

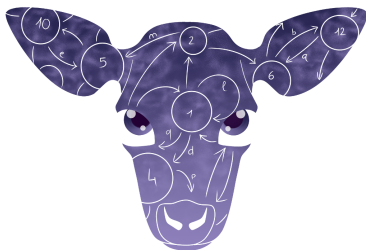
# CALF: Categorical Automata Learning Framework

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# Active automata learning

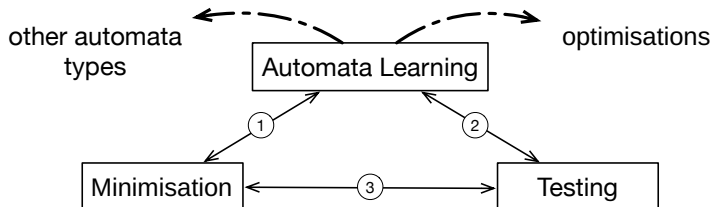
- ▶ Active automata learning algorithms learn an automaton describing the behaviour of a system by providing inputs and observing outputs
- ▶ Enables verification methods that work on an automaton
- ▶ Allows comparison of different implementations of e.g. a network protocol

Capturing systems more precisely requires more complex types of automata and more complicated learning algorithms

**Idea:** understanding the main concepts on an abstract level helps developing and reasoning about new algorithms

## Our Categorical Automata Learning Framework

- ▶ Gives an abstract view on the ingredients and constructions of learning algorithms, leading to new adaptations
- ▶ Covers also minimisation and equivalence testing
- ▶ Allows transferring optimisations among these areas



## Active learning of DFAs: the basic setting

- ▶ Finite alphabet set  $A$
- ▶ Target regular language  $\mathcal{L}: A^* \rightarrow 2 = \{0, 1\}$
- ▶ Oracle that can tell whether a given word is in  $\mathcal{L}$  (*membership queries*)

Aim is to learn a DFA accepting  $\mathcal{L}$ , in particular the minimal one

A simple data structure used to conjecture a DFA is the *observation table*

## Observation table

Given  $S, E \subseteq A^*$ , define

$$\text{row}_t: S \rightarrow 2^E$$

$$\text{row}_t(s)(e) = \mathcal{L}(se)$$

$$\text{row}_b: S \cdot A \rightarrow 2^E$$

$$\text{row}_b(sa)(e) = \mathcal{L}(sae)$$

		$E$		
		$\varepsilon$	$a$	$aa$
$S$	$\varepsilon$	0	0	1
	$a$	0	1	0
$S \cdot A$	$b$	0	0	0

$S$  and  $E$  evolve throughout runs of learning algorithms

# Hypothesis

Given an observation table defined by  $S, E \subseteq A^*$ , the *hypothesis* DFA is given by

$$H = \{\text{row}_t(s) \mid s \in S\} \subseteq 2^E$$

$$\text{init} \in H$$

$$\text{init} = \text{row}_t(\varepsilon)$$

$$\delta: H \times A \rightarrow H$$

$$\delta(\text{row}_t(s), a) = \text{row}_b(sa)$$

$$\text{out}: H \rightarrow 2$$

$$\text{out}(\text{row}_t(s)) = \text{row}_t(s)(\varepsilon)$$

provided that  $\varepsilon \in S \cap E$  and two properties hold

## Closedness and consistency

- ▶ **Closedness** states that each transition leads to a state of the hypothesis. The table is closed if for all  $t \in S \cdot A$  there is  $s \in S$  such that  $\text{row}_t(s) = \text{row}_b(t)$
- ▶ **Consistency** states that there is no ambiguity in determining transitions. The table is consistent if for all  $s_1, s_2 \in S$  with

$$\text{row}_t(s_1) = \text{row}_t(s_2)$$

we have, for any  $a \in A$ ,

$$\text{row}_b(s_1 a) = \text{row}_b(s_2 a)$$

## Closedness

The table is closed if for all  $t \in S \cdot A$  there is  $s \in S$  such that  $\text{row}_t(s) = \text{row}_b(t)$

	$\varepsilon$
$\varepsilon$	<b>1</b>
<b>a</b>	<b>0</b>

If no such  $s$  exists, add the word  $t$  to  $S$

	$\varepsilon$
$\varepsilon$	<b>1</b>
<b>a</b>	<b>0</b>
<b>aa</b>	<b>1</b>



## Consistency

The table is consistent if for all  $s_1, s_2 \in S$  with  $\text{row}_t(s_1) = \text{row}_t(s_2)$  we have, for any  $a \in A$ ,  $\text{row}_b(s_1 a) = \text{row}_b(s_2 a)$

