

Homological Methods in Rewriting

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Equational Theories, Term Rewriting Systems (TRSs)

- ▶ Set of variables $V = \{x_1, x_2, x_3, \dots\}$
- ▶ Signature (set of const/func symbols) $\Sigma = \{c, f, g, +, \dots\}$
 - ▶ Terms: $f(x_1), f(c + x_1), g(x_2, f(x_1)), \dots$
- ▶ Set of rules
 - ▶ $R = \{(x_1 + x_2) + x_3 = x_1 + (x_2 + x_3), f(x_1 + x_2) = f(x_1) + f(x_2), \dots\}$

Equational Theory (unordered)
 - or
 - ▶ $R = \{(x_1 + x_2) + x_3 \rightarrow x_1 + (x_2 + x_3), f(x_1 + x_2) \rightarrow f(x_1) + f(x_2), \dots\}$

Term Rewriting System (ordered)

What This Talk is about

R : given an equational theory/TRS

Is there any smaller equational theory/TRS equivalent to R ?

How many rules are needed?

- ▶ find a lower bound using algebra.
- ▶ + brief intro & history of the algebra we are going to use.

Example: The Theory of Groups

$$(x_1 \cdot x_2) \cdot x_3 = x_1 \cdot (x_2 \cdot x_3),$$

$$x_1 \cdot e = x_1,$$

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- ▶ Presentation with 1 axiom is possible if we use division "/" instead of multiplication m .

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Questions

▶ Question 1.

Is there a presentation with one axiom over signature $\{ \cdot, ^{-1}, e \}$?

▶ Answer.

No. [Tarski, Neumann, Kunen] We need at least 2 axioms.

▶ Question 2.

What about other equational theories/TRSs?

Is there a generic way to know how many rules are needed to present a given equational theory/TRS?

A lower bound by [Malbos-Mimram, FSCD'16]

(Σ, R) : complete (= terminating & confluent) TRS

\exists a computable number $MM(\Sigma, R)$ s.t.

$$MM(\Sigma, R) \leq \#R'$$

for any TRS (Σ', R') equivalent to (Σ, R) .

- ▶ Not many TRSs are known to have $MM(\Sigma, R) > 1$
 \Rightarrow The inequality just tells “any equivalent TRS has at least 0 or 1 rule” for most examples. 🥲
- ▶ “Equivalence” for TRSs with possibly different signatures

[Ikebuchi, FSCD '19]

Fix Σ . R : complete TRS over Σ . If $\deg(R)$ is 0 or prime,
 $\exists e(R)$: (computable) nonnegative integer s.t.

$$\#R - e(R) \leq \#R'$$

for any R' over Σ equivalent to R . ($\overset{*}{\leftrightarrow}_R = \overset{*}{\leftrightarrow}_{R'}$)

For a complete TRS R of the theory of groups over $\{ \cdot, ^{-1}, e \}$, we get

$$\deg(R) = 2 \text{ and } \#R - e(R) = 2.$$

"Any TRS presenting the theory of groups has at least 2 rules."

- ▶ Tarski's theorem is obtained **as a corollary**.

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- ▶ Definitions of \deg , $e(R)$
 - ▶ Examples
- ▶ Proof Overview
- ▶ More About Homology & History
- ▶ Conclusion

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Degree of a TRS

$\#_i t$: the number of occurrences of x_i in $t \in \text{Term}(\Sigma, \{x_1, x_2, \dots\})$,

$$\deg(R) = \gcd\{\#_i l - \#_i r \mid l \rightarrow r \in R, i = 1, 2, \dots\}$$

Example: $R = \{f(x_1, x_2, x_2) \rightarrow x_1, g(x_1, x_1, x_1) \rightarrow e\}$

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$\deg(R) = 0$ iff \rightarrow_R preserves the multiset of variables

E.g. $R = \{f(f(x_1, x_2), x_3) \rightarrow f(x_1, f(x_2, x_3)), g(f(x_1, x_1)) \rightarrow f(g(x_1), g(x_1))\}$

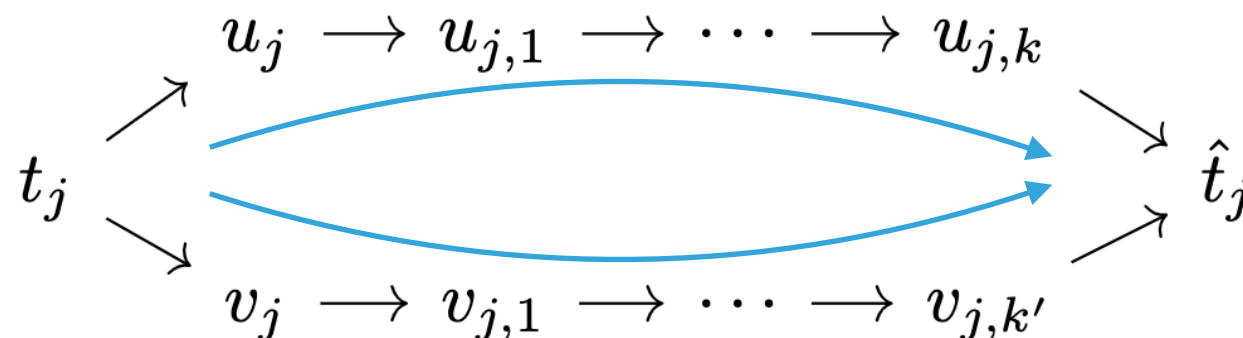
Matrix $D(R)$

$R = \{l_1 \rightarrow r_1, \dots, l_n \rightarrow r_n\}$: complete TRS (n rules)

$$\begin{array}{c}
 l_{a_1} \rightarrow r_{a_1} \quad t_1 \\
 \swarrow \quad \searrow \\
 u_1 \quad v_1
 \end{array}
 \quad , \dots , \quad
 \begin{array}{c}
 l_{a_m} \rightarrow r_{a_m} \quad t_m \\
 \swarrow \quad \searrow \\
 u_m \quad v_m
 \end{array}
 \quad : m \text{ critical pairs}$$

Fix a rewriting strategy.

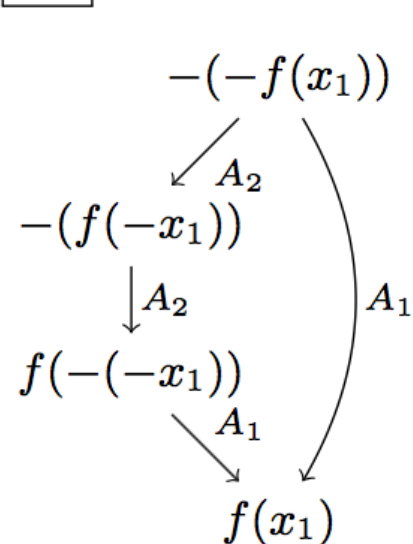
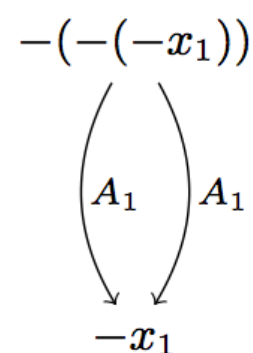
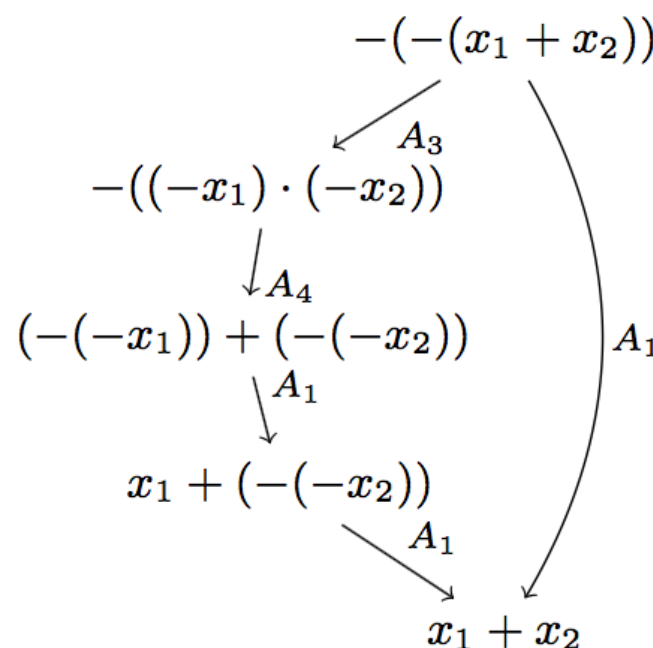
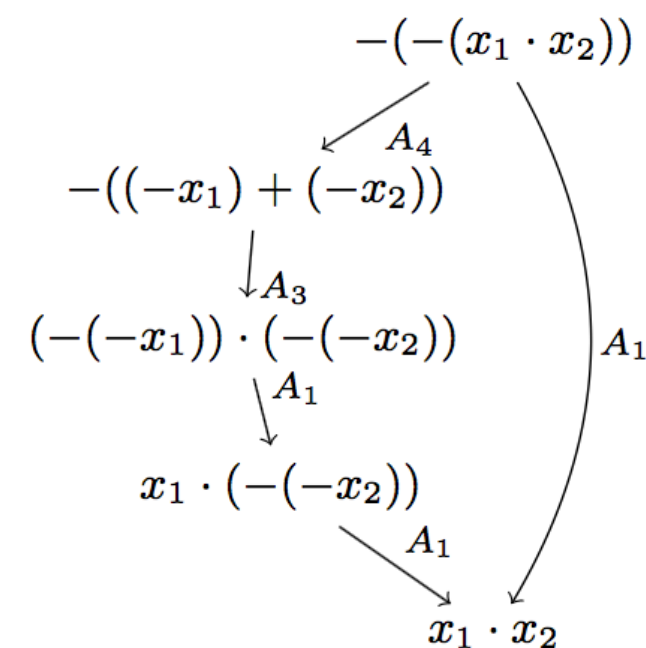
$D(R) : n \times m$ matrix, (i, j) -th entry $D(R)_{ij}$ is the difference between the numbers of $l_i \rightarrow r_i$ used in two normalizing paths



Example:

$$\deg(R) = 0$$

$$R = \left\{ \begin{array}{ll} A_1 \cdot -(-x_1) \rightarrow x_1, & A_2 \cdot -f(x_1) \rightarrow f(-x_1), \\ A_3 \cdot -(x_1 + x_2) \rightarrow (-x_1) \cdot (-x_2), & A_4 \cdot -(x_1 \cdot x_2) \rightarrow (-x_1) + (-x_2). \end{array} \right\}$$

