

# Preorder-Constrained Simulation

(Early Idea)

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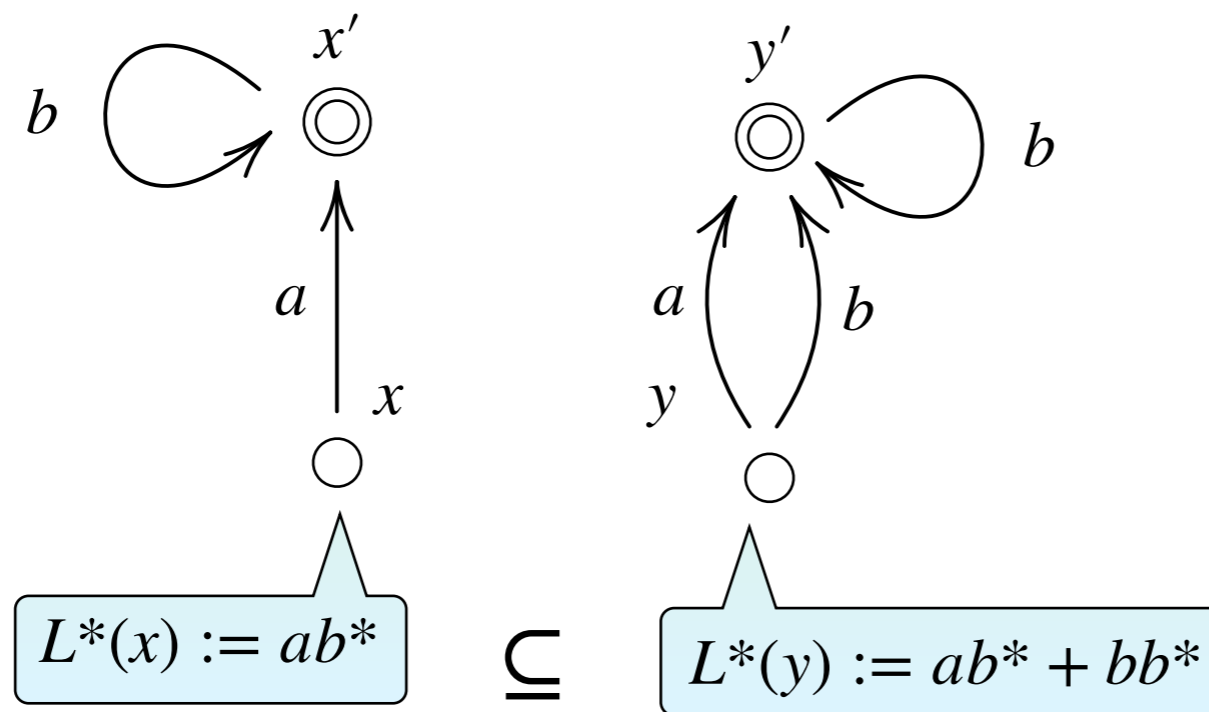
# Outline

- Overview
- Preorder-Constrained Simulation without up-to
- Preorder-Constrained Simulation with up-to
- Conclusion and Future Work

# Simulation

for behavioral **equivalence:**  
**bisimulation**

- Step-wise formalization for behavioral inclusion
- Useful for proving trace inclusion
- Example:



**PSPACE-complete**

**trace inclusion (language inclusion)**

# Forward Simulation [Lynch & Vaandrager, '95]

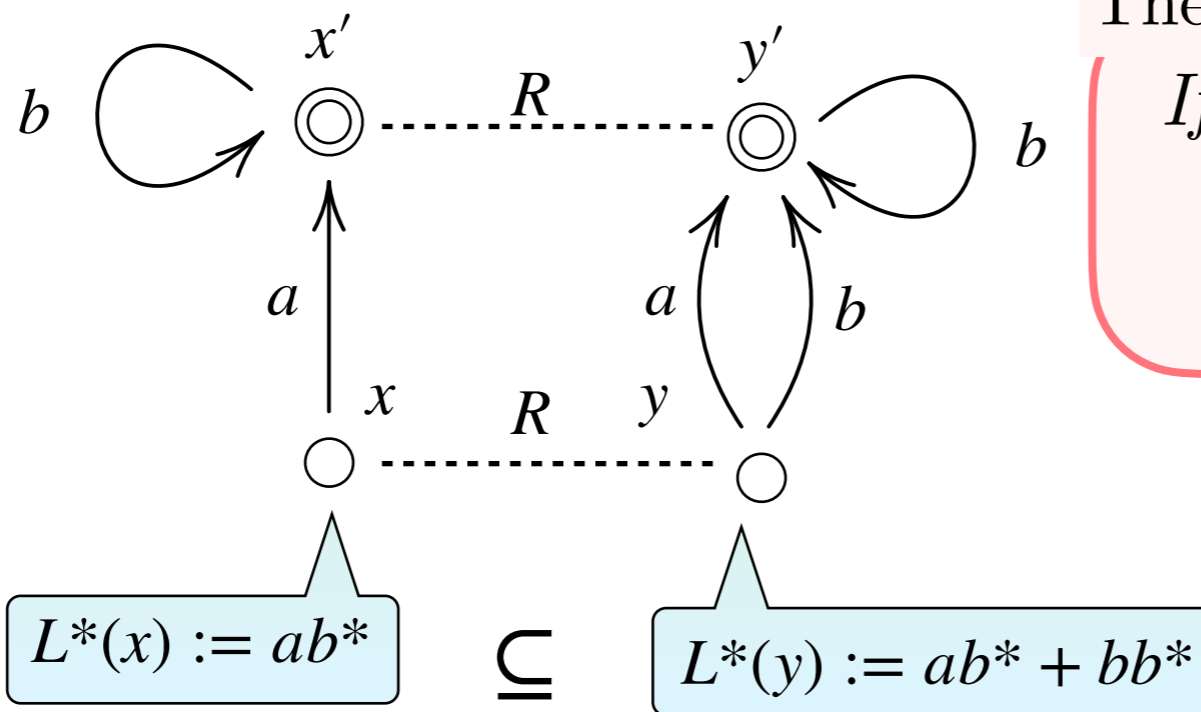
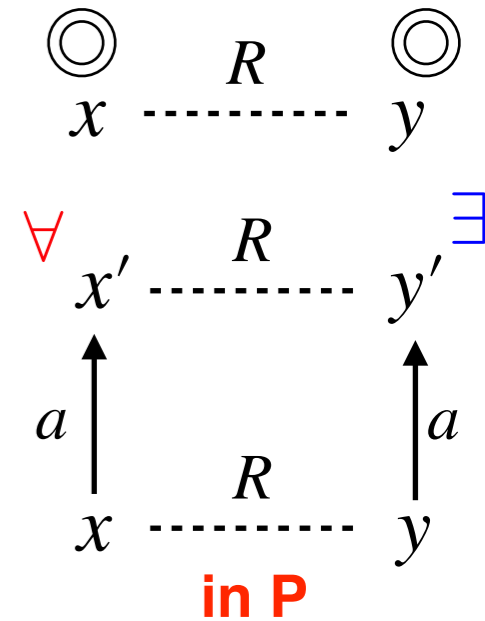
Definition:

A *forward simulation* from  $(c : X \rightarrow \mathcal{P}(\Sigma \times X), F_1 \subseteq X)$  to  $(d : Y \rightarrow \mathcal{P}(\Sigma \times Y), F_2 \subseteq Y)$  is a relation  $R \subseteq X \times Y$  such that

$\forall (x, y) \in R.$

-  $x \in F_1 \implies y \in F_2$  and

-  $\forall (a, x') \in c(x). \exists y' \text{ s.t. } (a, y') \in d(y). x'Ry'$



**trace inclusion**

Theorem (soundness):

