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# CARTESIAN CLOSED 2-CATEGORIES AND PERMUTATION EQUIVALENCE IN HIGHER-ORDER REWRITING 

TOM HIRSCHOWITZ


#### Abstract

We propose a semantics for permutation equivalence in higherorder rewriting. This semantics takes place in cartesian closed 2-categories, and is proved sound and complete.


## 1. Introduction

It is known since the end of the 80 's that 2-categories with finite products provide a semantics for term rewriting [3]. Higher-order rewriting [10, 17, 14, 15] is a framework for specifying rewrite systems on terms with variable binding. Many results from standard term rewriting have been generalised to higher-order rewriting, notably normalisation or confluence results. An important tool for confluence results is the notion of permutation equivalence, which was generalised to the higher-order case by Bruggink [1]. He defines a calculus of proof terms for specifying reductions in a higher-order rewrite system.

We here propose a categorical semantics for a variant of this calculus, in terms of cartesian closed 2-categories. We first define cartesian closed 2-signatures, which generalise higher-order rewrite systems, and organise them into a category Sig. We then construct an adjunction

where 2CCCat is the category of small cartesian closed 2-categories. From a given higher-order rewrite system $S$, the functor $\mathcal{H}$ constructs a cartesian closed 2-category, whose 2 -cells are Bruggink's proof terms modulo permutation equivalence, which we prove is the free cartesian closed 2-category generated by $S$.

We review a number of examples and non-examples, and sketch an extension to deal with the latter.

Related work. Our cartesian closed 2-signatures are a 2-dimensional refinement of cartesian closed sketches [16, 4, 9, Bruggink's calculus of permutation equivalence is close in spirit to Hilken's 2-categorical semantics of the simply-typed $\lambda$-calculus [7], but technically different and generalised to arbitrary higher-order rewrite systems. Capriotti [2] proposes a semantics of so-called flat permutation equivalence in sesquicategories. More related work is discussed in Section 4.2.

[^0]
## 2. Cartesian closed signatures and categories

We start by recalling the well-known, or at least folklore, adjunction between what we here call (cartesian closed) 1-signatures and cartesian closed categories.

For any set $X$, define types over $X$ by the grammar:

$$
A, B, \ldots \in \mathcal{L}_{0}(X)::=x|1| A \times B \mid B^{A}
$$

with $x \in X$.
Proposition 1. $\mathcal{L}_{0}$ defines a monad on Set.
Let the set of sequents over a set $X$ be $\mathcal{S}_{0}(X)=\mathcal{L}_{0}(X)^{*} \times \mathcal{L}_{0}(X)$, i.e., sequents are pairs of a list of types and a type. The assignment $X \mapsto \mathcal{S}_{0}(X)$ extends to an endofunctor on Set.

Definition 1. A 1-signature consists of $a$ set $X_{0}$ of sorts, and an $S_{0}\left(X_{0}\right)$-indexed set $X_{1}$ of operations, or equivalently a map $X_{1} \rightarrow S_{0}\left(X_{0}\right)$.

A morphism of 1-signatures $\left(X_{0}, X_{1}\right) \rightarrow\left(Y_{0}, Y_{1}\right)$ is a pair $\left(f_{0}, f_{1}\right)$ where $f_{i}: X_{i} \rightarrow$ $Y_{i}$ such that

commutes. Morphisms compose in the obvious way, and we have:
Proposition 2. Composition of morphisms is associative and unital, and hence 1-signatures and their morphisms form a category $\mathrm{Sig}_{1}$.

There is a well-known adjunction

between 1-signatures and the category CCCat of small cartesian closed categories (with chosen structure) and (strict) cartesian closed functors.

The functor $\mathcal{W}_{1}$ sends a cartesian closed category $\mathcal{C}$ to the signature with sorts $\mathcal{C}_{0}$, its set of objects, and with operations $A_{1}, \ldots, A_{n} \rightarrow A$ the set $\mathcal{C}\left(\llbracket A_{1} \times \ldots \times A_{n} \rrbracket, \llbracket A \rrbracket\right)$, where $\llbracket-\rrbracket$ denotes the function $\mathcal{L}_{0}\left(\mathcal{C}_{0}\right) \rightarrow \mathfrak{C}_{0}$ defined by induction:

$$
\begin{array}{rlrl}
\llbracket c \rrbracket & =c & c \in \mathfrak{C}_{0} \\
\llbracket 1 \rrbracket & =1 & \\
\llbracket A \times B \rrbracket & =\llbracket A \rrbracket \times \llbracket B \rrbracket &  \tag{2.1}\\
\llbracket B^{A} \rrbracket & =\llbracket B \rrbracket A \rrbracket . &
\end{array}
$$

Conversely, given a 1 -signature $X$, consider the simply-typed $\lambda$-calculus with base types in $X_{0}$ and constants in $X_{1}$. Terms modulo $\beta \eta$ form a category $\mathcal{H}_{1}(X)$ with objects all types over $X_{0}$ and morphisms $A \rightarrow B$ all terms of type $B$ with one free variable of type $A$.

A less often formulated observation, which is useful to us, is that the adjunction $\mathcal{H}_{1} \dashv \mathcal{W}_{1}$ decomposes into two adjunctions

where $\mathcal{L}_{1}$-Alg is the category of algebras for the monad $\mathcal{L}_{1}$ defined as follows (and $\mathcal{L}_{1}$ is shorthand for the functor $\left.X \mapsto\left(\mathcal{L}_{1}(X), \mu\right)\right)$.

