

# Theory of Computation

Prof. Michael Mascagni



Florida State University  
Department of Computer Science

## Context-Free Production

Let  $\mathcal{V}, T$  be a pair of disjoint alphabets. A *context-free production* on  $\mathcal{V}, T$  is an expression

$$X \rightarrow h$$

where  $X \in \mathcal{V}$  and  $h \in (\mathcal{V} \cup T)^*$ .

- ▶ The elements of  $\mathcal{V}$  are called *variables*, and the elements of  $T$  are called *terminals*.
- ▶ If  $P$  stands for the production  $X \rightarrow h$  and  $u, v \in (\mathcal{V} \cup T)^*$ , we write

$$u \Rightarrow_P v$$

to mean that there are words  $p, q \in (\mathcal{V} \cup T)^*$  such that  $u = pXq$  and  $v = phq$ .

- ▶ Productions  $X \rightarrow \epsilon$  are called *null productions*.

## Context-Free Grammar

A *context-free grammar*  $\Gamma$  with variables  $\mathcal{V}$  and terminals  $T$  consists of a finite set of context-free productions on  $\mathcal{V}, T$  together with a designated symbol  $S \in \mathcal{V}$  called the *start symbol*.

- ▶ Collectively, the set  $\mathcal{V} \cup T$  is called the *alphabet* of  $\Gamma$ .
- ▶ If none of the productions of  $\Gamma$  is a null production,  $\Gamma$  is called a *positive context-free grammar*.

## Derivation

If  $\Gamma$  is a context-free grammar with variables  $\mathcal{V}$  and terminals  $T$ , and if  $u, v \in (\mathcal{V} \cup T)^*$ , we write

$$u \Rightarrow_{\Gamma} v$$

to mean that  $u \Rightarrow_P v$  for some production  $P$  of  $\Gamma$ . We write

$$u \Rightarrow_{\Gamma}^* v$$

to mean there is a sequence  $u_1, \dots, u_m$  where  $u = u_1$ ,  $u_m = v$ , and

$$u_i \Rightarrow_{\Gamma} u_{i+1} \quad \text{for } 1 \leq i < m.$$

The sequence  $u_1, \dots, u_m$  is called a *derivation of  $v$  from  $u$  in  $\Gamma$* .

- ▶ The number  $m$  is called the length of the derivation.
- ▶ The subscript  $\Gamma$  in  $\Rightarrow_{\Gamma}$  may be omitted when no ambiguity results.

## Context-Free Language

- ▶ Let  $\Gamma$  be a context-free grammar with terminals  $T$  and start symbol  $S$ , we define

$$L(\Gamma) = \{u \in T^* \mid S \Rightarrow^* u\}.$$

$L(\Gamma)$  is called the language *generated* by  $\Gamma$ .

- ▶ A Language  $L \subseteq T^*$  is called *context-free* if there is a context-free grammar  $\Gamma$  such that  $L = L(\Gamma)$ .

## Context-Free Language, An Example

A simple example of a context-free grammar  $\Gamma$  is given by  $\mathcal{V} = \{S\}$ ,  $T = \{a, b\}$ , and the productions

$$S \rightarrow aSb$$

$$S \rightarrow ab$$

- ▶ Clearly, we have

$$L(\Gamma) = \{a^{[n]}b^{[n]} \mid n > 0\}.$$

- ▶ That is, the language  $\{a^{[n]}b^{[n]} \mid n > 0\}$  is context-free.
- ▶ Note that  $L(\Gamma)$  is not regular.
- ▶ Later we shall show that every regular language is context-free.

## Positive Context-Free Grammar

- ▶ Recall that if none of the productions of a context-free grammar  $\Gamma$  is a null production,  $\Gamma$  is called a *positive context-free grammar*.
- ▶ If  $\Gamma$  is a positive context-free grammar, then  $0 \notin L(\Gamma)$ .
- ▶ The following algorithm transforms a given context-free grammar  $\Gamma$  into a positive context-free grammar  $\bar{\Gamma}$  such that  $L(\Gamma) = L(\bar{\Gamma})$  or  $L(\Gamma) = L(\bar{\Gamma}) \cup \{0\}$ .

