# Introduction to Automata Theory

Reading: Chapter 1

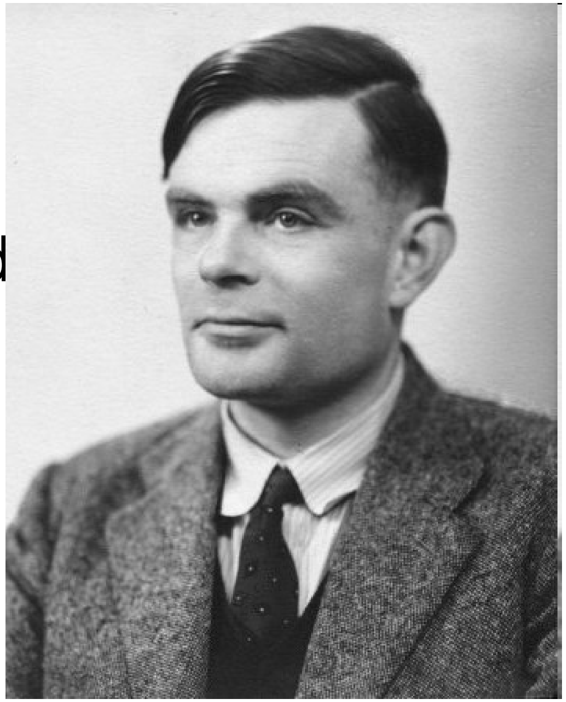
# What is Automata Theory?

- *Study of abstract computing devices, or "machines"*
- Automaton = an abstract computing device
  - Note: A "device" need not even be a physical hardware!
- A fundamental question in computer science:
  - Find out what different models of machines can do and cannot do
  - The *theory of computation*
- Computability vs. Complexity

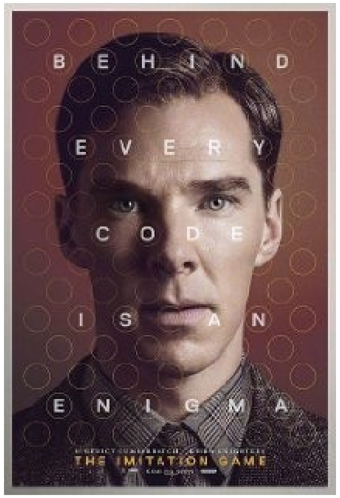
(A pioneer of automata theory)

# Alan Turing (1912-1954)

- Father of Modern Computer Science
- English mathematician
- Studied abstract machines called ***Turing machines*** even before computers existed



Heard of the Turing test?



# Theory of Computation: A Historical Perspective

| | |
|---|---|
| 1930s | • Alan Turing studies Turing machines<br>• Decidability<br>• Halting problem |
| 1940-1950s | • "Finite automata" machines studied<br>• Noam Chomsky proposes the "Chomsky Hierarchy" for formal languages |
| 1969 | Cook introduces "intractable" problems or "NP-Hard" problems |
| 1970- | Modern computer science: compilers, computational & complexity theory evolve |

# Languages & Grammars

Or “**words**”

