

Term Algebras and Equational Reasoning

Signatures and finite terms

Σ : Set of **function symbols** having an **arity** $n \in \mathbb{N}$.

\mathcal{X} : Set of **variables**.

$\mathcal{T}(\mathcal{X}, \Sigma)$: Set of **terms** over \mathcal{X} and Σ :

$$\frac{x \in \mathcal{X}}{x \in \mathcal{T}(\mathcal{X}, \Sigma)} \quad \frac{t_1, \dots, t_n \in \mathcal{T}(\mathcal{X}, \Sigma) \quad f \text{ has arity } n \in \Sigma}{f(t_1, \dots, t_n) \in \mathcal{T}(\mathcal{X}, \Sigma)}$$

We note $\mathit{Var}(t)$ the set of variables of the term t . A term t is **closed** if $\mathit{Var}(t) = \emptyset$.

\mathbb{N}^* : positions over \mathbb{N}

$$\frac{}{\Lambda \in \mathbb{N}^*} \qquad \frac{i \in \mathbb{N} \text{ and } p \in \mathbb{N}^*}{ip \in \mathbb{N}^*}$$

To simplify the notation, we usually write a position by omitting the symbol Λ , e.g. 2 denotes the position 2Λ .

$Pos(t)$: positions of a term t

$$\frac{}{\Lambda \in Pos(t)} \qquad \frac{p \in Pos(t_i) \text{ and } 1 \leq i \leq n}{ip \in Pos(f(t_1, \dots, t_n))}$$

Example

$$Pos(f(g(a, h(b)), x, c)) = \{\Lambda, 1, 2, 3, 11, 12, 121\}$$

The relation \leq_{pref} over positions

Concatenation of positions: $\begin{cases} \Lambda.q & = & q \\ (ip).q & = & i(p.q) \end{cases}$

Comparing positions: $p \leq_{pref} q$ iff $\exists r \in \mathbb{N}^* p.r = q$

Example

1	\leq_{pref}	1211	"1 is smaller than 1211"
231	\geq_{pref}	23	"231 is greater than 23"
12	$\not\leq_{pref}$	2	"12 is parallel to 2" ($12 \not\leq_{pref} 2$ & $2 \not\leq_{pref} 12$)

Sub-terms

$v \trianglelefteq t$: v is a **subterm/subtree** of t :

$$\frac{}{t \trianglelefteq t} \qquad \frac{v \trianglelefteq t_i}{v \trianglelefteq f(t_1, \dots, t_n)}$$

$v \trianglelefteq t$: v is a subterm of t .

$v \triangleleft t$: v is a **strict** subterm of t .

$ST(t)$: All the subterms of t .

Example

$g(x, y) \triangleleft f(g(x, y), a)$ and $a \triangleleft f(g(x, y), a)$ but $f(x, a) \not\triangleleft f(g(x, y), a)$.

Sub-term X at position Y

$t|_p$: subterm of t at position p

$$\frac{}{t|_{\Lambda} = t} \quad \frac{t_i|_q = v}{f(t_1, \dots, t_n)|_{iq} = v}$$

Example

$f(g(a, h(b)), x, c)|_{11} = a$ but $f(g(a, h(b)), x, c)|_{21}$ is not defined.

Exercise : Show that $p.q \in Pos(t)$ implies $t|_{p.q} = (t|_p)|_q$.

Replacement

$t[p//v]$: **replacement** of the subterm $t|_p$ by the term v

- $t[\Lambda//v] = v$
- $f(t_1, \dots, t_n)[ip//v] = f(t_1, \dots, t_i[p//v], \dots, t_n)$

Other notations: $t[v]_p$ or $t[v]$ if p is clear from the context.

Example

$f(h(x, y), a)[12//b] = f(h(x, b), a)$ and $f(h(x, y), a)[1//b] = f(b, a)$.

Exercise : Show the following properties:

- If $p \in Pos(s)$ and $q \in Pos(t)$, then $(s[t]_p)|_{p.q} = t|_q$ and $(s[t]_p)[r]_{p.q} = s[t[r]_q]_p$.
- If $p.q \in Pos(s)$, then $(s[t]_{p.q})|_p = (s|_p)[t]_q$ and $(s[t]_{p.q})[r]_p = s[r]_p$.
- If $p, q \in Pos(s)$ and $p \bowtie q$, then $(s[t]_p)|_q = s|_q$ and $(s[t]_p)[r]_q = (s[r]_q)[t]_p$.

