Deterministic Finite Automata

Alphabets, Strings, and Languages

Transition Graphs and Tables

Some Proof Techniques

Alphabets

- An *alphabet* is any finite set of symbols.
- Examples:

  ASCII, Unicode,

  {0,1} (*binary alphabet*),

  {a,b,c}, {s,o},

  set of signals used by a protocol.

Strings

- A *string* over an alphabet Σ is a list, each element of which is a member of Σ.
  - Strings shown with no commas or quotes, e.g., abc or 01101.
- Σ* = set of all strings over alphabet Σ.
- The *length* of a string is its number of positions.
- ϵ stands for the *empty string* (string of length 0).

Example: Strings

- $\{0,1\}^* = \{\epsilon, 0, 1, 00, 01, 10, 11, 000, 001, \ldots\}$
- Subtlety: 0 as a string, 0 as a symbol look the same.
  - Context determines the type.

Languages

- A *language* is a subset of Σ^* for some alphabet Σ.
- Example: The set of strings of 0's and 1's with no two consecutive 1's.
- L = {ϵ, 0, 1, 00, 01, 10, 000, 001, 010, 100, 101, 0000, 0001, 0010, 0100, 0101, 1000, 1001, 1010, . . . }

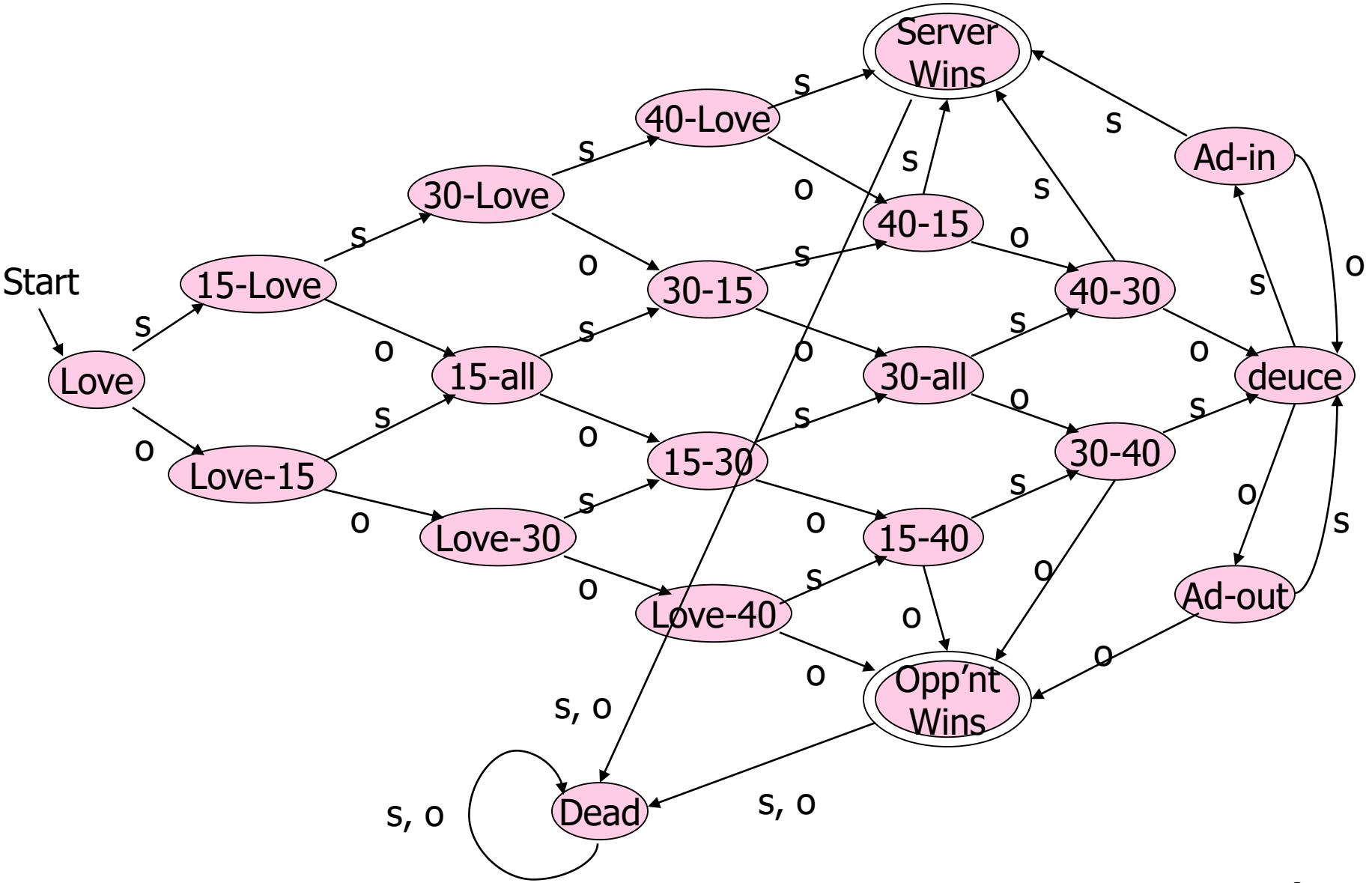
Hmm… 1 of length 0, 2 of length 1, 3, of length 2, 5 of length 3, 8 of length 4. I wonder how many of length 5?

Deterministic Finite Automata

- A formalism for defining languages, consisting of:
  1. A finite set of *states* (Q, typically).
  2. An *input alphabet* (Σ, typically).
  3. A *transition function* (δ, typically).
  4. A *start state* (q_0, in Q, typically).
  5. A set of *final states* (F ⊆ Q, typically).
     - "Final" and "accepting" are synonyms.

