

**Script** generated by TTT

Title: Petter: Compilerbau (30.05.2016)

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## Chapter 4: Bottom-up Analysis

### Bottom-up Analysis

#### Attention:

Many grammars are not  $LL(k)$  !

A reason for that is:

#### Definition

Grammar  $G$  is called **left-recursive**, if

$$A \rightarrow^+ A\beta \quad \text{for an } A \in N, \beta \in (T \cup N)^*$$

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Example:

$$\begin{array}{l|l} E \rightarrow E+T & T \\ T \rightarrow T*F & F \\ F \rightarrow (E) & \text{name} \quad | \quad \text{int} \end{array}$$

... is left-recursive

## Bottom-up Analysis

### Theorem:

Let a grammar  $G$  be reduced and left-recursive, then  $G$  is not  $LL(k)$  for any  $k$ .

### Proof:

Let  $A \rightarrow A\beta | \alpha \in P$   
and  $A$  be reachable from  $S$

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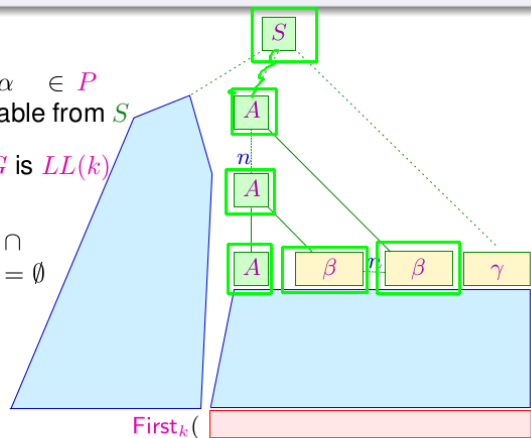
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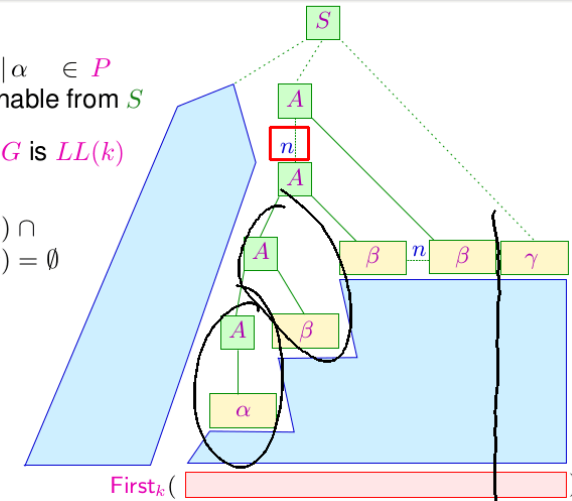
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**Case 1:**  $\beta \rightarrow^* \epsilon$  — **Contradiction !!!**

**Case 2:**  $\beta \rightarrow^* w \neq \epsilon \implies \text{First}_k(\alpha w^k\gamma) \cap \text{First}_k(\alpha w^{k+1}\gamma) \neq \emptyset$

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## Shift-Reduce Parser



Donald Knuth

### Idea:

We **delay** the decision whether to reduce until we know, whether the input matches the right-hand-side of a rule!

**Construction:** Shift-Reduce parser  $M_G^R$

- The input is **shifted successively to the pushdown**.
- Is there a **complete right-hand side** (a **handle**) atop the pushdown, it is replaced (**reduced**) by the corresponding left-hand side

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## Shift-Reduce Parser

### Example:

$S$	$\rightarrow$	$AB$
$A$	$\rightarrow$	$a$
$B$	$\rightarrow$	$b$

The pushdown automaton:

**States:**  $q_0, f, a, b, A, B, S$ ;  
**Start state:**  $q_0$   
**End state:**  $f$

$q_0$	$a$	$q_0 a$
$a$	$\epsilon$	$A$
$A$	$b$	$Ab$
$b$	$\epsilon$	$B$
$AB$	$\epsilon$	$S$
$q_0 S$	$\epsilon$	$f$

