

# The Myhill-Nerode Theorem in a Theorem Prover

Christian Urban  
King's College London

joint work with Chunhan Wu and Xingyuan Zhang from the  
PLA University of Science and Technology in Nanjing

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Isabelle/HOL

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- my background is in
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  - develop Nominal Isabelle



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- to formalise and mechanically check proofs from programming language research, TCS and OS
- we found out that the variable convention can lead to faulty proofs...

#### Variable Convention:

If  $M_1, \dots, M_n$  occur in a certain mathematical context (e.g. definition, proof), then in these terms all bound variables are chosen to be different from the free variables.

Henk Barendregt



Bob Harper  
(CMU)



Frank Pfenning  
(CMU)

published a proof on LF in  
**ACM Transactions on  
Computational Logic**, 2005,  
~31pp



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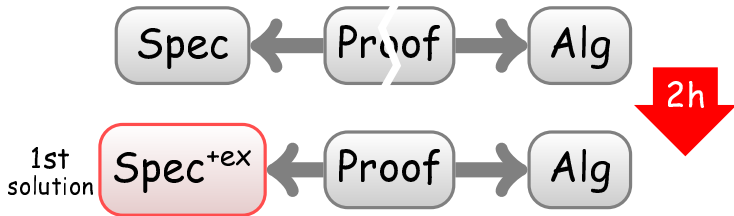
Andrew Appel  
(Princeton)

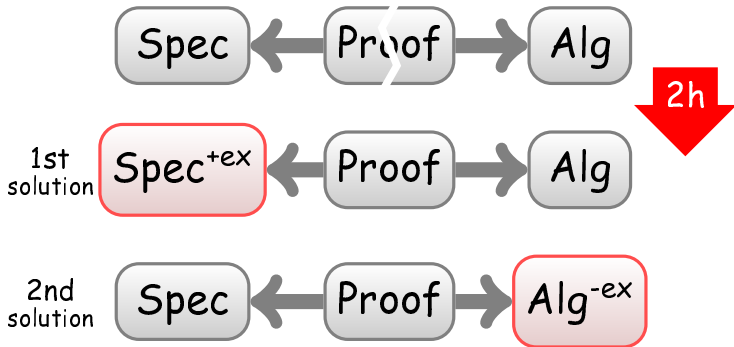
relied on their proof in a  
**security** critical application  
(proof-carrying code)

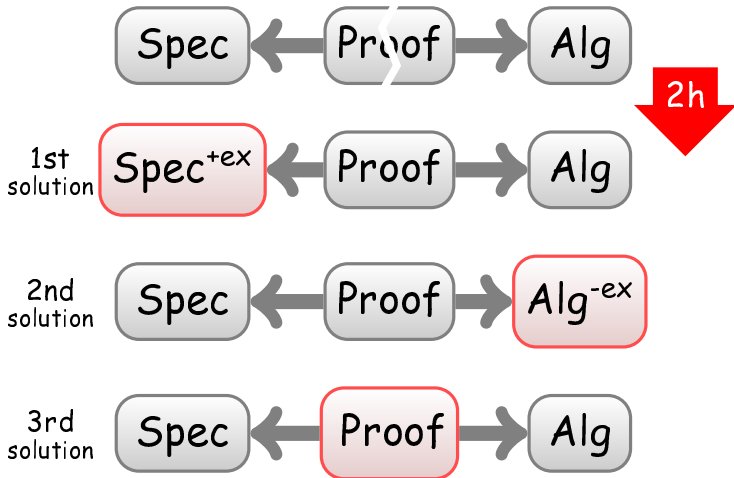












- I also found fixable errors in my Ph.D.-thesis about cut-elimination (examined by Henk Barendregt and Andy Pitts)
- found flaws in a proof about a classic OS scheduling algorithm — helped us to implement it correctly and efficiently  
(the existing literature “proved” correct an incorrect algorithm; used in the Mars Pathfinder mission)

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## **Conclusion:**

Pencil-and-paper proofs in TCS are not foolproof, not even expertproof.

