

NFA with ϵ -transitions

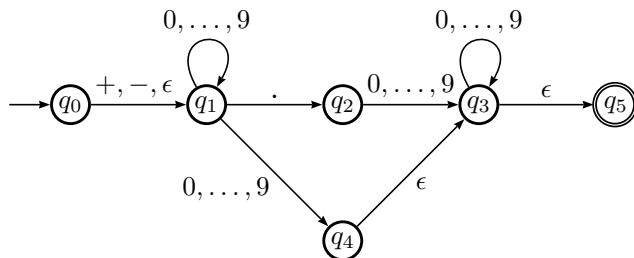
We shall now introduce another extension to NFA, called ϵ -NFA, which is a NFA whose labels can be the empty string, noted ϵ .

The interpretation of this new kind of transition, called ϵ -transition, is that the current state changes by following this transition *without reading any input*. This is sometimes referred as a **spontaneous transition**.

The rationale, i.e., the intuition behind that, is that $\epsilon a = a \epsilon = a$, so recognising ϵa or $a \epsilon$ is the same as recognising a . In other words, we do not need to read something more than a as input.

ϵ -NFA/Example

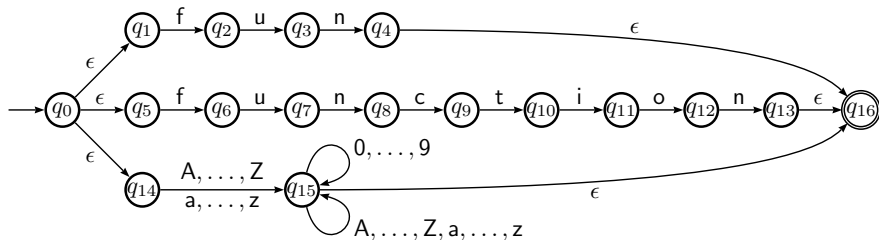
For example, we can specify signed natural and decimal numbers by means of the ϵ -NFA



This is not the simplest ϵ -NFA we can imagine for these numbers, but note the utility of the ϵ -transition between q_0 and q_1 .

ϵ -NFA (cont)

In the case of compilers, ϵ -NFA allow to design separately a NFA for each token, then create an initial (respectively final) state connected to all their initial (respectively, final) states with an ϵ -transition. For instance, for keywords **fun** and **function** and identifiers:



ϵ -NFA (cont)

In order to perform a text search, once we have a single ϵ -NFA, we can

1. either remove all the ϵ -transitions and
 - 1.1 either create a NFA and then maybe a DFA;
 - 1.2 or create directly a DFA,
2. or use a formal definition of ϵ -NFA that directly leads to a recognition algorithm, just as we did for DFA and NFA.

Both methods assume that it is always possible to create an equivalent NFA, hence a DFA, from a given ϵ -NFA.

In other words, **DFA, NFA and ϵ -NFA have the same expressive power.**

ϵ -NFA (cont)

The first method constructs explicitly the NFA and maybe the DFA, while the second does not, at the possible cost of more computations at run-time.

Before entering into the details, we need to define formally an ϵ -NFA, as suggested by the second method.

The only difference between an NFA and an ϵ -NFA is that the transition function δ_E takes as second argument an element in $\Sigma \cup \{\epsilon\}$, with $\epsilon \notin \Sigma$, instead of Σ — but the alphabet still remains Σ .

ϵ -NFA/ ϵ -closure

We need now a function called **ϵ -close**, which takes an ϵ -NFA \mathcal{E} , a state q of \mathcal{E} and returns all the states which are accessible in \mathcal{E} from q with label ϵ .

The idea is to achieve a **depth-first traversal** of \mathcal{E} , starting from q and following only ϵ -transitions.

