# An extension of Batanin framework for higher categories

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### Categories

introduced by Eilenberg and MacLane in the 40s





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- simple structures

Categories are made of objects and composable arrows between these objects



together with an identity arrow  $id_u$  for each object u such that

$$\operatorname{id}_u * f = f$$
  $f * \operatorname{id}_u = f$   $(f * g) * h = f * (g * h)$ 

### Categories

- introduced by Eilenberg and MacLane in the 40s
- simple structures
- ▶ instances in various places: algebra, representation theory, logic, semantic, *etc.* 
  - category of sets
  - category of groups
  - category of rings
  - syntactic category
  - etc.

Example in topology

Example in topology

x y z



Example in topology





paths between points

Example in topology





- paths between points
- homotopies between paths

Example in topology





- paths between points
- homotopies between paths
- homotopies between homotopies

Higher categories: categories with higher cells



Higher categories: categories with higher cells



Cells can be combined with different operations



Higher categories: categories with higher cells



Different possible flavors

▶ with regard the shape of the cells: globular, cubical, simplicial, etc.



Higher categories: categories with higher cells



Different possible flavors

- > with regard the shape of the cells: globular, cubical, simplicial, etc.
- with regard to the axioms enforced, strict or weak



Some classical examples of 2-dimensional higher categories

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#### strict 2-categories

▶ a composition in dimension 0 for 1-cells

$$(x \xrightarrow{f} y) *_0 (y \xrightarrow{g} z) = x \xrightarrow{f*_0g} z$$

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- a composition in dimension 0 for 1-cells
- a composition in dimension 0 for 2-cells



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- a composition in dimension 0 for 1-cells
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- a composition in dimension 1 for 2-cells



Some classical examples of 2-dimensional higher categories

- a composition in dimension 0 for 1-cells
- a composition in dimension 0 for 2-cells
- a composition in dimension 1 for 2-cells
- satisfying several axioms: unitality, associativity and exchange law



$$(\phi *_1 \phi') *_0 (\psi *_1 \psi') = (\phi *_0 \psi) *_1 (\phi' *_0 \psi')$$

Some classical examples of 2-dimensional higher categories

- a composition in dimension 0 for 1-cells
- a composition in dimension 0 for 2-cells
- a composition in dimension 1 for 2-cells
- satisfying several axioms: unitality, associativity and exchange law
- ▶ instance: the 2-category of 1-categories, functors and nat. transformations.

Some classical examples of 2-dimensional higher categories

- strict 2-categories
- bicategories

same operations than for strict categories

$$*_0 \colon C_1 \times_0 C_1 \to C_1 \qquad *_0 \colon C_2 \times_0 C_2 \to C_2 \qquad *_1 \colon C_2 \times_1 C_2 \to C_2$$

Some classical examples of 2-dimensional higher categories

#### strict 2-categories

- bicategories
  - same operations than for strict categories
  - ... but weak axioms

for all 1-composable  $f,g,h\in C_1$ ,

$$\alpha_{f,g,h}: \quad (f *_0 g) *_0 h \quad \Rightarrow \quad f *_0 (g *_0 h)$$

Some classical examples of 2-dimensional higher categories

strict 2-categories

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- ▶ instance: the points, paths and homotopies on a topological space X

not a strict 2-category because the composition of paths  $p, q \colon [0, 1] \to X$  is not strictly associative:

$$(p *_0 q) *_0 r \neq p *_0 (q *_0 r)$$

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Some classical examples of 2-dimensional higher categories

- strict 2-categories
- bicategories
- sesquicategories
  - like strict 2-categories, but without the exchange law

### Sequences of theories

In fact, we usually have sequences of theories of higher categories:

- strict n-categories
- ▶ weak *n*-categories
- *n*-precategories
- etc.

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In fact, we usually have sequences of theories of higher categories:

- strict n-categories
- weak n-categories
- *n*-precategories
- etc.

Given such a sequence of theories (e.g., strict categories), we usually want to do several operations:

- ▶ truncate an (*n*+1)-category to an *n*-category
- embed an *n*-category as an (n+1)-category
- freely add (n+1)-cells to an *n*-category

#### Presentation

We would also like to be able to present such structures, using generators and relations.

