#### Catoids as a Basis for Algebras of Programs

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I've worked on algebras of programs for some years (semirings, Kleene algebras, quantales, relation algebras, ...)

developed variants such as modal/concurrent Kleene algebras and studied their models/properties

formalised algebra/models with proof assistants and built program verification tools based on them

formalising models felt like playing variations on a theme

but which theme?

# Kleene's Quest



#### U.S. AIR FORCE PROJECT RAND

#### RESEARCH MEMORANDUM

REPRESENTATION OF EVENTS IN NERVE NETS AND FINITE AUTOMATA

S. C. Kleene

RM-704

15 December 1951

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### Kleene Algebra

regular expressions  $t ::= 0 \mid 1 \mid a \in \Sigma \mid t + t \mid tt \mid t^*$ 

languages  $X \subseteq \Sigma^*$ 

interpretation map  $L : \operatorname{Reg} Exp_{\Sigma} \to \mathcal{P}\Sigma^*$  defines regular languages

task: axiomatise congruence  $s \approx t \Leftrightarrow L(s) = L(t)$ 

find algebra KA with signature  $(+, \cdot, 0, 1, *)$ 

prove  $\mathsf{KA} \vdash s = t \Leftrightarrow L(s) = L(t)$ 

# Conway's Visions



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### Kleene Algebra Axioms

 $(K, +, \cdot, 0, 1, ^{*})$ 

$$x + (y + z) = (x + y) + z \qquad x + y = y + x \qquad x + 0 = x \qquad x + x = x$$
$$x(yz) = (xy)z \qquad x1 = x \qquad 1x = x$$
$$x(y + z) = xy + xz \qquad (x + y)z = xz + yz$$
$$x0 = 0 \qquad 0x = 0$$
$$1 + xx^{*} = x^{*} \qquad z + xy \le y \Rightarrow x^{*}z \le y$$
$$1 + x^{*}x = x^{*} \qquad z + yx \le y \Rightarrow zx^{*} \le y$$

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where  $x \leq y \Leftrightarrow x + y = y$ 

and indeed  $KA \vdash s = t \Leftrightarrow L(s) = L(t)$ 

### Language Kleene Algebras

soundness proof constructs language KA over free monoid  $\Sigma^*$ 

 $(\mathcal{P}\Sigma^*, \cup, \cdot, \emptyset, \{\varepsilon\}, *)$ 

$$AB = \{vw \mid v \in A, w \in B\}$$
  
 $A^* = \bigcup_{i \ge 0} A^i \quad \text{for } A^0 = 1, \ A^{i+1} = AA^i$ 

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or just KA  $\mathcal{P}M$  for any monoid M

regular languages are then sub-KAs generated by  $\boldsymbol{\Sigma}$ 

weighted languages  $f: \Sigma^* \to K$  form convolution KAs

$$(K^{\Sigma^*}, +, *, 0, id, *)$$

$$(f+g)(w) = f(w) + g(w)$$
  

$$0(w) = 0$$
  

$$(f*g)(w) = \sum_{w=u \cdot v} f(u) \cdot g(v)$$
  

$$id(w) = \delta_{\varepsilon}(w)$$
  

$$f^{*}(\varepsilon) = f(\varepsilon)^{*}$$
  

$$f^{*}(w) = f^{*}(\varepsilon) \cdot \sum_{\substack{w=u \cdot v \\ u \neq 1}} f(u) \cdot f^{*}(v) \text{ for } x \neq 1$$

standard languages take weights in KA  ${\bf 2}$ 

### Matrix Kleene Algebras

completeness proof formalises automata as K-valued matrices

KAs are closed under matrix formation: for  $m, n: I \times I \to K$ 

$$(m+n)_{ij} = f_{ij} + g_{ij}$$
  $(m \cdot n)_{ij} = \sum_{k} f_{ik} \cdot g_{kj}$   $0_{ij} = 0$   $id_{ij} = \delta_{ij}$ 

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the star is somewhat tricky



$$M = \begin{pmatrix} a & b \\ c & d \end{pmatrix} \qquad M^* = \begin{pmatrix} f^* & f^*bd^* \\ d^*cf^* & d^* + d^*cf^*bd^* \end{pmatrix} \quad \text{for } f = a + bd^*c$$

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partition larger matrices into submatrices with squares along diagonal

