

# Regular Languages

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# Outline

- 1 What this course is about
- 2 Finite Automata
  - Example
  - Definition
  - Regular languages
  - Regular operations
  - Closure
- 3 Nondeterministic Finite Automata
  - Example
  - Definition
  - Equivalence of NFAs and DFAs
  - Closure

# Computational Theory

- limitations of computers
- complexity

In this class, it is helpful to view **problems** as specification of input-output pairs.

**Problem: Parity of integer**

Input: an integer

Output: “yes” if the integer is odd. “no” otherwise.

We can certainly write programs to solve this problem.

## Limitations of computers: Decidability

Other problems: PCP, halting problem

We will learn that these two problems are **undecidable**.

[i.e., whatever programs you write to solve these problems, they will be wrong on some input.]

To be able to **prove** these claims, we need precise **mathematical models of computation**.

In this class, we learn about **automata**, **grammar**, and **Turing machines**.

# Complexity

Some problems are solvable but takes a long time, e.g. factoring.

We study the **complexity** of these problems, i.e., the inherent hardness of the problems.

# This course is useful!

- Learn about limitations of computers
- Learn practical models: automata (calculators, doors, coke machines, microwaves, cruise control), grammars (compilers)
- Learn when to stop looking for better solutions to problems
- Learn **abstract thinking** skills

In theory of computation, we are interested in **modelling** computers, also known as **machines**.

We first start with the simplest kind of machine, **finite automata**.

Their key feature is that they have a finite number of states. (So they are also called “finite state machines.”)



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## 2 Finite Automata

- Example
- Definition
- Regular languages
- Regular operations
- Closure

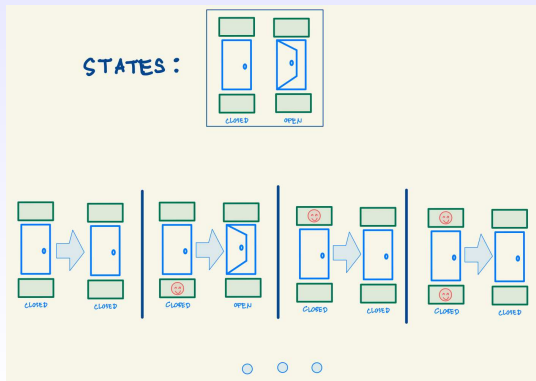
## 3 Nondeterministic Finite Automata

- Example
- Definition
- Equivalence of NFAs and DFAs
- Closure

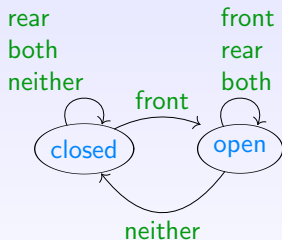
# Finite Automata

Finite automata models computers with very small memory.

Examples: digital microwave, automatic doors, digital watches, fans, etc.



# Old supermarket door DFA



state \ input				
	neither	front	rear	both
closed	closed	open	closed	closed
open	closed	open	open	open

## Mathematical objects required

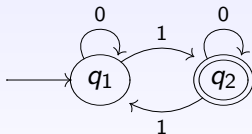
- set
- ordered list
- cartesian product of sets
- sequence
- function
- symbol
- alphabet: set of symbols
- string: sequence of symbols
- language: set of strings

## Another example of a finite automaton

### Problem: Parity of ones

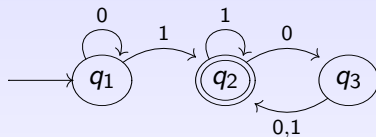
Input: a string of zeros and ones

Output: “yes” if there are odd number of ones. “no” otherwise.



## Another example of a finite automaton

Call this machine  $M_1$



This is called a **state diagram** of  $M_1$ .

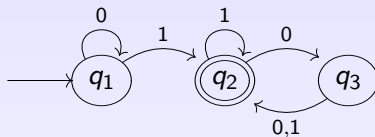
The **states** of  $M_1$  are  $q_1, q_2, q_3$ .

The **start state** is  $q_1$ .

The **accept state** is  $q_2$ .

The **transitions** are indicated by arrows going from state to state.

