

Compositionality of Effects in Semantics and Automata Theory

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based on joint work with Alexandre Goy, Ralph Sarkis and Ana Sokolova

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INSTITUT
DE RECHERCHE
EN INFORMATIQUE
FONDAMENTALE



- Motivation and context
- Monads and weak distributive laws
- Automata with effects
- The weak distributive law for combining probabilistic choice and non-determinism
- “Determinization” of automata via (weak) distributive laws
- Semialgebras and why weak laws are strong ...

Motivation and context

Composing computational effects

A **computational effect** is an interaction between a program and its environment.

Examples: error raising, input and output, global/local state, continuations, non-determinism and probabilistic choice.

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The approach in this talk:

1. model computational effects following the seminal work of Moggi using **monads**
2. consider automata with “effects”
3. consider an adapted category-theoretic tool for **composing monads**.

Semantic models for non-determinism and probabilistic choice

nondeterministic choice

$$p \vee q$$

a commutative,
idempotent and
associative operation

probabilistic choice







$$p +_r q$$

satisfying the axioms of a barycentric
algebra

e.g. $p +_r q = q +_{1-r} p$.

How do we combine the two ?

Combining probabilistic and non-deterministic choice has a long history ...

-  [Jones and Plotkin]
A probabilistic powerdomain of evaluations, LICS, 1989
-  [Jung and Tix]
The troublesome probabilistic powerdomain, ENTCS, 1998
-  [Tix, Keimel, Plotkin]
Semantic Domains for Combining Probability and Non- Determinism, ENTCS 2009
-  [Mislove]
Nondeterminism and probabilistic choice: Obeying the law, CONCUR 2000
-  [Keimel, Plotkin]
Mixed powerdomains for probability and nondeterminism, LMCS 2017
-  [J. Goubault-Larrecq]
A probabilistic and non-deterministic call-by-push-value language, LICS, 2019

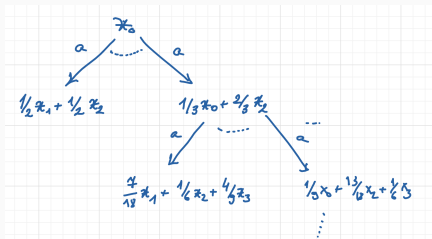
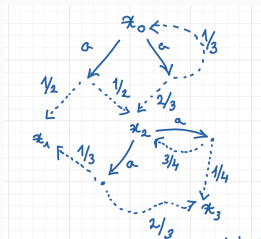
Combining probabilistic and non-deterministic choice has a long history ...


There are various approaches proposed in these studies of combinations of ordinary and probabilistic non-determinism

- power-cone models,
- prevision models
- indexed valuations
- coproducts of monads

And more recently, a coalgebraic take:

“Determinizing” probabilistic automata yields nondeterministic automata whose states are probability distributions, i.e., **belief-state transformers**.



 [Bonchi, Silva, Sokolova]
The Power of Convex Algebras, CONCUR 2017

 [Bonchi, Sokolova, Vignudelli]
The Theory of Traces for Systems with Nondeterminism and Probability, LICS 2019

Monads

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A category-theoretic notion generalizing algebraic theories presented by operations and equations from universal algebra

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Intuition in Set :

SX is the set of terms with variables in X for some algebraic theory



Monad for non-determinism

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The powerset monad $(\mathcal{P}, \eta^{\mathcal{P}}, \mu^{\mathcal{P}})$ consists of

- the powerset functor $\mathcal{P}: \text{Set} \rightarrow \text{Set}$
 - for a set X we have $\mathcal{P}X = \{A \mid A \subseteq X\}$
 - for a function $f: X \rightarrow Y$, $\mathcal{P}f$ is defined as **direct image**
- the unit $\eta_X^{\mathcal{P}}: X \rightarrow \mathcal{P}X$ mapping x to the **singleton** $\{x\}$.

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satisfying the usual axioms.

A monad for probabilistic choice

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- the finite distribution functor $\mathcal{D}: \text{Set} \rightarrow \text{Set}$ given by
 - $X \mapsto \{\varphi: X \rightarrow [0,1] \mid \text{supp}(\varphi) \text{ finite and } \sum_{x \in X} \varphi(x) = 1\}$
 - for a function $f: X \rightarrow Y$ we have $\mathcal{D}f$ is defined by $\mathcal{D}f(\varphi)(y) = \sum_{x \in f^{-1}(y)} \varphi(x)$
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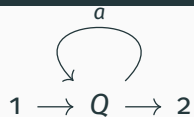
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Automata with effects

