

Theory of Computation 3

Deterministic Finite Automata

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Repetition 1

Grammar $(\mathbf{N}, \Sigma, \mathbf{P}, \mathbf{S})$ describes how to generate the words in a language; the language \mathbf{L} of a grammar consists of all the words in Σ^* which can be generated.

\mathbf{N} : Non-terminal alphabet, disjoint to Σ .

$\mathbf{S} \in \mathbf{N}$ is the start symbol.

\mathbf{P} consists of rules $\mathbf{l} \rightarrow \mathbf{r}$ with each rule having at least one symbol of \mathbf{N} in the word \mathbf{l} .

$\mathbf{v} \Rightarrow \mathbf{w}$ iff there are \mathbf{x}, \mathbf{y} and rule $\mathbf{l} \rightarrow \mathbf{r}$ in \mathbf{P} with $\mathbf{v} = \mathbf{xly}$ and $\mathbf{w} = \mathbf{xry}$. $\mathbf{v} \Rightarrow^* \mathbf{w}$: several such steps.

The grammar with $\mathbf{N} = \{\mathbf{S}\}$, $\Sigma = \{0, 1\}$ and $\mathbf{P} = \{\mathbf{S} \rightarrow \mathbf{SS}, \mathbf{S} \rightarrow 0, \mathbf{S} \rightarrow 1\}$ permits to generate all nonempty binary strings.

$\mathbf{S} \Rightarrow \mathbf{SS} \Rightarrow \mathbf{SSS} \Rightarrow \mathbf{0SS} \Rightarrow \mathbf{01S} \Rightarrow \mathbf{011}$.

Repetition 2

Grammar $(\mathbf{N}, \Sigma, \mathbf{P}, \mathbf{S})$ generating \mathbf{L} .

CH0: No restriction, all recursively enumerable languages.

CH1 (context-sensitive): Every rule is of the form $\mathbf{uAw} \rightarrow \mathbf{uvw}$ with $\mathbf{A} \in \mathbf{N}$, $\mathbf{u}, \mathbf{v}, \mathbf{w} \in (\mathbf{N} \cup \Sigma)^*$ and $\mathbf{v} = \varepsilon$ is only possible if $\mathbf{A} = \mathbf{S}$ and \mathbf{S} never on right side of a rule.

Easier formalisation: If $\mathbf{l} \rightarrow \mathbf{r}$ is a rule then $|\mathbf{l}| \leq |\mathbf{r}|$, that is, \mathbf{r} is at least as long as \mathbf{l} . Special rule (as above) for the case that $\varepsilon \in \mathbf{L}$.

CH2 (context-free): Every rule is of the form $\mathbf{A} \rightarrow \mathbf{w}$ with $\mathbf{A} \in \mathbf{N}$ and $\mathbf{w} \in (\mathbf{N} \cup \Sigma)^*$.

CH3 (regular): Every rule is of the form $\mathbf{A} \rightarrow \mathbf{wB}$ or $\mathbf{A} \rightarrow \mathbf{w}$ with $\mathbf{A}, \mathbf{B} \in \mathbf{N}$ and $\mathbf{w} \in \Sigma^*$.

\mathbf{L} is called context-sensitive / context-free / regular iff it can be generated by a grammar of respective type.

Multiples of 3

Check whether decimal number $a_1a_2 \dots a_n$ is a multiple of 3.

Easy Algorithm

Scan through the word from a_1 to a_n .

Maintain memory s .

Initialise $s = 0$.

For $m = 1, 2, \dots, n$ Do

 Begin Let $s = s + a_m$ modulo 3 End.

