# MINIMAL ALGEBRAS

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ABSTRACT. In this note

### 1. Preliminaries

**Definition 1.1.** Let F be a set of function symbols and  $\mathbf{A}$  be an algebra over F. We denote by  $\operatorname{Pol}(\mathbf{A})$  the smallest set containing

- (1)  $\{f^{\mathbf{A}}: f \in F\};$
- (2)  $\{\pi_i^n : A^n \to A, 1 \le i \le n, n \in \omega\};$
- (3) the constant 0-ary operations

and closed under composition. The elements of  $Pol(\mathbf{A})$  are called **polynomial** operations. We say that two algebras  $\mathbf{A}$  and  $\mathbf{B}$  on the same carrier are **polynomial** equivalent if  $Pol(\mathbf{A}) = Pol(\mathbf{B})$ .

Example 1.2. If 
$$\varphi \in \operatorname{Clo}_{m+n}(\mathbf{A})$$
 and  $(a_1, \dots, a_m) \in A^m$ , then  $\psi : A^n \to A \quad (b_1, \dots, b_n) \mapsto \varphi(a_1, \dots, a_m, b_1, \dots, b_n)$ 

is a polynomial operation.

## 2. Finite Minimal Algebras

**Definition 2.1.** A nontrivial finite algebra  $\mathbf{A}$  is **minimal** iff every noncostant element of  $\operatorname{Pol}_1(\mathbf{A})$  is bijective.

The goal is to classify, up to polynomial equivalence, all the finite minimal algebras.

Example 2.2. The following are examples of minimal algebras.

- (1) any algebra with carrier 2;
- (2) a nontrivial finite vector space **A** over a finite field **k**: every  $\pi \in \operatorname{Pol}_1(\mathbf{A})$  is of the form  $\pi(v) = av + b$  for some  $a \in k, b \in A$ ;
- (3) a group of permutations acting on a finite set  $^{1}$ .

We shall prove that, up to polynomial equivalence, there are no other finite minimal algebras.

<sup>&</sup>lt;sup>1</sup>Let **G** be a group acting on a set *A*. Each *g* ∈ *G* induces an operation  $\varphi_g : A \to A$  given by  $\varphi_g(a) = g \cdot a$ . Let  $\Phi_{\mathbf{G}} := \{ \varphi_g : g \in G \}$ . A **G**-set can be seen as an algebra  $(A, \Phi_{\mathbf{G}})$ .

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**Lemma 2.3.** Let **A** be a minimal algebra. If every element of  $Pol(\mathbf{A})$  is essentially unary, then **A** is polynomial equivalent to  $(A, \Phi_{\mathbf{G}})$  where **G** is a finite group acting on A.

*Proof.* Since **A** is minimal,  $\operatorname{Pol}_1(\mathbf{A}) \cap \operatorname{Sym}(A)$  is a subgroup of  $\operatorname{Sym}(A)$ . Let  $\mathbf{G} := \operatorname{Pol}_1(\mathbf{A}) \cap \operatorname{Sym}(A)$ . If  $\psi \in \operatorname{Pol}(\mathbf{A})$ , either  $\psi$  is constant or  $\psi$  is essentially unary, hence  $(A, \Phi_{\mathbf{G}})$  is polynomially equivalent to **A**.

**Theorem 2.4** ([3]). Let **A** be a minimal algebra with |A| > 2. If  $Pol(\mathbf{A})$  contains an operation which is not essentially unary, then **A** is polynomially equivalent to a  $\mathbf{k}$ -vector space for a finite field  $\mathbf{k}$ .

**Theorem 2.5.** Every algebra **A** with carrier 2 is polynomially equivalent to one of the following:

- (1)  $\mathbf{E}_0 = (2, \emptyset);$
- (2)  $\mathbf{E}_1 = (2, \neg);$
- (3)  $\mathbf{E}_3 = (2, \land, \lor, \neg);$
- (4)  $\mathbf{E}_4 = (2, \wedge, \vee);$
- (5)  $\mathbf{E}_5 = (2, \vee);$
- (6)  $\mathbf{E}_6 = (2, \wedge).$

Each of them is not polynomially equivalent to the other<sup>2</sup>.