Word automata in Kleisli categories

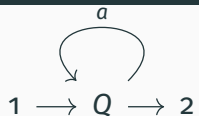
deterministic automata



in Set

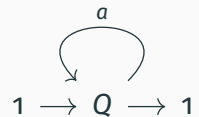
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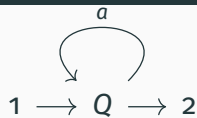
non-deterministic automata



in Rel

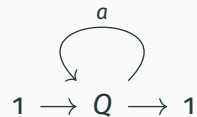
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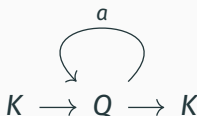
in Set

non-deterministic automata



in Rel

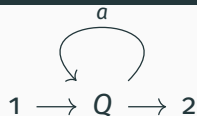
weighted automata



in Vec_K

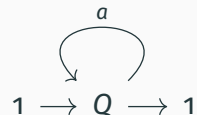
Word automata in Kleisli categories

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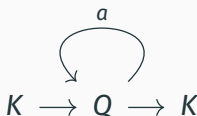
in Set

non-deterministic automata



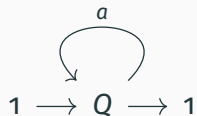
in Rel

weighted automata



in Vec_K

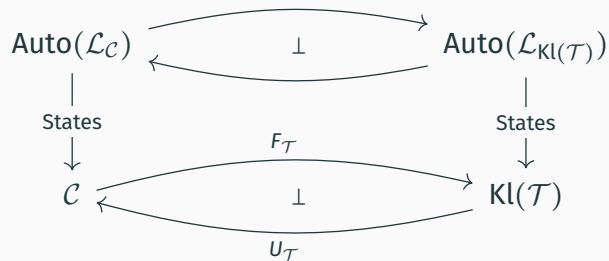
Subseq. transducers



in $\text{Kl}(\mathcal{T})$

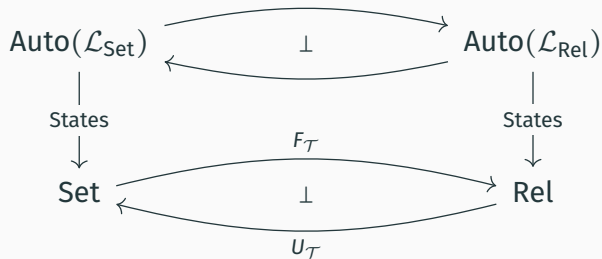
Determinization as a right adjoint

We use the lifting of the Kleisli adjunction for the monad \mathcal{T} .

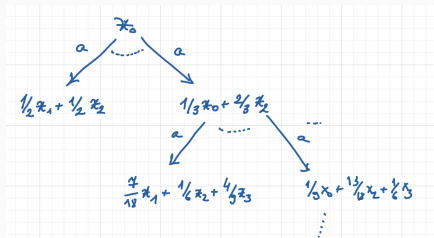
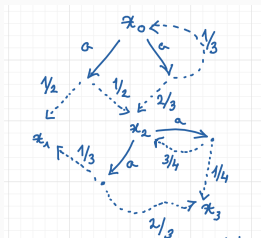


Determinization as a right adjoint

When \mathcal{T} is the powerset monad, the lifting of $U_{\mathcal{T}}$ is the determinization of a non-deterministic automaton.



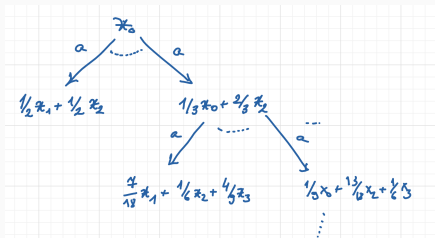
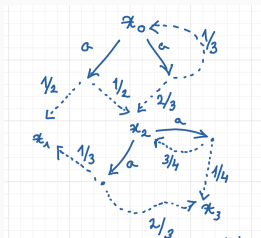
Do probabilistic automata fit in this framework?



We would like to say something like

probabilistic automata are functorial automata in $Kl(PD)$

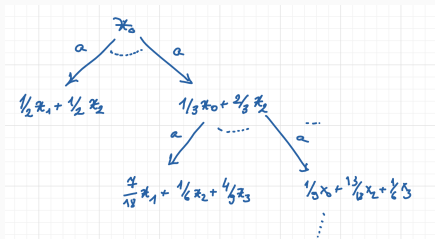
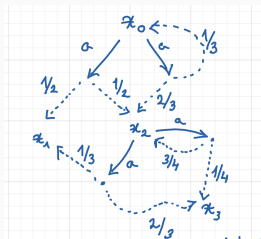
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“determinization” is the lifting of a functor from $Kl(\mathcal{PD})$ to $Kl(\mathcal{P})$
but it doesn't work that nicely...

Composing monads

How can we combine monads ?

