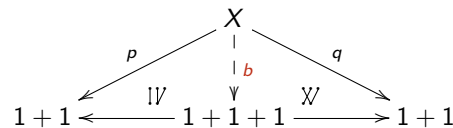
## Effect structure on predicates $X \rightarrow 1 + 1$

- ▶ We get some logical structure for free:

$$1 = (X \xrightarrow{\kappa_1 \circ !} 1 + 1) \quad 0 = (X \xrightarrow{\kappa_2 \circ !} 1 + 1) \quad p^\perp = (X \xrightarrow{p} 1 + 1 \xrightarrow{[\kappa_2, \kappa_1]} 1 + 1)$$

Then  $p^{\perp\perp} = p$ ,  $0^\perp = 1$ ,  $1^\perp = 0$ .

- ▶ Define  $p \perp q$ , for  $p, q: X \rightarrow 1 + 1$  if there is a **bound**  $b$  in:



In that case put  $p \otimes q = (\nabla + \text{id}) \circ b: X \rightarrow 1 + 1$ .

- ▶ Predicates  $1 \rightarrow 1 + 1$  on  $1$  will be called **scalars**
  - they carry a monoid structure  $p \cdot q = [p, \kappa_2] \circ q$
  - it is commutative in presence of distributive tensors

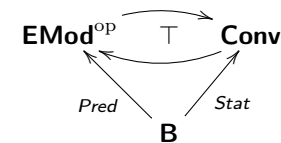
## The structure of predicates and states

### Theorem

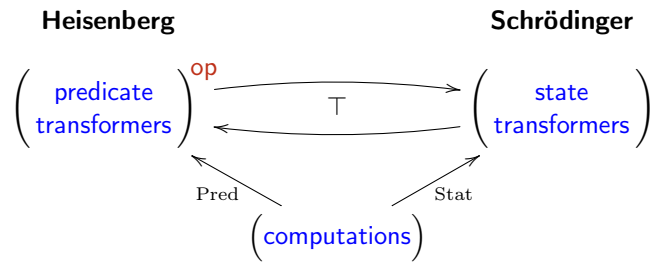
Let  $\mathbf{B}$  be an effectus. Then:

- (1) The predicates  $X \rightarrow 1 + 1$  form an **effect module**
- (2) The states  $1 \rightarrow X$  form a **convex set**

Predicate transformers  $f^*$  and state transformers  $f_*$  preserve this structure. We get a **state-and-effect triangle**:



## General picture: “state-and-effect triangles”



- ▶ The traditional distinction in program semantics between **predicate transformers** and **state transformers** also exists in the quantum world
- ▶ It corresponds to the different approaches of **Heisenberg** (matrix mechanics) and **Schrödinger** (wave equation, for pure state changes)

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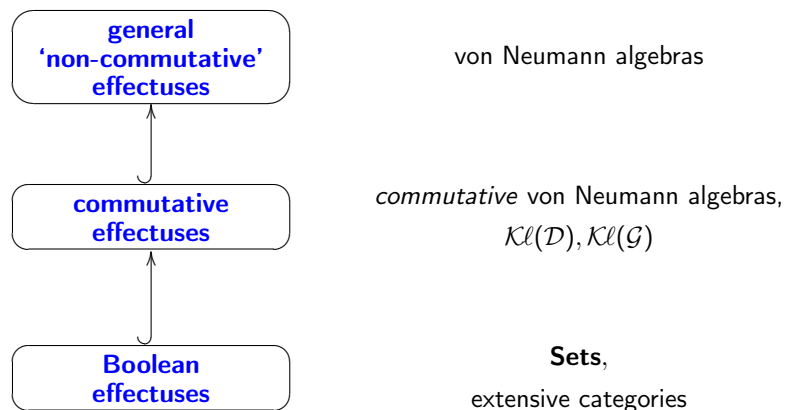
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## Overview: subclasses of effectuses



## Defining these subclasses, I

### Definition

A map  $f: X \rightarrow X + 1$  is called **side-effect free** if  $f \leq \text{id}$ , where:

