A Logical Viewpoint on Process-Algebraic Quotients

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Abstract

Let $\sim$ be a process equivalence. A formula φ is preserved by $\sim$-quotients iff for every process s of a transition system $\mathcal{T}$ we have that if s satisfies φ, then also $[s]$ satisfies φ, where $[s]$ is the equivalence class of s in the quotient of $\mathcal{T}$ under $\sim$. We classify all formulae of Hennessy-Milner logic which are preserved by $\sim$-quotients of image-finite processes. Our result is generic in the sense that it works for a large class of process equivalences which admit a modal characterization in Hennessy-Milner logic satisfying certain closure properties. A practical applicability of the result is demonstrated on equivalences of the linear/branching time spectrum of [14].

1 Introduction

Transition systems are a popular formalism for modeling the behaviour of computational processes. Fix a countably infinite set $Act = \{a, b, c, \dots\}$ of *atomic actions*:

Definition 1 A *transition system* is a triple $\mathcal{T} = (S, \mathcal{A}, \rightarrow)$ where S is a set of *states* (or *processes*), $\mathcal{A} \subset Act$ a finite set of actions, and $\rightarrow \subseteq S \times \mathcal{A} \times S$ is a *transition relation*. We denote $(s, a, t) \in \rightarrow$ by $s \stackrel{a}{\rightarrow} t$ and we extend this notation to elements of $\mathcal{A}^*$ in the standard way. A state t is *reachable* from a state s iff $s \stackrel{w}{\rightarrow} t$ for some $w \in \mathcal{A}^*$.

One of the main problems in the area of automatic verification is the fact that the transition systems of even relatively small processes may be very large or infinite. A natural idea how to decrease computational costs is to replace a given 'large' process s by some 'smaller' process t so that the original questions about s can be answered by examining the properties of t. Given a process equivalence $\sim$, (i.e., an equivalence

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relation over the class of all processes), two basic approaches are to take t as a $\sim$-representation or as the $\sim$-quotient of s:

Definition 2 Let $\sim$ be a process equivalence, and let s be a process of a transition system $\mathcal{T} = (S, \mathcal{A}, \rightarrow)$.

- A process t is a *$\sim$-representation* of s iff $s \sim t$.
- The *$\sim$-quotient* of a process s is the process $[s]$ of $\mathcal{T}/\!\sim = (S/\!\sim, \mathcal{A}, \mapsto)$ where $S/\!\sim$ is the set of all $\sim$-classes of S (the class containing s is denoted by $[s]$) and $[s] \stackrel{a}{\mapsto} [t]$ iff there are $s' \in [s]$ and $t' \in [t]$ such that $s' \stackrel{a}{\rightarrow} t'$.

For all process equivalences of the linear/branching time spectrum of [14], the $\sim$-quotient of s is a $\sim$-representation of s (i.e., $s \sim [s]$ for every process s), as has been shown in [11], and this is why choosing the $\sim$-quotient as the smaller process makes sense[1].

The general question addressed in this paper is which properties are preserved or reflected by $\sim$-representations or $\sim$-quotients:

Definition 3 Let P be a property of processes and let $\sim$ be a process equivalence. We say that P is

- *preserved* by $\sim$-representations (or $\sim$-quotients) iff whenever t is a $\sim$-representation (or the $\sim$-quotient) of s and s satisfies P, then t satisfies P;
- *reflected* by $\sim$-representations (or $\sim$-quotients) iff whenever t is a $\sim$-representation (or the $\sim$-quotient) of s and t satisfies P, then s satisfies P.

Remark 4 Notice that P is preserved by $\sim$-representations (or $\sim$-quotients) iff $\neg P$ is reflected by $\sim$-representations (or $\sim$-quotients).

We answer this question for properties expressible in Hennessy-Milner logic [13], one of the most fundamental process logics:

Definition 5 Formulae of *Hennessy-Milner logic* (HM) have the following syntax (where a ranges over Act):

$$\varphi \quad ::= \quad \mathtt{tt} \mid \varphi \wedge \varphi \mid \neg\varphi \mid \langle a \rangle \varphi$$

The *denotation* $[\![\varphi]\!]$ of a formula φ on a transition system $\mathcal{T} = (S, \mathcal{A}, \rightarrow)$ is defined as follows:

$$\begin{aligned} [\![\mathtt{tt}]\!] &= S \\ [\![\varphi \wedge \psi]\!] &= [\![\varphi]\!] \cap [\![\psi]\!] \\ [\![\neg\varphi]\!] &= S - [\![\varphi]\!] \\ [\![\langle a \rangle \varphi]\!] &= \{s \in S \mid \exists t \in S : s \stackrel{a}{\rightarrow} t \wedge t \in [\![\varphi]\!]\} \end{aligned}$$

We say that s satisfies φ, denoted $s \models \varphi$, if $s \in [\![\varphi]\!]$. Other boolean connectives are introduced in a standard way; we also define $\mathtt{ff} \equiv \neg\mathtt{tt}$ and $[a]\varphi \equiv \neg\langle a \rangle \neg\varphi$. We say that a formula φ *distinguishes* between processes s and t iff either $s \models \varphi$ and $t \not\models \varphi$, or $s \not\models \varphi$ and $t \models \varphi$.

[1] However, this is not the case for all equivalences. A byproduct of this paper is a generic sufficient condition for the $\sim$-quotient to be a $\sim$-representation (see Lemma 15).

Our main results (Theorem 1 and Theorem 2) characterize all HM formulae which are preserved/reflected by $\sim$-representations and $\sim$-quotients. The theorems are only valid for image-finite processes and for process equivalences that admit a modal characterization satisfying certain 'good' properties:

Definition 6 A transition system $\mathcal{T} = (S, \mathcal{A}, \rightarrow)$ is *image-finite* iff for all $s \in S$, $a \in \mathcal{A}$ the set $\{t \mid s \stackrel{a}{\rightarrow} t\}$ is finite.

Definition 7 Let $\sim$ be a process equivalence. A modal characterization of $\sim$ is a set $\mathcal{H}$ of HM formulae such that for all image-finite processes s and t we have that $s \sim t$ iff s and t satisfy exactly the same subset of $\mathcal{H}$.

Fortunately, these two restrictions are very mild. First, nearly all process formalisms studied in the literature (most process algebras, Petri nets, pushdown automata, etc.) only define processes of image-finite transition systems. Moreover, we show in Section 3 that all process equivalences of [14], with the only exception of completed trace equivalence, admit a modal characterization satisfying the good properties required by our results.

The paper is organized as follows. In Section 2.1, as a warm-up, we determine the sets of HM formulae preserved/reflected by $\sim$-representations. In Section 2.2, the core of the paper, we determine the sets of formulae which are preserved/reflected by $\sim$-quotients. The obtained results are applied to the equivalences of the liner/branching time spectrum of [14] in Section 3. Finally, Section 4 contains conclusions and comments on related and future work.

2 The classification

In this section we give a complete classification of HM properties which are preserved/reflected by $\sim$-representations and $\sim$-quotients, where $\sim$ is a process equivalence satisfying some (abstractly formulated) conditions. As mentioned in Section 1, we restrict ourselves to processes of image-finite transition systems and to those equivalences which have a modal characterization (see Definition 6 and 7).

Remark 8 To prevent a possible confusion about the syntactical and semantical membership into a set of HM formulae, let us explicitly note that by '$\varphi \in \mathcal{H}$' we always mean the *syntactical* membership of φ into $\mathcal{H}$. In particular, φ and $\neg\neg\varphi$ are syntactically different (though semantically equivalent) formulae, and hence it can be that, e.g., $\varphi \in \mathcal{H}$ while $\neg\neg\varphi \notin \mathcal{H}$. This is important, e.g., in Definition 17 which would not make a good sense if we interpreted '$\varphi \in \mathcal{H}$' semantically.

We start by introducing some notions which will be frequently used in the subsequent sections.

