

Syntax Analysis, III

Comp 412



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Chapter 3 in EaC2e

The Classic Expression Grammar



0	Goal	\rightarrow	Expr
1	Expr	\rightarrow	Expr + Term
2		-	Expr - Term
3		-	Term
4	Term	\rightarrow	Term * Factor
5			Term / Factor
6			Factor
7	Factor	\rightarrow	<u>(Expr)</u>
8			<u>number</u>
9		-	<u>id</u>

This left-recursive expression grammar encodes standard algebraic precedence and left-associativity (which corresponds to left-to-right evaluation).

We refer to this grammar as either the classic expression grammar or the canonical expression grammar

➡ Both have the same acronym, CEG

Classic Expression Grammar, Left-recursive Version

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Top-down Parsing



The Algorithm

- A top-down parser starts with the root of the parse tree
- The root node is labeled with the goal symbol of the grammar

Construct the root node of the parse tree

Repeat until lower fringe of the parse tree matches the input string

- 1. At a node labeled with **NT** A, **select a produ**ction with A on its **LHS** and, for each symbol on its **RHS**, construct the appropriate child
- 2. When a terminal symbol is added to the fringe and it doesn't match the fringe, backtrack
- 3. Find the next node to be expanded

(label ∈ NT)

The key is selecting the right production in step 1

That choice should be guided by the input string

Top-down parsing with the **CEG**



With deterministic choices, the parse can expand indefinitely

Rule	Sentential Form	Input
_	Goal	↑ <u>x</u> - <u>2</u> * <u>y</u>
0	Expr	$\uparrow \underline{x} - \underline{2} * \underline{y}$ Consumes no input
1	Expr +Term	$2 \times 2 \times$
1	Expr + Term +Term	$\uparrow \underline{x} - \frac{1}{2} * \underline{y}$
1	Expr + Term +Term + Term	↑ <u>x</u> - <u>2</u> * <u>y</u>
1	and so on	$(\underline{x} + \underline{2} * \underline{y})$

This expansion doesn't terminate

- Wrong choice of expansion leads to non-termination
- *Non-termination* is a bad property for a parser to have
- Parser must make the right choice

Recursion in the **CEG**



0	Goal	\rightarrow	Expr
1	Expr	\rightarrow	Expr + Term
2		-	Expr - Term
3		-	Term
4	Term	\rightarrow	Term * Factor
5			Term / Factor
6			Factor
7	Factor	\rightarrow	<u>(Expr)</u>
8			<u>number</u>
9			<u>id</u>

Classic Expression Grammar, Left-recursive Version The problems with unbounded expansion arise from left-recursion in the **CEG**

- LHS symbol cannot derive, in one or more steps, a sentential form that starts with the LHS
- Left recursion is incompatible with top-down leftmost derivations[†]
- A leftmost derivation matches the scanner's left-to-right scan

We need a technique to transform left recursion into right recursion (and, possible, the reverse)

[†]Similarly, right recursion is incompatible with rightmost derivaions



To remove left recursion, we can transform the grammar

Consider a grammar fragment of the form

where neither α nor β start with Fee

Language is β followed by 0 or more α 's

We can rewrite this fragment as

Fee
$$\rightarrow \beta$$
 Fie

Fie $\rightarrow \alpha$ Fie

 $\mid \epsilon$

where Fie is a new non-terminal

The new grammar defines the same language as the old grammar, using only right recursion.

