

SUBDIRECT REPRESENTATIONS IN AXIOMATIC CLASSES

BY

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In his paper [1] Birkhoff proved that every algebra in an equationally defined class is isomorphic to a subdirect product of subdirectly irreducible algebras from that class, and hence the subdirectly irreducible algebras are key building blocks. In a recent paper of Sabidussi [3] a detailed proof of the theorem of B. Fawcett that every graph is isomorphic to a subdirect product of subdirectly irreducible graphs is given. Our purpose here* is to give an affirmative answer to a question of Sabidussi as to whether Fawcett's theorem is a special case of a more general formulation of Birkhoff's results.

Most of our notation and definitions are taken from Grätzer [2]. A *type* τ is a pair of sequences $\langle \langle n_\gamma \rangle_{\gamma < \alpha}, \langle m_\gamma \rangle_{\gamma < \beta} \rangle$, and a *structure* \mathfrak{A} of type τ is a triple $\langle S; \mathcal{F}, \mathcal{R} \rangle$, where S is the *universe* of \mathfrak{A} , \mathcal{F} is a family of functions f_γ on S , $\gamma < \alpha$, the rank of f_γ being n_γ , and \mathcal{R} is a family of relations r_γ on S , $\gamma < \beta$, the rank of r_γ being m_γ . For $\gamma < \alpha$ we have *fundamental operation symbols* f_γ , and, similarly, for $\gamma < \beta$ *fundamental relation symbols* r_γ , which are used to construct the first-order language $L(\tau)$. A *substructure* of $\langle S; \mathcal{F}, \mathcal{R} \rangle$ is a structure $\langle S'; \mathcal{F}', \mathcal{R}' \rangle$, where S' is a subset of S closed under the operations of \mathcal{F} , \mathcal{F}' is the set of operations in \mathcal{F} relativized to S' , and \mathcal{R}' is the set of relations in \mathcal{R} relativized to S' .

The *direct product* of the structures $\langle S_i; \mathcal{F}_i, \mathcal{R}_i \rangle$ of type τ , $i \in I$, is the structure whose universe is $\prod_{i \in I} S_i$, with

$$f_\gamma(a_0, \dots, a_{n_\gamma-1})(i) = f_\gamma(a_0(i), \dots, a_{n_\gamma-1}(i)), \quad i \in I,$$

and $r_\gamma(a_0, \dots, a_{m_\gamma-1})$ holding iff $r_\gamma(a_0(i), \dots, a_{m_\gamma-1}(i))$ holds for all $i \in I$. The direct product is denoted by

$$\prod_{i \in I} \langle S_i; \mathcal{F}_i, \mathcal{R}_i \rangle.$$

A *subdirect product* of $\langle S_i; \mathcal{F}_i, \mathcal{R}_i \rangle$, $i \in I$, is a substructure $\langle S'; \mathcal{F}', \mathcal{R}' \rangle$ of the direct product such that $\pi_i(S') = S_i$, where π_i is the projection

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map $\prod_{j \in I} S_j \rightarrow S_i$. A mapping $\lambda: S_0 \rightarrow S_1$ is a *homomorphism* from $\langle S_0; \mathcal{F}_0, \mathcal{R}_0 \rangle$ to $\langle S_1; \mathcal{F}_1, \mathcal{R}_1 \rangle$ if

$$\lambda f_\gamma(a_0, \dots, a_{n_\gamma-1}) = f_\gamma(\lambda a_0, \dots, \lambda a_{n_\gamma-1}) \quad \text{for } a_0, \dots, a_{n_\gamma-1} \in S_0, \gamma < \alpha,$$

