

A brief introduction to monads (Now with Universal Algebra™!)

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April 2016

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1 Introduction

When first encountering the definition of adjoint functors, one might remark that being adjoint is a weakening of being mutually inverse. This naturally leads to questions about the composition of a pair of adjoint functors: do such compositions have any properties of note? Can we recover the original adjunction from the composition? The former question leads to the notion of a monad; the goal of this paper ([Theorem 4.3](#)) is to give a sense in which the Eilenberg-Moore algebras are the best we can do in regard to the latter question. The particular sense in which these are the best is formalized by way of universal algebra.

[Section 2](#) gives an overview of monads and Eilenberg-Moore algebras. [Section 3](#) gives a minimal and very fast introduction to the universal algebra needed to state our main result. [Section 4](#) is devoted to stating and proving [Theorem 4.3](#).

Our notation in universal algebra occasionally diverges from established usage in the interest of readability to the uninitiated. To maintain a decent length, we will necessarily gloss over some relevant universal algebra. However, it should be noted that nothing involved is at all deep; the curious reader is encouraged to seek further edification in [1, Chapter II]. [2, Section VI] is a good reference for monads.

We make use of the horizontal composition of functors and natural transformations as defined in [2, Section II.5]. Briefly, given a natural transformation $\eta: G \rightarrow G'$ between functors $G, G': \mathcal{B} \rightarrow \mathcal{C}$ and given functors $H: \mathcal{A} \rightarrow \mathcal{B}$ and $F: \mathcal{C} \rightarrow \mathcal{D}$, there is a natural transformation $F\eta H: FGH \rightarrow FG'H$ given by $(F\eta H)_A = F(\eta_{HA}): FGH A \rightarrow FG'HA$ for $A \in \text{Ob}(\mathcal{A})$.

2 Monads

Consider a pair of adjoint functors $F: \mathcal{C} \rightarrow \mathcal{D}$ and $G: \mathcal{D} \rightarrow \mathcal{C}$ (with $F \dashv G$); a useful example to keep in mind throughout this section is the free-forgetful adjunction between **Set** and **Grp**. In general we have no right to expect that F and G be mutually inverse, or even that their composition be naturally isomorphic to the identity functor. Looking at the definition of adjunctions, however, there seems to be a sense in which F and G “do opposite things”. Indeed, an equivalent definition of being adjoint requires the existence of natural transformations $\eta: \text{id}_{\mathcal{C}} \rightarrow GF$ and $\varepsilon: FG \rightarrow \text{id}_{\mathcal{D}}$ such that

$$\begin{aligned}(\varepsilon F) \circ (F\eta) &= \text{id}_F \\(G\varepsilon) \circ (\eta G) &= \text{id}_G\end{aligned}$$

(See for example [2, Theorem IV.1.2].) Writing adjunction in this form, we see that being adjoint is a weakening of being an equivalence of categories; the compositions aren't naturally isomorphic to the identity functors, but there is some kind of cancellation taking place. A natural question to ask is “what *can* we say about the composition GF ?” (One might also ask about FG ; this leads to the study of *comonads*, which we will not consider.)

Our answer is [Theorem 2.2](#); to get there, however, we need a technical lemma.

Lemma 2.1. *Suppose $F: \mathcal{C} \rightarrow \mathcal{D}$ and $G: \mathcal{D} \rightarrow \mathcal{C}$ have $F \rightleftarrows G$; let $\alpha: \text{Hom}_{\mathcal{D}}(F-, -) \rightarrow \text{Hom}_{\mathcal{C}}(-, G-)$ be the natural isomorphism yielding $F \rightleftarrows G$. Then for any $A, B \in \text{Ob}(\mathcal{C})$ and any $\varphi: A \rightarrow B$, we have*

$$\alpha_{B,FB}(\text{id}_{FB}) \circ \varphi = GF\varphi \circ \alpha_{A,FA}(\text{id}_{FA})$$

Likewise, for any $M, N \in \text{Ob}(\mathcal{D})$ and any $\psi: M \rightarrow N$, we have

$$\psi \circ \alpha_{GM,M}^{-1}(\text{id}_{GM}) = \alpha_{GN,N}^{-1}(\text{id}_{GN}) \circ FG\psi$$

Proof. Note that by naturality of α we get

$$\alpha_{B,FB}(\text{id}_{FB}) \circ \varphi = \alpha_{A,FB}(\text{id}_{FB} \circ F\varphi) = \alpha_{A,FB}(F\varphi) = \alpha_{A,FB}(F\varphi \circ \text{id}_{FA}) = GF\varphi \circ \alpha_{A,FA}(\text{id}_{FA})$$

Likewise, by naturality of α^{-1} we get

$$\psi \circ \alpha_{GM,M}^{-1}(\text{id}_{GM}) = \alpha_{GM,N}^{-1}(G\psi \circ \text{id}_{GM}) = \alpha_{GM,N}^{-1}(G\psi) = \alpha_{GM,N}^{-1}(\text{id}_{GN} \circ G\psi) = \alpha_{GN,N}^{-1}(\text{id}_{GN}) \circ FG\psi$$

as desired. □ [Lemma 2.1](#)

We are now ready to answer the question “what can we say about GF ?”

Theorem 2.2. *Suppose $F: \mathcal{C} \rightarrow \mathcal{D}$ and $G: \mathcal{D} \rightarrow \mathcal{C}$ have $F \rightleftarrows G$; let $T = G \circ F: \mathcal{C} \rightarrow \mathcal{C}$. Then we have natural transformations $\eta: \text{id}_{\mathcal{C}} \rightarrow T$ and $\mu: T^2 \rightarrow T$ such that the following diagrams commute:*

$$\begin{array}{ccc} T^3 & \xrightarrow{T\mu} & T^2 \\ \downarrow \mu T & & \downarrow \mu \\ T^2 & \xrightarrow{\mu} & T \end{array} \quad \begin{array}{ccc} T & \xrightarrow{T\eta} & T^2 \\ \downarrow \eta T & \searrow \text{id}_T & \downarrow \mu \\ T^2 & \xrightarrow{\mu} & T \end{array}$$

(Here $T^2 = T \circ T$, which is sensible because T is an endofunctor.)