For any 1-signature $X$, let $\mathcal{L}_{1}(X)$ denote the 1 -signature with

- as sorts the set $X_{0}$, and
- as operations $\Gamma \vdash A$ the $\lambda$-terms $\Gamma \vdash M: A$, modulo $\beta \eta$.
$\mathcal{L}_{1}$ extends to an endofunctor on $\mathrm{Sig}_{1}$, whose action on morphisms of 1-signatures $X \xrightarrow{f} Y$ substitutes constants $c \in X_{1}$ with $f_{1}(c)$. We obtain
Proposition 3. $\mathcal{L}_{1}$ is a monad on $\mathrm{Sig}_{1}$.
The functor $\mathcal{V}_{1}$ sends any cartesian closed category $\mathcal{C}$ to the $\mathcal{L}_{1}$-algebras $\left(\mathcal{C}_{0}, \mathfrak{C}_{1}\right)$ defined as follows. First, $\mathcal{C}_{0}$ is the set of objects of $\mathcal{C}$. It has a canonical $\mathcal{L}_{0}$-algebra structure, say $h_{0}: \mathcal{L}_{0}\left(\mathcal{C}_{0}\right) \rightarrow \mathcal{C}_{0}$, obtained by interpreting type constructors in $\mathcal{C}$ as in 2.1. Extending this to contexts $G$ by $h_{0}(G)=\prod_{i} h_{0}\left(G_{i}\right)$, let the operations in $\mathcal{C}_{1}(\bar{G}, A)$ be the 1-cells in $\mathcal{C}\left(h_{0}(G), h_{0}(A)\right)$. Beware: the domain and codomain of such an operation are really $G$ and $A$, not $h_{0}(G)$ and $h_{0}(A)$. Similarly, interpreting the $\lambda$-calculus in $\mathcal{C}$, the 1 -signature $\left(\mathcal{C}_{0}, \mathcal{C}_{1}\right)$ has a canonical $\mathcal{L}_{1}$-algebra structure, say $h_{1}: \mathcal{L}_{1}\left(\mathfrak{C}_{0}, \mathfrak{C}_{1}\right) \rightarrow\left(\mathfrak{C}_{0}, \mathfrak{C}_{1}\right)$ :

$$
\begin{aligned}
h_{1}\left(G \vdash x_{i}: G_{i}\right) & =\pi_{i} \\
h_{1}(G \vdash(): 1) & =! \\
h_{1}\left(G \vdash c\left(M_{1}, \ldots, M_{n}\right)\right) & =c \circ\left(h_{1}\left(M_{1}\right), \ldots, h_{1}\left(M_{n}\right)\right) \\
h_{1}\left(G \vdash \lambda: A \cdot M: B^{A}\right) & =\varphi\left(h_{1}(G, x: A \vdash M: B)\right) \\
h_{1}(G \vdash M N: B) & =e v \circ\left(h_{1}(M), h_{1}(N)\right) \\
h_{1}(G \vdash(M, N): A \times B) & =\left(h_{1}(M), h_{1}(N)\right) \\
h_{1}(G \vdash \pi M: A) & =\pi \circ M \\
h_{1}\left(G \vdash \pi^{\prime} M: A\right) & =\pi^{\prime} \circ M,
\end{aligned}
$$

where ! is the unique morphism $h_{0}(G) \rightarrow 1, \varphi$ is the bijection $\mathcal{C}\left(h_{0}(G, A), h_{0}(B)\right) \cong$ $\mathcal{C}\left(h_{0}(G), h_{0}\left(B^{A}\right)\right)$, and $e v$ is the structure morphism $h_{0}\left(B^{A} \times A\right) \rightarrow h_{0}(B)$.
$\mathcal{L}_{1}$-algebras are much like cartesian closed categories whose objects are freely generated by their set of sorts. A perhaps useful analogy here is with multicategories $\mathcal{M}$, seen as being close to monoidal categories whose objects are freely generated by those of $\mathcal{M}$ by tensor and unit. Here, the functor $\mathcal{F}_{1}$ sends any $\mathcal{L}_{1}$-algebra $(X, h)$ to the cartesian closed category with

- objects the types over $X_{0}$, i.e., $\mathcal{L}_{0}\left(X_{0}\right)$,
- morphisms $A \rightarrow B$ the set of operations in $X_{1}(A, B)$.

This canonically forms a cartesian closed category, with structure induced by the $\mathcal{L}_{1}$-algebra structure. We define it in more detail in dimension 2 in Section 7.2 .

## 3. Cartesian closed 2-signatures

Given a 1-signature $X$, let $X_{\|}$denote the set of pairs of parallel operations, i.e., pairs of operations $M, N$ above the same sequent. Otherwise said, $X_{\| \mid}$is the pullback


3

Any morphism $f: X \rightarrow Y$ of 1-signatures yields a function $f_{\|}: X_{\|} \rightarrow Y_{\| \mid}$, via the dashed arrow (obtained by universal property of pullback) in


Definition 2. A 2-signature consists of a 1-signature $X$, plus a set $X_{2}$ of reduction rules with a function $X_{2} \rightarrow \mathcal{L}_{1}(X)_{\|}$.

A morphism of 2-signatures $\left(X, X_{2}\right) \rightarrow\left(Y, Y_{2}\right)$ is a pair $\left(f, f_{2}\right)$ where $f: X \rightarrow Y$ is a morphism of 1-signatures and $f_{2}: X_{2} \rightarrow Y_{2}$ makes the diagram

commute. We obtain:
Proposition 4. Composition of morphisms is associative and unital, and hence 2-signatures and their morphisms form a category Sig.

## 4. Examples

4.1. Higher-order rewrite systems. The prime example of a 2 -signature is that for the pure $\lambda$-calculus: it has a sort $t$ and operations

$$
a: t \times t \rightarrow t \quad \quad \ell: t^{t} \rightarrow t
$$

with a reduction rule $\beta$ above the pair

$$
x: t^{t}, y: t \vdash a(\ell(x), y), x(y): t
$$

in $\mathcal{L}_{1}(\{t\},\{\ell, a\})_{\|}$. Categorically, this will yield a 2 -cell


This is an example of a higher-order rewrite system in the sense of Nipkow [14]. Nipkow's definition is formally different, but his higher-order rewrite systems are in bijection with 2-signatures $h: X_{2} \rightarrow \mathcal{L}_{1}(X)_{\| \mid}$such that for all rules $r \in X_{2}$, letting $(\Gamma \vdash M, N: A)=h(r):$

- $M$ is not a variable,
- $A$ is a sort,
- each variable occurring in $\Gamma$ occurs free in $M$.

These restrictions help formulating and proving decidability problems on higher-order rewrite systems, whose extension to our setting we leave open.

