

# Hypercategories

Robert Paré

Vancouver  
July 2017

- Preliminary report on **Cat**-indexed categories, a.k.a. hypercategories
- More questions than answers
- Four parts
  1. Indexed categories
  2. Double categories
  3. Families of categories
  4. Derivators

# I. Indexed Categories

# Genesis

- Grew out of the master plan of developing mathematics based on an arbitrary elementary topos  $\mathbf{S}$  (rather than a fixed set theory, *ZFC* e.g.)
- Mathematics is best done using category theory
  - Small category is a category object in  $\mathbf{S}$
  - Large category? E.g.  $Gr(\mathbf{S})$
- Idea is that a large category should come equipped with a notion of family of objects parametrized by an object of  $\mathbf{S}$

## History

- 1973 Lawvere - Perugia notes - “Theory of categories over a base topos”
- 1974 Bénabou - Lectures University of Montreal - “Fibrations”
- 1974 Penon - Comptes Rendus - “Catégories localement internes”
- 1978 Paré - Schumacher - SLN - “Indexed categories”

Idea of families indexed by some structured object

- $\approx$  1850 - Riemann - Moduli spaces
- $\approx$  1960 - Mumford et al

## Definition

- $\mathbf{S}$  a category of parameters - has finite limits
- $\mathbf{S}$ -indexed category  $\mathcal{A}$ 
  - For every  $I$  in  $\mathbf{S}$  a category  $\mathcal{A}(I)$  of  $I$ -indexed families:  $\langle A_i \rangle_{i \in I}$
  - For every  $\alpha : J \rightarrow I$  a functor  $\alpha^* : \mathcal{A}(I) \rightarrow \mathcal{A}(J)$ , the *reindexing*:  
 $\alpha^* \langle A_i \rangle_{i \in I} = \langle A_{\alpha j} \rangle_{j \in J}$
  - Natural isomorphisms

$$\phi_I : \mathbf{1}_{\mathcal{A}(I)} \xrightarrow{\cong} \mathbf{1}_I^*$$

$$\phi_{\alpha, \beta} : \beta^* \alpha^* \xrightarrow{\cong} (\alpha\beta)^*$$

- Satisfying coherence conditions: two unit triangles and one associativity pentagon
- $\mathcal{A}(\_) : \mathbf{I}^{op} \rightarrow \underline{\underline{CAT}}$  is a pseudo-functor
- If  $\phi_I, \phi_{\alpha, \beta}$  are identities, we say  $\mathcal{A}$  is *rigid*

## Examples

- $\mathbf{S} = \mathbf{Set}$ ,  $\mathbf{A}$  arbitrary category

$$\mathcal{A}(I) = \mathbf{A}^I = \prod_I \mathbf{A}$$

- Object is an actual  $I$ -family  $\langle A_i \rangle_{i \in I}$  of  $\mathbf{A}$  objects
  - Morphism is  $\langle f_i \rangle : \langle A_i \rangle \longrightarrow \langle B_i \rangle$  an  $I$ -family of morphisms  $f_i : A_i \longrightarrow B_i$
  - $\alpha^* \langle A_i \rangle_{i \in I} = \langle A_{\alpha j} \rangle_{j \in J}$  reindexing
- $\mathbf{S}$  an elementary topos

- $\mathcal{S}(I) = \mathbf{S}/I$ ,  $\alpha^* : \mathbf{S}/I \longrightarrow \mathbf{S}/J$  is pullback

$\mathcal{S}$  is  $\mathbf{S}$  indexed by itself

- Groups in  $\mathbf{S}$  are indexed by

$$Gr(\mathcal{S})(I) = Gr(\mathbf{S}/I)$$

$\alpha^*$  preserves groups

# Morphisms

- An *indexed functor*  $F : \mathcal{A} \rightarrow \mathcal{B}$  is a pseudo-natural transformation
  - For every  $I$ ,  $F(I) : \mathcal{A}(I) \rightarrow \mathcal{B}(I)$  a functor
  - For every  $\alpha$ , a natural isomorphism

$$\begin{array}{ccc}
 \mathcal{A}(I) & \xrightarrow{F(I)} & \mathcal{B}(I) \\
 \alpha^* \downarrow & \psi_\alpha \swarrow & \downarrow \alpha^* \\
 \mathcal{A}(J) & \xrightarrow{F(J)} & \mathcal{B}(J)
 \end{array}$$

- Satisfying “obvious” coherence conditions
- It is *rigid* if all  $\psi_\alpha$  are identities
- An *indexed natural transformation*  $t : F \rightarrow G$  is a modification
  - For every  $I$ , a natural transformation  $t(I) : F(I) \rightarrow G(I)$
  - Compatible with the  $\psi_\alpha$
- Get a 2-category **S-IndCat**



## Externalization

- Let  $\mathbb{C} = (C_2 \begin{array}{c} \xrightarrow{p_1} \\ \xrightarrow{m} \\ \xrightarrow{p_2} \end{array} C_1 \begin{array}{c} \xrightarrow{d_0} \\ \xleftarrow{\text{id}} \\ \xrightarrow{d_1} \end{array} C_0)$  be a category object in  $\mathbf{S}$

The *externalization* of  $\mathbb{C}$  is the indexed category  $\mathcal{E}x(\mathbb{C})$

- $\mathcal{E}x(\mathbb{C})(I)$  - Objects  $I \rightarrow C_0$   
- Morphisms  $I \rightarrow C_1$
- $\alpha : J \rightarrow I, \alpha^* : \mathcal{E}x(\mathbb{C})(I) \rightarrow \mathcal{E}x(\mathbb{C})(J)$

$$(I \rightarrow C_0) \mapsto (J \xrightarrow{\alpha} I \rightarrow C_0)$$

- $\mathcal{E}x(\mathbb{C})$  is a rigid  $\mathbf{S}$ -indexed category
- Also have  $\mathcal{E}x(F), \mathcal{E}x(t)$  for internal functors and natural transformations
- $\underline{\underline{Cat}}(\mathbf{S}) \xrightarrow{\mathcal{E}x} \underline{\underline{Rigid-S-IndCat}}$  is 2-full and faithful

