

Simulations as a genuinely categorical concept

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<http://www.iti.cs.tu-bs.de/~koslowj/RESEARCH>

01. 3-fold motivation: structure-preserving relations?

Why is it that in concrete categories (over *set*) almost always “structure-preserving” functions are employed as morphisms?

Structure-preserving **relations** occur rather seldom, **even if the structure is given by relations**. Some notable exceptions:

- various partial homomorphisms between partial algebras;
- in CS relations are employed, whenever determinacy and/or termination may be in question; often in an ad hoc fashion;
- order-ideals between pre-ordered sets; this is a particular instance of the notion of **profunctor**;
- **simulations** between labeled transition systems (LTSs) in CS; usually these are regarded as a mere stepping stone towards **bisimulation equivalence** and seldom viewed as morphisms in their own right.

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When trying to understand (bi)simulations, you will find

- that Park's 1981 rather operational approach (with "silent transitions" intended to **break synchronization**) is favoured in CS over Yoeli and Ginzburg's conceptual notion of \leq 1965;
- that **coalgebra**, initiated by Aczel and Mendler [AM89], until recently was focussed almost entirely on bisimulations;
- that the **synthetic theory of (bi)simulations** via **open maps**, as pioneered by Joyal, Nielsen and Winskel [JNW94], or via Cockett and Spooner's **covering morphisms** [CS97], downplays the 2-dimensional heritage of the notion (just as coalgebra);
- other sources of inspiration, like an intriguing remark by Dusko Pavlović [AP97], Lindsay Errington's thesis [Err99], and a 2002 talk by Krzysztof Worytkiewicz in Ottawa [Wor03].

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03. 3-fold motivation: functors vs. profunctors

The general theory of modules

- not only explains the connection between profunctors and functors for ordinary categories (and in particular pre-ordered sets), and addresses the compositional shortcomings of (op)lax natural transformations (*cf.*, joint work with Robin Cockett, Robert Seely and Richard Wood) [CKSW03],
- it also works for **categories enriched over a bicategory** \mathcal{W} ,
- and moreover for weaker notions than categories, e.g., **taxons**;

For $\mathcal{W} = \mathit{rel}$ or $\mathcal{W} = \mathit{spn}$ graph comprehension will put us in the same “ball park” and will allow us to treat simulations and (pro)functors on equal footing.

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Traditional labeled transition systems (LTSs) over a *label set* X are not allowed to have repeated labels along parallel arrows:

$$\frac{\frac{Q \xrightarrow{\langle !, \ell \rangle} X \quad (\text{faithful graph morphism})}{X \xleftarrow{\ell} Q_1 \xrightarrow[\ell]{s} Q_0} \quad (\text{jointly mono})}{X \xleftarrow{\ell} Q_1 \xrightarrow{\langle s, t \rangle} Q_0 \times Q_0} \quad (\text{jointly mono})$$
$$\frac{}{X \xrightarrow{L} \mathit{rel}} \quad (\text{graph morphism})$$

where $Q = (Q_1 \xrightarrow[\ell]{s} Q_0)$ is a graph and $X = (X \xrightarrow[!]{!} 1)$ is a single-node graph with arrow-set X .

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If $X \xrightarrow{L} \text{rel}$ factors through *set*, the LTS is called **deterministic**. Then the graph morphism $Q \xrightarrow{\langle !, \ell \rangle} X$ is a discrete opfibration.

05. Labeled transition systems, unconstrained

Dropping the constraint that parallel arrows must have different labels yields a similar bijective correspondence

$$\frac{\frac{Q \xrightarrow{!, \ell} X \quad (\text{graph morphism})}{\frac{X \xleftarrow{\ell} Q_1 \xrightarrow{s, t} Q_0 \quad (\text{graph morphism})}{\frac{X \xrightarrow{L} \langle Q_0, Q_0 \rangle \text{ spn}}{X \xrightarrow{L} \text{ spn} \quad (\text{graph morphism})}}}}{X \xrightarrow{L} \langle Q_0, Q_0 \rangle \text{ spn}}$$

Of course, the bijective correspondence between X -controlled processes and X -controlled systems does *not* depend on X having just a single node. In fact, multi-sorted control can be useful for implementing certain features.

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06. More on graphs

Example

In order to model automata over \mathbf{X} with initial and/or final states, we extend the control graph with such states, e.g.,



Definition

We denote the (bi)categories of small, respectively, locally small graphs and graph morphisms by grph and by Grph . These have non-full sub(bi)categories cat and Cat , respectively.

We call a Grph -morphism *fiber-small*, if each object in the codomain has at most a set of pre-images.

