#### Flexible presentations of graded monads

Shin-ya Katsumata<sup>1</sup> Dylan McDermott<sup>2</sup> Tarmo Uustalu<sup>2,3</sup> Nicolas Wu<sup>4</sup>

- <sup>1</sup> National Institute of Informatics, Japan <sup>2</sup> Reykjavik University, Iceland
- <sup>3</sup> Tallinn University of Technology, Estonia
   <sup>4</sup> Imperial College London, UK

How can we model quantitative computational effects, where each computation M has a grade  $d \in \mathbb{N}$ ?

$$\frac{\Gamma \vdash V : A}{\Gamma \vdash \operatorname{return} V : A \& 1}$$

$$\frac{\Gamma \vdash fail : A \& 0}{\Gamma \vdash \operatorname{fail} : A \& 0} \qquad \frac{\Gamma \vdash M_1 : A \& d_1 \qquad \Gamma \vdash M_2 : A \& d_2}{\Gamma \vdash \operatorname{or}(M_1, M_2) : A \& (d_1 + d_2)}$$

e.g. to prove equations between terms

or(or(
$$M_1, M_2$$
),  $M_3$ )  $\equiv$  or( $M_1$ , or( $M_2, M_3$ ))  
or( $M_1, M_2$ )  $\equiv$   $M_2$  (if  $\Gamma \vdash M_1 : A \& 0$ )

# Models of effects from presentations

- 1. Monads model computational effects
- 2. They often come from presentations
- 3. which induce algebraic operations
- 4. and provide semantics for effect handlers

[Moggi '89] [Plotkin and Power '02] [Plotkin and Power '03] [Plotkin and Pretnar '09]

Example:

- 1. Nondeterminism can be modelled using the free monoid monad List
- 2. which comes from the presentation of monoids

$$m:2 \qquad u:0$$
  
$$m(m(x,y),z) \equiv m(x,m(y,z)) \qquad m(u,x) \equiv x \equiv m(x,u)$$

3. which also induces algebraic operations

 $\operatorname{fail}_X = \llbracket u \rrbracket : 1 \to \operatorname{List} X \qquad \operatorname{or}_X = \llbracket m \rrbracket : \operatorname{List} X \times \operatorname{List} X \to \operatorname{List} X$ 

**Presentation**  $(\Sigma, E)$ : operations op : *n* from  $\Sigma$ 

+ equations  $t \equiv u$  from E

#### Presentation of monoids:

$$\begin{split} \mathbf{m} &: 2 \quad \mathbf{u} : 0 \\ \mathbf{m}(\mathbf{u}, x) &\equiv x \quad x \equiv \mathbf{m}(x, \mathbf{u}) \\ \mathbf{m}(\mathbf{m}(x, y), z) &\equiv \mathbf{m}(x, \mathbf{m}(y, z)) \end{split}$$

**Presentation**  $(\Sigma, E)$ : operations op : *n* from  $\Sigma$ 

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#### Algebra:

carrier set A with functions  $\llbracket op \rrbracket : A^n \to A$ satisfying equations

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#### Monoid:

carrier set A with functions  $\llbracket u \rrbracket : 1 \rightarrow A$ ,  $\llbracket m \rrbracket : A \times A \rightarrow A$ satisfying unit and associativity eqns

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carrier set A with functions  $\llbracket \operatorname{op} \rrbracket : A^n \to A$  satisfying equations

#### Free algebra on X: algebra $(TX, \llbracket - \rrbracket)$ with function $\eta_X : X \to TX$ satisfying universal property

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#### Free monoid on X:

monoid (List X, fail, or) with singleton function  $X \rightarrow \text{List } X$ satisfying universal property

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#### Free algebra monad T:

has the same algebras as the presentation

#### Presentation of monoids:

#### Monoid:

carrier set A with functions  $\llbracket u \rrbracket : 1 \to A$ ,  $\llbracket m \rrbracket : A \times A \to A$  satisfying unit and associativity eqns

### Free monoid on *X*:

monoid (List X, fail, or) with singleton function  $X \rightarrow \text{List } X$ satisfying universal property

#### Free monoid monad List:

has monoids as algebras

## Models of quantitative effects from graded presentations

1. Nondeterminism can be modelled using a graded monad List

List X = the free graded monoid on the set X

- 2. which comes from a graded presentation of monoids?
- 3. which induces graded algebraic operations?