Added a reference to the empty string

New Idea: the ϵ production



The expression grammar contains two cases of left recursion

Applying the transformation yields

Expr
$$\rightarrow$$
 Term Expr'Term \rightarrow Factor Term'Expr' \rightarrow + Term Expr'Term' \rightarrow * Factor Term'| - Term Expr'| / Factor Term'| ϵ | ϵ

These fragments use only right recursion



Substituting them back into the grammar yields

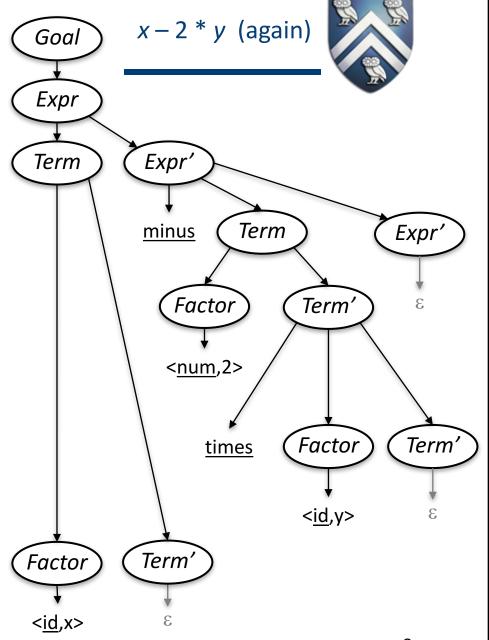
```
Goal \rightarrow Expr
    Expr \rightarrow Term Expr'
    Expr' \rightarrow + Term Expr'
                   - Term Expr'
3
4
                   3
    Term \rightarrow Factor Term'
5
    Term' \rightarrow * Factor Term'
                   / Factor Term'
                   3
    Factor
              \rightarrow (Expr)
9
                   number
10
11
                   id
```

Right-recursive expression grammar

- This grammar is correct, if somewhat counter-intuitive.
- A top-down parser will terminate using it.
- A top-down parser may need to backtrack with it.
- It is left associative, as was the original

Parsing with RR CEG

Rule	Sentential Form
_	Goal
0	Expr
1	Term Expr'
5	Factor Term' Expr'
11	<id,<u>x> <i>Term' Expr'</i></id,<u>
8	<id,<u>x> <i>Expr'</i></id,<u>
3	<id,<u>x> - <i>Term Expr'</i></id,<u>
5	<id,<u>x> - Factor Term' Expr'</id,<u>
10	<id,<u>x> - <num,<u>2> <i>Term' Expr'</i></num,<u></id,<u>
6	<id,<u>x> - <num,<u>2> * <i>Factor Term' Expr'</i></num,<u></id,<u>
11	<id,<u>x> - <num,<u>2> * <id,y> <i>Term' Expr'</i></id,y></num,<u></id,<u>
8	<id,<u>x> - <num,<u>2> * <id,y> <i>Expr'</i></id,y></num,<u></id,<u>
4	<id,<u>x> - <num,<u>2> * <id,y></id,y></num,<u></id,<u>



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"LHS symbol cannot derive, in one or more steps, a sentential form that starts with the LHS"



The general algorithm to eliminate left recursion:

What about more general, indirect left recursion?

```
arrange the NTs into some order A_1, A_2, ..., A_n for i \leftarrow 2 to n for s \leftarrow 1 to i-1 { replace each production A_i \rightarrow A_s \gamma with A_i \rightarrow \delta_1 \gamma \mid \delta_2 \gamma \mid \ldots \mid \delta_k \gamma, where A_s \rightarrow \delta_1 \mid \delta_2 \mid \ldots \mid \delta_k are all the current productions for A_s } eliminate any immediate left recursion on A_i using the direct transformation
```

The algorithm assumes that the initial grammar has no cycles $(A_i \Rightarrow^+ A_i)$, and no epsilon productions

EaC2e shows the *i* loop running from 1 to n, so 1st iteration of inner loop never executes.



How does this algorithm work?

