# Module 3: Syntax Analysis (Parsing)

This module is about the compiler's crucial "grammar check" phase: Syntax Analysis, also known as Parsing. After the Lexical Analyzer has broken the raw source code into meaningful "words" (tokens), the parser steps in to ensure these words are arranged according to the language's rules, forming grammatically correct "sentences" and "paragraphs." We'll explore the formal definitions of language structure, how parsers systematically verify this structure, and the tools that automate this complex task.

# 1. Context-Free Grammars (CFG) - The Language's Blueprint

Think of a Context-Free Grammar (CFG) as the definitive rulebook or blueprint for a programming language's syntax. It's a formal, mathematical way to describe all the possible legal sequences of words (tokens) that can form valid programs in that language. Without a precise grammar, a compiler wouldn't know how to interpret your code.

A CFG is precisely defined by four components:

- V (Variables / Non-terminals): The Abstract Categories
  - These are abstract, conceptual symbols that represent structures or constructs within the language. They are "non-terminal" because they are not the final "words" of the program but rather categories that *can be broken down further*.
  - Analogy: In English grammar, words like "Noun Phrase," "Verb Phrase," or "Sentence" are non-terminals. You can't say "I saw a Noun Phrase"; you need to expand "Noun Phrase" into actual words.
  - In Programming: Examples include:
    - Statement: An action like an assignment, an if block, or a loop.
    - Expression: A computation that evaluates to a value (e.g., x + y, 10 \* 5).
    - Declaration: How you introduce a variable or function (e.g., int x;).
    - Program: The top-level structure representing the entire code file.
  - These symbols help define the hierarchy of the language.
- T (Terminals): The Concrete Tokens (Words)

- These are the actual, tangible "words" or tokens that the lexical analyzer produces. They are "terminal" because they cannot be broken down further within the grammar rules; they are the basic building blocks.
- Analogy: In English, these are the actual words like "the," "cat," "runs," "quickly."
- In Programming: Examples include:
  - Keywords: if, else, while, int, return.
  - Operators: +, -, \*, /, =, <.
  - Punctuation: ;, ,, (, ), {, }.
  - Literal values: NUM (for a number like 123), ID (for an identifier like myVariable).
- These are the symbols that appear directly in your source code.
- P (Productions / Production Rules): The Building Instructions
  - These are the core rules that specify how non-terminals can be replaced by sequences of other non-terminals and/or terminals. Each rule is like a recipe that tells you how to construct a larger grammatical unit from smaller ones.
  - **Format:** Non-terminal -> Sequence\_of\_Symbols
  - The -> symbol means "can be replaced by" or "consists of."
  - Analogy:
    - Sentence -> Noun\_Phrase Verb\_Phrase (A sentence consists of a noun phrase followed by a verb phrase).
    - Noun\_Phrase -> Article Noun (A noun phrase can be an article followed by a noun).
  - In Programming:
    - Statement -> if (Expression) Statement else Statement
      - This rule says: A Statement can be formed by the keyword if, followed by an opening parenthesis (, an Expression, a closing parenthesis ), another Statement, the keyword else, and finally, another Statement.
    - Expression -> ID + NUM
      - This rule says: An Expression can be formed by an ID token, followed by a + token, and then a NUM token.
  - A grammar can have multiple rules for the same non-terminal, representing different ways to form that construct (e.g., Statement could also be
    - Statement -> ID = Expression ;).
- S (Start Symbol): The Grand Goal
  - This is a special non-terminal that represents the highest-level grammatical category in the language. It's the ultimate goal of the parsing process. A successful parse means that the entire input program can be derived from this start symbol.
  - **Analogy:** In English, it might be "Story" or "Book." In a programming language, it's typically Program or CompilationUnit.
- Why CFGs are Important:

- **Formal Specification:** They provide an unambiguous way to define the syntax of a language, acting as a contract between the language designer and the compiler implementer.
- **Automatic Parser Generation:** They are the input for tools (parser generators) that automatically build the parser component of a compiler.
- **Error Detection:** If a program's structure doesn't conform to the CFG, the parser can detect and report syntax errors.

#### Example CFG (for a tiny arithmetic calculator, expanded):

Let's use a slightly more detailed example for a calculator that handles addition, subtraction, multiplication, division, parentheses, numbers, and variables.

- V=textProgram,Statement,Expression,Term,Factor,IDList
- \$T = { \\text{ID, NUM, +, -, \\*, /, (, ), =, ;, var} }\$
- S=textProgram
- P:
- 1. textProgramtotextStatementProgramquadtext(Aprogramisastatementfollowed bymoreprogramor...)
- 2. textProgramtovarepsilonquadtext(...anemptyprogram,meaningtheend)
- 3. textStatementtotextvarIDList;quadtext(Variabledeclaration)
- 4. textStatementtotextID=Expression;quadtext(Assignmentstatement)
- 5. textIDListtotextIDquadtext(Asingleidentifier)
- 6. textIDListtotextID,IDListquadtext(Multipleidentifiersseparatedbycommas)
- 7. textExpressiontotextExpression+Term
- 8. textExpressiontotextExpression-Term
- 9. textExpressiontotextTerm
- 10. \$\\text{Term} \\to \\text{Term \\* Factor}\$
- 11. textTermtotextTerm/Factor
- 12. textTermtotextFactor
- 13. textFactorto(textExpression)
- 14. textFactortotextID
- 15. textFactortotextNUM

(Note: varepsilon denotes an empty string, meaning a non-terminal can derive nothing.)

# 2. Concept of Parsing - The Syntax Checker

Parsing is the compiler's "syntax police." Its job is to take the stream of tokens (words) from the lexical analyzer and determine if they form a grammatically valid program according to the rules defined by the Context-Free Grammar. If the arrangement of tokens makes sense structurally, the parser creates a hierarchical representation of the program. If not, it flags a syntax error.

#### • What Parsing Achieves:

• **Syntax Validation:** The primary goal. It ensures that your code follows the structural rules of the language (e.g., if statements have parentheses,

semicolons are in the right places, variables are used correctly in expressions).

