

CSC B36 — Introduction to the Theory of Computation

FALL 2023

This is a compilation of the notes from Professor Nick Cheng's CSC B36 lectures. The facts (definitions, theorems, etc.) and examples are numbered for cross-referencing purposes. For examples from *Introduction to the Theory of Computation* — *Course notes for CSC B36/236/240*, the corresponding example numbers in the notes are provided.

Contents

1	Logic and Proofs	2
2	Induction	3
2.1	Principle of Simple Induction (PSI)	3
2.2	Principle of Complete Induction (PCI)	3
2.3	Recurrences	4
2.4	Structural Induction	5
3	Program Correctness	6
3.1	Correctness of Iterative Programs	6
3.2	Correctness of Recursive Programs	6
4	Program Correctness Continued	7
4.1	Correctness of Binary Search	7
5	Regular Languages	9
5.1	Regular Languages	9
5.2	Regular Expressions	9
6	Finite State Automata	11
6.1	Deterministic Finite State Automata	11
6.2	Nondeterministic Finite State Automata	12
6.3	THE BIG RESULT	13
7	Finite State Automata Continued	14
7.1	Finite State Automata	14
8	Context-Free Grammars	17
8.1	Context-Free Grammars	17
8.2	Context-Free and Regular Languages	19
8.3	THE BIG RESULT Plus	20

Week 1 Logic and Proofs

The lectures in this week covered the first three additional notes, namely:

- What you should know about proofs
- How NOT to write proofs
- Common ways to write statements in English

Week 2 Induction

2.1 Principle of Simple Induction (PSI)

Let $b \in \mathbb{N}$ and P be a predicate on \mathbb{N} . If we prove the

- Basis step: $P(b)$
- Induction step: for all $i \geq b$, if $P(i)$ holds, then $P(i + 1)$ holds

then we can conclude that for all $n \geq b$, $P(n)$. This is because

- $P(b)$ is true from the basis
- $P(b + 1)$ holds from one application of the induction step
- $P(b + 2)$ holds from two applications of the induction step

and so on.

Example 2.1 (Stamps — Example 1.7)

Let $P(n)$ be the predicate that exact postage of n cents can be made using only 4 cent and 7 cent stamps. Prove that $\forall n \in \mathbb{N}, P(n)$.

$P(n)$ can be equivalently stated as $Q(n)$: there exist $k, l \in \mathbb{N}$ such that $4k + 7l = n$.

BASIS: For $n = 18$, let $k = 1$ and $l = 2$. It follows that $4k + 7l = 18$, as desired.

INDUCTION STEP: Let $n \geq 18$. Suppose that there exist $k, l \in \mathbb{N}$ such that $4k + 7l = n$ (I.H.).

We want to show that there exist $k', l' \in \mathbb{N}$ such that $4k' + 7l' = n + 1$. Consider two cases: $l > 0$ and $l = 0$.

For $l > 0$, let $k' = k + 2$ and $l' = l - 1$. We have $k', l' \in \mathbb{N}$ and

$$\begin{aligned} 4k' + 7l' &= 4(k + 2) + 7(l - 1) \\ &= 4k + 7l + 8 - 7 \\ &= n + 1 \end{aligned} \quad (\text{by the I.H.})$$

as desired.

For $l = 0$, we have $4k = n \geq 18$, so $k \geq 5$. Let $k' = k - 5$ and $l' = l + 3$. Thus, $k', l' \in \mathbb{N}$ and

$$\begin{aligned} 4k' + 7l' &= 4(k - 5) + 7(l + 3) \\ &= 4k + 7l - 20 + 21 \\ &= n + 1 \end{aligned} \quad (\text{by the I.H.})$$

as desired.

Remark: The inductive hypothesis should be clearly labelled (e.g. using I.H.) and be stated in the induction step (not separately, e.g. under a separate inductive hypothesis header).

2.2 Principle of Complete Induction (PCI)

Let $b \in \mathbb{N}$ (the first base case) and P be a predicate on \mathbb{N} and $k \in \mathbb{N}$ (the number of base cases). If we prove the:

- Basis step: $P(b)$, $P(b + 1)$, and $P(b + k - 1)$
- Induction step: For all $i \geq b + k$, if $P(j)$ holds whenever $b \leq j < i$, then $P(i)$ holds

then we can conclude that for all $n \geq b$, $P(n)$.

Example 2.2 (Stamps — Example 1.12)

Let $Q(n)$ be the predicate that exact postage of n cents can be made using only 4 cent and 7 cent stamps. That is, there exist $k, l \in \mathbb{N}$ such that $4k + 7l = n$. Use the principle of complete induction to prove that $\forall n \geq 18$, $Q(n)$.

BASIS STEP: Consider four cases: $n \in \{18, 19, 20, 21\}$.

For $n = 18$, let $k = 1$ and $l = 2$. We have $4k + 7l = 18 = n$, as desired.

For $n = 19$, let $k = 3$ and $l = 1$. We have $4k + 7l = 19 = n$, as desired.

For $n = 20$, let $k = 5$ and $l = 0$. We have $4k + 7l = 20 = n$, as desired.

For $n = 21$, let $k = 0$ and $l = 3$. We have $4k + 7l = 21 = n$, as desired.

INDUCTION STEP: Let $n \geq 22$. Suppose that $P(j)$ holds whenever $18 \leq j < n$ (I.H.). We want to show that $Q(n)$ holds.

Since $n \geq 22$, $18 \leq n - 4 < 22$, so $Q(n - 4)$ holds. Thus, there exist $k, l \in \mathbb{N}$ such that $4k + 7l = n - 4$. Let $k' = k + 1$ and $l' = l$. We have $k', l' \in \mathbb{N}$ and

$$\begin{aligned} 4k' + 7l' &= 4(k + 1) + 7l \\ &= 4k + 7l + 4 \\ &= (n - 4) + 4 && \text{(by the I.H.)} \\ &= n \end{aligned}$$

as desired.

Remark: Whenever considering separate cases in a proof, they should be clearly stated as the basis step in example 2.2 does.

2.3 Recurrences

Remark: Recurrences will not be tested in this course.

Definition 2.3 (Recurrence)

Recurrences are inductively/recursively defined functions.