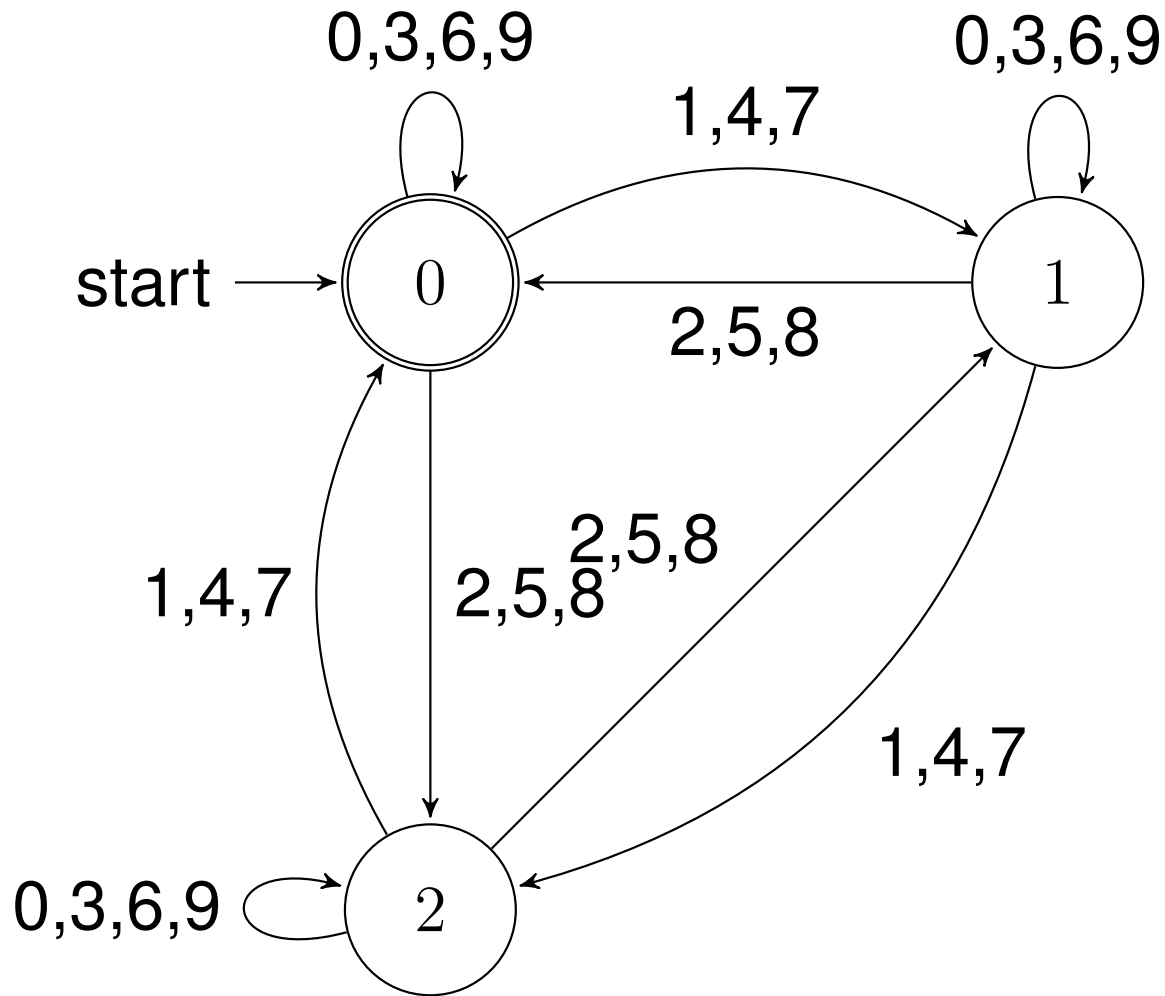
If $s = 0$

 Then $a_1a_2 \dots a_n$ is multiple of 3

 Else $a_1a_2 \dots a_n$ is not a multiple of 3.

Test the algorithm on 1, 20, 304, 2913, 49121, 391213, 2342342, 123454321, 1234554321.

Finite Automaton



Automata Working Mod 7

Automaton $(\{0, 1, 2, 3, 4, 5, 6\}, \{0, 1, \dots, 9\}, \delta, 0, \{0\})$ with δ given as table.

q	type	$\delta(q, a)$ for $a = 0$	1	2	3	4	5	6	7	8	9
0	acc	0	1	2	3	4	5	6	0	1	2
1	rej	3	4	5	6	0	1	2	3	4	5
2	rej	6	0	1	2	3	4	5	6	0	1
3	rej	2	3	4	5	6	0	1	2	3	4
4	rej	5	6	0	1	2	3	4	5	6	0
5	rej	1	2	3	4	5	6	0	1	2	3
6	rej	4	5	6	0	1	2	3	4	5	6

$\delta(q, a)$ is the remainder of $10 * q + a$ by 7.

$$\delta(0, 568) = \delta(\delta(\delta(0, 5), 6), 8) = 1.$$

Automaton as Program

```
function div257 begin
  var a in {0,1,2,...,256};
  var b in {0,1,2,3,4,5,6,7,8,9};
  if exhausted(input) then reject;
  read(b,input); a = b;
  if b == 0 then
    begin if exhausted(input)
      then accept else reject end;
  while not exhausted(input) do
    begin read(b,input);
      a = (a*10+b) mod 257 end;
  if a == 0 then accept else reject end.
```

Automaton checks whether input is multiple of 257.

