# Lecture 3: From dualities to full and strong dualities

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1/29

## The standard setup

- Let <u>M</u> be a finite algebra let A := ISP(<u>M</u>) be the prevariety (= quasivariety) it generates.
- Let  $\mathbf{M} = \langle M; G, H, R, T \rangle$  be an alter ego of  $\mathbf{M}$ , that is,
  - ► G is a set of operations on M, each of which is a homomorphism with respect to M,
  - ► *H* is a set of partial operations on *M*, each of which is a homomorphism with respect to <u>M</u>,
  - *R* is a set of relations on *M*, each of which is a subuniverse of the appropriate power of <u>M</u>, and
  - T is the discrete topology on *M*.
- Define  $\mathcal{A} := \mathsf{ISP}(\underline{M})$ : the algebraic category of interest.
- ▶ Define  $\mathfrak{X} := IS_c P^+(\underline{M})$ : the potential dual category for  $\mathcal{A}$ .

## Outline

Natural dualities: the basics

A Natural duality for Kleene algebras

Full and strong dualities

2/29

## The standard setup

► The natural hom-functors D: A → X and E: X → A are defined by

 $D(\mathbf{A}) := \mathcal{A}(\mathbf{A}, \underline{\mathbf{M}}) \leq \underline{\mathbf{M}}^{\mathbf{A}}$  and  $E(\mathbf{X}) := \mathfrak{X}(\mathbf{X}, \underline{\mathbf{M}}) \leq \underline{\mathbf{M}}^{\mathbf{X}}$ .

For all  $\mathbf{A} \in \mathcal{A}$ , the naturally embedding

 $e_{\mathsf{A}} \colon \mathsf{A} o ED(\mathsf{A}) = \mathfrak{X}(\mathcal{A}(\mathsf{A}, \underline{\mathsf{M}}), \underline{\mathsf{M}})$ 

is defined by evaluation:  $(\forall a \in A) \ e_A(a) \colon \mathcal{A}(A, \underline{M}) \to \underline{M}$  is given by

$$(\forall x \in \mathcal{A}(\mathbf{A}, \underline{\mathbf{M}})) \ e_{\mathbf{A}}(a)(x) := x(a)$$

For all  $\mathbf{X} \in \mathfrak{X}$ , the naturally embedding

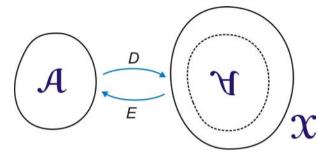
 $\varepsilon_{\mathbf{X}} \colon \mathbf{X} \to DE(\mathbf{X}) = \mathcal{A}(\mathfrak{X}(\mathbf{X}, \mathbf{M}), \mathbf{M})$ 

is defined by evaluation:  $(\forall x \in X) \in {\bf X}(x) : {\mathfrak X}({\bf X}, {\bf M}) \to {\bf M}$ is given by

 $(\forall \alpha \in \mathfrak{X}(\mathsf{X}, \mathbf{M})) \varepsilon_{\mathsf{X}}(x)(\alpha) := \alpha(x).$ 

## Duality

If  $e_{\mathbf{A}} : \mathbf{A} \to ED(\mathbf{A})$  is surjective and therefore an isomorphism, for all  $\mathbf{A}$  in  $\mathcal{A}$ , then we say that  $\underline{M}$  yields a duality on  $\mathcal{A}$  (or that  $\underline{M}$  dualises  $\underline{M}$ ).



#### Theorem (2.2.7 Second Duality Theorem)

Assume that  $\mathbf{M} = \langle M; G, R, T \rangle$  is a total structure with R finite. If (IC) holds, then  $\mathbf{M}$  yields a duality on  $\mathcal{A}$  and is injective in  $\mathfrak{X}$ .

6/29

## The NU Duality Theorem

The following useful result is an immediate corollary.

#### Theorem (NU Duality Theorem)

Assume that  $\underline{M}$  is a finite algebra that has a (k+1)-ary NU term. Then  $\underline{M} := \langle M; R_k, \mathfrak{T} \rangle$  yields a duality on  $\mathcal{A}$  and is injective in  $\mathfrak{X}$ .

Lattices have a ternary NU term, namely the median

 $m(x,y,z) := (x \wedge y) \vee (y \wedge z) \vee (z \wedge x).$ 

Thus we obtain the most widely used result in the theory.