- **Structure Representation:** It builds a tree-like structure that captures the relationships between different parts of your code. This structure is crucial for the next phases of the compiler.
- Parse Tree (Concrete Syntax Tree):
  - This is a visual, detailed representation of how the input string (sequence of tokens) is derived from the start symbol of the grammar using the production rules.
  - Characteristics:
    - The **root** of the tree is always the grammar's **start symbol**.
    - Internal nodes are non-terminals. Each internal node and its immediate children correspond to an application of a production rule.
    - Leaf nodes are the terminal symbols (tokens) from the input.
    - Reading the leaf nodes from left to right gives you the original input token string.
  - Purpose: It shows every single step of the derivation process, including intermediate non-terminals used purely for grammatical structure (like Term or Factor in arithmetic expressions). It's a very faithful representation of the grammatical analysis.

#### Example Parse Tree for var x, y; using our calculator grammar:

```
Program

/ \

Statement Program (ε)

|

var IDList ;

/ \

ID , IDList

| / \

x ID (ε)

|

y
```

•

# • Abstract Syntax Tree (AST):

- While a parse tree shows all grammatical details, an AST is a more compact and essential representation of the program's structure. It focuses on the core operations and relationships, stripping away syntactic details that aren't directly relevant to the program's meaning.
- Why Abstract? It removes "noise" from the parse tree. For example, it might omit non-terminals like Term or Factor if their sole purpose was to enforce operator precedence. It only keeps nodes that represent a computational or structural meaning.
- **Purpose:** The AST is the preferred input for later compiler phases like semantic analysis and code generation. These phases care about the *meaning* and *relationships* of operations (e.g., "add this to that"), not the

specific grammar rules used to parse them. An AST is easier to traverse and manipulate programmatically than a full parse tree.

```
Example AST for x = a + b; (simplified):
```

```
Assignment
/ \
ID(x) Addition
/ \
ID(a) ID(b)
```

• Compare this to how a full parse tree would represent a + b (it would involve Expression, Term, Factor nodes). The AST distills it to the essential Addition operation with its operands.

# 3. Sentences and Sentential Forms - The Stages of Derivation

When we talk about grammars, we use specific terms to describe the strings that can be generated or recognized.

- **Derivation:** This is the process of repeatedly applying the production rules of a CFG, starting from the start symbol, to transform one string of symbols into another. Each step involves replacing a non-terminal with the right-hand side of one of its production rules.
- Sentential Form: Any string that can be derived from the start symbol of a grammar is called a sentential form. This string can contain a mixture of both **non-terminal** symbols (the abstract categories that still need to be expanded) and **terminal** symbols (the concrete words that are already formed). Think of it as an intermediate stage in building a complete program "sentence."
  - Example (using our calculator grammar, starting from Program):
    - 1. Program (Initial state, pure non-terminal)
    - Statement Program (Applied Program -> Statement Program)
    - 3. var IDList ; Program (Applied Statement -> var IDList
      ;)
    - 4. var ID , IDList ; Program(Applied IDList -> ID , IDList)

    - 6. var x , y ; Program (Replaced ID with y)
    - 7. var x , y ; (Replaced Program with  $\varepsilon$  (empty string) at the end)
  - All strings in steps 1-6 are sentential forms because they contain at least one non-terminal.
- **Sentence:** A sentence is a special type of sentential form. It is a string that can be derived from the start symbol and consists **only** of terminal symbols. A sentence represents a complete and grammatically valid program (or a segment of one) in the language defined by the grammar. It's the final output of the derivation process.

• **Example (from above):** var x , y ; is a sentence because it contains only terminal symbols (var, x, , , y, ;). If this string is the input to our parser, and it successfully recognizes it as valid, then it means var x, y; is a legal statement in our calculator language.

# 4. Leftmost and Rightmost Derivations - Following a Path in the Tree

When we perform a derivation, if a sentential form contains more than one non-terminal, we have a choice about which one to expand (replace with its production rule) next. This choice leads to different paths for constructing the same parse tree.

• Leftmost Derivation: In a leftmost derivation, at each step, we *always* choose the leftmost non-terminal in the current sentential form to replace with its right-hand side. This is a common strategy for top-down parsers.

# Example: Deriving a + b \* c from Expression (using our rewritten arithmetic rules, for clarity):

- 1. Grammar rules relevant for this example (after left recursion elimination, which we'll cover later):
  - Expression -> Term Expression'
  - Expression' -> + Term Expression' | ε
  - Term -> Factor Term'
  - Term' -> \* Factor Term' | ε
  - Factor -> ID
- 2. Expression (Start)
- Term Expression' (Applied Expression -> Term Expression', leftmost Expression)
- Factor Term' Expression' (Applied Term -> Factor Term', leftmost Term)
- 5. ID Term' Expression' (Applied Factor -> ID, leftmost Factor) -Let's say ID becomes a
- 6. a Term' Expression'
- 7. a Expression' (Applied Term' -> ε, leftmost Term')
- 8. a + Term Expression' (Applied Expression' -> + Term
  Expression', leftmost Expression')
- 9. a + Factor Term' Expression' (Applied Term -> Factor Term', leftmost Term)
- 10. a + ID Term' Expression' (Applied Factor -> ID, leftmost Factor)
   Let's say ID becomes b
- 11. a + b Term' Expression'
- 12. a + b \* Factor Term' Expression' (Applied Term' -> \* Factor Term', leftmost Term')
- 13. a + b \* ID Term' Expression' (Applied Factor -> ID, leftmost Factor) - Let's say ID becomes c

14. a + b \* c Term' Expression'
15. a + b \* c Expression' (Applied Term' -> ε, leftmost Term')
16. a + b \* c (Applied Expression' -> ε, leftmost Expression') This sequence of steps constructs the parse tree from left-to-right, depth-first.

