

# Lecture 1 Kan Extensions

Given  $C \xrightarrow{F} E$  find universal  $C \xrightarrow{F} E$

i.e., for all  $G, f$   $C \xrightarrow{F} E$

There exists a unique

$$p.t.$$

$$C \xrightarrow{F} E = C \xrightarrow{F} E$$

If, for  $K$  fixed  $\text{Lan}_K F$  exists, then all this is encapsulated in an adjunction

$$\boxed{\text{Lan}_K : E^C \rightleftarrows E^D \quad K^* = G \mapsto G \circ K}$$

Exercise Exhibit the counit of this adjunction.

Symmetrically, if  $K^*$  has a right adjoint, we say that we have right Kan extensions:

$$C \xrightarrow{F} E$$

$$K \downarrow \begin{matrix} \uparrow \delta \\ D \end{matrix} \quad \begin{matrix} \nearrow \varepsilon \\ \text{Ran}_K F \end{matrix}$$

st.  $\nabla g, \delta \exists! g \rightarrow \text{Ran}_K F$

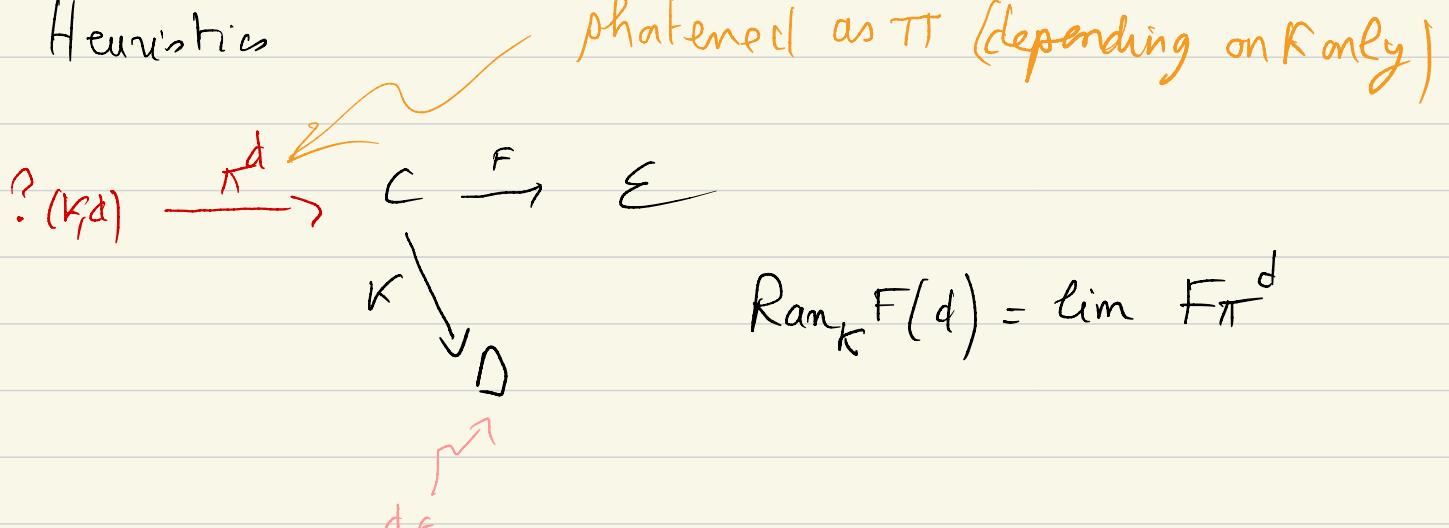
$$C \xrightarrow{F} E$$

$$K \downarrow \begin{matrix} \uparrow \delta \\ D \end{matrix} \quad = \quad K \downarrow \begin{matrix} \uparrow \varepsilon \\ D \end{matrix} \quad \begin{matrix} \nearrow \text{Ran}_K F \\ g \end{matrix}$$

