

SETS FOR MATHEMATICS

F. WILLIAM LAWVERE

State University of New York at Buffalo

ROBERT ROSEBRUGH

Mount Allison University



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Portraits on the front cover are of Georg Cantor and Richard Dedekind (top) and Samuel Eilenberg and Saunders Mac Lane (bottom). The portrait of Samuel Eilenberg appears by kind permission of Columbia University.

Contents

| | |
|---|----------------|
| <i>Preface</i> | <i>page</i> ix |
| <i>Contributors to Sets for Mathematics</i> | xiii |
| 1 Abstract Sets and Mappings | 1 |
| 1.1 Sets, Mappings, and Composition | 1 |
| 1.2 Listings, Properties, and Elements | 4 |
| 1.3 Surjective and Injective Mappings | 8 |
| 1.4 Associativity and Categories | 10 |
| 1.5 Separators and the Empty Set | 11 |
| 1.6 Generalized Elements | 15 |
| 1.7 Mappings as Properties | 17 |
| 1.8 Additional Exercises | 23 |
| 2 Sums, Monomorphisms, and Parts | 26 |
| 2.1 Sum as a Universal Property | 26 |
| 2.2 Monomorphisms and Parts | 32 |
| 2.3 Inclusion and Membership | 34 |
| 2.4 Characteristic Functions | 38 |
| 2.5 Inverse Image of a Part | 40 |
| 2.6 Additional Exercises | 44 |
| 3 Finite Inverse Limits | 48 |
| 3.1 Retractions | 48 |
| 3.2 Isomorphism and Dedekind Finiteness | 54 |
| 3.3 Cartesian Products and Graphs | 58 |
| 3.4 Equalizers | 66 |
| 3.5 Pullbacks | 69 |
| 3.6 Inverse Limits | 71 |
| 3.7 Additional Exercises | 75 |

| | | |
|------|---|-----|
| 4 | Colimits, Epimorphisms, and the Axiom of Choice | 78 |
| 4.1 | Colimits are Dual to Limits | 78 |
| 4.2 | Epimorphisms and Split Surjections | 80 |
| 4.3 | The Axiom of Choice | 84 |
| 4.4 | Partitions and Equivalence Relations | 85 |
| 4.5 | Split Images | 89 |
| 4.6 | The Axiom of Choice as the Distinguishing Property of Constant/Random Sets | 92 |
| 4.7 | Additional Exercises | 94 |
| 5 | Mapping Sets and Exponentials | 96 |
| 5.1 | Natural Bijection and Functoriality | 96 |
| 5.2 | Exponentiation | 98 |
| 5.3 | Functoriality of Function Spaces | 102 |
| 5.4 | Additional Exercises | 108 |
| 6 | Summary of the Axioms and an Example of Variable Sets | 111 |
| 6.1 | Axioms for Abstract Sets and Mappings | 111 |
| 6.2 | Truth Values for Two-Stage Variable Sets | 114 |
| 6.3 | Additional Exercises | 117 |
| 7 | Consequences and Uses of Exponentials | 120 |
| 7.1 | Concrete Duality: The Behavior of Monics and Epics under the Contravariant Functoriality of Exponentiation | 120 |
| 7.2 | The Distributive Law | 126 |
| 7.3 | Cantor's Diagonal Argument | 129 |
| 7.4 | Additional Exercises | 134 |
| 8 | More on Power Sets | 136 |
| 8.1 | Images | 136 |
| 8.2 | The Covariant Power Set Functor | 141 |
| 8.3 | The Natural Map $\mathcal{P}X \longrightarrow 2^{2^X}$ | 145 |
| 8.4 | Measuring, Averaging, and Winning with V -Valued Quantities | 148 |
| 8.5 | Additional Exercises | 152 |
| 9 | Introduction to Variable Sets | 154 |
| 9.1 | The Axiom of Infinity: Number Theory | 154 |
| 9.2 | Recursion | 157 |
| 9.3 | Arithmetic of N | 160 |
| 9.4 | Additional Exercises | 165 |
| 10 | Models of Additional Variation | 167 |
| 10.1 | Monoids, Posets, and Groupoids | 167 |
| 10.2 | Actions | 171 |
| 10.3 | Reversible Graphs | 176 |
| 10.4 | Chaotic Graphs | 180 |

