

# CS 302.1 - Automata Theory

## Lecture 04

Shantanav Chakraborty

Center for Quantum Science and Technology (CQST)

Center for Security, Theory and Algorithms (CSTAR)

IIIT Hyderabad



# Quick Recap

- RL can also be derived from first principles.
- Regular expressions provide an elegant algebraic framework to represent regular languages.

Regular Expression	Regular Language	Comment
$\emptyset$	$\{\}$	The empty set
$\epsilon$	$\{\epsilon\}$	The set containing $\epsilon$ only
$a$	$\{a\}$	Any $a \in \Sigma$
$R_1 + R_2$	$L(R_1) \cup L(R_2)$	For regular expressions $R_1$ and $R_2$
$R_1 R_2$	$L(R_1) \cdot L(R_2)$	For regular expressions $R_1$ and $R_2$
$R^*$	$(L(R))^*$	For regular expressions $R$
$(R)$	$L(R)$	For regular expressions $R$

Some algebraic properties of Regular Expressions:

- $(R_1^*)^* = R_1^*$
- $R\epsilon = \epsilon R = R$
- $R\emptyset = \emptyset R = \emptyset$
- $R + \emptyset = R$
- $\epsilon + RR^* = \epsilon + R^*R = R^*$
- $(R_1 + R_2)^* = (R_1^*R_2^*)^* = (R_1^* + R_2^*)^*$

**Claim:** A language  $L$  is regular if and only if for some regular expression  $R$ ,  $L(R) = L$ .

We saw that it is possible to construct **NFAs** given a **Regular Expression**.

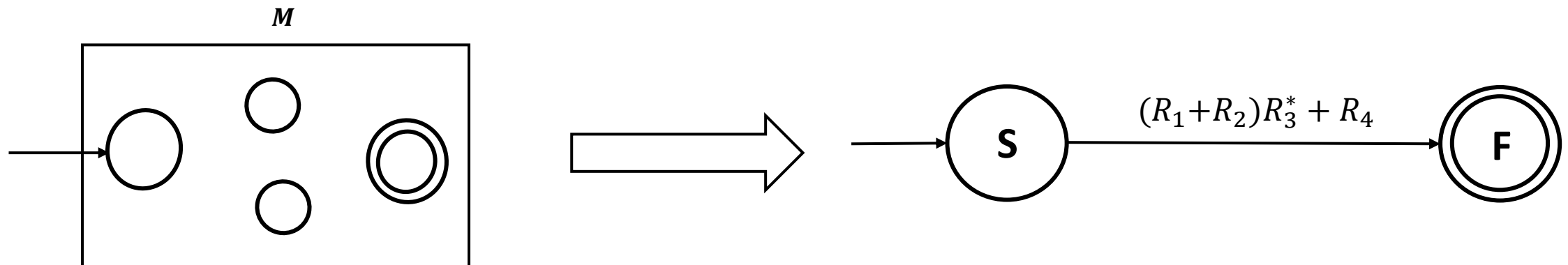
# DFA to Regular Expressions

If a language is regular then it accepts a regular expression. We could draw equivalent NFAs for Regular Expressions.

How can we obtain Regular expressions given a DFA?

Given a DFA  $M$ , we **recursively** construct a two-state **Generalized NFA** (GNFA) with

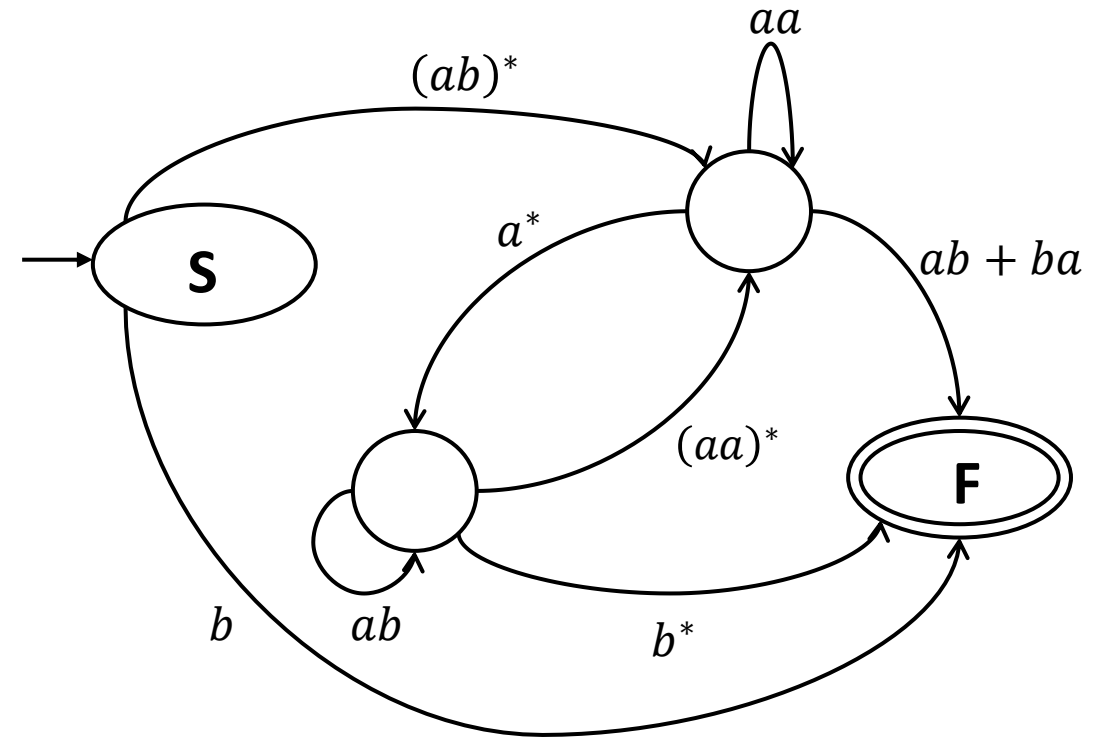
- A start state and a final state
- A single arrow goes from the start state to the final state
- The label of this arrow is the regular expression corresponding to the language accepted by the DFA  $M$ .



# DFA to Regular Expressions: GNFA

What are GNFA's? They are simply NFAs such that

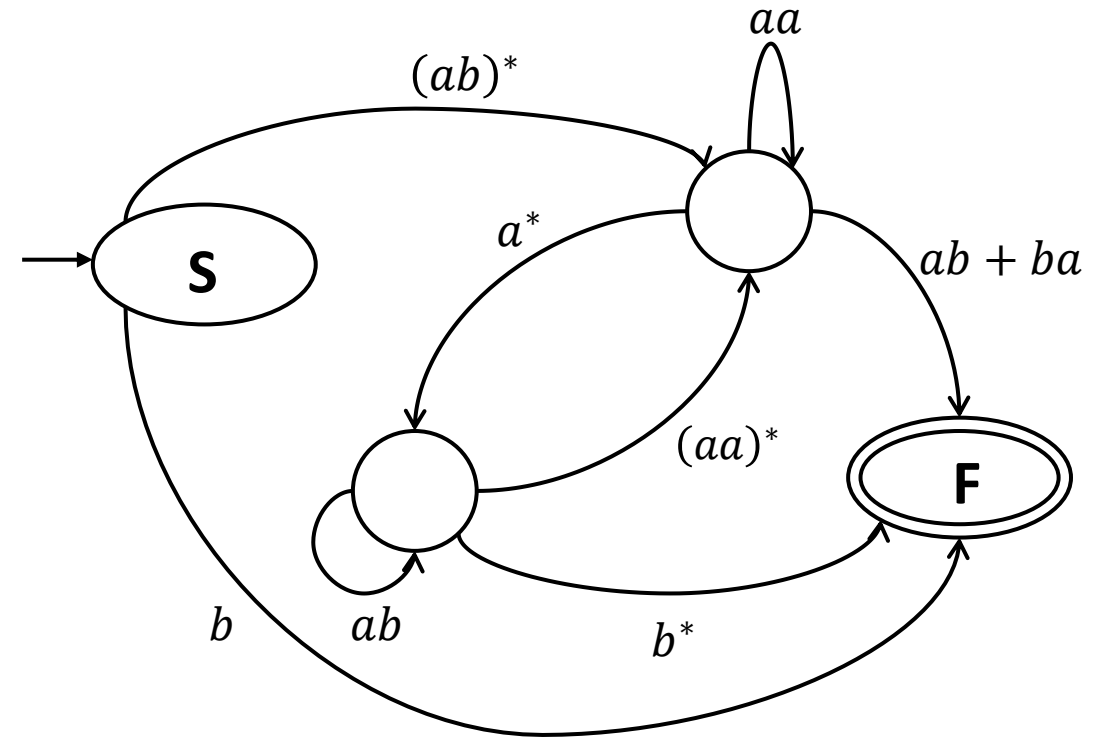
- The transitions may have regular expressions
- A unique start state that has arrows going to other states, but has no incoming arrows
- A unique final state that has arrows incoming from other states, but has no outgoing arrows
- For an input string, **runs** on a GNFA are similar to that of an NFA, except now a block of symbols are read corresponding to the Regular Expressions on the transitions.
- $b, abababab, aaabba$  are some input strings that have accepting runs for the GNFA on the right