$$\begin{array}{l} \operatorname{or}_{d_1,d_2,X} : \operatorname{List} X \, d_1 \times \operatorname{List} X \, d_2 \to \operatorname{List} X \, (d_1 + d_2) \qquad (d_1,d_2 \in \mathbb{N}) \\ \operatorname{fail}_X : \mathbf{1} \to \operatorname{List} X \, \mathbf{0} \end{array}$$

 $\frac{\Gamma \vdash \text{fail}: A \& \mathbf{0}}{\Gamma \vdash \text{fail}: A \& \mathbf{0}} \qquad \frac{\Gamma \vdash M_1 : A \& \mathbf{d}_1 \qquad \Gamma \vdash M_2 : A \& \mathbf{d}_2}{\Gamma \vdash \text{or}(M_1, M_2) : A \& (\mathbf{d}_1 + \mathbf{d}_2)}$ 

The existing notions of graded presentation [Smirnov '08, Milius et al. '15, Dorsch et al. '19, Kura '20] are not general enough to do this

## This work

Develop a notion of flexibly graded presentation

- Every flexibly graded presentation  $(\Sigma, E)$  induces
  - ► a canonical graded monad  $T_{(\Sigma,E)}$
  - along with a flexibly graded algebraic operation for each operation of the presentation
- Examples like List have computationally natural flexibly graded presentations
- The constructions are mathematically justified by locally graded categories, and a notion of flexibly graded abstract clone

## Algebras

Algebraic structures form concrete categories  $(\mathbb{C}, U : \mathbb{C} \to \text{Set})$ , consisting of:

- 1. a collection of objects  $|\mathbb{C}|$ ;
- 2. for each object  $A \in \mathbb{C}$ , a carrier set UA
- 3. for each A, B  $\in$  A, a set  $\mathbb{C}(A, B)$  of functions  $f : UA \rightarrow UB$ , called homomorphisms  $f : A \rightarrow B$ ;
- 4. such that homomorphisms are closed under identities and composition

$$\operatorname{id}_{UA} : \mathsf{A} \to \mathsf{A}$$
  
 $(g \circ f) : \mathsf{A}_1 \to \mathsf{A}_3 \text{ for } f : \mathsf{A}_1 \to \mathsf{A}_2, g : \mathsf{A}_2 \to \mathsf{A}_3$ 

Examples:

- monoids A = (A, m, u), with carrier UA = A, and monoid homomorphisms f: A → B;
- also rings, groups, mnemoids, semilattices, . . .

## Algebras

An isomorphism

$$I: (\mathbb{C}, U) \cong (\mathbb{C}', U')$$

of concrete categories consists of

- 1. a bijection  $I: |\mathbb{C}| \cong |\mathbb{C}'|;$
- 2. such that U(IA) = UA' for all A, and

$$f \in \mathbb{C}(\mathsf{A},\mathsf{A}') \quad \Leftrightarrow \quad f \in \mathbb{C}'(I\mathsf{A},I\mathsf{A}')$$

for all functions  $f: UA \rightarrow UA'$ .

### Presentation algebras

Fix a presentation  $(\Sigma, E)$  consisting of a set  $\Sigma(n)$  of *n*-ary operations for each  $n \in \mathbb{N}$ , together with a collection of equations

A (Σ, E)-algebra A = (A, [[−]]) is a carrier set U<sub>(Σ,E)</sub>A = A, together with interpretation functions

$$\llbracket \operatorname{op} \rrbracket : A^n \to A \text{ for each op} \in \Sigma(n)$$

satisfying the equations

•  $(\Sigma, E)$  is a *presentation* of  $(\mathbb{C}, U)$  if

$$(\mathbb{C}, U) \cong (\operatorname{Alg}(\Sigma, E), U_{(\Sigma, E)})$$

Examples:

▶ (Mon, U) has a presentation

$$\begin{split} \Sigma(0) &= \{\mathsf{u}\} \qquad \Sigma(2) = \{\mathsf{m}\} \qquad \Sigma(n) = \emptyset \quad \text{otherwise} \\ \mathsf{m}(\mathsf{u}, x) &\equiv x \equiv \mathsf{m}(x, \mathsf{u}) \qquad \mathsf{m}(\mathsf{m}(x, y), z) \equiv \mathsf{m}(x, \mathsf{m}(y, z)) \end{split}$$

also rings, groups, mnemoids, semilattices, ...

