

# Lecture 5: Operational Semantics

## Concurrency Theory

Summer 2024

---

Dr. Stephan Mennicke

May 7<sup>th</sup>, 2024

TU Dresden, Knowledge-Based Systems Group

## Part 0: Completing the Introduction

- learning about *bisimilarity* and *bisimulations*

## Part 1: Semantics of (Sequential) Programming Languages

- WHILE – an old friend
- denotational semantics (a baseline and an exercise of the inductive method)
- natural semantics and (structural) operational semantics (**today**)

## Part 2: Towards Parallel Programming Languages

- the Calculus of Communicating Processes (CCS)
- algebraic properties of CCS
- the untold story of Hennessy and Milner
- bisimilarity and its success story
- deep-dive into induction and coinduction

## **Part 3:** Expressive Power

- Calculus of Communicating Systems (CCS)
- Petri nets

# Review: Direct Style Semantics

---

# The Kleene Fixed Point Theorem

**Theorem 1:** Let  $f : D \rightarrow D$  be a continuous function on the ccpo  $\langle D, \preceq \rangle$  with least element  $\perp$ . Then

$$\text{FIX } f = \bigsqcup \{f^n \perp \mid n \geq 0\}$$

defines an element of  $D$ , and this element is the least fixed point of  $f$ .

*Proof:* Since  $f$  is continuous, it is monotone and  $\bigsqcup \{f d \mid d \in Y\} = f(\bigsqcup Y)$  for all non-empty chains  $Y$ .

First observe that  $\{f^n \perp \mid n \geq 0\}$  is non-empty by  $f^0 \perp = \perp$ . It holds that  $f^0 \perp = \perp \preceq f^1 \perp = f \perp$  since  $\perp$  is the least element of  $D$ . By an inductive argument, we get that  $f^m \perp \preceq f^{m+1} \perp$  for all  $m \geq 0$  since  $f$  is monotone. By reflexivity and transitivity of  $\preceq$  we get  $f^m \perp \preceq f^n \perp$  whenever  $m \leq n$ . Therefore,  $\{f^n \perp \mid n \geq 0\}$  is a non-empty chain

# The Kleene Fixed Point Theorem

and, thus,  $\bigsqcup\{f^n \perp \mid n \geq 0\}$  exists (i.e., defines an element of  $D$ ). We next show that it is a fixed point of  $f$ :

$$\begin{aligned} f(\bigsqcup\{f^n \perp \mid n \geq 0\}) &= \bigsqcup\{f(f^n) \perp \mid n \geq 0\} \\ &= \bigsqcup\{f^n \perp \mid n \geq 1\} \\ &= \bigsqcup(\{f^n \perp \mid n \geq 1\} \cup \{\perp\}) \\ &= \bigsqcup\{f^n \perp \mid n \geq 0\} \end{aligned}$$

It remains to be shown that  $\text{FIX } f$  is the least fixed point of  $f$ . For an arbitrary fixed point  $d$  of  $f$ , we have that  $f d = d$  and, clearly,  $\perp \preceq d$ . By monotonicity of  $f$  and an induction on  $n$ , we get  $f^n \perp \preceq f^n d = d$  for all  $n \geq 0$ . Hence,  $d$  is an upper bound for the chain  $\{f^n \perp \mid n \geq 0\}$  and since  $\text{FIX } f$  is the least upper bound of that chain, we directly obtain  $\text{FIX } f \preceq d$ . ■

# The Direct Style Semantics in One Slide

- $\mathcal{S}_{ds}[[x := a]] s := s[x \mapsto \mathcal{A}[[a]] s]$
- $\mathcal{S}_{ds}[[\text{skip}]] := \text{id}$
- $\mathcal{S}_{ds}[[S_1 ; S_2]] := \mathcal{S}_{ds}[[S_1]] \circ \mathcal{S}_{ds}[[S_2]]$
- $\mathcal{S}_{ds}[[\text{if } b \text{ then } S_1 \text{ else } S_2]] := \text{cond}(\mathcal{B}[[b]], \mathcal{S}_{ds}[[S_1]], \mathcal{S}_{ds}[[S_2]])$
- $\mathcal{S}_{ds}[[\text{while } b \text{ do } S]] s = \text{FIX } F$

where  $F = \text{cond}(\mathcal{B}[[b]], g \circ \mathcal{S}_{ds}[[S]], \text{id})$