- Rightmost Derivation (Canonical Derivation): In a rightmost derivation, at each step, we *always* choose the rightmost non-terminal in the current sentential form to replace with its right-hand side. This strategy is more common for bottom-up parsers.
   Example: Deriving a + b \* c from Expression (using the same grammar rules as above):
  - 1. Expression (Start)
  - 2. Term Expression' (Applied Expression -> Term Expression', rightmost Expression')
  - 3. Term + Term Expression' (Applied Expression' -> + Term
    Expression', rightmost Expression')
  - 4. Term + Term \* Factor Term' Expression' (Applied Term' -> \*
    Factor Term', rightmost Term')
  - 5. Term + Term \* ID Term' Expression' (Applied Factor -> ID, rightmost Factor) Let's say ID becomes c
  - 6. Term + Term \* c Term' Expression'
  - 7. Term + Factor \* c Term' Expression' (Applied Term -> Factor Term', rightmost Term')
  - Term + ID \* c Term' Expression' (Applied Factor -> ID, rightmost Factor) - Let's say ID becomes b
  - 9. Term + b \* c Term' Expression'
  - 10.Factor + b \* c Term' Expression' (Applied Term -> Factor Term', rightmost Term')
  - 11. ID + b \* c Term' Expression' (Applied Factor -> ID, rightmost Factor) Let's say ID becomes a
  - 12.a + b \* c Term' Expression'
  - 13. a + b \* c Expression' (Applied Term' -> ε, rightmost Term')
  - 14. a + b \* c (Applied Expression' -> ε, rightmost Expression') Notice that both derivations produce the exact same final string and would result in the same parse tree, even though the order of rule applications is different.

# 5. Ambiguous Grammars - The Confusion in Meaning

A grammar is considered **ambiguous** if there is at least one sentence (a valid string of terminals) in the language that can be derived in more than one distinct way. This means the sentence has:

- More than one unique parse tree.
- Or, more than one distinct leftmost derivation.
- Or, more than one distinct **rightmost derivation**.

Why Ambiguity is a Problem: In programming languages, ambiguity is a major issue because it leads to uncertainty about the program's intended meaning. If a compiler could interpret A - B \* C in two different ways (either (A - B) \* C or A - (B \* C)), the resulting executable code would behave differently depending on the interpretation, leading to unpredictable and incorrect program execution. A compiler *must* have a single, definitive way to parse every valid program.

Classic Example: Arithmetic Expressions without Precedence/Associativity Rules

Consider this simple, ambiguous grammar for expressions: E  $\rightarrow$  E + E E  $\rightarrow$  E \* E E

```
-> ID
Now, let's parse the input a + b * c:
Parse Tree 1 (interprets + first, then *):
    Е
   /|\
   E + E
  / /|\
  ID E*E
  a ID ID
    b c
This tree implies (a + b) * c.
Parse Tree 2 (interprets * first, then +):
    Е
   /|\
   E+E
  / |
  ID E
  | /|\
  a E*E
   /\ \
   ID ID ID
   b c (no, this should be b*c) -> Corrected below
Corrected Parse Tree 2 (interprets * first, then +):
    Е
   /|\
   E + E
  / /\
  ID E E
  a ID * ID
    b
        С
```

• This tree implies a + (b \* c).

Since the single input string a + b \* c can result in two fundamentally different parse trees, this grammar is ambiguous.

- **Resolving Ambiguity:** Compiler designers use two primary mechanisms to remove ambiguity from grammars:
  - 1. **Precedence Rules:** These rules define the order in which operators are evaluated in an expression. For instance, multiplication and division typically have higher precedence than addition and subtraction.
    - Implementation in Grammar: To enforce precedence, we rewrite the grammar by introducing new non-terminals, creating a hierarchy where higher-precedence operations are "lower down" (closer to the terminals) in the parse tree.
    - Example (for \* having higher precedence than +):
      - Expression -> Expression + Term
      - Expression -> Term
      - Term -> Term \* Factor
      - Term -> Factor
      - Factor -> ID (or (Expression)) This structure ensures that Term must be fully resolved before it can be combined into an Expression, effectively giving \* higher precedence.
  - 2. **Associativity Rules:** These rules define how operators of the *same* precedence are grouped when they appear sequentially.
    - Left Associativity: Most arithmetic operators (+, -, \*, /) are left-associative. This means a - b - c is interpreted as (a - b)
      - с.
- Implementation in Grammar: Use left-recursive production rules.
- Example: Expression -> Expression + Term (The Expression on the left-hand side is also the leftmost symbol on the right-hand side).
- Right Associativity: Operators like assignment (=) or exponentiation (\*\*) are often right-associative. This means a = b = c is interpreted as a = (b = c).
  - Implementation in Grammar: Use right-recursive production rules.
  - Example: Assignment -> ID = Assignment
- By carefully applying these rules and rewriting the grammar, language designers ensure that every syntactically correct program has only one unambiguous interpretation.

# 6. Overview of Top-Down and Bottom-Up Parsing

The two fundamental strategies for parsing a program relate to how they build the parse tree.

#### • Top-Down Parsing (Predictive Parsing): "Building from the Blueprint Down"

- **Approach:** Starts at the **start symbol** (the root of the parse tree) and tries to expand it downwards to match the input tokens (the leaves).
- **Analogy:** Imagine you have a blueprint for a house (the grammar). You start by drawing the main frame (the start symbol), then you draw in the walls and roof (major non-terminals), and finally, you add the bricks and windows (terminals). At each step, you predict what structure should come next based on the blueprint and what you see on the ground (input).
- **How it Works:** The parser tries to predict which production rule for a non-terminal should be used next to match the incoming input tokens. It essentially tries to construct a leftmost derivation.
- **Common Techniques:** Recursive Descent Parsing, Predictive Parsing (LL(1)).
- Characteristics:
  - Easier to implement manually for simpler grammars.
  - Requires the grammar to be free of left recursion and often left factoring.
  - Less powerful than bottom-up parsers (can't handle as wide a range of grammars).

