1 Introduction

Regular expression matching is a very useful technique for describing commonly-occurring patterns in strings. For example, the Unix shell (and most other command processors) provides a mechanism (called “globbing”) for describing a collection of files by patterns such as *.sml or hw[1-3].sml. The emacs text editor provides a richer, but substantially similar, pattern language for its “regexp search” mechanism. In this note we will describe a simple algorithm for regular expression matching that illustrates a number of important programming concepts.

The patterns describable by regular expressions are built up from the following four constructs:

1. Singleton: matching a specific character.

Notably, regular expressions provide no concept of nesting of one pattern inside another. For this we would require a richer formalism, such as that provided by context-free languages.

2 Languages

To make precise the informal ideas outlined above, we introduce the concept of a formal language. First, we fix an alphabet $\Sigma$, which is any countable set of letters. The set $\Sigma^*$ is the set of finite-length strings over the alphabet $\Sigma$. The empty string is written $\epsilon$, and string concatenation is indicated by juxtaposition. A language $L$ is any subset of $\Sigma^*$ — that is, any set of finite-length strings over $\Sigma$.

In practice $\Sigma$ is SML type $\text{char}$, and $\Sigma^*$ is the SML type $\text{string}$. We will use SML notation for operations on strings.

Observe that the empty string $\epsilon$ is represented by the value "" of type $\text{string}$ in SML.

*Modified from a draft by Robert Harper.*
3 Regular Expressions

Regular expressions are a notation system for languages. The set of regular expressions over an alphabet Σ is given by the following inductive/recursive definition:

1. If $a \in \Sigma$, then $a$ is a regular expression.
2. 1 is a regular expression.
3. 0 is a regular expression.
4. If $r_1$ and $r_2$ are regular expressions, so is $r_1 r_2$.
5. If $r_1$ and $r_2$ are regular expressions, so is $r_1 + r_2$.
6. If $r$ is a regular expression, then so is $r^*$.

The language $L(r)$ of a regular expression $r$ is defined as follows:

- $L(a) = \{ a \}$
- $L(1) = \{ \epsilon \}$
- $L(0) = \{ \}$
- $L(r_1 r_2) = \{ s_1 s_2 | s_1 \in L(r_1) \text{ and } s_2 \in L(r_2) \}$
- $L(r_1 + r_2) = \{ s | s \in L(r_1) \text{ or } s \in L(r_2) \}$
- $L(r^*) = \{ s_1 \ldots s_n | s_i \in L(r) \text{ for } 1 \leq i \leq n, \text{ with } n \geq 0 \}$

By convention, $s_1 \ldots s_n$ stands for the empty string $\epsilon$ if $n = 0$.

We say that a string $s$ matches a regular expression $r$ iff $s \in L(r)$. Thus $s$ never matches 0; $s$ matches 1 iff $s = \epsilon$; $s$ matches $a$ iff $s = a$; $s$ matches $r_1 + r_2$ iff it matches either $r_1$ or $r_2$; $s$ matches $r_1 r_2$ iff $s = s_1 s_2$, where $s_1$ matches $r_1$ and $s_2$ matches $r_2$; $s$ matches $r^*$ iff either $s = \epsilon$, or $s = s_1 s_2$ where $s_1$ matches $r$ and $s_2$ matches $r^*$. (The following precedence rules apply when needed: star precedes times precedes plus.)

Some simple examples over the alphabet $\Sigma = \{a, b\}$.

- $L(aa)$ = singleton set containing only aa
- $L((a + b)^*)$ = set of all strings over $\Sigma$
- $L((a + b)^*aa(a + b)^*)$ = set of strings with two consecutive a’s
- $L((a + 1)(b + ba)^*)$ = set of strings over $\Sigma$ without two consecutive a’s
4 A Matching Algorithm

We are to define an SML function accept with type regexp -> string -> bool such that accept r s evaluates to true iff s matches r, and evaluates to false otherwise.