Suppose we have two monads (T, η^T, μ^T) and (S, η^S, μ^S) .

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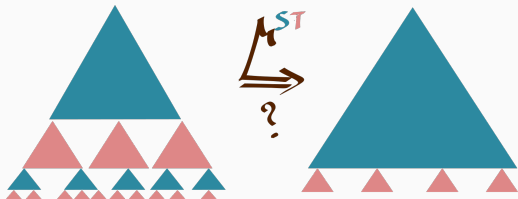


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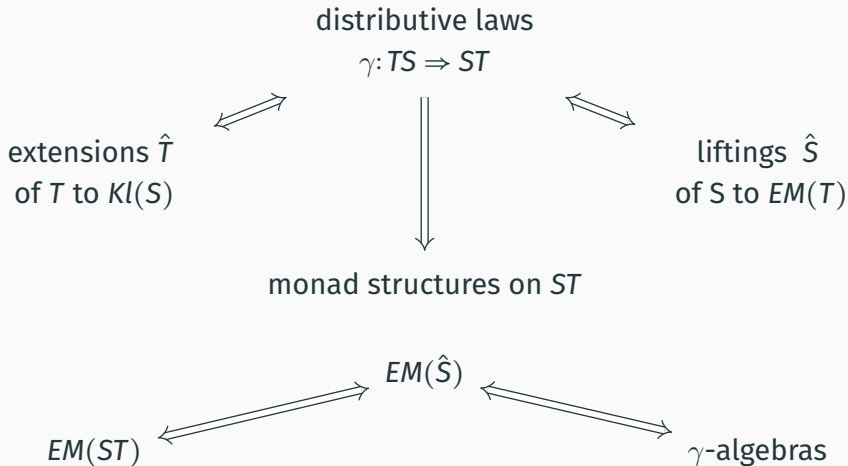


It would be nice to have a way of swapping S and T

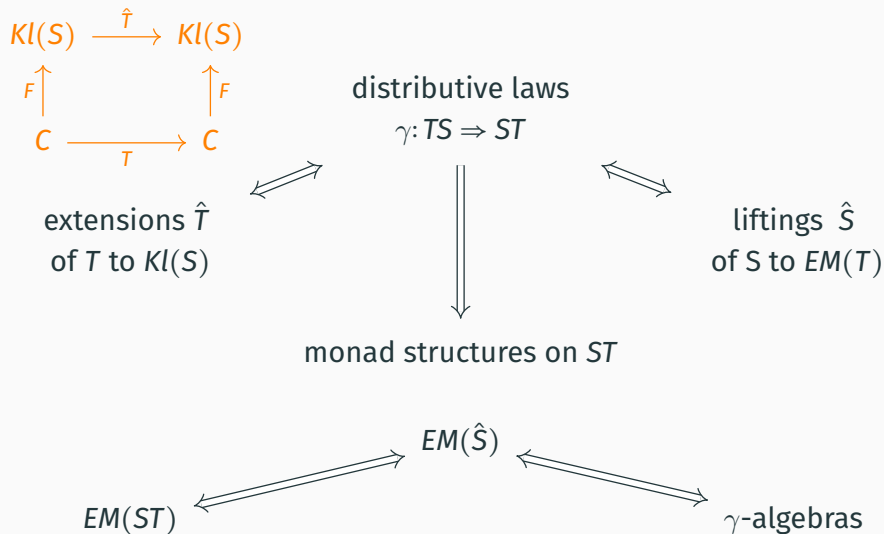
We need a natural transformation $\gamma: TS \Rightarrow ST$ subject to 4 coherence conditions:

compatibility with the units and the multiplications of the monads

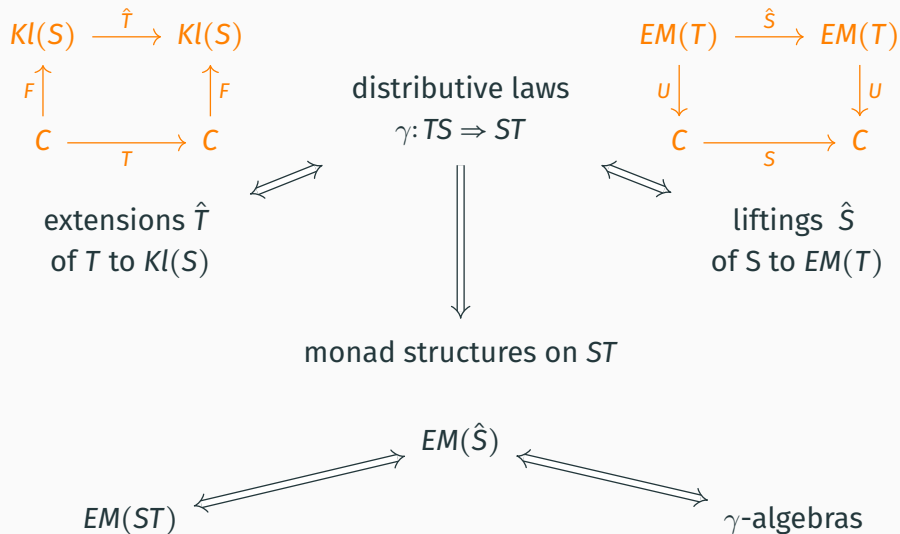
The rich theory of distributive laws



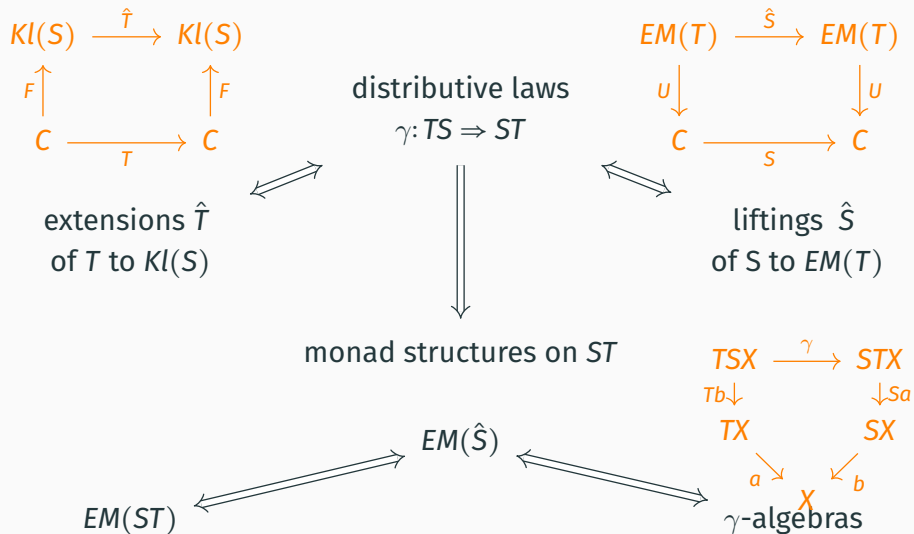
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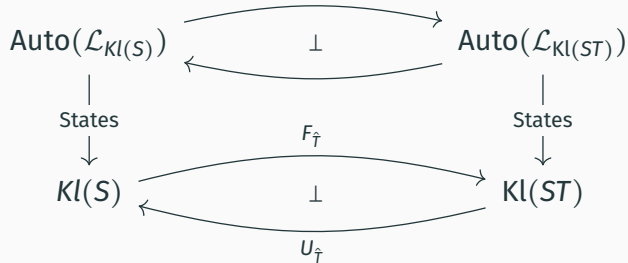


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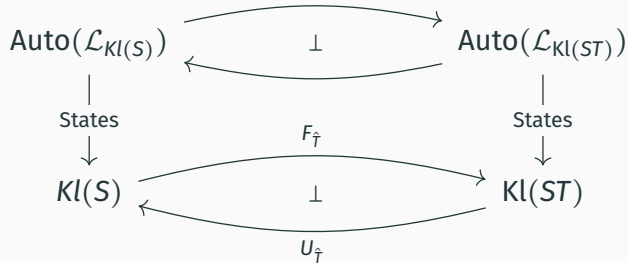
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So, for $S = \mathcal{P}$ and $T = \mathcal{D}$...

There is no distributive law of \mathcal{P} over \mathcal{D}

Plotkin's counterexample from Daniele Varacca's PhD thesis:

thus obtaining another distributive law. However, it turns out that there is no distributive law at all between the two monads. If (P, η^P, μ^P) is the finite nonempty powerset monad, and (V, η^V, μ^V) is the finite valuation monad in the category **SET**, we have

Proposition 3.1.2. *There is no distributive law of V over P .*

Proof: The idea for this proof is due to Gordon Plotkin. Assume that $d : VP \rightarrow PV$ is a distributive law. Consider the set $X := \{a, b, c, d\}$. Take $\Xi := \frac{1}{2}\eta_{\{a,b\}} + \frac{1}{2}\eta_{\{c,d\}} \in VP(X)$. We try to find out what $R := d_X(\Xi)$ is.

