

# Natural language syntax: parsing and complexity

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ESLLI foundational course in Language and Computation

# Overview of the course

- Day 1: Formal languages and syntactic complexity.
- Day 2: The complexity of natural language.
- Day 3: Historic algorithms for parsing.
- Day 4: Modern approaches to parsing.
- Day 5: Neural networks and error propagation.



# Day 3





# Reminder about the parsing problem

- Given a grammar  $G$  on some alphabet  $\Sigma \dots$
- The **parsing problem** for  $G$ :
  - Given some  $w \in \Sigma^*$ ,  
what are the derivations (if any) of  $w$  in  $G$ ?
- $w$  is the **query**.
- If  $G$  is a CF grammar, parsing  $w$  is equivalent to finding the constituent trees (if any) of  $w$ .



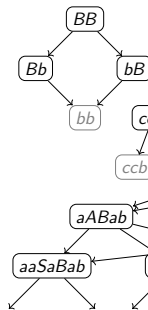
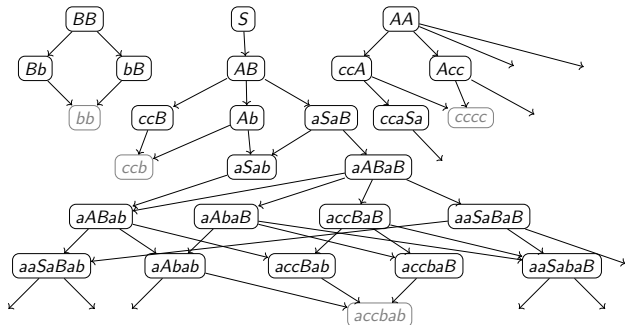






# Parsing is a search in the derivation graph

Parsing  $w \in \Sigma^*$ : finding a path in the graph going from  $S$  to  $w$ .

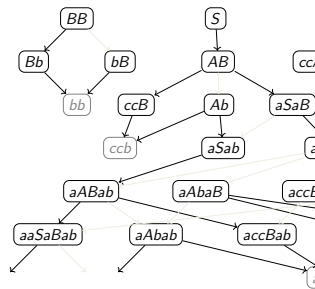
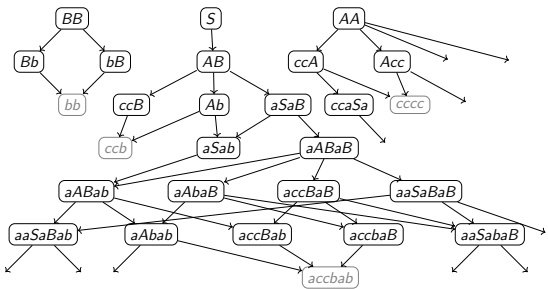






# Parsing can focus on left derivations

- Without loss of generality, parsing can be defined as a search for left derivation(s) [or right].





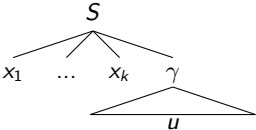
# Pruning the graph with the prefix property

Suppose that  $S \xrightarrow{*} x_1 \dots x_k \gamma$  with  $x_1 \dots x_k \in \Sigma^*$ , and

$\gamma \in (\Sigma \cup N)^*$ .

Any word  $w$  s.t.  $S \xrightarrow{*} x_1 \dots x_k \gamma \xrightarrow{*} w$  has  $x_1 \dots x_k$  as a prefix:

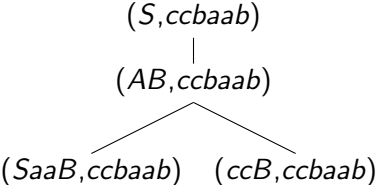
$$\exists u \in \Sigma^* \text{ s.t. } w = x_1 \dots x_k u.$$



A top-down derivation can be stopped as soon as it contains a non-empty prefix of letters that does not match the query.