A Σ -algebra \mathcal{A} is defined by two ingredients:

- A non-empty domain \mathbf{A} .
- An interpretation function $f^{\mathcal{A}} : \mathbf{A}^n \mapsto \mathbf{A}$, for each $f/n \in \Sigma$.
- We write $\mathcal{A} = \langle \mathbf{A}, \{f^{\mathcal{A}} : \mathbf{A}^n \mapsto \mathbf{A} \mid f/n \in \Sigma\} \rangle$.

Example

Let $\Sigma = \{b/0, s/1, p/2\}$. We give three different Σ -algebras:

- 1 \mathbf{A} is the set \mathbb{N} , $b^{\mathcal{A}} = 0$, $s^{\mathcal{A}} : n \mapsto n + 1$ and $p^{\mathcal{A}} : (n, m) \mapsto n + m$.
- 2 \mathbf{A} is the set \mathbb{Z} , $b^{\mathcal{A}} = -5$, $s^{\mathcal{A}} : n \mapsto n * 13$ and $p^{\mathcal{A}} : (n, m) \mapsto n * m$.
- 3 **Syntactic Algebra:** \mathbf{A} is the set of all the terms over \mathcal{X} and Σ such that $b^{\mathcal{A}} = b$, $s^{\mathcal{A}} : t \mapsto s(t)$ and $p^{\mathcal{A}} : (t, u) \mapsto p(t, u)$.

Valuations

We use valuations to interpret terms in a Σ -algebra.

Let \mathcal{A} be a Σ -algebra and let \mathcal{X} be a set of variables.

A **\mathcal{A} -valuation** is an application $\sigma : \mathcal{X} \rightarrow \mathcal{A}$.

Definition

Given a \mathcal{A} -valuation $\sigma : \mathcal{X} \rightarrow \mathcal{A}$, we define a function $\widehat{\sigma} : \mathcal{T}(\mathcal{X}, \Sigma) \rightarrow \mathcal{A}$ interpreting arbitrary terms into the Σ -algebra \mathcal{A} as follows:

$$\begin{aligned}\widehat{\sigma}(x) &= \sigma(x) \\ \widehat{\sigma}(f(t_1, \dots, t_n)) &= f^{\mathcal{A}}(\widehat{\sigma}(t_1), \dots, \widehat{\sigma}(t_n))\end{aligned}$$

Remark: By abuse of notation, we usually do not distinguish the **valuation** σ from the **morphism** $\widehat{\sigma}$.

Substitutions are valuations

A **substitution** θ is valuation from \mathcal{X} to the syntactic algebra (the set of all the terms).

Finite substitutions (having a finite domain) are denoted $\theta = \{x_1/t_1, \dots, x_n/t_n\}$.

A **renaming** is an isomorphic substitution.

Example

- $\theta_1 = \{x/y, y/x\}$ and $\theta_2 = \{x/y, y/z, z/w\}$ are renamings.
- Given $t = f(x, g(y))$ and $\theta = \{x/g(a), y/f(x, x)\}$ we have $\theta(t) = f(g(a), g(f(x, x)))$.

Congruence

The symbol $f \in \Sigma$ is **monotonic** w.r.t the relation R iff $a_i R b_i$ implies $f^{\mathcal{A}}(a_1, \dots, a_i, \dots, a_n) R f^{\mathcal{A}}(a_1, \dots, b_i, \dots, a_n)$.

A **congruence** \sim is an equivalence relation (reflexive, symmetric, transitive) for a Σ -algebra \mathcal{A} iff every symbol $f \in \Sigma$ is monotonic w.r.t. \sim .

Example

$\sim = \{(x, y) \mid 4 \text{ divides } x - y\}$ is a congruence.

Notation : \mathcal{A}/\sim is the set of equivalence classes of a \mathcal{A} modulo the congruence \sim . We write $[e]_{\sim}$ to denote the equivalent class of the element $e \in \mathcal{A}$ w.r.t. the congruence \sim .

