

Rewriting

Part 2. Terms, Substitutions, Identities, Semantics

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Purpose of the Lecture

- ▶ Introduce syntactic notions:
 - ▶ Terms
 - ▶ Substitutions
 - ▶ Identities
- ▶ Define semantics.
- ▶ Establish connections between syntax and semantics.



Syntax

Semantics



Syntax

- ▶ Alphabet
- ▶ Terms



Alphabet

A first-order alphabet consists of the following sets of symbols:

- ▶ A countable set of variables \mathcal{V} .
- ▶ For each $n \geq 0$, a set of n -ary function symbols \mathcal{F}^n .
- ▶ Elements of \mathcal{F}^0 are called constants.
- ▶ Signature: $\mathcal{F} = \cup_{n \geq 0} \mathcal{F}^n$.
- ▶ $\mathcal{V} \cap \mathcal{F} = \emptyset$.



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Notation:

- ▶ x, y, z for variables.
- ▶ f, g for function symbols.
- ▶ a, b, c for constants.



Terms

Definition 2.1

The set of terms $T(\mathcal{F}, \mathcal{V})$ over \mathcal{F} and \mathcal{V} :

- ▶ $\mathcal{V} \subseteq T(\mathcal{F}, \mathcal{V})$ (every variable is a term).
- ▶ For all $t_1, \dots, t_n \in T(\mathcal{F}, \mathcal{V})$ and $f \in \mathcal{F}^n$ and $n \geq 0$, we have $f(t_1, \dots, t_n) \in T(\mathcal{F}, \mathcal{V})$
(application of function symbols to terms yields a term).



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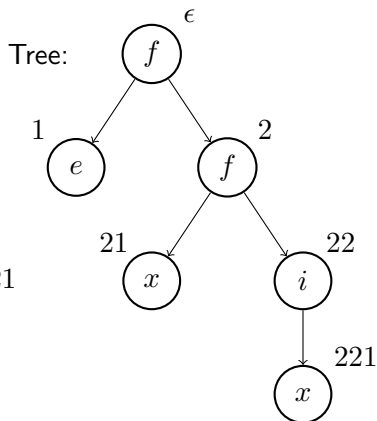
Example:

- ▶ $e \in \mathcal{F}^0, i \in \mathcal{F}^1, f \in \mathcal{F}^2$.
- ▶ $f(e, f(x, i(x))) \in T(\mathcal{F}, \mathcal{V})$.



Tree Representation of Terms

Term: $f(e, f(x, i(x)))$



Positions: $\epsilon, 1, 2, 21, 22, 221$

Positions

Definition 2.2

Let $t \in T(\mathcal{F}, \mathcal{V})$. The **set of positions** of t , $\mathcal{Pos}(t)$, is a set of strings of positive integers, defined as follows:

- ▶ If $t = x$, then $\mathcal{Pos}(t) := \{\epsilon\}$,
- ▶ If $t = f(t_1, \dots, t_n)$, then

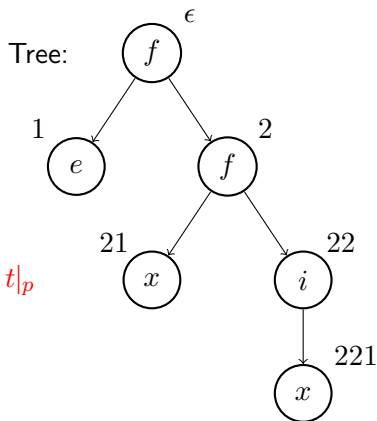
$$\mathcal{Pos}(t) := \{\epsilon\} \cup \{ip \mid 1 \leq i \leq n, p \in \mathcal{Pos}(t_i)\}.$$

- ▶ Prefix ordering on positions: $p \leq q$ iff $pp' = q$ for some p' .