## Smallness

- $\mathcal{A}$  is *small* if it is isomorphic to  $\mathcal{E}x(\mathbb{C})$  for some category object  $\mathbb{C}$  in  $\mathbf{S}$
- $\mathcal{A}$  has *small homs* if for every  $I$  and  $A, B \in \mathcal{A}(I)$  there exist  $\text{hom}(A, B) : H(A, B) \rightarrow I$  and a natural bijection

$$\begin{array}{ccc}
 J & \longrightarrow & H(A, B) \\
 \searrow & & \swarrow \\
 & I & \\
 \alpha & & \text{hom}(A, B)
 \end{array}
 \quad \text{in } \mathbf{S}/I$$

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$$\alpha^* A \rightarrow \alpha^* B \quad \text{in } \mathcal{A}(J)$$

- When  $\mathbf{S} = \mathbf{Set}$ ,  $\mathbf{S}/I \simeq \mathbf{Set}^I$ ,  $\mathcal{A}(I) = \mathbf{A}^I$

$$\text{hom}(A, B) = \langle \mathbf{A}(A_i, B_i) \rangle_{i \in I}$$

- If  $\mathcal{A}$  has small homs,  $\mathcal{A}(I)$  enriched in  $\mathbf{S}/I$  (with cartesian product)

$\Sigma \Pi$ 

- $\mathcal{A}$  has *indexed sums* if
  - for every  $\alpha : J \rightarrow I$ ,  $\alpha^* : \mathcal{A}(I) \rightarrow \mathcal{A}(J)$  has a left adjoint

$$\sum_{\alpha} : \mathcal{A}(J) \rightarrow \mathcal{A}(I)$$

- (*Beck condition*) for every pullback

$$\begin{array}{ccc} L & \xrightarrow{\beta} & K \\ \delta \downarrow & \lrcorner & \downarrow \gamma \\ J & \xrightarrow{\alpha} & I \end{array}$$

the canonical morphism

$$\begin{array}{ccc} \mathcal{A}(L) & \xrightarrow{\sum_{\beta}} & \mathcal{A}(K) \\ \delta^* \uparrow & \Rightarrow & \uparrow \gamma^* \\ \mathcal{A}(J) & \xrightarrow{\sum_{\alpha}} & \mathcal{A}(I) \end{array}$$

is invertible

- Beck condition says that  $\sum_{\alpha}$  is “pointwise”

- For  $\mathbf{S} = \mathbf{Set}$

$$\sum_{\alpha} (\langle A_j \rangle_{j \in J}) = \langle \sum_{\alpha(j)=i} A_j \rangle_{i \in I}$$

- $\prod_{\alpha}$  is dual: right adjoint to  $\alpha^*$  satisfying a similar Beck condition
- For  $\mathcal{A} = \mathcal{S}$ ,  $\sum_{\alpha}$ ,  $\prod_{\alpha}$  are well-known from topos theory

$\sum$  exists for any  $\mathbf{S}$  and  $\prod$  exists if and only if  $\mathbf{S}$  is locally cartesian-closed

## Remarks

- Once the basic position of equipping a category with a notion of abstract families is taken, the general theory is easy, especially for one with a basic acquaintance with topos theory
- The more like sets  $\mathbf{S}$  is, the more like ordinary category theory  $\mathbf{S}$ -indexed categories will be. E.g.  $\mathbf{S}$  a topos or spaces of some sort
- The basic ideas are
  - natural notion of family parametrized by objects of  $\mathbf{S}$
  - a notion of sums and products of these families
  - naturally occurring category objects in  $\mathbf{S}$
- The families intuition can be very useful

## Categories as Parametrizers

- **Cat** is a good candidate for parameters
  - Almost a topos: cartesian-closed, sums are disjoint and universal
  - Well, certainly very “space like”
  - Families indexed by categories - fibrations, diagrams, . . .
  - Kan extensions are sums or products of such families
  - Category objects in **Cat** are double categories
  
- Basic theory is straightforward - concentrate on the differences specific to our choice of **Cat** as category of parameters
  - Not locally cartesian-closed but we have a characterization of those functors for which  $\coprod$  exists, the Conduché fibrations
  - Quotients are not good - **Cat** is not a regular category

# Hypercategories

## Definition

A *hypercategory* is a **Cat**-indexed category

A *hyperfunctor* is a **Cat**-indexed functor

A *hypernatural transformation* is a **Cat**-indexed natural transformation

"Hypercategory" is the old Eilenberg-Kelly name for 2-category

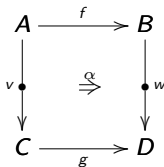
## II. Double Categories



# Double Categories

- Ehresmann  $\approx$  1960

Double category has objects, two kinds of arrows, horizontal and vertical, and cells



- Horizontal and vertical compositions, giving two category structures, related by interchange
- Category object in **Cat**

$$\mathbb{A} = \mathbf{A}_2 \begin{array}{c} \xrightarrow{p_1} \\ \xrightarrow{m} \\ \xrightarrow{p_2} \end{array} \mathbf{A}_1 \begin{array}{c} \xrightarrow{d_0} \\ \xleftarrow{id} \\ \xrightarrow{d_1} \end{array} \mathbf{A}_0$$

$\mathbf{A}_0$ : objects and vertical arrows

$\mathbf{A}_1$ : horizontal arrows and cells

## Double Functors, Horizontal Transformations

- A double functor  $F : \mathbb{A} \longrightarrow \mathbb{B}$  is a function taking objects, horizontal (resp. vertical) arrows, and cells of  $\mathbb{A}$  to similar elements of  $\mathbb{B}$

$$\begin{array}{ccc}
 A_1 & \xrightarrow{f_1} & A_2 \\
 \downarrow v_1 & \Downarrow \alpha & \downarrow v_2 \\
 A_3 & \xrightarrow{f_3} & A_4
 \end{array}
 \quad \xrightarrow{F} \quad
 \begin{array}{ccc}
 FA_1 & \xrightarrow{Ff_1} & FA_2 \\
 \downarrow Fv_1 & \Downarrow F\alpha & \downarrow Fv_2 \\
 FA_3 & \xrightarrow{Ff_3} & FA_4
 \end{array}$$

preserving everything

- A horizontal transformation  $t : F \longrightarrow G$  is
  - for every  $A$  in  $\mathbb{A}$ , a horizontal arrow  $tA : FA \longrightarrow GA$  in  $\mathbb{B}$
  - for every vertical arrow  $v$  in  $\mathbb{A}$ , a cell

$$\begin{array}{ccc}
 FA & \xrightarrow{tA} & GA \\
 \downarrow Fv & \Downarrow tv & \downarrow Gv \\
 FA' & \xrightarrow{tA'} & GA'
 \end{array}$$