Proof. Let $\alpha: \text{Hom}_{\mathcal{D}}(F-, -) \rightarrow \text{Hom}_{\mathcal{C}}(-, G-)$ be the natural isomorphism yielding the adjunction $F \rightleftarrows G$. For $A \in \text{Ob}(\mathcal{C})$ we note that $\alpha_{A,FA}: \text{Hom}_{\mathcal{D}}(FA, FA) \rightarrow \text{Hom}_{\mathcal{C}}(A, GFA)$; we may then set $\eta_A = \alpha_{A,FA}(\text{id}_{FA}): A \rightarrow GFA = TA$.

Claim 2.3. *η as defined above is a natural transformation.*

Proof. Suppose $A, B \in \text{Ob}(\mathcal{C})$; suppose $f: A \rightarrow B$. We wish to check that the following diagram commutes:

$$\begin{array}{ccc} A & \xrightarrow{f} & B \\ \downarrow \eta_A & & \downarrow \eta_B \\ GFA & \xrightarrow{GFf} & GFB \end{array}$$

But by [Lemma 2.1](#) we get that

$$\eta_B \circ f = \alpha_{B,FB}(\text{id}_{FB}) \circ f = GFf \circ \alpha_{A,FA}(\text{id}_{FA}) = GFf \circ \eta_A$$

as desired. □ [Claim 2.3](#)

Along similar lines, we note that for $A \in \text{Ob}(\mathcal{C})$ we have $\alpha_{GFA,FA}^{-1}: \text{Hom}_{\mathcal{C}}(GFA, GFA) \rightarrow \text{Hom}_{\mathcal{D}}(FGFA, FA)$; we may then set $\mu_A = G(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA})) \in \text{Hom}_{\mathcal{C}}(GFGFA, GFA) = \text{Hom}_{\mathcal{C}}(T^2A, TA)$.

Claim 2.4. μ as defined above is a natural transformation.

Proof. Suppose $A, B \in \text{Ob}(\mathcal{C})$; suppose $f: A \rightarrow B$. We wish to check that the following diagram commutes:

$$\begin{array}{ccc} GFGFA & \xrightarrow{GFGFf} & GFGFB \\ \downarrow \mu_A & & \downarrow \mu_B \\ GFA & \xrightarrow{GFf} & GFB \end{array}$$

But by [Lemma 2.1](#) we get that

$$Ff \circ \alpha_{GFA,FA}^{-1}(\text{id}_{GFA}) = \alpha_{GFB,FB}^{-1}(\text{id}_{GFB}) \circ FGFf$$

Hence, applying G , we get that

$$\begin{aligned} GFf \circ \mu_A &= GFf \circ G(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA})) && \text{(by definition of } \mu) \\ &= G(Ff \circ \alpha_{GFA,FA}^{-1}(\text{id}_{GFA})) && \text{(since } G \text{ is a functor)} \\ &= G(\alpha_{GFB,FB}^{-1}(\text{id}_{GFB}) \circ FGFf) && \text{(by equation above)} \\ &= G\alpha_{GFB,FB}^{-1}(\text{id}_{GFB}) \circ GFGFf && \text{(since } G \text{ is a functor)} \\ &= \mu_B \circ GFGFf && \text{(by definition of } \mu) \end{aligned}$$

as desired. □ [Claim 2.4](#)

It remains to check that the following diagrams commute:

$$\begin{array}{ccc} T^3 & \xrightarrow{T\mu} & T^2 \\ \downarrow \mu_T & & \downarrow \mu \\ T^2 & \xrightarrow{\mu} & T \end{array} \quad \begin{array}{ccc} T & \xrightarrow{T\eta} & T^2 \\ \downarrow \eta_T & \searrow \text{id}_T & \downarrow \mu \\ T^2 & \xrightarrow{\mu} & T \end{array}$$

Suppose $A \in \text{Ob}(\mathcal{C})$; we check that the following diagrams commute:

$$\begin{array}{ccc} T^3 A & \xrightarrow{T(\mu_A)} & T^2 A \\ \downarrow \mu_{TA} & & \downarrow \mu_A \\ T^2 A & \xrightarrow{\mu_A} & TA \end{array} \quad \begin{array}{ccc} TA & \xrightarrow{T(\eta_A)} & T^2 A \\ \downarrow \eta_{TA} & \searrow \text{id}_{TA} & \downarrow \mu_A \\ T^2 A & \xrightarrow{\mu_A} & TA \end{array}$$

For the first, we note that

$$\begin{aligned} \mu_A \circ \mu_{TA} &= G(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA})) \circ G(\alpha_{GFGFA,FGFA}^{-1}(\text{id}_{GFGFA})) && \text{(by definition of } \mu) \\ &= G(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA}) \circ \alpha_{GFGFA,FGFA}^{-1}(\text{id}_{GFGFA})) && \text{(since } G \text{ is a functor)} \\ &= G(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA}) \circ FG(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA}))) && \text{(by [Lemma 2.1](#))} \\ &= G(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA})) \circ GFG(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA})) && \text{(since } G \text{ is a functor)} \\ &= \mu_A \circ T(\mu_A) && \text{(by definition of } \mu) \end{aligned}$$

For the second, we note that

$$\begin{aligned} \mu_A \circ T(\eta_A) &= G(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA})) \circ GF(\alpha_{A,FA}(\text{id}_{FA})) && \text{(by definitions of } \mu \text{ and } \eta) \\ &= G(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA}) \circ F(\alpha_{A,FA}(\text{id}_{FA}))) && \text{(since } G \text{ is a functor)} \\ &= G(\alpha_{A,FA}^{-1}(\text{id}_{GFA} \circ \alpha_{A,FA}(\text{id}_{FA}))) && \text{(by naturality of } \alpha^{-1}) \\ &= G(\alpha_{A,FA}^{-1}(\alpha_{A,FA}(\text{id}_{FA}))) \\ &= G(\text{id}_{FA}) \\ &= \text{id}_{TA} \end{aligned}$$

and

$$\begin{aligned}
\mu_A \circ \eta_{TA} &= G(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA})) \circ \alpha_{GFA,FGFA}(\text{id}_{FGFA}) && \text{(by definitions of } \mu \text{ and } \eta) \\
&= \alpha_{GFA,FA}(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA}) \circ \text{id}_{FGFA}) && \text{(by naturality of } \alpha) \\
&= \alpha_{GFA,FA}(\alpha_{GFA,FA}^{-1}(\text{id}_{GFA})) \\
&= \text{id}_{TA}
\end{aligned}$$

