

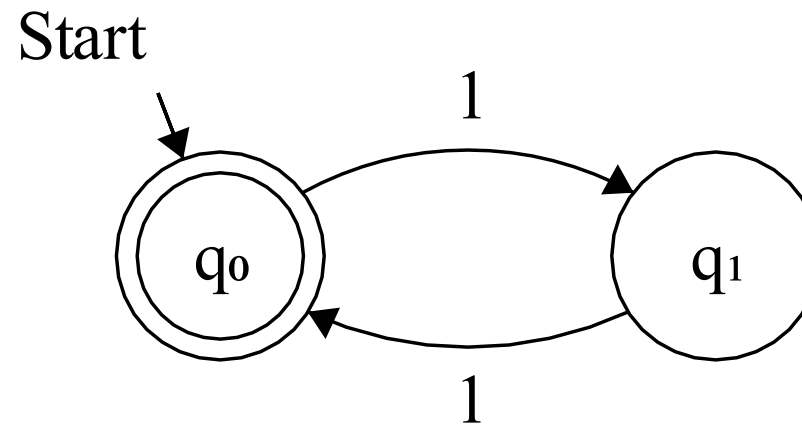
# Finite Automata

COMP 455 – 002, Spring 2019

# Example: Detect Even Number of 1s

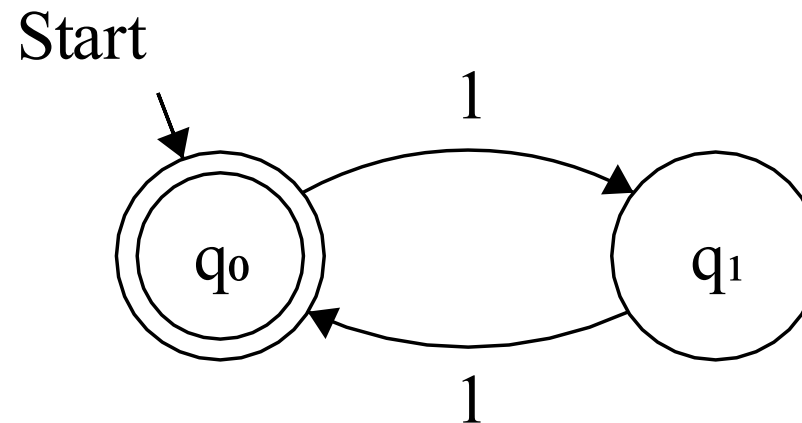
This is a “transition diagram” for a *deterministic finite automaton*.

Diagrams like this visualize automata like a simple game.



# Example: Detect Even Number of 1s

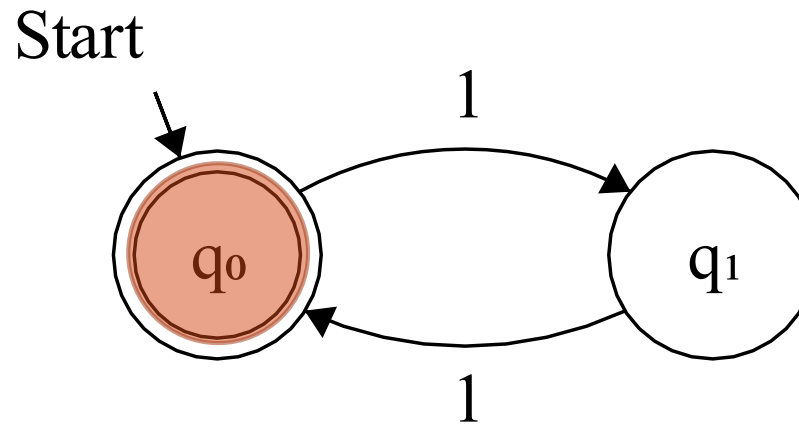
In this “game”, we will move from circle to circle, following the instructions given by an input string.



**Input string: 1111**

# Example: Detect Even Number of 1s

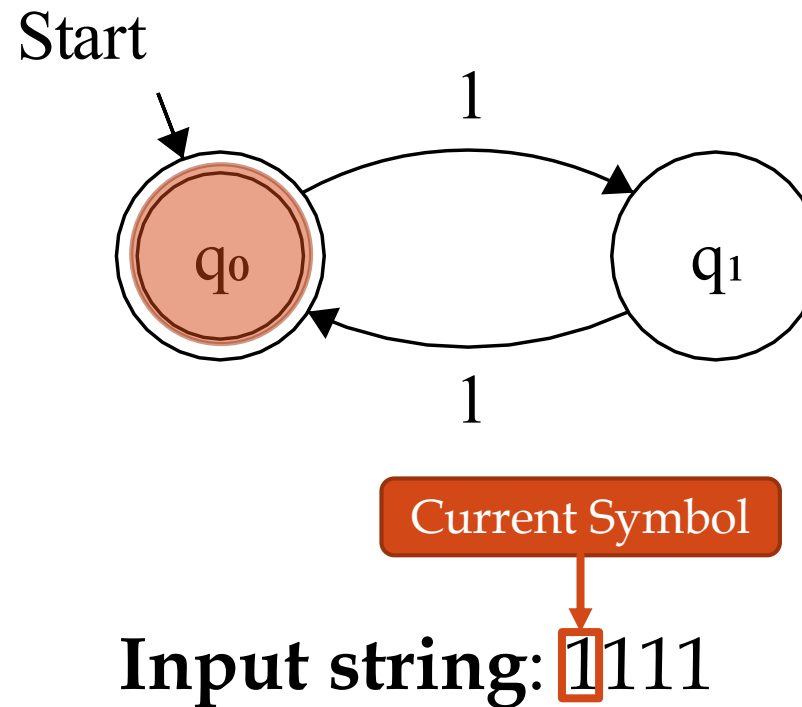
The “player” starts at the indicated circle:



**Input string: 1111**

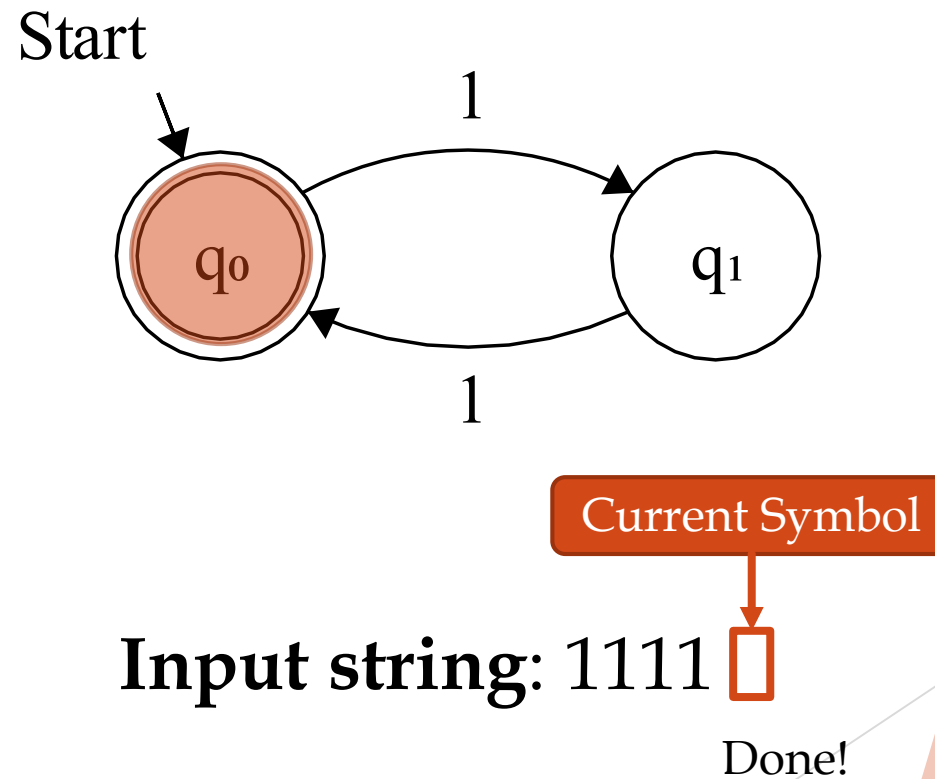
# Example: Detect Even Number of 1s

The “game” proceeds by reading one character at a time from the input string and following the path labeled with the character.



# Example: Detect Even Number of 1s

The “game” ends when all input symbols have been read.



# Defining a Deterministic Finite Automaton

We define a deterministic finite automaton (DFA) as a 5-tuple:  $(Q, \Sigma, \delta, q_0, F)$

- ▶  $Q$ : A set of states
- ▶  $\Sigma$ : A set of input symbols (the *alphabet*)
- ▶  $q_0$ : The initial state.  $q_0 \in Q$ .
- ▶  $F$ : A set of accepting (“final”) states.  $F \subseteq Q$ .
- ▶  $\delta$ : The “transition function” mapping  $Q \times \Sigma \rightarrow Q$ .

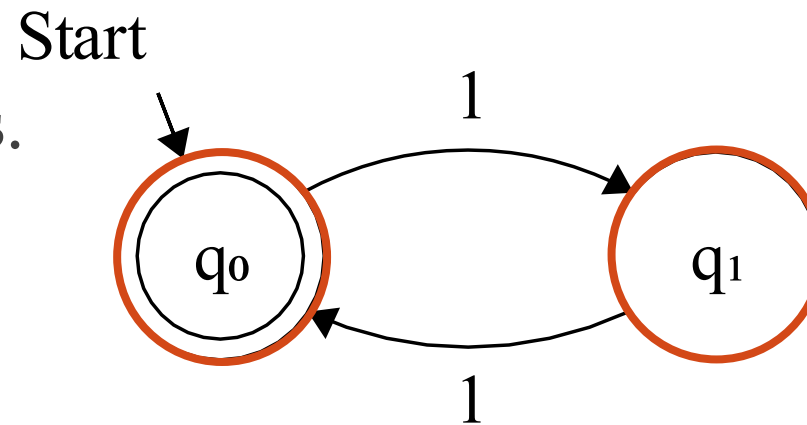
$\delta$  must be defined for all symbols in all states.

$\delta$  returns a single state.

# From the Diagram to $(Q, \Sigma, \delta, q_0, F)$

The circles represent states.