Let us call ϵ -DFS (“ ϵ -Depth-First-Search”) the function such that ϵ -DFS(q, Q) is the set of states reachable from q following ϵ -transitions and which is not included in Q , *Q being interpreted as the set of states already visited in the traversal*. The set Q ensures the termination of the algorithm even in presence of cycles in the automaton. Therefore, let

$$\epsilon\text{-close}(q) = \epsilon\text{-DFS}(q, \emptyset) \quad \text{if } q \in Q_E$$

where the ϵ -NFA is $\mathcal{E} = (Q_E, \Sigma, \delta_E, q_0, F_E)$.

ϵ -NFA/ ϵ -closure (cont)

Now we define ϵ -DFS as follows:

$$\epsilon\text{-DFS}(q, Q) = \emptyset \quad \text{if } q \in Q \quad (3)$$

$$\epsilon\text{-DFS}(q, Q) = \{q\} \cup \bigcup_{p \in \delta_E(q, \epsilon)} \epsilon\text{-DFS}(p, Q \cup \{q\}) \quad \text{if } q \notin Q \quad (4)$$

The ϵ -NFA page 139 leads to the following ϵ -closures:

$$\epsilon\text{-close}(q_1) = \{q_1\}$$

$$\epsilon\text{-close}(q_2) = \{q_2\}$$

$$\epsilon\text{-close}(q_0) = \{q_0, q_1\}$$

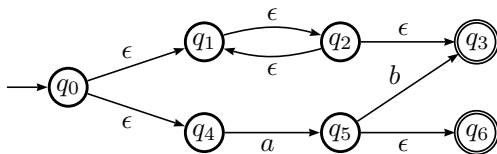
$$\epsilon\text{-close}(q_3) = \{q_3, q_5\}$$

$$\epsilon\text{-close}(q_5) = \{q_5\}$$

$$\epsilon\text{-close}(q_4) = \{q_4, q_3, q_5\}$$

ϵ -NFA/ ϵ -closure (cont)

Consider, as a more difficult example, the following ϵ -NFA \mathcal{E} :



$$\begin{aligned}\epsilon\text{-close}(q_0) &= \epsilon\text{-DFS}(q_0, \emptyset) && \text{since } q_0 \in Q_E \\ &= \{q_0\} \cup \epsilon\text{-DFS}(q_1, \{q_0\}) \cup \epsilon\text{-DFS}(q_4, \{q_0\}) && \text{by eq. 4} \\ &= \{q_0\} \cup \left(\{q_1\} \cup \bigcup_{p \in \delta_E(q_1, \epsilon)} \epsilon\text{-DFS}(p, \{q_0, q_1\}) \right) && \text{by eq. 4} \\ &\quad \cup \left(\{q_4\} \cup \bigcup_{p \in \delta_E(q_4, \epsilon)} \epsilon\text{-DFS}(p, \{q_0, q_4\}) \right) && \text{by eq. 4}\end{aligned}$$

ϵ -NFA/ ϵ -closure (cont)

$$\begin{aligned}\epsilon\text{-close}(q_0) &= \{q_0\} \cup \left(\{q_1\} \cup \bigcup_{p \in \{q_2\}} \epsilon\text{-DFS}(p, \{q_0, q_1\}) \right) \\ &\quad \cup \left(\{q_4\} \cup \bigcup_{p \in \emptyset} \epsilon\text{-DFS}(p, \{q_0, q_4\}) \right) \\ &= \{q_0\} \cup (\{q_1\} \cup \epsilon\text{-DFS}(q_2, \{q_0, q_1\})) \cup (\{q_4\} \cup \emptyset) \\ &= \{q_0, q_1, q_4\} \cup \epsilon\text{-DFS}(q_2, \{q_0, q_1\}) \\ &= \{q_0, q_1, q_4\} \cup \left(\{q_2\} \cup \bigcup_{p \in \delta_E(q_2, \epsilon)} \epsilon\text{-DFS}(p, \{q_0, q_1, q_2\}) \right)\end{aligned}$$