### Monad algebras

A monad T (in Kleisli form, on Set) consists of:

- $\blacktriangleright$  a set TX for each set X
- unit functions  $\eta_X : X \to TX$
- ► Kleisli extension  $\frac{f: X \to TY}{f^{\dagger}: TX \to TY}$

such that the monad laws hold:

$$f^{\dagger} \circ \eta_X = f$$
  $(\eta_X)^{\dagger} = \mathrm{id}_{TX}$   $(g^{\dagger} \circ f)^{\dagger} = g^{\dagger} \circ f^{\dagger}$ 

► A T-algebra A =  $(A, (-)^{\ddagger})$  is a carrier set  $U_T A = A$ , together with an extension operation  $\frac{f: X \to A}{f^{\ddagger}: TX \to A}$  such that  $f^{\dagger} \circ n_X = f. (a^{\dagger} \circ f)^{\ddagger} = a^{\ddagger} \circ f^{\dagger}$ 

 $(\mathbb{C}, U)$  is *monadic* if  $(\mathbb{C}, U) \cong (\operatorname{Alg}(\mathsf{T}), U_{\mathsf{T}})$  for some (unique) monad T

### Algebraic structures are monadic

If (C, U) is any algebraic structure that has a presentation (Σ, E)
e.g. monoids, rings, groups, arithmoids, semilattices, ...
then (C, U) is monadic:



#### Theorem

For a concrete category  $(\mathbb{C}, U)$ , the following are equivalent:

- 1.  $(\mathbb{C}, U)$  has a presentation  $(\Sigma, E)$ ;
- 2.  $(\mathbb{C}, U)$  is monadic, and the monad T is finitary.

# Grading

Definition

A  $(\mathbb{N}_{\leq}-)$ graded set  $X:\mathbb{N}_{\leq}\rightarrow$  Set consists of:

▶ a set Xd for each  $d \in \mathbb{N}$ 

▶ a function  $X(d \le d') : Xd \to Xd'$  for each  $d \le d' \in \mathbb{N}$ 

such that  $X(d \le d) = \text{id}$  and  $X(d' \le d'') \circ X(d \le d') = X(d \le d'')$ . A morphism  $f: X - e \rightarrow Y$  of grade  $e \in \mathbb{N}$  is a natural family of functions

$$f_d: Xd \to Y(d \cdot e)$$

Identities have grade 1, composition multiplies grades, and we can coerce a morphism to a larger grade:

so we get a locally graded category [Wood '76] of graded sets

# Grading

▶ For each (ungraded) set *X*, there is a graded set List *X*:

- ListXd is lists over X of length  $\leq d$
- List $X(d \le d')$  is the inclusion List $Xd \subseteq \text{List}Xd'$

and morphism dup :  $ListX - 2 \rightarrow ListX$ 

$$dup_d : \text{List}Xd \rightarrow \text{List}X(d \cdot 2)$$
$$dup_d[x_1, x_2, \dots, x_k] = [x_1, x_1, x_2, x_2, \dots, x_k, x_k]$$

Every (ungraded) set X forms a graded set KX such that morphisms f : KX − e → Y are equivalently functions f<sub>1</sub> : X → Ye:
(X if d > 1

$$KXd = \begin{cases} X & \text{if } d \ge 1 \\ \emptyset & \text{otherwise} \end{cases}$$

#### Graded algebraic structures

A graded monoid A = (A, m, u) consists of:

- ► a graded set A (the carrier)
- ▶ multiplication functions  $m_{d_1,d_2} : Ad_1 \times Ad_2 \rightarrow A(d_1 + d_2)$ natural in  $d_1, d_2 \in \mathbb{N}_{\leq}$
- ▶ a unit  $u \in A0$

such that

$$m_{0,d}(u,x) = x = m_{d,0}(x,u)$$
$$m_{d_1+d_2,d_3}(m_{d_1,d_2}(x,y),z) = m_{d_1,d_2+d_3}(x,m_{d_2,d_3}(y,z))$$

