

Syntax Analysis

syntax analysis
covers
lecture
This.

- ▶ Words (tokens) need to appear in the right order to form correct sentences (programmes)
- ▶ Syntax analyser commonly called *parser*.
- ▶ Analyses if *token* sequence forms declarations, statements, etc..
- ▶ Essential tool and theory used here: *Context-free languages*.

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(semantic error)

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- ▶ Syntax analyser commonly called *parser*.
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Context-Free Grammars

Definition (Context-Free Grammar)

A context-free grammar is given by

- ▶ a set of *terminals* Σ (the alphabet of the resulting language),
- ▶ a set of *nonterminals* N ,
- ▶ a start symbol $S \in N$
- ▶ a set P of *productions* $X \rightarrow \alpha$ with a single nonterminal $X \in N$ on the left and a (possibly empty) right-hand side $\alpha \in (\Sigma \cup N)^*$ of terminals and nonterminals.

$$G : S \rightarrow aSB$$

$$S \rightarrow \varepsilon$$

$$B \rightarrow Bb$$

$$B \rightarrow b$$

- ▶ Context-free grammars describe (context-free) languages over their terminal alphabet Σ .
- ▶ Each nonterminal describes a set of words.
- ▶ Nonterminals *recursively* refer to each other. (cannot do that with regular expressions)

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Example, Derivation of Words

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$$S = \underbrace{\{\varepsilon\}}_{(2)} \cup \underbrace{\{a \cdot x \cdot y \mid x \in S, y \in B\}}_{(1)}$$

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- ▶ Starting from the start symbol S ,...
- ▶ words of the language can be *derived*...
- ▶ by successively replacing nonterminals with right-hand sides.

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Derivation Relation

Definition (Derivation \Rightarrow)

Let $G = (\Sigma, N, S, P)$ be a grammar.

The derivation relation \Rightarrow on $(\Sigma \cup N)^*$ is defined as follows:

- ▶ For an $X \in N$ and a production $(X \rightarrow \beta) \in P$ of the grammar, $\alpha_1 X \alpha_2 \Rightarrow \alpha_1 \beta \alpha_2$ for all $\alpha_1, \alpha_2 \in (\Sigma \cup N)^*$.
- ▶ Describes one derivation step using one of the productions.
- ▶ If productions numbered: can add *used production* number (\xRightarrow{k}).
- ▶ *left-most* (or *right-most*) derivation indicated by subscript, $\xRightarrow[k]{}$.

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Extended Derivation Relation (Transitive Closure)

Definition (Transitive Derivation Relation \Rightarrow^*)

Let $G = (\Sigma, N, S, P)$ be a grammar and \Rightarrow its derivation relation. The transitive derivation relation of G is defined as:

- ▶ $\alpha \Rightarrow^* \alpha$ for all $\alpha \in (\Sigma \cup N)^*$ (derived in 0 steps).
- ▶ For $\alpha, \beta \in (\Sigma \cup N)^*$, $\alpha \Rightarrow^* \beta$ if there exists a $\gamma \in (\Sigma \cup N)^*$ such that $\alpha \Rightarrow \gamma$ and $\gamma \Rightarrow^* \beta$ (derived in at least one step).

More generally, this is known as the *transitive closure* of a relation. In our previous examples, we saw $S \Rightarrow^* \text{aaabbbb}$ and $S \Rightarrow^* \text{aabbbb}$. That means, both words are *in the language of G* .

Definition (Language of a Grammar)

Let $G = (\Sigma, N, S, P)$ be a grammar and \Rightarrow its derivation relation. The language of the grammar is $L(G) = \{w \in \Sigma^* \mid S \Rightarrow^* w\}$.