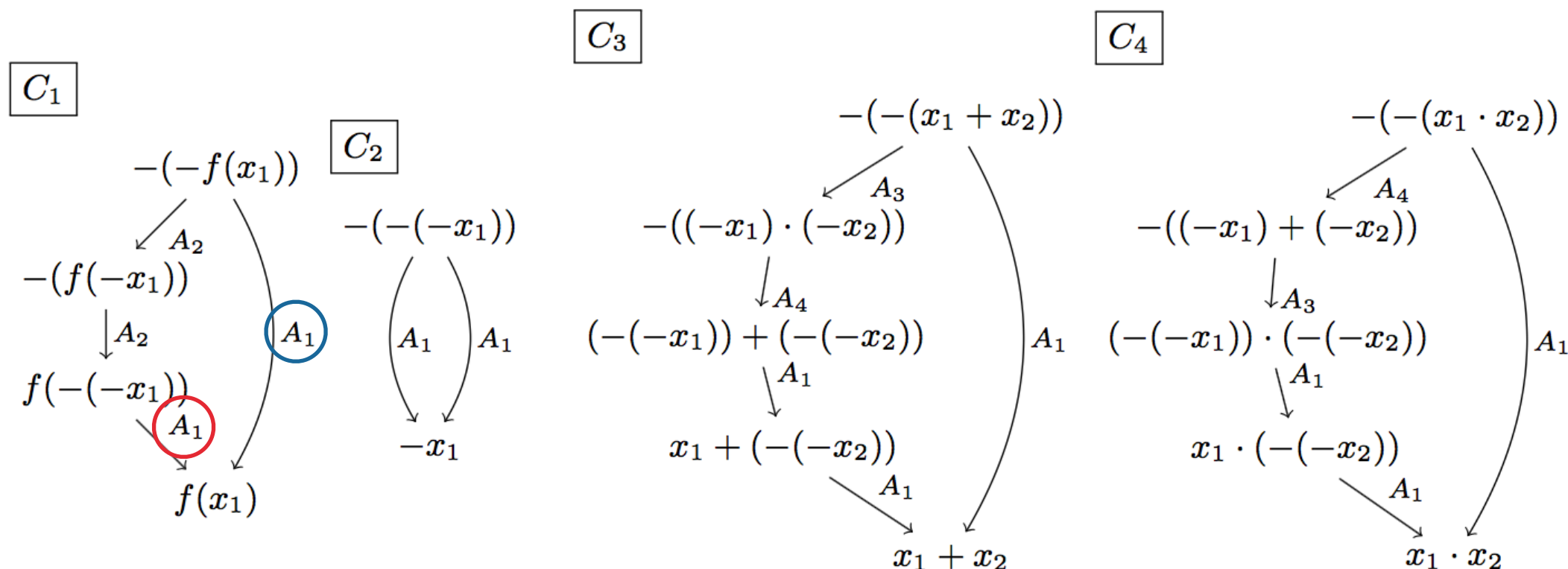
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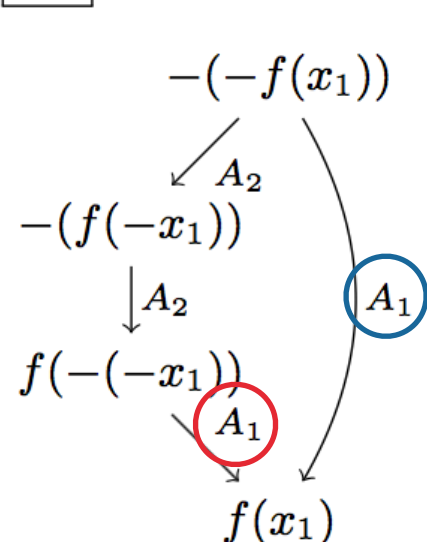
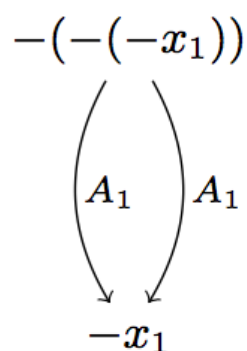
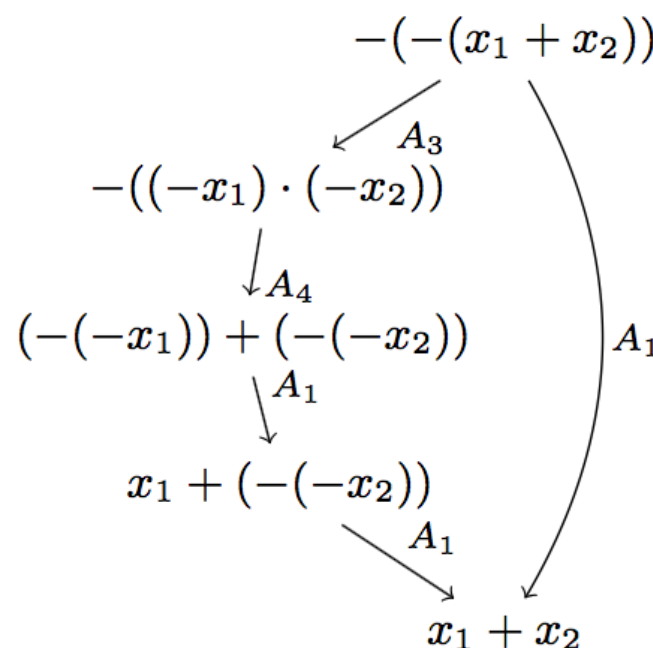
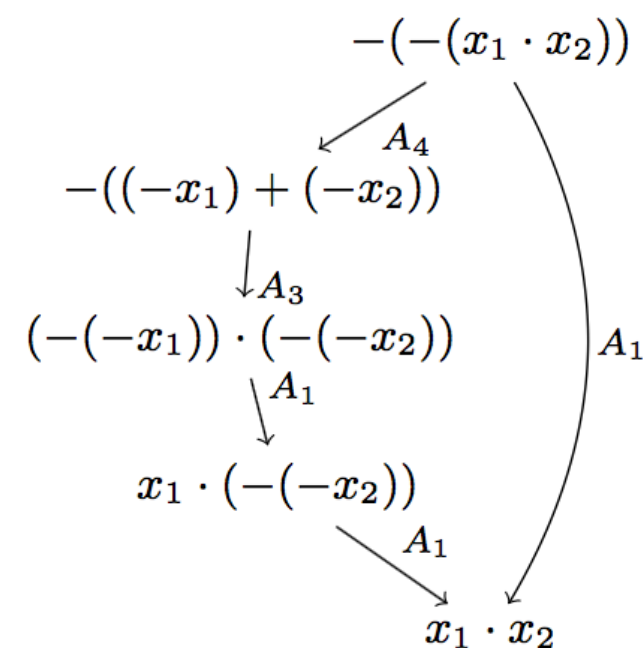