1. First we compute the *kernel* of  $\Gamma$ ,

$$\ker(\Gamma) = \{V \in \mathcal{V} \mid V \Rightarrow_{\Gamma}^* 0\}.$$

2. Then we obtain  $\bar{\Gamma}$  by first adding all productions that can be obtained from the productions of  $\Gamma$  by deleting from the righthand sides one or more variables belonging to  $\ker(\Gamma)$  and then deleting all null productions.

## Positive Context-Free Grammar, An Example

Consider the context-free grammar  $\Gamma$  with productions

$$S \rightarrow XYYX, \quad S \rightarrow aX, \quad X \rightarrow 0, \quad Y \rightarrow 0.$$

We obtain a positive context-free grammar  $\bar{\Gamma}$  by

1. first computing the *kernel* of  $\Gamma$ ,

$$\ker(\Gamma) = \{X, Y, S\}.$$

2. then obtaining the productions of  $\bar{\Gamma}$  as the following:

$$S \rightarrow XYYX, \quad S \rightarrow YYX, \quad S \rightarrow XYX, \quad S \rightarrow XYY,$$

$$S \rightarrow YX, \quad S \rightarrow YY, \quad S \rightarrow XX, \quad S \rightarrow XY,$$

$$S \rightarrow X, \quad S \rightarrow Y,$$

$$S \rightarrow aX, \quad S \rightarrow a.$$

## Positive Context-Free Grammar, Continued

**Theorem 1.2.** A language  $L$  is context-free if and only if there is a positive context-free grammar  $\Gamma$  such that

$$L = L(\Gamma) \quad \text{or} \quad L = L(\Gamma) \cup \{0\}.$$

Moreover, there is an algorithm that will transform a context-free grammar  $\Delta$  for which  $L = L(\Delta)$  into a positive context-free grammar  $\Gamma$  that satisfies the above equation. □

## $\Gamma$ -tree

Let  $\Gamma$  be a *positive* context-free grammar with alphabet  $\mathcal{V} \cup T$ , where  $T$  consists of the terminals and  $\mathcal{V}$  is the set of variables. A tree is called a  $\Gamma$ -tree if it satisfies the following conditions:

1. the root is labeled by a variable;
2. each vertex which is not a leaf is labeled by a variable;
3. if a vertex is labeled  $X$  and its immediate successors (i.e. children) are labeled  $\alpha_1, \alpha_2, \dots, \alpha_k$  (reading from left to right), then  $X \rightarrow \alpha_1 \alpha_2 \dots \alpha_k$  is a production of  $\Gamma$ .

Let  $\mathcal{T}$  be a  $\Gamma$ -tree, and let  $v$  be a vertex of  $\Gamma$  which is labeled by the variable  $X$ . We shall speak of the *subtree*  $\mathcal{T}^v$  of  $\mathcal{T}$  *determined by*  $v$ . The vertices of  $\mathcal{T}^v$  are  $v$ , its immediate successors in  $\mathcal{T}$ , their immediate successors, and so on. Clearly,  $\mathcal{T}^v$  is itself a  $\Gamma$ -tree.

## Derivation Tree

- ▶ If  $\mathcal{T}$  is a  $\Gamma$ -tree, we write  $\langle \mathcal{T} \rangle$  for the word that consists of *the labels of the leaves of  $\mathcal{T}$*  reading from left to right.
- ▶ If the root of  $\mathcal{T}$  is labeled by the start symbol  $S$  of  $\Gamma$  and if  $w = \langle \mathcal{T} \rangle$ , then  $\mathcal{T}$  is called a *derivation tree for  $w$  in  $\Gamma$* .
- ▶ See the tree shown in Fig. 1.1 for a derivation tree for  $a^{[4]}b^{[3]}$  in the grammar shown in the same figure