- horizontally natural
- vertically functorial

## Examples

- Sets, functions, relations, inclusion

$$\begin{array}{ccc}
 A & \xrightarrow{f} & B \\
 R \downarrow & \subseteq & \downarrow S \\
 C & \xrightarrow{g} & D
 \end{array}$$

- For any category  $\mathbf{A}$ ,  $\square \mathbf{A}$  squares in  $\mathbf{A}$
- For any 2-category  $\underline{\mathbf{A}}$ ,  $\mathbb{Q}\underline{\mathbf{A}}$  quintets in  $\underline{\mathbf{A}}$

$$\begin{array}{ccc}
 A & \xrightarrow{f} & B \\
 h \downarrow & \alpha \searrow & \downarrow k \\
 C & \xrightarrow{g} & D
 \end{array}$$

- For any 2-category  $\underline{\mathbf{A}}$ ,  $\mathbb{H}\text{or}\underline{\mathbf{A}}$

$$\begin{array}{ccc}
 A & \xrightarrow{f} & B \\
 \parallel & \Downarrow \alpha & \parallel \\
 A & \xrightarrow{g} & B
 \end{array}$$

## Externalization

- Every double category  $\mathbb{A}$  gives a hypercategory  $\mathcal{E}x(\mathbb{A})$ 
  - Objects of  $\mathcal{E}x(\mathbb{A})(\mathbf{I})$  are vertical diagrams of shape  $\mathbf{I}$  in  $\mathbb{A}$

$$\mathbf{I} \longrightarrow \mathbf{A}_0 \quad \text{i.e.} \quad \text{Vert } \mathbf{I} \longrightarrow \mathbb{A}$$

- Morphisms of  $\mathcal{E}x(\mathbb{A})(\mathbf{I})$  are

$$\mathbf{I} \longrightarrow \mathbf{A}_1$$

i.e., horizontal transformations of vertical diagrams

- For  $F : \mathbf{J} \longrightarrow \mathbf{I}$ ,  $F^* : \mathcal{E}x(\mathbb{A})(\mathbf{I}) \longrightarrow \mathcal{E}x(\mathbb{A})(\mathbf{J})$  is given by composition

$$(\text{Vert } \mathbf{I} \xrightarrow{\Phi} \mathbb{A}) \xrightarrow{F^*} (\text{Vert } \mathbf{J} \xrightarrow{\text{Vert } F} \text{Vert } \mathbf{I} \xrightarrow{\Phi} \mathbb{A})$$

- $\mathcal{E}x(\mathbb{A})(\mathbf{1})$  has
  - objects: the objects of  $\mathbb{A}$
  - arrows: the horizontal arrows of  $\mathbb{A}$
- $\mathcal{E}x(\mathbb{A})$  is a rigid hypercategory

## Examples

- $\mathcal{E}x(\square \mathbf{A})(\mathbf{I}) = \mathbf{A}^{\mathbf{I}}$ ,  $F^* = \mathbf{A}^F : \mathbf{A}^{\mathbf{I}} \longrightarrow \mathbf{A}^{\mathbf{J}}$

$\prod_F, \sum_F$  are Kan extensions *but* Beck condition doesn't hold!

- $\mathcal{E}x(\mathbb{Q}\underline{\underline{A}})(\mathbf{I})$

- objects are 2-functors  $\mathbf{I} \longrightarrow \underline{\underline{A}}$
- morphisms are lax transformations

- $\mathcal{E}x(\mathbb{H}\text{or}\underline{\underline{A}})(\mathbf{I})$

- objects are constant on components of  $\mathbf{I}$ , i.e. a function  $\pi_0 \mathbf{I} \longrightarrow \text{Ob } \underline{\underline{A}}$
- morphisms are not constant
- e.g. if  $\mathbf{I}$  is connected, an object of  $\mathcal{E}x(\mathbb{H}\text{or}\underline{\underline{A}})(\mathbf{I})$  is an object of  $\underline{\underline{A}}$ , and a morphism  $A \longrightarrow B$  is a functor  $\mathbf{I} \longrightarrow \underline{\underline{A}}(A, B)$

## Small homs

- Every small category, i.e.  $\mathcal{E}x(\mathbb{A})$ , has small homs
- Let  $\Phi, \Psi : \text{Vert } \mathbf{I} \rightarrow \mathbb{A}$  be two  $\mathbf{I}$ -families  
 $\text{hom}(\Phi, \Psi)$  is given by the pullback

$$\begin{array}{ccc}
 H(\Phi, \Psi) & \longrightarrow & \mathbf{A}_1 \\
 \text{hom}(\Phi, \Psi) \downarrow & & \downarrow \langle d_0, d_1 \rangle \\
 \mathbf{I} & \xrightarrow{\langle \Phi, \Psi \rangle} & \mathbf{A}_0 \times \mathbf{A}_0
 \end{array}$$

- an object of  $H(\Phi, \Psi)$  is a pair  $(I, \Phi I \xrightarrow{f} \Psi I)$
- a morphism is a pair  $(i, \phi)$

$$\begin{array}{ccccc}
 I & \Phi I & \xrightarrow{f} & \Psi I & \\
 i \downarrow & \downarrow \phi_i & \Downarrow \phi & \downarrow \psi_i & \\
 J & \Phi J & \xrightarrow{g} & \Psi J & 
 \end{array}$$

### Remark

$\text{hom}(\Phi, \Psi)$  is a family of categories, an object of  $\mathbf{Cat}/\mathbf{I}$  (general theory). It can be an arbitrary category over  $\mathbf{I}$ ,  $\mathbf{X} \rightarrow \mathbf{I}$  (take  $\mathbf{I} + \mathbf{X} + \mathbf{X} + \mathbf{I} \rightrightarrows \mathbf{I} + \mathbf{X} + \mathbf{I} \rightrightarrows \mathbf{I} + \mathbf{I}$ )

