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# Term Algebras

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## Signatures and finite terms

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$\Sigma$  : 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  $\Sigma$  :

$f$  has arity  $n$

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

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

## Example :

Signature :

$z$ :	arity 0	$s$ :	arity 1
$+$ :	arity 2	$eq$ :	arity 2
$true$ :	arity 0	$false$ :	arity 0

Terms :

$eq(s(x + z), z)$     $eq(true, false)$     $eq(s(x + z), false)$

closed

## Positions of terms

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

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

$Pos(t)$  : 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

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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 a prefix of 1211"
231	$\geq_{pref}$	23	"231 is a suffix of 23"
12	$\not\leq_{pref}$	2	"12 is parallel to 2"

12  $\not\leq_{pref}$  2 & 2  $\not\leq_{pref}$  12

## Sub-terms

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

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

$v \triangleleft t$  :  $v$  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

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$t|_p$  : 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

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$t[p//v]$  : **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  $(s[t]_p)[r]_q = (s[r]_q)[t]_p$ .

## $\Sigma$ -algebras

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A  $\Sigma$ -algebra  $\mathcal{A}$  is defined by :

- A non-empty domain  $\mathbf{A}$ .
- An interpretation function  $f^{\mathcal{A}} : \mathbf{A}^n \mapsto \mathbf{A}$ , for each  $f/n$ .

**Example :** Let  $\Sigma = \{z, s, p\}$ .

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

## Congruence

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The symbol  $f \in \Sigma$  is **monotonic** w.r.t the relation  $R$  iff

$a_i R b_i$  implies  $f.A(a_1, \dots, a_n) R f.A(b_1, \dots, b_n)$ .  
reflexive, symmetric, transitive

A **congruence**  $\sim$  is an equivalence relation, s.t. 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  $\sim$ .

## The quotient algebra

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Quotient algebra  $\mathcal{A}^\sim$  over  $\mathcal{A}$  :

- Domain  $\mathcal{A}/\sim$
- Interpretations  $f^{\mathcal{A}^\sim}([a_1], \dots, [a_n]) = [f^{\mathcal{A}}(a_1, \dots, a_n)]$ .

**Example :** Let  $\Sigma = \{z, suc, pred, add\}$  and let  $\mathcal{A}$  be the  $\Sigma$ -algebra given by  $\mathbf{A} = \mathbf{Z}$ ,  $suc^{\mathcal{A}}(n) = n + 1$ ,  $pred^{\mathcal{A}}(n) = n - 1$  and  $add^{\mathcal{A}}(n, m) = n + m$ .

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

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

$$[0] = \{\dots, -4, 0, 4, 8, \dots\}$$

$$[1] = \{\dots, -3, 1, 5, 9, \dots\}$$

$$[2] = \{\dots, -6, -2, 2, 6, 10, \dots\}$$

$$[3] = \{\dots, -5, -1, 3, 7, \dots\}$$

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

## Homomorphism, endomorphism, isomorphism

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Let  $\mathcal{A}$  and  $\mathcal{B}$  be two  $\Sigma$ -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  $a_1, \dots, a_n \in \mathcal{A}$  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  $\Sigma$ -algebra  $\mathcal{A}$  is a morphism from  $\mathcal{A}$  to itself. An **isomorphism** is a bijective morphism.

**Exercise :** Let  $\Sigma = \{a, s, g, h\}$ . Define a  $\Sigma$ -algebra  $\mathcal{B}$  and a morphism  $\Phi$  between the syntactic  $\Sigma$ -algebra and  $\mathcal{B}$ .

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

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

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

Let  $\Phi$  be the following function :

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

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  $\Sigma$ .

## Valuations

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

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

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

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

**Remarque :** We usually do not distinguish  $\sigma$  and  $\hat{\sigma}$



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

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Given a  $\mathcal{A}$ -valuation  $\sigma$ , we can always construct **the**  $\mathcal{A}^\sim$ -valuation  $\sigma^\sim(x) = [\sigma(x)]_\sim$ .

Given a  $\mathcal{A}^\sim$ -valuation  $\sigma^\sim$ , we can always construct **a**  $\mathcal{A}$ -valuation  $\sigma$  s.t.  $\sigma^\sim(x) = [\sigma(x)]_\sim$ .

## Substitutions as valuations

the set of all the terms

having a finite domain

A substitution from  $\mathcal{X}$  to the syntactic algebra.