and $r_\gamma(a_0, \dots, a_{m_\gamma-1})$ holds implies $r_\gamma(\lambda a_0, \dots, \lambda a_{m_\gamma-1})$ holds, where $a_0, \dots, a_{m_\gamma-1} \in S_0$, and $\gamma < \beta$. The *image* of $\langle S_0; \mathcal{F}_0, \mathcal{R}_0 \rangle$ under λ is $\langle \lambda(S_0); \mathcal{F}_2, \mathcal{R}_2 \rangle$, where \mathcal{F}_2 is the set of restrictions of members of \mathcal{F}_1 to λS_0 and, for $b_0, \dots, b_{m_\gamma-1} \in \lambda(S_0)$, $r_\gamma(b_0, \dots, b_{m_\gamma-1})$ holds iff $r_\gamma(a_0, \dots, a_{m_\gamma-1})$ holds for some $a_i \in \lambda^{-1}(b_i)$, $0 \leq i \leq m_\gamma - 1$, with $\gamma < \beta$. Note that the image need not be a substructure of $\langle S_1; \mathcal{F}_1, \mathcal{R}_1 \rangle$. A structure $\langle S_1; \mathcal{F}_1, \mathcal{R}_1 \rangle$ is a *homomorphic image* of $\langle S_0; \mathcal{F}_0, \mathcal{R}_0 \rangle$ if $\langle S_1; \mathcal{F}_1, \mathcal{R}_1 \rangle$ is the image of $\langle S_0; \mathcal{F}_0, \mathcal{R}_0 \rangle$ under some homomorphism. A *congruence* of $\langle S; \mathcal{F}, \mathcal{R} \rangle$ is an equivalence relation θ on S such that if $\langle a_i, b_i \rangle \in \theta$, $0 \leq i \leq n_\gamma - 1$, then

$$\langle f_\gamma(a_0, \dots, a_{n_\gamma-1}), f_\gamma(b_0, \dots, b_{n_\gamma-1}) \rangle \in \theta.$$

If θ is a congruence of $\mathfrak{A} = \langle A; \mathcal{F}, \mathcal{R} \rangle$, then \mathfrak{A}/θ will denote the *quotient* whose universe is A/θ and where

$$f_\gamma([a_0]_\theta, \dots, [a_{n_\gamma-1}]_\theta) = [f_\gamma(a_0, \dots, a_{n_\gamma-1})]_\theta,$$

$[a]_\theta$ being the equivalence class of a modulo θ , and $r_\gamma([a_0]_\theta, \dots, [a_{m_\gamma-1}]_\theta)$ iff $r_\gamma(b_0, \dots, b_{m_\gamma-1})$ for some $b_i \in [a_i]_\theta$, $0 \leq i < m_\gamma$.

Let K be a class of structures of type τ . We relativize our concepts to K as follows. A homomorphism λ from \mathfrak{A}_0 to \mathfrak{A}_1 , where $\mathfrak{A}_0, \mathfrak{A}_1 \in K$, is a *K-homomorphism* if the image of \mathfrak{A}_0 under λ is in K . If λ is also one-one, then we speak simply of an *isomorphism*. A congruence θ of $\mathfrak{A} \in K$ is a *K-congruence* if it is the kernel of a *K-homomorphism*. $\Delta(\mathfrak{A})$ is the *diagonal relation* on S ; $\Delta(\mathfrak{A})$ is always a *K-congruence*.

A subdirect product $\langle S'; \mathcal{F}', \mathcal{R}' \rangle$ of $\langle S_i; \mathcal{F}_i, \mathcal{R}_i \rangle$, $i \in I$, is *full*⁽¹⁾ if the image of $\langle S'; \mathcal{F}', \mathcal{R}' \rangle$ under π_i is $\langle S_i; \mathcal{F}_i, \mathcal{R}_i \rangle$ for each i . If $\mathfrak{A} \in K$ has a non-empty universe, and, for every isomorphism

$$\varepsilon: \mathfrak{A} \rightarrow \prod_{i \in I} \mathfrak{A}_i, \quad \mathfrak{A}_i \in K,$$

such that the image of \mathfrak{A} is a full subdirect product of the \mathfrak{A}_i , \mathfrak{A}_i is an isomorphic image of \mathfrak{A} under $\pi_i \circ \varepsilon$ for some i , then \mathfrak{A} is said to be *K-subdirectly irreducible*. Note that if K is an equationally defined class of algebras, then the *K-subdirectly irreducible* algebras are the subdirectly irreducible algebras in K . In [3] Sabidussi gives an explicit description of all *K-subdirectly irreducible* structures where K is the class of graphs.

⁽¹⁾ Sabidussi calls a full subdirect product simply a subdirect product in the case of graphs. However, this does not agree with the conventions we have adopted, namely those of [2].

