

# CS 302.1 - Automata Theory

Lecture 08

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# Quick Recap

Pushdown Automata and CFLs are equivalent

CFLs  $\Rightarrow$  Pushdown Automata

## Deterministic Pushdown Automata (DPDA)

For every  $q \in Q, a \in \Sigma$  and  $x \in \Gamma$ , at most one legal transition at any stage of the computation.

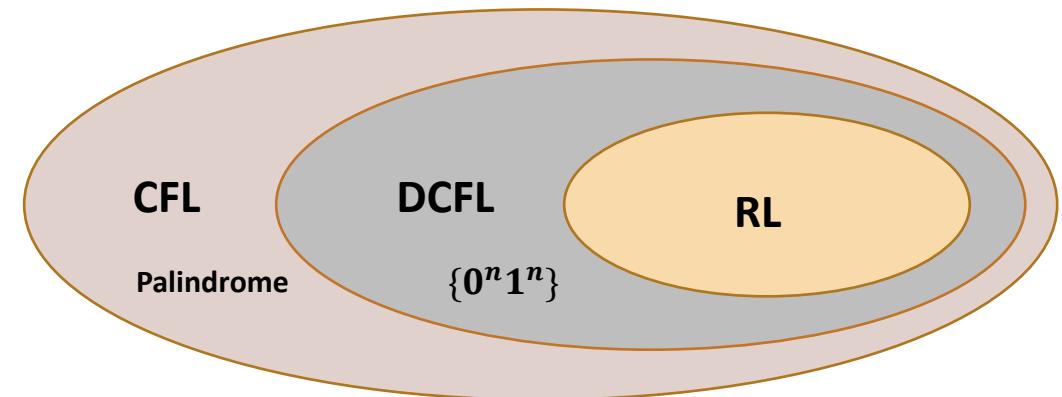
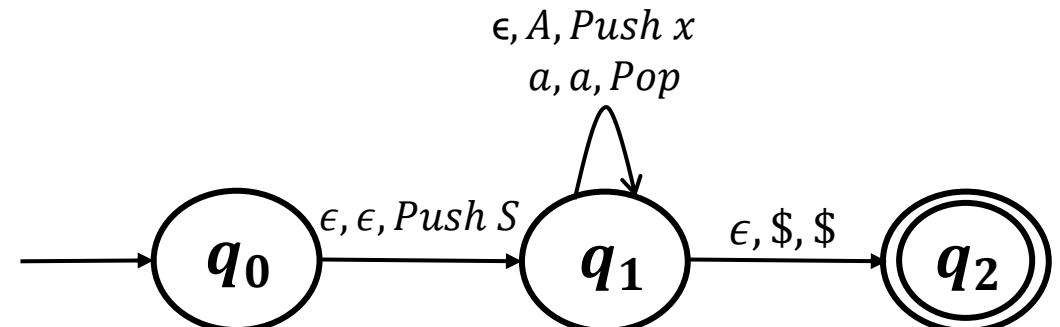
$\epsilon$  transitions are possible.

Some transitions may be missing.

- PDAs are more powerful than DPDAs
- Language recognized by DPDA : DCFL

$L = \{w | w \text{ is a Palindrome}\} L \subseteq \text{CFL}$  but not DCFL

- $DCFL \subseteq CFL$



$(RL \equiv \text{Regular Grammar} \equiv \text{Regular Expressions} \equiv NFA \equiv DFA) \subseteq (DCFL \equiv DPDA) \subseteq (CFL \equiv CFG \equiv PDA)$

# Pumping Lemma for CFLs

Recall that so far, we have seen the following:

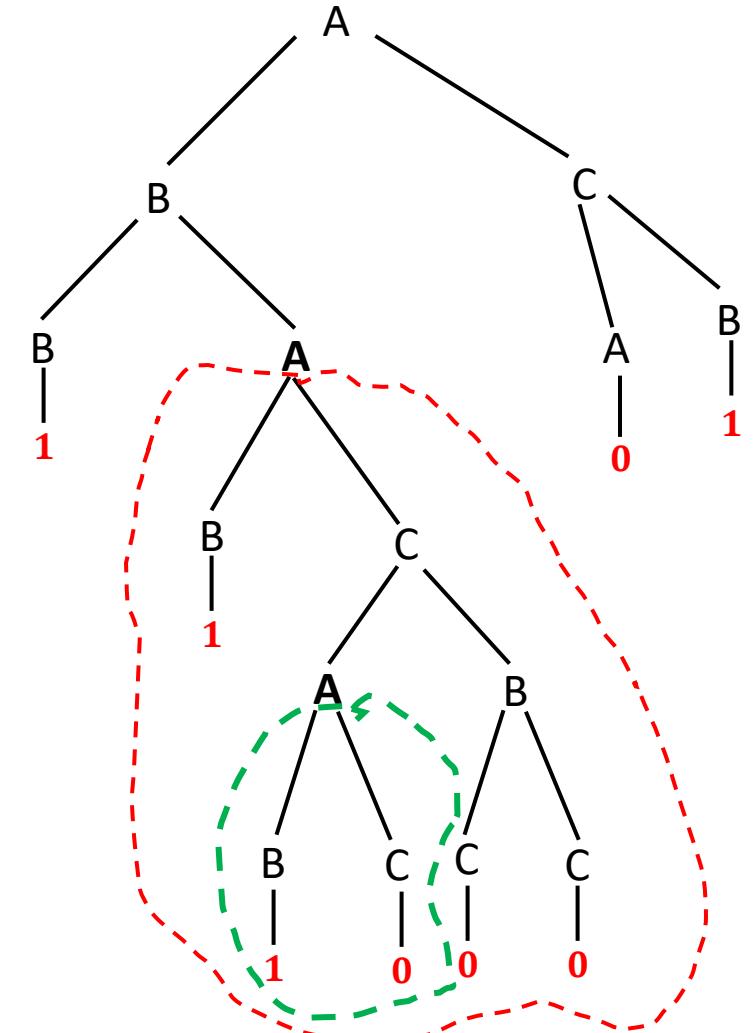
- $L$  is a context-free language.
  - $L$  is generated by a Context Free Grammar (CFG) from which any  $w \in L$  can be **derived**.
  - The derivation of any CFG can be represented by **parse trees**.
  - Any CFG can be expressed in Chomsky Normal Form (CNF): the number of steps required to derive any  $w \in L$ :  $2|w| - 1$
  - There exists a Pushdown Automata  $P$  such that  $\mathcal{L}(P) = L$ .
- 
- Not all languages are context free.
  - Just like in the case of Regular languages, the pumping lemma helps us identify non-CFLs.
  - **All CFLs satisfy the conditions of the pumping lemma:** If any language  $L$  fails to do so, it is not Context-Free.
  - The principle of the Pumping Lemma for CFLs is similar to that of Regular Languages
  - In order to recognize very long strings in a given CFL  $L$ , the **model of computation (CFGs/parse-trees) must repeat some steps of the computation**
  - These steps can be **repeated any number of times (pumped)** to produce longer and longer strings all of which **belong to  $L$** .
  - Conversely if **this does not hold,  $L$  is not CFL**.

# Pumping Lemma for CFLs

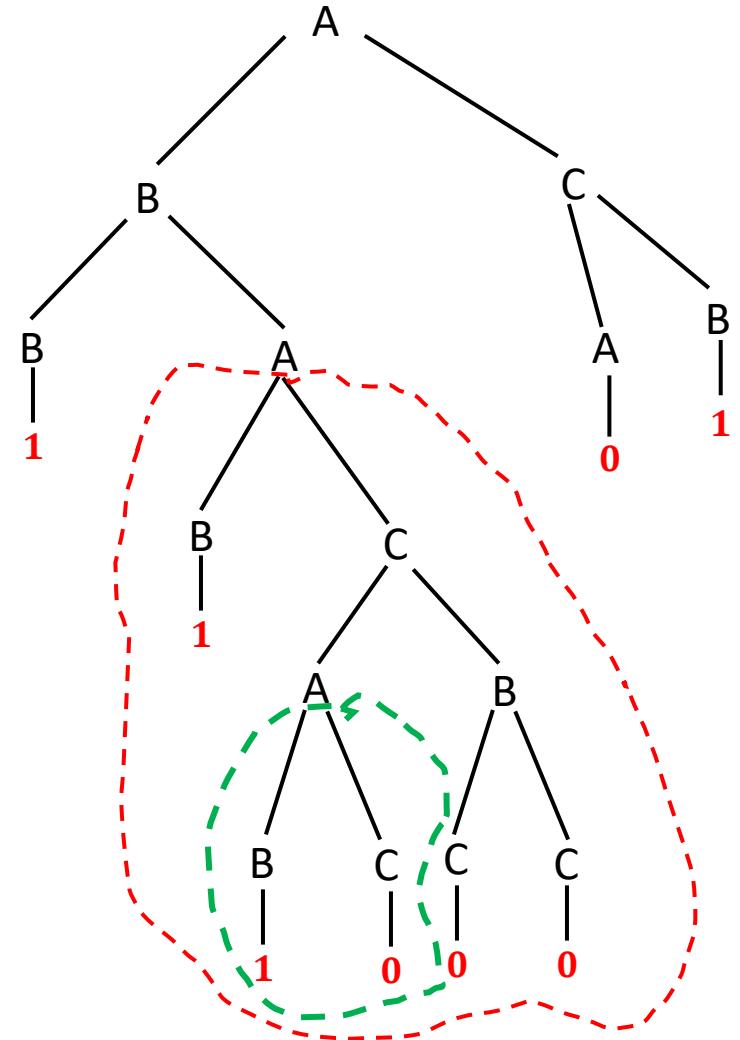
## Example:

$$\begin{aligned}A &\rightarrow BC|0 \\B &\rightarrow BA|1|CC \\C &\rightarrow AB|0\end{aligned}$$