If  $R$  is a forward simulation,

$$xRy \implies L^*(x) \subseteq L^*(y)$$

**PSPACE-complete**

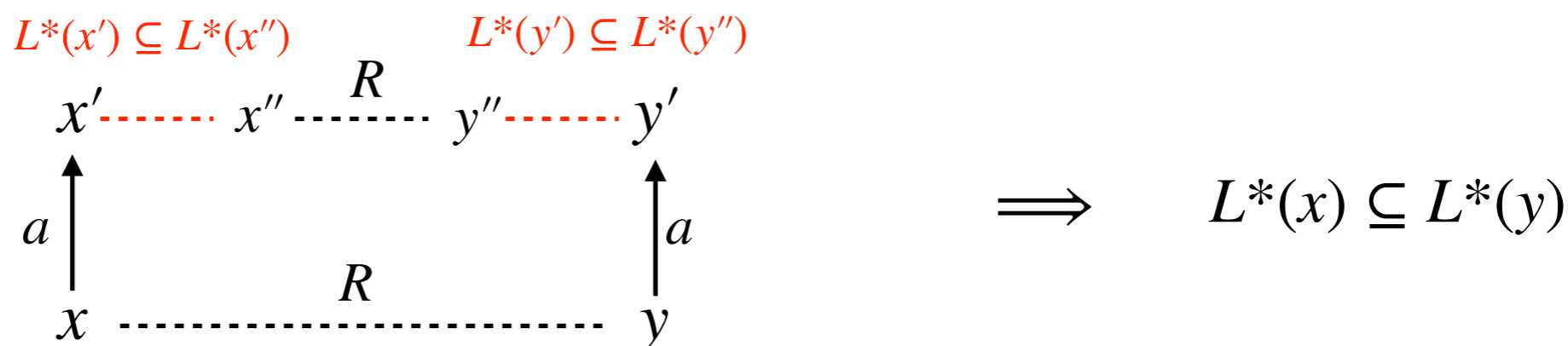
# Various Simulation Notions

- Simulation up-to
- Weak Simulation
- Improvement
- Preorder-Constrained Simulation

# Simulation up-to & Weak Simulation

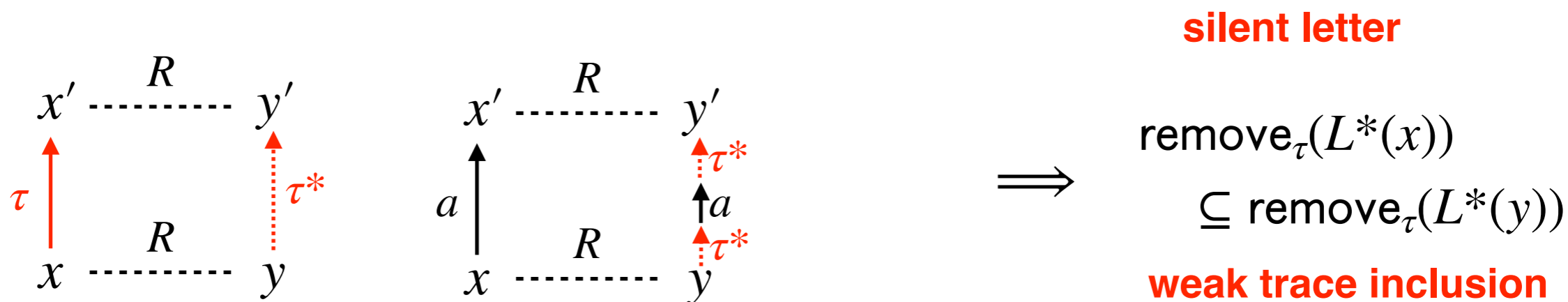
## Simulation up-to

- Enhancement with prior knowledge on trace inclusion



## Weak simulation

- Simulation for systems with **silent moves**, e.g.  $c : X \rightarrow \mathcal{P}(\{\tau\} + \Sigma) \times X$



**Naive combination of weak and up-to is NOT sound**

→ need special care, e.g. [Pous, '05]

# Simulations in Program Semantics Literature

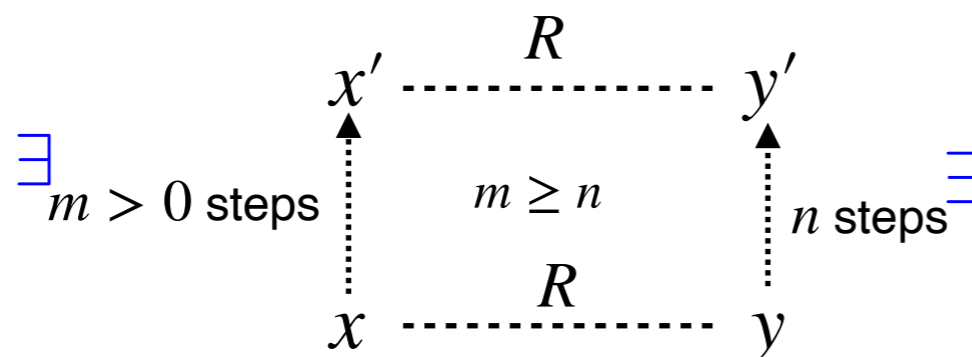
## Improvement [Accattoli, Dal Lago & Vanoni, 2020]

$$e \rightarrow^n w \not\rightarrow \Rightarrow \exists n' : n \geq n' . e' \rightarrow^{n'} w' \not\rightarrow$$

- (Bi)simulation for comparing **reduction lengths** of  $\lambda$ -terms
- Automata-theoretically: for deterministic & unlabeled systems  $(c : X \rightarrow X, F_1 \subseteq X)$
- Simulate multiple steps with multiple steps

$$\cong c : X \rightarrow \{\tau\} \times X$$

variant of weak simulation



$$e \rightarrow^n w \not\rightarrow \Rightarrow \exists n' : n Q n' . e' \rightarrow^{n'} w' \not\rightarrow$$

## Preorder-constrained simulation [Muroya, PhD thesis, 2020]

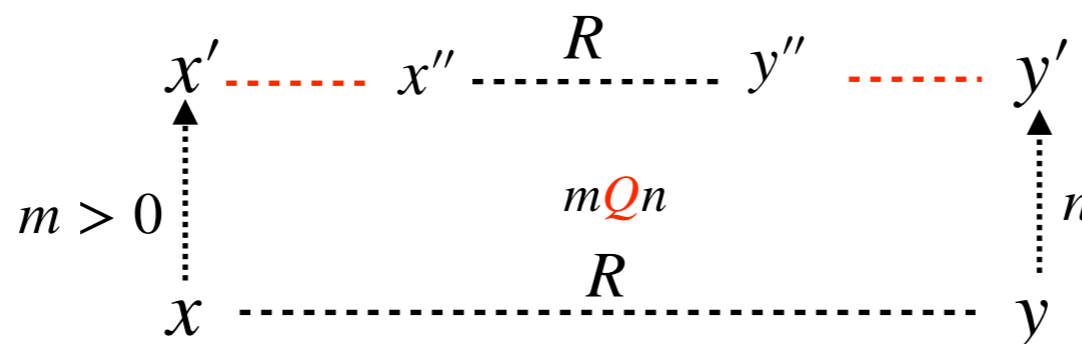
$\cong$  (One-directional) improvement + up-to + generalization

special care required

(+ some restriction)

- Parameterized by a preorder  $Q \subseteq \mathbb{N} \times \mathbb{N}$  closed under addition

$$(i.e. iQi' \wedge jQj' \Rightarrow (i+j)Q(i'+j'))$$



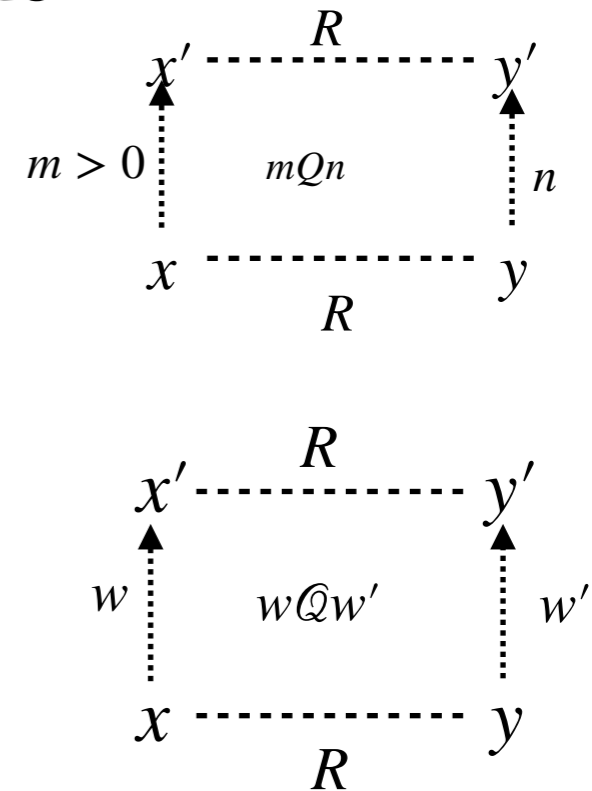
# Main Contribution

## Preorder-constrained simulation for nondeterministic automata

- Parameterized by a preorder  $Q \subseteq \mathbb{N} \times \mathbb{N}$   
closed under addition (i.e.  $iQi' \wedge jQj' \implies (i+j)Q(i'+j')$ )