**Theorem 2:**  $\mathcal{S}_{\text{ds}}[\cdot]$  is a total function.

*Proof:* We need to show that for all While programs  $S$ ,  $\mathcal{S}_{\text{ds}}[S]$  yields a partial function  $g : \mathbf{State} \hookrightarrow \mathbf{State}$ . Therefore note that, since all states  $\text{Var} \rightarrow \mathbb{Z}$  are total functions, also  $\mathcal{B}[b]$  and  $\mathcal{A}[a]$  are total for any Boolean expression  $b$  and arithmetic expression  $a$ . The proof follows a structural induction on  $S$ .

**Base Cases** For  $S = x \equiv a$  and  $S = \text{skip}$ ,  $\mathcal{S}_{\text{ds}}[S]$  is certainly total.

**Step** Since  $\mathcal{S}_{\text{ds}}[S_1]$  and  $\mathcal{S}_{\text{ds}}[S_2]$  are total functions (by induction hypothesis),  $\mathcal{S}_{\text{ds}}[S_2] \circ \mathcal{S}_{\text{ds}}[S_1]$  yields a total function as well, meaning  $\mathcal{S}_{\text{ds}}[S_1 ; S_2]$  is total.

Function  $\text{cond}$  is total as well because of the induction hypothesis and the fact that  $\mathcal{B}[b]$  is a total function.



For the last case, assume  $F$  is continuous (a proof we deliver in Lemma 3). Then  $\text{FIX } F$  yields a unique partial function by Theorem 1 and, therefore,  $\mathcal{S}_{\text{ds}}[\text{while } b \text{ do } S']$  yields a partial function.

Thus,  $\mathcal{S}_{\text{ds}}[\cdot]$  is total and, therefore, exists. ■

**Lemma 3:** Functional  $F$ , as used in the definition of  $\mathcal{S}_{ds} \llbracket \text{while } b \text{ do } S \rrbracket$ , is continuous.

*Proof:* We first show that functionals  $F_1$  with

$$F_1 g = \text{cond}(p, g, \text{id})$$

where  $g : \mathbf{State} \hookrightarrow \mathbf{State}$  and  $p : \mathbf{State} \rightarrow \mathbb{B}$ , are continuous. Let us start by showing that  $F_1$  is monotone. Let  $g_1 \sqsubseteq g_2$  and  $s$  an arbitrary state. We need to show that  $(F_1 g_1)s = s'$  implies (by assumption)  $(F_2 g_2)s = s'$ . If  $p s = \text{tt}$ , then  $s' = (F_1 g_1)s = g_1 s$  implies  $s' = g_2 s = (F_1 g_2)s$ .

Let  $Y$  be a non-empty chain of  $\mathbf{State} \hookrightarrow \mathbf{State}$ . By monotonicity of  $F_1$ , we get

$$\bigsqcup \{F_1 d \mid d \in Y\} \sqsubseteq F_1(\bigsqcup Y)$$

# Continuity of While-Functionals

Let  $s$  be a state such that  $F_1(\bigsqcup Y)s = s'$ . If  $ps = \mathbf{ff}$ , then  $F_1(\bigsqcup Y)s = \text{id } s = s'$  and, surely,  $(F_1 g)s = \text{id } s = s'$  for all  $g \in Y$ . If  $ps = \mathbf{tt}$ , then  $(\bigsqcup Y)s = s'$  (since  $(F(\bigsqcup Y))s = (\bigsqcup Y)s$ ) we need to show that there is a  $g \in Y$  such that  $gs = s'$ . Note,  $gs$  is the same for all  $g \in Y$  defined for  $s$ . Suppose,  $gs = \mathbf{undef}$  for all  $g \in Y$ . Then certainly  $(\bigsqcup Y)[s \mapsto \mathbf{undef}]$  is an upper bound of  $Y$ . But  $(\bigsqcup Y)$  being already the least upper bound of  $Y$  entails a contradiction. Thus, there is a  $g \in Y$  with  $gs = s'$  and, thus,  $\bigsqcup\{(F_1 g) \mid g \in Y\}s = s'$ .