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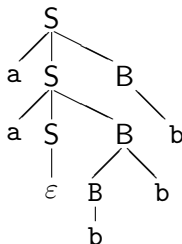
Syntax Tree and Directed Derivation

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- ▶ Syntax trees describe the derivation independent of the direction.
- ▶ Left-most derivation: *depth-first left-to-right tree traversal*.
- ▶ $S \xRightarrow{1} \underline{aSB} \xRightarrow{1} \underline{aaSB} \xRightarrow{2} \underline{aaSB}B \xRightarrow{3} \underline{aaBB} \xRightarrow{3} \underline{aaBb}B \xRightarrow{4} \underline{aabb}B \xRightarrow{4} \underline{aabb}b$

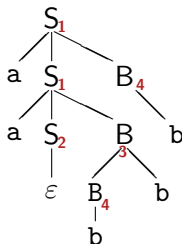
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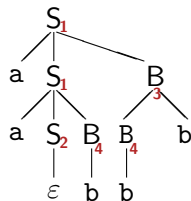
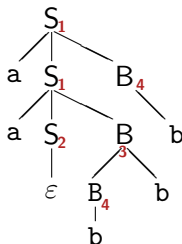
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Nevertheless: $S \Rightarrow^* aabbb$ can be derived in two ways.

- ▶ $S \xRightarrow{1} \underline{aSB} \xRightarrow{1} \underline{aaSB} \xRightarrow{2} \underline{aa_BB} \xRightarrow{4} \underline{aabB} \xRightarrow{3} \underline{aabbB} \xRightarrow{4} \underline{aabbb}$

The grammar G is said to be *ambiguous*.

Handling or Removing Ambiguity

$$E \rightarrow E + E \mid E - E$$

$$E \rightarrow E * E \mid E / E$$

$$E \rightarrow a \mid (E)$$

- ▶ In many cases, grammars are rewritten to remove ambiguity.
 - ▶ Sometimes, ambiguity is resolved by changes in the parser.
- ▶ In both cases: *Precedence* and *associativity* guide decisions.

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Problems with this grammar:

1. Ambiguous derivation of $a - a - a$.
Want a *left-associative* interpretation, $(a - a) - a$.
2. Ambiguous derivation of $a - a * a$.
Want *precedence* of $*$ over $+$, $a + (a \cdot a)$.

Establishing the Intended Operator Precedence

- ▶ Introduce *precedence levels* to get operator priorities
- ▶ New Grammar: *own nonterminal for each level*
- ▶ Here: 2 levels, mathematical interpretation:
 $a - a \cdot a = a - (a \cdot a)$ Precedence of $*$ and $/$ over $+$ and $-$.
More precedence levels could be added (exponentiation).

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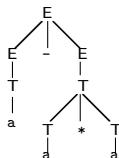
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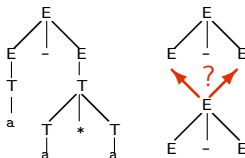
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About Operator Associativity

Definition (Operator Associativity)

A binary operator \oplus is called

- ▶ left-associative, if the expression $a \oplus b \oplus c$ should be evaluated from left to right, as $(a \oplus b) \oplus c$.
- ▶ right-associative, if the expression $a \oplus b \oplus c$ should be evaluated from right to left, as $a \oplus (b \oplus c)$.
- ▶ non-associative, if expressions $a \oplus b \oplus c$ are disallowed, (and associative, if both directions lead to the same result).

Examples:

- ▶ Arithmetic operators like `-` and `/`: left-associative.
- ▶ List constructors in functional languages: right-associative.
- ▶ Function arrows in types: right-associative.
- ▶ 'less-than' (`<`) in C:

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if (3 < 2 < 1) { fprintf(stdout, "Awesome!\n"); }
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Establishing the Intended Associativity

- ▶ *limit recursion* to the intended side
- ▶ When operators are indeed *associative*, use same associativity as comparable operators.
- ▶ *Cannot mix* left- and right-associative operators at same precedence level.

$$E \rightarrow E + E \mid E - E \mid T$$

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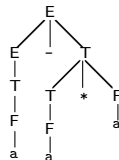
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Parsing

Token sequence



Syntax analysis



Syntax tree

- ▶ Producing a *syntax tree* from a token sequence.
- ▶ Representation of the tree: left-most or right-most derivation

Two approaches

- ▶ *Top-Down Parsing*: Builds syntax tree from the *root*.
 - ▶ Called *predictive parsing*: needs to “guess” used productions.
 - ▶ Builds a left-most derivation sequence
- ▶ *Bottom-Up Parsing*: Builds syntax tree from the *leaves*.
 - ▶ Called *shift/reduce parsing*: shifts input to stack,
 - ▶ reduces right-hand side to left-hand nonterminal,
 - ▶ until start symbol reached.
 - ▶ Builds a reversed right-most derivation sequence
- ▶ Both: use stack to keep track of derivation.