**Theorem 1.3.** If  $\Gamma$  is a positive context-free grammar, and  $S \Rightarrow_{\Gamma}^* w$ , then there is a derivation tree for  $w$  in  $\Gamma$ . □

## Leftmost Derivation and Rightmost Derivation

**Definition.** We write  $u \Rightarrow_l v$  in  $\Gamma$  if  $u = xXy$  and  $v = xzy$ , where  $X \rightarrow z$  is a production of  $\Gamma$  and  $x \in T^*$ . If instead,  $x \in (\mathcal{V} \cup T)^*$  but  $y \in T^*$ , we write  $u \Rightarrow_r v$ .  $\square$

- ▶ When  $u \Rightarrow_l v$ , it is the *leftmost* variable in  $u$  for which a substitution is made. whereas when  $u \Rightarrow_r v$ , it is the *rightmost* variable in  $u$ .
- ▶ A derivation

$$u_1 \Rightarrow_l u_2 \Rightarrow_l u_3 \Rightarrow_l \dots u_n$$

is called a *leftmost* derivation, and then we write  $u_1 \Rightarrow_l^* u_n$ .  
Similarly, a derivation

$$u_1 \Rightarrow_r u_2 \Rightarrow_r u_3 \Rightarrow_r \dots u_n$$

is called a *rightmost* derivation, and we write  $u_1 \Rightarrow_r^* u_n$ .

## Leftmost Derivation and Rightmost Derivation, Examples

Consider the following positive context-free grammar

$$S \rightarrow aXbY, \quad X \rightarrow aX, \quad X \rightarrow a, \quad Y \rightarrow bY, \quad Y \rightarrow b$$

and consider the following three derivations of  $a^4b^3$  from  $S$ :

1.  $S \Rightarrow aXbY \Rightarrow a^{[2]}XbY \Rightarrow a^{[3]}XbY \Rightarrow a^{[4]}bY \Rightarrow a^{[4]}b^{[2]}Y \Rightarrow a^{[4]}b^{[3]}$
2.  $S \Rightarrow aXbY \Rightarrow a^{[2]}XbY \Rightarrow a^{[2]}Xb^{[2]}Y \Rightarrow a^{[3]}Xb^{[2]}Y \Rightarrow a^{[3]}Xb^{[3]} \Rightarrow a^{[4]}b^{[3]}$
3.  $S \Rightarrow aXbY \Rightarrow aXb^{[2]}Y \Rightarrow aXb^{[3]} \Rightarrow a^{[2]}Xb^{[3]} \Rightarrow a^{[3]}Xb^{[3]} \Rightarrow a^{[4]}b^{[3]}$

The first derivation is leftmost, the last is rightmost, and the second is neither.

## Leftmost Derivation and Rightmost Derivation, Continued

**Theorem 1.4.** Let  $\Gamma$  be a positive context-free grammar with start symbol  $S$  and terminals  $T$ . Let  $w \in T^*$ . Then the following conditions are equivalent:

1.  $w \in L(\Gamma)$ ;
2. there is a derivation tree for  $w$  in  $\Gamma$ ;
3. there is a leftmost derivation of  $w$  from  $S$  in  $\Gamma$ ;
4. there is a rightmost derivation of  $w$  from  $S$  in  $\Gamma$ .

□

## Branching Context-Free Grammar

**Definition.** A positive context-free grammar is called *branching* if it has no productions of the form  $X \rightarrow Y$ , where  $X$  and  $Y$  are variables. □

**Theorem 1.5.** There is an algorithm that transforms a given positive context-free grammar  $\Gamma$  into a branching grammar  $\Delta$  such that  $L(\Delta) = L(\Gamma)$ .