LEMMA 1. $\mathfrak{A} = \langle S; \mathcal{F}, \mathcal{R} \rangle$ is \mathbf{K} -subdirectly irreducible iff $\mathfrak{A} \in \mathbf{K}$ and either S has only one element, or, for some $a, b \in S$, $a \neq b$, the only \mathbf{K} -congruence θ such that $\langle a, b \rangle \notin \theta$ is $\Delta(\mathfrak{A})$, or, for some $r_\gamma \in \mathcal{R}$ and some $a_0, \dots, a_{m_\gamma-1} \in S$, the only \mathbf{K} -congruence θ such that $\neg r_\gamma([a_0]_\theta, \dots, [a_{m_\gamma-1}]_\theta)$ is $\Delta(\mathfrak{A})$.

Proof. First suppose $\mathfrak{A} = \langle S; \mathcal{F}, \mathcal{R} \rangle$ is not \mathbf{K} -subdirectly irreducible. Then, for some isomorphism

$$\varepsilon: \mathfrak{A} \rightarrow \prod_{i \in I} \mathfrak{A}_i,$$

where the image \mathfrak{A} is a full subdirect product of the \mathfrak{A}_i , \mathfrak{A}_i is not, for any i , an isomorphic image of \mathfrak{A} under $\pi_i \circ \varepsilon$. Hence, if S is non-empty, then S has more than one element. Suppose $a, b \in S$ and $a \neq b$. Then, for some i ,

$$\pi_i \circ \varepsilon(a) \neq \pi_i \circ \varepsilon(b),$$

whence $\langle a, b \rangle \notin \text{Ker}(\pi_i \circ \varepsilon)$. Note that, since $\varepsilon(\mathfrak{A})$ is full, $\text{Ker}(\pi_i \circ \varepsilon)$ is a \mathbf{K} -congruence, and it is not $\Delta(\mathfrak{A})$. Also, if $r_\gamma \in \mathcal{R}$ and $a_0, \dots, a_{m_\gamma-1} \in S$ with $\neg r_\gamma(a_0, \dots, a_{m_\gamma-1})$, then, for some i , we must have

$$\neg r_\gamma(\pi_i \circ \varepsilon(a_0), \dots, \pi_i \circ \varepsilon(a_{m_\gamma-1})),$$

since $\varepsilon(\mathfrak{A})$ is a subdirect product, whence

$$\neg r_\gamma([a_0]_\theta, \dots, [a_{m_\gamma-1}]_\theta), \quad \text{where } \theta = \text{Ker}(\pi_i \circ \varepsilon).$$

For the converse, suppose \mathfrak{A} is \mathbf{K} -subdirectly irreducible. If S has more than one element and only one \mathbf{K} -congruence, namely $\Delta(\mathfrak{A})$, then the proof is trivial; so suppose \mathfrak{A} has at least two \mathbf{K} -congruences and let ν be the canonical homomorphism from \mathfrak{A} into $\prod_{\theta \neq \Delta(\mathfrak{A})} \mathfrak{A}/\theta$, where each θ is a \mathbf{K} -congruence. Since \mathfrak{A} is subdirectly irreducible, it follows that either ν is not injective or $\nu(\mathfrak{A})$ is not a substructure. If ν is not injective, then, for some $a, b \in S$, $a \neq b$, we have $\langle a, b \rangle \in \theta$ for every \mathbf{K} -congruence θ except $\Delta(\mathfrak{A})$, and if $\nu(\mathfrak{A})$ is not a substructure, then, for some $r_\gamma \in \mathcal{R}$, $a_0, \dots, a_{m_\gamma-1} \in S$, we have $r_\gamma([a_0]_\theta, \dots, [a_{m_\gamma-1}]_\theta)$ for every \mathbf{K} -congruence $\theta \neq \Delta(\mathfrak{A})$, but $\neg r_\gamma(a_0, \dots, a_{m_\gamma-1})$.

A family of sets is *inductive* if it is closed under unions of chains.

LEMMA 2. Let $\mathfrak{A} \in \mathbf{K}$ have an inductive set of \mathbf{K} -congruences. Then \mathfrak{A} is isomorphic to a full subdirect product of \mathbf{K} -subdirectly irreducible structures.

