

Functors, Variable Sets, and The Yoneda Lemma

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1 Functors

Functor is probably *the* most important concept in category theory. Intuitively you may think of a functor as a morphism between *categories*.

Definition 1.1 (Functor)

A functor $F : \mathbf{C} \rightarrow \mathbf{D}$ assigns each object $c \in \mathbf{C}$ to an object $F(c) \in \mathbf{D}$, assigns each morphism $f : c \rightarrow c' \in \mathbf{C}$ to a morphism $F(f) : F(c) \rightarrow F(c') \in \mathbf{D}$, such that:

- $F(1_c) = 1_{F(c)}$, so F preserves identity.
- For $a \xrightarrow{f} b \xrightarrow{g} c \in \mathbf{C}$, $F(g \circ f) = F(g) \circ F(f) \in \mathbf{D}$, so F preserves composition.

Let \mathbf{Cat} denote the category of *small* categories and functors, and let \mathbf{CAT} denote the category of *locally small* categories and functors.

For a functor $F : \mathbf{C} \rightarrow \mathbf{D}$, we can look at the size of the source and the target of it. Roughly there are three flavors of functors:

1. Both of \mathbf{C}, \mathbf{D} are small. This kind of functors usually functions as a *morphism*.
2. Both of \mathbf{C}, \mathbf{D} are large. This kind usually are used for *comparison* different structures.
3. \mathbf{C} is small but \mathbf{D} is large. Here we may look at F as a *variable* object of \mathbf{D} indexed by \mathbf{C} .

We rarely see a functor from a large category to a small one¹.

1.1 From small to small

This part is easy. I'll let you figure it out yourself.

Exercise 1.2 (Monoids)

- Suppose M, N are monoids, regarded as categories. Show that a functor $F : M \rightarrow N$ is exactly a homomorphism.

¹You may say hey, I got one: for any category \mathbf{C} , there's a unique functor $\mathbf{C} \rightarrow \mathbf{1}$, where $\mathbf{1}$ is the category with one object and one identity morphism. Well, I challenge you to come up with a non-constant functor $\mathbf{Set} \rightarrow \mathbf{2}$, where $\mathbf{2}$ looks like $\bullet \rightarrow \bullet$.

- Given a category \mathcal{C} and an object $c \in \mathcal{C}$, show that $\mathcal{C}(c, c)$ is a monoid.
- Given a functor $F : \mathcal{C} \rightarrow \mathcal{D}$ and an object $c \in \mathcal{C}$, show that $F : \mathcal{C}(c, c) \rightarrow \mathcal{D}(F(c), F(c))$ is a monoid homomorphism.

Exercise 1.3 (Preordered sets)

Suppose P, Q are preordered sets. A functor $F : P \rightarrow Q$ is exactly an order-preserving function.

1.2 From large to large

Examples of this kind are endless. Let's pick a few.

Example 1.4 (Free vector space)

Let $\mathbf{Vect}_{\mathbb{R}}$ be the category of \mathbb{R} -vector spaces and linear functions. There's a canonical **forgetful** functor $U : \mathbf{Vect}_{\mathbb{R}} \rightarrow \mathbf{Set}$, sending a vector space V to its underlying set.

There's another functor in the other direction. **Free vector space** functor $F : \mathbf{Set} \rightarrow \mathbf{Vect}_{\mathbb{R}}$ sends a set X to the vector space $\mathbb{R}^{\oplus X}$, so elements of X form a **basis** for $F(X)$. You may say that $F(X)$ is the X -dimensional space.

These two functors are **adjoint** to each other in some sense. We will talk about it next time (hopefully).

Example 1.5 (List)

Let $\mathbf{List} : \mathbf{Set} \rightarrow \mathbf{Set}$ be such a functor. It sends a set A to $\mathbf{List}(A)$, which contains all the finite **lists** built from A . You may say that A is like an alphabet and $\mathbf{List}(A)$ contains all possible words built from it. In particular, we allow empty list to be in $\mathbf{List}(A)$.

For monoid lovers, $\mathbf{List}(A)$ is exactly the underlying set of the **free monoid** of A , so it's a composition of the free monoid functor $F : \mathbf{Set} \rightarrow \mathbf{Monoid}$ and the forgetful functor $U : \mathbf{Monoid} \rightarrow \mathbf{Set}$. From this perspective, \mathbf{List} is actually a **monad**.

We will gradually see more examples of this kind, but for now let's move on.