### Relation Kleene Algebras

binary relations are 2-valued matrices  $X \times X \rightarrow 2$ 

and thus KAs

 $(\mathcal{P}(X \times X), \cup, ;, \emptyset, \Delta, *)$ 

 $(RS)_{ab} \Leftrightarrow \exists c. \ R_{ac} \land S_{cb}$  $\Delta_{ab} \Leftrightarrow a = b$  $(R^*)_{ab} \Leftrightarrow \exists k \ge 0. \ (R^k)_{ab}$ 

but we can't write  $(RS)_{a,b} = \sum_{c} R_{a,c} \wedge R_{c,b}$  — sums may be infinite!

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### Quantales

quantale  $(Q, \leq, \cdot, 1)$  consists of complete lattice  $(Q, \leq)$  and monoid  $(Q, \cdot, 1)$  such that

$$x(\bigvee Y) = \bigvee \{xy \mid y \in Y\}$$
  $(\bigvee X)y = \{xy \mid x \in X\}$ 

quantales are KAs with  $x^* = \bigvee_{i \ge 0} x^i$ 

examples:  $(\mathbb{R}^{\infty}_+, \geq, \max, 0)$  (Lawvere quantale) or  $([0, 1], \leq, \cdot, 1)$ 

we can now construct quantale  $Q^{X \times X}$  of Q-valued relations and convolution quantale  $Q^M$  for any monoid M

#### Path Quantales

automata are digraphs  $s, t : E \rightarrow V$ 

paths are sequences  $\pi: v_1 \rightarrow v_n = (v_1, e_1, v_2, \dots, v_{n-1}, e_{n-1}, v_n)$ 

we compose them on matching ends:



we define  $AB = \{\pi\pi' \mid \pi \in A, \pi' \in B, t(\pi) = s(\pi')\}$  and  $id = \{(v) \mid V\}$ 

this yields path KA/quantale ... and we can add weights to edges

more generally,  $Q^{C}$  forms a category quantale for any (small) category C

### Single-Set Categories?

categories. A category is a set C of arrows with two functions  $s, t: C \rightarrow C$ , called "source" and target", and a partially defined binary operation #, called composition, all subject to the following axioms, for all x, y, and z in C:

The operation x # y is defined iff sx = ty and then

$$s(x \# y) = s y$$
,  $t(x \# y) = t x$ ; (1)

$$x \# s x = x$$
,  $t x \# x = x$ ; (2)

$$(x \# y) \# z = x \# (y \# z)$$
 if either side is defined; (3)

$$ssx = sx = tsx;$$

$$t\,t\,x = t\,x = s\,t\,x\,.\tag{4}$$

Then x is an identity iff x = sx or, equivalently, iff x = tx.

#### Shuffle Quantales

shuffle  $\Sigma^* \times \Sigma^* \to \mathcal{P}\Sigma^*$  is defined, for  $a, b \in \Sigma$  and  $v, w \in \Sigma^*$  as

 $v \| \varepsilon = \{v\} = \varepsilon \| v \qquad (av) \| (bw) = a(v \| (bw)) \cup b((av) \| w)$ 

we extend to  $\|:\mathcal{P}\Sigma^*\times\mathcal{P}\Sigma^*\to\mathcal{P}\Sigma^*$ 

$$A \| B = \bigcup \{ v \| w \mid v \in A, w \in B \}$$

we can construct shuffle KA/quantale — and convolution algebras with

$$(f||g)(w) = \sum_{w \in u||v} f(u) \cdot g(v)$$

words under || don't form category!

#### Catoids

a catoid  $(X, \odot, s, t)$  equips set X with multioperation  $\odot : X \times X \to \mathcal{P}X$ and source/target maps  $s, t : X \to X$  that satisfy

$$\bigcup \{ x \odot v \mid v \in y \odot z \} = \bigcup \{ u \odot z \mid u \in x \odot y \}$$
$$x \odot y \neq \emptyset \Rightarrow t(x) = s(y) \qquad s(x) \odot x = \{x\} \qquad x \odot t(x) = \{x\}$$

if we extend to  $\odot : \mathcal{P}X \times \mathcal{P}X \to \mathcal{P}X$ 

$$A \odot B = \bigcup_{x \in A, y \in B} x \odot y,$$

the first axiom becomes

 $x \odot (y \odot z) = (x \odot y) \odot z$ 

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a catoid morphism  $f : X \to Y$  satisfies