Let us now anticipate over our main results below and state our soundness and completeness theorem. Given a higher-order rewrite system $X$, i.e., a 2 -signature satisfying the above conditions, let $\mathcal{R}(X)$ be the following locally-preordered 2category. It has:

- objects are types in $\mathcal{L}_{0}\left(X_{0}\right)$;
- morphisms $A \rightarrow B$ are $\lambda$-terms in $\mathcal{L}_{1}(X)(A \vdash B)$, modulo $\beta \eta$;
- given two parallel morphisms $M$ and $N$, there is one 2-cell $M \rightarrow N$ exactly when there is a sequence of reductions $M \rightarrow^{*} N$ in the usual sense [14.
Proposition 5. $\mathcal{R}(X)$ is 2-cartesian closed.
$\mathcal{R}(X)$ and $\mathcal{H}(X)$ have the same objects and morphisms. But because our inference rules for forming reductions are the same as deduction rules for proving the existence of a reduction in the usual sense, we may send any reduction $P: M \rightarrow N$ to the unique reduction $M \rightarrow N$ in $\mathcal{R}(X)$.

Theorem 1 (Soundness and completeness). This defines an identity-on-objects, identity-on-morphisms, locally full cartesian closed 2-functor $\mathcal{R}(X) \xrightarrow{\text { ! }} \mathcal{H}(X)$.
4.2. Theories with binding. Understanding reduction rules as equations, it is easy to define the free cartesian closed category generated by a 2 -signature. This yields an adjunction


This adjunction provides a categorical semantics for theories with binding, which is more general than other approaches by Fiore and Hur [6], Hirschowitz and Maggesi [8], and Zsidó [18, and which is in line with Lambek's seminal paper [11].

If I understand correctly, the motivation for Fiore and Hur's subtle approach is the will to explain the $\lambda$-calculus by strictly less than itself. The present framework does not obey this specification, and instead tends to view the $\lambda$-calculus as a universal (parameterised) theory with binding.

We end this section by giving a formal construction of the adjunction 4.1. Cartesian closed categories form a full, reflective subcategory of 2CCCat, via the functor $\mathcal{I}:$ 2CCCat $\rightarrow$ CCCat sending a cartesian closed 2-category $\mathcal{C}$ to the cartesian closed category with:

- objects those of $\mathcal{C}$,
- morphisms those of $\mathcal{C}$, modulo the congruence generated by $f \sim g$ iff there exists a 2 -cell $f \rightarrow g$.
Here, $\mathcal{J}(\mathcal{C})$ is thought of as the free cartesian closed 2-category with trivial 2-cells (i.e., 0 or 1). The desired adjunction is obtained by composing the adjunctions

4.3. Non-examples. Non-examples are given by calculi whose reduction semantics is defined on terms modulo a so-called structural congruence, e.g., CCS [12], or the $\pi$-calculus [5, 13].

For example, consider the CCS term $(a \mid 0) \mid \bar{a}$. In CCS, it is structurally equivalent to $(a \mid \bar{a}) \mid 0$, which then reduces to $0 \mid 0$.

In order to account for this, we would have to consider a 2 -signature with reduction rules for structural congruence, here $\left(M_{1} \mid M_{2}\right)\left|M_{3} \rightarrow M_{1}\right|\left(M_{2} \mid M_{3}\right)$ for associativity, and $M|N \rightarrow N| M$ for commutativity. But then, these reductions count as proper reductions, which departs from the desired computational behaviour. For example, the term $a \mid a$ has an infinite reduction sequence, using commutativity.

Anticipating the development in the next sections, a potential solution is to extend 2-signatures to 2-theories. For any 2-signature $X$, let $X_{\| \mid}$denote the set of pairs of reduction rules $r, s$ with a common type $G \vdash M \rightarrow N: A$. A 2-theory is a 2 -signature $X$, together with a set of equations between parallel reductions, i.e., a subset $X_{3}$ of $\mathcal{L}(X)_{\|}$.

The main adjunction announced above (1.1) extends to an adjunction between 2 -theories and cartesian closed 2 -categories. Using equations, we may specify that any reduction $M \rightarrow M$ using only structural rules be the identity on $M$, and consider the computational behaviour of a 2-category to consist of its non-invertible morphisms, as proposed by Hilken [7]. A question is whether for a given calculus this can be done with finitely many equations.

## 5. A 2-LAMBDA-CALCULUS

We now begin the construction of Adjunction 1.1). We start in this section by defining a monad $\mathcal{L}$ on Sig, which we will use to factor Adjunction (1.1) as

where:

- $\mathcal{L}-\mathrm{Alg}$ is the category of $\mathcal{L}$-algebras,
- $\mathcal{L}: ~ \mathrm{Sig} \rightarrow \mathcal{L}-\mathrm{Alg}$ is a shortcut for $X \mapsto\left(\mathcal{L}^{2} X \xrightarrow{\mu} \mathcal{L} X\right)$,
- $U(\mathcal{L} X \xrightarrow{h} X)=X$,
- 2CCCat is the category of cartesian closed 2-categories, which we define in Section 6

The left-hand adjunction holds by $\mathcal{L}$ being a monad, thus we concentrate in Section 7 on establishing the right-hand one.

But for now, let us define the monad $\mathcal{L}$. Given a 2 -signature $X=\left(\left(X_{0}, X_{1}\right)\right.$, $\left.h: X_{2} \rightarrow \mathcal{L}_{1}(X)_{\|}\right)$(actually $\mathcal{L}_{1}(X)$ is $\mathcal{L}_{1}\left(X_{0}, X_{1}\right)$ ), we construct a new 2-signature $\mathcal{L}(X)$, whose reduction rules represent reduction sequences in the "higher-order rewrite system" defined by $X$, modulo permutation equivalence. The 2-signature $\mathcal{L}(X)$ has the same base 1 -signature $\left(X_{0}, X_{1}\right)$, and as reduction rules the terms of a $2 \lambda$-calculus (in the sense of Hilken 7 ) modulo permutation equivalence, which we now define.