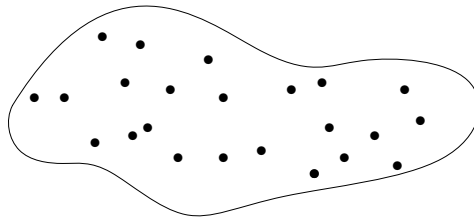
| | | |
|---------------------|---|-----|
| 10.5 | Feedback and Control | 186 |
| 10.6 | To and from Idempotents | 189 |
| 10.7 | Additional Exercises | 191 |
| Appendixes | | 193 |
| A | Logic as the Algebra of Parts | 193 |
| A.0 | Why Study Logic? | 193 |
| A.1 | Basic Operators and Their Rules of Inference | 195 |
| A.2 | Fields, Nilpotents, Idempotents | 212 |
| B | The Axiom of Choice and Maximal Principles | 220 |
| C | Definitions, Symbols, and the Greek Alphabet | 231 |
| C.1 | Definitions of Some Mathematical and Logical Concepts | 231 |
| C.2 | Mathematical Notations and Logical Symbols | 251 |
| C.3 | The Greek Alphabet | 252 |
| <i>Bibliography</i> | | 253 |
| <i>Index</i> | | 257 |

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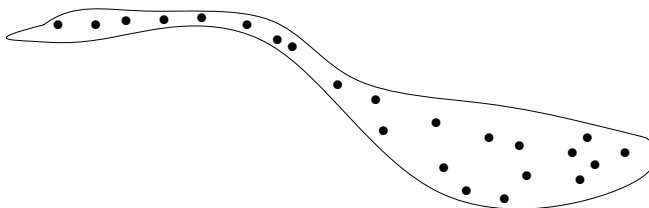
Abstract Sets and Mappings

1.1 Sets, Mappings, and Composition

Let us discuss the idea of abstract constant sets and the mappings between them in order to have a picture of this, our central example, before formalizing a mathematical definition. An abstract set is supposed to have elements, each of which has no structure, and is itself supposed to have no internal structure, except that the elements can be distinguished as equal or unequal, and to have no external structure except for the number of elements. In the category of abstract sets, there occur sets of all possible sizes, including finite and infinite sizes (to be defined later). It has been said that an abstract set is like a mental “bag of dots,” except of course that the bag has no shape; thus,



may be a convenient way of picturing a certain abstract set for some considerations, but what is apparently the same abstract set may be pictured as



for other considerations.

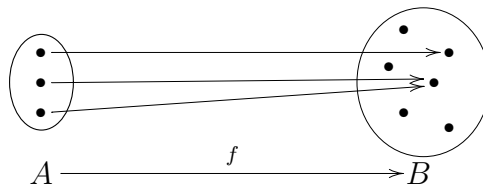
What gives the category of sets its power is the concept of **mapping**. A mapping f from an abstract set A to an abstract set B is often explained through the use of the word *value*. (However, since the elements of B have no structure, it would be misleading to always think of these values as quantities.) Each mapping f from A to B satisfies

for each element x of A
there is exactly one element y of B
such that y is a value of f at x

This justifies the phrase “*the value*”; the value of f at x is usually denoted by $f(x)$; it is an element of B . Thus, a mapping is single-valued and everywhere defined (everywhere on its domain) as in analysis, but it also has a *definite codomain* (usually bigger than its set of actual values). Any f at all that satisfies this one property is considered to be a mapping from A to B in the category of abstract constant sets; that is why these mappings are referred to as “arbitrary”. An important and suggestive notation is the following:

Notation 1.1: The arrow notation $A \xrightarrow{f} B$ just means the **domain** of f is A and the **codomain** of f is B , and we write $\text{dom}(f) = A$ and $\text{cod}(f) = B$. (We will usually use capital letters for sets and lowercase letters for mappings.) For printing convenience, in simple cases this is also written with a colon $f : A \rightarrow B$. We can regard the notation $f : A \rightarrow B$ as expressing the statement $\text{dom}(f) = A$ & $\text{cod}(f) = B$, where & is the logical symbol for *and*.

