

An Elementary Proof of the FMP for KA

Tobias Kappé, LLAMA seminar, November 20, 2024.



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Prelude

- The main theorems in this talk are not new, but the proofs are.
- Even if the contents are technical, the techniques are elementary.
- I learned most of these constructions in some form as a sophomore!

Motivation

- Laws of Kleene algebra (KA) model equivalence of regular expressions.
 - ↳ Salomaa 1966; Conway 1971; Boffa 1990; Krob 1990; Kozen 1994
- They are also useful when reasoning about programming languages.
 - ↳ Kozen and Patron 2000; Anderson et al. 2014; Smolka et al. 2015
- When is something true *only by the laws of KA*?
- How can we concisely show that something is *not* provable in KA?

Kleene algebra

Definition

Definition (Kleene algebra; c.f. Kozen 1994)

A *Kleene algebra* is a tuple $(K, +, \cdot, *, \mathbf{0}, \mathbf{1})$ where

- (1) The “usual” laws for $+$ and \cdot hold (associativity, distributivity, etc...)
- (2) For all $x, y, z \in K$, the following are true:

$$x + x = x$$

$$\mathbf{1} + x \cdot x^* = x^*$$

$$\mathbf{1} + x^* \cdot x = x^*$$

$$\frac{x + y \cdot z \leq z}{y^* \cdot x \leq z}$$

$$\frac{x + y \cdot z \leq y}{x \cdot z^* \leq y}$$

Here, $x \leq y$ is a shorthand for $x + y = y$.

Kleene algebra

Languages

Fix a (finite) set of *letters* Σ , and write Σ^* for the set of words over Σ .

Example (KA of languages)

The KA of *languages over* Σ is given by $(\mathcal{P}(\Sigma^*), \cup, \cdot, *, \emptyset, \{\epsilon\})$, where

- $\mathcal{P}(\Sigma^*)$ is the set of sets of words (*languages*);
- \cdot is pointwise concatenation, i.e., $L \cdot K = \{wx : w \in L, x \in K\}$;
- $*$ is the Kleene star, i.e., $L^* = \{w_1 \cdots w_n : w_1, \dots, w_n \in L\}$;
- ϵ is the empty word.

Kleene algebra

Relations

Fix a (not necessarily finite) set of *states* \mathcal{S} .

Example (KA of relations)

The KA of *relations over* \mathcal{S} is given by $(\mathcal{R}(\mathcal{S}), \cup, \circ, *, \emptyset, \Delta)$, where

- $\mathcal{R}(\mathcal{S})$ is the set of relations on \mathcal{S} ;
- \circ is relational composition.
- $*$ is the reflexive-transitive closure.
- Δ is the identity relation.

Kleene algebra

Reasoning example

Claim

In every KA \mathbf{K} and for all $u, v \in \mathbf{K}$, it holds that $(u \cdot v)^* \cdot u \leq u \cdot (v \cdot u)^*$.

Proof. First, let's recall the fixpoint rule:

$$\frac{x + y \cdot z \leq z}{y^* \cdot x \leq z}$$

It suffices to prove that $u + u \cdot v \cdot u \cdot (v \cdot u)^* \leq u \cdot (v \cdot u)^*$; we derive:

$$u + u \cdot v \cdot u \cdot (v \cdot u)^* = u \cdot (1 + v \cdot u \cdot (v \cdot u)^*) = u \cdot (v \cdot u)^* \quad \square$$

Kleene algebra

Expressions

Definition

Exp is the set of *regular expressions*, generated by

$$e, f ::= 0 \mid 1 \mid a \in \Sigma \mid e + f \mid e \cdot f \mid e^*$$

Definition

Given a KA $(K, +, \cdot, *, 0, 1)$ and $h : \Sigma \rightarrow K$, we define $\hat{h} : \mathbf{Exp} \rightarrow K$ by

$$\begin{array}{lll} \hat{h}(0) = 0 & \hat{h}(a) = h(a) & \hat{h}(e \cdot f) = \hat{h}(e) \cdot \hat{h}(f) \\ \hat{h}(1) = 1 & \hat{h}(e + f) = \hat{h}(e) + \hat{h}(f) & \hat{h}(e^*) = \hat{h}(e)^* \end{array}$$

If $\ell : \Sigma \rightarrow \mathcal{P}(\Sigma^*)$ where $\ell(a) = \{a\}$, then $\hat{\ell}(e)$ is the (regular) language of e .