First, terms, called reductions, are defined by induction in Figure 1. The typing judgement has the shape $\Gamma \vdash P: M \rightarrow N: A$, where $A$ is a type in $\mathcal{L}_{0}\left(X_{0}\right), \Gamma$ is a list of pairs of a variable and a type, with no variable appearing more than once, $M$ and $N$ are terms of type $\Gamma \vdash A$ modulo $\beta \eta$, and $P$ is a reduction. In the sequel, we often forget the variables in such pairs $(\Gamma \vdash A)$, and identify them with sequents in $S_{0}\left(X_{0}\right)$.

When clear from context, we abbreviate substitutions $\left[M_{1} / x_{1}, \ldots, M_{n} / x_{n}\right.$ ] by $\left[M_{1}, \ldots, M_{n}\right]$. For a context $G, G_{i}$ denotes its $i$ th type. Also, for $(M, N) \in \mathcal{L}_{1}(X)_{\|}$, we let $X(M, N)$ be the set of all reduction rules $r \in X_{2}$ such that $h(r)=(M, N)$. We write $X(\Gamma \vdash M, N: A)$ to indicate the common type of $M$ and $N$. Similarly, $X(G \vdash A)$ denotes the set of operations in $X_{1}$ above $G \vdash A$.

$$
\begin{aligned}
& \frac{\ldots \quad \Gamma \vdash P_{i}: M_{i} \rightarrow N_{i}: G_{i} \quad \ldots}{\Gamma \vdash r\left(P_{1}, \ldots, P_{n}\right): M\left[M_{1}, \ldots, M_{n}\right] \rightarrow N\left[N_{1}, \ldots, N_{n}\right]: A}(r \in X(G \vdash M, N: A)) \\
& \frac{\Gamma \vdash P: M_{1} \rightarrow M_{2}: A \quad \Gamma \vdash Q: M_{2} \rightarrow M_{3}: A}{\Gamma \vdash P ;_{M_{2}} Q: M_{1} \rightarrow M_{3}: A} \quad \Gamma, x: A, \Delta \vdash x: x \rightarrow x: A \\
& \Gamma \vdash():() \rightarrow(): 1 \\
& \frac{\Gamma \vdash P_{1}: M_{1} \rightarrow N_{1}: G_{1} \quad \ldots \quad \Gamma \vdash P_{n}: M_{n} \rightarrow N_{n}: G_{n}}{\Gamma \vdash c\left(P_{1}, \ldots, P_{n}\right): c\left(M_{1}, \ldots, M_{n}\right) \rightarrow c\left(N_{1}, \ldots, N_{n}\right): A}\left(c \in X_{1}(G \vdash A)\right) \\
& \frac{\Gamma, x: A \vdash P: M \rightarrow N: B}{\Gamma \vdash \lambda x: A . P: \lambda x: A \cdot M \rightarrow \lambda x: A . N: B^{A}} \\
& \frac{\Gamma \vdash P: M \rightarrow M^{\prime}: B^{A} \quad \Gamma \vdash Q: N \rightarrow N^{\prime}: A}{\Gamma \vdash P Q: M N \rightarrow M^{\prime} N^{\prime}: B} \\
& \frac{\Gamma \vdash P: M \rightarrow M^{\prime}: A \quad \Gamma \vdash Q: N \rightarrow N^{\prime}: B}{\Gamma \vdash(P, Q):(M, N) \rightarrow\left(M^{\prime}, N^{\prime}\right): A \times B} \\
& \frac{\Gamma \vdash P: M \rightarrow N: A \times B}{\Gamma \vdash \pi_{A, B} P: \pi_{A, B} M \rightarrow \pi_{A, B} N: A} \quad \frac{\Gamma \vdash P: M \rightarrow N: A \times B}{\Gamma \vdash \pi_{A, B}^{\prime} P: \pi_{A, B}^{\prime} M \rightarrow \pi_{A, B}^{\prime} N: B}
\end{aligned}
$$

Figure 1. Reductions
Next, we define substitution, which has "type"

$$
\frac{\Gamma \vdash Q: N \rightarrow N^{\prime}: \Delta \quad \Delta \vdash P: M \rightarrow M^{\prime}: A}{\Gamma \vdash P[Q]: M[N] \rightarrow M^{\prime}\left[N^{\prime}\right]: A,}
$$

i.e., given a reduction $P$ and a tuple of reductions $Q$, it produces a reduction of the indicated type, which we denote $P[Q]$. Here, we denote by $\Gamma \vdash Q: N \rightarrow N^{\prime}: \Delta$ a tuple of reductions $\Gamma \vdash Q_{i}: N_{i} \rightarrow N_{i}^{\prime}: \Delta_{i}$, for $1 \leq i \leq|\Delta|$.

We skip the formal definition: substitution is defined by capture-avoiding substitution of $Q$ into $P$, possibly renaming bound variables along the way. It rests on the following result.

Proposition 6. Given reductions $P$ and $Q$ as above, the capture-avoiding substitution $P[Q]$ is a well-typed reduction $\Gamma \vdash P[Q]: M[N] \rightarrow M^{\prime}\left[N^{\prime}\right]: A$.

Similarly, there is a weakening operation with "type"

$$
\frac{\Gamma \vdash P: M \rightarrow N: A}{\Gamma, x: B \vdash P: M \rightarrow N: A .}(x \notin \Gamma)
$$

We then define permutation equivalence on reductions, by the equations in Figures 3 and 4, in Appendix A. The congruence rules in Figure 3 are bureaucratic: they just say that permutation equivalence is a congruence. The category rules make reductions of a given type $\Gamma \vdash A$ into a category. In Figure 4, the beta and eta rules mirror the term-level beta and eta rules. Finally, the lifting rules lift composition of reductions towards toplevel.

So, $\mathcal{L}(X)$ has sorts $X_{0}$, operations $X_{1}$, and as reduction rules in $\mathcal{L}(X)(G \vdash$ $M, N: A$ ) all reductions $G \vdash P: M \rightarrow N: A$, modulo the equations.