- Parameterized by a preorder  $\mathcal{Q} \subseteq \Sigma^* \times \Sigma^*$   
closed under concatenation (i.e.  $w\mathcal{Q}w' \wedge v\mathcal{Q}v' \implies wv\mathcal{Q}w'v'$ )



Theorem (soundness):

$$xRy \implies \forall w \in L^*(x). \exists w' \in L^*(y). w\mathcal{Q}w'$$

**$\mathcal{Q}$ -trace inclusion  $L^*(x) \leq_{\mathcal{Q}} L^*(y)$**



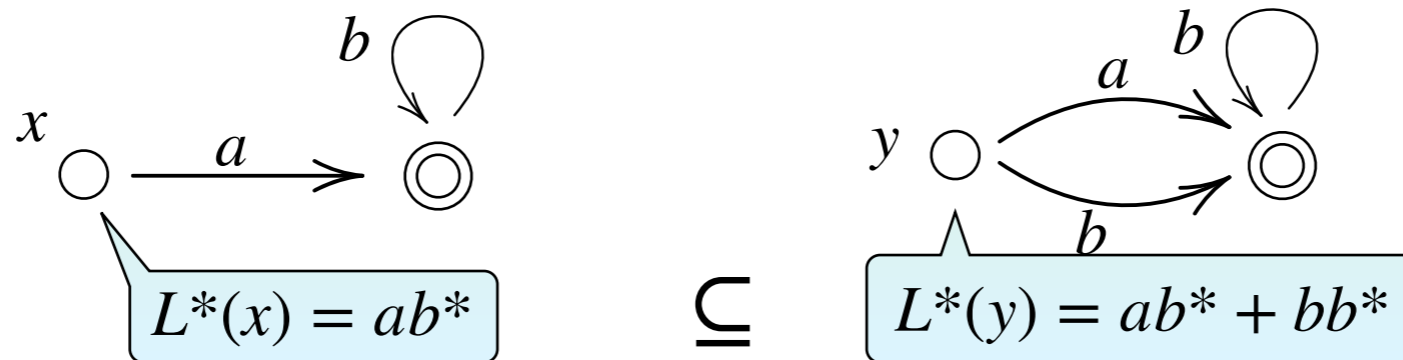
# Examples for $\mathcal{Q}$ -trace Inclusion

$$\mathcal{Q} \subseteq \Sigma^* \times \Sigma^*$$

$$\forall w \in L^*(x). \exists w' \in L^*(y). w \mathcal{Q} w'$$

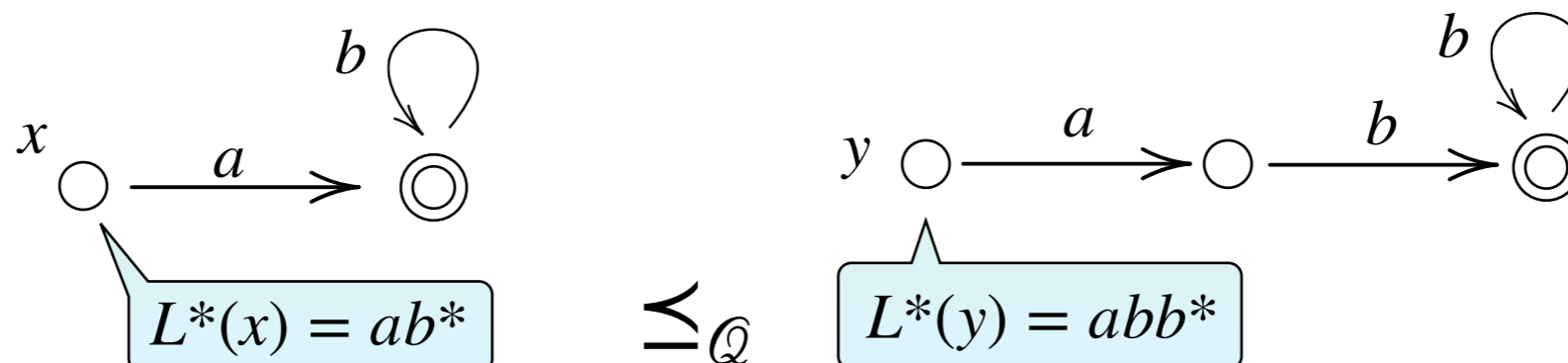
- When  $w \mathcal{Q} w' \stackrel{\text{def}}{\iff} w = w'$

$\mathcal{Q}$ -trace inclusion  $\iff L^*(x) \subseteq L^*(y)$  **(finite trace inclusion)**



- When  $w \mathcal{Q} w' \stackrel{\text{def}}{\iff} w$  is a substring of  $w'$

$\mathcal{Q}$ -trace inclusion  $\iff \forall w \in L^*(x). \exists w' \in L^*(y). w$  is a substring of  $w'$   
**(trace inclusion wrt. substring)**



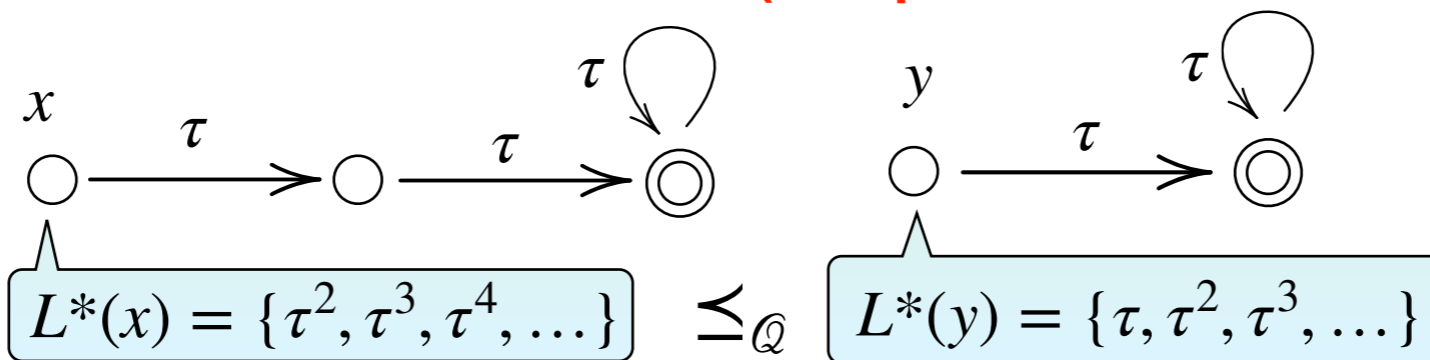
# Examples for $\mathcal{Q}$ -trace Inclusion

$$\mathcal{Q} \subseteq \Sigma^* \times \Sigma^*$$

$$\forall w \in L^*(x). \exists w' \in L^*(y). w \mathcal{Q} w'$$

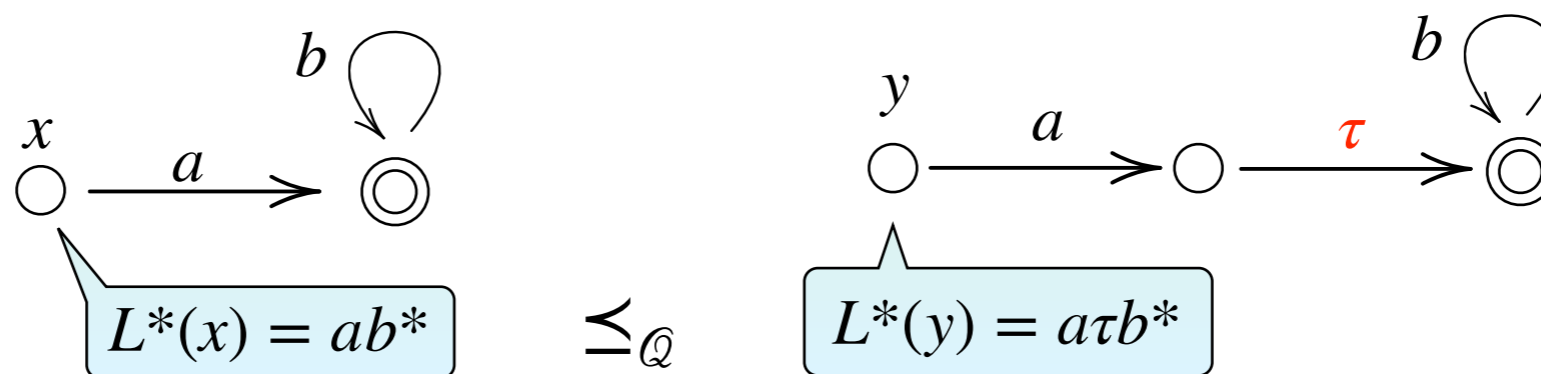
- When  $\Sigma = \{\tau\}$  and  $w \mathcal{Q} w' \stackrel{\text{def}}{\iff} |w| \geq |w'|$