Theorem (Lattice-based Duality Theorem)

Let  $\underline{M}$  be a finite lattice-based algebra. Then  $\underline{M} := \langle M; R_2, \mathfrak{T} \rangle$  yields a duality on  $\mathcal{A}$  and is injective in  $\mathfrak{X}$ .

## Taming brute force with near unanimity

For  $\ell \ge 1$ , define  $R_{\ell} := S(\underline{M}^{\ell})$  and define  $R_{\omega} := \bigcup_{\ell < \omega} R_{\ell}$ .

#### Theorem (2.3.1 Brute Force Duality Theorem)

Brute force yields a duality on  $\mathcal{A}_{fin}$ . Indeed, if  $\underline{M} = \langle M; R_{\omega}, \mathfrak{T} \rangle$ , then (IC) holds and therefore  $\underline{M}$  yields a duality on  $\mathcal{A}_{fin}$  and  $\underline{M}$  is injective in  $\mathfrak{X}_{fin}$ .

For  $k \ge 2$ , a (k+1)-ary term  $n(v_1, \ldots, v_{k+1})$  is called a near unanimity term or NU term for an algebra **M** if **M** satisfies

 $n(y, x, \ldots, x) \approx n(x, y, x, \ldots, x) \approx \cdots \approx n(x, \ldots, x, y) \approx x.$ 

#### Lemma (2.3.3 NU Lemma)

(K. Baker and A. Pixley) Let  $k \ge 2$  and assume that  $\underline{\mathbf{M}}$  has a (k+1)-ary NU term. Let X be a subset of  $M^m$  and let  $\alpha \colon X \to M$  be a map that preserves every relation in  $R_k$ . Then  $\alpha$  preserves every relation in  $R_{\omega}$ .

7/29

## Priestley duality via the Lattice-based Duality Theorem

In Lecture 2 we saw how to obtain (half of) Priestley duality from the Second Duality Theorem. As an application of the Lattice-based Duality Theorem, it is almost immediate.

 $\label{eq:definition} {\color{black} \underline{D}} = \langle \{0,1\}; \lor, \land, 0,1 \rangle \quad \text{ and } \quad {\color{black} \underline{D}} = \langle \{0,1\}; \leqslant, \mathfrak{T} \rangle.$ 

#### Theorem (Half of Priestley duality)

 $\begin{array}{l} \underline{D} \textit{ yields a duality on the class } \mathfrak{D} := \mathsf{ISP}(\underline{D}) \textit{ of bounded} \\ \overrightarrow{distributive lattices, i.e., } e_{\underline{A}} \colon \underline{A} \to ED(\underline{A}) \textit{ is an isomorphism, for} \\ all \ \underline{A} \in \mathfrak{D}. \end{array}$ 

# Priestley duality via the Lattice-based Duality Theorem

We must show that, for all  $\textbf{A}\in\mathfrak{D},$  the evaluation maps

 $e_{\mathbf{A}}(a) \colon \mathfrak{D}(\mathbf{A}, \underline{\mathbf{D}}) \to \{0, 1\},\$ 

for  $a \in A$ , are the only continuous order-preserving maps. Proof.

Let  $\alpha : \mathcal{D}(\mathbf{A}, \underline{\mathbf{D}}) \to \{0, 1\}$  be a continuous order-preserving map. [To prove:  $\alpha$  is an evaluation map,  $e_{\mathbf{A}}(a)$ , for some  $a \in A$ .]

- By the Lattice-based Duality Theorem, D' := ⟨{0,1}; R<sub>2</sub>, ℑ⟩ yields a duality on D.
- So the evaluations e<sub>A</sub>(a) are the only continuous maps from D(A, D) to {0,1} that preserve the relations in R<sub>2</sub>.
- Note that  $R_2 = \{\Delta_{\{0,1\}}, \leqslant, \geqslant, \{0,1\}^2\}.$
- But α: D(A, D) → {0, 1} certainly preserves the trivial relations Δ<sub>{0,1}</sub> and {0, 1}<sup>2</sup>, and α preserves ≥ since it preserves ≤. Hence α preserve the four relations in R<sub>2</sub>.
- Hence  $\alpha$  is an evaluation, as  $\mathbf{D}'$  yields a duality on  $\mathcal{D}$ .