ϵ -NFA/ ϵ -closure (cont)

$$\begin{aligned}\epsilon\text{-close}(q_0) &= \{q_0, q_1, q_4\} \cup \left(\{q_2\} \cup \bigcup_{p \in \{q_1, q_3\}} \epsilon\text{-DFS}(p, \{q_0, q_1, q_2\}) \right) \\&= \{q_0, q_1, q_2, q_4\} \cup \epsilon\text{-DFS}(q_1, \{q_0, q_1, q_2\}) \\&\quad \cup \epsilon\text{-DFS}(q_3, \{q_0, q_1, q_2\}) \\&= \{q_0, q_1, q_2, q_4\} \cup \emptyset \quad \text{by eq. 3, since } q_1 \in \{q_0, q_1, q_2\} \\&\quad \cup \left(\{q_3\} \cup \bigcup_{p \in \delta_E(q_3, \epsilon)} \epsilon\text{-DFS}(p, \{q_0, q_1, q_2, q_3\}) \right) \quad \text{by eq. 4} \\&= \{q_0, q_1, q_2, q_3, q_4\} \cup \bigcup_{p \in \emptyset} \epsilon\text{-DFS}(p, \{q_0, q_1, q_2, q_3\}) \\&= \{q_0, q_1, q_2, q_3, q_4\}\end{aligned}$$

ϵ -NFA/ ϵ -closure (cont)

It is useful to extend ϵ -close to sets of states, not just states.

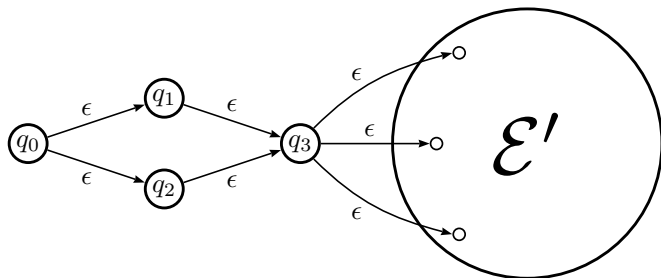
Let us note $\overline{\epsilon\text{-close}}$ this extension, which we can easily define as

$$\overline{\epsilon\text{-close}}(Q) = \bigcup_{q \in Q} \epsilon\text{-close}(q)$$

for any subset $Q \subseteq Q_E$ where the ϵ -NFA is $\mathcal{E} = (Q_E, \Sigma, \delta_E, q_E, F_E)$.

ϵ -NFA/ ϵ -closure/Optimisation

Compute the ϵ -closure of q_0 in the following ϵ -NFA \mathcal{E} :



where the sub- ϵ -NFA \mathcal{E}' contains only ϵ -transitions and all its Q' states are accessible from q_3 .

ϵ -NFA/ ϵ -closure/Optimisation (cont)

$$\begin{aligned}\epsilon\text{-close}(q_0) &= \epsilon\text{-DFS}(q_0, \emptyset) \\ &= \{q_0\} \cup \epsilon\text{-DFS}(q_1, \{q_0\}) \cup \epsilon\text{-DFS}(q_2, \{q_0\}) \\ &= \{q_0\} \cup (\{q_1\} \cup \epsilon\text{-DFS}(q_3, \{q_0, q_1\})) \\ &\quad \cup (\{q_2\} \cup \epsilon\text{-DFS}(q_3, \{q_0, q_2\})) \\ &= \{q_0, q_1, q_2\} \cup \epsilon\text{-DFS}(q_3, \{q_0, q_1\}) \cup \epsilon\text{-DFS}(q_3, \{q_0, q_2\}) \\ &= \{q_0, q_1, q_2, q_3, \} \cup (\{q_3\} \cup Q') \cup (\{q_3\} \cup Q') \\ &= \{q_0, q_1, q_2, q_3, \} \cup Q'\end{aligned}$$

We compute $\{q_3\} \cup Q'$ two times, that is, we traverse two times q_3 and all the states of \mathcal{E}' , which can be inefficient if Q' is big.

ϵ -NFA/ ϵ -closure/Optimisation (cont)

The way to avoid duplicating traversals is to change the definitions of ϵ -close and $\overline{\epsilon$ -close.