	$\varepsilon$
$\varepsilon$	1
$a$	1
$aa$	0

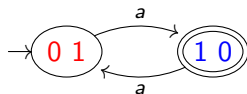
If  $\text{row}_b(s_1 a)(e) \neq \text{row}_b(s_2 a)(e)$ , add  $ae$  to  $E$  to distinguish  $\text{row}_t(s_1)$  and  $\text{row}_t(s_2)$

	$\varepsilon$	$a\varepsilon$
$\varepsilon$	1	1
$a$	1	0
$aa$	0	0

# Hypothesis construction

- ▶ State space: distinct top rows (image of  $\text{row}_t$ )
- ▶ Initial state:  $\varepsilon$  row
- ▶ Output: taken from  $\varepsilon$  column
- ▶ Transitions: appending symbols to row labels

	$\varepsilon$	$a$
$\varepsilon$	0	1
$a$	1	0
$aa$	0	1



## ID algorithm

Assume a given set  $S \subseteq A^*$  such that for every state of the minimal DFA accepting  $\mathcal{L}$  there is a word in  $S$  reaching that state

Closedness will automatically hold

1. Initialise  $E = \{\varepsilon\}$
2. Enforce consistency
3. Construct the hypothesis

The hypothesis will be isomorphic to the minimal DFA

## $L^*$ algorithm

Assume an oracle that can tell whether a hypothesis accepts the right language, and if not provides a counterexample word (*equivalence queries*)

1. Enforce closedness and consistency
2. Construct the hypothesis
3. Ask the oracle if the hypothesis is correct
4. If not, add all prefixes of the counterexample to  $S$  and restart

The hypothesis will be correct after finitely many iterations, and it will be isomorphic to the minimal DFA

## DA of words

Given the language  $\mathcal{L}: A^* \rightarrow 2$ , we have a DA accepting  $\mathcal{L}$ :

- ▶ State space:  $A^*$
- ▶ Initial state:  $\varepsilon \in A^*$
- ▶ Output:  $\mathcal{L}: A^* \rightarrow 2$
- ▶ Transitions:

$$c: A^* \times A \rightarrow A^*$$

$$c(u, a) = ua$$

## Reachability map

If  $Q$  is a DA accepting  $\mathcal{L}$ , there is a unique DA homomorphism  $r: A^* \rightarrow Q$  given by

$$r(\varepsilon) = \text{init}_Q \qquad r(ua) = \delta_Q(r(u), a)$$

called the *reachability map*, which assigns to each word the state it reaches in  $Q$

$Q$  is *reachable* if  $r$  is surjective: every state is reached by a word

# DA of languages

Given the language  $\mathcal{L}: A^* \rightarrow 2$ , we have a DA accepting  $\mathcal{L}$ :

- ▶ State space:  $2^{A^*}$
- ▶ Initial state:  $\mathcal{L} \in 2^{A^*}$
- ▶ Output:

$$\varepsilon?: 2^{A^*} \rightarrow 2$$

$$\varepsilon?(l) = l(\varepsilon)$$

- ▶ Transitions:

$$\partial: 2^{A^*} \times A \rightarrow 2^{A^*}$$

$$\partial(l, a)(v) = l(av)$$

e.g.  $\partial(\{a, ba, abb\}, a) = \{\varepsilon, bb\}$

## Observability map

If  $Q$  is a DA accepting  $\mathcal{L}$ , there is a unique DA homomorphism  $o: Q \rightarrow 2^{A^*}$  given by

$$o(q)(\varepsilon) = \text{out}_Q(q) \qquad o(q)(av) = o(\delta_Q(q, a))(v)$$

called the *observability map*, which assigns to each state the language it accepts

The DA  $Q$  is *observable* if  $o$  is injective: different states accept different languages

A DA is *minimal* if it is both reachable and observable



## Total response

The language  $\mathcal{L}: A^* \rightarrow 2$  induces DAs  $A^*$  and  $2^{A^*}$  accepting  $\mathcal{L}$