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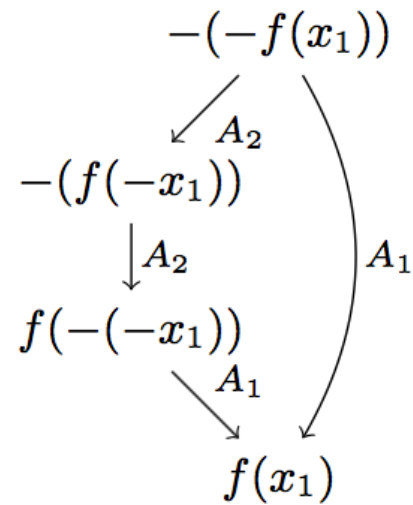
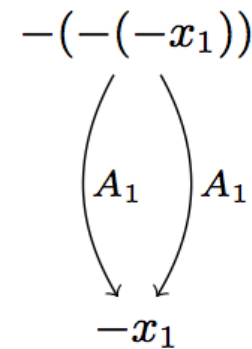
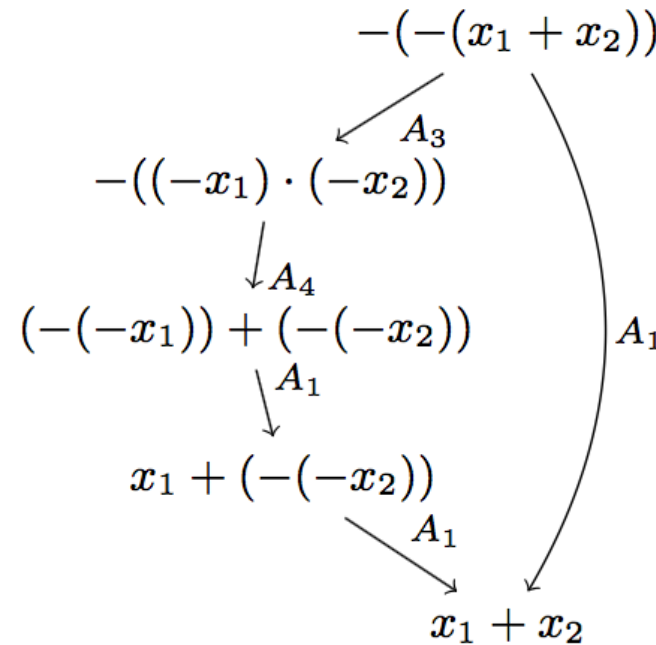
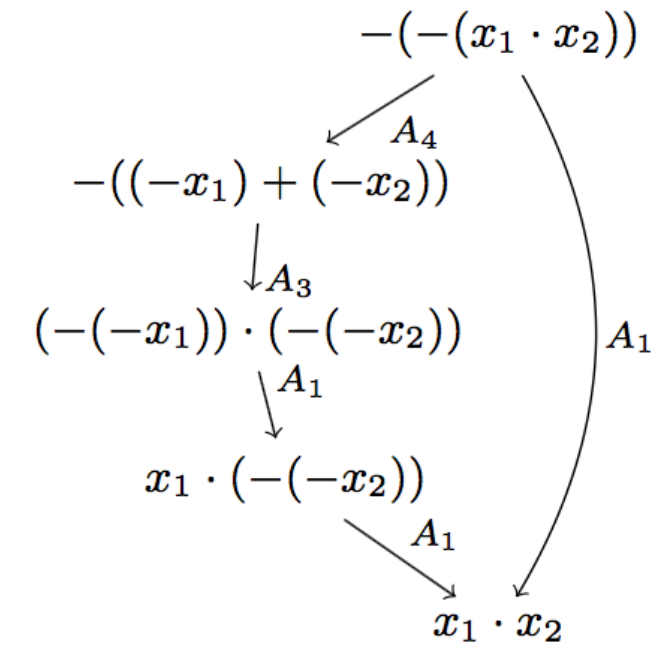
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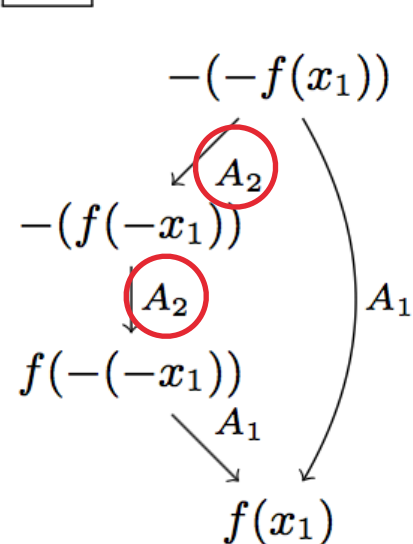
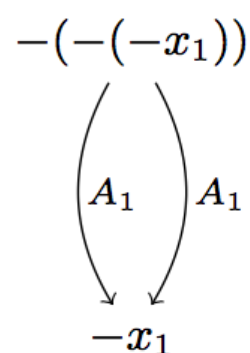
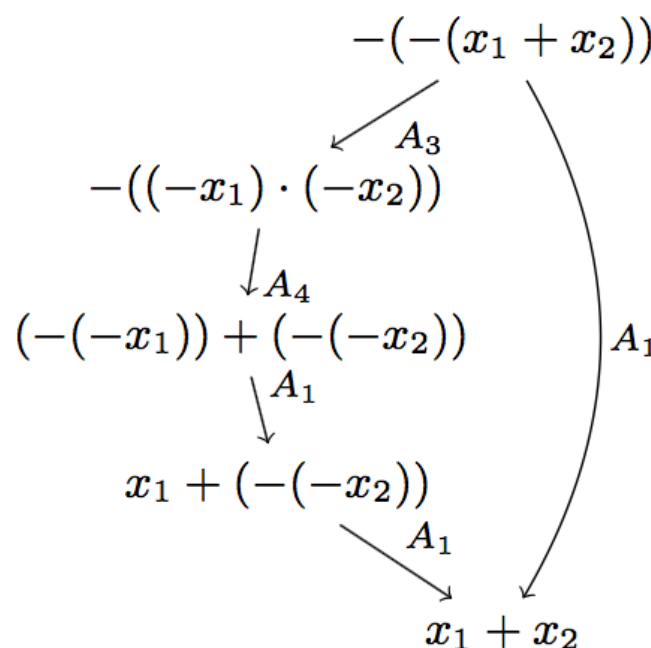
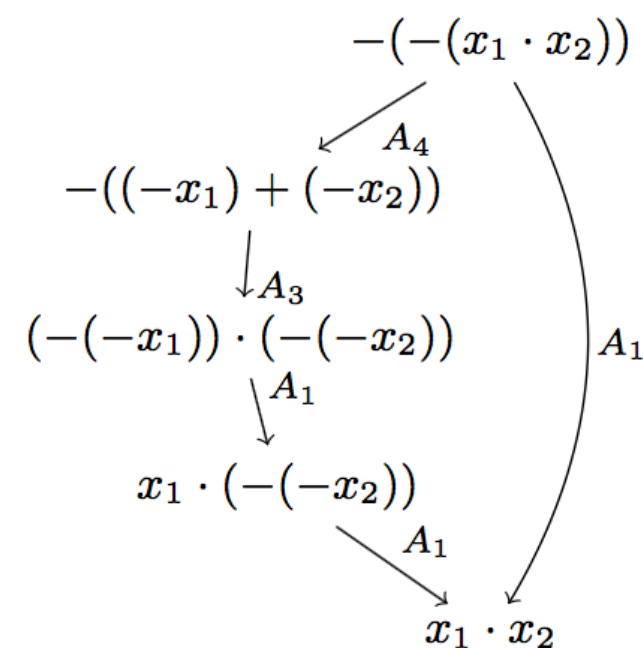
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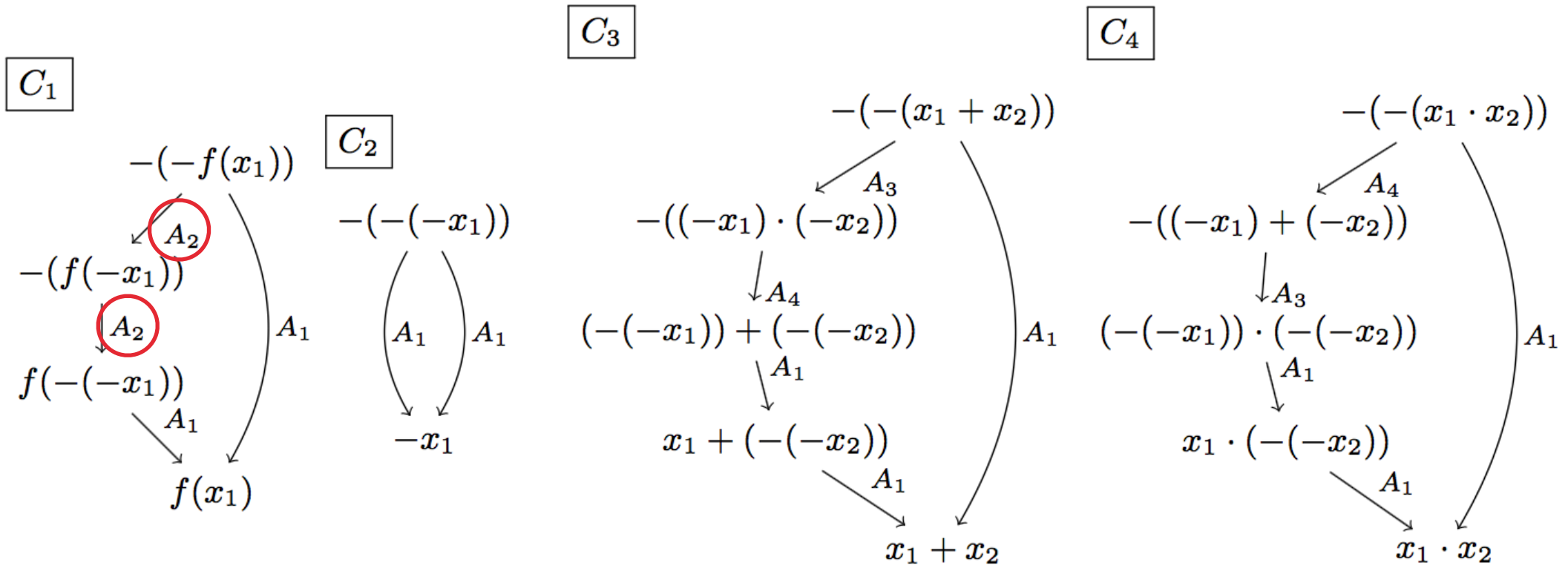
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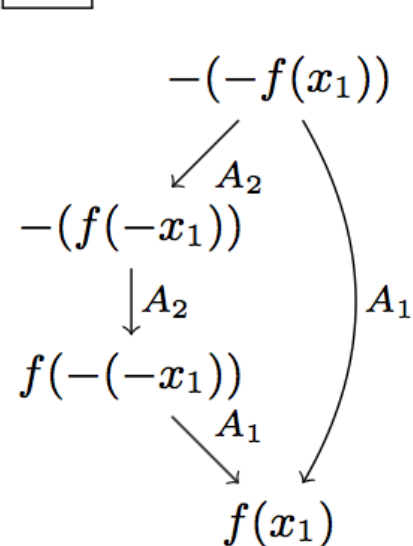
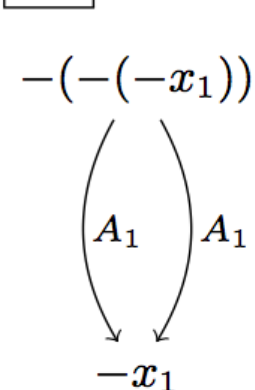
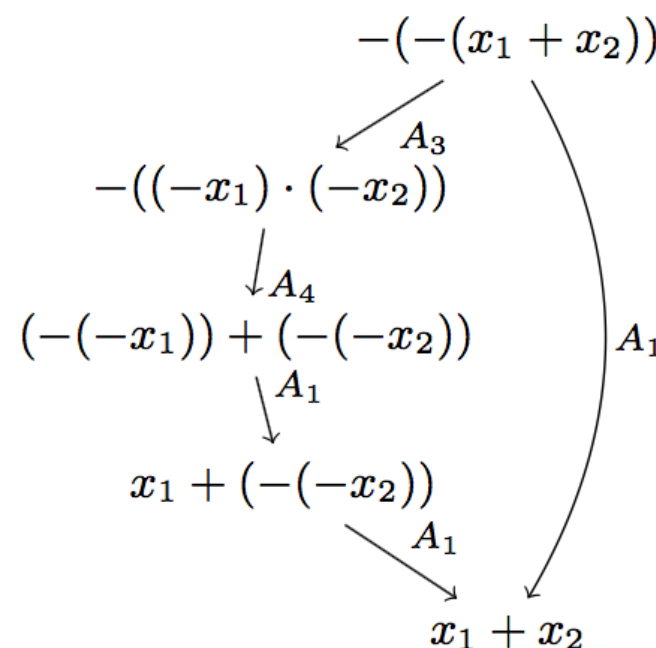
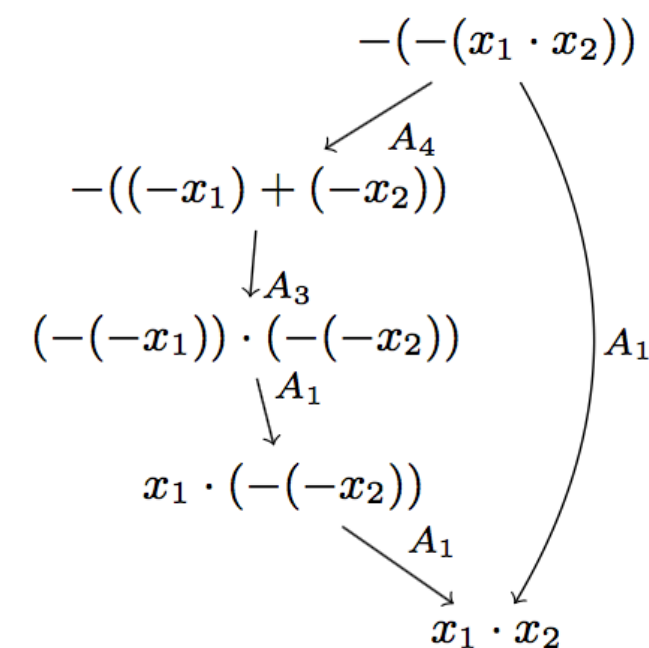


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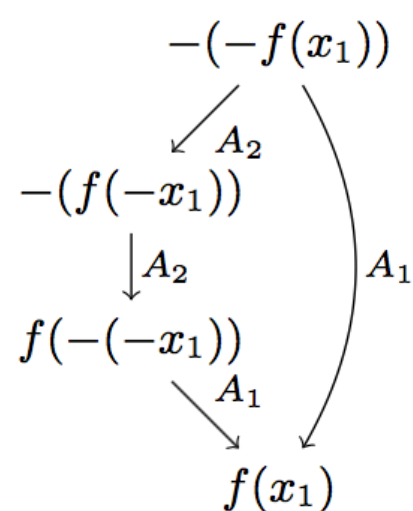
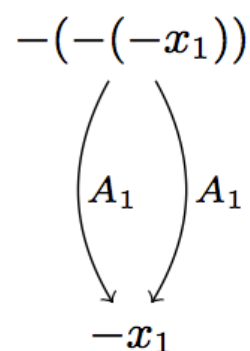
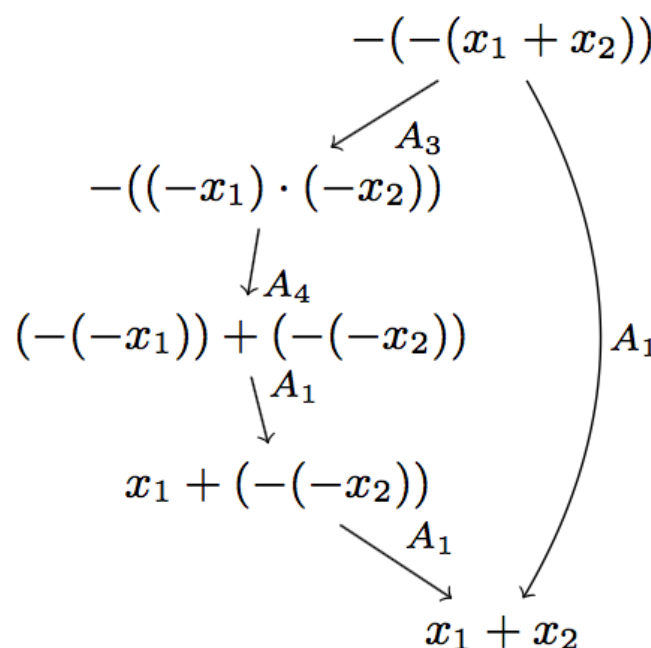
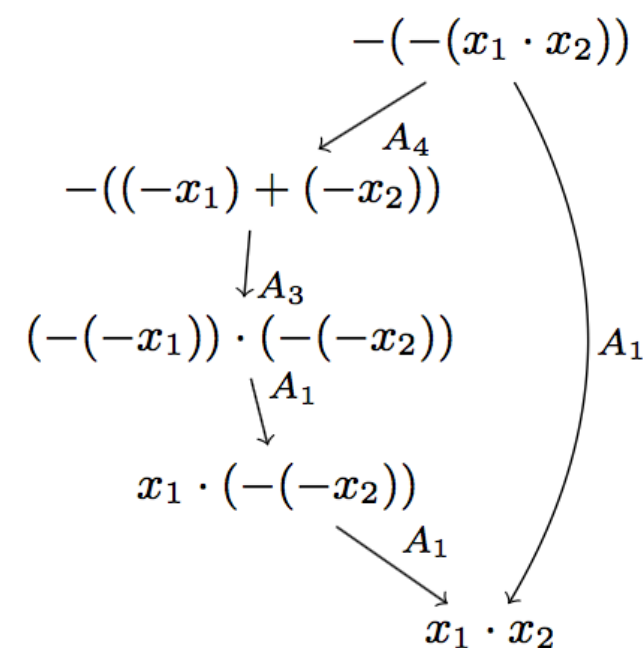
 C_1  C_2  C_3  C_4 