# Top-down approaches: example (II)

$S$	$\rightarrow$	$AB$
$A$	$\rightarrow$	$Saa$
		$ $
		$cc$
$B$	$\rightarrow$	$b$





# Top-down parsing

- If the grammar is not left-recursive, we will stop at some point.
- Any CFG  $G_1$  is *weakly equivalent* to some non-left-recursive CFG  $G_2$  (i.e. s.t.  $\mathcal{L}(G_1) = \mathcal{L}(G_2)$ ).
- But the worst-case time complexity of naive top-down parsing is still very high.



## Bottom-up approaches: example (I)

At each step:

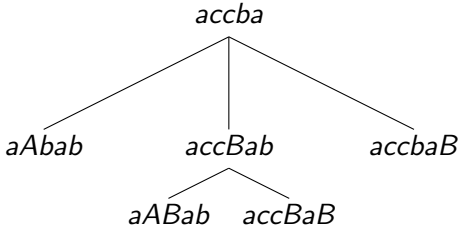
“Which parts of  $w$  are identical to the right-hand side of a rule?”

$S \rightarrow AB$

$A \rightarrow Saa$

$|$   $cc$

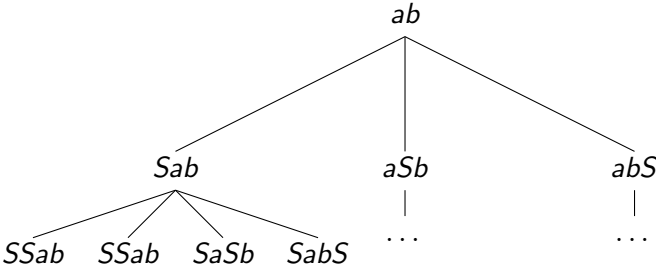
$B \rightarrow b$



A parsing is a a sequence of *reductions* (“rewriting inversions”)

# Bottom-up approaches: example (II)

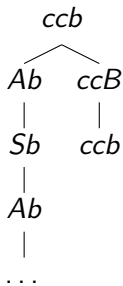
$$\begin{array}{lcl}
 S & \rightarrow & aSb \\
 | & & \epsilon
 \end{array}$$



The query *ab* could have been produced from any  $S^i a S^j b S^k$ .

# Bottom-up approaches: example (III)

$S \rightarrow A \mid AB$   
 $A \rightarrow cc \mid S$   
 $B \rightarrow b$



What about *ccbb* ?

Singleton rules (i.e. of the form  $A \rightarrow B$  with  $A, B \in N$ ) which may create cycles in the grammar:  $X \xrightarrow{+} X$ .

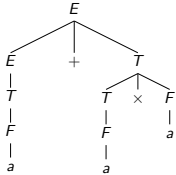
# Clean grammars

- Every context-free grammar is weakly equivalent to a “clean” context-free grammar:
  - No singleton rule (therefore, no cycle).
  - No  $\epsilon$ -rule, except a rule  $S \rightarrow \epsilon$  if  $\epsilon \in \mathcal{L}(G)$ , and no rule such that  $S \rightarrow \alpha S \beta$ .
- With a clean grammar, the *Shift-Reduce algorithm* ( $\rightarrow$  next slide) cannot fall into an infinite loop.



# Example

$E \rightarrow E + T$   
 $E \rightarrow T$   
 $T \rightarrow T \times F$   
 $T \rightarrow F$   
 $F \rightarrow a$

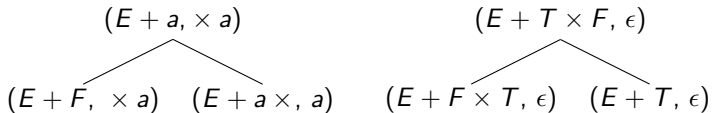


stack	buffer	action
$\epsilon$	$a + a \times a$	shift
$a$	$+ a \times a$	reduce ( $F \rightarrow a$ )
$F$	$+ a \times a$	reduce ( $T \rightarrow F$ )
$T$	$+ a \times a$	reduce ( $E \rightarrow T$ )
$E$	$+ a \times a$	shift
$E+$	$a \times a$	shift
$E + a$	$\times a$	reduce ( $F \rightarrow a$ )
$E + F$	$\times a$	reduce ( $T \rightarrow F$ )
$E + T$	$\times a$	shift
$E + T \times$	$a$	shift
$E + T \times a$	$\epsilon$	reduce ( $F \rightarrow a$ )
$E + T \times F$	$\epsilon$	reduce ( $T \rightarrow T \times F$ )
$E + T$	$\epsilon$	reduce ( $E \rightarrow E + T$ )
$E$	$\epsilon$	accept

