HOMOLOGICAL INVARIANTS FOR TERM REWRITING SYSTEMS

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Algebraic theories

An algebraic theory consists of

- 1. operations with given arities
- 2. equations between terms generated by operations

Example

• the theory of groups is given by m: 2, e: 0, i: 1 and

$$m(m(x_1, x_2), x_3) = m(x_1, m(x_2, x_3))$$

$$m(e, x_1) = x_1 \qquad m(x_1, e) = x_1$$

$$m(i(x_1), x_1) = e \qquad m(x_1, i(x_1)) = e$$

- ▶ rings, fields, etc.
- ► (semi)lattices, booleans algebras, etc.

Models

A model of an algebraic theory consists of

- ► a set X
- an interpretation [[f]] : Xⁿ → X for each operation f of arity n
- such that the axioms are satisfied

Example

Models of the theory of groups are groups.

Equivalence between theories

Two theories are **equivalent** when they have the same models.

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Finding small axiomatizations

Can we find minimal (or small) axiomatizations for theories?

One relation for (abelian) groups



In 1938, Tarski observed that the theory of abelian groups can be axiomatized with two operations d : 2, a : 0 and one relation

$$d(x_1, d(x_2, d(x_3, d(x_1, x_2)))) = x_3$$

where *a* ensure that the model is not empty.

A **one-based** theory is a theory which can be axiomatized with only one axiom.

Remarks

Note that obtaining the axiom

$$d(x_1, d(x_2, d(x_3, d(x_1, x_2)))) = x_3$$

is not easy

- one has to think of using division instead of multiplication (there is no unique axiom with multiplication and unit)
- one has to show that this axiom is derivable and the other can be derived from it

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A. Tarski:

Der Beweis ist enthehrlich: es haudelt sich ja um Pormein, deren Gültigkeit innerhalb der Theorie der Abelschen Gruppen offenkundig ist.

Satz 1 läßt sich folgendermaßen umkehren:

Satz 2. Es est 0 cinc bolichig: Monge und $a \rightarrow b$ rine binary Operation. Sind five bickips generates $a_1, b \in O$ di k Formela 1, 1, 1, 3 und 1.3 oder auch 1.7 und 1.4 orfüllt und bottmant men die binary Operation + durch die Evened 1.5, so wird G an einer A bolenken Grapps mit der Orundoperation a+b; dabei ist $a \rightarrow b$ (the blobby $a_1bc)$ mit der einisgen Element sed idmitisch for daa $a \rightarrow b+n$ id.

Beweis. Wir nehmen zunächst an, daß 1.1 und 1.4 erfüllt sind, und leiten daraus 1.2 und 1.3 ab:

(1)	$a - (b \rightarrow [(e - b) - (a - b)]) = e - b.$	[Nach 1.1, 1.4]
(2)	b = [(e - b) - (a - b)] = a - (b - [(e - b) - b)]	-(ab)]}=:a, [Nach 1.4]
(3)	$b = \{[(c-b)-(a-b)]-(c-b)\} = a.$	[Nach (2), (1)]
(4)	$e - \{b - ([(e-b) - (a-b)] - (e-b))\} = (e - b)$	
(5)	e-a=(e-b)-(a-b).	[Nach (4), (3)]
(6)	a - [b - (c - a)] = c - b.	[Nach (1), (5)]
(7)	b - [c - (a - b)] = a - c.	[Nach (6)]
(8)	a - (a - c) = c.	[Nach 1.4, (7)]
(9)	b - (b - [c - (a - b)]) = c - (a - b).	[Nach (8)]
(10)	b - (a - c) = c - (a - b).	[Nach (9), (7)]

Aus (8) und (10) ergeben sich sofort 1.2 und 1.3. Wir wallen istet aus 1.1.1.2 und 1.5 die Belinmungen 6.1.6.4

