THE PRESHEAF MODEL SET THEORY

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The whole discussion is just the fulling together of two-plus-two from known facts in topos theory, but it is a useful exercise for me to get various things straight.

§1. The Construction. Let I be a fixed small category, called the site. It has domains (objects, types) A, B, C and maps f: B - A, 9: C-B, etc. Composition fog: C-A is written in the indicated order. The identity map on a domain A is written as IA. The usual axioms are satisfied about composition and identities. That Cissmall means the number of domains in C is limited and, for domains A, B, the collection (f/f:B-A) is always a set.

In making the model, we will often have need of a notation for functions (sets of ordered pairs). Thus;

 $(x_i)_{i \in I} = \{(i, x_i) \mid i \in I\},\$ 

where an ordered pair has (a,b) = {{a},{a,b}} Note (a, b) = Ø. Therefore, if we also use the notation:

 $\langle y_j \rangle_{j \in J} = \{ \emptyset \} \cup (y_j)_{j \in J}$ 

then always (xi)iFI = (yi)jFJ. That is to say, we have functions (vectors, systems, families) in two "colours".

DEFINITION 1.1. Let A be a domain of C. An individual (at stage A) is a system  $a = (a_f)_{f: B \to A}$ 

of arbitrary things indexed by {fff;B-A}.
Restriction along a map f:B-A of Cis given by:  $a1f = (a_{f \circ g})_{g:C \to B}.$ 

If we let IA be the class of all individuals at stage A, then alf  $\in I_B$ .

The notion of a set-valued pre-sheaf is assumed known; it is a function 7 from Commo Sets. If A is m. C, then F(A) is a set; and if f: B → A m C, then F(f): F(A) → F(B) is a function. We can define for a & J(A) the family;

$$\bar{a} = (\Im(f)(a))_{f:B\to A}$$
.

Then  $\bar{a}1f = \bar{f}(f)(a)$ . In this way the pre-sheaf  $\bar{f}$  is adequately represented by individuals; that is

 $\{\dot{a} \mid a \in \mathcal{J}(A)\} \subseteq I_{A'}$ ,

and  $\bar{a} = \bar{b}$  iff a = b, because  $(\bar{a})_{1/4} = a$ .

DEFINITION 1.2. A set (at stage A) is a system  $S = \langle S_f \rangle_{f:B \to A}$ 

where for all  $f: B \to A$ , we have  $S_f \subseteq I_B \cup V_B$ , and whenever  $g: C \to B$  and  $b \in S_f$ , then  $b \cdot 1g \in S_{f \circ g}$ . Here  $V_B$  is the class of all sets at stage B. Restriction is defined by  $S_f = \langle S_{f \circ g} \rangle_{g: B \to A}$ 

and it easily follows that  $s1f \in V_B$ .

The definition above may seem circular because in defining  $V_A$  we use  $V_B$ . The apparent circularity is eliminated, however, if we argue by rank; that is, since C is small, a system has a limited rank, so we can consider the elements  $b \in S_C$  as faving lover rank. This means

that the model is "built from below", and there is no circularity. (This argument could be made more oxplicit by inhoducing ordinals as ranks.)

The formulae of set theory are compounded from atomic formulae x = y,  $x \in y$ ,  $x \in V$  in the usual way with
logical symbols  $\Lambda, V, \neg, \rightarrow$ ,  $\forall$ ,  $\exists$ . (Here  $x \in V$  should be read as a one-place
predicate "x is a set".) In defining
"forcing" (truth in the model), we
use the method of Joyal.

