

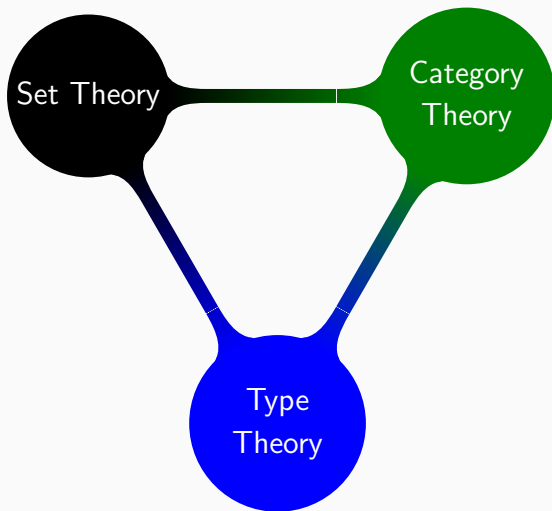
# Elementary Theory of the Category of Sets

(based on Tom Leinster's *"Rethinking set theory"*)

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Sergey Goncharov

Exclusively for HoTT Seminar, FAU TCS



# Set theory



# Type theory



# Category theory



# Introduction

We've considered two approaches to the foundations:

- **Classical:** (Zermelo-Fraenkel) Set Theory (briefly)
- **Modern:** (Homotopy) Type theory (whole course)

Here:

- **Mediate:** Elementary Theory of the Category of Sets
  - Unlike ZF(C): postulates functions (**morphisms**) and not sets (**objects**)
  - Unlike HoTT: postulates **impredicative** ( $\approx$  nonconstructive) **subobject classifier**

However, ETCS is compatible both with set theory and with type theory, and additionally incorporates foundations into the spacious realm of category theory

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## AN ELEMENTARY THEORY OF THE CATEGORY OF SETS\*

By F. WILLIAM LAWVERE

UNIVERSITY OF CHICAGO AND EIDG. TECHNISCHE HOCHSCHULE, ZÜRICH

*Communicated by Saunders Mac Lane, October 26, 1964*

We adjoin eight first-order axioms to the usual first-order theory of an abstract Eilenberg-Mac Lane category<sup>1</sup> to obtain an elementary theory with the following properties: (a) There is essentially only one category which satisfies these eight axioms together with the additional (nonelementary) axiom of completeness, namely, the category  $\mathcal{S}$  of sets and mappings. Thus our theory distinguishes  $\mathcal{S}$  structurally from other complete categories, such as those of topological spaces, groups, rings, partially ordered sets, etc. (b) The theory provides a foundation for number theory, analysis, and much of algebra and topology even though no relation  $\in$  with the traditional properties can be defined. Thus we seem to have partially demonstrated that even in foundations, not Substance but invariant Form is the carrier of the relevant mathematical information.

As in the general theory of categories, our undefined terms are *mapping*, *domain*, *codomain*, and *composition*, the first being simply a name for the elements of the universe of discourse. Each mapping has a unique domain and a unique codomain,

# Rethinking Set Theory

## AN ELEMENTARY THEORY OF THE CATEGORY OF SETS\*

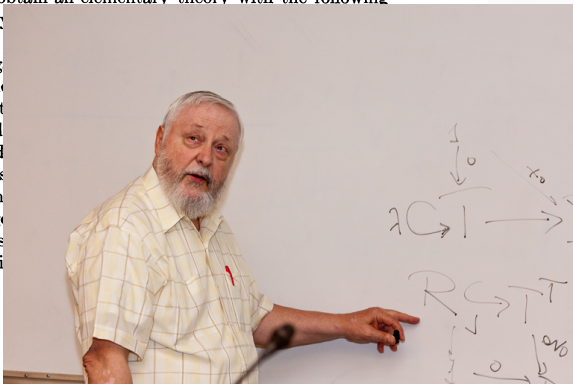
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We adjoin eight first-order axioms to the usual first-order theory of an abstract Eilenberg-Mac Lane category<sup>1</sup> to obtain an elementary theory with the following properties: (a) There is essentially one model of the theory, namely the category  $\mathcal{S}$  of sets and mappings. (b) The theory is decidable. (c) The theory is a conservative extension of the theory of the category  $\mathcal{S}$ . (d) The theory is a conservative extension of the theory of the category  $\mathcal{S}$ . (e) The theory is a conservative extension of the theory of the category  $\mathcal{S}$ . (f) The theory is a conservative extension of the theory of the category  $\mathcal{S}$ . (g) The theory is a conservative extension of the theory of the category  $\mathcal{S}$ . (h) The theory is a conservative extension of the theory of the category  $\mathcal{S}$ .