Let the 1-category generated by four 1-generators



and such that  $f *_0 g = f' *_0 g'$ .

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We would also like to be able to present such structures, using generators and relations.

Let the 2-category generated by four 1-generators and four 2-generators



and such that  $\alpha *_0 \beta = \alpha' *_0 \beta'$ .

### Complex generators

In fact, we would like to be able more complex generators than the simple ones...



### Complex generators

... but also ones with non-trivial source and target.



### Complex generators

A structure expressing such complex generators was defined by Street and Burroni for strict *n*-categories: **polygraphs** (or **computads**).



Thus, when considering a theory of higher categories, we usually need to define

- the truncation and inclusion functors between dimensions
- several free constructions allowing adding new cells
- ... in particular, a definition of polygraphs

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All the above can be defined in an *ad hoc* way for each particular theory of higher cat.

Thus, when considering a theory of higher categories, we usually need to define

- the truncation and inclusion functors between dimensions
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- ... in particular, a definition of polygraphs

All the above can be defined in an *ad hoc* way for each particular theory of higher cat.

But can we give a general definition for them?



Batanin's framework

Some general constructions

Avoiding the monad

Conclusion

### Outline

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Conclusion
Before giving general definitions for constructions on "higher categories", we first need a general definition for "higher categories".

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globular: with globular cells



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algebraic definition of higher category:

Batanin gave a unifying perspective for these higher categories:

#### Definition (Batanin,98)

A theory of *n*-categories is a **monad** T on *n*-globular sets.

An instance structure of such theory is a *T*-algebra.

A general definition of categorical constructions can be given using this perspective.

*n*-globular sets: graphs in higher dimensions with cells up to dimension nExample of a 3-globular set X



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n-globular sets: graphs in higher dimensions with cells up to dimension n

General form: 
$$X_0 \rightleftharpoons_{\partial_0^+}^{\partial_0^-} X_1 \rightleftharpoons_{\partial_1^+}^{\partial_1^-} X_2 \rightleftharpoons_{\partial_2^+}^{\partial_2^-} \cdots \rightleftarrows_{\partial_{n-1}^+}^{\partial_{n-1}^-} X_n$$

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but we want to forbid non-globular shapes:



n-globular sets: graphs in higher dimensions with cells up to dimension n

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such that  $\partial_i^\epsilon \circ \partial_{i+1}^- = \partial_i^\epsilon \circ \partial_{i+1}^+$ .

**Glob**<sub>*n*</sub>: category of *n*-globular sets

monads

A monad  $(T, \eta, \mu)$  on some category C is the data of a functor:

$$T: C \rightarrow C$$

together with natural transformations

$$\eta \colon 1 \to T \qquad \mu \colon T \circ T \to T$$

such that



monads

algebras

An algebra for a monad  $T: C \rightarrow C$  is a pair

 $(X,h:TX \rightarrow X)$ 

such that



 $C^{T}$  or **Alg**: category of algebras on T.

- monads
- ► algebras
- canonical adjunction

Given a monad  $T: C \rightarrow C$ , there is a canonical adjunction

$$C \xrightarrow[U^T]{F^T} \mathbf{Alg}$$

with

$$\begin{array}{rcccc} F^T \colon & X & \mapsto & (TX, \mu_X) \\ U^T \colon & (X, h) & \mapsto & X \end{array}$$

- monads
- algebras
- canonical adjunction
- example

Monad  $T: \mathbf{Set} \to \mathbf{Set}$  of free monoids on sets.

$$X = \{x, y, z\}$$
  $\rightsquigarrow$   $[], [y], [z, x, y] \in TX$ 

A T-algebra is then exactly a monoid:  $Alg \simeq Mon$ .

The canonical adjunction is then

Set 
$$\stackrel{F^{T}}{\longleftrightarrow} \operatorname{Alg} \simeq \operatorname{Mon}$$

How do we retrieve monads from equational definitions?