►  $Q = \{q_0, q_1\}$

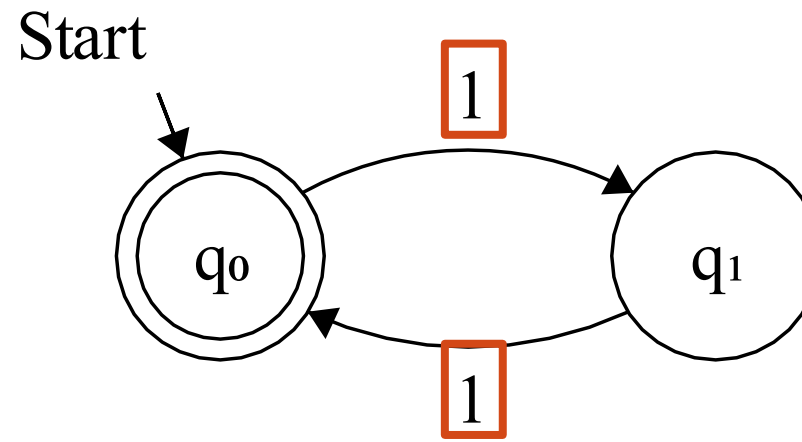




# From the Diagram to $(Q, \Sigma, \delta, q_0, F)$

This automaton only handles strings of 1s

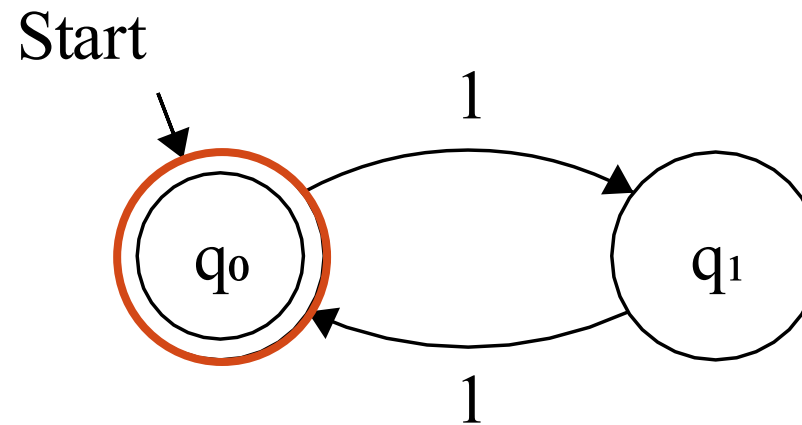
►  $\Sigma = \{1\}$



# From the Diagram to $(Q, \Sigma, \delta, q_0, F)$

The initial state is labeled with “Start”

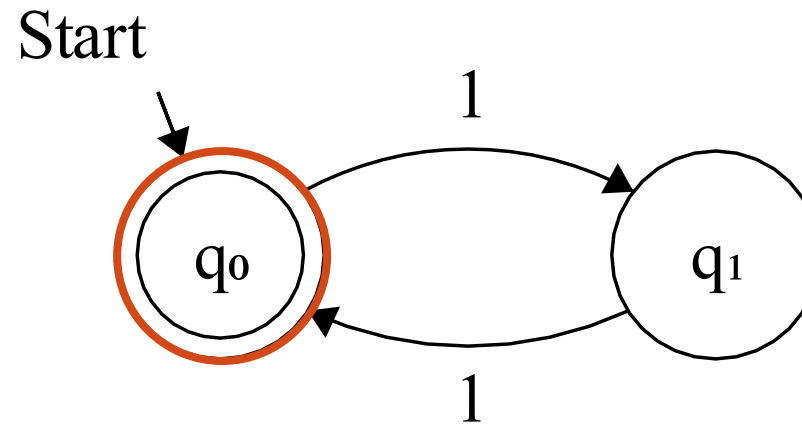
►  $q_0 = q_0$



# From the Diagram to $(Q, \Sigma, \delta, q_0, F)$

Accepting states have double circles. This automaton only has one.

►  $F = \{q_0\}$



# From the Diagram to $(Q, \Sigma, \delta, q_0, F)$

The arrows connecting the states represent possible transitions.

$\delta$  is the automaton's transition function:

$\delta(\text{current state}, \text{current symbol})$   
 $= \text{destination state}$

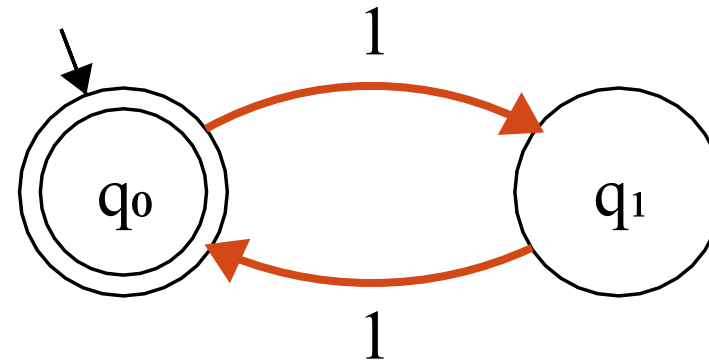
$\delta$  can be represented as a table:

$\delta$	1	Current input symbol
$q_0$	$q_1$	
$q_1$	$q_0$	

Current state

Destination state

Start



# From the Diagram to $(Q, \Sigma, \delta, q_0, F)$

This automaton in tuple notation:

►  $Q = \{q_0, q_1\}$

►  $\Sigma = \{1\}$

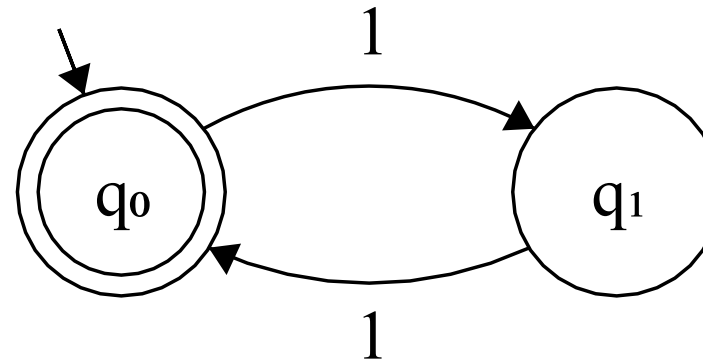
►  $q_0 = q_0$

►  $F = \{q_0\}$

►  $\delta =$

$\delta$	1
$q_0$	$q_1$
$q_1$	$q_0$

Start



We use a table here, but  $\delta$  can also be described using words, mathematical formulas, *etc.*

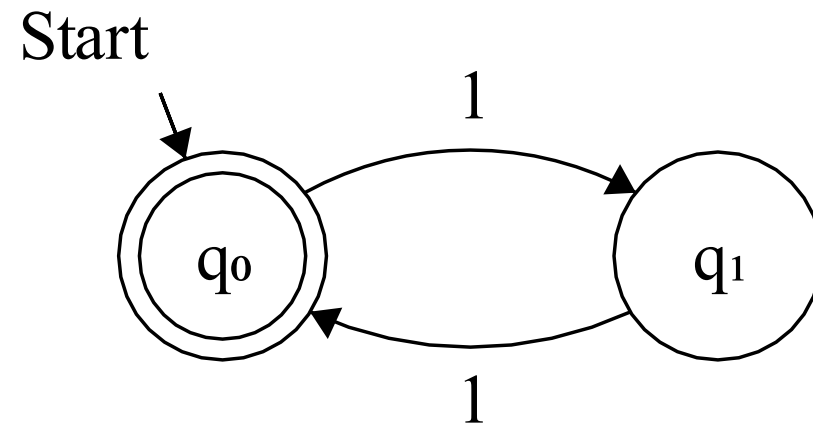
# “Transition Table” Representation

The table for  $\delta$  implicitly lists the states and alphabet.

A “transition table” just adds the remaining needed information:

- ▶ Indicate the start state with  $\rightarrow$
- ▶ Indicate accepting states with  $*$
- ▶ Example:

$\delta$	1
$*\rightarrow q_0$	$q_1$
$q_1$	$q_0$



# Notation: Extending $\delta$ to Strings

- ▶ An automaton's standard transition function,  $\delta$ , takes two parameters: a state and a *symbol*.
- ▶ The “extended transition function”,  $\hat{\delta}$ , takes a state and a *string*.
- ▶  $\hat{\delta}$  can be defined in terms of  $\delta$ :
  - ❖ Assume that  $w$  is a string,  $a$  is a symbol in  $\Sigma$ , and  $q$  is a state.
  - ❖ Recursively,  $\hat{\delta}(q, wa) = \delta(\hat{\delta}(q, w), a)$ .
- ▶ Examples from the previous automaton:
  - ❖  $\hat{\delta}(q_0, \varepsilon) = q_0$
  - ❖  $\hat{\delta}(q_0, 111) = q_1$
  - ❖  $\hat{\delta}(q_0, 1111) = q_0$

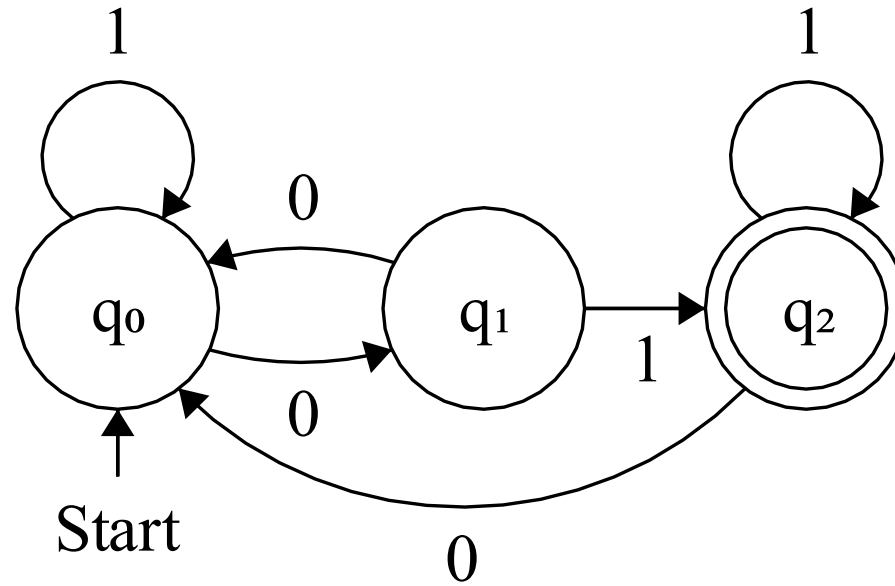
$\delta(q, a) = \hat{\delta}(q, a)$  for DFAs.

# Example: Proofs About Automata

Here is a more complex automaton.