# • Bottom-Up Parsing (Shift-Reduce Parsing): "Assembling from the Pieces Up"

- **Approach:** Starts with the **input tokens** (the leaves of the parse tree) and attempts to combine them (reduce them) into higher-level grammatical constructs, eventually reducing everything to the **start symbol** (the root).
- Analogy: You have a pile of LEGO bricks (tokens). You start by snapping small pieces together to form a door, a window, or a wall segment (reducing terminals to non-terminals like Factor). Then you combine these segments into larger structures like a room (Term), and finally, you assemble the rooms into a complete house (Expression, then Program).
- How it Works: The parser scans the input, shifting tokens onto a stack. When the top of the stack contains a sequence of symbols that matches the right-hand side of a production rule, it "reduces" that sequence to the non-terminal on the left-hand side of the rule. This effectively builds the parse tree from the leaves upwards towards the root, constructing a rightmost derivation in reverse.
- **Common Techniques:** Shift-Reduce Parsing, LR Parsers (LR(0), SLR(1), LALR(1), LR(1)).
- Characteristics:
  - More powerful; can handle a larger class of grammars than top-down parsers.
  - Often more complex to implement manually but well-suited for automatic generation by tools.
  - No issues with left recursion.

# **Option 1: Bottom-Up Parsing - The Builder's Approach**

This section dives into Shift-Reduce parsing, the core idea behind powerful bottom-up parsers like the LR family.

#### Introduction to Shift-Reduce Parsing

Shift-Reduce parsing is a strategy that operates by trying to find the "handle" in the parser's stack. A handle is a substring on the stack that matches the right-hand side of a grammar production and can be "reduced" to its corresponding non-terminal.

#### • The Parser's Tools:

- **Input Buffer:** This is where the raw stream of tokens from the lexical analyzer waits to be processed.
- Stack: This is the parser's primary working area. It's used to store a sequence of grammar symbols (both terminals that have been read and non-terminals that have been recognized and reduced). The bottom of the stack usually has a special marker, often \$ (dollar sign), representing the start of the parse.
- **Parsing Table:** This table acts as the parser's brain. It's pre-computed from the grammar and tells the parser exactly what to do (shift, reduce, accept, or error) based on the current **state** (represented by the top of the stack) and the **next input token** (called the "lookahead" symbol).
- **The Core Actions:** The parser continuously performs one of these actions until it accepts the input or encounters an error:
  - **Shift:** The parser takes the next incoming token from the input buffer and *pushes it onto the top of the stack*. This action essentially moves a token from the input stream into the parser's active consideration. It's like collecting raw materials.
  - **Reduce:** This is the heart of bottom-up parsing. When the symbols on the top of the stack match the entire right-hand side (beta) of a production rule (Atobeta), the parser pops these matched symbols from the stack and then *pushes the non-terminal A onto the stack*. This signifies that a complete grammatical construct has been recognized and is now represented by its higher-level non-terminal. It's like assembling a sub-component from raw materials.
  - Accept: If the stack contains only the start symbol of the grammar (usually S') and the input buffer is empty, it means the entire program has been successfully parsed. The compilation can proceed to the next phase.
  - **Error:** If the parser cannot perform a shift, reduce, or accept action, it means the input code violates the language's grammar rules. A syntax error is reported.

• Example Walkthrough: Parsing a + b with Shift-Reduce Assume simplified grammar: E -> E + E | ID Initial state: Stack: \$ | Input: a + b \$ (where \$ marks end of input)

Sta c k	Inp u t	Action (determined by Parsing Table)	Explanation
\$	a + b \$	Shift	Push 'a' onto stack.
\$ a	+ b \$	Reduce E -> ID	'a' is an ID. Reduce 'ID' to 'E'. Pop 'a', push 'E'.
\$ E	+ b \$	Shift	Push '+' onto stack.
\$ E +	b \$	Shift	Push 'b' onto stack.
\$ E + b	Ś	Reduce E -> ID	'b' is an ID. Reduce 'ID' to 'E'. Pop 'b', push 'E'.



# Viable Prefixes and Valid Items - Guiding the Parser's Decisions

To build robust bottom-up parsers, we need a precise way to describe the parser's progress and potential next steps. This is where "items" come into play.

- **Viable Prefix:** A viable prefix is any prefix of a rightmost sentential form that can exist on the stack during a shift-reduce parse. Essentially, it's any sequence of symbols on the stack that, with some remaining input, could eventually lead to a complete, valid program. The parser's stack always holds a viable prefix.
  - **Example (from a + b parse):** \$, \$a, \$E, \$E+, \$E+b are all viable prefixes.
- Item (LR(0) Item): An item is a production rule with a "dot" (.) placed somewhere in its right-hand side. The dot indicates how much of the right-hand side of that production has been successfully recognized (matched) so far. It acts as a pointer to the current parsing position within a rule.
  - $\circ$  Format: A ->  $\alpha$  .  $\beta$ 
    - A: The non-terminal on the left-hand side.
    - α: The part of the right-hand side that has already been matched or processed.
    - .: The marker indicating the current position.
    - $\beta$ : The part of the right-hand side that is still expected to be seen.
  - Meaning of Dot Positions:
    - A -> . X Y Z: The parser expects to see a string derivable from XYZ. It's just starting to recognize this rule.
    - A -> X . Y Z: The parser has successfully matched X and now expects to see a string derivable from YZ.
    - A -> X Y . Z: The parser has successfully matched XY and now expects to see a string derivable from Z.

- A -> X Y Z .: The parser has successfully matched the *entire* right-hand side XYZ. This item signals a potential **reduction** using the production A -> X Y Z.
- Example Items (for E -> E + E and E -> ID):
  - E -> . E + E (We are looking for an E that starts the production E + E)
  - E -> E . + E (We have seen an E and now expect a + followed by another E)
  - E -> E + . E (We have seen E + and now expect an E)
  - E -> E + E . (We have seen E + E and are ready to reduce to E)
  - E -> . ID (We are looking for an ID)
  - E -> ID . (We have seen an ID and are ready to reduce to E)
- Role in Parsing: LR parsers work by building states, where each state is a collection of these items. Each state represents a snapshot of all the possible production rules the parser could be trying to recognize at a given point, based on the input scanned so far.

#### Constructing LR(0) Sets of Items - Defining Parser States

To create an LR parser, we first need to define all the possible "states" it can be in. These states are formally represented by "sets of LR(0) items." The process of generating these sets involves two key operations: CLOSURE and GOTO.