More Notions about Terms

Term: $t = f(e, f(x, i(x)))$



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

$$t|_2 = f(x, i(x))$$

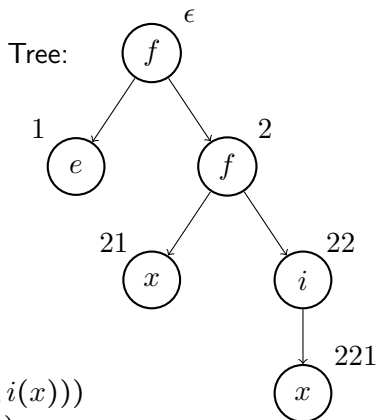
$$t|_{21} = x$$

$$t|_{22} = i(x)$$



More Notions about Terms

Term: $t = f(e, f(x, i(x)))$



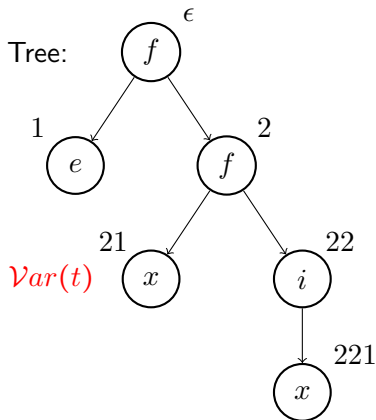
Replacing a subterm
at position p by s : $t[s]_p$

$$\begin{aligned} t[a]_{\epsilon} &= a \\ t[g(a, a)]_{21} &= f(e, f(g(a, a), i(x))) \\ t[i(y)]_{22} &= f(e, f(x, i(y))) \end{aligned}$$



More Notions about Terms

Term: $t = f(e, f(x, i(x)))$



A set of variables occurring in t : $\mathcal{V}ar(t)$

$$\mathcal{V}ar(t) = \{x\}$$

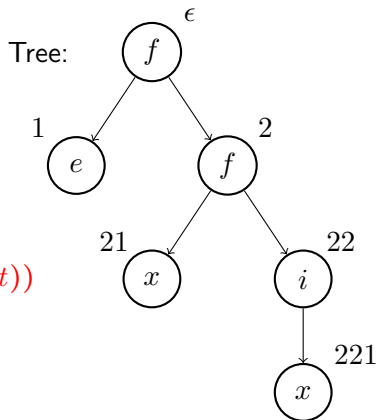
$$\mathcal{V}ar(t[a]_2) = \emptyset$$

$$\mathcal{V}ar(t|_{22}) = \{x\}$$



More Notions about Terms

Term: $t = f(e, f(x, i(x)))$



A size of t : $|t| = \text{card}(\text{Pos}(t))$

$$|t| = 6$$

$$|t[a]_2| = 3$$

$$|t|_{22} = 2$$



More Notions about Terms

- ▶ **Ground term:** A term without occurrences of variables.
- ▶ Ground t : $\mathit{Var}(t) = \emptyset$.
- ▶ $T(\mathcal{F})$: The set of all ground terms over \mathcal{F} .



Substitutions

- ▶ A $T(\mathcal{F}, \mathcal{V})$ -**substitution**: A function $\sigma : \mathcal{V} \rightarrow T(\mathcal{F}, \mathcal{V})$, whose **domain**

$$\text{Dom}(\sigma) := \{x \mid \sigma(x) \neq x\}$$

is finite.



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- ▶ Notation: lower case Greek letters $\sigma, \vartheta, \varphi, \psi, \dots$
Identity substitution: ε .



Substitutions

- ▶ Notation: If $\text{Dom}(\sigma) = \{x_1, \dots, x_n\}$, then σ can be written as the set

$$\{x_1 \mapsto \sigma(x_1), \dots, x_n \mapsto \sigma(x_n)\}.$$

- ▶ Example:

$$\{x \mapsto i(y), y \mapsto e\}.$$



Substitutions

- ▶ The substitution σ can be extended to a mapping

$$\sigma : T(\mathcal{F}, \mathcal{V}) \rightarrow T(\mathcal{F}, \mathcal{V})$$

by induction:

$$\sigma(f(t_1, \dots, t_n)) = f(\sigma(t_1), \dots, \sigma(t_n)).$$



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$$\sigma = \{x \mapsto i(y), y \mapsto e\}.$$

$$t = f(y, f(x, y))$$

$$\sigma(t) = f(e, f(i(y), e))$$



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- ▶ *Sub* : The set of substitutions.