As in the general theory of categories, the terms *domain*, *codomain*, and *composition*, the first two of which are part of the universe of discourse. Each mapping





# Why Rethinking Set Theory?

The transition  $\text{ZF}(\mathcal{C}) \rightarrow \text{ETCS}$  is not as radical as  $\text{ZF}(\mathcal{C}) \rightarrow \text{HoTT}$ .  
Essentially, it is by rethinking Set Theory

But why do we need to rethink it?

- In classical set theory everything must be a set, e.g. 3 is the set  $\{2, \emptyset\} = \{\{1, \emptyset\}, \emptyset\} = \{\{\{\emptyset\}, \emptyset\}, \emptyset\}$  hence  $2 \in 3$  and  $0 = \emptyset$
- Axioms heavily use this “feature”, e.g. one says that every nonempty set  $X$  contains an element  $x \in X$  such that  $x \cap X = \emptyset$ .  
Think of  $\pi \cap \mathbb{R}$
- Because of this lack of structure it is difficult to remember/understand/analyze/modify the axioms of set theory.  
Roughly, the axioms are not worked principles, but only technical tricks implying such principles (think of induction)

# Categories

A (locally small) category  $\mathbf{C}$  consists of

- a class (generally  $\geq$  set) of objects  $|\mathbf{C}|$
- a set of morphisms  $\text{Hom}(A, B)$  for each pair  $A, B \in |\mathbf{C}|$  such that
  - each  $\text{Hom}(A, A)$  contains an identity morphism  $\text{id}_A : A \rightarrow A$
  - compatible morphisms can be composed:  $f \in \text{Hom}(A, B), g \in \text{Hom}(B, C) \implies g \circ f \in \text{Hom}(A, C)$

Plus the laws:

$$f \circ \text{id} = f \qquad \text{id} \circ f = f \qquad f \circ (g \circ h) = (f \circ g) \circ h$$

**Examples:** The category of sets and functions (**Set**); the category of sets and relations (**Rel**); also: **Grp**, **Ring**, **Vec<sub>k</sub>**, **Top**, **Meas**, **CMS**, **Cat**, **Cpo**, **CLat**, **Hilb**, etc, etc, etc.

Categories with  $|\text{Hom}(A, B)| \leq 1$  ( $A, B \in |\mathbf{C}|$ ) are exactly (large) preorders:  $\text{Hom}(A, B) \neq \emptyset$  iff  $A \leq B$

# Three Misconceptions

Because of the categorical origins of ETCS, three misconceptions commonly arise

- *The underlying motive is to replace set theory with category theory.*  
It is not: it is set theory
- *ETCS demands more mathematical sophistication than others (such as ZFC).* This is false but understandable. Here we strive for the most elementary presentation
- *There is a circularity: in order to axiomatize sets categorically, we must already know what a set is (for each  $\text{Hom}(A, B)$  must be a set).* In fact, ETCS is categorical **in style**, but it does not depend on having a general definition of category

Put it differently: both ZFC and ETCS are (**classical!**) first order theories

# Summary of Axioms

1. Composition of functions is associative and has identities
2. There is a set with exactly one element
3. There is a set with no elements
4. A function is determined by its effect on elements
5. Given sets  $X$  and  $Y$ , one can form their **Cartesian product**  $X \times Y$
6. Given sets  $X$  and  $Y$ , one can form the set of functions from  $X$  to  $Y$
7. Given  $f : X \rightarrow Y$  and  $y \in Y$ , one can form the **inverse image**  $f^{-1}(y)$
8. The subsets of a set  $X$  correspond to the functions from  $X$  to  $\{0, 1\}$
9. The **natural numbers** form a set
10. Every surjection has a right inverse

# Elements as Functions

In standard set theory: functions  $f \in Y^X$  are subsets of  $X \times Y$ , which are total and single-valued:

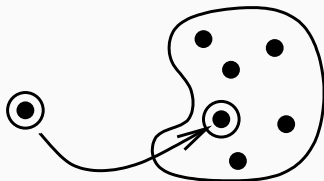
$$f \in Y^X \iff \forall x \in X. \exists y \in Y. (x, y) \in f \wedge \\ \forall x \in X. \forall y, y' \in Y. (x, y) \in f \wedge (x, y') \in f \rightarrow y = y'$$