# Tabulators

- For  $\mathcal{A} = \mathcal{E}x\mathbb{A}$

$$\prod_2 : \mathcal{A}(2) \longrightarrow \mathcal{A}(1)$$

gives tabulators for  $\mathbb{A}$

- The adjointness  $2^* \dashv \prod_2$  gives the 1-dimensional universal property

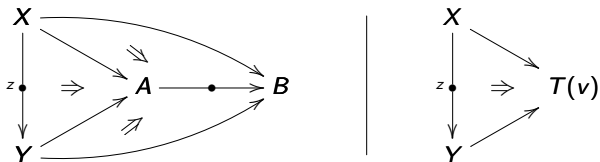
$$\begin{array}{ccc}
 & & \mathbf{A} \\
 & \nearrow & \downarrow v \\
 \mathbf{X} & \Rightarrow & \bullet \\
 & \searrow & \downarrow \\
 & & \mathbf{B}
 \end{array}
 \quad \Bigg| \quad
 \mathbf{X} \Rightarrow T(v)$$

## Tetrahedron

- Beck for

$$\begin{array}{ccc}
 \mathfrak{2} \times \mathfrak{2} & \xrightarrow{P_2} & \mathfrak{2} \\
 P_1 \downarrow & & \downarrow \mathfrak{2} \\
 \mathfrak{2} & \xrightarrow{\mathfrak{2}} & \mathbb{1}
 \end{array}$$

gives the tetrahedron condition





## 2-Functoriality

- $\mathcal{E}x(\mathbb{A})(-) : \mathbf{Cat}^{op} \rightarrow \mathbf{CAT}$  is a functor but not usually a 2-functor!

- 

$$\begin{array}{ccc}
 \mathbf{J} & \begin{array}{c} \xrightarrow{F} \\ \Downarrow t \\ \xrightarrow{G} \end{array} & \mathbf{I} \\
 & \xrightarrow{\quad} & \\
 & \mathcal{E}x(\mathbb{A})(\mathbf{I}) & \begin{array}{c} \xrightarrow{F^*} \\ ? \\ \xrightarrow{G^*} \end{array} & \mathcal{E}x(\mathbb{A})(\mathbf{J})
 \end{array}$$

Given an  $\mathbf{I}$ -family  $\Phi : \mathbf{I} \rightarrow \mathbf{A}_0$  we get

$$\begin{array}{ccc}
 \Phi F & \xrightarrow{\Phi t} & \Phi G \\
 \parallel & & \parallel \\
 F^* \Phi & \longrightarrow & G^* \Psi
 \end{array}$$

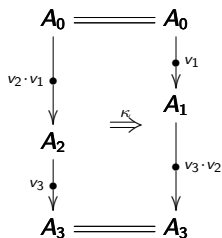
But this is a vertical transformation ( $\Phi t(J)$  is a vertical arrow)

A natural transformation  $F^* \rightarrow G^*$  is a horizontal transformation

- $\mathcal{E}x(\square \mathbf{A})$  is 2-functorial
- $\mathcal{E}x(\underline{\mathbb{Q}} \mathbf{A})$  is not in general

## Weak Double Categories

- Most double categories of structures are weak
- A *weak* double category has the same data as a double category except that vertical composition is only unitary and associative up to coherent special isomorphism, e.g.



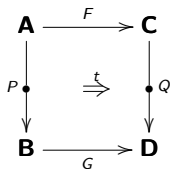
- It can be viewed as a weak category object

$$\mathbf{A}_3 \begin{array}{c} \text{====} \\ \text{====} \\ \text{====} \\ \text{====} \\ \text{====} \end{array} \mathbf{A}_2 \begin{array}{c} \text{====} \\ \text{====} \\ \text{====} \\ \text{====} \\ \text{====} \end{array} \mathbf{A}_1 \begin{array}{c} \text{====} \\ \text{====} \\ \text{====} \\ \text{====} \\ \text{====} \end{array} \mathbf{A}_0$$

in CAT

## Cat

- There is a weak double category  $\mathbb{C}at$  that plays the role of  $\mathbf{Cat}$  in the double category universe
- It consists of small categories, functors, profunctors, natural transformations



$$t : P(-, -) \Rightarrow Q(F-, G-)$$

- Profunctors are “relations between categories”
- $P : \mathbf{A} \multimap \mathbf{B}$  is  $P : \mathbf{A}^{op} \times \mathbf{B} \rightarrow \mathbf{Set}$

## Other Examples

- $\mathbf{Set}$ : sets, functions, spans
- $\mathbf{Ring}$ : rings, homomorphisms, bimodules
- $\mathbf{Vert}\underline{\underline{B}}$ :  $\underline{\underline{B}}$  a bicategory
- $\mathbf{V-Cat}$ : suitable  $\mathbf{V}$
- $\mathbf{V-Set}$ : sets, functions,  $\mathbf{V}$ -matrices

# The Hypercategory of a Weak Double Category

- $\mathcal{H}yp(\mathbb{A})(\mathbf{I})$ 
  - objects pseudo-functors  $\text{Vert } \mathbf{I} \longrightarrow \mathbb{A}$
  - morphisms are pseudo-natural transformations
  - $F^*$  is precomposition with  $F$
- $\mathcal{H}yp(\mathbb{A})$  is a rigid hypercategory
- $\mathcal{H}yp(\mathbb{A})$  has small homs
- The natural notion of morphism is pseudo-functor (or weak functor)  $\Phi : \mathbb{A} \longrightarrow \mathbb{B}$
- This gives  $\mathcal{H}yp(\mathbb{A}) \xrightarrow{\mathcal{H}yp(\Phi)} \mathcal{H}yp(\mathbb{B})$  a rigid hyperfunctor

## Proposition

*There is an equivalence of categories*

$$\frac{\mathbb{A} \xrightarrow{\text{weak}} \mathbb{B}}{\mathcal{H}yp(\mathbb{A}) \xrightarrow{\text{rigid}} \mathcal{H}yp(\mathbb{B})}$$

## Essential Smallness

- A category is essentially small if it is equivalent to a small one
- Equivalence for indexed categories (Bunge-Paré, Cahiers 1980)

- Strong equivalence  $\mathcal{A} \begin{array}{c} \xrightarrow{F} \\ \xleftarrow{G} \end{array} \mathcal{B}$  such that  $FG \cong 1$ ,  $GF \cong 1$