**Finite** substitutions 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  $\theta(t) = f(g(a), g(f(x, x)))$ .

## Semantical equational reasoning

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

A  $\Sigma$ -algebra  $\mathcal{A}$  is a **model** of a **set of  $\Sigma$ -equations**  $\mathcal{E}$ , noté  $\mathcal{A} \models \mathcal{E}$ , iff  $\mathcal{A}$  is a model of every equation of  $\mathcal{E}$  (e.g.  $\sigma(s) = \sigma(t)$  holds for every  $\mathcal{A}$ -valuation  $\sigma$ ).

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

## Properties of semantical equational reasoning

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- $\mathcal{A} \models s \doteq s$ .
- 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  $p$ . ▪

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

*Proof.* We want to prove  $\sigma(\theta(s)) = \sigma(\theta(t))$  for every

$\mathcal{A}$ -valuation  $\sigma$  so that let us take an arbitrary  $\mathcal{A}$ -valuation  $\sigma$ . Let

$\tau_\sigma$  be the  $\mathcal{A}$ -valuation given by  $\tau_\sigma(x) = \sigma(\theta(x))$ . Show by

induction on  $u$  that  $\tau_\sigma(u) = \sigma(\theta(u))$ . Now,  $\mathcal{A} \models s \doteq t$  implies

$\tau(s) = \tau(t)$  for every  $\mathcal{A}$ -valuation  $\tau$ , so that in particular for  $\tau_\sigma$ .

Thus,  $\tau_\sigma(s) = \sigma(\theta(s)) = \sigma(\theta(t)) = \tau_\sigma(t)$ . ▪

## Semantic equational consequence

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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  $\mathcal{A} \models \mathcal{E}$  implies  $\mathcal{A} \models s \doteq t$ .

## Syntactic rules for equational reasoning

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

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

$$\frac{s \dot{=} t}{\sigma(s) \dot{=} \sigma(t)} \quad (\text{substitution}) \qquad \frac{s \dot{=} t}{u[s]_p \dot{=} u[t]_p} \quad (\text{context})$$

**Derivation** of  $s \dot{=} t$  from the set  $\mathcal{E}$  is denoted by  $\mathcal{E} \vdash s \dot{=} t$ .

## Example

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Let  $\mathcal{E} = \{0 + x \doteq x, s(y) + x \doteq s(y + x)\}$ .

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

$$\frac{\frac{s(y) + x \doteq s(y + x)}{s(0) + 3 \doteq s(0 + 3)} \text{ (subst)}}{\frac{\frac{0 + x \doteq x}{0 + 3 \doteq 3} \text{ (subst)}}{s(0 + 3) \doteq s(3)} \text{ (ctxt)}} \text{ (tran)}$$
$$s(0) + 3 \doteq s(3)$$

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

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$$\frac{s \doteq t \in \mathcal{E}}{\sigma(s) \leftrightarrow_{\mathcal{E}} \sigma(t)} \quad (\forall \text{ subst. } \theta) \qquad \frac{s \leftrightarrow_{\mathcal{E}} t}{u[s]_p \leftrightarrow_{\mathcal{E}} u[t]_p} \quad (\forall u \forall p)$$

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

### Exercise :

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



## Properties of $\leftrightarrow_{\mathcal{E}}^*$

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

## Substitution Lemma

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Let  $\sigma^\sim$  be a  $\mathcal{A}^\sim$ -valuation and let  $\theta$  be a  $\mathcal{A}$ -valuation s.t.  $\sigma^\sim : x \mapsto [\theta(x)]_\sim$ . Then  $\sigma^\sim(t) = [\theta(t)]_\sim$  for every term  $t$ .

*Proof.* By induction on  $t$ . ■

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

An even more particular case is when  $\theta$  is the **empty** substitution so that  $t \sigma^\sim(t) = [t]$ .

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

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Take any  $s \doteq t \in \mathcal{E}$ . Take an arbitrary  $\mathcal{T}(\mathcal{X}, \Sigma)^{\leftrightarrow_{\mathcal{E}}^*}$ -valuation  $\sigma^{\leftrightarrow_{\mathcal{E}}^*}$ . We've remarked that there exists a  $\mathcal{T}(\mathcal{X}, \Sigma)$ -valuation  $\theta$  s.t.  $\sigma^{\leftrightarrow_{\mathcal{E}}^*}(x) = [\theta(x)]$ .