1.3 From small to large

Fix a small category, say, (\mathbb{N}, \leq) . A functor $X : \mathbb{N} \rightarrow \mathbf{Set}$ can be seen a set through time. For example, X may represent the set of particles in the universe at each second from now on².

Here, time is discrete and has a starting point (a *genesis* if you will), but it will never end. Let's call this kind of functor X a *variable set*.

But here's the question: what should be a *morphism* between variable sets?

Definition 1.6 (Natural Transformation: Morphisms between Functors)

Fix two category \mathcal{C}, \mathcal{D} and two functors $F, G : \mathcal{C} \rightarrow \mathcal{D}$. A **natural transformation** $\alpha : F \rightarrow G$ is a collection of morphisms in \mathcal{D} . Each $c \in \mathcal{C}$ gives rise to a morphism $\alpha_c : F(c) \rightarrow G(c)$, such

²You may argue that due to the theory of relativity, we can't quite measure the time in the whole universe simultaneously, and I will say okay.

that for each morphism $f : c \rightarrow c'$, the following diagram commutes.

$$\begin{array}{ccc} F(c) & \xrightarrow{F(f)} & F(c') \\ \alpha_c \downarrow & & \downarrow \alpha_{c'} \\ G(c) & \xrightarrow{G(f)} & G(c') \end{array}$$

Let's look at our example of variable sets. Take two variable sets $X, Y : \mathbb{N} \rightarrow \mathbf{Set}$, to say that $f : X \rightarrow Y$ is a natural transformation, is just to say that the following diagram commutes.

$$\begin{array}{ccccccc} X(0) & \longrightarrow & X(1) & \longrightarrow & X(2) & \longrightarrow & \dots \\ \downarrow f_0 & & \downarrow f_1 & & \downarrow f_2 & & \\ Y(0) & \longrightarrow & Y(1) & \longrightarrow & Y(2) & \longrightarrow & \dots \end{array}$$

So at any given moment $n \in \mathbb{N}$, f gives you an actual function $f_n : X(n) \rightarrow Y(n)$. But each f_n has to be related with one another so that the diagram will commute, it can't get too wild.

For example, let's say $x_0 \in X(0)$, then it gives rise to a whole sequence $\{x_n \in X(n)\}_{n \in \mathbb{N}}$. We may depict it as follows.

$$\begin{array}{ccccccc} x & : & x_0 & \longmapsto & x_1 & \longmapsto & x_2 & \longmapsto & \dots \\ \in & & \in & & \in & & \in & & \\ X & : & X(0) & \longrightarrow & X(1) & \longrightarrow & X(2) & \longrightarrow & \dots \end{array}$$

Then, by the naturality of f , $f_1(x_1)$ is *forced* to be $(f_0(x_0))_1$. So naturality condition sort of means that the function f is travelling through time as well.

We can describe this phenomenon more precisely. Let's say at time n , there's an element $x_n \in X(n)$ which does not belong to the image of $X(n-1) \rightarrow X(n)$. This element seems to have *no history*, it magically appears out of nowhere. So the function f_n has the freedom to map x_n to wherever it wants. However, once $f_n(x_n)$ is fixed, every $f_m(x_m)$ later on is also fixed. It has to be $(f_n(x_n))_m$.

Definition 1.7 (Functor Category)

Any two category \mathbf{C}, \mathbf{D} gives rise to a category $\mathbf{D}^{\mathbf{C}}$:

- Objects: functors $F : \mathbf{C} \rightarrow \mathbf{D}$,
- Morphisms: natural transformations $\alpha : F \rightarrow G$ for $F, G : \mathbf{C} \rightarrow \mathbf{D}$.

This is called the **functor category** from \mathbf{C} to \mathbf{D} .

For example, functor category $\mathbf{Set}^{\mathbb{N}}$ is the category of variable sets where time has the shape of \mathbb{N} .

Example 1.8 (Natural transformation elsewhere)

We have talked about the functor $\mathbf{List} : \mathbf{Set} \rightarrow \mathbf{Set}$ being a **monad**. Roughly it means that there's two natural transformation $\eta : 1_{\mathbf{Set}} \rightarrow \mathbf{List}$, $\mu : \mathbf{List} \circ \mathbf{List} \rightarrow \mathbf{List}$. We often call them **embedding** and **concatenating**. Can you guess what they are?

2 The study of $\text{Set}^{\mathbb{N}}$ and Yoneda Lemma

2.1 Global Elements

The category $\text{Set}^{\mathbb{N}}$ is also a topos. In fact, for any small category C , $\text{Set}^{C^{\text{op}}}$ ³ is always a topos.