So the desired diagrams commute. □ [Theorem 2.2](#)

This motivates the following definition:

Definition 2.5. A *monad* in a category \mathcal{C} is a triple (T, η, μ) where

- $T: \mathcal{C} \rightarrow \mathcal{C}$ is an endofunctor
- $\eta: \text{id}_{\mathcal{C}} \rightarrow T$ is a natural transformation, called the *unit*
- $\mu: T^2 \rightarrow T$ is a natural transformation, called the *multiplication*

such that the following diagrams commute:

$$\begin{array}{ccc}
T^3 & \xrightarrow{T\mu} & T^2 \\
\downarrow \mu T & & \downarrow \mu \\
T^2 & \xrightarrow{\mu} & T
\end{array}
\qquad
\begin{array}{ccc}
T & \xrightarrow{T\eta} & T^2 \\
\downarrow \eta T & \searrow \text{id}_T & \downarrow \mu \\
T^2 & \xrightarrow{\mu} & T
\end{array}$$

When η and μ are clear from context, we will use T to refer to the monad.

The terms “unit” and “multiplication” arise from the observation that the monad axioms resemble the monoid axioms. Indeed, a monoid can be defined as a triple (X, e, m) where $X \in \text{Ob}(\mathbf{Set})$, $e \in \text{Hom}_{\mathbf{Set}}(1, X)$ (where $1 = \{0\}$ is the identity of \times), and $m \in \text{Hom}_{\mathbf{Set}}(X^2, X)$ such that the following diagrams commute:

$$\begin{array}{ccc}
X^3 & \xrightarrow{\text{id}_X \times m} & X^2 \\
\downarrow m \times \text{id}_X & & \downarrow m \\
X^2 & \xrightarrow{m} & X
\end{array}
\qquad
\begin{array}{ccc}
X & \xrightarrow{\text{id}_X \times e} & X^2 \\
e \times \text{id}_X \downarrow & \searrow \text{id}_X & \downarrow m \\
X^2 & \xrightarrow{m} & X
\end{array}$$

(where in the second diagram we regard X as $X \times \{0\}$ or $\{0\} \times X$ as necessary). If we allow an arbitrary category \mathcal{C} with well-behaved products to replace \mathbf{Set} in the above, we get the notion of a *monoid-like object*. In particular, if we use the category of endofunctors $\mathcal{C} \rightarrow \mathcal{C}$ and squint enough that we overlook the difference between X^2 as a product object and T^2 the composition of two endofunctors, we notice that we have recovered exactly the definition of a monad; hence the facetious explanation “a monad is just a monoid in the category of endofunctors” given by Haskell enthusiasts when they feel like being unhelpful. (To do away with the squinting entirely, one needs the notion of a *monoidal category*.)

[Theorem 2.2](#) then says that any pair of adjoint functors gives rise to a monad in a canonical way; so monads are generalizations of compositions of adjoint functors. In fact, it turns out that all monads arise in this way.

Definition 2.6. Suppose (T, η, μ) is a monad in \mathcal{C} . We define \mathcal{C}_T , the *Kleisli category of T* , as follows:

- For each $A \in \text{Ob}(\mathcal{C})$ we define a new object $A_T \in \text{Ob}(\mathcal{C}_T)$.
- For each $f \in \text{Hom}_{\mathcal{C}}(A, TB)$ we define a new morphism $f_T \in \text{Hom}_{\mathcal{C}_T}(A_T, B_T)$.
- Given $f \in \text{Hom}_{\mathcal{C}}(A, TB)$ and $g \in \text{Hom}_{\mathcal{C}}(B, TC)$, we define $g_T \circ f_T = (\mu_C \circ Tg \circ f)_T \in \text{Hom}_{\mathcal{C}_T}(A, C)$.

One can without too much trouble construct adjoint functors $F: \mathcal{C} \rightarrow \mathcal{C}_T$ and $G: \mathcal{C}_T \rightarrow \mathcal{C}$ such that T arises from the adjunction $F \dashv G$; in particular, our F will act on objects by $FA = A_T$ and our G will act on objects by $GA_T = TA$. (The details can be found in [2, Theorem VI.5.1].) Hence we indeed get that every monad arises from an adjunction.

Veteran Haskell coders will recognize $A \rightarrow TB$ as a relabelling of the type signature $a \rightarrow m\ b$ that haunts their dreams; indeed, the Kleisli category applies very well to computer science. From an algebraic perspective, however, it is less ideal: for most adjunctions that one encounters in the wild, the Kleisli category of the associated monad is a proper subcategory of the original one. For example, in the free-forgetful adjunction between **Set** and **Grp**, the Kleisli category of the associated monad turns out to be the full subcategory of free groups, rather than **Grp**; see [2, Exercise VI.5.2].

A better way to recover an adjunction from a monad turns out to be the following:

Definition 2.7. Suppose (T, η, μ) is a monad in \mathcal{C} . An *Eilenberg-Moore algebra over T* is a pair (A, h) where $A \in \text{Ob}(\mathcal{C})$ and $h: TA \rightarrow A$ such that the following diagrams commute:

$$\begin{array}{ccc} T^2A & \xrightarrow{Th} & TA \\ \downarrow \mu_A & & \downarrow h \\ TA & \xrightarrow{h} & A \end{array} \quad \begin{array}{ccc} A & \xrightarrow{\eta_A} & TA \\ & \searrow \text{id}_A & \downarrow h \\ & & A \end{array}$$

A morphism of Eilenberg-Moore algebras $(A, h) \rightarrow (A', h')$ is some $f: A \rightarrow A'$ such that the following diagram commutes:

$$\begin{array}{ccc} TA & \xrightarrow{Tf} & TA' \\ \downarrow h & & \downarrow h' \\ A & \xrightarrow{f} & A' \end{array}$$

This defines a category \mathcal{C}^T , the *Eilenberg-Moore category of T* .