$\mathcal{Q}$ -trace inclusion  $\iff$  min length( $x \rightarrow \dots \rightarrow \checkmark$ )  $\geq$  min length( $y \rightarrow \dots \rightarrow \checkmark$ )  
**(compare minimum distance to accepting state)**



- When  $\Sigma = \{\tau\} + \Sigma'$  and  $w \mathcal{Q} w' \stackrel{\text{def}}{\iff} \text{remove}_{\tau}(w) = \text{remove}_{\tau}(w')$

$\mathcal{Q}$ -trace inclusion  $\iff$   $\text{remove}_{\tau}(L^*(x)) \subseteq \text{remove}_{\tau}(L^*(y))$  **(weak trace inclusion)**



- And more (e.g. weighted automata)

# Outline

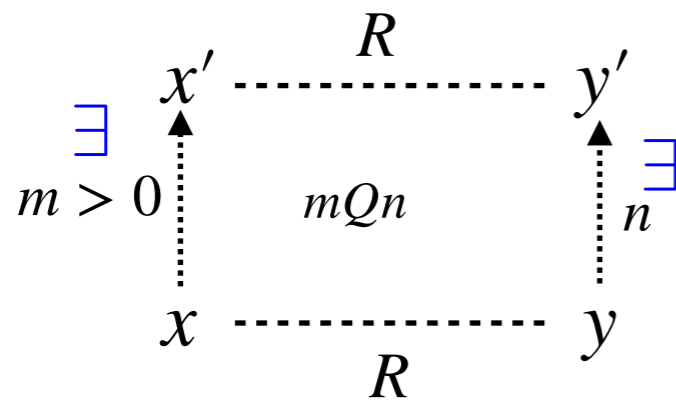
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# Towards Generalization

## preorder-constrained simulation

for **deterministic & unlabeled systems**

[Accattoli, Dal Lago & Vanoni, 2020] [Muroya, Phd thesis]

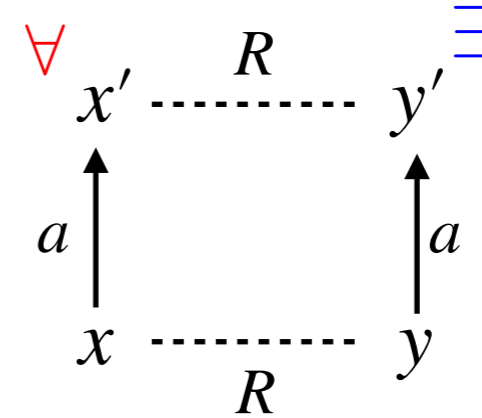


+

## forward simulation

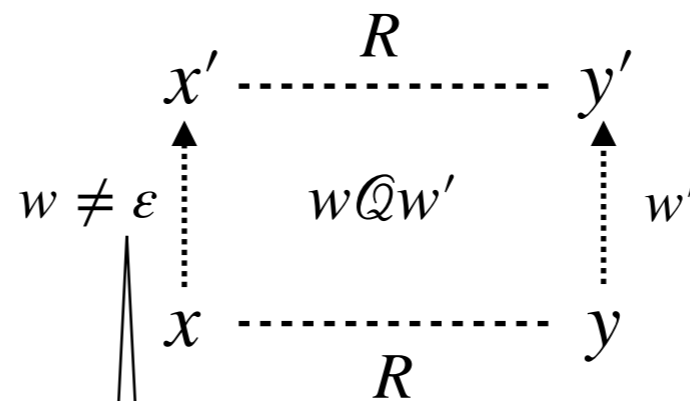
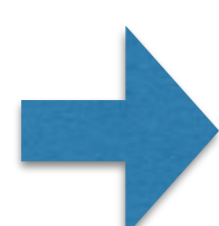
for **nondeterministic automata**

[Lynch & Vaandrager, '95]



## preorder-constrained simulation

for **nondeterministic automata**



$w$  and  $x'$  are quantified by  $\forall$   
 $|w|$  is quantified by  $\exists$

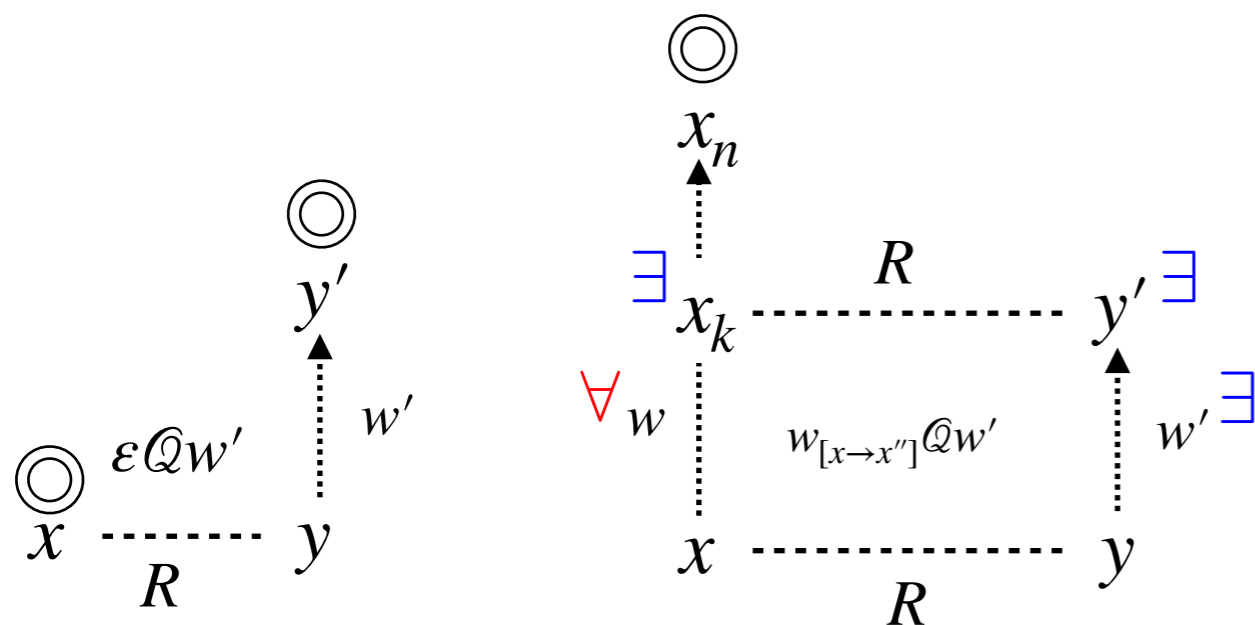
# Main Result:

# Preorder-Constrained Simulation for Nondeterministic Automata

## Definition:

Let  $\mathcal{Q} \subseteq \Sigma^* \times \Sigma^*$  be a preorder. A  $\mathcal{Q}$ -constrained simulation from  $(c : X \rightarrow \mathcal{P}(\Sigma \times X), F_1 \subseteq X)$  to  $(d : Y \rightarrow \mathcal{P}(\Sigma \times Y), F_2 \subseteq Y)$  is  $R \subseteq X \times Y$  s.t.

$$\forall (x, y) \in R. \quad \begin{aligned} & - x \in F_1 \implies \exists w' \in \Sigma^*. \varepsilon \mathcal{Q} w', y \xrightarrow{w'^*} y' \in F_2 \\ & - \forall a_1 \dots a_n \in \Sigma^*. \forall x_1 \dots x_n \in X_1^*. x \xrightarrow{a_1} x_1 \xrightarrow{a_2} \dots \xrightarrow{a_n} x_n \in F_1 \\ & \implies \exists k \in \{1, \dots, n\}. \exists w' \in \Sigma^*. a_1 \dots a_k \mathcal{Q} w', y \xrightarrow{w'^*} y' \text{ and } x_k R y' \end{aligned}$$