- 1. Impose arbitrary order on the non-terminals
- 2. Outer loop cycles through **NT** in order
- 3. Inner loop ensures that a production expanding A_i cannot directly derive a non-terminal A_s at the start of its **RHS**, for s < i
- 4. Last step in outer loop converts any direct recursion on A_i to right recursion using the transformation showed earlier
- 5. New non-terminals are added at the end of the order & have no left recursion; they will have right recursion on themselves

At the start of the i^{th} outer loop iteration For all k < i, no production that expands A_k begins with a non-terminal A_s , for s < k

Eliminating Indirect Left Recursion



Example Grammar

- This grammar generates <u>a</u> (<u>ba</u>)*
- Subscripts indicate the imposed order
- Indirect left recursion is $A \rightarrow B \rightarrow A$

```
arrange the NTs into some order A_1, A_2, ..., A_n for i \leftarrow 2 to n for s \leftarrow 1 to i-1 { replace each production A_i \rightarrow A_s \gamma with A_i \rightarrow \delta_1 \gamma \mid \delta_2 \gamma \mid \dots \mid \delta_k \gamma, where A_s \rightarrow \delta_1 \mid \delta_2 \mid \dots \mid \delta_k are all the current productions for A_s } eliminate any immediate left recursion on A_i using the direct transformation
```

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Eliminating Indirect Recursion



General algorithm is a diagonalization, similar to LU decomposition

	NT ₁	NT ₂	NT ₃
NT ₁	0	1	0
NT ₂	0	0	1
NT ₃	0	1	0
Original Grammar			

- If [i, j] element is k, then NT_i derives NT_j in a the k^{th} position of its **RHS**
- Diagonal elements represent self-recursion
- Upper triangle represents forward references in the order
- Lower triangle represents backward references in the order
 - Inner loop systematically zeroes the lower triangle
 - Last step of outer loop eliminates ones on the diagonal

Eliminating Indirect Left Recursion



Applying the Algorithm

	s = 1	2	3
i = 1	forward	forward	forward
2	no action	forward	forward
3	no action	see below	forward

For B_3 (i = 3) and A_2 (s = 2):

First, it rewrites rule 3 with

$$B_3 \rightarrow B_3 \underline{a} \underline{b}$$

 $\underline{a} \underline{b}$

Algorithm iterates through the possible backward references.

- Handles indirect left recursion with forward substitution of RHS for LHS
- Handles direct left recursion with the transformation

Next, it uses the rule for immediate left recursion to rewrite this pair of rules as:

$$B_3 \rightarrow \underline{a} \ \underline{b} \ C$$

$$C \rightarrow \underline{a} \ \underline{b} \ C$$

$$\mid \varepsilon$$

Eliminating Indirect Left Recursion



Before and After

0
$$Start_1 \rightarrow A_2$$

1 $A_2 \rightarrow B_3 \underline{a}$
2 $I \underline{a}$
3 $B_3 \rightarrow \underline{a} \underline{b} C$
4 $C \rightarrow \underline{a} \underline{b} C$
5 $I \underline{\epsilon}$

Original Grammar

Transformed Grammar

The transformed grammar generates <u>a</u> (<u>ba</u>)*

Eliminating Indirect Recursion



	NT ₁	NT ₂	NT ₃
NT ₁	0	1	0
NT ₂	0	0	1
NT ₃	0	1	0
Original Grammar			

$$NT_1$$
 NT_2
 NT_3
 NT_4
 NT_1
 0
 1
 0
 0

 NT_2
 0
 0
 1
 0

 NT_3
 0
 0
 0
 3

 NT_4
 0
 0
 0
 3

 Transformed Grammar

Eliminating Indirect Left Recursion



Before and After

0
$$Start_1 \rightarrow A_2$$

1 $A_2 \rightarrow B_3 \underline{a}$
2 $I \underline{a}$
3 $B_3 \rightarrow \underline{a} \underline{b} C$
4 $C \rightarrow \underline{a} \underline{b} C$
5 $I \underline{\epsilon}$

Original Grammar

Transformed Grammar

- The transformed grammar is still not what does "predictively parsable" even mean?

 What does "predictively parsable" even mean?



If a top-down parser picks the "wrong" production, it may need to backtrack. The alternative is to <u>look ahead in the input & use context to pick the correct production.</u>

How much lookahead is needed for a context-free grammar?