In ECTS, an **element** of a set  $X$  is identified with the function  $1 \rightarrow X$  selecting this element

Here,  $1$  is the one-element set  $\{\bullet\}$

As a slogan:

*Elements are a special case of functions*



In a similar way we select: a curve on a plane  $\mathbb{R} \rightarrow \mathbb{R}^2$ ,  
a loop on a plane  $S^1 \rightarrow \mathbb{R}^2$ , a sequence of elements  $\mathbb{N} \rightarrow X$ , etc

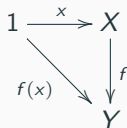
# Evaluation as Composition

Now that elements are identified with functions, what is **evaluation**?

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$$f(x) = f \circ x$$



That is:

*Evaluation is a special case of composition*

# Setting the Stage

We assume

- some things called **sets**
- for each set  $X$  and set  $Y$ , some things called **functions from  $X$  to  $Y$** , with functions  $f$  from  $X$  to  $Y$  written as  $f : X \rightarrow Y$  or  $X \xrightarrow{f} Y$
- for each set  $X$ , set  $Y$  and set  $Z$ , an operation assigning to each  $f : X \rightarrow Y$  and  $g : Y \rightarrow Z$  a function  $g \circ f : X \rightarrow Z$
- for each set  $X$ , a function  $\text{id}_X : X \rightarrow X$



# Axiom 1: Associativity and Identity Laws

First of all, we restate the laws of a category:

- for all sets  $W, X, Y, Z$  and functions

$$W \xrightarrow{f} X \xrightarrow{g} Y \xrightarrow{h} Z,$$

$$\text{we have } h \circ (g \circ f) = (h \circ g) \circ f$$

- For all sets  $X, Y$  and functions  $f : X \rightarrow Y$ , we have  
 $f \circ \text{id}_X = f = \text{id}_Y \circ f$

If we wish to omit the identity functions from the list of primitive concepts, we must replace the second item by the statement that for all sets  $X$ , there exists a function  $\text{id}_X : X \rightarrow X$  such that  $g \circ \text{id}_X = g$  for all  $g : X \rightarrow Y$  and  $\text{id}_X \circ f = f$  for all  $f : W \rightarrow X$ . These conditions characterize  $\text{id}_X$  uniquely

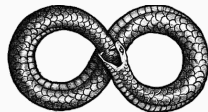
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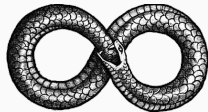
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To avoid circularity, we need a notion of a **terminal object**: a set  $T$  is said to be terminal if there is exactly one function  $! : X \rightarrow T$  from any set  $X$

We do not expect a terminal object to be unique, e.g. we do not want  $\{\text{⚽}\} = \{\text{🎂}\}$  But, all terminal objects are isomorphic:



By 1 we mean arbitrary, but fixed terminal set

## Axiom 3: Empty Set

There is a set with no elements

That is, there is a set  $X$  such that  $1 \xrightarrow{f} X$  for no  $f$

## Axiom 4: Functional Extensionality

A function is determined by its effect on elements:

$$\forall x \in X. f(x) = g(x) \implies f = g$$

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Let us take as functions  $X \xrightarrow{f} Y$ , suitably typed **combinatory logic** terms  
i.e. well-typed terms over

$$I : \alpha \rightarrow \alpha$$

$$K : \alpha \rightarrow \beta \rightarrow \alpha$$

$$S : (\alpha \rightarrow \beta \rightarrow \gamma) \rightarrow (\alpha \rightarrow \beta) \rightarrow \alpha \rightarrow \gamma$$

modulo equations

$$Ix = x$$

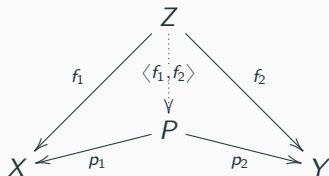
$$Kxy = x$$

$$Sxyz = (xz)(yz)$$

Now,  $S(KI)Ix = Ix$  for all  $x$ , but  $S(KI)I \neq I$ .