## Theorem (soundness):

When  $\mathcal{Q}$  is closed under concatenation,

$$x R y \implies$$

$$\forall w \in L^*(x). \exists w' \in L^*(y). w \mathcal{Q} w'$$

# Characterization as Safety Game

$$S_{\forall} := \{\checkmark\} + \underbrace{\Sigma^*}_{\text{queue}} \times X \times Y \quad (\text{state space for Challenger})$$

$$S_{\exists} := \{\text{last\_turn}\} \times \Sigma^* \times X \times Y + \Sigma^+ \times X \times Y \quad (\text{state space for Simulator})$$

$\rightarrow_{\forall} \subseteq S_{\forall} \times S_{\exists}$  is given by:

$$\left\{ ((w, x, y), (wa, x', y)) \mid x \xrightarrow{a} x' \right\} \cup \left\{ ((w, x, y), (\text{last\_turn}, w, x, y)) \mid x \in F_1 \right\}$$

**choose successor state and enqueue**

**declare “last turn” (possible when  $x$  is accepting)**

$\rightarrow_{\exists} \subseteq S_{\exists} \times S_{\forall}$  is given by:

$$\left\{ ((w, x', y), (w, x', y)) \right\} \cup \left\{ ((w, x', y), (\varepsilon, x', y')) \mid y \xrightarrow{w'^*} y', w \mathcal{Q} w' \right\}$$

**pass the turn**

**dequeue all, and move**

$$\cup \left\{ ((\text{last\_turn}, w, x, y), \checkmark) \mid y \xrightarrow{w'^*} y' \in F_2, w \mathcal{Q} w' \right\}$$

**reach accepting state, and win the game**

- **Simulator loses iff it gets stuck (i.e. infinite play is winning)**

Conjecture:

*Simulator is winning from  $(\varepsilon, x, y) \iff$*

*$(x, y) \in R$  for some  $\mathcal{Q}$ -constrained simulation*

# Outline

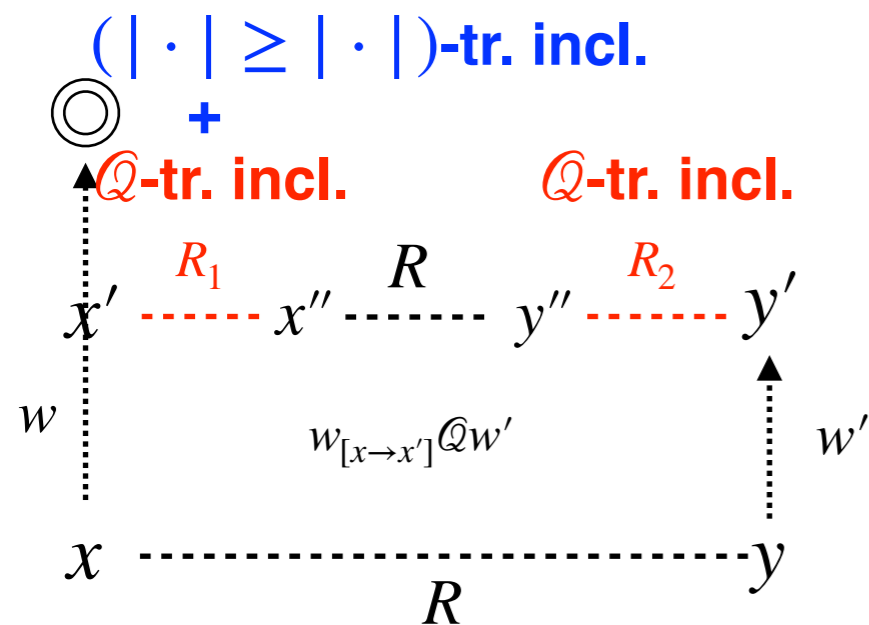
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# Preorder-Constrained Simulation with up-to

Definition:

Let  $\mathcal{Q} \subseteq \Sigma^* \times \Sigma^*$ . A  $\mathcal{Q}$ -constrained simulation **up-to**  $(R_1 \subseteq X \times X, R_2 \subseteq Y \times Y)$  from  $(c : X \rightarrow \mathcal{P}(\Sigma \times X), F_1 \subseteq X)$  to  $(d : Y \rightarrow \mathcal{P}(\Sigma \times Y), F_2 \subseteq Y)$  is  $R \subseteq X \times Y$  s.t.

$$\forall (x, y) \in R. \quad \begin{aligned} & - x \in F_1 \implies \exists w' \in \Sigma^*. \varepsilon \mathcal{Q} w', y \xrightarrow{w'^*} y' \in F_2 \\ & - \forall a_1 \dots a_n \in \Sigma^*. \forall x_1 \dots x_n \in X_1^*. x \xrightarrow{a_1} x_1 \xrightarrow{a_2} \dots \xrightarrow{a_n} x_n \in F_1 \\ & \implies \exists k \in \{1, \dots, n\}. \exists w' \in \Sigma^*. a_1 \dots a_k \mathcal{Q} w', y \xrightarrow{w'^*} y' \text{ and } x_k R_1 R R_2 y' \end{aligned}$$



Theorem (soundness):

When  $\mathcal{Q}$  is closed under concatenation,  $xR_1x'$  and  $yR_2y'$  imply  $\mathcal{Q}$ -trace inclusion, and  $xR_1x'$  implies  $(|\cdot| \geq |\cdot|)$ -trace inclusion,

$$xRy \implies$$

$$\forall w \in L^*(x). \exists w' \in L^*(y). w \mathcal{Q} w'$$

for safely combining weak & up-to



# Outline

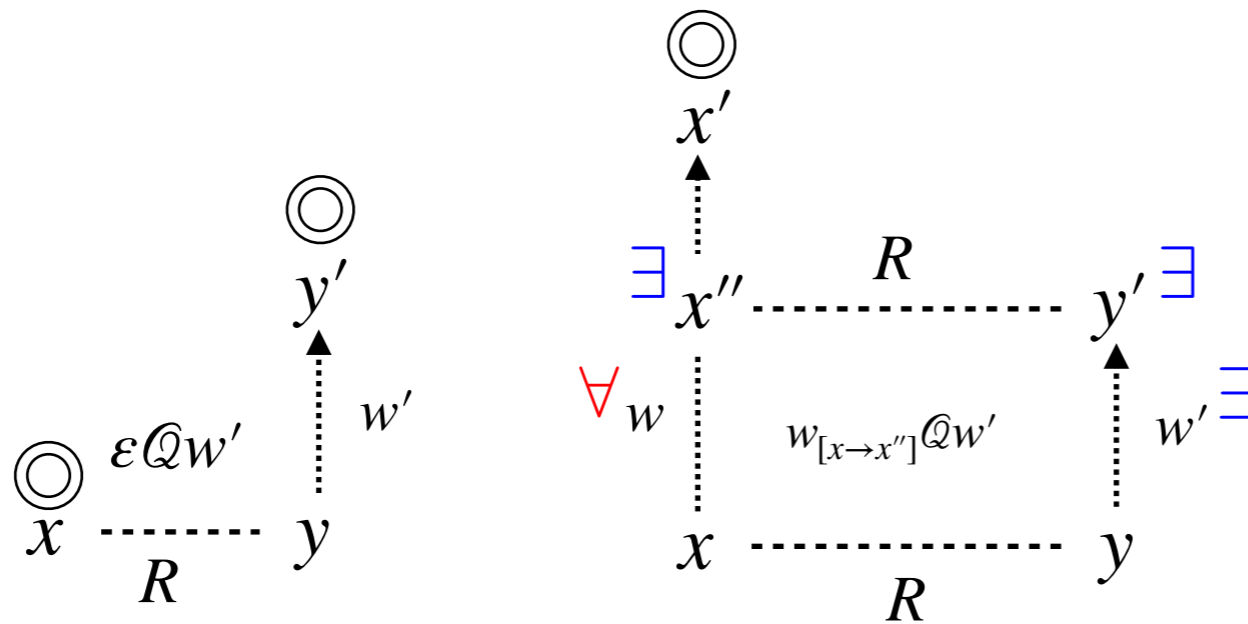
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# Conclusion

- New simulation notion for witnessing **Q-trace inclusion**

$$\forall w \in L^*(x). \exists w' \in L^*(y). w \mathcal{Q} w'$$

- Enhancement with up-to



# Future Directions

- Extension to **infinitary** trace inclusion
- Relaxing condition in up-to

Theorem (soundness):