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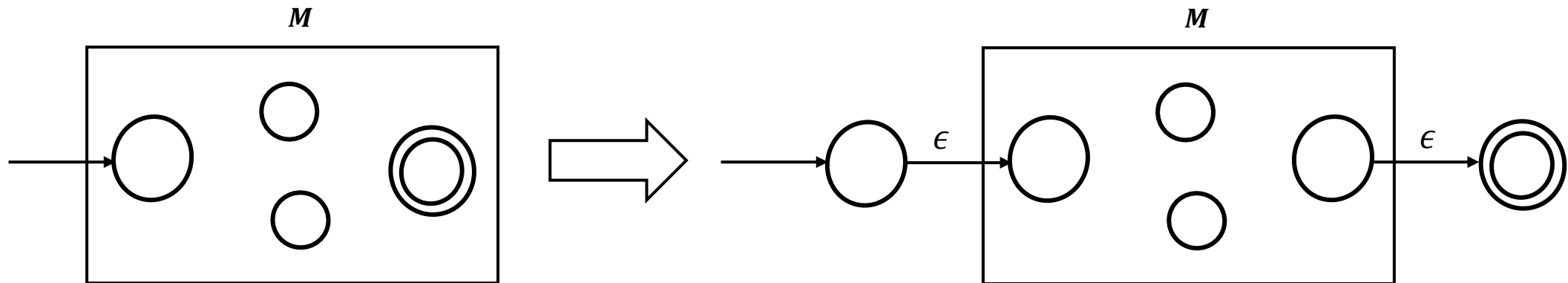


Starting from a DFA we will begin by constructing a GNFA with  $k$  states. We then outline a recursive procedure by which at each step, we will construct a GNFA with one less state. This step will be repeated until we obtain the **2-state GNFA**.

# DFA to Regular Expressions: GNFA

Starting from the DFA  $M$ ,

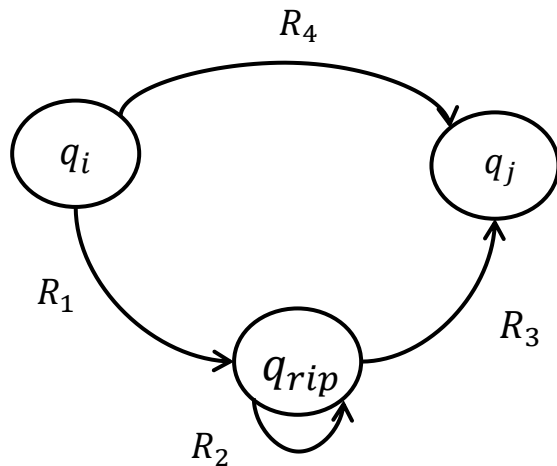
- Add a new start state with an  $\epsilon$  arrow to the old start state.
- Add a new final state by with an  $\epsilon$  arrow to the old final state.



# DFA to Regular Expressions: GNFA

The crucial step is to convert a GNFA with  $k$  ( $>2$ ) states to a GNFA with  $k - 1$  states. This is what we shall show next.

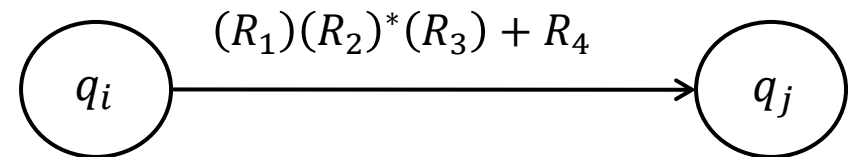
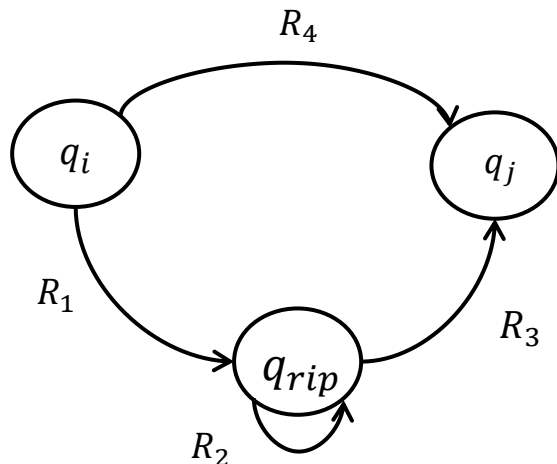
- Start by picking any state of the GNFA (except the new start and final states)
- Let us call this state  $q_{rip}$ . We “rip”  $q_{rip}$  out of the machine and create a GNFA with  $k - 1$  states.
- Of course, we need to “repair” the machine by altering the regular expressions that label each of the remaining arrows.
- The new labels compensate for the loss of  $q_{rip}$ .



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# DFA to Regular Expressions: GNFA

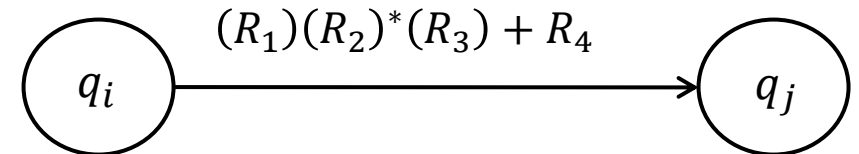
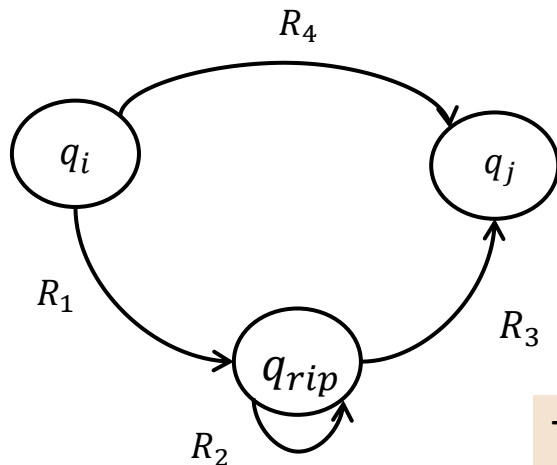
The crucial step is to convert a GNFA with  $k$  ( $>2$ ) states to a GNFA with  $k - 1$  states.