## Axiom 5: Cartesian Products

Let  $X$  and  $Y$  be sets. A **product** of  $X$  and  $Y$  is a set  $P$  together with functions  $X \xleftarrow{p_1} P \xrightarrow{p_2} Y$ , such that: for all  $Z$  and functions  $X \xleftarrow{f_1} Z \xrightarrow{f_2} Y$ , there is a unique  $\langle f_1, f_2 \rangle : Z \rightarrow P$  making diagram



commute

We demand that a product  $X \xleftarrow{\text{pr}_1} X \times Y \xrightarrow{\text{pr}_2} Y$  of any two sets  $X$  and  $Y$  exists. Again, it is unique only up to isomorphism, e.g.  $X \times Y$  and  $Y \times X$  are not equal, but isomorphic under swap :  $X \times Y \cong Y \times X$ .

Alternatively, we can axiomatize products:

$$\text{pr}_1 \circ \langle f, g \rangle = f \quad \text{pr}_2 \circ \langle f, g \rangle = g \quad \langle \text{pr}_1, \text{pr}_2 \rangle = \text{id}$$

$$h \circ \langle f, g \rangle = \langle h \circ f, h \circ g \rangle$$



# Halfway There

1. Composition of functions is associative and has identities
2. There is a set with exactly one element
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## Axiom 6: Sets of Functions

In ZFC functions  $X \xrightarrow{f} Y$  form a set  $Y^X \subseteq \mathcal{P}(X \times Y)$  by definition

Here, we have postulated function, sets and defined what an element of a set is. We are left to introduce  $Y^X$  and establish a correspondence between its elements  $1 \rightarrow Y^X$  and functions  $X \xrightarrow{f} Y$

More generally (take  $Z = 1$ ), we require an “isomorphism”

$$\begin{array}{ccc} Z \rightarrow Y^X & \begin{array}{c} \xrightarrow{f \mapsto \text{uncurry}(f)} \\ \xleftarrow{f \mapsto \text{curry}(f)} \end{array} & Z \times X \rightarrow Y \end{array}$$

that is **natural** in  $Z$ , i.e.  $\text{curry}(f \circ \langle h, \text{id} \rangle) = (\text{curry } f) \circ h$

This induces the **evaluation function**  $\text{ev} = \text{uncurry}(\text{id}) : Y^X \times X \rightarrow Y$

It follows that  $\text{ev} \circ \langle \hat{f}, x \rangle = f \circ x$  where  $\hat{f} : 1 \rightarrow Y^X$  is the element corresponding to  $X \xrightarrow{f} Y$

## Axiom 7: Natural Numbers

Like  $1$ ,  $X \times Y$ , and  $Y^X$ , we postulate **natural numbers** using the same recipe:

1. we fix a set  $\mathbb{N}$
2. we fix **zero**  $1 \xrightarrow{o} \mathbb{N}$  and **successor**  $\mathbb{N} \xrightarrow{s} \mathbb{N}$  functions
3. we impose a characteristic property on  $\mathbb{N}$

The characteristic property of natural numbers is **primitive recursion**: given  $X \xrightarrow{f} Y$  and  $X \times \mathbb{N} \times Y \xrightarrow{g} Y$ , there is **unique**  $w : X \times \mathbb{N} \rightarrow Y$  such that

$$w(x, 0) = f(x)$$

$$w(x, s(n)) = g(x, n, w(x, n))$$

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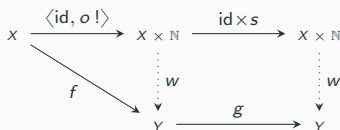
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In fact, we can weaken it slightly by restricting to  $Y \xrightarrow{g} Y$ :



## Intermediate Total

So far we obtained a model for simply-typed  $\lambda$ -calculus with primitive recursion, e.g. we can zip two streams by  $\text{zip} : X^{\mathbb{N}} \times Y^{\mathbb{N}} \rightarrow (X \times Y)^{\mathbb{N}}$ :

$$\begin{aligned}\text{zip} &= \text{curry}(\text{zip}' : X^{\mathbb{N}} \times Y^{\mathbb{N}} \times \mathbb{N} \rightarrow X \times Y) \\ \text{zip}'(\sigma, \sigma', o) &= \sigma(o) \\ \text{zip}'(\sigma, \sigma', s(x)) &= \text{zip}'(\sigma', \text{curry}(\text{ev} \circ (\text{id} \times s))(\sigma), x)\end{aligned}$$

For example,  $\text{zip}([0, 2, 4, \dots], [1, 3, 5, \dots]) = [0, 1, 2, 3, 4, 5, \dots]$ , for e.g.