- In general, an arbitrarily large amount
- Use the Cocke-Younger, Kasami algorithm or Earley's algorithm

Fortunately,

- Large subclasses of CFGs can be parsed with limited lookahead
- Most programming language constructs fall in those subclasses

Among the interesting subclasses are LL(1) and LR(1) grammars

We will focus, for now, on LL(1) grammars & predictive parsing

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Basic idea

Given A $\rightarrow \alpha \mid \beta$, the parser should be able to choose between $\alpha \& \beta$

FIRST sets

For some RHS $\alpha \in G$, define FIRST(α) as the set of tokens that appear as the first symbol in some string that derives from α That is, $\underline{x} \in \text{FIRST}(\alpha)$ iff $\alpha \Rightarrow^* \underline{x} \gamma$, for some γ

We will defer the problem of how to compute **FIRST** sets for the moment and assume that they are given.

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Basic idea

Given A $\rightarrow \alpha \mid \beta$, the parser should be able to choose between $\alpha \& \beta$

FIRST sets

For some RHS $\alpha \in G$, define FIRST(α) as the set of tokens that appear as the first symbol in some string that derives from α That is, $\underline{x} \in \text{FIRST}(\alpha)$ iff $\alpha \Rightarrow^* \underline{x} \gamma$, for some γ

The Predictive, or LL(1), Property

If $A \to \alpha$ and $A \to \beta$ both appear in the grammar, we would like

$$\mathsf{First}(\alpha) \cap \mathsf{First}(\beta) = \emptyset$$

This would allow the parser to make a correct choice with a lookahead of exactly one symbol!

This rule is intuitive. Unfortunately, it is **not correct**, because it does not handle ε rules. See the next slide



What about &-productions?

⇒ They complicate the definition of the predictive, or **LL(1)** property

If $A \to \alpha$ and $A \to \beta$ and $E \in FIRST(\alpha)$, then we need to ensure that $FIRST(\beta)$ is disjoint from FOLLOW(A), too, where

FOLLOW(A) is the set of terminal symbols that can appear immediately after A in some sentential form

Define **FIRST**⁺($A \rightarrow \alpha$) as

Note that **FIRST**⁺ is defined over productions, not **NT**s

- FIRST(α) \cup FOLLOW(A), if $\varepsilon \in$ FIRST(α)
- **FIRST**(α), otherwise

Then, a grammar is **LL(1)** iff $A \to \alpha$ and $A \to \beta$ implies that $\mathbf{FIRST}^+(A \to \alpha) \cap \mathbf{FIRST}^+(A \to \beta) = \emptyset$

The **LL(1)** Property



Our transformed grammar for <u>a</u> (<u>ba</u>)* fails the test

Transformed Grammar

Derivations for A begin with a:

$$A \rightarrow B \underline{a} \mid \underline{a}$$

 $B \rightarrow \underline{a}$
FIRST⁺ $(A \rightarrow B \underline{a}) = \{ \underline{a} \}$
FIRST⁺ $(A \rightarrow \underline{a}) = \{ \underline{a} \}$

These sets are identical, rather than disjoint. So, left recursion elimination did not produce a grammar with the LL(1) condition — a grammar that would be predictively parsable.

The **LL(1)** Property



Can we write an LL(1) grammar for \underline{a} (\underline{ba})*?

Transformed Grammar

LL(1) Grammar for a (ba)*

What If My Grammar Is Still Not LL(1)?



Can we transform a non-LL(1) grammar into an LL(1) grammar?

- In general, the answer is no
- In some cases, however, the answer is yes

Assume a grammar G with productions $A \rightarrow \alpha \beta_1$ and $A \rightarrow \alpha \beta_2$

• If α derives anything other than ϵ , then

$$\mathsf{FIRST}^+(A \to \alpha \, \beta_1) \cap \mathsf{FIRST}^+(A \to \alpha \, \beta_2) \neq \emptyset$$

And the grammar is not LL(1)

If we pull the common prefix, α , into a separate production, we **may** make the grammar LL(1).

$$A \rightarrow \alpha A'$$
, $A' \rightarrow \beta_1$, and $A' \rightarrow \beta_2$

Now, if First⁺($A' \rightarrow \beta_1$) \cap First⁺($A' \rightarrow \beta_2$) = \emptyset , G may be LL(1)

What If My Grammar Is Not LL(1)?



