

Chap. 3

Categorical SOS and Bialgebras

Plan

- Concurrency, process theory
- SOS
- compositionality: opt. sem. w/ den. reasoning

References

Bartek Klin, TCS 2011

§3.1 Introduction.

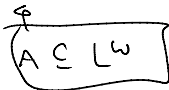
Computer Science

finitary formalism,
representing
(possibly) infinitary behaviors

E.g.

- a while program, (imperative) \leftarrow finite string
- and its execution \leftarrow possibly non-termin
- a DFA \leftarrow finite
- and its accepted language \leftarrow infinite, w/ arbitrary long words

- A Büchi autom. and the w-language it recognizes



- A higher-order recursion scheme and the tree language it produces
- (... and of course) a λ -term and its reduction sequence

A central question

- Given a finitary representation (a program, an autom., ...), what is its (infinitary) behavior?

Now notice that this question is ill-formulated ... We mortal humans are incapable of writing down infinite behaviors ...

The central question,
refined and often asked

1 Given two presentations M, N ,
do they exhibit the same
behavior?

$$(M =_P N, \llbracket M \rrbracket = \llbracket N \rrbracket, M \stackrel{a}{\sim}_{CTXT} N, \\ M \hat{=} N \dots \\ \text{(bisim)})$$

[Foundation of program transformation,
automata minimization, etc.

same job,
more efficiently

2 Given a presentation M ,
does its behavior satisfy a
given specification P ?

e.g. P is

- strongly normalizing (termination)
 - never produces a label a ($\neg \text{G}(!a)$)
 - after a occurs, b occurs eventually ($\text{G}(a \rightarrow Fb)$)
- specification in modal (temporal) logic

Anyway To answer such questions,
we need a mathematical def. of
the behavior of a presentation M .

This is what SEMANTICS

(in CS) is about.

↑
"What is its
'meaning'?"

Two common styles of semantics:

- denotational sem.
mathematical / algebraic, abstract,
easy to reason with
- operational sem.
concrete, akin to actual implem.

The distinction is not clear-cut...

- e.g.
- Is game semantics den. or opr.?
 - In what follows, we see
initial alg. sem. ($\hat{=}$ den.)
final coalg. sem. ($\hat{=}$ opr.)
coincide in lucky situations

[Hoare, in early years]

"Once denotational model is
available, (nasty) operational
models should immediately be
thrown away"

Ⓞ Winstel, Formal Semantics of
Prog. Languages (MIT Press)

Structural Operational Semantics

aims at bringing a (SOS) mathematical order to operational semantics.

- [Plotkin '81] First appearance
- Used e.g. for def. of the (opr.) sem. of ML, but

↗ i.e. language specification

- is much more widely used for process calculi

↗ CCS, CSP, ACP, π -cal., ...
simple prog. lang. for
concurrent systems/processes

- [Turi, Plotkin '97] Categorical formulation via alg. & coalg.
- ↗ goal of this part

SOS The first example

- The process algebra:

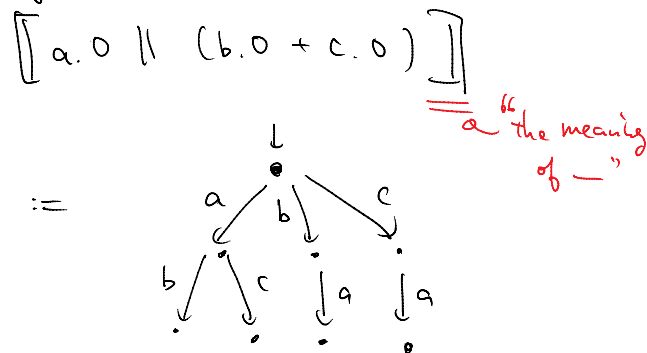
$$\begin{aligned}
 P ::= & 0 && \left\{ \begin{array}{l} \text{Termination} \\ \text{action prefix} \\ (a \in L) \text{ "do } a \text{ and then do } P" \end{array} \right. \\
 & | a \cdot P \\
 & | P + P && \left\{ \begin{array}{l} \text{non-deterministic choice} \\ \text{"choose one and do it"} \end{array} \right. \\
 & | P \parallel P && \left\{ \begin{array}{l} \text{parallel composition} \\ \text{"do both in a concurrent manner"} \end{array} \right.
 \end{aligned}$$

One can also include recursive definitions
 \Rightarrow infinitary behaviors
 For simplicity we don't do that now

We define the (operational) sem. for this process alg. using

$$\frac{LTS}{a} \left[\begin{array}{l} \text{labeled transition sys.,} \\ P_i(L \times X) \\ \uparrow \\ \text{fin} \\ X \end{array} \right]$$

e.g.