*Proof.* We transform  $\Gamma$  into  $\Delta$  in two steps. First, we eliminate from  $\Gamma$  all the “cycling” productions

$$X_1 \rightarrow X_2, \quad X_2 \rightarrow X_3, \quad \dots, \quad X_k \rightarrow X_1$$

and replace variables  $X_1, X_2, \dots, X_k$  in the remaining productions of  $\Gamma$  by a new variable  $X$ . Next, we eliminate production  $X \rightarrow Y$ , but add to  $\Gamma$  productions  $X \rightarrow x$  for each word  $x \in (\mathcal{V} \cup T)^*$  for which  $Y \rightarrow x$  is a production of  $\Gamma$ . □

## Path in a $\Gamma$ -tree

A *path* in a  $\Gamma$ -tree  $\mathcal{T}$  is a sequence  $\alpha_1, \alpha_2, \dots, \alpha_k$  of vertices of  $\mathcal{T}$  such that  $\alpha_{i+1}$  is an immediate successor of  $\alpha_i$  for  $i = 1, 2, \dots, k - 1$ . All of the vertices on the path are called *descendants* of  $\alpha_1$ .

We may have two different vertices  $\alpha, \beta$  lie on the same path in the derivation tree  $\mathcal{T}$  and are labeled by the same variable  $X$ . In such a case one of the vertices is a descendant of the other, say,  $\beta$  is a descendant of  $\alpha$ . Therefore,  $\mathcal{T}^\beta$  is not only a subtree of  $\mathcal{T}$  but also of  $\mathcal{T}^\alpha$ .

We wish to consider two important operations in the derivation tree  $\mathcal{T}$  which can be performed in this case. The two operations are called *pruning* and *splicing*.

## Pruning and Splicing

- ▶ *Pruning* is the operation that removes the subtree  $\mathcal{T}^\alpha$  from the vertex  $\alpha$  and to graft the subtree  $\mathcal{T}^\beta$  in its place.
- ▶ *Splicing* is the operation that removes the subtree  $\mathcal{T}^\beta$  from the vertex  $\beta$  and to graft an exact copy of  $\mathcal{T}^\alpha$  in its place.
- ▶ *Because  $\alpha$  and  $\beta$  are labeled by the same variable, the trees obtained by pruning and splicing are themselves derivation trees.*
- ▶ See Fig. 1.3 in the textbook for illustrations of pruning and splicing.

## Pruning and Splicing, Continued

Let  $\mathcal{T}_p$  and  $\mathcal{T}_s$  be trees obtained from a derivation tree  $\mathcal{T}$  in a branching grammar by pruning and splicing, respectively, where  $\alpha$  and  $\beta$  are as before.

We have  $\langle \mathcal{T} \rangle = r_1 \langle \mathcal{T}^\alpha \rangle r_2$  for words  $r_1, r_2$  and  $\langle \mathcal{T}^\alpha \rangle = q_1 \langle \mathcal{T}^\beta \rangle q_2$  for words  $q_1, q_2$ . Since  $\alpha, \beta$  are distinct vertices, and since the grammar is branching,  $q_1$  and  $q_2$  cannot both be 0. (That is,  $q_1 q_2 \neq 0$ .)

Also,

$$\langle \mathcal{T}_p \rangle = r_1 \langle \mathcal{T}^\beta \rangle r_2 \quad \text{and} \quad \langle \mathcal{T}_s \rangle = r_1 q_1^{[2]} \langle \mathcal{T}^\beta \rangle q_2^{[2]} r_2.$$

Since  $q_1 q_2 \neq 0$ , we have  $|\langle \mathcal{T}^\beta \rangle| < |\langle \mathcal{T}^\alpha \rangle|$  and hence  $|\langle \mathcal{T}_p \rangle| < |\langle \mathcal{T} \rangle|$ .

## Pruning and Splicing, Continued

**Theorem 1.6.** Let  $\Gamma$  be a branching context-free grammar, let  $u \in L(\Gamma)$ , and let  $u$  have a derivation tree  $\mathcal{T}$  in  $\Gamma$  that has two different vertices on the same path labeled by the same variable. Then there is a word  $v \in L(\Gamma)$  such that  $|v| < |u|$ .