- ▶  $\text{id} = \kappa_1: X \rightarrow X + 1$  is the Kleisli/partial identity map
- ▶  $\leq$  is an ‘obvious’ order on partial maps, defined as for predicates

**Note:** we can always turn a **partial map** into a **predicate**:

$$(X \xrightarrow{f} X + 1) \longmapsto (X \xrightarrow{f} X + 1 \xrightarrow{!+\text{id}} 1 + 1)$$

- ▶ Often, one can also go the other way around: from predicates to partial endomaps
- ▶ This inverse is called **assert**, written as  $\text{asrt}_p$  for predicate  $p$
- ▶ Sometimes this assert map is even **side-effect free**.



## Defining these subclasses, II

### Definition

The effectus  $\mathbf{B}$  is called **commutative** if

- ▶ there are **side-effect free inverses**  $\text{asrt}_p$  for “partial-map-to-predicate”
- ▶ these **assert** maps commute:  $\text{asrt}_p \circ \text{asrt}_q = \text{asrt}_q \circ \text{asrt}_p$

An effectus is **Boolean** if it is commutative and assert maps are idempotent:  $\text{asrt}_p \circ \text{asrt}_p = \text{asrt}_p$ .

## Main results

### Theorem

- ▶ In a commutative effectus,  $\text{Pred}(X)$  is a commutative effect monoid
- ▶ In a Boolean effectus,  $\text{Pred}(X)$  is a Boolean algebra, functorially:

$$\mathbf{B} \xrightarrow{\text{Pred}} \mathbf{BA}^{op}$$

### Theorem

Boolean effectuses ‘with comprehension’ are the same as **extensive** categories

An **extensive** category has ‘well-behaved’ coproducts: they are disjoint and universal.



## Assert maps for sequential conjunction (‘andthen’)

- ▶ For two predicates  $p, q: X \rightarrow 1 + 1$  define **sequential conjunction**:

$$p \& q := \left( X \xrightarrow{\text{asrt}_p} X + 1 \xrightarrow{[q, \kappa_2]} 1 + 1 \right)$$

- ▶ This  $p \& q$  incorporates the side-effect of  $p$ , via its assert map
  - indeed,  $\&$  is **non-commutative** in general, in the quantum case
  - but it is commutative in commutative effectuses (probabilistic case)
- ▶ More concretely,
  - for  $p, q \in [0, 1]^X$  we have  $(p \& q)(x) = p(x) \cdot q(x)$
  - for  $p, q \in \mathcal{B}(\mathcal{H})$ , we use  $p \& q = \sqrt{p}q\sqrt{p}$

## Assert maps for conditioning of states

- ▶ Assert maps are also useful for **conditioning** of states
  - conditioning is also called (Bayesian) state update/revision
  - a uniform description can be given in an effectus
  - it requires **normalisation**, of partial states to proper states
- ▶ Let  $\omega: 1 \rightarrow X$  be state, and  $p: X \rightarrow 1 + 1$  a predicate
  - we get a partial state by composition:

$$1 \xrightarrow{\omega} X \xrightarrow{\text{asrt}_p} X + 1$$

- write  $\omega|_p: 1 \rightarrow X$  for its normalisation; it exists if  $\omega \models p \neq 0$
- Read  $\omega|_p$  as:  $\omega$ , given  $p$
- ▶ Once prove the **conditional probability rule**:

$$\omega|_p \models q = \frac{\omega \models p \& q}{\omega \models p}$$





## About quotients and comprehension

- ▶ Familiar picture in categorical logic:

truth  $\dashv$  comprehension

- ▶ Quotients  $X/R$  defined for relations  $R \subseteq X \times X$  give:

quotients  $\dashv$  equality

- ▶ In linear algebra quotients  $A/S$  are typically defined for subspaces  $S \subseteq A$ . Then:

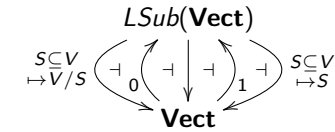
quotients  $\dashv$  falsity

Recall that truth and falsity predicates form right and left adjoints to a fibration (functor), giving a **quotient-comprehension chain**:

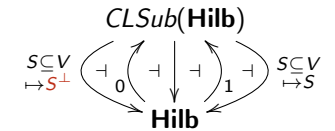
quotients  $\dashv$  falsity  $\dashv$  fibration  $\dashv$  truth  $\dashv$  comprehension

## Example chains

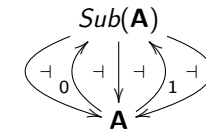
- ▶ For vector spaces:



- ▶ For Hilbert spaces:



- ▶ Each Abelian category  $\mathbf{A}$  has:



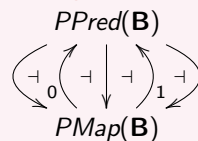
## Effectuses with quotient comprehension chains

For an effectus  $\mathbf{B}$  write:

- ▶  $PMap(\mathbf{B})$  for the category of **partial maps**  $X \rightarrow Y + 1$  in  $\mathbf{B}$
- ▶  $PPred(\mathbf{B})$  for the category with predicates  $p: X \rightarrow 1 + 1$  as objects.
  - maps  $(X \xrightarrow{p} 1 + 1) \xrightarrow{f} (Y \xrightarrow{q} 1 + 1)$  are  $f: X \rightarrow Y + 1$  with:
 
$$p \leq (q^\perp \circ f)^\perp$$

### Definition

An effectus has **quotient and comprehension** if there are outer adjoints:



Such chains exist in all leading examples: non-trivial for v. Neumann algebras

## Quotient-comprehension chains and measurement

- ▶ It turns out that there are close connections between:
  - quotient-comprehension chains in an effectus
  - measurement, via “side-effectful” assert maps
- ▶ Canonical form in von Neumann algebras:  $\text{asrt}_p(x) = \sqrt{p} \cdot x \cdot \sqrt{p}$
- ▶ In all our examples we can factor assert (as partial map):

$$\begin{array}{ccc}
 X & \xrightarrow{\text{asrt}_p} & X \\
 \searrow \xi_{p^\perp} & & \nearrow \pi_{[p]} \\
 & X/p^\perp \cong \{X \mid [p]\} & 
 \end{array}$$

This is formalised in a **telos**:

- an effectus with a **square root** axiom
- it axiomatises von Neumann algebras — and quantum theory
- details are still forthcoming



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## EfProb tool support, see [efprob.cs.ru.nl](http://efprob.cs.ru.nl)

- ▶ **EfProb** is abbreviation of *Effectus Probability*
  - developed jointly with Kenta Cho
- ▶ It is an embedded language of **Python**, for probabilistic calculations
  - it yields **channel-based** probability theory
  - abstractly: a channel is a map in an effectus
  - concretely: conditional probability, stochastic matrix, Markov kernel, ...
- ▶ EfProb uses: states, predicates, random variables, validity, conditioning, state- and predicate-transformation, disintegration ...
  - uniform terminology & notation for discrete/continuous/quantum
  - think:  $\mathcal{KL}(\mathcal{D}) / \mathcal{KL}(\mathcal{G}) / \mathbf{vNA}^{\text{OP}}$
- ▶ Extensive **manual** is available, with many, many examples
  - Bayesian networks, hidden Markov models, quantum protocols, ...



## Example: fish in a pond

### Capture-recapture challenge

Imagine we wish to estimate the number of fish in a pond.

- (1) we catch 20 fish, mark them, and throw them all back
- (2) we wait a bit, catch 25, and find 5 are marked.

How many fish are in the pond?