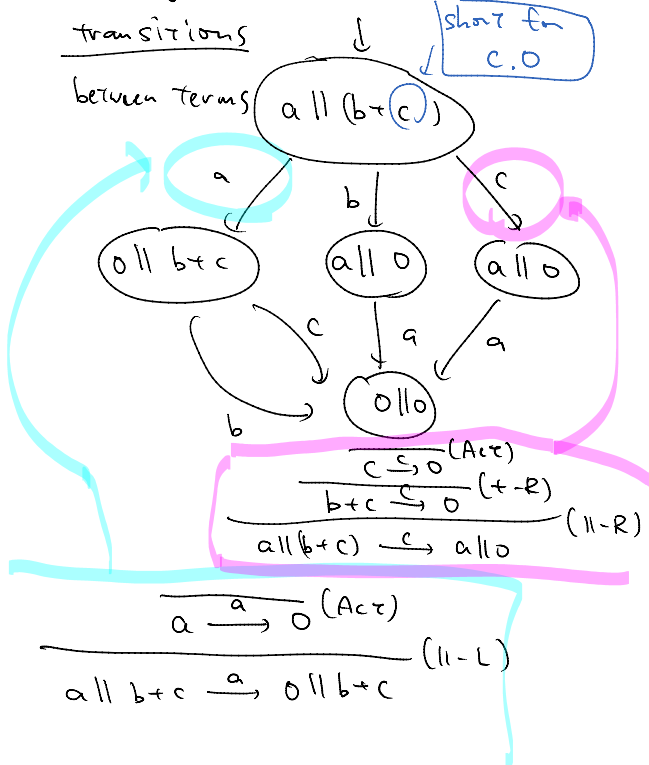
Q How to define $\llbracket - \rrbracket$ in a math. rigorous manner?

The SOS answer is as follows.

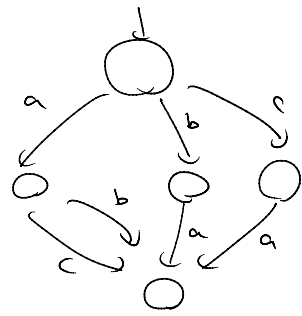
1 You specify the 'meaning' of process operators (a., +, ||, ...) by means of SOS rules

$$\begin{aligned}
 & \frac{}{a.x \xrightarrow{a} x} \text{ (Act)} \\
 & \frac{x \xrightarrow{a} x'}{x+y \xrightarrow{a} x'} \text{ (+-L)} \quad \frac{y \xrightarrow{a} y'}{x+y \xrightarrow{a} y'} \text{ (+-R)} \\
 & \frac{x \xrightarrow{a} x'}{x \parallel y \xrightarrow{a} x' \parallel y} \text{ (||-L)} \quad \frac{y \xrightarrow{a} y'}{x \parallel y \xrightarrow{a} x \parallel y'} \text{ (||-R)}
 \end{aligned}$$

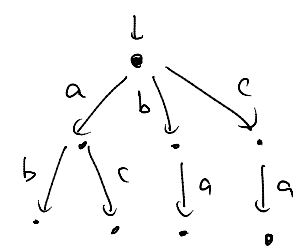
2 Using these rules, you derive transitions between terms



3 The resulting LTS



is bisimilar to the one 3 pages ago:



Moreover, a desirable property:

Compositionality (Modularity, 「要素還元性」)

“Bisimilarity is a congruence”

For each process opt. σ , $\llbracket t_i \rrbracket$ and $\llbracket s_i \rrbracket$ are bisimilar

$\Rightarrow \llbracket \sigma(t_1, \dots, t_n) \rrbracket$ and $\llbracket \sigma(s_1, \dots, s_n) \rrbracket$ are bisimilar

“equivalence of LTSs”

- Enables algebraic reasoning: $t_1 \sim s_1 \dots t_n \sim s_n \Rightarrow \sigma(t_1, \dots, t_n) \sim \sigma(s_1, \dots, s_n)$ (denotes bisim. LTSs)
- Replaceability, maintainability, ...
- Typical property of denotational semantics

Fact There are so-called syntactic formats (SOS, tyft, De Simone, ...)

- w/ following (meta) results:
- If all the SOS rules adhere to the format,
 - Then the induced $\llbracket - \rrbracket$ always is compositional.
- templates for SOS rules

Such a metareult (and discovery of such a syntactic format) will be the goal of the categorical/bialgebraic development.