Beitrag zur Axiomatik der Abelschen Gruppen 255

(20)	a + (b - c) = a - [(a - a) - (b - c)],	(N-1)
(21)	(a-a)-(b-c)=c-(b-(a-a))	[Nach 1.5]
(22)	(a-a)-(b-c)=c-b,	[Nach 1.3]
(23)	a + (b - c) = a - (c - b).	[Nach (21), (13)]
(24)	a - (c - b) = b - (c - a),	[Nach (10), (22)]
(25)	b+(a-c)=b-(c-a).	[Nach 1.3]
(26)	ALC A 4.1	[Nach (23)]
(37)	a + (b - [(b - b) - c]) = b + (a - [(b - b) - c])	[Nach (23), (24), (25)]
(28)	a+(b-((b-b)-c))=b+(a-((a-a)-c))	
(29)	$a + a - \lfloor (a - a) - e \rfloor = a + \lfloor a - \lfloor (a - a) - e \rfloor$	 [Nach (27), (15)]
(30)	b+c=b-[(b-b)-c] und $a+c=a-[(a-b)-c]a+(b+c)=b+(a+c)$.	
(31)	a + (v + v) = v + (a + v), a + v = v + a,	[Nach (28), (29)]
(32)		[Nach (19)]
(33)	a + (b + c) = b + (c + a).	[Nach (30), (31)]
	b + (e + a) = e + (b + a).	[Nach (30)]
(34)	b + (a + a) = a + (a + b).	[Nach (33), (19)]
(35)	c + (a + b) = (a + b) + c.	[Nach (19), (11)]
(36)	a + (b + c) = (a + b) + c.	[Nach (32), (34), (35)]
(37)	b+(a-b)=b-(b-a).	[Nach (23)]
(38)	b - (b - a) = a.	[Nach 1.2]
(39)	b + (a-b) = a.	[Nach (37), (38)]
(40)	b - (b - [(b - b) - c]) = (b - b) - c,	[Nach 1.2]
(41)	b - (b + c) - (b - b) - c.	[Nach (40), (29)]
(42)	(b - b) - [(b - b) - c] = c.	[Nach 1.2]
(43)	(b - b) - [b - (b + c)] = c.	[Nach (42), (41)]

The quest for one-based theories

There is an interesting line of efforts to find one-based theories:

- ▶ 1938: abelian groups is one-based
- ▶ 1952: groups is one-based

> . . .

- ▶ 1965: <u>semi-lattices</u> is not one-based
- ► 1970: <u>distributive lattices</u> is not one-based <u>lattices</u> is one-based (300 000 sym. / 34 var.)
- ▶ 1973: boolean algebras is one-based (\geq 40 000 000 symb.)
- ▶ 2002: boolean algebras is one-based (12 symb.)
- > 2003: lattices is one-based (29 symb. / 8 var.)

AXIOMS FOR SEMI-LATTICES

D.H. Potts

A <u>semi-lattice</u> (Birkhoff, Lattice Theory, p. 18, Ex. 1) is an algebra $<A_n$, > with a single binary operation satisfying: (1) x = xx, (2) xy = yx, and (3) (xy)z = x(yz). In this note we show that the three identities may be reduced to two but cannot be reduced to one.

It is easy to see that (2), (3) imply (4) (uv)((ux)(yz)) = ((vu)(xw))(zy). Setting w = y = u and x = z = v in (4) and using (1) we get uv = vu. Setting v = u, x = w, and z = y in (4) and using (1) we get u(wy) = (uw)y. And so (1) and (4) imply (2) and (3).

If a single identity is sufficient to define the notion of $\underline{semi-lattice}$ it must be of form x = ... Any identity not of that form is satisfied by, e.g. the algebra $< \{0, 1\}$,... where 00 = 01 = 10 = 11 = 0, which is not a semi-lattice.

Now suppose we have a semi-lattice with two distinct elements a,b. Let c = ab. Either $c \neq a$ or $c \neq b$. We suppose the latter. Then bb = b and bc = cb = cc = c. Thus any identity holding in a semi-lattice with at least two elements must have the same variables occurring on each side of the equality sign. For suppose "x" occurs on the left but not on the right. Setting x = c and all other variables equal to b yields the contradiction c = b.

Thus a single sufficing identity would have to be of form x = f(x). Clearly such an identity will not imply (2), for the algebra $\langle \{0, 1\}, . \rangle$ where 00 = 01 = 0 and 10 = 11 = 1 satisfies x = f(x) for any f but is not commutative.