DEFINITION 1.3. For an assignment a of values in  $I_A \cup V_A$  to variables we define AII-  $\Phi$  [a], read "A forces  $\Phi$  at a" by these clauses;

- (i) All-x=y[a] iff a(x)=a(y)
- (ii) All-xey [a] iff a(x) ∈ a(y), and a(y) ∈ V
- (iii) Alt xeV [a] iff a(x) & VA
- (iv) A It [\$\P\P\][a] iff A It \$\P\P\[a]\$ and Alt \$\P\P\[a]\$
- (V) A IF [EV中] [a] if AIF更[a] on AIF至[a]

(vi) Alt ¬Ф[a] iff for no f: B→A we hove BIF Φ[a1f]

(Vii) A IT [\$\P\$][a] iff whenever \$iB → A and B IT \$\P\$ [a1f]

then B IT \$\P\$ [a1f]

(Viii) AIL Vx, \$\Pi [a] iff whenever f: B→A and b \in I\_B \cup V\_B, then BIF \$\Pi [a1f(b/x)]\$

(ix) Alt ]x. \$\bar{\Pi}[a]\$ iff for some \$b \in \bar{\Imp} \bar{\I

Here alf is the assignment (a1f)(x) = a(x)1fand a(b/x) is the assignment like a except a(b/x)(x) = b.

We should note that in the definition of forcing the quantifiers are <u>unbounded</u>. Thus, we must regard AII \$\Pi\$ [a] as a "translation" in the following sense: For each \$\Pi\$ separately the rules (i)-(ix) allow us to write out the definition of the corresponding relation between A and a, If we tried to Godel number the formulae, we would have something very like the truth definition—which cannot

be formalized in set theory. But there is no bother here, since we work on formulae "one at a time".

\$2. The Verification of the axioms. Set theory in intuition is the logic has — in basic outline — settled down, and I use the same axioms of from Journan's paper, which have also been used elsewhere. It is intuition is the law of the excluded middle is not generally forced — even for some very simple categories C.

DEFINITION 2.1. The axioms and axiom schemata of IZF (intuitionistic Zermelo-Fraenkel Set theory) are:

(Decidability)

 $\forall x \ [x \in V \lor \neg x \in V]$ 

(Membership)

Yx,y[xey → yeV]

(Extensionality)

Vx,y ∈ V [ Yz [z ∈ x ← z ∈ y] → x=y]

(Pairing)  $\forall x,y \exists z [x \in z \land y \in z]$ (Scharation)

(Separation)  $\forall x \exists y \in V \forall z [z \in y \leftrightarrow z \in x \land \Phi(z)]$ 

∀x ∃y ∀z [∃w ex. zew → zey]

(Powerset)

Vx ∃y Vz [ Vwez, wex → Zey]

(Infinity)

Jx [ Jy. yex n Vyex Jzex, yez]

(Induction)

 $\forall x \ [ \ \forall y \in x . \Phi(y) \rightarrow \Phi(x) ] \rightarrow \forall x . \Phi(x)$ (Collection)

 $\forall x [\forall y \in x. \exists z. \Phi(y,z) \rightarrow$ 

JW Yyex Jzew, \$ (y,z)]

Where we use the notation P(z) in an informal sense to indicate principal free variables and substitution. (In (Separation), for instance, y must not be free in  $\Phi(z)$ .)

THEOREM 2.2. All axioms of IZF are forced as well as all the axioms and rules of intuition is to logic.

The verification of the logic part is standard; the set-theory part will take a little time. The forcing clause 1.3 (i) Tooks rather stark; but even if we are assuming classical logic in our background logic, the decidabil of = does not follow. Indeed

> Alta=bv7a=b iff a=b or for no  $f: B \rightarrow A$  does alf = b1f.

The point here is that a + b may result if  $a_{1} \neq a_{2}$ , but alf = blf is perfectly possible when  $f \neq 1_A$ . Neither does it follow that equality is <u>stable</u>, for

Alt 77a=b iff for all f: B - A there is g: C→B with alfog = b1 fog

Taking C to be a partially ordered set/ahe is sufficient to see this does not mean the Same as AII-a=b. (Note we replace the assignments with constants when there is no

On the other hand we were at pains to make IA disjoint from  $V_A$ , so the verification of (Decidability) is clear. (Membership) is also trivial in view of the extra clause of 1.3 (ii) - which is only sensible.