Remark 2.6. Up to isomorphism,  $\mathbf{E}_5(\simeq \mathbf{E}_6)$  is the only semilattice with two elements, while  $\mathbf{E}_3$  and  $\mathbf{E}_4$  are the only Boolean algebra and lattice, respectively, with two elements.

**Definition 2.7.** Let **A** be a minimal algebra. We say that **A** is of

- (1) **type 1** (or **unary**) if **A** is polynomially equivalent to  $(A, \Phi_{\mathbf{G}})$  for some  $\mathbf{G} \leq \operatorname{Sym}(A)$ ;
- (2) **type 2** (or **affine**) if  $\mathbf{A}$  is polynomially equivalent to a vector space over a finite field  $\mathbf{k}$ ;
- (3) type 3 (or Boolean) if A is polynomially equivalent to  $E_3$ ;
- (4) type 4 (or lattice) if A is polynomially equivalent to  $\mathbf{E}_4$ ;
- (5) type 5 (or semilattice) if A is polynomially equivalent to  $\mathbf{E}_5$ .

 $<sup>^2</sup>$ A classical theorem by Post states that the set of clones of operations on 2 is countable infinite. By Theorem 2.5 among these there are exactly seven distinct clones containing the constant operations. However it has been proven that the set of clones on 3 containing the constant operations is uncountable.

#### 3. Relative Minimal Algebras

**Definition 3.1.** Let **A** be a finite algebra and let  $\delta < \theta \in \text{Con}(\mathbf{A})$ . We say that **A** is  $(\delta, \theta)$ -minimal if for all  $\varepsilon \in \text{Pol}_1(\mathbf{A})$  either  $\varepsilon$  is bijective or  $\varepsilon(\theta) \subseteq \delta$ .

Remark 3.2. Observe that **A** is minimal iff **A** is  $(\Delta, \nabla)$ -minimal.

**Definition 3.3.** Let **A** be a  $(\alpha, \beta)$ -minimal algebra. An  $(\alpha, \beta)$ -trace of **A** is a  $\beta$ -equivalence class which contains at least two  $\delta$ -equivalence classes.

**Lemma 3.4.** Let **A** be a finite  $(\delta, \theta)$ -minimal algebra and let N be a  $(\delta, \theta)$ -trace. Then the algebra  $(\mathbf{A}|N)/(\delta/N)$  is minimal.

**Definition 3.5.** Let **A** be a finite algebra and  $B, C \subseteq A$ . We say that B, C are polynomial isomorphic  $(B \sim C)$ 

## 4. Tame Congruences

**Definition 4.1.** Let **A** be a finite algebra and  $\alpha, \beta \in \text{Con}(\mathbf{A})$  with  $\alpha < \beta$ . We denote by

- (1)  $E(\mathbf{A})$  the set of  $\varepsilon \in Pol_1(\mathbf{A})$  such that  $\varepsilon^2 = \varepsilon$ ;
- (2)  $U_{\mathbf{A}}(\alpha, \beta)$  the set  $\{\varphi[A] : \varphi \in \operatorname{Pol}_1(\mathbf{A}), \varphi(\beta) \not\subseteq \alpha\};$
- (3)  $M_{\mathbf{A}}(\alpha, \beta)$  the set of minimal elements of  $U_{\mathbf{A}}(\alpha, \beta)$ .

Remark 4.2. Let **A** be an algebra. An equivalence relation  $\alpha$  is a congruence of **A** iff  $\varphi(\alpha) \subseteq \alpha$  for every  $\varphi \in \text{Pol}_1(\mathbf{A})$ .

Let **A** be a finite algebra. In this section we adopt the following convention, concerning the restriction (-|U) operation, for  $U \subseteq A$ :

- if  $\theta \in \text{Con}(\mathbf{A})$ ,  $\theta | U := \theta \cap U^2$ ;
- if  $\varphi: A^n \to A$ ,  $\varphi|U$  is the function  $U^n \to A$ ,  $(u_1, \dots, u_n) \mapsto \varphi(u_1, \dots, u_n)$ ;
- $\operatorname{Pol}(\mathbf{A})|U := \{\psi|U : \psi \in \operatorname{Pol}(\mathbf{A}) \text{ and } \psi[U^n] \subseteq U\};$
- $\mathbf{A}||U := (U, \operatorname{Pol}(\mathbf{A})|U).$

**Lemma 4.3.** Let **A** be a finite algebra. Let  $\varepsilon \in E(\mathbf{A})$ ,  $U = \varepsilon[A]$ . Then (-|U|):  $Con(\mathbf{A}) \to Con(\mathbf{A}||U)$  is a surjective  $(\wedge, \vee)$ -homomorphism.