 $f(x \odot_X y) \subseteq f(x) \odot_Y f(y)$   $f \circ s_X = s_Y \circ f$   $f \circ t_X = t_Y \circ f$ 

it is bounded if  $f(x) \in u \odot_Y v$  implies  $x \in y \odot_X z$ , u = f(y), v = f(z) for some  $y, z \in X$ 

a catoid is functional if  $x, x' \in y \odot z \Rightarrow x = x'$ 

and local if  $t(x) = s(y) \Rightarrow x \odot y \neq \emptyset$ 

a single-set category is a local functional catoid

 $X_s = \{x \mid s(x) = x\} = X_t$  determines objects of (small) category

all structures considered so far are catoids

relations are constructed from the pair groupoid on  $X \times X$ 

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shuffle languages form the shuffle catoid with  $\parallel$  total and  $s(w) = \varepsilon = t(w)$  for all  $w \in \Sigma^*$ 

there are many other interesting examples

# Jónsson-Tarski Duality





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in boolean algebras with operators n-ary modalities in B are dual to n + 1-ary relations in X

we view  $: \mathcal{P}X \times \mathcal{P}X \to \mathcal{P}X$  as binary modality and  $\odot: X \times X \to \mathcal{P}X$  as ternary relation for powerset structures this duality is almost trivial

 $x \in y \odot z \Leftrightarrow \{x\} \subseteq \{y\} \cdot \{z\}$ 

atoms in powerset structure Q define relational structure  $Q_+$ 

relational structure X yields powerset structure  $X^+$  with

 $AB = \bigcup \{ y \odot z \mid y \in A, \ z \in B \}$ 

Jónsson/Tarski have shown that  $(Q_+)^+ \cong Q$  and  $(X^+)_+ \cong X$ 

in fact, the categories of powerset and relational structures are dually equivalent

Jónsson-Tarski duality yields modal correspondences translating identities between X and Q

more generally we can prove 2-out-of-3 correspondences in convolution algebras



$$(f * g)(x) = \bigvee_{x \in y \odot z} f(y) \cdot g(z)$$

$$\mathit{id}_{X_s}(x) = egin{cases} 1 & \mathsf{if} \ x \in X_s \ 0 & \mathsf{otherwise} \end{cases}$$

 $(\bigvee F)(x) = \bigvee \{f(x) \mid f \in F\}$ 

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0(x)=0

# **Basic Correspondences**

theorem:

- 1. if X is catoid and Q quantale, then  $Q^X$  is quantale
- 2. if  $Q^X$  is quantale and Q supported quantale, then X is catoid
- 3. if  $Q^X$  is quantale and X supported catoid, then Q is quantale

"supported" means structures have enough elements for a construction (e.g.,  $0 \neq 1$  or some composable elements)

we get KA if X is finitely decomposable:  $\{(y, z) \mid x \in y \odot z\}$  finite f.a. x

$$(f * (g * h))(x) = \bigvee_{x \in u \odot y} f(u) \cdot \left(\bigvee_{y \in v \odot w} g(v) \cdot h(w)\right)$$
$$= \bigvee_{x \in u \odot (v \odot w)} f(u) \cdot (g(v) \cdot h(w))$$
$$= \bigvee_{x \in (u \odot v) \odot w} (f(u) \cdot g(v)) \cdot h(w)$$
$$= \bigvee_{x \in y \odot w} \left(\bigvee_{y \in u \odot w} f(u) \cdot g(v)\right) \cdot h(w)$$
$$= ((f * g) * h)(x)$$

$$\begin{aligned} x \in u \odot (v \odot w) \Leftrightarrow (\delta_u * (\delta_v * \delta_w))(x) &= 1 \\ \Leftrightarrow ((\delta_u * \delta_v) * \delta_w)(x) &= 1 \\ \Leftrightarrow x \in (u \odot v) \odot w \end{aligned}$$

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#### Catoids and Modal Quantales

a domain quantale equips a quantale with  $\mathit{dom}: \mathit{Q} 
ightarrow \mathit{Q}$  satisfying