Next, we show that functionals  $F_2$  with

$$F_2 g = g \circ g_0$$

where  $g_0 : \mathbf{State} \hookrightarrow \mathbf{State}$ , are continuous. Again, we start with monotonicity: Let  $g_1 \sqsubseteq g_2$  and we need to show that  $F_2 g_1 \sqsubseteq F_2 g_2$ . But this is immediate from the fact that  $F_2 g_i = g_i \circ g_0$ , so if  $g_0 s = s_1$ , then  $g_1 s_1 = s'$  implies  $g_2 s_1 = s'$ .

Let  $Y$  be a non-empty chain over  $\mathbf{State} \hookrightarrow \mathbf{State}$ . We get  $\bigsqcup\{F_2 g \mid g \in Y\} \sqsubseteq F_2(\bigsqcup Y)$  by monotonicity of  $F_2$ . For state  $s$ , we get  $(F_2(\bigsqcup Y))s = ((\bigsqcup Y) \circ g_0)s = (\bigsqcup Y)(g_0 s) = s'$  we obtain there must be a  $g \in Y$  such that  $g(g_0 s) = s'$ . Hence,  $F_2(\bigsqcup Y) \sqsubseteq \bigsqcup\{F_2 g \mid g \in Y\}$ .

Then  $F_2 \circ F_1$  is continuous as well, making  $\mathcal{S}_{\text{ds}}[\![\cdot]\!]$  well-defined for while-loops. ■

# Operational Semantics

---

# Was bisher geschah:

$$a ::= n \mid x \mid a \oplus a \mid a \star a \mid a \ominus a$$
$$b ::= \text{true} \mid \text{false} \mid a \equiv a \mid a \leq a \mid \neg b \mid b \wedge b$$
$$S ::= x := a \mid \text{skip} \mid S ; S \mid \text{if } b \text{ then } S \text{ else } S \mid \text{while } b \text{ do } S$$

where  $n \in \mathbf{Num}$  and  $x \in \mathbf{Var}$ .

- functions describe the effect compositionally:  $\mathcal{S}_{\text{ds}}[[\cdot]]$  relates inputs with outputs
- does this semantics tell us why/how a program computes what it computes?

# The Operational Approach

- describe the semantics in terms of *transitions* that perform the actual state change
- we consider two different styles:
  - natural semantics**  $\rightarrow$  relates program-state pairs with states;  
every natural step comes with a proof;  
sometimes referred to as *big step semantics*
  - structural operational semantics**  $\Rightarrow$  relates program-state pairs with program-state pairs or just states;  
also known as *small step semantics*
- both styles are formalized by a finite set of rules

$$[\text{axiom}] \frac{\text{empty premise}}{\text{conclusion}}$$

$$[\text{rule}] \frac{\text{premise}}{\text{conclusion}} \text{if ... condition}$$

- key principle: rule induction

# Rule Induction by Examples

1. Lists over alphabet  $\Sigma$

$$[\text{nil}] \frac{}{nil \in \mathcal{L}}$$

$$[\text{cons}] \frac{s \in \mathcal{L} \quad a \in \Sigma}{\langle a \rangle \bullet s \in \mathcal{L}}$$

$\mathcal{L}$  is the **smallest set** satisfying rule [nil] and [cons].

2. Finite Trace Process Pr. Let  $T = (Q, \Sigma, \rightarrow)$  be an LTS.

$$[\text{dead}] \frac{\forall \mu \in \Sigma : P \not\stackrel{\mu}{\rightarrow}}{P \downarrow}$$

$$[\text{trans}] \frac{P \stackrel{\mu}{\rightarrow} P' \quad P' \downarrow}{P \downarrow}$$

The set of finite trace processes is the **smallest set**  $\downarrow$  satisfying rules [dead] and [trans].

*Smells Like Fixed Points*



# Rule Induction by Examples

$$\frac{}{x := a \in \mathbf{WHILE}} \quad \text{if } x \in \mathbf{Var} \text{ and } a \in \mathbf{Aexp} \quad \frac{}{\text{skip} \in \mathbf{WHILE}}$$

$$\frac{S_1 \in \mathbf{WHILE} \quad S_2 \in \mathbf{WHILE}}{S_1 ; S_2 \in \mathbf{WHILE}} \quad \frac{b \in \mathbf{Bexp} \quad S_1 \in \mathbf{WHILE} \quad S_2 \in \mathbf{WHILE}}{\text{if } b \text{ then } S_1 \text{ else } S_2 \in \mathbf{WHILE}}$$

$$\frac{b \in \mathbf{Bexp} \quad S \in \mathbf{WHILE}}{\text{while } b \text{ do } S \in \mathbf{WHILE}}$$

The language of all **WHILE** statements is the **smallest set** satisfying the rules above.