A morphism  $f : A - e \rightarrow B$  of grade e is a graded set morphism  $f : A - e \rightarrow B$  such that

$$f_{d_1+d_2}(m_{d_1,d_2}(x_1,x_2)) = m_{d_1 \cdot e,d_2 \cdot e}(f_{d_1}x_1,f_{d_2}x_2) \qquad f_0 u = u$$

Example: the free graded monoid on a set X is

- graded set ListX, with
- ▶ concatenation of lists  $ListXd_1 \times ListXd_2 \rightarrow ListX(d_1 + d_2)$
- the empty list  $[] \in \text{List}X0$

#### Graded algebraic structures

Graded algebraic structures form concrete locally graded categories  $(C, U : C \rightarrow GSet)$ , consisting of:

- 1. a collection of objects |C|;
- 2. for each object  $A \in C$ , a carrier graded set UA
- 3. for each A, B  $\in$  A, and grade *e*, a set C(A, B)e of morphisms  $f: UA e \rightarrow UB$ , the morphisms  $f: A e \rightarrow B$  of grade *e*;
- 4. such that morphisms are closed under identities, composition, and coercions

$$\begin{split} & \operatorname{id}_{UA} : \mathsf{A} - 1 \to \mathsf{A} \\ & (g \circ f) : \mathsf{A}_1 - e \cdot e' \to \mathsf{A}_3 \quad \text{for } f : \mathsf{A}_1 - e \to \mathsf{A}_2, g : \mathsf{A}_2 - e' \to \mathsf{A}_3 \\ & (e \leq e')f^* : \mathsf{A} - e' \to \mathsf{B} \quad \text{for } e \leq e', f : \mathsf{A} - e \to \mathsf{B} \end{split}$$

Examples:

- graded monoids A = (A, m, u), with carrier UA = A;
- also graded rings, graded modules, ...

#### Graded presentations [Smirnov '08, Milius et al. '15, Dorsch et al. '19, Kura '20]

Fix a (rigidly) graded presentation  $(\Sigma, E)$  consisting of a set  $\Sigma(n, d)$  of *n*-ary operations of grade *d* for each  $n, d \in \mathbb{N}$ , together with a collection of equations

A (Σ, E)-algebra A = (A, [[−]]) is a graded set U<sub>(Σ,E)</sub>A = A, together with interpretation functions

 $\llbracket \operatorname{op} \rrbracket_e : (Ae)^n \to A(d \cdot e) \text{ for each op} \in \Sigma(n, d)$ 

satisfying the equations

• 
$$(\Sigma, E)$$
 is a *presentation* of  $(C, U)$  if

 $(C, U) \cong (\operatorname{Alg}(\Sigma, E), U_{(\Sigma, E)})$ 

## Graded monads

[Borceux, Janelidze, Kelly '05; Smirnov '08; Melliès '12; Katsumata '14]

A graded monad T consists of:

- a graded set TX for each (ungraded) set X
- ▶ unit functions  $\eta_X : X \to TX1$ ▶ Kleisli extension  $\frac{f: X \to TYe}{f_d^{\dagger}: TXd \to TY(d \cdot e)}$  natural in d, e

such that the monad laws hold:

$$f_1^{\dagger} \circ \eta_X = f$$
  $(\eta_X)_d^{\dagger} = \mathrm{id}_{TXd}$   $(g_e^{\dagger} \circ f)_d^{\dagger} = g_{d \cdot e}^{\dagger} \circ f_d^{\dagger}$ 

Example: the graded monad List has

- graded set ListX for each set X
- singleton functions  $X \rightarrow \text{List}X1$

$$f_d^{\dagger}[x_1,\ldots,x_k] = fx_1 + \cdots + fx_k$$

## Graded monads

[Borceux, Janelidze, Kelly '05; Smirnov '08; Melliès '12; Katsumata '14]

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► A T-algebra A =  $(A, (-)^{\ddagger})$  is a graded set  $U_T A = A$ , with an extension operation

(C,U) is graded monadic if  $(C,U)\cong(Alg(\mathsf{T}),U_\mathsf{T})$  for some (unique) graded monad  $\mathsf{T}$ 

# The problem with graded monads

Graded monoids are not graded monadic, hence do not have a rigidly graded presentation

There is a concrete functor



satisfying a universal property, but it is not an isomorphism

Similarly for graded rings, ... (but graded modules have a rigidly graded presentation)