Now,  $s \doteq t \in \mathcal{E}$  implies

$\mathcal{E} \vdash s \doteq t$  iff  $s \leftrightarrow_{\mathcal{E}}^* t$  implies

$\theta(s) \leftrightarrow_{\mathcal{E}}^* \theta(t)$  iff  $[\theta(s)] = [\theta(t)]$  iff (Subst. Lemma)

$\sigma^{\leftrightarrow_{\mathcal{E}}^*}(s) = \sigma^{\leftrightarrow_{\mathcal{E}}^*}(t)$ .

Thus, any  $\mathcal{T}(\mathcal{X}, \Sigma)^{\leftrightarrow_{\mathcal{E}}^*}$ -valuation satisfies the equations of  $\mathcal{E}$  so that  $\mathcal{T}(\mathcal{X}, \Sigma)^{\leftrightarrow_{\mathcal{E}}^*}$  is a model of  $\mathcal{E}$ .

## Birkhoff's Theorem (1933)

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

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

*Proof.* By induction on the derivation  $\mathcal{E} \vdash s \doteq t$  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  $\mathcal{E}$ , then  $\mathcal{T}(\mathcal{X}, \Sigma)^{\leftrightarrow^*_{\mathcal{E}}} \models s \doteq t$ . This means that  $\sigma^{\leftrightarrow^*_{\mathcal{E}}}(s) = \sigma^{\leftrightarrow^*_{\mathcal{E}}}(t)$  for every

$\mathcal{T}(\mathcal{X}, \Sigma) \leftrightarrow_{\mathcal{E}}^*$ -valuation  $\sigma \leftrightarrow_{\mathcal{E}}^*$ , so in particular for  $\tau : x \mapsto [x]_{\leftrightarrow_{\mathcal{E}}^*}$ .  
By the Substitution Lemma  $\tau(s) = [s]$  and  $\tau(t) = [t]$ , thus  
 $[s] = [t]$  which means  $s \leftrightarrow_{\mathcal{E}}^* t$ . We conclude  $\mathcal{E} \vdash s \doteq t$ .

■

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# Unification

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## Unification

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Two terms  $s$  and  $t$  are **unifiable** iff there exists a substitution (called **unifier**) s.t.  $\theta(s) = \theta(t)$ .

### Example :

- $f(x, g(x, a))$  and  $f(f(a), y)$  are unifiable with  
 $\theta = \{x/f(a), y/g(f(a), a)\}$

$$f(x, g(x, a)) \quad \doteq \quad f(f(a), y)$$

$$f(f(a), g(f(a), a)) \quad = \quad f(f(a), g(f(a), a))$$

- $f(x, g(x, a))$  and  $f(f(a), f(b, a))$  are not unifiable.

## Principal substitutions

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Let  $\theta$  and  $\tau$  be two substitutions and  $\mathcal{S}$  be a set of substitutions.

- The **composition** of  $\theta$  and  $\tau$  is  $(\theta \circ \tau)(x) = \widehat{\theta}(\tau(x))$  for every variable  $x \in \mathcal{X}$ .
- $\theta$  is an **instance** of  $\tau$  (or  $\tau$  is **more general** than  $\theta$ ) iff there exists a substitution  $\rho$  s.t. for every variable  $x \in \mathcal{X}$ ,  $(\rho \circ \tau)(x) = \theta(x)$ .
- $\tau \in \mathcal{S}$  is **principal** (or **most general**) iff every substitution  $\theta \in \mathcal{S}$  is an instance of  $\tau$ .

**Example :** Let  $\sigma_1 = \{y/b, z/h(c)\}$  and  $\sigma_2 = \{x/f(y), y/z\}$ .

$$\sigma_1 \circ \sigma_2 = \{x/f(b), y/h(c), z/h(c)\}.$$

$\sigma_2$  is more general than  $\sigma_1 \circ \sigma_2$ .



## Principal unifier

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**Theorem :** Let  $\mathcal{S}$  be a non-empty set of unifiers of  $s$  and  $t$ . Then, there exists a **principal unifier**  $\theta \in \mathcal{S}$  s.t. for every  $\tau \in \mathcal{S}$ ,  $\theta$  is more general than  $\tau$ . Moreover, this principal unifier is **unique** modulo renaming.