- 1. Augmented Grammar: Before starting, we modify the original grammar by adding a new start production: S' -> S. Here, S' is a new, unique start symbol, and S is the original start symbol.
  - Why? This ensures that there is a single, clear production whose reduction signals that the entire input program has been successfully parsed (i.e., when S' -> S . is recognized). It also prevents S from appearing on the right-hand side of any production, simplifying the logic for the final "accept" action.

#### 2. CLOSURE Operation:

- 1. **Purpose:** The CLOSURE operation expands a set of items to include all items that are implied by the current items. If an item indicates that we are expecting to see a non-terminal (i.e., the dot is before a non-terminal), then we must also start looking for all the possible ways that non-terminal can begin.
- Rule: If A -> α . Bβ is an item in a set I (meaning we've parsed α and are now expecting B), and B -> γ is any production rule for non-terminal B, then we add the item B -> . γ to CLOSURE(I). We repeat this until no new items can be added.
- 3. **Analogy:** If your recipe says "make a sandwich," and a sandwich can start with "bread," then you also need to consider the recipe for "bread" itself.
- 4. Example:
  - I = { E -> . Term Expression' (from our grammar)

- Since we're expecting Term, and Term -> Factor Term' is a production, we add Term -> . Factor Term' to CLOSURE(I).
- Since we're expecting Factor (from the new Term item), and Factor -> ID is a production, we add Factor -> . ID to CLOSURE(I).
- And Factor -> (Expression) is a production, so we add Factor -> . (Expression) to CLOSURE(I).

# 3. GOTO Operation:

- 1. **Purpose:** The G0T0 operation determines the next state (set of items) the parser moves to after successfully recognizing a particular grammar symbol (terminal or non-terminal). It simulates the parser "consuming" that symbol.
- Rule: GOTO(I, X) for a set of items I and a grammar symbol X. It finds all items in I where the dot is immediately before X (e.g., A -> α . Xβ). For each such item, it moves the dot past X (to A -> αX . β). Then, it takes the CLOSURE of this new set of items.
- 3. **Analogy:** If you're currently in a state where you've drawn the if frame, and you then successfully add the Expression part, GOTO tells you what new state you're in (the state where you've seen if (Expression)).

# 4. Building the Canonical Collection of LR(0) Items:

- 1. This is the algorithm to generate all the unique states (sets of items) that the LR(0) parser can possibly be in.
- 2. Start with an initial state I0, which is the CLOSURE of the augmented start item: CLOSURE(\{S' \to .S\}).
- 3. Maintain a list of states to process (initially just 10).
- 4. For each state I in the list, and for every grammar symbol X (terminal or non-terminal) that appears immediately after a dot in any item within I:
  - Compute J = GOTO(I, X).
  - If J is not an empty set and is not already in our collection of states, add J to the collection and to the list of states to process.
- 5. Repeat step 3 until no new states can be generated.
- 5. The resulting collection of states forms the basis for constructing the LR parsing tables.

# Constructing SLR Parsing Tables (Simple LR)

SLR (Simple LR) parsing is a practical and widely used bottom-up parsing technique. It leverages the LR(0) sets of items but adds a crucial element for making reduce decisions: the F0LL0W set. This "lookahead" helps resolve some ambiguities that LR(0) alone cannot.

- SLR Parsing Table Structure: The table has two main parts:
  - **ACTION Table:** This part dictates the parser's action based on the current state (row index) and the next input terminal (column index).
    - ACTION[State\_i, Terminal\_a] can be:

- shift j: Push the terminal a onto the stack and transition to state j. This is the most common action when the parser needs more input to recognize a full grammar rule.
- reduce A -> β: Pop |β| (length of beta) symbols from the stack, then push A onto the stack, and use the GOTO table to determine the new state. This happens when the parser has identified a complete right-hand side of a production.
- accept: The input has been successfully parsed. This happens only when the stack contains S' and the input is empty.
- error: A syntax error has been detected. The input does not conform to the grammar.
- **GOTO Table:** This part dictates the parser's next state after a reduction.
  - GOTO[State\_i, NonTerminal\_A] = State\_j: If the parser is in State\_i and reduces a sequence of symbols to NonTerminal\_A, it then transitions to State\_j.
- Rules for Constructing SLR Parsing Table Entries:
  - Shift Actions:
    - For each state I\_i in the LR(0) item collection:
    - If A -> α . aβ is an item in I\_i (meaning we've seen α and a is the next terminal expected) and GOTO(I\_i, a) leads to state I\_j:
    - Then, set ACTION[i, a] = shift j.

# • Reduce Actions:

- For each state I\_i in the LR(0) item collection:
- If A -> α . is an item in I\_i (meaning we have successfully matched the entire right-hand side α for production A -> α):
- Then, for every terminal b in FOLLOW(A) (including \$ if A can be followed by end-of-input):
- Set ACTION[i, b] = reduce A -> α.
- Crucial Role of FOLLOW(A): The FOLLOW(A) set is vital here. It ensures that a reduction is only performed if the next input token (b) is actually one that could legally come *after* the non-terminal A in a valid program. If b is not in FOLLOW(A), then reducing to A would lead to an incorrect parse.
- Accept Action:
  - If S' -> S . is an item in state I\_i (meaning the augmented start symbol has been fully recognized):
  - Then, set ACTION[i, \$] = accept.
- GOTO Actions:
  - For each state I\_i in the LR(0) item collection:
  - If GOTO(I\_i, A) leads to state I\_j (where A is a non-terminal):
  - Then, set GOTO[i, A] = j.

- **SLR Conflicts:** A grammar is SLR(1) if and only if the SLR parsing table contains no conflicts. If a cell in the ACTION table needs to be filled with more than one action, it's a conflict:
  - Shift/Reduce Conflict: Occurs if a state I\_i contains both an item A -> α
     aβ (suggesting a shift on terminal a) AND an item B -> γ . (suggesting a reduce using B -> γ), where a is also in FOLLOW(B). The parser cannot decide whether to shift a or reduce.
  - **Reduce/Reduce Conflict:** Occurs if a state I\_i contains two reduce items A ->  $\alpha$  . and B ->  $\beta$  ., AND FOLLOW(A) and FOLLOW(B) have at least one common terminal. The parser cannot decide which of the two rules to reduce by. If these conflicts arise, the grammar is not SLR(1), and more powerful LR parsing methods (like LALR(1) or LR(1)) might be needed, or the grammar itself needs to be redesigned.