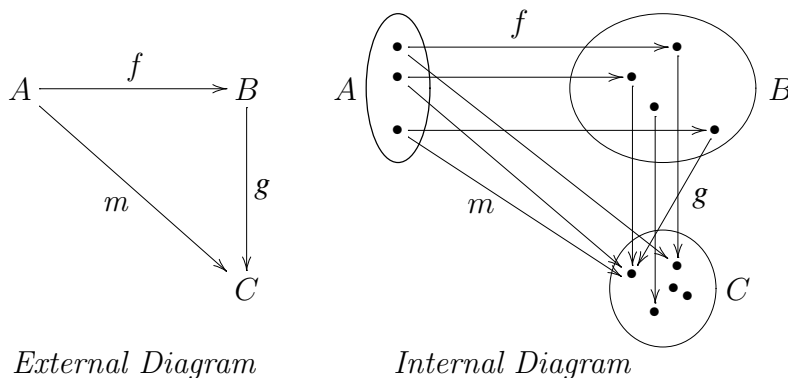
For small A and B , a mapping from A to B can be pictured using its cograph or internal diagram by



where $f(x)$ is the dot at the right end of the line that has x at its left end for each of the three possible elements x .

Abstract sets and mappings are a **category**, which means above all that there is a **composition** of mappings, i.e., given any pair $f : A \rightarrow B$ and $g : B \rightarrow C$ there is a specified way of combining them to give a resulting mapping $g \circ f : A \rightarrow C$. Note that the codomain set of the first mapping f must be *exactly the same set* as the domain set of the second mapping g . It is common to use the notation \circ for composition and to read it as “following,” but we will also, and much more

often, denote the composite “ g following f ” just by gf . A particular instance of composition can be pictured by an external diagram or by an internal diagram as below. First consider any three mappings f , g , and m with domains and codomains as indicated:



External Diagram

Internal Diagram

The internal cograph diagrams express the full information about particular maps, which is often more than we need; thus, we will use simple, external diagrams wherever possible.

Since any mapping satisfies restrictions of the kind “for each . . . there is exactly one . . .,” in the diagram above, we observe that

- for each element a of A there is exactly one element b of B for which b is a value of f at a (briefly $f(a) = b$);
- for each element b of B there is exactly one element c of C for which c is a value of g at b (briefly $g(b) = c$);
- for each element a of A there is exactly one element c of C for which c is a value of m at a (briefly $m(a) = c$).

The external diagram above is said to be a “commutative diagram”, if and only if m is actually the composite of g following f ; then, notationally, we write simply $m = gf$.

More precisely, for the triangular diagram to be considered commutative, the relation between f , g , m must have the following property:

For each element a of A we can find the value of $m(a)$ by proceeding in two steps: first find $f(a)$ and then find $g(f(a))$; the latter is the *same* as $m(a)$.

(Examining the internal diagram shows that $m = gf$ in the figure above.)

A familiar example, when $A = B = C$ is a set of numbers equipped with structural mappings providing addition and multiplication, involves $f(x) = x^2$ and $g(x) = x + 2$ so that $(g \circ f)(x) = x^2 + 2$. The value of the composite mapping at x is the result of taking the value of g at the value of f at x . In contexts such as

this where both multiplication and composition are present, it is necessary to use distinct notations for them.

Exercise 1.2

Express the mapping that associates to a number x the value $\sqrt{x^2 + 2}$ as a composite of *three* mappings. \diamond

We need to be more precise about the concept of category. The ideas of set, mapping, and composition will guide our definition, but we need one more ingredient. For each set A there is the **identity mapping** $1_A : A \longrightarrow A$ whose values are determined by $1_A(x) = x$. For any set A , this definition determines a particular mapping among the (possibly many) mappings whose domain and codomain are both A .

On the basis of the preceding considerations we have part of the information required to define the general notion of “category”. The first two items listed correspond to abstract sets and arbitrary mappings in the example of the category of sets.

A *category* \mathcal{C} has the following data:

- Objects: denoted A, B, C, \dots
- Arrows: denoted f, g, h, \dots (arrows are also often called *morphisms* or *maps*)
- To each arrow f is assigned an object called its *domain* and an object called its *codomain* (if f has domain A and codomain B , this is denoted $f : A \longrightarrow B$)
- Composition: To each $f : A \longrightarrow B$ and $g : B \longrightarrow C$ there is assigned an arrow $gf : A \longrightarrow C$ called “*the composite of f and g* ” (or “ *g following f* ”)
- Identities: To each object A is assigned an arrow $1_A : A \longrightarrow A$ called “*the identity on A* ”.

1.2 Listings, Properties, and Elements

We have not finished defining *category* because the preceding data must be constrained by some general requirements. We first continue with the discussion of elements. Indeed, we can immediately simplify things a little: an idea of element is not necessary as a *separate* idea because we may always identify the elements themselves as special mappings. That will be an extreme case of the *parameterizing* of elements of sets. Let us start with a more intermediate case, for example, the set of mathematicians, *together with* the indication of two examples, say Sir Isaac Newton and Gottfried Wilhelm Leibniz. Mathematically, the model will consist not only of an abstract set A , (to stand for the set of all mathematicians) but also of another abstract set of two elements 1 and 2 to act as labels *and* the specified mapping with codomain A whose value at 1 is “Newton” and whose value at 2 is “Leibniz”. The two-element set is the domain of the parameterization.