The Transition Function

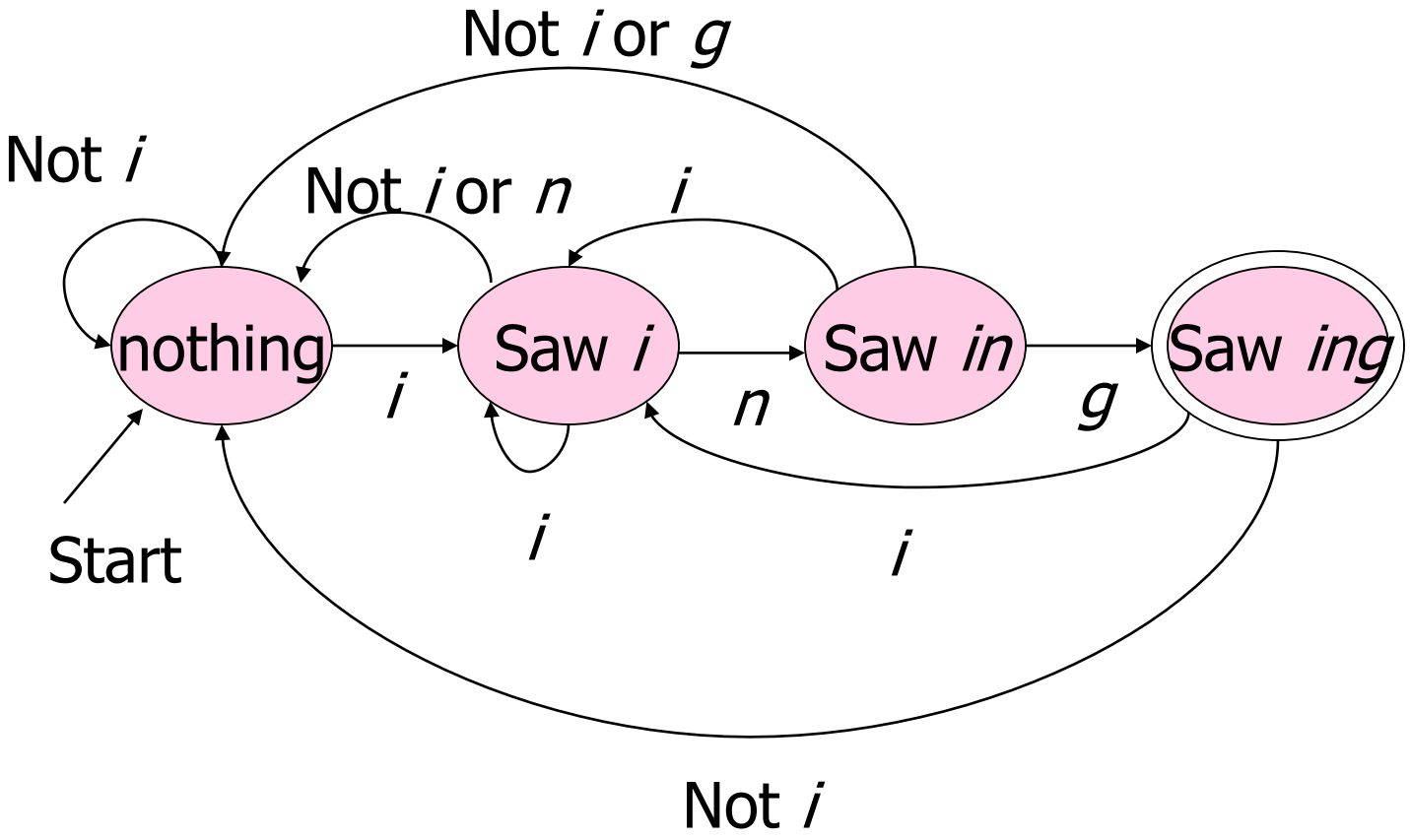
- Takes two arguments: a state and an input symbol.
- δ(q, a) = the state that the DFA goes to when it is in state *q* and input *a* is received.
- Note: always a next state – add a *dead state* if no transition (Example on next slide).


Start
Love
15-Love
30-Love
40-Love
Server Wins
Love-15
15-all
30-15
40-15
Ad-in
Love-30
15-30
30-all
40-30
deuce
Love-40
15-40
30-40
Ad-out
Opp'nt Wins
Dead
s
o
s, o

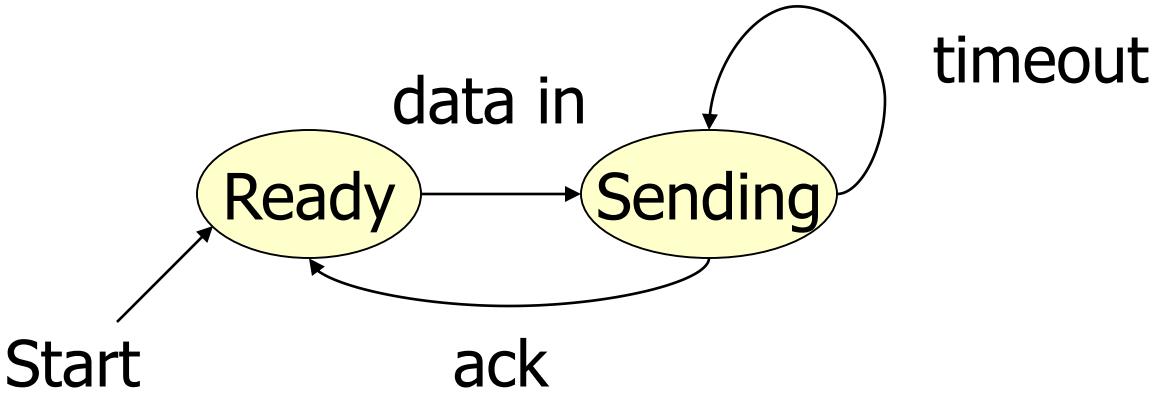
Graph Representation of DFA's

- Nodes = states.
- Arcs represent transition function.
  - Arc from state p to state q labeled by all those input symbols that have transitions from p to q.
- Arrow labeled "Start" to the start state.
- Final states indicated by double circles.

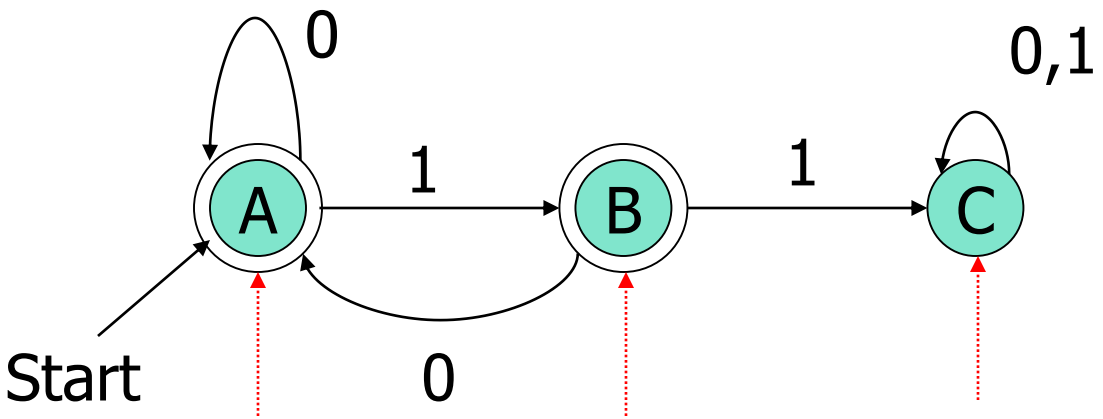
Example: Recognizing Strings Ending in "ing"



Example: Protocol for Sending Data



Example: Strings With No 11



String so far has no 11, does not end in 1.

String so far has no 11, but ends in a single 1.