How do we remove  $q_{rip}$ ? In the old machine if

- $q_i$  goes to  $q_{rip}$  with an arrow labelled  $R_1$
- $q_{rip}$  goes to itself with an arrow labelled  $R_2$
- $q_{rip}$  goes to  $q_j$  with an arrow labelled  $R_3$
- $q_i$  goes to  $q_j$  with an arrow labelled  $R_4$

**Repeat this until  $k = 2$**

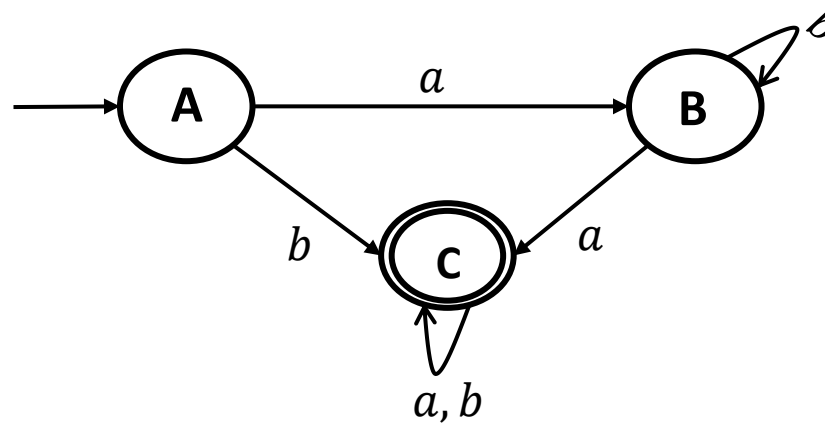
then in the new machine, the arrow from  $q_i$  to  $q_j$  has the label  $(R_1)(R_2)^*(R_3) + R_4$



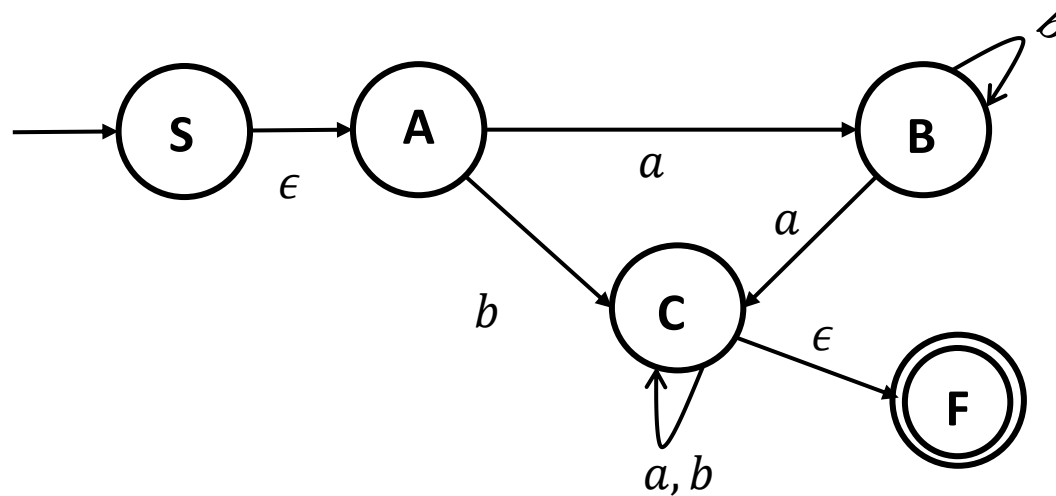
This should be done for **every pair** of arrows outgoing from and incoming to  $q_{rip}$

# DFA to Regular Expressions: GNFA

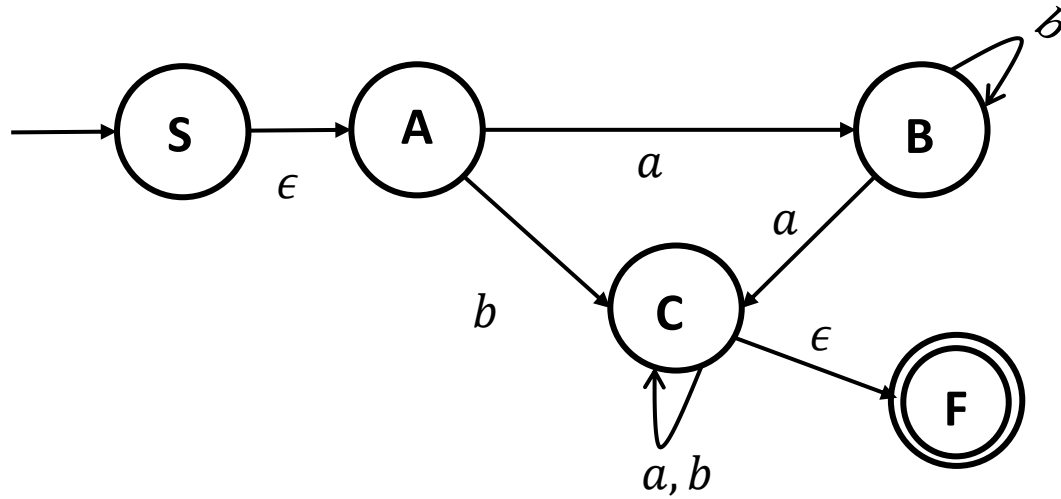
Let us look at an example. Consider the original DFA  $M$  below and find the regular expression corresponding to  $L(M)$ .



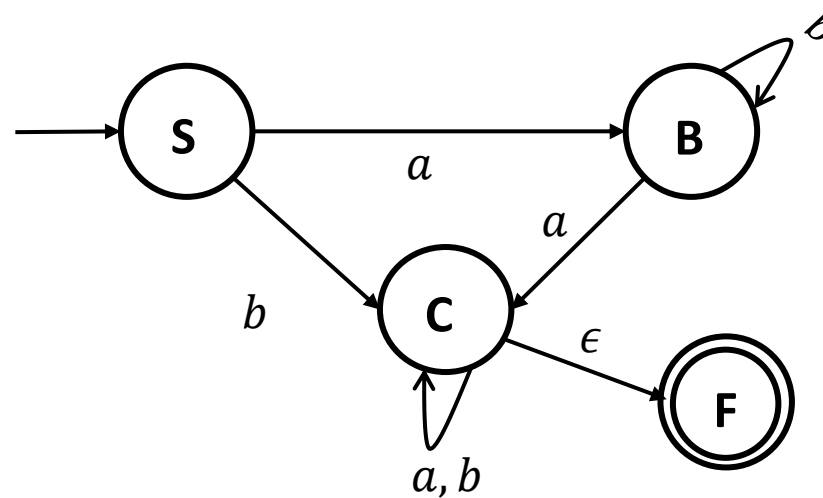
**Step 1: Add new start and final states**