More Notions about Substitutions

- ▶ **Composition** of ϑ and σ :

$$\sigma\vartheta(x) := \sigma(\vartheta(x)).$$

- ▶ Composition of two substitutions is again a substitution.
- ▶ Composition is associative but not commutative.



More Notions about Substitutions

Algorithm for obtaining a set representation of a composition of two substitutions in a set form.

▶ Given:

$$\theta = \{x_1 \mapsto t_1, \dots, x_n \mapsto t_n\}$$

$$\sigma = \{y_1 \mapsto s_1, \dots, y_m \mapsto s_m\},$$

the set representation of their composition $\theta\sigma$ is obtained from the set

$$\{x_1 \mapsto \sigma(t_1), \dots, x_n \mapsto \sigma(t_n), y_1 \mapsto s_1, \dots, y_m \mapsto s_m\}$$

by deleting

- ▶ all $y_i \mapsto s_i$'s with $y_i \in \{x_1, \dots, x_n\}$,
- ▶ all $x_i \mapsto \sigma(t_i)$'s with $x_i = \sigma(t_i)$.



More Notions about Substitutions

Example 2.1 (Composition)

$$\theta = \{x \mapsto f(y), y \mapsto z\}.$$

$$\sigma = \{x \mapsto a, y \mapsto b, z \mapsto y\}.$$

$$\sigma\theta = \{x \mapsto f(b), z \mapsto y\}.$$



More Notions about Substitutions

- ▶ t is an **instance** of s iff there exists a σ such that

$$\sigma(s) = t.$$

- ▶ Notation: $t \succeq s$ (or $s \preceq t$).
- ▶ Reads: t is more specific than s , or s is more general than t .
- ▶ \succeq is a quasi-order.
- ▶ Strict part: $>$.



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- ▶ \succeq is a quasi-order.
- ▶ Strict part: $>$.
- ▶ Example: $f(e, f(i(y), e)) \succeq f(y, f(x, y))$, because

$$\sigma(f(y, f(x, y))) = f(e, f(i(y), e))$$

for $\sigma = \{x \mapsto i(y), y \mapsto e\}$



Identities

- ▶ An **identity** over $T(\mathcal{F}, \mathcal{V})$: a pair $(s, t) \in T(\mathcal{F}, \mathcal{V}) \times T(\mathcal{F}, \mathcal{V})$.
- ▶ Written: $s \approx t$.
- ▶ s – left hand side, t – right hand side.



Identities

- ▶ Given a set E of identities.
- ▶ The **reduction relation** $\rightarrow_E \subseteq T(\mathcal{F}, \mathcal{V}) \times T(\mathcal{F}, \mathcal{V})$:

$s \rightarrow_E t$ iff

there exist $(l, r) \in E$, $p \in \mathcal{P}os(s)$, $\sigma \in \mathcal{S}ub$
such that $s|_p = \sigma(l)$ and $t = s[\sigma(r)]_p$

- ▶ Sometimes written $s \rightarrow_E^p t$.



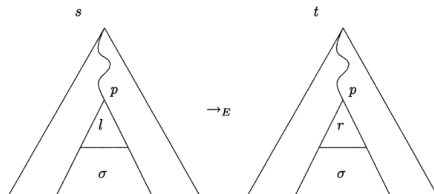
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Identities

Example 2.2

- ▶ Let G be the set of identities consisting of

(1) $f(x, f(y, z)) \approx f(f(x, y), z)$

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$$f(i(e), f(e, e))$$



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$$\begin{aligned} & f(i(e), f(e, e)) \\ \rightarrow_G^\epsilon & f(f(i(e), e), e) \quad [(1), \sigma_1 = \{x \mapsto i(e), y \mapsto e, z \mapsto e\}] \end{aligned}$$