**Lemma 4.4.** Let  $\varepsilon \in E(\mathbf{A})$ ,  $U := \varepsilon[A]$ , and  $\emptyset \neq N \subseteq U$ . Then  $\mathbf{A}||N = (\mathbf{A}||U)||N$ .

Proof. That  $(\operatorname{Pol}(\mathbf{A})|U)|N \subseteq \operatorname{Pol}(\mathbf{A})|N$  is obvious. Conversely, let  $\psi = \varphi|N$  for some  $\varphi \in \operatorname{Pol}(\mathbf{A})$  with  $\varphi[N^k] \subseteq N$ . Clearly,  $\varepsilon \varphi[U^k] \subseteq U$ . If  $(a_1, \ldots, a_k) \in N$ ,  $\varphi(a_1, \ldots, a_k) \in N \subseteq U$ , hence  $\varphi(a_1, \ldots, a_k) = \varepsilon(a)$  for some  $a \in A$ . Hence  $\varepsilon \varphi(a_1, \ldots, a_k) = \varepsilon^2(a) = \varepsilon(a) \in N$  so that  $(\varepsilon \varphi|U)|N = \varphi|N$ . We have shown that  $\psi$  is an operation of  $(\mathbf{A}||U)||N$ .

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**Definition 4.5.** Let **A** be a finite algebra and  $\alpha, \beta \in \text{Con}(\mathbf{A})$  with  $\alpha < \beta$ . The pair  $(\alpha, \beta)$  is a pair of **tame** congruences if there is  $V \in M_{\mathbf{A}}(\alpha, \beta)$ ,  $\varepsilon \in E(\mathbf{A})$  such that  $\varepsilon[A] = V$  and  $(-|V|) : [\alpha, \beta] \to [\alpha|V, \beta|V]$  is 0, 1-separating<sup>3</sup>.

**Lemma 4.6.** Let  $(\alpha, \beta)$  be a tame pair of congruences of a finite algebra  $\mathbf{A}$ . For every  $U \in M_{\mathbf{A}}(\alpha, \beta)$ , there is  $\varepsilon \in E(\mathbf{A})$  such that  $\varepsilon[A] = U$ .

*Proof.* Since  $(\alpha, \beta)$  is tame, there is  $V_0 \in M_{\mathbf{A}}(\alpha, \beta)$  and  $\varepsilon_0 \in E(\mathbf{A})$  such that  $V_0 = \varepsilon_0[A]$  and  $(-|V_0|)$  is 0, 1-separating.

Claim 1. If  $(x, y) \in \beta - \alpha$ , there is  $\varphi \in \text{Pol}_1(\mathbf{A})$  with  $\varphi[A] = V_0$  and such that  $(\varphi(x), \varphi(y)) \in \beta | V_0 - \alpha | V_0$ .

*Proof.* Let  $\theta := \{(x,y) \in \beta : (\varepsilon_0 \varphi(x), \varepsilon_0 \varphi(y)) \in \alpha \text{ for all } \varphi \in \text{Pol}_1(\mathbf{A})\}$ . Now,  $\theta \in [\alpha, \beta]$  and  $\alpha | V_0 = \theta | V_0$ ; that  $\alpha | V_0 \subseteq \theta | V_0$  is obvious, for the converse:

$$\theta|V_0 = \{(a,b) \in \beta \cap V_0^2 : (\varepsilon_0 \varphi(a), \varepsilon_0 \varphi(b)) \in \alpha \quad \forall \varphi \in \operatorname{Pol}_1(\mathbf{A})\}$$

$$= \{(\varepsilon_0(x), \varepsilon_0(y)) \in \beta : (\varepsilon_0 \varphi \varepsilon_0(x), \varepsilon_0 \varphi \varepsilon_0(y)) \in \alpha \quad \forall \varphi \in \operatorname{Pol}_1(\mathbf{A})\}$$

$$\subseteq \{(\varepsilon_0(x), \varepsilon_0(y)) \in \beta : (\varepsilon_0(x), \varepsilon_0(y)) \in \alpha\}$$