Transition table representation:

$\delta$	0	1
$\rightarrow q_0$	$q_1$	$q_0$
$q_1$	$q_0$	$q_2$
$* q_2$	$q_0$	$q_2$

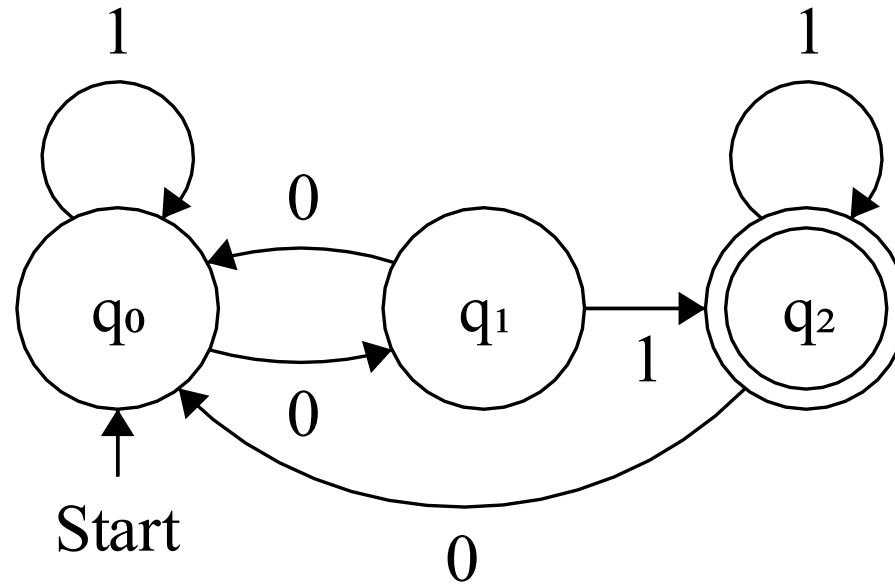




# Example: Proofs About Automata

Questions:

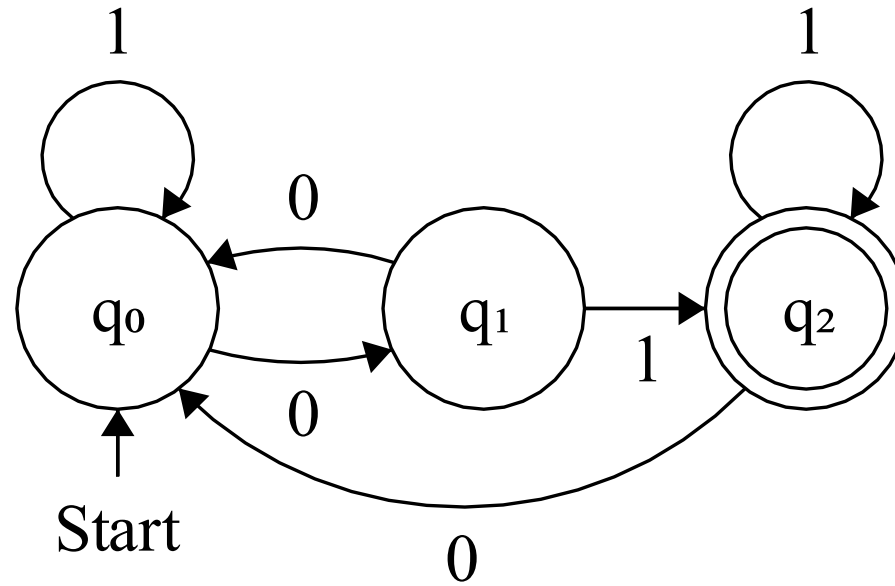
- ▶ What language does this automaton represent?
- ▶ How should we prove it's correct?



# Example: Proofs About Automata

$L = \{x \mid x \text{ has an odd number of 0s and ends with a 1}\}.$

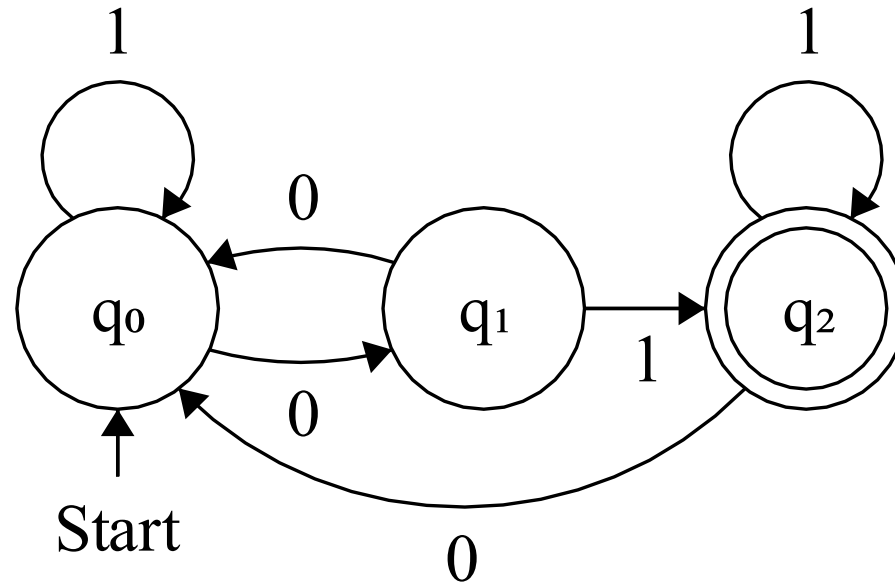
We will prove this by induction on the length of an input string,  $x$ .



# Example: Proofs About Automata

We start our proof by defining what each state means about the input read so far:

- ▶  $q_0$ : Even # of 0s
- ▶  $q_1$ : Odd # of 0s, and ends with a 0
- ▶  $q_2$ : Odd # of 0s, and ends with a 1



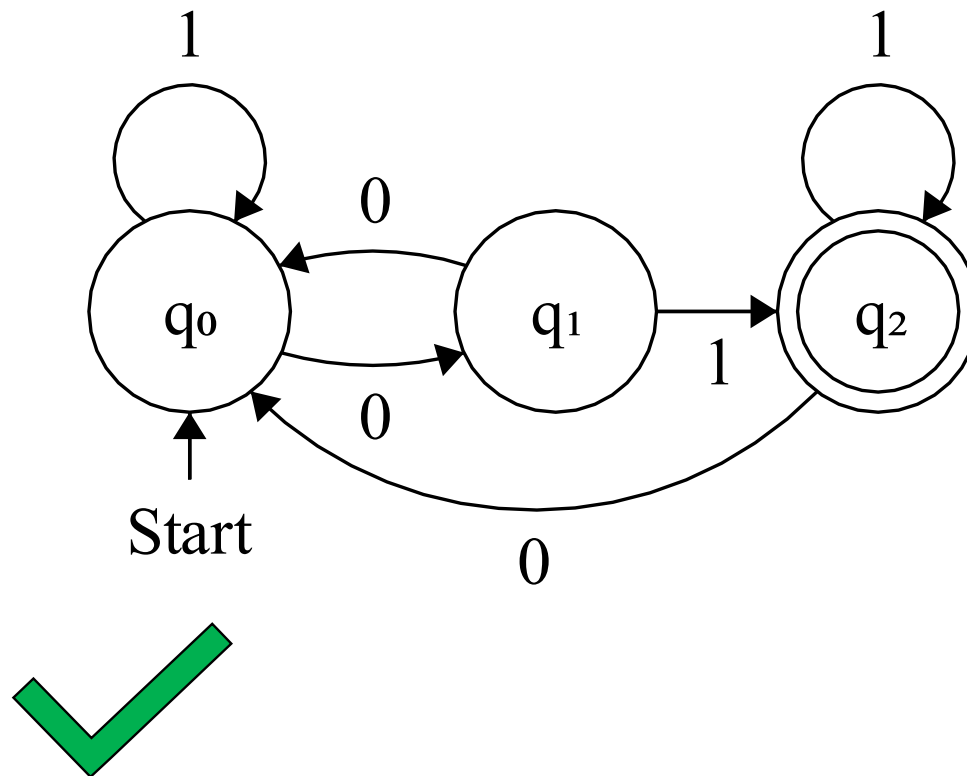
Proof obligation:  
Show that these definitions are correct!

# Example: Proofs About Automata

**Base case:** Prove the definition is correct for a string of length 0 ( $\epsilon$ ).

The automaton is in state  $q_0$  after processing  $\epsilon$ .

Since  $\epsilon$  contains an even number of 0s, our definition of  $q_0$  holds.

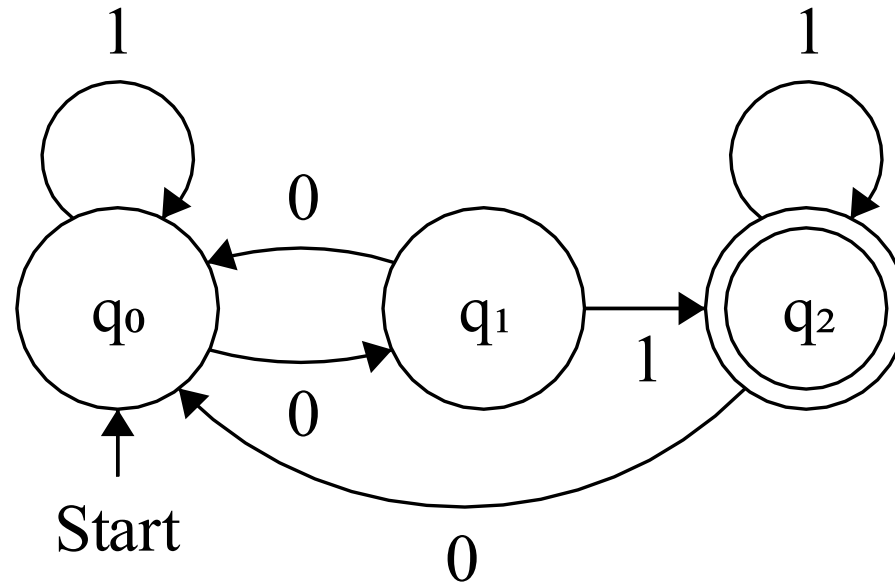


# Example: Proofs About Automata

**Inductive step:** Assume that  $\hat{\delta}(q_0, x)$  is correct for string  $x$ .

We need to prove that  $\hat{\delta}(q_0, xa)$  remains correct for any symbol  $a$ .

This requires proving correctness for all possible transitions from all three states (mutual induction).



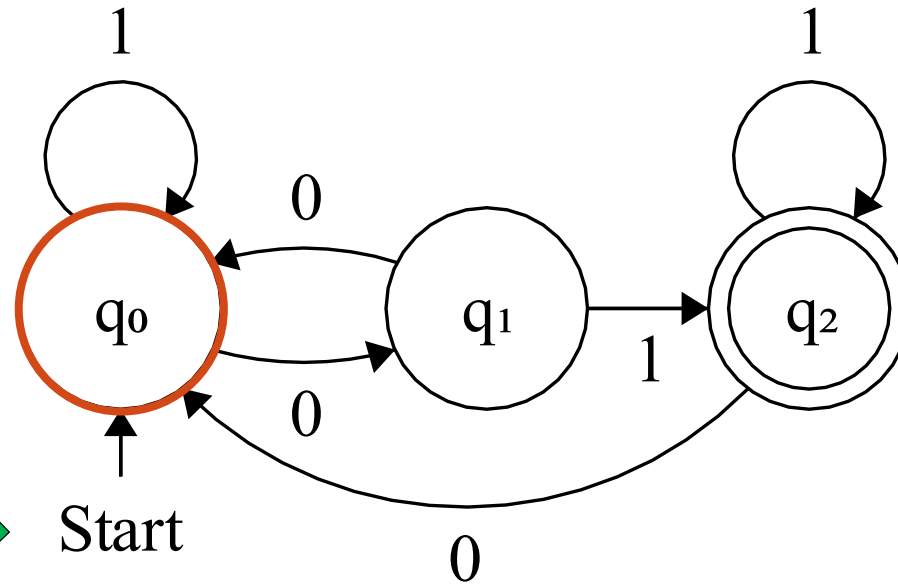
# Example: Proofs About Automata

## Induction part 1: state $q_0$

If  $\hat{\delta}(q_0, x) = q_0$ , then we can assume  $x$  contained an even number of 0s.