Here too we can find adjoint functors $F: \mathcal{C} \rightarrow \mathcal{C}^T$ and $G: \mathcal{C}^T \rightarrow \mathcal{C}$ such that T arises from the adjunction $F \dashv G$; in particular, our F will act on objects by $FA = (TA, \mu_A)$, and our G will act on objects by $G(A, h) = A$. One remarks that this adjunction bears some resemblance to a free-forgetful adjunction. (The details of this construction can be found in [2, Theorem VI.2.1].)

At first glance, the definition of an Eilenberg-Moore algebra is quite opaque; it's not at all clear how to justify my claim that the Eilenberg-Moore category is “probably” the category the original adjunction came from. Why should an Eilenberg-Moore algebra over the free group monad have any correspondence to a group? Phrasing my assertion in a suitable level of generality and proving it will be the content of the next two sections.

3 A whirlwind tour of universal algebra

To give formal meaning to my assertion above, we will need the language of universal algebra; this section is devoted to covering the necessary definitions and theorems. Throughout this section, we use monoids as a concrete example to which we can apply the concepts and theorems; another good example the reader may wish to keep in mind would be rings. As noted in the introduction, [1, Section II.5] is an excellent reference for elementary universal algebra.

Definition 3.1. A *signature* or *type* is a collection \mathcal{F} of symbols, each with an associated arity (which is allowed to be 0). An *algebra \mathbf{A}* of type \mathcal{F} is a non-empty set A together with a function $f^{\mathbf{A}}: A^n \rightarrow A$ for each n -ary $f \in \mathcal{F}$; we then write $\mathbf{A} = (A, (f^{\mathbf{A}} : f \in \mathcal{F}))$. We call A the *underlying set* of \mathbf{A} ; we call the $f^{\mathbf{A}}$ the *fundamental operations* of \mathbf{A} .

We will use boldface to denote algebras and functions that output an algebra; we will use roman to denote sets and functions that output a set. When a binary relation symbol is conveniently expressed as an infix operator, we will do so.

Example 3.2. Let $\mathcal{M} = \{\cdot, 1\}$ where \cdot is a binary symbol and 1 is a nullary symbol; we call this the *signature of monoids*. An algebra of type \mathcal{M} then consists of a set together with a binary operation and an identified constant; for example:

- $(\mathbb{N}, +^{\mathbb{N}}, 0^{\mathbb{N}})$ (where $+^{\mathbb{N}}$ and $0^{\mathbb{N}}$ are the normal addition and 0 of \mathbb{N}).
- $(\mathbb{N}, -^{\mathbb{N}}, 0^{\mathbb{N}})$ (where $-^{\mathbb{N}}$ is binary subtraction in \mathbb{N}); note that there is no requirement that an algebra of type \mathcal{M} actually be a monoid.

Definition 3.3. Suppose \mathbf{A} and \mathbf{B} are algebras of type \mathcal{F} . A *homomorphism* $\mathbf{A} \rightarrow \mathbf{B}$ is a map $\varphi: A \rightarrow B$ such that given any $f \in \mathcal{F}$ of arity n and any $a_1, \dots, a_n \in A$ we have

$$\varphi(f^{\mathbf{A}}(a_1, \dots, a_n)) = f^{\mathbf{B}}(\varphi(a_1), \dots, \varphi(a_n))$$

One checks that the algebras of type \mathcal{F} together with the homomorphisms form a category.

We now give an appropriate generalization of subobjects and Cartesian products.

Definition 3.4. Suppose \mathbf{A} is an algebra of type \mathcal{F} . A *subalgebra* of \mathbf{A} is an algebra \mathbf{B} of type \mathcal{F} such that $B \subseteq A$ and for all n -ary $f \in \mathcal{F}$ we have $f^{\mathbf{B}} = f^{\mathbf{A}} \upharpoonright B^n$.

Definition 3.5. Suppose $(\mathbf{A}_i : i \in I)$ are algebras of type \mathcal{F} . We define their *direct product* $\prod_{i \in I} \mathbf{A}_i$ to have domain set $\prod_{i \in I} A_i$ and given n -ary $f \in \mathcal{F}$ we define

$$f^{\prod_{i \in I} \mathbf{A}_i}((a_{1i} : i \in I), \dots, (a_{ni} : i \in I)) = (f^{\mathbf{A}_i}(a_{1i}, \dots, a_{ni}) : i \in I)$$

This gives us a notion of a “nice” class of algebras:

Definition 3.6. A *variety* is a non-empty class of algebras of a fixed type that is closed under direct products, subalgebras, and homomorphic images.

Example 3.7. Let $\mathcal{M} = \{\cdot, 1\}$ be the signature of monoids; let V be the class of algebras of type \mathcal{M} that are actually monoids (i.e. the \mathbf{A} of type \mathcal{M} such that \cdot is associative and 1 is a multiplicative identity.) One can easily verify that V is closed under direct products, subalgebras, and homomorphic images, and is thus a variety. On the other hand, let V' be the class of algebras of type \mathcal{M} whose elements are groups; then V' is not a variety, as it is not closed under subalgebras. (For example, we have that $(\mathbb{N}, +^{\mathbb{N}}, 0^{\mathbb{N}}) \notin V'$ is a subalgebra of $(\mathbb{Z}, +^{\mathbb{Z}}, 0^{\mathbb{Z}}) \in V'$.)

While not directly helpful in proving our main result, the following characterization of varieties is quite nice:

Fact 3.8 ([1, Theorem II.11.9]). *Suppose V is a class of algebras of type \mathcal{F} . Then V is a variety if and only if there some set Σ of “identities” such that the elements of V are exactly the algebras of type \mathcal{F} .*

To avoid bogging the reader down with definitions that are not relevant to our main result, I forgo giving a proper definition of “identities” in favour of an example:

Example 3.9. Let \mathcal{M} , V , and V' be as in the previous example. Another way to see that V is a variety is to note that V is exactly the class of algebras of type \mathcal{M} satisfying the following identities:

$$\begin{aligned} (x \cdot y) \cdot z &\approx x \cdot (y \cdot z) \\ x \cdot 1 &\approx x \\ 1 \cdot x &\approx x \end{aligned}$$

One wonder whether adding the identities $x \cdot x^{-1} \approx 1$ and $x^{-1} \cdot x \approx 1$ would yield a proof that V' is a variety; it does not, because $^{-1}$ is not a symbol in our signature. However, if we expand our signature to $\mathcal{G} = \{\cdot, 1, ^{-1}\}$, then the class of algebras of type \mathcal{G} that form a group does form a variety.