Let φ be a HM formula. The (finite) set of all actions which are used in φ is denoted by $\mathcal{A}(\varphi)$, and the nesting depth of $\langle a \rangle$ operators in φ is denoted $depth(\varphi)$. (Note that $depth(\varphi)$ can be defined inductively by $depth(\mathtt{tt}) = 0$, $depth(\varphi \wedge \psi) = \max\{depth(\varphi), depth(\psi)\}$, $depth(\neg\varphi) = depth(\varphi)$, and $depth(\langle a \rangle \varphi) = 1 + depth(\varphi)$.)

Definition 9 Let $\mathcal{A} \subset Act$ be a finite set of actions. A *Tree* over $\mathcal{A}$ is any directed tree with root r whose edges are labeled by elements of $\mathcal{A}$ satisfying the following condition: if p, q are a-successors of a node s, where $a \in \mathcal{A}$, then the subtrees rooted by p, q are not isomorphic.

Tree-processes are associated with roots of Trees (we do not distinguish between Trees and Tree-processes in the rest of this paper). Note that for every $k \in \mathbf{N}_0$ and every finite $\mathcal{A} \subset Act$ there are only finitely many Trees over $\mathcal{A}$ whose depth is at most k (up to isomorphism). We denote this finite set of representatives by $Tree(\mathcal{A})_k$. Finally, for every node t of a Tree T, the subTree of T rooted by t is denoted $T(t)$.

It is a standard result that for every process s there is a Tree T (possibly of infinite depth) such that s and T satisfy exactly the same HM formulae (cf. [13]). One can also easily prove the following:

Lemma 10 HM formulae φ, ψ are equivalent iff they agree on every element of $Tree(\mathcal{A})_k$ where $\mathcal{A} = \mathcal{A}(\varphi) \cup \mathcal{A}(\psi)$ and $k = \max\{depth(\varphi), depth(\psi)\}$.

Sometimes we also use the following notation (where $\mathcal{A} \subset Act$ is finite):

- $\mathcal{H}_\mathcal{A} := \{\varphi \in \mathcal{H} \mid \mathcal{A}(\varphi) \subseteq \mathcal{A}\}$,
- $\mathcal{H}^k_\mathcal{A} := \{\varphi \in \mathcal{H}_\mathcal{A} \mid depth(\varphi) \leq k\}$.

Although the set $\mathcal{H}^k_\mathcal{A}$ can be infinite in general, it is semantically finite. That is, for every $\mathcal{H}^k_\mathcal{A}$ we can choose a finite set $\mathcal{S}^k_\mathcal{A} \subseteq \mathcal{H}^k_\mathcal{A}$ such that every $\varphi \in \mathcal{H}^k_\mathcal{A}$ is equivalent to some $\varphi' \in \mathcal{S}^k_\mathcal{A}$. Finally, if $\mathcal{M}$ is (some) set of HM formulae and s is a process, we define

- $\mathcal{M}(s) := \{\varphi \in \mathcal{M} \mid s \models \varphi\}$.

In particular,

- $\mathcal{H}(s) := \{\varphi \in \mathcal{H} \mid s \models \varphi\}$,
- $\mathcal{H}_\mathcal{A}(s) := \{\varphi \in \mathcal{H}_\mathcal{A} \mid s \models \varphi\}$,
- $\mathcal{S}^k_\mathcal{A}(s) := \{\varphi \in \mathcal{S}^k_\mathcal{A} \mid s \models \varphi\}$.

Since we do not distinguish between Trees and Tree-processes, the '$\mathcal{M}(s)$' notation is applicable also to Trees. For example, $\mathcal{H}(T(t))$ denotes the set of all HM formulae φ such that the subTree of T rooted by t satisfies φ.

2.1 HM properties preserved by $\sim$-representations

If $\mathcal{H}$ is a modal characterization of a process equivalence $\sim$, then every formula φ which is (equivalent to) a boolean combination of formulae from $\mathcal{H}$ is obviously preserved by $\sim$-representations. For this observation we do not need any additional assumptions about $\mathcal{H}$ or $\sim$. Now we would like to prove a kind of 'completeness' result saying no other HM properties are preserved by all $\sim$-representations. However, this does *not* hold in general, as it is demonstrated in the following counterexample:

Example 11 For every process s we define the set

$$Ready(s) = \{a \in Act \mid s \xrightarrow{a} t \text{ for some } t\}.$$

Now let $a \in Act$ be an (arbitrary but fixed) action, and let us define the equivalence $\sim_a$ as follows: $s \sim_a t$ iff $a \in Ready(s) \cap Ready(t)$, or $Ready(s) = Ready(t)$. The equivalence $\sim_a$ has a modal characterization

$$\mathcal{H}_a = \{\langle a\rangle \mathtt{tt} \vee \langle b\rangle \mathtt{tt} \mid b \in Act, a \neq b\}$$

Now observe that the formula $\langle a\rangle \mathtt{tt}$ is preserved by $\sim_a$-representations, but it is not equivalent to any boolean combination of formulae from $\mathcal{H}_a$.

If $\mathcal{H}$ is a modal characterization of $\sim$ and s, t are non-equivalent processes over $\mathcal{A}$, one intuitively expects that s and t are distinguished by some $\varphi \in \mathcal{H}$ such that $\mathcal{A}(\varphi) \subseteq \mathcal{A}$. Example 11 shows that it is not necessarily the case—the only formulae of $\mathcal{H}_a$ which distinguish between (non-equivalent) processes s and t with transitions $s \xrightarrow{a} s'$, $s \xrightarrow{b} s''$, $t \xrightarrow{b} t'$ are the formulae of the form $\langle a\rangle \mathtt{tt} \vee \langle c\rangle \mathtt{tt}$ where $c \neq b$. In general, if processes p and q over $\mathcal{A}$ are distinguished by some formula $\varphi \in \mathcal{H}$, then they are also distinguished by the formula φ' which is obtained from φ by substituting every (occurrence of a) subformula $\langle x\rangle\psi$, where $x \notin \mathcal{A}$, with $\mathtt{ff}$. Note that $\mathcal{A}(\varphi') \subseteq \mathcal{A}$. The problem is that φ' does not have to appear in $\mathcal{H}$ in general (as we have seen in Example 11). This motivates the following definition:

Definition 12 A modal characterization $\mathcal{H}$ of a process equivalence $\sim$ is *well-formed* iff whenever $\varphi \in \mathcal{H}$ and $\langle a\rangle\psi$ is an occurrence of a subformula in φ, then also $\varphi' \in \mathcal{H}$ where φ' is obtained from φ by substituting the occurrence of $\langle a\rangle\psi$ with $\mathtt{ff}$.

As we shall see in Section 3, all 'real' process equivalences which have a modal characterization also have a well-formed modal characterization.

For process equivalences with well-formed modal characterizations we can already establish the aforementioned completeness result. We start with an auxiliary lemma.

Lemma 13 Let $\sim$ be a process equivalence with a well-formed modal characterization $\mathcal{H}$. Let $\mathcal{A}$ be a finite subset of Act, and let $k \in \mathbf{N}_0$. For all $T, T' \in Tree(\mathcal{A})_k$ we have that $T \sim T'$ iff T and T' satisfy exactly the same formulae of $\mathcal{S}^k_{\mathcal{A}}$.

Proof The '$\Rightarrow$' direction is obvious. Now if suffices to realize that if T and T' are distinguished by some $\varphi \in \mathcal{H}$, then they are also distinguished by the formula $\varphi' \in \mathcal{H}^k_{\mathcal{A}}$ which is obtained from φ by substituting every occurrence of a subformula $\langle a\rangle\psi$, which is within the scope of k other $\langle b\rangle$-modalities or where $a \notin \mathcal{A}$, with $\mathtt{ff}$. The formulae φ and φ' agree on all Trees of $Tree(\mathcal{A})_k$, because the occurrences of subformulae in φ which have been substituted by $\mathtt{ff}$ during the construction of φ' are evaluated to false anyway. Since $\varphi' \in \mathcal{H}^k_{\mathcal{A}}$, it is equivalent to some formula of $\mathcal{S}^k_{\mathcal{A}}$ and we are done. □

Theorem 1 Let $\sim$ be a process equivalence and let $\mathcal{H}$ be a well-formed modal characterization of $\sim$. A formula φ of HM logic is preserved by $\sim$-representations iff φ is equivalent to a boolean combination of formulae from $\mathcal{H}$.