We notice strong (co)algebraic flavor in SOS:

- { process terms } is an initial algebra
- An LTS is a coalgebra
- " ... is bisimilar " \rightarrow coinduction
- $\frac{\overline{a} \xrightarrow{a} 0(Acc)}{a \parallel b+c \xrightarrow{a} 0 \parallel b+c} (II-L)$: inductive flavor

\Rightarrow Bialgebraic modeling!

BTW, Process alg., concurrency

Their significance:

- Nowadays few computational tasks are sequential; most are parallel
 - * The Internet
 - * a multicore processor
 - * HPC
- Parallelism / concurrency results in vast complexity
 - * Nondeterminism is inevitable: "who goes first?"
 - * n computing units \Rightarrow $\exp(n)$ complexity

§3.2 Bialgebraic Modeling:
The Simple Setting
Here we present an (even simpler) example of SOS via bialgebras.
(Following [Klin, TCS 2011])

We fix:

- $\mathcal{V}ar$, a countable set of metavariables
- Σ : an algebraic signature (identified with $\Sigma: Sets \rightarrow Sets, X \mapsto \coprod_{\sigma \in \Sigma} X^{|\sigma|}$)
- L , a set of labels

We consider the process alg. (i.e. a simple progr. lang.) that is for expressing L-streams $a_0 a_1 a_2 \dots \in L^\omega$,
det. by Σ

Notice that

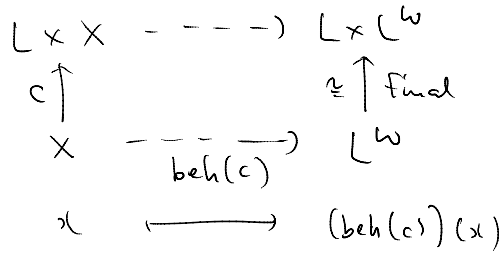
- $T_\Sigma 0 = \{ \Sigma\text{-terms with no variables} \}$ carries an initial algebra

$$\Sigma(T_\Sigma 0)$$

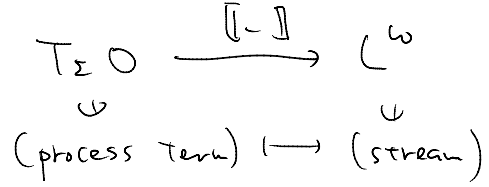
$$\cong \text{init.}$$

$$T_\Sigma 0$$

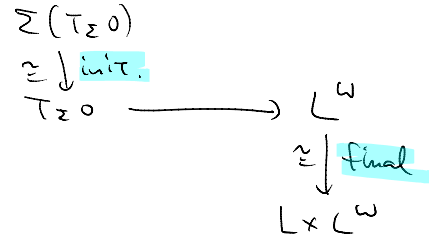
- An (L, X) -algebra $c \uparrow_x$ is a stream automaton; and its state $x \in X$ induces an L -stream $a_0 a_1 \dots \in L^\omega$ by cainduction:



Our goal Operational semantics of this process alg., that is (prog. lang.)

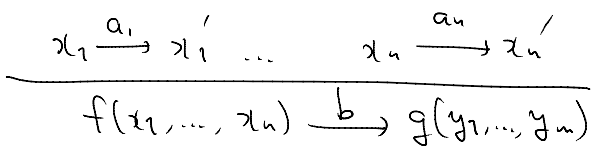


We could use either



As before, we start with SOS rules, now subject to a certain syntactic format:

Def. A simple stream SOS rule is



where

- $f \in \Sigma_n, g \in \Sigma_m$ (operations)
- $x_1, \dots, x_n, x'_1, \dots, x'_n \in \text{Var}$
- $y_j \in \{x'_1, \dots, x'_n\}$ for $j \in [1, m]$
- $b, a_1, \dots, a_n \in L$.

More precisely: a simple str. SOS rule is $R = (f, g, (a_1, \dots, a_n), b, \theta)$ where $\theta: m \rightarrow n$ is a function.

Def. A simple stream SOS specification for Σ is a set Λ of stream SOS rules s.t.

for each $f \in \Sigma_n$ and each $a_1, \dots, a_n \in L$, there is exactly one rule in Λ of the form

$$\frac{0 \xrightarrow{a_1} 0 \quad \dots \quad 0 \xrightarrow{a_n} 0}{f(0, \dots, 0) \rightarrow \text{///}}$$

Example - $L = \{a, b\}$

- $\Sigma_0 = \{c_a, c_b\}$ $\Sigma_2 = \{alt\}$
 "Constantly a"

$\Sigma_1 = \Sigma_3 = \Sigma_4 = \dots = \emptyset$

- Λ consists of

$$\frac{}{c_a \xrightarrow{a} c_a} \quad \frac{}{c_b \xrightarrow{b} c_b}$$

$$\frac{x_1 \xrightarrow{l_1} x_1' \quad x_2 \xrightarrow{l_2} x_2'}{alt(x_1, x_2) \xrightarrow{l_1} alt(x_2', x_1')} \quad \left(\begin{array}{l} \text{for each} \\ l_1, l_2 \in L \end{array} \right)$$

Then Λ is a simple str. SOS specif. for Σ .