$$D(R) = \begin{matrix} & C_1 & C_2 & C_3 & C_4 \\ \begin{matrix} A_1 \\ A_2 \\ A_3 \\ A_4 \end{matrix} & \begin{pmatrix} 0 \\ 2 \\ \\ \end{pmatrix} \end{matrix}$$

Example:

$$\deg(R) = 0$$

$$R = \left\{ \begin{array}{ll} A_1 \cdot -(-x_1) \rightarrow x_1, & A_2 \cdot -f(x_1) \rightarrow f(-x_1), \\ A_3 \cdot -(x_1 + x_2) \rightarrow (-x_1) \cdot (-x_2), & A_4 \cdot -(x_1 \cdot x_2) \rightarrow (-x_1) + (-x_2). \end{array} \right\}$$

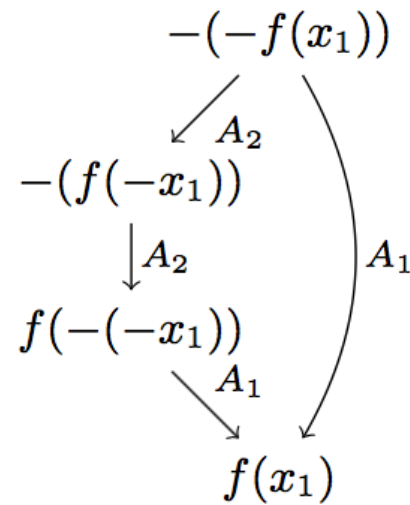
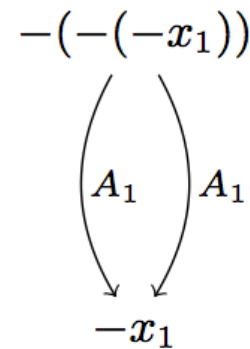
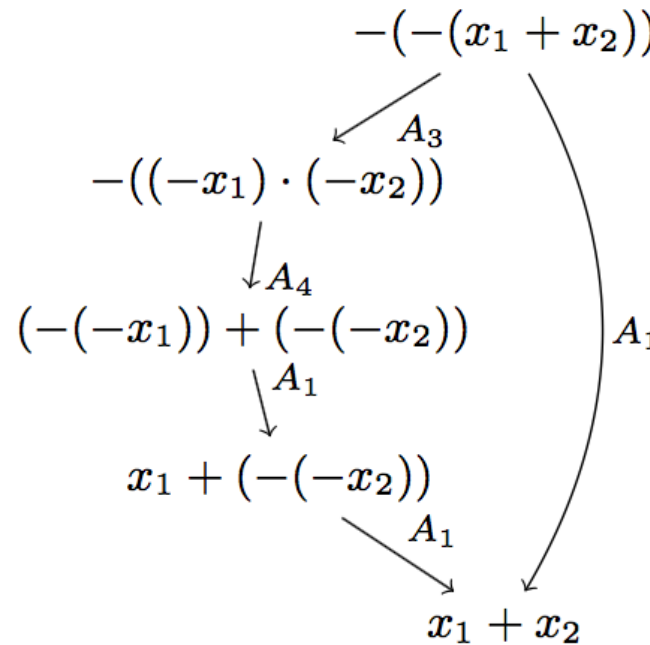
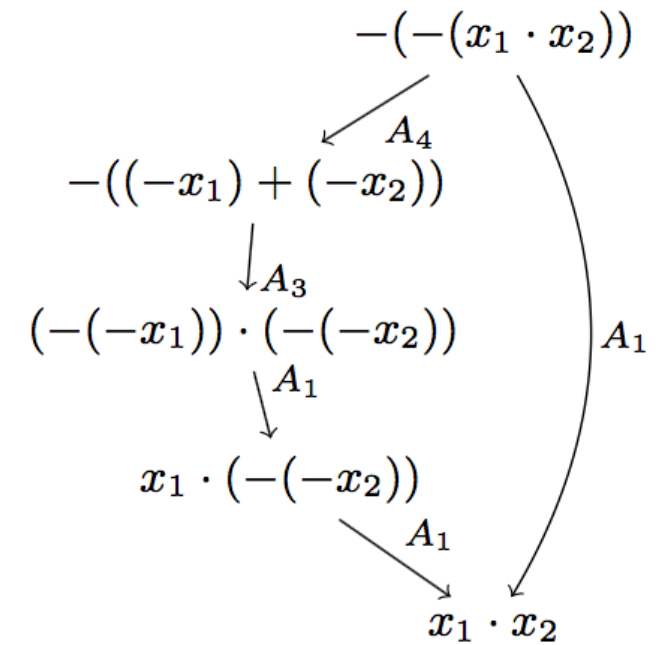
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Definition of $e(R)$

Let $d = \deg(R)$

Consider $D(R)$ as a matrix over $\mathbb{Z}/d\mathbb{Z}$

- ▶ $\simeq \mathbb{Z}$ if $d = 0$
- ▶ $\simeq \mathbb{F}_d$ (finite field) if d is prime

If d is prime: $e(R) = \text{rank}(D(R))$

If $d = 0$: compute the "Smith normal form" of $D(R)$
by elementary row/column operations

$e(R) = (\text{the number of } \pm 1\text{s in the Smith n.f.})$

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Definition of $e(R)$

$$\begin{pmatrix} e_1 & 0 & \dots & \dots & \dots & \dots & \dots & 0 \\ 0 & e_2 & 0 & \dots & \dots & \dots & \dots & 0 \\ \vdots & 0 & \ddots & \dots & \dots & \dots & \dots & \vdots \\ \vdots & \vdots & 0 & e_r & 0 & \dots & \dots & \vdots \\ \vdots & \vdots & \vdots & 0 & 0 & \dots & \dots & \vdots \\ \vdots & \vdots & \vdots & \vdots & \vdots & \ddots & \dots & \vdots \\ 0 & 0 & \dots & \dots & \dots & \dots & 0 & 0 \end{pmatrix}$$

e_i divides e_{i+1} ($1 \leq i < r$)

over $\mathbb{Z}/d\mathbb{Z}$

$\simeq \mathbb{Z}$ if $d = 0$

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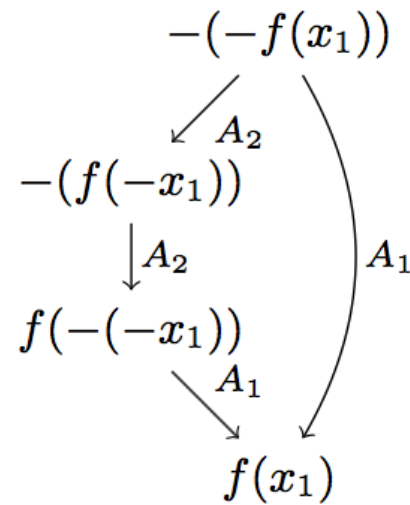
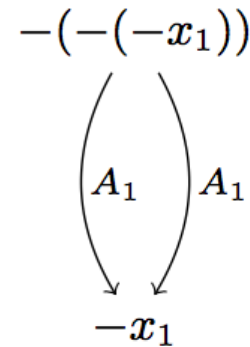
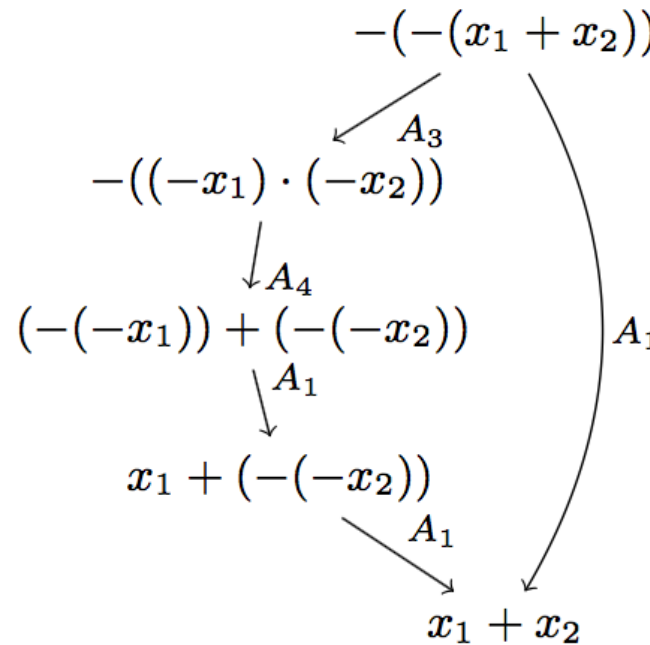
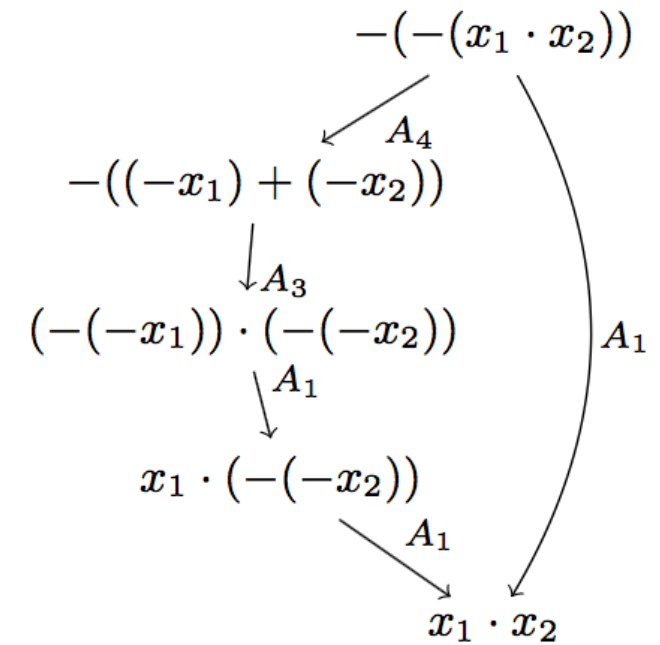
Outline