$\delta(q_0, 1) = q_0$ . Reading a 1 doesn't change the # of 0s, so this is correct. ✓

$\delta(q_0, 0) = q_1$ . We've read an odd # of zeros, but the string doesn't end in 1 yet. ✓



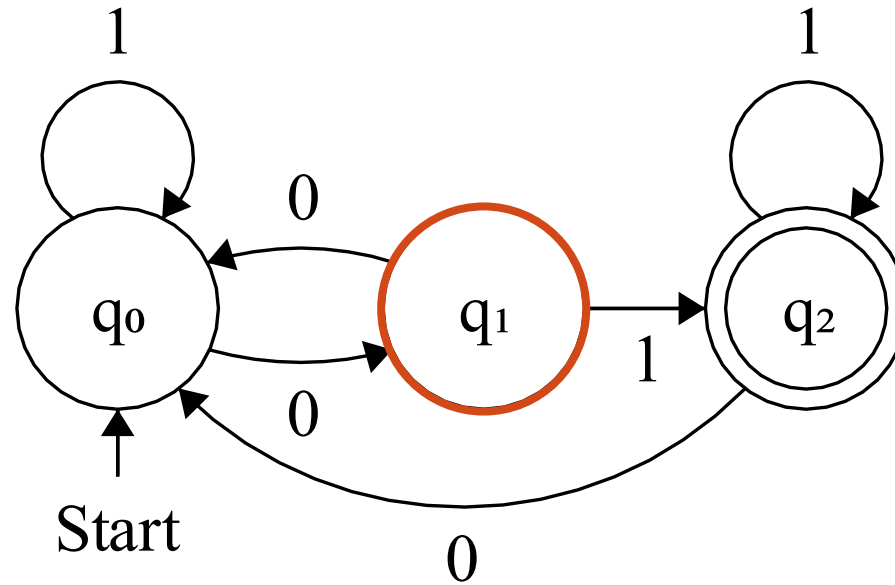
# Example: Proofs About Automata

## Induction part 2: state $q_1$

If  $\hat{\delta}(q_0, x) = q_1$ , then we can assume  $x$  contained an odd number of 0s and ends with a 0.

$\delta(q_1, 1) = q_2$ . The string contains an odd # of 0s, but now ends with 1. ✓

$\delta(q_1, 0) = q_0$ . Reading an additional 0 means that the string contains an even number of 0s. ✓



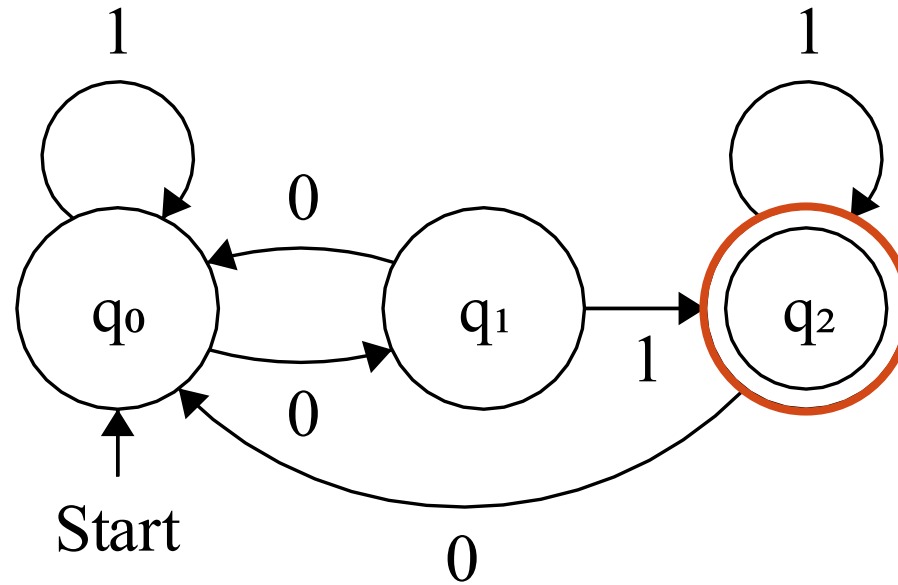
# Example: Proofs About Automata

## Induction part 3: state $q_2$

If  $\hat{\delta}(q_0, x) = q_2$ , then we can assume  $x$  contained an odd number of 0s and ends with a 1.

$\delta(q_2, 1) = q_2$ . This doesn't change the # of 0s or the fact that the string ends with a 1. ✓

$\delta(q_2, 0) = q_0$ . Reading an additional 0 means that the string contains an even number of 0s. ✓

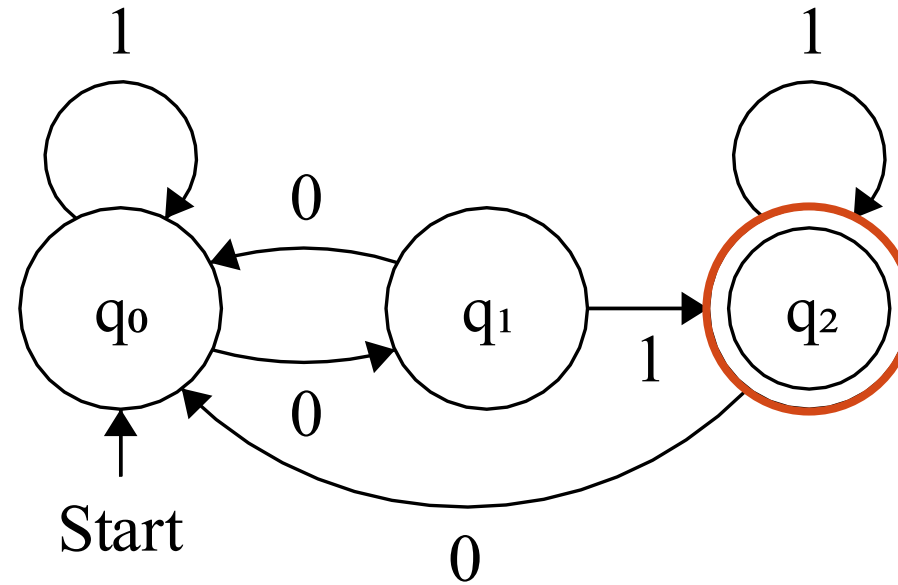




# Example: Proofs About Automata

## Finishing up:

We've now proven that our claims about the states were correct, but we still need to prove the automaton recognizes the language.



The automaton ends in  $q_2$  if and only if the string contained an odd number of 0s and ended with 1.

Since  $q_2$  is the only accepting state, the automaton accepts strings if and only if they contain an odd number of 0s and end with a 1.

# Nondeterministic Finite Automata

- ▶ We've been looking at deterministic finite automata (DFAs) so far.
  - ❖  $\delta$  returns exactly one state for every symbol in every state
- ▶ With nondeterministic finite automata (NFAs), the transition function  $\delta$  returns a *set of states*.
  - ❖  $\delta: Q \times \Sigma \rightarrow 2^Q$
  - ❖ This can include no states at all!

$2^Q$ : The *power set* of  $Q$ .  
(the set of all possible subsets of  $Q$ )

# Note on “Nondeterministic” Terminology

- ▶ DFAs always follow the same path for a single input string.
  - ❖ DFAs accept a string if and only if this path leads to an accepting state.
- ▶ NFAs may follow one of many different paths for the same input string.
  - ❖ This is why they are called *nondeterministic*.
  - ❖ NFAs accept strings if and only if *it is possible* for them to reach an accepting state for a given input string.

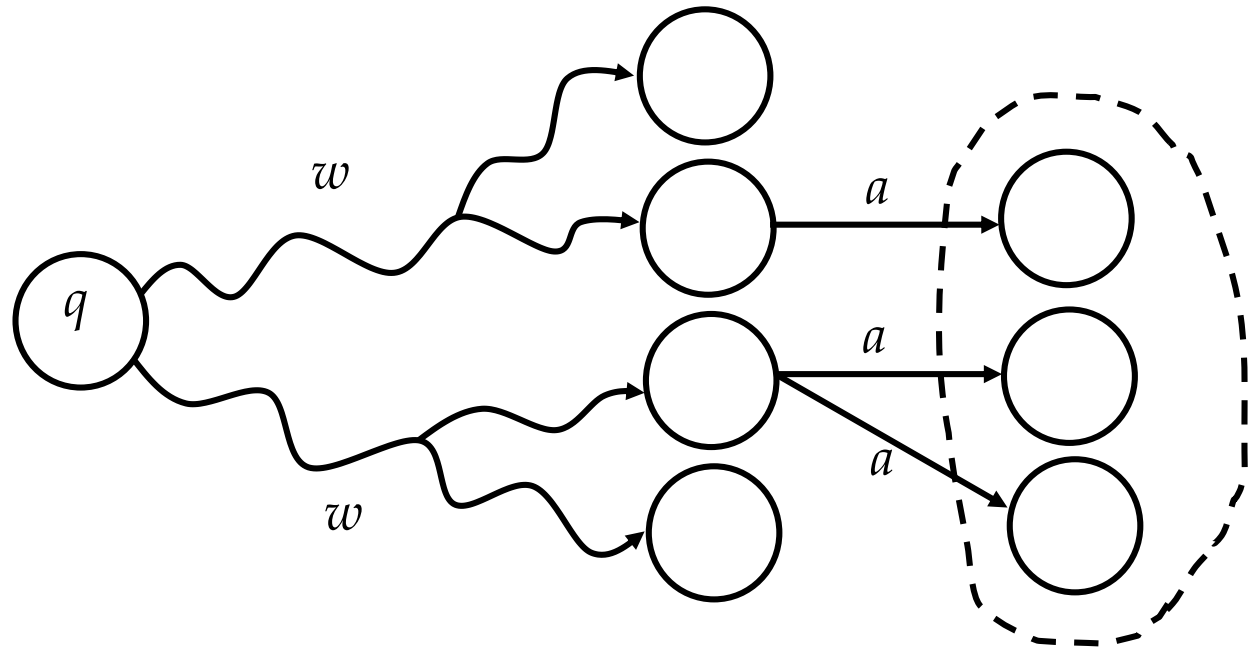
# Extended Transition Function for NFAs

- ▶ As with DFAs,  $\hat{\delta}$  for NFAs processes a string rather than a single character.
- ▶ As with the definition of  $\delta$  for NFAs,  $\hat{\delta}$  for NFAs returns the set of states an NFA is in after processing a string.
- ▶ If an NFA has a start state  $q$ , then the NFA accepts string  $x$  if and only if  $\hat{\delta}(q, x) \cap F \neq \emptyset$ 
  - ❖ “The set of states after processing  $x$  contains at least one accepting state”

# Recursive Definition of $\hat{\delta}$ for NFAs

- ▶  $\hat{\delta}(q, \varepsilon) = q$
- ▶  $\hat{\delta}(q, wa) = \{ p \mid \text{for some state } r \text{ in } \hat{\delta}(q, w), p \text{ is in } \delta(r, a) \}$

As with DFAs,  
 $\delta(q, a) = \hat{\delta}(q, a)$  for NFAs.