Automaton rejects leading 0s of decimal numbers.

Important: All variables can only store constantly many information during the run of the automaton.

Finite Automaton - Formal

A deterministic finite automaton (dfa) is given by a set Q of states, the alphabet Σ used, the state-transition function δ mapping $Q \times \Sigma$ to Q , the starting state $s \in Q$ and a set $F \subseteq Q$ of final states.

On input $a_1 a_2 \dots a_n$, one can associate to this input a sequence $q_0 q_1 q_2 \dots q_n$ of states of the finite automaton with $q_0 = s$ and $\delta(q_m, a_{m+1}) = q_{m+1}$ for all $m < n$. This sequence is called the *run of the dfa on this input*.

A dfa *accepts* a word w iff its run on the input w ends in an accepting state, that is, in a member of F . Otherwise the dfa *rejects* the word w .

One can inductively extend δ to a function from $Q \times \Sigma^*$ to Q by letting $\delta(q, \varepsilon) = q$ and $\delta(q, wa) = \delta(\delta(q, w), a)$. So the dfa accepts w iff $\delta(s, w) \in F$.

Exercise 3.6

Make a finite automaton for the program from the Slide 7.

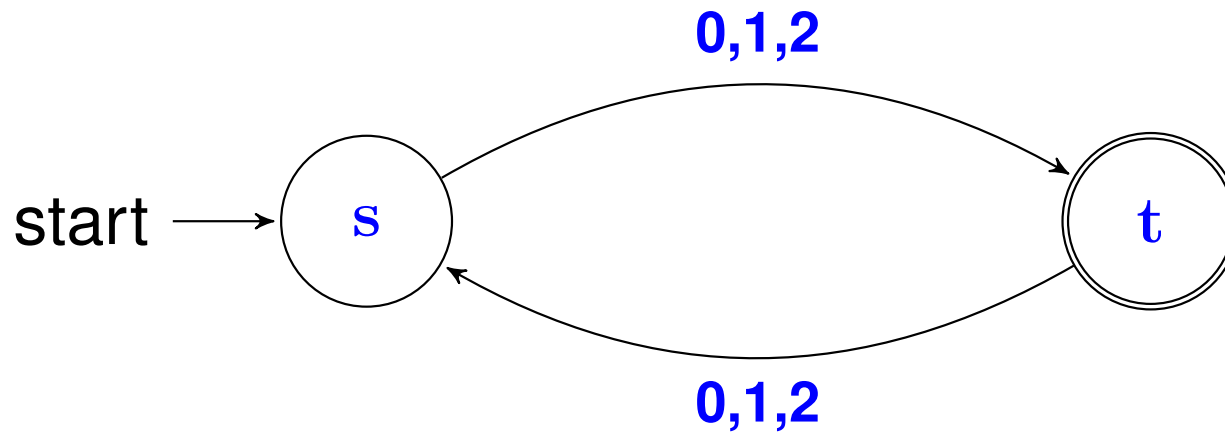
Use $Q = \{s, z, r, q_0, q_1, \dots, q_{256}\}$.

Here s is the starting state, r is an always rejecting state which is never left and z is the state which is reached after reading the first 0 . Furthermore, when the word is starting with $1, 2, \dots, 9$, then the automaton should cycle between the states q_0, q_1, \dots, q_{256} .

Describe when the automaton is in state q_a and how the states are updated on b . There is no need to write a table for δ , it is sufficient to say how δ works in each relevant case.

Quiz 3.7

Let $(\{s, t\}, \{0, 1, 2\}, \delta, s, \{t\})$ be a finite automaton with $\delta(s, a) = t$ and $\delta(t, a) = s$ for all $a \in \{0, 1, 2\}$. Determine the language of strings recognised by this automaton.



Regular Sets

Theorem 3.8

The following statements are equivalent for a language L .

- (a) L is recognised by a deterministic finite automaton;
- (b) L is generated by a regular expression;
- (c) L is generated by a regular grammar.

Equivalence of (b) and (c) was in Lecture 2. Now implication (a) to (c) is shown; the missing implication comes in Lecture 4.

Implication (a) to (c)

Assume $(Q, \Sigma, \delta, s, F)$ is a dfa recognising L .