Definition 2.1 (Presheaf)

For any category C , a functor $P : C^{\text{op}} \rightarrow \text{Set}$ is called a **presheaf**⁴ on C . The category $\text{Set}^{C^{\text{op}}}$ is called the **presheaf category** of C .

For example, $\text{Set}^{\mathbb{N}}$ is the presheaf category of \mathbb{N}^{op} .

Now, being a topos means that $\text{Set}^{\mathbb{N}}$ has some rich structures. For example, initial and terminal object.

Exercise 2.2

Show that the **empty** functor $\emptyset : \mathbb{N} \rightarrow \text{Set}$, sending each $n \in \mathbb{N}$ to \emptyset , is the initial of $\text{Set}^{\mathbb{N}}$, while the **singleton** functor $1 : \mathbb{N} \rightarrow \text{Set}$, sending each $n \in \mathbb{N}$ to the singleton 1 , is the terminal.

In Set , each element in a set X corresponds precisely to a function $1 \rightarrow X$, where 1 is the terminal. So simply by looking at $\text{Set}(1, X)$, everything about X can be recovered. Let's try to do that in $\text{Set}^{\mathbb{N}}$.

Definition 2.3 (Global element)

Fix a category C with a terminal 1 . A **global element** x of an object c is just a morphism $x : 1 \rightarrow c$.

Now, fix a variable set $X : \mathbb{N} \rightarrow \text{Set}$. What's a global element of X ? It's a morphism (natural transformation) $x : 1 \rightarrow X$.

- First of all, $X(0)$ must be inhabited, because x_0 must send the unique element in $1(0)$ to $X(0)$.
- But since $X(0)$ is inhabited, everything after $X(0)$ must also be inhabited, because x_0 has to have a *future*.
- Furthermore, by the naturality of x , when we fix x_0 , each x_n is also automatically fixed.

In conclusion, the global elements of X corresponds precisely to $X(0)$. This element x appears at every moment, hence it's *global*. And this correspondence is actually a *natural isomorphism*, which is an isomorphism in the functor category. This is an example of the first profound theorem in category theory, called *Yoneda Lemma*.

³For some reason we usually talk about $\text{Set}^{C^{\text{op}}}$ instead of Set^C . You will find the reason after learning about *coYoneda Lemma*.

⁴I promise you the meaning of this terminology will become clear later. Don't worry about it for now.

2.2 Towards Yoneda

Sometimes we will see functors that looks like $F : C^{\text{op}} \rightarrow D$. In this case, F is *contravariant* at C . On the other hand, a functor $F : C \rightarrow D$ is *covariant* at C .

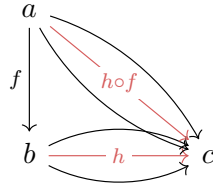
This following concept captures the philosophical core of category theory.

Definition 2.4 (Hom-functor)

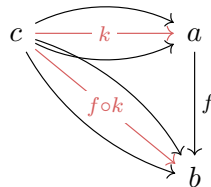
Fix a category C and an object $c \in C$. We have two functors given by c :

- $C(-, c) : C^{\text{op}} \rightarrow \text{Set}$, the contravariant hom-functor,
- $C(c, -) : C \rightarrow \text{Set}$, the covariant hom-functor.

Let's study the contravariant case first. Suppose we have a morphism $f : a \rightarrow b \in C$, we should be able to apply $C(-, c)$ to f and obtain a function $C(b, c) \rightarrow C(a, c)$. Indeed, this function is called *pre-composition*, denoted as f^* . Given any $h : b \rightarrow c$, $f^*(h) := h \circ f : a \rightarrow c$. Here's a picture.



The covariant case is essentially dual to the contravariant case. Again suppose we have a morphism $f : a \rightarrow b \in C$. The function $f_* : C(c, a) \rightarrow C(c, b)$ is called *post-composition*. Given a $k : c \rightarrow a$, $f_*(k) := f \circ k : c \rightarrow b$.



Proposition 2.5 (First glance of the Yoneda Lemma)

The correspondence $\text{Set}^{\mathbb{N}}(1, X) \cong X(0)$ is natural in X .