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## Shift-Reduce Parser

### Construction:

In general, we create an automaton  $M_G^R = (Q, T, \delta, q_0, F)$  with:

- $Q = T \cup N \cup \{q_0, f\}$  ( $q_0, f$  fresh);
- $F = \{f\}$
- Transitions:

$$\delta = \{ \{ [q, x, q, x] \mid q \in Q, x \in T \} \cup \text{// Shift-transitions} \\ \{ [q, \alpha, \epsilon, q, A] \mid q \in Q, A \rightarrow \alpha \in P \} \cup \text{// Reduce-transitions} \\ \{ (q_0, S, \epsilon, f) \} \text{// finish} \}$$

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- $F = \{f\}$ ;
- Transitions:
 
$$\delta = \{(q, x, qx) \mid q \in Q, x \in T\} \cup \quad // \text{ Shift-transitions}$$

$$\{(q\alpha, \epsilon, qA) \mid q \in Q, A \rightarrow \alpha \in P\} \cup \quad // \text{ Reduce-transitions}$$

$$\{(q_0 S, \epsilon, f)\} \quad // \text{ finish}$$

### Example-computation:

$$\begin{array}{l} (q_0, ab) \vdash (q_0 a, b) \vdash (q_0 A, b) \\ \vdash (q_0 A b, \epsilon) \vdash (q_0 AB, \epsilon) \\ \vdash (q_0 S, \epsilon) \vdash (f, \epsilon) \end{array}$$

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## Shift-Reduce Parser

### Observation:

- The sequence of reductions corresponds to a **reverse rightmost-derivation** for the input

- To prove correctness, we have to prove:

$$(\epsilon, w) \vdash^* (A, \epsilon) \quad \text{iff} \quad A \rightarrow^* w$$

- The shift-reduce pushdown automaton  $M_G^R$  is in general also **non-deterministic**

- For a deterministic parsing-algorithm, we have to identify computation-states for reduction

⇒ LR-Parsing

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## Reverse Rightmost Derivations in Shift-Reduce-Parsers

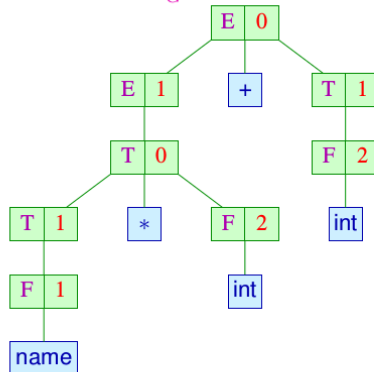
Idea: Observe **reverse rightmost**-derivations of  $M_G^R$ !

Input:

counter \* 2 + 40

Pushdown:

( $q_0$ )



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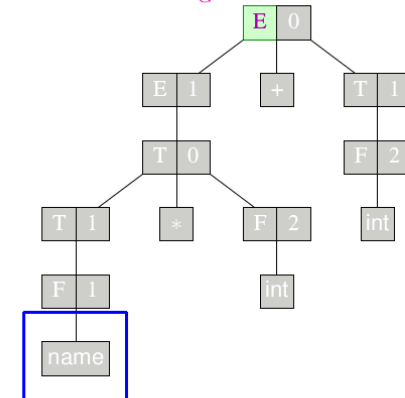
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Pushdown:

( $f$ )



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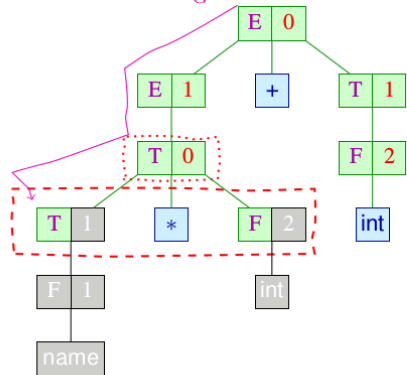
Idea: Observe *reverse rightmost*-derivations of  $M_G^R$ !