Before verifying the other axioms, it is useful to note the function ality of forcing;

LEMMA 2.3. If A I + \$\Phi [a] and \$18 - A, then B I + \$\Phi [a1f].

This can be proved in the usual way directly from 1.3. We then use this fact to note that to show an implication is forced at all stages it is enough to show that whenever the hypothesis is forced, the conclusion is forced.

Thus suppose  $a, b \in V_A$  and  $A \Vdash V \not\in E \not\in G a \hookrightarrow Z \in b \circlearrowleft$ . Then for all  $f: B \to A$  and for all  $C \in I_B \cup V_B$  we have  $B \Vdash C \in a \upharpoonright f \hookrightarrow C \in b \upharpoonright f$ . In particular  $C \in (a \upharpoonright f)_1 = a_f$  iff  $C \in b_f$ . But then  $a_f = b_f$  for all  $f: B \to A$ , so a = b follows. Indeed  $A \Vdash a = b$ . So (Extensionality) is verified

For (Pairing), let  $a,b \in I_A \cup V_A$  and define

 $C = \langle \{a1f, b1f\} \rangle_{f:B \to A}$ 

We find Altacabec because ceVA.

For (Separation), let a & In VA be given. Define

 $b = \langle \{c \in I_{B} \cup V_{B} \mid B \mid F c \in alf \land \Phi lf(c)\} \rangle$   $f: B \to f$ 

where \$\Pi\$If has all parameters (from Stage A) bestricted by f (to stage B). The indicated set is a set, because if a \in I it is empty, but if a \in V\_A it is a subset of a\_f. The reason that b \in V\_A is that by Lemma 2.3 we prove that if g: C-B and C \in b\_f, then C1g \in b\_{fog}; indeed this is nothing more than a restatement of the 1emma. The remainder of the vorification is obvious.

For (Union), suppose  $a \in V_A$  and define  $b = \langle \{c \in I_B \cup V_B \mid B \mid F : B \to A \}$ This is a family of sets because

 $b_f = \bigcup \{ d_{1_B} | d \in a_f \text{ and } d \in V_B \}.$ 

We have, of course, constructed b to satisfy the axiom.

For (Powerset), suppose  $a \in V_A$  and define  $b = (\{c \in V_B \mid c_g \subseteq a_{f \circ g} \text{ for all } g: C \rightarrow B\}\}_{f:B \rightarrow A}$  It is easy to check that  $b \in V_A$  and satisfies the axiom.

We skip (Infinity) for the moment, as its truth will follow directly from the remarks of the next section.

To verify (Induction), we remark first that in order to check the axiom it is sufficient to check the following rule:

 $\forall x [\forall y \in x. \Psi(y) \rightarrow \Psi(x)]$   $\forall x, \Psi(x)$ 

The reason is that the axiom follows, by application to the formula defined this way:

P(x) > VZ[Vx[Vyex, P(y) - P(x)] - P(x)].

(Note that in this choice of Y(x), the variable x is bound in the premiss but left free in the conclusion; while the quantifier VZ is introduced to quantify over all the other parameters of P(x).) Now, in proving the rule in the interpretation, we assume that every A forces the hypothesis and show every A forces the conclusion. To this end, consider the pairs (f, b) where f: BAR is any material C and be In Vo.

Define between such pairs the relation (g,c) < (f,b) which holds provided  $g:C \to B$  and  $C \in bg$  and  $b \in V_B$ . We note that the rank of C must be strictly less than the rank of b, and so <:c is a well-founded relation. Also for fixed (f,b) the collection of pairs (g,c) < (f,b) must form a set because C is a small category; therefore by using (Induction) in the metalanguage, we know we can apply induction arguments to the relation <:c.

Now consider the property of pairs (f,b) where BIF  $\Psi(b)$ . Since A forces the hypothesis to the rule, if all (g,c)<(f,b) have this property then (f,b) has the property. Thus, by induction, all pairs (f,b) have the property. This is the same thing as saying that AIF  $\forall x$ ,  $\Psi(x)$ , as was to be proved.