University of California, Berkeley

A semi-lattice is a set equipped with a multiplication such that

$$(xy)z = x(yz)$$
 $xy = yx$ $xx = x$

1. any axiom should be of the form x = t otherwise the non-semi-lattice

$$\begin{array}{c|ccc}
\cdot & 0 & 1 \\
\hline
0 & 0 & 0 \\
1 & 0 & 0
\end{array}$$

would be a model

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- 3. the axiom cannot be of the form x = t(x) otherwise the non-semi-lattice

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- 1. any axiom should be of the form x = t
- 2. any axiom t = u should have FV(t) = FV(u)
- 3. the axiom cannot be of the form x = t(x)
- 4. we can also show that any other choice of generators suffers from the same problem!

Not one-based theories

We are interested in showing that theories are *not* one-based:

- existing proofs are tricky and specific to particular theories
- they rely on finding counter-examples using some models

Here, instead

- we provide a method which is entirely automatic
- but it does not provide an answer in every case

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1. start from a theory ${\cal T}$

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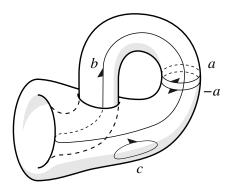
Note that:

- the theory might not be orientable as a convergent rs
- we might compute $H_2(\mathcal{T}) = 0$
- we have examples where it works though :)

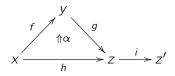
Good! Let's switch to something else.

Suppose that you have a space (e.g. a simplicial complex) and you want to compute the number of "holes" in it. There is a very efficient way of doing this:

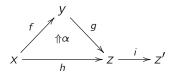
homology



Suppose that our space looks like this:

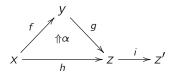


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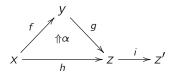


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$$\partial(f) = y - x$$
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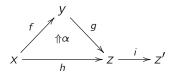
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"potential holes" can be detected as those with empty boundary:

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$$= (y - x) + (z - y) - (z - x) = 0$$

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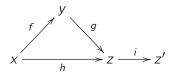
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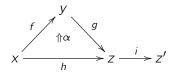
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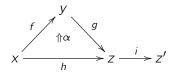
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and we can compute *i*-th homology groups:

$$H_i(X) = \ker \partial_{i-1} / \operatorname{im} \partial_i$$

The intuition is that the rank of $H_i(X)$ counts the number of holes in dimension *i*.

The *i*-th homology group is defined by

$$H_i(X) = \ker \partial_{i-1} / \operatorname{im} \partial_i$$

with

$$\partial_i$$
 : $C_{i+1} \rightarrow C_i$

In particular, we have that

 $\dim(C_i) \geq \dim(H_i(X))$

i.e.

$$C_i = \Bbbk \{x_1, \ldots, x_n\}$$

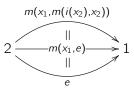
with

$$n \geq \dim(H_i(X))$$

A theory as a space

Suppose that we can see a theory ${\mathcal T}$ as a "space" with

- ▶ points: ℕ
- edges: operations
- surfaces: relations
- volumes: relations between relations (e.g. critical pairs)



then

 $\dim(H_2(\mathcal{T}))$

is a lower bound on the number of relations!

NB: in practice, we will consider a chain complex as a space...

An example

Consider the term rewriting system with a generators

$$f:2$$
 $g:2$ $a:0$ $b:0$ $c:0$

together with rules

$$\begin{array}{rcl} A & : & f(a,x_1) \Rightarrow g(a,x_1) & A' & : & f(x_1,a) \Rightarrow g(x_1,a) \\ B & : & f(b,b) \Rightarrow g(b,b) & C & : & f(c,c) \Rightarrow g(c,c) \end{array}$$

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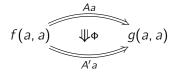
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It is terminating with one confluent critical pair



An example

Note that all the rules

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$$\partial_1(A) = g + a - f - a = g - f$$

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so that we have

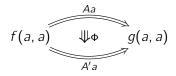
$$\partial_1(A' - A) = \partial_1(A') - \partial_1(A) = 0$$

$$\partial_1(B - A) = \partial_1(B) - \partial_1(A) = 0$$

$$\partial_1(C - A) = \partial_1(C) - \partial_1(A) = 0$$

i.e. there are 3 "potential holes".