Consecutive 1's have been seen.

Alternative Representation: Transition Table

Final states starred

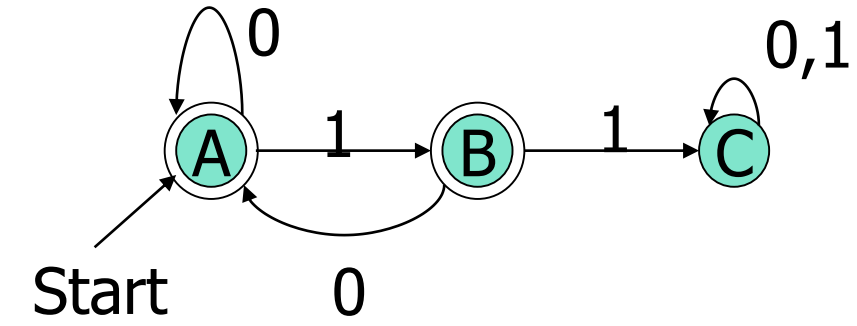
	0	1
→ * A	A	B
* B	A	C
C	C	C

Columns = input symbols

Arrow for start state

Rows = states

Each entry is δ of the row and column.



Convention: Strings and Symbols

- … w, x, y, z are strings.
- a, b, c,… are single input symbols.

Extended Transition Function

- We describe the effect of a string of inputs on a DFA by extending δ to a state and a string.
- Intuition: Extended δ is computed for state q and inputs $a_1a_2...a_n$ by following a path in the transition graph, starting at q and selecting the arcs with labels a_1, a_2,..., a_n in turn.

Inductive Definition of Extended δ

- Induction on length of string.
- Basis: $\delta(q, \epsilon) = q$
- Induction: $\delta(q,wa) = \delta(\delta(q,w),a)$
  - Remember: w is a string; a is an input symbol, by convention.

Example: Extended Delta

	0	1
A	A	B
B	A	C
C	C	C

$\delta(B,011) = \delta(\delta(B,01),1) = \delta(\delta(\delta(B,0),1),1) =$

$\delta(\delta(A,1),1) = \delta(B,1) = C$

Delta-hat

- We don't distinguish between the given delta and the extended delta or delta-hat.
- The reason:
- $\hat{\delta}(q, a) = \delta(\hat{\delta}(q, \epsilon), a) = \delta(q, a)$

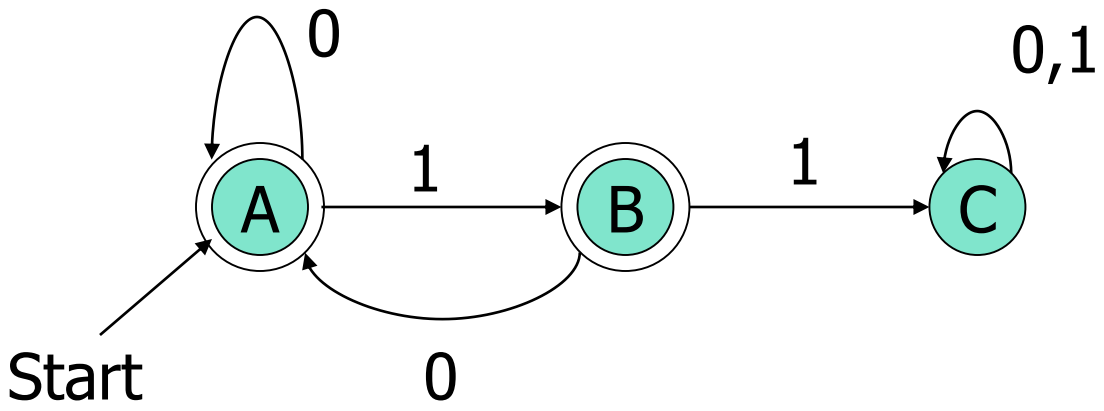
Extended deltas

Language of a DFA

- Automata of all kinds define languages.
- If A is an automaton, L(A) is its language.
- For a DFA A, L(A) is the set of strings labeling paths from the start state to a final state.
- Formally: L(A) = the set of strings w such that $\delta(q_0, w)$ is in F.

Example: String in a Language

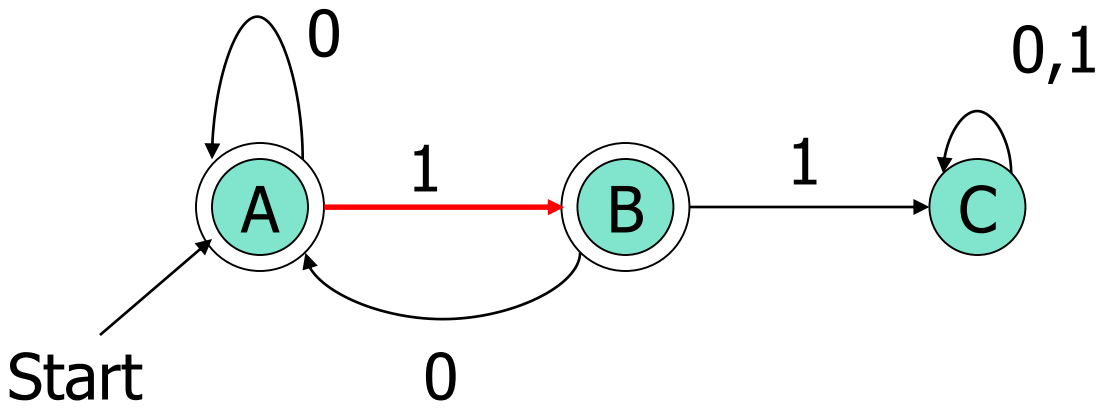
String 101 is in the language of the DFA below.
Start at A.



Example: String in a Language

String 101 is in the language of the DFA below.

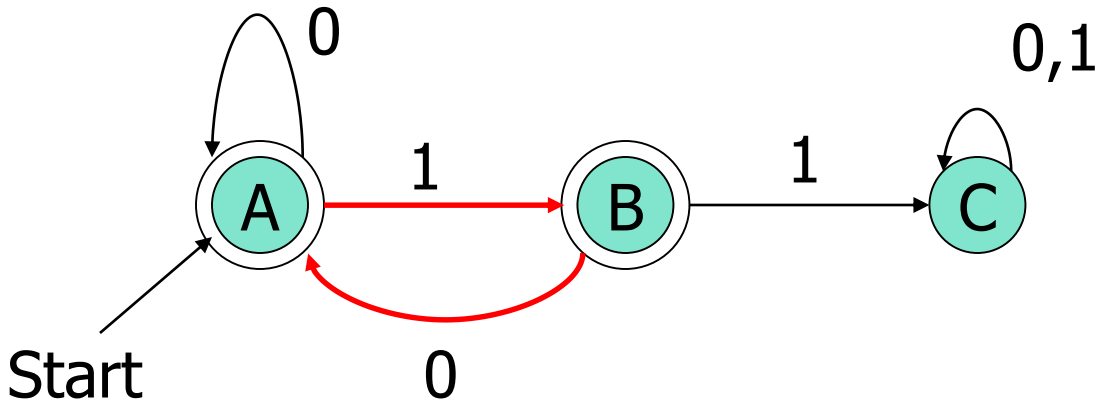
Follow arc labeled 1.