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$$f(i(e), f(e, e))$$

$$\xrightarrow{\epsilon}_G f(f(i(e), e), e) \quad [(1), \sigma_1 = \{x \mapsto i(e), y \mapsto e, z \mapsto e\}]$$

$$\xrightarrow{1}_G f(e, e) \quad [(3), \sigma_2 = \{x \mapsto e\}]$$



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$$\rightarrow_G^{\epsilon} f(f(i(e), e), e) \quad [(1), \sigma_1 = \{x \mapsto i(e), y \mapsto e, z \mapsto e\}]$$

$$\rightarrow_G^1 f(e, e) \quad [(3), \sigma_2 = \{x \mapsto e\}]$$

$$\rightarrow_G^{\epsilon} e \quad [(2), \sigma_3 = \{x \mapsto e\}]$$



Identities

- ▶ \rightarrow_E^* : Reflexive transitive closure of \rightarrow_E .
- ▶ \leftrightarrow_E^* : Reflexive transitive symmetric closure of \rightarrow_E .
- ▶ An important problem of equational reasoning:
Design decision procedures for \leftrightarrow_E^* .



Characterizations of \leftrightarrow^*_E

- ▶ Syntactic characterization
- ▶ Semantic characterization.



Syntactic characterization of \leftrightarrow_E^*

\equiv : A binary relation on $T(\mathcal{F}, \mathcal{V})$.

- ▶ \equiv is **closed under substitutions** iff
 $s \equiv t$ implies $\sigma(s) \equiv \sigma(t)$ for all s, t, σ .



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▶ \equiv is **closed under \mathcal{F} -operations** iff

$s_1 \equiv t_1, \dots, s_n \equiv t_n$ imply $f(s_1, \dots, s_n) \equiv f(t_1, \dots, t_n)$
for all $s_1, \dots, s_n, t_1, \dots, t_n, n \geq 0, f \in \mathcal{F}^n$.



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- ▶ \equiv is **compatible with \mathcal{F} -operations** iff $s \equiv t$ implies

$f(s_1, \dots, s_{i-1}, s, s_{i+1}, \dots, s_n) \equiv f(s_1, \dots, s_{i-1}, t, s_{i+1}, \dots, s_n)$

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- ▶ \equiv is **compatible with \mathcal{F} -contexts** iff $s \equiv t$ implies $r[s]_p \equiv r[t]_p$
for all \mathcal{F} -terms r and positions $p \in Pos(r)$.



Syntactic characterization of \leftrightarrow_E^*

Lemma 2.1

Let E be a set of \mathcal{F} -identities. Then \rightarrow_E is closed under substitutions and compatible with \mathcal{F} -operations.

Proof.

Follows from the definition of \rightarrow_E . □



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Lemma 2.2

Let \equiv be a binary relation on $T(\mathcal{F}, \mathcal{V})$. Then \equiv is compatible with \mathcal{F} -operations iff it is compatible with \mathcal{F} -contexts.

Proof.

The (\Rightarrow) direction can be proved by induction on the length of the position p in the context. The (\Leftarrow) direction is obvious. □



Syntactic characterization of \leftrightarrow_E^*

Lemma 2.3

Let \equiv be a binary relation on $T(\mathcal{F}, \mathcal{V})$. If \equiv is reflexive and transitive, then it is compatible with \mathcal{F} -operations iff it is closed under \mathcal{F} -operations.



Syntactic characterization of \leftrightarrow_E^*

Lemma 2.3

Let \equiv be a binary relation on $T(\mathcal{F}, \mathcal{V})$. If \equiv is reflexive and transitive, then it is compatible with \mathcal{F} -operations iff it is closed under \mathcal{F} -operations.

Proof.

(\Rightarrow) Assume $s_i \equiv t_i$ for all $1 \leq i \leq n$. By compatibility we have

$$f(s_1, s_2, \dots, s_n) \equiv f(t_1, s_2, \dots, s_n)$$

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...

$$f(t_1, t_2, \dots, s_n) \equiv f(t_1, t_2, \dots, t_n)$$

Transitivity of \equiv implies $f(s_1, \dots, s_n) \equiv f(t_1, \dots, t_n)$.

(\Rightarrow) Using reflexivity of \equiv .