Proof. Let $\mathfrak{A} = \langle S; \mathcal{F}, \mathcal{R} \rangle$ and suppose $a, b \in S$, $a \neq b$. Then, by Zorn's Lemma, there is a maximal \mathbf{K} -congruence θ of \mathfrak{A} with respect to the property that $\langle a, b \rangle \notin \theta$. Using Lemma 1 we see that \mathfrak{A}/θ is subdirectly irreducible. Also, for each $r_\gamma \in \mathcal{R}$ and $a_0, \dots, a_{m_\gamma-1} \in S$ with $\neg r_\gamma(a_0, \dots, a_{m_\gamma-1})$, there is a maximal \mathbf{K} -congruence θ with respect to the property

$\neg r_\gamma([a_0]_\theta, \dots, [a_{m_\gamma-1}]_\theta)$, and again \mathfrak{A}/θ is subdirectly irreducible. Thus the canonical map from \mathfrak{A} to

$$\prod \{\mathfrak{A}/\theta: \mathfrak{A}/\theta \text{ is } \mathbf{K}\text{-subdirectly irreducible}\}$$

is such that the image of \mathfrak{A} is a full subdirect product which is isomorphic to \mathfrak{A} .

A class \mathbf{K} of algebras of type τ is *universal* if it is the class of models of a set of universal sentences from $L(\tau)$.

In general, the set of \mathbf{K} -congruences of a structure \mathfrak{A} in a universal class \mathbf{K} form neither a meet semilattice nor a join semilattice as the following example shows:

Let \mathbf{K} be the class of structures with three unary predicates P_0, P_1 and P_2 axiomatized by the universal (Horn) sentence

$$\forall x (\neg P_0(x) \vee \neg P_1(x) \vee P_2(x)),$$

and let $\mathfrak{A} = \langle \{0, 1, 2, 3, 4\}, P_0, P_1, P_2 \rangle$ with $P_0(1), P_1(2), P_2(3), P_2(4)$, and $\neg P_i(x)$ otherwise. Then $\mathfrak{A} \in \mathbf{K}$ and the two \mathbf{K} -congruences whose equivalence classes are given by $\{\{0, 1, 2, 3\}, \{4\}\}$ and $\{\{0, 1, 2, 4\}, \{3\}\}$ do not have a g.l.b. among the \mathbf{K} -congruences although the \mathbf{K} -congruences corresponding to the partitions $\{\{0, 1\}, \{2\}, \{3\}, \{4\}\}$ and $\{\{0, 2\}, \{1\}, \{3\}, \{4\}\}$ are lower bounds.

LEMMA 3. *Let \mathbf{K} be a universal class of structures of type τ . Then, for $\mathfrak{A} \in \mathbf{K}$, the set of \mathbf{K} -congruences of \mathfrak{A} is inductive.*

Proof. Let $\theta_i, i \in I$, be a chain of \mathbf{K} -congruences of $\mathfrak{A} = \langle \mathcal{S}; \mathcal{F}, \mathcal{R} \rangle$, and let Γ be a set of universal sentences defining \mathbf{K} . By a well-known reduction we can assume that every sentence in Γ is of the form

$$\forall x_0 \dots \forall x_n \bigvee_{i=0}^k \sigma_i,$$

where each σ_i is either an atomic formula or the negation of an atomic formula in $L(\tau)$. Let

$$\theta = \bigvee_{i \in I} \theta_i.$$

Then θ is a congruence of \mathfrak{A} ; we will show that $\mathfrak{A}/\theta \in \mathbf{K}$, whence θ is a \mathbf{K} -congruence. So let

$$\sigma = \forall x_0 \dots \forall x_n \bigvee_{i=0}^k \sigma_i,$$

a member of Γ in prenex form with each σ_i either an atomic formula or the negation of an atomic formula in $L(\tau)$. If this sentence fails to be true in \mathfrak{A}/θ , then, for some $a_0, \dots, a_n \in \mathcal{S}$,