Example: String in a Language

String 101 is in the language of the DFA below.

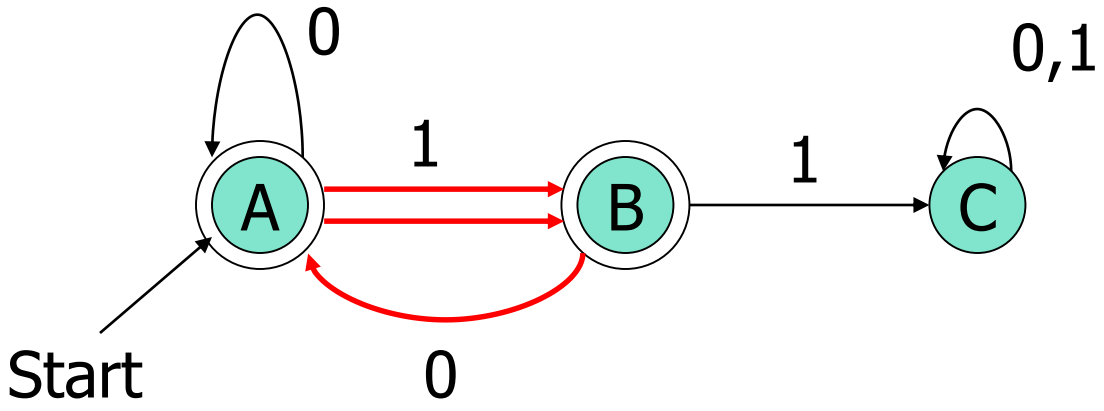
Then arc labeled 0 from current state B.



Example: String in a Language

String 101 is in the language of the DFA below.

Finally arc labeled 1 from current state A. Result is an accepting state, so 101 is in the language.



Example – Concluded

- The language of our example DFA is:

{w | w is in {0,1}* and w does not have two consecutive 1's}

Read a *set former* as "The set of strings w…

Such that…

These conditions about w are true.

Proofs of Set Equivalence

- Often, we need to prove that two descriptions of sets are in fact the same set.
- Here, one set is "the language of this DFA," and the other is "the set of strings of 0's and 1's with no consecutive 1's."

Proofs – (2)

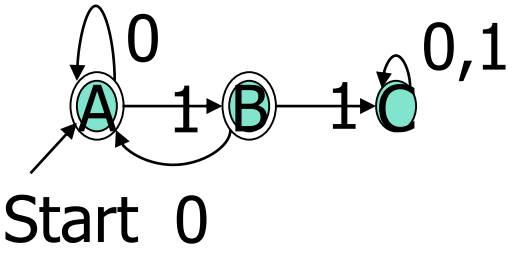
- In general, to prove S = T, we need to prove two parts: S ⊆ T and T ⊆ S.

  That is:

  1. If w is in S, then w is in T.
  2. If w is in T, then w is in S.

- Here, S = the language of our running DFA, and T = "no consecutive 1's."

Part 1: S ⊆ T



- To prove: if w is accepted by then w has no consecutive 1's.
- Proof is an induction on length of w.
- Important trick: Expand the inductive hypothesis to be more detailed than the statement you are trying to prove.

The Inductive Hypothesis

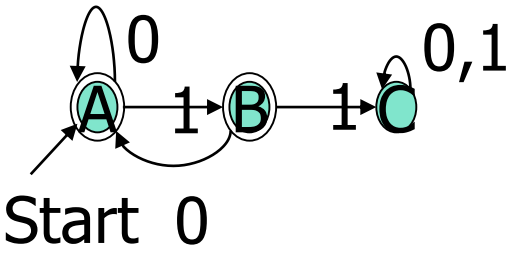
1. If $\delta(A, w) = A$, then w has no consecutive 1's and does not end in 1.
2. If $\delta(A, w) = B$, then w has no consecutive 1's and ends in a single 1.

- Basis: $|w| = 0$; i.e., $w = \epsilon$.
  - (1) holds since ϵ has no 1's at all.
  - (2) holds *vacuously*, since $\delta(A, \epsilon)$ is not B.

"length of"

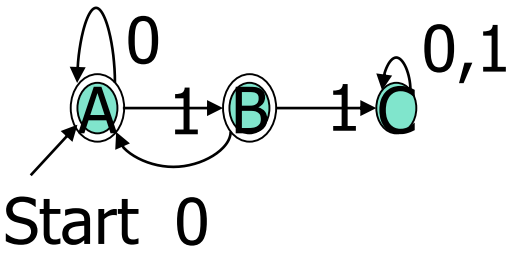
Important concept:
If the "if" part of "if..then" is false, the statement is true.

Inductive Step



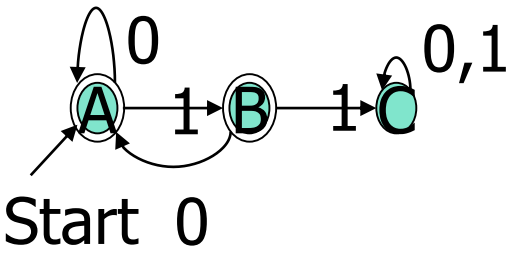
- Assume (1) and (2) are true for strings shorter than w, where |w| is at least 1.
- Because w is not empty, we can write w = xa, where *a* is the last symbol of w, and x is the string that precedes.
- IH is true for x.