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Top-Down Parsing with look-ahead 1: “LL(1)”

- First, make the *grammar unambiguous*.

$$G' : S \rightarrow aSB \mid \varepsilon$$

$$B \rightarrow Bb \mid b$$

$$G' : S \rightarrow aSb \mid B \quad (1, 2)$$

$$B \rightarrow bB \mid \varepsilon \quad (3, 4)$$

Ambiguous!

OK (and same language).

- Compute information to *choose the right production*.
For each right-hand side: *What input token can come first?*
- Special attention to empty right-hand sides. *What can follow?*
- Then, we can decide from a *look-ahead of one token*, which production to use. Choose a production $N \rightarrow \alpha$ if:
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Input: aabbb: $S \xRightarrow{1} \underline{a}Sb \xRightarrow{1} \underline{aa}Sbb \xRightarrow{2} \underline{aa}\underline{B}bb \xRightarrow{3} \underline{aab}\underline{B}bb \xRightarrow{4} \underline{aabbb}$

FIRST Sets and Property NULLABLE

Definition (FIRST set and NULLABLE)

Let $G = (\Sigma, N, S, P)$ a grammar and \Rightarrow its derivation relation.

For all sequences of grammar symbols $\alpha \in (\Sigma \cup N)^*$, define

- ▶ $\text{FIRST}(\alpha) = \{c \in \Sigma \mid \exists_{\beta \in (\Sigma \cup N)^*} : \alpha \Rightarrow^* c\beta\}$
(all input tokens at the start of what can be derived from α)
- ▶ $\text{NULLABLE}(\alpha) = \begin{cases} \text{true} & , \text{ if } \alpha \Rightarrow^* \epsilon \\ \text{false} & , \text{ otherwise} \end{cases}$

Computing NULLABLE and FIRST for right-hand sides:

- ▶ Set equations recursively use results for nonterminals.
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Computing NULLABLE by Set Equations

$\text{NULLABLE}(\varepsilon)$	$=$	<i>true</i>
$\text{NULLABLE}(a)$	$=$	<i>false</i> for $a \in \Sigma$
$\text{NULLABLE}(\alpha\beta)$	$=$	$\text{NULLABLE}(\alpha) \wedge \text{NULLABLE}(\beta)$ for $\alpha, \beta \in (\Sigma \cup N)^*$
$\text{NULLABLE}(N)$	$=$	$\text{NULLABLE}(\alpha_1) \vee \dots \vee \text{NULLABLE}(\alpha_n)$, using all productions for N , $N \rightarrow \alpha_i$ ($i \in \{1..n\}$)

► Equations for nonterminals of the grammar:

$G' : S \rightarrow aSb \mid B$	$\text{NULLABLE}(S) = \text{NULLABLE}(aSb) \vee \text{NULLABLE}(B)$
$B \rightarrow bB \mid \varepsilon$	$\text{NULLABLE}(B) = \text{NULLABLE}(bB) \vee \text{NULLABLE}(\varepsilon)$

► Equations for the right-hand side

$\text{NULLABLE}(aSb)$	$=$	$\text{NULLABLE}(a) \wedge \text{NULLABLE}(S) \wedge \text{NULLABLE}(b)$
$\text{NULLABLE}(B)$	$=$	$\text{NULLABLE}(B)$
$\text{NULLABLE}(bB)$	$=$	$\text{NULLABLE}(b) \wedge \text{NULLABLE}(B)$
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Compute smallest solution of system, starting by *false* for all.

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$\text{NULLABLE}(aSb)$	$=$	$\text{NULLABLE}(a) \wedge \text{NULLABLE}(S) \wedge \text{NULLABLE}(B) = \text{false}$
$\text{NULLABLE}(B)$	$=$	$\text{NULLABLE}(B)$ (does not contribute)
$\text{NULLABLE}(bB)$	$=$	$\text{NULLABLE}(b) \wedge \text{NULLABLE}(B) = \text{false}$
$\text{NULLABLE}(\varepsilon)$	$=$	<i>true</i>