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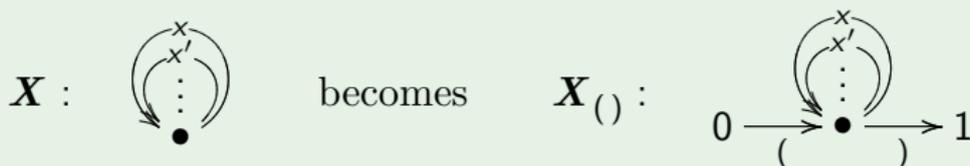
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07. Graph comprehension

Theorem (generalizing an observation of Pavlović [AP97])

Every (locally) small graph X induces an essentially bijective correspondence between (fiber-)small X -controlled processes and X -controlled systems $X \rightarrow \mathit{spn}$.

If X is a (locally) small category, extending a (fiber-)small process $Q \rightarrow X$ to a functor $Q^ \rightarrow X$ corresponds to saturating a system $X \xrightarrow{L} \mathit{spn}$ to a lax functor $X \xrightarrow{L} \mathit{spn}$.*

Proof.

An inverse image construction turns processes into systems, while disjoint unions work in the opposite direction. □

It now suffices to settle on morphisms (and possibly 2-cells) for either processes or systems, whatever is more convenient.

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08. Graph comprehension in context

Remarks

- For a category \mathbf{X} , Pavlović observed an equivalence between the categories $(\mathbf{Cat}/\mathbf{X})_{\text{fs}}$ of fiber-small functors into \mathbf{X} and commutative triangles as morphisms, and $[\mathbf{X}, \mathbf{spn}]_{\text{folx}}$ of lax functors $\mathbf{X} \rightarrow \mathbf{spn}$ with *functional* oplax transformations.
- For discrete \mathbf{X} , systems trivially factor through \mathbf{set} : we recover the correspondence $(\mathbf{Set}/\mathbf{X})_{\text{fs}} \cong [\mathbf{X}, \mathbf{set}]$ between fiber-small functions into \mathbf{X} and \mathbf{X} -indexed sets.
- If $\mathbf{X} = \mathbf{1}$, we recover the correspondences between small graphs and endo-spans on sets, respectively, between small categories and monads in \mathbf{spn} .
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09. Which functorial processes do we want?

For processes $Q \xrightarrow{\ell} X$ one is usually interested in arrows of the free category Q^* , and hence in **uniformly** extending ℓ functorially.

- (0) Allowing all graphs as control forces us to form $Q^* \xrightarrow{\ell^*} X^*$, i.e., only free categories arise as controls of functorial processes, which then, in particular, **reflect identities**.
- (1) But a meaningful interpretation of “silent transitions” in Q would seem to require identities in X , hence X should be a category. Restricting the controls to categories from the outset, allows extensions of the form $Q^* \xrightarrow{\ell^*} X$. This keeps all categories available as controls for functorial processes and fits in well with the saturation of the corresponding systems.
- (2) In [BF00] Bunge and Fiore proposed **U**nique **F**actorization **L**ifting–functors to obtain more functorial processes with the good properties of (0). Since these also reflect identities, they would seem to be incompatible with the notion of silent transition, though.

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10. Process- vs. system-view

- Commutative triangles in the process-view, *i.e.*, graph morphisms over \mathbf{X} , do **not** produce simulations.
- But for lax functors into any bicategory \mathcal{W} , the notion of (op)lax natural transformation is already well-established.

Let's try to weaken this for graph morphisms into \mathcal{W} :

Definition

For graph morphisms into a bicategory $\mathbf{X} \xrightarrow[M]{L} \mathcal{W}$, a **lax**, respectively, **oplax transform** $M \xrightarrow{\tau} L$ maps \mathbf{X} -objects x to 1-cells $xM \xrightarrow{x\tau} xL$ in \mathcal{W} and \mathbf{X} -arrows $x \xrightarrow{a} y$ to 2-cells in \mathcal{W}

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As early as 1963 Abraham Ginzburg and Michael Yoeli proposed a definition for ordinary one-sorted LTSs over *rel* [GY63], which then appeared in a joint paper [GY65], and in Ginzburg's book *Algebraic Automata Theory* [Gin68] (referenced by Milner [Mil71] and Park [Par81]):

Definition (Ginzburg/Yoeli, 1963)

For LTSs $X \xrightarrow{L} \langle Q, Q \rangle \text{rel}$ and $X \xrightarrow{M} \langle R, R \rangle \text{rel}$ a relation $Q \xrightarrow{S} R$ is called a **weak homomorphism** from L to M , provided

$$\begin{array}{ccc} Q & \xleftarrow{S^{\text{op}}} & R \\ aL \downarrow & \subseteq & \downarrow aM \\ Q & \xleftarrow{S^{\text{op}}} & R \end{array} \quad \text{for all } a \in X$$

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$$\begin{array}{ccc} Q & \xleftarrow{S^{\text{op}}} & R \\ aL \downarrow & \subseteq & \downarrow aM \\ Q & \xleftarrow{S^{\text{op}}} & R \end{array} \quad \text{for all } a \in X$$

Weak homomorphisms $L \Longrightarrow M$ are just lax transforms $M \Longrightarrow L$.