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```
Example: 1-categories
Sets C_0, C_1 with operations
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$$\partial^-, \partial^+ \colon C_1 \to C_0 \qquad \mathrm{id} \colon C_0 \to C_1 \qquad * \colon C_1 \times_0 C_1 \to C_1$$
 with

$$C_1 \times_0 C_1 = \{(u, v) \in C_1 \times C_1 \mid \partial^+(u) = \partial^-(v)\}$$

satisfying...

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\partial^- \partial^+: C_1 \rightarrow C_2 id: C_2 \rightarrow C_1 *: C_1 \times C_2
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- every 1-category has an underlying 1-globular set
- ▶ it induces an adjunction  $\operatorname{Glob}_1 \xrightarrow{F} \operatorname{Cat}$

▶ we get a monad  $T = U \circ F$  on **Glob**<sub>1</sub> for which **Alg**  $\simeq$  **Cat** 

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We saw how this perspective related to usual equational definitions.

Let's see what we can do with it.

Batanin's framework

Some general constructions

Avoiding the monad

Conclusion

Let  $(T, \eta, \mu)$  be a theory of *n*-category (i.e. a monad on **Glob**<sub>*n*</sub>)

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By the properties of categories of algebras, we get an adjunction:

$$\operatorname{\mathsf{Glob}}_n \xrightarrow{\mathcal{F}_n} \operatorname{\mathsf{Alg}}_n$$

Alg<sub>n</sub>: category of algebras on T (a.k.a. *n*-globular algebras)
 U<sub>n</sub> and F<sub>n</sub>: the canonical right and left adjoints

$$\begin{array}{rccc} \mathcal{U}_n \colon & (X,h) & \mapsto & X \\ \mathcal{F}_n \colon & X & \mapsto & (TX,\mu_X) \end{array}$$

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 U<sub>n</sub>: (X, h) → X

$$\mathcal{F}_n: X \mapsto (TX, \mu_X)$$

 $\rightsquigarrow$  we have a notion of free *n*-category on an *n*-globular set

Suppose that n = 2 and T is the monad of strict 2-categories.

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and obtain a 2-category with the cells

 $a *_0 b$ ,  $d *_0 (e *_0 h)$ ,  $\alpha *_1 \beta$ ,  $(\alpha *_0 \gamma) *_1 (\beta *_0 \delta)$ , etc.

Suppose that n = 2 and T is the monad of strict 2-categories.

But we can still not generate 2-categories from complex generators



# Operations on globular sets

**Truncation**: given k < l, there is a functor

$$(-)_{l,\leq k}^{ ext{Glob}} \colon \begin{array}{ccc} \mathbf{Glob}_l & o & \mathbf{Glob}_k \\ X & \mapsto & X_{\leq k} \end{array}$$

#### mapping

$$X = X_0 \stackrel{\partial_0^-}{\underset{\partial_0^+}{\longleftarrow}} X_1 \stackrel{\partial_1^-}{\underset{\partial_1^+}{\longleftarrow}} X_2 \stackrel{\partial_2^-}{\underset{\partial_2^+}{\longleftarrow}} \cdots \stackrel{\partial_{l-1}^-}{\underset{\partial_{l-1}^+}{\longleftarrow}} X_l$$

to

$$X_{\leq k} = X_0 \underset{\partial_0^+}{\underbrace{\longrightarrow}} X_1 \underset{\partial_1^+}{\underbrace{\longrightarrow}} X_2 \underset{\partial_2^+}{\underbrace{\longrightarrow}} \cdots \underset{\partial_{k-1}^+}{\underbrace{\longrightarrow}} X_k$$

#### Operations on globular sets

**Inclusion**: given k < l, there is a functor

$$(-)_{k,\uparrow l}^{ ext{Glob}} \colon egin{array}{ccc} \operatorname{Glob}_k & o & \operatorname{Glob}_l \ & X & \mapsto & X_{\uparrow k} \end{array}$$

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to

$$X_{\uparrow l} = X_0 \stackrel{\partial_0^-}{\underset{\partial_0^+}{\longleftarrow}} \cdots \stackrel{\partial_{k-1}^-}{\underset{\partial_{k-1}^+}{\longleftarrow}} X_k \stackrel{\partial_k^-}{\underset{\partial_k^+}{\longleftarrow}} \emptyset \stackrel{\partial_{k+1}^-}{\underset{\partial_{k+1}^+}{\longleftarrow}} \cdots \stackrel{\partial_{l-1}^-}{\underset{\partial_{l-1}^+}{\longleftarrow}} \emptyset$$