When  $\mathcal{Q}$  is closed under concatenation,  
 $xR_1x'$  and  $yR_2y'$  imply  $\mathcal{Q}$ -trace inclusion, and  
 $xR_1x'$  implies  $(|\cdot| \geq |\cdot|)$ -trace inclusion,

$$xRy \implies \forall w \in L^*(x). \exists w' \in L^*(y). w\mathcal{Q}w'$$

Conjecture:  
finitely many violation is ok

- Coalgebraic characterization
  - Coalgebraic simulation: [Hughes & Jacobs, '04] [Hasuo, '06]
  - Coalgebraic simulation with queues: [U. & Hasuo, '14]
  - Coalgebraic bisimulation up-to: [Rot, Bonsangue & Rutten, '13]

Addenda

# Addendum I: Buffered Simulation

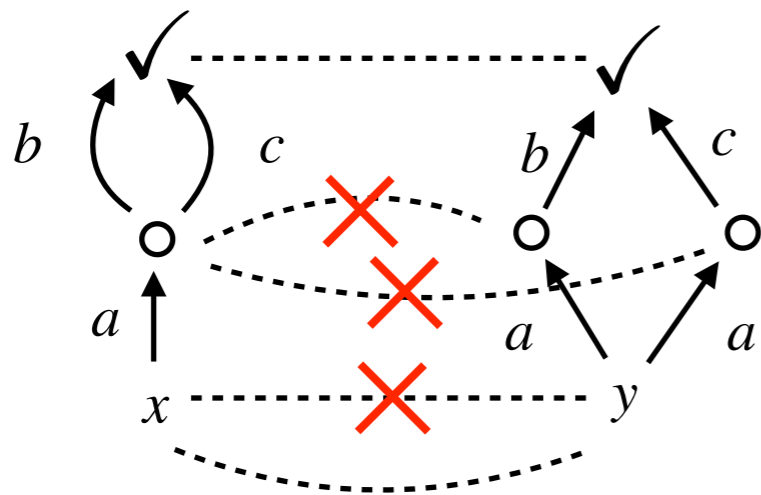
- Simulation with queueing (**buffering**) is used for fixing **incompleteness**
  - e.g. [Hutagalung, Lange & Lozes, AFL 2014] for Büchi automata

Theorem (soundness):

*If  $R$  is a forward simulation,*

$$xRy \implies L^*(x) \subseteq L^*(y)$$

~~$\Leftarrow$~~   
**incomplete**



- $L^*(x) = L^*(y) = \{ab, ac\}$ , but no forward simulation can prove it
- However, it does exist if buffering is allowed

- Preorder-constrained simulation also has this property

# Addendum II: Categorical Buffered Simulation

- Kleisli Simulation [Hasuo, '06]

- System as a coalgebra in Kleisli category

$c : X \rightarrow FX$  in  $\mathcal{Kl}(T)$  whose homsets are order-enriched

- Simulation as an oplax homomorphism

$$\begin{array}{ccc}
 FX & \xleftarrow{\bar{F}f} & FY \\
 \uparrow c & \sqsubseteq & \uparrow d \\
 X & \xleftarrow{f} & Y
 \end{array}
 \quad \text{in } \mathcal{Kl}(T)$$

$\bar{F} : \mathcal{Kl}(T) \rightarrow \mathcal{Kl}(T) : \text{lifting of } F$

- Forward partial execution [U. & Hasuo, '14]

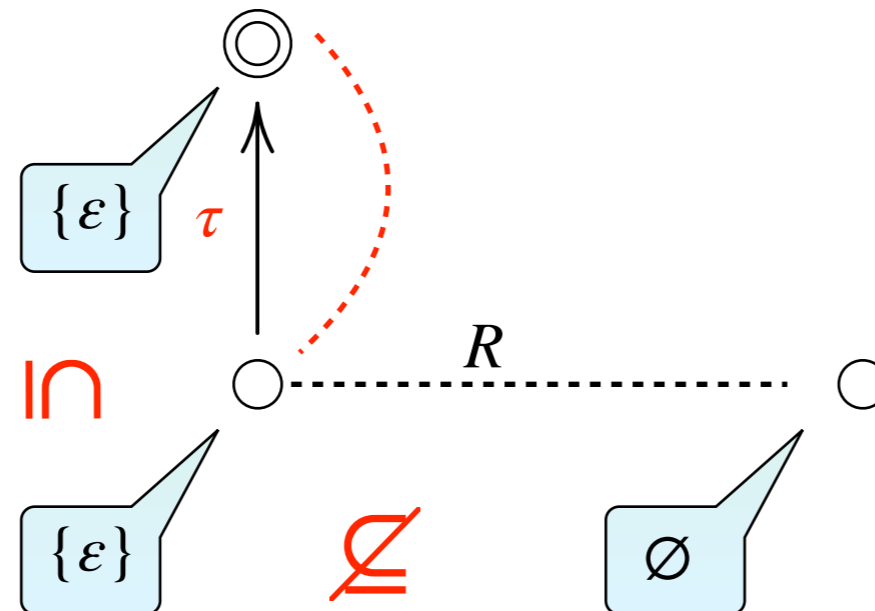
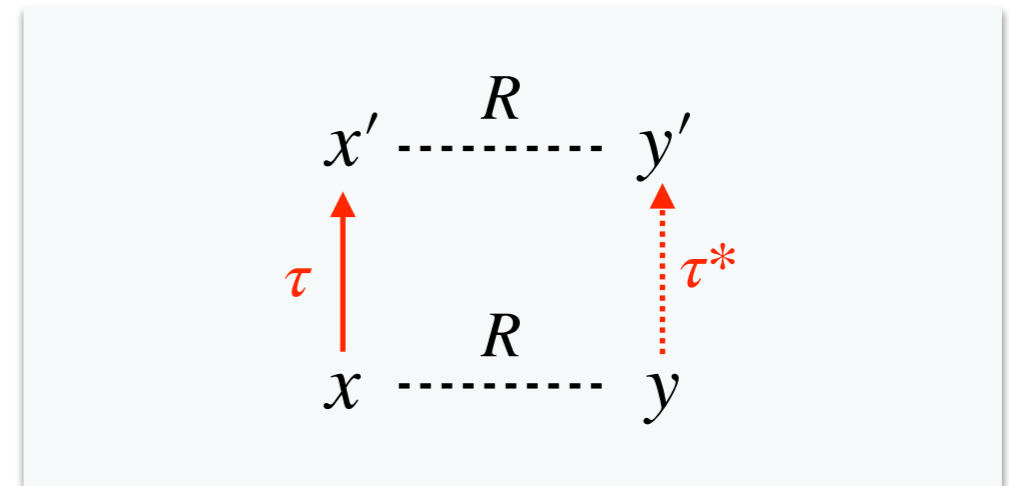
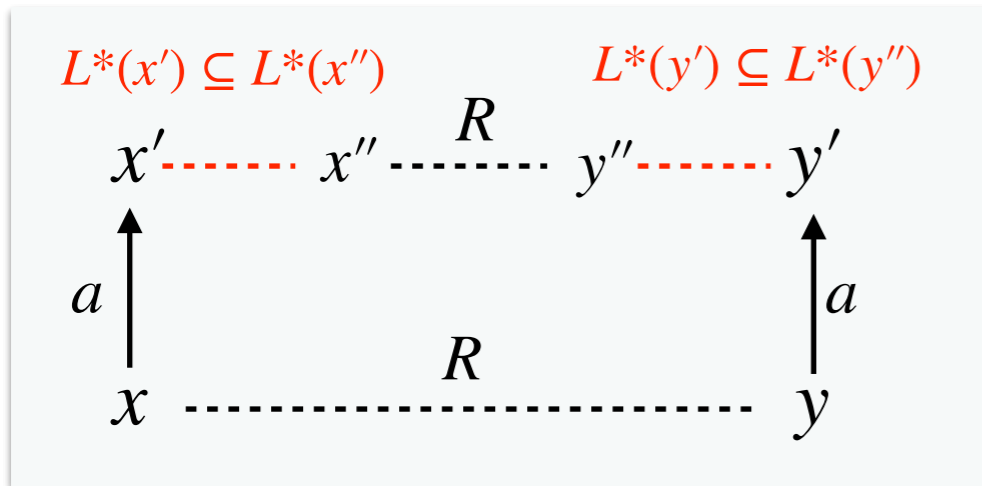
$$\begin{array}{ccc}
 FX & & F^{n+1}X & \xleftarrow{\bar{F}^n c} \dots \xleftarrow{\bar{F}c} FX & \xleftarrow{\bar{F}f} FY \\
 \uparrow c & \mapsto & \uparrow \bar{F}^n c & & \uparrow c & \sqsubseteq & \uparrow d \\
 X & & F^n X & & F^n X & \xleftarrow{\bar{F}^{n-1} c} \dots \xleftarrow{c} X & \xleftarrow{f} Y
 \end{array}
 \quad \text{in } \mathcal{Kl}(T)$$