Inductive Step – (2)



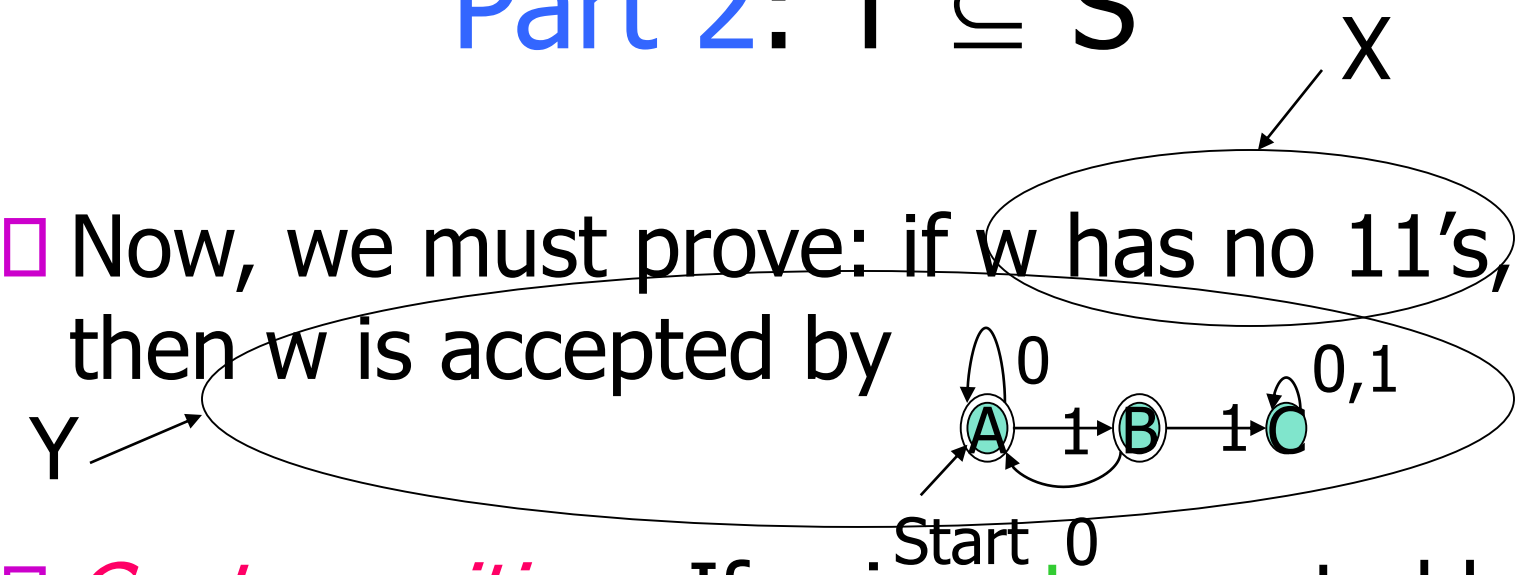
- Need to prove (1) and (2) for w = xa.
- (1) for w is: If δ(A, w) = A, then w has no consecutive 1's and does not end in 1.
- Since δ(A, w) = A, δ(A, x) must be A or B, and *a* must be 0 (look at the DFA).
- By the IH, x has no 11's.
- Thus, w has no 11's and does not end in 1.

Inductive Step – (3)



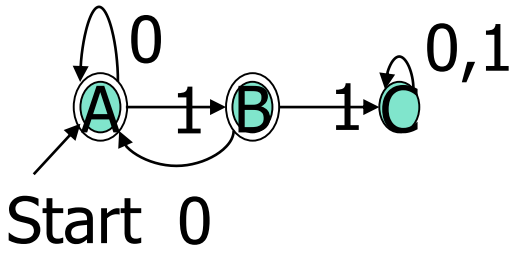
- Now, prove (2) for w = xa: If δ(A, w) = B, then w has no 11's and ends in 1.
- Since δ(A, w) = B, δ(A, x) must be A, and *a* must be 1 (look at the DFA).
- By the IH, x has no 11's and does not end in 1.
- Thus, w has no 11's and ends in 1.

Part 2: T ⊆ S



- Now, we must prove: if w has no 11's, then w is accepted by

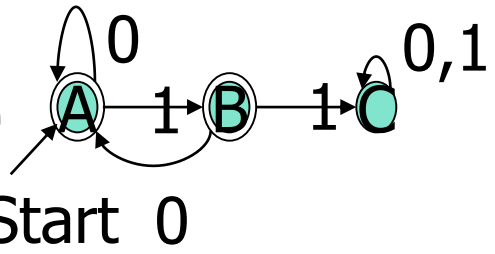
- *Contrapositive* : If w is not accepted by



then w has 11.

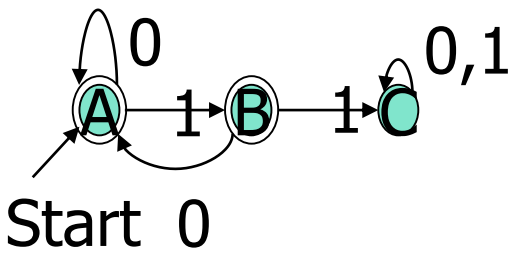
Key idea: contrapositive of "if X then Y" is the equivalent statement "if not Y then not X."

Using the Contrapositive



- Because there is a unique transition from every state on every input symbol, each w gets the DFA to exactly one state.
- The only way w is not accepted is if it gets to C.

Using the Contrapositive – (2)



- The only way to get to C [formally: δ(A,w) = C] is if w = x1y, x gets to B, and y is the tail of w that follows what gets to C for the first time.
- If δ(A,x) = B then surely x = z1 for some z.
- Thus, w = z11y and has 11.

Regular Languages

- A language L is *regular* if it is the language accepted by some DFA.
  - Note: the DFA must accept only the strings in L, no others.
- Some languages are not regular.
  - Intuitively, regular languages "cannot count" to arbitrarily high integers.

Example: A Nonregular Language

$L_1 = \{0^n 1^n \mid n \geq 1\}$

- Note: a^i is conventional for i a's.
  - Thus, $0^4 = 0000$, e.g.
- Read: "The set of strings consisting of n 0's followed by n 1's, such that n is at least 1.
- Thus, $L_1 = \{01, 0011, 000111, \ldots\}$

Another Example

L_2 = {w | w in {(,)}* and w is *balanced* }

- Balanced parentheses are those sequences of parentheses that can appear in an arithmetic expression.
- E.g.: (), ()(), (()), (()()),…

But Many Languages are Regular

- They appear in many contexts and have many useful properties.
- Example: the strings that represent floating point numbers in your favorite language is a regular language.

Example: A Regular Language

L_3 = { w | w in {0,1}* and w, viewed as a binary integer is divisible by 23}

- The DFA:
  - 23 states, named 0, 1,…,22.
  - Correspond to the 23 remainders of an integer divided by 23.
  - Start and only final state is 0.

Transitions of the DFA for L_3

- If string w represents integer i, then assume $\delta(0, w) = i\%23$.
- Then w0 represents integer 2i, so we want $\delta(i\%23, 0) = (2i)\%23$.
- Similarly: w1 represents 2i+1, so we want $\delta(i\%23, 1) = (2i+1)\%23$.
- Example: $\delta(15,0) = 30\%23 = 7$; $\delta(11,1) = 23\%23 = 0$.

Another Example

L_4 = { w | w in {0,1}* and w, viewed as the reverse of a binary integer is divisible by 23}

- Example: 01110100 is in L_4, because its reverse, 00101110 is 46 in binary.
- Hard to construct the DFA.
- But there is a theorem that says the reverse of a regular language is also regular.