Let $Y := \{a, b\}$. Consider:

$$f : X \rightarrow Y \quad f : \begin{cases} a \mapsto a \\ b \mapsto b \\ c \mapsto a \\ d \mapsto b \end{cases}$$

$$f' : X \rightarrow Y \quad f' : \begin{cases} a \mapsto a \\ b \mapsto b \\ c \mapsto b \\ d \mapsto a \end{cases}$$

Missing category theoretic understanding

In Part II we study the notion of indexed valuation, as a denotational model for probabilistic computation. This model arises from the need of combining probabilities and nondeterminism. The probabilistic powerdomain and the non-deterministic powerdomain do not combine nicely. In technical terms, there is no distributive law between the two monads. We face this mathematical problem discovering where the core of the problem lies and we propose our solution which amounts to a modification of the probabilistic powerdomain. First, we

Missing category theoretic understanding

In Part II we saw a denotational model for probabilistic computations from the need of combining probabilities and nondeterminism. We face this mathematical problem discovering where the core of the problem lies and we propose our solution which amounts to a modification of the probabilistic powerdomain. First, we

on the underlying spaces. When specialised to domains and subprobability valuations, his results correspond to our Corollaries 4.4, 4.7, and 4.10. He worked directly with the valuation spaces rather than, as we do, making use of abstract structures such as cones and barycentric algebras. In [2, 3] Beaulieu worked algebraically; his results include free constructions of algebras satisfying the above laws over sets and partial orders, but not domains.

There has been some discussion of other ways to combine nondeterminism with probability. Categorical distributive laws provide a standard means of showing the composition of two monads form a third (see [37]). However there is no such law enabling one to compose the monad of ordinary nondeterminism with that of probabilistic nondeterminism — see the Appendix of [63].

For this reason, Varacca and Winskel [61, 62, 63] reject, or weaken, one of the axioms of (extended) 'indexed valuations' in place of the more usual ones. As shown by Varacca in [62, Chapter 4] this approach applies to domains, where indexed valuations come in three flavours: Hoare, Smyth, and

Missing category theoretic understanding

In Part II we saw how to lift the theory of probabilistic coalgebras to the theory of belief-state transformers. In this section we will see how to lift the theory of belief-state transformers to the theory of belief-state transformers. This amounts to a modification of the theory of belief-state transformers.

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There has been some discussion of other ways to combine nondeterminism with probability. Categorical distributivity is a natural way to combine the monad of \mathcal{P}^L with the monad of \mathcal{D} . For this reason, we will use the monad of \mathcal{P}^L to combine the monad of \mathcal{D} with the monad of \mathcal{P}^L . This is a consequence of two well known facts: the lack of a suitable distributive law $\rho: \mathcal{D}\mathcal{P} \Rightarrow \mathcal{P}\mathcal{D}$ [64]² and the one-to-one correspondence between distributive laws and liftings, see e.g. [32]. In the next section, we will nevertheless provide a “powerset-like” functor on $\text{EM}(\mathcal{D})$ that we will exploit then in Section 6 to properly model PA as belief-state transformers.

In a sense, this is similar to the translation of probabilistic automata into belief-state transformers that we have seen in Section 2. Indeed, probabilistic automata are coalgebras $c: S \rightarrow (\mathcal{P}\mathcal{D}S)^L$ and belief state transformers are coalgebras of type $\mathcal{D}S \rightarrow (\mathcal{P}\mathcal{D}S)^L$. One would like to take $F = \mathcal{P}^L$ and $\mathcal{M} = \mathcal{D}$ and reuse the above construction but, unfortunately, \mathcal{P}^L does not have a suitable lifting to $\text{EM}(\mathcal{D})$. (This is a consequence of two well known facts: the lack of a suitable distributive law $\rho: \mathcal{D}\mathcal{P} \Rightarrow \mathcal{P}\mathcal{D}$ [64]² and the one-to-one correspondence between distributive laws and liftings, see e.g. [32].) In the next section, we will nevertheless provide a “powerset-like” functor on $\text{EM}(\mathcal{D})$ that we will exploit then in Section 6 to properly model PA as belief-state transformers.

² As shown in [64], there is no distributive law of the powerset monad over the distribution monad. Note that a “trivial” lifting and a corresponding distributive law of the powerset functor over the distribution monad exists, it is based on [11] and has been exploited in [32]. However, the corresponding “determinisation” is trivial, in the sense that its distribution bisimilarity coincides with bisimilarity, and it does not correspond to the belief-state transformer.

Missing category theoretic understanding

In \mathcal{P}
for \mathcal{P}
prob
deter
no
lem
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n algebraic
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We conclude this section with a well known fact that

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Combining Algebraic Theories. Algebraic theories can be combined in a number of general ways: by taking their coproduct, their tensor, or by means of distributive laws (see e.g. [46]). Unfortunately, these abstract constructions do not lead to a presentation for the monad we are interested in. We will thus devote the next section to show a “hand-made” presentation for this monad.