$E \rightarrow E + T \rightarrow E + T \times F \rightarrow E + T \times a \rightarrow E + F \times a \rightarrow E + a \times a \rightarrow T + a \times a \rightarrow a + a \times a$



# Sources of non-determinism



- Choice of the rule to reduce with.
- Choice between shift and reduce.

# A possibly efficient parsing algorithm

A **deterministic shift-reduce parser** can determine at each step and in constant time, based on the content of the stack and the content of the buffer, which action to perform.

For some CFGs, this is possible.

*LR(k)* grammars, for the main parts of many programming languages.

For most CFGs, this is impossible.

# Natural language syntax has lots of ambiguities

PP attachment, modifier scope, etc.

- (1) a. Bob saw a passer-by with his telescope. Bob saw [a passer-by [with his telescope]]. Bob saw [a passer-by] [with his telescope].
- b. Wild cats and dogs chase rats. [[Wild cats] and dogs] chase rats. [Wild [cats and dogs]] chase rats.
- c. The men and women from Tirol... [[The [men and women]] from Tirol]... [The men] and [women from Tirol]... [[The men] and [women] from Tirol]...

→ Deterministic parsing is not available for natural languages.

# Chart parsing is a possible answer to ambiguity

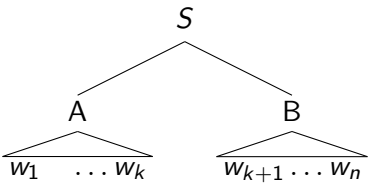
- Idea:
  - decompose the analysis of the query  $w$  into the independent analyses of all spans of  $w$ ,
  - the result of these subanalyses are then combined to provide analyses of the whole  $w$ .
- A data structure stores all partial analyses so that the analysis of each span is done only once.  
→ dynamic programming

Two well-known chart parsing algorithms:

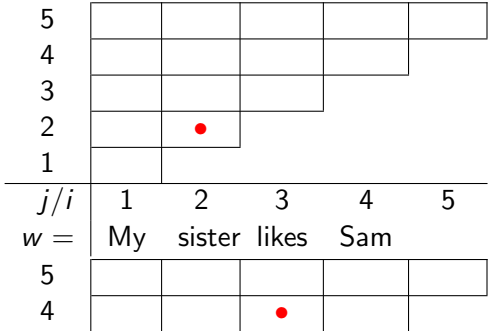
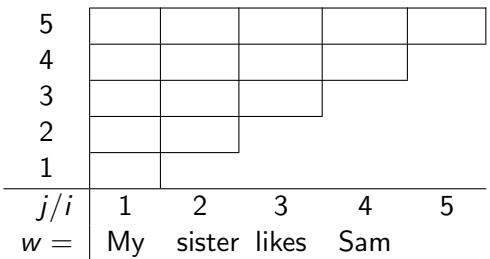
- CYK: bottom-up algorithm, works with CFGs in Chomsky Normal Form.
- Earley: mostly top-down, works with all CFGs.

# Factoring the computation

- Given a CFG  $G$  and a query  $w \dots$
- Suppose  $S \xRightarrow{*} AB$ .
- To answer the question whether  $AB \xRightarrow{*} w$ ,
- we may look for a  $k \in [1, n]$  (with  $n = |w|$ ) such that:
- $A \xRightarrow{*} w_{1:k}$  and  $B \xRightarrow{*} w_{k+1:n}$ .



# Constituent chart: cells correspond to spans



# Constituent chart: information stored in the cells

- CYK: Non-terminal symbols are stored in the chart.
- Earley: ...