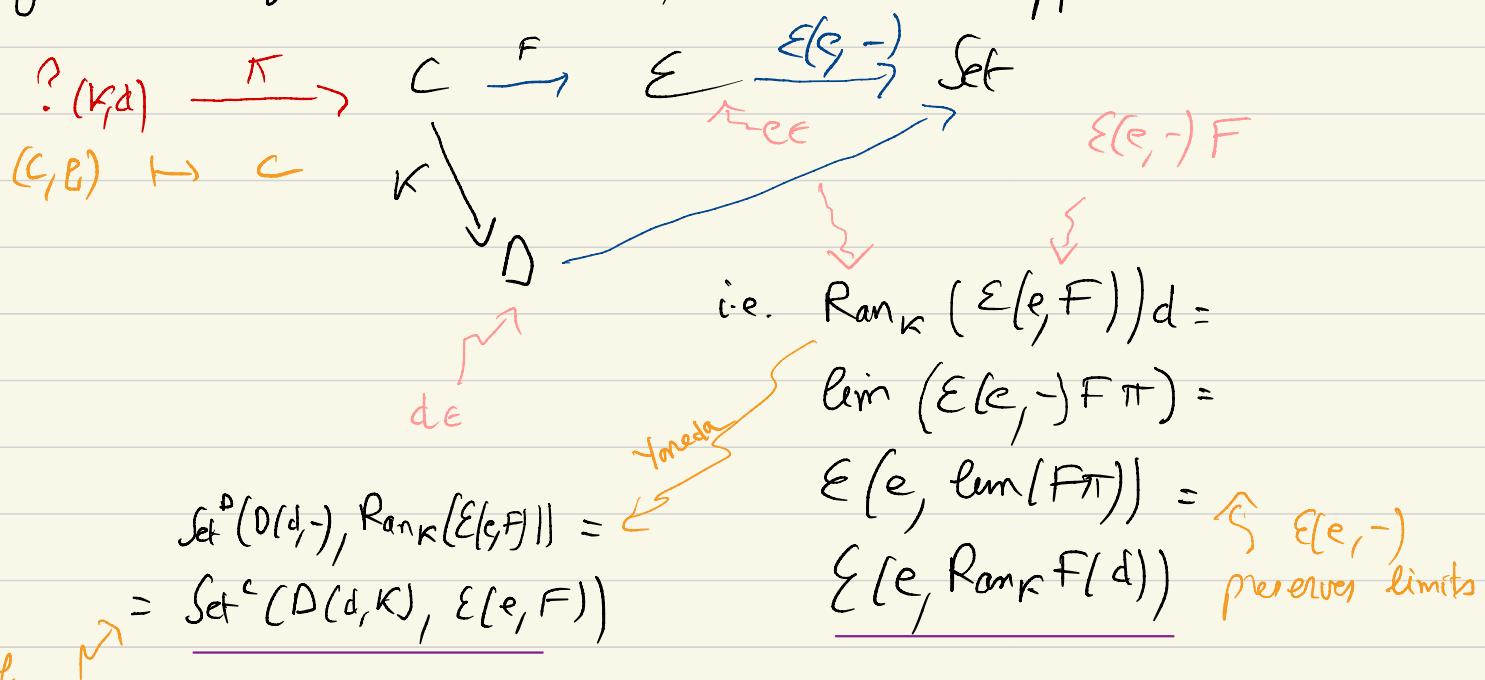
If we name  $\uparrow$  as  $\delta'$ , this means  $\varepsilon \circ \delta' K = \delta$

We want to be able to compute these extensions by means of colimits and limits.

Heuristics



If such a formula exists, then it also applies to



Def of  
Rank

Thus, a morphism from  $e$  to  $\text{Rank}_K F(d)$  is equivalent to the data of maps  $\lambda_C: D(d, Kc) \rightarrow \varepsilon(e, Fc)$ , which provide a cone

$$f \in \overset{\curvearrowright}{F\pi(c, b)} = Fc$$

$e$   
 $\int \lambda_{c,f}$

indexed over pairs  $(c, f: d \rightarrow Kc)$   
 $\downarrow$   
 $\text{objects of } ?(K, d) = d \downarrow K$

$$(d \downarrow K)[(c, f), (c', f')] = \{f\}$$

$$\pi(c, b) = c$$

$$\begin{matrix} d & \downarrow \\ Kc & \xrightarrow{K\pi} Kc' \end{matrix}$$

Finally, we have  
 synthesized our candidate!

Step 1 : we synthesised  $d \downarrow K$  and  $\pi^d: (d \downarrow K) \rightarrow C$

Step 2 : we prove that if  $\lim F\pi^d$  exists, it is indeed  
(for all  $\pi^d$ )  
a right Kan extension.