The syntactic format is very much restrictive, e.g.

$x_i \xrightarrow{l_1} x_i'$

$zip(x_1, x_2) \xrightarrow{l_1} (x_2, x_1')$
 does not satisfy the restriction.
 $zip(a_1 a_2 \dots, b_1 b_2 \dots) = a_1 b_1 a_2 b_2 \dots$

Exercise What is the intention of the operator zip?

Goals - Derive $[-] : T\Sigma_0 \rightarrow L^*$
 - Show $[-]$ is compositional

Crucial observation:
a simple str. SOS specification Λ
a natural transformation

"map of functors"
 $\Sigma F \Rightarrow F \Sigma$
 (where $F = Lx_*$)

More generally:
A spec. subj. to a certain syntactic format
a natural transformation
 $\Sigma F \Rightarrow F \Sigma$

- for many different F
 - this can be more complex (later)

... finally we need to introduce nat. trans.!

Def. Let $C \xrightleftharpoons[G]{F} D$ be functors.

A natural transformation

$$C \begin{array}{c} \xrightarrow{F} \\ \Downarrow \alpha \\ \xrightarrow{G} \end{array} D$$

is a family

$$\left\{ Fx \xrightarrow{\alpha_x} Gx \right\}_{x \in C}$$

In the old age it was sometimes written $\alpha : F \Rightarrow G : C \rightarrow D$

of FD -arrows.

α_x : α 's component at $x \in C$

subject to the naturality condition

$$\begin{array}{ccc}
 \textcircled{C} & & \textcircled{D} \\
 X & & FX \xrightarrow{\alpha_X} GX \\
 \downarrow F & & FF \downarrow \quad \quad \downarrow GF \\
 Y & & FY \xrightarrow{\alpha_Y} GY
 \end{array}$$

Before exhibiting

a simple str. SOS specification Λ
a natural transformation

$$\Sigma F \Rightarrow F \Sigma \quad (\text{where } F = Lx_-)$$

We see why $\Sigma F \Rightarrow F \Sigma$ is useful in the current setting.

Assume we have obtained

$$\Sigma F \xrightarrow{\lambda} F \Sigma \quad (F = Lx_-)$$

Then:

- $\Sigma(T_{\Sigma 0}) \xrightarrow{\lambda_{T_{\Sigma 0}}} F(\Sigma(T_{\Sigma 0}))$ has an F-coalg. structure, by $\Sigma \downarrow \text{init.}$

$$\begin{array}{ccc}
 \Sigma(T_{\Sigma 0}) & \xrightarrow{\lambda_{T_{\Sigma 0}}} & \Sigma(F(T_{\Sigma 0})) \\
 \downarrow \text{init.} & & \downarrow \lambda_{T_{\Sigma 0}} \\
 T_{\Sigma 0} & \xrightarrow{\lambda_{T_{\Sigma 0}}} & F(\Sigma(T_{\Sigma 0})) \\
 & & \downarrow F(\text{init.}) \\
 & & F(T_{\Sigma 0})
 \end{array}$$

- Which can be used in $F(T_{\Sigma 0}) \xrightarrow{\lambda_{T_{\Sigma 0}}} F(L\omega) \xrightarrow{\text{final}} L\omega$

(more on this is coming later)

Prop.

a simple str. SOS specification Λ
a natural transformation

$$\Sigma F \Rightarrow F \Sigma \quad (\text{where } F = Lx_-)$$

Proof.

$$\textcircled{D} \quad \Sigma F \Rightarrow F \Sigma$$

$$\coprod_{f \in \Sigma} (F(-))^{f|f} \Rightarrow F \Sigma$$

$$\begin{array}{ccc}
 (F(-))^{f|f} & \Rightarrow & F \Sigma \\
 \parallel & & \parallel \\
 (Lx(-))^{f|f} & & Lx(\coprod_{f \in \Sigma} (-)^{f|f})
 \end{array} \quad \text{for each } f \in \Sigma$$