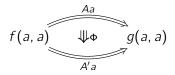
Similarly, the "balance" of the critical pair



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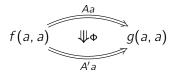
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$$A = A = C - A$$

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Therefore, we have in fact two holes:

$$A = A = B - A = C - A$$

The vector space generated by these two holes is a subspace of the one generated by rules

$$H_2(\mathcal{T}) \subseteq C_2$$

and therefore we need at least to rules to present the theory.

For "technical" reasons, we will need to first recall the contexts when computing the balance. With

$$A \quad : \quad f(a, x_1) \Rightarrow g(a, x_1)$$

we first compute

$$\partial_1(A) = \underline{g}(a, x_1) + \underline{g}(\underline{a}, x_1) - \underline{f}(a, x_1) - f(\underline{a}, x_1)$$

and then deduce

$$\partial_1(A) = g + a - f - a = g - f$$

Invariance under axiomatization

Why do we need to use such tools?

- A fundamental property of homology is that it is invariant under weak equivalences (= deformations of spaces)
- ► In the setting of theories, this will translate as

homology is invariant under the axiomatization

i.e. we have bounds on any axiomatization of the theory

This is where we need the assumption that we have a convergent rewriting system!

The balance of rules

Note that reductions can duplicate (or erase) other, e.g. with

$$F : f(x) \Rightarrow g(x, x) \qquad A : a \Rightarrow b$$

we have two equal paths

So, we cannot simply "count" the number of uses of each rule.

HOMOLOGY OF LAWVERE THEORIES

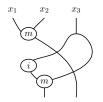
All the operations described by a Lawvere theory can be encoded into a category called a **Lawvere theory**:

- objects: natural numbers
- morphisms $m \rightarrow n$: *n*-uples of terms with variables
 - in $\{x_1, \ldots, x_m\}$ up to the relations
- composition: substitution

Example

In the theory of groups, we have the morphism

 $\langle m(i(x_3), x_3)$, $m(x_1, x_2)$ $\rangle : 3 \rightarrow 2$

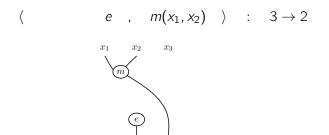


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Remark

The notion of equivalence can be changed from

having the same models

to

generating the same Lawvere theory

Definition

- A Lawvere theory is a category
 - whose objects are natural numbers
 - cartesian with product given by addition

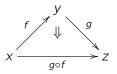
We write Theories for their category.

So, the question is, given $\mathcal{T} \in$ **Theories**, how do we define $H_i(\mathcal{T})$?

Homology of categories

To any category \mathcal{C} one can associate its **nerve** $N\mathcal{C}$:

- ▶ points: objects
- edges: morphisms
- ► triangles:

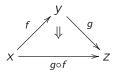


etc.

Homology of categories

To any category C one can associate its **nerve** NC:

- points: objects
- edges: morphisms
- triangles:



etc.

Problem

Since a Lawvere theory C has a terminal object, we always have

$$H_i(N\mathcal{C}) = 0$$

for i > 0.

Contexts

A **context** *C* is a term which contains exactly one instance of the "variable" \Box .

For instance,

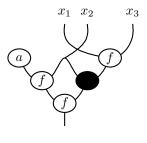
 $f(g(x_1, x_2), \Box)$

Contexts

A **bicontext** is a term with one "inside hole".

For instance

$$f(f(a, x_2), \bullet(x_2, f(x_1, x_3)))$$



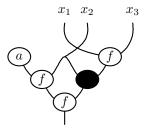
of type

 $2 \rightarrow 3$

We write \mathcal{K} for the category of bicontexts.

Contexts

A **bicontext** (*C*, *u*) consists of a context *C* and a morphism *u* (= a substitution):



is decomposed as

$$f(f(a, x_2), \Box)$$
 , $\langle x_2, f(x_1, x_3) \rangle$

The ringoid of bicontexts

A ringoid \mathcal{R} is a category enriched in **Ab**:

- each C(A, B) has a structure of group
- the expected compatibility laws hold:

$$(g + g') \circ (f + f') = g \circ f + g \circ f' + g' \circ f + g' \circ f'$$

 $0 \circ f = 0$
 $f \circ 0 = 0$

We write $\mathbb{Z}\mathcal{K}$ for the free ringoid over bicontexts, modulo the rules.

Contexts from terms

Given a term t, we write $\kappa_i(t)$ for the formal sum of contexts obtained from t by replacing one instance of x_i with \Box .