States in  
 $\hat{\delta}(q, wa)$ .

**Note:** This is  
a set.

# Definition of $\delta$ for Sets of States

- ▶ Since  $\delta$  can return a set of states for NFAs, it can be helpful to define a version of  $\delta$  that takes a set of states rather than a single state.

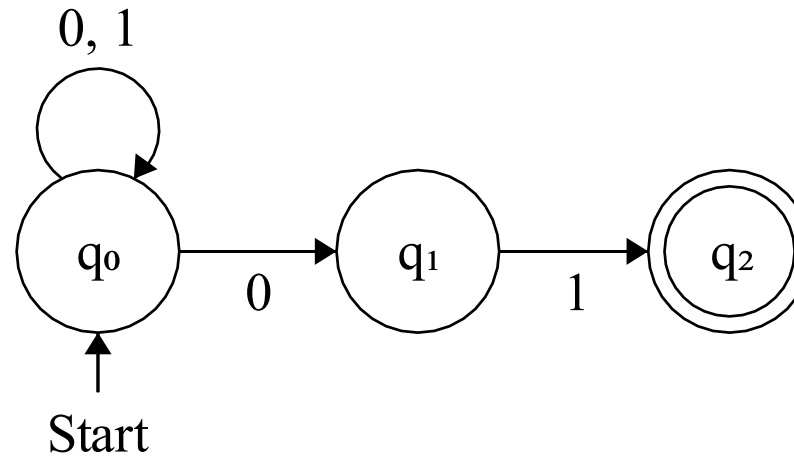
If  $P$  is a set of states,

$$\delta(P, a) = \bigcup_{q \in P} \delta(q, a)$$

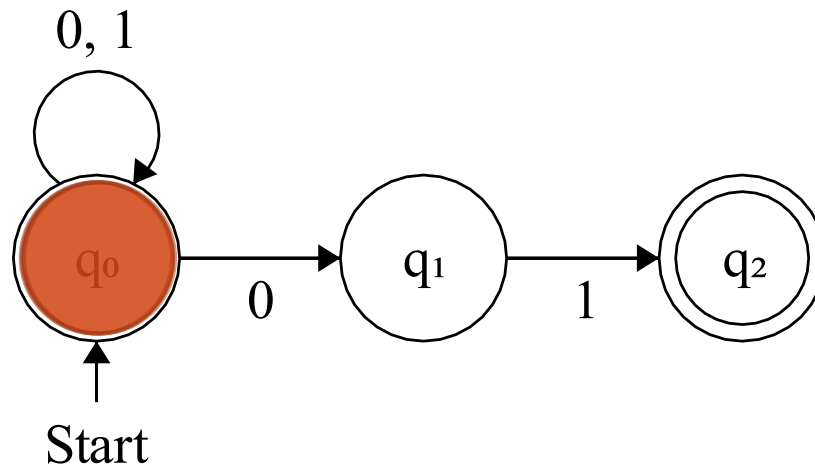
# Nondeterministic Finite Automata

Example: Match all strings ending with 01

$\delta$	0	1
$\rightarrow q_0$	$\{q_0, q_1\}$	$\{q_0\}$
$q_1$	$\emptyset$	$\{q_2\}$
$* q_2$	$\emptyset$	$\emptyset$



# Example NFA Execution

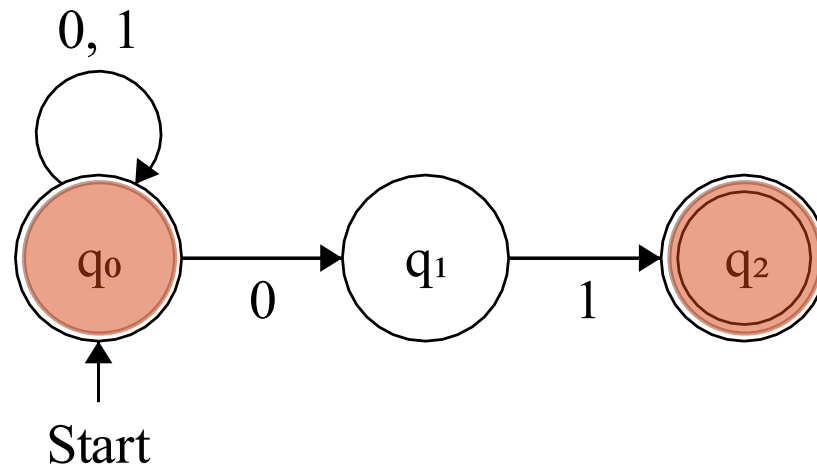


Current Symbol

Input string: **1**0101



# Example NFA Execution



Current Symbol

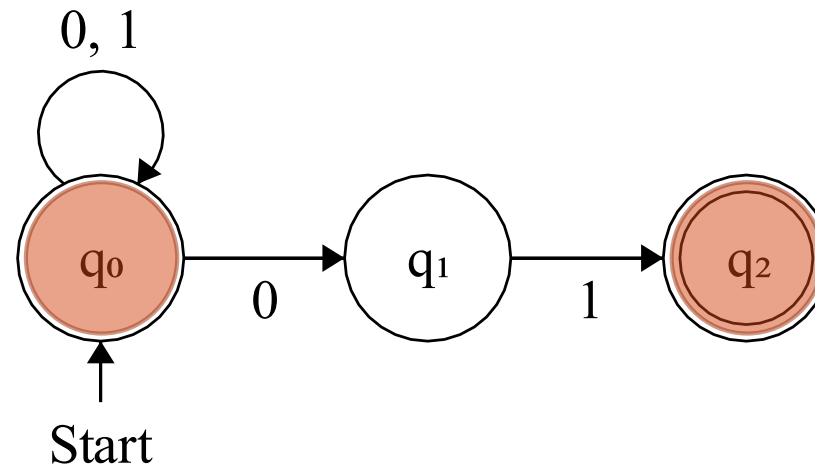
Input string: 10101

Done!

# Example NFA Execution

- ▶  $F = \{q_2\}$
- ▶  $\hat{\delta}(q_0, 10101) = \{q_0, q_2\}$
- ▶  $\{q_0, q_2\} \cap F = \{q_2\}$

As expected, this NFA accepts 10101, because it ends in a set of states containing an accepting state.



**Input string: 10101**

# NFAs vs DFAs

- ▶ NFAs are often more convenient than DFAs
  - ❖ Write an NFA that accepts  $L = \{x \mid x \text{ is a string of 0s or 1s that contains } 0101000 \text{ as a substring}\}$
  - ❖ Now write a DFA that accepts  $L$
- ▶ Good news: Any language that can be recognized by an NFA can also be recognized by a DFA.

# Equivalence of NFAs and DFAs

- ▶ Let  $N = (Q, \Sigma, \delta, q_0, F)$  be an NFA.
- ▶ We will show how to construct an equivalent DFA,  $D$ , using a technique called *subset construction*.
- ▶ Main idea:  $D$  will keep track of the subset of states that  $N$  might be in.
  - ❖ In other words, each of  $D$ 's states corresponds to a subset of  $N$ 's states.

# Subset Construction

- ▶ The constructed DFA  $D = (Q', \Sigma, \delta', q'_0, F')$ , where:
  - ❖  $Q' = 2^Q$  = Assuming the states in  $Q$  are  $\{q_0, q_1, \dots, q_n\}$ , the states in  $Q'$  are all possible subsets of  $\{q_0, q_1, \dots, q_n\}$ .
  - ❖  $q'_0 = \{q_0\}$
  - ❖  $F' = \{q \in Q' \mid q = \{\dots, q_j, \dots\} \text{ and } q_j \in F\}$ 
    - “ $D$ ’s final states consist of all subsets containing one or more of  $N$ ’s final states.”
  - ❖ For all  $q$  and  $p$  in  $Q'$ ,  $\delta'(q, a) = p$  iff  $\delta(q, a) = p$ .

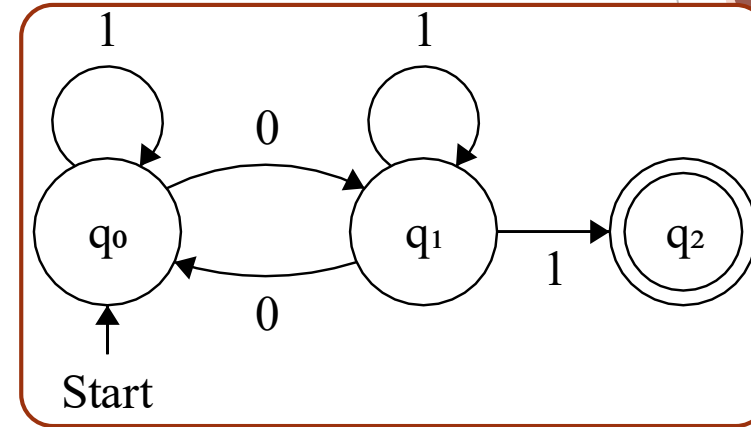
# Subset Construction: Example

- ▶ Start with the following NFA:

- ❖  $N = (\{q_0, q_1, q_2\}, \{0, 1\}, \delta, q_0, \{q_2\})$

- ❖  $\delta =$

$\delta$	0	1
$q_0$	$\{q_1\}$	$\{q_0\}$
$q_1$	$\{q_0\}$	$\{q_1, q_2\}$
$q_2$	$\emptyset$	$\emptyset$



- ▶ Construct DFA  $D = (Q', \{0, 1\}, \delta', \{q_0\}, F')$ , where

- ❖  $Q' =$   
 $\{\emptyset, \{q_0\}, \{q_1\}, \{q_2\}, \{q_0, q_1\}, \{q_0, q_2\}, \{q_1, q_2\}, \{q_0, q_1, q_2\}\}$

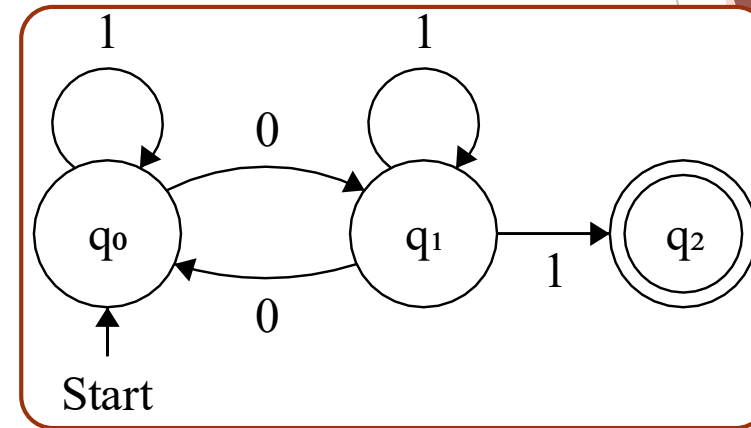
- ❖  $F' = \{\{q_2\}, \{q_0, q_2\}, \{q_1, q_2\}, \{q_0, q_1, q_2\}\}$

- ❖  $\delta'$  is defined on the following slide.