## Other dimensions

Using the truncation and inclusion operations on globular sets, we can define monads

$$T^{k} = \operatorname{Glob}_{k} \xrightarrow{(-)_{k,\uparrow n}^{\operatorname{Glob}}} \operatorname{Glob}_{n} \xrightarrow{T} \operatorname{Glob}_{n} \xrightarrow{(-)_{n,\leq k}^{\operatorname{Glob}}} \operatorname{Glob}_{k}$$

on **Glob**<sub>k</sub> for  $k \in \{0, ..., n-1\}$ .

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on **Glob**<sub>k</sub> for  $k \in \{0, ..., n-1\}$ .

 $\rightsquigarrow$  derived theories of k-categories for  $k \in \{0, \ldots, n\}!$ 

 $Alg_k$ : the category of k-globular algebras / k-categories

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We still have the canonical adjunction for the other dimensions:

$$\operatorname{\mathsf{Glob}}_k \xrightarrow{\mathcal{F}_k} \operatorname{\mathsf{Alg}}_k$$

Using truncation and inclusion on globular sets again, we can build a truncation functor

$$\begin{array}{rccc} (-)_{k+1,\leq k}^{\mathrm{Alg}} \colon & \mathsf{Alg}_{k+1} & \to & \mathsf{Alg}_k \\ & (X,h) & \mapsto & (X_{\leq k},h_{\leq k}) & & (\mathsf{approximately}) \end{array}$$

between (k+1)-categories and k-categories for k < n.
# Operations on globular algebras

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Proposition The functor  $(-)_{k+1,\leq k}^{Alg}$  admits a left adjoint

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 $\rightsquigarrow$  there is a free (k+1)-category on a k-category.

# Freely adding generators

Nice. But can we freely generate a (k+1)-category from a k-category and a set of (k+1)-generators?

Example: starting from a 1-category C with 1-cells f, f', g, g' as in



can we build a 2-category from C by freely adding two 2-cells



*k*-cellular extensions: pair (C, X) of a *k*-category C and a set of (k+1)-generators X.

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Previous example: a 1-cellular extension (C, X) with

$$X = \{ \alpha \colon f \Rightarrow f', \quad \beta \colon g \Rightarrow g' \}$$

*k*-cellular extensions: pair (C, X) of a *k*-category C and a set of (k+1)-generators X.

Category  $Alg_k^+$  of k-cellular extensions: defined as the pullback



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Category  $\operatorname{Alg}_{k}^{+}$  of k-cellular extensions: defined as the pullback



Alternatively, a k-cellular extension is a pair (C, X) with  $C \in \operatorname{Alg}_k$ ,  $X \in \operatorname{Set}$  equipped with functions

$$\mathsf{d}_k^-,\mathsf{d}_k^+\colon X o C_k$$

such that  $\partial_{k-1}^{\epsilon} \circ \mathsf{d}_{k}^{-} = \partial_{k}^{\epsilon} \circ \mathsf{d}_{k}^{+}$  for  $\epsilon \in \{-,+\}$ .

By the universal property of the pullback, there is a functor

 $\mathcal{V}_k \colon \mathbf{Alg}_{k+1} \to \mathbf{Alg}_k^+$ 

which forgets the structure on the k+1 dimension.



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Theorem

The functor  $\mathcal{V}_k$  admits a left adjoint  $-[-]^k \colon \mathbf{Alg}_k^+ \to \mathbf{Alg}_{k+1}$ .

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Given  $(C, X) \in Alg_k^+$ , the free (k+1)-category C[X] on (C, X) is expressed as a pushout in  $Alg_{k+1}$ 



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 $\rightsquigarrow$  we can freely extend a k-category with (k+1)-generators!

#### Free higher categories

We saw that higher categories can be freely generated on globular sets.



Generated cells:

 $a *_0 b$ ,  $d *_0 (e *_0 h)$ ,  $\alpha *_1 \beta$ ,  $(\alpha *_0 \gamma) *_1 (\beta *_0 \delta)$ , etc.