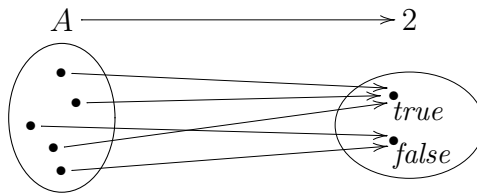
Such a specific *parameterization* of elements is one of two kinds of features of a set ignored or held in abeyance when we form the *abstract* set. Essentially, all of

the terms – **parameterization, listing, family** – have abstractly the same meaning: simply looking at one *mapping* into a set A of interest, rather than just at the one set A all by itself.

Whenever we need to insist upon the abstractness of the sets, such a preferred listing is one of the two kinds of features we are abstracting away.

The other of the two aspects of the elements of an actual concrete aggregation (which are to be ignored upon abstraction) involves the **properties** that the elements might have. For example, consider the set of all the mathematicians and the property “was born during the seventeenth century” that some of the mathematicians have and some do not. One might think that this is an important property of mathematicians as such, but nonetheless one might momentarily just be interested in how many mathematicians there are.

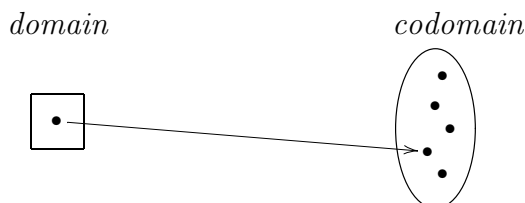
Certain properties are interpreted as particular mappings by using the two-element set of “truth values” – true, false – from which we *also* arrive (by the abstraction) at the abstract set of two elements within which “true” could be taken as exemplary. If we consider a particular mapping such as



we see that all those elements of A that go to “true” will constitute one portion of A , and so f determines a property “true” for some elements, and “not true,” or “false,” for others. There are properties for which the codomain of f will need more than two elements, for example, age of people: the codomain will need at least as many elements as there are different ages.

As far as listing or parameterizing is concerned, an extreme case is to imagine that *all* the elements have been listed by the given procedure. The opposite extreme case is one in which *no* examples of elements are being offered even though the actual set A under discussion has some arbitrary size. That is, in this extreme case the index set is an *empty* set. Of course, the whole listing or parameterization in this extreme case amounts really to nothing more than the one abstract set A itself.

Just short of the extreme of not listing any is listing just one element. We can do this using a one-element set as parameter set.



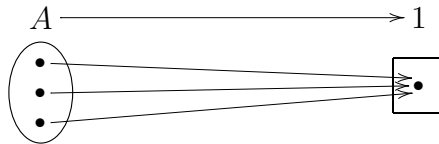
To characterize mathematically what the one-element set is, we will consider it in terms of the property that does not distinguish. The following is the first axiom we require of the category of sets and mappings.

AXIOM: TERMINAL SET

There is a set 1 such that for any set A there is exactly one mapping $A \longrightarrow 1$. This unique mapping is given the same name A as the set that is its domain.

We call 1 a **terminal object** of the category of sets and mappings. There may or may not be more than one terminal object; it will make no difference to the mathematical content. In a given discussion the symbol 1 will denote a chosen terminal object; as we will see, which terminal object is chosen will also have no effect on the mathematical content.

Several axioms will be stated as we proceed. The axiom just stated is part of the stronger requirement that the category of sets and mappings has finite inverse limits (see Section 3.6). A typical cograph picture is



Only a one-element set $V = 1$ can have the extreme feature that one cannot detect any distinctions between the elements of A by using only “properties” $A \longrightarrow V$. Having understood what a one-element set is in terms of mapping *to* it, we can now use mappings *from* it to get more information about arbitrary A .

Definition 1.3: *An element of a set A is any mapping whose codomain is A and whose domain is 1 (or abbreviated $\dots 1 \xrightarrow{a} A$).*

(Why does 1 itself have exactly one element according to this definition?)

The first consequence of our definition is that

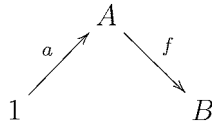
element is a special case of mapping.