Kleene algebra

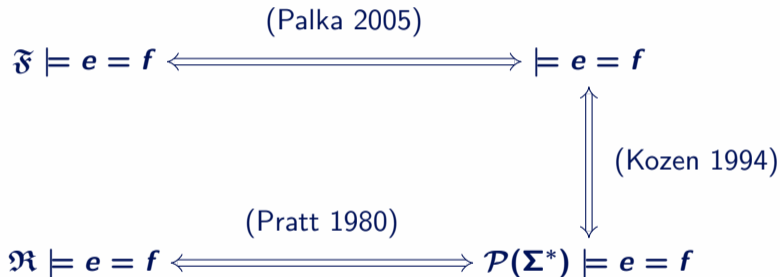
Model theory

Let $e, f \in \mathbf{Exp}$. We write ...

- $K, h \models e = f$ when K is a KA and $h : \Sigma \rightarrow K$ with $\widehat{h}(e) = \widehat{h}(f)$.
- $K \models e = f$ when K is a KA and $K, h \models e = f$ for all h .
- $\models e = f$ when $K \models e = f$ for every KA K .
- $\mathfrak{F} \models e = f$ when $K \models e = f$ holds in every *finite* KA K .
- $\mathfrak{R} \models e = f$ when $\mathcal{R}(S) \models e = f$ for all S .

Kleene algebra

Model theory



Main result

In a nutshell

Palka's proof relies on Kozen's completeness theorem. She writes:

...an independent proof of [the finite model property] would provide a quite different proof of the Kozen completeness theorem, based on purely logical tools. We defer this task to further research. (Palka 2005)

We found such a proof — with many ideas inspired by Palka.

Main result

A roadmap

Need to show: if $\mathfrak{F} \models e = f$, then $\models e = f$.

Given $e, f \in \mathbf{Exp}$ we do the following:

1. Turn expressions e into a finite automaton \mathbf{A}_e
2. Convert the finite automaton \mathbf{A}_e into a finite monoid \mathbf{M}_e
3. Translate the finite monoid \mathbf{M}_e into a finite KA \mathbf{K}_e
4. Prove something about interpretations inside \mathbf{K}_e
5. Apply the premise that $\models e = f$

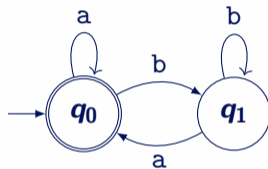
Expressions to automata

Definition

An automaton is a tuple $\mathbf{A} = (Q, \rightarrow, I, F)$ where

- Q is a finite set of *states*; and
- $\rightarrow \subseteq Q \times \Sigma \times Q$ is the *transition relation*;
- $I \subseteq Q$ is the set of *initial states*
- $F \subseteq Q$ is the set of *accepting states*

We write $q \xrightarrow{a} q'$ when $(q, a, q') \in \rightarrow$.



The *language* of $q \in Q$ is $L_{\mathbf{A}}(q) = \{a_1 \cdots a_n \in \Sigma^* : q \xrightarrow{a_1} \circ \cdots \circ \xrightarrow{a_n} q' \in F\}$

The language of \mathbf{A} is given by $\bigcup_{q \in I} L_{\mathbf{A}}(q)$.

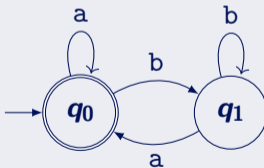
Expressions to automata

Lemma (c.f. Kleene 1956; Brzozowski 1964; Antimirov 1996)

For every e , we can construct an automaton A_e that accepts the language of e .

Example

Here is the automaton A_e for $e = a^* \cdot (b \cdot a^* \cdot b)^*$:



Automata to monoids

Let $A = (Q, \rightarrow, I, F)$ be an automaton.

Definition (Transition monoid; McNaughton and Papert 1968)

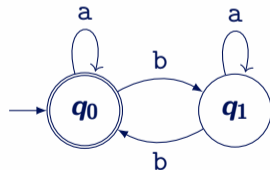
(M_A, \circ, Δ) is the monoid where $M_A = \{\overset{a_1}{\rightarrow} \circ \dots \circ \overset{a_n}{\rightarrow} : a_1 \dots a_n \in \Sigma^*\}$.