5					
4					
3					
2					
1					
$j/i$	1	2	3	4	5
$w =$	My	sister	likes	Sam	

5					
4					
3		<i>N</i>			
2					
1					
$j/i$	1	2	3	4	5
$w =$	My	sister	likes	Sam	

# Constituent chart: a complete example

- S* → *NP VP*
- NP* → *Det N*
- NP* → *PN*
- VP* → *V NP*
- VP* → *V*
- Det* → my | the
- N* → sister | moon
- V* → likes | knows
- PN* → Sam | Joan

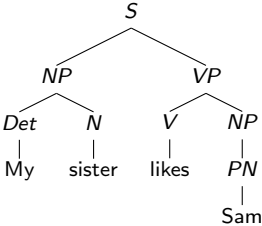
5	<i>S</i>	$\emptyset$	<i>VP</i>	$\{PN, NP\}$	$\emptyset$
4	<i>S</i>	$\emptyset$	$\{V, VP\}$	$\emptyset$	
3	<i>NP</i>	<i>N</i>	$\emptyset$		
2	<i>Det</i>	$\emptyset$			
1	$\emptyset$				
<i>j/i</i>	1	2	3	4	5
<i>w =</i>	My	sister	likes	Sam	

- There can be multiple non-terminal symbols in a cell.
- $w \in \Sigma^* \in \mathcal{L}(G)$  iff  $S \in T[1, |w| + 1]$



# Decoding the constituent chart

5	<i>S</i>	∅	<i>VP</i>	{ <i>PN, NP</i> }	∅
4	<i>S</i>	∅	{ <i>V, VP</i> }	∅	
3	<i>NP</i>	<i>N</i>	∅		
2	<i>Det</i>	∅			
1	∅				
<i>j/i</i>	1	2	3	4	5
<i>w =</i>	My	sister	likes	Sam	



# Chomsky Normal Form

A grammar is said to be in Chomsky Normal Form (CNF) iff all its rules are of one of the following forms:

- **(binary rule)**  $A \rightarrow BC$ , with  $A, B, C \in N$ ,
  - **(lexical rule)**  $A \rightarrow a$ , with  $a \in \Sigma$  and  $A \in N$ .
- 
- Any CFG is weakly equivalent to some CFG in CNF.

# Filling the chart with a CNF grammar (I)

5					
4					
3					
2					
1					

$j/i$       1      2      3      4      5  
 $w =$       My    sister   likes   Sam

5					∅
4				∅	
3			∅		
2		∅			
1	∅				

$j/i$       1      2      3      4      5  
 $w =$       My    sister   likes   Sam

5				<i>PN</i>	∅
4			<i>V</i>	∅	

- S*      →    *NP VP*
- NP*    →    *Det N*
- VP*    →    *V PN*
- Det*    →    my
- N*      →    sister
- V*      →    likes
- PN*    →    Sam

# Filling the chart with a CNF grammar (II)

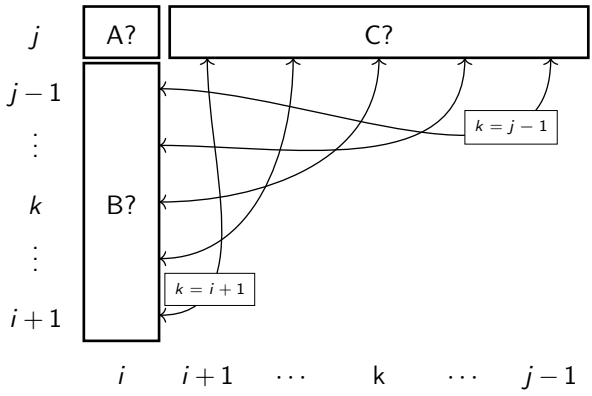
5				<i>PN</i>	$\emptyset$
4			<i>V</i>	$\emptyset$	
3		<i>N</i>	$\emptyset$		
2	<i>Det</i>	$\emptyset$			
1	$\emptyset$				

<i>j/i</i>	1	2	3	4	5
<i>w =</i>	My	sister	likes	Sam	
5				<i>PN</i>	$\emptyset$
4			<i>V</i>	$\emptyset$	
3	<i>NP</i>	<i>N</i>	$\emptyset$		
2	<i>Det</i>	$\emptyset$			
1	$\emptyset$				