- ▶ Definitions of \deg , $e(R)$
- ▶ **Examples**
- ▶ Proof Overview
- ▶ More About Homology & History
- ▶ Conclusion

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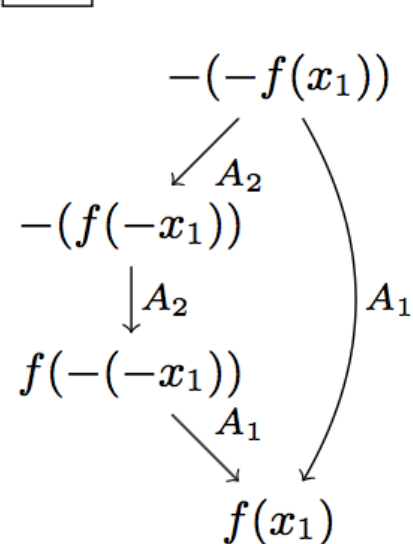
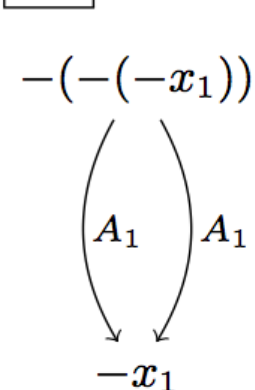
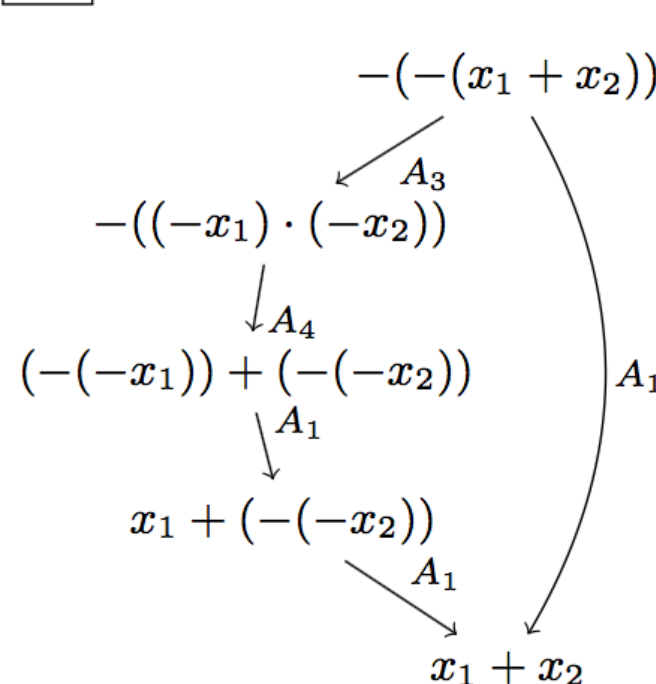
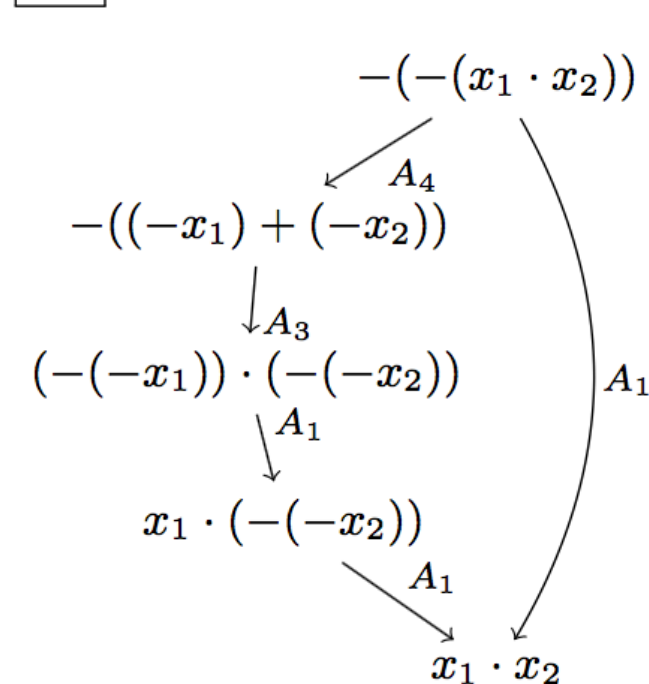
 C_1

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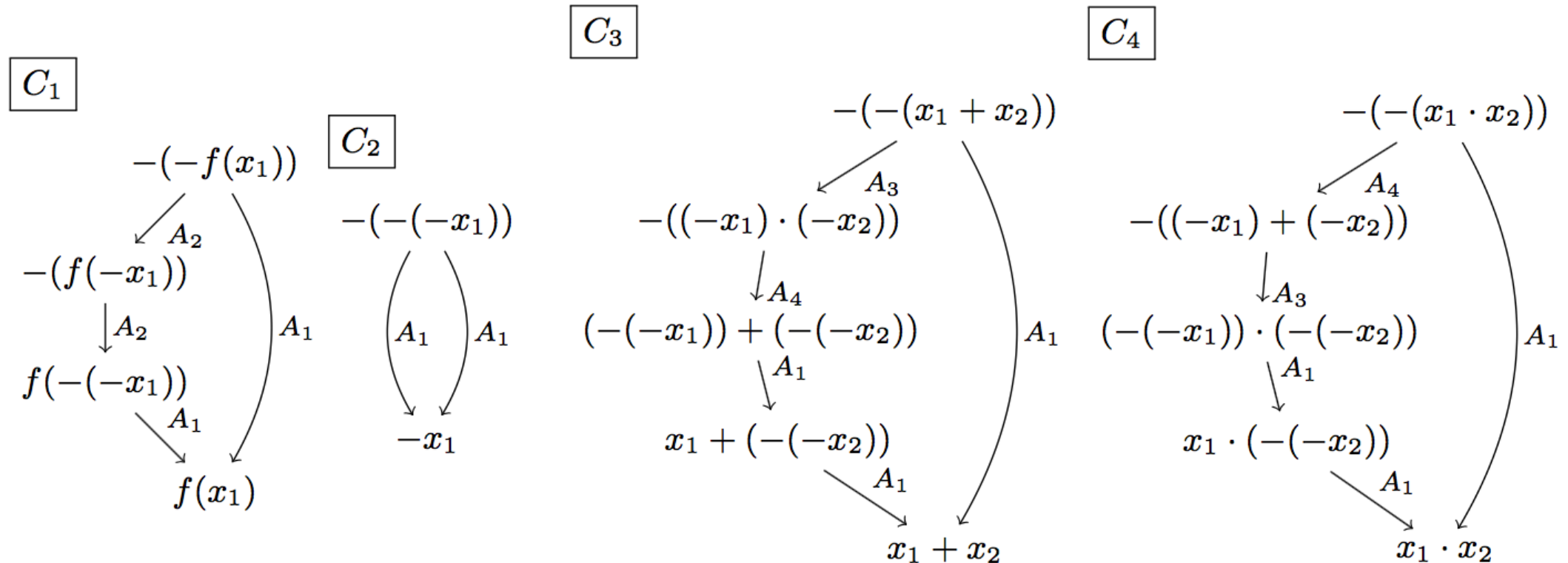
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Example: (cont.)

$$R = \left\{ \begin{array}{ll} A_1 . -(-x_1) \rightarrow x_1, & A_2 . -f(x_1) \rightarrow f(-x_1), \\ A_3 . -(x_1 + x_2) \rightarrow (-x_1) \cdot (-x_2), & A_4 . -(x_1 \cdot x_2) \rightarrow (-x_1) + (-x_2) . \end{array} \right\}$$

By Main Theorem:

$$\#R - e(R) = 4 - 1 = 3 \leq \#R'$$

for any equivalent TRS R'

\Rightarrow There is no equivalent TRS with 2 rules

An equivalent TRS with 3 rules: $\{A_1, A_2, A_3\}$

Example (the theory of groups)

► Complete TRS

$$\begin{array}{ll}
 (x_1 \cdot x_2) \cdot x_3 \rightarrow x_1 \cdot (x_2 \cdot x_3) & e \cdot x_1 \rightarrow x_1 \\
 x_1 \cdot e \rightarrow x_1 & x_1 \cdot x_1^{-1} \rightarrow e \\
 x_1^{-1} \cdot x_1 \rightarrow e & x_1^{-1} \cdot (x_1 \cdot x_2) \rightarrow x_2 \\
 e^{-1} \rightarrow e & (x^{-1})^{-1} \rightarrow x \\
 x_1 \cdot (x_1^{-1} \cdot x_2) \rightarrow x_2 & (x_1 \cdot x_2)^{-1} \rightarrow x_1^{-1} \cdot x_2^{-1}
 \end{array}$$

with 48 critical pairs

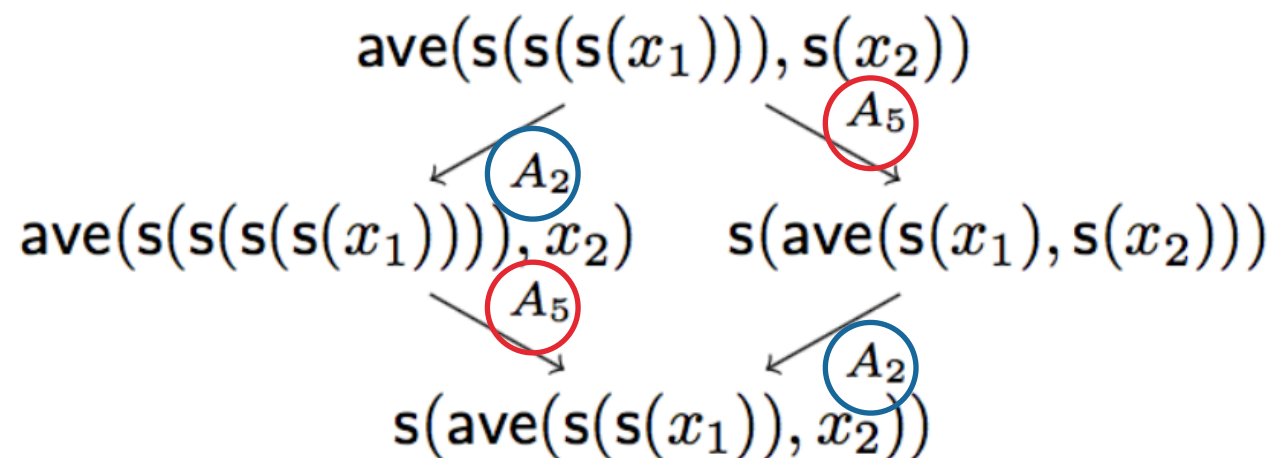
► My program (<https://github.com/mir-ikbch/homtrs>)

computes $MM(\Sigma, R)$, $\deg(R)$, $D(R)$, $e(R)$

► $e(R) = 8$ ($\because \#R - e(R) = 2$), $MM(\Sigma, R) = 0$

Example (average and successors)