We look for  $\varepsilon_c: (\text{Ran}_K F)(Kc) \rightarrow Fc$

Let  $\lambda^d: \lim(F\pi) \rightarrow F\pi$  be the limiting cone  
 $\begin{array}{c} \parallel \\ (\text{Ran}_K F)d \end{array}$

Specialising to  $d = Kc$ , we note that  $Kc \downarrow K \ni (\zeta, \text{id}: Kc \rightarrow Kc)$

and we define  $\varepsilon_c = \lambda_{(\zeta, \text{id})}^{Kc}: (\text{Ran}_K F)(Kc) \rightarrow F\pi(\zeta, \text{id}): Fc$

One then checks that it works !

(\*)

Hence we have proved, for  $\pi^d: d \downarrow K \rightarrow C$ , that  
 if  $\lim(F\pi^d)$  exists for all  $d$ , then  $\text{Ran}_K F$  exists  
 and  $\text{Ran}_K Fd = \lim(F\pi^d)$

But more can be said.

In particular, if  $\mathcal{E}$  is complete  
 $\text{Ran}_K F$  always exists

We say that  $L: \mathcal{E} + \mathcal{X}$  preserves right Kan extensions

if  $\text{Ran}_K(LF) = L(\text{Ran}_K F)$ , and that a right Kan extension is pointwise if it is preserved by all  $\mathcal{E}(e, -)$

Then if  $\lim(F\pi^d)$  exists for all  $d$ ,  $\text{Ran}_K F$  is in fact  
pointwise : indeed, since  $\mathcal{E}(e, -)$  preserves limits

$\lim(\mathcal{E}(e, -)F\pi) = \mathcal{E}(e, \lim(F\pi))$  exists, and

$\begin{array}{c} \parallel \\ \text{Ran}_K(e, F)d \end{array}$        $\begin{array}{c} \parallel \\ \mathcal{E}(e, \text{Ran}_K Fd) \end{array}$

Even more can be said!

If  $\text{Rank}_K F$  is a pointwise right Kan extension, then  
 $\lim(F\pi^d)$  exists (and hence  $\text{Rank}_K F d = \lim(F\pi^d)$ )

The proof is a variation on our synthesis above:

$$\begin{aligned} \text{Rank}_K (\mathcal{E}(e, F)) d &= \\ \lim (\mathcal{E}(e, -) F \pi) &= \\ \mathcal{E}(e, \lim(F\pi)) &= \\ \mathcal{E}(e, \text{Rank}_K F(d)) & \quad \text{↑ } \mathcal{E}(e, -) \text{ preserves limits} \end{aligned}$$

$\xrightarrow{\text{Taneda}}$

$$\begin{aligned} \text{Set}^d(D(d, -), \text{Rank}_K(\mathcal{E}(e, F))) &= \\ = \text{Set}^c(D(d, K), \mathcal{E}(e, F)) & \quad \text{Def of Rank} \end{aligned}$$

We replace the right column with  $\text{Rank}_K (\mathcal{E}(e, F)) d =$

" (pointwise)

$$\mathcal{E}(e, \text{Rank}_K F(d))$$

In other words the formula  $\text{Rank}_K F d = \lim(F\pi^d)$  characterizes pointwise right Kan extensions.

A pair  $C \xrightarrow{F} \mathcal{E}$  admits a pointwise Kan extension  
 $\downarrow K$   
 $D$

if and only if  $\lim(F\pi^d)$  exists for all object  $d$  of  $D$ ,  
and then  $\text{Rank}_K F d = \lim(F\pi^d)$

Dually, here is the formula for  $\text{Lan}_K$ :

$$(\text{Lan}_K F)_d = \text{colim} (F \pi)$$

where  $\pi: K \downarrow d \rightarrow C$  and  $\mathcal{O}(K \downarrow d) = \{(c, f: K_c \rightarrow d)\}$

$\hookrightarrow$  a.k.a  $F/d$

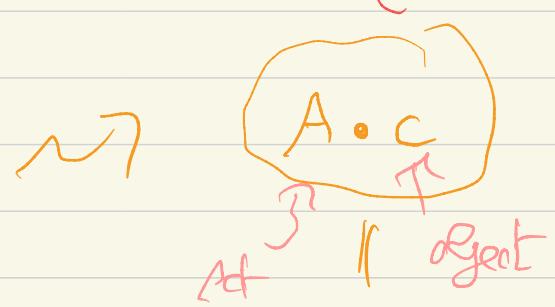
- Size issues: for these colimits and limits to exist, we need  $K \downarrow d$  and  $d \downarrow K$  small, which is guaranteed if  $C$  is small and  $D$  is locally small.