# Constructs for entailment

On pages 25–27 of *The Lonely Planet Guide to the Theory of Natural Dualities* there is a list of 15 constructs for entailment. Some are:

(1) **Trivial relations** If  $\theta$  is an equivalence relation on  $\{1, \ldots, n\}$  then any  $G \cup H \cup R$  entails the relation  $\Delta^{\theta} := \{(c_1, \ldots, c_n) \mid i \, \theta \, j \Rightarrow c_i = c_j \}$ . Special cases are  $\Delta_M$  and  $M^2$ .

#### (4) **Permutation** *r* entails

$$\begin{split} r^{\sigma} &:= \{ (\textbf{\textit{c}}_1, \dots, \textbf{\textit{c}}_n) \mid (\textbf{\textit{c}}_{\sigma(1)}, \dots, \textbf{\textit{c}}_{\sigma(n)}) \in r \}.\\ \text{Converse } r^{\check{}} &:= \{ (\textbf{\textit{c}}_1, \textbf{\textit{c}}_2) \mid (\textbf{\textit{c}}_2, \textbf{\textit{c}}_1) \in r \} \text{ is a special case.} \end{split}$$

- (6) **Intersection** If *r* and *s* are *n*-ary, the  $\{r, s\}$  entails  $r \cap s$ .
- (7) **Product**  $\{r, s\}$  entails  $r \times s$ .
- N.B. A construct that is not allowed is the relational product  $r \cdot s$  of two binary relations!

# Refining an alter ego via entailment

#### **Definition (Entainment)**

Let  $\underline{M} = \langle M; G, H, R, T \rangle$ , let  $\mathbf{A} \in \mathcal{A}$  and let *s* be an algebraic relation or (partial) operation on  $\underline{M}$ .

- $G \cup H \cup R$  entails *s* on  $D(\mathbf{A})$  if every continuous  $G \cup H \cup R$ -preserving map  $\alpha : D(\mathbf{A}) \to M$  preserves *s*.
- $G \cup H \cup R$  entails *s* if  $G \cup H \cup R$  entails *s* on  $D(\mathbf{A})$  for all  $\mathbf{A} \in \mathcal{A}$ .

The following lemma is trivial but useful.

#### Lemma

Let  $\underline{M} = \langle M; G, H, R, \mathfrak{T} \rangle$  and  $\underline{M}' = \langle M; G', H', R', \mathfrak{T} \rangle$  be alter egos of  $\underline{M}$ . If  $\underline{M}'$  yields a duality of  $\mathcal{A}$  and  $G \cup H \cup R$  entails s, for all  $s \in G' \cup H' \cup R'$ , then  $\underline{M}$  yields a duality on  $\mathcal{A}$ .

11/29

# 4.3.9 Natural duality for Kleene algebras

An algebra  $\underline{\mathbf{K}} = \langle \mathbf{K}; \vee, \wedge, \neg, 0, 1 \rangle$  is called a Kleene algebra if it is a bounded distributive lattice satisfying the axioms

$$(x \wedge y) \approx \neg x \vee \neg y, \quad \neg (x \vee y) \approx \neg x \wedge \neg y, \quad \neg 0 \approx 1,$$

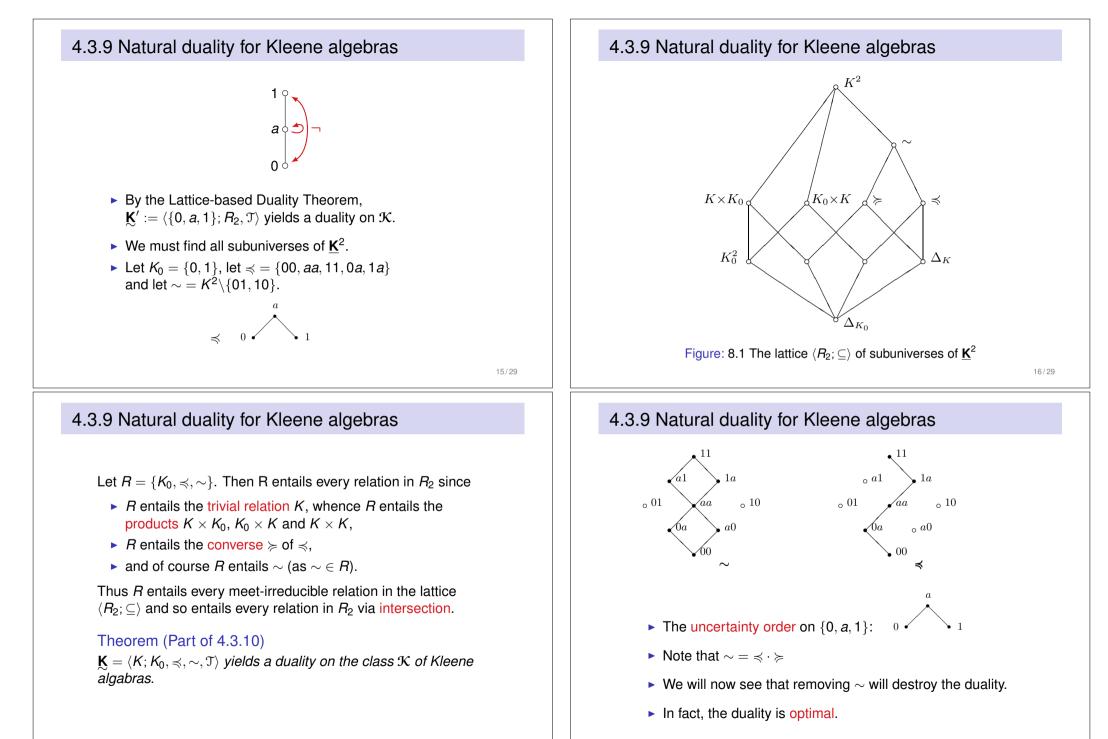
 $\neg \neg x \approx x, \quad x \land \neg x \leq y \lor \neg y.$ 