Definition 3.10. Given a class K of algebras of type \mathcal{F} , the *category associated to K* is the full subcategory of the category of algebras of type \mathcal{F} whose objects are the elements of K .

Before we consider the free monad, we need to know that free objects exist. Remarkably, it turns out that as long as V is a variety, we can guarantee the existence of free objects. For this we will need the notion of a *term*:

Definition 3.11. Suppose \mathcal{F} is a signature containing a 0-ary symbol; suppose X is a set (which we will think of as a set of variables). We define the set of *terms* to be the smallest set $T_{\mathcal{F}}(X)$ satisfying:

- $X \subseteq T_{\mathcal{F}}(X)$.
- Given n -ary $f \in \mathcal{F}$ and $t_1, \dots, t_n \in T_{\mathcal{F}}(X)$, we have that the tuple $(f, t_1, \dots, t_n) \in T_{\mathcal{F}}(X)$; roughly speaking, we think of this as saying that the “string” $f(t_1, \dots, t_n)$ is in $T_{\mathcal{F}}(X)$.

We make this into an algebra $\mathbf{T}(X)$ of type \mathcal{F} as follows: given n -ary $f \in \mathcal{F}$ and $t_1, \dots, t_n \in T_{\mathcal{F}}(X)$, we let $f^{\mathbf{T}(X)}(t_1, \dots, t_n) = (f, t_1, \dots, t_n)$. Given $t \in T_{\mathcal{F}}(X)$ and $x_1, \dots, x_n \in X$, we write $t(x_1, \dots, x_n)$ to mean that the variables in t are from the x_1, \dots, x_n .

The requirement that \mathcal{F} contain a 0-ary symbol allows us to consider $T_{\mathcal{F}}(\emptyset)$; one could dispense with it at the cost of requiring that X be non-empty. When we are being informal, we will write $f(t_1, \dots, t_n)$ instead of (f, t_1, \dots, t_n) ; we will also write binary operators that are conveniently expressed as infix operators in infix notation.

Example 3.12. Let $\mathcal{M} = \{\cdot, 1\}$ as before. Then $x, 1 \cdot 1$, and $x \cdot (y \cdot z)$ are elements of $T_{\mathcal{M}}(\{x, y, z\})$; they would formally be written $x, (\cdot, 1, 1)$, and $(\cdot, x, (\cdot, y, z))$, respectively. If $t = x \cdot y \in T_{\mathcal{M}}(\{x, y, z\})$, we might refer to t by $t(x, y)$ to assert that x and y are the only variables appearing in t . (It would also be correct to refer to t by $t(x, y, z)$; we make no requirement that *all* of the variables show up in t .)

We think of terms as functions in the following way:

Definition 3.13. Suppose A is an algebra of type \mathcal{F} . We recursively define $t^{\mathbf{A}}: A^n \rightarrow A$ for $t(x_1, \dots, x_n) \in T_{\mathcal{F}}(X)$:

- $x_i^{\mathbf{A}}: A^n \rightarrow A$ is projection onto the i^{th} coordinate.
- Suppose $t = (f, t_1, \dots, t_k)$ for some k -ary $f \in \mathcal{F}$ and $t_1, \dots, t_k \in T_{\mathcal{F}}(X)$. Given $a_1, \dots, a_n \in A$, we set

$$t^{\mathbf{A}}(a_1, \dots, a_n) = f^{\mathbf{A}}(t_1^{\mathbf{A}}(a_1, \dots, a_n), \dots, t_k^{\mathbf{A}}(a_1, \dots, a_n))$$

Note that $t^{\mathbf{A}}$ depends on the presentation $t = t(x_1, \dots, x_n)$, which is not unique; whenever we use $t^{\mathbf{A}}$, we will be careful to specify a presentation in advance.

Example 3.14. Let $\mathcal{M} = \{\cdot, 1\}$ as before; let $t = t(x, y) = x \cdot (y \cdot y) \in T_{\mathcal{M}}(\{x, y\})$. Let $\mathbf{A} = (\mathbb{N}, +^{\mathbb{N}}, 0^{\mathbb{N}})$. Then $t^{\mathbf{A}}$ is the map $\mathbb{N}^2 \rightarrow \mathbb{N}$ given by $(m, n) \mapsto m + 2n$.

Remark 3.15. For $t(x_1, \dots, x_n) \in T(X)$ we have $t^{\mathbf{T}(X)}(x_1, \dots, x_n) = t$.

When working in a variety V , we may have non-trivial relations between the terms. For example, let V be the variety of monoids; let $t_1(x) = x$ and $t_2(x) = x \cdot 1$. Then for any $\mathbf{A} \in V$ we have $t_1^{\mathbf{A}} = t_2^{\mathbf{A}}$. This motivates the following definition:

Definition 3.16. Suppose \mathcal{F} is a signature containing a 0-ary symbol and K is a class of algebras of type \mathcal{F} ; suppose X is a set. We define an equivalence relation on $T_{\mathcal{F}}(X)$ by $t_1(x_1, \dots, x_n) \sim_K t_2(x_1, \dots, x_n)$ if and only if for all $\mathbf{A} \in K$ we have $t_1^{\mathbf{A}} = t_2^{\mathbf{A}}$. (Note that while this superficially only applies when t_1 and t_2 have the same free variables, we can always add variables to the presentations of t_1 and t_2 until they have the same presentation; one also checks that \sim_K is independent of the common presentation chosen.)

We then define $F_K(X) = T_{\mathcal{F}}(X)/\sim_K$. To avoid clutter, we use \bar{t} to denote the equivalence class of t in $F_K(X)$. We make this into an algebra $\mathbf{F}_K(X)$ of type \mathcal{F} as follows: given n -ary $f \in \mathcal{F}$ and $\bar{t}_1, \dots, \bar{t}_n \in F_K(X)$, we define $f^{\mathbf{F}_K(X)}(\bar{t}_1, \dots, \bar{t}_n) = \overline{f^{\mathbf{T}(X)}(t_1, \dots, t_n)}$. (One checks that this is well-defined.)