This easily extends to:
Proposition 7. L is a functor $\operatorname{Sig} \rightarrow$ Sig.
Now, consider $\mathcal{L} \mathcal{L}(X)$. We define a mapping $\mu_{X}: \mathcal{L} \mathcal{L}(X) \rightarrow \mathcal{L}(X)$, by induction on reductions. The typing rule for reduction rules specialises to:

$$
\begin{gathered}
\quad(R \in \mathcal{L}(X)(G \vdash M, N: A)) \\
\frac{\Gamma \vdash P_{1}: M_{1} \rightarrow N_{1}: G_{1} \quad \ldots \quad \Gamma \vdash P_{n}: M_{n} \rightarrow N_{n}: G_{n}}{\Gamma \vdash R\left(P_{1}, \ldots, P_{n}\right): M\left[M_{1}, \ldots, M_{n}\right] \rightarrow N\left[N_{1}, \ldots, N_{n}\right]: A} .
\end{gathered}
$$

We set $\mu\left(R\left(P_{1}, \ldots, P_{n}\right)\right)=R\left[\mu\left(P_{1}\right), \ldots, \mu\left(P_{n}\right)\right]$. The other cases just propagate the substitution:

$$
\begin{array}{rll}
P ; Q & \mapsto & \mu(P) ; \mu(Q) \\
x & \mapsto & x \\
() & \mapsto & () \\
c\left(P_{1}, \ldots, P_{n}\right) & \mapsto\left(\mu\left(P_{1}\right), \ldots, \mu\left(P_{n}\right)\right) \\
\lambda x: A \cdot P & \mapsto \lambda: A \cdot \mu(P) \\
P Q & \mapsto & \mu(P) \mu(Q) \\
(P, Q) & \mapsto & (\mu(P), \mu(Q)) \\
\pi P & \mapsto & \pi(\mu(P)) \\
\pi^{\prime} P & \mapsto & \pi^{\prime}(\mu(P)) .
\end{array}
$$

Lemma 1. This defines a natural transformation $\mu: \mathcal{L}^{2} \rightarrow \mathcal{L}$, which makes the diagram

commute.
Similarly, there is a natural transformation $\eta$ : id $\rightarrow \mathcal{L}$, sending each $r \in X(G \vdash$ $M, N: A)$ to the reduction $G \vdash r\left(x_{1}, \ldots, x_{n}\right): M \rightarrow N: A$, and we have:

Lemma 2. The diagram

commutes.
Corollary 1. ( $\mathcal{L}, \mu, \eta)$ is a monad on Sig.

## 6. Cartesian closed 2-Categories

6.1. Definition. In a 2-category $\mathcal{C}$, a diagram $A \stackrel{p}{\leftarrow} C \xrightarrow{q} B$ is a product diagram iff for all object $D$, the induced functor

$$
\mathcal{C}(D, C) \xrightarrow{\Delta} \mathcal{C}(D, C) \times \mathcal{C}(D, C) \xrightarrow{\mathcal{C}(D, p) \times \mathcal{C}(D, q)} \mathcal{C}(D, A) \times \mathcal{C}(D, B)
$$

is an isomorphism. Because this family of functors is 2-natural in $D$, the inverse functors will also be 2-natural.

Similarly, an object 1 of $\mathcal{C}$ is terminal iff for all $D$ the unique functor

$$
\mathcal{C}(D, 1) \stackrel{!}{\rightarrow} 1
$$

is an isomorphism (where the right-hand 1 is the terminal category).
Definition 3. A 2-category with finite products, or fp 2-category, is a 2-category $\mathcal{C}$, equipped with a terminal object and a 2-functor

$$
\mathcal{C} \times \mathcal{C} \xrightarrow{\times} \mathcal{C},
$$

plus, for all $A$ and $B$, a product diagram

$$
A \stackrel{p}{\leftarrow} A \times B \xrightarrow{q} B .
$$

In such an fp 2-category $\mathcal{C}$, given objects $A$ and $B$, an exponential for them is a pair of an object $B^{A}$ and a morphism $e v: A \times B^{A} \rightarrow B$, such that for all $D$, the functor

is an isomorphism. As above, because this family of functors is 2-natural in $D$, the inverse functors will also be 2-natural.

Definition 4. A cartesian closed 2-category, or cartesian closed 2-category, is an fp 2-category, equipped with a choice of exponentials for all pairs of objects. The category 2CCCat has cartesian closed 2-categories as objects, and stricly structure-preserving functors between them as morphisms.

## 7. Main adjunction

7.1. Right adjoint. Given a cartesian closed 2-category $\mathcal{C}$, define $\mathcal{V}(\mathcal{C})=\left(\mathcal{C}_{0}, \mathfrak{C}_{1}\right.$, $\left.\mathcal{C}_{2}\right)$ as follows. First, let as in Section $2\left(\mathcal{C}_{0}, \mathcal{C}_{1}\right)=\mathcal{V}_{1}(\mathcal{C})$, and recall the canonical $\mathcal{L}_{0}$ and $\mathcal{L}_{1}$-algebra structures $h_{0}$ and $h_{1}$. Let then the reduction rules in $\mathcal{C}_{2}(G \vdash M, N: A)$ be the 2-cells in $\mathcal{C}\left(h_{0}(G), h_{0}(A)\right)\left(h_{1}(M), h_{1}(N)\right)$, abbreviated to $\mathcal{C}(G, A)(M, N)$ in the sequel.

This signature $\mathcal{V} \mathcal{C}$ has a canonical $\mathcal{L}$-algebra structure $h_{2}: \mathcal{L}(\mathcal{V} \mathcal{C}) \rightarrow \mathcal{V} \mathcal{C}$, which we define by induction over terms in Figure 2. In the case for $\lambda, \varphi$ denotes the structure isomorphism $\mathcal{C}((\Pi \Gamma) \times A, B) \cong \mathcal{C}\left(\Pi \Gamma, B^{A}\right)$.

In order for the definition to make sense as a morphism $\mathcal{L}(\mathcal{V C}) \rightarrow \mathcal{V}$, we have to check its compatibility with the equations. We have first:

Lemma 3. For all $\Delta \vdash Q: N \rightarrow N^{\prime}: \Gamma$ and $\Gamma \vdash P: M \rightarrow M^{\prime}: A$ in $\mathcal{L}(\mathcal{V} \mathcal{C})$,


Proof. By induction on $P$ and the axioms for cartesian closed 2-categories.
Lemma 4. Any two equated reductions are mapped to the same 2-cell in $\mathcal{C}$.
Proof. We proceed by induction on the proof of the considered equation. The rules of Figure 3 hold because, in $\mathcal{C}$, vertical composition is associative and unital, and equality is a congruence. The beta rule is less easy, so we spell it out.