$$= \{(a,b) \in \beta : (a,b) \in \alpha \cap V_0^2\}$$

$$= \alpha|V_0$$

This implies that  $\theta = \alpha$ , since  $(-|V_0|)$  is 0-separating. Thus  $(x,y) \in \beta - \alpha$  implies  $(x,y) \in \beta - \theta$ . By definition of  $\theta$ , there is  $\psi \in \operatorname{Pol}_1(\mathbf{A})$  such that  $(\varepsilon_0 \psi(x), \varepsilon_0 \psi(y)) \notin \alpha$ . Thus  $\varphi := \varepsilon_0 \psi$  satisfies the conditions  $\varphi[A] \subseteq V_0$  and  $(\varphi(x), \varphi(y)) \in \beta |V_0 - \alpha| V_0$ . Hence  $\varphi[A] = V_0$  by  $(\alpha, \beta)$ -minimality.

Claim 2. The relation  $\beta$  is the transitive closure of

$$\alpha \cup \{(\psi(x), \psi(y)) : (x, y) \in \beta | V_0, \psi \in \operatorname{Pol}_1(\mathbf{A}) \}.$$

*Proof.* The transitive closure of  $\alpha \cup \{(\psi(x), \psi(y)) : (x, y) \in \beta | V_0, \psi \in \operatorname{Pol}_1(\mathbf{A})\}$  is  $\alpha \vee \theta(\beta | V_0)$ . But  $\alpha \vee \theta(\beta | V_0) \in [\alpha, \beta]$ , and therefore, since  $(-|V_0|)$  is 1-seprating,  $\beta = \alpha \vee \theta(\beta | V_0)$ .

Assume that  $U \in M_{\mathbf{A}}(\alpha, \beta)$ . Then, by definition, there is  $\mu \in \operatorname{Pol}_1(\mathbf{A})$  such that  $\mu[A] = U$  and  $\mu(\beta) \nsubseteq \alpha$ . This implies that the equivalence relation

$$\mu^{-1}(\alpha) = \{(a,b) : (\mu(a), \mu(b)) \in \alpha\}$$

is such that  $\beta \nsubseteq \mu^{-1}(\alpha)$ . Then by Claim 2 there are  $a,b \in V_0$  and  $\psi \in \operatorname{Pol}_1(\mathbf{A})$  such that  $(a,b) \in \beta$  and  $(\mu\psi(a),\mu\psi(b)) \notin \alpha$ . The function  $\mu_1 := \mu\psi\varepsilon_0$  satisfies  $\mu_1[A] \subseteq U$  and  $\mu_1(\beta) \nsubseteq \alpha$ : there are  $x,y \in A$  such that  $(a,b) = (\varepsilon_0(x),\varepsilon_0(y)) \in \beta$  but  $(\mu_1(a),\mu_1(b)) = (\mu\psi\varepsilon_0(x),\mu\psi\varepsilon_0(y)) \notin \alpha$ . Thus  $\mu_1[A] = U$  by  $(\alpha,\beta)$ -minimality. Observe that  $\mu_1[V_0] = \mu_1\varepsilon_0[A] = \mu\psi\varepsilon_0^2[A] = \mu_1[A]$ , so that  $\mu_1[V_0] = U$ . Apply Claim 1 to the pair  $(\mu_1(a),\mu_1(b))$  to get  $\nu \in \operatorname{Pol}_1(\mathbf{A})$  such that  $\nu[A] = V_0$  and  $(\nu\mu_1(a),\nu\mu_1(b)) \notin \alpha$ . Now, since  $\mu_1\nu[A] = \mu_1[V_0] = U$ ,  $\mu_1\nu|U$  is bijective; since U is finite, there is k > 1 such that  $(\mu_1\nu|U)^k = (\mu_1\nu)^k|U = 1_U$ . Let  $\varepsilon := (\mu_1\nu)^k$ .

<sup>&</sup>lt;sup>3</sup>Let **L**, **N** be two lattices. A  $(\land, \lor)$ -homomorphism  $\alpha: \mathbf{L} \to \mathbf{N}$  is 0,1-separating if  $\alpha^{-1}[\{\alpha(i)\}] = i$  for i = 0, 1.