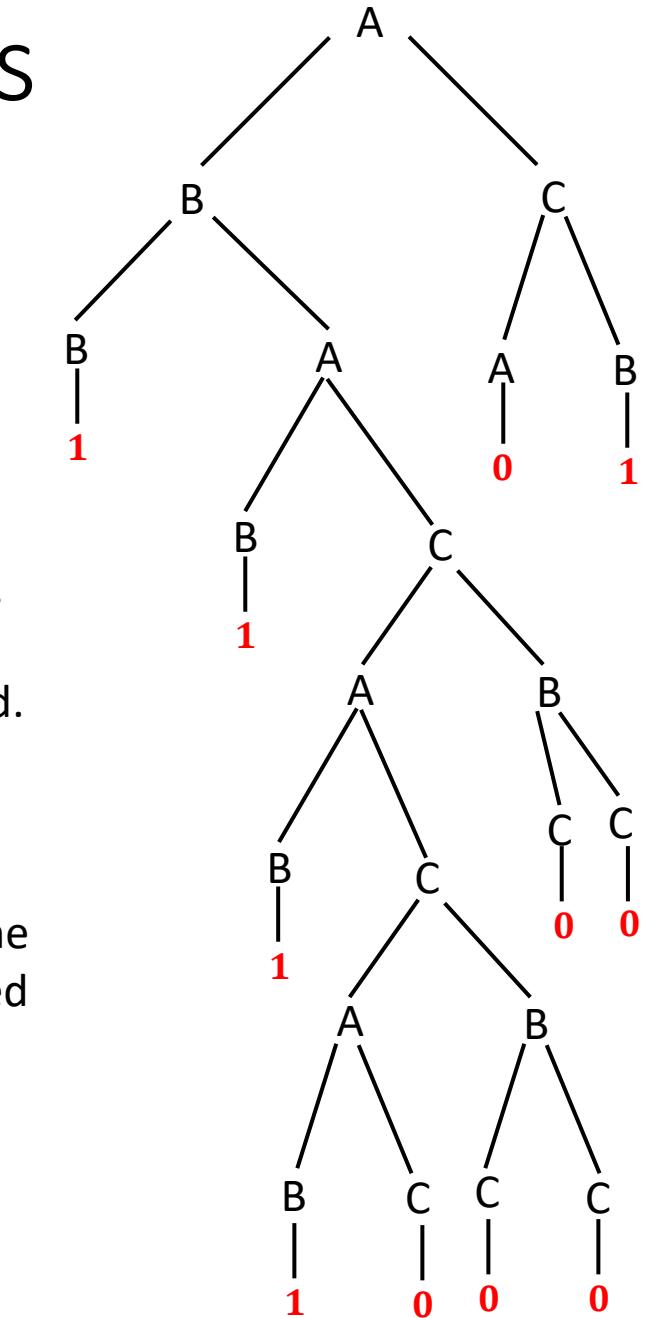
- No of variables  $|V| = 3$
- Consider a derivation of  $w = 11100001$
- Consider the longest path in the parse tree.
- Longest path length = 5, which is larger than  $|V|$ .
- There exists at least one variable that is repeated.
- For example:  $A$  – mark it.
- Replace the bottom most appearance of the variable  $A$  with the subtree in the middle rooted at  $A$  to obtain a new tree.



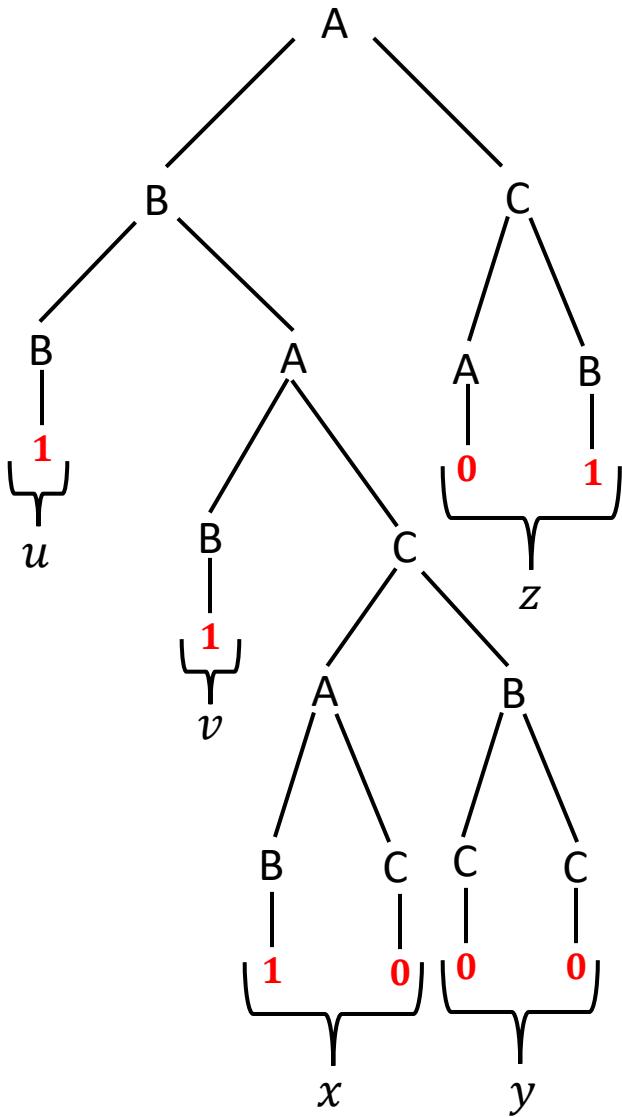
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# Pumping Lemma for CFLs



For the tree in the left, the input string  $w$  can be split into five parts:  $w = uvxyz$

	<b>u</b>	<b>v</b>	<b>x</b>	<b>y</b>	<b>z</b>
L Tree	1	1	10	00	01

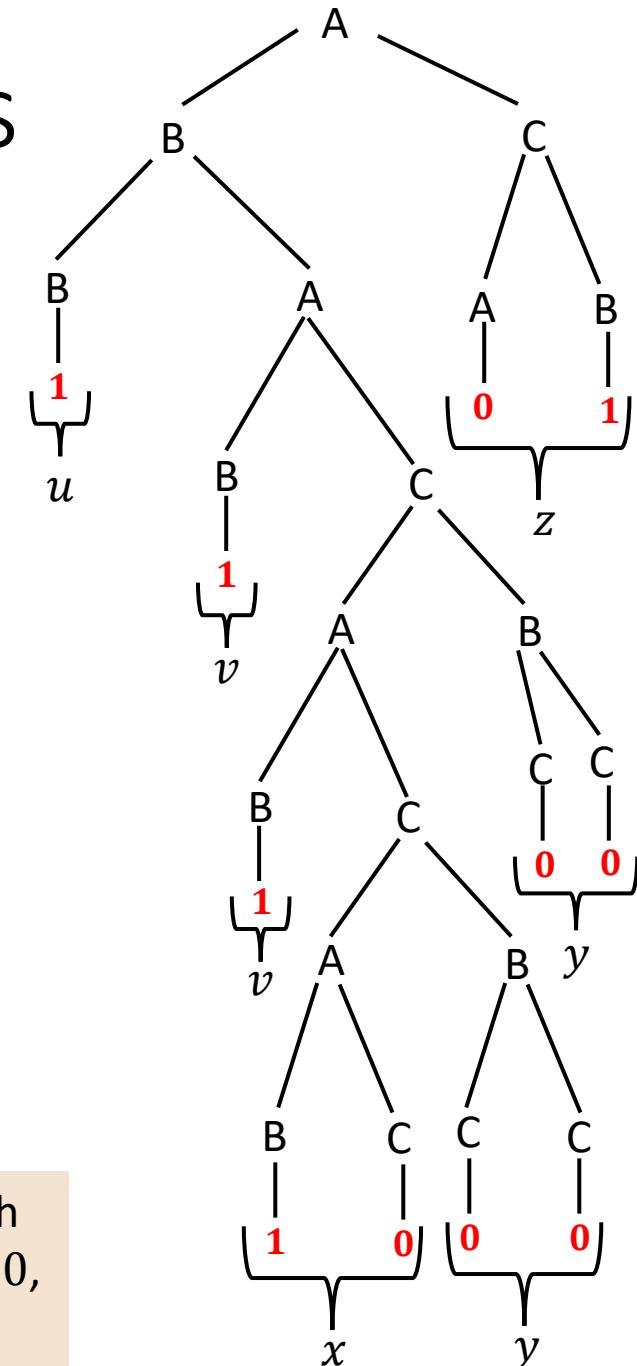
	<b>u</b>	<b>vv</b>	<b>x</b>	<b>yy</b>	<b>z</b>
R Tree	1	11	10	0000	01

By the substitution mentioned in the previous slide, we can keep pumping in  $v$  and  $y$  to get new strings of the form  $w = uv^i xy^i z$  ( $i \geq 0$ ), and any such  $w \in L$  as it is a valid derivation.

**Other conditions:**

$|vy| \geq 1$ ,  $v, y$  cannot be both  $\epsilon$   
 $|vxy| \leq p$

In fact if  $L$  is a CFL,  $\exists p$  such that  $\forall w \in L$  of length  $|w| \geq p$ , we can split  $w = uvxyz$ , such that  $\forall i \geq 0$ ,  $w = uv^i xy^i z \in L$



# Pumping Lemma for CFLs

## Properties of parse trees:

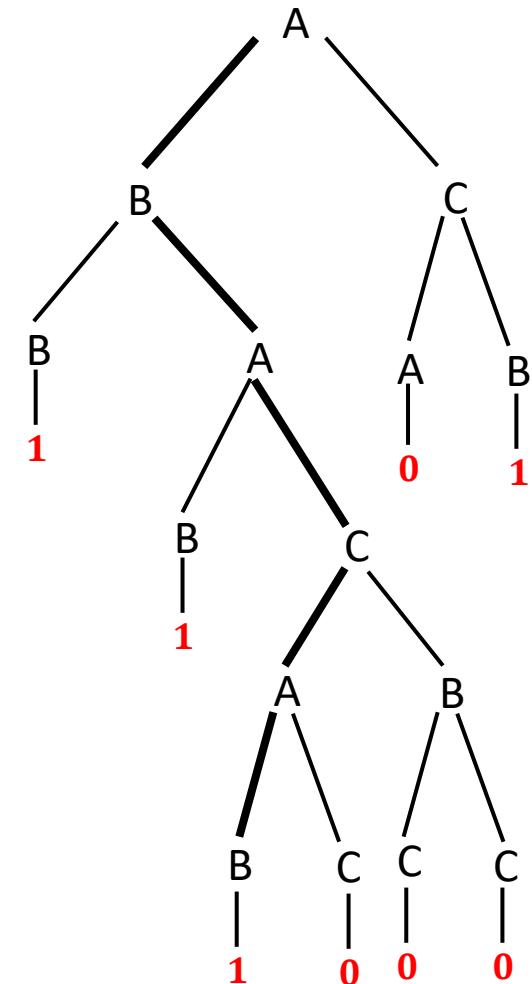
Let  $L$  be a CFL and  $G$  be such that  $L = \mathcal{L}(G)$  and  $w \in L$ . Consider a parse tree  $T_w^G$  of  $G$  that yields  $w$ . Then:

- A path from the root to a leaf is sequence of variables and ends in a terminal or  $\epsilon$ .
- Let  $d$  be the maximum number of variables in the RHS of any rule of  $G$ .
- For example: If  $G$  is in CNF,  $d = 2$ .