Consider grammar (Q, Σ, P, s) with P having the following rules:

- $q \rightarrow ar$ whenever $\delta(q, a) = r$;
- $q \rightarrow \varepsilon$ whenever $q \in F$.

Let $w = a_1 a_2 \dots a_n$ be a word.

The dfa recognises w iff there is an accepting run starting in $q_0 = s$ and transiting from q_{m-1} to q_m on symbol a_m with $q_n \in F$ iff there is a derivation of w of the form

$$q_0 \Rightarrow a_1 q_1 \Rightarrow a_1 a_2 q_2 \Rightarrow \dots \Rightarrow a_1 a_2 \dots a_n q_n \Rightarrow a_1 a_2 \dots a_n$$

with $q_0 = s$ for the given grammar iff the grammar generates w .

Example

Language: Multiples of 3 (with leading zeroes).

Grammar

Set of Terminals: $\{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$.

Set of Non-Terminals: $\{q_0, q_1, q_2\}$.

Rules:

$q_0 \rightarrow 0q_0 | 1q_1 | 2q_2 | 3q_0 | 4q_1 | 5q_2 | 6q_0 | 7q_1 | 8q_2 | 9q_0 | \varepsilon$;

$q_1 \rightarrow 0q_1 | 1q_2 | 2q_0 | 3q_1 | 4q_2 | 5q_0 | 6q_1 | 7q_2 | 8q_0 | 9q_1$;

$q_2 \rightarrow 0q_2 | 1q_0 | 2q_1 | 3q_2 | 4q_0 | 5q_1 | 6q_2 | 7q_0 | 8q_1 | 9q_2$.

Start Symbol: q_0 .

Sample Derivations

$q_0 \Rightarrow 2q_2 \Rightarrow 22q_1 \Rightarrow 222q_0 \Rightarrow 222$;

$q_0 \Rightarrow 2q_2 \Rightarrow 24q_0 \Rightarrow 243q_0 \Rightarrow 243$;

$q_0 \Rightarrow 7q_1 \Rightarrow 72q_0 \Rightarrow 729q_0 \Rightarrow 729$;

$q_0 \Rightarrow 2q_2 \Rightarrow 25q_1 \Rightarrow 256q_1 \not\Rightarrow 256$.

Block Pumping Lemma

Theorem 3.9 [Ehrenfeucht, Parikh and Rozenberg 1981]

If L is a regular set then there is a constant k such that for all strings u_0, u_1, \dots, u_k with $u_0u_1 \dots u_k \in L$ there are i, j with $0 < i < j \leq k$ and

$$(u_0u_1 \dots u_{i-1}) \cdot (u_iu_{i+1} \dots u_{j-1})^* \cdot (u_ju_{j+1} \dots u_k) \subseteq L.$$

So if one splits a word in L into $k + 1$ parts then one can select some neighbouring parts in the middle of the word which can be pumped.

If one u_i with $0 < i < k$ is empty then u_i can be pumped; one can also require that u_1, u_2, \dots, u_{k-1} are nonempty.

Example 3.10

$L = \{1, 2\}^* \cdot (0 \cdot \{1, 2\}^* \cdot 0 \cdot \{1, 2\}^*)^*$ satisfies the Block Pumping Lemma with $k = 3$:

Let u_0, u_1, u_2, u_3 be given with $u_0u_1u_2u_3 \in L$.

If u_1 contains an even number of 0 then $u_0(u_1)^*u_2u_3 \subseteq L$;

If u_2 contains an even number of 0 then $u_0u_1(u_2)^*u_3 \subseteq L$;

If u_1, u_2 both contain an odd number of 0 then $u_0(u_1u_2)^*u_3 \subseteq L$.

$H = \{u : u \text{ has a different number of } 0\text{s than } 1\text{s}\}$ does not satisfy the Block Pumping Lemma with any k :

If $u = 0^k 1^{k+k!}$ then one takes $u_0, u_1, \dots, u_{k-1} = 0$ and $u_k = 1^{k+k!}$ and whatever pumping interval one chooses, the pump is of the form 0^h for $h < k$ and $0^k \cdot (0^h)^{k!/h} 1^{k+k!}$ is not in H .

Block Pumping

Theorem 3.11 [Ehrenfeucht, Parikh and Rozenberg 1981]

If a language and its complement both satisfy the Block Pumping Lemma then the language is regular.