### Free higher categories

We saw that higher categories can be freely generated on globular sets.

But this is not satisfactory: what about generators with composites as source and target?



# Polygraphs

# $X_0 \xleftarrow[]{\partial_0^-}{\partial_0^+} X_1 \xleftarrow[]{\partial_1^-}{\partial_1^+} \cdots \xleftarrow[]{\partial_{k-3}^-}{\partial_{k-3}^+} X_{k-2} \xleftarrow[]{\partial_{k-2}^-}{\partial_{k-2}^+} X_{k-1} \xleftarrow[]{\partial_{k-1}^-}{\partial_{k-1}^+} X_k$

We need a more complex structure than globular sets

# Polygraphs



We need a more complex structure than globular sets: polygraphs [Street, Burroni]

# Polygraphs



We need a more complex structure than globular sets: polygraphs [Street, Burroni]

Example: the 3-polygraph P of pseudomonoids

$$\begin{array}{ccc} \mathsf{P}_0 = \{*\} & \mathsf{P}_1 = \{ \mid : * \to *\} \\ & \mathsf{P}_2 = \{ & \mathsf{Q} & , & \bigtriangledown & \} \\ & \mathsf{P}_3 = \{\mathsf{L} : \bigvee \Rightarrow \mid, & \mathsf{R} : \bigvee \Rightarrow \Rightarrow \mid, & \mathsf{A} : & \bigvee \Rightarrow & \bigvee \} \end{array}$$

We define by induction on k a category  $\mathbf{Pol}_k$  and a functor

 $(-)^{*,k} \colon \mathbf{Pol}_k o \mathbf{Alg}_k$ 

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 $(-)^{*,k} \colon \mathbf{Pol}_k o \mathbf{Alg}_k$ 

▶  $Pol_0 = Glob_0$  and  $(-)^{*,0} = F^{T^0}$ 

$$(-)^{*,0} = \operatorname{Pol}_0 \longrightarrow \operatorname{Glob}_0 \xrightarrow{F^{\tau^0}} \operatorname{Alg}_0$$

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• 
$$Pol_0 = Glob_0$$
 and  $(-)^{*,0} = F^{T^0}$ 

**Pol**<sub>k+1</sub> defined as the pullback

$$\begin{array}{c|c} \operatorname{\mathsf{Pol}}_{k+1} & \xrightarrow{\mathcal{E}_{k+1}} & \operatorname{\mathsf{Alg}}_{k}^{+} \\ (-)_{k+1, \leq k}^{\operatorname{Pol}} & & \downarrow \\ & & \downarrow \\ \operatorname{\mathsf{Pol}}_{k} & \xrightarrow{(-)^{*,k}} & \operatorname{\mathsf{Alg}}_{k} \end{array}$$

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•  $(-)^{*,k+1}$  defined as  $-[-]^k \circ \mathcal{E}_{k+1}$ 

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(−)\*,k+1 defined as −[−]<sup>k</sup> ∘ E<sub>k+1</sub>
 → notion of free k-category on a k-polygraph!

### Theorem (Batanin, F.)

Polygraphs and free categories on polygraphs are well-defined for globular algebras.

Another proof using cellular extensions as intermediate constructions.

Batanin's framework

Some general constructions

Avoiding the monad

Conclusion

# Avoiding the monad

Batanin viewpoint based on monads allows defining giving common definition for several operations.

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Theory of 1-categories:

$$\partial^-, \partial^+ \colon C_1 \to C_0 \qquad {
m id} \colon C_0 \to C_1 \qquad * \colon C_1 imes_0 C_1 \to C_1$$
 with

$$C_1 \times_0 C_1 = \{(u, v) \in C_1 \times C_1 \mid \partial^+(u) = \partial^-(v)\}$$

satisfying...

# Avoiding the monad

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However, higher categories are usually not defined by monads, but by equational definitions.

Computing the monad associated to an equational theory: doable but **tedious**.

Can we define some of the previous operations without computing the monad?