First we require a representation of regular expressions in SML:

```sml
datatype regexp = Char of char
| One
| Zero
| Times of regexp * regexp
| Plus of regexp * regexp
| Star of regexp
```

The correspondence to the definition of regular expressions should be clear.

We will implement the matcher using continuation-passing. We will define an auxiliary function match of type

```sml
match : regexp -> char list -> (char list -> bool) -> bool
```

which takes a regular expression, a character list, and a continuation, and yields a Boolean value. Informally, the continuation determines how to proceed once an initial segment of the given character list has been determined to match the given regular expression — the remaining input is passed to the continuation to determine the final outcome. In order to ensure that the matcher succeeds (yields true) whenever possible, we must be sure to consider all ways in which an initial segment of the input character list matches the given regular expression in such a way that the remaining unmatched input causes the continuation to succeed. Only if there is no way to do so may we yield false.

This informal specification may be made precise as follows:

(Here we are treating the arguments s, s₁, and s₂ as strings for conceptual simplicity, even though in our implementation they will be character lists, exploded from those strings.)

1. If there exists s₁ and s₂ such that s = s₁ s₂, s₁ ∈ L(r), and k(s₂) evaluates to true, then match r s k evaluates to true.

2. If for every s₁ and s₂ such that s = s₁ s₂ with s₁ ∈ L(r) we have that k(s₂) evaluates to false, then match r s k evaluates to false

Notice that this specification determines the outcome only for continuations k that always yield either true or false on any input. This is sufficient for our purposes since the continuations that arise will always satisfy this requirement. (That fact is by no means obvious and requires proof. We will however omit the proof in this document.)

Notice as well that the specification implies that the result should be false in the case that there is no way to partition the input string s such that an initial segment matches r.

Before giving the implementation of match, we can define accept as follows:

```sml
fun accept r s = match r (String.explode s) List.null
```

Two remarks. We “explode” the string argument into a list of characters to facilitate sequential processing of the string. The initial continuation yields true or false according to whether the remaining input has been exhausted. Assuming that match satisfies the specification given above, one sees that accept is indeed the required matching algorithm.
Now for the code for `match`:

```plaintext
(* match : regexp -> char list -> (char list -> bool) -> bool *)
fun match (Char(a)) cs k = (case cs of
  nil => false
  | (c::cs') => (a=c) andalso k(cs'))

| match (One) cs k = k cs
| match (Zero) _ _ = false
| match (Times(r1,r2)) cs k = match r1 cs (fn cs' => match r2 cs' k)
| match (Plus(r1,r2)) cs k = match r1 cs k orelse match r2 cs k
| match (Star(r)) cs k = k cs orelse match r cs (fn cs' => match (Star(r)) cs' k)
```

Note that the case of `(Star r)` could have been written

```plaintext
| match (Star(r)) cs k =
  match (Plus (One, Times (r, (Star r)))) cs k
```

but this has the disadvantage of creating a new regular expression during matching.

Does `match` satisfy the specification given above? A natural way to approach the proof is to proceed by induction on the structure of the regular expression. We examine here an abbreviated informal version of that proof for two cases. First, consider the case \( r = \text{Times}(r_1,r_2) \). We have two proof obligations according to whether or not the input may be partitioned in such a way that an initial segment matches \( r \) and the continuation succeeds on the corresponding final segment.

First, suppose that \( s = s_1 s_2 \) with \( s_1 \) matching \( r \) and \( k(s_2) \) evaluates to `true`. We are to show that `match r s k` evaluates to `true`. Now since \( s_1 \) matches \( r \), we have that \( s_1 = s_{1,1} s_{1,2} \) with \( s_{1,1} \) matching \( r_1 \) and \( s_{1,2} \) matching \( r_2 \). Consequently, by the inductive hypothesis applied to \( r_2 \), we have that \( \text{match } r_2 \ (s_{1,2} s_2) \ k \) evaluates to `true`. Therefore the application \( (\text{fn cs' } => \text{match } r_2 \ cs' \ k) \ (s_{1,2} s_2) \) evaluates to `true`, and hence by the inductive hypothesis applied to \( r_1 \), the expression \( \text{match } r_1 \ s \ (\text{fn cs' } => \text{match } r_2 \ cs' \ k) \) evaluates to `true`, which is enough for the result.