A second expression of the role of 1 is that

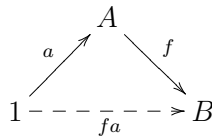
evaluation is a special case of composition.

In other words, if we consider any mapping f from A to B and then consider any element a of A , the codomain of a and the domain of f are the same; thus, we can

form the composite fa ,



which will be a mapping $1 \longrightarrow B$. But since the domain is 1, this means that fa is an *element* of B . Which element is it? It can only be, and clearly is, the *value* of f at a :

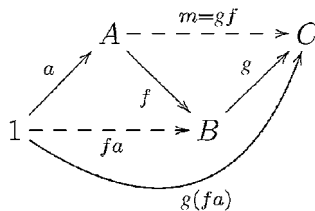


That is, if a is an element, $fa = f(a)$.

Finally, a third important expression of the role of 1 is that

***evaluation of a composite is a special case of the
Associative law***

of composition (which will be one of the clauses in the definition of *category*). In order to see this, suppose $m = gf$ and consider



The formula (in which we introduce the symbols \forall to mean “for all” and \Rightarrow to mean “implies”)

$$m = gf \Rightarrow [\forall a[1 \xrightarrow{a} A \Rightarrow m(a) = g(fa)]]$$

expresses our idea of evaluation of the composition of two mappings; i. e. if m is the composite of f and g , then for any element a of the domain of f the value of m at a is equal to the value of g at $f(a)$. More briefly, $(gf)a = g(fa)$, which is a case of the associative law.

The three points emphasized here mean that our internal pictures can be (when necessary or useful) completely interpreted in terms of external pictures by also using the set 1.

Notice that the axiom of the terminal set and the definition of element imply immediately that the set 1 whose existence is guaranteed by the axiom has *exactly*

one element, namely, the unique mapping from 1 to 1. There is always an identity mapping from a set to itself, so this unique mapping from 1 to 1 must be the identity mapping on 1.

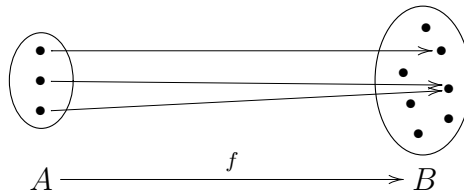
We want to introduce two more logical symbols: the symbol \exists is read “there exists,” and $\exists!$ is read “there exists exactly one”. Thus, we can repeat the characteristic feature of every $f : A \longrightarrow B$ as follows:

$$\forall a : 1 \longrightarrow A \quad \exists! b : 1 \longrightarrow B [b \text{ is a value of } f \text{ at } a]$$

But this is a special case of the fact that composition in general is uniquely defined.

1.3 Surjective and Injective Mappings

Recall the first internal diagram (cograph) of a mapping that we considered:



Note that it is *not* the case for the f in our picture that

$$\begin{aligned} &\text{for each element } b \text{ of } B \\ &\text{there is an element } x \text{ of } A \\ &\text{for which } b \text{ is the value of } f \text{ at } x. (f(x) = b) \end{aligned}$$

Definition 1.4: A mapping $f : A \longrightarrow B$ that has the existence property “for each element b of B there is an element x of A for which $b = f(x)$ ” is called a **surjective mapping**.

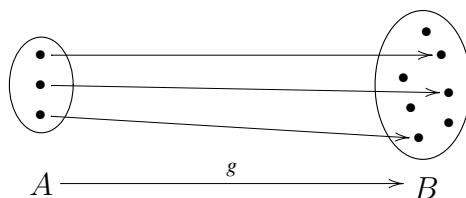
Neither is it the case that the f in our picture has the property

$$\begin{aligned} &\text{for each element } b \text{ of } B \\ &\text{there is at most one element } x \text{ of } A \\ &\text{for which } f(x) = b \end{aligned}$$

Definition 1.5: A mapping $f : A \longrightarrow B$ that has the uniqueness property “given any element b of B there is at most one element x of A for which $f(x) = b$ ” is called an **injective mapping**. In other words, if f is an injective mapping, then for all elements x, x' of A , if $f(x) = f(x')$, then $x = x'$.

Definition 1.6: A mapping that is both surjective and injective is called **bijective**.

Thus, the f pictured above is neither surjective nor injective, but in the figure below $g : A \longrightarrow B$ is an *injective* mapping from the same A and to the same B .