We have:  $\varepsilon[A] = (\mu_1 \nu)^k [A] = (\mu_1 \nu)^{k-1} [U] = U$  and, consequently, for all  $a \in A$ ,  $\varepsilon^2(a) = \varepsilon(a)$  since  $\varepsilon(a) \in U$ . Therefore  $\varepsilon \in E(\mathbf{A})$ .

**Definition 4.7.** Let **A** be a finite algebra minimal with respect to  $(\delta, \theta)$ . We say that **A** has **type i** relative to  $(\delta, \theta)$  if for every  $(\delta, \theta)$ -trace N,  $(\mathbf{A}||N)/(\delta|N)$  is a minimal algebra of type **i**.

**Definition 4.8.** Let  $(\alpha, \beta)$  be tame in a finite algebra **A**. Let N be a  $(\alpha, \beta)$ -trace. We define the **type** of  $(\alpha, \beta)$ , written  $\operatorname{typ}(\alpha, \beta)$ , to be the type of the minimal algebra  $\mathbf{M} = (\mathbf{A}||N)/(\alpha|N)$ .

Finally, for a finite algebra **A**, we define  $\operatorname{typ}\{\mathbf{A}\} := \{\operatorname{typ}(\alpha, \beta) : (\alpha, \beta) \text{ is tame}\}\$ and for a class K of finite algebras,  $\operatorname{typ}\{K\} := \cup \{\operatorname{typ}\{\mathbf{A}\} : \mathbf{A} \in K\}.$ 

## 5. Omitting Types

**Definition 5.1.** Let V be a variety. An algebra  $A \in V$  is called

- (1) **free** if there is an isomorphism  $\mathbf{A} \simeq \mathbf{F}_{\mathsf{V}}(\kappa)$  for some cardinal  $\kappa$ ;
- (2) **finitely generated** if there is a surjective homomorphism  $\mathbf{F}_{\mathsf{V}}(n) \to \mathbf{A}$  for some  $n \in \omega$ .

**Definition 5.2.** A variety V is called

- (1) **locally finite** if all its finitely generated algebras are finite;
- (2) **finitely presented** if V has a finite set of function symbols and  $V = Alg(\Sigma)$  for a finite set of equations  $\Sigma$ ;
- (3) finitely generated if  $V = V(\mathbf{A}_1, \dots, \mathbf{A}_n)$  for  $\mathbf{A}_1, \dots, \mathbf{A}_n$  finite similar algebras.

Remark 5.3. Observe that  $V(\mathbf{A}_1, \dots, \mathbf{A}_n) = V(\mathbf{A}_1 \times \dots \times \mathbf{A}_n)$ .

**Lemma 5.4.** Let V be a variety. If V is finitely generated then it is locally finite.

*Proof.* By the previous remark, we can assume that  $V = V(\mathbf{A})$  for some  $\mathbf{A}$  finite. Let  $n < \omega$ . We prove that  $\mathbf{F}_{V}(n)$  is finite. Consider the homomorphism

$$\mathbf{F}_{\mathsf{V}}(n) \to \mathbf{A}^{A^n}, \quad t(x_1, \dots, x_n) \mapsto t^{\mathbf{A}}$$

This homomorphism is injective: if  $t^{\mathbf{A}} = s^{\mathbf{A}}$ , then  $\mathbf{A} \models t \equiv s$ , i.e. t = s in  $\mathbf{F}_{\mathsf{V}}(n)$ . Thus  $\mathbf{F}_{\mathsf{V}}(n)$  is finite.

**Definition 5.5.** Let V and W be two varieties. We say that V is **interpretable** into W  $(V \le W)$  if there is a clone homomorphism  $Clo(V) \to Clo(W)$ .

Remark 5.6. Let W, V be two varieties. We unravel what  $W \leq V$  means in a simple case. Let F be a finite set of function symbols. Let V be a variety of algebras over F, defined by the equations

$$(1) s_1 \equiv t_1, \dots, s_k \equiv t_k.$$

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Assume that for each  $f \in F_n$  there is  $t \in Clo_n(W)$  such that the interpetation of the t's satisfy the equations (1). Then the assignment  $f \mapsto t$  extends to a clone homomorphism  $Clo(V) \to Clo(W)$ . Of course, the converse also holds; thus this is equivalent to W < V.