For instance,

$$\kappa_1(f(g(x_1, x_2), x_1)) = f(g(\Box, x_2), x_1) + f(g(x_1, x_2), \Box)$$

and

$$\kappa_3(f(g(x_1, x_2), x_1)) = 0$$

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Formally,

$$\kappa_i(x_i) = \Box$$
 $\kappa_i(x_j) = 0$ $\kappa_i(u \circ t) = \sum_{j \in \mathsf{FV}(u)} (\kappa_j(u)t)[\kappa_i(t_j)]$

where C[t] is C with \Box replaced by t.

The ringoid of bicontexts

In a bicontext (C, u), we consider C modulo

$$\kappa_i(t) - \kappa_i(u)$$

and *u* modulo t - u for each rule $R : t \Rightarrow u$.

For instance, the relation $f(x_1) \Rightarrow g(x_1, x_1)$ induces the relation

$$g(\Box, x_1) + g(x_1, \Box) - f(\Box)$$

on contexts.

The ringoid of bicontexts

Lemma

 $\mathbb{Z}\mathcal{K}$ only depends on the theory \mathcal{T} (not the presentation).

Modules

A module over $\mathbb{Z}\mathcal{K}$ is an Ab-enriched functor

$$\mathcal{M}$$
 : $\mathbb{Z}\mathcal{K} \rightarrow \mathbf{Ab}$

This means that we have things that

we can add

we can put into a bicontext

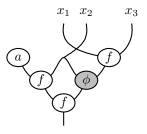
Given $(C, u) : m \to n$ and $t \in \mathcal{M}(m)$, we write

$$C[t]u = (\mathcal{M}(C, u))(t)$$

Free modules

Given a family $(X_n)_{n \in \mathbb{N}}$ of sets, whose elements are "*n*-ary things", we can form the **free** $\mathbb{Z}\mathcal{K}$ -**module** $\mathbb{Z}\mathcal{K}X_n$.

For instance, we have



with $\phi \in X_2$.

The trivial module

We also have a **trivial** $\mathbb{Z}\mathcal{K}$ -module \mathcal{Z} .

This is the quotient of the free $\mathbb{Z}\mathcal{K}$ -module generated by one operation \star_n in each arity n by

$$\sum_{i} \kappa_{i}(v) \underline{\star_{1}} u_{i} = \underline{\star_{n}}$$

for each term $v \circ u$ of arity n.

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For instance, with f of arity 2, $f \circ id_2 = id_1 \circ f$ implies

$$f(\Box, x_2) \underline{\star_1} x_1 + f(x_1, \Box) \underline{\star_1} x_2 = \underline{\star_2} = \underline{\star_1} f(x_1, x_2)$$

The trivial module

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for each term $v \circ u$ of arity n.

Note that for every $\mathbb{Z}\mathcal{K}\text{-module }\mathcal{M}$ we have

$$\partial_{-1} \colon \mathcal{M} \to \mathcal{Z}$$

defined by $\varepsilon(t) = \underline{\star}_n$ for $t \in \mathcal{M}n$.

Resolutions

Suppose given a theory ${\mathcal T}$ presented by a convergent algebraic theory (= term rewriting system) with

- P_1 as rules
- ► P₂ as relations
- ► P₃ as critical pairs

Theorem

We have a partial free resolution, i.e. a complex

$$\mathbb{Z}\mathcal{K}\underline{P_3} \xrightarrow{\partial_2} \mathbb{Z}\mathcal{K}\underline{P_2} \xrightarrow{\partial_1} \mathbb{Z}\mathcal{K}\underline{P_1} \xrightarrow{\partial_0} \mathbb{Z}\mathcal{K}\underline{1} \xrightarrow{\partial_{-1}} \mathcal{Z} \longrightarrow 0$$

of \mathcal{Z} by $\mathbb{Z}\mathcal{K}$ -modules where

• the ∂_i are $\mathbb{Z}\mathcal{K}$ -linear maps defined from source and target

• im
$$\partial_i = \ker \partial_{i-1}$$

Face maps The face maps $\partial_i : \mathbb{Z}\mathcal{K}\mathsf{P}_{i+1} \to \mathbb{Z}\mathcal{K}\mathsf{P}_i$ are defined by for each $t \in \mathsf{P}_1$, we have

$$\partial_0(\underline{t}) = \left(\sum_i \kappa_i(t) \underline{1} \langle x_i \rangle \right) - \underline{1} t$$