**Exercise 1.7**

Is the pictured g surjective? ◇

Exercise 1.8

Are there any surjective mappings $A \longrightarrow B$ for the pictured A, B ? ◇

Exercise 1.9

How many mappings from the three-element set A to the seven-element set B are there? Can we picture them all? ◇

Exercise 1.10

Same as 1.9, but for mappings $B \longrightarrow A$ from a seven-element to a three-element set. ◇

Exercise 1.11

Are there any surjective $B \longrightarrow A$? Are there any injective ones? ◇

Exercise 1.12

What definition of “ $f_1 \neq f_2$ ” is presupposed by the idea “number of” mappings we used in 1.9 and 1.10? ◇

Exercises 1.9 and 1.12 illustrate that the feature “external number/internal inequality of instances” characteristic of an abstract set is also associated with the notion “mapping from A to B ,” except that the elements (the mappings) are not free of structure. But abstractness of the sets really means that the elements are for the moment considered without internal structure. By considering the mappings from A to B with their internal structure ignored, we obtain a new abstract set B^A . Conversely, we will see in Chapter 5 how any abstract set F of the right size can act as mappings between given abstract sets. (For example, in computers variable programs are just a particular kind of variable data.)

1.4 Associativity and Categories

Recall that we saw in Section 1.2 that an “associative law” in a special case expresses the evaluation of composition. Indeed, whenever we have

$$1 \xrightarrow{a} A \xrightarrow{f} B \xrightarrow{g} C$$

then we have the equation $(gf)(a) = g(fa)$.

If we replace a by a general mapping $u : T \longrightarrow A$ whose domain is not necessarily 1, we obtain the **Associative law**

$$(gf)u = g(fu)$$

which actually turns out to be true for any three mappings that can be composed; i.e., that from the commutativity of the two triangles below we can conclude that moreover the outer two composite paths from T to C have equal composites (it is said that the whole diagram is therefore “commutative”).

$$(gf)u = g(fu)$$

Since the 1 among abstract sets has the special feature (which we discuss in Section 1.5) that it can *separate* mappings, in abstract sets the general associative law follows from the special case in which $T = 1$.

An important property of identity mappings is that they not only “do nothing” to an element but that they have this same property with respect to composition. Thus, if $1_A : A \longrightarrow A$ and $1_B : B \longrightarrow B$ are identity mappings, then for any $f : A \longrightarrow B$ we have the equations

$$f1_A = f = 1_B f$$

With these ideas in hand we are ready to give the completed definition of category. The beginning of our specification repeats what we had before:

Definition 1.13: A category \mathcal{C} has the following data:

- Objects: denoted A, B, C, \dots
- Arrows: denoted f, g, h, \dots (arrows are also often called **morphisms** or **maps**)
- To each arrow f is assigned an object called its **domain** and an object called its **codomain** (if f has domain A and codomain B , this is denoted $f : A \longrightarrow B$ or $A \xrightarrow{f} B$)
- Composition: To each $f : A \longrightarrow B$ and $g : B \longrightarrow C$, there is assigned an arrow $gf : A \longrightarrow C$ called “**the composite g following f** ”
- Identities: To each object A is assigned an arrow $1_A : A \longrightarrow A$ called “**the identity on A** ”.

The data above satisfy the axioms

- Associativity: if $A \xrightarrow{f} B \xrightarrow{g} C \xrightarrow{h} D$, then $h(gf) = (hg)f$
- Identity: if $f : A \rightarrow B$, then $f = f1_A$ and $f = 1_B f$.

As we have been emphasizing,

AXIOM: \mathcal{S} IS A CATEGORY

Abstract sets and mappings form a category (whose objects are called sets, and whose arrows are called mappings).

This is the basic axiom implicit in our references to the “category of abstract sets and mappings” above. There are many other examples of categories to be found in mathematics, and a few of these are described in the exercises in Section 1.8 at the end of the chapter.

1.5 Separators and the Empty Set

If a pair of mappings

$$A \begin{array}{c} \xrightarrow{f_1} \\ \xrightarrow{f_2} \end{array} B$$

has the same domain and has the same codomain (i.e., they are two mappings that *could* be equal), then we can discover whether they are really equal by testing with elements

$$(\forall x [1 \xrightarrow{x} A \Rightarrow f_1 x = f_2 x]) \implies f_1 = f_2$$

i.e., if the value of f_1 equals the value of f_2 at every element x of A , then $f_1 = f_2$. This is one of the ways in which we can conclude that $f_1 = f_2$. The converse implication of the statement is trivial because it is merely substitution of equals for equals (a general idea of mathematics). But the indicated implication is a special, particularly powerful feature of one-element abstract sets. In its *contrapositive* form it states: If $f_1 \neq f_2$, then there exists at least one element x at which the values of f_1 and f_2 are different. (This is the answer to Exercise 1.12!) For a category \mathcal{C} an object with this property is called a *separator*.