Left Factoring

```
For each NT A find the longest prefix \alpha common to 2 or more alternatives for A if \alpha \neq \varepsilon then replace all of the productions A \rightarrow \alpha \beta_1 \mid \alpha \beta_2 \mid \alpha \beta_3 \mid \dots \mid \alpha \beta_n \mid \gamma with A \rightarrow \alpha A' \mid \gamma A' \rightarrow \beta_1 \mid \beta_2 \mid \beta_3 \mid \dots \mid \beta_n Repeat until no NT has alternative rhs' with a common prefix
```

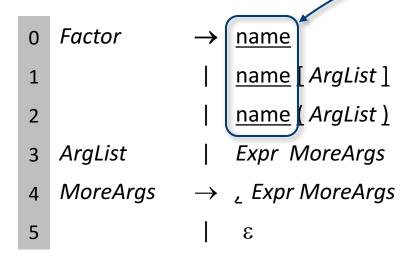
This transformation makes some grammars into **LL(1)** grammars There are languages for which no **LL(1)** grammar exists

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Left Factoring Example



Consider a short grammar for subscripted identifiers



Common prefix is <u>name</u>. Introduce a new production

Factor → <u>name</u> Arguments

And expand Arguments into the three alternatives.

To choose between expanding by 0, 1, or 2, a top-down parser must look beyond the <u>name</u> to see the next word.

$$FIRST^{+}(0) = FIRST^{+}(1) = FIRST^{+}(2) = \{ \underline{name} \}$$

Left factoring productions 0, 1, & 2 fixes this problem.

Left factoring cannot fix all non-LL(1) grammars.

Left Factoring Example



After left factoring:

0	Factor	\rightarrow	name Args
1	Args	\rightarrow	[ArgList]
2		1	(ArgList)
3			ε
4	ArgList		Expr MoreArgs
5	MoreArgs	\rightarrow	_ Expr MoreArgs
6		1	3

Left factoring can transform some non-LL(1) grammars into LL(1) grammars.

There are languages for which no **LL(1)** grammar exists.

See exercise 3.12 in EaC2e.

Clearly, FIRST⁺(1) & FIRST⁺(2) are disjoint.

If neither (or [can follow Factor, then FIRST+(3) will be, too.

This tiny grammar now has the **LL(1)** property



Given a grammar that has the LL(1) property

- We can write a simple routine to recognize an instance of each LHS
- Code is patterned, simple, & fast

Consider
$$A \rightarrow \beta_1 \mid \beta_2 \mid \beta_3$$
, with FIRST+ $(A \rightarrow \beta_i) \cap FIRST$ + $(A \rightarrow \beta_i) = \emptyset$ if $i \neq j$

```
/* find an A */
if (current_word \in FIRST+(A \rightarrow \beta_1))
  find a \beta_1 and return true
else if (current_word \in FIRST+(A \rightarrow \beta_2))
  find a \beta_2 and return true
else if (current_word \in FIRST+(A \rightarrow \beta_3))
  find a \beta_3 and return true
else
  report an error and return false
```

Grammars that have the LL(1) property are called **predictive grammars** because the parser can "predict" the correct expansion at each point in the parse.

Parsers that capitalize on the **LL(1)** property are called **predictive parsers**.

One kind of predictive parser is the recursive descent parser.

Of course, there is more detail to "find a β_i " — typically a recursive call to another small routine (see pp. 108--111 in EaC2e)

Recursive Descent Parsing



Recall the expression grammar, after transformation

0	Goal	\rightarrow	Expr
1	Expr	\rightarrow	Term Expr'
2	Expr'	\rightarrow	+ Term Expr'
3			- Term Expr'
4			3
5	Term	\rightarrow	Factor Term'
6	Term'	\rightarrow	* Factor Term'
7			/ Factor Term'
8			ε
9	Factor	\rightarrow	<u>(Expr)</u>
10			<u>number</u>
11			<u>id</u>

This grammar leads to a parser that has six **mutually recursive** routines:

- 1. Goal
- 2. Expr
- 3. EPrime
- 4. Term
- 5. TPrime
- 6. Factor

Each routine recognizes an *rhs* for that **NT**.