- Weak equivalence

- $F$  full and faithful ( $F(I)$  is full and faithful for every  $I$ )
- $F$  essentially surjective on objects: for every  $I, B \in \mathcal{B}(I)$  there is a cover  $e : J \twoheadrightarrow I$ ,  $A \in \mathcal{A}(J)$ , and an isomorphism  $e^* B \cong F(J)(A)$

- There *cover* meant regular epimorphism, and  $\mathbf{S}$  was assumed to be regular

## Effective Descent Morphisms

- **Cat** is not regular
- A good notion of cover is an effective descent morphism

### Theorem

(Janelidze, Sobral, Tholen) A functor  $F : \mathbf{J} \longrightarrow \mathbf{I}$  is of effective descent type in **Cat** if and only if it is onto on objects, arrows, and composable pairs of objects

### Theorem

If  $\mathbb{A}$  is a weak double category, then there exist a strict double category  $\mathbb{B}$  and a weak equivalence  $\mathcal{E}x(\mathbb{B}) \longrightarrow \mathcal{H}yp(\mathbb{A})$

# III. Families of Categories

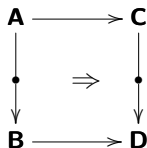


# The Indexing of *Cat*

- There are many possible notions of what a family of categories or functors might be
  - **Cat/I** categories over **I** with commutative triangles
  - **Cat//I** categories over **I** with lax triangles
  - **Fib/I** fibrations over **I** with cartesian functors
  - **Cond/I** Conduché fibrations with commutative triangles
  - Pseudo( $I^{op}$ , **Cat**)
  - Etc.

# The Standard Indexing

- $\mathcal{Cat}(\mathbf{I}) = \mathbf{Cat}/\mathbf{I}$ ,  $F^*$  is pullback along  $F$
- $\mathcal{Cat}(\mathbf{1}) \cong \mathbf{Cat}$
- $\mathcal{Cat}(\mathbf{2})$  has objects profunctors  $\mathbf{A} \overset{\bullet}{\dashrightarrow} \mathbf{B}$   
morphisms natural transformations



- $\mathcal{Cat}$  is a flexible hypercategory

# Lax Functors

## Theorem

(Bénabou) A category over  $\mathbf{I}$ ,  $U : \mathbf{A} \rightarrow \mathbf{I}$  is equivalent to a normal lax functor  $\mathbf{I} \rightarrow \mathbf{Prof}$

- In fact  $\mathbf{Cat}/\mathbf{I}$  is equivalent to the category of normal lax functors  $\mathbf{Vert} \mathbf{I} \rightarrow \mathbf{Cat}$  with horizontal transformations
- The correspondence is given by

$$I \mapsto \mathbf{A}_I = U^{-1}(I)$$

$$i \mapsto P_i$$

$$P_i(A, A') = \{a : A \rightarrow A' \mid Ua = i\}$$

- This does not use choice
- If instead we take this as our definition of  $\mathcal{Cat}$ , then we get an equivalent but rigid hypercategory

Some Properties of  $\mathcal{C}at$ 

- $\mathcal{C}at$  has  $\sum_F$  satisfying the Beck condition (true in general for any  $\mathbf{S}$ )
- $\mathcal{C}at( ) : \mathbf{Cat}^{op} \rightarrow \mathbf{CAT}$  is not a 2-functor
  - Let  $I, I' : \mathbb{1} \rightarrow \mathbf{I}$  be two functors and  $i : I \rightarrow I'$  a natural transformation. Then we have

$$\mathcal{C}at(\mathbf{I}) \begin{array}{c} \xrightarrow{I^*} \\ \xrightarrow{I'^*} \end{array} \mathcal{C}at(\mathbb{1})$$

$$\text{i.e. } \mathbf{Cat}/I \begin{array}{c} \xrightarrow{\quad} \\ \xrightarrow{\quad} \end{array} \mathbf{Cat}$$

$$\begin{array}{ccc} \mathbf{A} & \xrightarrow{I^*} & \mathbf{A}_I \\ \downarrow & & \\ \mathbf{I} & \xrightarrow{I'^*} & \mathbf{A}_{I'} \end{array}$$

but there may not be any functor  $\mathbf{A}_I \rightarrow \mathbf{A}_{I'}$  (if  $\mathbf{A}_I \neq \emptyset = \mathbf{A}_{I'}$ )

## Powerful Families

- An object  $A$  in a cartesian category  $\mathbf{A}$  is *powerful* if  $A \times ( ) : \mathbf{A} \rightarrow \mathbf{A}$  has a right adjoint  $( )^A$

### Theorem

(Giraud, Conduché)  $U : \mathbf{A} \rightarrow \mathbf{I}$  is powerful in  $\mathbf{Cat}/\mathbf{I}$  if and only if it satisfies the following condition: for every  $f : A \rightarrow A'$ , every factorization of  $Uf$ ,  $UA \xrightarrow{x} I \xrightarrow{y} UA'$  lifts to a factorization of  $f$ ,  $A \xrightarrow{g} \bar{A} \xrightarrow{h} A'$ ,  $Ug = x$ ,  $Uh = y$ , and any two liftings are connected by a zigzag path of diagrams

$$\begin{array}{ccccc}
 A & \xrightarrow{g} & \bar{A} & \xrightarrow{h} & A' \\
 \parallel & & \downarrow a & & \parallel \\
 A & \xrightarrow{g'} & \bar{A}' & \xrightarrow{h'} & A'
 \end{array}$$

with  $Ua = 1_I$

## Powerful Categories

### Proposition

- (1) *Powerful morphisms are stable under pullback*
- (2)  $F^* : \mathbf{Cat}/\mathbf{I} \rightarrow \mathbf{Cat}/\mathbf{J}$  *has a right adjoint  $\prod_F$  if and only if  $F$  is powerful*
- (3)  $\prod_F$  *satisfies the Beck condition*