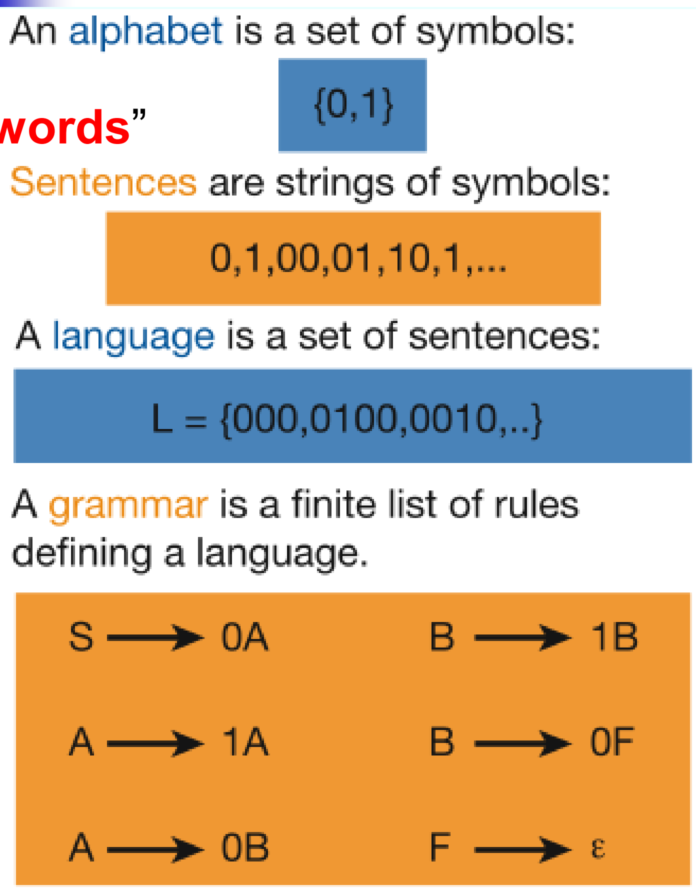
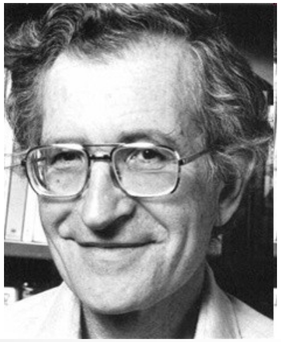