Scott Aaronson (Berkeley/MIT):

"I still remember having to grade hundreds of exams where the students started out by assuming what had to be proved, or filled page after page with gibberish in the hope that, somewhere in the mess, they might accidentally have said something correct. ... innumerable examples of "parrot proofs" — NP-completeness reductions done in the wrong direction, arguments that look more like LSD trips than coherent chains of logic ..."

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Tobias Nipkow calls this the "London Underground Phenomenon":



## Motivation:

I want to teach **students** with theorem provers (especially for inductions).



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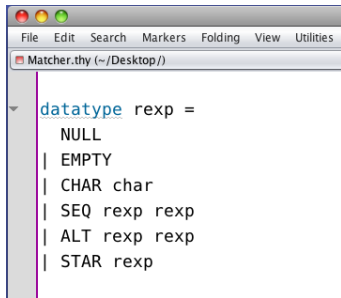
I want to teach **students** with theorem provers (especially for inductions).

- ~~fib, even and odd~~
- formal language theory  
⇒ nice textbooks: Kozen, Hopcroft & Ullman...

# Regular Expressions

Isabelle:

$r ::= \emptyset$   
|  $[]$   
|  $c$   
|  $r_1 \cdot r_2$   
|  $r_1 + r_2$   
|  $r^*$



```
Matcher.thy (~/Desktop/)  
  
datatype rexp =  
  NULL  
| EMPTY  
| CHAR char  
| SEQ rexp rexp  
| ALT rexp rexp  
| STAR rexp
```

students have seen them and  
can be motivated about them

nullable ( $\emptyset$ ) = false  
nullable ([]) = true  
nullable (c) = false  
nullable ( $r_1 + r_2$ ) = (nullable  $r_1$ )  $\vee$  (nullable  $r_2$ )  
nullable ( $r_1 \cdot r_2$ ) = (nullable  $r_1$ )  $\wedge$  (nullable  $r_2$ )  
nullable ( $r^*$ ) = true

nullable ( $\emptyset$ ) = false

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nullable ( $r^*$ ) = true

der c ( $\emptyset$ ) =  $\emptyset$

der c ([]) =  $\emptyset$

der c (d) = if  $c = d$  then [] else  $\emptyset$

der c ( $r_1 + r_2$ ) = (der c  $r_1$ ) + (der c  $r_2$ )

der c ( $r_1 \cdot r_2$ ) = ((der c  $r_1$ )  $\cdot$   $r_2$ ) +  
(if nullable  $r_1$  then der c  $r_2$  else  $\emptyset$ )

der c ( $r^*$ ) = (der c r)  $\cdot$  ( $r^*$ )

$\text{nullable } (\emptyset) = \text{false}$   
 $\text{nullable } ([]) = \text{true}$   
 $\text{nullable } (c) = \text{false}$   
 $\text{nullable } (r_1 + r_2) = (\text{nullable } r_1) \vee (\text{nullable } r_2)$   
 $\text{nullable } (r_1 \cdot r_2) = (\text{nullable } r_1) \wedge (\text{nullable } r_2)$   
 $\text{nullable } (r^*) = \text{true}$

$\text{der } c (\emptyset) = \emptyset$   
 $\text{der } c ([]) = \emptyset$   
 $\text{der } c (d) = \text{if } c = d \text{ then } [] \text{ else } \emptyset$   
 $\text{der } c (r_1 + r_2) = (\text{der } c r_1) + (\text{der } c r_2)$   
 $\text{der } c (r_1 \cdot r_2) = ((\text{der } c r_1) \cdot r_2) +$   
 $\quad (\text{if nullable } r_1 \text{ then der } c r_2 \text{ else } \emptyset)$   
 $\text{der } c (r^*) = (\text{der } c r) \cdot (r^*)$

$\text{derivative } [] r = r$   
 $\text{derivative } (c::s) r = \text{derivative } s (\text{der } c r)$