We define such functions by $(f \in \Sigma_n)$ Let

$$(Lx \Sigma)^n \rightarrow Lx \left(\coprod_{f \in \Sigma} f^{f|f} \right)$$

$$(a_1, s_1, \dots, a_n, s_n) \mapsto (a, \text{kg}(s_1, \dots, s_n))$$

where the rule in Λ corresponding to

$$\begin{array}{c}
 \frac{0 \xrightarrow{a_1} 0 \quad \dots \quad 0 \xrightarrow{a_n} 0}{f(0, \dots, 0) \rightarrow \text{///}}
 \end{array}$$

is

$$\begin{array}{c}
 x_1 \xrightarrow{a_1} x'_1 \quad \dots \quad x_n \xrightarrow{a_n} x'_n \\
 f(x_1, \dots, x_n) \xrightarrow{a} g(x'_1, \dots, x'_n)
 \end{array}$$

We need to check naturality:

$$\begin{array}{ccc}
 S & (L \times S)^n & \rightarrow L \times \left(\coprod_{R \in \Sigma} S^{|R|} \right) \\
 \downarrow f & \downarrow (L \times f)^n & \downarrow \\
 S' & (L \times S')^n & \rightarrow L \times \left(\coprod_{R \in \Sigma} (S')^{|R|} \right)
 \end{array}$$

which is easy.

[I] Given a natural transf.

$$\begin{array}{c}
 \Sigma F \Rightarrow F \Sigma \\
 \hline
 \coprod_{f \in \Sigma} (F(-))^{f|} \Rightarrow F \Sigma \\
 \hline
 \underbrace{(F(-))^{f|}}_{(L \times (-))^{f|}} \Rightarrow \underbrace{F \Sigma}_{L \times \left(\coprod_{R \in \Sigma} (-)^{|R|} \right)} \text{ for each } f \in \Sigma
 \end{array}$$

We fix $f \in \Sigma$,
 $a_1, \dots, a_{|f|} \in L$.

Take its component at $X' := \{x'_1, \dots, x'_{|f|}\}$:

$$(L \times X')^{f|} \xrightarrow{\text{we denote this by } k} L \times \coprod_{R \in \Sigma} (X')^{|R|}$$

and consider

$$k \left((a_1, x'_1), \dots, (a_{|f|}, x'_{|f|}) \right) =: (a, kg(x'_1, \dots, x'_{|f|}))$$

From this we define a rule

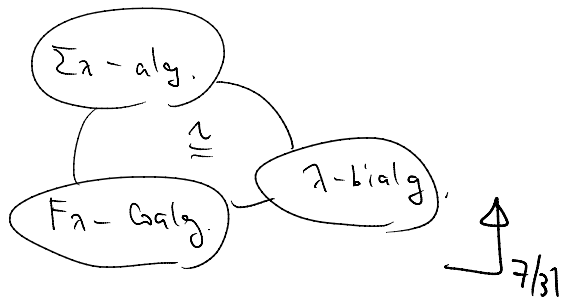
$$\begin{array}{c}
 x_1 \xrightarrow{a_1} x'_1 \dots x_n \xrightarrow{a_n} x'_n \\
 \hline
 f(x_1, \dots, x_n) \xrightarrow{a} g(x'_1, \dots, x'_{|f|})
 \end{array}$$

We do this for each $f, a_1, \dots, a_{|f|}$ and define a simple str. SOS spec.

It is not hard to see that [I] and [J] are converse to each other \square

Therefore we transformed a set of rules into an abstract SOS rule $\lambda: \Sigma F \Rightarrow F \Sigma$.

We shall now fully exploit this...



Prop. λ lifts $\Sigma: \text{Sets} \rightarrow \text{Sets}$ to

$$\Sigma \lambda: \text{Coalg}_F \rightarrow \text{Coalg}_F,$$

that is,

$$\begin{array}{ccc}
 \text{Coalg}_F & \xrightarrow{\Sigma \lambda} & \text{Coalg}_F \\
 \text{forget} \downarrow & \cong & \downarrow \\
 \text{Sets} & \xrightarrow{\Sigma} & \text{Sets}
 \end{array}$$