- Get a subhypercategory  $\mathcal{P}\mathbf{Cat}$  of  $\mathbf{Cat}$  with  $\mathcal{P}\mathbf{Cat}(\mathbf{I})$  the full subcategory of  $\mathbf{Cat}/\mathbf{I}$  determined by the powerful families
- $\mathcal{P}\mathbf{Cat}$  has small homs
- $\mathbf{A} \rightarrow \mathbf{I}$  is powerful if and only if the corresponding lax functor  $\mathbf{Vert} \mathbf{I} \rightarrow \mathbf{Cat}$  is in fact pseudo
- $\mathcal{P}\mathbf{Cat} \cong \mathcal{H}\mathit{yp}(\mathbf{Cat})$

# Conduché at Work

- Useful to see in detail how the Conduché condition comes in

- Let  $U : \mathbf{A} \rightarrow \mathbf{I}$  and  $V : \mathbf{B} \rightarrow \mathbf{I}$  be such that  $V^U$  exists in  $\mathbf{Cat}/\mathbf{I}$ . Say  $V^U : \mathbf{C} \rightarrow \mathbf{I}$
- An object of  $\mathbf{C}$  has to be  $(I, \Phi : \mathbf{A}_I \rightarrow \mathbf{B}_I)$
- A morphism of  $\mathbf{C}$  has to be

$$\begin{array}{ccccc}
 I & \mathbf{A}_I & \xrightarrow{\Phi} & \mathbf{B}_I & \\
 i \downarrow & P_i \downarrow & \Downarrow \phi & \downarrow Q_i & \\
 I' & \mathbf{A}_{I'} & \xrightarrow{\Phi'} & \mathbf{B}_{I'} & 
 \end{array}$$

- Composition

$$\begin{array}{ccccccc}
 I & & \mathbf{A}_I & \xlongequal{\quad} & \mathbf{A}_I & \xrightarrow{\Phi'} & \mathbf{B}_I & \xlongequal{\quad} & \mathbf{B}_I \\
 i \downarrow & & \downarrow & & \downarrow P_i & \Downarrow \phi & \downarrow Q_i & & \downarrow \\
 I' & & P_{i'I} \downarrow & & \mathbf{A}_{I'} & \xrightarrow{\Phi'} & \mathbf{B}_{I'} & & \downarrow Q_{i'I} \\
 i' \downarrow & & \Downarrow \mu_{i',i}^{-1} & & \downarrow P_{i'I} & \Downarrow \phi' & \downarrow Q_i & & \Downarrow \nu_{i',i} \\
 I'' & & \mathbf{A}_{I''} & \xlongequal{\quad} & \mathbf{A}_{I''} & \xrightarrow{\Phi''} & \mathbf{B}_{I''} & \xlongequal{\quad} & \mathbf{B}_{I''}
 \end{array}$$

## Contrafamilies

### Definition

An  $\mathbf{I}$ -indexed *contrafamily* of categories is a normal oplax functor  $\mathbb{V}er\mathbf{I} \rightarrow \mathbf{Cat}$   
 A morphism of contrafamilies is a horizontal transformation

- If  $\Phi$  is a contrafamily and  $\Psi$  a family, the pointwise exponential  $\Psi^\Phi(I) = \Psi(I)^{\Phi(I)}$  is a family
- Precomposition gives reindexing functors for a hypercat  $\mathcal{C}on\mathcal{C}at$
- Note that  $\mathcal{C}on\mathcal{C}at(\mathbb{1}) \cong \mathbf{Cat}$

### Theorem

$\mathcal{C}on\mathcal{C}at(\mathbf{I})$  is cartesian closed



## Measuring

- Let  $\Phi$  be a contrafamily and  $\Psi, \Theta$  families. A  $\Phi$ -measuring from  $\Psi$  to  $\Theta$  is a morphism of families  $\Psi \rightarrow \Theta^\Phi$

$$M(I) : \Phi I \times \Psi I \rightarrow \Theta I$$

$$\begin{array}{ccc}
 \Phi I \times \Psi I & \xrightarrow{M I} & \Theta I \\
 \downarrow \Phi(i) \times \Psi(i) & \Downarrow M_i & \downarrow \Theta i \\
 \Phi I' \times \Psi I' & \xrightarrow{M I'} & \Theta I'
 \end{array}$$

- Compatible with the laxity and colaxity cells

### Theorem

Given two families  $\Psi, \Theta$ , there is a universal measuring from  $\Psi$  to  $\Theta$

$$M(\Psi, \Theta) \times \Psi \rightarrow \Theta$$

### Corollary

$\mathcal{C}at(\mathbf{I})$  is enriched in  $\mathit{ConCat}(\mathbf{I})$  and is cotensored

# IV. Derivators

# Derivators

- Heller - Homotopy theories (1988)
- Grothendieck - Les Dérivateurs (1990)
- Franke - System of triangulated diagram categories (1996?)

## Definition

A *derivator* is

- (Der 0) A 2-functor (strict)  $\mathcal{A} : \mathbf{Cat}^{op} \rightarrow \mathbf{CAT}$
- (Der 1)  $\mathcal{A}(\sum \mathbf{I}_\alpha) \cong \prod \mathcal{A}(\mathbf{I}_\alpha)$
- (Der 2)  $\mathcal{A}(\mathbf{1}) \rightarrow \prod_{\mathbf{1}} \mathcal{A}(\mathbf{1})$  conservative
- (Der 3)  $F^*$  has a left adjoint  $\sum_F$  and a right adjoint  $\prod_F$
- (Der 4) Beck-Chevalley for comma categories

$$\begin{array}{ccc}
 \begin{array}{ccc}
 \mathbf{L} & \xrightarrow{G} & \mathbf{K} \\
 \psi \downarrow & \swarrow & \downarrow \phi \\
 \mathbf{J} & \xrightarrow{F} & \mathbf{I}
 \end{array} & \Rightarrow & 
 \begin{array}{ccc}
 \mathcal{A}(\mathbf{L}) & \xrightarrow{\sum_G} & \mathcal{A}(\mathbf{K}) \\
 \psi^* \uparrow & \swarrow \cong & \uparrow \phi^* \\
 \mathcal{A}(\mathbf{J}) & \xrightarrow{\sum_F} & \mathcal{A}(\mathbf{I})
 \end{array}
 \end{array}
 \qquad
 \begin{array}{ccc}
 \mathcal{A}(\mathbf{L}) & \xleftarrow{G^*} & \mathcal{A}(\mathbf{K}) \\
 \Pi_\psi \downarrow & \swarrow \cong & \downarrow \Pi_\phi \\
 \mathcal{A}(\mathbf{J}) & \xleftarrow{F^*} & \mathcal{A}(\mathbf{I})
 \end{array}$$

- (Der 5) The canonical  $\mathcal{A}(\mathbb{2} \times \mathbf{I}) \rightarrow \mathcal{A}(\mathbf{I})^2$  is essentially surjective on objects and full

# Derivators as Hypercategories

- What do (Der 0)-(Der 5) mean in terms of hypercategories?  
In particular for  $\mathcal{E}x(\mathbb{A})$ ?