Example 2.4 (Fibonacci Numbers)

One recurrence is

$$\text{Fib}(n) = \begin{cases} n & \text{if } 0 \leq m \leq 1 \\ \text{Fib}(n - 1) + \text{Fib}(n - 2) & \text{if } n > 1 \end{cases}$$

Example 2.5 (Unwinding a Recurrence)

Let $C(n)$ be the number of data assignments in sorting a list of n items using merge sort. We have

$$C(n) = \begin{cases} 0 & \text{if } n = 1 \\ C\left(\lfloor \frac{n}{2} \rfloor\right) + C\left(\lceil \frac{n}{2} \rceil\right) & \text{if } n > 1 \end{cases}$$

Let n be a “large” power of 2. That is, $n = 2^k$ for some “large” $k \in \mathbb{N}$. We get

$$C(n) = 2C\left(\frac{n}{2}\right) + 2n \quad (1^{\text{st}} \text{ iteration})$$

$$= 2\left(2C\left(\frac{n}{4}\right) + 2 \cdot \frac{n}{2}\right) + 2n \quad (2^{\text{nd}} \text{ iteration})$$

$$= 2^2 C\left(\frac{n}{4}\right) + 4n$$

$$= 2^2 \left(2C\left(\frac{n}{8}\right) + 2 \cdot \frac{n}{4}\right) + 4n \quad (3^{\text{rd}} \text{ iteration})$$

$$= 2^3 C\left(\frac{n}{8}\right) + 6n$$

$$\vdots$$

$$= 2^i C\left(\frac{n}{2^i}\right) + 2in \quad (i^{\text{th}} \text{ iteration})$$

$$\vdots$$

$$= 2^k C\left(\frac{n}{2^k}\right) + 2kn \quad (k^{\text{th}} \text{ iteration})$$

$$= nC(1) + 2(\log_2 n)n$$

$$= 2n \log_2 n$$

2.4 Structural Induction

There are two uses of structural induction:

1. Defining sets
2. Proving properties about the elements in a structural induction defined set

Example 2.6 (Well-Formed Algebraic Expressions — Example 4.1)

Consider algebraic expressions with variables x , y , and z , and binary operators $+$, $-$, \times , and \div . More concretely, the expressions are strings with characters from $\{x, y, z, +, -, \times, \div, (,)\}$.

Definition 2.7 (Minimal Set of Well-Formed Algebraic Expressions)

Let \mathcal{E} be the smallest set such that

BASIS: $x, y, z \in \mathcal{E}$.

INDUCTION STEP: If $e_1, e_2 \in \mathcal{E}$, then $(e_1 + e_2), (e_1 - e_2), (e_1 \times e_2), (e_1 \div e_2) \in \mathcal{E}$.

Example 2.8 (Structural Induction Proof — Example 4.2)

Let \mathcal{E} be as defined earlier in definition 2.7. For a string $e \in \{x, y, z, +, -, \times, \div, (,)\}^*$, define

- $\mathbf{vr}(e)$ as the number of occurrences of variables in e
- $\mathbf{op}(e)$ as the number of occurrences of operators in e

For example, $\mathbf{vr}(((x + y) \times z)) = 3$, $\mathbf{op}(((x + y) \times z)) = 2$, $\mathbf{vr}((x + x)) = 2$, and $\mathbf{op}(((x + y) + z)) = 2$.

Define a predicate (on \mathcal{E}) $P(e)$: $\mathbf{vr}(e) + \mathbf{op}(e) = 1$. Prove that $\forall e \in \mathcal{E}, P(e)$. Use a structural induction proof.

PROOF: We proceed using induction on e .

BASIS: Consider three cases: $e = x$, $e = y$, and $e = z$.

For $e = x$, $\mathbf{vr}(e) = 1$ and $\mathbf{op}(e) = 0$, so $\mathbf{vr}(e) + \mathbf{op}(e) = 1$, as desired. By similar reasoning, the claim also holds for $e = y$ and $e = z$.

INDUCTION STEP: Let $e_1, e_2 \in \mathcal{E}$. Suppose that $P(e_1)$ and $P(e_2)$ hold; that is, $\mathbf{vr}(e_1) + \mathbf{op}(e_1) = 1$ and $\mathbf{vr}(e_2) + \mathbf{op}(e_2) = 1$ (I.H.). Consider the four cases $e = (e_1 + e_2)$, $e = (e_1 - e_2)$, $e = (e_1 \times e_2)$, and $e = (e_1 \div e_2)$.

For $e = (e_1 + e_2)$, $\mathbf{vr}(e) = \mathbf{vr}(e_1) + \mathbf{vr}(e_2)$ and $\mathbf{op}(e) = \mathbf{op}(e_1) + \mathbf{op}(e_2) + 1$. Thus,

$$\begin{aligned} \mathbf{vr}(e) &= \mathbf{vr}(e_1) + \mathbf{vr}(e_2) \\ &= (\mathbf{op}(e_1) + 1) + (\mathbf{op}(e_2) + 1) && \text{(by the I.H.)} \\ &= \mathbf{op}(e) + 1 \end{aligned}$$

By similar reasoning, the claim holds for the other three cases as well. ■

Example 2.9

Define S to be the *smallest set* such that

BASIS: $0 \in S$

INDUCTION STEP: If $n \in S$, then $n + 1 \in S$.

We have $S = \mathbb{N}$. Note that \mathbb{Z} , \mathbb{Q} , \mathbb{R} , and \mathbb{C} satisfy all the previous conditions except for being the smallest such set.

Week 3 Program Correctness

The lectures in this week covered the seventh to ninth additional notes (inclusive), namely:

- Pseudocode used for program correctness
- Proving program correctness
- Sample correctness proofs (this was partially covered, and is continued in week 4)

The remaining notes for this week contain an extra example and some information on acceptable ways to write predicates for recursive program correctness proofs.

3.1 Correctness of Iterative Programs

Example 3.1

Consider the following algorithm.

Precondition: A is an array of integers.

Postcondition: A is sorted.

```
1 SORT(A)
2   for  $i = 0$  to  $\text{len}(A) - 1$ :
3        $A[i] = i$ 
```

For the specified postcondition, the algorithm is correct, even though it does not sort the values in the array.

3.2 Correctness of Recursive Programs

For the recursive example in the “Sample correctness proofs” additional notes, the predicate can instead be defined as

$Q(n)$: If $n \in \mathbb{N}$, then $\text{SQ}(n)$ returns n^2 .

Note that the input size n in the example was the input itself, so a separate variable did not have to be defined for the input size. Additionally, stating that the program “returns” a value rather than “*terminates* and returns” the value is sufficient.

Week 4 Program Correctness Continued

4.1 Correctness of Binary Search

Example 4.1 (Correctness of Iterative Binary Search)

We will prove that the iterative version of binary search on the [course website](#) is correct. The program is as follows:

Pre: A is a nonempty, sorted list of integers,
x is an integer.

Post: Return True if x is in A;
otherwise return False.

```
BSearchIter(A, x):
1. lo = 0; hi = len(A)
2. while lo+1 < hi:
3.     mid = floor( (lo+hi) / 2 )
4.     if x < A[mid]: hi = mid
5.     else: lo = mid
6. if A[lo] == x: return True
7. else: return False
```

PROOF:

LOOP INVARIANT (LI):

(a) $0 \leq lo < hi \leq \text{len}(A)$

(b) If $x \in A$, then $x \in A[lo: hi]$.