$$\begin{aligned}\text{zip}'([0, 2, 4, \dots], [1, 3, 5, \dots], 2) \\ &= \text{zip}'([1, 3, 5, \dots], [2, 4, \dots], 1) \\ &= \text{zip}'([2, 4, \dots], [3, 5, \dots], 0) \\ &= 2.\end{aligned}$$

# Big Ideas (from Category Theory)

- *Definitions by **universal properties***: we introduce things not only by constructing them, but also by declaring them to be extremal solutions to conditions they must satisfy with respect to the rest
- *Definitions **up to isomorphisms***: we can not avoid the situation that what we define is unique only up to isomorphism. However, this is also desirable: in mathematical speech we speak e.g. of **the trivial group**—it does not make much sense to ask ‘which trivial group?’ Properties not stable under isomorphisms are sometimes dubbed **evil**

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Properties not stable under isomorphisms are sometimes dubbed **evil**

The upshot of this: in contrast to TT, we do not build a hierarchy of types, e.g. everything that behaves as a product is a product



# Impredicativity

From **nLab**: 'A definition is *impredicative* if it refers to a totality which includes the thing being defined'

A standard example is the definition of a least upper bound  $\sqcup S$  of a set  $S$  of real numbers, because  $\sqcup S$  is characterized as the least element of the set of **all** upper bounds of  $S$  and that already includes  $\sqcup S$

Impredicativity can be **harmless**: the tallest guy in the room

The definitions, we gave so far are arguably harmlessly impredicative: instead of introducing **a product** of  $A$  and  $B$ , we could introduce **the product**  $A \times B$ , which is by definition a construction over  $A$  and  $B$ .

This is the way of type theory

As a slogan

*In TT we construct things; In CT we (loosely) specify things*



## Axiom 8: Inverse Images

Given a function  $f : X \rightarrow I$  and an element  $i \in I$ , we require existence of an **inverse image** or **fibre**  $f^{-1}(i)$ , defined as follows, to exist:

- The inclusion function  $j : f^{-1}(i) \subseteq X$  has the property that  $f \circ j$  is constantly  $i$
- Moreover, whenever  $r : Y \rightarrow X$  is a function such that  $f \circ r$  is constantly  $i$ , the image of  $r$  must lie within  $f^{-1}(i)$ ; that is,  $r = j \circ \bar{r}$  for some  $\bar{r} : Y \rightarrow f^{-1}(i)$  (necessarily unique)

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Intuition from TT:  $X = \sum_{i:I} f[r[i]] = \sum_{i:I} \sum_{x:f[i]} \bar{r}[x] \quad (h[x] \stackrel{\text{def}}{=} h^{-1}(x))$

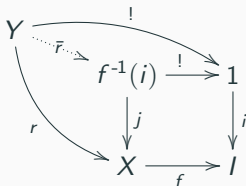
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Intuition from CT: **pullback**



## Axiom 9: Subset Classifier

Fasten your seat belts, we are going to call on something really sophisticated and powerful: **subset classifier**



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What we are missing so far is a conversion between **subsets**, i.e. injective functions  $Y \rightarrow X$  and **predicates** i.e. functions  $X \rightarrow 2$  where 2 is a truth-value object consisting of **true** and **false**

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This we will enable the **comprehension notation**

$$X' \stackrel{\text{def}}{=} \{x \in X \mid p(x)\} \quad \text{e.g.} \quad \text{Even} \stackrel{\text{def}}{=} \{n \in \mathbb{N} \mid n \bmod 2 = 0\}$$

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For every injection  $i : X' \rightarrow X$ , we require existence of  $p$  such that  $i$  is an inverse image of  $\text{true} : 1 \rightarrow 2$  under  $p$ :

$$\begin{array}{ccc} X' & \xrightarrow{!} & 1 \\ i \downarrow & & \downarrow \text{true} \\ X & \xrightarrow[p]{} & 2 \end{array}$$

# Powerset and Relations

Function sets together with the subobject classifiers imply **powersets**:

$$\mathcal{P}(X) \stackrel{\text{def}}{=} 2^X$$

A **relation** can thus be equivalently defined

- as an element of  $\mathcal{P}(X \times Y)$
- as a function  $X \rightarrow \mathcal{P}(Y)$
- as a function  $X \times Y \rightarrow 2$



# Subset Classifier: Impredicativity

Subset classifier is genuinely **impredicative**

In particular, we can introduce universal quantification

$$\frac{p : 1 \rightarrow 2^{A \times B}}{\forall_A p : 1 \rightarrow 2^B}$$

for every  $A$

We thus refer to the **totality** of all predicates  $2^X$  to define individual elements  $1 \rightarrow 2^X$  for any concrete  $X$