Finally, we must consider (Collection). Suppose a & VA and suppose All- Vy &a Fz, D(y, Z) This means:

Yf:B→A Vb Eag ∃ CEIBUVB. BIT \$1f(b,c)
As the pairs (f,b) with beag form a <u>set</u>, we can envoke the collection principle itself to secure a set S where:

Vf:B-A YEERT CESA (IDUV,). BIF \$15(b,c)

We have, then, only to introduce  $d = \langle Sn(I_B \cup V_B) \rangle_{f:B \to A}$ 

as on element  $d \in V_A$  to find, as required:  $A \Vdash \forall y \in a \exists z \in d. \Phi(y,z)$ .

Except for (Infinity) this completes the verification of the axioms.

\$3. Global Elements. In the construction of the model, the elements of I<sub>A</sub> v V<sub>A</sub> only "exist" at stage A — and, by restriction, at later stages when f: B - A is produced. It should be clear, however, that there are many sets and individuals that have a fuller existence. The way they exist can be defined as follows.

DEFINITION 3.1. A global individual is an assignment  $a_A \in I_A$  for each A of C such that  $a_A 1f = a_B$  whenever  $f: B \to A$  in C. Global sets are defined similarly.

LEMMA 3.2. Any global element is completely deformined by the family of objects  $a_{A1}$  for A of C.

Proof. The argument for sets and individual, is the same, so consider the latter. We have:

 $a_A = (a_{Af})_{f:B\rightarrow A}$  and  $a_A 1 f = (a_{Af \circ g})_{g:C\rightarrow B}$ 

But, since the element is global,  $a_{Bg} = a_{Af \circ g}$  for all  $g: C \rightarrow B$ . Taking  $g = 1_B$  we find  $a_A = (a_{B1_B})_{f: I3 \rightarrow A}$ ,

which establishes what we want.

As a consequence of this easy lemma, we see that to specify a global inductual we only need to give an arbitrary family of objects  $a_A$  (=  $a_{A_A}$ ) over the A of C. (That is, we may as well simplify the notation.) To specify a global set, what we need is a subset  $S_A \subseteq I_A \cup V_A$  where restriction along  $f: B \to A$  always maps  $S_A$  into  $S_B$ . Then  $(S_B)_{f:B\to A} \in V_A$  as required. This perhaps seems familiar? We can make the connection with known constructs quite precise with the help of a definition.

DEFINITION 3.3. A global map is a family of relations  $r_A \subseteq (I_A \cup V_A) \times (I_A \cup V_A)$  where restriction along  $f: B \to A$  always maps the pairs in  $r_A$  into pairs in  $r_B$ ; further each  $r_A$  should be single valued. For

910bal sets sand t we also say r\_maps Sinto t (r:s→t) provided the domain of VA is SA and the range is contained in tA.

PROPOSITION 3.4. The category of global sets and global maps is equivalent to the category of set-valued pre-sheaves on C° and natural transformations.

Proof. We had already remarked after Definition 1.1 how every functor  $\mathcal{F}: \mathbb{C}^{r_{h}} \to Sets$  creats individuals (not global individuals note!), and we now recognize the sets  $\mathcal{F}_{A} = \{\bar{a} \mid a \in \mathcal{F}_{A}\}$ 

as being a family making a global set  $\overline{Y}$  corresponding to the functor  $\overline{Y}$ . Conversely, every global set taken together with the induced restriction maps is a pre-sheaf. The correspondence is only equivalence because  $\overline{Y}_A \subseteq I_A$  while a little more broadly  $S_A \subseteq I_A \cup V_A$ , but the difference does not matter once we agree to took at these systems only up to one-one correspondences under global maps.

With this picture in mind it can be safely left to the reader to verify that the notion of a global map translates word-for-word into the definition of natural transformation between functors.