Syntactic characterization of \leftrightarrow_E^*

Theorem 2.1

Let E be a set of identities. \leftrightarrow_E^* is the smallest equivalence relation on $T(\mathcal{F}, \mathcal{V})$ that

- (a) contains E ,
- (b) is closed under substitutions, and
- (c) is closed under \mathcal{F} -operations.

Proof.

\leftrightarrow_E^* is an equivalence relation by definition.



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- (a) Obvious.



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Proof (Cont.)

- (b) Assume $s \leftrightarrow_E^* t$. Prove $\sigma(s) \leftrightarrow_E^* \sigma(t)$ for a σ by induction on the length of \leftrightarrow_E^* chain.



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IS: Let $s \leftrightarrow_E^* t \leftrightarrow_E t'$. By case distinction on \leftrightarrow_E .

▸ $t \rightarrow_E t'$: By IH: $\sigma(s) \leftrightarrow_E^* \sigma(t)$.

$t \rightarrow_E t' \Rightarrow \sigma(t) \rightarrow_E \sigma(t') \Rightarrow \sigma(t) \leftrightarrow_E^* \sigma(t')$.

By transitivity of \leftrightarrow_E^* : $\sigma(s) \leftrightarrow_E^* \sigma(t')$.



Syntactic characterization of \leftrightarrow_E^*

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Let E be a set of identities. \leftrightarrow_E^* is the smallest equivalence relation on $T(\mathcal{F}, \mathcal{V})$ that

- (a) contains E ,
- (b) is closed under substitutions, and
- (c) is closed under \mathcal{F} -operations.

Proof (Cont.)

(b) Assume $s \leftrightarrow_E^* t$. Prove $\sigma(s) \leftrightarrow_E^* \sigma(t)$ for a σ by induction on the length of \leftrightarrow_E^* chain. IB $s = t$: Obvious. IH for $s \leftrightarrow_E^* t$.

IS: Let $s \leftrightarrow_E^* t \leftrightarrow_E t'$. By case distinction on \leftrightarrow_E .

- ▶ $t \rightarrow_E t'$: By IH: $\sigma(s) \leftrightarrow_E^* \sigma(t)$.
 $t \rightarrow_E t' \Rightarrow \sigma(t) \rightarrow_E \sigma(t') \Rightarrow \sigma(t) \leftrightarrow_E^* \sigma(t')$.
By transitivity of \leftrightarrow_E^* : $\sigma(s) \leftrightarrow_E^* \sigma(t')$.
- ▶ $t' \rightarrow_E t$. Similar to the previous item.

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 - \leftrightarrow_E^* is reflexive and transitive and compatible with \mathcal{F} -operations (because \rightarrow_E is).



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- (c)
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 - ▶ By Lemma 2.3, \leftrightarrow_E^* is closed under \mathcal{F} -operations.



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Proof (Cont.)

Prove that \leftrightarrow_E^* is the smallest such relation. Take another equivalence relation \equiv on $T(\mathcal{F}, \mathcal{V})$ which satisfies (a), (b), (c).

Prove that $\leftrightarrow_E^* \subseteq \equiv$.



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Prove that $\leftrightarrow_E^* \subseteq \equiv$.

- ▶ First, prove $\rightarrow_E \subseteq \equiv$.
- ▶ Let $s \rightarrow_E t$. It implies that there exist $(l, r) \in E$, $p \in \text{Pos}(s)$, and σ such that $s|_p = \sigma(l)$, $t = s[\sigma(r)]_p$.



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Proof (Cont.)

- ▶ $E \subseteq \equiv \Rightarrow l \equiv r \Rightarrow \sigma(l) \equiv \sigma(r)$.



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- ▶ $E \subseteq \equiv \Rightarrow l \equiv r \Rightarrow \sigma(l) \equiv \sigma(r)$.
- ▶ \equiv is reflexive and closed under \mathcal{F} -operations. By Lemma 2.3, \equiv is compatible with \mathcal{F} -operations.



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Proof (Cont.)

- ▶ By Lemma 2.2, \equiv is compatible with contexts: $\sigma(l) \equiv \sigma(r)$ implies $u[\sigma(l)]_{pos} \equiv u[\sigma(r)]_{pos}$ for all $u, pos \in \mathcal{Pos}(u)$, σ .