## Idempotent unifiers

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A substitution  $\theta$  is **idempotent** iff  $\theta \circ \theta = \theta$ .

**Example** :  $\{y/b, z/h(c)\}$  is idempotent.

$\{x/f(y), y/z\}$  is not idempotent.

**Theorem** : If  $s$  and  $t$  are unifiable, then there exists a **principal unifier** of  $s$  and  $t$  which is **idempotent**.

How we can construct this unifier?

## Equational systems

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An  $(\Sigma)$ equational system is a set of  $(\Sigma)$ equations of the form  $s \doteq t$ .

An equational system  $E$  is **unifiable** iff there exists a unifier (called **solution**) for all the equations of  $E$ .

**Finite** equational systems are denoted  $\{s_1 \doteq t_1, \dots, s_n \doteq t_n\}$ .

## Solved forms

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The equational system  $E = \{s_1 \doteq t_1, \dots, s_n \doteq t_n\}$  is in **solved form** iff

- All the  $s_i$  are **distinct variables**.
- No  $s_i$  appears in  $t_j$ .

**Example :**  $E_0 = \{x \doteq y, z \doteq f(a)\}$  is in solved form but

$$E_1 = \{x \doteq y, x \doteq f(a)\},$$

$$E_2 = \{x \doteq y, y \doteq f(a)\},$$

$$E_3 = \{x \doteq z, y \doteq f(y)\} \text{ do not.}$$

**Notation :** For the solved system  $E = \{\alpha_1 \doteq t_1, \dots, \alpha_n \doteq t_n\}$  we note  $\vec{E}$  the substitution  $\{\alpha_1/t_1, \dots, \alpha_n/t_n\}$ .

## The transformation rules

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$$\frac{E \cup \{s \doteq s\}}{E} \quad (\text{erase}) \quad \frac{E \cup \{t \doteq \alpha\} \quad t \notin \mathcal{X}}{E \cup \{\alpha \doteq t\}} \quad (\text{orient})$$

$$\frac{E \cup \{f(s_1, \dots, s_n) \doteq f(t_1, \dots, t_n)\}}{E \cup \{s_1 \doteq t_1, \dots, s_n \doteq t_n\}} \quad (\text{decompose})$$

$$\frac{E \cup \{\alpha \doteq s\} \quad \alpha \in \text{Var}(E) \quad \alpha \notin \text{Var}(s)}{E\{\alpha/s\} \cup \{\alpha \doteq s\}} \quad (\text{substitute})$$

## The unification algorithm

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1. Take an equational system  $E$
2. Compute a new system  $P$  by applying the transformation rules as far as possible.
3. If the system  $P$  is in solved form
  - then send the answer  $\vec{P}$
  - else fail

**Example :** Unification of the system

$$\{p(a, x, f(g(y))) \doteq p(z, f(z), f(u))\}$$

$$\frac{p(a, x, f(g(y))) \doteq p(z, f(z), f(u))}{a \doteq z, x \doteq f(z), f(g(y)) \doteq f(u)} \quad d$$

$$\frac{a \doteq z, x \doteq f(z), f(g(y)) \doteq f(u)}{z \doteq a, x \doteq f(z), f(g(y)) \doteq f(u)} \quad o$$

$$\frac{z \doteq a, x \doteq f(z), f(g(y)) \doteq f(u)}{z \doteq a, x \doteq f(a), f(g(y)) \doteq f(a)} \quad s$$

$$\frac{z \doteq a, x \doteq f(a), f(g(y)) \doteq f(a)}{z \doteq a, x \doteq f(a), u \doteq g(y)} \quad d$$

$$\frac{z \doteq a, x \doteq f(a), u \doteq g(y)}{z \doteq a, x \doteq f(a), u \doteq g(y)} \quad o$$

solved form

yields the (idempotent) substitution  $\{z/a, x/f(a), u/g(y)\}$ .

## Soundness and completeness of the algorithm

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**Theorem :** The algorithm terminates.

**Theorem :** (Soundness) If the algorithm finds a substitution  $\vec{S}$  for the problem  $P$ , then  $P$  is unifiable and  $\vec{S}$  is a m.g.u. of  $P$ .

That is,

If  $P$  is not unifiable, then the algorithm fails.

**Theorem :** (Completeness) If the system  $P$  is unifiable, then the algorithm computes the m.g.u. of  $P$ .

That is,

If the algorithm fails, then the system  $P$  is not unifiable.