## Example:

$$\begin{aligned}A &\rightarrow BCDE|0 \\B &\rightarrow BA|1|CC \\C &\rightarrow AB|0 \\D &\rightarrow 01|EA\end{aligned}$$

$$d = 4$$



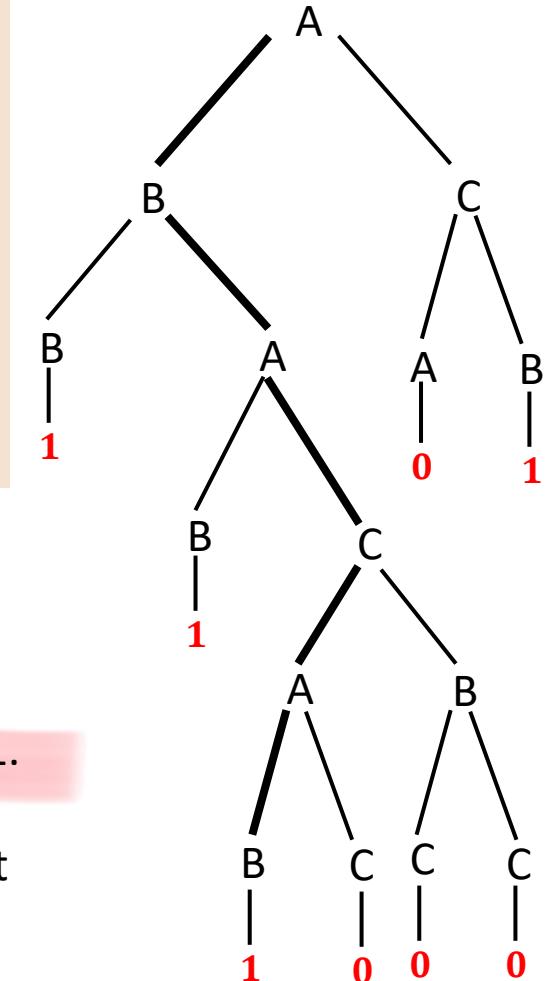
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- Let  $d$  be the maximum number of variables in the RHS of any rule of  $G$ .
- For example: If  $G$  is in CNF,  $d = 2$ .
- This results in a  $d$ -ary parse tree.
- Any  $T_w^G$  has at **level  $l$** , at most  **$d^l$  nodes**. Thus, any  $T_w^G$  of height  $h$  has at most  $d^h$  terminals.

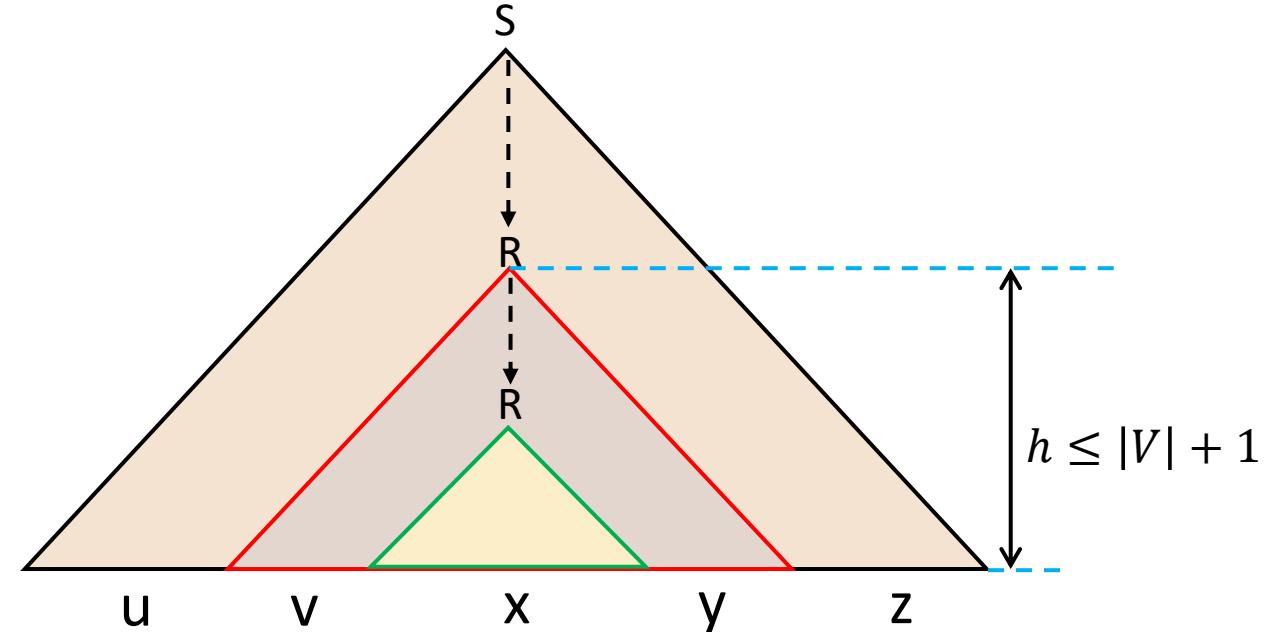
- Let  $|V|$  be the total number of variables in the Grammar  $G$ .
- If  $w \in L$  such that  $|w| = p = d^{|V|+1}$ , the underlying parse tree would have a height  $\geq |V|+1$ .
- The longest path from the Start Variable  $S$  to a terminal is at least  $|V| + 1$  (containing at least  $|V| + 1$  variables).



# Pumping Lemma for CFLs

Let  $L$  be a CFL and  $G$  be such that  $L = \mathcal{L}(G)$  and  $w \in L$ . Consider a parse tree  $T_w^G$  of  $G$  that yields  $w$ .

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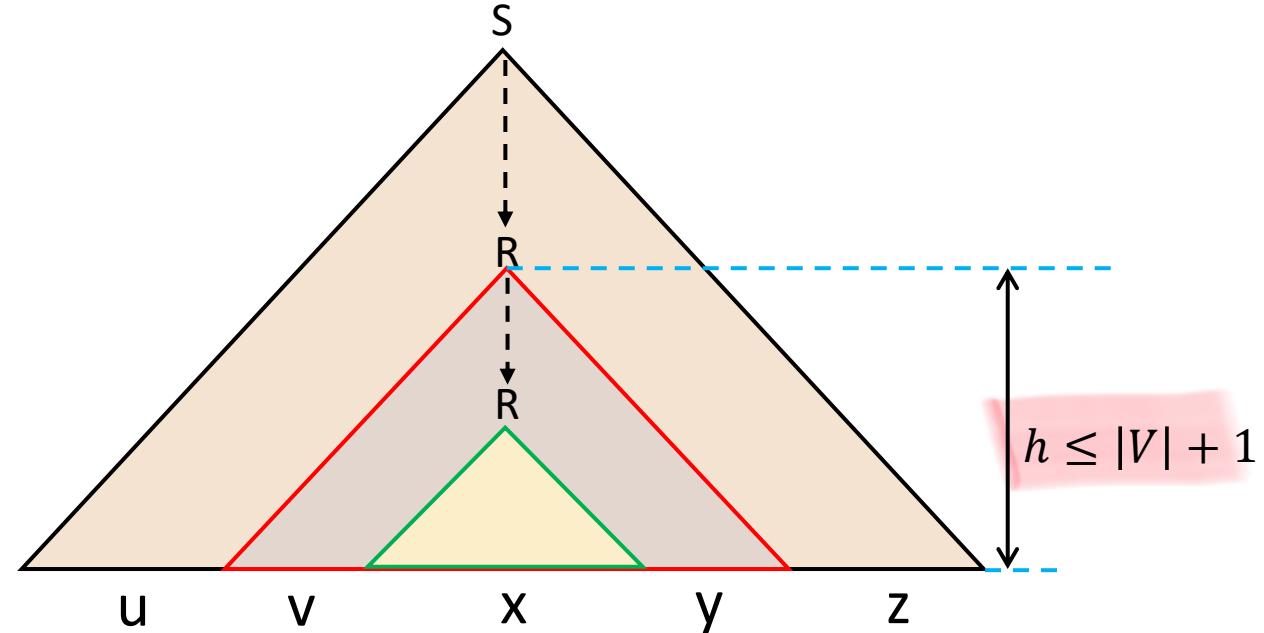
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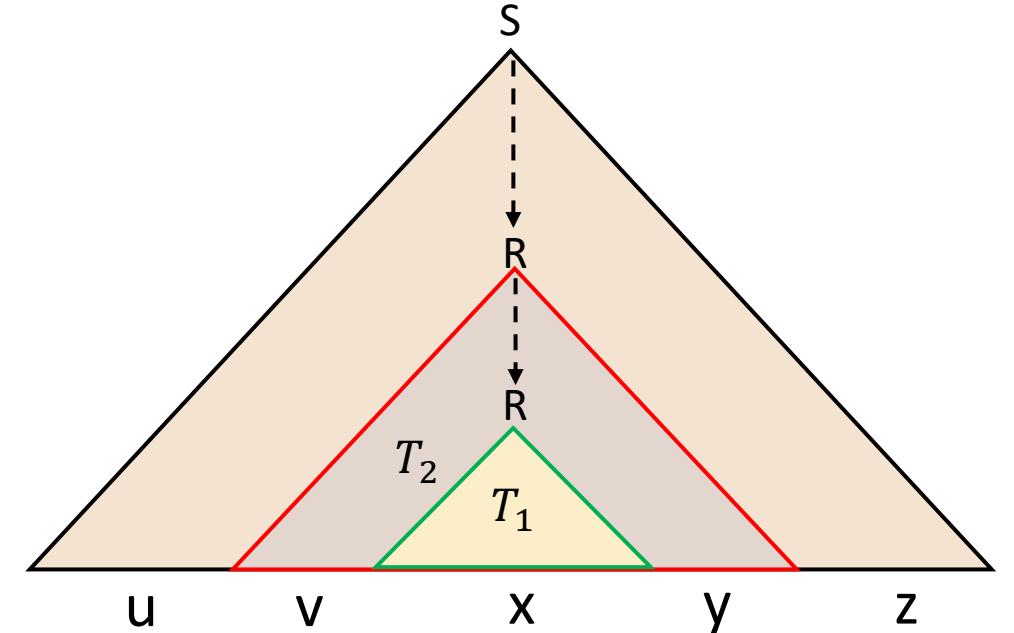
Then any string  $w$  such that  $|w| \geq p$ , can be partitioned as  $w = uvxyz$  such that

- $|vxy| \leq p$  - the uppermost  $R$  falls within the bottom  $|V| + 1$  variables in the longest path and so the length of the string it can generate is  $\leq d^{|V|+1} = p$ .