#### Generating a Parser using a Parser Generator such as YACC/Bison

Manually constructing LR parsing tables for real-world programming languages is extremely tedious and error-prone due to the sheer number of states and transitions. This is where **parser generators** come in.

- YACC (Yet Another Compiler Compiler) / Bison (GNU version of YACC):
  - These are classic and widely used parser generators, primarily generating LALR(1) parsers. LALR(1) is a powerful variant of LR parsing that combines states from LR(1) to create smaller tables while retaining much of the power of full LR(1), making it a practical choice for most programming languages.
  - **Input:** You provide YACC/Bison with a grammar specification file (traditionally with a . y or . yy extension). This file describes your language's grammar using a specialized syntax and includes C code snippets for semantic actions.
  - **Structure of a YACC/Bison Input File:** It typically has three main sections, separated by %%:
    - Declarations Section:
      - Includes C header files (#include).
      - Defines the tokens (terminals) that the lexical analyzer (like Flex) will provide. For example: %token INT ID NUM PLUS MINUS.
      - Declares non-terminals: %type <value\_type> Expression Statement.

Specifies operator **precedence and associativity**. This is how YACC/Bison resolves common ambiguities directly. For example: Code snippet %left PLUS MINUS %left TIMES DIVIDE %right ASSIGN

- (%left means left-associative, %right means right-associative, order determines precedence from lowest to highest.)
- Specifies the start symbol: %start Program.
- Grammar Rules Section:
  - This is where you define the production rules of your Context-Free Grammar.
  - Each rule can have an associated semantic action a block of C code that is executed whenever that specific grammar rule is successfully reduced.
  - Semantic Actions: This is where the parser interacts with the next phases of the compiler. You can access the values of the symbols on the right-hand side of the rule using \$1, \$2, \$3, etc. (representing the first, second, third symbol from the right-hand side). The result of the rule can be assigned to \$\$.

#### Example Rule with Semantic Action:

#### Code snippet

expression : expression PLUS term

{ \$\$ = \$1 + \$3; } // Add the value of the first expression (\$1) to the third term (\$3) ;

#### expression : term

{  $\$  = \$1; } // The value of the expression is just the value of the term

- Auxiliary Functions Section:
  - Contains any additional C code needed for the parser, such as error handling routines (yyerror), the main function to drive the parser (yyparse), or helper functions.
- Compilation Process with YACC/Bison and Lex/Flex:
  - Lexical Analysis (Flex/Lex):
    - You write a lexical specification file (e.g., lexer.1) for Flex/Lex.
    - Run flex lexer.l which generates lex.yy.c (the C source code for your lexer).
  - Syntax Analysis (YACC/Bison):
    - You write a grammar specification file (e.g., parser.y) for YACC/Bison.
    - Run bison -d parser.y (or yacc -d parser.y). The -d option generates a header file (parser.tab.h) containing token definitions that lex.yy.c needs. This command generates parser.tab.c (the C source code for your parser, containing the LALR parsing tables).
  - Compilation:
    - Compile both generated C files (lex.yy.c and parser.tab.c) together with your own auxiliary C code using a C compiler (e.g., gcc lex.yy.c parser.tab.c -o myparser).

- **Execution:** Run the myparser executable, which will read your input source code, tokenized by the lexer, and parsed by the parser.
- **Benefits:** Parser generators significantly simplify compiler development by:
  - **Automating Table Construction:** Eliminating the tedious and error-prone manual creation of parsing tables.
  - **Handling Complexity:** Managing complex grammar rules and even resolving common ambiguities (like operator precedence/associativity) automatically.
  - **Speeding Development:** Allowing developers to focus on the language design and semantic processing rather than low-level parsing logic.

# **Option 2: Top-Down Parsing - The Predictive Approach**

This option explores top-down parsing strategies, which try to derive the input by expanding grammar rules from the start symbol downwards. These methods are typically easier to understand and implement manually for simpler grammars.

#### **Top-Down Parsing**

Top-down parsing starts with the highest-level grammatical structure (the start symbol) and progressively tries to derive the input tokens. It attempts to build the parse tree from the root towards the leaves.

#### • How it Works:

- The parser maintains a stack, initially containing the start symbol.
- It continuously compares the symbol at the top of its stack with the next input token (the "lookahead").
- If the top of the stack is a Non-terminal (A): The parser looks at the current input token. Based on this token, it *predicts* which production rule for A (Atobeta) should be applied. It then pops A from the stack and pushes the symbols of beta onto the stack in *reverse order* (so the first symbol of beta is at the top of the stack).
- If the top of the stack is a Terminal (a): It checks if a matches the current input token.
  - If they match, both a is popped from the stack and the input token is consumed (parser moves to the next input token).
  - If they don't match, a syntax error is reported.
- If the stack is empty and the input is consumed: The parse is successful.
- **Key Challenge: Prediction:** The critical part for top-down parsing is making the correct prediction (choosing the right production rule) without "backtracking" (trying one rule, failing, and then undoing and trying another). This requires careful grammar design.

#### Left Factoring - Resolving Ambiguous Choices

Left factoring is a grammar transformation technique specifically designed to make grammars suitable for predictive top-down parsers.