The models of these axioms form a variety  $\mathfrak{K}=\text{ISP}(\underline{\textbf{K}})$  generated by the three-element chain

$$\underline{\mathbf{K}} = \langle \{\mathbf{0}, \boldsymbol{a}, \mathbf{1}\}; \lor, \land, \neg, \mathbf{0}, \mathbf{1} \rangle:$$



10/29



18/29

# 8.1.3 The Test Algebra Lemma

- Our claim is that, while K = ⟨K; K<sub>0</sub>, ≼, ∼, ℑ⟩ yields a duality on the class 𝔅 of Kleene algebras, the alter ego K\* = ⟨K; K<sub>0</sub>, ≼, ℑ⟩ does not.
- To prove this, we must find an algebra A ∈ 𝔅 and a continuous map γ: 𝔅(A, K) → 𝐾 that preserves 𝐾₀ and ≼ but is not an evaluation,
- ▶ or equivalently,  $\{K_0, \preccurlyeq\}$  does not entail  $\sim$  on  $\mathcal{K}(A, \underline{K})$ .

In fact, there is a canonical choice for **A**.

#### Lemma (Test Algebra Lemma)

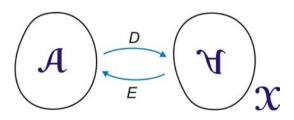
Let  $\underline{\mathbf{M}} = \langle M; G, H, R, T \rangle$  and let *s* be an algebraic relation or (partial) operation on  $\underline{\mathbf{M}}$  and let *s* be the corresponding subalgebra of  $\underline{\mathbf{M}}^n$ . Then the following are equivalent:

- (i)  $G \cup H \cup R$  entails s;
- (ii)  $G \cup H \cup R$  entails s on  $D(\mathbf{s})$ .

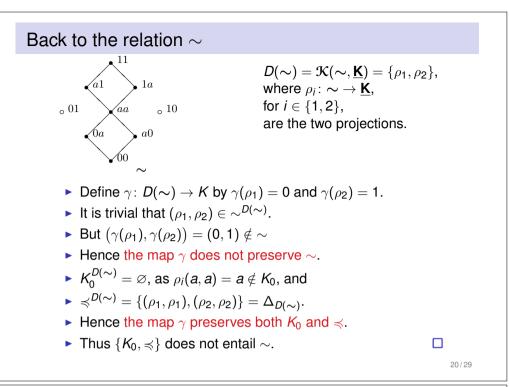
19/29

# **Full Duality**

If  $\underline{M}$  yields a duality on  $\mathcal{A}$  and , in addition,  $\varepsilon_{\mathbf{X}} \colon \mathbf{X} \to DE(\mathbf{X})$  is a surjection and therefore an isomorphism, for all  $\mathbf{X}$  in  $\mathfrak{X}$ , then  $\underline{M}$  yields a full duality on  $\mathcal{A}$  (or  $\underline{M}$  fully dualises  $\underline{M}$ ).