$\text{matches } r s = \text{nullable } (\text{derivative } s r)$

# Regular Expression Matching in Education

- Harper in JFP'99: "Functional Pearl: Proof-Directed Debugging"
- Yi in JFP'06: "Educational Pearl: 'Proof-Directed Debugging' revisited for a first-order version"

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- Harper in JFP'99: "Functional Pearl: Proof-Directed Debugging"
- Yi in JFP'06: "Educational Pearl: 'Proof-Directed Debugging' revisited for a first-order version"
- Owens et al in JFP'09: "Regular-expression derivatives re-examined"

"Unfortunately, regular expression derivatives have been lost in the sands of time, and few computer scientists are aware of them."



Formal language theory...

# in Theorem Provers

e.g. Isabelle, Coq, HOL4, . . .

- automata  $\Rightarrow$  graphs, matrices, functions

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- combining automata / graphs

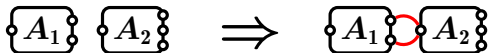


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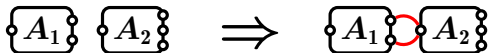


# Formal language theory...

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disjoint union:

$$A_1 \uplus A_2 \stackrel{\text{def}}{=} \{(1, x) \mid x \in A_1\} \cup \{(2, y) \mid y \in A_2\}$$

# Formal language theory...

## in Theorem Provers

e.g. Isabelle, Coq, HOL4, ...

- automata  $\Rightarrow$  graphs, matrices, functions

Problems with definition for regularity:

$$\text{is\_regular}(A) \stackrel{\text{def}}{=} \exists M. \text{is\_dfa}(M) \wedge \mathcal{L}(M) = A$$

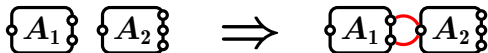
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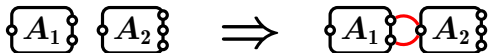
A solution: use `nats`  $\Rightarrow$  state nodes

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# in Theorem Provers

e.g. Isabelle, Coq, HOL4, . . .

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A solution: use **nats**  $\Rightarrow$  state nodes

You have to **rename** states!

## Formal language theory...

# in Theorem Provers

e.g. Isabelle, Coq, HOL4, ...

- Kozen's paper-proof of Myhill-Nerode: requires absence of **inaccessible states**
- complementation of automata only works for **complete** automata (need sink states)

$$\text{is\_regular}(A) \stackrel{\text{def}}{=} \exists M. \text{is\_dfa}(M) \wedge \mathcal{L}(M) = A$$



## Definition:

A language  $A$  is **regular**, provided there exists a **regular expression** that matches all strings of  $A$ .

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- pumping lemma
- closure under complementation
- ~~regular expression matching~~ ( $\Rightarrow$  Brzozowski'64, Owens et al '09)
- most textbooks are about automata

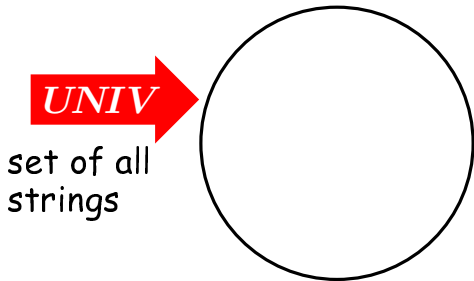


# The Myhill-Nerode Theorem

- provides necessary and sufficient conditions for a language being regular (pumping lemma only necessary)
- key is the equivalence relation:

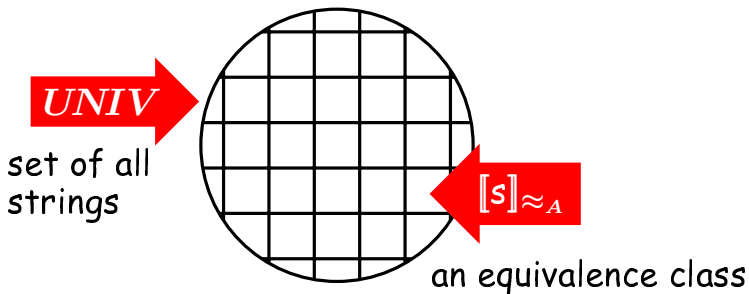
$$x \approx_A y \stackrel{\text{def}}{=} \forall z. x@z \in A \Leftrightarrow y@z \in A$$