Fact 3.17 ([1, Theorem II.10.10]). *Given any $\mathbf{A} \in K$ and any set map $\varphi: X \rightarrow A$ there is a unique homomorphism $\hat{\varphi}: \mathbf{F}_K(X) \rightarrow \mathbf{A}$ such that the following diagram commutes:*

$$\begin{array}{ccc} X & \longrightarrow & F_K(X) \\ & \searrow \varphi & \downarrow \hat{\varphi} \\ & & A \end{array}$$

Fact 3.18 ([1, Theorem II.10.12]). *If V is a variety, then $\mathbf{F}_V(X) \in V$.*

So these $\mathbf{F}_V(X)$ play the role of free objects. In fact, we can make \mathbf{F}_V into a functor from \mathbf{Set} to the category associated to V as follows: given a set map $\varphi: X \rightarrow Y$, we let $\pi: Y \rightarrow F_V(Y)$ be the map $y \mapsto \bar{y}$; we then set $\mathbf{F}_V(\varphi) = \widehat{\pi \circ \varphi}: \mathbf{F}_V(X) \rightarrow \mathbf{F}_V(Y)$ (the unique homomorphism $\mathbf{F}_V(X) \rightarrow \mathbf{F}_V(Y)$ extending $\pi \circ \varphi$).

4 Eilenberg-Moore algebras over F_V

Throughout this section, we work in a fixed variety V over a signature \mathcal{F} containing a 0-ary symbol. (The latter is a technical requirement to avoid having to deal with $\emptyset \in \text{Ob}(\mathbf{Set})$ as a special case.) We let \mathcal{V} be the category associated to V .

From the previous section, we get that:

Proposition 4.1. *\mathbf{F}_V is left adjoint to the forgetful functor.*

In keeping with the conventions of the previous section, we use F_V to denote the associated monad (which is just the composition of the forgetful functor and \mathbf{F}_V).

The following proposition results from working through definitions and the details of the construction in [Theorem 2.2](#).

Proposition 4.2.

1. *Suppose $\varphi: X \rightarrow Y$ and $t(x_1, \dots, x_n) \in T_{\mathcal{F}}(X)$. Then $F_V(\varphi)(\bar{t}) = t^{\mathbf{F}_V(Y)}(\overline{\varphi(x_1)}, \dots, \overline{\varphi(x_n)})$.*
2. *The unit η of F_V is given by $\eta_X: X \rightarrow F_V(X)$ is $x \mapsto \bar{x}$.*
3. *The multiplication μ of F_V is given as follows. Suppose $t(\bar{t}_1, \dots, \bar{t}_n) \in T(F_V(X))$. (Recall that the “variables” in $T(F_V(X))$ are elements of $F_V(X)$, and thus take the form \bar{t}_i for some $t_i \in T(X)$.) Then $\mu_X(\bar{t}) = t^{\mathbf{F}_V(X)}(\bar{t}_1, \dots, \bar{t}_n)$.*

Theorem 4.3. *\mathcal{V} and \mathbf{Set}^{F_V} are isomorphic categories.*

Proof. We first define a functor $\Phi: \mathcal{V} \rightarrow \mathbf{Set}^{F_V}$. Given $\mathbf{A} \in \mathcal{V}$, the universal property of free objects yields that $\text{id}_{\mathbf{A}}: \mathbf{A} \rightarrow \mathbf{A}$ extends to a unique homomorphism $h_{\mathbf{A}}: \mathbf{F}_V(\mathbf{A}) \rightarrow \mathbf{A}$; i.e. such that the following diagram commutes:

$$\begin{array}{ccc} \mathbf{A} & \longrightarrow & F_V(\mathbf{A}) \\ & \searrow \text{id}_{\mathbf{A}} & \downarrow h_{\mathbf{A}} \\ & & \mathbf{A} \end{array}$$

Claim 4.4. *$(\mathbf{A}, h_{\mathbf{A}})$ is an Eilenberg-Moore algebra over F_V .*

Proof. We must check that the following diagrams commute:

$$\begin{array}{ccc} F_V(F_V(\mathbf{A})) & \xrightarrow{F_V(h_{\mathbf{A}})} & F_V(\mathbf{A}) \\ \downarrow \mu_{\mathbf{A}} & & \downarrow h_{\mathbf{A}} \\ F_V(\mathbf{A}) & \xrightarrow{h_{\mathbf{A}}} & \mathbf{A} \end{array} \quad \begin{array}{ccc} \mathbf{A} & \xrightarrow{\eta_{\mathbf{A}}} & F_V(\mathbf{A}) \\ \searrow \text{id}_{\mathbf{A}} & & \downarrow h_{\mathbf{A}} \\ & & \mathbf{A} \end{array}$$

For the first, suppose we are given $\bar{t} \in F_V(F_V(\mathbf{A}))$ where $t(\bar{t}_1, \dots, \bar{t}_n) \in T_{\mathcal{F}}(F_V(\mathbf{A}))$. Then

$$\begin{aligned} h_{\mathbf{A}}(F_V(h_{\mathbf{A}})(\bar{t})) &= h_{\mathbf{A}}(t^{\mathbf{F}_V(\mathbf{A})}(\overline{h_{\mathbf{A}}(\bar{t}_1)}, \dots, \overline{h_{\mathbf{A}}(\bar{t}_n)})) && \text{(by Proposition 4.2)} \\ &= t^{\mathbf{A}}(h_{\mathbf{A}}(\overline{h_{\mathbf{A}}(\bar{t}_1)}), \dots, h_{\mathbf{A}}(\overline{h_{\mathbf{A}}(\bar{t}_n)})) && \text{(since } h_{\mathbf{A}} \text{ is a homomorphism)} \\ &= t^{\mathbf{A}}(h_{\mathbf{A}}(\bar{t}_1), \dots, h_{\mathbf{A}}(\bar{t}_n)) && \text{(by definition of } h_{\mathbf{A}}) \\ &= h_{\mathbf{A}}(t^{\mathbf{F}_V(\mathbf{A})}(\bar{t}_1, \dots, \bar{t}_n)) && \text{(since } h_{\mathbf{A}} \text{ is a homomorphism)} \\ &= h_{\mathbf{A}}(\mu_{\mathbf{A}}(\bar{t})) && \text{(by Proposition 4.2)} \end{aligned}$$

For the second, note that [Proposition 4.2](#) and the definition of $h_{\mathbf{A}}$ yield that for $a \in \mathbf{A}$ we have $h_{\mathbf{A}}(\eta_{\mathbf{A}}(a)) = h_{\mathbf{A}}(\bar{a}) = a$. □ [Claim 4.4](#)

We may then set $\Phi(\mathbf{A}) = (A, h_{\mathbf{A}})$.