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Computing FIRST by Set Equations

$$\begin{aligned}\text{FIRST}(\varepsilon) &= \emptyset \\ \text{FIRST}(a) &= a \text{ for } a \in \Sigma \\ \text{FIRST}(\alpha\beta) &= \begin{cases} \text{FIRST}(\alpha) \cup \text{FIRST}(\beta) & , \text{ if NULLABLE}(\alpha) \\ \text{FIRST}(\alpha) & , \text{ otherwise} \end{cases} \\ \text{FIRST}(N) &= \text{FIRST}(\alpha_1) \cup \dots \cup \text{FIRST}(\alpha_n), \\ &\quad \text{using all productions for } N, N \rightarrow \alpha_i \ (i \in \{1..n\})\end{aligned}$$

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FOLLOW Sets for Nonterminals

FIRST Sets sometimes not sufficient for parsing.

Especially, suppose a production $X \rightarrow \alpha$ and $\text{NULLABLE}(\alpha)$. If the *look-ahead can follow* X , this production should be chosen. The FIRST set of α cannot provide this information.

Definition (FOLLOW Set of a Nonterminal)

Let $G = (\Sigma, N, S, P)$ a grammar and \Rightarrow its derivation relation.
For each nonterminal $X \in N$, define

- ▶ $\text{FOLLOW}(X) = \{c \in \Sigma \mid \exists_{\alpha, \beta \in (\Sigma \cup N)^*} : S \Rightarrow^* \alpha \underline{X} c \beta\}$
(all input tokens that follow X in sequences derivable from S)

To recognise the end of the input, we also extend the grammar with a new start symbol S' , a new character $\$$ and a production $S' \rightarrow S\$$.

Thereby, we always have $\$ \in \text{FOLLOW}(S)$.

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Set Equations for FOLLOW Sets

FOLLOW sets solve a *collection of set constraints*.

Constraints derived from *right-hand sides* of grammar productions

For $X \in N$, consider all productions $Y \rightarrow \alpha X \beta$ where X occurs on the right.

- ▶ $\text{FIRST}(\beta) \subseteq \text{FOLLOW}(X)$
- ▶ If $\text{NULLABLE}(\beta)$ or $\beta = \varepsilon$: $\text{FOLLOW}(Y) \subseteq \text{FOLLOW}(X)$

If X occurs several times, each occurrence contributes separate equations.

Simple Example:

$S' \rightarrow S\$$...	$\text{FIRST}(\$) = \{\$ \}$	$\subseteq \text{FOLLOW}(S)$
$S \rightarrow aSb$...	$\text{FIRST}(b) = \{b \}$	$\subseteq \text{FOLLOW}(S)$
$S \rightarrow B$...	$\text{FOLLOW}(S)$	$\subseteq \text{FOLLOW}(B)$
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$B \rightarrow \varepsilon$...	(nothing)	

Solve iteratively, starting by \emptyset for all nonterminals.

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$$\curvearrowright \text{FOLLOW}(S) = \text{FOLLOW}(B) = \{\$, b\}$$

Putting it Together: Look-ahead Sets and LL(1)

After computing `NULLABLE` and `FIRST` for all right-hand sides and `FOLLOW` for all nonterminals, a parser can be constructed.

Definition (Look-ahead Sets of a Grammar)

For every production $X \rightarrow \alpha$ of a grammar, we define the Look-ahead set of the production as:

$$\begin{aligned} \blacktriangleright la(X \rightarrow \alpha) = \\ \begin{cases} \text{FIRST}(\alpha) \cup \text{FOLLOW}(X) & , \text{ if } \text{NULLABLE}(\alpha) \\ \text{FIRST}(\alpha) & , \text{ otherwise} \end{cases} \end{aligned}$$

LL(1) Grammars

If for each nonterminal $X \in N$, the productions' look-ahead sets are disjoint, a syntax tree can be built with one token look-ahead. The grammar is then called LL(1) (*left-to-right, left-most, look-ahead 1*).

The parser can then predict the next production from look-ahead.