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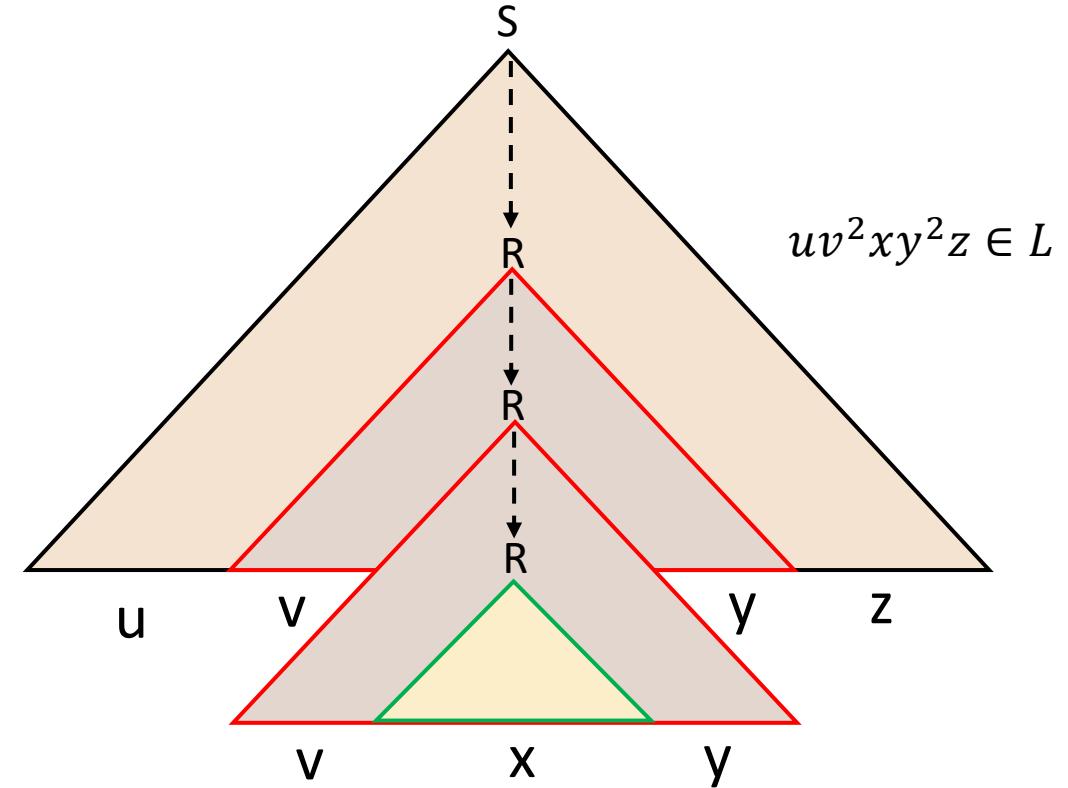
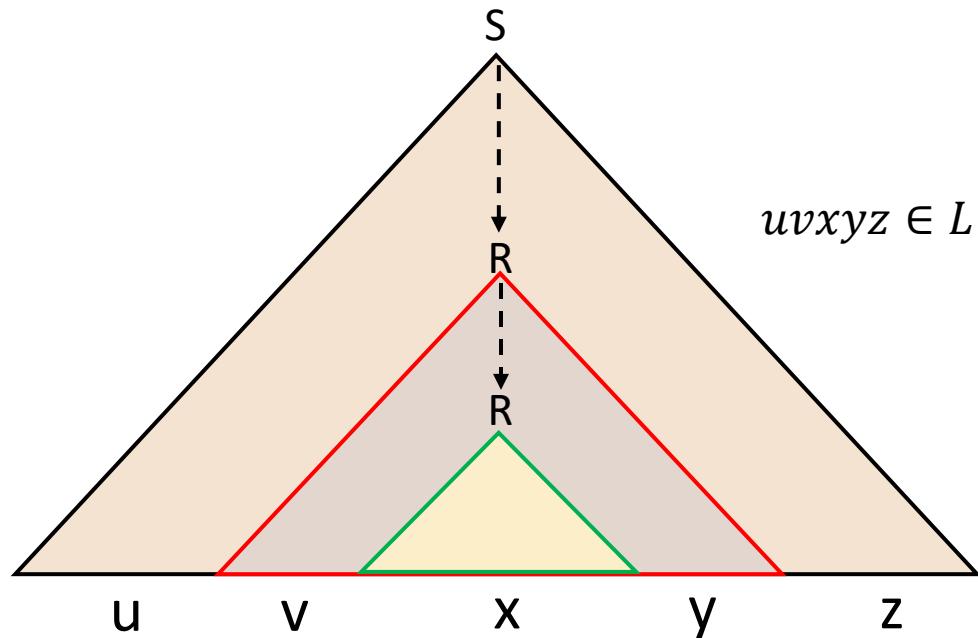


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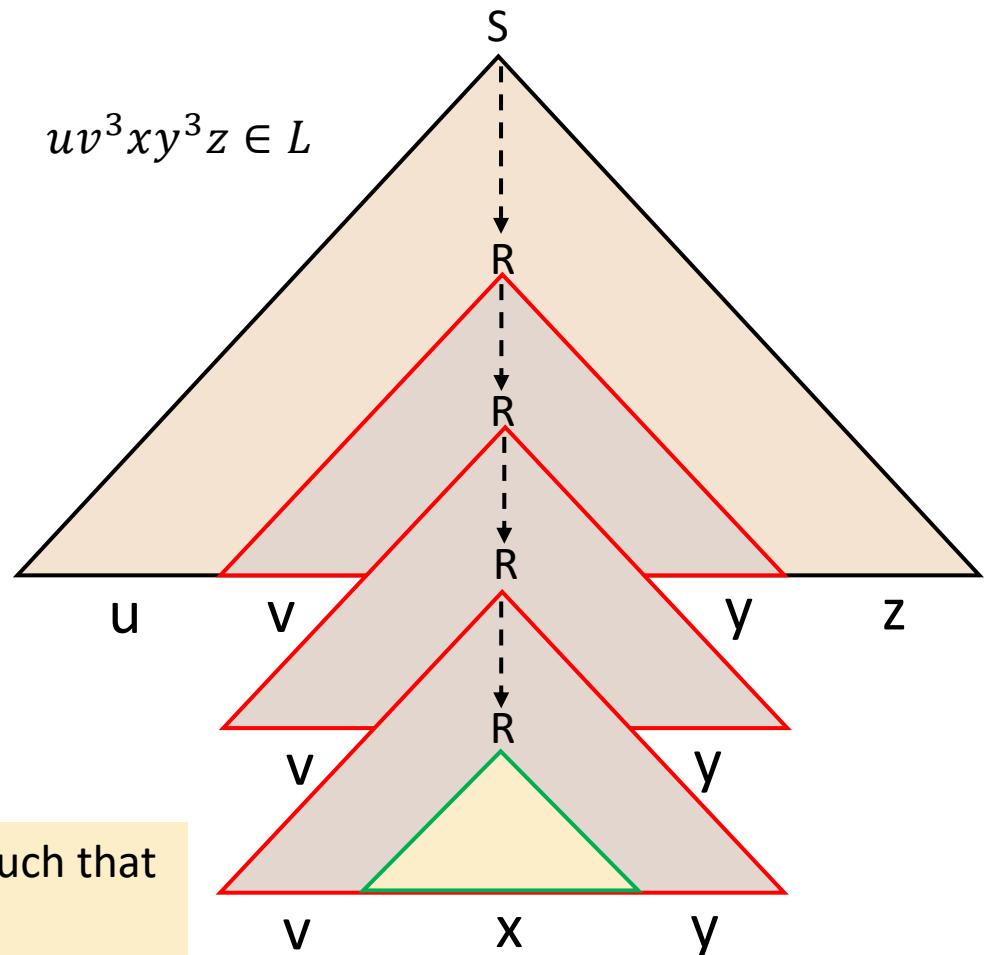
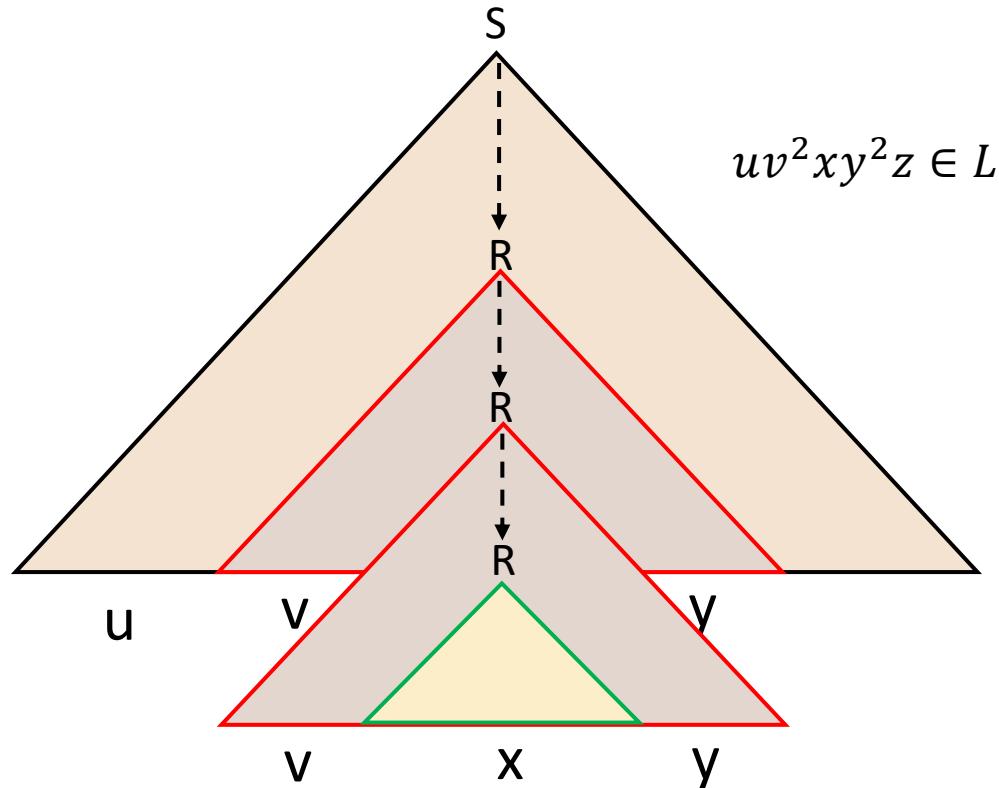