Proof. For each variable set X , let α_X be the function $\text{Set}^{\mathbb{N}}(1, X) \rightarrow X(0)$, sending each global element $x \in \text{Set}^{\mathbb{N}}(1, X)$ to $x_0 \in X(0)$. Let β_X be the function $X(0) \rightarrow \text{Set}^{\mathbb{N}}(1, X)$, sending each $x_0 \in X(0)$ to it's *destiny* $x : 1 \rightarrow X$. α and β are clearly inverse⁵. We need to show that α and β are natural.

To say α is natural is to say that, for each $f : X \rightarrow Y$, the following diagram commutes.

$$\begin{array}{ccc}
 \text{Set}^{\mathbb{N}}(1, X) & \xrightarrow{\alpha_X} & X(0) \\
 f_* \downarrow & & \downarrow f_0 \\
 \text{Set}^{\mathbb{N}}(1, Y) & \xrightarrow{\alpha_Y} & Y(0)
 \end{array}$$

⁵I say clearly despite this inverse is the Yoneda Lemma.

Suppose $x \in \text{Set}^{\mathbb{N}}(1, X)$, let's chase the diagram.

$$\begin{array}{ccc} x & \in & \text{Set}^{\mathbb{N}}(1, X) \xrightarrow{\alpha_X} X(0) & \ni & x_0 \\ & & f_* \downarrow & & \downarrow f_0 \\ f \circ x & \in & \text{Set}^{\mathbb{N}}(1, Y) \xrightarrow{\alpha_Y} Y(0) & \ni & f_0(x_0) = (f \circ x)_0 \end{array}$$

Where the last equality $f_0(x_0) = (f \circ x)_0$ is given by composing two natural transformations, thus α is natural.

Since we know that α and β are *inverse*, the naturality of β can be easily deduced. \square

Just like $X(0)$ containing all the elements that exist from the beginning, for any $n \in \mathbb{N}$, $X(n)$ contains all the elements that exist at the time n , and will continue to exist forever.

But note that a hom-functor $\mathbb{N}(n, -) : \mathbb{N} \rightarrow \text{Set}$ is an abstract “element” that appears at the time n , so the natural transformation $\mathbb{N}(n, -) \rightarrow X$ is exactly $X(n)$. **This is the Yoneda Lemma.** Let's look at the generalized case.

Theorem 2.6 (Yoneda Lemma, the Fundamental Theorem of Category Theory)

For any category \mathcal{C} , any object $c \in \mathcal{C}$, and any presheaf $F : \mathcal{C}^{\text{op}} \rightarrow \text{Set}$, there's an isomorphism

$$\text{Set}^{\mathcal{C}^{\text{op}}}(\mathcal{C}(-, c), F) \cong F(c)$$

that is natural in both F and c .

Proof. The proof has three stages: construction of the bijection, proof of naturality in F , and proof of naturality in c . Here we only construct the bijection since the left is easy.

Let $\Phi : \text{Set}^{\mathcal{C}^{\text{op}}}(\mathcal{C}(-, c), F) \rightarrow F(c)$ be such a function: for any $\alpha : \mathcal{C}(-, c) \rightarrow F$, we first take $\alpha_c : \mathcal{C}(c, c) \rightarrow F(c)$, then take $\alpha_c(1_c) \in F(c)$. Let $\Phi(\alpha) = \alpha_c(1_c)$.

Conversely, we construct a function $\Psi : F(c) \rightarrow \text{Set}^{\mathcal{C}^{\text{op}}}(\mathcal{C}(-, c), F)$. Given $x \in F(c)$, we need to construct a function natural transformation $\Psi(x) : \mathcal{C}(-, c) \rightarrow F$, which means, given $d \in \mathcal{C}$ and $f : d \rightarrow c \in \mathcal{C}$, we need to construct $\Psi(x)_d(f) \in F(d)$, and $\Psi(x)$ has to be natural.

First let $\Psi(x)_c(1_c)$ be x . And then, by naturality of $\Psi(x)$, every $\Psi(x)_d(f)$ is now *fixed*, since the following diagram must commute.

$$\begin{array}{ccc} 1_c & \in & \mathcal{C}(c, c) \xrightarrow{\Psi(x)_c} F(c) & \ni & x \\ & & f^* \downarrow & & \downarrow F(f) \\ f & \in & \mathcal{C}(d, c) \xrightarrow{\Psi(x)_d} F(d) & \ni & F(f)(x) = \Psi(x)_d(f) \end{array}$$

We are forced to let $\Psi(x)_d(f)$ be $F(f)(x)$. By functoriality of F , $\Psi(x)$ is clearly natural.