Nondeterministic Finite Automata

Nondeterminism

Subset Construction

ϵ-Transitions

Nondeterminism

- A *nondeterministic finite automaton* has the ability to be in several states at once.
- Transitions from a state on an input symbol can be to any set of states.

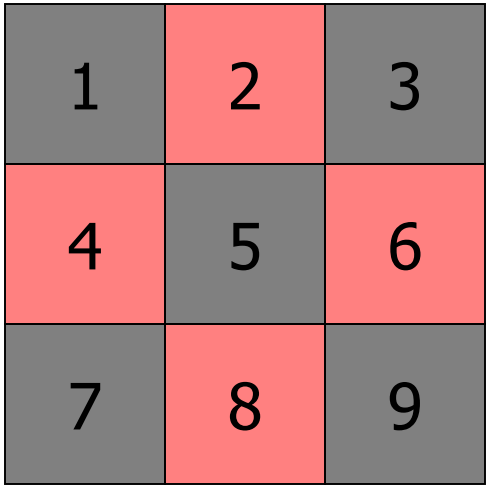
Nondeterminism – (2)

- Start in one start state.
- Accept if any sequence of choices leads to a final state.
- Intuitively: the NFA always "guesses right."

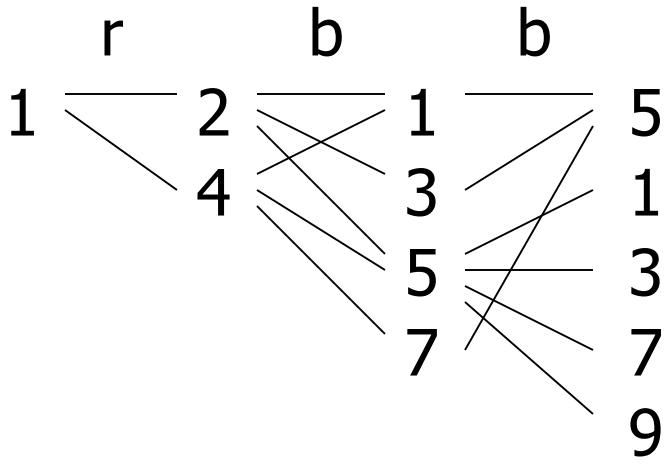
Example: Moves on a Chessboard

- States = squares.
- Inputs = r (move to an adjacent red square) and b (move to an adjacent black square).
- Start state, final state are in opposite corners.

Example: Chessboard – (2)



		r	b
→	1	2,4	5
	2	4,6	1,3,5
	3	2,6	5
	4	2,8	1,5,7
	5	2,4,6,8	1,3,7,9
	6	2,8	3,5,9
	7	4,8	5
	8	4,6	5,7,9
*	9	6,8	5



← Accept, since final state reached

Formal NFA

- A finite set of states, typically Q.
- An input alphabet, typically Σ.
- A transition function, typically δ.
- A start state in Q, typically q_0.
- A set of final states $F \subseteq Q$.

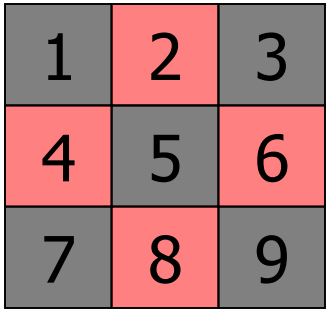
Transition Function of an NFA

- δ(q, a) is a set of states.
- Extend to strings as follows:
- Basis: δ(q, ϵ) = {q}
- Induction: δ(q, wa) = the union over all states p in δ(q, w) of δ(p, a)

Language of an NFA

- A string w is accepted by an NFA if $\delta(q_0, w)$ contains at least one final state.
- The language of the NFA is the set of strings it accepts.

Example: Language of an NFA



- For our chessboard NFA we saw that rbb is accepted.
- If the input consists of only b's, the set of accessible states alternates between {5} and {1,3,7,9}, so only even-length, nonempty strings of b's are accepted.
- What about strings with at least one r?

Equivalence of DFA's, NFA's

- A DFA can be turned into an NFA that accepts the same language.
- If $\delta_D(q, a) = p$, let the NFA have $\delta_N(q, a) = \{p\}$.
- Then the NFA is always in a set containing exactly one state – the state the DFA is in after reading the same input.

Equivalence – (2)

- Surprisingly, for any NFA there is a DFA that accepts the same language.
- Proof is the *subset construction*.
- The number of states of the DFA can be exponential in the number of states of the NFA.
- Thus, NFA's accept exactly the regular languages.

Subset Construction

- Given an NFA with states Q, inputs Σ, transition function δ_N, state state q_0, and final states F, construct equivalent DFA with:
  - States 2^Q (Set of subsets of Q).
  - Inputs Σ.
  - Start state $\{q_0\}$.
  - Final states = all those with a member of F.

Critical Point

- The DFA states have *names* that are sets of NFA states.
- But as a DFA state, an expression like {p,q} must be understood to be a single symbol, not as a set.
- Analogy: a class of objects whose values are sets of objects of another class.

Subset Construction – (2)

- The transition function δ_D is defined by:

$\delta_D(\{q_1,\ldots,q_k\}, a)$ is the union over all i = 1,…,k of $\delta_N(q_i, a)$.

- Example: We'll construct the DFA equivalent of our "chessboard" NFA.

Example: Subset Construction

		r	b
→	1	2,4	5
	2	4,6	1,3,5
	3	2,6	5
	4	2,8	1,5,7
	5	2,4,6,8	1,3,7,9
	6	2,8	3,5,9
	7	4,8	5
	8	4,6	5,7,9
*	9	6,8	5

	r	b
→ {1}	{2,4}	{5}
{2,4}		
{5}		

Alert: What we're doing here is the *lazy* form of DFA construction, where we only construct a state if we are forced to.