The **outputs** of  $M_1$  are either **accept** or **reject**.



Try using  $M_1$  to process the strings 1101, 1, 01, 11, 0101010101, 100, 0100, 0101000000, 0, 10, 101000.

[Basically, it accepts anything ending with 1 and anything having even number of 0s following the last 1. It rejects other strings.]

## Formal definition of a finite automaton

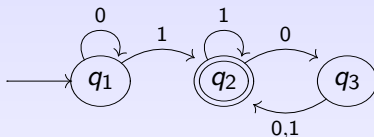
### Definition

A **finite automaton** is a 5-tuple  $(Q, \Sigma, \delta, q_0, F)$  where

- 1  $Q$  is a finite set called the set of **states**,
- 2  $\Sigma$  is a finite set called the **alphabet**,
- 3  $\delta : Q \times \Sigma \rightarrow Q$  is the **transition function**,
- 4  $q_0 \in Q$  is the **start state**,
- 5  $F \subseteq Q$  is the **set of accept states**.

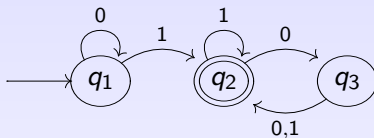
How would  $M_1$  be formally described?





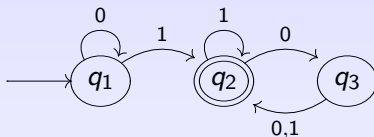
The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

- 1  $Q =$
- 2  $\Sigma =$
- 3  $\delta$  is this function:
- 4 The start state is
- 5  $F =$



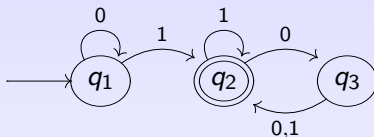
The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

- 1  $Q = \{q_1, q_2, q_3\}$
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The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

- 1  $Q = \{q_1, q_2, q_3\}$
- 2  $\Sigma = \{0, 1\}$
- 3  $\delta$  is this function:
- 4 The start state is
- 5  $F =$



The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

1  $Q = \{q_1, q_2, q_3\}$

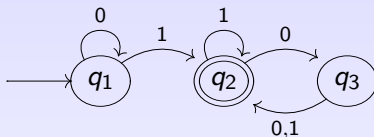
2  $\Sigma = \{0, 1\}$

3  $\delta$  is this function:

	0	1
$q_1$	$q_1$	$q_2$
$q_2$	$q_3$	$q_2$
$q_3$	$q_2$	$q_2$

4 The start state is

5  $F =$



The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

1  $Q = \{q_1, q_2, q_3\}$

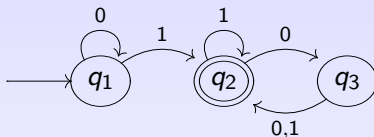
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	0	1
$q_1$	$q_1$	$q_2$
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4 The start state is  $q_1$

5  $F =$



The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

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3  $\delta$  is this function:

	0	1
$q_1$	$q_1$	$q_2$
$q_2$	$q_3$	$q_2$
$q_3$	$q_2$	$q_2$

4 The start state is  $q_1$

5  $F = \{q_2\}$

# What it means for a DFA to accept strings and to recognize a language

## Definition

A DFA  $M$  **accepts a string**  $w$  if, after executing on  $w$  as described, it ends up in an accept state.

## Definition

A DFA  $M$  **recognizes a language**  $L$  if

- 1 For every  $w \in L$ ,  $M$  accepts  $w$
- 2 For every  $w \notin L$ ,  $M$  rejects  $w$ .

## More terminology

Let  $M$  be a machine, and let  $A$  be the set of all strings that a machine  $M$  accepts. All these phrases mean the same thing.

- 1 The **language** of machine  $M = A$
- 2  $M$  **recognizes**  $A$
- 3  $L(M) = A$
- 4  $M$  **accepts**  $A$



# Observations

- A machine may accept many strings but can recognize only one language.
- A machine accepting no strings is considered recognizing one language, i.e., the empty language  $\emptyset$ .
- If  $L$  is a language, and  $M$  is a DFA. It **does not make sense** to say these things:
  - the language 011
  - Run  $L$  on input 011.
  - $L$  accepts 100.
  - The language accepted by  $M$  is 011.