$$\bigvee_{i=0}^k \sigma_i([a_0]_\theta, \dots, [a_n]_\theta)$$

is false in \mathfrak{A}/θ , whence $\sigma_i([a_0]_\theta, \dots, [a_n]_\theta)$ is false in \mathfrak{A}/θ for all i . If σ_i is atomic for a given i , this would imply $\sigma_i([a_0]_{\theta_k}, \dots, [a_n]_{\theta_k})$ is false in \mathfrak{A}/θ_k for all $k \in I$, and if σ_i is the negation of an atomic formula, then $\sigma_i([a_0]_{\theta_k}, \dots, [a_n]_{\theta_k})$ would be false for some $k \in I$. Among the latter cases only finitely many i are involved, and hence there is a $k_0 \in I$ such that

$$\sigma_i([a_0]_{\theta_{k_0}}, \dots, [a_n]_{\theta_{k_0}})$$

is false in $\mathfrak{A}/\theta_{k_0}$ for all i ; but then σ fails to hold in $\mathfrak{A}/\theta_{k_0}$, a contradiction.

Combining the lemmas we have proved the following

THEOREM 1. *Let K be a universal class of structures. Then every structure in K is isomorphic to a full subdirect product of K -subdirectly irreducible structures.*

Of course, if we want a universal class K to be closed under subdirect products, then we need a universal Horn class (for example, the class of graphs). To indicate that we have a nearly best possible result for axiomatic theories we will consider two examples, the first being the class K_D of dense linear orders without end points $\langle S, < \rangle$ axiomatized by

$$\begin{aligned} \forall x \forall y (x < y \text{ or } y < x \text{ or } x = y), \quad \forall x \forall y \forall z (x < y \ \& \ y < z \rightarrow x < z), \\ \forall x \forall y (x < y \rightarrow \neg y < x \ \& \ \neg x = y), \\ \forall x \forall y \exists z [x \neq y \rightarrow (x < z < y \text{ or } y < z < x)], \\ \forall x \exists y \exists z (x < y \ \& \ z < x). \end{aligned}$$

The only countable model (up to isomorphism) is the rationals $\mathfrak{Q} = \langle Q, < \rangle$, and it is easy to check that, given $q_0, q_1 \in Q$ with $q_0 \neq q_1$, there is a K_D -congruence $\theta \neq \Delta(\mathfrak{Q})$ such that $\langle q_0, q_1 \rangle \notin \theta$ and, for $q_0, q_1 \in Q$ with $\neg(q_0 < q_1)$, there is a K_D -congruence $\theta \neq \Delta(\mathfrak{Q})$ with $\neg([q_0]_\theta < [q_1]_\theta)$. Hence \mathfrak{Q} is not K_D -subdirectly irreducible, and so we do not have a generalization of Birkhoff's theorem for K_D . Note that this is a finitely axiomatized $\forall\exists$ -theory of relational structures.

Second consider the class K_P of structures $\langle S, P \rangle$, where P is a unary predicate satisfying $\{x \in S : P(x)\}$ is infinite and $\{x \in S : \neg P(x)\}$ is also infinite. Again we can argue that there is only one countable model and it is not K_P -subdirectly irreducible. This example is an infinitely axiomatized \exists -theory of relational structures.

We remark that for any class K the finite structures in K are isomorphic to full subdirect products of K -subdirectly irreducible structures by Lemma 2.

A class K of structures of type τ is *existential* if it is the class of models of some set of existential sentences in $L(\tau)$.

THEOREM 2. *If K is a finitely axiomatizable existential class of relational structures, then every $\mathfrak{A} \in K$ is isomorphic to a full subdirect product of K -subdirectly irreducible structures.*

Proof. Let $\mathfrak{A} = \langle S, \mathcal{R} \rangle \in \mathbf{K}$ and suppose $a, b \in S, a \neq b$. Then, since only finitely many existential sentences are needed to axiomatize \mathbf{K} , it follows that there is a \mathbf{K} -congruence θ of finite index such that $[a]_\theta \neq [b]_\theta$, and hence there is a maximal \mathbf{K} -congruence θ of \mathfrak{A} such that $[a]_\theta \neq [b]_\theta$. Likewise, for $r_\gamma \in \mathcal{R}$ and $a_0, \dots, a_{m_\gamma-1} \in S$ with $\neg r_\gamma(a_0, \dots, a_{m_\gamma-1})$, there is a maximal \mathbf{K} -congruence θ with respect to the property $\neg r_\gamma([a_0]_\theta, \dots, [a_{m_\gamma-1}]_\theta)$. Hence the canonical map ν from \mathfrak{A} to

$$\prod \{\mathfrak{A}/\theta : \mathfrak{A}/\theta \text{ is } \mathbf{K}\text{-subdirectly irreducible}\}$$

suffices to prove the theorem.