# Subset Classifier: Internal Equality

Equality of functions can be **internalized**:

$$\begin{array}{ccc} X & \xrightarrow{!} & 1 \\ \Delta \downarrow & & \downarrow \text{true} \\ X \times X & \xrightarrow{\text{eq}_X} & 2 \end{array}$$

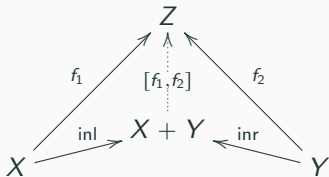
The parallel to TT is as follows:

CT	TT
external equality (=)	judgmental equality
internal equality (eq)	propositional equality

Since in our case = and eq are essentially equivalent, the alluded TT is **extensional**

# Coproducts and Excluded Middle

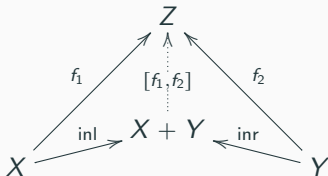
A **coproduct** of  $X$  and  $Y$  is a set  $X + Y$  together with functions  $X \xrightarrow{\text{inl}} X + Y \xleftarrow{\text{inr}} Y$ , such that: for all  $Z$  and functions  $X \xrightarrow{f_1} Z \xleftarrow{f_2} Y$ , there is a unique  $[f_1, f_2] : X + Y \rightarrow Z$  making diagram



commute

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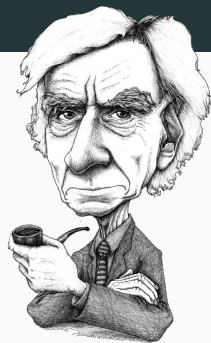
**Hard Consequence:**  $X + Y$  always exists

**Easy Consequence:**  $2 = 1 + 1$ , specifically  $\text{true}, \text{false} : 1 \rightarrow 2$  are the only elements of  $2$ . This makes ETCS a **classical** set theory

# Axiom 10: Choice

THE AXIOM OF CHOICE IS  
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OF SOCKS, BUT NOT AN INFINITE  
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— BERTRAND RUSSELL

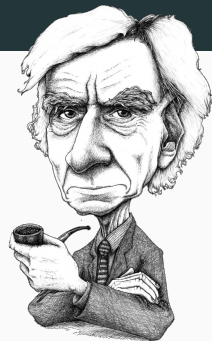


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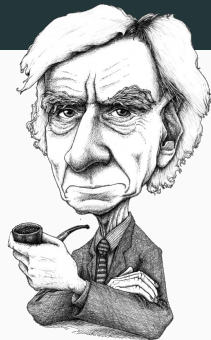
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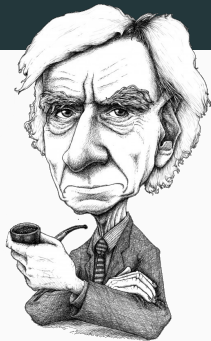


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- Therefore, for every **surjective** predicate  $p : X \rightarrow 2$  we can construct an **example**  $t : 1 \rightarrow X$  and a **counterexample**  $f : 1 \rightarrow X$ , that is  $p \circ q = \text{id} : 2 \rightarrow 2$  for  $q(\text{true}) = t$  and  $q(\text{false}) = f$

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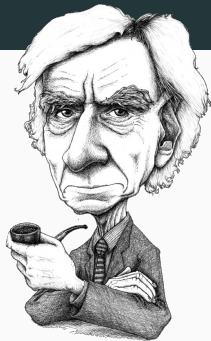
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We thus require that every such  $f$  has a right inverse

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- Incidentally, ETCS is **properly weaker** than ZFC. But ETCS axioms are well justified. Hence ETCS gives an insight into foundations

- In ETCS (unlike ZFC) we do not have **countable sums**, e.g.

$$\mathbb{N} + \mathcal{P}(\mathbb{N}) + \mathcal{P}(\mathcal{P}(\mathbb{N})) + \dots$$

does not exist (unless ETCS is inconsistent)

- We can obtain a system equivalent to ZFC by adding the **replacement axiom**. This is difficult (impossible?) to state categorically, but it says roughly that the image  $f[X]$  of a set  $X$  under a definable function  $f$  is again a set

**Questions?**