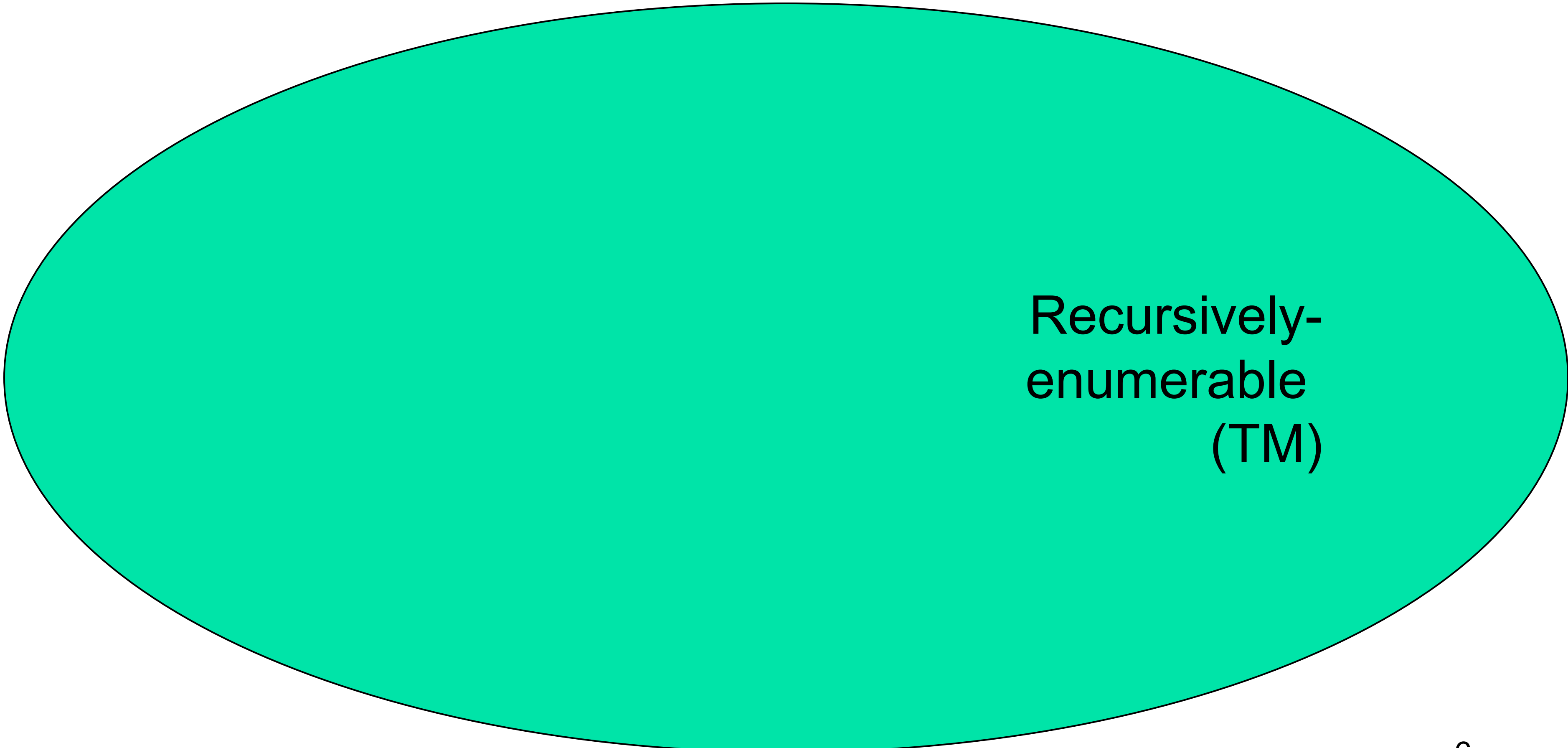

Image source: Nowak et al. Nature, vol 417, 2002

- Languages: “*A language is a collection of sentences of finite length all constructed from a finite alphabet of symbols*”
- Grammars: “*A grammar can be regarded as a device that enumerates the sentences of a language*” - nothing more, nothing less
- *N. Chomsky, Information and Control, Vol 2, 1959*

# The Chomsky Hierachy



- A containment hierarchy of classes of formal languages



# The Central Concepts of Automata Theory

# Alphabet

*An alphabet is a finite, non-empty set of symbols*

- We use the symbol ∑ (sigma) to denote an alphabet
- Examples:
  - Binary: ∑ = {0,1}
  - All lower case letters: ∑ = {a,b,c,..z}
  - Alphanumeric: ∑ = {a-z, A-Z, 0-9}
  - DNA molecule letters: ∑ = {a,c,g,t}
  - …

# Strings

*A string or word is a finite sequence of symbols chosen from ∑*

- ***Empty string is ε (or "epsilon")***

- Length of a string *w*, denoted by "|*w*|", is equal to the *number of (non- ε) characters in the string*
  - *E.g., x = 010100* |*x*| = 6
  - *x = 01 ε 0 ε 1 ε 00 ε* |*x*| = ?

- *xy* = concatentation of two strings *x* and *y*

# Powers of an alphabet

Let $\Sigma$ be an alphabet.

- $\Sigma^k$ = the set of all strings of length $k$
- $\Sigma^* = \Sigma^0 \cup \Sigma^1 \cup \Sigma^2 \cup \ldots$
- $\Sigma^+ = \Sigma^1 \cup \Sigma^2 \cup \Sigma^3 \cup \ldots$

# Languages

*L is a said to be a language over alphabet ∑, only if L $\subseteq$ ∑**

➔ this is because ∑* is the set of all strings (of all possible length including 0) over the given alphabet ∑

<u>Examples:</u>

1. Let L be *the* language of <u>all strings consisting of *n* 0's followed by *n* 1's</u>:

   L = {ε,01,0011,000111,…}

2. Let L be *the* language of <u>all strings of with equal number of 0's and 1's</u>:

   L = {ε,01,10,0011,1100,0101,1010,1001,…}

   → Canonical ordering of strings in the language

- Let L = {ε}; Is L=Ø? **NO**

# The Membership Problem

*Given a string $w \in \Sigma^*$ and a language L over $\Sigma$, decide whether or not $w \in L$.*