Definition 1.14: *An object S in a category \mathcal{C} is a **separator** if and only if whenever*

$$X \begin{array}{c} \xrightarrow{f_1} \\ \xrightarrow{f_2} \end{array} Y$$

are arrows of \mathcal{C} then

$$(\forall x [S \xrightarrow{x} X \Rightarrow f_1 x = f_2 x]) \implies f_1 = f_2$$

As mentioned in 1.4 the property we have been describing is *required* of the terminal object 1 as a further axiom in the category of abstract sets and arbitrary mappings. It is a powerful axiom with many uses; it is special to the category \mathcal{S} of abstract sets and will not hold in categories of variable and cohesive sets where more general elements than just the “points” considered here may be required for the validity of statements even analogous to the following one (see Section 1.6):

AXIOM: THE TERMINAL OBJECT 1 SEPARATES MAPPINGS IN \mathcal{S}

A one-element set 1 is a separator in \mathcal{S} , i.e., if

$$X \begin{array}{c} \xrightarrow{f_1} \\ \xrightarrow{f_2} \end{array} Y$$

then

$$(\forall x [1 \xrightarrow{x} X \Rightarrow f_1x = f_2x]) \implies f_1 = f_2$$

Exercise 1.15

In the category of abstract sets \mathcal{S} , any set A with at least one element $1 \xrightarrow{x} A$ is also a separator. (When an exercise is a statement, prove the statement.) \diamond

We return to the extreme case of listing or parameterization in which no elements are listed. In this case there cannot be more than one listing map (we will use “map” and “mapping” synonymously!) into A since the indexing set we are trying to use is empty. On the other hand, there must be one since the statement defining the property of a mapping is a requirement on each element of the domain set (that there is assigned to it a unique value element in the codomain). This property is satisfied “vacuously” by a mapping from a set without elements since there is simply no requirement. Thus, there exists a unique mapping from an empty set to any given set. We require such a set as an axiom.

AXIOM: INITIAL SET

There is a set 0 such that for any set A there is exactly one mapping $0 \longrightarrow A$.

We call 0 an **initial object** of the category of sets and mappings.

Note that the form of this axiom is the same as the form of the axiom of the terminal set, i.e. we require the existence of a set and a unique mapping for every set *except* that the unique mapping is now *to* the arbitrary set whereas formerly it was *from* the arbitrary set. Like the axiom of the terminal set, the axiom of the initial set will become part of a stronger axiom later. The initial set is often called the *empty set* because, as we will later see, there are no maps $1 \longrightarrow 0$.

Exercise 1.16

In the category of abstract sets \mathcal{S} the initial set 0 is not a separator. (Assume that two sets A and B exist with at least two maps $A \rightarrow B$.) \diamond

ADDITIONAL EXAMPLES:

(1) If T is an index set of numbers, then

$$T \xrightarrow{x} X$$

could be the listing of all the American presidents in chronological order. It does turn out that the map is not injective – Cleveland was both the 22nd and the 24th president.

If we want to ask who was the 16th president, the structure of the question involves all three: the actual set, the actual listing, and a choice of index:

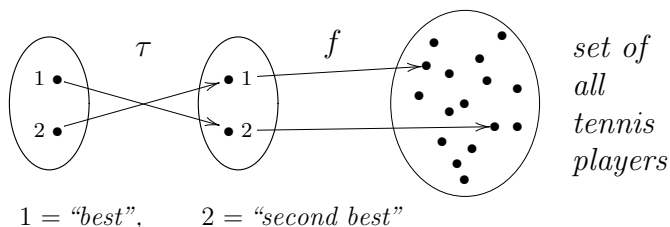
$$\begin{array}{c}
 1 \xrightarrow{i} T \xrightarrow{x} X \\
 \searrow \quad \nearrow \\
 \quad \quad \quad x_i = xi
 \end{array}$$

Lincoln derives by composing the index $i = 16$ and the list x of presidents.