Input:

+ 40

Pushdown:

$(q_0 T * F)$



Generic Observation:

In a sequence of configurations of  $M_G^R$

$$(q_0 \alpha \gamma, v) \vdash (q_0 \alpha B, v) \vdash^* (q_0 S, \epsilon)$$

we call  $\alpha \gamma$  a **viable prefix** for the complete item  $[B \rightarrow \gamma \bullet]$ .

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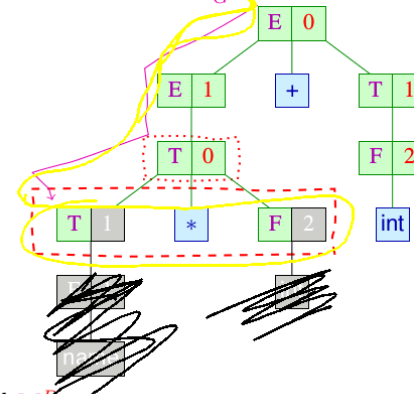
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Pushdown:

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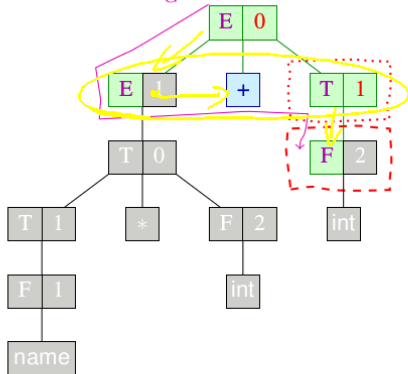
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## Reverse Rightmost Derivations in Shift-Reduce-Parsers

Idea: Observe *reverse rightmost*-derivations of  $M_G^R$ !

Input:



Pushdown:

$(q_0 E + F)$

Generic Observation:

In a sequence of configurations of  $M_G^R$

$$(q_0 \alpha \gamma, v) \vdash (q_0 \alpha B, v) \vdash^* (q_0 S, \epsilon)$$

we call  $\alpha \gamma$  a **viable prefix** for the complete item  $[B \rightarrow \gamma \bullet]$ .

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## Characteristic Automaton

Observation:

The set of viable prefixes from  $(N \cup T)^*$  for (admissible) items can be computed from the content of the **shift-reduce parser's** pushdown with the help of a finite automaton:

States: Items

Start state:  $[S' \rightarrow \bullet S]$

Final states:  $\{[B \rightarrow \gamma \bullet] \mid B \rightarrow \gamma \in P\}$

Transitions:

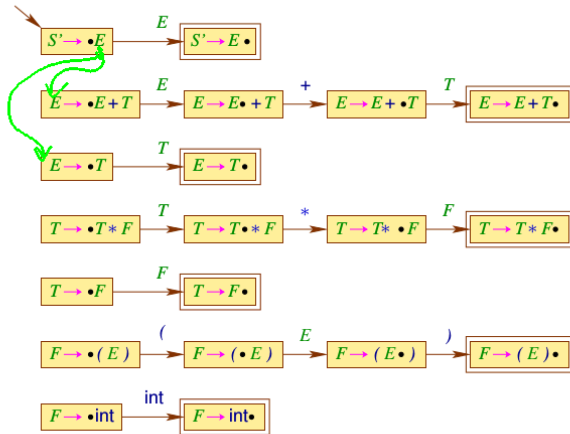
- (1)  $([A \rightarrow \alpha \bullet X \beta], X, [A \rightarrow \alpha X \bullet \beta]), \quad X \in (N \cup T), A \rightarrow \alpha X \beta \in P;$
- (2)  $([A \rightarrow \alpha \bullet B \beta], \epsilon, [B \rightarrow \bullet \gamma]), \quad A \rightarrow \alpha B \beta, B \rightarrow \gamma \in P;$

The automaton  $c(G)$  is called **characteristic automaton** for  $G$ .