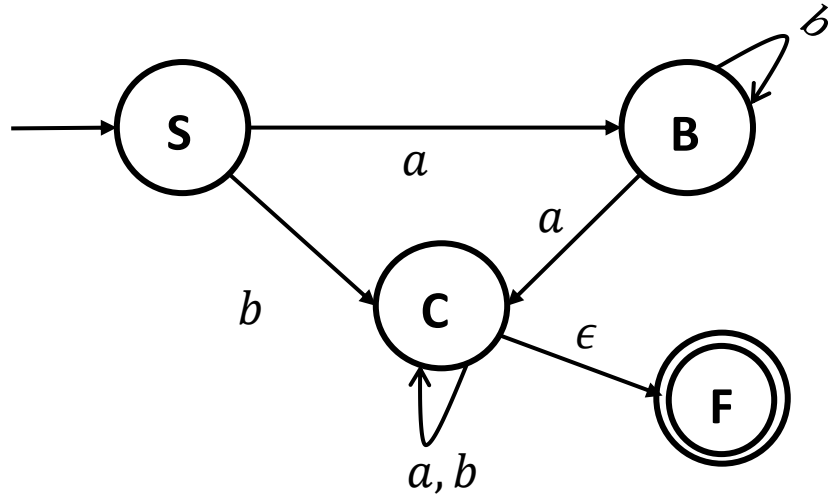
# DFA to Regular Expressions: GNFA



**Step 2: Eliminate A**

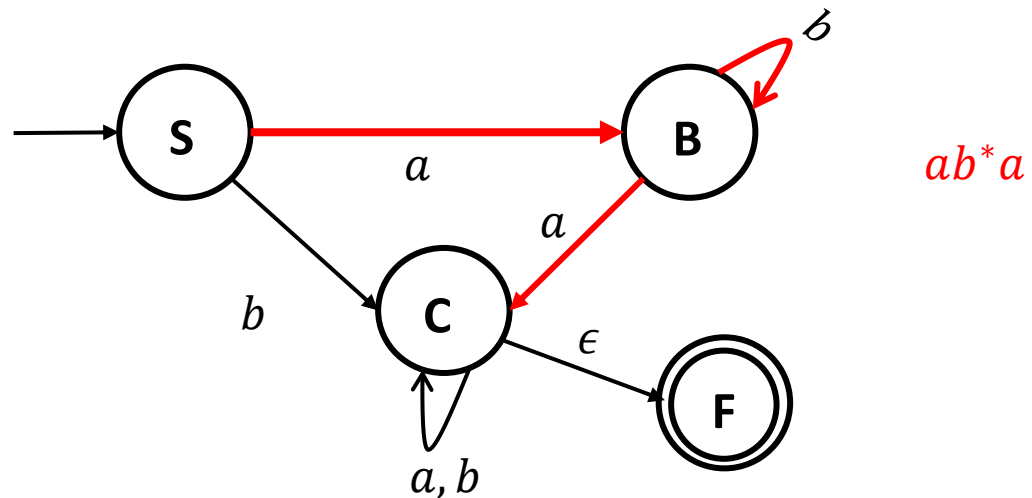


# DFA to Regular Expressions: GNFA

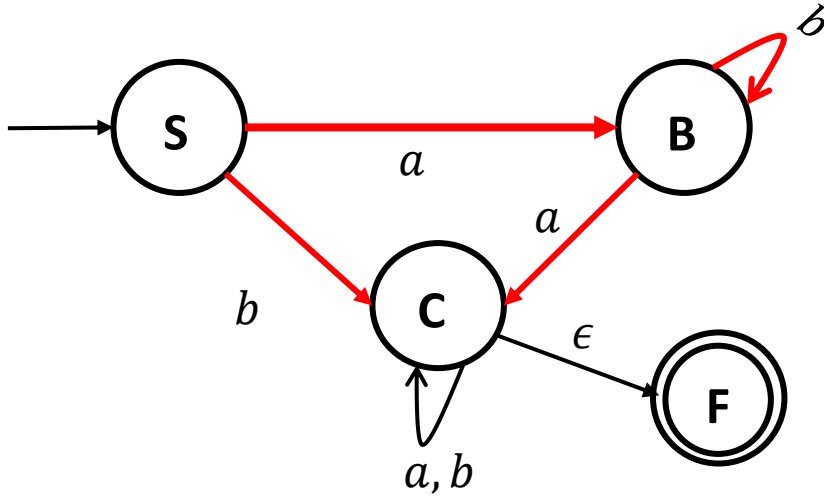


**Step 2: Eliminate  $B$**

$S \rightarrow C$  via  $B$ , RE:  $ab^*a$



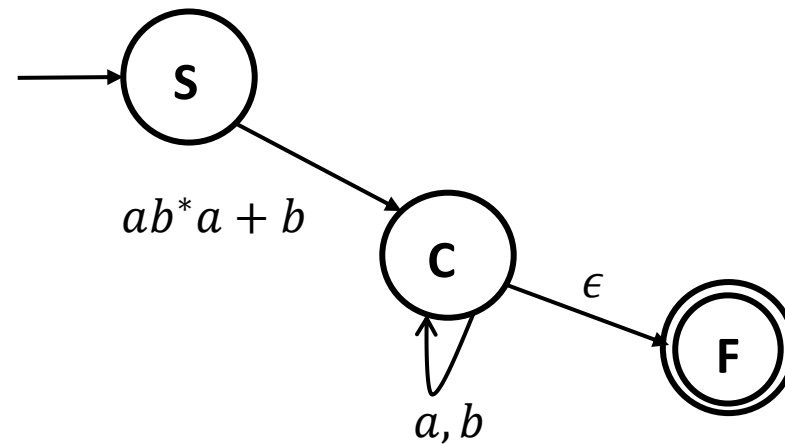
# DFA to Regular Expressions: GNFA



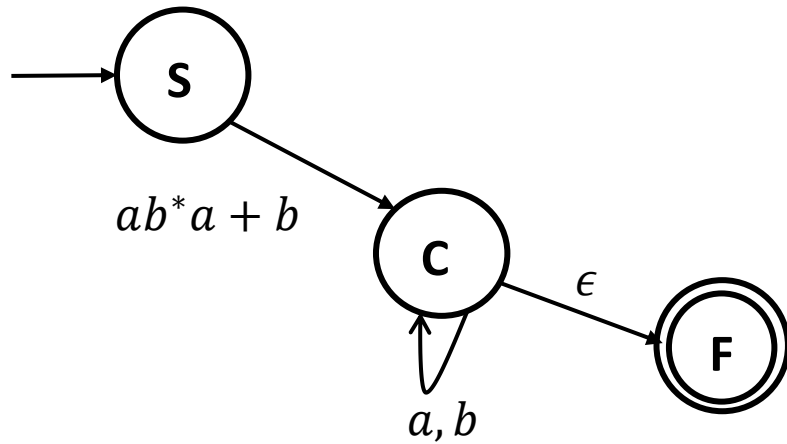
## Step 2: Eliminate $B$

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Overall RE for  $S \rightarrow C$ :  **$ab^*a + b$**

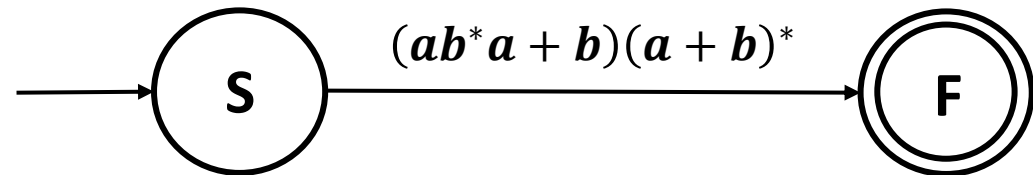


# DFA to Regular Expressions: GNFA

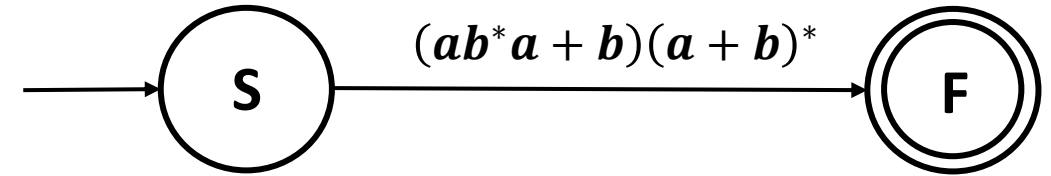
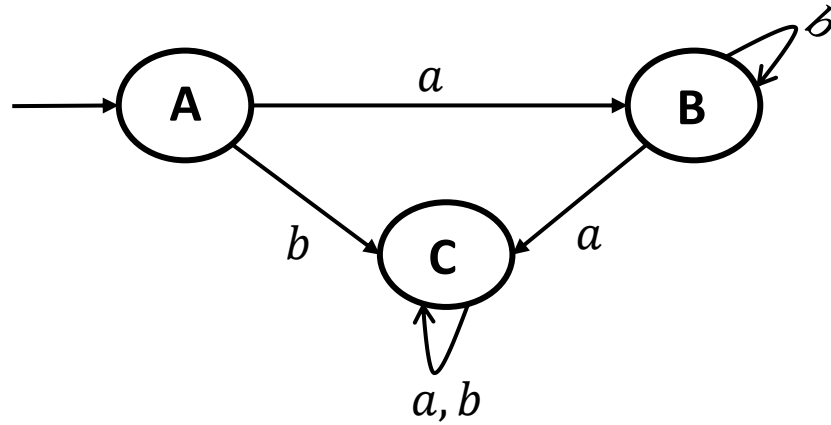


**Step 2: Eliminate  $C$**

$S \rightarrow F$  via  $C$ , RE:  $(ab^*a + b)(a + b)^*$



# DFA to Regular Expressions: GNFA



Recursively, we managed to convert the DFA  $M$  to a 2-state GNFA such that the label from of the arrow from the start state to the final state of the GNFA is the Regular Expression corresponding to  $L(M)$ .