<u>Example:</u>

Let w = 100011

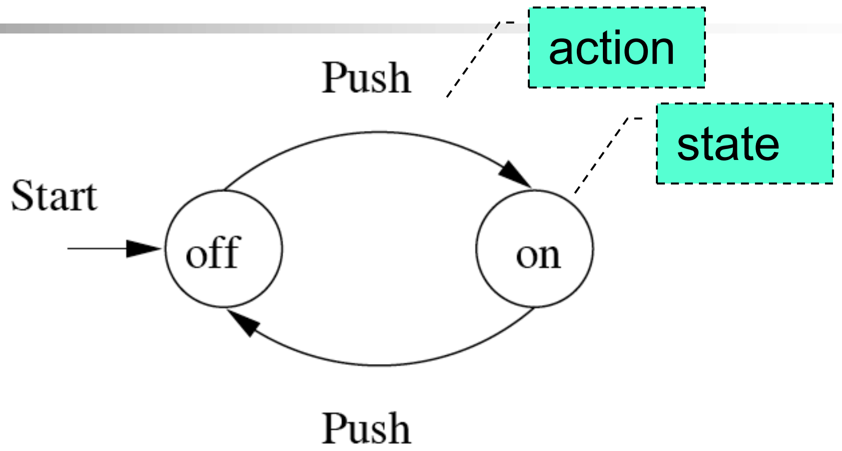
Q) Is $w \in$ the language of strings with equal number of 0s and 1s?

# Finite Automata

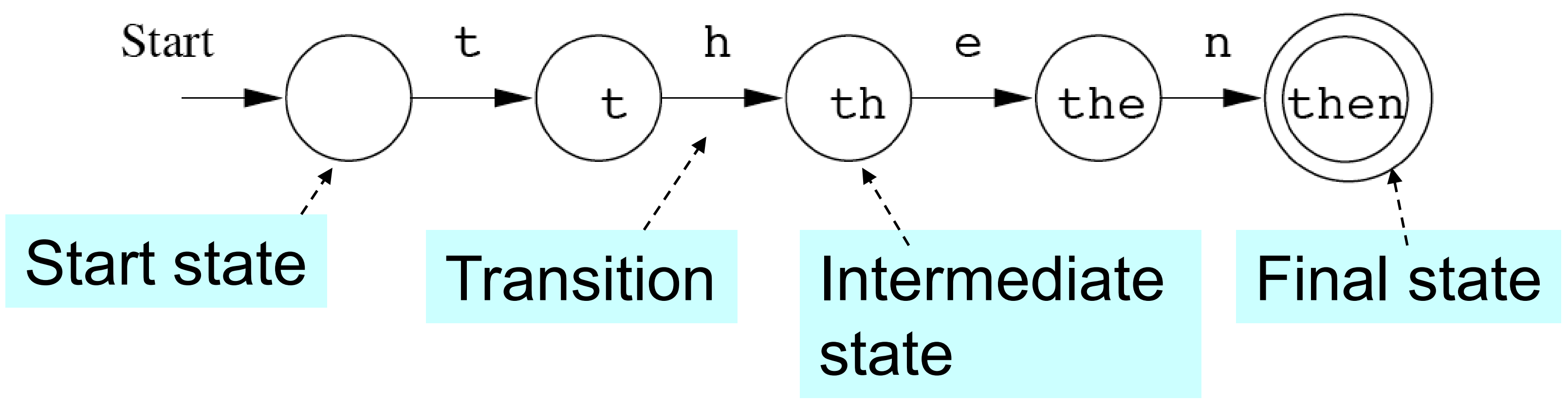
- Some Applications
  - Software for designing and checking the behavior of digital circuits
  - Lexical analyzer of a typical compiler
  - Software for scanning large bodies of text (e.g., web pages) for pattern finding
  - Software for verifying systems of all types that have a finite number of states (e.g., stock market transaction, communication/network protocol)

# Finite Automata : Examples

- On/Off switch




- Modeling recognition of the word “*then*”



# Structural expressions

- Grammars
- Regular expressions
  - E.g., unix style to capture city names such as “Palo Alto CA”:
    - [A-Z][a-z]*([ ][A-Z][a-z]*)*[ ][A-Z][A-Z]

Start with a letter

A string of other letters (possibly empty)

Other space delimited words (part of city name)

Should end w/ 2-letter state code

# Formal Proofs

# Deductive Proofs

*From the given statement(s) to a conclusion statement (what we want to prove)*

- Logical progression by direct implications

Example for parsing a statement:

- "If $y \geq 4$, then $2^y \geq y^2$."