$\begin{array}{c} \text{Face maps} \\ \text{The face maps} \; \partial_i: \mathbb{Z}\mathcal{K}\mathsf{P}_{i+1} \to \mathbb{Z}\mathcal{K}\mathsf{P}_i \text{ are defined by} \end{array}$

▶ for each $t \in P_1$, we have

$$\partial_0(\underline{t}) = \left(\sum_i \kappa_i(t) \underline{1} \langle x_i \rangle \right) - \underline{1} t$$

• for each rule $R : t \Rightarrow u$ we have

$$\partial_1(\underline{R}) = \underline{u} - \underline{t}$$

with $\underline{u \circ t} = \underline{u}t + \sum_{i=1}^n \kappa_i(u)t\underline{t_i}$

The face maps $\partial_i : \mathbb{Z}\mathcal{K}\mathsf{P}_{i+1} \to \mathbb{Z}\mathcal{K}\mathsf{P}_i$ are defined by

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with $\underline{u \circ t} = \underline{u}t + \sum_{i=1}^{n} \kappa_i(u)t\underline{t_i}$

► for each critical pair

$$\partial_{2} \begin{pmatrix} c_{1}[R_{1}]u_{1} & c_{2}[R_{2}]u_{2} \\ t_{1} & t_{2} \\ s_{1} & s_{2} \end{pmatrix} = C_{2}\underline{R_{2}}u_{2} + \underline{S_{2}} - C_{1}\underline{R_{1}}u_{1} - \underline{S_{1}}$$
with $\underline{S \cdot R} = \underline{S} + \underline{R}$ and $\underline{C[R]}u = C\underline{R}u$

$$40/48$$

▶ for *f* of arity 2, we have

$$\partial_0(\underline{f}) = f(\Box, x_2)\underline{1} + f(x_1, \Box)\underline{1} - \underline{1}f(x_1, x_2)$$

$$\partial_2(\underline{\Phi}) = \underline{A'}a - \underline{A}a$$

Homology

We define the **homology** (with trivial coefficients) of the theory \mathcal{T} as the homology of the deduced chain complex obtained by "erasing" $\mathbb{Z}\mathcal{K}$:

$$P_3 \xrightarrow{\partial'_2} P_2 \xrightarrow{\partial'_1} P_1 \xrightarrow{\partial'_0} 1$$

which means

 $H_i(\mathcal{T}) = \ker \partial_{i-1} / \operatorname{im} \partial_i$

Invariance

Theorem

The homology only depends on \mathcal{T} : if we started from another presentation we would have obtained the same homology.

Proof.

Between any two resolutions there is essentially one morphisms. Therefore any two deduced chain complexes (by "erasing" $\mathbb{Z}\mathcal{K}$) are isomorphic and in particular the homologies are isomorphic.

ABOUT THE COEFFICIENTS

Coefficients

How do we know that $\mathbb{Z}\mathcal{K}$ is a "good" choice for coefficients?

- ► a theory *T* is an object in the category **Theories** of Lawvere theories
- Beck discovered that coefficients should be taken in

$\textbf{Ab}(\textbf{Theories}/\mathcal{T})$

- ► Jibladze-Pirashvily showed that this is equivalent to the category of *cartesian natural systems* in *T*
- \blacktriangleright the category of factorizations of ${\cal T}$ is

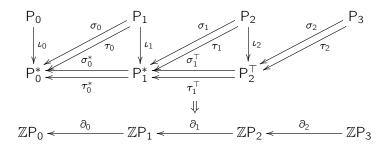


and natural systems are functors from it to Ab

I presented a particular case of this

Desabelianization

We expect that the homology can be computed by abelianizing any coherent presentation of the Lawvere theory by *cartesian polygraphs*.



CONCLUSION

Conclusion

- we presented a generic method to compute lower bounds on generators / relations of a presentation of an algebraic theory
- ▶ it can serve to generate simple counter-examples
- ▶ it suggests considering higher-dimensional invariants
- most of the "usual" theories are out of reach for now $(H_i(\mathcal{T}) = 0, \text{ commutativity, etc.})$
- ▶ it suggests new research tracks in algebraic topology