12. Weak homomorphisms vs. simulations

Milner and Park were more interested in **process algebra** than in **automata theory**, and Milner coined the more suggestive names “simulation” and “bisimulation” (instead of Park’s “mimicry”).

Park introduced simulations in a more operational form that still prevails in most CS accounts of the subject. The less than catchy “weak homomorphisms” were largely forgotten, but rediscovered at various times by categorically-minded researchers...

Among many other things, “weak homomorphism” refers to a **subalgebra of a binary cartesian product**, cf., Lambek [Lam58]. Of course, LTSs $X \xrightarrow{L} \langle Q, Q \rangle \text{rel}$ and $X \xrightarrow{M} \langle R, R \rangle \text{rel}$ as relational algebras also have a product wrt. function-based homomorphisms:

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Weak homomorphisms/simulations, are precisely those “weak sub-structures”, where the existence of **outgoing** transitions with label $a \in X$ is equivalent to the existence of such transitions in the first component. Then the **A**ustralian **M**ate **C**alculus becomes applicable:

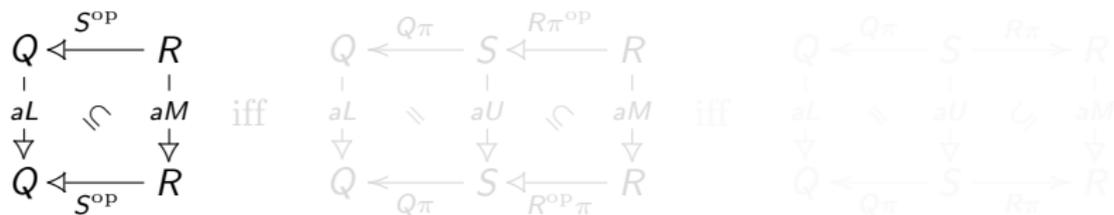
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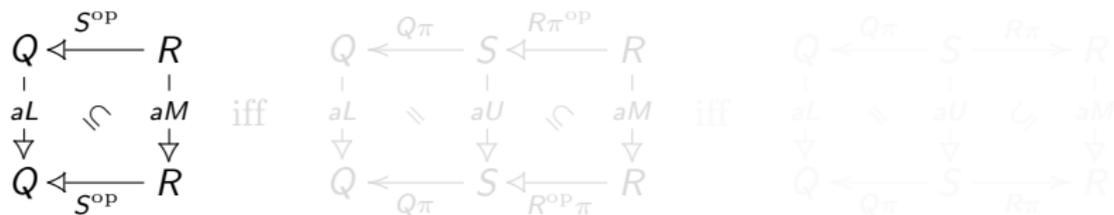


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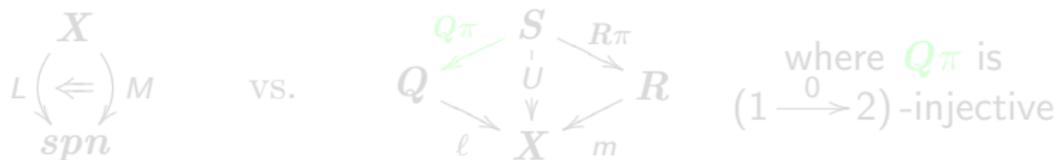
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14. Graph comprehension revisited

Contrast a lax transform $L \Rightarrow M$ with the rightmost diagram for simulations, translated into the world of X -controlled processes:



There are three other such correspondences. Pavlović was aware of one of these, restricted to lax functors into spn / functors into X .

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$$\begin{array}{ccc} X & \xrightarrow{H} & Y \\ \swarrow L & \Leftarrow \sigma & \searrow M \\ & \mathcal{W} & \end{array} \quad \text{or} \quad \begin{array}{ccc} X & \xrightarrow{H} & Y \\ \swarrow L & \Leftarrow \kappa & \searrow M \\ & \mathcal{W} & \end{array}$$

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Worytkiewicz interprets certain functors $\mathbf{X} \rightarrow \mathcal{W}$ into a bicategory of spans as **\mathcal{W} -controlled processes**. The motivation goes back to Burstall's treatment of **flow charts** [Bur72]. Some advantages are:

- A “universal control” eliminates the need to change control;
- as a bicategory, \mathcal{W} provides new types of control (**rewriting?**).