# Natural Semantic Rules

- assignments and skip statements form the induction base
- as in  $\mathcal{S}_{ds} \llbracket \cdot \rrbracket$ , assignments alter the state while skip leaves it identical

$$[\text{ass}_{\text{ns}}] \frac{}{\langle x := a, s \rangle \rightarrow s[x \mapsto \mathcal{A} \llbracket a \rrbracket s]}$$

$$[\text{skip}_{\text{ns}}] \frac{}{\langle \text{skip}, s \rangle \rightarrow s}$$

- we want to prove that the sequential composition  $S_1 ; S_2$ , initiated in state  $s$ , yields  $s'$
- then we need to show that there is a state  $s''$ , such that statement  $S_1$  in  $s$  yields  $s''$  and statement  $S_2$  in  $s''$  finally yields  $s'$

$$[\text{seq}_{\text{ns}}] \frac{\langle S_1, s \rangle \rightarrow s'' \quad \langle S_2, s'' \rangle \rightarrow s'}{\langle S_1 ; S_2, s \rangle \rightarrow s'}$$

- for conditionals, the proof depends on the evaluation of the branching condition

$$[\text{if}_{\text{ns}}^{\text{tt}}] \frac{\langle S_1, s \rangle \rightarrow s'}{\langle \text{if } b \text{ then } S_1 \text{ else } S_2, s \rangle \rightarrow s'} \quad \text{if } \mathcal{B}[[b]] s = \text{tt}$$

$$[\text{if}_{\text{ns}}^{\text{ff}}] \frac{\langle S_2, s \rangle \rightarrow s'}{\langle \text{if } b \text{ then } S_1 \text{ else } S_2, s \rangle \rightarrow s'} \quad \text{if } \mathcal{B}[[b]] s = \text{ff}$$

- also for while-loops, we distinguish alongside the cases of the loop condition
- here, the proof unravels the computation by one iteration

# Natural Semantic Rules

$$[\text{while}_{\text{ns}}^{\text{tt}}] \frac{\langle S, s \rangle \rightarrow s' \quad \langle \text{while } b \text{ do } S, s' \rangle \rightarrow s''}{\langle \text{while } b \text{ do } S, s \rangle \rightarrow s''} \quad \text{if } \mathcal{B}[[b]] s = \text{tt}$$

$$[\text{while}_{\text{ns}}^{\text{ff}}] \frac{}{\langle \text{while } b \text{ do } S, s \rangle \rightarrow s} \quad \text{if } \mathcal{B}[[b]] s = \text{ff}$$

# An Example: $y = x!$

Consider the statement

$$y := 1; \text{ while } \neg(x \equiv 1) \text{ do } (y := y \star x; x := x \ominus 1)$$

in state  $s$  with  $s x = 3$ . We use the semantic rules to show that the statement in state  $s$  yields  $s[x \mapsto 1][y \mapsto 6]$ .

Therefore, note that on any state  $s$ ,  $\langle (y := y \star x; x := x \ominus 1), s \rangle \longrightarrow s[x \mapsto s x - 1][y \mapsto s y \cdot s x]$

$$\frac{\frac{[\text{ass}_{\text{ns}}]}{\langle y := y \star x, s \rangle \longrightarrow s[y \mapsto \mathcal{A}[[y \star x]] s]} \quad \frac{[\text{ass}_{\text{ns}}]}{\langle x := x \ominus 1, s \rangle \longrightarrow s[x \mapsto \mathcal{A}[[x \ominus 1]] s]}}{[\text{seq}_{\text{ns}}] \frac{\langle y := y \star x; x := x \ominus 1, s \rangle \longrightarrow s[y \mapsto s y \cdot s x][x \mapsto s x - 1]}}$$

We subsequently abbreviate  $(y := y \star x; x := x \ominus 1)$  by  $S^*$  and we abbreviate the proof tree above by  $[S^*]$ .