Example

The transition monoid for the automaton A on the right is carried by $M_A = \{\overset{a}{\rightarrow}, \overset{b}{\rightarrow}\}$, where

$$\overset{a}{\rightarrow} = \{(q_0, q_0), (q_1, q_1)\}$$

$$\overset{b}{\rightarrow} = \{(q_0, q_1), (q_0, q_1)\}$$



Monoids to Kleene algebras

Lemma (Palka 2005)

Let $(M, \cdot, 1)$ be a monoid. Now $(\mathcal{P}(M), \cup, \otimes, *, \emptyset, \{1\})$ is a KA, where

$$T \otimes U = \{t \cdot u : t \in T \wedge u \in U\} \quad T^* = \{t_1 \cdots t_n : t_1, \dots, t_n \in T\}$$

Putting it all together

Given an expression e , we can now obtain a *finite* KA $K_e = \mathcal{P}(M_{A_e})$.

Lemma

Let $e, f \in \mathbf{Exp}$. If $K_e \models e = f$ and $K_f \models e = f$, then $\models e = f$.

Theorem (Finite model property)

If $\mathfrak{F} \models e = f$ then $\models e = f$.

Peeling the onion

Solving automata

Definition

Let (Q, \rightarrow, I, F) be an automaton. A *solution* is a function $s : Q \rightarrow \mathbf{Exp}$ such that

$$\models F(q) + \sum_{q \xrightarrow{a} q'} a \cdot s(q') \leq s(q) \qquad F(q) = \begin{cases} 1 & q \in F \\ 0 & q \notin F \end{cases}$$

Peeling the onion

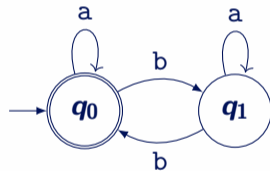
Solving automata

Example

For the automaton on the right, a solution satisfies

$$\models 1 + a \cdot s(q_0) + b \cdot s(q_1) \leq s(q_0)$$

$$\models 0 + a \cdot s(q_1) + b \cdot s(q_0) \leq s(q_1)$$



Peeling the onion

Solving automata

Example (Continued)

We start with the second condition:

$$0 + a \cdot s(q_1) + b \cdot s(q_0) \leq s(q_1)$$

We can rewrite this as

$$a \cdot s(q_1) + b \cdot s(q_0) \leq s(q_1)$$

which by the fixpoint rule implies

$$a^* \cdot b \cdot s(q_0) \leq s(q_1)$$

Peeling the onion

Solving automata

Example (Continued)

Now we look at the second condition

$$1 + a \cdot s(q_0) + b \cdot s(q_1) \leq s(q_0)$$

Substituting $a^* \cdot b \cdot s(q_0) \leq s(q_1)$ we get

$$1 + a \cdot s(q_0) + b \cdot a^* \cdot b \cdot s(q_0) \leq s(q_0)$$

which rewrites to

$$1 + (a + b \cdot a^* \cdot b) \cdot s(q_0) \leq s(q_0)$$

By the fixpoint rule, $(a + b \cdot a^* \cdot b)^* \leq s(q_0)$.

Peeling the onion

Solving automata

Example (Continued)

We now have two lower bounds:

$$(a + b \cdot a^* \cdot b)^* \leq s(q_0)$$
$$a^* \cdot b \cdot (a + b \cdot a^* \cdot b)^* \leq s(q_1)$$

It turns these are also solutions to **A** — thus we found the least solution.

Peeling the onion

Solving automata

Theorem (Kleene 1956; see also Conway 1971)

Every automaton admits a least solution (unique up to equivalence).

When \mathbf{A} is an automaton, we write

- $\bar{\mathbf{A}}(\mathbf{q})$ for the least solution to \mathbf{A} at \mathbf{q}
- $\lfloor \mathbf{A} \rfloor$ for the sum of $\bar{\mathbf{A}}(\mathbf{q})$ for $\mathbf{q} \in I$

Lemma

If $e \in \mathbf{Exp}$, then $\models \lfloor \mathbf{A}_e \rfloor \leq e$.