Copower

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- Packaging: We have

$$\text{Lan}_K F_d = \text{colim}_{(c, f)} F_c = \int^C \underbrace{D(K_c, d) \cdot F_c}_{\substack{\text{contravariant} \\ \text{product of } |D(K_c, d)| \\ \text{copies of } F_c}} \quad \text{covariant}$$



$$\text{Dually } (\text{Ran}_K F)_d = \int_C F_c \underbrace{D(d, K_c)}_{\substack{\text{product of } |D(d, K_c)| \\ \text{copies of } F_c}}$$

#A - fold  
coproduct of  
C

$$C^A \stackrel{\Delta}{=} \#A\text{-fold product of } C$$

power

Special case  $D = 1$

$$C \xrightarrow{F} E$$

! ↗ 1 ↘ G

Then a functor  $G$  is an object of  $E$  and a nat. transp.  $\delta: G! \rightarrow F$  is a cone over  $F$ .  
Therefore  $\text{Ran}_1 F = \text{lim } F$

$$\text{Lan}_1 F = \text{colim } F$$

(here we refer only to the universal property of Kan extensions)  
(for another such example, see adjunctions next page)

$C \xrightarrow{F} E$  Special case  $D = C$  and  $K = \text{id}$ . Then trivially

$\text{Ran}_K F = F = \text{Lan}_K F$  (with  $E, \eta = \text{id}$ ), as they satisfy the defining universality property. Therefore we have

Furthermore, those are absolute (and a fortiori pointwise) Kan extensions.

$$Fd \approx \text{Ran}_{\text{id}} Fd = \int_C C(d, c)$$

$$Fd = \text{Lan}_{\text{id}} Fd = \int^C C(c, d) \cdot Fc$$

This is called co-Yoneda Lemma

If furthermore  $E = \text{Set}$ , then

$$\begin{aligned} Fd &= \int_C Fc C(d, c) \\ &= \int_C \text{Set}(C(d, c), Fc) \\ &= \text{Set}^C(C(d, -), F) \end{aligned}$$

$$Fd = \int^C C(c, d) \cdot Fc$$

$$= \int^C C(c, d) \times Fc$$

$$\approx \int^C Fc \times C(c, d)$$

$$\Rightarrow F = \int^C Fc \cdot C(c, -)$$

This is called the density formula  
( $F$  limit of representables)

We retrieve Yoneda Lemma!

**Proposition 3.3.2** *The following properties are equivalent, for  $K : \mathbf{A} \rightarrow \mathbf{C}$  and  $R : \mathbf{C} \rightarrow \mathbf{A}$ :*

$$\begin{array}{ccc} \mathbf{C} & \xrightarrow{\text{id}} & \mathbf{C} \\ K \downarrow & & \downarrow \\ \mathbf{D} & & \end{array}$$

absolute Kan extension

1.  $R \dashv K$ , with  $\epsilon$  as counit.

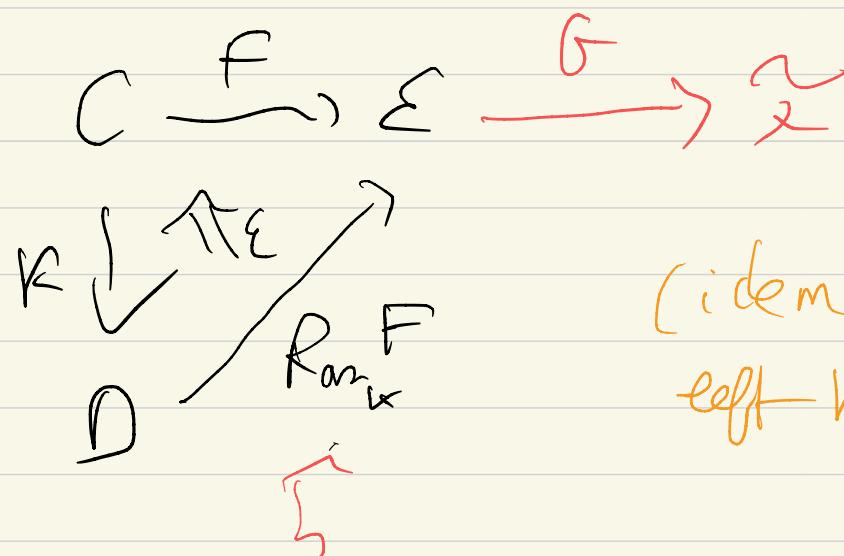
2.  $(R, \epsilon)$  is a right Kan extension of  $\text{id}$  along  $K$  that is preserved by all functors.