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- ▶ In particular, $s = s[\sigma(l)]_p \equiv t[\sigma(r)]_p = t$.
- ▶ Hence, $s \equiv t$ and $\rightarrow_E \subseteq \equiv$.



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Proof (Finished).

- ▶ $\rightarrow_E \subseteq \equiv$ implies $\leftrightarrow_E^* \subseteq \equiv$, because, by definition, \leftrightarrow_E^* is the smallest equivalence relation containing \rightarrow_E .



Equational Logic

Inference rules:

$$\frac{s \approx t \in E}{F \vdash s \approx t}$$

$$\frac{}{E \vdash s \approx s}$$

$$\frac{E \vdash s \approx t}{E \vdash t \approx s}$$

$$\frac{E \vdash s \approx t \quad E \vdash t \approx r}{E \vdash s \approx r}$$

$$\frac{E \vdash s \approx t}{E \vdash \sigma(s) \approx \sigma(t)}$$

$$\frac{E \vdash s_1 \approx t_1 \quad \dots \quad E \vdash s_n \approx t_n}{E \vdash f(s_1, \dots, s_n) \approx f(t_1, \dots, t_n)}$$

$E \vdash s \approx t$: $s \approx t$ is a **syntactic consequence** of E , or $s \approx t$ is **provable** from E .



Equational Logic

Example 2.3

- ▶ Let $E = \{a \approx b, f(x) \approx g(x)\}$.
- ▶ Prove $E \vdash g(b) \approx f(a)$.

Proof:

$$\frac{\frac{E \vdash a \approx b}{E \vdash f(a) \approx f(b)} \text{ (Func. closure)} \quad \frac{E \vdash f(x) \approx g(x)}{E \vdash f(b) \approx g(b)} \text{ (Subst. inst.)}}{E \vdash f(a) \approx g(b)} \text{ (Transitivity)}$$
$$\frac{E \vdash f(a) \approx g(b)}{E \vdash g(b) \approx f(a)} \text{ (Symmetry)}$$



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Compare with the derivation of $g(b) \stackrel{*}{\leftrightarrow}_E f(a)$:

$$g(b) \leftrightarrow_E g(a) \leftrightarrow_E f(a)$$



Convertibility and Provability

Theorem 2.2 (Logicity)

For all E, s, t ,

$$s \leftrightarrow_E^* t \text{ iff } E \vdash s \approx t.$$

Proof.

Follows from Theorem 2.1. □



Convertibility and Provability

Differences in behavior:

1. The rewriting approach \leftrightarrow_E^* allows the replacement of a subterm at an arbitrary position in a single step; The inference rule approach $E \vdash$ needs to simulate this with a sequence of small steps.
2. The inference rule approach allows the simultaneous replacement in each argument of an operation; The rewriting approach needs to simulate this by a number of replacement steps in sequence.



Syntax

Semantics



Semantic Algebras

- ▶ \mathcal{F} -algebra $\mathcal{A} = (A, \{f_{\mathcal{A}}\}_{f \in \mathcal{F}})$.
- ▶ A is a nonempty set, the **carrier**.
- ▶ $f_{\mathcal{A}} : A^n \rightarrow A$ is an **interpretation** for $f \in \mathcal{F}^n$.



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Example 2.4

Two $\{0, s, +\}$ -algebras:

$\mathcal{A} = (\mathbb{N}, \{0_{\mathcal{A}}, s_{\mathcal{A}}, +_{\mathcal{A}}\})$ with $0_{\mathcal{A}} = 0$, $s_{\mathcal{A}}(x) = x + 1$, $+_{\mathcal{A}}(x, y) = x + y$.

$\mathcal{B} = (\mathbb{N}, \{0_{\mathcal{B}}, s_{\mathcal{B}}, +_{\mathcal{B}}\})$ with $0_{\mathcal{B}} = 1$, $s_{\mathcal{B}}(x) = x + 1$, $+_{\mathcal{B}}(x, y) = 2x + y$.