The quotient algebra

Given a Σ -algebra \mathcal{A} with domain \mathbf{A} , the **quotient algebra** \mathcal{A}^\sim over \mathcal{A} is defined by:

- The domain is \mathbf{A}/\sim
- The Interpretations are $f^{\mathcal{A}^\sim}([a_1], \dots, [a_n]) = [f^{\mathcal{A}}(a_1, \dots, a_n)]$.

Example

Let $\Sigma = \{b/0, suc/1, pred/1, add/2\}$ and let \mathcal{A} be the Σ -algebra given by $\mathbf{A} = \mathbb{Z}$, $b^{\mathcal{A}} = 0$, $suc^{\mathcal{A}}(n) = n + 1$, $pred^{\mathcal{A}}(n) = n - 1$ and $add^{\mathcal{A}}(n, m) = n + m$.

Let $\sim = \{(x, y) \mid 4 \text{ divides } x - y\}$.

We have $\mathbf{A}/\sim = \{[0], [1], [2], [3]\}$, where

$$\begin{aligned}[0] &= \{\dots, -4, 0, 4, 8, \dots\} \\ [1] &= \{\dots, -3, 1, 5, 9, \dots\} \\ [2] &= \{\dots, -6, -2, 2, 6, 10, \dots\} \\ [3] &= \{\dots, -5, -1, 3, 7, \dots\}\end{aligned}$$

We have $b^{\mathcal{A}^\sim} = [0]$, $suc^{\mathcal{A}^\sim}([n]) = [n + 1]$, $pred^{\mathcal{A}^\sim}([n]) = [n - 1]$ and $add^{\mathcal{A}^\sim}([n], [m]) = [n + m]$.

\mathcal{A} -valuations vs \mathcal{A}^\sim -valuations

- Given a \mathcal{A} -valuation σ , we can always construct **the** \mathcal{A}^\sim -valuation τ given by $\tau(x) = [\sigma(x)]_\sim$. We usually write $\tau = \sigma_\sim$.
- Given a \mathcal{A}^\sim -valuation τ , we can always construct **a** \mathcal{A} -valuation σ s.t. $\tau(x) = [\sigma(x)]_\sim$. This means that we choose an element e in the equivalence class $\tau(x)$ and then we define $\sigma(x) = e$.

Homomorphism, endomorphism, isomorphism

Let \mathcal{A} and \mathcal{B} be two Σ -algebras. A **morphism** is a function $\Phi : \mathcal{A} \rightarrow \mathcal{B}$ s.t. for all $n \geq 0$, for all $f/n \in \Sigma$ and for all $a_1, \dots, a_n \in \mathbf{A}$ we have

$$\Phi(f^{\mathcal{A}}(a_1, \dots, a_n)) = f^{\mathcal{B}}(\Phi(a_1), \dots, \Phi(a_n))$$

An **endomorphism** over a Σ -algebra \mathcal{A} is a morphism from \mathcal{A} to itself. An **isomorphism** is a bijective morphism.

Theorem

For every \mathcal{A} -valuation $\sigma : \mathcal{X} \rightarrow \mathcal{A}$, there is a **unique morphism** $\widehat{\sigma} : \mathcal{T}(\mathcal{X}, \Sigma) \rightarrow \mathcal{A}$, s.t.

$$\begin{aligned}\widehat{\sigma}(x) &= \sigma(x) \\ \widehat{\sigma}(f(t_1, \dots, t_n)) &= f^{\mathcal{A}}(\widehat{\sigma}(t_1), \dots, \widehat{\sigma}(t_n))\end{aligned}$$

$\widehat{\sigma}$ is the function that we have defined so far to interpret arbitrary terms in a Σ -algebra.

Exercise : Let $\Sigma = \{a/0, s/1, g/1, h/2\}$. Define a Σ -algebra \mathcal{B} and a morphism Φ between the syntactic Σ -algebra and \mathcal{B} .