The left-hand reduction is interpreted in $\mathcal{C}$ as

$$
\begin{aligned}
& \left(G \vdash x_{i}: x_{i} \rightarrow x_{i}: G_{i}\right) \mapsto\left(i d_{\pi_{i}}: \pi_{i} \rightarrow \pi_{i}: \prod G \rightarrow G_{i}\right) \\
& (G \vdash():() \rightarrow(): 1) \mapsto\left(i d_{!}:!\rightarrow!: \prod G \rightarrow 1\right) \\
& \left(\Gamma \vdash c\left(P_{1}, \ldots, P_{n}\right): c\left(M_{1}, \ldots, M_{n}\right) \rightarrow c\left(N_{1}, \ldots, N_{n}\right): A\right) \mapsto \\
& \left(M_{1}, \ldots, M_{n}\right) \\
& \Pi \Gamma \xrightarrow{\| P}{ }^{c} A \quad\left(c \in \mathcal{C}_{1}(G, A), P=\left(P_{1}, \ldots, P_{n}\right)\right) \\
& \left(N_{1}, \ldots, N_{n}\right) \\
& \left(\Gamma \vdash r\left(P_{1}, \ldots, P_{n}\right): M\left[M_{1}, \ldots, M_{n}\right] \rightarrow N\left[N_{1}, \ldots, N_{n}\right]: A\right) \mapsto \\
& \left(G \vdash P ;_{M_{2}} Q: M_{1} \rightarrow M_{3}: A\right) \mapsto \\
& \left(\Gamma \vdash \lambda x: A . P: \lambda x: A . M \rightarrow \lambda x: A . N: B^{A}\right) \mapsto \varphi(P: M \rightarrow N:(\Pi \Gamma) \times A \rightarrow B) \\
& \left(\Gamma \vdash \pi_{A, B} P: \pi_{A, B} M \rightarrow \pi_{A, B} N: A\right) \mapsto \quad \Pi \Gamma \overbrace{N}^{M} A \times B \xrightarrow{\pi} A \\
& \left(\Gamma \vdash \pi_{A, B}^{\prime} P: \pi_{A, B}^{\prime} M \rightarrow \pi_{A, B}^{\prime} N: B\right) \mapsto \quad \prod \Gamma
\end{aligned}
$$

Figure 2. The $\mathcal{L}$-algebra structure on $\mathcal{V}(\mathcal{C})$

which is equal to

which is in turn equal (by cartesian closedness of $\mathcal{C}$ ) to:

and hence to the right-hand side of the equation by Lemma 3. The other beta and eta rules similarly hold by the properties of products, internal homs, and terminal object in $\mathcal{C}$.

The lifting rules hold by (particular cases of) the interchange law in $\mathcal{C}$ and functoriality of the structural isomorphisms

$$
\mathcal{C}(A \times B, C) \cong \mathcal{C}\left(B, C^{A}\right) \quad \text { and } \quad \mathcal{C}(C, A \times B) \cong \mathcal{C}(C, A) \times \mathcal{C}(C, B)
$$

which concludes the proof.
This assignment extends to cartesian closed functors and we have:
Proposition 8. $\mathcal{V}$ is a functor 2CCCat $\rightarrow$ Sig.
7.2. Left adjoint. Given an $\mathcal{L}$-algebra $h: \mathcal{L}(X) \rightarrow X$, we now construct a cartesian closed 2-category $\mathcal{F}(X, h)$. It has:

- objects the types in $\mathcal{L}_{0}\left(X_{0}\right)$;
- 1-cells $A \rightarrow B$ the terms in $\mathcal{L}_{1}\left(X_{0}, X_{1}\right)(A, B)$;
- 2-cells $M \rightarrow N: A \rightarrow B$ the reduction rules in $X_{2}(M, N)$.

We then must define the cartesian closed 2-category structure, and we start with the 2-category structure. Composition of 1-cells $A \xrightarrow{M} B \xrightarrow{N} C$ is defined to be $A \xrightarrow{N[M]} C$. Vertical composition of 2-cells

is given by $h\left(\eta(\alpha) ; M_{2} \eta(\beta)\right)$.

Horizontal composition of 2-cells

is obtained as $h(\beta(\eta(\alpha)))$.
To show that this yields a 2-category structure, the only non obvious point is the interchange law. We deal with it using the following series of results. First, consider the left whiskering

of a 2-cell $\alpha$ by a 1 -cell $N$, i.e., the composition $i d_{N} \circ \alpha=h((h(N))(\eta(\alpha)))$.
Lemma 5. We have: $h((h(N))(\eta(\alpha)))=h(N[\eta(\alpha)])$.
Proof. Indeed, consider the term $N(\eta(\eta(\alpha)))$ in $\mathcal{L}(\mathcal{L}(X))$. Its images by $h \circ \mathcal{L}(h)$ and $h \circ \mu$ coincide, and are respectively $h((h(N))(\eta(\alpha)))$, i.e., $i d_{N} \circ \alpha$, and $h(N[\eta(\alpha)])$.

Similarly, consider the right whiskering

of a 2 -cell $\gamma$ by a 1 -cell $M$, i.e., the composition $\gamma \circ i d_{N}=h(\gamma(\eta(h(M))))$.
Lemma 6. We have: $h(\gamma(\eta(h(M))))=h(\gamma(M))$.
Proof. Consider $(\eta \gamma)(\eta M)$ in $\mathcal{L}(\mathcal{L}(X))$. Its images by $h \circ \mathcal{L}(h)$ and $h \circ \mu$ coincide, and are respectively $h(\gamma(\eta(h(M))))$ and $h(\gamma(M))$.