Dually, we need a new definition of ϵ -DFS and create function $\overline{\epsilon$ -DFS which is similar to ϵ -DFS except that it applies to set of states instead of one state:

$$\begin{array}{ll} \epsilon\text{-close}(q) = \epsilon\text{-DFS}(q, \emptyset) & \text{if } q \in Q_E \\ \overline{\epsilon\text{-close}}(Q) = \overline{\epsilon\text{-DFS}}(Q, \emptyset) & \text{if } Q \subseteq Q_E \end{array}$$

We interpret Q' in $\epsilon\text{-DFS}(q, Q')$ and $\overline{\epsilon\text{-DFS}}(Q, Q')$ as the set of states that have already been visited in the depth-first search.

Variables q and Q denote, respectively, a state and a set of states that have to be explored.

ϵ -NFA/ ϵ -closure/Optimisation (cont)

In the first definition we computed the *new reachable states*, but in the new one we compute the *currently reached states*. Then let us redefine ϵ -DFS this way:

$$\epsilon\text{-DFS}(q, Q') = Q' \quad \text{if } q \in Q' \quad (1')$$

$$\epsilon\text{-DFS}(q, Q') = \overline{\epsilon\text{-DFS}(\delta_E(q, \epsilon), Q' \cup \{q\})} \quad \text{if } q \notin Q' \quad (2')$$

Contrast with the first definition

$$\epsilon\text{-DFS}(q, Q') = \emptyset \quad \text{if } q \in Q' \quad (1)$$

$$\epsilon\text{-DFS}(q, Q') = \{q\} \cup \bigcup_{p \in \delta_E(q, \epsilon)} \epsilon\text{-DFS}(p, Q' \cup \{q\}) \quad \text{if } q \notin Q' \quad (2)$$

Hence, in (1) we return \emptyset because there is no new state, i.e., none not already in Q' , whereas in (1') we return Q' itself.

ϵ -NFA/ ϵ -closure/Optimisation (cont)

The new definition of $\overline{\epsilon\text{-DFS}}$ is not more difficult than the first one:

$$\overline{\epsilon\text{-DFS}}(\emptyset, Q') = Q' \quad (5)$$

$$\overline{\epsilon\text{-DFS}}(\{q\} \cup Q, Q') = \overline{\epsilon\text{-DFS}}(Q, \epsilon\text{-DFS}(q, Q')) \quad \text{if } q \notin Q \quad (6)$$

Notice that the definitions of $\epsilon\text{-DFS}$ and $\overline{\epsilon\text{-DFS}}$ are **mutually recursive**, i.e., they depend on each other.

In (2) we traverse states in *parallel* (consider the union operator), starting from each element in $\delta_E(q, \epsilon)$, whereas in (2') and (6), we traverse them *sequentially* so we can use the information collected (currently reached states) in the previous searches.

ϵ -NFA/ ϵ -closure/Optimisation (cont)

Coming back to our example page 149, we find

$$\begin{aligned}\epsilon\text{-close}(q_0) &= \epsilon\text{-DFS}(q_0, \emptyset) && q_0 \in Q_E \\ &= \overline{\epsilon\text{-DFS}(\{q_1, q_2\}, \{q_0\})} && \text{by eq. (2')} \\ &= \overline{\epsilon\text{-DFS}(\{q_2\}, \epsilon\text{-DFS}(q_1, \{q_0\}))} && \text{by eq. (4)} \\ &= \overline{\epsilon\text{-DFS}(\{q_2\}, \overline{\epsilon\text{-DFS}(\{q_3\}, \{q_0, q_1\}))} && \text{by eq. (2')} \\ &= \overline{\epsilon\text{-DFS}(\{q_2\}, \overline{\epsilon\text{-DFS}(\emptyset, \epsilon\text{-DFS}(q_3, \{q_0, q_1\}))})} && \text{by eq. (4)} \\ &= \overline{\epsilon\text{-DFS}(\{q_2\}, \epsilon\text{-DFS}(q_3, \{q_0, q_1\}))} && \text{by eq. (3)} \\ &= \overline{\epsilon\text{-DFS}(\{q_2\}, \{q_0, q_1, q_3\} \cup Q')} \\ &= \overline{\epsilon\text{-DFS}(\emptyset, \epsilon\text{-DFS}(q_2, \{q_0, q_1, q_3\} \cup Q'))} && \text{by eq. (4)}\end{aligned}$$

