Mathematical Foundation of Computer Sciences I

Finite Automata and Regular Languages

Guoqiang Li

School of Software, Shanghai Jiao Tong University

Instructor and Textbook

Instructors

Guoqiang Li, 1-8, Automata Theory

Xiaodong Gu, 9-16, Optimization Theory

Xubo Yang, 17-24, Scientific Computing

Instructor

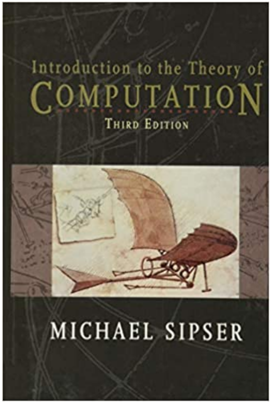
- Guoqiang LI
    - Homepage: https://basics.sjtu.edu.cn/~liguoqiang
    - Course page: https://basics.sjtu.edu.cn/~liguoqiang/teaching/SE2324/
    - Email: li.g@outlook.com
    - Office: Rm. 1212, Building of Software
    - Phone: 3420-4167
- TA:
    - Ying ZHAO: 765875306 (AT) qq (DOT) com

Textbook

There are no textbooks for this lecture!

Reference Book

[Sip12] *Introduction to the Theory of Computation*, Michael Sipser, 2012



Scoring Policy

30% Homework.

70% Final exam.

Regular Languages and DFA

Deterministic Finite Automata

Definition (DFA)

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

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

Formal Definition of Computation

Let $M = (Q, \Sigma, \delta, q_0, F)$ be a finite automaton and let $w = w_1 w_2 \ldots w_n$ be a string with $w_i \in \Sigma$ for all $i \in [n]$. Then M accepts w if a sequence of states $r_0, r_1, \ldots, r_n$ in Q exists with:

1. $r_0 = q_0$,
2. $\delta(r_i, w_{i+1}) = r_{i+1}$ for $i = 0, \ldots, n-1$, and
3. $r_n \in F$.

We say that M recognizes A if

$$A = \{w \mid M \text{ accepts } w\}$$

Regular Languages

Definition (Regular languages)

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

Examples of Regular Languages

$\{(ab)^n \mid \forall n \geq 0\}$

$\{a^n b^n \mid \forall n \geq 0\}$

$\{ab, a^2 b^2, \ldots a^n b^n\}$

The Regular Operators

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: $A \circ B = \{xy \mid x \in A \text{ and } y \in B\}$.
- Kleene star: $A^* = \{x_1 x_2 \dots x_k \mid k \geq 0 \text{ and each } x_i \in A\}$.

Closure under Union

Theorem

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

In other words, if A_1 and A_2 are regular languages, so is $A_1 \cup A_2$.

Pre-Proof

For $i \in [2]$ let $M_i = (Q_i, \Sigma_i, \delta_i, q_{0_i}, F_i)$ recognize A_i. We can assume without loss of generality $\Sigma_1 = \Sigma_2$:

- Let $a \in \Sigma_2 - \Sigma_1$.
- We add $\delta_1(r, a) = r_{trap}$, where r_{trap} is a new state with $\delta_1(r_{trap}, w) = r_{trap}$ for every w.

Proof

We construct $M = (Q, \Sigma, \delta, q_0, F)$ to recognize $A_1 \cup A_2$:

1. $Q = Q_1 \times Q_2 = \{(r_1, r_2) \mid r_1 \in Q_1 \text{ and } r_2 \in Q_2\}$.
2. $\Sigma = \Sigma_1 = \Sigma_2$.
3. For each $(r_1, r_2) \in Q$ and $a \in \Sigma$ we let
$$\delta((r_1, r_2), a) = (\delta_1(r_1, a), \delta_2(r_2, a))$$
4. $q_0 = (q_1, q_2)$.
5. $F = (F_1 \times Q_2) \cup (Q_1 \times F_2) = \{(r_1, r_2) \mid r_1 \in F_1 \text{ or } r_2 \in F_2\}$.

Closure under Concatenation

Theorem

The class of regular languages is closed under the concatenation operation.

In other words, if A_1 and A_2 are regular languages, so is $A_1 \circ A_2$.

We prove the above theorem by nondeterministic finite automata.