Quiz 3.12 Which of the following languages over $\Sigma = \{0, 1, 2, 3\}$ satisfies the pumping-condition of the Block Pumping Lemma:

- (a) $\{00, 111, 22222\}^* \cap \{11, 222, 00000\}^* \cap \{22, 000, 11111\}^*$,
- (b) $\{0^m 1^n 2^o : m + n + o = 5555\}$,
- (c) $\{0^m 1^n 2^o : m + n = o + 5555\}$,
- (d) $\{w : w \text{ contains more } 1 \text{ than } 0\}$?

Blockpumping Constants

The optimal constant for a language L is the least n such that for all words $u_0u_1u_2 \dots u_n \in L$ there are i, j with $0 < i < j \leq n$ and $u_0 \dots u_{i-1}(u_i \dots u_{j-1})^*u_j \dots u_n \subseteq L$.

Exercise 3.13 Find the optimal block pumping constants for the following languages:

- (a) $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : \text{at least one nonzero digit } a \text{ occurs in } w \text{ at least three times}\}$;
- (b) $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : |w| = 255\}$;
- (c) $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : \text{the length } |w| \text{ is not a multiple of } 6\}$.

Exercise 3.14 Find the optimal block pumping constants for the following languages:

- (a) $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : w \text{ is a multiple of } 25\}$;
- (b) $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : w \text{ is not a multiple of } 3\}$;
- (c) $\{w \in \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}^* : w \text{ is a multiple of } 400\}$.

Exercises 3.15 and 3.16

Exercise 3.15

Find a regular language L so that the constant of the Block Pumping Lemma for L is 4 and for the complement of L is 4096 or more. Note that you can use an alphabet Σ of sufficiently large size.

Exercise 3.16

Give an example of a language L which satisfies the normal Pumping Lemma (where there is a k such that for all w with $|w| \geq k$ there are x, y, z with $xyz = w$, $|y| > 0$, $|xy| \leq k$ and $xy^*z \subseteq L$) but not the Block Pumping Lemma.

Derivatives

Given a language L , let $L_x = \{y : x \cdot y \in L\}$ be the derivative of L at x .

Theorem 3.17 [Myhill and Nerode].

A language L is regular iff L has only finitely many derivatives.

If L has k derivatives, one can make a dfa recognising L . The states are strings x_1, x_2, \dots, x_k representing the derivatives $L_{x_1}, L_{x_2}, \dots, L_{x_k}$.

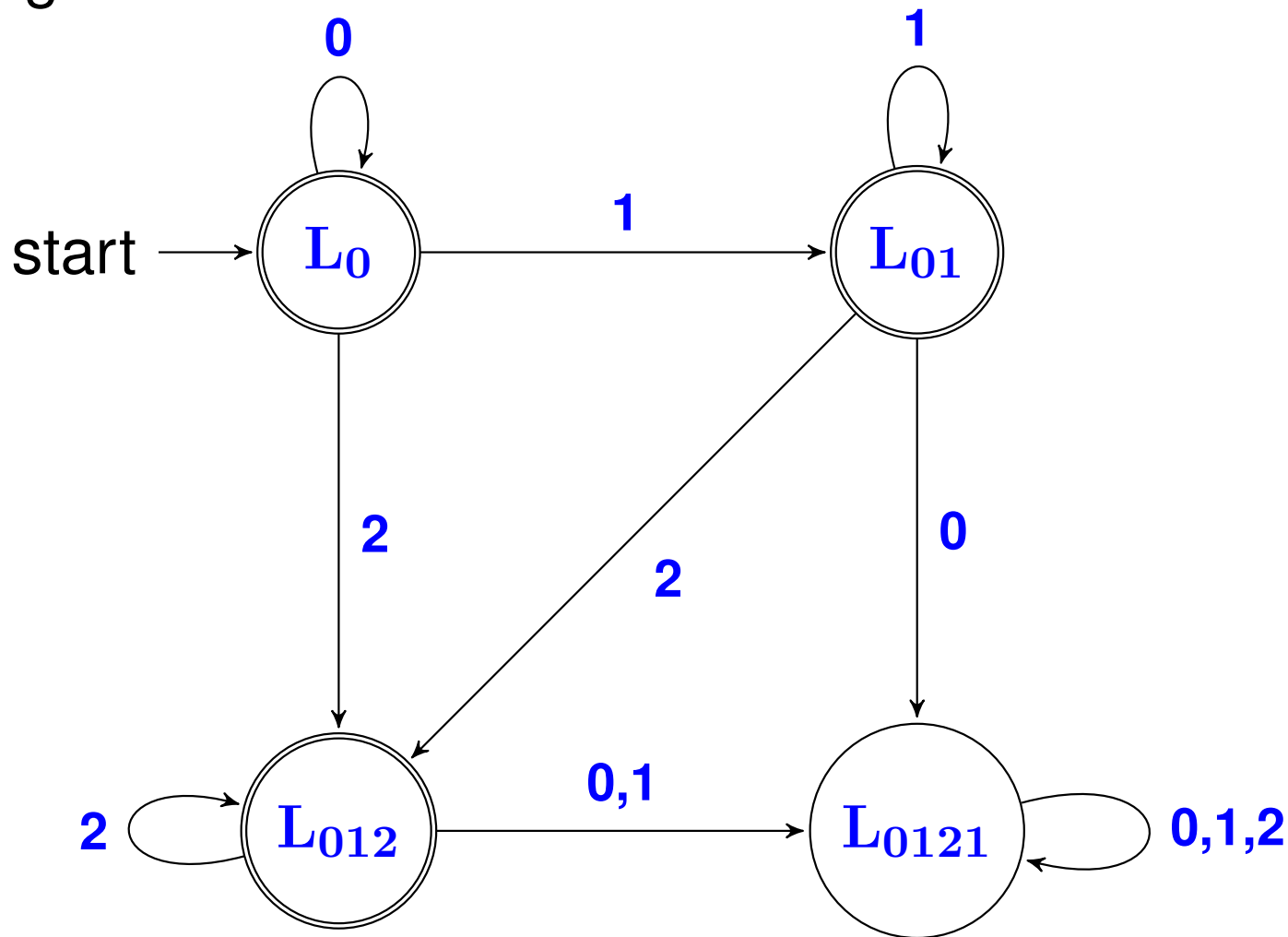
The transition rule $\delta(x_i, a)$ is the unique x_j with $L_{x_j} = L_{x_i a}$.