Proof For the '$\Longleftarrow$' direction, we show that if φ_1, φ_2 are preserved by $\sim$-representations, then $\varphi_1 \wedge \varphi_2$ and $\neg\varphi_1$ are also preserved. The $\varphi_1 \wedge \varphi_2$ subcase follows immediately. Now suppose that $\neg\varphi_1$ is *not* preserved, i.e., there are processes s, t such that $s \sim t$, $s \models \neg\varphi_1$, and $t \not\models \neg\varphi_1$. This means that $t \models \varphi_1$ and since s can be seen as a $\sim$-representation of t, we obtain that φ_1 is not preserved, which is a contradiction.

Now we prove the '$\Longrightarrow$' direction. Let φ be a formula preserved by $\sim$-representations, $k = \mathit{depth}(\varphi)$, and $\mathcal{A} = \mathcal{A}(\varphi)$. For every $T \in \mathit{Tree}(\mathcal{A})_k$ we construct the formula

$$\psi_T \quad \equiv \quad \bigwedge\{\varrho \mid \varrho \in \mathcal{S}^k_{\mathcal{A}}(T)\} \quad \wedge \quad \bigwedge\{\neg\varrho \mid \varrho \in \mathcal{S}^k_{\mathcal{A}} \setminus \mathcal{S}^k_{\mathcal{A}}(T)\}$$

Now let

$$\psi \quad \equiv \quad \bigvee\{\psi_T \mid T \in \mathit{Tree}(\mathcal{A})_k, T \models \varphi\}$$

We prove that φ and ψ are equivalent. To do that, it suffices to show that φ and ψ agree on every $T_1 \in \mathit{Tree}(\mathcal{A})_k$ (see Lemma 10).

- Let $T_1 \in \mathit{Tree}(\mathcal{A})_k$ such that $T_1 \models \varphi$. As $T_1 \models \psi_{T_1}$, we also have $T_1 \models \psi$.
- Let $T_1 \in \mathit{Tree}(\mathcal{A})_k$ such that $T_1 \models \psi$. Then there is $T_2 \in \mathit{Tree}(\mathcal{A})_k$ such that $T_2 \models \varphi$ and $T_1 \models \psi_{T_2}$. As $T_1 \models \psi_{T_2}$, the Trees T_1, T_2 satisfy exactly the same formulae of $\mathcal{S}^k_{\mathcal{A}}$. Hence, $T_1 \sim T_2$ due to Lemma 13. As φ is preserved by $\sim$-representations, T_1 is a $\sim$-representation of T_2, and $T_2 \models \varphi$, we also have $T_1 \models \varphi$. □

Theorem 1 gives a complete classification of those HM properties which are preserved and reflected (see Remark 4) by $\sim$-representations for a process equivalence $\sim$ which has a well-formed modal characterization $\mathcal{H}$.

2.2 HM properties preserved by $\sim$-quotients

Now we establish analogous results for $\sim$-quotients. As we shall see, this problem is more complicated.

The first difficulty was indicated already in Section 1—it does not have much sense to consider $\sim$-quotients if we are not guaranteed that $s \sim [s]$ for every process s. Unfortunately, there *are* process equivalences (even with a well-formed modal characterization) which do not satisfy this basic requirement.

Example 14 Let $\sim_2$ be defined as follows: $s \sim_2 t$ iff for each $w \in \mathit{Act}^*$ such that $\mathit{length}(w) = 2$ we have that $s \stackrel{w}{\rightarrow} s'$ for some s' iff $t \stackrel{w}{\rightarrow} t'$ for some t'. The equivalence $\sim_2$ has a well-formed modal characterization

$$\begin{array}{rcl} \mathcal{H} & = & \{\langle a\rangle\langle b\rangle \mathtt{tt} \mid a, b \in \mathit{Act}\} \\ & \cup & \{\langle a\rangle \mathtt{ff} \mid a \in \mathit{Act}\} \cup \{\mathtt{ff}\} \end{array}$$

(The $\{\langle a\rangle\mathtt{ff} \mid a \in \mathit{Act}\} \cup \{\mathtt{ff}\}$ subset was added to $\mathcal{H}$ just to make it well-formed—see Definition 12). Now let s be a process where $s \stackrel{a}{\rightarrow} t, s \stackrel{b}{\rightarrow} u, u \stackrel{c}{\rightarrow} v$, and t, u, v do not have any other transitions. Then $t \sim_2 u \sim_2 v$, hence $[s] \stackrel{ac}{\rightarrow} [v]$, and therefore $s \not\sim_2 [s]$.

However, there is a simple (and reasonable) condition which guarantees that a given $\sim$ is preserved under $\sim$-quotients. The next lemma can be seen as an instance of a well-known result of modal logic, stating that a model and its quotient through a filtration agree on every formula of the filtration [2]. We include a proof for the sake of completeness.

Lemma 15 Let $\sim$ be a process equivalence having a modal characterization $\mathcal{H}$ which is closed under subformulae (i.e., whenever $\varphi \in \mathcal{H}$ and ψ is a subformula of φ, then $\psi \in \mathcal{H}$). Then $s \sim [s]$ for every process s.

Proof Let $\mathcal{H}$ be a modal characterization of $\sim$ closed under subformulae. We prove that for every $\varphi \in \mathcal{H}$ and every process s we have $s \models \varphi \iff [s] \models \varphi$ (i.e., $s \sim [s]$). By induction on the structure of φ.

- $\varphi \equiv \mathtt{tt}$. Immediate.
- $\varphi \equiv \neg\psi$. Then $\psi \in \mathcal{H}$ and $s \models \psi \iff [s] \models \psi$ by induction hypotheses. Hence also $s \models \neg\psi \iff [s] \models \neg\psi$ as required.
- $\varphi \equiv \psi \wedge \xi$. Then $\psi, \xi \in \mathcal{H}$. If $\psi \wedge \xi$ distinguishes between s and $[s]$, then ψ or ξ distinguishes between the two processes as well; we obtain a contradiction with induction hypotheses.
- $\varphi \equiv \langle a \rangle \psi$.
  - ($\Rightarrow$) Let $s \models \langle a \rangle \psi$. Then there is some t such that $s \stackrel{a}{\rightarrow} t$ and $t \models \psi$. Therefore, $[s] \stackrel{a}{\mapsto} [t]$ and as $\psi \in \mathcal{H}$, we can use induction hypothesis to conclude $[t] \models \psi$. Hence, $[s] \models \langle a \rangle \psi$.
  - ($\Leftarrow$) Let $[s] \models \langle a \rangle \psi$. Then $[s] \stackrel{a}{\mapsto} [t]$ for some $[t]$ such that $[t] \models \varphi$. By Definition 2, there are s', t' such that $s \sim s'$, $t \sim t'$, and $s' \stackrel{a}{\rightarrow} t'$. As $[t] = [t']$, we have $[t'] \models \psi$ and hence $t' \models \psi$ by induction hypothesis. Therefore, $s' \models \langle a \rangle \psi$. As $s \sim s'$ and $\langle a \rangle \psi \in \mathcal{H}$, we also have $s \models \langle a \rangle \psi$ as needed. □

Observe that the modal characterization of Example 14 is not closed under suformulae.

According to our intuition presented in Section 1, $\sim$-quotients should be more robust than $\sim$-representations, i.e., they should preserve more properties. The following definition gives a 'syntactical template' which allows to construct such properties.

Definition 16 Let $\mathcal{M}$ be a set of HM formulae. The set of *diamond* formulae over $\mathcal{M}$, denoted $\mathcal{D}(\mathcal{M})$, is defined by the following abstract syntax equation:

$$\varphi \quad ::= \quad \vartheta \mid \varphi \wedge \varphi \mid \varphi \vee \varphi \mid \langle a \rangle \varphi$$

Here a ranges over Act, and ϑ ranges over boolean combinations of formulae from $\mathcal{M}$. The set $\mathcal{B}(\mathcal{M})$ of *box* formulae over $\mathcal{M}$ is defined in the same way, but we use the $[a]$ modality instead of $\langle a \rangle$.