## Formal definition of computation

We know how to **compute** with a finite automaton, i.e., given a string  $w$ , we know how  $M_1$  processes it. Now we formalizes this process.

Let  $n \in \mathbb{Z}^+$ ,  $M = (Q, \Sigma, \delta, q_0, F)$  be a finite automaton, and  $w = w_1 w_2 \dots w_n$  be a string over the alphabet  $\Sigma$ .

### Definition

$M$  **accepts**  $w$  if a sequence of states  $r_0, r_1, \dots, r_n$  exists in  $Q$  with the following three conditions:

1. [ $M$  starts in the start state.]  $r_0 = q_0$ ,
2. [ $M$  moves according to  $\delta$ .]  $r_{i+1} = \delta(r_i, w_{i+1})$  for  $i = 0, \dots, n-1$ ,
3. [ $M$  ends up in an accept state.]  $r_n \in F$ .

# Regular languages

## Definition

A language is called a **regular language** if some finite automaton recognizes it.

# Designing finite automata

Given some description of the (regular) language, we are interested in constructing a finite automaton that recognizes it.

## Examples

- ❶ The language of all strings with an odd number of 1s.
- ❷ The language of all strings that contain the string 001 as a substring.
- ❸  $\{w \mid w \text{ begins with a 1 and ends with a 0}\}$
- ❹  $\{w \mid w \text{ contains at least three 1s}\}$
- ❺  $\{\epsilon, 0\}$
- ❻  $\emptyset$
- ❼ all strings except the empty string

## More examples of regular languages

Alphabet $\Sigma$	$\{0\}$
Definition of $L_1$	$\{0, 00, 000, 0000, \dots\}$
Sample strings in $L_1$	$0, 00, 000, \dots$

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Alphabet $\Sigma$	$\{0\}$
Definition of $L_2$	$\{0^n \text{ for } n = 1, 2, 3, \dots\}$
Sample strings in $L_2$	$0, 00, 000, \dots$

---

Alphabet $\Sigma$	$\{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$
Definition of $L_3$	$\{ \text{any finite string of letters that does not start with the letter 0} \}$
Sample strings in $L_3$	$1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, \dots$

Alphabet $\Sigma$	$\{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$
Definition of $L_4$	{ any finite string of letters that, if it starts with the letter 0, has no more letters after the first }
Sample strings in $L_4$	0, 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, ...

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Alphabet $\Sigma$	$\{a, b, c, d, e, \dots, z\}$
Definition of $L_5$	{ all the words in a dictionary }
Sample strings in $L_5$	discussion, list, body, trick, ...

# The regular operations

## Definition

Let  $A$  and  $B$  be languages. We define the regular operations union, concatenation, and star as follows:

- **Union:**  $A \cup B = \{x \mid x \in A \text{ or } x \in B\}$
- **Concatenation:**  $A \circ B = \{xy \mid x \in A \text{ and } y \in B\}$
- **Star:**  $A^* = \{x_1 x_2 \dots x_k \mid k \geq 0 \text{ and each } x_i \in A\}$

Union	take all the strings in both $A$ and $B$ and lump them together into one language.
-------	--

Concatenation	attach a string from $A$ in front of a string from $B$ in all possible ways to get strings in the new language.
---------------	---

Star	attach any number of strings in $A$ together to get a string in the new language.
------	---

## Examples

Try regular operations on these languages:

### Example

$L_1 = \{ \text{good, bad} \}$  ;  $L_2 = \{ \text{dog, cat} \}$  ;  $L_3 = \{ 1, 10, 11 \}$

- $L_1 \cup L_1 = ?$
- $L_1 \cup L_2 = ?$
- $L_2 \cup L_1 = ?$
- $L_1 \circ L_2 = ?$
- $L_2 \circ L_1 = ?$
- $L_1 \circ L_1 = ?$
- $L_1 \circ \{ \varepsilon \} = ?$
- $L_1 \circ \emptyset = ?$
- $L_2^* = ?$
- $L_3^* = ?$
- Does  $L_3^*$  contain 101?, 11010?, 1001?