The starting state is the unique state x_i with $L_{x_i} = L$.

A state x_i is accepting iff $\varepsilon \in L_{x_i}$ iff $x_i \in L$.

Example 3.19

Let $L = 0^*1^*2^*$. Now $L_0 = 0^*1^*2^*$, $L_{01} = 1^*2^*$, $L_{012} = 2^*$ and $L_{0121} = \emptyset$. The corresponding automaton is the following.



Other Direction

Assume that a dfa recognises a language L and that δ is the transition function of the dfa. Now if $\delta(s, v) = \delta(s, w)$ then $L_v = L_w$: Given a word u , then $u \in L_v$ iff $vu \in L$ iff $\delta(\delta(s, v), u)$ is accepting iff $\delta(\delta(s, w), u)$ is accepting iff $wu \in L$ iff $u \in L_w$.

So one can pick for every reachable state q a word x_q with $\delta(s, x_q) = q$ and it follows that for every word y there is a reachable state q with $\delta(s, y) = q$ and thus $L_y = L_{x_q}$.

In summary, every derivative L_y is equal to one of the derivatives L_{x_q} with q being a reachable state and therefore there are only finitely many derivatives in a regular language.

Example 3.20

Let $L = \{0^n 1^n : n \in \mathbb{N}\}$.

Then $L_{0^n} = \{0^m 1^{n+m} : m \in \mathbb{N}\}$.

The shortest string in L_{0^n} is 1^n .

If $n \neq k$ then $L_{0^n} \neq L_{0^k}$. Hence there are infinitely many different derivatives.

The language L cannot be regular.

Jaffe's Pumping Lemma

Lemma 3.21 [Jaffe 1978]

A language $L \subseteq \Sigma^*$ is regular iff there is a constant k such that for all $x \in \Sigma^*$ and $y \in \Sigma^k$ there are u, v, w with $y = uvw$ and $v \neq \varepsilon$ such that, for all h , $L_{xuv^h w} = L_{xy}$.

Proof

If a dfa recognises with k states recognises L then there are for every x, y with $|y| = k$ two distinct prefixes u, uv of y such that the dfa is in the same state after reading xu and xuv . Thus when splitting y into $u \cdot v \cdot w$ for u, v from above then, for all z , the automaton is for all h on the words $xuv^h wz$ in the same state; hence $L_{xuv^h w} = L_{xy}$ for all h .