BASIS: On entry to the loop, $lo = 0$ and $hi = \text{len}(A) > 0$ (as A is non-empty). Therefore, $0 \leq lo < hi \leq \text{len}(A)$, as desired for LI (a).

Also, $A[lo: hi] = A[0: \text{len}(A)] = A$, so LI (b) follows.

INDUCTION STEP: Consider an arbitrary iteration. Suppose the LI holds before the iteration (IH). We want to prove that the LI holds after the iteration.

By line 3, $mid = \left\lfloor \frac{lo+hi}{2} \right\rfloor$. By PL2.2, $lo < mid < hi$. Consider two cases: $x < A[mid]$ and $x \geq A[mid]$.

If $x < A[mid]$, then $lo' = lo$ and $hi' = mid$ (line 4). Thus,

$$\underbrace{0}_{\text{LI (a)}} \leq \underbrace{lo'}_{\text{line 4}} = \underbrace{lo}_{\text{PL2.2}} < \underbrace{mid}_{\text{line 4}} = \underbrace{hi'}_{\text{PL2.2}} < \underbrace{hi}_{\text{LI (a)}} \leq \text{len}(A)$$

as desired for LI (a).

If $x \in A$, then $x \in A[lo: hi]$ (by LI (b)) since $x < A[mid] \implies x \notin A[mid: hi]$ as $x \in A[lo: mid]$. This proves LI (b).

Insert $x \geq A[mid]$ case here.

PARTIAL CORRECTNESS: Suppose the loop terminates. Consider the values of lo and hi on exit.

By the exit condition, $lo + 1 \geq hi$. By LI (a), $lo < hi$ (as $lo + 1 \leq hi$). Thus, $lo + 1 = hi$, so $A[lo]$ is the only element in $A[lo: hi]$.

If $x \in A$, then $x \in A[lo: hi] = A[lo]$. By line 6, True is returned, as desired. If $x \notin A$, then $x \neq A[lo]$. By lines 6–7, False is returned, as desired.

TERMINATION: For each iteration, we associate the expression $e = hi - lo$.

By LI (a), $lo < hi$, so $e > 0$. Consider an arbitrary iteration. We have

$$\begin{aligned} e' &= hi' - lo' \\ &= \begin{cases} mid - lo & \text{if } x < A[mid] \\ hi - mid & \text{if } x \geq A[mid] \end{cases} \end{aligned} \quad \left(\text{where } mid = \left\lfloor \frac{lo + hi}{2} \right\rfloor, \text{ by lines 4–5} \right)$$

$$\begin{aligned}
 &= \begin{cases} hi' - lo' \\ hi' - lo' \end{cases} && (lo < mid < hi, \text{ as shown in the induction step for LI}) \\
 &< hi - lo && (\text{by PL2.2})
 \end{aligned}$$

as desired. ■

Example 4.2 (Correctness of Recursive Binary Search)

We will prove that the recursive version of binary search on the [course website](#) is correct. The program is as follows:

```

Pre:  A is a nonempty, sorted list of integers,
      x is an integer.
Post: Return True if x is in A;
      otherwise return False.

BSearchRec(A, x):
1. if len(A) == 1:
2.     if A[0] == x: return True
3.     else: return False
4. mid = floor( len(A) / 2 )
5. if x < A[mid]: return BSearchRec(A[0:mid], x)
6. else: return BSearchRec(A[mid:len(A)], x)
    
```

PROOF: For $n \in \mathbb{N}$, define the predicate

$Q(n)$: If A is a non-empty sorted list of integers, x is an integer, and $n = \text{len}(A)$, then $\text{BSearchRec}(A, x)$ returns True if x is in A and False otherwise.

We use the PCI to prove that $Q(n)$ holds for all $n > 0$. Correctness follows from this.

BASIS: Let $n = 1$. $A[0]$ is the only element in A . By lines 1–3, True is returned if $A[0] = x$ and False is returned otherwise, as desired.

INDUCTION STEP: Let $n > 1$. Suppose that $Q(j)$ holds whenever $1 \leq j < n$ (IH). We want to prove that $Q(n)$ holds.

By lines 1 and 4, $mid = \left\lfloor \frac{\text{len}(A)}{2} \right\rfloor$. We have $0 < mid < \text{len}(A)$ by PL2.2. Consider two cases: $x < A[mid]$ and $x \geq A[mid]$.

If $x < A[mid]$, $\text{len}(A[0:mid]) = mid$, which satisfies $0 < mid < \text{len}(A)$ by PL2.2. By the IH, $\text{BSearchRec}(A[0:mid], x)$ on line 5 returns True if x is in A and False otherwise. Thus, $Q(n)$ holds in this case.

If $x \geq A[mid]$, $\text{len}(A[mid:\text{len}(A)]) = \text{len}(A) - mid$ satisfies $1 \leq \text{len}(A) - mid < n$ as $0 < mid < \text{len}(A) \implies 0 > -mid > -\text{len}(A)$ (by PL2.2). By the IH, $\text{BSearchRec}(A[mid:\text{len}(A)], x)$ on line 6 returns True if x is in A and False otherwise, as desired. ■

Week 5 Regular Languages

5.1 Regular Languages

Definition 5.1 (Alphabet)

An alphabet Σ is a set of symbols (e.g. $\Sigma = \{0, 1\}$).

The set of all *finite* strings with symbols from Σ is Σ^* . We denote the empty string by $\epsilon \in \Sigma^*$.

Definition 5.2 (Language)

A *language* is a subset of Σ^* (e.g. \emptyset and Σ^*).

Definition 5.3 (Language Operations)

For any languages L , L_1 , and L_2 , we have the following language operations:

- *Complement*: $\bar{L} = \Sigma^* - L = \{x \in \Sigma^* : x \notin L\}$
- *Union*: $L_1 \cup L_2$
- *Intersection*: $L_1 \cap L_2$
- *Concatenation*: $L_1 \cdot L_2 = \{xy : x \in L_1 \text{ and } y \in L_2\}$

Note that $\emptyset \cdot L = \emptyset = L \cdot \emptyset$

- *Kleene Star*: $L^* = \{x : x = \epsilon \text{ or } x = y_1 \dots y_k \text{ where } k > 0 \text{ and each } y_i \in L\}$
- *Exponentiation*: $L^k = \begin{cases} \{\epsilon\} & \text{if } k = 0 \\ L^{k-1} \cdot L & \text{if } k > 0 \end{cases} \quad (k \in \mathbb{N})$

Note that $L^* = \bigcup_{k=0}^{\infty} L^k$

- *Reversal*: $L^R = \{x^R : x \in L\}$

5.2 Regular Expressions

Definition 5.4 (Regular Expression)

Consider an alphabet Σ and strings in $\Sigma \cup \{+, \emptyset, \epsilon, *, (,)\}$. The *set of all regular expressions* \mathcal{RE} (over Σ) is defined as the smallest set such that:

BASIS: $\emptyset, \epsilon, a \in \mathcal{RE}$ for every $a \in \Sigma$.