Equivalently,  $\mathbf{M}$  yields a full duality on  $\mathcal{A}$  if the dual adjunction  $\langle D, E, e, \varepsilon \rangle$  is a dual category equivalence between  $\mathcal{A}$  and  $\mathfrak{X}$ .



## Strong duality

Let  $\underline{M}$  be any alter ego of an algebra  $\underline{M}$ , and let

 $D: \mathcal{A} \to \mathfrak{X}$  and  $E: \mathfrak{X} \to \mathcal{A}$ 

be the induced hom-functors.

M is injective in the category X if, for every embedding φ: X → Y and every morphism α: X → M in X, there is a morphism β: Y → M such that β ∘ φ = α.



#### Strong duality

If  $\underline{M}$  fully dualises  $\underline{M}$  and  $\underline{M}$  is injective in  $\mathcal{X}$  (so that surjections in  $\mathcal{A}$  correspond to embeddings in  $\mathcal{X}$ ), we say that  $\underline{M}$  yields a strong duality on  $\mathcal{A}$  (or that  $\underline{M}$  strongly dualises  $\underline{M}$ ).

# The CD Strong Duality Theorem

Let  $\underline{\mathbf{M}}$  be a finite algebra.

- ► For all  $N \leq \underline{M}$  define irr(N) to be the least  $\ell$  such that  $\mathbb{O}_N$  in Con(N) is a meet of  $\ell$  meet-irreducible congruences.
- Define  $Irr(\underline{M}) := max\{ irr(\underline{N}) | \underline{N} \text{ is a subalgebra of } \underline{\underline{M}} \}$ . Irr( $\underline{M}$ ) is called the irreducibility index of  $\underline{\underline{M}}$ .
- ▶ Define C := {a ∈ M | {a} is a subuniverse of M } regarded as a set of nullary operations on M.
- For all n≥ 1, define H<sub>n</sub> to be the set of maps h: D → M such that D is a subalgebra of M<sup>n</sup> and h is a homorphism.

# Theorem (3.3.7 CD Strong Duality Theorem)

Assume that  $\underline{\mathbf{M}}$  is a finite algebra and that  $\underline{\mathbf{M}} := \langle M; R, \mathfrak{T} \rangle$ dualises  $\underline{\mathbf{M}}$ . If  $\operatorname{Var}(\underline{\mathbf{M}})$  is congruence distributive and  $\operatorname{Irr}(\underline{\mathbf{M}}) = n$ , then  $\underline{\mathbf{M}} := \langle M; C \cup H_n, R, \mathfrak{T} \rangle$  strongly dualises  $\underline{\mathbf{M}}$ .

N.B.  $Var(\underline{M})$  is congruence distributive if  $\underline{M}$  is lattice based.

24/29

# Kleene algebras revisited



$$\begin{split} \underline{\mathbf{K}} &= \langle \{\mathbf{0}, \mathbf{a}, \mathbf{1}\}; \lor, \land, \neg, \mathbf{0}, \mathbf{1} \rangle \\ \text{and} \\ \mathbf{K} &= \langle \mathbf{K}; \mathbf{K}_{\mathbf{0}}, \preccurlyeq, \sim, \mathfrak{T} \rangle. \end{split}$$

## Theorem (Strong duality for Kleene algebras)

 $\underline{K}$  yields a strong duality between the class  $\mathcal{K} := \mathsf{ISP}(\underline{K})$  of Kleene algebras and the class  $\mathcal{X} = \mathsf{IS}_c\mathsf{P}^+(\underline{K})$ .

## Proof.

- $\blacktriangleright$  We already know that  ${\ensuremath{\underline{\mathsf{K}}}}$  yields a duality on  ${\ensuremath{\mathfrak{K}}}.$
- $\underline{\mathbf{K}}$  and  $\underline{\mathbf{K}}_0$  are simple, so  $Irr(\underline{\mathbf{K}}) = 1$ .
- It follows from the CD Strong Duality Theorem that K' = ⟨K; id<sub>K</sub>, id<sub>K₀</sub>, K<sub>0</sub>, ≼, ∼, ℑ⟩ yields a strong duality on 𝔅.
- $id_K$  and  $id_{K_0}$  can be removed without affecting the result.
- Hence  $\mathbf{K}$  yields a strong duality on  $\mathcal{K}$ .