3.  $(R, \epsilon)$  is a right Kan extension of  $\text{id}$  along  $K$  that is preserved by  $K$ .

PROOF. (1)  $\Rightarrow$  (2). Let  $\mu : SK \rightarrow \text{id}$ . We look for  $\mu' : S \rightarrow R$  such that  $\epsilon \circ \mu' K = \mu$ . Writing this equality as a string diagram, and plugging the unit  $\eta$ , we see that  $\mu'$  is necessarily equal to  $\mu R \circ S\eta$  and that this definition of  $\mu'$  fits. Let now  $F : \mathbf{A} \rightarrow \mathbf{A}'$ , and let  $\mu : HK \rightarrow F$ . We see likewise that  $\mu R \circ H\eta$  is the unique transformation from  $H$  to  $FR$  that fits.

(3)  $\Rightarrow$  (1). We apply the assumption that  $(KR, K\epsilon)$  is a Kan extension, with  $\text{id} : \mathbf{C} \rightarrow \mathbf{C}$ . This yields a transformation  $\eta$  that satisfies one of the two laws of adjunction. For the second one, we observe that  $\nu = \epsilon R \circ R\eta$  satisfies the condition  $\epsilon \circ \nu K = \epsilon$  and hence  $\nu = \text{id}$  by uniqueness.

# Absolute Kan extensions



(idem for absolute left Kan extensions)

Absolute whenever for all  $G$

$$E \rightsquigarrow \text{Ran}_K(GF) = G \circ \text{Ran}_K F$$

Exercise Suppose we have

$$\begin{array}{ccc}
 M & \xrightarrow{F} & N \\
 H \downarrow & \nwarrow G & \downarrow K \\
 M' & & N'
 \end{array}$$

$\text{Ran}_K F$

Show that if  $\text{Ran}_H(F)$  and  $\text{Lan}_K(HG)$  are absolute,

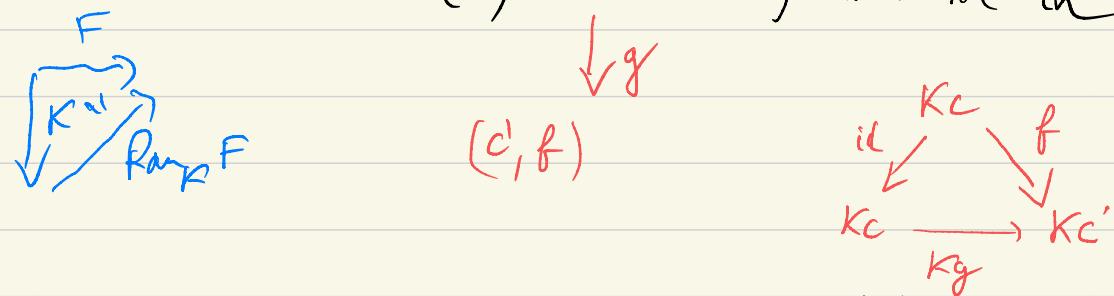
then

$$\begin{array}{ccc}
 M' & \xrightarrow{\text{Ran}_H(F)} & N' \\
 \uparrow & \searrow & \downarrow \\
 \text{Lan}_K(HG) & &
 \end{array}$$

Proposition: If  $K$  is full and faithful, and if  $\text{Rank}_K$  is given by the formula  $(\text{Rank}_K F)_d = \lim (F\pi^d)$ , then the "counit"  $\varepsilon$  is iso [we can even take  $\varepsilon = \text{id}$ ].

Proof We observe that the information that  $K$  is f-and f. is equivalent to :

$\forall c \ (c, \text{id} : Kc \rightarrow Kc)$  is initial in  $Kc \downarrow K$



i.e. a morphism  $(c, \text{id}) \rightarrow (c', f)$  is a  $g$  s.t.  $kg = f$

Therefore we have  $(\text{Rank}_K F)(Kc) = \lim (F\pi^k) = F\pi(c, \text{id}) = Fc$  and the component at  $(c, \text{id})$  of the limiting cone is  $\underbrace{\text{id} : Kc \rightarrow Kc}_{\varepsilon_c}$   $\square$

- Dually, if  $K$  is full and faithful, and if  $\text{Lan}_K$  is given by the formula  $(\text{Lan}_K F)_d = \text{dom}(F\pi^d)$  then  $\eta$  is iso and can be taken =  $\text{id}$ .