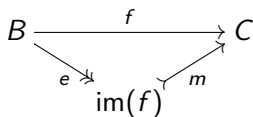
The reachability map of  $2^{A^*}$  coincides with the observability map of  $A^*$  in the DA homomorphism called the *total response of  $\mathcal{L}$* :

$$t_{\mathcal{L}}: A^* \rightarrow 2^{A^*} \qquad t_{\mathcal{L}}(u)(v) = \mathcal{L}(uv)$$

If  $Q$  is any DA accepting  $\mathcal{L}$ , then  $t_{\mathcal{L}} = A^* \xrightarrow{r} Q \xrightarrow{o} 2^{A^*}$

# Function factorisation

Every function can be written as a surjection followed by an injection:



$$e(b) = f(b)$$

$$m(c) = c$$

# Factorisation uniqueness

In a commutative square of functions as on the left,

$$\begin{array}{ccc} U & \xrightarrow{i} & V \\ g \downarrow & & \downarrow h \\ W & \xrightarrow{j} & X \end{array}$$

$$\begin{array}{ccc} U & \xrightarrow{i} & V \\ g \downarrow & \begin{array}{c} d \\ \swarrow \end{array} & \downarrow h \\ W & \xrightarrow{j} & X \end{array}$$

where  $i$  is surjective and  $j$  injective, there is a unique diagonal  $d$  making the triangles commute:  $d(i(u)) = g(u)$

## DA homomorphism factorisation

In an image factorisation

$$\begin{array}{ccc} B & \xrightarrow{f} & C \\ & \searrow e & \nearrow m \\ & \text{im}(f) & \end{array}$$

if  $f$  is a DA homomorphism, then so are  $e$  and  $m$ , given this DA structure on  $\text{im}(f)$ :

- ▶ Initial state: initial state of  $C$
- ▶ Output: output of  $C$
- ▶ Transitions: the unique diagonal

$$\begin{array}{ccccc} B \times A & \xrightarrow{e \times \text{id}_A} & \text{im}(f) \times A & \xrightarrow{m \times \text{id}_A} & C \times A \\ \delta_B \downarrow & & \delta_{\text{im}(f)} \downarrow & & \downarrow \delta_C \\ B & \xrightarrow{e} & \text{im}(f) & \xrightarrow{m} & C \end{array}$$

# Minimal DA

The minimal DA accepting  $\mathcal{L}: A^* \rightarrow 2$  can be obtained in theory by factorising the total response  $t_{\mathcal{L}}$ :

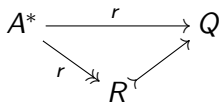
$$\begin{array}{ccc} A^* & \xrightarrow{t_{\mathcal{L}}} & 2^{A^*} \\ & \searrow e & \nearrow m \\ & M & \end{array}$$

Since  $e$  and  $m$  are DA homomorphisms, we must have  $e = r_M$  and  $m = o_M$  by the uniqueness properties

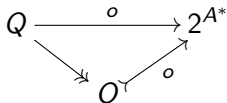
$$\begin{array}{ccc} A^* & \xrightarrow{t_{\mathcal{L}}} & 2^{A^*} \\ & \searrow r & \nearrow o \\ & M & \end{array}$$

# Minimisation

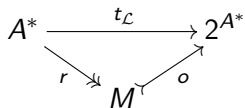
Similarly, the reachable part of a DA  $Q$  is obtained by factorising its reachability map:



Equivalent states are merged by factorising the observability map:



# The hypothesis approximates the minimal DA



Concretely, the minimal DA is given by

$$M = \{t_{\mathcal{L}}(u) \mid u \in A^*\}$$

$$\text{init} \in M$$

$$\text{init} = t_{\mathcal{L}}(\varepsilon)$$

$$\delta: M \times A \rightarrow M$$

$$\delta(t_{\mathcal{L}}(u), a) = t_{\mathcal{L}}(ua)$$

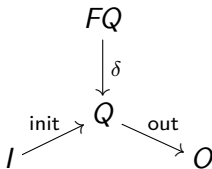
$$\text{out}: M \rightarrow 2$$

$$\text{out}(t_{\mathcal{L}}(u)) = t_{\mathcal{L}}(u)(\varepsilon)$$

This is equivalent to the hypothesis for  $S = E = A^*$

# Abstract automaton

Given a category  $\mathbf{C}$ , objects  $I$  and  $O$  in  $\mathbf{C}$ , and a functor  $F: \mathbf{C} \rightarrow \mathbf{C}$ , an *automaton* is an object  $Q$  in  $\mathbf{C}$  with three morphisms:

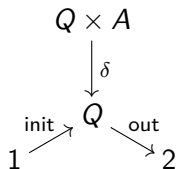
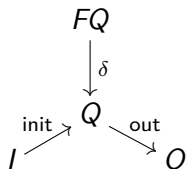




# DAs as automata

For DAs:

- ▶ A singleton  $1$  serves as the initial state selector
- ▶ The set  $2 = \{0, 1\}$  captures rejection ( $0$ ) and acceptance ( $1$ )
- ▶ The functor  $(-)\times A$  provides the transition domain



## Reachability and observability maps

Assume an initial object  $\textcircled{0}$  among automata without output and a final object  $\Omega$  among automata without initial state:

$$\begin{array}{ccccc} F\textcircled{0} & \xrightarrow{Fr} & FQ & \xrightarrow{Fo} & F\Omega \\ \downarrow & & \downarrow \delta & & \downarrow \\ \textcircled{0} & \xrightarrow{r} & Q & \xrightarrow{o} & \Omega \\ \uparrow & \nearrow \text{init} & & \searrow \text{out} & \downarrow \\ I & & & & O \end{array}$$

Languages can be defined as morphisms  $I \rightarrow \Omega$  or  $\textcircled{0} \rightarrow O$ , which correspond bijectively to each other through the total response

The total response may be defined as the reachability map of  $\Omega$  or as the observability map of  $\textcircled{0}$

# Factorisation system

We assume two classes of  $\mathbf{C}$ -morphisms:

- ▶ “surjective” morphisms  $\mathcal{E}$  and
- ▶ “injective” morphisms  $\mathcal{M}$

such that

- ▶ every  $\mathbf{C}$ -morphism  $f: A \rightarrow B$  can be factored as  $f = m \circ e$ , with  $e \in \mathcal{E}$  and  $m \in \mathcal{M}$ ;
- ▶  $\mathcal{E}$  and  $\mathcal{M}$  are closed under composition and contain all isos;
- ▶ everything in  $\mathcal{E}$  is an epi, and everything in  $\mathcal{M}$  is a mono; and
- ▶ we have the unique diagonal property that does not fit on this slide but is the same as before

Lifts to the category of automata if  $F$  preserves  $\mathcal{E}$



## Approximating an object

A *wrapper* for an object  $T$  is a pair of morphisms

$$w = (S \xrightarrow{\sigma} T, T \xrightarrow{\pi} P)$$

- ▶  $T$  is called the *target* of  $w$
- ▶  $\sigma$  selects from  $T$
- ▶  $\pi$  classifies  $T$

The (unstructured) *hypothesis*  $H$  is the image of  $\xi = \pi \circ \sigma$ :

$$\begin{array}{ccccc} S & \xrightarrow{\sigma} & T & \xrightarrow{\pi} & P \\ & \searrow e & & \nearrow m & \\ & & H & & \end{array}$$

## Observation table wrapper

For  $S, E \subseteq A^*$ , we have a wrapper for the minimal DA  $M$  for  $\mathcal{L}$ :

$$(S \xrightarrow{\alpha} A^* \xrightarrow{r} M, M \xrightarrow{o} 2^{A^*} \xrightarrow{\omega} 2^E),$$

where

- ▶  $\alpha$  is the inclusion and
- ▶  $\omega$  restricts to  $E$

Recall  $o \circ r = t_{\mathcal{L}}$  and note that

$$\xi = \omega \circ t_{\mathcal{L}} \circ \alpha = \text{row}_t$$

The image of  $\text{row}_t$  is precisely the state space of the hypothesis in learning

# Approximating algebraic structure

Consider a wrapper

$$w = (S \xrightarrow{\sigma} T, T \xrightarrow{\pi} P)$$

Given a functor  $F$  and an  $F$ -algebra  $f: FT \rightarrow T$ , we have the approximation

$$\xi_f = FS \xrightarrow{F\sigma} FT \begin{array}{c} \downarrow f \\ T \end{array} \xrightarrow{\pi} P$$