 $dom(x)x = x \qquad dom(x + y) = dom(x) + dom(y)$  $dom(0) = 0 \qquad dom(x) \le 1 \qquad dom(xdom(y)) = dom(xy)$ a codomain quantale (Q, cod) is a domain quantale (Q<sup>op</sup>, dom) a modal quantale is a domain and codomain quantale such that  $dom \circ cod = cod \qquad cod \circ dom = dom$ 

in relation quantale  $dom(R)_{aa} \Leftrightarrow \exists b. R_{ab}$  and  $cod(R)_{aa} \Leftrightarrow \exists b. R_{ba}$ 

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domain elements  $Q_{dom} = \{x \mid dom(x) = x\}$  form distributive lattice and boolean algebra if Q is boolean

we define modal operators for  $x \in Q$  and  $p \in Q_{dom}$ 

 $|x\rangle p = dom(xp) \qquad \langle x|p = cod(px)$  $|x]p = \bigvee \{q \mid |x\rangle q \le p\} \qquad [x|p = \bigvee \{q \mid \langle x|q \le p\}$ 

this yields dynamic logics/algebras, predicate transformer algebras, boolean algebras with operators

in relation quantale

 $(|R\rangle P)_{aa} \Leftrightarrow \exists b. \ R_{ab} \land P_{bb} \qquad (|R]P)_{aa} \Leftrightarrow \forall b. \ R_{ab} \Rightarrow P_{bb}$ 

# Modal Quantales and Program Correctness



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## Modal Quantales and Program Correctness

we use relations over program store to verify programs

 $x \in Q$  as programs, + as nondeterministic choice,  $\cdot$  as sequential composition,  $(-)^*$  as finite iteration

in boolean quantale, for  $x \in Q$ ,  $p \in Q_{dom}$ 

if p then x else  $y = px + \overline{p}y$  while p do  $x = (px)^*\overline{p}$ 

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|x|p calculates wlp of program x from postcondition q

program x is (partially) correct if  $p \leq |x|q$ 

# Local Catoids and Modal Quantales

theorem: we have 2-out-of-3 correspondences



$$dom(f) = \bigvee_{x \in X} dom(f(x))\delta_{s(x)}$$

$$cod(f) = \bigvee_{x \in X} cod(f(x))\delta_{t(x)}$$

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for Q = 2

1. if X is local catoid, then  $(\mathcal{P}X, \subseteq, \odot, X_s, \mathcal{P}s, \mathcal{P}t)$  is modal quantale 2. if  $\mathcal{P}X$  is modal quantale, then X is local catoid

we derive s(xs(y)) = s(xy) and  $s \circ r = r$  in X and lift to *dom*-axioms in  $\mathcal{P}X$  (other *dom*-axioms don't depend on identities in X)

$$dom(A \odot dom(B)) = \bigcup \{ s(x \odot s(y)) \mid x \in A, y \in B, t(x) = s(s(y)) \}$$
$$= \bigcup \{ s(x \odot y) \mid x \in A, y \in B, t(x) = s(y) \}$$
$$= dom(A \odot B)$$

we can recover the catoid axioms from the atom structure in  $\mathcal{P}X$ 

$$s(x \odot s(y)) = dom(\{x\} \odot dom(\{y\}))$$
$$= dom(\{x\} \odot \{y\})$$
$$= s(x \odot y)$$

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# Models of Modal Quantales

if you want to build a modal convolution quantale, look for a catoid

the lifting is then generic

locality axiom dom(xdom(y)) = dom(xy) is precisely the composition pattern of categories

absorption axiom dom(x)x = x corresponds to left unit axiom of catoids

every category gives rise to modal quantale

#### Catoids and Concurrent Quantales

word concatenation interacts with shuffle via interchange law

 $(v \| v') \cdot (w \| w') \subseteq (v \cdot w) \| (v' \cdot w')$ 

we can lift it to  $(A || A') \cdot (B || B') \subseteq (A \cdot B) || (A' || B')$ 

an interchange catoid  $(X, \odot_0, s_0, t_0, \odot_1, s_1, t_1)$  consists of two catoids that interact via  $(x \odot_1 x') \odot_0 (y \odot_1 y') \subseteq (x \odot_0 y) \odot_1 (x' \odot_0 y')$ 

an interchange quantale  $(Q, \leq, \cdot_0, 1_0, \cdot_1, 1_1)$  consists of two quantales that interact via  $(x \cdot_1 x') \cdot_0 (y \cdot_0 y') \leq (x \cdot_0 y) \cdot_1 (x' \cdot_0 y')$ 