*Proof.* Since  $u = \langle \mathcal{T} \rangle$ , we need only take  $v = \langle \mathcal{T}_p \rangle$ . □

## Regular Grammars

**Definition.** A context-free grammar is called *regular* if each of its productions has one of the two forms

$$U \rightarrow aV \quad \text{or} \quad U \rightarrow a$$

where  $U, V$  are variables and  $a$  is a terminal. □

**Theorem 2.1.** If  $L$  is a regular language, then there is a regular grammar  $\Gamma$  such that either  $L = L(\Gamma)$  or  $L = L(\Gamma) \cup \{0\}$ . □

## A Regular Grammar for Every Regular Language

*Proof of Theorem 2.1.* Let  $L = L(\mathcal{M})$ , where  $\mathcal{M}$  is a dfa with states  $q_1, \dots, q_m$ , alphabet  $\{s_1, \dots, s_n\}$ , transition function  $\delta$ , and the set of accepting states  $F$ . We construct a grammar  $\Gamma$  with variables  $q_1, \dots, q_m$ , terminals  $s_1, \dots, s_n$ , and start symbol  $q_1$ . The productions are

1.  $q_i \rightarrow s_r q_j$  whenever  $\delta(q_i, s_r) = q_j$ , and
2.  $q_i \rightarrow s_r$  whenever  $\delta(q_i, s_r) \in F$ .

Clearly the grammar  $\Gamma$  is regular. To show that  $L(\Gamma) = L - \{0\}$  we suppose  $u \in L$ ,  $u = s_{i_1} s_{i_2} \dots s_{i_l} s_{i_{l+1}} \neq 0$ . Thus,  $\delta^*(q_1, u) \in F$ , so that we have

$$\delta(q_1, s_{i_1}) = q_{j_1}, \quad \delta(q_{j_1}, s_{i_2}) = q_{j_2}, \quad \dots, \quad \delta(q_{j_l}, s_{i_{l+1}}) = q_{j_{l+1}} \in F.$$

## A Regular Grammar for Every Regular Language, Continued

*Proof of Theorem 2.1. (Continued)* By construction, grammar  $\Gamma$  contains the productions

$$q_1 \rightarrow s_{i_1} q_{j_1}, \quad q_{j_1} \rightarrow s_{i_2} q_{j_2}, \quad \dots, \quad q_{j_{l-1}} \rightarrow s_{i_l} q_{j_l}, \quad q_{j_l} \rightarrow s_{i_{l+1}}.$$

Thus, we have in  $\Gamma$

$$q_1 \Rightarrow s_{i_1} q_{j_1} \Rightarrow s_{i_1} s_{i_2} q_{j_2} \Rightarrow \dots \Rightarrow s_{i_1} s_{i_2} \dots s_{i_l} q_{j_l} \Rightarrow s_{i_1} s_{i_2} \dots s_{i_l} s_{i_{l+1}} = u$$

so that  $u \in L(\Gamma)$ .

Conversely, suppose that  $u \in L(\Gamma)$ ,  $u = s_{i_1} s_{i_2} \dots s_{i_l} s_{i_{l+1}}$ . Then there is a derivation of  $u$  from  $q_1$  in  $\Gamma$ . By construction,  $\Gamma$  has all the necessary productions to simulate the transition  $\delta^*(q_1, u) \in F$  in the dfa  $\mathcal{M}$ . □

## A Regular Language for Every Regular Grammar

**Theorem 2.2.** Let  $\Gamma$  be a regular grammar. Then  $L(\Gamma)$  is a regular language.

*Proof.* Let  $\Gamma$  have the variables  $V_1, V_2, \dots, V_K$ , where  $S = V_1$  is the start symbol, and terminals  $s_1, s_2, \dots, s_n$ . Since  $\Gamma$  is regular, its productions are of the form  $V_i \rightarrow s_r V_j$  and  $V_i \rightarrow s_r$ . We now construct the following ndfa  $\mathcal{M}$  which accepts precisely  $L(\Gamma)$ .