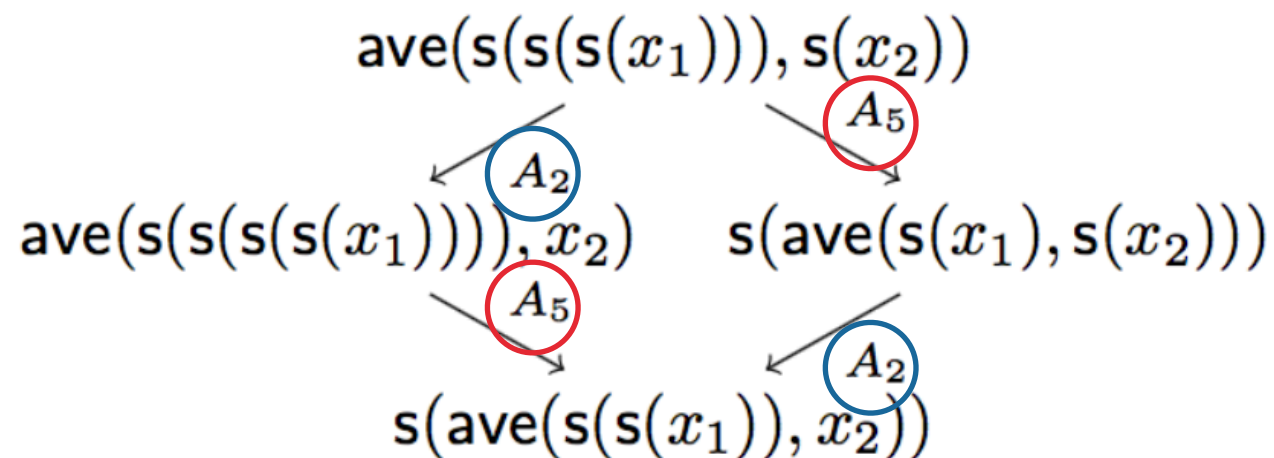
$$\begin{aligned}
 A_1. \text{ave}(0, 0) &\rightarrow 0, & A_2. \text{ave}(x_1, s(x_2)) &\rightarrow \text{ave}(s(x_1), x_2), & A_3. \text{ave}(s(0), 0) &\rightarrow 0, \\
 A_4. \text{ave}(s(s(0)), 0) &\rightarrow s(0), & A_5. \text{ave}(s(s(s(x_1))), x_2) &\rightarrow s(\text{ave}(s(x_1), x_2)).
 \end{aligned}$$



- ▶ $D(R)$ is the 5×1 zero matrix. $\Rightarrow e(R) = 0$. $\therefore \#R - e(R) = \#R = 5$
- ▶ Generally: Given a TRS, if any critical pair is of "this type", then the TRS does not have any smaller equivalent TRSs.

Example (average and successors)

$$\begin{aligned}
 A_1.ave(0, 0) &\rightarrow 0, & A_2.ave(x_1, s(x_2)) &\rightarrow ave(s(x_1), x_2), & A_3.ave(s(0), 0) &\rightarrow 0, \\
 A_4.ave(s(s(0)), 0) &\rightarrow s(0), & A_5.ave(s(s(s(x_1))), x_2) &\rightarrow s(ave(s(x_1), x_2)).
 \end{aligned}$$



the left path and the right path
have the same multiset of
rewrite rules

- ▶ $D(R)$ is the 5×1 zero matrix. $\Rightarrow e(R) = 0$. $\therefore \#R - e(R) = \#R = 5$
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Outline

- ▶ Definitions of \deg , $e(R)$
 - ▶ Examples
- ▶ **Proof Overview**
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Assumption & Notation

- ▶ Assume $d = \deg(R)$ is prime for simplicity
 - ▶ $\mathbb{Z}/d\mathbb{Z} = \{0, 1, \dots, d-1\}$ forms a field
 - ▶ $\mathbb{Z}/d\mathbb{Z}^n = \underbrace{\mathbb{Z}/d\mathbb{Z} \times \dots \times \mathbb{Z}/d\mathbb{Z}}_n : n\text{-dim. vector space}$
- ▶ (For $d = 0$, $\mathbb{Z}/d\mathbb{Z} \simeq \mathbb{Z}$ does not form a field, so the proof is more complicated.)

Main tools: linear algebra & Malbos-Mimram's results

Malbos-Mimram's Lower Bound

They introduced two linear maps

$$\tilde{\partial}_1: \mathbb{Z}/d\mathbb{Z}^{\#R} \rightarrow \mathbb{Z}/d\mathbb{Z}^{\#\Sigma},$$

$$\tilde{\partial}_2: \mathbb{Z}/d\mathbb{Z}^{\#\text{CP}(R)} \rightarrow \mathbb{Z}/d\mathbb{Z}^{\#R}$$

$$MM(\Sigma, R) := \dim(\ker \tilde{\partial}_1 / \text{im} \tilde{\partial}_2) \leq \#R$$

$MM(\Sigma, R) = MM(\Sigma', R')$ if (Σ, R) & (Σ', R') are equivalent.

(shown via homological algebra.

$\ker \tilde{\partial}_1 / \text{im} \tilde{\partial}_2$ is called the "second homology")

$\therefore MM(\Sigma, R) \leq \#R'$ for any R' equivalent to R

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If R is complete, the matrix representation is $D(R)$

$$\ker \tilde{\partial}_1 = \{x \mid \tilde{\partial}_1(x) = 0\}$$

$$\text{im} \tilde{\partial}_2 = \{\tilde{\partial}_2(x) \mid x \in \mathbb{Z}/d\mathbb{Z}^{\#\text{CP}(R)}\}$$

subspaces of $\mathbb{Z}/d\mathbb{Z}^{\#R}$

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subspaces of $\mathbb{Z}/d\mathbb{Z}^{\#R}$

$$MM(\Sigma, R) := \dim(\ker \tilde{\partial}_1 / \text{im} \tilde{\partial}_2) \leq \#R$$

$$\because \dim(\ker \tilde{\partial}_1 / \text{im} \tilde{\partial}_2) \leq \dim(\ker \tilde{\partial}_1) \leq \dim(\mathbb{Z}/d\mathbb{Z}^{\#R}) = \#R$$

$MM(\Sigma, R) = MM(\Sigma', R')$ if (Σ, R) & (Σ', R') are equivalent.

(shown via homological algebra.

$\ker \tilde{\partial}_1 / \text{im} \tilde{\partial}_2$ is called the "second homology")

$$\therefore MM(\Sigma, R) \leq \#R' \quad \text{for any } R' \text{ equivalent to } R$$

Proof Overview

- ▶ $\#R - e(R)$ equals the dimension of $V := (\mathbb{Z}/d\mathbb{Z}^{\#R})/\text{im}\tilde{\partial}_2$

$$\left(\begin{array}{l} \because \dim((\mathbb{Z}/d\mathbb{Z}^{\#R})/\text{im}\tilde{\partial}_2) = \dim(\mathbb{Z}/d\mathbb{Z}^{\#R}) - \dim(\text{im}\tilde{\partial}_2) \\ \qquad \qquad \qquad = \#R - \text{rank}(D(R)) = \#R - e(R) \end{array} \right)$$

- ▶ By more theorems from linear algebra,

$$\dim(V) = \dim(\ker \tilde{\partial}_1/\text{im}\tilde{\partial}_2) + \dim(\text{im}\tilde{\partial}_1) \leq \#R$$

Any equivalent R, R' give the same $\dim(\text{im}\tilde{\partial}_1)$

and the same $\dim(\ker \tilde{\partial}_1/\text{im}\tilde{\partial}_2) = MM(\Sigma, R)$

$\#R - e(R) = \dim(V) = \dim(\ker \tilde{\partial}_1/\text{im}\tilde{\partial}_2) + \dim(\text{im}\tilde{\partial}_1)$: invariant

$$\therefore \#R - e(R) \leq \#R'$$

□

Main Theorem

Fix Σ . R : complete TRS over Σ . If $\deg(R)$ is 0 or prime,
 $\exists e(R)$: (computable) nonnegative integer s.t.

$$\#R - e(R) \leq \#R'$$

for any R' over Σ equivalent to R .

What if $d = \deg(R)$ is not either 0 or prime?

- ▶ $\mathbb{Z}/d\mathbb{Z}$ has zero divisors.

- ▶ e.g., for $d = 4$, $2 \times 2 = 4 \equiv 0 \pmod{4}$.

⇒ Many useful theorems don't work.

- ▶ e.g., "Smith normal form" is no longer well defined.

Outline

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String Rewriting Systems

- ▶ String Rewriting Systems (SRSs)
 - ▶ Alphabet Σ
 - ▶ Rules $R = \{ s_1 \rightarrow t_1, s_2 \rightarrow t_2, \dots \}$ $s_i, t_i \in \Sigma^*$ (strings over Σ)
- ▶ Example
 - ▶ $\Sigma = \{a, b\}, R = \{ ba \rightarrow ab, abb \rightarrow \varepsilon \}$
$$abab \rightarrow aabb \rightarrow a$$

How SRSs relate to algebra? — Monoids Presentation

- ▶ Any SRS (Σ, R) presents a monoid $M = \Sigma^* / \leftrightarrow_R^*$
(multiplication: string concatenation)

- ▶ Example:

- ▶ $\Sigma = \{a\}, R = \{aa \rightarrow \varepsilon\} \Rightarrow \Sigma^* = \{a^n\},$

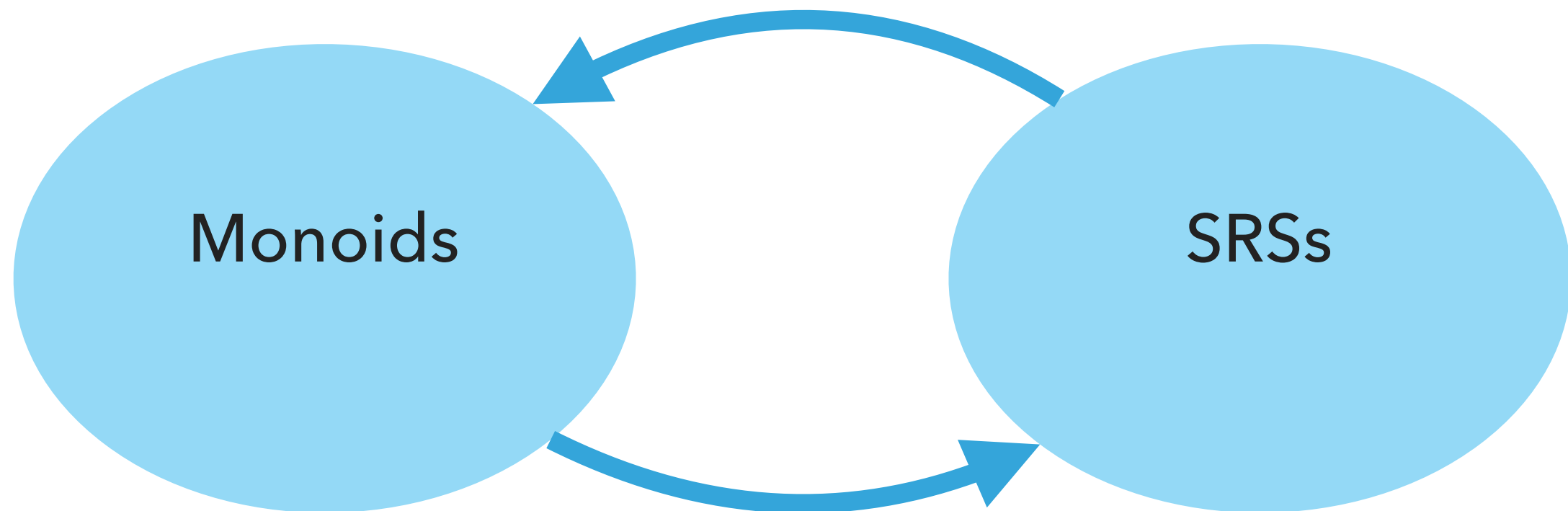
$$M = \{[\varepsilon], [a]\}, [aa] = [\varepsilon]$$