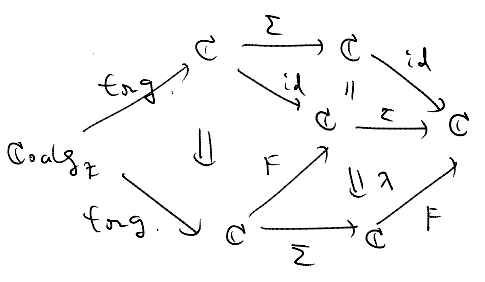
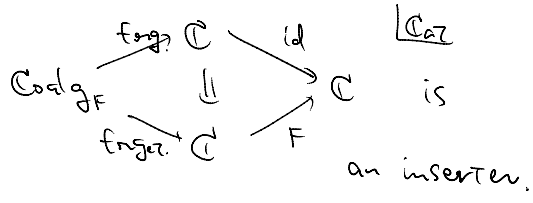
Concretely:

$$\begin{array}{ccc}
 \text{Coalg}_F & \xrightarrow{\Sigma \lambda} & \text{Coalg}_F \\
 \begin{array}{c} FX \\ \uparrow c \\ X \end{array} & \longmapsto & \begin{array}{c} F \Sigma X \\ \uparrow \lambda x \\ \Sigma F X \\ \uparrow \Sigma c \\ \Sigma X \end{array}
 \end{array}$$

Exercise Write down $\Sigma\lambda$'s action on arrows (Use naturality of λ)

Proof. Straightforward. \square

A 2-categorical view:



induces $Coalg_F \xrightarrow{\Sigma\lambda} Coalg_F$.

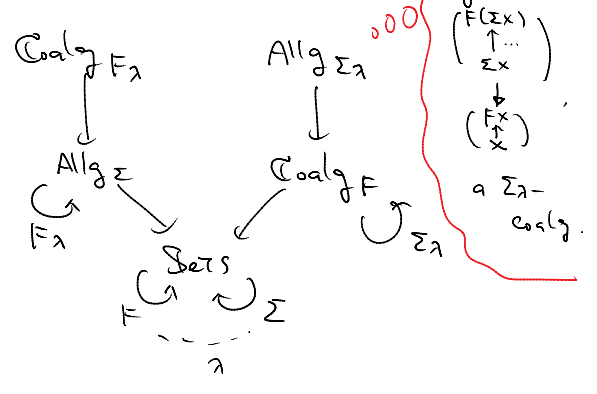
Dually:

Prop. λ lifts $F: Sets \rightarrow Sets$

To $F\lambda: Alg_{\Sigma} \rightarrow Alg_{\Sigma}$

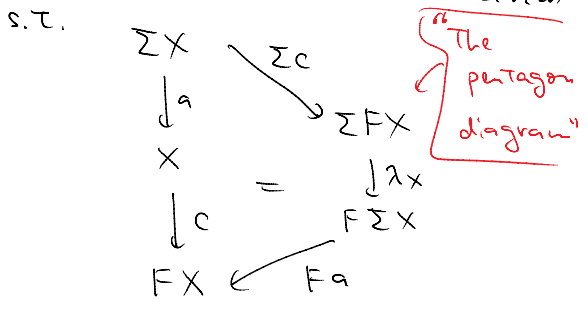
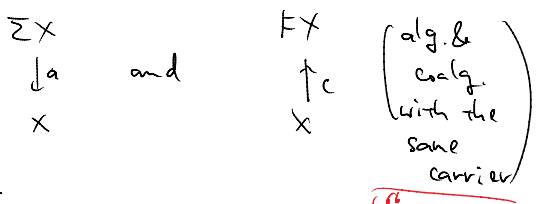
$$\begin{pmatrix} \Sigma X \\ \downarrow a \\ X \end{pmatrix} \mapsto \begin{pmatrix} \Sigma FX \\ \downarrow \lambda_x \\ FX \\ \downarrow Fa \\ FX \end{pmatrix}$$

Therefore we obtained

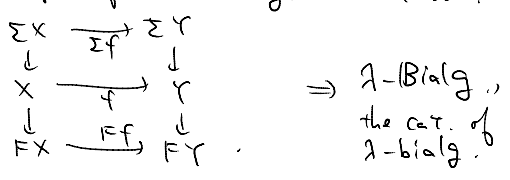


Moreover:

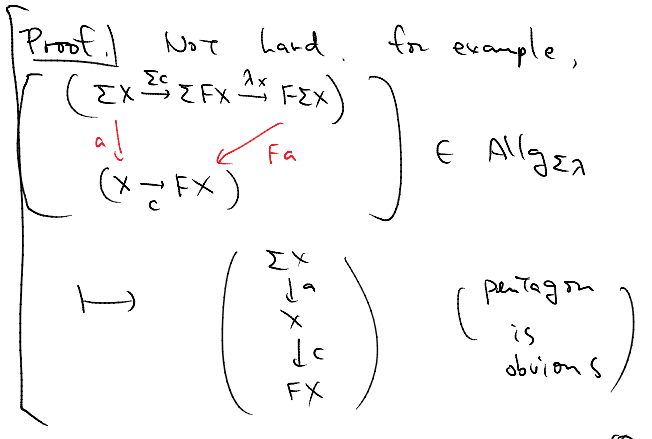
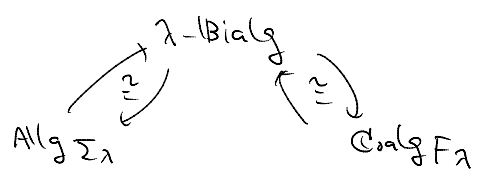
Def. A λ -bialgebra is a pair



A map of λ -bialg. is f s.t.