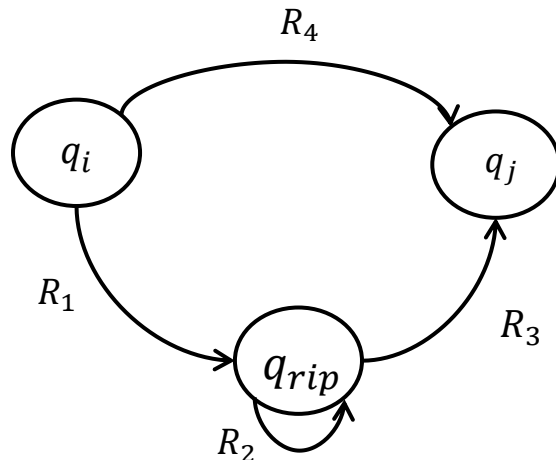
# DFA to Regular Expressions: GNFA

Formally, a GNFA is a 5-tuple  $(Q, \Sigma, \delta, q_0, F)$  where

- $Q$  is a finite set of states.
- $\Sigma$  is the input alphabet.
- $\delta: Q - \{F\} \times Q - \{q_0\} \mapsto \mathcal{R}$  is the transition function.
- $q_0$  is the start state.
- $F$  is the final state.

## Convert $k$ -state GNFA to a 2-state GNFA:

We provide a recursive algorithm  $\text{CONVERT}(G)$  for this.



### CONVERT( $G$ ):

1. Let  $k$  be the number of states of  $G$ .
2. If  $k = 2$ , then return the label  $R$  of the arrow between the start and the final state.
3. If  $k > 2$ , select any state  $q_{rip} \in Q$  different from  $q_0$  and  $F$  and let  $G'$  be the GNFA( $Q', \Sigma, \delta', q_0, F$ ), where

$$Q' = Q - \{q_{rip}\},$$

and for any  $q_i \in Q' - \{F\}$  and any  $q_j \in Q' - \{q_0\}$ , let

$$\delta'(q_i, q_j) = (R_1)(R_2)^*(R_3) + R_4,$$

for  $R_1 = \delta(q_i, q_{rip})$ ,  $R_2 = \delta(q_{rip}, q_{rip})$ ,  $R_3 = \delta(q_{rip}, q_j)$  and  $R_4 = \delta(q_i, q_j)$

4. Compute  $\text{CONVERT}(G')$  and return its value.



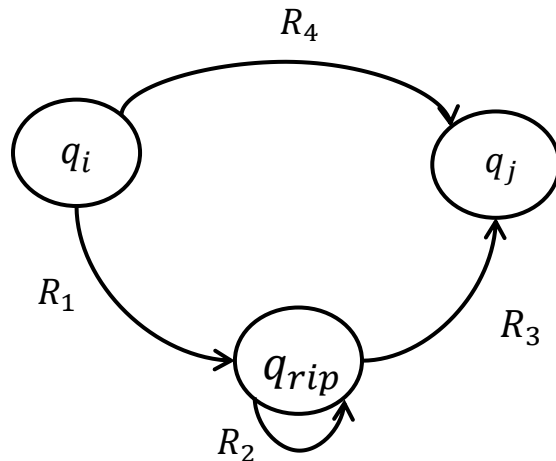
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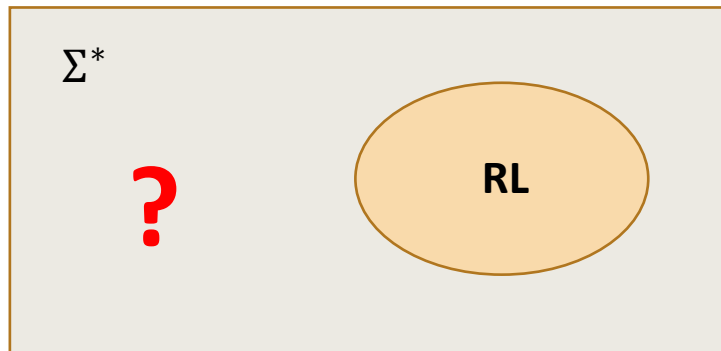
**DFA, NFA, Regular Expressions have equal power and all of them correspond to Regular Languages**

**How do Non-regular languages look like?  
How can we prove that certain languages are not regular?**

# Pumping Lemma

Recall that so far, we have proven that the following statements are all equivalent:

- $L$  is a regular language.
  - There is a DFA  $D$  such that  $\mathcal{L}(D) = L$ .
  - There is an NFA  $N$  such that  $\mathcal{L}(N) = L$ .
  - There is a regular expression  $R$  such that  $\mathcal{L}(R) = L$ .
- 
- Not all languages are regular.



# Pumping Lemma

How do we prove that certain languages are non-regular? We start with an example

Let  $\Sigma = \{0,1\}$ . Consider the language  $L = \{0^n 1^n | n \geq 0\}$  and the following conversation between Karl and Mil.

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**Karl:** Then  $0^{10}1^{10}$  must be accepted.

By the **pigeonhole principle**, while reading the first ( $n = 10$ ) symbols, some states need to be revisited. Otherwise  $n + 1 = 11$  states would have been present. Hence some loop must be present. How many states are there in the loop?

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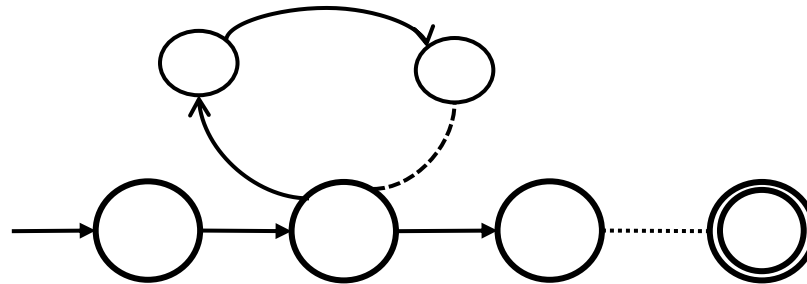
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**Mil:**  $t$ -states (say  $t = 3$ ).

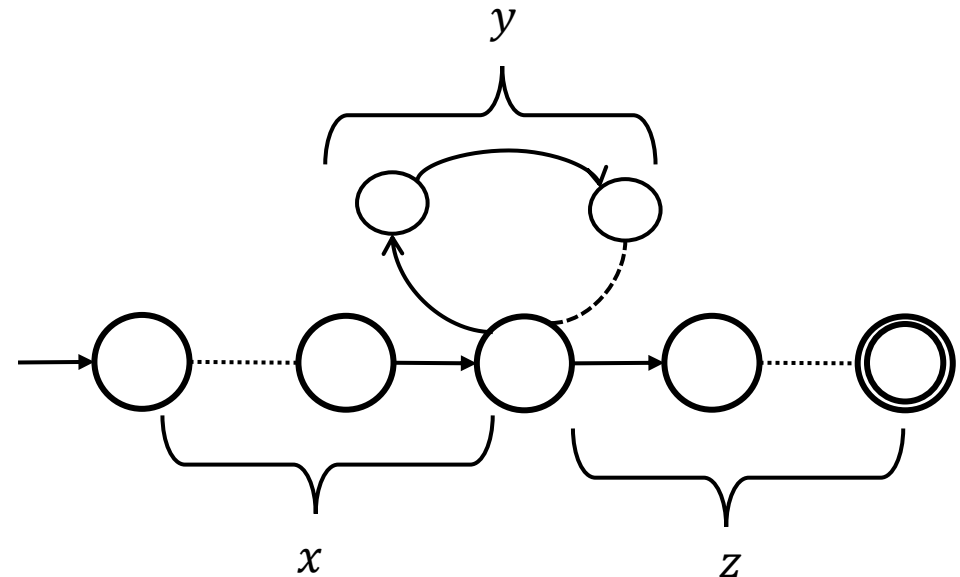
**Karl:** If your DFA accepts  $0^n 1^n$ , it must also accept  $0^{n+t} 1^n$ . This is because, if we take the loop one extra time, we read  $t$  more 0's.