Theorem 2 cannot be extended to cover finitely axiomatizable existential classes of algebras as the following example shows:

Let \mathbf{K} be the class of algebras $\langle A, \vee, \wedge, \pi, \sigma, f \rangle$ axiomatized by $\exists x(\pi(x) \neq x)$ and $\exists x(\sigma(x) \neq x)$, and consider the algebra

$$\mathfrak{A} = \langle (Z - \{0\}) \cup \{-\infty, +\infty\}, \vee, \wedge, \pi, \sigma, f \rangle,$$

where \vee and \wedge are just the usual lattice-theoretic join and meet, respectively, on the extended integers without zero, $\pi(x) = x - 1$ if $1 < x < +\infty$, $\pi(x) = x$ otherwise, $\sigma(x) = x + 1$ if $-\infty < x < -1$, $\sigma(x) = x$ otherwise, $f(x) = +\infty$ if $x \geq 1$, and $f(x) = -\infty$ if $x \leq -1$. Then \mathfrak{A} is in \mathbf{K} , and the only \mathbf{K} -congruences of \mathfrak{A} are of the form $\theta_{m,n}, 1 \leq m, n < +\infty$, where $\langle x, y \rangle \in \theta_{m,n}$ iff $x = y$ or $1 \leq x, y \leq m$ or $-n \leq x, y \leq -1$. Note that \mathfrak{A} is not \mathbf{K} -subdirectly irreducible, and $\mathfrak{A}/\theta_{m,n} \cong \mathfrak{A}$ for all $\theta_{m,n}$. Thus \mathfrak{A} cannot be expressed as a full subdirect product of \mathbf{K} -subdirectly irreducibles.

With this we can also show that we cannot generalize Theorem 2 to finitely axiomatizable $(\forall\exists)$ -theories of relational structures, for if we replace each of the operation symbols $\vee, \wedge, \pi, \sigma, f$ by a relation symbol $r_\vee(x, y, z), \dots, r_f(x, y)$ and consider the class \mathbf{K} axiomatized by

$$\begin{aligned} & \exists x(\neg r_\pi(x, x)), \\ & \exists x(\neg r_\sigma(x, x)), \\ & \forall x \forall y \forall z \forall w [(r_\vee(x, y, z) \ \& \ r_\vee(x, y, w)) \rightarrow z = w], \\ & \dots \dots \dots \\ & \forall x \forall y \forall z [(r_f(x, y) \ \& \ r_f(x, z)) \rightarrow y = z], \end{aligned}$$

where the universal axioms assert that the relations are functions, then we can use the same example above.

In [4] Taylor defined the concept of ‘‘pure-irreducible’’. There is a striking similarity between Lemma 1 of this paper and his Lemma 3.4. Furthermore, as Taylor points out, let us expand the language of a structure \mathfrak{A} to include predicate symbols $s(\vec{y})$ for each (\exists, \wedge) -formula

$\exists \vec{x} \varphi(\vec{x}, \vec{y})$. Then in the universal class K axiomatized by

$$\{\forall \vec{y} (\exists \vec{x} \varphi(\vec{x}, \vec{y}) \rightarrow s(\vec{y}))\}$$

the expansion of \mathfrak{A} is K -subdirectly irreducible iff \mathfrak{A} is pure-irreducible, and Taylor's Theorem 3.6 is a consequence of our Theorem 1.

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Added in proof. Mal'cev has some generalizations of Birkhoff's Theorem to arbitrary structures in *The metamathematics of algebraic systems*, North Holland, 1971. He uses subdirect products, whereas we use full subdirect products, so in many cases our results are stronger (see, for example, his Theorem 4 in *Subdirect products of models*). On the other hand, he obtains results for $\forall\exists$ -classes (see the remark to his Theorem 3).

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