Prop. We have isomorphisms between categories:

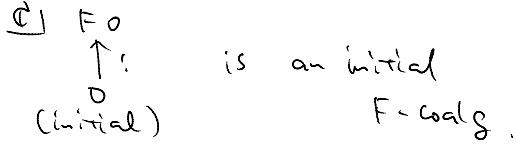


\square

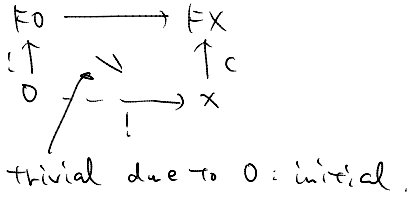
We have seen this:
"What is an initial coalgebra?"

Lem. If \mathcal{C} has an initial obj. 0 ,
for any functor $F: \mathcal{C} \rightarrow \mathcal{C}$

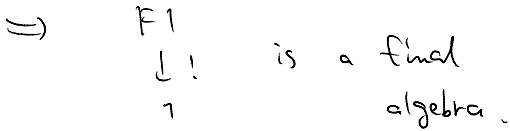
the coalgebra



Proof.



Lem. \mathcal{C} has a final obj. 1



Thm. Asm

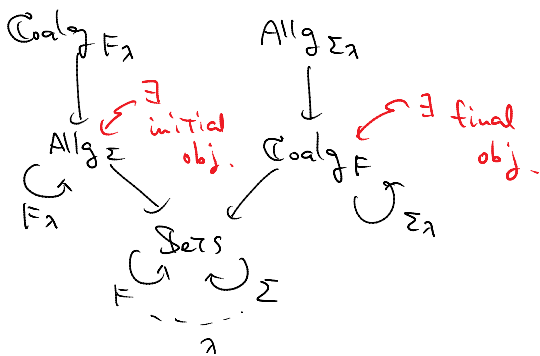
$\Sigma: \text{Sets} \rightarrow \text{Sets}$ has an initial algebra

$F: \text{Sets} \rightarrow \text{Sets}$ has a final coalgebra

Then

- $\Sigma A \downarrow_{\text{init}}^A$ is canonically a λ -bialgebra.
- It is moreover an initial bialg.
- $F \uparrow_{\text{final}}^Z$ is canonically a λ -bialg.
- It is moreover a final λ -bialg.

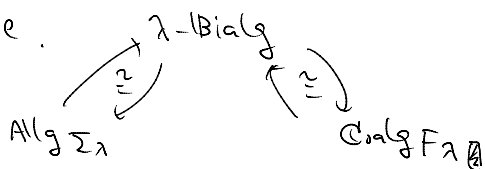
Proof. We apply the lemmas (2 pages) ago
To



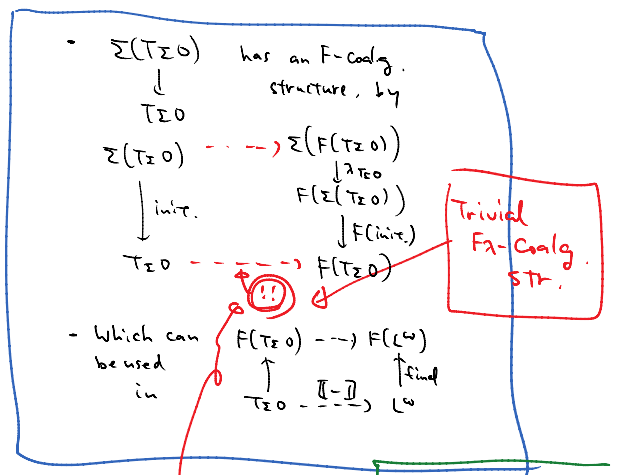
Therefore there are

- an init. obj. in $\text{Alg } \Sigma_\lambda$, and
- a final obj. in $\text{Coalg } F_\lambda$.