INDUCTION STEP: If $R, S \in \mathcal{RE}$, then $(R + S), (RS), R^* \in \mathcal{RE}$.

Remark: In definition 5.4, the $+$ in $(R + S)$ refers to “or” (e.g. $(0 + 1)$ can be 0 or 1).

Example 5.5

For the symbols $\emptyset, \epsilon, 0, 1$, the following strings are in \mathcal{RE} : $(0 + \emptyset)$, (01) , ϵ^* , $(0 + \emptyset)^*$, and $(1(01))$. Note that $0 + 1 \notin \mathcal{RE}$.

Definition 5.6 (Semantics of Regular Expressions)

Let R be a regular expression and $s \in \Sigma^*$. R matches s or s matches R . The *language* of R , denoted by $\mathcal{L}(R)$, is the set of strings in Σ^* that match R . We define this set as follows.

BASIS:

- $\mathcal{L}(\emptyset) = \emptyset$
- $\mathcal{L}(\epsilon) = \{\epsilon\}$
- $\mathcal{L}(a) = \{a\}$ for every $a \in \Sigma$.

INDUCTION STEP: Let $R, S \in \mathcal{RE}$.

- $\mathcal{L}((R + S)) = \mathcal{L}(R) \cup \mathcal{L}(S)$
- $\mathcal{L}((RS)) = \mathcal{L}(R) \cdot \mathcal{L}(S)$
- $\mathcal{L}(R^*) = \mathcal{L}(R)^*$

Remark: In definition 5.6, the arguments for \mathcal{L} are symbols, while the outputs are sets.

Example 5.7

Find a regular expression R such that $\mathcal{L}(R) = \Sigma^*$ for $\Sigma = \{0, 1\}$.

Consider $R = (0 + 1)^*$. We have

$$\mathcal{L}(R) = \mathcal{L}((0 + 1)^*) = \mathcal{L}((0 + 1))^* = (\mathcal{L}(0) \cup \mathcal{L}(1))^* = (\{0\} \cup \{1\})^* = \{0, 1\}^* = \Sigma^*$$

Note that $R' = (0^*1^*)^*$ is also a solution.

Remark: In general, there can be infinitely many solutions for problems involving finding a regular expression R such that $\mathcal{L}(R) = \Sigma^*$ given some alphabet Σ .

Example 5.8

For $R = (00)^*$, find $\mathcal{L}(R)$.

We have $\mathcal{L}(R) = \{0^{2n} : n \in \mathbb{N}\}$.

Example 5.9

Find a regular expression R such that $\mathcal{L}(R) = \{0^{2n+1} : n \in \mathbb{N}\}$.

One solution is $R = 0(00)^*$.

Example 5.10

Find R such that $\mathcal{L}(R) = \{1011\}$.

$R = ((10)(11))$ is a solution.

Definition 5.11 (Conventions for Language Operation Notation)

To avoid clutter, we omit parentheses (unless a particular order of operations is to be enforced) and use the following precedence of operations, from highest to lowest:

1. $*$ (Kleene star)
2. \cdot concatenation
3. $+$

When omitting parentheses with operators of equal precedence, we associate as follows:

- $+$ and \cdot : right associate (e.g. $\epsilon + 0 + 1$ is interpreted as $(\epsilon + (0 + 1))$).
- $*$: left associate

Definition 5.12 (Equivalence of Regular Expressions)

Two regular expressions R and S are *equivalent*, denoted by $R \equiv S$, if $\mathcal{L}(R) = \mathcal{L}(S)$.

Definition 5.13 (Regular)

Let $L \subseteq \Sigma^*$ be a language. L is *regular* if there is a regular expression R such that $L = \mathcal{L}(R)$.

Example 5.14

$\{0^n 1^n : n \in \mathbb{N}\}$ is not regular.

Definition 5.15 (Preservation of Regular Languages)

A language operation f *preserves regular languages* if for all regular languages L , $f(L)$ is regular.

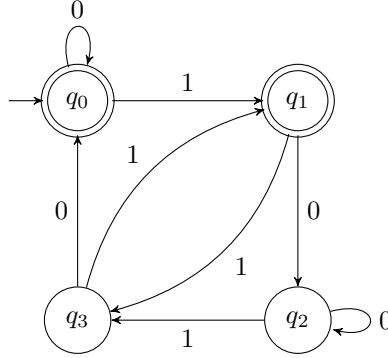
The rest of the lecture was spent covering the “Structural Induction for Regular Expressions” handout.

Week 6 Finite State Automata

6.1 Deterministic Finite State Automata

Example 6.1

Let $\Sigma = \{0, 1\}$. Consider the following deterministic finite state automaton:



For the input 10011, we have the following transitions:

	1	0	0	1	1
q_0	q_1	q_2	q_2	q_3	q_1

Since q_1 is an accepting state, 10011 is accepted. For the input 0101, we have

	0	1	0	1
q_0	q_0	q_1	q_2	q_3

q_3 is not an accepting state, so 0101 is not accepted.

Definition 6.2 (Deterministic Finite State Automaton)

A *deterministic finite state automaton (DFSA)* M is a quintuple $M = (Q, \Sigma, \delta, s, F)$, where

- Q is a finite set of states
- Σ is the input alphabet
- $\delta: Q \times \Sigma \rightarrow Q$ is the transition function; $\delta(q, c) = q'$ denotes that when the symbol c is read in state q , the next state is q'
- $s \in Q$ is the initial state
- $F \subseteq Q$ is the set of accepting states

Definition 6.3 (DFSA Extended Transition Function)

Given a DFSA $M = (Q, \Sigma, \delta, s, F)$, the *extended transition function* is defined as

$$\delta^*(q, x) = \begin{cases} q & \text{if } x = \epsilon \\ \delta(\delta^*(q, y), a) & \text{if } x = ya \text{ for some } y \in \Sigma^* \text{ and } a \in \Sigma \end{cases}$$

Remark: In definition 6.3, $\delta^*: Q \times \Sigma^* \rightarrow Q$ denotes that when the string x is read in state q , the next state is q' .

Definition 6.4 (Language of a DFSA)

Given a DFSA $M = (Q, \Sigma, \delta, s, F)$, the *language of M* is

$$\mathcal{L}(M) = \{x \in \Sigma^* : \delta^*(s, x) \in F\}$$

Remark: In definition 6.4, $\delta^*(s, x) \in F$ denotes that M accepts x .