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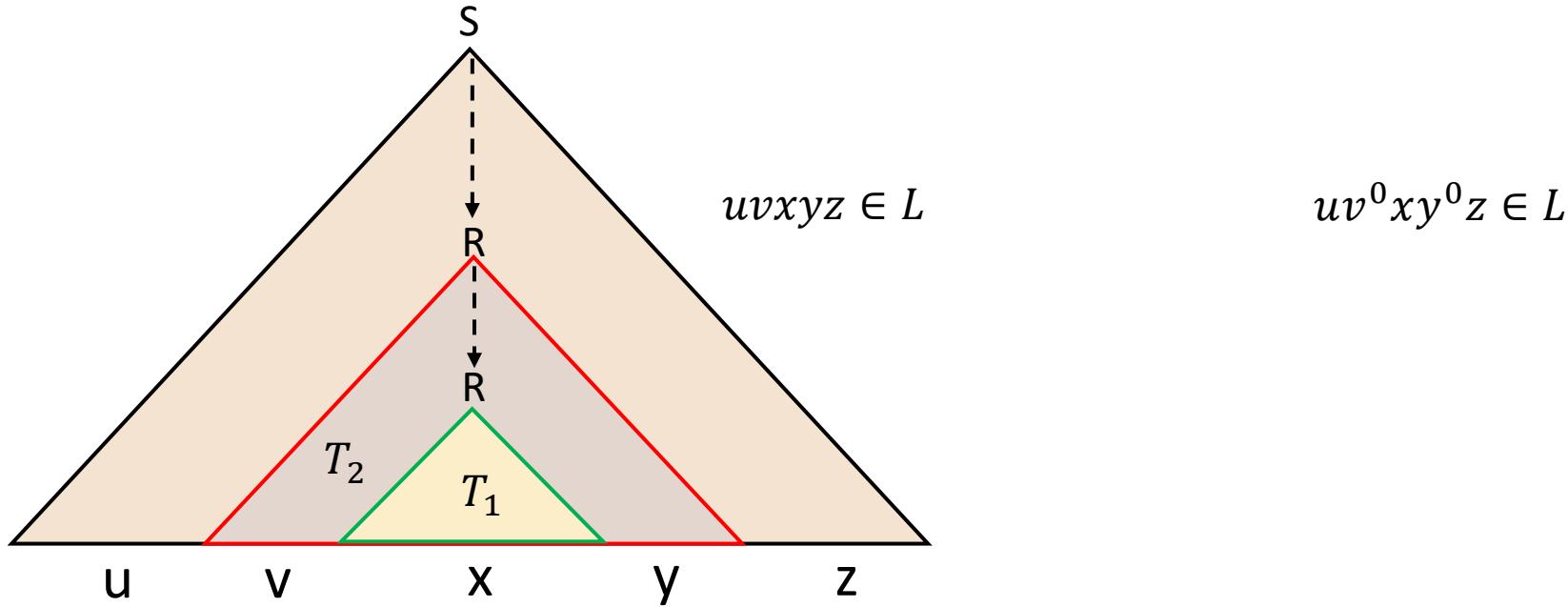


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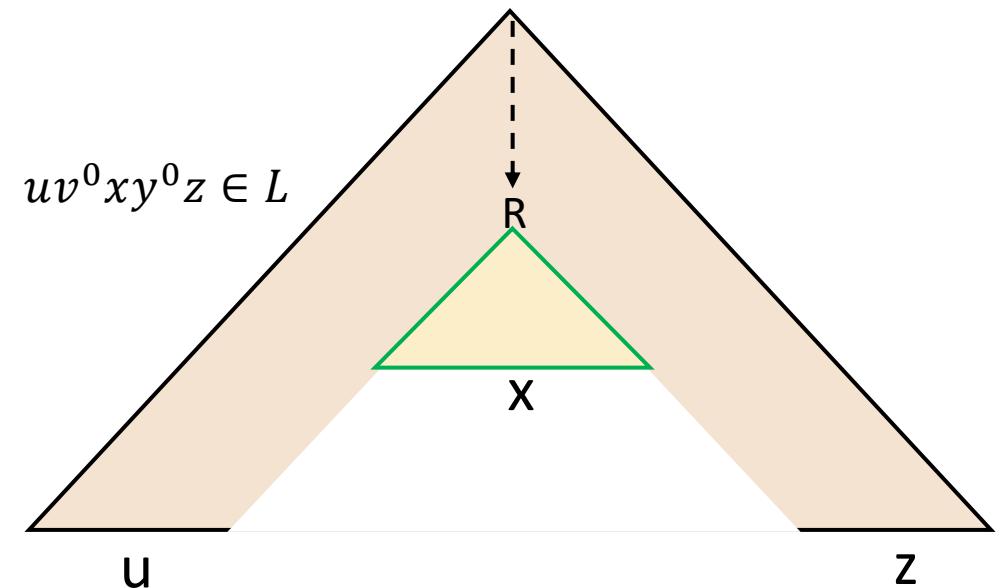
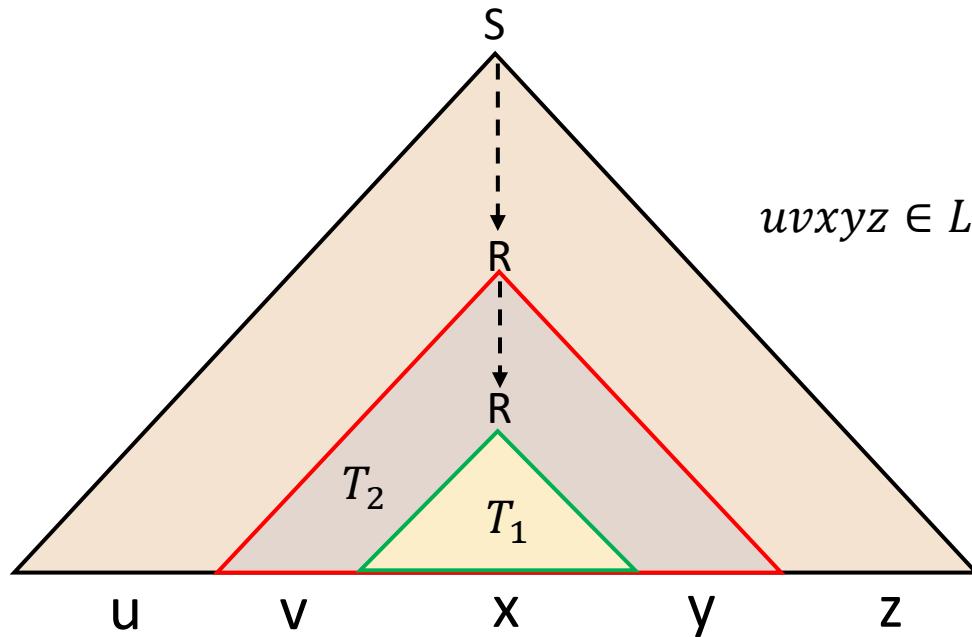


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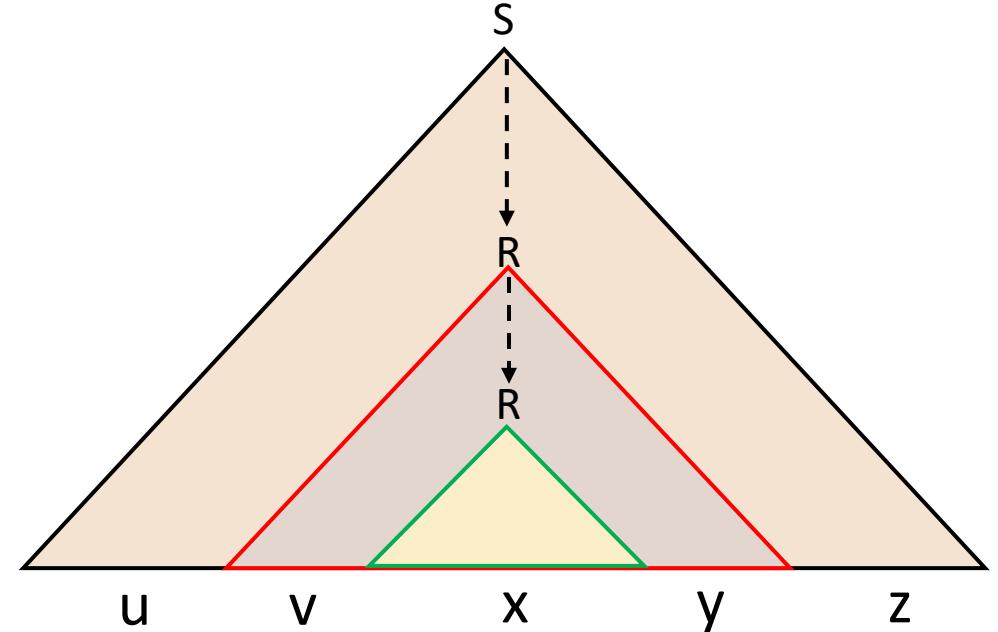
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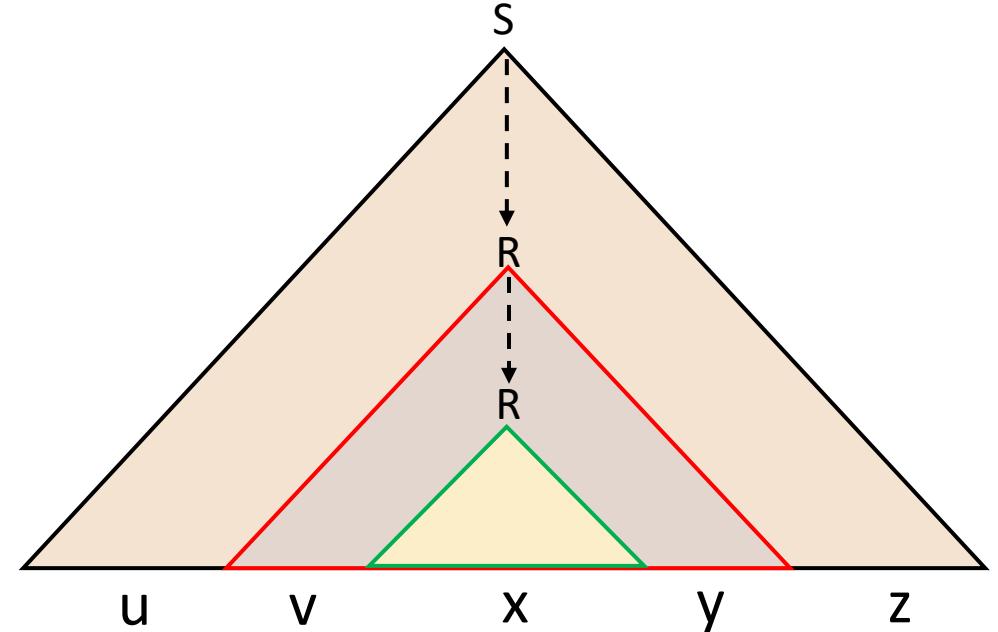
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What if  $G$  is ambiguous? More than one parse tree generates  $w$ .