ϵ -NFA/ ϵ -closure/Optimisation (cont)

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The important thing here is that we did not compute (traverse) several times Q' . Note that some equations can be used in a different order and q can be chosen arbitrarily in equation (4), but the result is always the same.

Extended transition functions for ϵ -NFAs

The ϵ -closure allows to explain how a ϵ -NFA recognises or rejects a given input word.

In (2) we traverse states in *parallel* (consider the union operator), starting from each element in $\delta_E(q, \epsilon)$, whereas in (2') and (6), we traverse them *sequentially* so we can use the information collected (currently reached states) in the previous searches.

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ϵ -NFA/ ϵ -closure/Optimisation (cont)

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ϵ -NFA/ ϵ -closure/Optimisation (cont)

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The important thing here is that we did not compute (traverse) several times Q' . Note that some equations can be used in a different order and q can be chosen arbitrarily in equation (4), but the result is always the same.

Extended transition functions for ϵ -NFAs

The ϵ -closure allows to explain how a ϵ -NFA recognises or rejects a given input word.

Let $\mathcal{E} = (Q_E, \Sigma, \delta_E, q_0, F_E)$.

We want $\hat{\delta}_E(q, w)$ be the set of states reachable from q along a path whose labels, when concatenated, for the string w . The difference here with NFA's is that several ϵ can be present along this path, despite not contributing to w . For all state $q \in Q_E$, let

$$\hat{\delta}_E(q, \epsilon) = \epsilon\text{-close}(q)$$

$$\hat{\delta}_E(q, wa) = \overline{\epsilon\text{-close}} \left(\bigcup_{p \in \hat{\delta}_E(q, w)} \delta_N(p, a) \right) \quad \text{for all } a \in \Sigma, w \in \Sigma^*$$

This definition is based on the regular identity $wa = ((w\epsilon^*)a)\epsilon^*$.

Extended transition functions for ϵ -NFAs/Example

Let us consider again the ϵ -NFA recognising natural and decimal numbers, at page 139, and compute the states reached on the input 5.6:

$$\hat{\delta}_E(q_0, \epsilon) = \epsilon\text{-close}(q_0) = \{q_0, q_1\}$$

$$\begin{aligned}\hat{\delta}_E(q_0, 5) &= \overline{\epsilon\text{-close}\left(\bigcup_{p \in \hat{\delta}_E(q_0, \epsilon)} \delta_N(p, 5)\right)} \\ &= \overline{\epsilon\text{-close}(\delta_N(q_0, 5) \cup \delta_N(q_1, 5))} = \overline{\epsilon\text{-close}(\emptyset \cup \{q_1, q_4\})} \\ &= \{q_1, q_3, q_4, q_5\}\end{aligned}$$

$$\begin{aligned}\hat{\delta}_E(q_0, 5.) &= \overline{\epsilon\text{-close}\left(\bigcup_{p \in \hat{\delta}_E(q_0, 5)} \delta_N(p, .)\right)} \\ &= \overline{\epsilon\text{-close}(\delta_N(q_1, .) \cup \delta_N(q_3, .) \cup \delta_N(q_4, .) \cup \delta_N(q_5, .))}\end{aligned}$$

Extended transition functions for ϵ -NFAs/Example (cont)

$$\begin{aligned}\hat{\delta}_E(q_0, 5.) &= \overline{\epsilon\text{-close}}(\{q_2\} \cup \emptyset \cup \emptyset \cup \emptyset) = \{q_2\} \\ \hat{\delta}_N(q_0, 5.6) &= \overline{\epsilon\text{-close}}\left(\bigcup_{p \in \hat{\delta}_E(q_0, 5.)} \delta_N(p, 6)\right) \\ &= \overline{\epsilon\text{-close}}(\delta_N(q_2, 6)) \\ &= \overline{\epsilon\text{-close}}(\{q_3\}) \\ &= \{q_3, q_5\} \ni q_5\end{aligned}$$

Since q_5 is a final state, the string 5.6 is recognised as a number.