# Subset Construction: Example

►  $\delta' =$

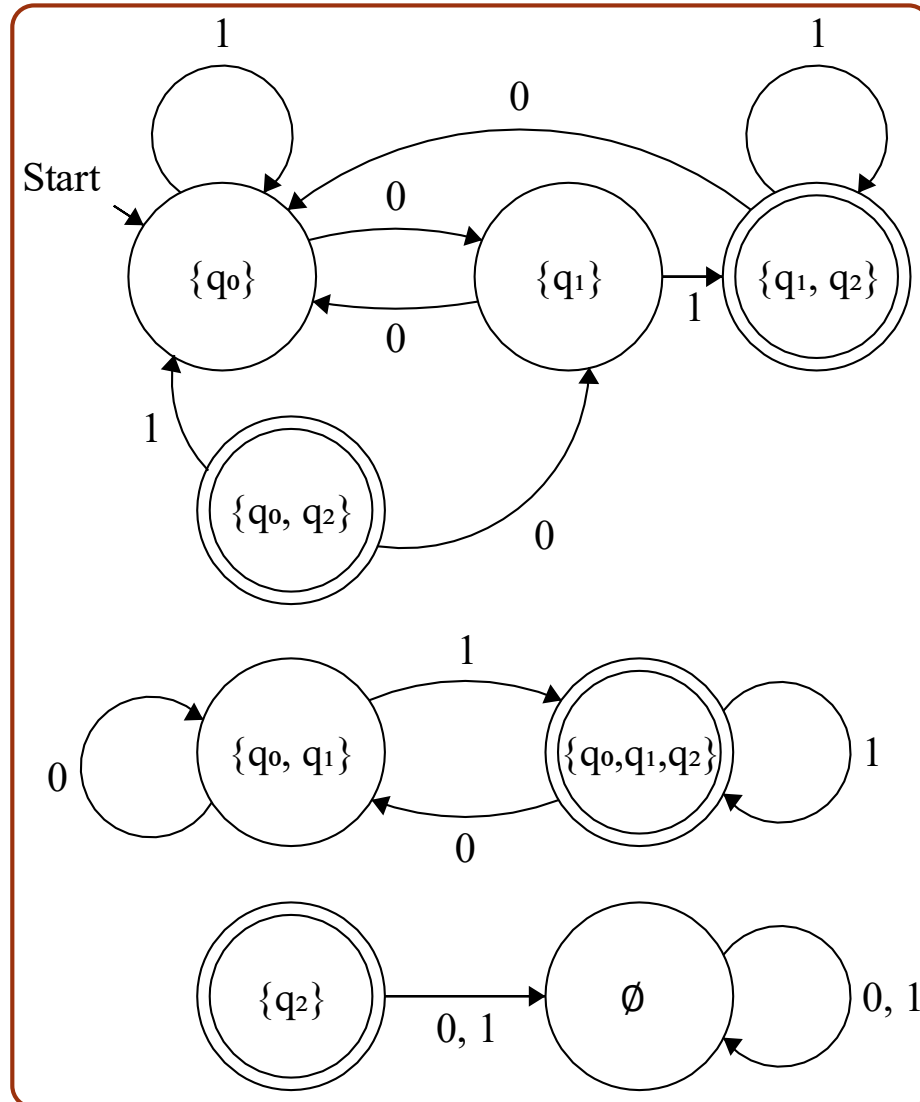
	0	1
$\emptyset$	$\emptyset$	$\emptyset$
$\{q_0\}$	$\{q_1\}$	$\{q_0\}$
$\{q_1\}$	$\{q_0\}$	$\{q_1, q_2\}$
$\{q_2\}$	$\emptyset$	$\emptyset$
$\{q_0, q_1\}$	$\{q_0, q_1\}$	$\{q_0, q_1, q_2\}$
$\{q_0, q_2\}$	$\{q_1\}$	$\{q_0\}$
$\{q_1, q_2\}$	$\{q_0\}$	$\{q_1, q_2\}$
$\{q_0, q_1, q_2\}$	$\{q_0, q_1\}$	$\{q_0, q_1, q_2\}$



# Subset Construction: Example

Diagram for  $D$ :

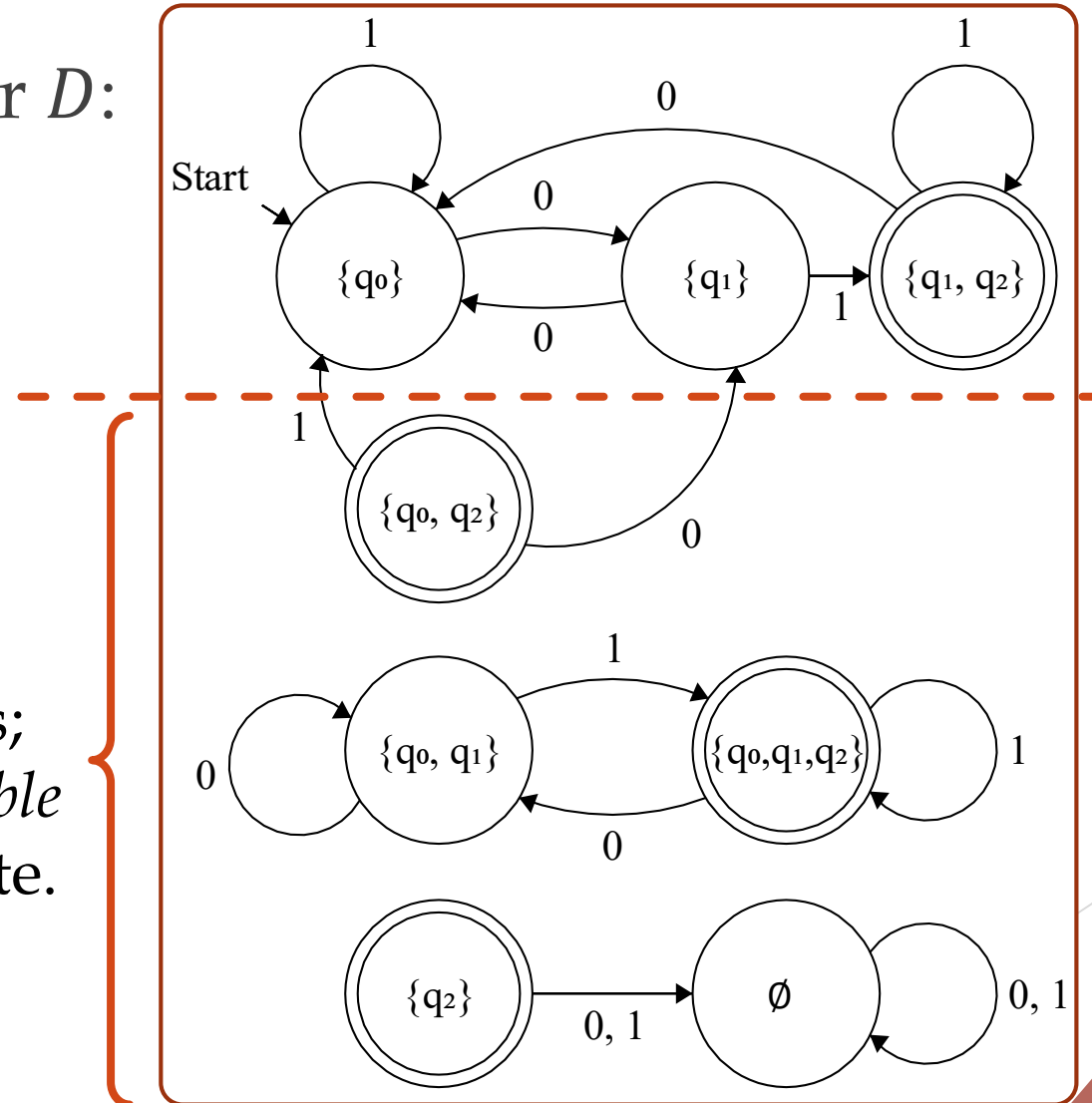
$\delta'$	0	1
$\emptyset$	$\emptyset$	$\emptyset$
$\rightarrow \{q_0\}$	$\{q_1\}$	$\{q_0\}$
$\{q_1\}$	$\{q_0\}$	$\{q_1, q_2\}$
$* \{q_2\}$	$\emptyset$	$\emptyset$
$\{q_0, q_1\}$	$\{q_0, q_1\}$	$\{q_0, q_1, q_2\}$
$* \{q_0, q_2\}$	$\{q_1\}$	$\{q_0\}$
$* \{q_1, q_2\}$	$\{q_0\}$	$\{q_1, q_2\}$
$* \{q_0, q_1, q_2\}$	$\{q_0, q_1\}$	$\{q_0, q_1, q_2\}$





# Subset Construction: Example

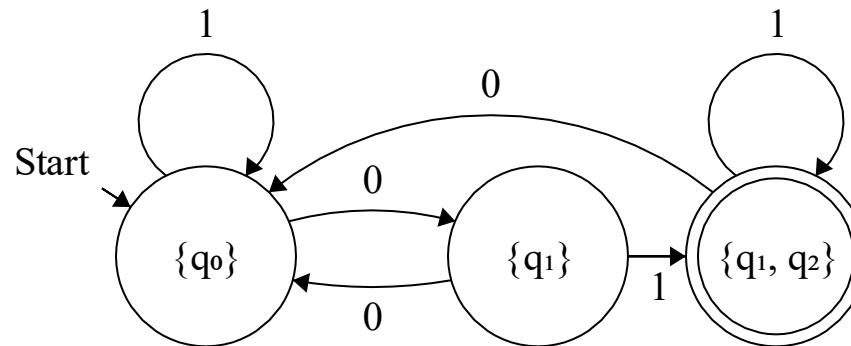
Diagram for  $D$ :



We don't care  
about these states;  
they are *unreachable*  
from the start state.

# Subset Construction: Example

Diagram for  $D$  without unreachable states:



# Theorem 2.11

*Theorem 2.11* (from the textbook):

If  $N$  is the original NFA and  $D$  is the constructed DFA (as defined earlier), then  $L(N) = L(D)$ .