- Essentially the same as buffering one step

e.g. when  $F = 1 + \Sigma \times (\cdot)$ ,  $F^n X = \bigcup_{i \leq n} \Sigma^i \times X$

# Addendum III: Unsound Weak Simulation up-to

[Sangiorgi & Milner, '92]



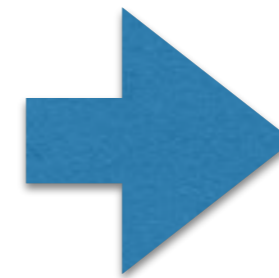
# Addendum IV: Towards Computation

- Conjecture: preorder-constrained simulation is not only sound but also **complete**

Conjecture (**completeness**):

*When  $\mathcal{Q}$  is closed under concatenation,*

$$xRy \iff \forall w \in L^*(x). \exists w' \in L^*(y). w\mathcal{Q}w'$$



Hard to compute

- We may have to finitely restrict the size of queue



# Addendum IV: Towards Computation

$$S_{\forall} := \{\checkmark\} + \bigcup_{i \leq M} \Sigma^i \times X \times Y$$

queue of size  $M$

$$S_{\exists} := \{\text{last\_turn}\} \times \bigcup_{i \leq M} \Sigma^i \times X \times Y + \bigcup_{1 < i \leq M} \Sigma^i \times X \times Y$$

$\rightarrow_{\forall} \subseteq S_{\forall} \times S_{\exists}$  is given by:

$$\left\{ ((w, x, y), (wa, x', y)) \mid x \xrightarrow{a} x' \right\} \cup \left\{ ((w, x, y), (\text{last\_turn}, w, x, y)) \mid x \in F_1 \right\}$$

$\rightarrow_{\exists} \subseteq S_{\exists} \times S_{\forall}$  is given by:

$$\left\{ ((w, x', y), (w, x', y)) \mid |w| < M \right\} \cup \left\{ ((w, x', y), (\varepsilon, x', y')) \mid y \xrightarrow{w'^*} y', w \mathcal{Q} w' \right\}$$

pass the turn when queue is not full

$$\cup \left\{ ((\text{last\_turn}, w, x, y), \checkmark) \mid y \xrightarrow{w'^*} y' \in F_2, w \mathcal{Q} w' \right\}$$

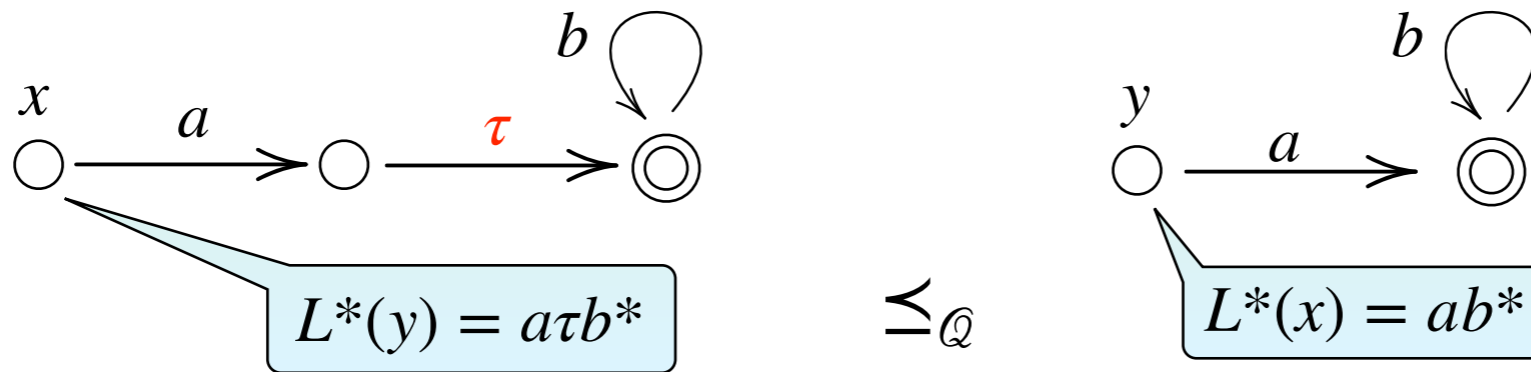
- When  $M$  is fixed, solvable in polynomial time
- Bigger  $M \rightarrow$  more simulations & higher time complexity

# Addendum V: Examples for $\mathcal{Q}$ -trace Inclusion

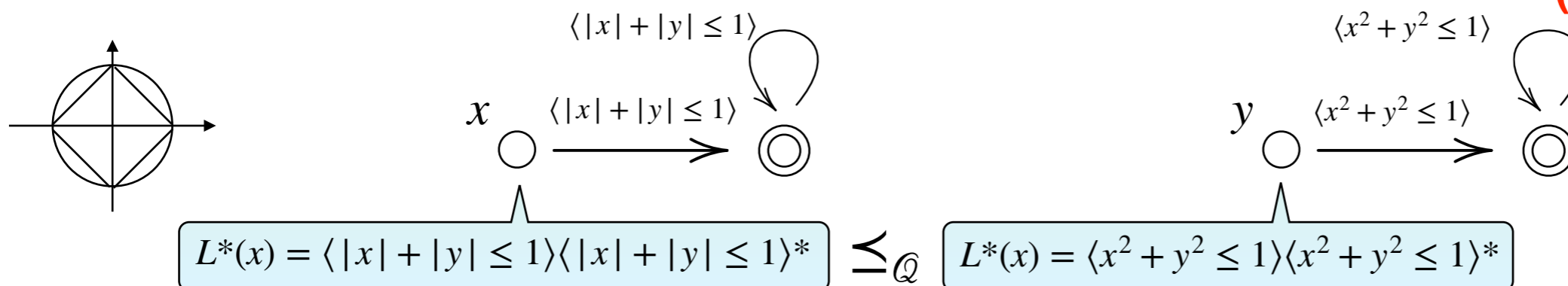
$$\mathcal{Q} \subseteq \Sigma^* \times \Sigma^*$$

$$\forall w \in L^*(x). \exists w' \in L^*(y). w \mathcal{Q} w'$$

- When  $\Sigma = \{\tau\} + \Sigma'$  and  $w \mathcal{Q} w' \stackrel{\text{def}}{\iff} \text{remove}_\tau(w) = \text{remove}_\tau(w')$  and  $|w| \geq |w'|$   
 $\mathcal{Q}$ -trace inclusion  $\iff \forall w \in L^*(x). \exists w' \in L^*(y). \text{remove}_\tau(w) = \text{remove}_\tau(w')$  and  $|w| \geq |w'|$   
**(weak trace inclusion & compare distance to accepting state)**



- When  $\Sigma = \mathcal{P}\mathbb{R}^m$  and  $a_1 \dots a_k \mathcal{Q} a'_1 \dots a'_k \stackrel{\text{def}}{\iff} k = k'$  and  $\forall i. a_i \subseteq a'_i$   
 $\mathcal{Q}$ -trace inclusion  $\iff \forall a_1 \dots a_k \in L^*(x). \exists a'_1 \dots a'_k \in L^*(y). \forall i. a_i \subseteq a'_i$   
**(letter-wise inclusion)**



# Addendum V: Examples for $\mathcal{Q}$ -trace Inclusion

$$\mathcal{Q} \subseteq \Sigma^* \times \Sigma^*$$

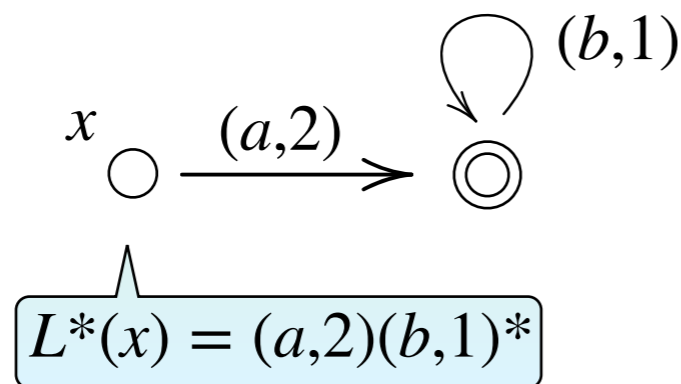
$$\forall w \in L^*(x). \exists w' \in L^*(y). w \mathcal{Q} w'$$