# Approximating the minimal DFA transition function

For the observation table wrapper

$$(S \xrightarrow{\alpha} A^* \xrightarrow{r} M, M \xrightarrow{o} 2^{A^*} \xrightarrow{\omega} 2^E)$$

and transition function  $\delta: M \times A \rightarrow M$ , we have  $\xi_\delta = \text{row}_b$  (up to  $S \times A \cong S \cdot A$ ):

$$\begin{array}{ccccccc} S \times A & \xrightarrow{\alpha \times \text{id}_A} & A^* \times A & \xrightarrow{r \times \text{id}_A} & M \times A & & \\ & & \downarrow c & & \downarrow \delta & & \\ & & A^* & \xrightarrow{r} & M & \xrightarrow{o} & 2^{A^*} \xrightarrow{\omega} 2^E \\ & & \underbrace{\hspace{10em}}_{t_{\mathcal{L}}} & & & & \end{array}$$

$$\text{row}_b(sa)(e) = \mathcal{L}(sae)$$



## Closedness and consistency

A wrapper  $(S \xrightarrow{\sigma} T, T \xrightarrow{\pi} P)$  is  $f$ -closed, for  $f: FT \rightarrow T$ , if a morphism  $\text{close}$  exists making the left triangle commute

$$\begin{array}{ccc} FS & \xrightarrow{Fe} & FH \\ \text{close} \downarrow \text{dotted} & \searrow \xi_f & \downarrow \text{dotted} \text{cons} \\ H & \xrightarrow{m} & P \end{array}$$

$$\begin{array}{ccc} S \times A & \xrightarrow{e \times \text{id}} & H \times A \\ \text{close} \downarrow \text{dotted} & \searrow \xi_\delta & \downarrow \text{dotted} \text{cons} \\ H & \xrightarrow{m} & 2^E \end{array}$$

It is  $f$ -consistent if a morphism  $\text{cons}$  exists making the right triangle commute

For the observation table wrapper,  $\delta$ -closedness and  $\delta$ -consistency are the classical notions of closedness and consistency

## Structured hypothesis

If  $(S \xrightarrow{\sigma} T, T \xrightarrow{\pi} P)$  is  $f$ -closed and  $f$ -consistent, for  $f: FT \rightarrow T$ , we have an algebra

$$\begin{array}{ccc}
 FS & \xrightarrow{Fe} \twoheadrightarrow & FH \\
 \text{close} \downarrow & \theta \swarrow & \downarrow \text{cons} \\
 H & \xrightarrow{m} & P
 \end{array}$$

$$\begin{array}{ccc}
 S \times A & \xrightarrow{e \times \text{id}_A} \twoheadrightarrow & H \times A \\
 \text{close} \downarrow & \theta \swarrow & \downarrow \text{cons} \\
 H & \xrightarrow{m} & 2^E
 \end{array}$$

For an observation table wrapper and  $f = \delta_M$ ,  $\theta = \delta_H$

(We only consider  $F$  that preserve “surjective” morphisms)

## Initial state

The initial state of  $M$  can be seen as an algebra

$$\text{init}: 1 \rightarrow M$$

for  $1 = \{*\}$  an arbitrary singleton

This gives a closedness property init-closedness (init-consistency is trivial) stating that there must be  $s \in S$  s.t.  $\xi(s) = \xi_{\text{init}}(*)$ , where

$$\xi_{\text{init}}: 1 \rightarrow 2^E \qquad \xi_{\text{init}}(*) = \mathcal{L}(\varepsilon)$$

is the row of the empty word

Thus, this property is weaker than requiring  $\varepsilon \in S$

# Output

The set of accepting states can be seen as a coalgebra

$$\text{out}: M \rightarrow 2$$

for  $2 = \{0, 1\}$

This gives a consistency property (technically coclosedness) stating that for all  $s_1, s_2 \in S$  s.t.  $\xi(s_1) = \xi(s_2)$  we must have  $\xi_{\text{out}}(s_1) = \xi_{\text{out}}(s_2)$ , where

$$\xi_{\text{out}}: S \rightarrow 2 \qquad \xi_{\text{init}}(s) = \mathcal{L}(s)$$

is the column of the empty word

Again, this property is weaker than requiring  $\varepsilon \in E$

## Simple correctness conditions

Consider a wrapper  $(S \xrightarrow{\sigma} T, T \xrightarrow{\pi} P)$

If  $\sigma$  is surjective, we have a diagonal

$$\begin{array}{ccc} S & \xrightarrow{\sigma} & T \\ e \downarrow & \phi \swarrow & \downarrow \pi \\ H & \xrightarrow{m} & P \end{array}$$