- **The Problem:** Predictive parsers need to make a unique choice for a production rule based on the next input token. If a non-terminal has two or more production rules that start with the same sequence of symbols (a common prefix), the parser cannot decide which rule to apply by just looking at the next token.
  - Example: Statement -> if (Expression) Statement else Statement Statement -> if (Expression) Statement
  - If the parser sees the token if, it has two Statement productions that both start with if (Expression) Statement. It doesn't know which one to choose until it sees if an else follows later. This uncertainty is unacceptable for a predictive parser.
- **The Solution:** You factor out the common prefix and introduce a new non-terminal to represent the parts that differ.
  - General Transformation:
    - Original: A ->  $\alpha\beta1$  |  $\alpha\beta2$  (where  $\alpha$  is the common prefix,  $\beta1$  and  $\beta2$  are the differing suffixes)
    - Left-Factored: A -> αA' A' -> β1 | β2 (or ε if one of βs can be empty)
  - Applying to the Statement Example:
    - Original: Statement -> if (Expression) Statement else
       Statement Statement -> if (Expression) Statement
    - Left-Factored: Statement -> if (Expression) Statement StatementTail StatementTail -> else Statement StatementTail -> ε (meaning, the else part is optional)
  - How it Helps: Now, when the parser sees if (Expression)
     Statement, it applies the rule Statement -> if (Expression)
     Statement StatementTail. Then, it looks at the input again to decide on
     StatementTail. If it sees else, it chooses StatementTail -> else
     Statement. If it sees anything else, it chooses StatementTail -> ɛ. This eliminates the immediate ambiguity in choice.

#### Elimination of Left Recursion - Avoiding Infinite Loops

Left recursion is another common grammatical pattern that is problematic for top-down parsers, particularly recursive descent parsers, as it can lead to infinite loops.

- **The Problem:** A production rule is **left-recursive** if a non-terminal can derive a string that starts with itself.
  - Direct Left Recursion: A -> Aα (e.g., Expression -> Expression + Term). If a recursive descent function for Expression tries to apply this rule, it would immediately call parseExpression() again, leading to an infinite loop and stack overflow.
  - Indirect Left Recursion: A -> Ba, B -> C $\beta$ , C -> A $\gamma$  (A eventually leads back to A).

- The Solution (for Direct Left Recursion): Left-recursive rules can be systematically rewritten into equivalent, non-left-recursive forms. The trick is to convert the left recursion into right recursion.
  - General Transformation:
    - Original (left-recursive):  $A \rightarrow A\alpha \mid \beta$  (where  $\beta$  represents any alternatives that *do not* start with A).
    - Rewritten (non-left-recursive): A -> βA' (The non-recursive part comes first) A' -> αA' | ε (The A' non-terminal handles the repeating part, with ε for optional repetition)
  - Applying to Our Arithmetic Grammar Example:
    - Original Left-Recursive Rules: Expression -> Expression + Term Expression -> Expression - Term Expression -> Term (This is the 'β' part, as it doesn't start with Expression) Term -> Term \* Factor Term -> Term / Factor Term -> Factor (This is the 'β' part for Term)
    - After Elimination (applying the transformation to Expression):
      - Expression -> Term Expression' (Here β is Term, α is + Term or - Term)
      - 2. Expression' -> + Term Expression'
      - 3. Expression' -> Term Expression'
      - 4. Expression'  $\rightarrow \epsilon$  (The "nothing more" option)
    - After Elimination (applying the transformation to Term): 5. Term -> Factor Term' (Here β is Factor, α is \* Factor or / Factor) 6. Term' -> \* Factor Term' 7. Term' -> / Factor Term' 8. Term' -> ε
  - (The Factor rules Factor -> ( Expression ) | ID | NUM remain unchanged.)
- This transformed grammar generates the exact same language but is now suitable for top-down parsing because no non-terminal directly calls itself as its first symbol.

# Predictive Parsing - The Lookahead-Driven Parser (LL(1))

Predictive parsing is a form of top-down parsing that makes parsing decisions *without backtracking*. This is achieved by using a fixed amount of "lookahead" (usually one token) to uniquely determine which production rule to apply. The most common type is **LL(1)** parsing.

- LL(1) Meaning:
  - 1. The first L: The input is scanned from Left to right.
  - 2. The second L: It constructs a Leftmost derivation.
  - 3. The (1): It uses 1 token of lookahead to make its parsing decisions.
- How it Works: An LL(1) parser is driven by a **parsing table** (let's call it M). This table tells the parser which production rule to use for a non-terminal A given that the next input token is a.
  - 1. If M[A, a] contains a production A  $\rightarrow \beta$ , the parser applies this rule.

- 2. If M[A, a] is empty, it means a is not expected here, and a syntax error has occurred.
- Key Sets for Table Construction: FIRST and FOLLOW: To build the LL(1) parsing table, we need to compute two sets for every non-terminal and for the right-hand side of every production:
  - FIRST(α): For any string of grammar symbols α (which can be a single terminal, a single non-terminal, or a sequence of them), FIRST(α) is the set of all terminal symbols that can possibly appear as the first symbol of a string derived from α.
    - If α is a terminal a: FIRST(a) = {a}.
    - If α is a non-terminal A:
      - If A -> aβ is a production (where a is a terminal), then a is in FIRST(A).
      - If A -> Bγ is a production (where B is a non-terminal), then everything in FIRST(B) (except ε, if B can derive ε) is in FIRST(A).
      - If  $A \rightarrow \epsilon$  is a production, then  $\epsilon$  is in FIRST(A).
    - If α is a sequence X1 X2 ... Xn:
      - FIRST(X1) is added to FIRST(α).
      - If X1 can derive ε, then FIRST(X2) is also added. This continues until Xk is found that cannot derive ε, or all Xs are exhausted (in which case, if all can derive ε, then ε is in FIRST(α)).
    - Purpose: FIRST(α) tells the parser what tokens *start* a string that can be generated by α.
  - 2. **FOLLOW(A):** For any non-terminal A, FOLLOW(A) is the set of all **terminal symbols** b that can appear *immediately after* A in some valid sentential form.
    - Rules for computing FOLLOW(A):
      - If A is the start symbol, then \$ (end-of-input marker) is in FOLLOW(A).
      - If there is a production B  $\rightarrow \alpha A\beta$  (meaning A is followed by  $\beta$ ):
        - Everything in FIRST(β) (except ε) is in FOLLOW(A).
        - If β can derive ε (i.e., ε is in FIRST(β)), then everything in FOLLOW(B) is also in FOLLOW(A).
      - If there is a production B -> αA (meaning A is at the end of the rule):
        - Everything in FOLLOW(B) is in FOLLOW(A).
    - Purpose: FOLLOW(A) tells the parser what tokens can come after a completed non-terminal A. This is crucial for handling ε productions (where a non-terminal might expand to nothing).
- Rules for Building the LL(1) Parsing Table M[A, a]: For each production A -> α in the grammar:

- 1. For every terminal a in FIRST( $\alpha$ ) (where a is not  $\epsilon$ ):
  - Add the production A  $\rightarrow \alpha$  to M[A, a].
- 2. If  $\varepsilon$  is in FIRST( $\alpha$ ) (meaning  $\alpha$  can derive the empty string):
  - For every terminal b in FOLLOW(A):
    - Add the production A  $\rightarrow \alpha$  to M[A, b].
  - If \$ is in FOLLOW(A) (and ε is in FIRST(α)), add A -> α to M[A, \$].
- LL(1) Grammar Condition: A grammar is LL(1) if and only if each cell in the parsing table M contains at most one production rule. If any cell has more than one rule, the grammar is not LL(1), and a predictive parser cannot be built for it without more lookahead or grammar modification (e.g., resolving common prefixes or left recursion).

# **Recursive Descent Parsing - The Hands-On Approach**

Recursive descent parsing is a straightforward, manual way to implement a top-down parser. It's intuitive because it directly maps grammar rules to functions (procedures) in your code.

- Concept:
  - $\circ~$  For every non-terminal in your grammar (e.g., <code>Expression</code>, <code>Statement</code>,
    - Term), you write a corresponding function (procedure) in your parser.
  - This function's job is to parse any input string that can be derived from that non-terminal.
  - The functions call each other recursively to parse sub-structures, mimicking the hierarchy of the grammar.
  - A global lookahead variable holds the current input token, which guides the parsing decisions.

# Basic Structure of a Non-terminal Function (e.g., parseFactor()):

```
// Function for non-terminal Factor
parseFactor() {
    // Check the lookahead to decide which Factor production to use
    if (lookahead == ID) {
        match(ID); // Match and consume the ID token
    } else if (lookahead == NUM) {
        match(NUM); // Match and consume the NUM token
    } else if (lookahead == '(') {
        match('(');
        parseExpression(); // Recursively call function for Expression
        match(')');
    } else {
        error("Expected ID, NUM, or '('''); // Syntax error
    }
}
```

```
// Helper function to match and consume a terminal
match(expectedToken) {
```

```
if (lookahead == expectedToken) {
```

```
lookahead = get_next_token(); // Advance to the next input token
```

```
} else {
```

```
error("Mismatched token. Expected " + expectedToken + " but got " + lookahead);
```

```
•
```

} }

- Advantages:
  - **Simplicity:** For relatively simple grammars, recursive descent parsers are very easy to write and understand.
  - **Direct Mapping:** The structure of the parser code directly reflects the structure of the grammar, making it intuitive.
  - **Good Error Reporting:** It's often easier to embed custom error messages in a hand-written parser.
- Disadvantages:
  - **Grammar Restrictions:** Cannot directly handle left-recursive grammars (requires prior elimination). Requires the grammar to be left-factored. If the grammar isn't LL(1), manual backtracking logic becomes very complex and inefficient.
  - **Tedious for Large Grammars:** Writing a function for every non-terminal in a large language can be extremely time-consuming and prone to errors.
  - **Maintenance:** Changes to the grammar require manual changes to the parser code.

# Generating a Parser using a Parser Generator such as ANTLR, JavaCC, etc.

Just as YACC/Bison automate LR parsing, tools like ANTLR and JavaCC automate the creation of top-down parsers, significantly streamlining the development process.

# • ANTLR (ANother Tool for Language Recognition):

- **Type of Parser:** ANTLR generates **LL(\*) parsers**. This is a powerful form of LL parsing that can use *arbitrary lookahead* (not just one token, hence \*) to make parsing decisions. This means it can handle a wider range of grammars than strict LL(1) parsers.
- Key Features:
  - Automatic Grammar Transformations: While it's good practice to understand left recursion and left factoring, ANTLR can often handle these issues internally or guide you on how to restructure your grammar for optimal performance, simplifying the grammar writing process.
  - Multi-language Target: It can generate parser code in a variety of programming languages (Java, C#, Python, JavaScript, C++, Go, Swift), making it highly versatile.
  - Parse Tree/AST Generation: ANTLR automatically builds a parse tree (which can then be used to construct an AST via "listeners" or "visitors"), making it easy to integrate with subsequent compiler phases.

- Robust Error Recovery: It provides sophisticated mechanisms for handling syntax errors gracefully, attempting to recover and continue parsing to find more errors.
- **Input:** You define your language's grammar in a . g4 file, specifying both lexical rules (for tokens) and parser rules (for grammar productions).
- **Output:** Source code for the parser and lexer in your chosen target language.
- JavaCC (Java Compiler Compiler):
  - **Type of Parser:** JavaCC primarily generates **LL(k) parsers**, where k is a fixed number of lookahead tokens (often 1, but configurable).
  - Key Features:
    - Java-centric: It generates parser code exclusively in Java, making it popular in Java-based compiler projects.
    - Grammar Requirements: Unlike ANTLR, JavaCC explicitly requires the input grammar to be free of left recursion and typically expects manual left factoring. It does not automatically perform these transformations.
    - Embedded Actions: You embed Java code directly within the grammar rules for semantic actions, similar to YACC/Bison's C code.
  - **Input:** A grammar file (typically . j j) containing token and production definitions along with embedded Java code.
  - **Output:** Java source files for the parser and lexer, which you then compile with a Java compiler.
- General Advantages of Parser Generators:
  - **Increased Productivity:** Automate a complex and error-prone part of compiler construction.
  - **Consistency:** Generated parsers adhere strictly to the defined grammar rules.
  - **Maintainability:** Changes to the grammar are made in a single, high-level specification file, not in sprawling manual code.
  - **Robustness:** Generated parsers are often more robust and handle edge cases and error recovery better than hand-written ones.
  - **Rapid Prototyping:** Quickly test grammar changes and language features.