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Examples

The grammar we have used in our example is not LL(1):

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Solution: Separate generation of additional bs at the end.

$$\begin{array}{llll} G' : S & \rightarrow & AB & la(S \rightarrow AB) = \text{FIRST}(AB) \cup \text{FOLLOW}(S) = \{a, b, \$\} \\ & A & \rightarrow & aAb & la(A \rightarrow aAb) = \text{FIRST}(aAb) = \{a\} \\ & A & \rightarrow & \varepsilon & la(A \rightarrow \varepsilon) = \text{FIRST}(\varepsilon) \cup \text{FOLLOW}(A) = \{b, \$\} \\ & B & \rightarrow & bB & la(B \rightarrow bB) = \text{FIRST}(bB) = \{b\} \\ & B & \rightarrow & \varepsilon & la(B \rightarrow \varepsilon) = \text{FIRST}(\varepsilon) \cup \text{FOLLOW}(B) = \{\$\} \end{array}$$

Recursive Descent Parsing (Pseudo-Code)

Recursive Procedures keep track of the parse in the *call stack*.
Each procedure recursively calls parsers for the right-hand side.
Whenever a production is used, its number is added to the output.

```
fun parseS () =  
  (* check look-ahead set for S->AB *)  
  if next = 'a' or next = 'b' or next = '$' then  
    (* Follow the production *)  
    print("1"); parseA(); parseB(); match('$')  
  else error("unexpected input " ^ next)  
and parseA () =  
  (* branch on look-ahead a: A->aAb, b$: A-> *)  
  if next = 'a' then (* Follow the production *)  
    print("2"); match('a'); parseA(); match('b')  
  else if next = 'b' or next = '$' then print("3");  
    else error("unexpected input " ^ next)  
and parseB () =  
  (* branch on look-ahead b: B->bB, $: B-> *)  
  if next = 'b' then  
    (* Follow the production *)  
    print("4"); match('b'); parseB()  
  else if next = '$' then print("5")  
    else error("unexpected input " ^ next)
```

Table-Driven LL(1) Parsing

- ▶ *Stack*, contains unprocessed part of production, initially: $S\$$.
- ▶ *Parser Table*: action to take, depending on stack and next input
- ▶ *Actions* (pop consumes input, derivation only reads it)
 - Pop**: remove terminal from stack (on matching input).
 - Derive**: pop nonterminal from stack, push right-hand side in table.
- ▶ Accept input when stack and end of input.

Stack:	Look-ahead/Input:		
	a	b	\$
S	AB, 1	AB, 1	AB, 1
A	aAb, 2	ϵ , 3	ϵ , 3
B	error	bB, 4	ϵ , 5
a	pop	error	error
b	error	pop	error
\$	error	error	accept

Example run (input aabbbb):

Input	Stack	Action	Output
aabbbb\$	S\$	derive	ϵ
aabbbb\$	AB\$	derive	1
aabbbb\$	aAbB\$	pop	12
abbbb\$	AbB\$	derive	12
abbbb\$	aAbbB\$	pop	122
bbb\$	AbbB\$	derive	122
bbb\$	bbB\$	pop	1223
bb\$	bB\$	pop	1223
b\$	B\$	derive	1223
b\$	bB\$	pop	12234
\$	B\$	derive	12234
\$	\$	accept	122345

Eliminating Left-Recursion and Left-Factorisation

Problems that often occur when constructing LL(1) parsers:

- ▶ *Identical prefixes*: Productions $X \rightarrow \alpha\beta \mid \alpha\gamma$.

Requires look-ahead longer than the common prefix α .

Solution: *Left-Factorisation*, introducing new productions

$$X \rightarrow \alpha Y \text{ and } Y \rightarrow \beta \mid \gamma.$$

- ▶ *Left-Recursion*: a nonterminal reproducing itself on the left.

Direct: production $X \rightarrow X\alpha \mid \beta$, or indirect: $X \Rightarrow^* X\alpha$.

Cannot be analysed with finite look-ahead!

$$X \rightarrow X\alpha \mid \beta, \text{ thus } \text{FIRST}(X) \subset \text{FIRST}(X\alpha) \cup \text{FIRST}(\beta)$$

Solution: new (nullable) nonterminals and swapped recursion.

$$X \rightarrow \beta X' \text{ and } X' \rightarrow \alpha X' \mid \epsilon$$

Also works in case of multiple left-recursive productions.

For indirect recursion: first transform into direct recursion.

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Bottom-Up Parsing

LL(1) Parser works top-down. *Needs to guess* used productions.

Bottom-Up approach: build syntax tree from leaves.