**Contradiction as  $0^{n+t}1^n \notin L$ .** So Mil, you never had a DFA for  $L$  and in fact,  **$L$  is not regular.**

# Pumping Lemma

If  $L$  is a regular language, all strings in the language, larger than a certain length (pumping length), can be *pumped*: the string contains a certain section that can be repeated *any number of times* and the resulting string still  $\in L$ .

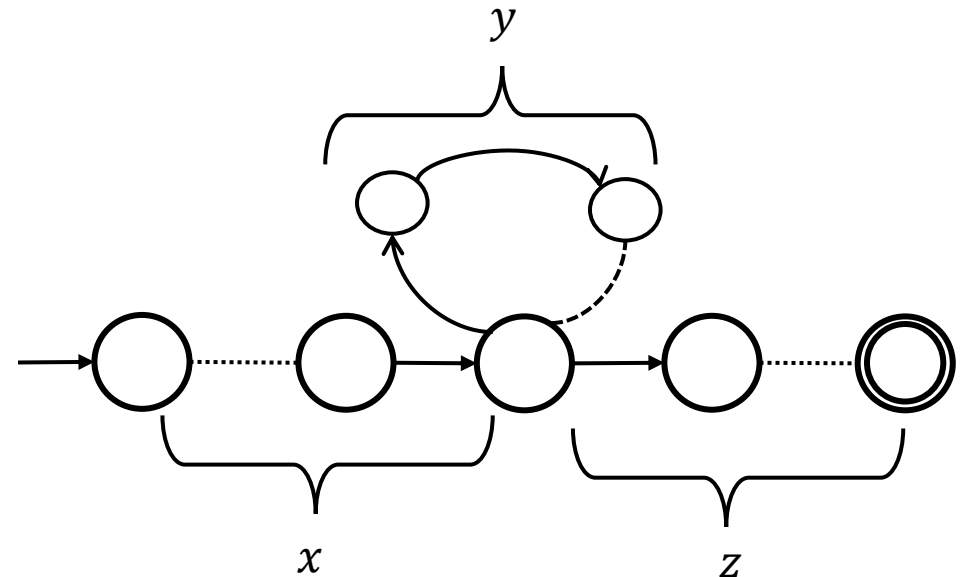


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**(Pumping Lemma)** If  $L$  is a regular language, then there exists a number  $p$  (the pumping length) where for all  $s \in L$  of length at least  $p$ , there exists  $x, y, z$  such that  $s = xyz$ , such that

1.  $|xy| \leq p$ .
2.  $|y| \geq 1$
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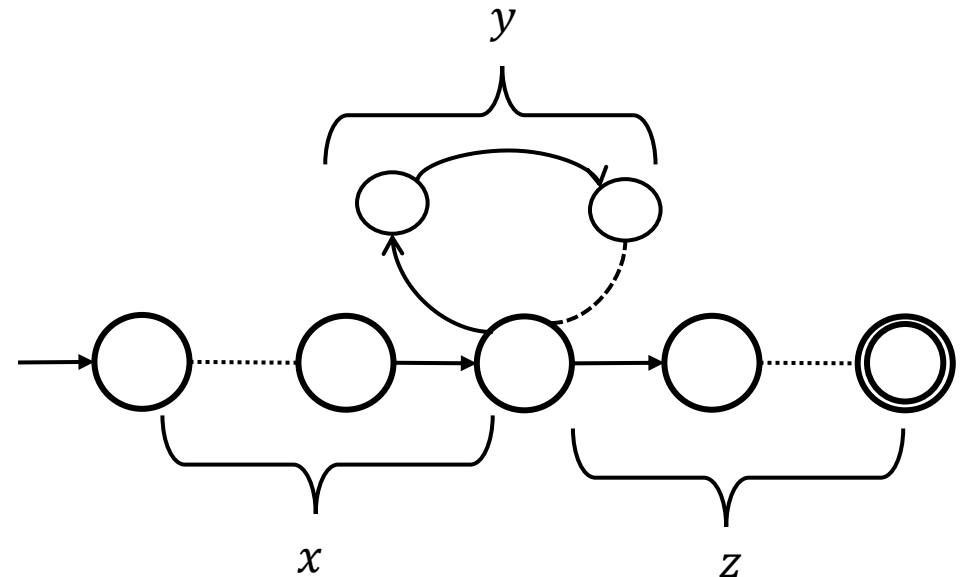
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**Note:**  $(A \Rightarrow B) \equiv (\neg B) \Rightarrow (\neg A)$

If  $L$  is regular then, pumping property is satisfied

$\equiv$

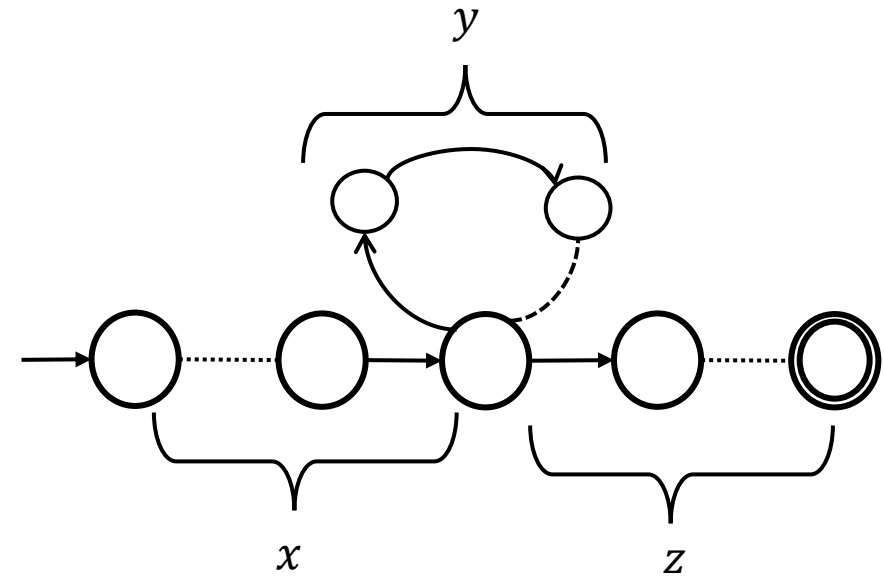
If pumping property is NOT satisfied, then  $L$  is NOT regular.



# Pumping Lemma

**Proof sketch:** Suppose that we have a DFA  $M$  of  $p$  states. Then any run in the DFA corresponding to strings of length at least  $p$ , some states are repeated.

This is because of the **pigeonhole principle**: any such run would encounter  $p + 1$  states, but there are  $p$  distinct states in the DFA.