- When  $\Sigma = \Sigma' \times \mathbb{N}$  and

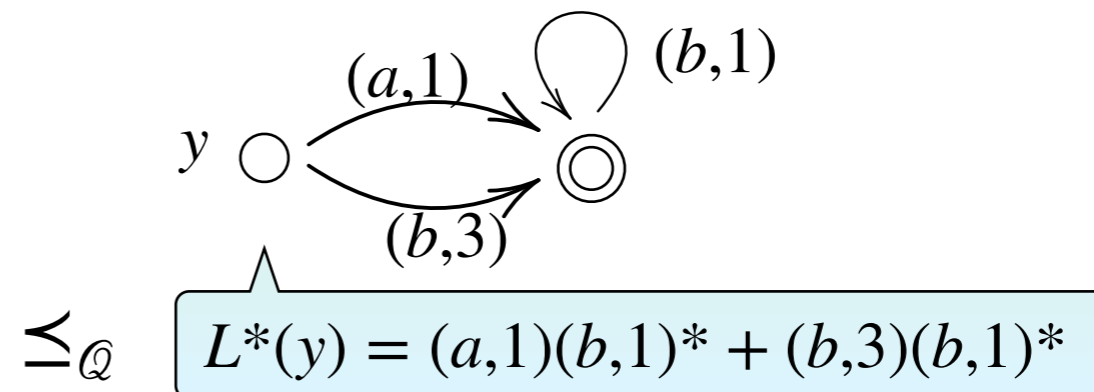
$$(a_1, n_1) \dots (a_k, n_k) \mathcal{Q} (a'_1, n'_1) \dots (a'_{k'}, n'_{k'}) \stackrel{\text{def}}{\iff} k = k', a_1 \dots a_k = a'_1 \dots a'_{k'} \text{ and } \sum_i n_i \geq \sum_j n'_j$$

$$\mathcal{Q}\text{-trace inclusion} \iff \forall a_1 \dots a_k \in \Sigma'^* . \min_{x \xrightarrow{a_1, n_1} \dots \xrightarrow{a_k, n_k} \checkmark} \sum_i n_i \geq \min_{y \xrightarrow{a'_1, n'_1} \dots \xrightarrow{a'_{k'}, n'_{k'}} \checkmark} \sum_i n'_i$$

**(quantitative language inclusion)**



$$\begin{aligned} a &\mapsto 2 \\ ab &\mapsto 3 \\ abb &\mapsto 4 \\ &\vdots \end{aligned}$$



$$\begin{aligned} a &\mapsto 1 & b &\mapsto 3 \\ ab &\mapsto 2 & bb &\mapsto 4 \\ abb &\mapsto 3 & bbb &\mapsto 5 \\ &\vdots & &\vdots \end{aligned}$$

$\leq_{\mathcal{Q}}$

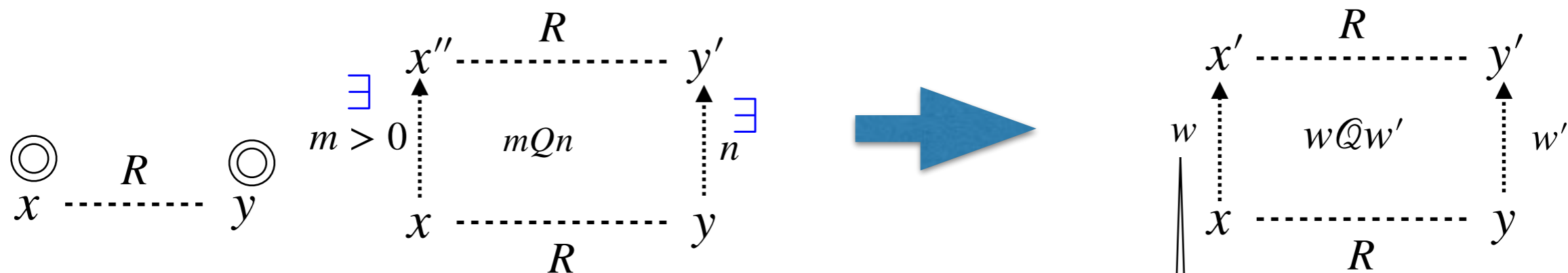
# Addendum VI: Preorder-Constrained Simulation for Deterministic Unlabeled Systems

[M., PhD thesis]

Definition (when no deadend):

Let  $Q \subseteq \mathbb{N} \times \mathbb{N}$  be a preorder. A *Q-constrained simulation* from  $(c : X \rightarrow X, F_1 \subseteq X)$  to  $(d : Y \rightarrow Y, F_2 \subseteq Y)$  is a relation  $R \subseteq X \times Y$  such that

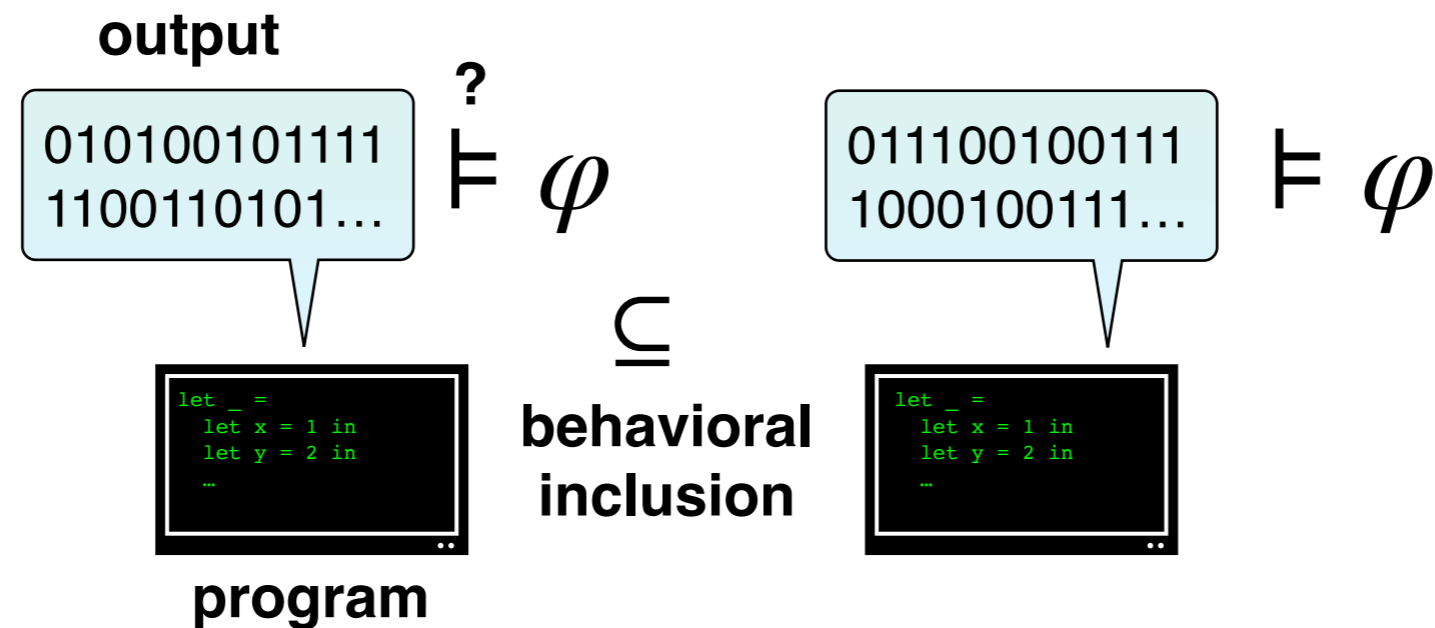
$$\forall (x, y) \in R. \quad \begin{array}{l} - x \in F_1 \implies y \in F_2 \\ - \exists m > 0, n \in \mathbb{N}. \underbrace{x \rightarrow \dots \rightarrow x''}_m, \underbrace{y \rightarrow \dots \rightarrow y'}_n, x'' R y' \text{ and } m Q n \end{array}$$



- Goal: generalization to nondeterministic automata
- Difficulty: both  $m$  and  $n$  are chosen by  $\exists$

**We wish:**  
nondeterminism is resolved by  $\forall$ ,  
length is determined by  $\exists$

# Addendum VII: Verification via Behavioral Inclusion



- Behavioral inclusion between nondeterministic automata
  - Two formalizations: **trace inclusion** and **simulation**