If  $\pi$  is injective, we have a diagonal

$$\begin{array}{ccc} S & \xrightarrow{e} & H \\ \sigma \downarrow & \psi \swarrow & \downarrow m \\ T & \xrightarrow{\pi} & P \end{array}$$

If both of these hold, then  $\phi$  and  $\psi$  are inverse to each other

# Results

Consider a wrapper  $(S \xrightarrow{\sigma} T, T \xrightarrow{\pi} P)$

If  $\sigma$  is surjective, we have a diagonal

$$\begin{array}{ccc} S & \xrightarrow{\sigma} & T \\ e \downarrow & \phi \nearrow & \downarrow \pi \\ H & \xrightarrow{m} & P \end{array}$$

- ▶ For any  $f: FT \rightarrow T$ , the wrapper is  $f$ -closed
- ▶ If the wrapper is  $f$ -consistent,  $\phi$  is an  $F$ -algebra homomorphism

# Results

Consider a wrapper  $(S \xrightarrow{\sigma} T, T \xrightarrow{\pi} P)$

If  $\pi$  is injective, we have a diagonal

$$\begin{array}{ccc} S & \xrightarrow{e} \twoheadrightarrow & H \\ \sigma \downarrow & \psi \swarrow \text{dotted} & \downarrow m \\ T & \xrightarrow{\pi} & P \end{array}$$

- ▶ For any  $f: FT \rightarrow T$ , the wrapper is  $f$ -consistent
- ▶ If the wrapper is  $f$ -closed,  $\psi$  is an  $F$ -algebra homomorphism

# Results

Consider a wrapper  $(S \xrightarrow{\sigma} T, T \xrightarrow{\pi} P)$

If  $\sigma$  is surjective and  $\pi$  injective, we have diagonals

$$\begin{array}{ccc} S & \xrightarrow{\sigma} & T \\ e \downarrow & \phi \swarrow & \downarrow \pi \\ H & \xrightarrow{m} & P \end{array}$$

$$\begin{array}{ccc} S & \xrightarrow{e} & H \\ \sigma \downarrow & \psi \swarrow & \downarrow m \\ T & \xrightarrow{\pi} & P \end{array}$$

- ▶  $\phi$  and  $\psi$  are inverse to each other
- ▶ For any  $f: FT \rightarrow T$ , the wrapper is  $f$ -closed and  $f$ -consistent
- ▶  $\phi$  and  $\psi$  are  $F$ -algebra homomorphisms (and thus isos)



# Simple correctness conditions for observation tables

For an observation table wrapper

$$(S \xrightarrow{\alpha} A^* \xrightarrow{r} M, M \xrightarrow{o} 2^{A^*} \xrightarrow{\omega} 2^E),$$

- ▶  $r \circ \alpha$  is surjective if and only if for each state of  $M$  there is a word in  $S$  reaching that state
- ▶  $\omega \circ o$  is injective if and only if for each pair of distinct states of  $M$  there is a word in  $E$  on which they behave differently

## Less simple correctness conditions (1)

Let  $(S \xrightarrow{\sigma} Q, Q \xrightarrow{\pi} P)$  be a wrapper for an automaton  $Q$

If

- ▶  $\sigma$  is surjective;
- ▶  $Q$  is observable;
- ▶ the wrapper is out-consistent; and
- ▶ the wrapper is  $\delta$ -consistent

then  $H$  is an automaton isomorphic to  $Q$

## Less simple correctness conditions (2)

Let  $(S \xrightarrow{\sigma} Q, Q \xrightarrow{\pi} P)$  be a wrapper for an automaton  $Q$

If

- ▶  $\pi$  is injective;
- ▶  $Q$  is reachable;
- ▶ the wrapper is init-closed; and
- ▶ the wrapper is  $\delta$ -closed

then  $H$  is an automaton isomorphic to  $Q$

## ID correctness

If

- ▶  $\sigma$  is surjective;
- ▶  $Q$  is observable;
- ▶ the wrapper is out-consistent; and
- ▶ the wrapper is  $\delta$ -consistent

then  $H$  is an automaton isomorphic to  $Q$

- ▶ ID assumes a set  $S$  such that  $\sigma = S \xrightarrow{\alpha} A^* \xrightarrow{r} M$  is surjective
- ▶  $Q = M$  is observable by definition
- ▶ out-consistency holds because  $\varepsilon \in E$
- ▶  $\delta$ -consistency is what the algorithm enforces