Where would global maps come from? Suppose sand t are globalsets and \$\P(x,y)\$ is a formula with two free variables and which has as favameters only global elements. Suppose then that every A forces \$\forall x\text{cs} \forall ! y\text{ct}. \$\P(x,y)\$ we then define

We easily check that w; s→t. Conversely, given any global map, we can introduce a global set that represents,; and so with a suitable formula we would be able to state the mapping relationship in formal set-theoretical terms. In other words the global maps correspond exactly to the functional relationships definable from global parameters. We can look at this remark as a justification of the notion of natural transformation;

with a suitable tem ter pretation set-valued functors can be viewed as sets and the logical notion of function comes out exactly as that of natural transformation; the idea is forced on us by the logic of the situation. (By constructing models within models, this discussion could be carried over to functors between any two (small) categories and their natural transformations.)

A very special case of global elements

A very special case of global elements are the constant elements. Suppose in our metatheory we think of an individual as  $a \in I$ . Then the constant individual in the model  $\check{a}_A = (a)_{f,B\to A}$  is obviously global. We extend this to sets  $S \in V$ . By assumption any set is a subset  $S \subseteq I \cup V$ , so naturally

 $S_A = \langle \{ \chi_B \mid \chi \in S \} \rangle_{f:B \to A}$ 

and we see that this is a global set where

Alt à & & iff a & S This principle can be extended to all formulae, provided we introduce one place predicates  $x \in I$  and  $y \in V$  with the obvious meanings. Then if  $\Phi$  is any formula, we take  $\Phi$  the result of relativizing an quantifiers to IUV. We easily prove:

PROPOSITION 3.5. For any formula De swith only constant parameters, we have AII Diff Distance.

The point of this result is that inside the model IUV gives an exact picture of the external universe IUV; of course there is no reason to believe that I and Vare definable properties; we had to impose them to be able to formulate D. Nevertheless, many facts not mentioning I and V can be deduced with the aid of 3.5. For example, consider in the image of the set of m tegors w = {0,1,2, ...}. Because every integer (ordinal) is regarded as the set of all smaller numbers, it easily follows that was validates the axiom of infinity in the model.

\$4. Representing the Site. Not only can the external universe be mapped into the model but so can the category C

DEFINITION 4.1. For each map f: B-A in C we write:  $f = (f \circ g)_{g:C \to B}$ .

$$\dot{f} = (f \circ g)_{g:C \to B}$$

For each domain A we also write

It is clear that f & IB, but it is not a global individual. On the otherhand ABEVB is a global set; it is called the representable functor in category theory. We remark again that whenever it is Convenient we drop the distinction between A.B and ABIB. Also in speaking of these global sets we often just say A, B, etc. when the Stage is not important. We Can also write BILAGA to mean that a = f for some f: B - A, dropping the subscripts in the formula because they are determined in any case. We remark also that the correspondences finf and AHA One one-one.

Translating the well-known Tonocla Lemma into the present language ( in a way that is in fact quite common in topos theory) we can state;

PROPOSITION 4.2. The category of global sets A and global maps results from a full and faithful embedding of The given Catagory C; moveover for any global set S there is a one-one correspondence between global maps from A mte S and elements of SA.

Proof. Suppose h; A -> B m C, If  $f: C \rightarrow A$ , then hof:  $C \rightarrow B$ , so the

relation  $r_c \subseteq \hat{A}_c \times \hat{B}_c$  where

 $r_c = \{(f, (hof)) | f: C \rightarrow A\},$ 

which we ought to call his a global mapping h; A→B, Now h→h is one-one and hok = hok; so is a functor from I into the global set category, and the one-oneness means it is "faithfull".

Let now r: Â-1 B be any other global map. Define has the map h: A -B where

 $(1_A, h) \in r_A$ . It follows at once from restriction calculations that  $(f, (h \circ f)^*) \in V_C$  for all  $f: C \to A$ ; therefore v = h.

In the same way one can show any global  $r: \hat{A} \to S$  determines an element in  $S_A$  corresponding to the identity function and any such matching leads to a global map.