A good criterion for judging the suitability of different choices for H would seem to be the existence of saturations for σ and κ .

Proposition (for small \mathbf{X} and \mathcal{W} with local coproducts)

The **saturation** $\mathbf{X} \xrightarrow{\hat{L}} \mathcal{W}$ of $\mathbf{X} \xrightarrow{L} \mathcal{W}$ leaves the objects invariant and maps $x \xrightarrow{a} y$ in \mathbf{X} to the coproduct of all $a_0 L; a_1 L; \dots; a_{n-1} L$, where $a_0; a_1; \dots; a_{n-1} = a$ in \mathbf{X} .

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16. The universal property of saturation

Theorem

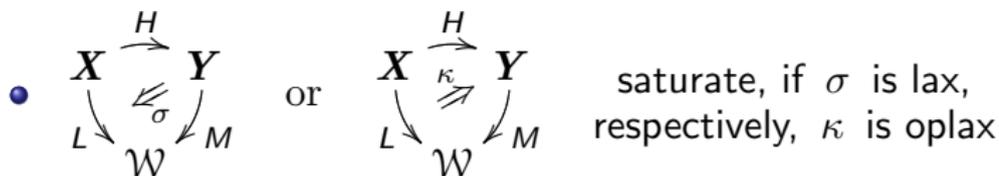
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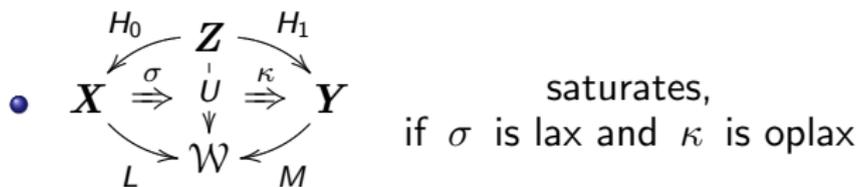
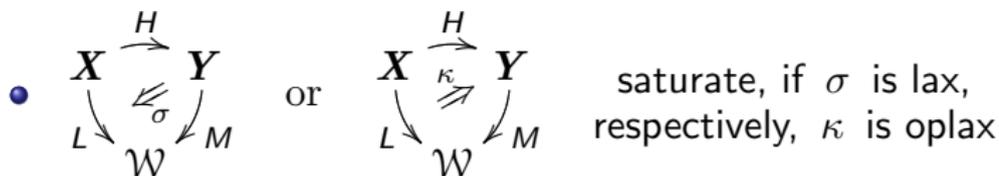
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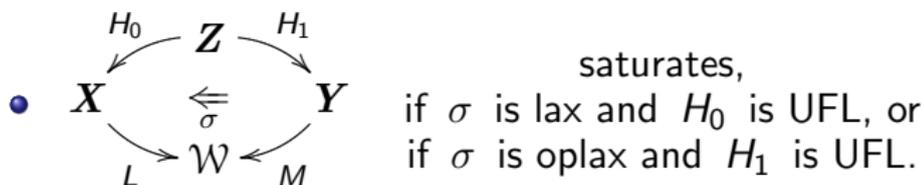
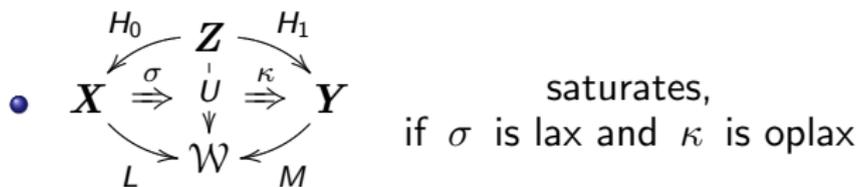
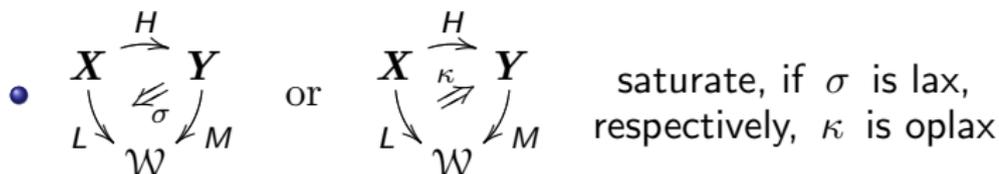
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