# An Example: $y = x!$

$$\frac{\frac{[\text{ass}_{\text{ns}}]}{\langle y := 1, s \rangle \rightarrow s[y \mapsto \mathcal{A}[\mathbf{1}] s]} \quad \frac{[\text{while}_{\text{ns}}^{\text{tt}}]}{\langle \text{while } \neg(x \equiv 1) \text{ do } S^*, s[y \mapsto 1] \rangle \rightarrow s[x \mapsto 1][y \mapsto 6]}}{[\text{seq}_{\text{ns}}]} \langle y := 1; \text{ while } \neg(x \equiv 1) \text{ do } S^*, s \rangle \rightarrow s[x \mapsto 1][y \mapsto 6]$$

# An Example: $y = x!$

$$\frac{\frac{[S^*]}{[while_{ns}^{tt}] \frac{\langle S^*, s[y \mapsto 1] \rangle \rightarrow s[x \mapsto 2][y \mapsto 3] = s'}}{[while_{ns}^{tt}] \frac{\langle while \neg(x \equiv 1) \text{ do } S^*, s[y \mapsto 1] \rangle \rightarrow s[x \mapsto 1][y \mapsto 6] = s''}}{\frac{[while_{ns}^{tt}] \frac{\langle while \neg(x \equiv 1) \text{ do } S^*, s' \rangle \rightarrow s''}}{[while_{ns}^{tt}] \frac{\langle while \neg(x \equiv 1) \text{ do } S^*, s[y \mapsto 1] \rangle \rightarrow s[x \mapsto 1][y \mapsto 6] = s''}}{[while_{ns}^{tt}] \frac{\langle while \neg(x \equiv 1) \text{ do } S^*, s[y \mapsto 1] \rangle \rightarrow s[x \mapsto 2][y \mapsto 3] = s'}}$$

# An Example: $y = x!$

$$\frac{\frac{[S^*]}{[while_{ns}^{tt}] \langle S^*, s[x \mapsto 2][y \mapsto 3] \rangle \rightarrow s[x \mapsto 1][y \mapsto 6] = s'}{[while_{ns}^{ff}] \langle while \neg(x \equiv 1) \text{ do } S^*, s' \rangle \rightarrow s''}}{\langle while \neg(x \equiv 1) \text{ do } S^*, s[y \mapsto 1] \rangle \rightarrow s[x \mapsto 1][y \mapsto 6] = s''}}$$



# The Natural Semantics in One Slide

$$[\text{ass}_{\text{ns}}] \frac{}{\langle x := a, s \rangle \rightarrow s[x \mapsto \mathcal{A}[[a]] s]} \quad [\text{skip}_{\text{ns}}] \frac{}{\langle \text{skip}, s \rangle \rightarrow s} \quad [\text{seq}_{\text{ns}}] \frac{\langle S_1, s \rangle \rightarrow s'' \quad \langle S_2, s'' \rangle \rightarrow s'}{\langle S_1; S_2, s \rangle \rightarrow s'}$$

$$[\text{if}_{\text{ns}}^{\text{tt}}] \frac{\langle S_1, s \rangle \rightarrow s'}{\langle \text{if } b \text{ then } S_1 \text{ else } S_2, s \rangle \rightarrow s'} \quad \text{if } \mathcal{B}[[b]] s = \text{tt}$$

$$[\text{if}_{\text{ns}}^{\text{ff}}] \frac{\langle S_2, s \rangle \rightarrow s'}{\langle \text{if } b \text{ then } S_1 \text{ else } S_2, s \rangle \rightarrow s'} \quad \text{if } \mathcal{B}[[b]] s = \text{ff}$$

$$[\text{while}_{\text{ns}}^{\text{tt}}] \frac{\langle S, s \rangle \rightarrow s' \quad \langle \text{while } b \text{ do } S, s' \rangle \rightarrow s''}{\langle \text{while } b \text{ do } S, s \rangle \rightarrow s''} \quad \text{if } \mathcal{B}[[b]] s = \text{tt}$$

$$[\text{while}_{\text{ns}}^{\text{ff}}] \frac{}{\langle \text{while } b \text{ do } S, s \rangle \rightarrow s''} \quad \text{if } \mathcal{B}[[b]] s = \text{ff}$$

**Theorem 4:** The natural semantics is deterministic.

*Proof:* Exercise ■

**Theorem 5:** The semantic function of the natural semantics  $\mathcal{S}_{\text{ns}}[\cdot] : \text{Stm} \rightarrow (\text{State} \hookrightarrow \text{State})$  given by

$$\mathcal{S}_{\text{ns}}[S] s = \begin{cases} s' & \text{if } \langle S, s \rangle \rightarrow s' \\ \text{undef} & \text{otherwise} \end{cases}$$

exists (and is well-defined).