Definition 17 A modal characterization $\mathcal{H}$ of a process equivalence $\sim$ is *good* if it satisfies the following conditions:

- $\mathtt{tt} \in \mathcal{H}$;
- if $\varphi \in \mathcal{H}$, then also $\langle a \rangle \varphi \in \mathcal{H}$ for all $a \in Act$;
- if $\varphi \in \mathcal{H}$ and $\langle a \rangle \psi$ is an occurrence of a subformula in φ, then also $\varphi', \varphi'' \in \mathcal{H}$ where φ' and φ'' are obtained from φ by substituting the given occurrence of $\langle a \rangle \psi$ by $\mathtt{tt}$ and $\mathtt{ff}$, respectively;
- if $\varphi \in \mathcal{H}$ and ψ is a subformula of φ, then $\psi \in \mathcal{H}$. Moreover, if ψ is within the scope of a negation in φ, then also $\neg\psi \in \mathcal{H}$;
- if $\neg\psi_1, \cdots, \neg\psi_n \in \mathcal{H}$, then also $\neg\psi_1 \wedge \cdots \wedge \neg\psi_n \in \mathcal{H}$.

Note that a good modal characterization is also well-formed and closed under subformulae.

Before presenting our main result (Theorem 2), we formulate and prove two auxiliary lemmas.

Lemma 18 Let $\sim$ be a process equivalence with a good modal characterization $\mathcal{H}$. Let s, t be processes such that for every $a \in Act$ we have $\bigcup_{s \stackrel{a}{\to} s'} \mathcal{H}(s') = \bigcup_{t \stackrel{a}{\to} t'} \mathcal{H}(t')$. Then $s \sim t$.

Proof We show that for every $\varphi \in \mathcal{H}$ we have $s \models \varphi$ iff $t \models \varphi$. By induction on the structure of φ.

- $\varphi \equiv \mathtt{tt}$. Immediate.
- $\varphi \equiv \psi \wedge \xi$ or $\varphi \equiv \neg\psi$. Then $\psi, \xi \in \mathcal{H}$ and the result follows immediatelly from induction hypothesis.
- $\varphi \equiv \langle a \rangle \psi$. Suppose, e.g., $s \models \langle a \rangle \psi$ and $t \not\models \langle a \rangle \psi$. Then $\psi \in \mathcal{H}$, $\psi \in \bigcup_{s \stackrel{a}{\to} s'} \mathcal{H}(s')$, and $\psi \notin \bigcup_{t \stackrel{a}{\to} t'} \mathcal{H}(t')$, which is a contradiction. □

Lemma 19 Let $\sim$ be a process equivalence with a good modal characterization $\mathcal{H}$. If there are processes s, t and $a \in Act$ such that

- $s \sim t$, and
- there is $s \stackrel{a}{\to} s'$ such that for every $t \stackrel{a}{\to} t'$ we have that $s' \not\sim t'$,

then there are processes p, q such that $\mathcal{H}(p) \subset \mathcal{H}(q)$.

Proof Let $\{t_1, \cdots, t_n\}$ be the set of all a-successors of t. Due to Lemma 18 we have that $\mathcal{H}(s') \subseteq \bigcup_{1 \le i \le n} \mathcal{H}(t_i)$. Now there are two possibilities:

- $\mathcal{H}(s') = \bigcup_{1 \le i \le n} \mathcal{H}(t_i)$. Since $s' \not\sim t_i$ for every $1 \le i \le n$, we have that $\mathcal{H}(t_i) \subset \mathcal{H}(s')$ for every $1 \le i \le n$ and we are done.
- $\mathcal{H}(s') \subset \bigcup_{1 \le i \le n} \mathcal{H}(t_i)$. First we show that there is some t_j such that

$$\text{whenever } \neg\psi \in \mathcal{H}(s'), \text{ then } \neg\psi \in \mathcal{H}(t_j). \tag{1}$$

  Suppose it is not the case, i.e., for each $1 \le i \le n$ there is a formula $\neg\psi_i \in \mathcal{H}(s')$ such that $\neg\psi_i \notin \mathcal{H}(t_i)$. Then $\bigwedge_{1 \le i \le n} \neg\psi_i$ is a formula of $\mathcal{H}$ (see Definition 17)

which belongs to $\mathcal{H}(s')$ but not to $\bigcup_{1\leq i\leq n}\mathcal{H}(t_i)$, and we have a contradiction. So, there must be such a t_j. If $\mathcal{H}(t_j)\subseteq\mathcal{H}(s')$, then also $\mathcal{H}(t_j)\subset\mathcal{H}(s')$ because $\mathcal{H}(t_j)\neq\mathcal{H}(s')$ and we are done. Otherwise, there is $\varrho\in\mathcal{H}(t_j)$ such that $\varrho\notin\mathcal{H}(s')$. Now let p,q be processes with transitions $p\stackrel{a}{\rightarrow}s'$, $q\stackrel{a}{\rightarrow}s'$, and $q\stackrel{a}{\rightarrow}t_j$, where $a\in Act$ is some action. We show that $\mathcal{H}(p)\subset\mathcal{H}(q)$. Clearly $\langle a\rangle\varrho$ is a formula of $\mathcal{H}$ which distinguishes between p and q, hence $\mathcal{H}(p)\neq\mathcal{H}(q)$. It remains to prove that $\mathcal{H}(p)\subseteq\mathcal{H}(q)$. Let $\varphi\in\mathcal{H}$. First, realize that φ can be viewed as a boolean combination of formulae of the form $\langle x\rangle\psi$. Now it suffices to show that for each (occurrence of) such a subformula $\langle x\rangle\psi$ we have that

(a) if $\langle x\rangle\psi$ does not appear within the scope of any negation in φ, then $\langle x\rangle\psi\in\mathcal{H}(p)$ implies $\langle x\rangle\psi\in\mathcal{H}(q)$;

(b) if $\langle x\rangle\psi$ appears within the scope of a negation in φ, then $\langle x\rangle\psi\in\mathcal{H}(p)$ iff $\langle x\rangle\psi\in\mathcal{H}(q)$.

If both (a) and (b) hold, then clearly $\varphi\in\mathcal{H}(p)$ implies $\varphi\in\mathcal{H}(q)$ as needed. A proof of (a) is easy—if $\langle x\rangle\psi\in\mathcal{H}(p)$, then $x=a$ and $\psi\in\mathcal{H}(s')$, hence also $\langle x\rangle\psi\in\mathcal{H}(q)$. The "$\Rightarrow$" direction of (b) is shown in the same way. It remains to demonstrate the "$\Leftarrow$" direction of (b). First, realize that since $\langle x\rangle\psi$ appears within the scope of a negation in φ, we have that $\neg\psi\in\mathcal{H}$ (see Definition 17). Now let us suppose that $\langle x\rangle\psi\in\mathcal{H}(q)$. This means that $x=a$, and $\psi\in\mathcal{H}(s')$ or $\psi\in\mathcal{H}(t_j)$. If $\psi\in\mathcal{H}(s')$, we are done immediatelly; and if $\psi\in\mathcal{H}(t_j)$, we can conclude that $\psi\in\mathcal{H}(s')$ because otherwise $\neg\psi$ would be a formula of $\mathcal{H}(s')$ witnessing that t_j does not have the property (1). □

Theorem 2 Let $\sim$ be a process equivalence having a good modal characterization $\mathcal{H}$. A HM formula φ is preserved by $\sim$-quotients iff φ is equivalent to some formula of $\mathcal{D}(\mathcal{H})$.

Proof ($\Leftarrow$) Let $\varphi\in\mathcal{D}(\mathcal{H})$. By induction on the structure of φ:

- $\varphi\equiv\vartheta$. It suffices to realize that ϑ is preserved by $\sim$-representations (Theorem 1) and every $\sim$-quotient is also a $\sim$-representation (Lemma 15).
- $\varphi\equiv\varphi_1\wedge\varphi_2$ or $\varphi\equiv\varphi_1\vee\varphi_2$, where φ_1,φ_2 are preserved. Immediate.
- $\varphi\equiv\langle a\rangle\varphi_1$ where φ_1 is preserved. Let s be an arbitrary process such that $s\models\langle a\rangle\varphi_1$. Then there is $s\stackrel{a}{\rightarrow}s'$ such that $s'\models\varphi_1$. By definition of $\sim$-quotient we have $[s]\stackrel{a}{\mapsto}[s']$. Moreover, $[s']\models\varphi_1$ as φ_1 is preserved. Hence, $[s]\models\langle a\rangle\varphi_1$ as needed.