26/29

# Distributive lattices revisited

 $\blacktriangleright \ \underline{D} = \langle \{0,1\}; \lor, \land, 0,1 \rangle \quad \text{ and } \quad \underline{D} = \langle \{0,1\}; \leqslant, \mathfrak{T} \rangle.$ 

## Theorem (Priestley duality is strong)

 $\stackrel{\textbf{D}}{\underset{}{\underset{}}}$  yields a strong duality between the class  $\mathfrak{D}:=\mathsf{ISP}(\stackrel{\textbf{D}}{\underset{}})$  of bounded distributive lattices and the class  $\mathfrak{P}=\mathsf{IS}_c\mathsf{P}^+(\stackrel{\textbf{D}}{\underset{}})$  of Priestley spaces, i.e.,  $\stackrel{\textbf{D}}{\underset{}{\underset{}}}$  is injective in  $\mathfrak{P}$  and, for all  $\textbf{A}\in\mathfrak{D}$  and  $\textbf{X}\in\mathfrak{P},$ 

•  $e_A$ :  $A \rightarrow ED(A)$  and  $\varepsilon_X$ :  $X \rightarrow ED(X)$  are isomorphisms.

#### Proof.

- **D** is simple and has no subalgebras, so  $Irr(\underline{D}) = 1$ .
- It follows from the CD Strong Duality Theorem that  $\underline{D}' = \langle \{0, 1\}; id_{\mathcal{D}}, \leqslant, \mathfrak{T} \rangle$  yields a strong duality on  $\mathfrak{D}$ .
- ► Clearly id<sub>D</sub> can be removed without affecting the result.
- Hence  $\mathbf{D}$  yields a strong duality on  $\mathcal{D}$ .

25/29

# Partial operations can't be avoided

## Theorem (6.1.2 Total Structure Theorem)

Assume that  $\mathbf{M} = \langle M; G, H, R, T \rangle$  yields a strong duality on  $\mathcal{A}$ . The following are equivalent:

- (i) some total structure  $\mathbf{M}'$  yields a strong duality on  $\mathcal{A}$ ;
- (ii) for each natural number *n*, every *n*-ary partial operation  $h \in H$  extends to a homomorphism  $g: \underline{\mathbf{M}}^n \to \underline{\mathbf{M}};$
- (iii)  $\underline{\mathbf{M}}$  is injective in  $\mathcal{A}$ .

Let  $\underline{M}$  be any finite lattice-based algebra that is not injective in  $\mathcal{A}=\text{ISP}(\underline{M}).$  Then

- $\blacktriangleright$  there is an alter ego  $\underbrace{\mathsf{M}}$  that yields a strong duality on  $\mathcal{A},$
- $\blacktriangleright$  but any such  $\underline{M}$  must include partial operations in its type.

# Further examples

Some exercises for you. Use the Lattice-based Duality Theorem and the CD Strong Duality Theorem to find a strong duality for  $\mathcal{A} := \mathsf{ISP}(\underline{M})$  in each of the following cases. Is your duality optimal?

- 1. Median algebras.  $\underline{\mathbf{M}} = \langle \{0, 1\}; m \rangle$ , where  $m: \{0, 1\}^3 \rightarrow \{0, 1\}$  is the median operation.
- 2. Stone algebras.  $\underline{\mathbf{M}} = \langle \{0, a, 1\}; \lor, \land, ^*, 0, 1 \rangle$ , where  $\langle \{0, a, 1\}; \lor, \land, 0, 1 \rangle$  is a chain with 0 < a < 1 and  $^*$  is given by  $0^* = 1$  and  $a^* = 1^* = 0$ .
- 3. Double Stone algebras.  $\underline{\mathbf{M}} = \langle \{0, a, b, 1\}; \lor, \land, *, +, 0, 1 \rangle$ , where  $\langle \{0, a, b, 1\}; \lor, \land, 0, 1 \rangle$  is a chain with 0 < a < b < 1and \* and + are given by  $0^* = 1$  and  $a^* = b^* = 1^* = 0$ , and  $1^+ = 0$  and  $0^+ = a^+ = b^+ = 1$ .
- 4. 3-valued Gödel algebras.  $\underline{\mathbf{M}} = \langle \{0, a, 1\}; \lor, \land, \rightarrow, 0, 1 \rangle$ , where  $\langle \{0, a, 1\}; \lor, \land, 0, 1 \rangle$  is a chain with 0 < a < 1 and  $x \rightarrow y = 1$ , if  $x \leq y$ , and  $x \rightarrow y = y$ , if x > y.

28/29