Proof: We need to show that  $\hat{\delta}'(q'_0, x) = S$  if and only if  $\hat{\delta}(q_0, x) = S$ .

We will prove this by induction on  $|x|$ .

# Proof of Theorem 2.11

Reminder:  
 $\delta'$  is for the DFA  $D$   
 $\delta$  is for the NFA  $N$

**Base case:**

$|x| = 0$ . (Put another way,  $x = \varepsilon$ ).

Verifying the base case:

$$\hat{\delta}'(q'_0, \varepsilon) = q'_0 = \{q_0\}$$

and

$$\hat{\delta}(q_0, \varepsilon) = \{q_0\}$$

by the definition of the extended transition function.

So,  $L(N) = L(D)$  holds for the base case.

# Proof of Theorem 2.11

## Inductive step:

By the inductive hypothesis we assume that:

$$\hat{\delta}'(q'_0, x) = S \text{ iff } \hat{\delta}(q_0, x) = S$$

We now apply the definition of the extended transition function to advance by a single symbol:

$$\hat{\delta}'(S, a) = T \text{ iff } \hat{\delta}(S, a) = T, \text{ by the definition of } \delta'.$$

$$\text{Therefore } \hat{\delta}'(q'_0, x) = T \text{ iff } \hat{\delta}(q_0, x) = T.$$

Reminder:  
 $\delta'$  is for the DFA  $D$   
 $\delta$  is for the NFA  $N$

Reminder:  
For string  $w$  and symbol  $a$ :  
 $\hat{\delta}(q, wa) = \delta(\hat{\delta}(q, w), a)$

# Finishing the Proof of Theorem 2.11

Reminder:  
 $\delta'$  is for the DFA  $D$   
 $\delta$  is for the NFA  $N$

Finally, since  $\hat{\delta}'(q'_0, x)$  is in  $F'$  if and only if  $\hat{\delta}(q_0, x)$  contains a state in  $F$ ,  $L(D) = L(N)$ .

► Note: This construction results in a *state explosion*.

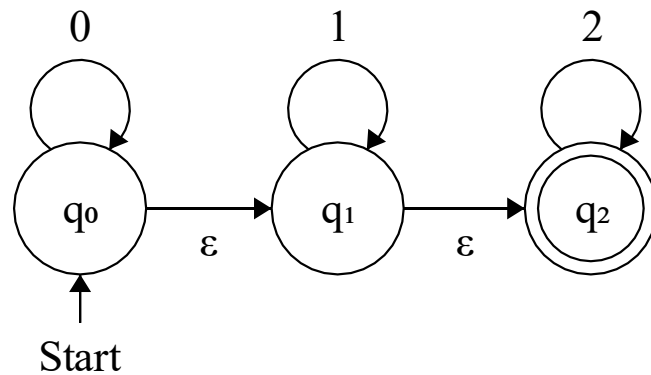
# NFAs with $\varepsilon$ -Transitions

NFAs with  $\varepsilon$ -transitions have all the same rules as regular NFAs, but with additional flexibility.

The transition function for NFAs with  $\varepsilon$ -transitions:

$$\delta: Q \times (\Sigma \cup \{\varepsilon\}) \rightarrow 2^Q$$

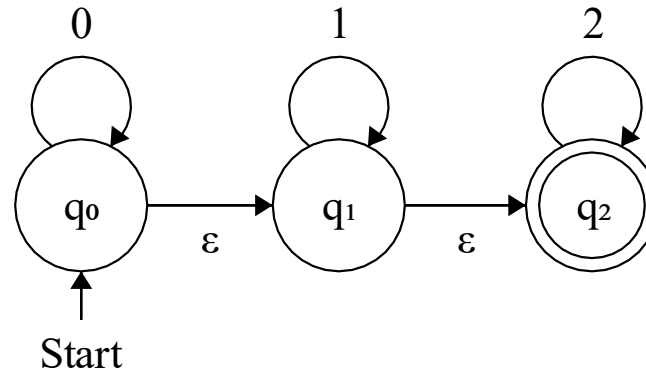
Example:



# $\varepsilon$ -Closure

Let  $ECLOSE(q) \equiv$   
 $\{q\} \cup \{p \mid p \text{ is reachable from } q \text{ via } \varepsilon - \text{transitions}\}$

- ▶  $ECLOSE(q_0) = \{q_0, q_1, q_2\}$
- ▶  $ECLOSE(q_1) = \{q_1, q_2\}$



For a set of states  $P$ ,

$$ECLOSE(P) \equiv \cup_{q \in P} ECLOSE(q)$$



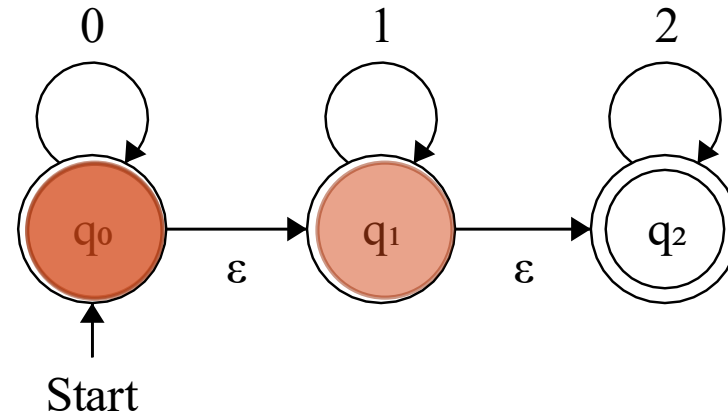
# Definition of $\hat{\delta}$ for $\varepsilon$ -NFAs

Recursive definition of  $\hat{\delta}$ :

- ▶  $\hat{\delta}(q, \varepsilon) = ECLOSE(q)$
- ▶ For a string  $w$  and symbol  $a$ :  $\hat{\delta}(q, wa) = ECLOSE(P)$ , where  $P = \{p \mid \text{for some } r \text{ in } \hat{\delta}(q, w), p \text{ is in } \hat{\delta}(r, a)\}$
- ▶ In other words,  $\hat{\delta}(q, a) = ECLOSE(\delta(ECLOSE(q), a))$  for a starting state  $q$  and a single symbol  $a$ .

Unlike before,  $\hat{\delta}(q, a) \neq \delta(q, a)$  for  $\varepsilon$ -NFAs!

# $\epsilon$ -NFA Example

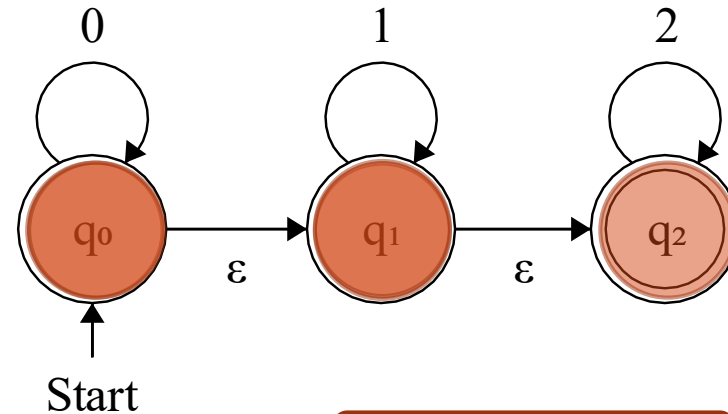


**Input string: 011**

$$\hat{\delta}(\{q_0\}, \epsilon) = \{q_0, q_1, q_2\}$$

- How to simulate an  $\epsilon$ -NFA:
1. Follow transitions as you would for a normal NFA.
  2. Take the  $\epsilon$ -closure for any states you end up in.

# $\epsilon$ -NFA Example



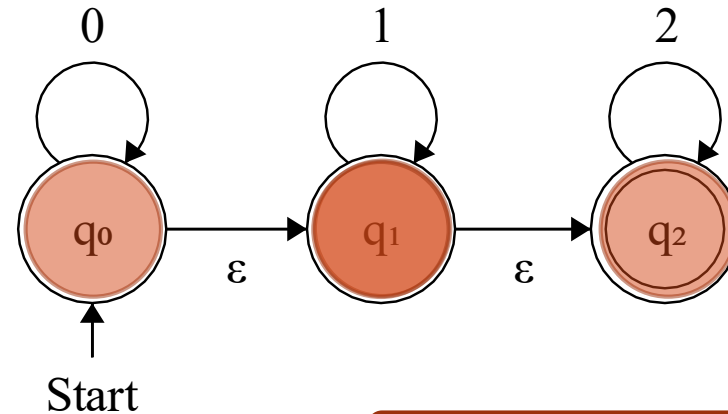
Current Symbol

Input string: 011

$$\hat{\delta}(\{q_0\}, 0) = \{q_0, q_1, q_2\}$$

- How to simulate an  $\epsilon$ -NFA:
1. Follow transitions as you would for a normal NFA.
  2. Take the  $\epsilon$ -closure for any states you end up in.

# $\epsilon$ -NFA Example



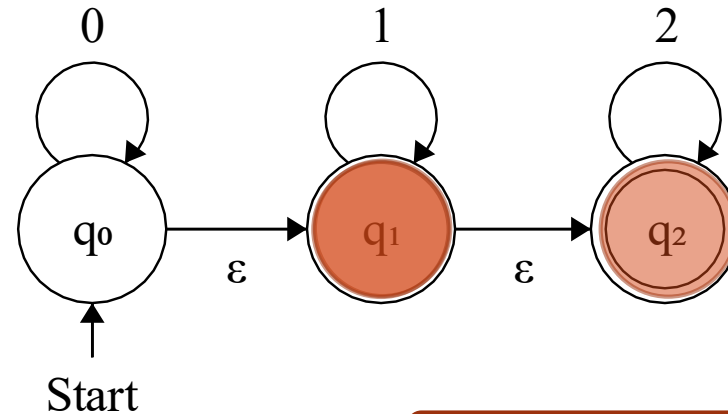
Current Symbol

Input string: 011

$$\hat{\delta}(\{q_0\}, 01) = \{q_1, q_2\}$$

- How to simulate an  $\epsilon$ -NFA:
1. Follow transitions as you would for a normal NFA.
  2. Take the  $\epsilon$ -closure for any states you end up in.

# $\epsilon$ -NFA Example



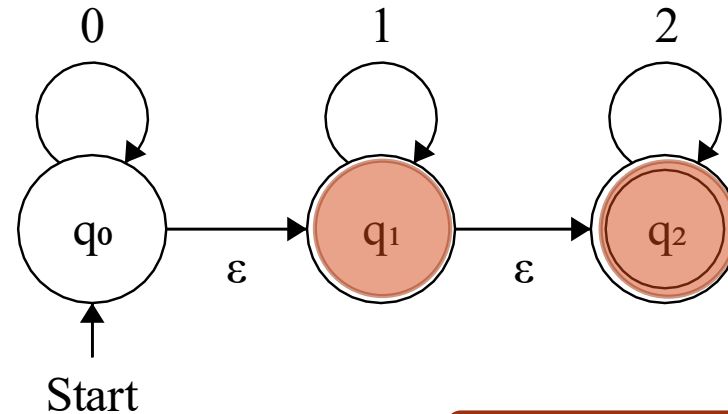
Current Symbol

Input string: 011

$$\hat{\delta}(\{q_0\}, 011) = \{q_1, q_2\}$$

- How to simulate an  $\epsilon$ -NFA:
1. Follow transitions as you would for a normal NFA.
  2. Take the  $\epsilon$ -closure for any states you end up in.