(2) There are at least two uses of two-element sets:

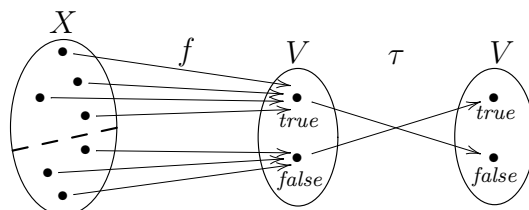
Index sets and truth-value sets

Consider

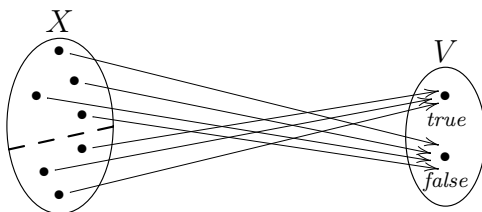


The one that used to be the second-best tennis player could become the best; encode that by noting that there is an **endomapping** (or self-mapping) τ that interchanges the two denominations. The list f' that is correct today can be the reverse of the list f that was true yesterday if an “upset” match occurred; i.e. we could have $f' = f\tau$.

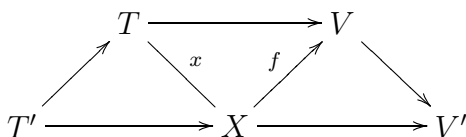
A similar sort of thing happens also on the side of the possible properties of the elements of X :



which results in



In this case we could also compose with the τ , but now it would instead be τ following f (which is written τf). This is called logical negation since it transforms f into $not-f$, i.e. $(not-f)(x) = not-f(x)$. The composite property is the property of not having the property f . Often in the same discussion both reparameterization of lists and logical or arithmetic operations on properties occur, as suggested in the following diagram:



If we have a list x of elements and a property f , then the composite fx can be thought of in two equally good ways. Because V represents values, we can think of this fx as just a property of elements of T ; for example, given the listing x of the presidents, the property f of their being Democrats becomes a property of indices. But fx could also be considered as a list (of truth values). The two concepts thus reduce to the same in the special case $T \rightarrow V$, giving

| | | | | | | |
|--------|----|--------------|---|-------------|----|------------|
| LIST | | TRUTH VALUES | | PROPERTY | | INDICES |
| or | of | or | = | or | of | or |
| FAMILY | | QUANTITIES | | MEASUREMENT | | PARAMETERS |

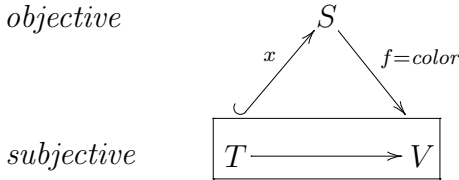
Of course, the words for T (indices/parameters) and the words for V (truth-values/quantities) only refer to structure, which is “forgotten” when T, V are abstract sets (but which we will soon “put back in” in a more conscious way); we mention this fact mainly to emphasize its usefulness (via specific x and f) even when the structure forgotten on X itself was of *neither* of those kinds.

Exercise 1.17

Consider

S = Set of socks in a drawer in a dark room
 V = {white, black}
 f = color

How big must my “sampler” T be in order that for *all injective* x , fx is *not injective* (i.e., at least two chosen socks will be “verified” to have the *same* color)?



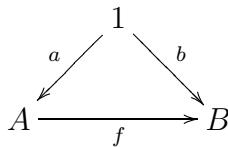
◇

1.6 Generalized Elements

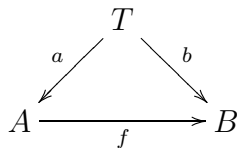
Consider the following three related statements (from Sections 1.2 and 1.4):

- (1) *Element* is a special case of mapping;
- (2) *Evaluation* is a special case of composition;
- (3) *Evaluation of a composite* is a special case of the associative law of composition.

Statement (2) in one picture is

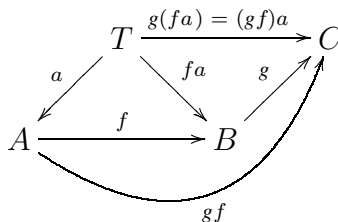


(that is to say, $fa = b$) in which a, b are elements considered as a special case of the commutativity of the following in which a, b are general mappings:



“Taking the value” is the special case of composition in which T is taken to be 1.

For statement (3), recall that the associative law applies to a situation in which we have in general three mappings:



We can compute the triple composite in two ways: We can either form fa and follow that by g , getting $g(fa)$, or we can first form gf (g following f) and consider a followed by that, obtaining what we call $(gf)a$; the associative law of composition says that these are always equal for any three mappings a, f, g .