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## Characteristic Automaton

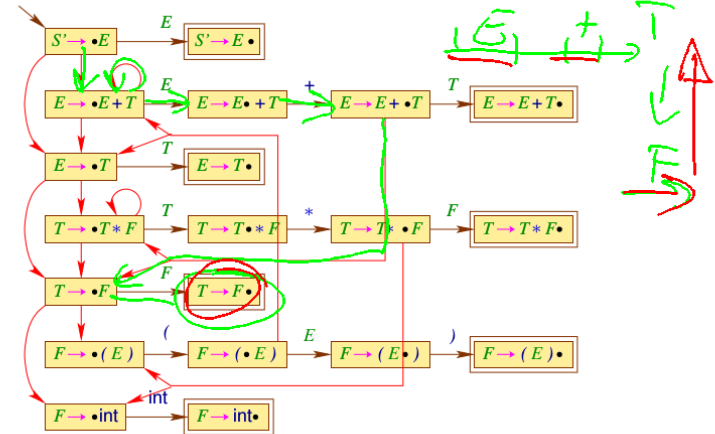
For example:

$$\begin{array}{l|l} E \rightarrow E+T & T \\ T \rightarrow T*F & F \\ F \rightarrow (E) & \text{int} \end{array}$$


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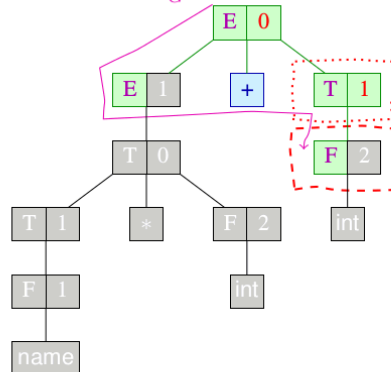
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## Reverse Rightmost Derivations in Shift-Reduce-Parsers

Idea: Observe *reverse rightmost* derivations of  $M_G^R$ !

Input:

Pushdown:  
( $q_0$   $E + F$ )



Generic Observation:

In a sequence of configurations of  $M_G^R$

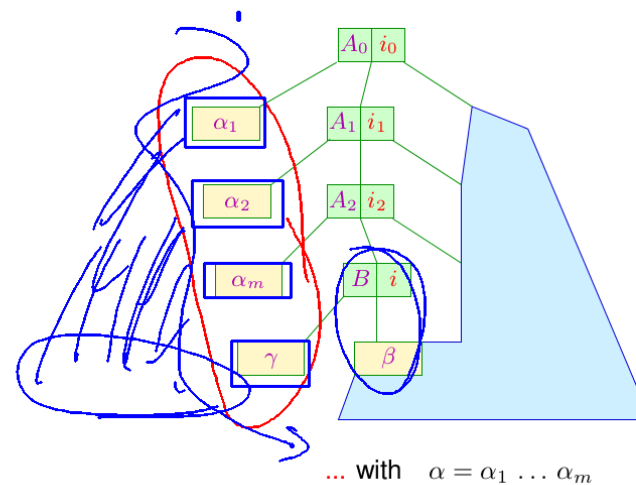
$$(q_0 \alpha \gamma, v) \vdash (q_0 \alpha B, v) \vdash^* (q_0 S, \epsilon)$$

we call  $\alpha \gamma$  a **viable prefix** for the complete item  $[B \rightarrow \gamma \bullet]$ .