Peeling the onion

Solving monoids

Definition (Transition automaton; McNaughton and Papert 1968)

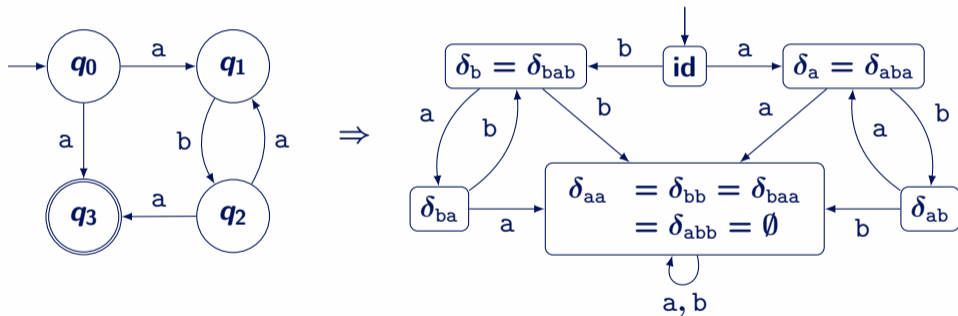
Let $R \in M_A$. We write $A[R]$ for the automaton $(M_A, \rightarrow_\circ, \{\Delta\}, \{R\})$ where

$$P \xrightarrow{\circ} Q \iff P \circ \xrightarrow{\circ} Q$$

Intuition: $w \in L(A[R])$ means $q R q'$ iff w traces from q to q' in A .

Peeling the onion

Solving monoids



Peeling the onion

Solving monoids

Lemma (Solving transition automata)

Let \mathbf{A} be an automaton, let $q \in Q$ and let $R \in M_{\mathbf{A}}$ with $q R q_f \in F$. We have

$$\models \llbracket \mathbf{A}[R] \rrbracket \leq \overline{\mathbf{A}}(q)$$

Let $h_e : \Sigma \rightarrow K_e$ be given by $h_e(a) = \{\overset{a}{\rightarrow} e\}$.

Lemma

Let $e \in \mathbf{Exp}$ and let $R \in \widehat{h_e}(e)$. Then $\models \overline{\mathbf{A}_e[R]} \leq e$.

Peeling the onion

Solving Kleene algebras

Let $h_e : \Sigma \rightarrow K_e$ be given by $h_e(a) = \{\overset{a}{\rightarrow}_e\}$.

Lemma

Let $e, f \in \mathbf{Exp}$. We have that

$$\models f \leq \sum_{R \in \widehat{h}_e(f)} [A_e[R]]$$

Proof sketch.

By induction on f . □

Peeling the onion

Proving the main lemma

Lemma

Let $e, f \in \mathbf{Exp}$. If $K_e \models e = f$ and $K_f \models e = f$, then $\models e = f$.

Proof.

Since $K_e \models e = f$, we have that $\widehat{h}_e(e) = \widehat{h}_e(f)$; we can then derive

$$\models f \leq \sum_{R \in \widehat{h}_e(f)} [A_e[R]] = \sum_{R \in \widehat{h}_e(e)} [A_e[R]] \leq e$$

By a similar argument, $\models e \leq f$; the claim then follows. □

Peeling the onion

The grand finale

Theorem

If $\mathfrak{F} \models e = f$, then $\models e = f$.

Proof.

Since K_e and K_f are finite KAs, we have that $K_e \models e = f$ and $K_f \models e = f$.

The proof then follows by the previous lemma. □

Some thoughts

- The proof uses *Antimirov's* instead of *Brzozowski's construction*.
- We do not rely on bisimilarity-based arguments at all (c.f. Jacobs 2006).
- We do not use the right-handed axioms for the star:

$$1 + x \cdot x^* = x^*$$

$$\frac{x + y \cdot z \leq y}{x \cdot z^* \leq y}$$

- These were known not to be necessary
 - 👉 Krob 1990; Boffa 1990; Das, Doumane, and Pous 2018; Kozen and Silva 2020
- Upshot: a proof-theoretic result for KA: “right-hand elimination”.

Coq formalization

- All results formalized in the Coq proof assistant.
- Trusted base:
 - Calculus of Inductive Constructions.
 - Streicher's *axiom K*.
 - Dependent functional extensionality.
- Some concepts are encoded differently; ideas remain the same.

Further open questions

- Can we apply these ideas to *guarded Kleene algebra with tests*?
- Do these techniques extend to *KA with hypotheses*?
- Is there a representation theorem or duality for KA?

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Bonus: extending the model theory

Lemma

If $\mathfrak{R} \models e = f$, then $\models e = f$.

Proof sketch.