Variable Assignment, Interpretation Function

- ▶ **Variable assignment:** $\alpha : \mathcal{V} \rightarrow A$
- ▶ **Interpretation function:** $[\alpha]_{\mathcal{A}}(\cdot) : T(\mathcal{F}, \mathcal{V}) \rightarrow A$

$$[\alpha]_{\mathcal{A}}(t) = \begin{cases} \alpha(t) & \text{if } t \in \mathcal{V} \\ f_{\mathcal{A}}([\alpha]_{\mathcal{A}}(t_1), \dots, [\alpha]_{\mathcal{A}}(t_n)) & \text{if } t = f(t_1, \dots, t_n) \end{cases}$$



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Example 2.5

$\mathcal{A} = (\mathbb{N}, \{0_{\mathcal{A}}, s_{\mathcal{A}}, +_{\mathcal{A}}\})$ with $0_{\mathcal{A}} = 0$, $s_{\mathcal{A}}(x) = x + 1$, $+_{\mathcal{A}}(x, y) = x + y$.

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$t = s(s(x)) + s(x + y)$, $\alpha(x) = 2$, $\alpha(y) = 3$, $\beta(x) = 1$, $\beta(y) = 4$.

$$[\alpha]_{\mathcal{A}}(t) = 10 \quad [\beta]_{\mathcal{A}}(t) = 9$$

$$[\alpha]_{\mathcal{B}}(t) = 16 \quad [\beta]_{\mathcal{B}}(t) = 13$$

Validity, Models

- ▶ An equation $s \approx t$ is **valid** in algebra \mathcal{A} , written $\mathcal{A} \models s \approx t$, iff

$$[\alpha]_{\mathcal{A}}(s) = [\alpha]_{\mathcal{A}}(t)$$

for all assignments α .

- ▶ An \mathcal{F} -algebra \mathcal{A} is a **model** of the set of identities E over $T(\mathcal{F}, \mathcal{V})$ iff $\mathcal{A} \models s \approx t$ for all $s \approx t \in E$.



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$E = \{0 + y \approx y, s(x) + y \approx s(x + y)\}$.

\mathcal{A} is a model of E , while \mathcal{B} is not.



Validity, Models, Equational Theory

- ▶ $E \models s \approx t$ iff $s \approx t$ is valid in all models of E .
- ▶ $E \models s \approx t$: $s \approx t$ is a **semantic consequence** of E .
- ▶ **Equational theory** of E :

$$\approx_E := \{(s, t) \mid s, t \in T(\mathcal{F}, \mathcal{V}), E \models s \approx t\}$$

- ▶ Notation: $s \approx_E t$ iff $(s, t) \in \approx_E$.



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- ▶ $E \not\models x + y \approx y + x$.



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- ▶ $E = \{0 + y \approx y, s(x) + y \approx s(x + y)\}$.
- ▶ $E \models s(s(0) + s(0)) \approx s(s(s(0)))$.
- ▶ $E \not\models x + y \approx y + x$.
- ▶ Model $\mathcal{C} = (\mathbb{N}, \{0_{\mathcal{C}}, s_{\mathcal{C}}, +_{\mathcal{C}}\})$ with $0_{\mathcal{C}} = 0$, $s_{\mathcal{C}}(x) = x$, $+_{\mathcal{C}}(x, y) = y$.



Relating Syntax and Semantics

Theorem 2.3 (Birkhoff)

Equational logic is sound and complete:

For all E, s, t , $E \vdash s \approx t$ iff $E \models s \approx t$.



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Equational logic is sound and complete:

For all E, s, t , $E \vdash s \approx t$ iff $E \models s \approx t$.

Corollary 2.1

For all E, s, t ,

$s \xleftrightarrow{}_E t$ iff $E \vdash s \approx t$ iff $E \models s \approx t$.*



Validity and Satisfiability

Validity problem:

Given: A set of identities E and terms s and t .

Decide: $s \approx_E t$.

Satisfiability problem:

Given: A set of identities E and terms s and t .

Find: A substitution σ such that $\sigma(s) \approx_E \sigma(t)$.