Example: Subset Construction

		r	b
→	1	2,4	5
	2	4,6	1,3,5
	3	2,6	5
	4	2,8	1,5,7
	5	2,4,6,8	1,3,7,9
	6	2,8	3,5,9
	7	4,8	5
	8	4,6	5,7,9
*	9	6,8	5

	r	b
→ {1}	{2,4}	{5}
{2,4}	{2,4,6,8}	{1,3,5,7}
{5}		
{2,4,6,8}		
{1,3,5,7}		

Example: Subset Construction

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		r	b
→	{1}	{2,4}	{5}
	{2,4}	{2,4,6,8}	{1,3,5,7}
	{5}	{2,4,6,8}	{1,3,7,9}
	{2,4,6,8}		
	{1,3,5,7}		
*	{1,3,7,9}		

Example: Subset Construction

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*	9	6,8	5

		r	b
→	{1}	{2,4}	{5}
	{2,4}	{2,4,6,8}	{1,3,5,7}
	{5}	{2,4,6,8}	{1,3,7,9}
	{2,4,6,8}	{2,4,6,8}	{1,3,5,7,9}
	{1,3,5,7}		
*	{1,3,7,9}		
*	{1,3,5,7,9}		

Example: Subset Construction

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		r	b
→	{1}	{2,4}	{5}
	{2,4}	{2,4,6,8}	{1,3,5,7}
	{5}	{2,4,6,8}	{1,3,7,9}
	{2,4,6,8}	{2,4,6,8}	{1,3,5,7,9}
	{1,3,5,7}	{2,4,6,8}	{1,3,5,7,9}
*	{1,3,7,9}		
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Example: Subset Construction

		r	b
→	1	2,4	5
	2	4,6	1,3,5
	3	2,6	5
	4	2,8	1,5,7
	5	2,4,6,8	1,3,7,9
	6	2,8	3,5,9
	7	4,8	5
	8	4,6	5,7,9
*	9	6,8	5

		r	b
→	{1}	{2,4}	{5}
	{2,4}	{2,4,6,8}	{1,3,5,7}
	{5}	{2,4,6,8}	{1,3,7,9}
	{2,4,6,8}	{2,4,6,8}	{1,3,5,7,9}
	{1,3,5,7}	{2,4,6,8}	{1,3,5,7,9}
*	{1,3,7,9}	{2,4,6,8}	{5}
*	{1,3,5,7,9}		

Example: Subset Construction

		r	b
→	1	2,4	5
	2	4,6	1,3,5
	3	2,6	5
	4	2,8	1,5,7
	5	2,4,6,8	1,3,7,9
	6	2,8	3,5,9
	7	4,8	5
	8	4,6	5,7,9
*	9	6,8	5

		r	b
→	{1}	{2,4}	{5}
	{2,4}	{2,4,6,8}	{1,3,5,7}
	{5}	{2,4,6,8}	{1,3,7,9}
	{2,4,6,8}	{2,4,6,8}	{1,3,5,7,9}
	{1,3,5,7}	{2,4,6,8}	{1,3,5,7,9}
*	{1,3,7,9}	{2,4,6,8}	{5}
*	{1,3,5,7,9}	{2,4,6,8}	{1,3,5,7,9}

Proof of Equivalence: Subset Construction

- The proof is almost a pun.
- Show by induction on |w| that

  $\delta_N(q_0, w) = \delta_D(\{q_0\}, w)$
- Basis: $w = \epsilon$: $\delta_N(q_0, \epsilon) = \delta_D(\{q_0\}, \epsilon) = \{q_0\}$.

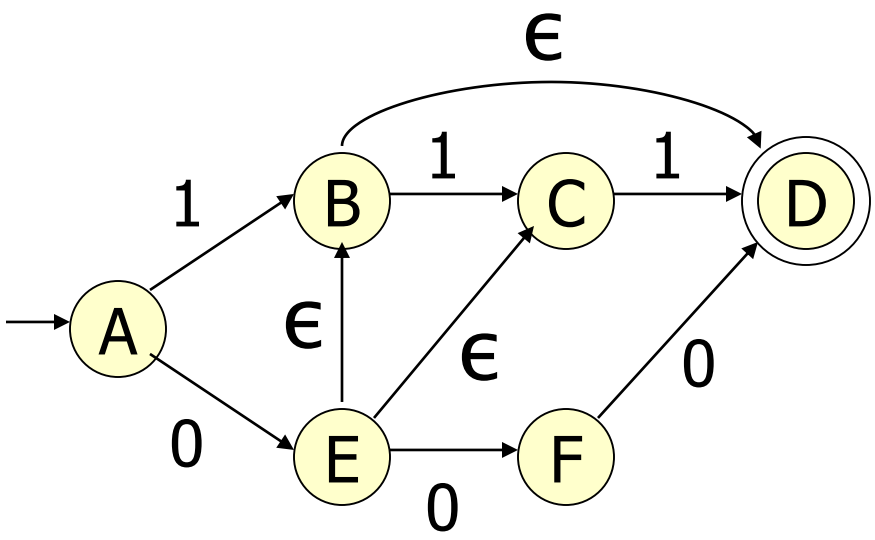
Induction

- Assume IH for strings shorter than w.
- Let w = xa; IH holds for x.
- Let $\delta_N(q_0, x) = \delta_D(\{q_0\}, x) = S$.
- Let T = the union over all states p in S of $\delta_N(p, a)$.
- Then $\delta_N(q_0, w) = \delta_D(\{q_0\}, w) = T$.

NFA's With ϵ-Transitions

- We can allow state-to-state transitions on ϵ input.
- These transitions are done spontaneously, without looking at the input string.
- A convenience at times, but still only regular languages are accepted.

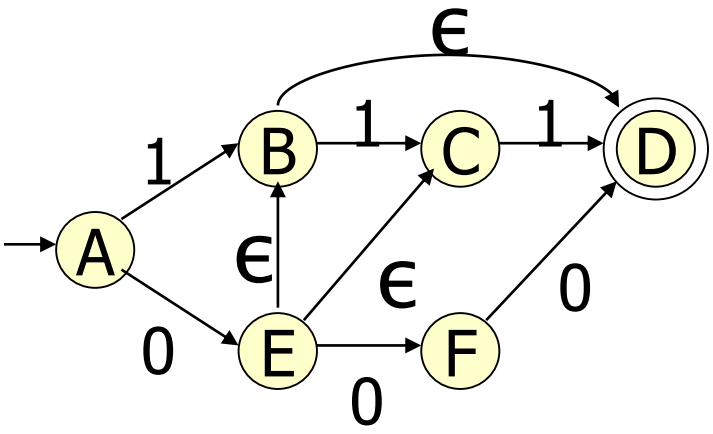
Example: ϵ-NFA



		0	1	ϵ
→	A	{E}	{B}	∅
	B	∅	{C}	{D}
	C	∅	{D}	∅
*	D	∅	∅	∅
	E	{F}	∅	{B, C}
	F	{D}	∅	∅

Closure of States

- CL(q) = set of states you can reach from state q following only arcs labeled ϵ.
- Example: CL(A) = {A};
  CL(E) = {B, C, D, E}.