Second, suppose that no matter how we choose \( s_1 \) and \( s_2 \) such that \( s = s_1 s_2 \) with \( s_1 \in L(r) \), we have that \( k(s_2) \) evaluates to `false`. It suffices to show that `match r_1 s (fn cs' => match r_2 cs' k)` evaluates to `false`. By the inductive hypothesis (applied to \( r_1 \)) it suffices to show that for every \( s_{1,1} \) and \( s_2 \) such that \( s = s_{1,1} s_2 \) with \( s_{1,1} \in L(r_1) \), we have that `match r_2 s_2' k` evaluates to `false`. By the inductive hypothesis (applied to \( r_2 \)) it suffices to show that for every \( s_{1,2} \) and \( s_2 \) such that \( s_2' = s_{1,2} s_2 \) with \( s_{1,2} \in L(r_2) \), we have that \( k(s_2) \) evaluates to `false`. But this follows from our assumptions, taking \( s_1 = s_{1,1} s_{1,2} \).

This completes the proof for \( r = r_1 r_2 \); you should carry out the proof for \( 0, 1, a \), and \( r_1 + r_2 \).

What about iteration? Let \( r \) be `Star r_1`, and suppose that \( s = s_1 s_2 \) with \( s_1 \) matching \( r \) and \( k(s_2) \) evaluates to `true`. By our choice of \( r \), there are two cases to consider: either \( s_1 = \epsilon \), or \( s_1 = s_{1,1} s_{1,2} \) with \( s_{1,1} \) matching \( r_1 \) and \( s_{1,2} \) matching \( r \). In the former case the result is the result of \( k(s) \), which is \( k(s_2) \), which is `true`, as required. In the latter case it suffices to show that `match r_1 s (fn cs' => match r cs' k)` evaluates to `true`. By the inductive hypothesis, it suffices to show that `match r s_2 k` evaluates to `true`. It is tempting at this stage to appeal to the inductive hypothesis to complete the proof — but we cannot because the regular expression argument is the `original` regular expression \( r \), and not some sub-expression of it!

What to do? In general there are two possibilities: fix the proof or find a counterexample to the theorem. Let’s try to fix the proof — it will help us to find the counterexample (the theorem as
stated, i.e., that the matcher behaves correctly on \texttt{Star}, is false). A natural attempt is to proceed by an “outer” induction on the structure of the regular expression (as we’ve done so far), together with an “inner” induction on the length of the string, the idea being that in the case of iteration we appeal to the inner inductive hypothesis to complete the proof — provided that the string \(s_{1,2}s_2\) can be shown to be shorter than the string \(s\). This is equivalent to showing that \(s_{1,1}\) is non-empty — but that could be false! For example, \(r\) might be \(1^*\), in which case our matcher loops forever.

What to do? Change the specification. The proof goes through provided that every regular expression is in \textit{standard form}, by which we mean that if \(r^*\) occurs within a regular expression, then the empty string is not in the language of \(r\). Given this condition, the proof goes through as outlined. You should carry out the proof for the case of iteration to check this claim. Remember that there are two parts to the proof: complete the proof for the case that there is a partitioning that leads to the continuation yielding \texttt{true} (sketched above), and for the case that there is no such partitioning. Consult the proof for the concatenation of regular expressions as a guide.

In the next section we will see how to convert any regular expression into standard form, so we can apply the algorithm as given above.

Another solution is to rule out matches of \(r\) against the empty string when matching \(r^*\) against any string. This never rules out a valid solution, but we can use the idea to force termination (which is the only the problem with the algorithm above). All cases remain the same, except for the case of \texttt{Star(r)}.

\[
\begin{align*}
| \text{match } (\text{Star}(r)) & \text{ cs } k = \\
& k \text{ cs orelse } \\
& \text{match } r \text{ cs (fn cs' => not (cs = cs') andalso match } (\text{Star}(r)) \text{ cs' } k) \\
\end{align*}
\]

We fail if \(cs = cs'\), which means that the initial segment of \(s\) matched by \(r\) must have been empty.