(equivalently,  $K$  f-and f.  $\Rightarrow [\text{Lan}_K, \text{Ran}_K]$ )  
f-and f.

Thus, specializing to  $D = \hat{C}$  and  $K = Y$  (full and faithfully Yoneda!)

$$\begin{array}{ccc} C & \xrightarrow{F} & E \\ Y \downarrow \cong & \nearrow \text{Lan}_Y F & \\ C & & \end{array} \quad \begin{array}{c} \{ \\ = \text{Set} \\ \text{a.k.a. } C/X \end{array}$$

$\hookrightarrow$  (Ex classes notes de Métayer)

In this case, we have that

$$Y \downarrow X \simeq \text{el}(X)$$

$$(c, f: Y_c \rightarrow X) \rightsquigarrow (c, x \in X_c)$$

Yoneda lemma

So we can write

$$\begin{aligned} (\text{Lan}_Y F)X &= \text{colim}(F\pi) \\ &\quad (c, x \in X_c) \\ &= \int^C X_c \cdot Fc \end{aligned}$$

$$\boxed{\mathcal{E}c : C, X_c}$$

On the other hand, we have a natural functor  $NF: E \rightarrow C$ :

$$NFe_c = \mathcal{E}[Fc, e]$$

Proposition:  $\text{Lan}_Y F \dashv NF$

$$\begin{array}{ccc} \text{Lan}_Y F & \xrightarrow{\quad} & E \\ \downarrow & \swarrow \text{NF} & \\ C & & \end{array} \quad \boxed{\text{NERVE}}$$

Proof: A morphism  $(\text{Lan}_Y F)X \rightarrow e \simeq$  a cocone  $F\pi \rightarrow e$   
 $\simeq \forall c, x \in X_c$  a morphism  $Fc \rightarrow e$   
 $\simeq$  a natural transformation  $X \rightarrow NFe$   $\square$

We note, as a consequence, that  $\text{Lan}_Y F$  preserves colimits

Remark: The proposition can be strengthened as follows: the pair  $C \xrightarrow{F} E$  admits a pointwise left Kan extension iff  $NF$  has  $\downarrow \swarrow$  a left adjoint.

But there is more to it!

We can further specialize to

$$C \xrightarrow{\cong} \hat{C} \quad \text{We observe that } NYX_C = \hat{C}(Y_C, X) \cong X_C$$

$\downarrow Y$  Hence  $NY \cong \text{Id}$  (naturally isomorphic)

It follows that  $\text{Lan}_Y Y \rightarrow \text{Id}$  (and  $\text{Lan}_Y Y_{\text{contra}}$ )

So we have  $\text{Lan}_Y Y \cong \text{Id}$

This is the density formula  $\forall X \in \hat{C}$

$$X \cong \text{colim}_{(C, x \in X_C)} Y_C : \text{every presheaf is a colimit of representables}$$

$$\text{or } X \cong \int^C X_C \cdot Y_C \quad \text{ie pointwise}$$

q. o. Yoneda Lemma

$$X_d = \int^C X_C \cdot C(d, C)$$

Definition If  $C \xrightarrow{F} D$  is a pointwise left Kan extension

$$F \downarrow \begin{matrix} \text{via} \\ \text{id} \end{matrix} \quad D \quad \text{ie. } \forall d \in D \quad d = \text{colim}(F \pi^d)$$

we say that  $F$  is dense.

We have shown above that  $\mathcal{Y}$  is dense

Exercise Show that  $F$  dense  $\Leftrightarrow NF$  full and faithful.

(Hint: note that a natural transformation  $NFd \rightarrow NFd'$  gets repackaged as a morphism of cocones over  $F\pi^d$ .)