**Theorem 6:** The natural semantics and the direct style semantics coincide, that is

$$\mathcal{S}_{\text{ds}}[[S]] = \mathcal{S}_{\text{ns}}[[S]]$$

for all statements  $S$  of the While-language.

*Proof:* **Exercise** ■

# The Natural Semantics = Big Step Semantics

- as for  $\mathcal{S}_{ds}[[\cdot]]$ , the transition rules provide us with proofs relating inputs with outputs of program execution
- a more fine-grained approach is taken by the *structural operational semantics*
- as the name states, this semantics defines the operational behavior (i.e., the transitions) in terms of the program structure
- small step transitions have the following shape:  $\langle S, s \rangle \Rightarrow \gamma$ 
  - ▶  $\gamma$  can be of the form  $\langle S', s' \rangle$
  - ▶  $\gamma$  can be of the form  $s'$  (in case of termination)

# Rules of the Structural Operational Semantics (SOS)

$$[\text{ass}_{\text{SOS}}] \frac{}{\langle x := a, s \rangle \Rightarrow s[x \mapsto \mathcal{A}[[a]] s]}$$

$$[\text{skip}_{\text{SOS}}] \frac{}{\langle \text{skip}, s \rangle \Rightarrow s}$$

$$[\text{seq}_{\text{SOS}}^1] \frac{\langle S_1, s \rangle \Rightarrow \langle S'_1, s' \rangle}{\langle S_1 ; S_2, s \rangle \Rightarrow \langle S'_1 ; S_2, s' \rangle}$$

$$[\text{seq}_{\text{SOS}}^2] \frac{\langle S_1, s \rangle \Rightarrow s'}{\langle S_1 ; S_2, s \rangle \Rightarrow \langle S_2, s' \rangle}$$

$$[\text{if}_{\text{SOS}}^{\text{tt}}] \frac{}{\langle \text{if } b \text{ then } S_1 \text{ else } S_2, s \rangle \Rightarrow \langle S_1, s \rangle} \text{ if } \mathcal{B}[[b]] s = \text{tt}$$

$$[\text{if}_{\text{SOS}}^{\text{ff}}] \frac{}{\langle \text{if } b \text{ then } S_1 \text{ else } S_2, s \rangle \Rightarrow \langle S_2, s \rangle} \text{ if } \mathcal{B}[[b]] s = \text{ff}$$

$$[\text{while}_{\text{SOS}}] \frac{}{\langle \text{while } b \text{ do } S, s \rangle \Rightarrow \langle \text{of } b \text{ then } S \text{ else skip}, s \rangle}$$

**Theorem 7:** The structural operational semantics is deterministic.

$$\mathcal{S}_{\text{sos}} \llbracket S \rrbracket s = \begin{cases} s' & \text{if } \langle S, s \rangle \Rightarrow s' \\ \text{undef} & \text{otherwise} \end{cases}$$

**Theorem 8:** For all statements  $S$ ,  $\mathcal{S}_{\text{ns}} \llbracket S \rrbracket = \mathcal{S}_{\text{sos}} \llbracket S \rrbracket$ .

**Direct Consequence:** All three semantics are equivalent.

We learned about three different yet equivalent styles of (sequential) programming language semantics:

**denotational semantics** computation = function application

**natural semantics** computation = step-by-step proofs (derivation tree)

**structural operational semantics** computation = step-by-step computation (??)

**Next:**

- the Calculus of Communicating Systems (CCS)
- which semantic style to choose for CCS?
- an old friend around the corner: bisimilarity is a congruence
- the untold story of Matthew Hennessy and Robin Milner
- justifying bisimilarity