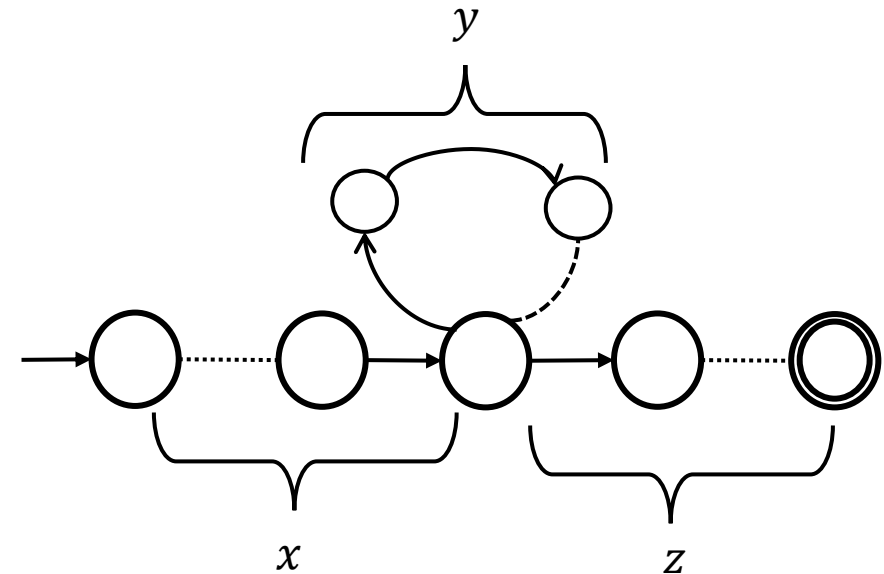
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Suppose  $s = s_1s_2 \cdots s_n$  be any such string of length  $n (\geq p)$  and suppose  $r_1r_2 \cdots r_{n+1}$  be the sequence of states encountered, while implementing a run of  $s$  in  $M$ .

As  $n + 1 \geq p + 1$ , in the above sequence at least two states must be repeated. Let them be  $r_j$  and  $r_l$ , i.e.,  $r_j = r_l$ , but  $j \neq l$ .



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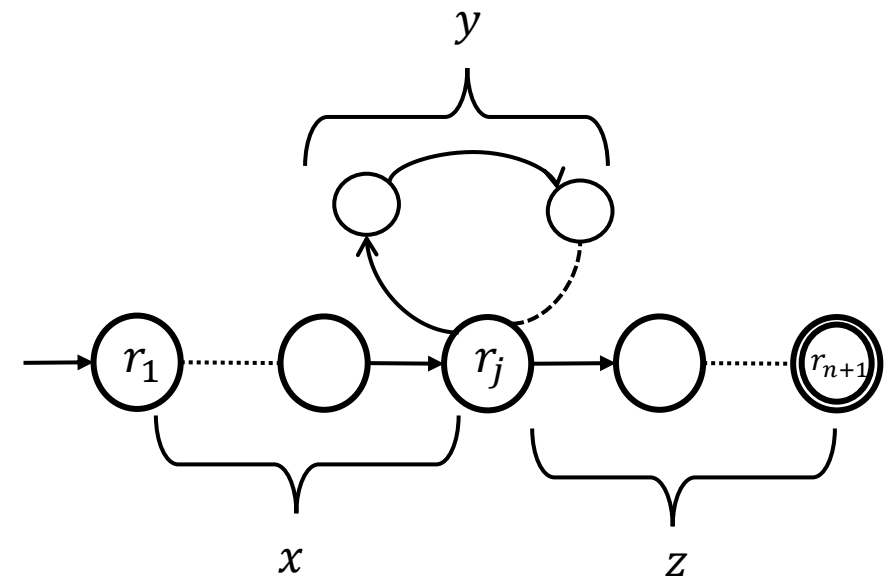
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So we can divide the  $s$  into three parts,  $x = s_1 \dots s_{j-1}$ ,  $y = s_j \dots s_{l-1}$ ,  $z = s_l \dots s_n$ . For a run on  $M$ , due to  $s$

- the  $x$  part takes us from  $r_1$  to  $r_j$
- the  $y$  part belongs to the loop part (we go from  $r_j$  to  $r_j$ )
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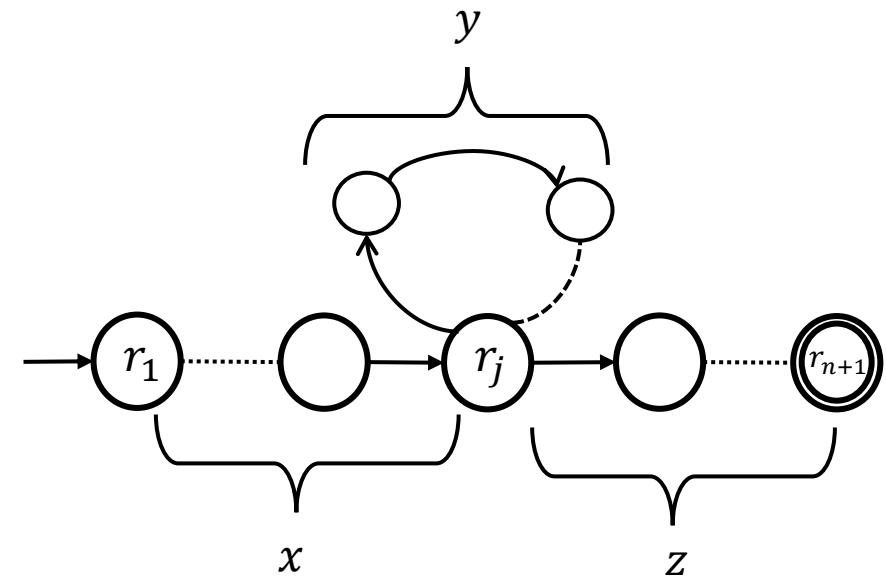
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- We can traverse the loop bit any number of times and so  $\forall i \geq 0, xy^i z \in L$ .

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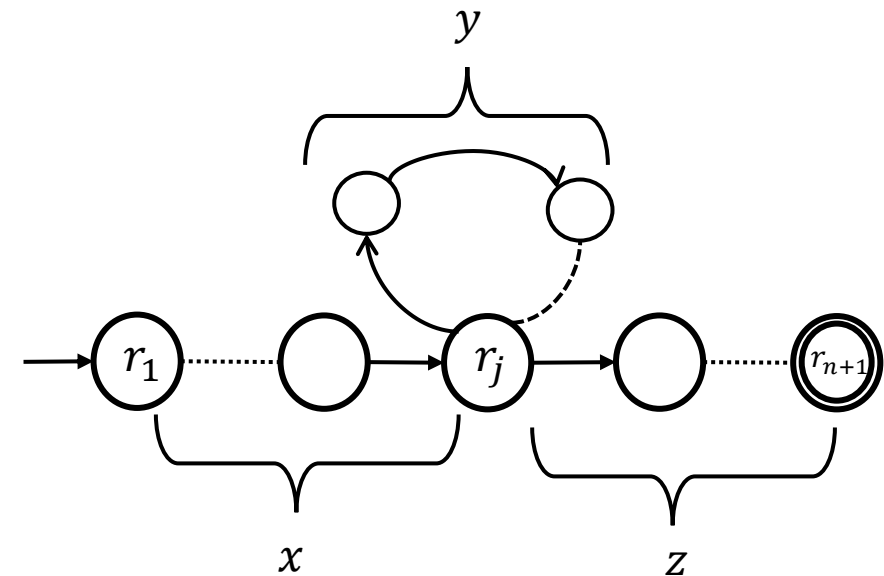
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Suppose  $s = s_1s_2 \cdots s_n$  be any such string of length  $n (\geq p)$  and suppose  $r_1r_2 \cdots r_{n+1}$  be the sequence of states encountered, while implementing a run of  $s$  in  $M$ .

As  $n + 1 \geq p + 1$ , in the above sequence at least two states must be repeated. Let them be  $r_j$  and  $r_l$ , i.e.,  $r_j = r_l$ , but  $j \neq l$ .

So we can divide the  $s$  into three parts,  $x = s_1 \dots s_{j-1}$ ,  $y = s_j \dots s_{l-1}$ ,  $z = s_l \dots s_n$ . For a run on  $M$ , due to  $s$

- the  $x$  part takes us from  $r_1$  to  $r_j$
- the  $y$  part belongs to the loop part (we go from  $r_j$  to  $r_j$ )
- $z$  takes us from  $r_j$  to  $r_{n+1}$ , which is a final state if  $s \in L$ .



- We can traverse the loop bit any number of times and so  $\forall i \geq 0, xy^iz \in L$ .
- Also, as  $j \neq l$ ,  $|y| \geq 1$
- While reading the input, within the first  $p$  symbols of  $s$ , some state must be repeated.