Pick the one with the smallest number of nodes. So  $T_w^G$  is the smallest parse tree generating  $w$ .

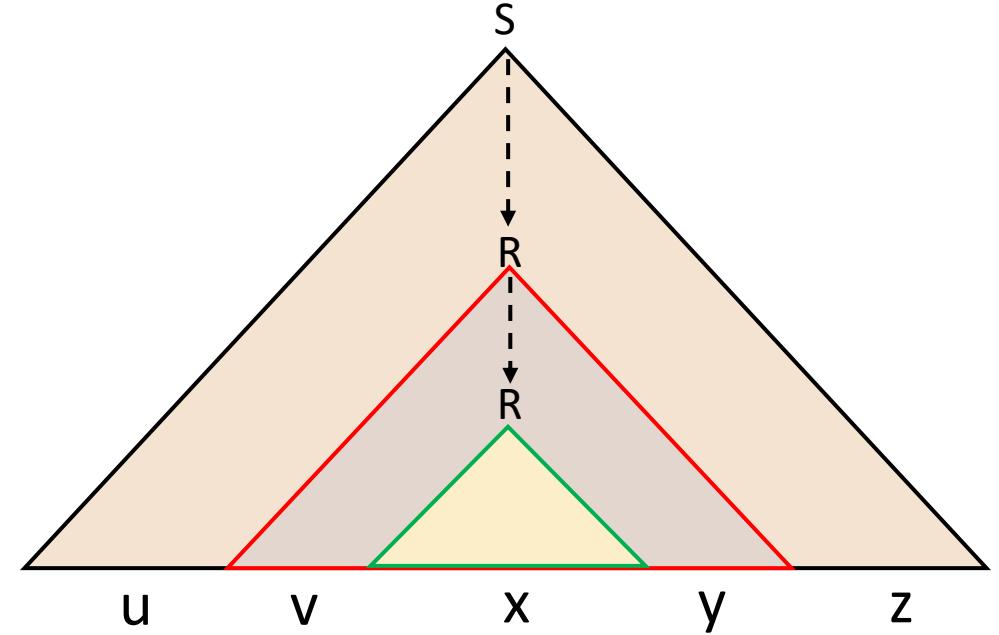
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$T_w^G$  is the smallest parse tree generating  $w$ .

This leads to an additional condition!

$v, y$  cannot be both empty, i.e.  $|vy| \geq 1$

# Pumping Lemma for CFLs

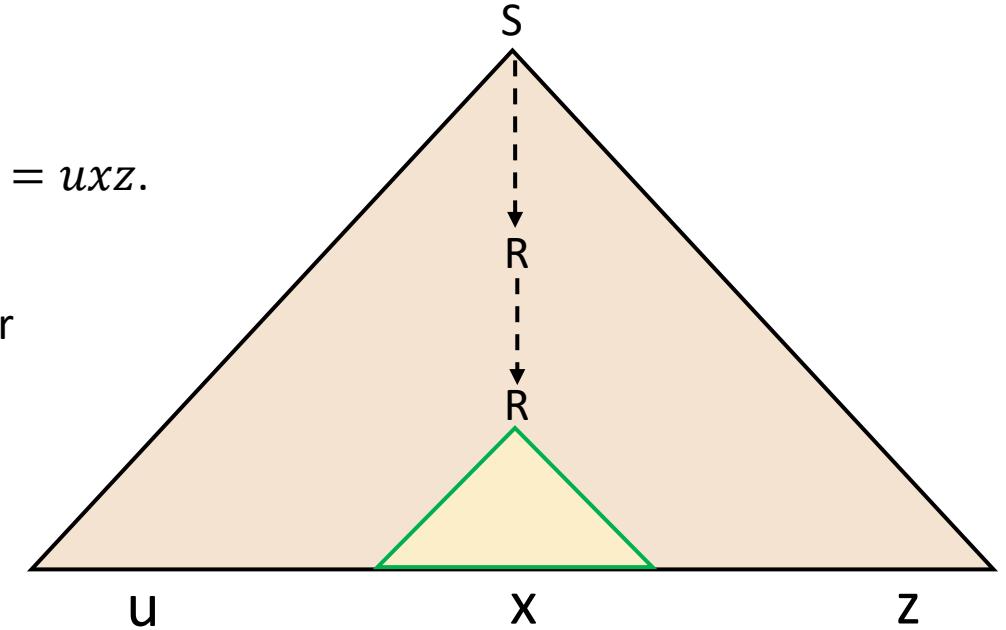
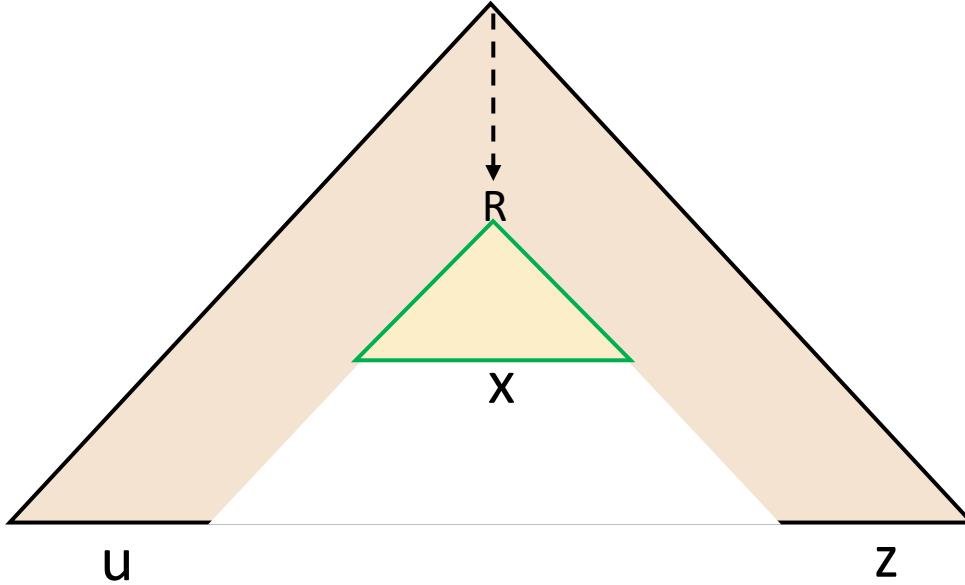
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$v, y$  cannot be both empty, i.e.  $|vy| \geq 1$

**Proof by contradiction:** Let us assume that they were both empty, i.e.  $w = uxz$ .

Then  $T_w^G$  would look like this.

However, if we substitute the smaller subtree rooted at  $R$  with the higher subtree, we obtain



The parse tree to the left generates  $w$  and has fewer nodes which is a **contradiction!!**

# Pumping Lemma for CFLs

**Pumping Lemma for CFL:** IF  $L$  is Context Free, THEN there exists  $p > 0$  (pumping length), such that, for any  $w \in L$  of length  $|w| \geq p$ ,  $\exists u, v, x, y, z$  such that  $w$  can be split into five parts, i.e.

$$w = uvxyz$$

satisfying the following conditions:

- $|vy| \geq 1$
- $|vxy| \leq p$
- $uv^i xy^i z \in L, \forall i \geq 0$

**Note:**  $(A \Rightarrow B) \equiv (\neg B) \Rightarrow (\neg A)$

IF  $L$  is Context Free, THEN conditions of Pumping Lemma are Satisfied

$\equiv$

IF conditions of Pumping Lemma are NOT satisfied THEN  $L$  is NOT Context Free

In order to prove that a language is not Context Free, assume that it is Context Free and obtain a contradiction.

# Non Context Free Languages

$L = \{0^n 1^n 2^n | n \geq 0\}$  is not Context-Free.

**Proof:** We shall prove this by contradiction. Let  $L$  be a CFL and so it must satisfy the conditions of the Pumping Lemma. Let  $p$  be the pumping length and so  $w = 0^p 1^p 2^p \in L$ .

Note that  $|w| = 3p$  ( $\geq p$ ). The pumping lemma states that  $w$  can be split into  $w = uvxyz$  such that

- $|vy| \geq 1$
- $|vxy| \leq p$
- $uv^i xy^i z \in L, \forall i \geq 0$

First observe that in  $w = 0^p 1^p 2^p$ , the last 0 and the first 2 is separated by  $p$  1's. As  $|vxy| \leq p$ , the substring  $vxy$  has at most two distinct symbols. Now consider the string  $w' = uv^2 xy^2 z$ . What are the possibilities of  $vxy$ ?

- $vxy = 0^k$  or  $1^k$  or  $2^k, k \leq p$ : Then  $w' \notin L$ . (E.g: If  $vxy = 0^k$ , then,  $w'$  will have more 0's than 1's and 2's.)
- $vxy = 0^m 1^n$  or  $1^m 2^n, m + n \leq p$ : Again,  $w' \notin L$ . (E.g: If  $vxy = 0^m 1^n$ , then  $w'$  will have less 2's than the other two symbols)

Both cases lead to a contradiction. Hence,  $L \notin CFL$ .

# Non Context Free Languages

$L = \{0^n 1^n 2^n | n \geq 0\}$  is not Context-Free.

Other examples:

- $L = \{ww | w \in \{0, 1\}^*\}$
- $L = \{a^p | p \text{ is prime}\}$
- $L = \{0^n 1^{n^2} | n \geq 0\}$

.....