Now use

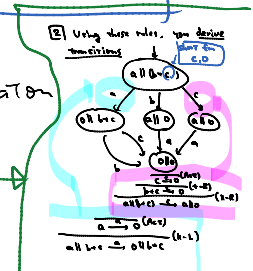


Concretely this is what we did on some 13 pages ago:



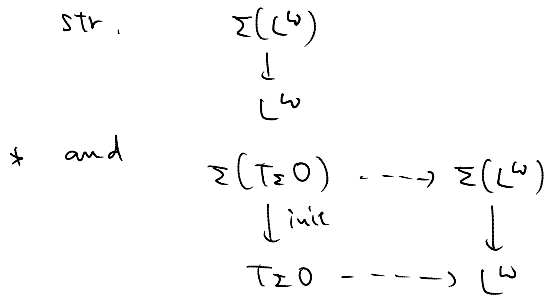
Even more concretely

This "stream automaton structure" on terms is what we did in (Rule-based deriv. of transitions)



However, we now see more:

- By the dual scheme we can
* equip $F(L^W)$ with an alg.



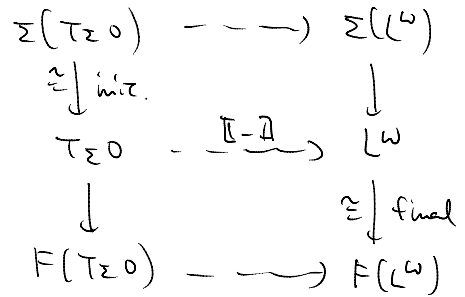
Note

On the last page: final coalg.
semantics
(operational)

on this page: initial alg.
semantics
(denotational)

Point These two coincide !!

By



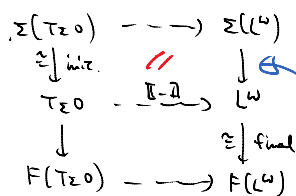
\Uparrow
 initial
 λ -bialg.

\Uparrow
 final
 λ -bialg.

∴ If $[-]$ makes the above diagram commute, then in particular
 • $T_{\Sigma 0} \xrightarrow{[-]} L^W$ thus this $[-]$ is
 $\downarrow \cong \downarrow \text{final}$ the same as
 $F(T_{\Sigma 0}) \dashrightarrow F(L^W)$ $[-]$ 2 pages ago.

Compositionality

By $[-]$ being
an algebra hom.,
we immediately
have



$[f(t_1, \dots, t_n)] =$

$[f]([t_1], \dots, [t_n])$

The interpretation
of $f \in \Sigma$ in $\Sigma(L^W)$
 \downarrow
 L^W

What is crucial:

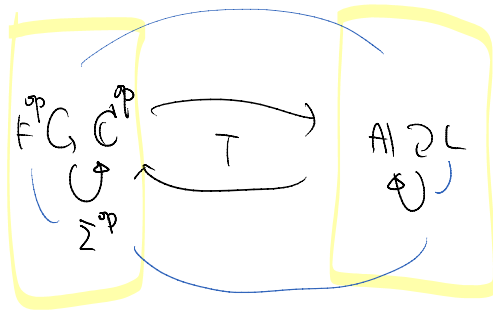
$[f(t_1, \dots, t_n)]$ is a function
on $[t_1], \dots, [t_n]$

From this we have compositionality

$$\frac{t_1 \sim s_1 \quad \dots \quad t_n \sim s_n}{f(t_1, \dots, t_n) \sim f(s_1, \dots, s_n)}$$

i.e. bisimilarity is a congruence.

\uparrow final coalg. sem.



§3.3 Bialgebraic Modeling Beyond the Simple Setting

- ① As we saw, an abstract SOS rule of the form $\Sigma F \Rightarrow F \Sigma$ is very much restricted. (For example, "zip" of two streams) cannot be modeled

More expressive formats of abstract SOS rules:

$$\Sigma \underbrace{(F \times id)}_{\substack{\uparrow \\ \text{the cofree} \\ \text{copointed functor} \\ \text{over } F}} \Rightarrow F \underbrace{T \Sigma}_{\substack{\uparrow \\ \text{the free monad} \\ \text{over } \Sigma}}$$

This corresponds to the well-known GSOS format.

$$\Sigma F^\infty \Rightarrow F T \Sigma$$

\uparrow cofree comonad \uparrow free monad

This canonically induces a distributive law $T \Sigma F^\infty \Rightarrow F^\infty T \Sigma$

- ② For many functors F / base categories \mathcal{C}

- For probabilistic systems: take F that involves a distribution functor \mathcal{D} [Bartels]
- Timed systems [Kick et al.]
- Continuous prob. sys. (with $\mathcal{C} = \text{Meas}$) [Bacci, Miculan]
- For value-passing / name-passing calculi [Turi, Fiore, Staton, ...] (with \mathcal{C} : a preheap cat.)