We conclude this section with a well known fact that v of the powerset monad over the distribution monad. Adding distributive law of the powerset functor over the and has been exploited in [32]. However, the corresponding at its distribution bisimilarity coincides with bisimilarity, at transformer.

More negative results



[Klin, Salamanca]

Iterated Covariant Powerset is not a Monad

- there is no distributive law of the monad \mathcal{P} over itself
- there is no monad structure on $\mathcal{P}\mathcal{P}$
- there is no distributive law $T\mathcal{P} \Rightarrow \mathcal{P}T$, when T satisfies some further conditions.



[Zwart, Marsden]

Don't try this at home: No-Go Theorems for Distributive Laws, LICS 2019

- generalized Plotkin's theorem
- a fine analysis of non-existence of distributive laws

- use instead of \mathcal{D} the monad of indexed valuations (Varacca's solution)
- define by hand a monad \mathcal{P}_c on the category of Eilenberg-Moore algebras for \mathcal{D} – going back to Tix et al, more recently exploited in



[Bonchi, Silva, Sokolova]

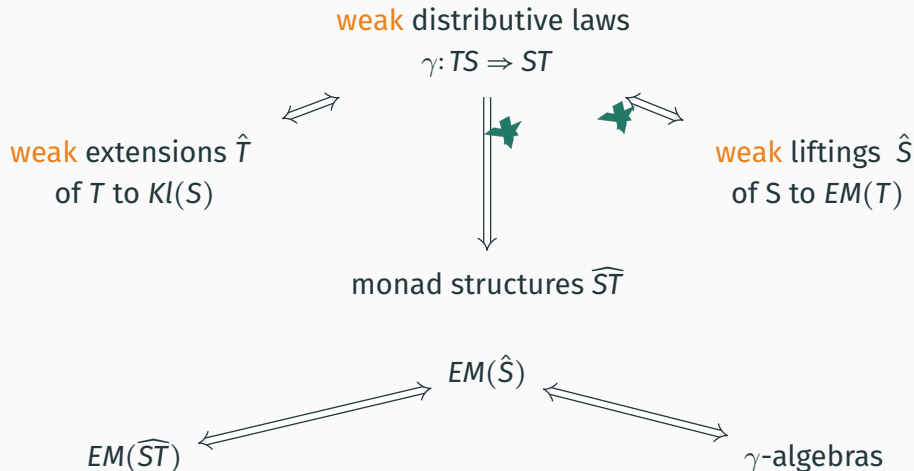
The Power of Convex Algebras, CONCUR 2017

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 - 📄 [Bonchi, Silva, Sokolova]
The Power of Convex Algebras, CONCUR 2017
- But these constructions remain a bit mysterious from a category-theoretic perspective. Are they canonical in some sense?

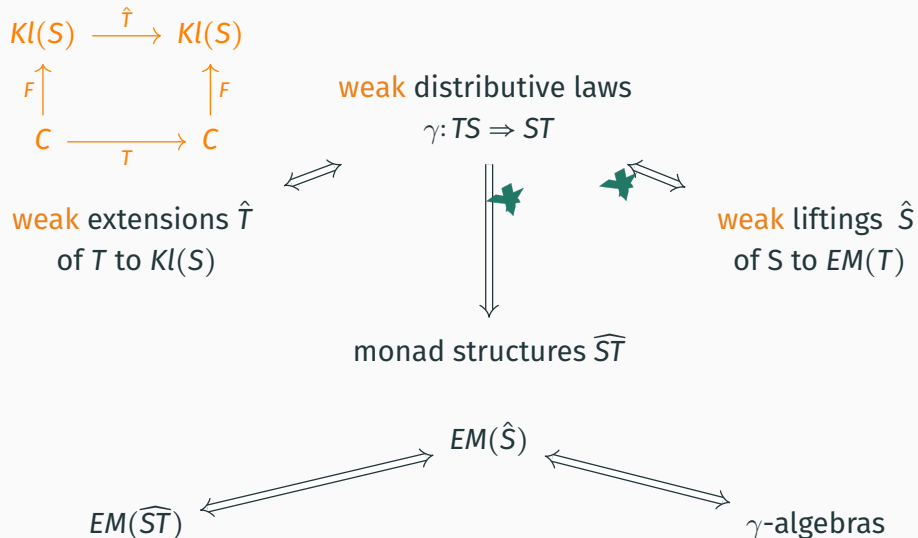
How far away are we from a distributive law?

- Can we at least obtain a natural transformation $\mathcal{D}\mathcal{P} \Rightarrow \mathcal{P}\mathcal{D}$?
- If yes, which axioms does it satisfy ?
- It turns out that we do have such a natural transformation, **satisfying all but the axiom involving the unit of \mathcal{D} .**
- This is a so called **weak distributive law** in the sense of [Garner, 2019].
- Garner exhibited a weak distributive law between \mathcal{P} and the ultrafilter monad β and showed how the Vietoris monad on compact Hausdorff spaces can be seen as a **weak lifting** of \mathcal{P} .