($\Rightarrow$) Let $k=\mathit{depth}(\varphi)$ and $\mathcal{A}=\mathcal{A}(\varphi)$. For every $T\in\mathit{Tree}(\mathcal{A})_k$ we define the formula ψ_T by induction on the depth of T:

- if the depth of T is 0, then $\psi_T\equiv\mathtt{tt}$,
- if the depth of T is $j\geq 1$, r is the root of T, and $r\stackrel{a_1}{\rightarrow}s_1,\cdots,r\stackrel{a_n}{\rightarrow}s_n$ are the outgoing arcs of r, then

$$\psi_T\quad\equiv\quad\bigwedge\{\varrho\mid\varrho\in\mathcal{S}^j_{\mathcal{A}}(T)\}\quad\wedge\quad\bigwedge\{\neg\varrho\mid\varrho\in\mathcal{S}^j_{\mathcal{A}}\smallsetminus\mathcal{S}^j_{\mathcal{A}}(T)\}\quad\wedge\quad\bigwedge_{1\leq i\leq n}\langle a_i\rangle\psi_{T(s_i)}$$

where $T(s_i)$ is the sub-Tree of T rooted by s_i.

We prove that for all $T_1, T_2 \in \mathit{Tree}(\mathcal{A})_k$ the following implication holds: If $T_2 \models \psi_{T_1}$ and $T_1 \models \varphi$, then $T_2 \models \varphi$. It clearly suffices for our purposes, because then one can easily show that φ is equivalent to the formula

$$\psi \quad \equiv \quad \bigvee \{ \psi_T \mid T \in \mathit{Tree}(\mathcal{A})_k, T \models \varphi \}$$

which belongs to $\mathcal{D}(\mathcal{H})$. (It suffices to check that φ and ψ agree on every $T \in \mathit{Tree}(\mathcal{A})_k$ which is straightforward.)

Assume the opposite, i.e., there are $T_1, T_2 \in \mathit{Tree}(\mathcal{A})_k$ such that $T_2 \models \psi_{T_1}$, $T_1 \models \varphi$, and $T_2 \models \neg\varphi$. We show that then φ is not preserved by $\sim$-quotients which is a contradiction.

We start by defining a homomorphism $f : T_1 \to T_2$ such that $f(s_1) \models \psi_{T(s_1)}$ for every node s_1 of T_1.

- $f(r_1) = r_2$, where r_1 and r_2 are the roots of T_1 and T_2, respectively;
- if $f(s_1)$ has been already defined (i.e., $f(s_1) = s_2$ where $s_2 \models \psi_{T(s_1)}$) and $s_1 \xrightarrow{a} t_1$ is an arc in T_1, then $f(t_1)$ is defined to be (one of the) t_2 such that $s_2 \xrightarrow{a} t_2$ and $t_2 \models \psi_{T(t_1)}$. Note that there must be at least one t_2 with this property, because $s_2 \models \langle a \rangle \psi_{T(t_1)}$ (see the definition of ψ_T above).

Observe that if the nodes of T_2 were pairwise non-equivalent, we could finish the proof as follows: Let $\mathcal{T}$ be the transition system obtained by taking the disjoint union of T_1 and T_2. Since the nodes of T_2 are pairwise non-equivalent and f preserves $\sim$, the $\sim$-quotient of $\mathcal{T}$ is isomorphic to T_2. Hence, we have the desired contradiction because the state r_1 of $\mathcal{T}$ (which is isomorphic to the root of T_1) satisfies φ, but the state $[r_1]$ of $\mathcal{T}/\!\sim$ (which is isomorphic to the root r_2 of T_2) does not satisfy φ.

Unfortunatelly, the nodes of T_2 do not have to be pairwise non-equivalent. Therefore, we first extend the tree T_2 into a transition system $\widehat{T_2}$ by adding certain states and transitions so that all states of $\widehat{T_2}$ (possibly except for the newly added ones) are pairwise non-equivalent. This extension is then "propagated" to T_1 via the homomorphism f. Thus, we obtain a transition system $\widehat{T_1}$. The newly added states and transitions do not influence the (in)validity of φ, but the homomorphism f still preserves $\sim$. Hence, we can finish the proof by taking $\mathcal{T}$ to be the disjoint union of $\widehat{T_1}$ and $\widehat{T_2}$ and arguing in the same way as above.

First, let us realize that there must be (some) processes p, q such that $\mathcal{H}(p) \subset \mathcal{H}(q)$. If it was not the case, we could employ Lemma 19 and prove by a strightforward induction on k that for all $T, T' \in \mathit{Tree}(\mathcal{A})_k$ we have that $T \sim T'$ iff T and T' are isomorphic. This would contradict our assumption that φ distinguishes between T_1 and T_2 (since T_1 and T_2 are equivalent, they are isomorphic and hence φ cannot distinguish between them).

To extend the Tree T_2 into the system $\widehat{T}_2$, for every $0 \leq i \leq k$ we do the following:

- Let Level_i be the set of all nodes of T_2 with the distance i from the root (hence, $\mathit{Level}_0 = \{r_2\}$). The set Level_i is split into two disjoint subsets
  - $A_i = \mathit{Level}_i \cap \Im(f)$
  - $B_i = \mathit{Level}_i \setminus A_i$

where $\Im(f)$ is the image of f.

- Let $A_i = \{t_1, \cdots, t_m\}$, $B_i = \{s_1, \cdots, s_n\}$, and let $a_1, \cdots, a_m$, $b_1, \cdots, b_n$ be fresh (i.e., previously unused) actions.
- For all $1 \leq i \leq m$ we add the transitions
  - $t_i \stackrel{a_i}{\to} q$,
  - $t_i \stackrel{a_k}{\to} p$ for every $1 \leq k \leq m$ such that $k \neq i$,
  - $t_i \stackrel{b_k}{\to} q$ for every $1 \leq k \leq n$.
- For all $1 \leq j \leq n$ we add the transitions
  - $s_j \stackrel{a_k}{\to} p$ for every $1 \leq k \leq m$,
  - $s_j \stackrel{b_j}{\to} q$,
  - $s_j \stackrel{b_k}{\to} p$ for every $1 \leq k \leq n$ such that $k \neq j$.

This extension is now propagated back to T_1 via the homomorphism f—to every node s of T_1 we add exactly those transitions which have been just added to $f(s)$. Thus, we obtain the transition system $\widehat{T}_1$. Since we sometimes need to distinguish between a node s of T_1 (or T_2) and its corresponding "twin" in $\widehat{T}_1$ (or $\widehat{T}_2$), from now on we denote such a twin by $\widehat{s}$.

For all $0 \leq i \leq k$ and $s \in B_i$, let $w(s) \in Act^*$ be the sequence of actions associated to the path from the root r_2 of T_2 to s. We define the set $Neigh(s) \subseteq A_i$ by

$$Neigh(s) = \{t \in A_i \mid r_2 \stackrel{w(s)}{\to} t\}$$

Now we prove the three claims below.

i) For every node s of T_2 and every state t of $\widehat{T}_2$ we have that $\widehat{s} \not\sim t$.

Let $\vartheta \in \mathcal{H}(q) \setminus \mathcal{H}(p)$. It follows directly from the definition of $\widehat{T}_2$ that $\widehat{s}$ and t are distinguished by a formula $\langle a \rangle \vartheta$ for a suitable action $a \in Act$. In particular, if t is a state reachable from p or q, then we can choose a to be one of the fresh actions which have been used to connect p and q to $\widehat{s}$.

ii) For all $0 \leq i \leq k$ and $s \in B_i$ we have that $\mathcal{H}(s) \subseteq \bigcup_{t \in Neigh(s)} \mathcal{H}(t)$.