The correctness proof now works by two nested structural inductions: one on the structure of the regular expression \(r\) and one on the structure of the string we match against. This means that either (a) the regular expression has to get smaller (which it does in all cases except the last), or (b) if the regular expression stays the same, then the string has to get smaller. One can see that this is guaranteed in the modified program above since the continuation will always be called on a proper suffix of the original string.
5 Standardization

If we do not want to change the program, we can restrict the input to be in standard form. But have we lost something by making this restriction? Are there non-standard regular expressions of interest? What have we left out? The answer is nothing, because any regular expression can be brought into standard form! The idea is that before matching commences we rewrite the regular expression into another regular expression defining the same language and in standard form.

Here is how it is done. We rely on the equation $L(r) = L(\delta(r) + r^{-})$, where $\delta(r)$ is either 1 or 0 according to whether or not $L(r)$ contains the empty string, and where $r^{-}$ is defined so that $L(r^{-}) = L(r) \setminus \{ \epsilon \}$.

The functions $\delta(r)$ and $r^{-}$ are defined as follows.

\[
\begin{align*}
\delta(0) &= 0 \\
\delta(1) &= 1 \\
\delta(a) &= 0 \\
\delta(r_1 + r_2) &= \delta(r_1) \oplus \delta(r_2) \\
\delta(r_1 r_2) &= \delta(r_1) \otimes \delta(r_2) \\
\delta(r^*) &= 1
\end{align*}
\]

We define $r_1 \oplus r_2$ to be 1 if either $r_1$ or $r_2$ is 1, and 0 otherwise. We define $r_1 \otimes r_2$ to be 0 if either $r_1$ or $r_2$ is 0, and 1 otherwise.

Finally, we define $r^{-}$ as follows:

\[
\begin{align*}
0^{-} &= 0 \\
1^{-} &= 0 \\
a^{-} &= a \\
(r_1 + r_2)^{-} &= r_1^{-} + r_2^{-} \\
(r_1 r_2)^{-} &= \delta(r_1) r_2^{-} + r_1^{-} \delta(r_2) + r_1^{-} r_2^{-} \\
(r^*)^{-} &= r^{-} (r^{-})^+
\end{align*}
\]

The last two deserve comment. The non-empty strings matching $r_1 r_2$ are (1) the non-empty strings in $r_2$, in the case that $r_1$ contains the empty string, (2) the non-empty strings in $r_1$, in the case that $r_2$ contains the empty string, and (3) the concatenation of a non-empty string in $r_1$ followed by a non-empty string in $r_2$. Check that the given equation expresses these three conditions as a regular expression! The clause for iteration is motivated by the observation that the non-empty strings in the iteration $r^*$ are simple the non-zero iterations of the non-empty strings in $r$.

As an exercise, prove that $\delta(r)$ and $r^{-}$ have the required properties (stated above), that $\delta(r) + r^{-}$ is in standard form, and that $L(r) = L(\delta(r) + r^{-})$. We thus can replace $r$ by $\delta(r) + r^{-}$ without losing any matching ability and without needing to change our code from the first implementation of match given on page 4.
6 Conclusion

The example of regular expression matching illustrates a number of important programming concepts:

1. *Continuation-passing*: the use of higher-order functions as continuations.

2. *Proof-directed debugging*: the use of a breakdown in a proof attempt to discover an error in the code.

3. *Change of specification*: once we isolated the error, we had the choice of changing the *code* or changing the *specification*. Moral: debugging isn’t always a matter of hacking!

4. *Pre-processing*: to satisfy the more stringent specification we pre-processed the regular expression so that it satisfied the additional assumption required for correctness, without losing the generality of the matcher.