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it suffices to consider correspondences for interchange

# Interleaving Concurrency

correspondences yield (weighted) shuffle languages with interchange laws

is commutative, there's a general 2-out-of-3 for commutativity

the shuffle catoid has one single unit arepsilon

in interchange catoids/quantales with one single unit there's a collapse à la Eckmann-Hilton, small interchange laws are derivable

 $x \cdot_0 y \leq x \cdot_1 y \qquad x \cdot_0 (y \cdot_1 z) \leq (x \cdot_0 y) \cdot_1 z \qquad (x \cdot_1 y) \cdot_0 z \leq x \cdot_1 (y \cdot_0 z)$ 

and commutative variants in catoid/quantale

# Non-Interleaving Concurrency

pomsets are a standard model of non-interleaving concurrency



they are composed using serial/parallel composition



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operations  $\cdot$  and  $\parallel$  share the empty pomset  $\varepsilon$  as their unit



pomset Q subsumes pomset P,  $P \leq Q$ , if there exists pomset morphism  $Q \rightarrow P$  that is bijective on points

 $\leq$  is partial order on pomsets

we get interchange catoid  $(\text{Pom}(\Sigma), \cdot, \Downarrow, \varepsilon)$  with  $x \Downarrow y = \{z \mid z \preceq x || y\}$ 

it lifts to a powerset interchange quantale, the downclosed languages form subquantale

this generalises to convolution quantales (under technical restrictions)

# Models of Conurrent Quantales



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construction of interchange/concurrent quantales motivated this approach

correspondences for interchange catoids/quantales simplified discussions about potential models
### Single-Set *n*-Categories

Similarly a 2-category can be considered to be a single set X considered as the set of 2-cells (e.g., of natural transformations). Then the previous 1-cells (the arrows) and the 0-cells (the objects) are just regarded as special "degenerate" 2-cells. On the set X of 2-cells there are then two category structures, the "horizontal" structure  $(\#_0, s_0, t_0)$  and the "vertical" structure  $(\#_1, s_1, t_1)$ . Each satisfies the axioms above for a category structure and in addition

- (i) Every identity for the 0-structure is an identity for the 1-structure;
- (ii) The two category structures commute with each other.

Here, the condition (ii) means, of course, that

 $s_0 s_1 = s_1 s_0$ ,  $s_0 t_1 = t_1 s_0$ ,  $t_0 s_1 = s_1 t_0$ ,  $t_0 t_1 = t_1 t_0$  (7)

and that, for  $\alpha, \beta = 0, 1$  or 1, 0, and for all x, y, u, and v

$$(x \#_{\alpha} y) \#_{\beta} (u \#_{\alpha} v) \#_{\alpha} (y \#_{\beta} v) , \qquad (8)$$
$$t_{\alpha} (x \#_{\beta} y) = (t_{\alpha} x) \#_{\beta} (t_{\alpha} y) ,$$
$$s_{\alpha} (x \#_{\beta} y) = (s_{\alpha} x) \#_{\beta} (s_{\alpha} y) ,$$

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whenever both sides are defined.

Since  $s_0x$  and  $t_0x$  are identities for the 0-structure, they are also identities for the 1-structure by condition (i) above. Hence,

 $s_1 s_0 = s_0$ ,  $t_1 s_0 = s_0$ ,  $s_1 t_0 = t_0$ ,  $t_1 t_0 = t_0$ . (9)

With this preparation, we can now readily define a 3-category or more generally an *n*-category for any natural number *n*. The latter is a set X with *n* different category structures  $(\#_i, s_i, t_i)$ , for i = 0, ..., n - 1, which commute with each other and are such that an identity for structure *i* is also an identity for structures *j* whenever j > i. Put differently, each pair  $\#_i$  and  $\#_j$  for j > i constitute a 2-category. This readily leads to a definition of the useful notion of an  $\omega$ -category: i = 0, 1, 2, ...