Proposition : Let  $K : C \rightarrow D$  be dense and full and faithful, and suppose we have a pointwise left Kan extension  $\text{Lan}_K F$ . Then an alternative description of  $\text{Lan}_K F$  is the following:  $\text{Lan}_K F$  is the unique functor  $\bar{F} : D \rightarrow E$  preserving all colimits of the form  $\text{colim}(K\pi^d)$  and factoring  $F$ .

$$\begin{array}{ccc} C & \xrightarrow{F} & E \\ K \downarrow & \swarrow & \nearrow \\ D & \xrightarrow{\bar{F}} & E \end{array}$$

(which exist by density of  $K$ )

Moreover, the adjunction  $\text{Lan}_K \dashv K^*$  restricts to an equivalence of categories

$$\text{Lan}_K : E^C \rightleftarrows E^D \quad K^*$$

full subcategory of  $E^D$   
of the functors preserving  
those colimits

Proof Since  $K$  is full and faithful, we have  $\text{Lan}_K F = F$ ,

$$\text{and } \text{Lan}_K F(\text{colim } K\pi^d) = \underset{\text{density}}{\text{Lan}_K Fd} = \underset{\text{formula}}{\text{colim } (\bar{F}\pi^d)} = \text{colim } (\text{Lan}_K F K\pi^d)$$

$$\text{Conversely given } \bar{F}, \text{ we get } \bar{F}d = \bar{F}(\text{colim } K\pi^d) = \text{colim } (\bar{F}K\pi^d)$$

density preservation

$$= \text{colim } (\bar{F}\pi^d) = \text{Lan}_K F d.$$

For the last part of the statement, we note that, starting from  $\bar{F}$ :

$$\bar{F}d = \bar{F}(\text{colim } (K\pi^d)) = \text{colim } (\bar{F}K\pi^d) = \text{Lan}_K (\bar{F}K) d$$

density  $\bar{F} \in E^D$  def

$\Rightarrow$  the counit  $\text{Lan}_K (\bar{F}K) \rightarrow \bar{F}$  is iso.

Back to  $\mathcal{Y}$ : when  $K = \mathcal{Y}$ , we have the further information that  $\text{Lan}_{\mathcal{Y}} F$  is a left adjoint, hence it preserves all colimits. This leads to the following specialisation and strengthening of the previous proposition

Proposition Given  $F: C \rightarrow E$ , it is equivalent to have

- (a) a left adjoint to  $NF: E \rightarrow \widehat{C}$
- (b) a pointwise left Kan extension  $\text{Lan}_{\mathcal{Y}} F$
- (c) a unique functor  $\tilde{F}: D \rightarrow E$  preserving all colimits of the form  $\text{colim}(\mathcal{Y}\pi^\alpha)$  and extending  $F$
- (d) a unique cocontinuous functor extending  $F$

Proof (a)  $\Rightarrow$  (b) and (b)  $\Rightarrow$  (c) hold by previous results.

And we have (a)  $\Rightarrow$  (d)  $\Rightarrow$  (c).

Left adj.

Taking left Kan extensions is a left Kan extension

i.e.  $\text{Lan}_K = \text{Lan}_{K'} K'' (K: C \rightarrow D)$  for some  $K', K''$

Consider the nerve construction applied to  $C \xrightarrow{Y} D \xrightarrow{Y} \widehat{D}$   
 We have  $N(Y \circ K) \simeq (K^{\text{op}})^* : \widehat{D} \rightarrow \widehat{C}$   $N(Y \circ K) : \widehat{D} \rightarrow \widehat{C}$

Prof:  $N(Y \circ K) Y_C = \widehat{D}(Y(K_C), Y) = Y(K_C) = ((K^{\text{op}})^* Y)_C$

$C^{\text{op}} \xrightarrow{K^{\text{op}}} D^{\text{op}} \xrightarrow{Y} \text{Set}$

It follows that their left adjoints are isomorphic functors

$\text{Lan}_K X = \text{Lan}_Y (Y \circ K) X$   $C \xrightarrow{K} D \xrightarrow{Y} \widehat{D}$

$\uparrow$  Exercise, check this directly  
 (similar to the two versions of G-Yoneda)

$K \downarrow$   $D^{\text{op}}$   $\text{Lan}_K X$   $\text{Lan}_Y (Y \circ K)$

Note the "realification" of the arrow  $X$  into the object  $X \in \widehat{C}$

{ leaving  $Y$  implicit, this yields " $N_- = _-*$ ". As a matter of fact, one finds in the literature the following notation:

$K_!$  for  $\text{Lan}_K$

$F^*$  for  $NF$

$K_*$  for  $\text{Ran}_K$

$F_!$  for  $\text{Lan}_Y F$

(even if they meet only in the above situation). ]