# $\epsilon$ -NFA Example



Current Symbol

Input string: 011   Done!

$$\hat{\delta}(\{q_0\}, 011) = \{q_1, q_2\}$$

- How to simulate an  $\epsilon$ -NFA:
1. Follow transitions as you would for a normal NFA.
  2. Take the  $\epsilon$ -closure for any states you end up in.

# Extending $\delta$ to Sets of States

This is similar to normal NFAs. If  $R$  is a set of states:

$$\delta(R, a) = \cup_{q \in R} \delta(q, a)$$
$$\hat{\delta}(R, w) = \cup_{q \in R} \hat{\delta}(q, w)$$

# The Language of an $\varepsilon$ -NFA

NFAs with  $\varepsilon$ -transitions define languages similarly to standard NFAs:

If  $M$  is an NFA with  $\varepsilon$ -transitions, then:

$$L(M) \equiv \{w \mid \hat{\delta}(q_0, w) \text{ contains a state in } F\}$$

More good news: any language that can be recognized by an  $\varepsilon$ -NFA can also be recognized by an NFA without  $\varepsilon$ -transitions.



# Eliminating $\varepsilon$ -Transitions

- ▶ The textbook shows how to transform an NFA with  $\varepsilon$ -transitions to a DFA.
- ▶ We will instead show how to transform an NFA with  $\varepsilon$  transitions into an NFA without  $\varepsilon$ -transitions.
  - ❖ You could then transform such an NFA into a DFA using subset construction.

# Eliminating $\varepsilon$ -Transitions

► Let  $E$  be an NFA with  $\varepsilon$ -transitions:  $(Q, \Sigma, \delta, q_0, F)$

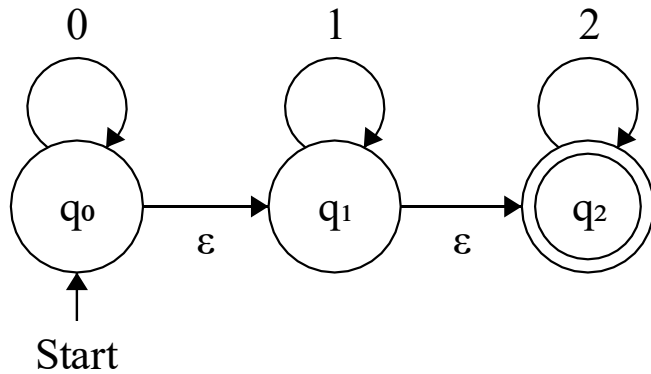
► Define  $N$  to be an NFA without  $\varepsilon$ -transitions.

$N = (Q, \Sigma, \delta', q_0, F')$ , where:

$$\diamond \delta'(q, a) \equiv \hat{\delta}(q, a)$$

$$\diamond F' \equiv \begin{cases} F \cup \{q_0\} & , \text{ if } ECLOSE(q_0) \text{ contained a state in } F \\ F & , \text{ otherwise} \end{cases}$$

# Eliminating $\epsilon$ -Transitions: Example



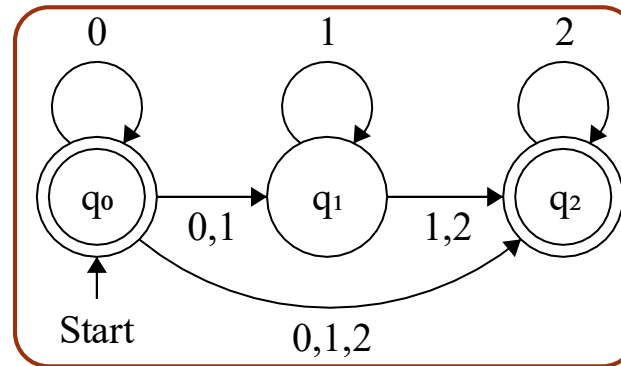
$N = (Q, \Sigma, \delta', q_0, F')$ , where:

- $\delta'(q, a) \equiv \delta(ECLOSE(q), a)$
- $F' \equiv \begin{cases} F \cup \{q_0\}, & \text{if } ECLOSE(q_0) \text{ contained a state in } F \\ F, & \text{otherwise} \end{cases}$

$\delta' =$

	0	1	2
$q_0$	$\{q_0, q_1, q_2\}$	$\{q_1, q_2\}$	$\{q_2\}$
$q_1$	$\emptyset$	$\{q_1, q_2\}$	$\{q_2\}$
$q_2$	$\emptyset$	$\emptyset$	$\{q_2\}$

$$F' = \{q_0, q_2\}$$



# Theorem 2.22

*Theorem 2.22 (from the textbook):*

Language  $L$  is accepted by an  $\varepsilon$ -NFA  $E$  if and only if it is accepted by some DFA  $D$ .

- ▶ **If:** Proving this is easy (see Theorem 2.22 in the book)
- ▶ **Only if:** The textbook directly constructs a DFA  $D$  from  $\varepsilon$ -NFA  $E$ , but we will instead construct an ordinary NFA  $N$ , and use Theorem 2.11 to conclude that Theorem 2.22 holds. We start by defining  $N$  as it was on the preceding slides.

# First Claim in Proof of Theorem 2.22

Reminder:  
 $\delta'$  is for the NFA  $N$   
 $\delta$  is for the  $\varepsilon$ -NFA  $E$

Rather than starting with a claim about  $L(E)$  or  $L(N)$ , we instead claim that  $\hat{\delta}'(q_0, x) = \hat{\delta}(q_0, x)$  for some string  $x$ .

$N = (Q, \Sigma, \delta', q_0, F')$ , where:

- $\delta'(q, a) \equiv \delta(ECLOSE(q), a)$
- $F' \equiv \begin{cases} F \cup \{q_0\}, & \text{if } ECLOSE(q_0) \text{ contained a state in } F \\ F, & \text{otherwise} \end{cases}$

We will prove this claim using induction on  $|x|$ .

- ▶ **Note:** This may *not* hold for  $|x| = 0$ . For example, in the previous example  $\hat{\delta}(q_0, \varepsilon) = \{q_0, q_1, q_2\}$ , but  $\hat{\delta}'(q_0, \varepsilon) = \{q_0\}$ .
- ▶ We instead use  $|x| = 1$  as our base case (next slide).

# Proof of Theorem 2.22: Base Case

Reminder:  
 $\delta'$  is for the NFA  $N$   
 $\delta$  is for the  $\varepsilon$ -NFA  $E$

$N = (Q, \Sigma, \delta', q_0, F')$ , where:

- $\delta'(q, a) \equiv \delta(ECLOSE(q), a)$
- $F' \equiv \begin{cases} F \cup \{q_0\}, & \text{if } ECLOSE(q_0) \text{ contained a state in } F \\ F, & \text{otherwise} \end{cases}$

**Base case:**  $|x| = 1$

For any symbol  $a$ ,  $\hat{\delta}'(q_0, a) = \hat{\delta}(q_0, a)$ , by the definition of  $\delta'$ .

Claim:  
 $\hat{\delta}'(q_0, x) = \hat{\delta}(q_0, x)$

# Proof of Theorem 2.22: Inductive Step

Reminder:  
 $\delta'$  is for the NFA  $N$   
 $\delta$  is for the  $\varepsilon$ -NFA  $E$

Let  $x = wa$ , where  $w$  is a string and  $a$  is a symbol.

We must show that  $\hat{\delta}'(q_0, x) = \hat{\delta}(q_0, x)$ .

By the inductive hypothesis,  $\hat{\delta}'(q_0, w) = \hat{\delta}(q_0, w)$ .

$N = (Q, \Sigma, \delta', q_0, F')$ , where:

- $\delta'(q, a) \equiv \delta(ECLOSE(q), a)$
- $F' \equiv \begin{cases} F \cup \{q_0\}, & \text{if } ECLOSE(q_0) \text{ contained a state in } F \\ F, & \text{otherwise} \end{cases}$

Claim:  
 $\hat{\delta}'(q_0, x) = \hat{\delta}(q_0, x)$

$\hat{\delta}'(q_0, wa)$	
$= \delta'(\hat{\delta}'(q_0, w), a)$	, by the inductive definition of $\hat{\delta}'$
$= \cup_{q \in \hat{\delta}'(q_0, w)} \delta'(q, a)$	, by the definition of $\delta'$ for sets of states
$= \cup_{q \in \hat{\delta}(q_0, w)} \hat{\delta}(q, a)$	, by the inductive hypothesis and definition of $\delta'$
$= \hat{\delta}(\hat{\delta}(q_0, w), a)$	, by the definition of $\hat{\delta}$ for $\varepsilon$ -NFAs and sets of states
$= \hat{\delta}(q_0, wa)$	, by the definition of $\hat{\delta}$

# Proof of Theorem 2.22: Finishing Up

Reminder:  
 $\delta'$  is for the NFA  $N$   
 $\delta$  is for the  $\varepsilon$ -NFA  $E$

To show that  $L(N) = L(E)$  we must show that  $\hat{\delta}'(q_0, x)$  contains a state in  $F$  iff  $\hat{\delta}(q_0, x)$  contains a state in  $F$ .

Additionally, we need to deal with  $|x| = 0$ .

**Case where  $x = \varepsilon$ :**

- ▶  $\hat{\delta}'(q_0, \varepsilon) = \{q_0\}$
- ▶  $\hat{\delta}(q_0, \varepsilon) = ECLOSE(q_0)$
- ▶  $q_0$  is in  $F'$  if and only if  $ECLOSE(q_0)$  contains a state in  $F$ , by the definition of  $F'$ .



# Proof of Theorem 2.22: Finishing Up

Reminder:  
 $\delta'$  is for the NFA  $N$   
 $\delta$  is for the  $\varepsilon$ -NFA  $E$

Case where  $x \neq \varepsilon$ :

- ▶ By the inductive proof earlier,  $\hat{\delta}'(q_0, x) = \hat{\delta}(q_0, x)$ .
- ▶ If  $F' = F$  or  $q_0 \notin \hat{\delta}'(q_0, x)$ , we are done.
- ▶ Otherwise,  $q_0 \in F'$ ,  $q_0 \notin F$ , and  $q_0 \in \hat{\delta}'(q_0, x)$ .
  - ❖ In this case, some state in  $ECLOSE(q_0)$  is in  $F$ .
  - ❖ By construction of  $\hat{\delta}$ , that state is in  $\hat{\delta}(q_0, x)$ .