Graded presentations are too rigid

Each operation op  $\in \Sigma(n, d)$  is interpreted as

$$\llbracket \operatorname{op} \rrbracket_e : (Ae)^n \to A(d \cdot e)$$

but we want

$$\mathsf{m}_{d_1,d_2}: Ad_1 \times Ad_2 \to A(d_1 + d_2)$$

## This work

Develop a notion of flexibly graded presentation

- Every flexibly graded presentation  $(\Sigma, E)$  induces
  - ► a canonical graded monad  $T_{(\Sigma,E)}$
  - along with a flexibly graded algebraic operation for each operation of the presentation
- Examples like List have computationally natural flexibly graded presentations
- The constructions are mathematically justified by locally graded categories, and a notion of flexibly graded abstract clone

#### Flexibly graded presentations

A flexibly graded presentation  $(\Sigma, E)$  consists of

a signature Σ: sets

$$\Sigma(d'_1,\ldots,d'_n;d)$$

of operations

$$\frac{e \in \mathbb{N} \quad \Gamma \vdash t_1 : d'_1 \cdot e \quad \cdots \quad \Gamma \vdash t_n : d'_n \cdot e}{\Gamma \vdash \operatorname{op}(e; t_1, \dots, t_n) : d \cdot e}$$

such as 
$$m_{d_1,d_2} \in E(d_1, d_2; (d_1 + d_2))$$

• a collection of axioms E: sets  $E(d'_1, \ldots, d'_n; d)$ 

$$x_1:d'_1,\ldots,x_n:d'_n\vdash t\equiv u:d$$

such as

$$\mathsf{m}_{d_1+d_2,d_3}(1;\mathsf{m}_{d_1,d_2}(1;x,y),z) \equiv \mathsf{m}_{d_1,d_2+d_3}(1;x,\mathsf{m}_{d_2,d_3}(1;y,z))$$

For every flexibly graded presentation  $(\Sigma, E)$ , there is:

► a notion of  $(\Sigma, E)$ -algebra, forming a locally graded category Alg $(\Sigma, E)$ 

A 
$$(\Sigma, E)$$
-algebra  $(A, \llbracket - \rrbracket)$  is:  
• a graded set  $A$   
• with an interpretation  
 $\llbracket [op \rrbracket_e : \prod_i A(d'_i \cdot e) \to A(d \cdot e)$  natural in  $e$   
of each op  $\in \Sigma(d'_1, \dots, d'_n; d)$   
• satisfying each axiom  $t \equiv u$  of  $E$ :  
 $\llbracket t \rrbracket_e = \llbracket u \rrbracket_e$  for every  $e$ 

For every flexibly graded presentation  $(\Sigma, E)$ , there is:

- ► a notion of  $(\Sigma, E)$ -algebra, forming a locally graded category  $Alg(\Sigma, E)$
- a sound and complete equational logic

$$\Gamma \vdash t \equiv u : d \text{ generated by}$$

$$\frac{(t, u) \in E(d'_1, \dots, d'_n; d) \quad \Gamma \vdash s_1 : d'_1 \cdot e \quad \dots \quad \Gamma \vdash s_n : d'_n \cdot e}{\Gamma \vdash t\{e; x_1 \mapsto s_1, \dots, x_n \mapsto s_n\} \equiv u\{e; x_1 \mapsto s_1, \dots, x_n \mapsto s_n\} : d \cdot e}$$
and some other rules
Soundness and completeness:

 $\llbracket t \rrbracket = \llbracket u \rrbracket$  in every  $(\Sigma, E)$ -algebra  $\Leftrightarrow \Gamma \vdash t \equiv u : d$  is derivable

For every flexibly graded presentation  $(\Sigma, E)$ , there is:

- ► a notion of  $(\Sigma, E)$ -algebra, forming a locally graded category  $Alg(\Sigma, E)$
- a sound and complete equational logic
- ► a graded monad  $T_{(\Sigma,E)}$  on Set and concrete functor  $R_{(\Sigma,E)} : Alg(\Sigma, E) \rightarrow Alg(T_{(\Sigma,E)})$ , with a universal property