- ▶ The states are  $V_1, V_2, \dots, V_K$  and an additional state  $W$ .  $V_1$  is the initial state and  $W$  is the only accepting state.
- ▶ For transition functions, let

$$\begin{aligned} \delta_1(V_i, s_r) &= \{V_j \mid V_i \rightarrow s_r V_j \text{ is a production of } \Gamma\}, \\ \delta_2(V_i, s_r) &= \begin{cases} \{W\} & \text{if } V_i \rightarrow s_r \text{ is a production of } \Gamma \\ \emptyset & \text{otherwise.} \end{cases} \end{aligned}$$

Then define the transition function  $\delta$  as

$$\delta(V_i, s_r) = \delta_1(V_i, s_r) \cup \delta_2(V_i, s_r).$$

## A Regular Language for Every Regular Grammar

*Proof of Theorem 2.2. (Continued)* Now let

$u = s_{i_1} s_{i_2} \dots s_{i_l} s_{i_{l+1}} \in L(\Gamma)$ . Thus we have

$$V_1 \Rightarrow s_{i_1} V_{j_1} \Rightarrow s_{i_1} s_{i_2} V_{j_2} \Rightarrow^* s_{i_1} s_{i_2} \dots s_{i_l} V_{j_l} \Rightarrow s_{i_1} s_{i_2} \dots s_{i_l} s_{i_{l+1}}$$

where  $\Gamma$  contains the productions

$$V_1 \rightarrow s_{i_1} V_{j_1}, \quad V_{j_1} \rightarrow s_{i_2} V_{j_2}, \quad \dots, \quad V_{j_{l-1}} \rightarrow s_{i_l} V_{j_l}, \quad V_{j_l} \rightarrow s_{i_{l+1}}$$

Thus,

$$V_{j_1} \in \delta(V_1, s_{i_1}), \quad V_{j_2} \in \delta(V_{j_1}, s_{i_2}), \quad \dots, \quad W \in \delta(V_{j_l}, s_{i_{l+1}}).$$

Thus  $W \in \delta^*(V_1, u)$  and  $u \in L(\mathcal{M})$ .

Conversely, if  $u = s_{i_1} s_{i_2} \dots s_{i_l} s_{i_{l+1}}$  is accepted by  $\mathcal{M}$ , then there must be a sequence of transitions of the form above. Hence, the productions listed above must all belong to  $\Gamma$ , so that there is a derivation of  $u$  from  $V_1$ . □

## Every Regular Language Is Context-free

**Theorem 2.3.** A language  $L$  is regular if and only if there is a regular grammar  $\Gamma$  such that either  $L = L(\Gamma)$  or  $L = L(\Gamma) \cup \{0\}$ .  $\square$

**Corollary 2.4.** Every regular language is context-free.  $\square$

## Right-linear Grammars

**Definition.** A context-free grammar is called *right-linear* if each of its productions has one of the two forms

$$U \rightarrow xV \quad \text{or} \quad U \rightarrow x,$$

where  $U, V$  are variables and  $x \neq \epsilon$  is a word consisting entirely of terminals. □

Thus, a regular grammar is just a right-linear grammar in which  $|x| = 1$ .

## Right-linear Grammars, Continued

**Theorem 2.5.** Let  $\Gamma$  be a right-linear grammar. Then  $L(\Gamma)$  is regular.

*Proof.* We replace each production of  $\Gamma$  of the form

$$U \rightarrow a_1 a_2 \dots a_n V, \quad n > 1$$

by the productions

$$U \rightarrow a_1 Z_1, \quad Z_1 \rightarrow a_2 Z_2, \quad Z_{n-2} \rightarrow a_{n-1} Z_{n-1}, \quad Z_{n-1} \rightarrow a_n V,$$

where  $Z_1, \dots, Z_{n-1}$  are new variables. Do similar replacement for production

$$U \rightarrow a_1 a_2 \dots a_n, \quad n > 1$$

□

## Chomsky Normal Form

**Definition.** A context-free grammar  $\Gamma$  with variables  $\mathcal{V}$  and terminals  $T$  is in *Chomsky normal form* if each of its productions has one of the forms

$$X \rightarrow YZ \quad \text{or} \quad X \rightarrow a,$$

where  $X, Y, Z \in \mathcal{V}$  and  $a \in T$ . □

**Theorem 3.1.** There is an algorithm that transforms a given positive context-free grammar  $\Gamma$  into a Chomsky normal form grammar  $\Delta$  such that  $L(\Gamma) = L(\Delta)$ . □