Now, we prove that the two sensible ways of mimicking horizontal composition using whiskering coincide with actual horizontal composition:

Lemma 7. For any cells as in 7.1,

$$
\left(\beta \circ i d_{M}\right) ;\left(i d_{N^{\prime}} \circ \alpha\right)=\beta \circ \alpha=\left(i d_{N} \circ \alpha\right) ;\left(\beta \circ i d_{M^{\prime}}\right) .
$$

Proof. Consider first the reduction $\eta(\beta(M)) ; \eta\left(N^{\prime}[\eta(\alpha)]\right)$ in $\mathcal{L}(\mathcal{L}(X))$. Taking $h \circ \mathcal{L}(h)$ and $h \circ \mu$ as above respectively yields

- $h\left(\eta(h(\beta(M))) ; \eta\left(h\left(N^{\prime}[\alpha]\right)\right)\right)$, and
- $h\left(\beta(M) ; N^{\prime}[\eta(\alpha)]\right)=h(\beta(\eta(\alpha)))$,
hence the left-hand equality. Then consider $\eta(N[\eta(\alpha)]) ; \eta\left(\gamma\left(M^{\prime}\right)\right)$. Evaluating as before yields the right-hand equality.

Finally, consider any configuration like:


Lemma 8. We have $\left(i d_{N} \circ \alpha\right) ;\left(i d_{N} \circ \beta\right)=i d_{N} \circ(\alpha ; \beta)$.
Proof. Consider $\eta(N[\eta(\alpha)]) ; \eta(N[\eta(\beta)])$. Evaluating yields equality of

- $h(\eta(h(N[\eta(\alpha)])) ; \eta(h(N[\eta(\beta)])))$, i.e., the left-hand side, and
- $h(N[\eta(\alpha)] ; N[\eta(\beta)])$, i.e., $h(N[\eta(\alpha) ; \eta(\beta)])$ by lifting.

But now consider $N[\eta(\eta(\alpha) ; \eta(\beta))]$. Evaluating yields equality of

- $h(N[\eta(\alpha) ; \eta(\beta)])$, as above, and
- $h(N[\eta(h(\eta(\alpha) ; \eta(\beta)))]$ ), i.e., $h(N[\eta(\alpha ; \beta)])$ (where $\alpha ; \beta$ denotes vertical composition in our candidate 2-category), i.e., the right-hand side.
Lemma 9. The interchange law holds, i.e., for all reduction rules as in

we have

$$
(\gamma ; \theta) \circ(\alpha ; \beta)=(\gamma \circ \alpha) ;(\theta \circ \beta) .
$$

Proof. By the previous results, we have

$$
\begin{aligned}
& (\gamma ; \theta) \circ(\alpha ; \beta) \\
& =\left((\gamma ; \theta) \circ M_{1}\right) ;\left(N_{3} \circ(\alpha ; \beta)\right) \\
& =\left(\gamma \circ M_{1}\right) ;\left(\theta \circ M_{1}\right) ;\left(N_{3} \circ \alpha\right) ;\left(N_{3} \circ \beta\right) \\
& =\left(\gamma \circ M_{1}\right) ;\left(N_{2} \circ \alpha\right) ;\left(\theta \circ M_{2}\right) ;\left(N_{3} \circ \beta\right) \\
& =(\gamma \circ \alpha) ;(\theta \circ \beta) .
\end{aligned}
$$

Now, let us show cartesian closedness. We have a bijection of hom-sets $\mathcal{L}_{1}(X)(C \vdash$ $A \times B) \cong \mathcal{L}_{1}(X)(C \vdash A) \times \mathcal{L}_{1}(X)(C \vdash B)$, given by

$$
\begin{aligned}
\mathcal{L}_{1}(X)(C \vdash A \times B) & \rightarrow \mathcal{L}_{1}(X)(C \vdash A) \times \mathcal{L}_{1}(X)(C \vdash B) \\
M & \mapsto \pi M, \pi^{\prime} M
\end{aligned}
$$

and

$$
\begin{array}{rll}
\mathcal{L}_{1}(X)(C \vdash A) \times \mathcal{L}_{1}(X)(C \vdash B) & \rightarrow & \mathcal{L}_{1}(X)(C \vdash A \times B) \\
M, N & \mapsto(M, N) .
\end{array}
$$

These are mutually inverse thanks to the beta and eta rules for products in the simply-typed $\lambda$-calculus.

On 2-hom-sets, we have

$$
\begin{aligned}
\mathcal{L}(X)(C \vdash M, N: A \times B) & \rightarrow \mathcal{L}(X)(C \vdash \pi M, \pi N: A) \times \mathcal{L}(X)\left(C \vdash \pi^{\prime} M, \pi^{\prime} N: B\right) \\
P & \mapsto \pi P, \pi^{\prime} P
\end{aligned}
$$

and (omitting $C$ )

$$
\begin{aligned}
\mathcal{L}(X)\left(M_{1}, N_{1}: A\right) \times \mathcal{L}(X)\left(M_{2}, N_{2}: B\right) & \rightarrow \mathcal{L}(X)\left(\left(M_{1}, M_{2}\right),\left(N_{1}, N_{2}\right): A \times B\right) \\
P_{1}, P_{2} & \mapsto\left(P_{1}, P_{2}\right),
\end{aligned}
$$

which are mutually inverse thanks to the beta and eta rules for products in Figure 4 We use these to define the desired isomorphism $(u, v)$

$$
X_{2}(C \vdash M, N: A \times B) \cong X_{2}(C \vdash \pi M, \pi N: A) \times X_{2}\left(C \vdash \pi^{\prime} M, \pi^{\prime} N: B\right),
$$

as in the diagrams

and


Starting from $r \in X_{2}(M, N)$, we obtain

$$
v(u(r))=h\left(\eta(h(\pi(\eta(r)))), \eta\left(h\left(\pi^{\prime}(\eta(r))\right)\right)\right) .
$$

But consider $\left(\eta(\pi \eta(r)), \eta\left(\pi^{\prime} \eta(r)\right)\right)$ in $\mathcal{L}(\mathcal{L} X)$; its images by $h \circ \mathcal{L} h$ and $h \circ \mu$ are respectively:

- $h\left(\eta(h(\pi(\eta r))), \eta\left(h\left(\pi^{\prime}(\eta r)\right)\right)\right)$, and
- $h\left(\pi \eta(r), \pi^{\prime} \eta(r)\right)$, i.e., $h(\eta(r))$, i.e., $r$,
which must be equal because $h$ is an $\mathcal{L}$-algebra, hence $v \circ u=i d$.
Conversely, starting from $(r, s) \in X_{2}\left(M_{1}, M_{2}\right) \times X_{2}\left(N_{1}, N_{2}\right)$, we obtain the pair with components

$$
h(\pi(\eta(h(\eta(r), \eta(s))))) \quad \text { and } \quad h\left(\pi^{\prime}(\eta(h(\eta(r), \eta(s))))\right)
$$

Considering $\pi(\eta(\eta(r), \eta(s))) \in \mathcal{L}(\mathcal{L}(X))$, its images by $h \circ \mathcal{L}(h)$ and $h \circ \mu$ are respectively:

- $h(\pi(\eta(h(\eta(r), \eta(s)))))$, and
- $h(\pi(\eta(r), \eta(s)))=h(\eta(r))=r$.