Subset construction for ϵ -NFAs

Let us present now how to construct a DFA from a ϵ -NFA such that both recognise the same language.

The method is a variation of the subset construction we presented for NFA: we must take into account the states reachable through ϵ -transitions, with help of ϵ -closures.

Subset construction for ϵ -NFAs (cont)

Assume that $\mathcal{E} = (Q, \Sigma, \delta, q_0, F)$ is an ϵ -NFA. Let us define as follows the equivalent DFA $\mathcal{D} = (Q_D, \Sigma, \delta_D, q_D, F_D)$.

1. Q_D is the set of subsets of Q_E . More precisely, all accessible states of \mathcal{D} are ϵ -closed subsets of Q_E , i.e., sets $Q \subseteq Q_E$ such that $Q = \epsilon\text{-close}(Q)$.
2. $q_D = \epsilon\text{-close}(q_0)$, i.e., we get the start state of \mathcal{D} by ϵ -closing the set made of only the start state of \mathcal{E} .
3. F_D is those sets of states that contain at least one final state of \mathcal{E} , that is to say $F_D = \{Q \mid Q \in Q_D \text{ and } Q \cap F_E \neq \emptyset\}$.
4. For all $a \in \Sigma$ and $Q \in Q_D$, let $\delta_D(Q, a) = \overline{\epsilon\text{-close}\left(\bigcup_{q \in Q} \delta_E(q, a)\right)}$

Subset construction for ϵ -NFAs/Example

Let us consider again the ϵ -NFA page 139. Its transition table is

\mathcal{E}	$+$	$-$	$0, \dots, 9$	$.$	ϵ
$\rightarrow q_0$	$\{q_1\}$	$\{q_1\}$	\emptyset	\emptyset	$\{q_1\}$
q_1	\emptyset	\emptyset	$\{q_1, q_4\}$	$\{q_2\}$	\emptyset
q_2	\emptyset	\emptyset	$\{q_3\}$	\emptyset	\emptyset
q_3	\emptyset	\emptyset	$\{q_3\}$	\emptyset	$\{q_5\}$
q_4	\emptyset	\emptyset	\emptyset	\emptyset	$\{q_3\}$
$\#q_5$	\emptyset	\emptyset	\emptyset	\emptyset	\emptyset

Subset construction for ϵ -NFAs/Example (cont)

By applying the subset construction to this ϵ -NFA, we get the table

\mathcal{D}	$+$	$-$	$0, \dots, 9$	$.$
$\rightarrow\{q_0, q_1\}$	$\{q_1\}$	$\{q_1\}$	$\{q_1, q_3, q_4, q_5\}$	$\{q_2\}$
$\{q_1\}$	\emptyset	\emptyset	$\{q_1, q_3, q_4, q_5\}$	$\{q_2\}$
$\#\{q_1, q_3, q_4, q_5\}$	\emptyset	\emptyset	$\{q_1, q_3, q_4, q_5\}$	$\{q_2\}$
$\{q_2\}$	\emptyset	\emptyset	$\{q_3, q_5\}$	\emptyset
$\#\{q_3, q_5\}$	\emptyset	\emptyset	$\{q_3, q_5\}$	\emptyset

Subset construction for ϵ -NFAs/Example (cont)

Let us rename the states of \mathcal{D} and get rid of the empty sets:

\mathcal{D}	$+$	$-$	$0, \dots, 9$	$.$
$\rightarrow A$	B	B	C	D
B			C	D
$\#C$			C	D
D			E	
$\#E$			E	

Subset construction for ϵ -NFAs/Example (cont)

The transition diagram of \mathcal{D} is therefore