**Lemma 5.7.** Let W, V be two varieties such that  $W \leq V$ . Assume that W is

- *idempotent*;
- finitely presented;
- the finite set of equations defining W contains at most one function symbol per side.

Let  $\mathbf{A} \in V$ ,  $\varepsilon \in \mathrm{E}(\mathbf{A})$ ,  $U := \varepsilon[A]$ ,  $\beta \in \mathrm{Con}(\mathbf{A})$  and  $S := a/\beta \cap U$  for  $a \in U$ . Then  $W \leq V(\mathbf{A}||S)$ .

*Proof.* By assumption W can be described by a finite set of equations of the form

(2) 
$$f_i(x_{i_1}, \dots, x_{i_k}) \equiv f_i(x_{j_1}, \dots, x_{j_k})$$

where  $f_i$  and  $f_j$  are members of a finite set F of function symbols. Since  $W \leq V$ , there is an assignment  $f \mapsto t$  extending to a clone homomorphism. We need to find a clone homomorphism  $Clo(W) \to Clo(\mathbf{A}||S)$ . Consider  $f \mapsto \varphi := \varepsilon t_i^{\mathbf{A}}|S$ . Firstly, it is well defined: if  $(a_1, \ldots, a_n) \in S$ ,  $(\varphi(a_1, \ldots, a_n), \varphi(a_1, \ldots, a_n)) \in \beta$  but

$$\varphi(a,\ldots,a) = \varepsilon t^{\mathbf{A}}(a,\ldots,a) = \varepsilon(a) \in U$$

so that  $\varphi(a_1,\ldots,a_n)\in S$  and therefore  $\varphi\in\operatorname{Pol}(\mathbf{A})|S$ . Finally, using that  $\mathsf{W}\leq\mathsf{V}$ 

$$\varphi_i(a_{i_1}, \dots, a_{i_h}) = \varepsilon t_i^{\mathbf{A}}(a_{i_1}, \dots, a_{i_h})$$

$$= \varepsilon t_j^{\mathbf{A}}(a_{j_1}, \dots, a_{j_k})$$

$$= \varphi_i(a_{j_1}, \dots, a_{j_k}).$$

**Theorem 5.8.** Let V be a locally finite variety. The following are equivalent:

- (1)  $1 \notin \text{typ}\{V\};$
- (2) there is an idempotent variety W such that  $W \leq V$  and  $W \nleq Set$ .

Corollary 5.9. Let **A** be a finite idempotent algebra. There is  $\mathbf{B} \in HS(\mathbf{A})$  such that  $Clo(\mathbf{B}) = \mathbf{N}$  iff  $\mathbf{1} \in typ\{HS(\mathbf{A})\}$ .

*Proof.* If  $\mathbf{1} \in \operatorname{typ}\{HS(\mathbf{A})\}$ , then  $\mathbf{1} \in \operatorname{typ}\{HSP(\mathbf{A})\}$ . Since  $\mathbf{A}$  is finite, then, by Lemma 5.4  $HSP(\mathbf{A})$  is locally finite, and therefore, by Theorem 5.8, for every idempotent variety W, either  $W \nleq HSP(\mathbf{A})$  or  $W \leq \operatorname{Set}$ . In particular, since  $\mathbf{A}$  is idempotent,  $HSP(\mathbf{A}) \leq \operatorname{Set}$ . This means that there is a clone homomorphism  $\operatorname{Clo}(\mathbf{A}) \to \mathbf{N}$ . Equivalently, every term operation of  $\mathbf{A}$  is a projection. Hence,  $\operatorname{Clo}(\mathbf{A}) = \mathbf{N}$ .

Conversely, let  $\mathbf{B} \in HS(\mathbf{A})$  such that  $Clo(\mathbf{B}) = \mathbf{N}$ ; this means that  $\mathbf{B}$  is term equivalent to a set. Hence  $\mathbf{B}$  is polynomial equivalent to a set on which the trivial group acts. Then  $\mathbf{1} \in typ\{\mathbf{B}\}$ , and therefore  $\mathbf{1} \in typ\{HS(\mathbf{A})\}$ .

**Theorem 5.10** ([2]). Let **A** be a finite idempotent algebra. Then  $Clo(\mathbf{A})$  contains a weak near-unanimity operation iff  $\mathbf{1} \notin typ\{HS(\mathbf{A})\}$ .

# References

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