It's easy to see that Φ and Ψ are inverse. Given $x \in F(c)$, $\Phi(\Psi(x)) = \Psi(x)_c(1_c) = x$. Given $\alpha : \mathcal{C}(-, c) \rightarrow F$, α is the *only* natural transformation $\mathcal{C}(-, c) \rightarrow F$ such that it maps $1_c \in \mathcal{C}(c, c)$ to $\alpha_c(1_c)$, but so is $\Psi(\Phi(\alpha))$, hence $\alpha = \Psi(\Phi(\alpha))$. \square

This theorem has several important corollaries that are also called Yoneda Lemma.

Corollary 2.7

For any category \mathcal{C} , any two objects $c, d \in \mathcal{C}$,

$$\text{Set}^{\mathcal{C}^{\text{op}}}(\mathcal{C}(-, c), \mathcal{C}(-, d)) \cong \mathcal{C}(c, d)$$

where the \Rightarrow direction is given by post composition.

Proof. Let F be $\mathcal{C}(-, d)$ in Yoneda lemma. □

Definition 2.8 (Yoneda Embedding)

For any category \mathcal{C} , there is a functor $y : \mathcal{C} \rightarrow \text{Set}^{\mathcal{C}^{\text{op}}}$, where $y(c) := \mathcal{C}(-, c)$, called **Yoneda embedding**.

The previous corollary $\text{Set}^{\mathcal{C}^{\text{op}}}(\mathcal{C}(-, c) \cong \mathcal{C}(-, d)) \cong \mathcal{C}(c, d)$ is essentially saying that Yoneda embedding is *fully faithful*.

Definition 2.9 (Properties of a functor: full and faithful)

Given a functor $F : \mathcal{C} \rightarrow \mathcal{D}$.

- F is **faithful** if F is injective on each hom-set.
- F is **full** if F is surjective on each hom-set.
- F is **fully faithful** if F is both full and faithful.
- If F is an inclusion of subcategory, then \mathcal{C} is the **full subcategory** of \mathcal{D} .

Corollary 2.10

Yoneda embedding is fully faithful.

The cool thing about this version of Yoneda lemma is that, since every presheaf category is a topos, every small category can now be fully and faithfully embedded into a *topos*.⁶

Definition 2.11 (Representable Functors)

A functor $F : \mathcal{C}^{\text{op}} \rightarrow \text{Set}$ is representable if there exists an object $c \in \mathcal{C}$ with $F \cong \mathcal{C}(-, c)$. In this case, F is **represented** by c .

Corollary 2.12

If a functor is representable, then the object representing it is unique up to isomorphism.

Example 2.13

Proposition 2.5 and Yoneda Lemma shows that the terminal functor $1 \in \text{Set}^{\mathbb{N}}$ is represented by the object $0 \in \mathbb{N}$.

Exercise 2.14

Consider the category $\text{Set}^{\mathbb{Z}}$, where \mathbb{Z} stands for (\mathbb{Z}, \leq) as a category. The terminal object 1 sends every $n \in \mathbb{Z}$ to the singleton $1 \in \text{Set}$. Show that 1 is not representable.

This is immediate once you have the picture of hom-functors in you mind.

Yoneda lemma has a more profound and geometric interpretation by Emily Riehl, who generalized Yoneda lemma to ∞ -category and *dependent* case where Yoneda lemma appears as *direct path induction*.

⁶Reader who is familiar with homological algebra may realize that this is quite like the [Freyd-Mitchell embedding theorem](#), which says that every small Abelian category can be embedded into a category of modules by a fully faithful and *exact* functor. I would like to think that Freyd-Mitchell embedding is like an upgraded version of Yoneda embedding that is more suitable for algebra.

2.3 A few more words on subcategory

Suppose \mathbf{C} is a subcategory of \mathbf{D} and $F : \mathbf{C} \rightarrow \mathbf{D}$ is the inclusion functor, so clearly F is faithful.

- If F is not full, then we may think of objects in \mathbf{C} as certain objects in \mathbf{D} with additional structures. For example, the forgetful functor $U : \mathbf{Vect}_{\mathbb{R}} \rightarrow \mathbf{Set}$ can be seen as an embedding from $\mathbf{Vect}_{\mathbb{R}}$ to \mathbf{Set} . But “being a vector space” is not only a property of a set. It requires more *structures* on the set. So $\mathbf{Vect}_{\mathbb{R}}$ in some sense has *less* morphisms than \mathbf{Set} , since it only contains the morphisms that preserve the additional structures.
- If F is full, then for any object $d \in \mathbf{D}$, “being an object of \mathbf{C} ” is a *mere property*. For example, the inclusion from \mathbf{Ab} , the category of Abelian groups, to \mathbf{Group} , the category of groups, is fully faithful. For any group G , “being Abelian” is a mere property of G . It doesn’t require any additional structures.