The result gust established gives us an interesting remter pretation of the sete C. To start with, C was just any abstract category. By passing to the model, we can regard a now as a "concrete" category where the A and is are "sets" and the maps f: A -> B are "ordinary functions" &: A -B. Thus, if A and B are isomorphic in C, then À and B are ma one-one correspondence in the model. These carry overs of abstract mapping properties may not seem particularly interesting, but their become much more interesting when C can be given more categorical structure, DEFINITION. 4.3. The category C is said to be a <u>cartesian category</u> if it is provided with structure satisfying the following rules:

$$\begin{array}{ccc}
O_{A}: A \to 1 & \underline{\alpha: A \to 1} \\
& \alpha = O_{A}
\end{array}$$

$$\begin{array}{cccc}
P_{AB}: A \times B \to A & \underline{f: C \to A} & \underline{g: C \to B} \\
Q_{AB}: A \times B \to B & \underline{P_{AB}} & \langle f, g \rangle = f \\
& f: C \to A & \underline{g: C \to B} & \langle f, g \rangle = g
\end{array}$$

$$\begin{array}{ccccc}
\langle f, g \rangle: C \to A \times B & \underline{h: C \to A \times B} \\
& \langle P_{AB} & \hat{h}, Q_{AB} & \hat{h} \rangle = \hat{h}
\end{array}$$

In other words, we state abstractly in C that I is the one-element domain (terminator) which has one and only one map into it from any domain. In the model I will go over to I which proves to be a constant set—and obviously one which satisfies the formal statement that it has a unique element.

The construct A × B is a functor on the category, through we have said just a little less than that in the definition.

(What is missing is the definition of hak for an arbitrary pair of maps.) When we translate the information into the model from the state the information into the model adefinition, we find that A×B as a global set is in a one-one correspondence with the set-theoretical cartesian product A×B in the model; moreover the maps PAB and PAB give just the projection maps, and the construct (f,g) is nothing other than the argument-wise pairing of functions.

It Sollows that if we give, with the aid of these notions, some mapping properties in C, they will go over to their normal set-theoretical translations For mistance, a "group" in a cartesian category is in the first place a map M: A × A → A, for multiplication, together with a map 1; A-A for mversion, and then lots of diagrams should commute to express the usual (equational) axioms of group theory. Surpriso! A in the model is a group in the usual sense; that is, in and a become "actual" mappings (binary and maky operations) which provide

À with a group structure sextesfying all the standard (formal) axioms.

In my paper in the Curry Festschrift I applied this kind of method for Cartesian closed categories.

DEFINITION 4.4. The category C is said to be cartesian closed if in addition to the cartesian, structure of 4,3 the category is provided with internal function spaces satisfying the following rules:

 $\begin{array}{ccc} \mathcal{E}_{BC} : (B \to C) \times B \to C & h : A \times B \to C \\ \hline h : A \times B \to C & \mathcal{E}_{0} \langle \Lambda h \circ P_{0} q \rangle = h \\ \hline \Lambda h : A \to (B \to C) & R : A \to (B \to C) \\ \hline \Lambda (\mathcal{E}_{0} \langle R \circ P_{0} q \rangle) = \mathcal{E}_{AB} & \mathcal{E}_{0} & \mathcal{E}_{0} & \mathcal{E}_{0} & \mathcal{E}_{0} & \mathcal{E}_{0} \\ \hline \Lambda (\mathcal{E}_{0} \langle R \circ P_{0} q \rangle) = \mathcal{E}_{0} & \mathcal{E}_{0} & \mathcal{E}_{0} & \mathcal{E}_{0} & \mathcal{E}_{0} & \mathcal{E}_{0} \\ \hline \Lambda (\mathcal{E}_{0} \langle R \circ P_{0} q \rangle) = \mathcal{E}_{0} & \mathcal{E}_{0} \\ \hline \Lambda (\mathcal{E}_{0} \langle R \circ P_{0} q \rangle) = \mathcal{E}_{0} & \mathcal{E}_{0$ 

PROPOSITION 4.5. In the represention of the category I in the model, the construct (B+C) becomes a functor isomorphic to the set-theoretical function space functor.