## Introducing closure

Consider the example languages we have seen:

### Example

$L_1 = \{ \text{good, bad} \}$  ;  $L_2 = \{ \text{dog, cat} \}$  ;  $L_3 = \{ 1, 10, 11 \}$

- They are all regular languages. (Can you write DFAs for them?)
- Is  $L_1 \circ L_2$  regular? What about  $L_1 \cup L_2$ ? What about  $L_3^*$ ?

It turns out that, if you take any regular languages and apply a regular operation on them, you always get back a regular language.

# Closure

## Definition

A set is **closed under an operation**  $op$  if applying  $op$  to members of the set returns an object still in the set.

## Theorem

*The class of regular languages is closed under the union, concatenation, and star operations.*

If  $A, B$  are regular languages, this means that  $A \cup B$ ,  $A \circ B$ , and  $A^*$  are all regular languages.

# Proof?

## Theorem

*The class of regular languages is closed under union.*

How to prove this theorem?

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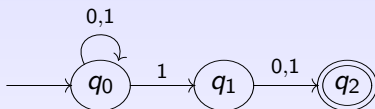
$$L = \{w \mid w \text{ has a 1 in the 2nd position from the right end} \}$$

We can write a DFA for this, but it is a bit of a pain. It is hard because we cannot rewind the input.

We can use nondeterminism to help us.

Suppose we can **guess** where the 2nd position from the right end is. All we have to do once we make a guess is to **verify** if our guess is correct.

$L = \{w \mid w \text{ has a 1 in the 2nd position from the right end} \}$



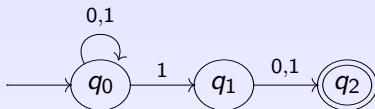
Try it on 01011: None of these accept, but it's our fault for making wrong guesses.

- $q_0 \xrightarrow{0} q_0 \xrightarrow{1} q_0 \xrightarrow{0} q_0 \xrightarrow{1} q_0 \xrightarrow{1} q_0$
- $q_0 \xrightarrow{0} q_0 \xrightarrow{1} q_1 \xrightarrow{0} q_2$
- $q_0 \xrightarrow{0} q_0 \xrightarrow{1} q_0 \xrightarrow{0} q_0 \xrightarrow{1} q_0 \xrightarrow{1} q_1$

But there's a way to get the machine to accept!

$$q_0 \xrightarrow{0} q_0 \xrightarrow{1} q_0 \xrightarrow{0} q_0 \xrightarrow{1} q_1 \xrightarrow{1} q_2$$

$$L = \{w \mid w \text{ has a 1 in the 2nd position from the right end} \}$$



Try it on 1001: no way to get the machine to accept.

e.g.  $q_0 \xrightarrow{1} q_0 \xrightarrow{0} q_0 \xrightarrow{0} q_0 \xrightarrow{1} q_1$

Note that we can represent all the possible ways to process a string with the machine using a **tree**.

The **nodes** at each level in the tree can be thought of as your **fingers** keeping track of all the possible states you can be at after having processed the input symbols upto that level.

# Ways to think about non-determinism

According to Michael Sipser (<https://youtu.be/oNsscmUwjMU>)

- Computational:** Fork new parallel thread and accept if any thread leads to an accept state.
- Mathematical:** Tree with branches. Accept if any branch leads to an accept state.
- Magical:** Guess at each nondeterministic step which way to go. Machine always makes the right guess that leads to acceptance, if possible.



## Definition

We say that an NFA  $M$  accept an input string  $w$  if there is *some path* which can be followed on input  $w$  and leads to an accept state.

It *rejects*  $w$  if *all* paths that can be followed on input  $w$  lead to rejection.

## Definition

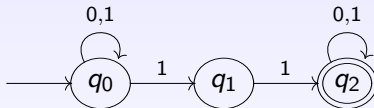
We say that  $M$  accepts a language  $L$  if

- for every input  $w \in L$  we have  $M(w)$  accepts, and
- for every input  $w \notin L$ , we have  $M(w)$  rejects.

We write,  $L(M)$  for the language  $L$  accepted by  $M$ .