Claim 4.5. *Given $\mathbf{A}, \mathbf{B} \in V$ and a homomorphism $\varphi: \mathbf{A} \rightarrow \mathbf{B}$, we have that $\varphi: \Phi(\mathbf{A}) \rightarrow \Phi(\mathbf{B})$ is a morphism of Eilenberg-Moore algebras over F_V .*

Proof. We must check that the following diagram commutes:

$$\begin{array}{ccc} F_V(A) & \xrightarrow{F_V(\varphi)} & F_V(B) \\ \downarrow h_{\mathbf{A}} & & \downarrow h_{\mathbf{B}} \\ A & \xrightarrow{\varphi} & B \end{array}$$

But if $\bar{t} \in F_V(A)$ where $t(a_1, \dots, a_n) \in T_{\mathcal{F}}(A)$, then

$$\begin{aligned} h_{\mathbf{B}}(F_V(\varphi)(\bar{t})) &= h_{\mathbf{B}}(t^{\mathbf{F}_V(B)}(\overline{\varphi(a_1)}, \dots, \overline{\varphi(a_n)})) && \text{(by Proposition 4.2)} \\ &= t^{\mathbf{B}}(h_{\mathbf{B}}(\overline{\varphi(a_1)}), \dots, h_{\mathbf{B}}(\overline{\varphi(a_n)})) && \text{(since } h_{\mathbf{B}} \text{ is a homomorphism)} \\ &= t^{\mathbf{B}}(\varphi(a_1), \dots, \varphi(a_n)) && \text{(by definition of } h_{\mathbf{B}}) \\ &= t^{\mathbf{B}}(\varphi(h_{\mathbf{A}}(\overline{a_1})), \dots, \varphi(h_{\mathbf{A}}(\overline{a_n}))) && \text{(by definition of } h_{\mathbf{A}}) \\ &= \varphi(t^{\mathbf{A}}(h_{\mathbf{A}}(\overline{a_1}), \dots, h_{\mathbf{A}}(\overline{a_n}))) && \text{(since } \varphi \text{ is a homomorphism)} \\ &= \varphi(h_{\mathbf{A}}(t^{\mathbf{F}_V(A)}(\overline{a_1}, \dots, \overline{a_n}))) && \text{(since } h_{\mathbf{A}} \text{ is a homomorphism)} \\ &= \varphi(h_{\mathbf{A}}(\bar{t})) && \text{(by Proposition 4.2)} \end{aligned}$$

as desired. □ Claim 4.5

Given $\mathbf{A}, \mathbf{B} \in V$ and a homomorphism $\varphi: \mathbf{A} \rightarrow \mathbf{B}$, we may then set $\Phi(\varphi) = \varphi: \Phi(\mathbf{A}) \rightarrow \Phi(\mathbf{B})$; it is then immediate that Φ preserves composition and identity morphisms, and is thus a functor.

We now define a functor $\Psi: \mathbf{Set}^{F_V} \rightarrow \mathcal{V}$. Suppose $(A, h) \in \text{Ob}(\mathbf{Set}^{F_V})$; then $h: F_V(A) \rightarrow A$. Note that given n -ary $f \in \mathcal{F}$ and given $a_1, \dots, a_n \in A$, we have that $(f, a_1, \dots, a_n) \in T_{\mathcal{F}}(A)$; thus $(\overline{f, a_1, \dots, a_n}) \in F_V(A)$, and $h(\overline{f, a_1, \dots, a_n}) \in A$. We can thus define an algebra \mathbf{A}_h of type \mathcal{F} to have underlying set A and fundamental operations $f^{\mathbf{A}_h}(a_1, \dots, a_n) = h(\overline{f, a_1, \dots, a_n})$.

Claim 4.6. *h is a homomorphism $\mathbf{F}_V(A) \rightarrow \mathbf{A}_h$.*

Proof. Suppose we have n -ary $f \in \mathcal{F}$; suppose $\overline{t_1}, \dots, \overline{t_n} \in F_V(A)$. Let $t = (f, \overline{t_1}, \dots, \overline{t_n}) \in T_{\mathcal{F}}(F_V(A))$. Since (A, h) form an Eilenberg-Moore algebra over F_V , we have that the following diagram commutes:

$$\begin{array}{ccc} F_V(F_V(A)) & \xrightarrow{\mu_A} & F_V(A) \\ \downarrow F_V(h) & & \downarrow h \\ F_V(A) & \xrightarrow{h} & A \end{array}$$

Thus

$$\begin{aligned} h(f^{\mathbf{F}_V(A)}(\overline{t_1}, \dots, \overline{t_n})) &= h(\mu_A(\overline{(f, \overline{t_1}, \dots, \overline{t_n}}))) && \text{(by Proposition 4.2)} \\ &= h(\mu_A(\overline{t})) && \text{(by definition of } t) \\ &= h(F_V(h)(\overline{t})) && \text{(by the above commuting diagram)} \\ &= h(t^{\mathbf{F}_V(A)}(\overline{h(\overline{t_1})}, \dots, \overline{h(\overline{t_n})})) && \text{(by Proposition 4.2)} \\ &= h(\overline{(f, h(\overline{t_1}), \dots, h(\overline{t_n}))}) && \text{(by definition of } t) \\ &= f^{\mathbf{A}_h}(h(\overline{t_1}), \dots, h(\overline{t_n})) && \text{(by definition of } f^{\mathbf{A}_h}) \end{aligned}$$

So h is a homomorphism. □ Claim 4.6

Since (A, h) is an Eilenberg-Moore algebra over F_V , we get that the following diagram commutes:

$$\begin{array}{ccc} A & \xrightarrow{\eta_A} & F_V(A) \\ & \searrow \text{id}_A & \downarrow h \\ & & A \end{array}$$

In particular, since id_A is surjective, we get that h is as well. So \mathbf{A}_h is a homomorphic image of $\mathbf{F}_V(A) \in V$; so $\mathbf{A}_h \in V$, since V is a variety. We may thus set $\Psi((A, h)) = \mathbf{A}_h$.