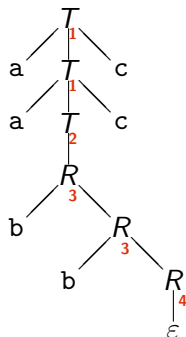
$$T' \rightarrow T\$ \quad (0)$$

$$T \rightarrow aTc \quad (1)$$

$$T \rightarrow R \quad (2)$$

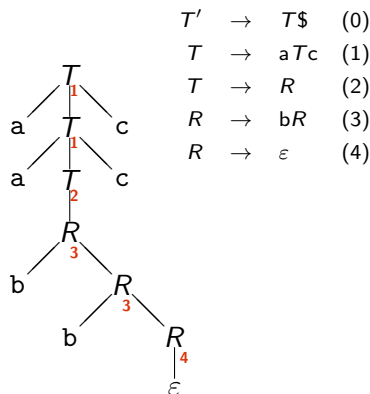
$$R \rightarrow bR \quad (3)$$

$$R \rightarrow \varepsilon \quad (4)$$



$$T \xRightarrow{1} aTc \xRightarrow{1} aaTcc \xRightarrow{2} aaRcc \xRightarrow{3} aabRcc \xRightarrow{3} aabbRcc \xRightarrow{4} aabbcc$$

Bottom-Up Parsing: Idea for a Machine



Questions:

- ▶ When to accept (solved: use separate start production with T')
- ▶ When to shift, when to reduce? Especially $R \rightarrow \epsilon$.

Bottom-Up Parsing: Idea for a Machine

Stack	Input	Action
ϵ	aabbcc\$	shift
a	abbcc\$	shift
aa	bbcc\$	shift
aab	bcc\$	shift
aabb	cc\$	reduce 4
aabb <u>R</u>	cc\$	reduce 3
aab <u>R</u>	cc\$	reduce 3
aa <u>R</u>	cc\$	reduce 2
aa <u>T</u>	cc\$	shift
aa <u>Tc</u>	cc\$	reduce 1
a <u>T</u>	c\$	shift
<u>aTc</u>	\$	reduce 1
<u>T</u>	\$	accept

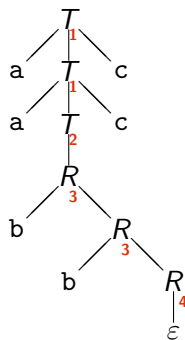
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aT	c\$	shift
aT <u>c</u>	\$	reduce 1
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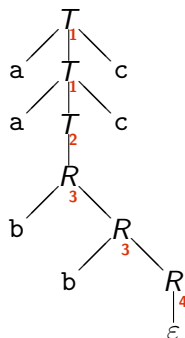
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Constructing an SLR Parser: Items

Each production in the grammar leads to a number of *items*:

Shift Items and Reduce Items of a Production

Let $X \rightarrow \alpha$ be a production in a grammar. The production implies:

- ▶ Shift items: $[X \rightarrow \alpha_1 \bullet \alpha_2]$ for every decomposition $\alpha = \alpha_1 \alpha_2$
- ▶ One reduce item: $[X \rightarrow \alpha \bullet]$ per production.

Items give information about the next action:

- ▶ *shift* input to the stack
- ▶ *reduce* part of the stack using a production
- ▶ Stack of the parser will contain *items*, not grammar symbols.
- ▶ Therefore, no need to read the stack for reductions.

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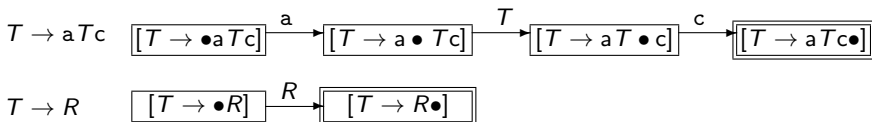
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Constructing an SLR Parser: Production DFAs

Each production $X \rightarrow \alpha$ leads to a DFA with the following transitions:

- ▶ From $[X \rightarrow \alpha \bullet a\beta]$ to $[X \rightarrow \alpha a \bullet \beta]$ for input tokens a .
These will be *shift* action that read input later.
- ▶ From $[X \rightarrow \alpha \bullet Y\beta]$ to $[X \rightarrow \alpha Y \bullet \beta]$ for nonterminals Y .
These will be *go* actions later, without consuming input.