For every graded monad T' and concrete functor R': Alg $(\Sigma, E) \rightarrow Alg(T')$ :

$$\begin{array}{ccc} \operatorname{Alg}(\Sigma, E) \xrightarrow{R_{(\Sigma, E)}} \operatorname{Alg}(\mathsf{T}_{(\Sigma, E)}) & \mathsf{T}_{(\Sigma, E)} \\ & & & \downarrow^{\operatorname{Alg}(\alpha)} & & \uparrow^{\alpha} \\ & & & \mathsf{Alg}(\mathsf{T}') & & \mathsf{T}' \end{array}$$

(But  $R_{(\Sigma,E)}$  is usually not an isomorphism)

For every flexibly graded presentation  $(\Sigma, E)$ , there is:

- ► a notion of  $(\Sigma, E)$ -algebra, forming a locally graded category  $Alg(\Sigma, E)$
- a sound and complete equational logic
- ► a graded monad  $T_{(\Sigma,E)}$  on Set and concrete functor  $R_{(\Sigma,E)} : Alg(\Sigma, E) \rightarrow Alg(T_{(\Sigma,E)})$ , with a universal property
- for every op in  $\Sigma$ , a flexibly graded algebraic operation

For op  $\in \Sigma(d'_1, \ldots, d'_n; d)$ :

$$\alpha_{\mathsf{op},X,e}:\prod_i T_{(\Sigma,E)}X(d'_i \cdot e) \to T_{(\Sigma,E)}X(d \cdot e)$$

natural in e, and compatible with Kleisli extension

(Because each free  $T_{(\Sigma,E)}$ -algebra  $T_{(\Sigma,E)}X$  forms a  $(\Sigma, E)$ -algebra)

For every flexibly graded presentation  $(\Sigma, E)$ , there is:

- a notion of  $(\Sigma, E)$ -algebra, forming a locally graded category  $Alg(\Sigma, E)$
- a sound and complete equational logic
- ► a graded monad  $T_{(\Sigma,E)}$  on Set and concrete functor  $R_{(\Sigma,E)} : Alg(\Sigma, E) \rightarrow Alg(T_{(\Sigma,E)})$ , with a universal property
- for every op in  $\Sigma$ , a flexibly graded algebraic operation

A large class of graded monads have flexibly graded presentations:

- exactly the finitary graded monads on Set
- correspondence goes via flexibly graded clones

Graded monads we care about have natural flexibly graded presentations

# Summary

Given a flexibly graded presentation  $(\Sigma, E)$ , there is

- ► a graded monad  $T_{(\Sigma,E)}$
- with a  $(d'_1, \ldots, d'_n; d)$ -ary algebraic operation

 $\llbracket \operatorname{op} \rrbracket_{X,e} : \prod_i T_{(\Sigma,E)} X(d'_i \cdot e) \to T_{(\Sigma,E)} X(d \cdot e)$ 

for each op  $\in \Sigma(d'_1, \ldots, d'_n; d)$  (satisfying equations)

 that is in some sense canonical, even if it does not quite capture (Σ, E)-algebras

Details are in the papers:

- Dylan McDermott and Tarmo Uustalu, Flexibly graded monads and graded algebras, MPC 2022
- Shin-ya Katsumata, Dylan McDermott, Tarmo Uustalu and Nicolas Wu, Flexible presentations of graded monads, ICFP 2022

# Constructing $T_{(\Sigma,E)}$



# Constructing $T_{(\Sigma,E)}$

algebraic theories and relative monads are closely connected (jww Nathanael Arkor)



## Monads as models of computational effects

Let T be the monad that arises from a presentation  $(\Sigma, E)$ . Then:

- an element  $t \in TX$  can be thought of as a computation over X
- ▶ the unit functions  $\eta_X : X \to TX$  provide trivial computations
- ▶ the Kleisli extension functions  $(X \rightarrow TY) \rightarrow (TX \rightarrow TY)$  provide sequencing of computations
- the interpretation functions

 $\llbracket \operatorname{op} \rrbracket : (TX)^n \to TX$  where  $(\operatorname{op} : n) \in \Sigma$ 

provide effectful operations

Example: if  $(\Sigma, E)$  is the presentation of monoids, then

- a computation  $t \in TX = \text{List}X$  is a list of alternatives;
- ► TX = ListX is a monoid, with unit [[u]] : 1 → ListX the empty list multiplication [[m]] : ListX × ListX → ListX concatenation of lists