## Another example

$$L = \{ w \mid w \text{ contains } 11 \text{ as a substring} \}$$



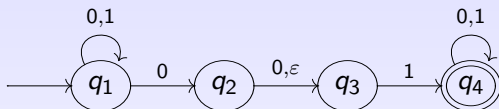
We can describe this formally also.

# Formal definition of a nondeterministic finite automaton

## Definition

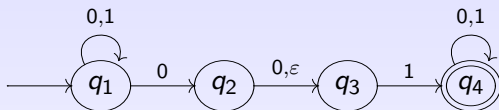
A **nondeterministic finite automaton** is a 5-tuple  $(Q, \Sigma, \delta, q_0, F)$  where

- 1  $Q$  is a finite set called the set of **states**,
- 2  $\Sigma$  is a finite set called the **alphabet**,
- 3  $\delta : Q \times \Sigma_{\epsilon} \rightarrow \mathcal{P}(Q)$  is the **transition function**,
- 4  $q_0 \in Q$  is the **start state**,
- 5  $F \subseteq Q$  is the **set of accept states**.



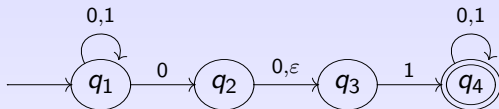
The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

- ❶  $Q = \{q_1, q_2, q_3, q_4\}$
- ❷  $\Sigma =$
- ❸  $\delta$  is this function:
- ❹ The start state is
- ❺  $F =$



The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

- ❶  $Q = \{q_1, q_2, q_3, q_4\}$
- ❷  $\Sigma = \{0, 1\}$
- ❸  $\delta$  is this function:
- ❹ The start state is
- ❺  $F =$



The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

❶  $Q = \{q_1, q_2, q_3, q_4\}$

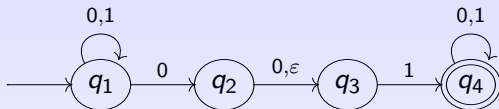
❷  $\Sigma = \{0, 1\}$

❸  $\delta$  is this function:

	0	1	$\epsilon$
$q_1$	$\{q_1, q_2\}$	$\{q_1\}$	$\emptyset$
$q_2$	$\{q_3\}$	$\emptyset$	$\{q_3\}$
$q_3$	$\emptyset$	$\{q_4\}$	$\emptyset$
$q_4$	$\{q_4\}$	$\{q_4\}$	$\emptyset$

❹ The start state is

❺  $F =$



The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

1  $Q = \{q_1, q_2, q_3, q_4\}$

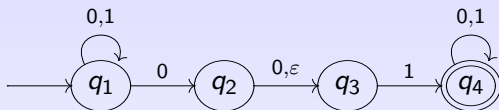
2  $\Sigma = \{0, 1\}$

3  $\delta$  is this function:

	0	1	$\epsilon$
$q_1$	$\{q_1, q_2\}$	$\{q_1\}$	$\emptyset$
$q_2$	$\{q_3\}$	$\emptyset$	$\{q_3\}$
$q_3$	$\emptyset$	$\{q_4\}$	$\emptyset$
$q_4$	$\{q_4\}$	$\{q_4\}$	$\emptyset$

4 The start state is  $q_1$

5  $F =$



The formal description of this machine is  $(Q, \Sigma, \delta, q_1, F)$  where

❶  $Q = \{q_1, q_2, q_3, q_4\}$

❷  $\Sigma = \{0, 1\}$

❸  $\delta$  is this function:

	0	1	$\epsilon$
$q_1$	$\{q_1, q_2\}$	$\{q_1\}$	$\emptyset$
$q_2$	$\{q_3\}$	$\emptyset$	$\{q_3\}$
$q_3$	$\emptyset$	$\{q_4\}$	$\emptyset$
$q_4$	$\{q_4\}$	$\{q_4\}$	$\emptyset$

❹ The start state is  $q_1$

❺  $F = \{q_4\}$



## Formal definition of computation for NFA

Let  $n \in \mathbb{Z}^+$ ,  $M = (Q, \Sigma, \delta, q_0, F)$  be a finite automaton, and  $w = w_1 w_2 \dots w_n$  be a string over the alphabet  $\Sigma$ .