## Chomsky Normal Form, Continued

*Proof of Theorem 3.1.* Using Theorem 1.5, we begin with a branching context-free grammar  $\Gamma$  with variable  $\mathcal{V}$  and terminals  $T$ . We then perform the following two steps:

1. a new variable  $X_a$  is introduced for each  $a \in T$ , and for each production  $X \rightarrow x \in \Gamma, |x| > 1$ , we replace it with  $X \rightarrow x'$  where  $x'$  is obtained from  $x$  by replacing each terminal  $a$  by the corresponding new variable  $X_a$ ;
2. For productions of the form  $X \rightarrow X_1 X_2 \dots X_k, k > 2$ , we introduce new variables  $Z_1, Z_2, \dots, Z_{k-2}$  and replace the production with the following

$$\begin{aligned}
 X &\rightarrow X_1 Z_1 \\
 &\vdots \\
 Z_{k-3} &\rightarrow X_{k-2} Z_{k-2} \\
 Z_{k-2} &\rightarrow X_{k-1} X_k.
 \end{aligned}$$

## Chomsky Normal Form, Examples

Consider the following branching context-free grammar

$$S \rightarrow aXbY, \quad X \rightarrow aX, \quad Y \rightarrow bY, \quad X \rightarrow a, \quad Y \rightarrow b$$

The resulting grammar, respectively, from the two steps is:

1.

$$S \rightarrow X_aXX_bY, \quad X \rightarrow X_aX, \quad Y \rightarrow X_bY, \\ X \rightarrow a, \quad X_a \rightarrow a, \quad Y \rightarrow b, \quad X_b \rightarrow b$$

2. For the production  $S \rightarrow X_aXX_bY$ , we replace it with the following:

$$S \rightarrow X_aZ_1 \\ Z_1 \rightarrow XZ_2 \\ Z_2 \rightarrow X_bY.$$

The resulting grammar is in Chomsky normal form.

## Bar-Hillel's Pumping Lemma

An application of Chomsky normal form is in the proof of the following theorem, which is an analogy for context-free languages of the pumping lemma for regular languages.

**Theorem 4.1.** Let  $\Gamma$  be a Chomsky normal form grammar with exactly  $n$  variables, and let  $L = L(\Gamma)$ . Then, for every  $x \in L$  for which  $|x| > 2^n$ , we have  $x = r_1 q_1 r q_2 r_2$ , where

1.  $|q_1 r q_2| \leq 2^n$ ;
2.  $q_1 q_2 \neq \epsilon$ ;
3. for all  $i \geq 0$ ,  $r_1 q_1^{[i]} r q_2^{[i]} r_2 \in L$ .



## A Small Lemma

**Lemma.** Let  $S \Rightarrow_{\Gamma}^* u$ , where  $\Gamma$  is a Chomsky normal form grammar. Suppose that  $\mathcal{T}$  is a derivation tree for  $u$  in  $\Gamma$  and that no path in  $\mathcal{T}$  contains more than  $k$  nodes. Then  $|u| \leq 2^{k-2}$ .

*Proof.* First, suppose, that  $\mathcal{T}$  has just one leaf labeled by a terminal  $a$ . Then  $u = a$ , and  $\mathcal{T}$  just have two nodes,  $S$  and  $a$ , and one path of length  $1 < k = 2$ . Clearly  $|u| = 1 \leq 2^{2-2}$ .