The term **descent** refers to the direction in which the parse tree is built.

Recursive Descent Parsing

(Procedural)



A couple of routines from the expression parser

```
Goal()
    token \leftarrow next \ token();
    if (Expr() = true & token = EOF)
      then next compilation step;
      else
          report syntax error;
          return false;
Expr()
  if (Term( ) = false)
    then return false;
    else return Eprime();
looking for <u>number</u>, <u>identifier</u>, or (,
found token instead, or failed to find
Expr or ) after (
```

```
Factor()
 if (token = number) then
    token \leftarrow next \ token();
    return true;
 else if (token = identifier) then
     token \leftarrow next \ token();
     return true;
 else if (token = lparen)
     token \leftarrow next \ token();
     if (Expr() = true & token = rparen) then
       token \leftarrow next \ token();
       return true;
 // fall out of if statement
  report syntax error;
     return false;
```

Recursive Descent

Page 111 in EaC2e sketches a recursive descent parser for the RR CEG.

- One routine per NT
- Check each RHS by checking each symbol
- Includes ε-productions

Your lab 2 parsers are not much more complex than the example.

```
Main()
                                       TPrime()
   /* Goal \rightarrow Expr */
                                           /* Term' \rightarrow \times Factor Term' */
   word \leftarrow NextWord();
                                           /* Term' \rightarrow \div Factor Term' */
   if (Expr())
                                           if (word = \times or word = \div)
     then if (word = eof)
                                             then begin;
        then report success;
                                               word ← NextWord();
        else Fail();
                                               if (Factor())
                                                 then return TPrime();
Fail()
                                                 else Fail();
   report syntax error;
                                             end;
   attempt error recovery or exit;
                                           else if (word = + or word = - or
Expr()
                                                    word = ) or word = eof)
   /* Expr \rightarrow Term Expr' */
                                            /* Term' \rightarrow \epsilon */
   if (Term())
                                             then return true;
     then return EPrime();
                                             else Fail();
     else Fail();
                                       Factor()
EPrime()
                                           /* Factor \rightarrow ( Expr ) */
   /* Expr' \rightarrow + Term Expr' */
                                           if (word = ( ) then begin;
   /* Expr' \rightarrow - Term Expr' */
                                             word ← NextWord();
   if (word = + or word = -)
     then begin;
                                             if (not Expr())
        word ← NextWord();
                                               then Fail();
       if (Term())
                                             if (word \neq ) )
          then return EPrime();
                                               then Fail();
          else Fail();
                                             word ← NextWord();
     end:
                                             return true;
   else if (word = ) or word = eof)
                                           end;
     /* Expr' \rightarrow \epsilon */
                                           /* Factor \rightarrow num */
     then return true;
     else Fail();
                                           /* Factor \rightarrow name */
                                           else if (word = num or
Term()
                                                      word = name)
   /* Term → Factor Term' */
                                             then begin;
   if (Factor())
                                               word ← NextWord();
     then return TPrime();
                                               return true;
     else Fail();
                                             end;
                                           else Fail();
```

Top-Down Recursive Descent Parser



At this point, you almost have enough information to build a top-down recursive-descent parser

- Need a right-recursive grammar that meets the LL(1) condition
 - Can use left-factoring to eliminate common prefixes
 - Can transform direct left recursion into right recursion
 - Need a general algorithm to handle indirect left recursion
- Need algorithms to construct FIRST and FOLLOW

Next Class

- Algorithms for FIRST and FOLLOW
- Algorithm for generalized elimination of left recursion
- An LL(1) skeleton parser, table, and table-construction algorithm

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