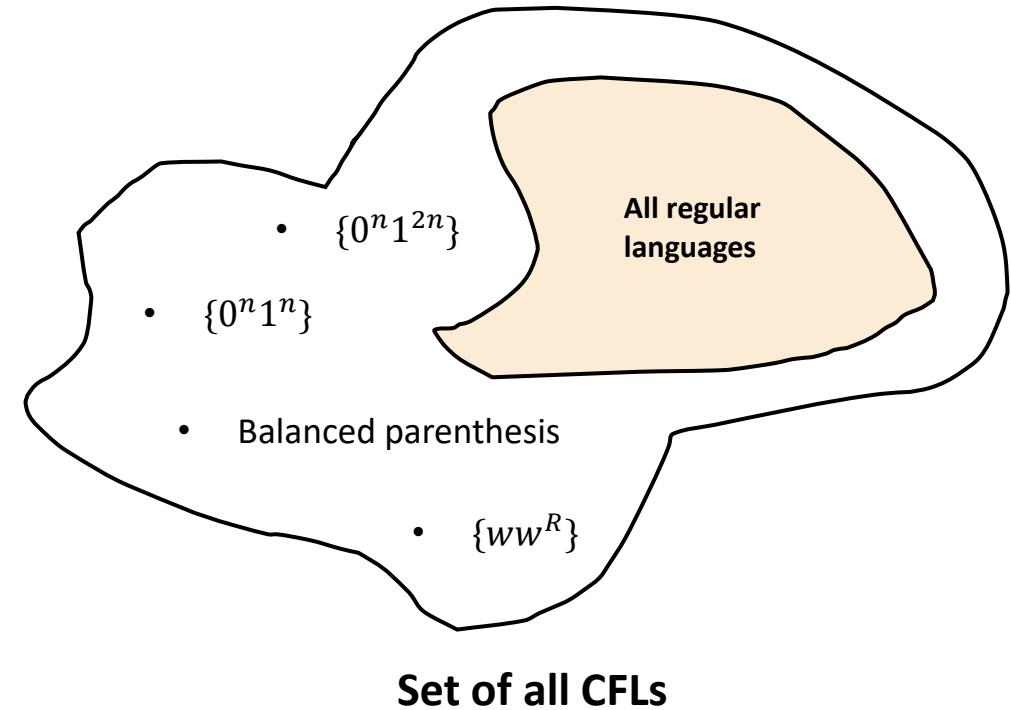
Recommend you to use Pumping Lemma and check that they are indeed not Context Free

# Closure properties of CFL

Now that we know that there are languages that are not Context Free – let us investigate the closure properties of CFLs.

Recall what we mean by the statement “CFLs are closed under some operation”

- We pick up points within the set of all CFLs (say  $L_1$  and  $L_2$ )
- Perform *set operations* such as Union, concatenation, Star, intersection, compliment etc on them.
- Observe whether the resulting language still belongs to the set of all CFLs.
- If so, we say, CFLs are **closed** under that operation otherwise we say CFLs are not closed under than operation.



# Closure properties of CFL

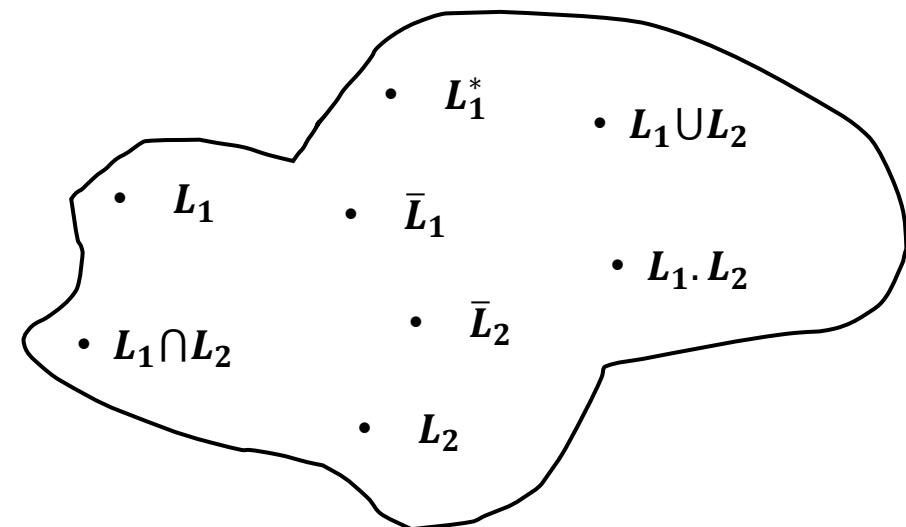
**Some operations:** Let  $L_1$  and  $L_2$  be languages.

- **Union:**  $L_1 \cup L_2 = \{x|x \in L_1 \text{ or } x \in L_2\}$
- **Concatenation:**  $L_1 \cdot L_2 = \{xy|x \in L_1 \text{ and } y \in L_2\}$

- **Intersection:**  $L_1 \cap L_2 = \{x|x \in L_1 \text{ and } x \in L_2\}$
- **Star:**  $L_1^* = \{x_1 x_2 \cdots x_k | k \geq 0 \text{ and each } x_i \in L\}$
- **Complementation:**  $\bar{L} = \{x|x \notin L\}$

**Recall that for Regular languages:** RL are closed under

- Union
- Intersection
- Star
- Complement
- Concatenation



Set of all regular Languages

What about CFLs?

# Closure properties of CFL

**Q:** Is the set of all CFLs **closed under union?**

Suppose  $L_1$  and  $L_2$  are CFLs. Is  $L = L_1 \cup L_2$  also a CFL?

**Proof:** Suppose  $G_1$  and  $G_2$  be grammars such that  $L(G_1) = L_1$  and  $L(G_2) = L_2$ .

Suppose:

Rules of  $G_1$ :  $S_1 \rightarrow \dots$

Rules of  $G_2$ :  $S_2 \rightarrow \dots$

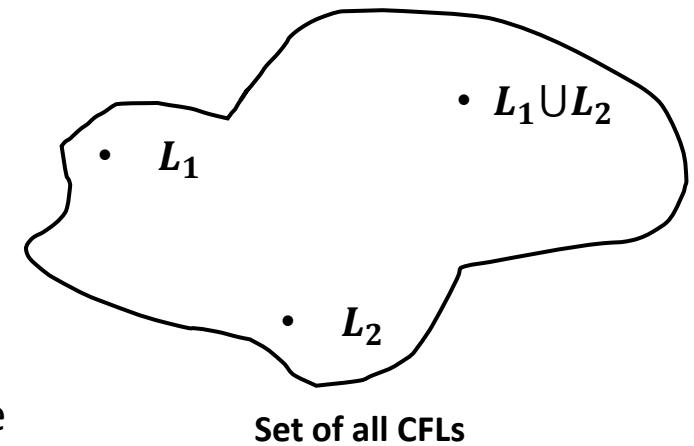
Also suppose that the rules of  $G_1$  and  $G_2$  have different variables.

Then the grammar for  $L_1 \cup L_2$  contains all the variables of  $G_1$  and  $G_2$ , all the terminals of  $G_1$  and  $G_2$ .

Add a new start symbol  $S$  and the rules of  $G_1 \cup G_2$ :

$$S \rightarrow S_1 | S_2$$

followed by rules of  $G_1$  and rules of  $G_2$ . So CFLs are closed under union.



# Closure properties of CFL

**Q:** Is the set of all CFLs **closed under Concatenation?**

Suppose  $L_1$  and  $L_2$  are CFLs. Is  $L = L_1 \cdot L_2$  also a CFL?

**Proof:** Suppose  $G_1$  and  $G_2$  be grammars such that  $L(G_1) = L_1$  and  $L(G_2) = L_2$ .

Suppose:

Rules of  $G_1$ :  $S_1 \rightarrow \dots$

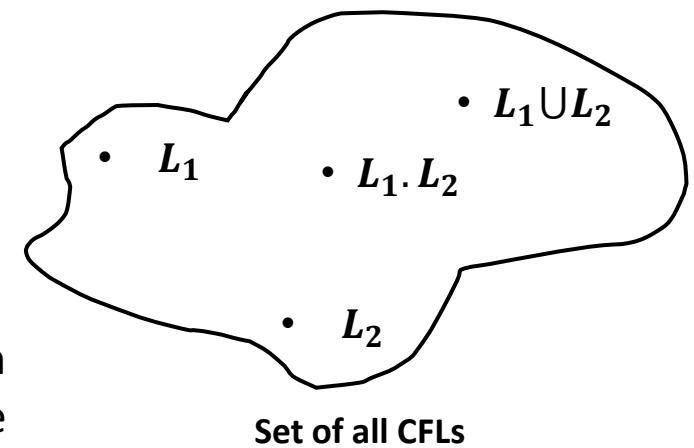
Rules of  $G_2$ :  $S_2 \rightarrow \dots$

Also suppose that the rules of  $G_1$  and  $G_2$  have different variables. Then define  $G'$  such that  $L(G') = L_1 \cdot L_2$ , as the grammar containing all the variables of  $G_1$  and  $G_2$ , all the terminals of  $G_1$  and  $G_2$ , with a new start symbol  $S$ . The new rules:

$$S \rightarrow S_1 \cdot S_2$$

followed by rules of  $G_1$  and rules of  $G_2$ .

So CFLs are closed under concatenation.



# Closure properties of CFL

**Q:** Is the set of all CFLs **closed under Star?**

Suppose  $L$  is a CFL. Is  $L^*$  also a CFL?

**Proof:** Suppose  $G$  be a grammar such that  $L(G) = L_1$

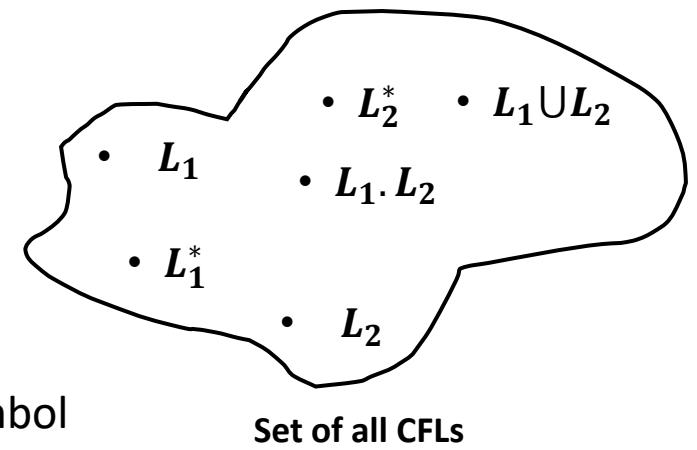
Suppose:

Rules of  $G$ :  $S_1 \rightarrow \dots$

Then the grammar  $G'$  such that  $L(G') = L^*$  is the same as  $G$  with a new start symbol and the additional rules

$$S \rightarrow S_1 S | \epsilon$$

So CFLs are closed under Star.