Example 6.5

Consider the DFSA in example 6.1. We will show that

$$\mathcal{L}(M) = \{x \in \Sigma^* : x \text{ has odd parity if and only if } x \text{ ends with } 1\}$$

STATE INVARIANT (SI):

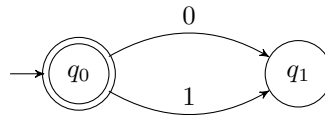
$$\delta^*(q_0, x) = \begin{cases} q_0 & \text{if and only if } x \text{ has even parity and } x \text{ does not end with 1} \\ q_1 & \text{if and only if } x \text{ has odd parity and } x \text{ ends with 1} \\ q_2 & \text{if and only if } x \text{ has odd parity and } x \text{ does not end with 1} \\ q_3 & \text{if and only if } x \text{ has even parity and } x \text{ ends with 1} \end{cases}$$

Prove this by induction on x , starting with $x = \epsilon$ for the basis, then letting $x = ya$ for some $a \in \Sigma$ and $y \in \Sigma^*$ (for which the SI holds) in the induction step.

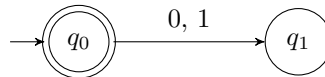
Remark: In this course, we are not expected to prove state invariants due to their repetitiveness over several cases.

Definition 6.6 (FSA Diagram Conventions)

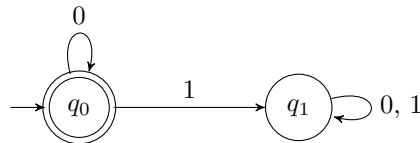
When there are multiple transitions from one state to another, instead of drawing separate arrows for each, a single arrow is drawn with comma-separated symbols as the label. For example, instead of drawing



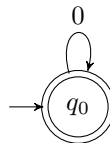
we would draw



Furthermore, dead states are omitted. For example, the diagram



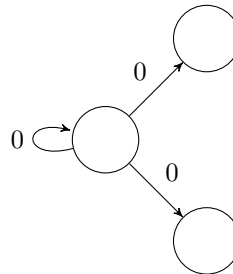
would instead be drawn as



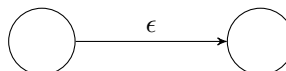
6.2 Nondeterministic Finite State Automata

A nondeterministic finite state automaton (NFSA) is like a DFSA with two added features:

1. Multiple possible transitions when reading the same symbol



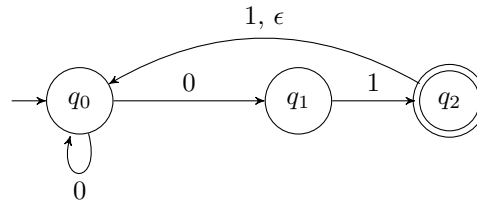
2. ϵ -transitions (without reading any input symbol)



An NFSA *accepts* a string x if by starting at the initial state, there is a way to read all of x and end in an accepting state.

Example 6.7

Consider the following NFSA:



For the input 01, we may have any of

	0	1
q_0	q_0	q_{dead}

	0	1	ϵ
q_0	q_1	q_2	q_0

	0	1
q_0	q_1	q_2

Note that the first and second paths do not result in an accepting state, while the third one does. Thus, 01 is accepting.

Definition 6.8 (Nondeterministic Finite State Automaton)

A *nondeterministic finite state automaton (NFSA)* is a quintuple $M = (Q, \Sigma, \delta, s, F)$, where

- Q is a finite set of states
- Σ is the input alphabet
- $\delta: Q \times (\Sigma \cup \{\epsilon\}) \rightarrow \mathcal{P}(Q)$ is the transition function; $\delta(q, c) = q'$ denotes that when the symbol c is read in state q , the next state is q'
- $s \in Q$ is the initial state
- $F \subseteq Q$ is the set of accepting states

Remark: $\mathcal{P}(Q)$ denotes the power set of Q .

Definition 6.9 (NFSA Extended Transition Function)

Let $M = Q, \Sigma, \delta, s, F$ be an NFSA and $\mathcal{E}(q)$ denote the set of all states that are reachable from q using only ϵ -transitions.

The *extended transition function* $\delta^*: Q \times \Sigma^* \rightarrow \mathcal{P}(Q)$ of M is defined as

$$\delta^*(q, x) = \begin{cases} \mathcal{E}(q) & \text{if } x = \epsilon \\ \bigcup_{q' \in \delta^*(q, y)} \left(\bigcup_{q'' \in \delta(q', a)} \mathcal{E}(q'') \right) & \text{if } x = ya \text{ for some } y \in \Sigma^* \text{ and } a \in \Sigma \end{cases}$$

Remark: Informally, in definition 6.9, $\delta^*(q, x)$ is the set of states that are reachable from state q reading all of the string x .

Definition 6.10 (Language of a NFSA)

The *language* of a NFSA M is defined as

$$\mathcal{L}(M) = \{x \in \Sigma^* : \delta^*(s, x) \cap F \neq \emptyset\}$$

Remark: In definition 6.10, $\delta^*(s, x) \cap F \neq \emptyset$ denotes that M accepts x .

6.3 THE BIG RESULT

Theorem 6.11 (THE BIG RESULT)

Let L be a language. The following statements are equivalent:

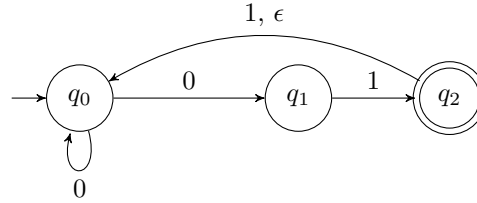
1. $L = \mathcal{L}(R)$ for some regular expression R (i.e. L is regular)
2. $L = \mathcal{L}(M)$ for some DFSA M
3. $L = \mathcal{L}(M)$ for some NFSA M

Week 7 Finite State Automata Continued

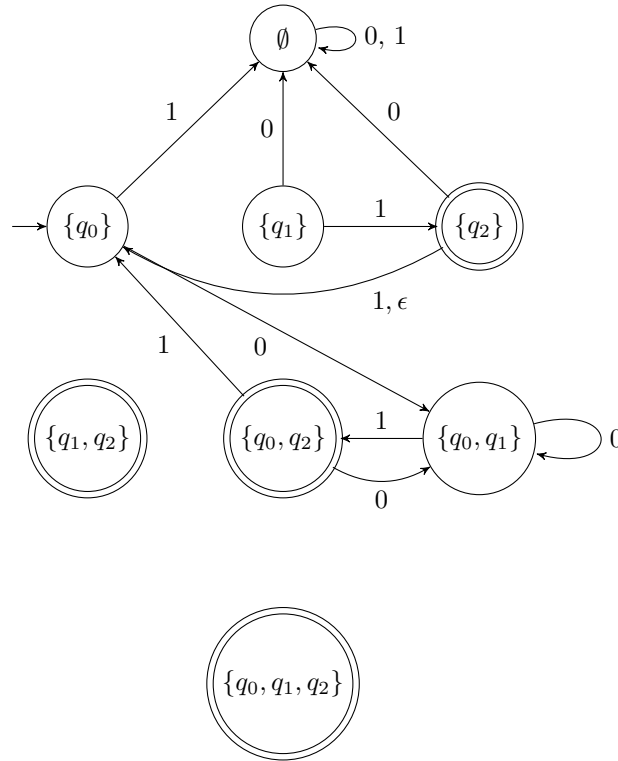
7.1 Finite State Automata

Example 7.1 (Subset Construction)