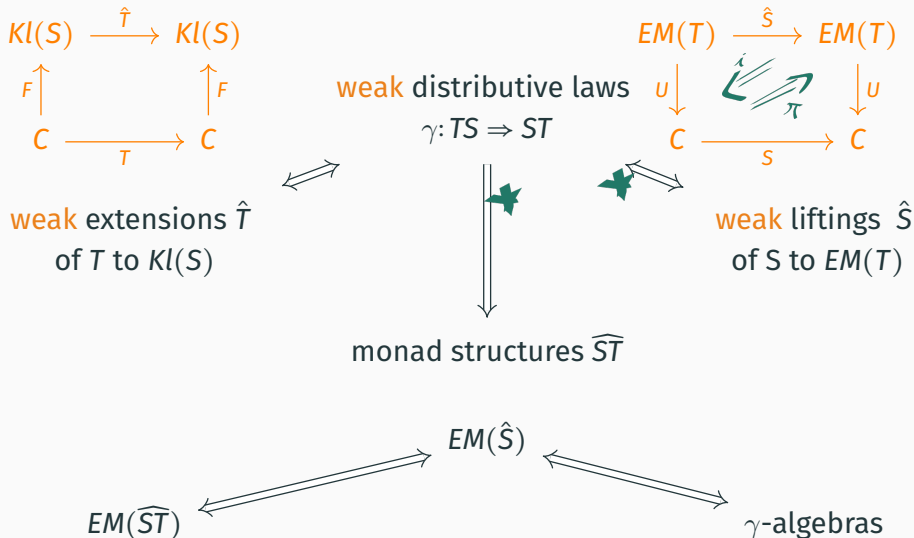
The rich theory of **weak** distributive laws (Garner, 2019)



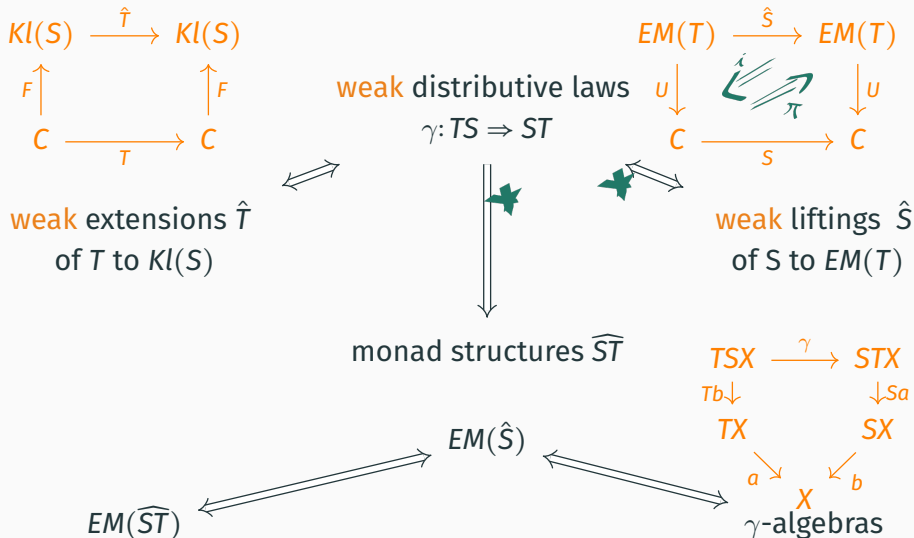
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There are “obvious” functors between $Kl(\widehat{ST})$ and $Kl(S)$, but they do not give an adjunction.

Combining nondeterminism and probabilistic choice via weak laws

Theorem (Goy, P., LICS 2020)

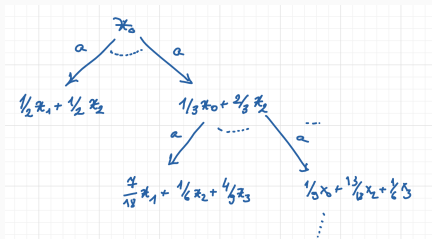
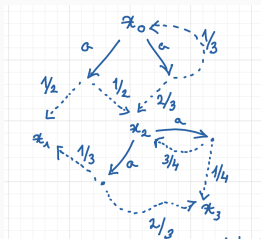
There exists a *weak distributive law* of the powerset monad over the finite distribution monad. The corresponding *weak lifting* of the powerset monad to the category of convex algebras is the *convex powerset monad*.