### Definition

$M$  **accepts**  $w$  if a sequence of states  $r_0, r_1, \dots, r_n$  exists in  $Q$  with the following three conditions:

1. [ $M$  starts in the start state.]  $r_0 = q_0$ ,
2. [ $r_{i+1}$  is one of the allowable next states from  $r_i$  with input  $w_{i+1}$ .]  
 $r_{i+1} \in \delta(r_i, w_{i+1})$  for  $i = 0, \dots, n-1$ ,
3. [ $M$  ends up in an accept state.]  $r_n \in F$ .

# Equivalence of NFAs and DFAs

## Theorem

*Every nondeterministic finite automaton has an equivalent deterministic finite automaton.*

The proof of this theorem is called the [subset construction](#).  
Key observation: keep track of states with fingers on them.

## Corollary

*A language is regular if and only if some nondeterministic finite automaton recognizes it.*

## Remember closure?

### Theorem

*The class of regular languages is closed under the union, concatenation, and star operations.*

We can prove closure of regular languages under union, concatenation, and star very easily using NFAs.

# Closure of class of regular languages under union

## Theorem

*The class of regular languages is closed under the union operation.*

### Proof.

Let  $L_1$  be a regular language recognized by an NFA  $N_1 = (Q_1, \Sigma, \delta_1, q_1, F_1)$ , and  
Let  $L_2$  be a regular language recognized by an NFA  $N_2 = (Q_2, \Sigma, \delta_2, q_2, F_2)$ .  
Construct  $N = (Q, \Sigma, \delta, q_0, F)$  for  $L_1 \cup L_2$  as follows:

- 1  $Q = \{q_0\} \cup Q_1 \cup Q_2$
- 2  $q_0$  is the start state of  $N$ .
- 3  $F = F_1 \cup F_2$
- 4 For any  $q \in Q$  and  $a \in \Sigma \cup \{\varepsilon\}$ ,

$$\delta(q, a) = \begin{cases} \delta_1(q, a) & \text{if } q \in Q_1 \\ \delta_2(q, a) & \text{if } q \in Q_2 \\ \{q_1, q_2\} & \text{if } q = q_0 \text{ and } a = \varepsilon \\ \emptyset & \text{if } q = q_0 \text{ and } a \neq \varepsilon \end{cases}$$

□

# Closure of class of regular languages under star

## Theorem

*The class of regular languages is closed under the star operation.*

### Proof.

Let  $L$  be a regular language recognized by an NFA  $N_1 = (Q_1, \Sigma, \delta_1, q_1, F_1)$ , and Construct  $N = (Q, \Sigma, \delta, q_0, F)$  for  $L^*$  as follows. Note there is a [bug](#) in the proof in Sipser's book and video.

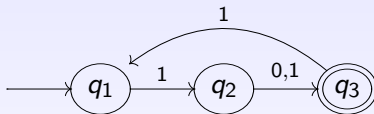
- 1  $Q = \{q_0\} \cup Q_1$
- 2  $q_0$  is the new start state of  $N$ .
- 3  $F = \{q_0\} \cup F_1$
- 4 For any  $q \in Q$  and  $a \in \Sigma \cup \{\varepsilon\}$ ,

$$\delta(q, a) = \begin{cases} \delta_1(q, a) & \text{if } q \in Q_1 \text{ and } q \notin F_1 \\ \delta_1(q, a) & \text{if } q \in F_1 \text{ and } a \neq \varepsilon \\ \delta_1(q, a) \cup \{q_0\} & \text{if } q \in F_1 \text{ and } a = \varepsilon \\ \{q_1\} & \text{if } q = q_0 \text{ and } a = \varepsilon \\ \emptyset & \text{if } q = q_0 \text{ and } a \neq \varepsilon \end{cases}$$

□

## Bug in Sipser's proof for closure under star

To see why the construction provided in the book is problematic, consider the following NFA  $N_1$  recognizing the language  $L = 1(0 \cup 1)(11(0 \cup 1))^*$ .



Imagine the new machine  $N$  constructed to recognize  $L^*$  according to the construction in the book.

- Does  $N$  accept 1010?
- Should  $N$  accept 1010?