Let \mathcal{B} be the Σ -algebra defined by:

- The domain $\mathbf{B} = \{n \in \mathbb{N} \mid n \geq 2\}$
- The interpretations:

$$\begin{array}{ll} a^{\mathcal{B}} & = 2 \\ s^{\mathcal{B}}(t) & = t \end{array} \qquad \begin{array}{ll} g^{\mathcal{B}}(t) & = t + 1 \\ h^{\mathcal{B}}(u, t) & = u + t \end{array}$$

Let Φ be the following function:

$$\begin{array}{ll} \Phi(a) & = 2 \\ \Phi(s(t)) & = \Phi(t) \end{array} \qquad \begin{array}{ll} \Phi(g(t)) & = \Phi(t) + 1 \\ \Phi(h(u, t)) & = \Phi(u) + \Phi(t) \end{array}$$

One verifies $\Phi(f^{\mathcal{A}}(t_1, \dots, t_n)) = f^{\mathcal{B}}(\Phi(t_1), \dots, \Phi(t_n))$ for every f/n in Σ .

Semantical equational reasoning

A Σ -equation is a pair of terms denoted $s \doteq t$.

Definition

Let \mathcal{A} be a Σ -algebra.

- \mathcal{A} is a **model** of **an equation** $s \doteq t$, written $\mathcal{A} \models s \doteq t$, iff the equality $\widehat{\sigma}(s) = \widehat{\sigma}(t)$ holds for every \mathcal{A} -valuation σ .
- \mathcal{A} is a **model** of a **set of Σ -equations** \mathcal{E} , written $\mathcal{A} \models \mathcal{E}$, iff \mathcal{A} is a model of every equation in \mathcal{E} .

Example

The first Σ -algebra on slide (Σ -algebras) is a model of the equation $p(x, y) \doteq p(y, x)$.

What about the second and the third?

Properties of semantical equational reasoning

- $\mathcal{A} \models s \doteq s$.
- If $\mathcal{A} \models s \doteq t$, then $\mathcal{A} \models t \doteq s$.
- If $\mathcal{A} \models s \doteq t$ and $\mathcal{A} \models t \doteq u$, then $\mathcal{A} \models s \doteq u$.
- If $\mathcal{A} \models s \doteq t$, then $\forall u \forall p \in Pos(u), \mathcal{A} \models u[s]_p \doteq u[t]_p$.

Proof.

By induction on u . □

- If $\mathcal{A} \models s \doteq t$, then $\mathcal{A} \models \theta(s) \doteq \theta(t)$, for every substitution θ .

Proof.

We want to prove $\widehat{\sigma}(\theta(s)) = \widehat{\sigma}(\theta(t))$ for every \mathcal{A} -valuation σ , so that let us take an arbitrary \mathcal{A} -valuation σ . Let τ_σ be the \mathcal{A} -valuation given by $\tau_\sigma(x) = \widehat{\sigma}(\theta(x))$. We first show by induction on u that $\widehat{\tau_\sigma}(u) = \widehat{\sigma}(\theta(u))$ (easy). Now, $\mathcal{A} \models s \doteq t$ implies $\widehat{\tau}(s) = \widehat{\tau}(t)$ for every \mathcal{A} -valuation τ , so that in particular for τ_σ . Thus, $\widehat{\tau_\sigma}(s) = \widehat{\sigma}(\theta(s)) = \widehat{\sigma}(\theta(t)) = \widehat{\tau_\sigma}(t)$. □

Definition

The equation $s \doteq t$ is a **semantic consequence** of a set of equations \mathcal{E} , written $\mathcal{E} \models s \doteq t$, iff every model of \mathcal{E} is also a model of $s \doteq t$ iff for every Σ -algebra \mathcal{A} , $\mathcal{A} \models \mathcal{E}$ implies $\mathcal{A} \models s \doteq t$.

Syntactic rules for equational reasoning

$$\frac{s \doteq t \in \mathcal{E}}{s \doteq t} \quad (\text{axiom}) \qquad \frac{}{s \doteq s} \quad (\text{reflexivity})$$

$$\frac{s \doteq t}{t \doteq s} \quad (\text{symmetry}) \qquad \frac{s \doteq t \quad t \doteq u}{s \doteq u} \quad (\text{transitivity})$$

$$\frac{s \doteq t}{\theta(s) \doteq \theta(t)} \quad (\text{substitution}) \qquad \frac{s \doteq t}{u[s]_p \doteq u[t]_p} \quad (\text{context})$$

Derivation of $s \doteq t$ from the set \mathcal{E} (which gives a tree) is denoted by $\mathcal{E} \vdash s \doteq t$.