- ▶ $\Sigma = \{a, b\}, R = \{ba \rightarrow ab\} \Rightarrow \Sigma^* = \{\varepsilon, a, b, aa, ab, ba, \dots\},$

$$M = \{[a^n b^m]\}, [ba] = [ab], [bba] = [abb], \dots$$

Monoids vs SRSs

- ▶ Equivalent SRSs present isomorphic monoids
- ▶ Any monoid can be presented by an SRS (possibly with an infinite alphabet & rules)

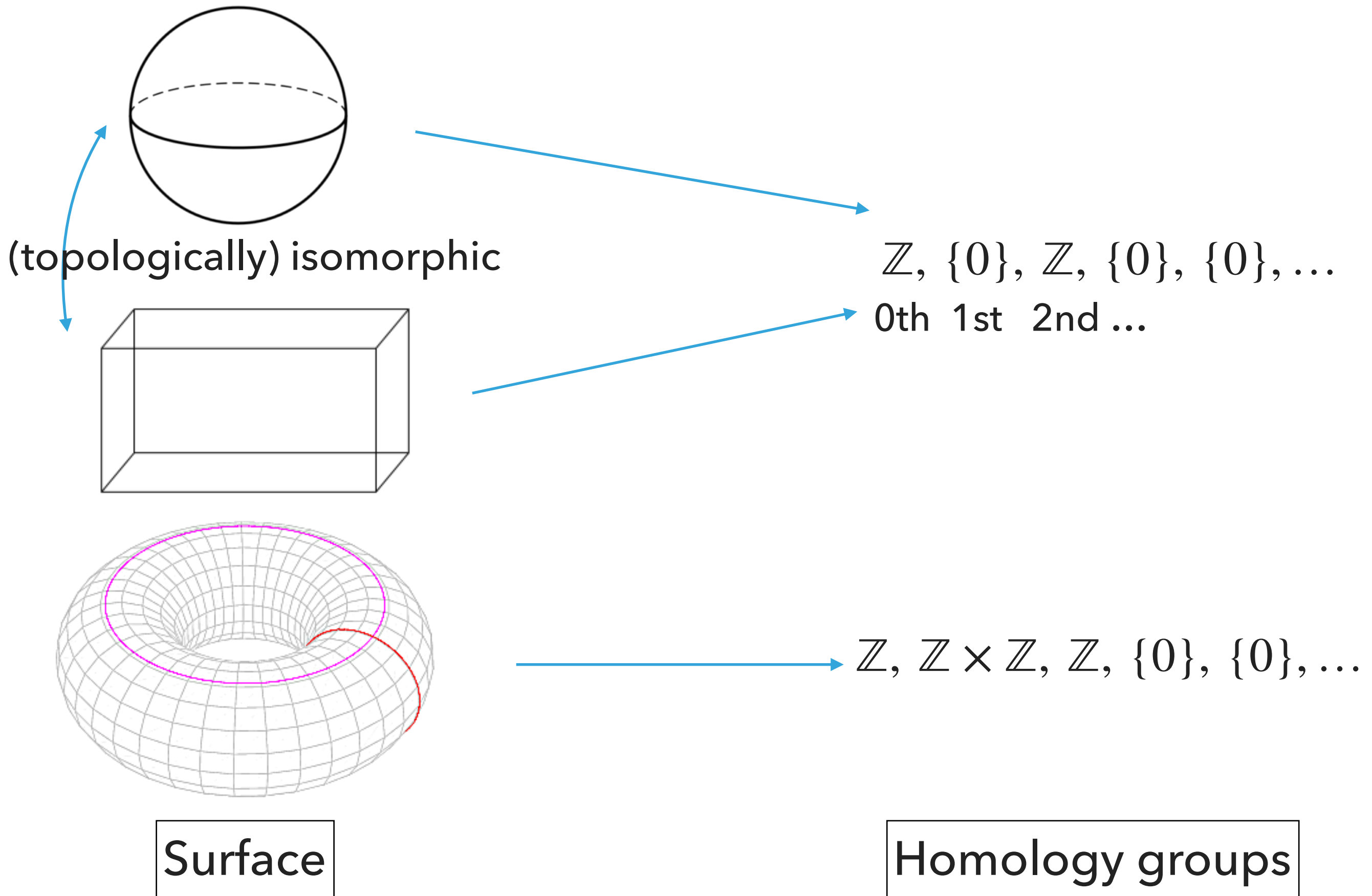


Homology Groups in General

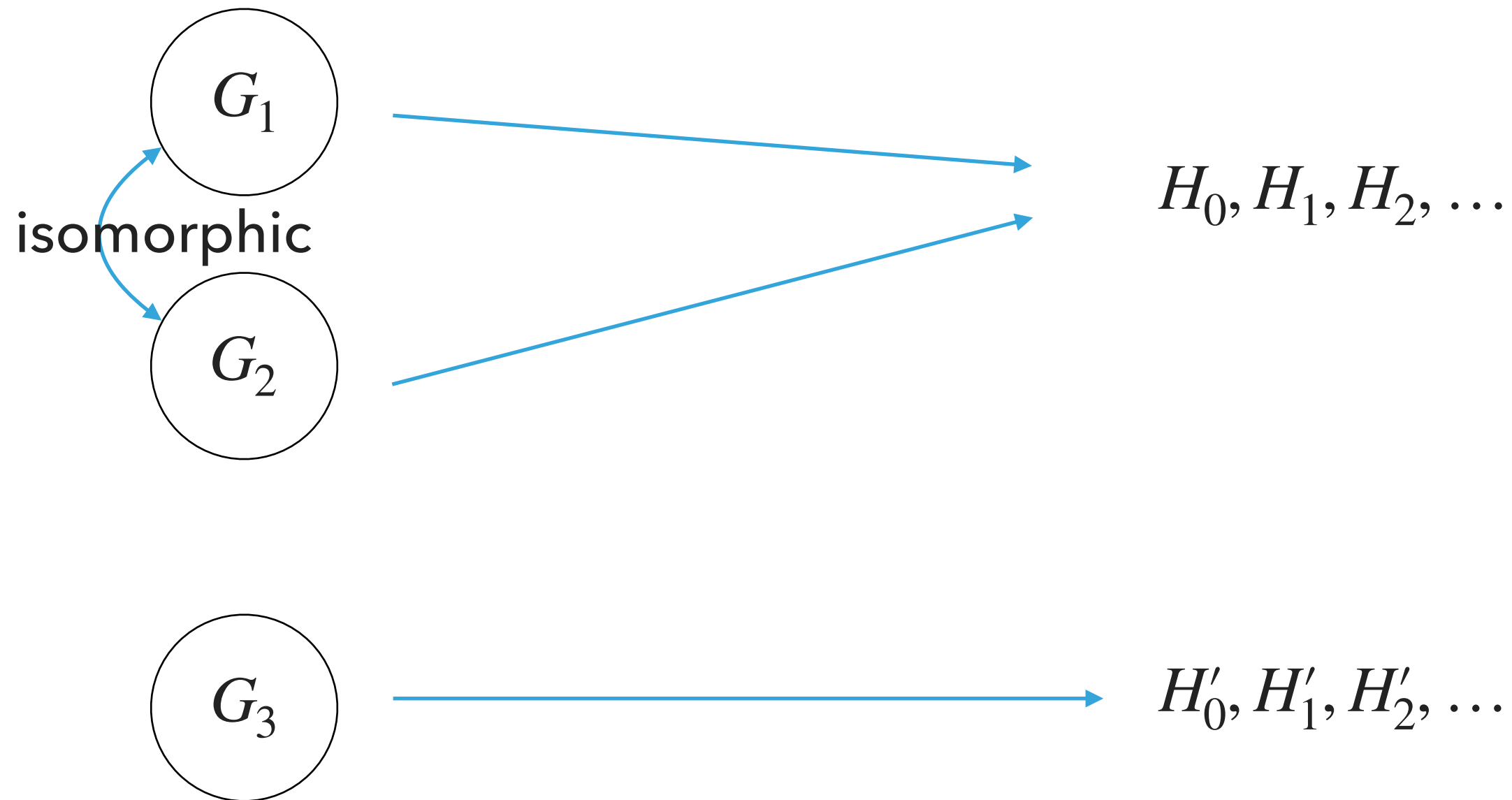
- ▶ There are many types of homology groups
 - ▶ Homology groups of a topological space
 - ▶ Homology groups of a group
 - ▶ ...
 - ▶ Homology groups of a general algebraic system (Quillen)
- ▶ Corresponds an “object” to a sequence of abelian groups that extracts some information from the object

For topological spaces:

32



For groups:



Group

Homology groups

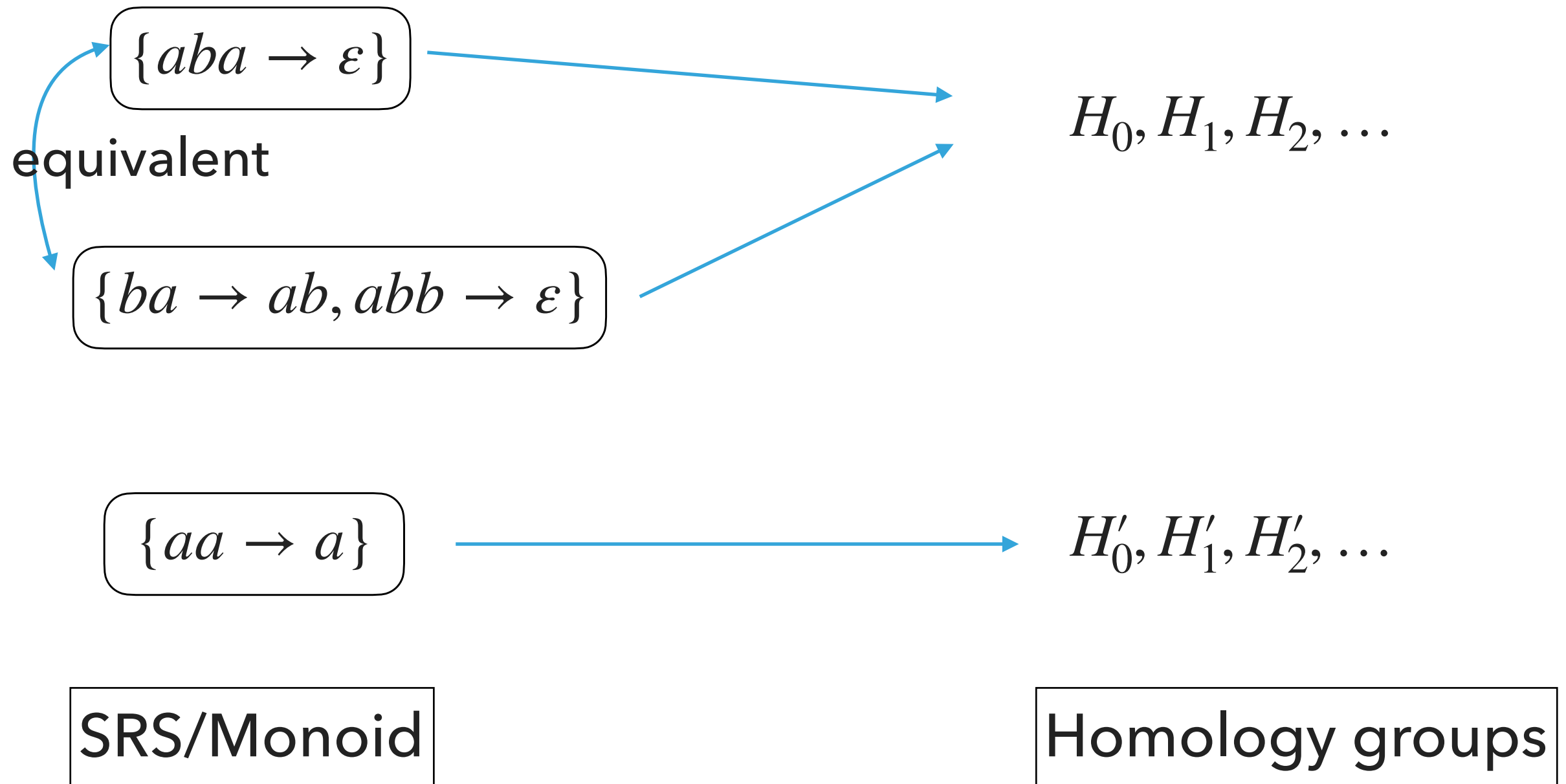
Homology groups of a group (= group homology)

- ▶ Group presentation – Σ : alphabet, R : set of strings on $\Sigma \cup \Sigma^{-1}$ ($\Sigma^{-1} = \{a^{-1} \mid a \in \Sigma\}$, a^{-1} is the formal inverse of a)
- ▶ Monoid presented by alphabet $\Sigma \cup \Sigma^{-1}$ and rules $\{w \rightarrow \varepsilon \mid w \in R \cup \{xx^{-1}, x^{-1}x \mid x \in \Sigma\}\}$ forms a group
- ▶ Any group can be presented in this way.
- ▶ [Epstein, Q. J. Math., 1961] If G is presented by finite Σ, R ,

$$\#R - \#\Sigma \geq s(H_2(G)) - \text{rank} H_1(G)$$

2nd & 1st homology groups of G

- ▶ We can construct homology groups for monoids/SRSs



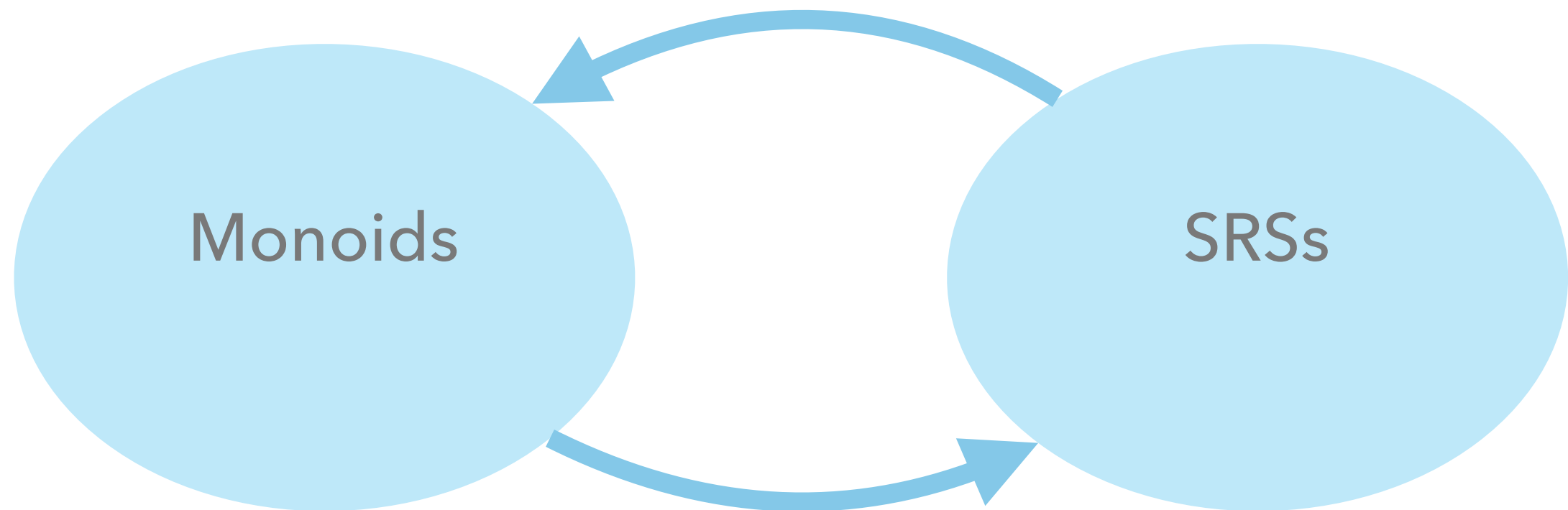
but no application to rewriting known until 1987

[Squier, J. Pure Appl. Algebra, 1987]

- ▶ Solved an open problem at the time: "Does there exist a monoid with a solvable word problem that cannot be presented by any finite complete SRS?" - Yes
 - ▶ Word problem is solvable = equality is decidable
 - ▶ If a finite complete SRS presents a monoid, the word problem of the monoid is solvable
- ▶ Squier discovered that if the 3rd homology group constructed from a complete SRS is not finitely generated, then the SRS is infinite. (His main theorem is even stronger)

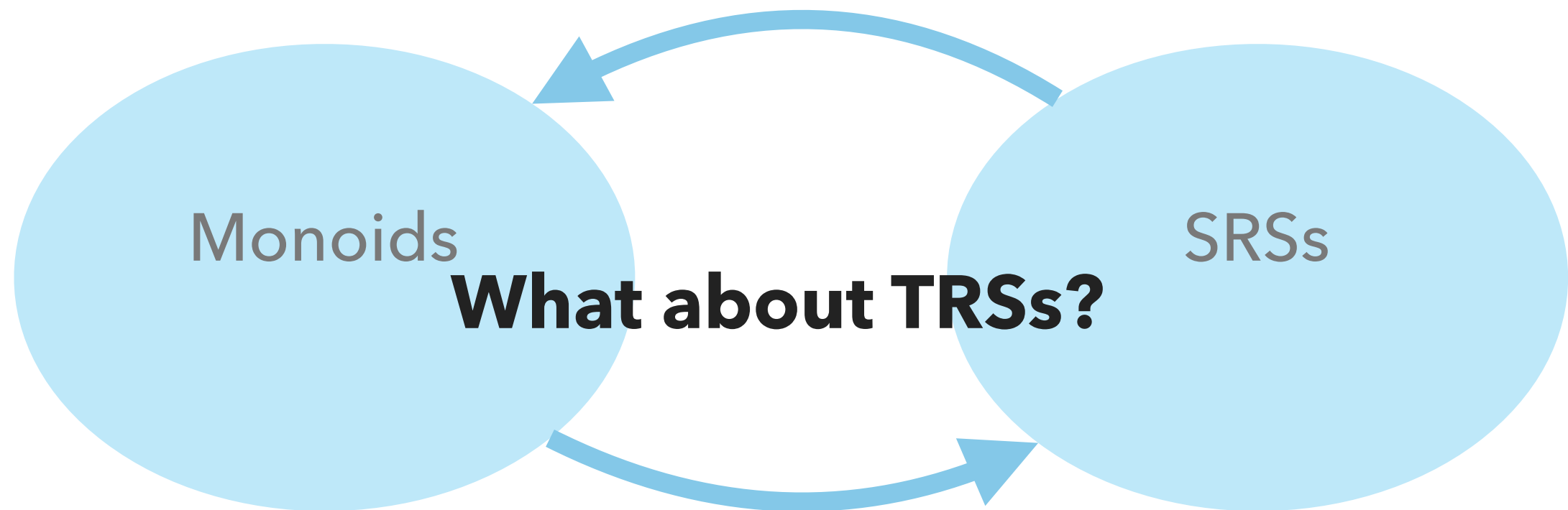
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- ▶ Any monoid can be presented by an SRS (possibly with an infinite alphabet & rules)



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- ▶ $\langle g(x_1), f(x_2, x_3) \rangle \cdot \langle c, f(x_2, x_1), g(c) \rangle = \langle g(c), f(f(x_2, x_1), g(c)) \rangle$
- ▶ (n -tuple with k kinds of vars) \cdot (k -tuple with m kinds of vars)
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- ▶ Monoids with typed (sorted) multiplication



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- ▶ Monoids with typed (sorted) multiplication = Category

Category of Terms

- ▶ Objects: natural numbers $0, 1, 2, 3, \dots$
- ▶ Morphisms $k \rightarrow n$: n -tuples of terms with vars in $\{x_1, \dots, x_k\}$
- ▶ Composition (multiplication): $(k \rightarrow n) \cdot (m \rightarrow k) : (m \rightarrow n)$
 $\langle t_1, \dots, t_n \rangle \cdot \langle s_1, \dots, s_k \rangle = \langle t_1[s_1/x_1, \dots, s_k/x_k], \dots, t_n[s_1/x_1, \dots, s_k/x_k] \rangle$
- ▶ Identity: $\langle x_1, \dots, x_n \rangle : n \rightarrow n$

Term version of the free monoid Σ^* .

Lawvere Theories

- ▶ A Lawvere theory is a category whose objects are $0, 1, 2, \dots$ where n equals the n th categorical power of 1

(Any morphism $n \rightarrow k$ is a n -tuple of $1 \rightarrow k$)
- ▶ (SRS vs Monoid) = (TRS vs Lawvere theory)
- ▶ The Lawvere theory presented by a TRS R : Any term t is identified with s iff $t \leftrightarrow_R^* s$

Homology Groups for Lawvere theories/TRSs

- ▶ [Jibladze & Pirashvili, J. of Algebra, 1991] defined cohomology groups of Lawvere theories
- ▶ [Malbos & Mimram, FSCD 2016] figured out how to compute the 2nd homology H_2 when the given TRS is complete and # of rules is bounded below by # of generators of H_2 .
- ▶ [Ikebuchi, FSCD 2019] better lower bound I showed today

Outline

- ▶ Definitions of \deg , $e(R)$
 - ▶ Examples
- ▶ Proof Overview
- ▶ More About Homology & History
- ▶ **Conclusion**

Conclusion

- ▶ We obtained a lower bound of the number of rewrite rules to present a TRS over a fixed signature.
- ▶ Relationship between rewriting and abstract algebra
- ▶ New algebraic tools & more research directions of TRSs/equational theories