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## Bottom-up Analysis: Admissible Items

The item  $[B \rightarrow \gamma \bullet \beta]$  is called **admissible** for  $\alpha'$  iff  $S \rightarrow_R^* \alpha B v$  with  $\alpha' = \alpha \gamma$ :



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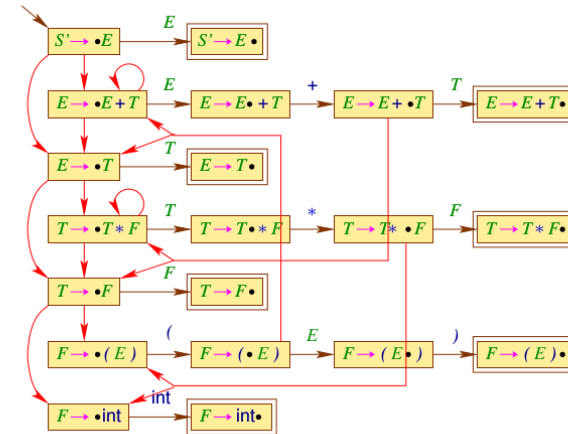
- (1)  $[A \rightarrow \alpha \bullet X \beta, X, [A \rightarrow \alpha X \bullet \beta]]$ ,  $X \in (N \cup T), A \rightarrow \alpha X \beta \in P$ ;
- (2)  $[A \rightarrow \alpha \bullet B \beta], \epsilon, [B \rightarrow \bullet \gamma]$   $A \rightarrow \alpha B \beta, B \rightarrow \gamma \in P$ ;

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## Characteristic Automaton

For example:

$$\begin{array}{l} E \rightarrow E+T \quad | \quad T \\ T \rightarrow T * F \quad | \quad F \\ F \rightarrow (E) \quad | \quad \text{int} \end{array}$$


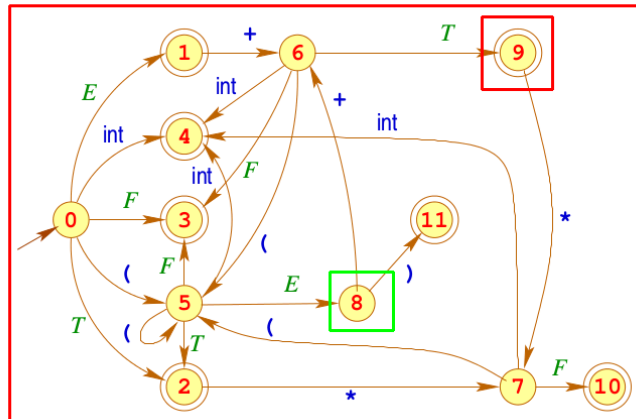
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## Canonical LR(0)-Automaton

The **canonical LR(0)-automaton**  $LR(G)$  is created from  $c(G)$  by:

- 1 performing arbitrarily many  $\epsilon$ -transitions after every consuming transition
- 2 performing the powerset construction

... for example:



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## Canonical LR(0)-Automaton

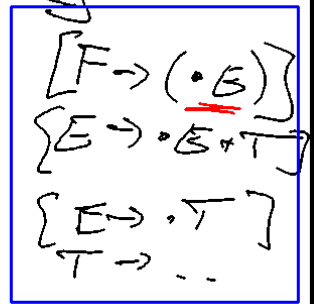
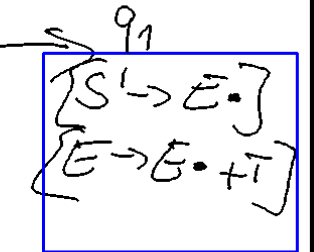
Example:

$$\begin{array}{l} E \rightarrow E+T \quad | \quad T \\ T \rightarrow T * F \quad | \quad F \\ F \rightarrow (E) \quad | \quad \text{int} \end{array}$$

90)

Therefore we determine:

$[S' \rightarrow \bullet E]$   
 $[E \rightarrow \bullet E + T]$   
 $[E \rightarrow \bullet T]$   
 $[T \rightarrow \bullet T * F]$   
 $[T \rightarrow \bullet F]$   
 $[F \rightarrow \bullet (E)]$



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## Canonical LR(0)-Automaton

Example:

$E \rightarrow E+T$	$T$
$T \rightarrow T*F$	$F$
$F \rightarrow (E)$	$\text{int}$

Therefore we determine:

$$\begin{aligned}
 q_0 &= \{[S' \rightarrow \bullet E], [E \rightarrow \bullet E+T], [E \rightarrow \bullet T], [T \rightarrow \bullet T*F], [T \rightarrow \bullet F], [F \rightarrow \bullet (E)], [F \rightarrow \bullet \text{int}]\} \\
 q_1 &= \delta(q_0, E) = \{[S' \rightarrow E \bullet], [E \rightarrow E \bullet + T]\} \\
 q_2 &= \delta(q_0, T) = \{[E \rightarrow T \bullet], [T \rightarrow T \bullet * F]\} \\
 q_3 &= \delta(q_0, F) = \{[T \rightarrow F \bullet]\} \\
 q_4 &= \delta(q_0, \text{int}) = \{[F \rightarrow \text{int} \bullet]\}
 \end{aligned}$$

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## Canonical LR(0)-Automaton

$$\begin{aligned}
 q_5 &= \delta(q_0, () = \{[F \rightarrow (\bullet E)], [E \rightarrow \bullet E+T], [E \rightarrow \bullet T], [T \rightarrow \bullet T*F], [T \rightarrow \bullet E], [F \rightarrow \bullet (E)], [F \rightarrow \bullet \text{int}]\} \\
 q_7 &= \delta(q_2, *) = \{[T \rightarrow T* \bullet F], [F \rightarrow \bullet (E)], [F \rightarrow \bullet \text{int}]\} \\
 q_8 &= \delta(q_3, E) = \{[F \rightarrow (E \bullet)], [E \rightarrow E \bullet + T]\} \\
 q_9 &= \delta(q_6, T) = \{[E \rightarrow E+T \bullet], [T \rightarrow T \bullet * F]\} \\
 q_{10} &= \delta(q_7, F) = \{[T \rightarrow T*F \bullet]\} \\
 q_{11} &= \delta(q_8, ) = \{[F \rightarrow (E) \bullet]\} \\
 q_6 &= \delta(q_1, +) = \{[E \rightarrow E+ \bullet T], [T \rightarrow \bullet T*F], [T \rightarrow \bullet F], [F \rightarrow \bullet (E)], [F \rightarrow \bullet \text{int}]\}
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## Canonical LR(0)-Automaton

### Observation:

The canonical LR(0)-automaton can be created directly from the grammar.

Therefore we need a helper function  $\delta_\epsilon^*$  ( $\epsilon$ -closure)

$$\delta_\epsilon^*(q) = q \cup \{[B \rightarrow \bullet \gamma] \mid \exists [A \rightarrow \alpha \bullet B' \beta'] \in q, \beta \in (N \cup T)^* : B' \rightarrow^* B \beta\}$$

We define:

States: Sets of items;

Start state:  $\delta_\epsilon^* \{[S' \rightarrow \bullet S]\}$

Final states:  $\{q \mid \exists A \rightarrow \alpha \in P : [A \rightarrow \alpha \bullet] \in q\}$

Transitions:  $\delta(q, X) = \delta_\epsilon^* \{[A \rightarrow \alpha X \bullet \beta] \mid [A \rightarrow \alpha \bullet X \beta] \in q\}$

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## LR(0)-Parser

### Idea for a parser:

- The parser manages a viable prefix  $\alpha = X_1 \dots X_m$  on the pushdown and uses  $LR(G)$ , to identify reduction spots.
- It can reduce with  $A \rightarrow \gamma$ , if  $[A \rightarrow \gamma \bullet]$  is admissible for  $\alpha$

### Optimization:

We push the **states** instead of the  $X_i$  in order not to process the pushdown's content with the automaton anew all the time. Reduction with  $A \rightarrow \gamma$  leads to popping the uppermost  $|\gamma|$  states and continue with the state on top of the stack and input  $A$ .