Example

Let $\mathcal{E} = \{0 + z \doteq z, s(y) + x \doteq s(y + x)\}$. Let us use the notations $\underline{3} = s(s(s(0)))$ and $\underline{4} = s(s(s(s(0))))$.

We derive $s(0) + \underline{3} \doteq \underline{4}$ from \mathcal{E} as follows:

$$\frac{\frac{\frac{s(y) + x \doteq s(y + x) \in \mathcal{E}}{\text{(axiom)}}}{s(y) + x \doteq s(y + x)} \text{(substitution)}}{s(0) + \underline{3} \doteq s(0 + \underline{3})} \text{(substitution)} \quad \frac{\frac{\frac{0 + z \doteq z \in \mathcal{E}}{\text{(axiom)}}}{0 + z \doteq z} \text{(substitution)}}{0 + \underline{3} \doteq \underline{3}} \text{(context)}}{s(0 + \underline{3}) \doteq s(\underline{3})} \text{(context)} \text{(transitivity)}$$
$$s(0) + \underline{3} \doteq s(\underline{3})$$

The relation $\leftrightarrow_{\mathcal{E}}^*$

$$\frac{s \doteq t \in \mathcal{E}}{\theta(s) \leftrightarrow_{\mathcal{E}} \theta(t)}$$

$$\frac{s \doteq t \in \mathcal{E}}{\theta(t) \leftrightarrow_{\mathcal{E}} \theta(s)}$$

$$\frac{s \leftrightarrow_{\mathcal{E}} t}{u[s]_p \leftrightarrow_{\mathcal{E}} u[t]_p}$$

$\leftrightarrow_{\mathcal{E}}^*$ is the reflexive-transitive closure of $\leftrightarrow_{\mathcal{E}}$.

Exercise :

- 1 $\leftrightarrow_{\mathcal{E}}^*$ is stable by substitution.
- 2 $\leftrightarrow_{\mathcal{E}}^*$ is an equivalence relation.
- 3 $\leftrightarrow_{\mathcal{E}}^*$ is a congruence over $\mathcal{T}(\mathcal{X}, \Sigma)$.

Exercise : $\mathcal{E} \vdash s \doteq t$ if and only if $s \leftrightarrow_{\mathcal{E}}^* t$.

Proof.

Left-Right: by induction on derivation of $\mathcal{E} \vdash s \doteq t$.

Right-Left: by induction on the length of $\leftrightarrow_{\mathcal{E}}^*$.



Substitution Lemma

Lemma

Let σ be any \mathcal{A} -valuation, and let τ be the \mathcal{A}^\sim -valuation defined by $\tau : x \mapsto [\sigma(x)]_\sim$. Then $\widehat{\tau}(t) = [\widehat{\sigma}(t)]_\sim$ for every term t .

Proof.

By induction on t .

- For $t = x$ the property holds by definition.
- For $t = f(t_1, \dots, t_n)$, we have

$$\begin{aligned} \widehat{\tau}(f(t_1, \dots, t_n)) &= f^{\mathcal{A}^\sim}(\widehat{\tau}(t_1), \dots, \widehat{\tau}(t_n)) &&=_{h.r} \\ f^{\mathcal{A}^\sim}([\widehat{\sigma}(t_1)]_\sim, \dots, [\widehat{\sigma}(t_n)]_\sim) &=_{def} [f^{\mathcal{A}}(\widehat{\sigma}(t_1), \dots, \widehat{\sigma}(t_n))]_\sim &&= \\ [\widehat{\sigma}(t)]_\sim &= && \end{aligned}$$

□

A particular case of this Lemma is given when σ is a substitution and τ a $\mathcal{T}(\mathcal{X}, \Sigma)^{\leftrightarrow_\varepsilon^*}$ -valuation.

An even more particular case is when σ is the *id* substitution so that $\widehat{\tau}(t) = [t]_{\leftrightarrow_\varepsilon^*}$.