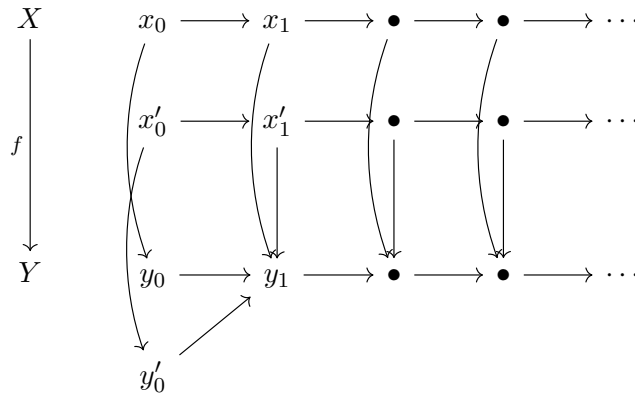
3 Some topos-theoretic properties of $\text{Set}^{\mathbb{N}}$

Even though we have not yet defined the notion of elementary topos, we can explore some topos-theoretic properties just with examples \mathbf{Set} and $\text{Set}^{\mathbb{N}}$ out of curiosity.

Proposition 3.1

$\text{Set}^{\mathbb{N}}$ doesn’t satisfy the axiom of choice.

Proof. Consider $X, Y : \mathbb{N} \rightarrow \mathbf{Set}$, where X is the constant functor on two-element set 2 , and $Y(0) = 2$ and for any other $n > 0$, $Y(n) = 1$. The following picture defines an epimorphism $f : X \rightarrow Y$.



Since f is pointwise surjective, it’s easy to see that f is epic.

Now suppose f splits, so there is a morphism $g : Y \rightarrow X$ such that $f \circ g = 1_Y$. On 0 , this condition forces $g_0(y_0) = x_0$ and $g_0(y'_0) = x'_0$. Apply the naturality to $0 \rightarrow 1 \in \mathbb{N}$ we get the following commutative square.

$$\begin{array}{ccc}
 X(0) & \longrightarrow & X(1) \\
 g_0 \uparrow & & \uparrow g_1 \\
 Y(0) & \longrightarrow & Y(1)
 \end{array}$$

Chase the diagram for both y_0 and y'_0 , we get:

$$\begin{array}{ccccc}
 X(0) & \longrightarrow & X(1) & & x_0 & \longmapsto & x_1 & & x'_0 & \longmapsto & x'_1 \\
 g_0 \uparrow & & \uparrow g_1 & & \uparrow & & \uparrow & & \uparrow & & \uparrow \\
 Y(0) & \longrightarrow & Y(1) & & y_0 & \longmapsto & y_1 & & y'_0 & \longmapsto & y_1
 \end{array}$$

So y_1 is mapped to both x_1 and x'_1 , which is absurd. □

Now we introduce the notion of *well-pointedness*.

Definition 3.2 (Well-pointedness)

A category with a terminal 1 is **well-pointed** if every morphism is determined by its value on global elements in the following sense:

- If $f, g : a \rightarrow b$ are two morphisms such that for all global elements $x : 1 \rightarrow a$ we have $f \circ x = g \circ x$, then $f = g$.

Clearly Set is well-pointed.

Exercise 3.3

Suppose \mathcal{C} is a category with a terminal 1 . Show that the following statements are equivalent.

- Category \mathcal{C} is well-pointed.
- The **global section** functor $\mathcal{E}(1, -) : \mathcal{E} \rightarrow \text{Set}$ is faithful.

Exercise 3.4

Show that $\text{Set}^{\mathbb{N}}$ is not well-pointed.

Exercise 3.5

Show that in a well-pointed category \mathcal{C} , if an object c has only one global element, then $c \cong 1$.

For a topos \mathcal{E} , the closer to being well-pointed it is, the more *extensional* it is. In a topos that is not well-pointed, there might be some objects that are far from being the terminal but has only one global element. For example, in $\text{Set}^{\mathbb{N}}$, any variable set X such that $X(0) = 1$ has only one global element. But if it contains elements that only appear *later*, then it's not the terminal.