- we rely on results of Barr for relational extensions of functors and natural transformations
- Rel is the Kleisli category of \mathcal{P}
- the functor \mathcal{D} preserves weak pullbacks, hence it can be extended to Rel
- the unit of \mathcal{D} is not weakly cartesian
- but the multiplication of \mathcal{D} is weakly cartesian

Applications

“Determinizing” probabilistic automata

Can we determinize PAs into belief-state transformers using **weak distributive law** ?



Generalized determinization of probabilistic automata

Lemma

Consider a weak distributive law $\gamma: TS \Rightarrow ST$ of S over T and let \hat{S} be the corresponding *weak lifting* of S to $EM(T)$. Then, we have the following liftings

$$\begin{array}{ccc} \text{Coalg}(ST) & \xrightarrow{\widehat{F}^T} & \text{Coalg}(\hat{S}) \\ \downarrow & & \downarrow \\ \mathcal{C} & \xrightarrow{F^T} & EM(T) \end{array} \qquad \begin{array}{ccc} \text{Coalg}(\hat{S}) & \xrightarrow{\widehat{U}^T} & \text{Coalg}(S) \\ \downarrow & & \downarrow \\ EM(T) & \xrightarrow{U^T} & \mathcal{C} \end{array}$$


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This instantiates to transforming a \mathcal{PD} -coalgebra on X into a \mathcal{P}_c -coalgebra on DX , that is, to the transformation of a PA into a belief-state transformer, obtained in

 [Bonchi, Silva, Sokolova]
The Power of Convex Algebras, CONCUR 2017

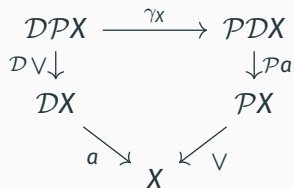
Combining algebraic theories of nondeterminism and probability

We obtain an immediate concrete presentation for the $\mathcal{P}_c\mathcal{D}$ -algebras, i.e., **convex semilattices**, see



[Bonchi, Sokolova, Vignudelli]

The Theory of Traces for Systems with Nondeterminism and Probability, LICS 2019



$(X, \vee, (+_r)_{r \in [0,1]})$ so that

- (X, \vee) is a complete sup-semilattice,
- $(X, (+_r)_{r \in [0,1]})$ is a convex algebra
- the distributivity axiom holds $(\vee x_i) +_r y = \vee (x_i +_r y)$.

Weak laws in a continuous setting

Theorem (Goy, Aiguier and P., ICALP 2021)

There exists a *weak distributive law* $\mathcal{V}\mathcal{V} \Rightarrow \mathcal{V}\mathcal{V}$ of the Vietoris monad on compact Hausdorff spaces over itself.

- we rely on \mathbf{KHaus} being a regular category
- we use the [Carboni, Kelly and Wood, 1991] results for extending functors to relations on regular categories
- the Kleisli category $\mathbf{Kl}(\mathcal{V})$ can be seen as a category of relations satisfying additional continuity constraints
- the Vietoris functor nearly preserves pullbacks, so it can be extended to $\mathbf{Rel}(\mathbf{KHaus})$. The extension restricts to $\mathbf{Kl}(\mathcal{V})$.
- the multiplication of \mathcal{V} is nearly cartesian but the unit is not.

Semialgebras and why weak laws are strong...

Semialgebras for a monad

Given a monad T , a **semialgebra** for T is a morphism $a: TX \rightarrow X$ such that only the associativity axiom holds:

$$\begin{array}{ccc} T^2X & \xrightarrow{\mu_X} & TX \\ \tau a \downarrow & & \downarrow a \\ TX & \xrightarrow{a} & X \end{array}$$

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Semialgebras are morally algebras

Example: Semialgebras for the Maybe monad

Consider the Maybe monad $- + 1: \text{Set} \rightarrow \text{Set}$.

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It turns out that adding an idempotent to a given presentation of algebras for a Set-monad T , and suitably transforming the equations leads to a presentations of semialgebras.

Weak laws are strong...

Theorem (P., Sarkis, MFPS 2021)

Given a monad T on a category with coproducts, there is a monad structure on $\text{id}_C + T$, called the semifree monad T^S on T , so that there is an isomorphism between Eilenberg-Moore algebras for T^S and semialgebras for T .

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[Rosset, Hansen, Endrullis, 2022] further proved an open problem we left open for the concrete algebraic presentation of the semifree monad T^S .

The result presented in this talk appeared in

-  [Goy and P.]
Combining probabilistic and non-deterministic choice via weak distributive laws, LICS 2020
-  [Goy, Aiguier and P.]
Powerset-Like Monads Weakly Distribute over Themselves in Toposes and Compact Hausdorff Spaces, ICALP 2021
-  [P. and Sarkis]
Semialgebras and Weak Distributive Laws, MFPS 2021