Suppose the converse, i.e., there are $0 \leq i \leq k$, $s \in B_i$, and $\xi \in \mathcal{H}$ such that $\xi \notin \mathcal{H}(t)$ for every $t \in Neigh(s)$. Let $w(s) = a_0 \cdots a_{i-1}$, and let us consider the formula

$$\vartheta \equiv \langle a_0 \rangle \cdots \langle a_{i-1} \rangle \xi$$

Clearly $\vartheta \in \mathcal{H}$, $T_2 \models \vartheta$, and $T_1 \not\models \vartheta$. Hence, $T_1 \not\sim T_2$ and we have a contradiction.

iii) For all $0 \leq i \leq k$ and $s \in B_i$ we have that $\mathcal{H}(\widehat{s}) \subseteq \bigcup_{t \in Neigh(s)} \mathcal{H}(\widehat{t})$

Let $s \in B_i$ for some $0 \leq i \leq k$. First we show that if for every $a \in Act$ we have that

$$\bigcup_{\widehat{s} \stackrel{a}{\to} s'} \mathcal{H}(s') \quad \subseteq \quad \bigcup_{t \in Neigh(s)} \bigcup_{\widehat{t} \stackrel{a}{\to} t'} \mathcal{H}(t') \tag{2}$$

then $\mathcal{H}(\widehat{s}) \subseteq \bigcup_{t \in Neigh(s)} \mathcal{H}(\widehat{t})$. It suffices for our purposes, because from the definitions of $\widehat{T}_2$ and $Neigh(s)$ we immediatelly obtain that

- (2) is satisfied for all $s \in B_k$, hence for every $s \in B_k$ we have that $\mathcal{H}(\widehat{s}) \subseteq \bigcup_{t \in Neigh(s)} \mathcal{H}(\widehat{t})$;
- if for all $s \in B_{i+1}$ we have that $\mathcal{H}(\widehat{s}) \subseteq \bigcup_{t \in Neigh(s)} \mathcal{H}(\widehat{t})$, then (2) is satisfied for all nodes of B_i.

Hence, $\mathcal{H}(\widehat{s}) \subseteq \bigcup_{t \in Neigh(s)} \mathcal{H}(\widehat{t})$ for all $s \in B_i$, $0 \leq i \leq k$, as required.

So, let $\xi \in \mathcal{H}(\widehat{s})$. By induction on the structure of ξ we show that if (2) holds then $\xi \in \mathcal{H}(\widehat{t})$ for some $t \in Neigh(s)$.

- $\xi \equiv \mathtt{tt}$ or $\xi \equiv \xi_1 \wedge \xi_2$. Immediate.
- $\xi \equiv \langle a \rangle \xi_1$. Then $\xi_1 \in \mathcal{H}$ and hence we can use the assumption (2) to conclude that there is $t \in Neigh(s)$ such that $\widehat{t} \stackrel{a}{\rightarrow} t'$ where $t' \models \xi$.
- $\xi \equiv \neg \xi_1$. This requires more care. Let $\langle x \rangle \vartheta$ be an occurrence of a subformula in ξ_1, where $x \notin \mathcal{A}^2$, which appears within the scope of j other $\langle a_i \rangle$ operators, where all a_i's are in $\mathcal{A}$. For determining the validity of ξ in $\widehat{s}$ and all $\widehat{t}$, where $t \in Neigh(s)$, the only relevant information about $\langle x \rangle \vartheta$ is its (in)validity in those states which are reachable from $\widehat{s}$ and $\widehat{t}$ in exactly j transitions where the associated actions are in $\mathcal{A}$ (in particular, we can ignore p, q and their possible successors). Since $\langle x \rangle \vartheta$ appears within the scope of a negation in ξ, both ϑ and $\neg\vartheta$ belong to $\mathcal{H}$ (see Definition 17). Therefore, ϑ and $\neg\vartheta$ cannot distinguish between the processes p and q (otherwise, we would have a contradiction with $\mathcal{H}(p) \subset \mathcal{H}(q)$). From this and the definition of $\widehat{T}_2$ we obtain that $\langle x \rangle \vartheta$ is either valid or invalid in *all* of the aforementioned relevant states. This means that we can safely substitute each such subformula $\langle x \rangle \vartheta$ of ξ with $\mathtt{tt}$ or $\mathtt{ff}$ (depending on how the subformula evaluates). Thus, we obtain a formula $\xi' \in \mathcal{H}$ (see Definition 17) which agrees with ξ on $\widehat{s}$ and all $\widehat{t}$, where $t \in Neigh(s)$. Since $\mathcal{A}(\xi') \subseteq \mathcal{A}$, the newly added transitions and states of $\widehat{T}_2$ cannot influence the (in)validity of ξ'. In other words, ξ' cannot distinguish between s and $\widehat{s}$, and between t and $\widehat{t}$ for every $t \in Neigh(s)$. Hence, $\widehat{s} \models \xi$ implies $\widehat{s} \models \xi'$ which implies $s \models \xi'$. Since $\mathcal{H}(s) \subseteq \bigcup_{t \in Neigh(s)} \mathcal{H}(t)$ (see ii) above), we get that $t \models \xi'$ for some $t \in Neigh(s)$, hence $\widehat{t} \models \xi'$ and thus also $\widehat{t} \models \xi$ as required.

According to iii), the homomorphism $\widehat{f} : \widehat{T}_1 \rightarrow \widehat{T}_2$ defined by

- $\widehat{f}(\widehat{s}) = \widehat{f(s)}$ for every node s of T_1,
- $\widehat{f}(u) = u$ for every node u reachable from p or q,

still preserves $\sim$. To see this, it suffices to show that $\widehat{s} \sim \widehat{f}(\widehat{s})$, which can be easily done by induction of the depth of $T_1(s)$ using the claim iii) above. (In fact, we prove

[2] That is, x is one of the "new" actions which are used in $\widehat{T}_2$ but not in T_2.

that $\bigcup_{\widehat{s} \stackrel{a}{\to} s'} \mathcal{H}(s') = \bigcup_{\widehat{f}(\widehat{s}) \stackrel{a}{\to} t'} \mathcal{H}(t')$ for all $a \in Act$, and then use Lemma 18 to get $\widehat{s} \sim \widehat{f}(\widehat{s})$). Since the newly added states and transitions of $\widehat{T}_1$ and $\widehat{T}_2$ cannot influence the (in)validity of φ, we get that $\widehat{r_1} \models \varphi$ and $\widehat{r_2} \not\models \varphi$. Due to the claim i), all states of $\widehat{T}_2$ are pairwise non-equivalent (possibly except for some of the successors of p and q). This means that φ stays invalid in the $\sim$-quotient of $\widehat{T}_2$ (that is, the state $[\widehat{r_2}]$ of $\widehat{T}_2/\!\sim$ does not satisfy φ). Now let $\mathcal{T}$ be the disjoint union of $\widehat{T}_1$ and $\widehat{T}_2$. Observe that the $\sim$-quotient of $\mathcal{T}$ is isomorphic to the $\sim$-quotient of $\widehat{T}_2$. Since the state $\widehat{r_1}$ of $\mathcal{T}$ satisfies φ and the state $[\widehat{r_1}]$ of $\mathcal{T}/\!\sim$ (which is isomorphic to the state $\widehat{r_2}$ of $\widehat{T}_2/\!\sim$) does not satisfy φ, we see that φ is not preserved under $\sim$-quotients, and we have a contradiction. □

Theorem 2 classifies all HM properties which are preserved by $\sim$-quotients where $\sim$ has a good modal characterization $\mathcal{H}$. Hence, HM properties which are *reflected* by $\sim$-quotients are exactly the formulae equivalent to box-formulae over boolean combinations of formulae of $\mathcal{H}$ (see Remark 4).

3 Applications

In concurrency theory, many process equivalences expressing different 'levels' of semantical sameness of two processes have been designed and studied. A nice overview and comparison of possible approaches has been presented in [14]; in this paper, existing equivalences are ordered w.r.t. their coarseness (see Figure 1) and a kind of modal characterization is given for each of them (unfortunately, not a good one in the sense of Definition 17).