# The Myhill-Nerode Theorem



- $\text{finite}(UNIV // \approx_A) \Leftrightarrow A \text{ is regular}$

# The Myhill-Nerode Theorem



- finite ( $UNIV // \approx_A$ )  $\Leftrightarrow A$  is regular

# The Myhill-Nerode Theorem

Two directions:

1.) finite  $\Rightarrow$  regular

$$\text{finite } (UNIV // \approx_A) \Rightarrow \exists r. A = \mathcal{L}(r)$$

2.) regular  $\Rightarrow$  finite

$$\text{finite } (UNIV // \approx_{\mathcal{L}(r)})$$

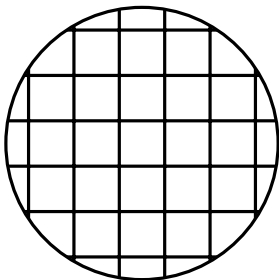


an equivalence class

- finite  $(UNIV // \approx_A) \Leftrightarrow A$  is regular

# Initial and Final ~~States~~

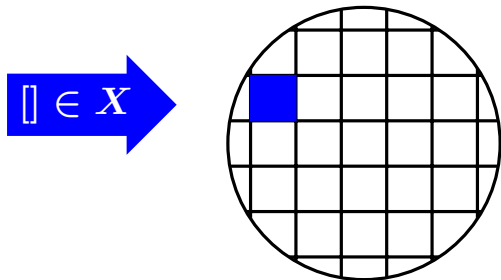
## Equivalence Classes



- $\text{finals } A \stackrel{\text{def}}{=} \{ \|s\|_{\approx_A} \mid s \in A \}$
- we can prove:  $A = \bigcup \text{finals } A$

# Initial and Final ~~States~~

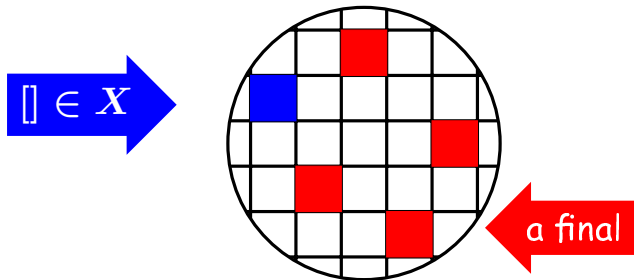
Equivalence Classes



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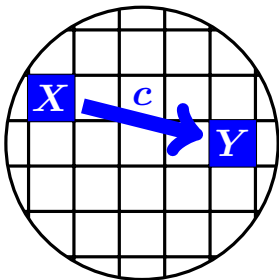
# Initial and Final States

Equivalence Classes



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- we can prove:  $A = \bigcup \text{finals } A$

# Transitions between Eq-Classes

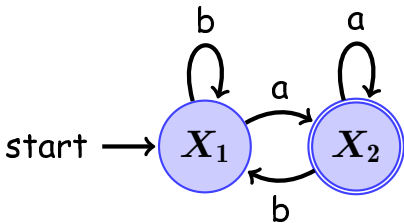


$$X \xrightarrow{c} Y \stackrel{\text{def}}{=} X; \underline{c} \subseteq Y$$



# Systems of Equations

Inspired by a method of Brzozowski '64:

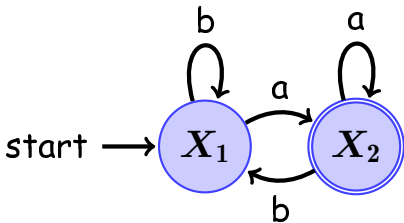


$$X_1 = X_1; b + X_2; b$$

$$X_2 = X_1; a + X_2; a$$

# Systems of Equations

Inspired by a method of Brzozowski '64:



$$X_1 = X_1; b + X_2; b + \lambda; []$$

$$X_2 = X_1; a + X_2; a$$



$$X_1 = X_1; b + X_2; b + \lambda; []$$

$$X_2 = X_1; a + X_2; a$$

# A Variant of Arden's Lemma

**Arden's Lemma:**

If  $\epsilon \notin A$  then

$$X = X; A + \text{something}$$

has the (unique) solution

$$X = \text{something}; A^*$$



$$X_1 = X_1; b + X_2; b + \lambda; []$$

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$$X_1 = X_1; b + X_2; b + \lambda; []$$

$$X_2 = X_1; a \cdot a^*$$

by Arden

$$\begin{aligned} X_1 &= X_1; b + X_2; b + \lambda; [] \\ X_2 &= X_1; a + X_2; a \end{aligned}$$

by Arden



$$\begin{aligned} X_1 &= X_1; b + X_2; b + \lambda; [] \\ X_2 &= X_1; a \cdot a^* \end{aligned}$$

by Arden




$$\begin{aligned} X_1 &= X_2; b \cdot b^* + \lambda; b^* \\ X_2 &= X_1; a \cdot a^* \end{aligned}$$


$$\begin{aligned} X_1 &= X_1; b + X_2; b + \lambda; [] \\ X_2 &= X_1; a + X_2; a \end{aligned}$$

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$$\begin{aligned} X_1 &= X_1; a \cdot a^* \cdot b \cdot b^* + \lambda; b^* \\ X_2 &= X_1; a \cdot a^* \end{aligned}$$

by substitution



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$$\begin{aligned} X_1 &= \lambda; b^* \cdot (a \cdot a^* \cdot b \cdot b^*)^* \\ X_2 &= X_1; a \cdot a^* \end{aligned}$$

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$$X_1 = X_1; b + X_2; b + \lambda; []$$

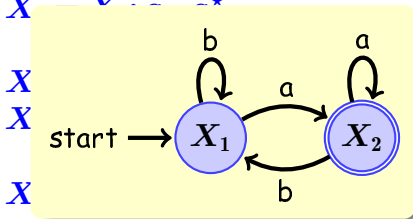
$$X_2 = X_1; a + X_2; a$$

by Arden

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$$X_1 = \lambda; b^* \cdot (a \cdot a^* \cdot b \cdot b^*)^*$$

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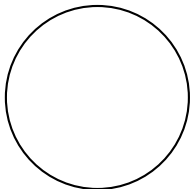
$$X_2 = \lambda; b^* \cdot (a \cdot a^* \cdot b \cdot b^*)^* \cdot a \cdot a^*$$

# The Other Direction

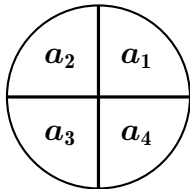
One has to prove

$$\text{finite}(UNIV// \approx_{\mathcal{L}(r)})$$

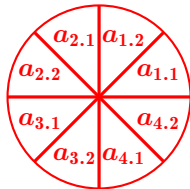
by induction on  $r$ . Not trivial, but after a bit of thinking, one can find a **refined** relation:



$UNIV$



$UNIV// \approx_{\mathcal{L}(r)}$



$UNIV// R$

# Derivatives of RExps

- introduced by Brzozowski '64
- produces a regular expression after a character has been "parsed"

$$\text{der } c \ \emptyset \stackrel{\text{def}}{=} \emptyset$$

$$\text{der } c \ [] \stackrel{\text{def}}{=} \emptyset$$

$$\text{der } c \ d \stackrel{\text{def}}{=} \text{if } c = d \text{ then } [] \text{ else } \emptyset$$

$$\text{der } c \ (r_1 + r_2) \stackrel{\text{def}}{=} (\text{der } c \ r_1) + (\text{der } c \ r_2)$$

$$\text{der } c \ (r^*) \stackrel{\text{def}}{=} (\text{der } c \ r) \cdot (r^*)$$

$$\text{der } c \ (r_1 \cdot r_2) \stackrel{\text{def}}{=} ((\text{der } c \ r_1) \cdot r_2) + \\ (\text{if nullable } r_1 \text{ then } \text{der } c \ r_2 \text{ else } \emptyset)$$