### Attention:

This parser is only **deterministic**, if each final state of the canonical  $LR(0)$ -automaton is **conflict free**.

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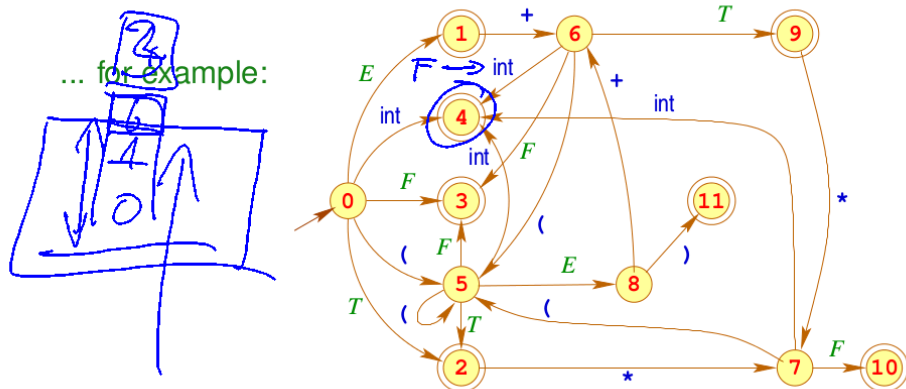
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... for example:



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## Reverse Rightmost Derivations in Shift-Reduce-Parsers

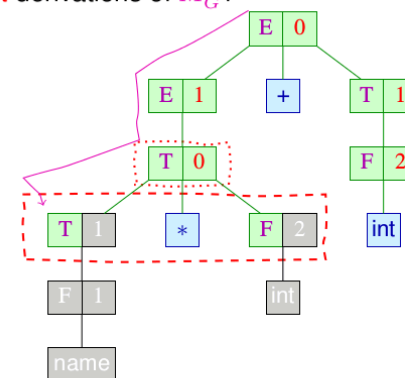
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Input:

+ 40

Pushdown:

$(q_0, T * F)$



### Generic Observation:

In a sequence of configurations of  $M_G^R$

$$(q_0 \alpha \gamma, v) \vdash (q_0 \alpha B, v) \vdash^* (q_0 S, \epsilon)$$

we call  $\alpha \gamma$  a **viable prefix** for the complete item  $[B \rightarrow \gamma \bullet]$ .

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We define:

**States:** Sets of items;

**Start state:**  $\delta_\epsilon^* \{ [S' \rightarrow \bullet S] \}$

**Final states:**  $\{ q \mid \exists A \rightarrow \alpha \in P : [A \rightarrow \alpha \bullet] \in q \}$

**Transitions:**  $\delta(q, X) = \delta_\epsilon^* \{ [A \rightarrow \alpha X \bullet \beta] \mid [A \rightarrow \alpha \bullet X \beta] \in q \}$

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## LR(0)-Parser

... for example:

$$\begin{aligned} q_1 &= \{ [S' \rightarrow E \bullet], [E \rightarrow E \bullet + T] \} \\ q_2 &= \{ [E \rightarrow T \bullet], [T \rightarrow T \bullet * F] \} \\ q_3 &= \{ [T \rightarrow F \bullet] \} \\ q_4 &= \{ [F \rightarrow \text{int} \bullet] \} \\ q_9 &= \{ [E \rightarrow E + T \bullet], [T \rightarrow T * F \bullet] \} \\ q_{10} &= \{ [T \rightarrow T * F \bullet] \} \\ q_{11} &= \{ [F \rightarrow (E) \bullet] \} \end{aligned}$$

The final states  $q_1, q_2, q_9$  contain more than one admissible item  
 $\Rightarrow$  non deterministic!

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### Attention:

This parser is only **deterministic**, if each final state of the canonical LR(0)-automaton is **conflict free**.

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## LR(0)-Parser

### Attention:

Unfortunately, the LR(0)-parser is in general non-deterministic.