To demonstrate practical applicability of our abstract results, we present a good modal characterization for each equivalence of Figure 1 (except for completed trace equivalence—see below). Formally, we should also prove that each of the given modal characterizations is good and that it is indeed a modal characterization of the associated equivalence, but all these proofs are routine and therefore omitted.

In the subsequent paragraphs we use the following notation:

- $\mathcal{P}(M)$ denotes the set of all subsets of M.
- In all definitions we assume a fixed transition system $\mathcal{T} = (S, \mathcal{A}, \to)$. If $s \in S$, then
$$I(s) = \{a \in \mathcal{A} \mid \exists t \in S \text{ such that } s \stackrel{a}{\to} t\}$$
- θ ranges over the set of formulae defined by
$$\theta \ ::= \ \mathtt{tt} \mid \mathtt{ff} \mid \neg\mathtt{ff} \mid \neg\langle a\rangle\mathtt{tt} \mid \theta \wedge \theta$$
where $a \in Act$. (The formula $\neg\mathtt{ff}$ was added just to satisfy the requirements of Definitions 12 and 17.)
- λ ranges over the set of formulae defined by
$$\lambda \ ::= \ \mathtt{tt} \mid \mathtt{ff} \mid \langle a\rangle\mathtt{tt} \mid \lambda \wedge \lambda$$
where $a \in Act$.

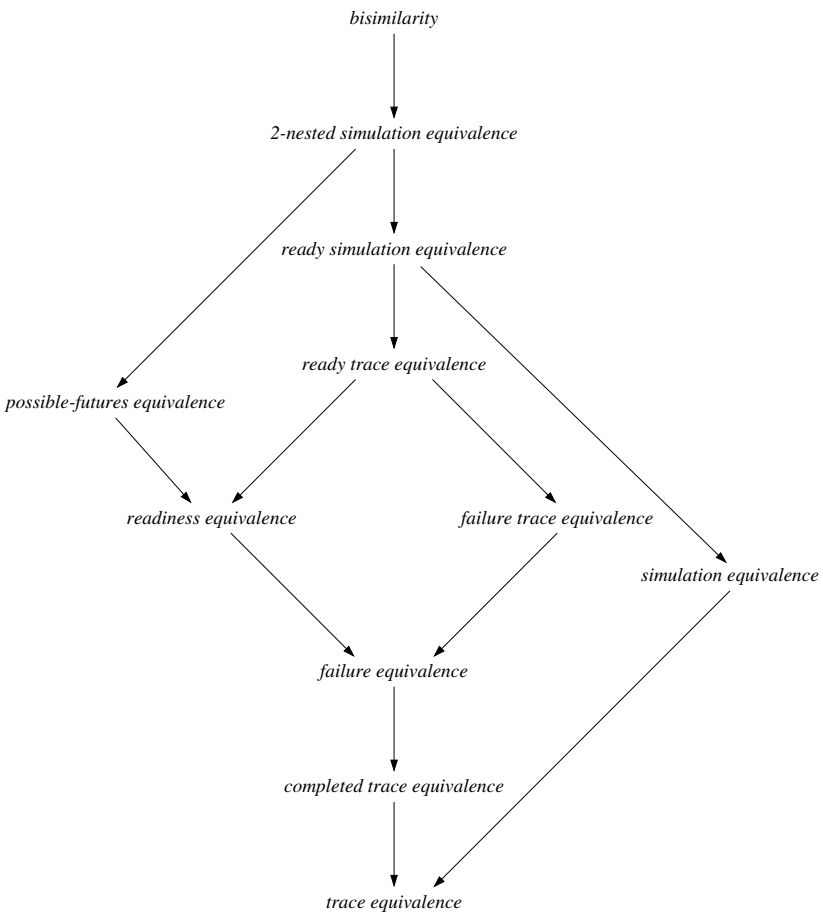

Figure 1: The linear time/branching time spectrum of [14]

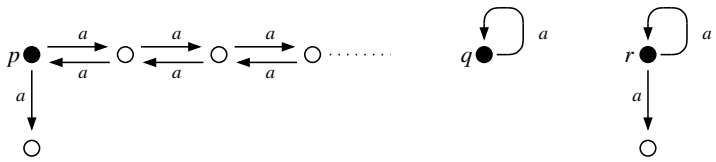

Figure 2: An infinite-state process having a finite $=_t$-representation and a finite $=_t$-quotient.

- ϱ ranges over the set of formulae defined by

$$\varrho \quad ::= \quad \theta \;\mid\; \lambda \;\mid\; \theta \wedge \lambda$$

Trace equivalence. The set of *traces* of a process s, denoted $Tr(s)$, is defined by

$$Tr(s) = \{w \in \mathcal{A}^* \mid \exists t \text{ such that } s \stackrel{w}{\rightarrow} t\}$$

We say that s, t are *trace equivalent*, written $s =_t t$, iff $Tr(s) = Tr(t)$. A good modal characterization $\mathcal{H}$ for trace equivalence is given by

$$\varphi \quad ::= \quad \mathtt{tt} \;\mid\; \mathtt{ff} \;\mid\; \langle a \rangle \varphi$$

where a ranges over Act.

Before we continue with the other equivalences, let us have a look at a small example which shows that (and how) our abstract results work. Consider the process p of Fig. 2. The process q is a $=_t$-representation of p, and the process r is the $=_t$-characterization of p. According to our results, the formula $\langle a \rangle \neg \langle a \rangle \mathtt{tt}$ which is satisfied by p is not generally preserved by $=_t$-representations, but it is preserved by $=_t$-characterizations. Indeed, we have $q \not\models \langle a \rangle \neg \langle a \rangle \mathtt{tt}$, while $r \models \langle a \rangle \neg \langle a \rangle \mathtt{tt}$.

Failure equivalence. A pair $(w, \Phi) \in \mathcal{A}^* \times \mathcal{P}(\mathcal{A})$ is a *failure pair* of a process $s \in S$, if there is a state $t \in S$ such that $s \stackrel{w}{\rightarrow} t$ and $I(s) \cap \Phi = \emptyset$. Let $F(s)$ denote the set of all failure pairs of s. Processes s, t are *failure equivalent*, written $s =_f t$, iff $F(s) = F(t)$. A good modal characterization for $=_f$ is given by the following equation (where a ranges over Act):

$$\varphi \quad ::= \quad \theta \;\mid\; \langle a \rangle \varphi$$

Readiness equivalence. A pair $(w, \Phi) \in \mathcal{A}^* \times \mathcal{P}(\mathcal{A})$ is a *ready pair* of a process $s \in S$, if there is a state $t \in S$ such that $s \stackrel{w}{\rightarrow} t$ and $I(t) = \Phi$. Let $R(s)$ denote the set of all ready pairs of s. Processes s, t are *readiness equivalent*, written $s =_r t$, iff $R(s) = R(t)$. A good modal characterization for $=_r$ is given by the following equation (where a ranges over Act):

$$\varphi \quad ::= \quad \varrho \;\mid\; \langle a \rangle \varphi$$

Failure trace equivalence. The *refusal relations* $\stackrel{\Phi}{\rightarrow}$ for $\Phi \in \mathcal{P}(\mathcal{A})$ are defined by:

$$s \stackrel{\Phi}{\rightarrow} t \text{ iff } s = t \text{ and } I(s) \cap \Phi = \emptyset$$

The *failure trace relations* $\stackrel{\delta}{\rightarrow}$ for $\delta \in (\mathcal{A} \cup \mathcal{P}(\mathcal{A}))^*$ are defined as the reflexive and transitive closure of both the transition and the refusal relations. $\delta \in (Act \cup \mathcal{P}(\mathcal{A}))^*$ is a *failure trace* of a process $s \in S$, if there is a state $t \in S$ such that $s \stackrel{\delta}{\rightarrow} t$. Let $FT(s)$ denote the set of failure traces of s. Processes s, t are *failure trace equivalent*, written $s =_{ft} t$, iff $FT(s) = FT(t)$. A good modal characterization for $=_{ft}$ is given by the following equation (where a ranges over Act):

$$\varphi \quad ::= \quad \theta \;\mid\; \theta \wedge \varphi \;\mid\; \langle a \rangle \varphi$$

Ready trace equivalence. The *ready trace relations* $\stackrel{\delta}{\Rightarrow}$ for $\delta \in (\mathcal{A} \cup \mathcal{P}(\mathcal{A}))^*$ are defined inductively by:

1. $s \stackrel{\epsilon}{\Rightarrow} s$ for any $s \in S$.
2. $s \stackrel{a}{\rightarrow} t$ implies $s \stackrel{a}{\Rightarrow} t$.
3. $s \stackrel{\Phi}{\Rightarrow} t$ with $\Phi \in \mathcal{P}(\mathcal{A})$ whenever $s = t$ and $I(s) = \Phi$.
4. $s \stackrel{\delta}{\Rightarrow} t \stackrel{\rho}{\Rightarrow} u$ implies $s \stackrel{\delta\rho}{\Rightarrow} u$.