# Closure properties of CFL

**Q:** Is the set of all CFLs **closed under intersection?**

Suppose  $L_1$  and  $L_2$  are CFLs. Is  $L = L_1 \cap L_2$  also a CFL?

**Proof:** We will prove that CFLs are NOT closed under intersection by using this simple counterexample. Let

$$L_1 = \{0^n 1^n 2^m \mid m, n \geq 1\} \text{ and } L_2 = \{0^m 1^n 2^n \mid m, n \geq 1\}$$

Note that  $L_1, L_2 \in \text{CFL}$  – each of them are concatenation of two CFLs. E.g:  $L_1$  is a concatenation of  $\{0^n 1^n \mid n \geq 1\}$  and  $\{2^m \mid m \geq 1\}$  and the rules of the corresponding grammar are

$$\begin{aligned} S &\rightarrow AB \\ A &\rightarrow 0A1|01 \\ B &\rightarrow 2B|2 \end{aligned}$$

$$L_1 \cap L_2 = \{0^n 1^n 2^n \mid n \geq 1\} \text{ which is not a CFL.}$$

Hence **CFLs are NOT closed under intersection!**



# Closure properties of CFL

**Q:** Is the set of all CFLs **closed under complementation?**

Suppose  $L$  is a CFL. Is  $\bar{L}$  also a CFL?

**Proof:** Let us assume that CFLs are closed under complementation. Then if  $L_1$  and  $L_2$  are context free, then  $\bar{L}_1$  and  $\bar{L}_2$  are also context free. This would imply that

$$\bar{L}_1 \cup \bar{L}_2 \in \mathbf{CFL}$$

Finally, this would imply  $\overline{\bar{L}_1 \cup \bar{L}_2} \in \mathbf{CFL}$ . However,

$$L_1 \cap L_2 = \overline{\bar{L}_1 \cup \bar{L}_2}$$

But this would imply  $L_1 \cap L_2 \in \mathbf{CFL}$ , which is a contradiction.

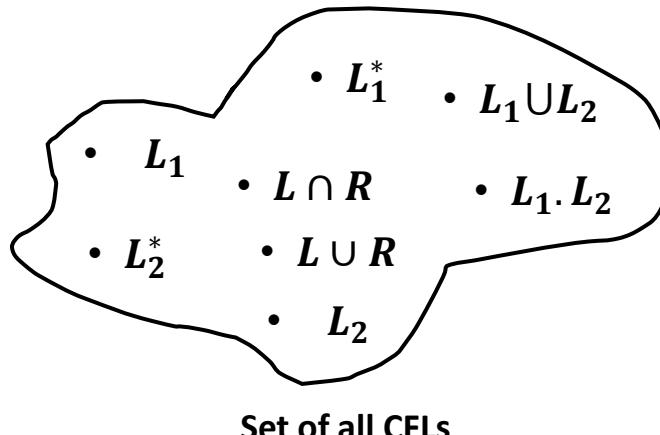
Thus CFLs are NOT closed under complementation.



# Closure properties of CFL

Recall that for Regular languages:

- RLs are closed under
- Union
- Intersection
- Star
- Complement
- Concatenation



For CFLs:

- CFLs are closed under
- Union
- Star
- Concatenation

- CFLs are NOT closed under
- Complementation
- Intersection

If  $L$  is a CFL and  $R$  is a regular language then  
 $L \cap R$  is a CFL.  
 $L \cup R$  is a CFL.

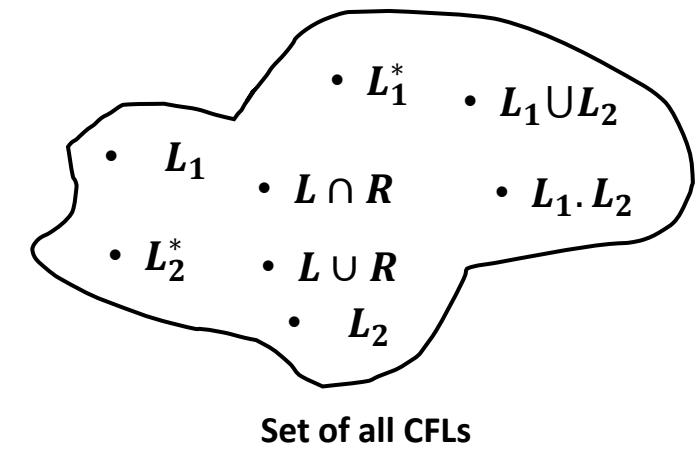
# Closure properties of CFL

- CFLs are closed under **Union, Star, Concatenation**
- CFLs are NOT closed under **Complementation, Intersection**

If  $L$  is a CFL and  $R$  is a regular language then

$L \cap R$  is a CFL.

$L \cup R$  is a CFL.



**Proof intuition:** Construct a **Product PDA**.

If the states of the PDA  $P$ :  $Q = (q_1, q_2, \dots, q_m)$  and DFA  $D$ :  $Q' = (d_1, d_2, \dots, d_n)$ , then states of **Product PDA X**:

$$Q = \{(q, d), \forall q \in Q, \forall d \in Q'\}$$

**Start state:**  $(q_1, d_1)$

If  $\delta(q_i, a, b) = (q_j, c)$  and  $\delta(d_k, a) = d_l$ , then for  $X$ :  $\delta((q_i, d_k), a, b) = ((q_j, d_l), c)$ .

**So  $X$  is a PDA.**

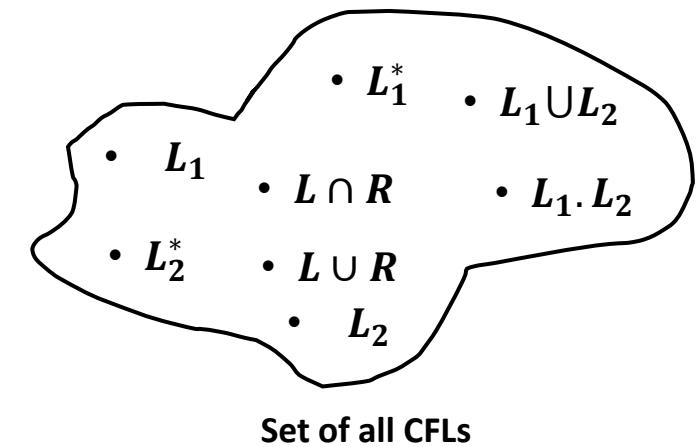
# Closure properties of CFL

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**Start state:**  $(q_1, d_1)$

If  $\delta(q_i, a, b) = (q_j, c)$  and  $\delta(d_k, a) = d_l$ , then for  $X$ :  $\delta((q_i, d_k), a, b) = ((q_j, d_l), c)$ .

If  $\delta(q_i, \epsilon, b) = (q_j, c)$  and  $\delta(d_k, \epsilon) = \Phi$ , then for  $X$ :  $\delta((q_i, d_k), \epsilon, b) = ((q_j, d_k), c)$ .

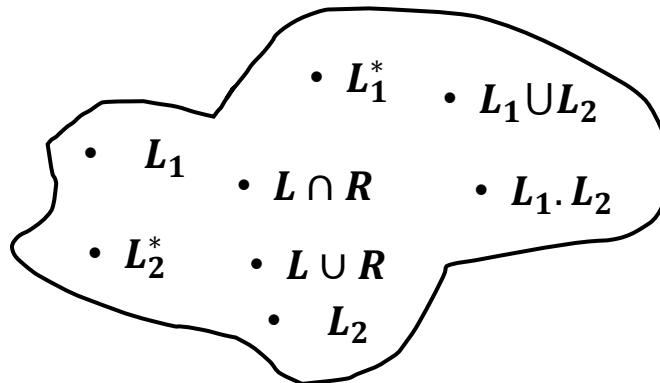
- $L(X) = L(P) \cap L(R)$  if the final state, say  $(q_r, d_s)$  is such that  $q_r$  and  $d_s$  are both final states of  $P$  AND  $D$  respectively.
- $L(X) = L(P) \cup L(R)$  if the final state, say  $(q_r, d_s)$  is such that EITHER  $q_r$  or  $d_s$  are final states of  $P$  OR  $D$  respectively.

# Closure properties of CFL

Recall that for Regular languages:

RL are closed under

- Union
- Intersection
- Star
- Complement
- Concatenation



Set of all CFLs

If  $L$  is a CFL and  $R$  is a regular language then  
 $L \cap R$  is a CFL.  
 $L \cup R$  is a CFL.

For CFLs:

CFLs are closed under

- Union
- Star
- Concatenation

CFLs are NOT closed under

- Complementation
- Intersection

For DCFLs

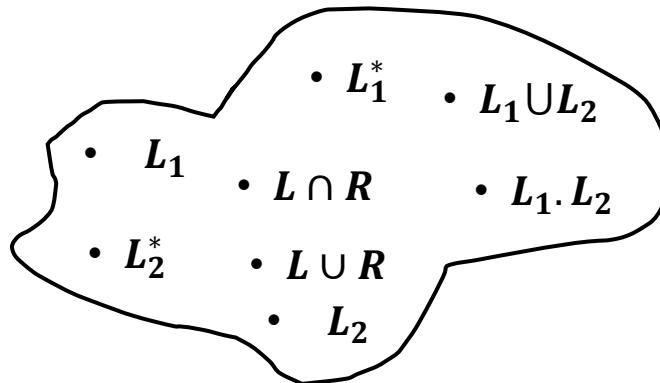
- NOT closed Union - construct a counter example
- Closed under complementation - construct a “toggled” DPDA (a bit of extra work is needed to take care of the dead states)
- NOT closed under intersection - use the first two to prove this

# Closure properties of CFL

Recall that for Regular languages:

RL are closed under

- Union
- Intersection
- Star
- Complement
- Concatenation



If  $L$  is a CFL and  $R$  is a regular language then  
 $L \cap R$  is a CFL.  
 $L \cup R$  is a CFL.

For CFLs:

CFLs are closed under

- Union
- Star
- Concatenation

CFLs are NOT closed under

- Complementation
- Intersection

For DCFLs

- NOT closed Union
- Closed under complementation
- NOT closed under intersection

Next lecture:

- Turing Machine

**Thank You!**