Conversely, for every z of length at least k there is a z' shorter than z with $L_{z'} = L_z$; thus there are at most as many derivatives as there are words up to length $k - 1$ and thus L is regular by the Theorem of Myhill and Nerode.

Exercises

Exercise 3.22

Assume that the alphabet Σ has 5000 elements. Define a language $L \subseteq \Sigma^*$ such that Jaffe's Matching Pumping Lemma is satisfied with constant $k = 3$ while every deterministic finite automaton recognising L has more than 5000 states. Prove your answer.

Exercise 3.23

Find a language which needs for Jaffe's Matching Pumping Lemma at least constant $k = 100$ and can be recognised by a deterministic finite automaton with 100 states. Prove your answer.

Algorithm 3.29

Minimise dfa $(Q, \Sigma, \delta, s, F)$

Construct Set R of Reacheable States: $R = \{s\}$;

While $\exists q \in R \exists a \in \Sigma [\delta(q, a) \notin R]$

Do Begin $R = R \cup \{\delta(q, a)\}$ End.

Identify Distinguishable States γ :

Initialise $\gamma = \{(q, p), (p, q) : p \in R \cap F, q \in R - F\}$;

While $\exists (p, q) \in R \times R - \gamma \exists a \in \Sigma [(\delta(p, a), \delta(q, a)) \in \gamma]$

Do Begin $\gamma = \gamma \cup \{(p, q), (p, q)\}$ End.

Minimal Automaton $(Q', \Sigma, \delta', s', F')$:

$Q' = \{q \in R : \forall p < q [(p, q) \in \gamma \text{ or } p \notin R]\}$;

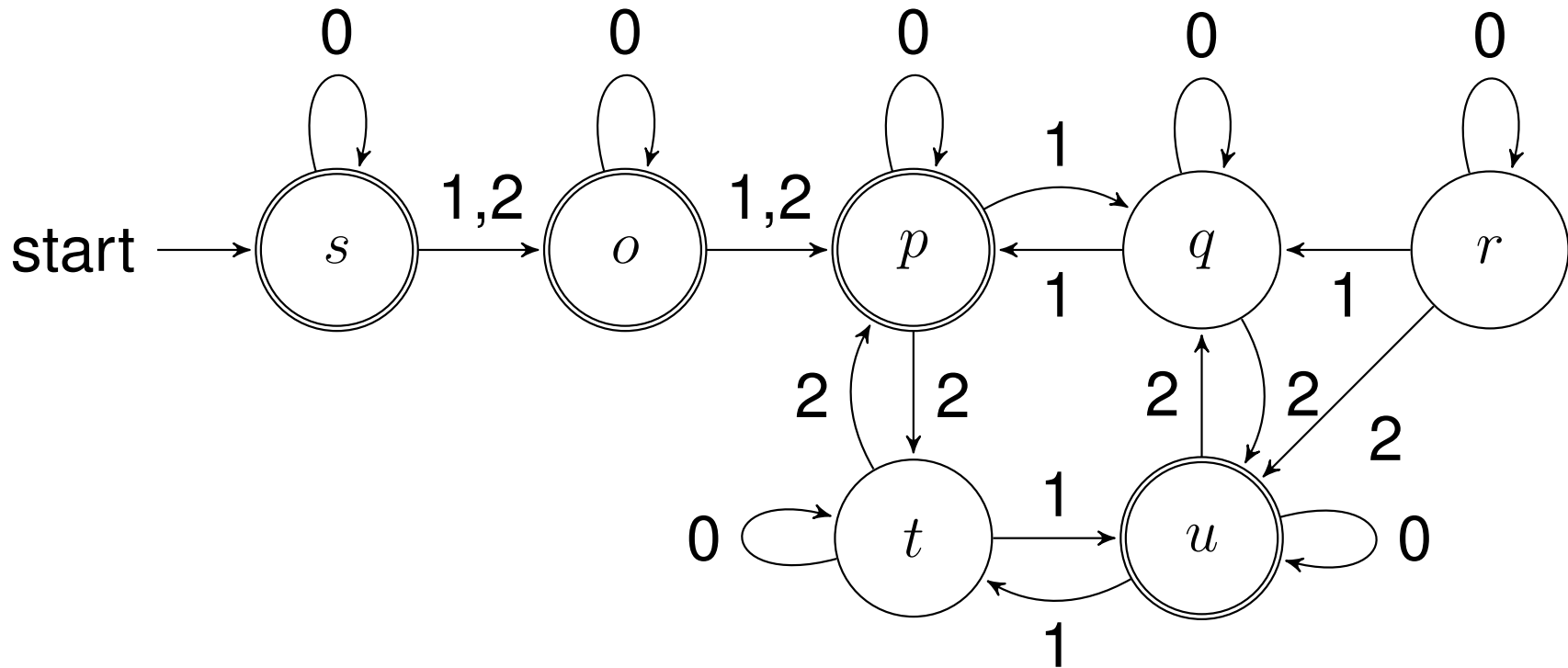
$\delta'(q, a)$ is the unique $p \in Q'$ with $(p, \delta(q, a)) \notin \gamma$;