Claim 4.7. *Given $(A, h), (A', h') \in \mathbf{Set}^{F_V}$ and a morphism $\psi: (A, h) \rightarrow (A', h')$, we have that $\psi: \Psi((A, h)) \rightarrow \Psi((A', h'))$ is a homomorphism.*

Proof. Suppose we have n -ary $f \in \mathcal{F}$; suppose $a_1, \dots, a_n \in A$. Since ψ is a morphism of Eilenberg-Moore algebras over F_V , we have that the following diagram commutes:

$$\begin{array}{ccc} F_V(A) & \xrightarrow{F_V(\psi)} & F_V(A') \\ \downarrow h & & \downarrow h' \\ A & \xrightarrow{\psi} & A' \end{array}$$

Thus

$$\begin{aligned} \psi(f^{\mathbf{A}_h}(a_1, \dots, a_n)) &= \psi(h(\overline{(f, a_1, \dots, a_n)})) && \text{(by definition of } f^{\mathbf{A}_h}\text{)} \\ &= h'(F_V(\psi)(\overline{(f, a_1, \dots, a_n)})) && \text{(by the above commuting diagram)} \\ &= h'(\overline{(f, \psi(a_1), \dots, \psi(a_n))}) && \text{(by Proposition 4.2)} \\ &= f^{\mathbf{A}_{h'}}(\psi(a_1), \dots, \psi(a_n)) && \text{(by definition of } f^{\mathbf{A}_{h'}}\text{)} \end{aligned}$$

and $\psi: \Psi((A, h)) \rightarrow \Psi((A', h'))$ is a homomorphism. □ [Claim 4.7](#)

Given $(A, h), (A', h') \in \mathbf{Set}^{F_V}$ and a morphism $\psi: (A, h) \rightarrow (A', h')$, we may then set $\Psi(\psi) = \psi: \Psi((A, h)) \rightarrow \Psi((A', h'))$; it is again immediate that Ψ preserves compositions and identity morphisms, and is thus a functor.

Claim 4.8. *Φ and Ψ are mutually inverse.*

Proof. We first note that both Φ and Ψ preserve the underlying set: the underlying set of $\Phi(\mathbf{A})$ is A , and the underlying set of $\Psi((A, h))$ is A . We further observe that both Φ and Ψ preserve the underlying functions of morphisms; since morphisms in \mathbf{Set}^{F_V} and \mathcal{V} are functions satisfying additional properties, it follows that to show that Φ and Ψ are mutually inverse it suffices to check that they are mutually inverse on objects.

We now check that $\Phi \circ \Psi = \text{id}_{\mathbf{Set}^{F_V}}$. Suppose $(A, h) \in \text{Ob}(\mathbf{Set}^{F_V})$. Since Φ and Ψ preserve underlying sets, we have that $\Phi(\Psi((A, h))) = (A, h')$ for some map $h': F_V(A) \rightarrow A$; it remains to check that $h = h'$. Recall by definition of Φ that h' is the unique homomorphism $\mathbf{F}_V(A) \rightarrow \Psi((A, h)) = \mathbf{A}_h$ extending the identity map $A \rightarrow A$. But [Claim 4.6](#) tells us that $h: \mathbf{F}_V(A) \rightarrow \mathbf{A}_h$ is a homomorphism. Furthermore, since (A, h) is an Eilenberg-Moore algebra over F_V we get that the following diagram commutes:

$$\begin{array}{ccc} A & \xrightarrow{\eta_A} & F_V(A) \\ & \searrow \text{id}_A & \downarrow h \\ & & A \end{array}$$

Since [Proposition 4.2](#) tells us that η_A is just canonical map $A \rightarrow F_V(A)$, we get that h extends id_A . So h is a homomorphism $\mathbf{F}_V(A) \rightarrow \mathbf{A}_h$ extending the identity map $A \rightarrow A$. But h' was the unique such homomorphism $\mathbf{F}_V(A) \rightarrow \mathbf{A}_h$; so $h = h'$. So $\Phi(\Psi((A, h))) = (A, h)$; so $\Phi \circ \Psi = \text{id}_{\mathbf{Set}^{F_V}}$.

We now check that $\Psi \circ \Phi = \text{id}_{\mathcal{V}}$. Suppose $\mathbf{A} \in V$. Since Φ and Ψ preserve underlying sets, we have that $\Psi(\Phi(\mathbf{A})) = \mathbf{A}'$ where \mathbf{A} and \mathbf{A}' both have A as their underlying set; it remains to check that they have the

same fundamental operations. Suppose then that we have an n -ary $f \in \mathcal{F}$; suppose $a_1, \dots, a_n \in A$. Then by definitions of Φ and Ψ we get that

$$\begin{aligned}
 f^{\mathbf{A}'}(a_1, \dots, a_n) &= h_{\mathbf{A}}(\overline{(f, a_1, \dots, a_n)}) && \text{(by definition of } f^{\mathbf{A}'}; \text{ i.e. by definition of } \Psi) \\
 &= h_{\mathbf{A}}(f^{\mathbf{FV}(A)}(\overline{a_1}, \dots, \overline{a_n})) && \text{(by definition of } f^{\mathbf{FV}(A)}) \\
 &= f^{\mathbf{A}}(h_{\mathbf{A}}(\overline{a_1}), \dots, h_{\mathbf{A}}(\overline{a_n})) && \text{(since } h_{\mathbf{A}} \text{ is a homomorphism)} \\
 &= f^{\mathbf{A}}(a_1, \dots, a_n) && \text{(since } h_{\mathbf{A}} \text{ extends } \text{id}_A)
 \end{aligned}$$

So $f^{\mathbf{A}'} = f^{\mathbf{A}}$; so $\Psi(\Phi(\mathbf{A})) = \mathbf{A}$, and $\Psi \circ \Phi = \text{id}_{\mathcal{V}}$. □ [Claim 4.8](#)

So Φ is an isomorphism of categories; so \mathcal{V} and $\mathbf{Set}^{\mathbf{FV}}$ are isomorphic categories. □ [Theorem 4.3](#)

References

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