**Assumptions** for the mathematical model

- ▶ the range of fish is  $[25, 300]$ , as *continuous* interval
- ▶ the prior distribution is uniform
- ▶ in (2), each observed fish is thrown back before another is caught
- ▶ thus we can use a **binomial** with  $N = 25$ , and probability  $p = \frac{20}{x}$ , where  $x \in [20, 300]$  is the number of fish

## Fish example in EfProb

Define domains (sample spaces) and priors:

```
>>> fish_dom = R(25, 300)
>>> catch_dom = range(0, 26)
>>> prior = uniform_state(fish_dom)
```

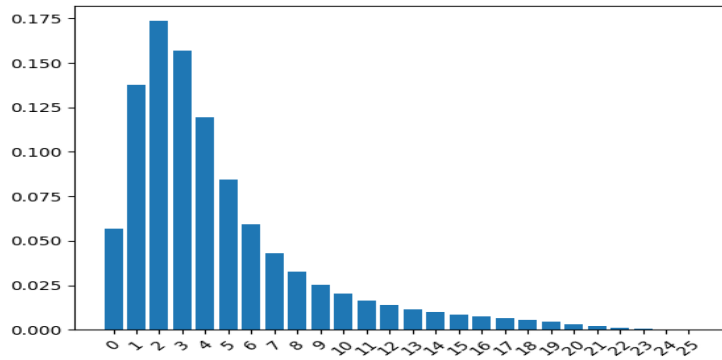
Next, a channel  $[25, 300] \rightarrow \mathcal{D}(\{0, \dots, 25\})$

```
>>> c = chan_fromkmap(lambda x: binomial(25, 20/x),
...                  fish_dom, catch_dom)
>>> catch = c >> prior # forward state transformation
>>> catch.plot()      # draw picture
```

State transformation  $\gg$  gives (Bayesian) **prediction**



## Predict probability of catching $n$ marked fish

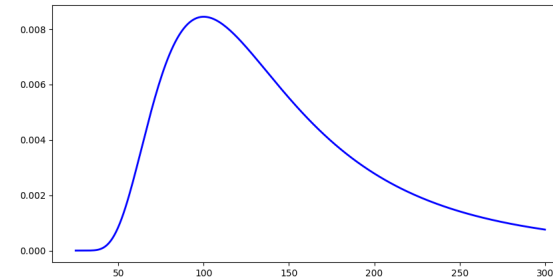


A discrete probability distribution on  $\{0, \dots, 25\}$ , assuming the prior uniform distribution on  $[25, 300]$ .

## Catch 25 fish, find 5 marked: reason backwards

Define 'observe 5' predicate, then transform this predicate & condition:

```
>>> obs_5 = point_pred(5, catch_dom)
>>> post_5 = prior / (c << obs_5)
>>> post_5.plot()
```



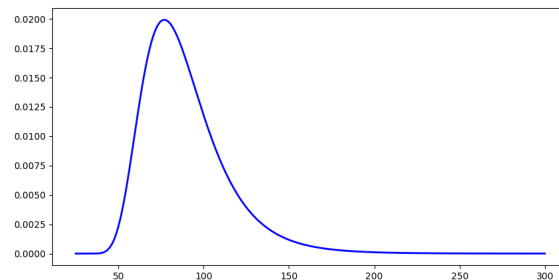
The expected number of fish is **139**



## Catch another 25 fish, now find 8 marked

Update the earlier posterior state `post_5` once again:

```
>>> obs_8 = point_pred(8, catch_dom)
>>> post_5_8 = post_5 / (c << obs_8)
>>> post_5_8.plot()
```



The expected number of fish is now **89**

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## Main points

- ▶ **Effectus** is a basic notion of the “Nijmegen school”
  - weak axioms, but suprisingly rich (logical) structure
- ▶ Different primitives:
  - Oxford: **tensors**  $\otimes$  and interaction, after Schrödinger
  - Nijmegen: **coproducts**  $+$  and logic, after von NeumannThere is “stronger entanglement of research”
- ▶ Basics of effectus theory is now well-developed:
  - state-and-effect triangles
  - commutative (probabilistic) and Boolean subcases
  - quotient and comprehension chains
  - conditioning (update, revision) of states with predicates
  - square root axiom, with pure maps and daggers
- ▶ **EfProb** tool support for discrete/continuous/quantum **channel-based** probability calculations
- ▶ Is effectus theory the ‘new topos theory’? **Far too early to say!**