## Der 0

- (Der 0):  $\mathcal{A}(-) : \mathbf{Cat}^{op} \rightarrow \mathbf{CAT}$  is a 2-functor

- For  $\mathbb{1} \begin{array}{c} \xrightarrow{0} \\ \xleftarrow{!} \\ \xrightarrow{1} \end{array} \mathbb{2}$  we have  $0 \dashv ! \dashv 1$  so  $\mathcal{A}(\mathbb{2}) \begin{array}{c} \xrightarrow{0^*} \\ \xleftarrow{!^*} \\ \xrightarrow{1^*} \end{array} \mathcal{A}(\mathbb{1})$ ,  $1^* \dashv !^* \dashv 0^*$

For  $\mathcal{A} = \mathcal{E}x(\mathbb{A})$

$\mathcal{E}x(\mathbb{A})(\mathbb{2})$  is the category whose objects are vertical arrows and whose morphisms are cells

$\mathcal{E}x(\mathbb{A})(\mathbb{1})$  is the category whose objects are those of  $\mathbb{A}$  and whose morphisms are horizontal arrows

$0^*$  is the domain functor,  $1^*$  is the codomain functor and  $!^*$  is the functor “identity”

$$\begin{array}{ccc}
 A & \xrightarrow{\text{dom}} & A \\
 \downarrow v & & \\
 B & \xrightarrow{\text{cod}} & B
 \end{array}
 \qquad
 A \xrightarrow{\text{id}} \begin{array}{c} A \\ \downarrow \text{id} \\ A \end{array}$$

$$\text{cod} \dashv \text{id} \dashv \text{dom}$$

# cod $\dashv$ id $\dashv$ dom

- $(\text{dom})(\text{id}) \cong 1$  so id is full and faithful

$$\begin{array}{ccc}
 A & \xrightarrow{f} & B \\
 \text{id}_A \downarrow & \xRightarrow{\alpha} & \downarrow \text{id}_B \\
 A & \xrightarrow{g} & B
 \end{array}
 \quad \Rightarrow \quad
 f = g \ \& \ \alpha = \text{id}_f$$

- cod  $\dashv$  id

$$\begin{array}{ccc}
 A & & A \\
 \downarrow v & & \downarrow v \\
 B & \xrightarrow{g} & C \\
 & & \exists! \downarrow \\
 & & B \\
 & & \xrightarrow{g} \\
 & & C
 \end{array}
 \quad \begin{array}{ccc}
 A & \xrightarrow{f} & C \\
 \downarrow v & \xRightarrow{\alpha} & \downarrow \text{id}_C \\
 B & \xrightarrow{g} & C
 \end{array}$$

- id  $\dashv$  dom

$$\begin{array}{ccc}
 A & \xrightarrow{f} & B \\
 & & \downarrow w \\
 & & C \\
 & & \exists! \downarrow \\
 & & A \\
 & & \xrightarrow{g} \\
 & & C
 \end{array}
 \quad \begin{array}{ccc}
 A & \xrightarrow{f} & B \\
 \text{id}_A \downarrow & \xRightarrow{\beta} & \downarrow w \\
 A & \xrightarrow{g} & C
 \end{array}$$

## Companions

- This means that every vertical arrow  $v$  has a horizontal companion  $v_{\circ}$
- Furthermore  $(\ )_{\circ}$  is functorial
- Finally

$$\begin{array}{ccc}
 A & \xrightarrow{f} & C \\
 \downarrow v & \Rightarrow \alpha & \downarrow w \\
 B & \xrightarrow{g} & D
 \end{array}
 \cong
 \begin{array}{ccccc}
 A & \xrightarrow{f} & C & \xrightarrow{w_{\circ}} & D \\
 \downarrow \text{id}_A & & & \Rightarrow \beta & \downarrow \text{id}_D \\
 A & \xrightarrow{v_{\circ}} & B & \xrightarrow{g} & D
 \end{array}$$

- I.e., for any boundary  $(f, g; v, w)$  there is at most one cell and there is one if and only if  $w_{\circ}f = sv_{\circ}$



## Lax Kernel

- Let  $\mathbf{A}$ ,  $\mathbf{B}$  be two categories with the same objects and  $\Phi : \mathbf{A} \rightarrow \mathbf{B}$  a functor, identity on objects. We can construct a double category  $\mathbb{K}_\Phi$  with objects those of  $\mathbf{A}$  (and/or  $\mathbf{B}$ ), vertical arrows the morphisms of  $\mathbf{A}$  and horizontal arrows the morphisms of  $\mathbf{B}$ . There is a unique cell

$$\begin{array}{ccc}
 A & \xrightarrow{b} & C \\
 \downarrow a & \xRightarrow{\alpha} & \downarrow a' \\
 B & \xrightarrow{b'} & D
 \end{array}$$

$$\text{iff } (\Phi a')b = b'(\Phi a)$$

- $\mathbb{K}_\Phi$  is a kind of lax kernel of  $\Phi$

$$(\Phi, \Phi, \Phi) \begin{array}{c} \rightrightarrows \\ \rightrightarrows \\ \rightrightarrows \end{array} (\Phi, \Phi) \begin{array}{c} \rightrightarrows \\ \rightrightarrows \\ \rightrightarrows \end{array} \mathbf{A} \xrightarrow{\Phi} \mathbf{B}$$

## Proposition

$\mathcal{E}x(\mathbb{A})$  satisfies (Der 0) if and only if  $\mathbb{A}$  is of the form  $\mathbb{K}_\Phi$  for some  $\Phi$