We identify two reasons:

### Reduce-Reduce-Conflict:

$$[A \rightarrow \gamma \bullet], [A' \rightarrow \gamma' \bullet] \in q \text{ with } A \neq A' \vee \gamma \neq \gamma'$$

### Shift-Reduce-Conflict:

$$[A \rightarrow \gamma \bullet], [A' \rightarrow \alpha \bullet a \beta] \in q \text{ with } a \in T \text{ for a state } q \in Q.$$

Those states are called LR(0)-unsuited.

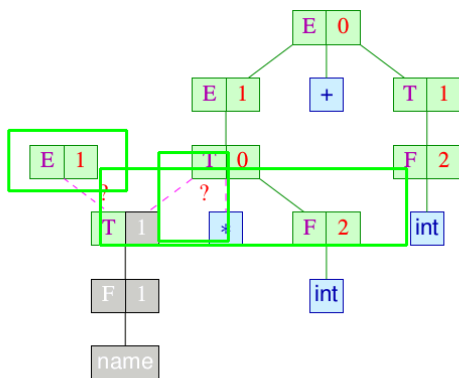
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## Revisiting the Conflicts of the LR(0)-Automaton

What differentiates the particular Reductions and Shifts?

Input:  $*2 + 40$

Pushdown:  $(q_0 T)$



$E \rightarrow E+T \quad | \quad T$   
 $T \rightarrow T*F \quad | \quad F$   
 $F \rightarrow (E) \quad | \quad \text{int}$

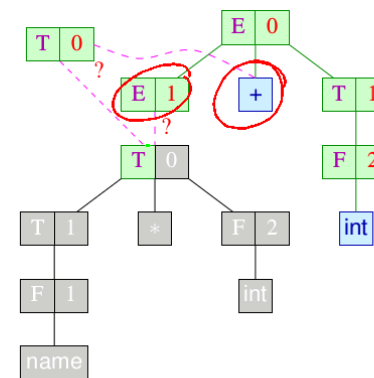
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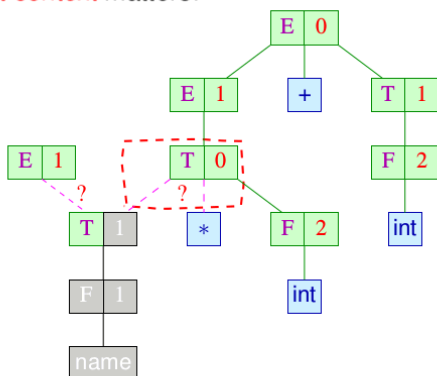
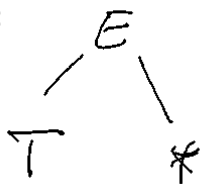
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## Revisiting the Conflicts of the LR(0)-Automaton

Idea: Matching lookahead with *right context* matters!

Input:  $*2 + 40$

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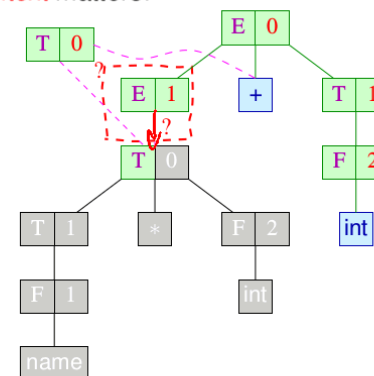
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## LR(k)-Grammars

**Idea:** Consider  $k$ -lookahead in conflict situations.

### Definition:

The reduced contextfree grammar  $G$  is called  $LR(k)$ -grammar, if for  $\text{First}_k(w) = \text{First}_k(x)$  with:

$$\left. \begin{array}{l} S \xrightarrow{*}_R \alpha Aw \rightarrow \alpha \beta w \\ S \xrightarrow{*}_R \alpha' A' w' \rightarrow \alpha \beta x \end{array} \right\} \text{follows: } \alpha = \alpha' \wedge A = A' \wedge w' = x$$