Otherwise, since  $\Gamma$  is in Chomsky normal form, the root of  $\mathcal{T}$  is labeled by  $S$  where  $S \rightarrow XY$  for variables  $X$  and  $Y$ . Let  $\mathcal{T}_1$  and  $\mathcal{T}_2$  be the two trees whose roots are labeled by  $X$  and  $Y$ , respectively. In each of  $\mathcal{T}_1$  and  $\mathcal{T}_2$ , the longest path must contain  $\leq k - 1$  nodes. Proceeding inductively, we may assume that each of the  $\mathcal{T}_1, \mathcal{T}_2$  have  $\leq 2^{k-3}$  leaves. Hence

$$|u| \leq 2^{k-3} + 2^{k-3} = 2^{k-2}.$$

## Bar-Hillel's Pumping Lemma, Proof

*Proof of Theorem 4.1.* Let  $x \in L$ , where  $|x| > 2^n$ , and let  $\mathcal{T}$  be a derivation tree for  $x$  in  $\Gamma$ . Let  $\alpha_1, \alpha_2, \dots, \alpha_m$  be the longest path in  $\mathcal{T}$ . Then  $m \geq n + 2$  and  $\alpha_m$  is a leaf. This is because, if  $m \leq n + 1$ , by the small lemma,  $|x| \leq 2^n - 1$  is a contradiction.

Note that  $\alpha_1, \alpha_2, \dots, \alpha_{m-1}$  are all labeled by variables, while  $\alpha_m$  is labeled by a terminal. Let  $\gamma_1, \gamma_2, \dots, \gamma_{n+2}$  be the path consisting of the vertices  $\alpha_{m-n-1}, \alpha_{m-n-2}, \dots, \alpha_{m-1}, \alpha_m$ .

Since there are only  $n$  variables in the alphabet of  $\Gamma$ , the pigeon-hole principle guarantees that there is a variable  $X$  that labels two different vertices:  $\alpha = \gamma_i$  and  $\beta = \gamma_j$ , where  $i < j$ . (See Fig. 4.2.)

## Bar-Hillel's Pumping Lemma, Proof

(Proof of Theorem 4.1., Continued)

Hence, the operations of *pruning* and *splicing* can be applied. Let  $r = \langle \mathcal{T}^\beta \rangle$ . Then we have, for example,

$$\begin{aligned} \langle \mathcal{T}_p \rangle &= r_1 r r_2, \\ \langle \mathcal{T}_s \rangle &= r_1 q_1^{[2]} r q_2^{[2]} r_2, \\ \langle (\mathcal{T}_s)_s \rangle &= r_1 q_1^{[3]} r q_2^{[3]} r_2 \end{aligned}$$

That is,  $r_1 q_1^i r q_2^i r_2 \in L(\Gamma), i \geq 0$ . Note that the path in  $\mathcal{T}^\alpha$  consists of  $\leq n + 2$  nodes, so by the small lemma

$$|q_1 r q_2| = |q_1 \langle \mathcal{T}^\beta \rangle q_2| = |\langle \mathcal{T}^\alpha \rangle| \leq 2^n.$$

□

## Bar-Hillel's Pumping Lemma, Application

**Theorem 4.2.** The language  $L = \{a^{[n]}b^{[n]}c^{[n]} \mid n > 0\}$  is *not* context-free.

*Proof.* Suppose that  $L$  is context-free with  $L = L(\Gamma)$ , where  $\Gamma$  is a Chomsky normal form grammar with  $n$  variables. Choose  $k$  so large that  $|a^{[k]}b^{[k]}c^{[k]}| > 2^n$ . Then  $a^{[k]}b^{[k]}c^{[k]} = r_1q_1rq_2r_2$ , where

$$x_i = r_1 q_1^{[i]} r q_2^{[i]} r_2 \in L$$

for all  $i \geq 0$ . As  $x_2 = r_1q_1q_1rq_2q_2r_2 \in L$ , we know that  $q_1$  and  $q_2$  must each contain only one of the letters  $a, b, c$ . That is, one letter is missing in both  $q_1$  and  $q_2$ .

But as  $i = 2, 3, 4, \dots$  contains more and more copies of  $q_1$  and  $q_2$  and since  $q_1q_2 \neq \epsilon$ , it is impossible for  $x_i$  to have the same number of occurrences of  $a, b$ , and  $c$ . This contradiction shows that  $L$  is not context-free. □