## Der 1

- (Der 1)  $\mathcal{A}(\sum \mathbf{I}_\alpha) \cong \prod \mathcal{A}(\mathbf{I}_\alpha)$
- This says that a family indexed by a sum of categories is an ordinary family of families indexed by each component
  - $\mathcal{E}x(\mathbb{A})$  always satisfies this
  - So does  $\mathcal{H}yp(\mathbb{A})$
  - Also  $\mathcal{C}at, \mathcal{P}\mathcal{C}at, \mathcal{C}on\mathcal{C}at$

## Der 2

- (Der 2)  $\mathcal{A}(\mathbf{1}) \longrightarrow \prod_{\mathbf{1}} \mathcal{A}(\mathbf{1})$  conservative
- When  $\mathcal{A} = \mathcal{E}x(\mathbb{A})$ , this says that if  $f$  and  $g$  in

$$\begin{array}{ccc}
 A & \xrightarrow{f} & C \\
 \downarrow v & \Rightarrow \alpha & \downarrow w \\
 B & \xrightarrow{g} & D
 \end{array}$$

are invertible, then so is  $\alpha$

- E.g.: For a bicategory  $\underline{B}$ ,  $\text{Vert} \underline{B}$  satisfies this if and only if  $\underline{B}$  is groupoid enriched
- For  $\mathcal{E}x(\mathbb{A})$  this follows from (Der 0)
- For  $\mathcal{E}x(\mathbb{A})$  and  $\mathcal{H}yp(\mathbb{A})$  we do have

a weaker condition

$$\mathcal{A}(\mathbf{1}) \longrightarrow \prod_{\text{Arr} \mathbf{1}} \mathcal{A}(2)$$

is conservative

## Der 3

- (Der 3)  $F^*$  has a left adjoint  $\sum_F$  and a right adjoint  $\prod_F$

These are the usual adjoints from indexed category theory, though they are usually required to satisfy the Beck condition for pullbacks

- For  $\mathcal{A} = \mathcal{E}x(\mathbb{A})$  or  $\mathcal{H}yp(\mathbb{A})$  and  $\mathbf{I} : \mathbf{I} \rightarrow \mathbb{1}$ ,  $\prod_{\mathbf{I}} : \mathcal{A}(\mathbf{I}) \rightarrow \mathcal{A}(\mathbb{1})$  gives the horizontal limit of a vertical diagram, like tabulators e.g.
- For general  $F : \mathbf{I} \rightarrow \mathbf{J}$ ,  $\prod_F : \mathcal{A}(\mathbf{I}) \rightarrow \mathcal{A}(\mathbf{J})$  is a kind of horizontal Kan extension

## Der 4

- (Der 4) The Beck condition for comma objects requires  $\mathcal{A}(\ )$  to be a 2-functor in order to get the comparisons

$$\begin{array}{ccc}
 \mathcal{A}(\mathbf{L}) & \xrightarrow{\Sigma_G} & \mathcal{A}(\mathbf{K}) \\
 \uparrow \psi^* & \searrow & \uparrow \phi^* \\
 \mathcal{A}(\mathbf{J}) & \xrightarrow{\Sigma_F} & \mathcal{A}(\mathbf{I})
 \end{array}$$

$$\begin{array}{ccc}
 \mathcal{A}(\mathbf{L}) & \xleftarrow{G^*} & \mathcal{A}(\mathbf{K}) \\
 \downarrow \Pi_\psi & \swarrow & \downarrow \Pi_\phi \\
 \mathcal{A}(\mathbf{J}) & \xleftarrow{F^*} & \mathcal{A}(\mathbf{I})
 \end{array}$$

## Der 5

- (Der 5)  $H_1 : \mathcal{A}(\mathcal{I} \times \mathbf{1}) \rightarrow \mathcal{A}(\mathbf{1})^2$  essentially surjective on objects and full
- Also depends on  $\mathcal{A}(\ )$  being a 2-functor
- In fact  $H_1$  is the embodiment of 2-functoriality

• Given  $\mathbf{I} \begin{array}{c} \xrightarrow{F} \\ \Downarrow t \\ \xrightarrow{G} \end{array} \mathbf{J}$  we get  $\mathcal{I} \times \mathbf{1} \xrightarrow{T} \mathbf{J}$

so  $\mathcal{A}(\mathbf{J}) \xrightarrow{T^*} \mathcal{A}(\mathcal{I} \times \mathbf{1})$

If we compose with  $H_1$  we get  $\mathcal{A}(\mathbf{J}) \xrightarrow{H_1 T^*} \mathcal{A}(\mathbf{1})^2$

Thus  $t^* : F^* \rightarrow G^*$

## H as a Hyperfunctor

- We can define new hypercategories from old as follows

- $\mathcal{A}[2]$  is given by  $\mathcal{A}[2](\mathbf{I}) = \mathcal{A}(2 \times \mathbf{I})$

This is the hypercategory of internal (or vertical) arrows of  $\mathcal{A}$

- $\mathcal{A}^2$  is given by  $\mathcal{A}^2(\mathbf{I}) = \mathcal{A}(\mathbf{I})^2$

This is the hypercategory of external (or horizontal) arrows of  $\mathcal{A}$

- $H : \mathcal{A}[2] \longrightarrow \mathcal{A}^2$  is a hyperfunctor

It is an assignment of horizontal arrows to vertical ones

- For a double category  $\mathbb{A}$

$\mathcal{E}x(\mathbb{A})[2]$  corresponds to  $\mathbb{A}^{\text{Vert}2}$

$\mathcal{E}x(\mathbb{A})^2$  corresponds to  $\mathbb{A}^{\text{Hor}2}$

$H : \mathbb{A}^{\text{Vert}2} \longrightarrow \mathbb{A}^{\text{Hor}2}$

## $H$ for $\mathcal{E}x(\mathbb{K}_\Phi)$

- $H$  for  $\mathcal{E}x(\mathbb{K}_\Phi)$  is always full and faithful
- For it to be essentially surjective on objects as in (Der 5) means that there is a functor  $S$  and an isomorphism

$$\begin{array}{ccc}
 \mathbf{B}^2 & \xrightarrow{S} & \mathbf{A}^2 \\
 & \searrow & \downarrow \phi^2 \\
 & & \mathbf{B}^2 \\
 & \swarrow 1_{\mathbf{B}^2} & \\
 & & 
 \end{array}
 \quad \cong$$



To be continued ...