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#### *n*-Catoids

a (globular) *n*-catoid  $(X, \odot_i, s_i, t_i)_{0 \le i < n}$  consists of *n*-catoids  $(X, \odot_i, s_i, t_i)$  that interact, for all  $0 \le i < j < n$ , via

$$s_{i} \circ s_{j} = s_{j} \circ s_{i} \qquad s_{i} \circ t_{j} = t_{j} \circ s_{i} \qquad t_{i} \circ s_{j} = s_{j} \circ t_{i} \qquad t_{i} \circ t_{j} = t_{j} \circ t_{i} (w \odot_{j} x) \odot_{i} (y \odot_{j} z) \subseteq (w \odot_{i} y) \odot_{j} (x \odot_{i} z) s_{j}(x \odot_{i} y) = s_{j}(x) \odot_{i} s_{j}(y) \qquad t_{j}(x \odot_{i} y) = t_{j}(x) \odot_{i} t_{j}(y) s_{i}(x \odot_{j} y) \subseteq s_{i}(x) \odot_{j} s_{i}(y) \qquad t_{i}(x \odot_{j} y) \subseteq t_{i}(x) \odot_{j} t_{i}(y) s_{j} \circ s_{i} = s_{i} \qquad s_{j} \circ t_{i} = t_{i} \qquad t_{j} \circ s_{i} = s_{i} \qquad t_{j} \circ t_{i} = t_{i}$$

a single-set *n*-category is a local functional *n*-catoid



 $s_1(x \odot_0 y) = s_1(x) \odot_0 s_1(y)$  and  $t_1(x \odot_0 y) = t_1(x) \odot_0 t_1(y)$ 



 $s_0(x \odot_1 y) \subseteq s_0(x) \odot_1 s_0(y)$  and  $t_0(x \odot_1 y) \subseteq t_0(x) \odot_1 t_0(y)$ 



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#### $(w \odot_1 x) \odot_0 (y \odot_1 z) \subseteq (w \odot_0 y) \odot_1 (x \odot_0 z)$





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# Reduced *n*-Catoid Axioms

the following axioms are irredundant and subsume the previous ones

 $(w \odot_j x) \odot_i (y \odot_j z) \subseteq (w \odot_i y) \odot_j (x \odot_i z)$  $s_j(x \odot_i y) = s_j(x) \odot_i s_j(y) \qquad t_j(x \odot_i y) = t_j(x) \odot_i t_j(y)$ 

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this streamlines correspondence proofs

#### *n*-Quantales

a (globular) n-quantale  $(Q, \leq, \cdot_i, 1_i, dom_i, cod_i)_{0 \leq i < n}$  consists of n modal quantales  $(Q, \leq, \cdot_i, 1_i, dom_i, cod_i)$  that interact, for all  $0 \leq i < j < n$ , via

 $(w \cdot_j x) \cdot_i (y \cdot_j z) \le (w \cdot_i y) \cdot_j (x \cdot_i z)$   $dom_j(x \cdot_i y) = dom_j(x) \cdot_i dom_j(y) \qquad cod_j(x \cdot_i y) = cod_j(x) \cdot_i cod_j(y)$   $dom_i(x \cdot_j y) \le dom_i(x) \cdot_j dom_i(y) \qquad cod_i(x \cdot_j y) \le cod_i(x) \cdot_j cod_i(y)$  $dom_j(dom_i(x)) = dom_i(x)$ 

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# *n*-Catoids and *n*-Quantales



relative to previous correspondences it remains to check the globular ones

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# Higher Rewriting

(modal) Kleene algebras allow proving facts from abstract rewriting (Church-Rosser theorem, Newman's lemma, ...)

*n*-Kleene algebras allow proving analogous fact from higher rewriting (using free (n, p)-categories constructed using polygraphs/computads)

our correspondences justify the axioms of *n*-Kleene algebra firmly in terms of (free) *n*-categories

we can justify those of (n, p)-Kleene algebras by integrating (single-set) groupoids

Jónnson-Tarski knew about correspondence between groupoids and relation algebras

single-set approach makes approach easily accessible to proof assistants and even  $\mathsf{SMT}\text{-}\mathsf{solvers}$ 

# Conclusion

catoids simplify the construction of models for algebras of programs

they often tell where axioms in algebras of programs come from

they provide a particular way of dealing with partiality (in algebra or category theory)

they might allow formaling higher categories using automated theorem provers/SMT solvers  $\ldots$  but this is speculation

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