$\delta \in (\mathcal{A} \cup \mathcal{P}(\mathcal{A}))^*$ is a *ready trace* of a process $s \in S$ if there is a state $t \in S$ such that $s \stackrel{\delta}{\Rightarrow} t$. Let $RT(s)$ denote the set of ready traces of s. Processes s, t are *ready trace equivalent*, written $s =_{rt} t$, iff $RT(s) = RT(t)$. A good modal characterization for $=_{rt}$ is given by the following equation (where a ranges over Act):

$$\varphi \quad ::= \quad \varrho \;\mid\; \varrho \wedge \varphi \;\mid\; \langle a \rangle \varphi$$

Simulation equivalence. A binary relation $R \subseteq S \times S$ is a *simulation* if whenever sRt then

$$\forall a \in \mathcal{A} : \; s \stackrel{a}{\rightarrow} s' \;\Rightarrow\; \exists t' : \; t \stackrel{a}{\rightarrow} t' \wedge s' R t'$$

A process $s \in S$ is *simulated* by a process $t \in S$, written $s \sqsubseteq_s t$, iff there is a simulation R such that $(s, t) \in R$. Moreover, we say that s, t are *simulation equivalent*, written $s =_s t$, iff $s \sqsubseteq_s t$ and $t \sqsubseteq_s s$. A good modal characterization for $=_s$ is given by the following equation (where a ranges over Act):

$$\varphi \quad ::= \quad \mathtt{tt} \;\mid\; \mathtt{ff} \;\mid\; \langle a \rangle \varphi \;\mid\; \varphi \wedge \varphi$$

Ready simulation equivalence. A binary relation $R \subseteq S \times S$ is a *ready simulation* if whenever sRt then:

- $\forall a \in \mathcal{A}: \ s \xrightarrow{a} s' \ \Rightarrow \ \exists t': \ t \xrightarrow{a} t' \wedge s' R t'$
- $I(s) = I(t)$

A process $s \in S$ is *ready simulated* by a process $t \in S$, written $s \sqsubseteq_{rs} t$, iff there is a ready simulation R such that $(s,t) \in R$. Moreover, we say that s, t are *ready simulation equivalent*, written $s =_{rs} t$, iff $s \sqsubseteq_{rs} t$ and $t \sqsubseteq_{rs} s$. A good modal characterization for $=_{rs}$ is given by the following equation (where a ranges over Act):

$$\varphi \ ::= \ \varrho \ \mid \ \varrho \wedge \varphi \ \mid \ \langle a \rangle \varphi \ \mid \ \varphi \wedge \varphi$$

Possible futures equivalence. A pair $(w, \Phi) \in \mathcal{A}^* \times \mathcal{P}(\mathcal{A}^*)$ is *a possible future* of a process $s \in S$ iff there is a state $t \in S$ such that $s \xrightarrow{w} t$ and $Tr(t) = \Phi$. The set of all possible futures of s is denoted $PF(s)$. Processes s, t are *possible-futures equivalent*, written $s =_{pf} t$, iff $PF(s) = PF(t)$. A good modal characterization for $=_{pf}$ is given by the following equation (where a ranges over Act):

$$\varphi \ ::= \ \xi \ \mid \ \langle a \rangle \varphi$$

where ξ ranges over the set of formulae defined by

$$\xi \ ::= \ \psi \ \mid \ \neg \psi \ \mid \ \xi \wedge \xi$$

where ψ ranges over the set of formulae defined by

$$\psi \ ::= \ \mathtt{tt} \ \mid \ \mathtt{ff} \ \mid \ \langle a \rangle \psi$$

2-nested simulation equivalence. A binary relation $R \subseteq S \times S$ is a *2-nested simulation* if whenever sRt then

- $\forall a \in \mathcal{A}: \ s \xrightarrow{a} s' \ \Rightarrow \ \exists t': \ t \xrightarrow{a} t' \wedge s' R t'$
- $s =_s t$

A process $s \in S$ is *2-nested simulated* by a process $t \in S$, written $s \sqsubseteq_2 t$, iff there is a 2-nested simulation R such that $(s,t) \in R$. Moreover, we say that s, t are *2-nested simulation equivalent*, written $s =_2 t$, iff $s \sqsubseteq_2 t$ and $t \sqsubseteq_2 s$. A good modal characterization for $=_2$ is given by the following equation (where a ranges over Act):

$$\varphi \ ::= \ \psi \ \mid \ \neg \psi \ \mid \ \langle a \rangle \varphi \ \mid \ \varphi \wedge \varphi$$

where ψ ranges over the set of formulae defined by

$$\psi \ ::= \ \mathtt{tt} \ \mid \ \mathtt{ff} \ \mid \ \langle a \rangle \psi \ \mid \ \psi \wedge \psi$$

Bisimilarity. A binary relation $R \subseteq S \times S$ is a *bisimulation* if R as well as the reverse of R are simulations. Processes s and t are *bisimilar*, written $s \sim_b t$, iff there

is a bisimulation R such that $(s,t) \in R$. A good modal characterization for $\sim_b$ is the set of all formulae of HM logic.

An interesting related problem is whether a given infinite-state state process has for a given $\sim$ any finite $\sim$-representation, and whether its $\sim$-characterization is finite. It is also known as the *regularity* and *strong regularity* problem (see also [11]). Some decidability results for various equivalences and various classes of infinite-state processes have already been established [1, 10, 6, 8, 12, 7], but this area still contains a number of open problems.

The only equivalence of [14] which does not have a good modal characterization is completed trace equivalence.

Completed trace equivalence. The set of *completed traces* of a process s, denoted $Ctr(s)$, is defined by

$$Ctr(s) = \{w \in \mathcal{A}^* \mid \exists t \text{ such that } s \stackrel{w}{\rightarrow} t \text{ and } I(t) = \emptyset\}$$

We say that s, t are *completed trace equivalent*, written $s =_{ct} t$, iff $Tr(s) = Tr(t)$ and $Ctr(s) = Ctr(t)$ (remeber that $Tr(s)$ is the set of all traces of s).

The problem is that the condition $I(t) = \emptyset$ can only be expressed by a (simple) infinite conjunction $\bigwedge_{a \in Act} \neg\langle a \rangle \mathtt{tt}$ which is not at our disposal.

4 Related and future work

In the context of process theory, modal characterizations were introduced by Hennessy and Milner in their seminal paper [5]. The paper provides characterizations of bisimulation, simulation, and trace equivalence as full, conjunction-free, and negation-free Hennessy-Milner logic, respectively. The result stating that bisimulation equivalence is also characterized by the modal μ-calculus seems to be folklore. In [14], van Glabbeek introduces the equivalences of his hierarchy by means of sets of formulae, in a style close to modal characterizations.

In [9], Kaivola and Valmari determine weakest equivalences preserving certain fragments of linear time temporal logic. In [4], Goltz, Kuiper, and Penczek study the equivalences characterized by various logics in a partial order setting.

An interesting open problem is whether it is possible to give a similar classification for some richer (more expressive) logic. Also, we are not sufficiently acquainted with work on modal logic outside of computer science (or before computer science was born). Work on filtrations [2] or partial isomorphisms [3] should help us to simplify and streamline our proofs.

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