All items are states, start state is the first item $[X \rightarrow \bullet \alpha]$.



While *traversing* the DFA: items pushed on the stack.

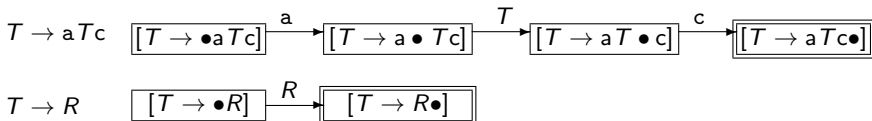
When reaching a *reduce item*: use stack to back-track (later).

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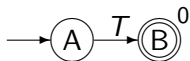
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SLR Parser Construction: Example

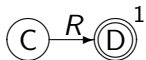
Productions

NFA

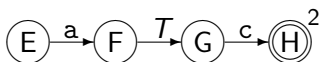
$T' \rightarrow T$



$T \rightarrow R$



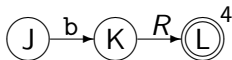
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Extra ε -transitions connect the DFAs for all productions:

- From $[X \rightarrow \alpha \bullet Y\beta]$ to $[Y \rightarrow \bullet \gamma]$ for all productions $Y \rightarrow \gamma$

When in front of a nonterminal Y in a production DFA:

try to run the DFA for one of the right-hand sides of Y productions.

SLR Parser Construction: Example

Productions

NFA

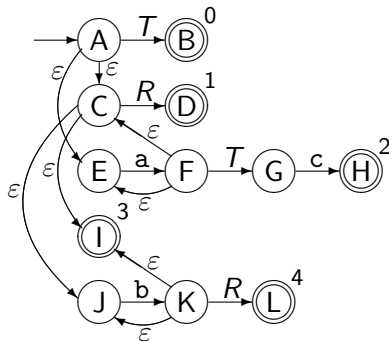
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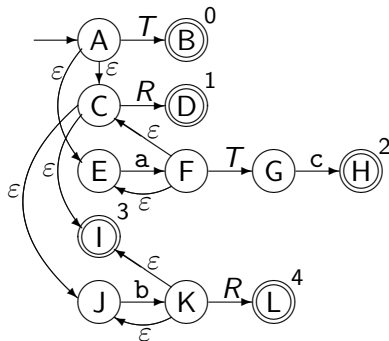
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SLR Parser Construction: Example(2)

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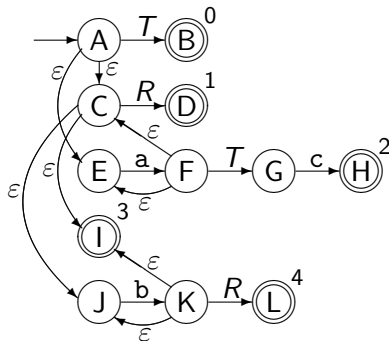
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$T \rightarrow aTc$

$R \rightarrow$

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Next step: *Subset construction* of a combined DFA.

Blackboard...

SLR Parser Construction: Example(2)

Productions

NFA

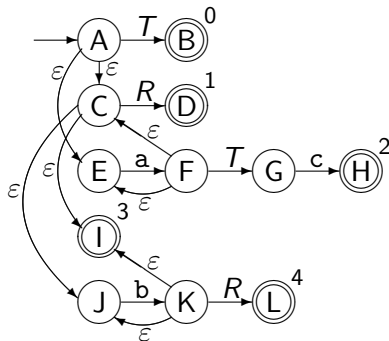
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Blackboard. . .

SLR Parsing: Internal DFA and Stack

- ▶ *Transitions: Shift actions* (terminals) and *Go actions* (nonterminals).

- ▶ Final DFA states: contain *reduce items*.

Reduce actions need to be added to the transition table.

- ▶ Reduce: remove as many items from the stack as the length of the right-hand side. Followed by a *Go*.

- ▶ SLR Parser Table: actions indexed by symbols and DFA states.

Shift n Read next input symbol, push state n on stack

Go n Push state n on stack (consume nonterminal, do not read input)

Reduce p Reduce with production p

Accept Parsing has succeeded (reduce with production 0).