We show that $\mathfrak{R} \models e = f$ implies $\mathcal{P}(\Sigma^*) \models e = f$. For $n \in \mathbb{N}$, choose

$$\Sigma_n = \{w \in \Sigma^* : |w| \leq n\} \quad h_n : \Sigma \rightarrow \mathcal{R}(\Sigma_n), a \mapsto \{(w, wa) : wa \in \Sigma_n\}$$

For all $w \in \Sigma_n$ and regular expressions g , we now have $w \in \hat{\ell}(g)$ iff $(\epsilon, w) \in \widehat{h_n}(g)$.

Thus $w \in \hat{\ell}(f)$ if and only if $w \in \widehat{h_{|w|}}(e) = \widehat{h_{|w|}}(f)$ if and only if $w \in \hat{\ell}(f)$.

This means that $\mathcal{P}(\Sigma^*), \ell \models e = f$, whence $\mathcal{P}(\Sigma^*) \models e = f$. □

Bonus: pomsets

Expressions in *concurrent KA* (CKA) are generated by

$$e, f ::= \mathbf{0} \mid \mathbf{1} \mid a \in \Sigma \mid e + f \mid e \cdot f \mid e \parallel f \mid e^* \mid e^\dagger$$

Definition (Bi-KA)

A *bi-KA* is a tuple $(\mathcal{K}, +, \cdot, \parallel, *, \dagger, \mathbf{0}, \mathbf{1})$ where

- $(\mathcal{K}, +, \cdot, *)$ and $(\mathcal{K}, +, \parallel, \dagger)$ are both KAs, and
- \parallel commutes, i.e., $\mathcal{K} \models e \parallel f = f \parallel e$.

A *weak bi-KA* is a bi-KA without the \dagger .

Definition (Concurrent KA)

A (*weak*) *concurrent KA* is a (*weak*) bi-KA s.t. $(e \parallel g) \cdot (f \parallel h) \leq (e \cdot f) \parallel (g \cdot h)$.

Bonus: pomsets

Example

The *bi-KA of pomset languages* over Σ is $(\mathcal{P}(\mathbf{Pom}(\Sigma)), \cup, \cdot, \parallel, *, \dagger, \emptyset, \{\mathbf{1}\})$, where

- $\mathbf{Pom}(\Sigma)$ denotes the set of pomsets over Σ ;
- $\mathbf{1}$ denotes the empty pomset;
- $L \cdot L' = \{U \cdot V : U \in L, V \in L'\}$ and similarly for \parallel ; and
- $L^* = \{\mathbf{1}\} \cup L \cup L \cdot L \cup \dots$ and $L^\dagger = \{\mathbf{1}\} \cup L \cup L \parallel L \cup \dots$.

Bonus: pomsets

Example

The *concurrent KA of pomset ideals* over Σ is $(\mathcal{I}(\Sigma), \cup, \cdot, \parallel, *, \dagger, \emptyset, \{1\})$, where

- $\mathcal{I}(\Sigma)$ contains the pomset languages downward-closed under \sqsubseteq ; and
- the operators are as for bi-KA, but followed by downward closure under \sqsubseteq .

Bonus: pomsets

Theorem (Laurence and Struth 2014)

Let e and f be (weak) concurrent KA expressions.

Now $\mathcal{P}(\mathbf{Pom}(\Sigma)) \models e = f$ if and only if $\mathcal{K} \models e = f$ for all (weak) bi-KAs \mathcal{K}

Theorem (Laurence and Struth 2017; K., Brunet, Silva, et al. 2018)

Let e and f be weak concurrent KA expressions.

Now $\mathcal{I}(\Sigma) \models e = f$ if and only if $\mathcal{K} \models e = f$ for all weak CKAs \mathcal{K}

Bonus: pomsets

Conjecture

Let e and f be concurrent KA expressions.

Now $\mathcal{I}(\Sigma) \models e = f$ if and only if $\mathcal{K} \models e = f$ for all CKAs \mathcal{K}

Current techniques do not work!

Bonus: pomsets

<speculation>

Bonus: pomsets






The following roadmap *might* work:

1. Translate CKA expressions to automata
 - ⇒ Pomset automata (K., Brunet, Luttk, et al. 2019)
 - ⇒ or HDAs (van Glabbeek 2004; Fahrenberg 2005; Fahrenberg et al. 2022)
2. Translate these automata to *ordered bimonoids* (Bloom and Ésik 1996)
 - ⇒ see also (Lodaya and Weil 2000; van Heerdt et al. 2021)
3. Translate bimonoids to concurrent KAs.
 - ⇒ essentially the same recipe?






Bonus: pomsets

`</speculation>`

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