# Pumping Lemma

**Proof sketch:** Suppose that we have a DFA  $M$  of  $p$  states. Then any run in the DFA corresponding to strings of length at least  $p$ , some states are repeated.

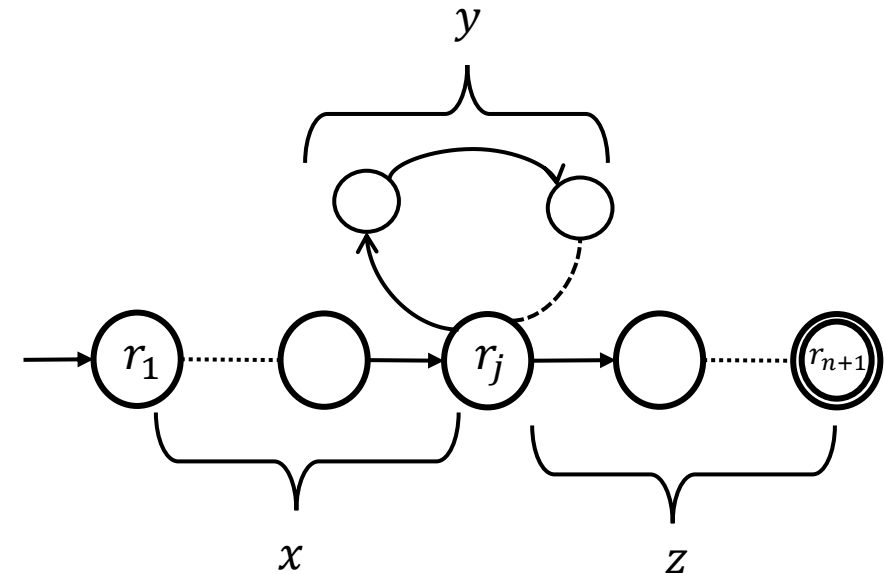
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- Also, as  $j \neq l$ ,  $|y| \geq 1$ , and
- The DFA reads  $|xy|$  by then and so  $|xy| \leq p$ .

# Pumping Lemma

In order to prove that a language is non-regular,

- Assume that it is regular and obtain a contradiction.
- Find a string in the language of length  $\geq p$  (pumping length) that cannot be pumped.

Examples of languages that are NOT regular:

- $\{0^n 1^n | n \geq 0\}$
- $\{\omega | \omega \text{ has equal number of 0's and 1's}\}$
- $\{\omega | \omega \text{ is palindrome}\}$
- $\vdots$
- $\vdots$

**(Pumping Lemma)** If  $L$  is a regular language, then **there exists** a number  $p$  (the pumping length) where **for all**  $s \in L$  of length at least  $p$ , **there exists**  $x, y, z$  such that  $s = xyz$ , such that

1.  $|xy| \leq p$ .
2.  $|y| \geq 1$
3.  $\forall i \geq 0, xy^i z \in L$ .

Refer to Sipser (or some other textbook) for proofs using Pumping lemma



# The story so far...

- We have built devices (DFAs/NFAs) that decides some languages.
- Regular languages are precisely the ones that are accepted by finite automata.
- For any  $L \in RL$ , we have DFA/NFA  $M$  such that  $L(M) = L$ .
- Regular expressions describe regular languages algebraically.
- There are languages that are not regular.

**DFA  $\equiv$  NFA  $\equiv$  Regular Expressions**

Next up:

- How do we generate the strings in a language?
- **Syntax:** What are the set of legal strings in a language?
- Think of the English language (Rules of **grammar**)

# Grammars

- **Grammars** provide a way to generate strings belonging to a language. The set of all strings generated by the grammar is the *language* of the grammar.
- ***Grammars generate languages:*** Grammars consist of a set of ***rules*** that allow you to construct strings of the language.
- For some classes of grammars, one can build automata that recognizes the language generated by the grammar.
- In fact, these concepts have been fundamental in attempts to formalize natural languages.

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- Consider these rules

*Sentence* → *Subject Verb Object*

*Subject* → *Noun.phrase*

*Object* → *Noun.phrase*

*Noun.phrase* → *Article Noun|Noun*

*Article* → ***the***

*Noun* → ***boy|girl|soccer|poetry***

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**Terminals** consist of strings over the alphabet corresponding to the language that the Grammar generates

**Variables:** {*Sentence, Subject, Verb, Object, Noun, Noun.phrase, Article*}, **Terminals:** {*the, girl, loves, plays, soccer, poetry*}

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The sentence “**the girl plays soccer**” can be derived from this set of rules.

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# Grammars

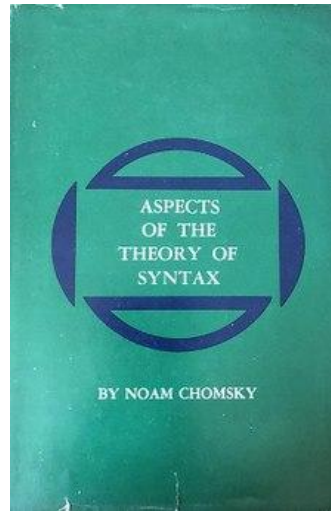
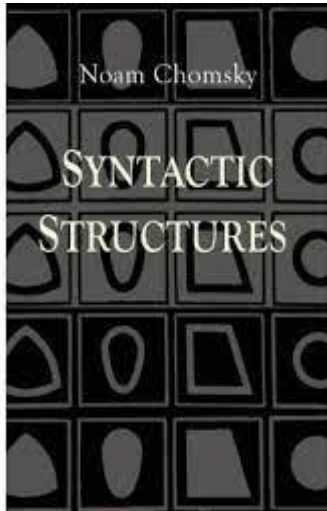
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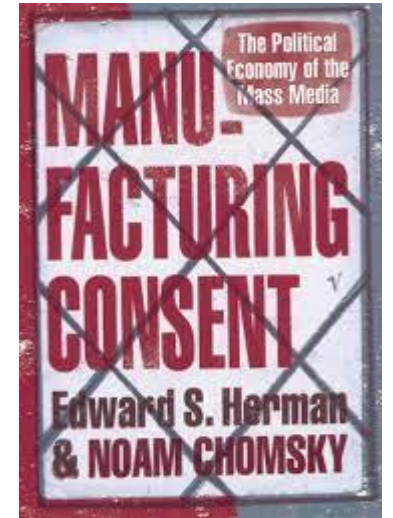
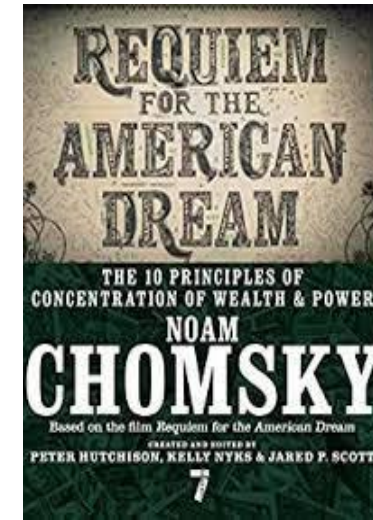
*Sentence* → *Subject Verb Object*  
→ *Noun.phrase Verb Object*  
→ *Article Noun Verb Object*  
→ ***the*** *Noun Verb Object*  
→ ***the girl*** *Verb Object*  
→ ***the girl plays*** *Object*  
→ ***the girl plays*** *Noun.phrase*  
→ ***the girl plays*** *Noun*  
→ ***the girl plays soccer***

**Variables:** {*Sentence, Subject, Verb, Object, Noun, Noun.phrase, Article*}, **Terminals:** {*The, girl, loves, plays, soccer, poetry*}  
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# Grammars



**Noam Chomsky**



- Noam Chomsky did pioneering work on linguistics and formalized many of these concepts.
- Also made great contributions to political economy and has been a champion of anti-imperialist, anti-capitalist, social justice struggles across the globe.

Thank You!