Nondeterministic Finite Automata

Definition (NFA)

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

1. Q is a finite set called the states,
2. Σ is a finite set called the alphabet,
3. $\delta : Q \times \Sigma_\varepsilon \to \mathscr{P}(Q)$ is the transition function, where $\Sigma_\varepsilon = \Sigma \cup \{\varepsilon\}$
4. $q_0 \in Q$ is the start state, and
5. $F \subseteq Q$ is the set of accept states.

Formal Definition of Computation

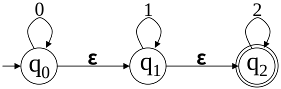
Let $N = (Q, \Sigma, \delta, q_0, F)$ be a nondeterministic finite automaton and let $w = w_1 w_2 \ldots w_m$ be a string with $w_i \in \Sigma$ for all $i \in [m]$. Then N accepts w if a sequence of states $r_0, r_1, \ldots, r_m$ in Q exists with:

1. $r_0 = q_0$,
2. $r_{i+1} \in \delta(r_i, w_{i+1})$ for $i = 0, \ldots, m-1$, and
3. $r_m \in F$.

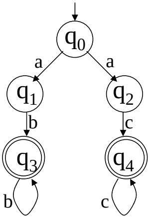
We say that N recognizes A if

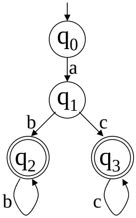
$$A = \{w \mid M \text{ accepts } w\}$$

Examples of NFA



Accepts $\{0^*1^*2^*\}$





Accepts $\{ab^+, ac^+\}$

Equivalence of NFAs and DFAs

Theorem

Every NFA has an equivalent DFA, i.e., they recognize the same language.

Proof

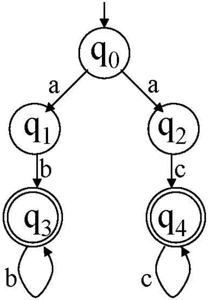
Proof

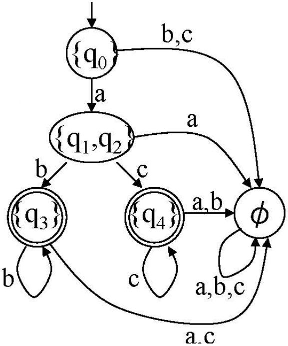
Let $N = (Q, \Sigma, \delta, q_0, F)$ be the NFA recognizing some language A. We construct a DFA $M = (Q', \Sigma, \delta', q_0', F')$ recognizing the same A.

First assume N has no "ε" arrows.

1. $Q' = \mathscr{P}(Q)$.
2. Let $R \in Q'$ and $a \in \Sigma$. Then we define
$$\delta'(R, a) = \{q \in Q \mid q \in \delta(r, a) \text{ for some } r \in R\}$$
3. $q_0' = \{q_0\}$.
4. $F' = \{R \in Q' \mid R \cap F \neq \emptyset\}$.

Determinization





Proof (cont'd)

Proof

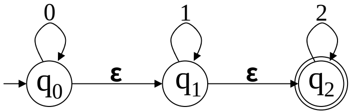
Now we allow "ε" arrows.

For every $R \in Q'$, i.e., $R \subseteq Q$, let

$$E(R) = \{q \in Q \mid \quad q \text{ can be reached from } R \text{ by traveling along 0 and more } \varepsilon \text{ arrows } \}$$

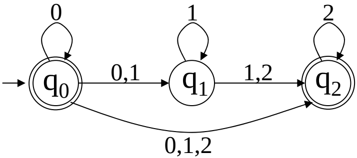
1. $Q' = \mathscr{P}(Q)$.
2. Let $R \in Q'$ and $a \in \Sigma$. Then we define
$$\delta'(R, a) = \{q \in Q \mid q \in E(\delta(r, a)) \text{ for some } r \in R\}$$
3. $q_0' = E(\{q_0\})$.
4. $F' = \{R \in Q' \mid R \cap F \neq \emptyset\}$.