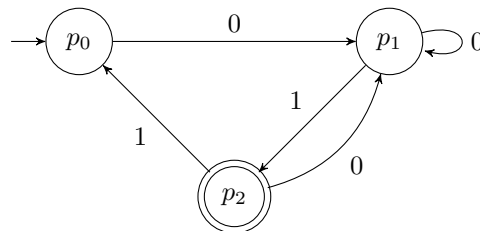
Consider the following NFSA M (as in example 6.7):



Given the NFSA M , construct a DFSA M' such that $\mathcal{L}(M') = \mathcal{L}(M)$.



A simplified version of this is as follows:

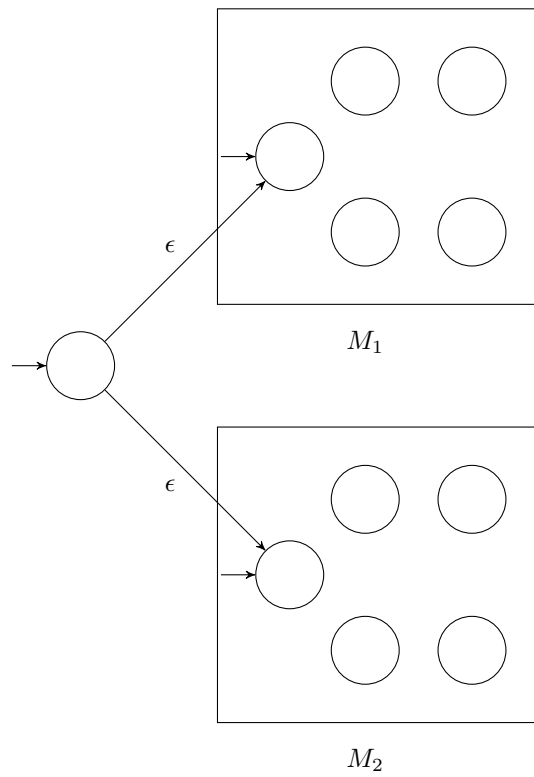


Theorem 7.2 (Closure Properties with FSAs)

The complementation, union, intersection, concatenation, and Kleene star of any regular languages (or equivalently, FSAs) is also regular.

Complementation: Suppose that $L = \mathcal{L}(M)$, where $M = (Q, \Sigma, \delta, s, F)$ is a DFSA. The DFSA $\overline{M} = (Q, \Sigma, \delta, s, Q - F)$ satisfies $\mathcal{L}(\overline{M}) = \overline{\mathcal{L}(M)}$ (note that $\overline{F} = Q - F$).

Union: Let M_1 and M_2 be DFSA's. The NFSA M_{\cup} whose diagram is below satisfies $\mathcal{L}(M_{\cup}) = \mathcal{L}(M_1) \cup \mathcal{L}(M_2)$:

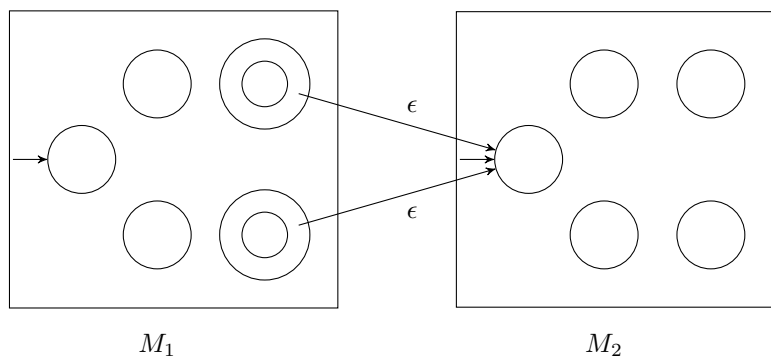


Intersection: Suppose that $M_1 = (Q_1, \Sigma, \delta_1, s_1, F_1)$ and $M_2 = (Q_2, \Sigma, \delta_2, s_2, F_2)$ are DFSA. Consider the DFSA $M_\cap = (Q_\cap, \Sigma, \delta_\cap, s_\cap, F_\cap)$, where

- $Q_\cap = Q_1 \times Q_2$
- $\delta_\cap((q_1, q_2), c) = (\delta_1(q_1, c), \delta_2(q_2, c))$ for all $(q_1, q_2) \in Q_\cap$ and $c \in \Sigma$
- $s_\cap = (s_1, s_2)$
- $F_\cap = F_1 \times F_2$

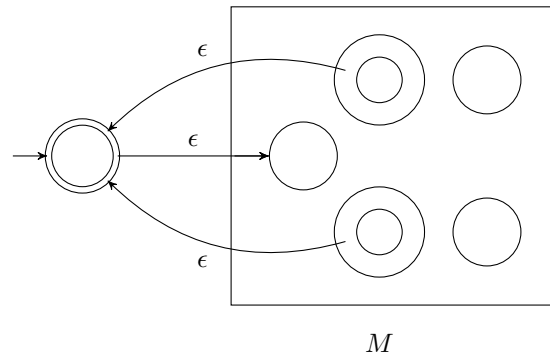
M_\cap satisfies $\mathcal{L}(M_\cap) = \mathcal{L}(M_1) \cap \mathcal{L}(M_2)$.

Concatenation: Let M_1 and M_2 be DFSA. The NFSA M , whose diagram is given below satisfies $\mathcal{L}(M) = \mathcal{L}(M_1) \cdot \mathcal{L}(M_2)$:



The accepting states in M_1 are only accepting for M_1 , not for M .

Kleene Star: Let M be a DFSA. The NFSA M^* whose diagram is given below satisfies $\mathcal{L}(M^*) = \mathcal{L}(M)^*$:



The accepting states in M are only accepting for M , not M^* .

Remark: In theorem 7.2, the intersection property can be proven without constructing a FSA. Suppose that L_1 and L_2 are regular. Since $L_1 \cap L_2 = \overline{(\overline{L_1} \cup \overline{L_2})}$, $L_1 \cap L_2$ is regular using the complementation and union closure properties.