## $L^*$ correctness

If

- ▶  $\sigma$  is surjective;
- ▶  $Q$  is observable;
- ▶ the wrapper is out-consistent; and
- ▶ the wrapper is  $\delta$ -consistent

then  $H$  is an automaton isomorphic to  $Q$

- ▶ Adding all prefixes of a counterexample to  $S$  increases the image of  $\sigma = S \xrightarrow{\alpha} A^* \xrightarrow{r} M$
- ▶  $Q = M$  is observable by definition
- ▶ out-consistency holds because  $\varepsilon \in E$
- ▶  $\delta$ -consistency is enforced before constructing the hypothesis

## Reachability analysis

To find the reachable part  $R$  of a known DFA  $Q$ , we can use a wrapper of inclusions

$$(S \rightarrow R, R \rightarrow Q),$$

where  $S \subseteq R$

- ▶ init-closedness:  $\text{init}_R \in S$
- ▶  $\delta$ -closedness: for each  $s \in S$  and  $a \in A$ ,  $\delta_R(s, a) \in S$

Since  $\text{init}_R = \text{init}_Q$  and  $\delta_R(s, a) = \delta_Q(s, a)$ , this leads to the usual algorithm:

- ▶ initialise  $S = \{\text{init}_Q\}$
- ▶ while  $\delta_Q(s, a) \notin S$ , add it

# Reachability analysis correctness

$$(S \xrightarrow{\sigma} R, R \xrightarrow{\pi} Q)$$

If

- ▶  $\pi$  is injective;
- ▶  $R$  is reachable;
- ▶ the wrapper is init-closed; and
- ▶ the wrapper is  $\delta$ -closed

then  $H$  is an automaton isomorphic to  $R$

## State merging

To merge equivalent states of a DFA  $Q$ , we could use a wrapper

$$(Q \xrightarrow{\sigma} O, O \xrightarrow{o} 2^{A^*} \xrightarrow{\omega} 2^E)$$

where  $O$  is the automaton of languages accepted by  $Q$  and  $\sigma$  classifies states according to their language

out-consistency says that states of  $Q$  equivalent under  $\xi$  must have the same output (accept/reject)

$\delta$ -consistency says that equivalent states of  $Q$  must have equivalent successors for each  $a \in A$

These can be satisfied as in learning



## State merging correctness

$$(Q \xrightarrow{\sigma} O, O \xrightarrow{o} 2^{A^*} \xrightarrow{\omega} 2^E)$$

If

- ▶  $\sigma$  is surjective;
- ▶  $O$  is observable;
- ▶ the wrapper is out-consistent; and
- ▶ the wrapper is  $\delta$ -consistent

then  $H$  is an automaton isomorphic to  $O$

## General equivalence testing theorem

For  $U$  and  $V$  DFAs and  $S, E \subseteq A^*$  we have wrappers

$$w_U = (\sigma_U, \pi_U) = (S \xrightarrow{\alpha} A^* \xrightarrow{r} U, U \xrightarrow{o} 2^{A^*} \xrightarrow{\omega} 2^E)$$

$$w_V = (\sigma_V, \pi_V) = (S \xrightarrow{\alpha} A^* \xrightarrow{r} V, V \xrightarrow{o} 2^{A^*} \xrightarrow{\omega} 2^E)$$

Suppose

- ▶  $\sigma_U$  is surjective;
- ▶  $\pi_U$  is injective; and
- ▶ either  $\sigma_V$  is surjective and  $V$  observable or  $\pi_V$  is injective and  $V$  reachable

Then  $U \cong V$  if and only if all of the below hold

$$\xi^{w_U} = \xi^{w_V} \quad \xi_{\delta}^{w_U} = \xi_{\delta}^{w_V} \quad \xi_{\text{init}}^{w_U} = \xi_{\text{init}}^{w_V} \quad \xi_{\text{out}}^{w_U} = \xi_{\text{out}}^{w_V}$$

## W-method

Let  $U$  be a known minimal DFA and  $V$  an unknown one

Using minimization-like algorithms inspired by learning, we can find

- ▶  $S \subseteq A^*$  such that  $S \xrightarrow{\sigma_U} U$  is surjective and
- ▶  $E \subseteq A^*$  such that  $U \xrightarrow{\pi_U} 2^E$  is injective