# Truncation without monads

Given an equational definitions of k and (k+1)-categories, the functor

```
\mathcal{T} \colon \mathbf{Cat}_{k+1} \to \mathbf{Cat}_k
```

is usually defined by

- ▶ removing the (*k*+1)-cells
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- forgetting about the operations on the (k+1)-cells

How can we check that it is equivalent to the one on globular algebras?

$$\begin{array}{rccc} (-)^{\mathrm{Alg}}_{\leq k} \colon & \mathbf{Alg}_{k+1} & \to & \mathbf{Alg}_k \\ & (X,h) & \mapsto & (X_{\leq k},h_{\leq k}) \end{array}$$

#### Abstract criterion for truncation

 $\begin{array}{ll} \text{Theorem (F.)} \\ \textit{Given functors} \\ \mathcal{T}: \mathbf{Cat}_{k+1} \to \mathbf{Cat}_k & U: \mathbf{Cat}_{k+1} \to \mathbf{Glob}_{k+1} & U': \mathbf{Cat}_k \to \mathbf{Glob}_k \end{array}$ 

such that (...), there exists equivalence of categories

$$H \colon \operatorname{\mathsf{Cat}}_{k+1} o \operatorname{\mathsf{Alg}}_{k+1} \qquad H' \colon \operatorname{\mathsf{Cat}}_k o \operatorname{\mathsf{Alg}}_k$$

such that the following diagram commutes



# Truncability

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Given a monad T on **Glob**<sub>*n*</sub>, T is **truncable** when

$$(-)^{\mathrm{Glob}}_{\leq k} \circ \mathcal{T} \circ (-)^{\mathrm{Glob}}_{\uparrow n} \circ (-)^{\mathrm{Glob}}_{\leq k} = (-)^{\mathrm{Glob}}_{\leq k} \circ \mathcal{T}$$

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for all  $k \leq n$ .

Truncability allows proving stability properties like

#### Proposition

If T is truncable, then, for all k-cellular extension (C, X),

$$C[X]_{\leq k}\simeq C$$
 .

#### Counter-example

Theory of "weird" 1-categories:

$$\partial^-, \partial^+ \colon C_1 \to C_0 \qquad * \colon C_1 \times_0 C_1 \to C_0$$

satisfying nothing.

The monad  $\mathcal{T}\colon \textbf{Glob}_1 \to \textbf{Glob}_1$  associated to it verifies that

$$(TX)_0 \simeq X_0 \sqcup (X_1 imes_0 X_1)$$
 and  $(TX)_1 \simeq X_1$ 

Thus, it is not truncable:

$$(\mathcal{T}(X_{\leq 0}))_{\leq 0} \simeq X_0 \not\simeq X_0 \sqcup (X_1 \times_0 X_1) \simeq (\mathcal{T}X)_{\leq 0}$$

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Truncability of a theory requires *a priori* to describe explicitly the associated monad. But it can be avoided.

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Theorem (F.)

The monad  $(T, \eta, \mu)$  is truncable if and only if, for  $k \in \mathbb{N}_{n-1}$ , the functor  $(-)_{n,\leq k}^{\text{Alg}}$  has a right adjoint  $(-)_{k,\Uparrow n}^{\text{Alg}}$ , which satisfies that

 $j^k U^T(-)^{Alg}_{k, \Uparrow n}$  is an isomorphism

where  $j^k$  is the unit of the adjunction  $(-)_{n,\leq k}^{\text{Glob}} \dashv (-)_{k,\uparrow n}^{\text{Glob}}$ .

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By the first abstract criterion, we can replace  $(-)_{n,\leq k}^{\operatorname{Alg}}$ :  $\operatorname{Alg}_n \to \operatorname{Alg}_k$  by a concrete truncation functor  $\mathcal{T}$ :  $\operatorname{Cat}_n \to \operatorname{Cat}_k$  and avoid the description of the monad.
## Conclusion

- General definitions for several operations on higher categories
- Categorical approach instead of a syntactic one
- Thus, shortcomings of the syntactic approach were avoided
- ▶ The shortcoming of the categorical approach (relying on monads) was dealt with

Perspectives:

- More general arguments using Street's formal theory of monads
- Express more categorical constructions in Batanin's framework

## The end

Thank you! Any questions?

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