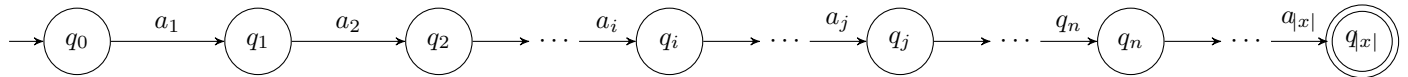
Also, the FSA construction used for the intersection property is known as the Cartesian product construction.

Lemma 7.3 (The Pumping Lemma)

Let L be a regular language. There exists some $n \in \mathbb{Z}^+$ such that for any $x \in L$ with $|x| \geq n$, there are strings u , v , and w such that each of the following conditions hold:

- (i) $x = uvw$
- (ii) $v \neq \epsilon$
- (iii) $|uv| \leq n$
- (iv) $uv^k w \in L$ for all $k \in \mathbb{N}$

PROOF: Suppose that L is a regular language. There exists a DFSA M such that $L = \mathcal{L}(M)$. Now let n be the number of states in M . Suppose that $x \in L$ with $|x| \geq n$. Consider the states in M as x is read by M .



By the pigeonhole principle, there exist $i, j \in \mathbb{N}$ such that $0 \leq i < j \leq n$ such that $q_i = q_j$. Let $u = a_1 \dots a_i$, $v = a_{i+1} \dots a_j$, and $w = a_{j+1} \dots a_{|x|}$.

We have $x = a_1 \dots a_{|x|} = a_1 \dots a_i a_{i+1} \dots a_j a_{j+1} \dots a_{|x|} = uvw$, so (i) holds. Since $i < j$, $i+1 \leq j$, so $v = a_{i+1} \dots a_j \neq \epsilon$. This proves (ii). Furthermore, $|uv| = |a_1 \dots a_i a_{i+1} \dots a_j| = j \leq n$, so (iii) holds. We will now show that (iv) holds.

Now $\delta^*(q_i, v) = \delta^*(q_i, a_{i+1} \dots a_j) = q_j = q_i$, using the fact that $q_i = q_j$. Thus, $\delta^*(q_i, v^k) = q_i = q_j$ for all $k \in \mathbb{N}$. We have $\delta^*(q_j, w) = q_{|x|}$ and $\delta^*(q_0, u) = q_i$, so $\delta^*(q_0, uv^k w) = q_{|x|}$. Since $\delta^*(q_0, x) = q_{|x|}$ and $x \in \mathcal{L}(M)$, $q_{|x|}$ is an accepting state. Therefore, $uv^k w \in \mathcal{L}(M) = L$ for all $k \in \mathbb{N}$, proving (iv). ■

The rest of the lecture was spent covering the “proving closure property using FSA method” and “proving languages not regular using Pumping Lemma” handouts.

Week 8 Context-Free Grammars

8.1 Context-Free Grammars

Example 8.1

Consider the following context-free grammar:

$$\begin{aligned} S &\rightarrow ABC \\ A &\rightarrow 11A \\ A &\rightarrow \epsilon \\ B &\rightarrow 0B0 \\ B &\rightarrow 0 \\ C &\rightarrow C10 \\ C &\rightarrow C01 \\ C &\rightarrow 1 \end{aligned}$$

Here is a string that can be generated using this grammar:

$$S \Rightarrow ABC \Rightarrow 11ABC \Rightarrow 11BC \Rightarrow 110B0C \Rightarrow 11000C \Rightarrow 11000C10 \Rightarrow 11000C0110 \Rightarrow 1100010110$$

Remark: With context-free grammars, a convention is to write each production of a variable on one line rather than having a separate line for each one. Using this convention, example 8.1 would become

$$\begin{aligned} S &\rightarrow ABC \\ A &\rightarrow 11A, \epsilon \\ B &\rightarrow 0B0, 0 \\ C &\rightarrow C10, C01, 1 \end{aligned}$$

Definition 8.2 (Context-Free Grammar)

A context-free grammar (CFG) is a 4-tuple $G = (V, \Sigma, P, S)$, where

- V is a finite set of variables
- Σ is a finite set of terminals
- P is a finite set of productions; each production is of the form

$$A \rightarrow \alpha$$

where $A \in V$ and $\alpha \in (V \cup \Sigma)^*$

- $S \in V$ is the start variable

Remark: In definition 8.2, the set of terminals Σ is similar to an alphabet in FSAs.

Definition 8.3 (Derivation)

For $\alpha, \beta \in (V \cup \Sigma)^*$, $\alpha \Rightarrow \beta$ means that there exist $\alpha_1, \alpha_2, \gamma \in (V \cup \Sigma)^*$ and $A \in V$ such that

$$\alpha = \alpha_1 A \alpha_2 \qquad \beta = \alpha_1 \gamma \alpha_2 \qquad A \rightarrow \gamma \in P$$

β can be derived from α , denoted $\alpha \Rightarrow^* \beta$, if there exists a sequence $\alpha_1, \dots, \alpha_k \in (V \cup \Sigma)^*$ such that

$$\alpha = \alpha_1 \Rightarrow \alpha_2 \Rightarrow \dots \Rightarrow \alpha_k = \beta$$

Remark: For all $\alpha \in (V \cup \Sigma)^*$, $\alpha \Rightarrow^* \alpha$.

Definition 8.4 (Language of a Context-Free Grammar)

The language of a CFG $G = (V, \Sigma, P, S)$ is

$$\mathcal{L}(G) = \{x \in \Sigma^* : S \Rightarrow^* x\}$$

Example 8.5

Consider the CFG from example 8.1, given by

$$\begin{aligned} S &\rightarrow ABC \\ A &\rightarrow 11A, \epsilon \\ B &\rightarrow 0B0, 0 \\ C &\rightarrow C10, C01, 1 \end{aligned}$$

A generates $\mathcal{L}((11)^*)$, B generates $\mathcal{L}(0(00)^*)$, and C generates $\mathcal{L}(1(10 + 01)^*)$. Thus,

$$\mathcal{L}(G) = \mathcal{L}((11)^*0(00)^*1(10 + 01)^*)$$

Definition 8.6 (Context-Free Language)

A *context-free language (CFL)* is a language L such that

$$\mathcal{L}(G) = L$$

for some CFG G .

Example 8.7

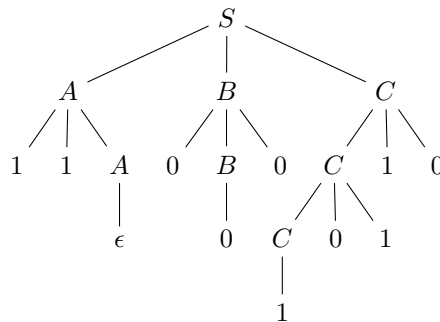
Consider the CFG given by $S \rightarrow 1S0, \epsilon$. S generates $\{1^n 0^n : n \in \mathbb{N}\}$.