# Derivatives of RExps

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derivatives refine  $x \approx_{\mathcal{L}(r)} y$

$$\mathcal{L}(\text{ders } x \ r) = \mathcal{L}(\text{ders } y \ r) \iff x \approx_{\mathcal{L}(r)} y$$

$\text{finite}(\text{ders } A \ r)$ , but only modulo ACI

$$(r_1 + r_2) + r_3 \equiv r_1 + (r_2 + r_3)$$

$$r_1 + r_2 \equiv r_2 + r_1$$

$$r + r \equiv r$$

∅)

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$$r + r \equiv r$$

∅)

# Partial Derivatives of RExps

- partial derivatives
- by Antimirov '95

$$\begin{aligned} \text{pder } c \ \emptyset &\stackrel{\text{def}}{=} \{\} \\ \text{pder } c \ [] &\stackrel{\text{def}}{=} \{\} \\ \text{pder } c \ d &\stackrel{\text{def}}{=} \text{if } c = d \text{ then } \{[]\} \text{ else } \{\} \\ \text{pder } c \ (r_1 + r_2) &\stackrel{\text{def}}{=} (\text{pder } c \ r_1) \cup (\text{pder } c \ r_2) \\ \text{pder } c \ (r^*) &\stackrel{\text{def}}{=} (\text{pder } c \ r) \cdot r^* \\ \text{pder } c \ (r_1 \cdot r_2) &\stackrel{\text{def}}{=} (\text{pder } c \ r_1) \cdot r_2 \cup \\ &\quad \text{if nullable } r_1 \text{ then } (\text{pder } c \ r_2) \text{ else } \emptyset \end{aligned}$$



# Partial Derivatives

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Antimirov '95

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Antimirov '95

- $\text{finite}(UNIV // R)$
- Therefore  $\text{finite}(UNIV // \approx_{\mathcal{L}(r)})$ . Qed.

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If there exists a sufficiently large set  $B$  (for example infinitely large), such that

$$\forall x, y \in B. x \neq y \Rightarrow x \not\approx_A y.$$

then  $A$  is not regular.  $(B \stackrel{\text{def}}{=} \bigcup_n a^n)$

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then this language **is** regular ( $a^n b^n \Rightarrow a^* b^*$ )

# Formal language theory...

## in Nuprl

- Constable, Jackson, Naumov, Uribe
- **18 months** for automata theory from Hopcroft & Ullman chapters 1-11 (including Myhill-Nerode)

# Formal language theory...

## in Coq

- Filliâtre, Briaïs, Braibant and others
- multi-year effort; a number of results in automata theory, e.g.
  - Kleene's thm. by Filliâtre ("rather big")
  - automata theory by Briaïs (5400 loc)
  - Braibant ATBR library, including Myhill-Nerode (>7000 loc)
  - Mirkin's partial derivative automaton construction (10600 loc)

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- parsing with derivatives of grammars (Matt Might ICFP'11)

# An Apology

- This should all of course be done co-inductively

From: Jasmin Christian Blanchette

To: isabelle-dev@mailbroy.informatik.tu-muenchen.de

Subject: [isabelle-dev] NEWS

Date: **Tue, 28 Aug 2012** 17:40:55 +0200

\* **HOL/Codatatype**: New (co)datatype package with support for mixed, nested recursion and interesting non-free datatypes.

\* **HOL/Ordinals\_and\_Cardinals**: Theories of ordinals and cardinals (supersedes the AFP entry of the same name).

Kudos to Andrei and Dmitriy!

Jasmin

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isabelle-dev mailing list  
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**Thank you very much!**

**Questions?**