These are the first two conditions for the theorem

They also ensure that the hypothesis of  $w_U$  is isomorphic to  $U$

## W-method

Assume that at this point the equalities hold:

$$\xi^{WU} = \xi^{WV} \quad \xi_{\delta}^{WU} = \xi_{\delta}^{WV} \quad \xi_{\text{init}}^{WU} = \xi_{\text{init}}^{WV} \quad \xi_{\text{out}}^{WU} = \xi_{\text{out}}^{WV}$$

Then the two hypotheses coincide and are isomorphic to  $U$

Assume a given upper bound  $n$  on  $|V|$

Updating  $S$  to  $S \cdot A^{\leq(n-|U|)}$  ensures that (assuming  $\varepsilon \in S$ )

- ▶  $\sigma_V$  is surjective (and we know that  $V$  is observable)

which triggers the theorem:  $U \cong V$  if and only if

$$\xi^{WU} = \xi^{WV} \quad \xi_{\delta}^{WU} = \xi_{\delta}^{WV} \quad \xi_{\text{init}}^{WU} = \xi_{\text{init}}^{WV} \quad \xi_{\text{out}}^{WU} = \xi_{\text{out}}^{WV}$$

## W-method

Determining the equalities

$$\xi^{w_U} = \xi^{w_V} \quad \xi_{\delta}^{w_U} = \xi_{\delta}^{w_V} \quad \xi_{\text{init}}^{w_U} = \xi_{\text{init}}^{w_V} \quad \xi_{\text{out}}^{w_U} = \xi_{\text{out}}^{w_V}$$

consists in testing whether  $U$  and  $V$  agree on a set of words:

$$\xi^{w_U}(s)(e) = \mathcal{L}_U(se) \quad \xi_{\delta}^{w_U}(s)(a)(e) = \mathcal{L}_U(sae)$$

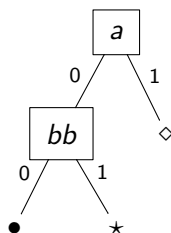
etc., and analogously for  $V$

## Optimising learning

We distinguish rows by adding a word to  $E$ , but this requires a query for every row in the table

More efficient is to handle the classification using a *classification tree*

## Classification tree



- ▶ Internal nodes represent experiments, the result of which determines the next subtree
- ▶ Classification is into the set  $L$  of labels making up the leaves
- ▶ A tree  $\tau$  classifies languages,  $2^{A^*} \xrightarrow{\omega_\tau} L$ , and states of an automaton using the composition  $Q \xrightarrow{o} 2^{A^*} \xrightarrow{\omega_\tau} L$

## Sifting

Given the target language  $\mathcal{L}$ , a tree also classifies words: given a word  $u$  we move on a node  $v$  to the subtree of  $\mathcal{L}(uv)$

This is called *sifting*

The closedness and consistency that follow from our general definitions are conveniently described using this classification:

- ▶ Closedness states that all words in  $S \cdot A$  must sift into a leaf into which a word from  $S$  sifts
- ▶ Consistency states that for  $s_1, s_2 \in S$  sifting into the same leaf,  $s_1a$  and  $s_2a$  for each  $a \in A$  must also sift into the same leaf



# Optimised algorithms

- ▶  $L^*$ : Kearns and Vazirani's algorithm
- ▶ State merging: splitting tree algorithm
- ▶ Conformance testing: HSI-method

## Other instances

- ▶ Nondeterministic automata (more generally JSL automata)
- ▶ Weighted automata over a field
- ▶ Nominal automata
- ▶ Automata with a state space that is an algebra for a monad preserving finite sets (naive general algorithm: CONCUR submission)

## Future work: more instances

- ▶ Register automata
- ▶ Tree automata
- ▶ Büchi-style automata
- ▶ Alternating automata
- ▶ (Subclasses of) probabilistic automata

## More future work

- ▶ Optimised algorithms for automata with structure
- ▶ Implementation of the CONCUR algorithm
- ▶ Describing iterative algorithms abstractly
- ▶ Finding other (possibly even non-automaton?) applications of the general wrapper theory

## Reading material

- ▶ Master thesis: *An Abstract Automata Learning Framework*  
Gerco van Heerdt
- ▶ CSL submission: *CALF: Categorical Automata Learning Framework*  
Gerco van Heerdt, Matteo Sammartino, Alexandra Silva
- ▶ CONCUR submission: *Learning Automata with Side-Effects*  
Gerco van Heerdt, Matteo Sammartino, Alexandra Silva

These and others can be found on our website:

<http://calf-project.org>