As above, they must be equal, and by symmetry the second component is $s$, and we have proved $u \circ v=i d$. Similar reasoning for the terminal object and internal homs leads to:

Proposition 9. This yields a cartesian closed 2-category structure on $\mathcal{C}$.
This extends to morphisms of $\mathcal{L}$-algebras, so we have constructed a functor $\mathcal{F}: \mathcal{L}-\mathrm{Alg} \rightarrow 2$ CCCat.
7.3. Adjunction. Consider any L-algebra $(X, h)$. What does $(Y, k)=\mathcal{V}(\mathcal{F}(X, h))$ look like? Sorts in $Y_{0}$ are types in $\mathcal{L}_{0}\left(X_{0}\right)$. Operations $Y_{1}(G \vdash A)$ are terms in $\mathcal{L}_{1}\left(X_{0}, X_{1}\right)(\Pi G \vdash A)$. Reduction rules in $Y_{2}(G \vdash M, N: B)$ are reductions in $\mathcal{L}(X)\left(\prod G \vdash M^{\prime}, N^{\prime}: B\right)$, where $M^{\prime}=M\left[\pi_{1} x / x_{1}, \ldots, \pi_{n} x / x_{n}\right]$ (and similarly for $\left.N^{\prime}\right)$.

Let $\eta_{X}$ send:

- each sort $\iota \in X_{0}$ to the type $\iota \in \mathcal{L}_{0}\left(X_{0}\right)$,
- each operation $c \in X(G \vdash A)$ to the term $c\left(\pi_{1} x, \ldots, \pi_{n} x\right)$, and
- each reduction rule $r \in X_{2}(G \vdash M, N: A)$ to the reduction $x: \prod G \vdash$ $r\left(\pi_{1} x, \ldots, \pi_{n} x\right): M^{\prime} \rightarrow N^{\prime}: A$.

Theorem 2. This $\eta$ is a natural transformation which is the unit of an adjunction


Proof. Consider any morphism $f:(X, h) \rightarrow \mathcal{V}(\mathcal{C})$, and let $(Y, k)=\mathcal{V}(\mathcal{F}(X, h))$ and $\mathcal{V}(\mathcal{C})=\left(\mathfrak{C}_{0}, \mathfrak{C}_{1}, h_{2}: \mathfrak{C}_{2} \rightarrow \mathfrak{C}_{1}\right)$. We now define a uniquely determined cartesian closed functor $f^{\prime}: \mathcal{F}(X, h) \rightarrow \mathcal{C}$ making the triangle

commute.
On objects, it is determined by induction: on sorts by $f_{0}$, and on type constructors by the requirement that $f^{\prime}$ be cartesian closed. On morphisms, it is similarly determined by $f_{1}$ and $f^{\prime}$ being cartesian closed. On 2-cells, define $f^{\prime}$ to be $f_{2}: X_{2}(A \vdash$ $M, N: B) \rightarrow \mathcal{C}\left(f^{\prime}(A), f^{\prime}(B)\right)\left(f^{\prime}(M), f^{\prime}(N)\right)$, which is also the only possible choice from $f$.

We thus only have to show that $f^{\prime}$ is cartesian closed, which follows by $f$ being a morphism of $\mathcal{L}$-algebras. For example, to show that binary products of reductions are preserved, consider $r \in X_{2}\left(C \vdash M_{1}, M_{2}: A\right)$ and $s \in X_{2}\left(C \vdash N_{1}, N_{2}: B\right)$. Their product in $\mathcal{F}(X)$ is obtained by considering the atomic reductions $x: C \vdash r(x)$ : $M_{1} \rightarrow M_{2}: A$ and $x: C \vdash s(x): N_{1} \rightarrow N_{2}: B$ and taking $h(r(x), s(x))$, which is sent by $f_{2}$ to $f_{2}(h(r(x), s(x)))$. But, because $f$ is a morphism of $\mathcal{L}$-algebras, this is the same as $h_{2}\left(\left(f_{2}(r)\right)(x),\left(f_{2}(s)\right)(y)\right)$, which is by definition (i.e., Figure 2) the product $\left(f_{2}(r), f_{2}(s)\right)$ in $\mathcal{C}$.

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Appendix A. Equations on reductions

| Congruence |
| :---: |
| Category |
| $\begin{gathered} \frac{\Gamma \vdash P_{1}: M_{1} \rightarrow M_{2}: A \quad \Gamma \vdash P_{2}: M_{2} \rightarrow M_{3}: A \quad \Gamma \vdash P_{3}: M_{3} \rightarrow M_{4}: A}{\Gamma \vdash\left(P_{1} ;_{M_{2}}\left(P_{2} ;_{3} P_{3}\right)\right) \equiv\left(\left(P_{1} ;_{M_{2}} P_{2}\right) ;_{M_{3}} P_{3}\right): M_{1} \rightarrow M_{4}: A} \\ \quad \frac{\Gamma \vdash P: M \rightarrow N: A}{\Gamma \vdash\left(P ;_{N} N\right) \equiv P: M \rightarrow N: A} \quad \overline{\Gamma \vdash P: M \rightarrow N: A} \end{gathered}$ |

Figure 3. Equations on reductions (Congruence and category)


Figure 4. Equations on reductions (beta-eta and lifting)


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