s' is the unique $s' \in Q'$ with $(s, s') \notin \gamma$;

$F' = F \cap Q'$.

Exercise 3.30

Make an equivalent minimal complete dfa for this one:



Follow the steps of the algorithm of Myhill and Nerode.

Exercise 3.31

Assume that $\Sigma = \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$ and $Q = \{(a, b, c) : a, b, c \in \Sigma\}$ is the set of states. Furthermore assume that $\delta((a, b, c), d) = (b, c, d)$ for all $a, b, c, d \in \Sigma$, $(0, 0, 0)$ is the start state and that $F = \{(1, 1, 0), (3, 1, 0), (5, 1, 0), (7, 1, 0), (9, 1, 0)\}$ is the set of accepting states.

This dfa has **1000** states. Find a smaller dfa for this set and try to get the dfa as small as possible.

Exercise 3.32

Assume that $\Sigma = \{0, 1, 2, 3, 4, 5, 6, 7, 8, 9\}$ and $Q = \{(a, b, c) : a, b, c \in \Sigma\}$ is the set of states. Furthermore assume that $\delta((a, b, c), d) = (b, c, d)$ for all $a, b, c, d \in \Sigma$, $(0, 0, 0)$ is the start state and that $F = \{(1, 2, 5), (3, 7, 5), (6, 2, 5), (8, 7, 5)\}$ is the set of accepting states.

This dfa has **1000** states. Find a smaller dfa for this set and try to get the dfa as small as possible.

Exercises 3.33 to 3.36

These two exercises ask to provide a minimal dfa for a language L ; though L is given by a context-free grammar, it is in both cases regular. The dfas need not be complete.

Exercise 3.33 – The grammar is given as

$(\{S, T, U\}, \{0, 1, 2, 3\}, P, S)$ with $P =$
 $\{S \rightarrow TTT|TTU|TUU|UUU, T \rightarrow 0T|T1|01,$
 $U \rightarrow 2U|U3|23\}.$

Exercise 3.34 – The grammar is given as

$(\{S, T, U\}, \{0, 1, 2, 3, 4, 5\}, P, S)$ with $P =$
 $\{S \rightarrow TS|SU|T23U, T \rightarrow 0T|T1|01,$
 $U \rightarrow 4U|U5|45\}.$

Exercises 3.35 and 3.36 – Provide regular expressions for the first and the second of the above grammars, respectively.

Additional Exercises

Provide finite automata for the below sets of numbers; the dfas can be made in any of the styles of slides 5 to 7.

Exercise 3.37. All decimal numbers where between two occurrences of a digit d are at least three other digits.

Exercise 3.38. All decimal numbers which are not multiples of a one-digit prime number.

Exercise 3.39. All decimal numbers with at least five decimal digits which are divisible by 8.

Exercise 3.40. All decimal numbers which have in their decimal representation twenty consecutive odd digits.

Exercise 3.41. All octal numbers (digits 0, 1, 2, 3, 4, 5, 6, 7) without leading zeroes which are not multiples of 7.

Automata to Regular Expressions

Consider the automaton $(\{0, 1, 2, 3\}, \{0, 1, 2, 3\}, \delta, 0, \{1, 3\})$ with δ given in this table.

q	type	$\delta(q, a)$ for $a = 0$	1	2	3
0	start, rej	0	1	2	3
1	acc	1	1	2	3
2	rej	2	2	2	3
3	acc	3	3	3	3

Exercise 3.42. Make a regular expression for the language \mathbf{L} recognised by the dfa.

Exercise 3.43. Let \mathbf{L} as in Exercise 3.42 and make a regular expression for the language of words of odd lengths in \mathbf{L} .

Exercise 3.44. Let \mathbf{L} as in Exercise 3.42 and make a regular expression for the language of words of length at least **5** in \mathbf{L} .