*given* | *conclusion*

(there are other ways of writing this).

# Example: Deductive proof

***Let Claim 1: If $y \geq 4$, then $2^y \geq y^2$.***

***Let x be any number which is obtained by adding the squares of 4 positive integers.***

***Claim 2:***

***Given x and assuming that Claim 1 is true, prove that $2^x \geq x^2$***

- Proof:

1) Given: $x = a^2 + b^2 + c^2 + d^2$
2) Given: $a \geq 1, b \geq 1, c \geq 1, d \geq 1$
3) ➔ $a^2 \geq 1, b^2 \geq 1, c^2 \geq 1, d^2 \geq 1$ (by 2)
4) ➔ $x \geq 4$ (by 1 & 3)
5) ➔ $2^x \geq x^2$ (by 4 and Claim 1)

*"implies"* or *"follows"*

# On Theorems, Lemmas and Corollaries

We typically refer to:

- A major result as a "**theorem**"
- An intermediate result that we show to prove a larger result as a "**lemma**"
- A result that follows from an already proven result as a "**corollary**"

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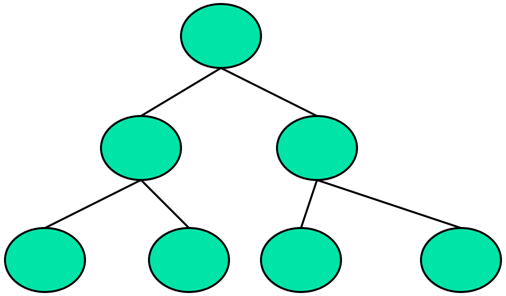
An example:

**Theorem:** *The height of an n-node binary tree is at least floor(lg n)*

**Lemma:** *Level i of a perfect binary tree has $2^i$ nodes.*

**Corollary:** *A perfect binary tree of height h has $2^{h+1}$-1 nodes.*



# Quantifiers

*"For all"* or *"For every"*

- Universal proofs
- Notation*=?

*"There exists"*

- Used in existential proofs
- Notation*=?

Implication is denoted by =>

- E.g., "IF A THEN B" can also be written as "A=>B"

*I wasn't able to locate the symbol for these notation in powerpoint. Sorry! Please follow the standard notation for these quantifiers. These will be presented in class.

# Proving techniques

- By contradiction
  - Start with the statement contradictory to the given statement
  - E.g., To prove (A => B), we start with:
    - (A and ~B)
    - … and then show that could never happen

    What if you want to prove that "(A and B => C or D)"?

- By induction
  - (3 steps) Basis, inductive hypothesis, inductive step
- By contrapositive statement
  - If *A* then *B* ≡ If ~*B* then ~*A*

# Proving techniques…

- By counter-example
  - Show an example that disproves the claim

- Note: There is no such thing called a "proof by example"!
  - So when asked to prove a claim, an example that satisfied that claim is *not* a proof

# Different ways of saying the same thing

- "*If* H *then* C":
  i. H *implies* C
  ii. *H => C*
  iii. C *if* H
  iv. H *only if* C
  v. *Whenever* H *holds*, C *follows*

# *"If-and-Only-If"* statements

- "A if and only if B" (A <==> B)
  - *(if part)* if B then A ( <= )
  - *(only if part)* A only if B ( => )
    (same as "if A then B")
- "If and only if" is abbreviated as "iff"
  - i.e., "A iff B"
- Example:
  - Theorem: *Let x be a real number. Then floor of x = ceiling of x if and only if x is an integer.*
- Proofs for iff have two parts
  - One for the "if part" & another for the "only if part"

# Summary

- Automata theory & a historical perspective
- Chomsky hierarchy
- Finite automata
- Alphabets, strings/words/sentences, languages
- Membership problem
- Proofs:
  - Deductive, induction, contrapositive, contradiction, counterexample
  - If and only if

- Read chapter 1 for more examples and exercises