Example of ε-Transition Removal



Put a new transition $\xrightarrow{a}$ where $\xrightarrow{\varepsilon^* a \varepsilon^*}$

If $q_0 \xrightarrow{\varepsilon^*} q_f$ for $q_f \in F$, add q_0 to F



Corollary

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

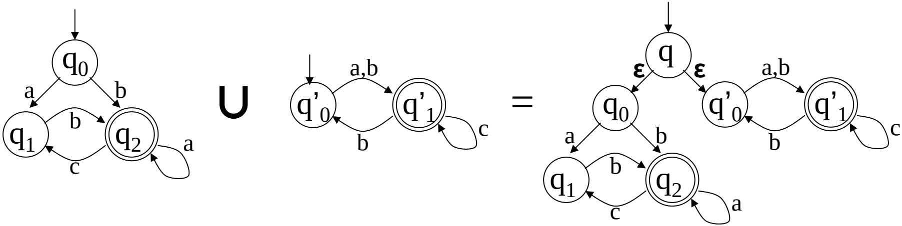
Second Proof of the Closure under Union

For $i \in [2]$ let $N_i = (Q_i, \Sigma, \delta_i, q_i, F_i)$ recognize A_i. We construct an $N = (Q, \Sigma, \delta, q_0, F)$ to recognize $A_1 \cup A_2$:

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

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

Union



Closure under Concatenation

Theorem

The class of regular languages is closed under the concatenation operation.

Proof

For $i \in [2]$ let $N_i = (Q_i, \Sigma_i, \delta_i, q_i, F_i)$ recognize A_i. We construct an $N = (Q, \Sigma, \delta, q_1, F_2)$ to recognize $A_1 \circ A_2$:

1. $Q = Q_1 \cup Q_2$.
2. The start state q_1 is the same as the start state of N_1.
3. The accept states F_2 are the same as the accept states of N_2.
4. For any $q \in Q$ and any $a \in \Sigma_\varepsilon$

$$\delta(q, a) = \begin{cases} \delta_1(q, a) & q \in Q_1 - F_1 \\ \delta_1(q, a) & q \in F_1 \text{ and } a \neq \varepsilon \\ \delta_1(q, a) \cup \{q_2\} & q \in F_1 \text{ and } a = \varepsilon \\ \delta_2(q, a) & q \in Q_2 \end{cases}$$

Closure under Kleene Star

Theorem

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

Proof

Let $N_1 = (Q_1, \Sigma, \delta_1, q_1, F_1)$ recognize A_1. We construct an $N = (Q, \Sigma, \delta, q_0, F)$ to recognize A_1^*:

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

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

Regular Expression

Definition

We say that R is a regular expression if R is

1. a for some $a \in \Sigma$,
2. ε,
3. $\emptyset$,
4. $(R_1 \cup R_2)$, where R_1 and R_2 are regular expressions,
5. $(R_1 \circ R_2)$, where R_1 and R_2 are regular expressions,
6. R_1^*, where R_1 is a regular expression.

We often write $R_1 R_2$ instead of $(R_1 \circ R_2)$ if no confusion arises.

Language Defined by Regular Expressions

regular expression R	language $L(R)$
a	$\{a\}$
ε	$\{\varepsilon\}$
$\emptyset$	$\emptyset$
$R_1 \cup R_2$	$L(R_1) \cup L(R_2)$
$R_1 \circ R_2$	$L(R_1) \circ L(R_2)$
R_1^*	$L(R_1)^*$

Equivalence with Finite Automata

Theorem

A language is regular if and only if some regular expression describes it.

The Languages Defined by Regular Expressions Are Regular

1. $R = a$: Let $N = (\{q_1, q_2\}, \Sigma, \delta, q_1, \{q_2\})$, where $\delta(q_1, a) = \{q_2\}$ and $\delta(r, b) = \emptyset$, for all $r \neq q_1$ or $b \neq a$.
2. $R = \varepsilon$: Let $N = (\{q_1\}, \Sigma, \delta, q_1, \{q_1\})$, where $\delta(r, b) = \emptyset$, for all r and b.
3. $R = \emptyset$: Let $N = (\{q_1\}, \Sigma, \delta, q_1, \emptyset)$, where $\delta(r, b) = \emptyset$, for all r and b.
4. $R = R_1 \cup R_2$: $L(R) = L(R_1) \cup L(R_2)$.
5. $R = R_1 \circ R_2$: $L(R) = L(R_1) \circ L(R_2)$.
6. $R = R_1^*$: $L(R) = L(R_1)^*$.