Example 8.8 (Parse Tree)

Consider the CFG in example 8.1. Recall that

$$S \Rightarrow ABC \Rightarrow 11ABC \Rightarrow 11BC \Rightarrow 110B0C \Rightarrow 11000C \Rightarrow 11000C10 \Rightarrow 11000C0110 \Rightarrow 1100010110$$

This can be represented by the following parse tree:


Definition 8.9 (Context-Free Grammar Ambiguity)

A CFG G is *ambiguous* if there exists some $x \in \mathcal{L}(G)$ with two different parse trees for its derivation.

Remark: It was noted during lecture that definition 8.9 is not rigorous.

Definition 8.10 (Context-Free Language Inherent Ambiguity)

A CFL is *inherently ambiguous* if every CFG G that generates it is ambiguous.

Remark: “Ambiguity” refers only to context-free grammars, while “inherent ambiguity” refers only to context-free languages.

Definition 8.11

Given $x, y \in \Sigma^*$, define

$$\#_y(x) = \left| \{(u, v) : x = uv\} \right|$$

Remark: In definition 8.11, $\#_y(x)$ is the number of occurrences of y in x .

Example 8.12

$\#_0(x)$ is the number of 0s in x , and $\#_1(x)$ is the number of 1s in x .

Example 8.13 (CFG Design — Example 8.3)

Let $L = \{x \in \{0, 1\}^* : \#_0(x) = \#_1(x)\}$. Find a CFG G such that $\mathcal{L}(G) = L$.

The design is as follows:

- S generates L
- A generates $\{x \in \{0, 1\}^* : \#_0(x) = \#_1(x) + 1\}$
- B generates $\{x \in \{0, 1\}^* : \#_1(x) = \#_0(x) + 1\}$

This yields

$$\begin{aligned} S &\rightarrow \epsilon, 1A, 0B \\ A &\rightarrow 0S, 1AA \\ B &\rightarrow 1S, 0BB \end{aligned}$$

An alternative, simpler design is: S generates L with the productions

$$S \rightarrow \epsilon, 1S0S, 0S1S$$

Example 8.14

For $\Sigma = \{0, 1\}$ and $L = \{x \in \Sigma^* : \#_{00}(x) = \#_{11}(x)\}$, find a CFG G such that $\mathcal{L}(G) = L$.

Consider the following productions:

$$\begin{aligned} S &\rightarrow \epsilon, A11, 1A1, 11A, B11, 1B1, B11 \\ A &\rightarrow 00S, 0S0, S00 \\ B &\rightarrow 11S, 1S1, S11 \end{aligned}$$

where

- S generates L
- A generates $\{x \in \Sigma^* : \#_{00}(x) = \#_{11}(x) + 1\}$
- B generates $\{x \in \Sigma^* : \#_{11}(x) = \#_{00}(x) + 1\}$

8.2 Context-Free and Regular Languages

Theorem 8.15 (Regular Languages are Context-Free)

Every regular language is context-free.

PROOF: A sketch of a proof by structural induction is as follows.

Define a predicate P on \mathcal{RE} by

$P(R)$: there exists a CFG $G = (V, \Sigma, P, S)$ such that $\mathcal{L}(G) = \mathcal{L}(R)$

BASIS: There are three base cases:

1. $R = \emptyset$: Let G be such that $P = \emptyset$
2. $R = \epsilon$: Let G be $S \rightarrow \epsilon$
3. $R = a$, where $a \in \Sigma$: Let G be $S \rightarrow a$

Induction Step: Let R_1 and R_2 be regular expressions. Suppose that we have $G_1 = (V_1, \Sigma, P_1, S_1)$ and $G_2 = (V_2, \Sigma, P_2, S_2)$ such that $\mathcal{L}(R_1) = \mathcal{L}(G_1)$ and $\mathcal{L}(R_2) = \mathcal{L}(G_2)$ (IH). We consider three cases.

1. $R = R_1 + R_2$: Let $V = V_1 \cup V_2 \cup \{S\}$ for some new start variable S and $P = P_1 \cup P_2 \cup \{S \rightarrow S_1, S \rightarrow S_2\}$
2. $R = R_1 R_2$: Let $V = V_1 \cup V_2 \cup \{S\}$ for some new start variable S and $P = P_1 \cup P_2 \cup \{S \rightarrow S_1 S_2\}$
3. $R = R_1^*$: Let $V = V_1 \cup \{S\}$ for some new start variable S and $P = P_1 \cup \{S \rightarrow \epsilon, S \rightarrow S S_1\}$ ■

Definition 8.16 (Grammar Right-Linearity)

A CFG $G = (V, \Sigma, P, S)$ is *right linear* if every production in P has one of the following forms:

1. $A \rightarrow \epsilon$
2. $A \rightarrow xB$

where $A, B \in V$ and $x \in \Sigma^*$.

G is *strict right-linear* if every production in P has one of following forms:

1. $A \rightarrow \epsilon$
2. $A \rightarrow xB$

where $A, B \in V$, $x \in \Sigma^*$, and $|x| \leq 1$.

Theorem 8.17 (Strict Right-Linearity and Regularity Equivalence)

If L is a language, then L is regular if and only if $L = \mathcal{L}(G)$ for some strict right-linear CFG G .

PROOF: A sketch of a proof is as follows.

Let $M = (Q, \Sigma, \delta, s, F)$ be an FSA with $L = \mathcal{L}(M)$. Consider the strict right-linear CFG $G = (V, \Sigma, P, S)$, where $Q = V$, $s = S$, and $F = \{A : A \rightarrow \epsilon \in P\}$. G satisfies $L = \mathcal{L}(G)$. ■

Theorem 8.18

Let G be a right-linear CFG. There exists a strict right-linear CFG G' such that $\mathcal{L}(G') = \mathcal{L}(G)$.

PROOF: The main idea for this proof is to replace each production of the form $A \rightarrow a_1a_2 \dots a_kB$ with

$$\begin{aligned} A &\rightarrow a_1B_1 \\ A &\rightarrow a_2B_2 \\ &\vdots \\ A &\rightarrow a_kB_k \end{aligned}$$

■

8.3 THE BIG RESULT Plus

Theorem 8.19 (THE BIG RESULT Plus)

Let L be a language. The following statements are equivalent:

1. $L = \mathcal{L}(R)$ for some regular expression R
2. $L = \mathcal{L}(M)$ for some DFSA M
3. $L = \mathcal{L}(M)$ for some NFSA M
4. $L = \mathcal{L}(G)$ for some right-linear CFG G
5. $L = \mathcal{L}(G)$ for some strict right-linear CFG G