$\mathcal{T}(\mathcal{X}, \Sigma) \leftrightarrow_{\mathcal{E}}^*$ as a model

Theorem

$\mathcal{T}(\mathcal{X}, \Sigma) \leftrightarrow_{\mathcal{E}}^*$ as a model of \mathcal{E} .

Proof.

Take any equation $s \doteq t \in \mathcal{E}$. Take any $\mathcal{T}(\mathcal{X}, \Sigma) \leftrightarrow_{\mathcal{E}}^*$ -valuation τ . By previous remark we can construct a $\mathcal{T}(\mathcal{X}, \Sigma)$ -valuation σ (which is a substitution in this case) such that $\tau(x) = [\sigma(x)]_{\leftrightarrow_{\mathcal{E}}^*}$. The substitution lemma guarantees that $\widehat{\tau}(t) = [\widehat{\sigma}(t)]_{\leftrightarrow_{\mathcal{E}}^*}$ for every term t . Now, $s \doteq t \in \mathcal{E}$ implies (by def)

$\mathcal{E} \vdash s \doteq t$ iff (previous exercise) $s \leftrightarrow_{\mathcal{E}}^* t$ implies ($\leftrightarrow_{\mathcal{E}}^*$ is stable by substitution)

$\widehat{\sigma}(s) \leftrightarrow_{\mathcal{E}}^* \widehat{\sigma}(t)$ iff (by def) $[\widehat{\sigma}(s)]_{\leftrightarrow_{\mathcal{E}}^*} = [\widehat{\sigma}(t)]_{\leftrightarrow_{\mathcal{E}}^*}$ iff (Subst. Lemma) $\widehat{\tau}(s) = \widehat{\tau}(t)$.

Since any $\mathcal{T}(\mathcal{X}, \Sigma) \leftrightarrow_{\mathcal{E}}^*$ -valuation τ satisfies the equations \mathcal{E} : $\mathcal{T}(\mathcal{X}, \Sigma) \leftrightarrow_{\mathcal{E}}^*$ is a model of \mathcal{E} . \square

Birkhoff's Theorem (1933)

Let \mathcal{E} be a set of Σ -equations.

- **(Soundness)** If $\mathcal{E} \vdash s \doteq t$, then $\mathcal{E} \models s \doteq t$.

Proof.

By induction on $\mathcal{E} \vdash s \doteq t$ using the properties of semantical equational reasoning. □

- **(Completeness)** If $\mathcal{E} \models s \doteq t$, then $\mathcal{E} \vdash s \doteq t$.

Proof.

If $\mathcal{E} \models s \doteq t$, then every model of \mathcal{E} is a model of $s \doteq t$. Since $\mathcal{T}(\mathcal{X}, \Sigma)^{\leftrightarrow_{\mathcal{E}}^*}$ is a model of \mathcal{E} (previous theorem), then in particular $\mathcal{T}(\mathcal{X}, \Sigma)^{\leftrightarrow_{\mathcal{E}}^*} \models s \doteq t$.

This means that $\widehat{\tau}(s) = \widehat{\tau}(t)$ for every $\mathcal{T}(\mathcal{X}, \Sigma)^{\leftrightarrow_{\mathcal{E}}^*}$ -valuation τ , so in particular for $\tau_{id} : x \mapsto [id(x)]_{\leftrightarrow_{\mathcal{E}}^*}$. Thus, $\widehat{\tau_{id}}(s) = \widehat{\tau_{id}}(t)$.

By the Substitution Lemma $\widehat{\tau_{id}}(s) = [\widehat{id}(s)]_{\leftrightarrow_{\mathcal{E}}^*}$ and $\widehat{\tau_{id}}(t) = [\widehat{id}(t)]_{\leftrightarrow_{\mathcal{E}}^*}$, thus

$[\widehat{id}(s)]_{\leftrightarrow_{\mathcal{E}}^*} = [s]_{\leftrightarrow_{\mathcal{E}}^*} = [t]_{\leftrightarrow_{\mathcal{E}}^*} = [\widehat{id}(t)]_{\leftrightarrow_{\mathcal{E}}^*}$ which means $s \leftrightarrow_{\mathcal{E}}^* t$. We conclude $\mathcal{E} \vdash s \doteq t$. □