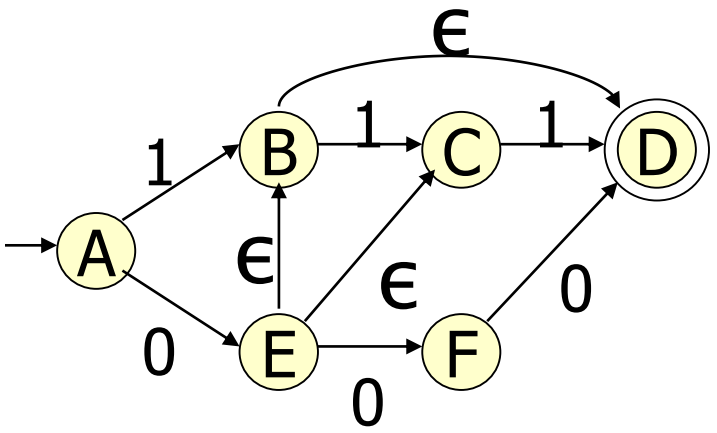


- Closure of a set of states = union of the closure of each state.

Extended Delta

- Intuition: $\hat{\delta}(q, w)$ is the set of states you can reach from q following a path labeled w.
- Basis: $\hat{\delta}(q, \epsilon) = CL(q)$.
- Induction: $\hat{\delta}(q, xa)$ is computed by:
  1. Start with $\hat{\delta}(q, x) = S$.
  2. Take the union of $CL(\delta(p, a))$ for all p in S.

Example: Extended Delta

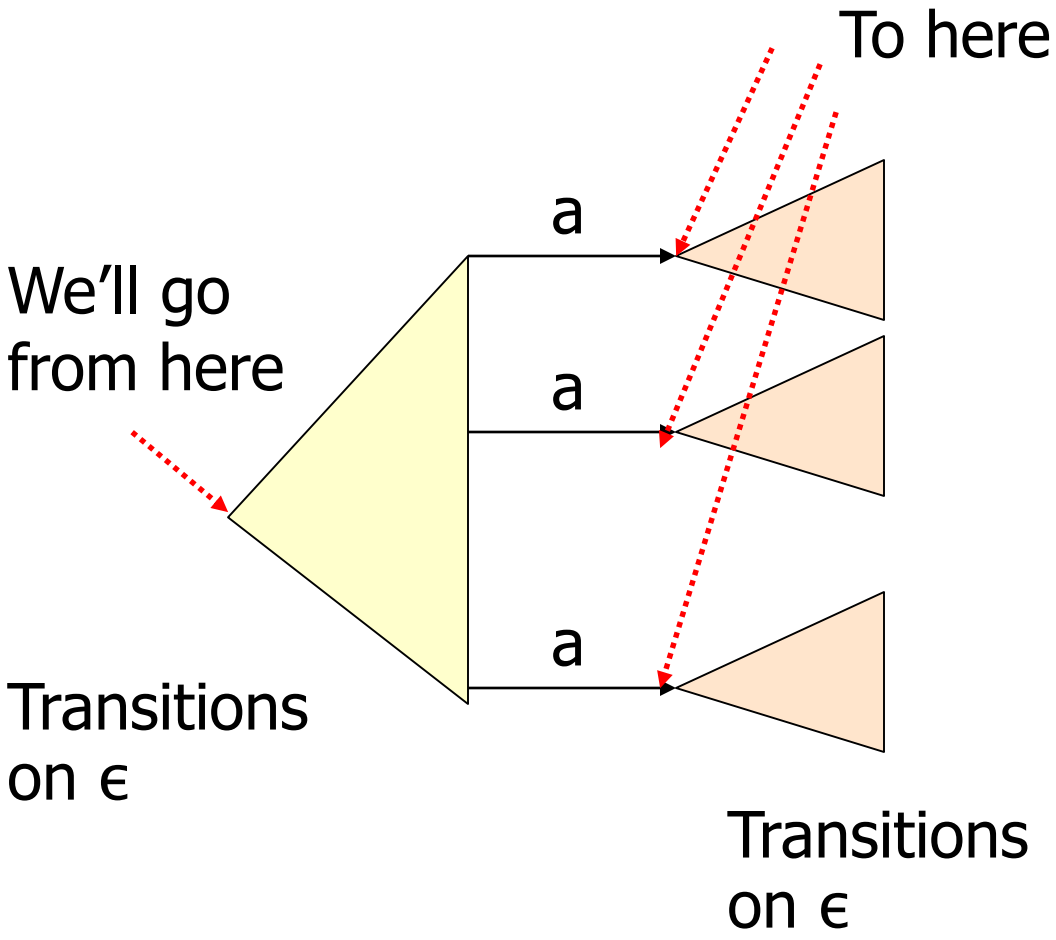


- $\hat{\delta}(A, \epsilon) = CL(A) = \{A\}$.
- $\hat{\delta}(A, 0) = CL(\{E\}) = \{B, C, D, E\}$.
- $\hat{\delta}(A, 01) = CL(\{C, D\}) = \{C, D\}$.
- *Language* of an ϵ-NFA is the set of strings w such that $\hat{\delta}(q_0, w)$ contains a final state.

Equivalence of NFA, ϵ-NFA

- Every NFA is an ϵ-NFA.
  - It just has no transitions on ϵ.
- Converse requires us to take an ϵ-NFA and construct an NFA that accepts the same language.
- We do so by combining ϵ–transitions with the next transition on a real input.

Picture of ϵ-Transition Removal



Equivalence – (2)

- Start with an ϵ-NFA with states Q, inputs Σ, start state q_0, final states F, and transition function δ_E.
- Construct an "ordinary" NFA with states Q, inputs Σ, start state q_0, final states F′, and transition function δ_N.

Equivalence – (3)

- Compute $\delta_N(q, a)$ as follows:
  1. Let S = CL(q).
  2. $\delta_N(q, a)$ is the union over all p in S of $\delta_E(p, a)$.
- F′ = the set of states q such that CL(q) contains a state of F.

Equivalence – (4)

- Prove by induction on |w| that

$$CL(\delta_N(q_0, w)) = \hat{\delta}_E(q_0, w).$$

- Thus, the ϵ-NFA accepts w if and only if the "ordinary" NFA does.

Example: ϵ-NFA-to-NFA

Interesting closures: CL(B) = {B,D}; CL(E) = {B,C,D,E}

		0	1	ϵ
→	A	{E}	{B}	∅
	B	∅	{C}	{D}
	C	∅	{D}	∅
*	D	∅	∅	∅
	E	{F}	∅	{B, C}
	F	{D}	∅	∅

ϵ-NFA

		0	1
→	A	{E}	{B}
*	B	∅	{C}
	C	∅	{D}
*	D	∅	∅
*	E	{F}	{C, D}
	F	{D}	∅

Doesn't change, since B, C, D have no transitions on 0.

Since closures of B and E include final state D.

Since closure of E includes B and C; which have transitions on 1 to C and D.

Summary

- DFA's, NFA's, and ϵ–NFA's all accept exactly the same set of languages: the regular languages.
- The NFA types are easier to design and may have exponentially fewer states than a DFA.
- But only a DFA can be implemented!