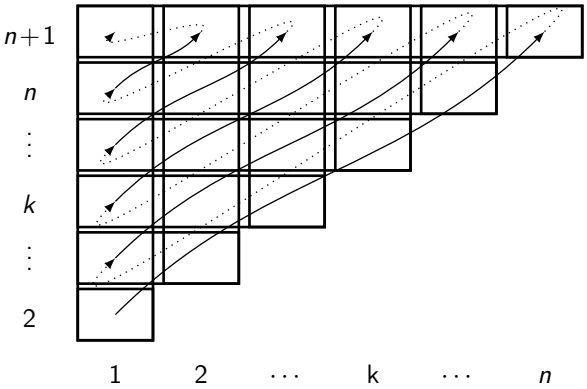
<i>j/i</i>	1	2	3	4	5
<i>w =</i>	My	sister	likes	Sam	
5			<i>VP</i>	<i>PN</i>	$\emptyset$
4			<i>V</i>	$\emptyset$	

- S* → *NP VP*
- NP* → *Det N*
- VP* → *V PN*
- Det* → my
- N* → sister
- V* → likes

# Filling the chart: general case



# Diagonal strategy





# CYK: Algorithm

```

// Input:  u ∈ Σ*
// Output: the constituent chart of u
Function CYK-diagonal(u)
  T := empty chart(u);
  // First diagonal (unary cases)
  for i := 1 to |u| do
    | foreach (A → ui) ∈ P do
    | | T[i, i + 1].add(A);
  // Other diagonals (binary cases)
  for l := 2 to |u| do
    | for i := 1 to |u| + 1 - l do
    | | // loop on the length of the span
    | | // loop on the beginning of the span
    | | j := i + l; // end of the span
    | | for k := i + 1 to j - 1 do
    | | | // loop on the splitting point
    | | | foreach (A → BC) ∈ P do
    | | | | if B ∈ T[i, k] and C ∈ T[k, j] then
    | | | | | T[i, j].add(A);
  return T;
  
```



# CYK Summary

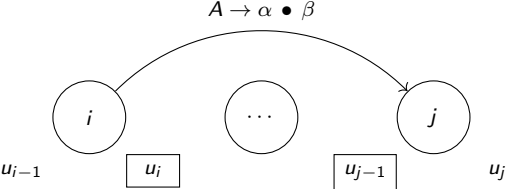
- Time complexity:  $O(n^3)$
- Additional information can be stored for decoding the chart into trees.
- Efficient algorithm but requires transformation into CNF.
- Can be adapted for CCG, TAG, probabilistic CFG...

# Earley Algorithm

- Works with any CFG (no transformation required).
- For CYK, it was possible to store non-terminals in the chart  
( $A \in T[i, j]$  iff  $A \xrightarrow{*} w_{i:j-1}$ ).
- For Earley parsing, the chart will contain **dotted rules**:  
( $A \rightarrow \alpha \bullet \beta$ )  $\in T[i, j]$  iff  $\alpha \xrightarrow{*} w_{i:j-1}$ .
- Successful analysis:  $\exists \alpha, (S \rightarrow \alpha \bullet) \in T[1, |w| + 1]$ .

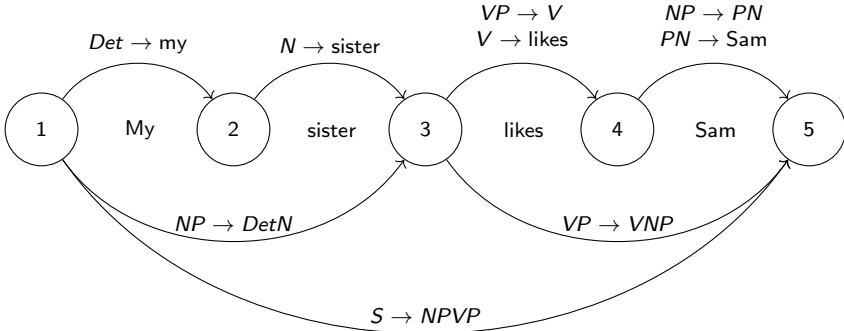
# Earley items

- The information that  $(A \rightarrow \alpha \bullet \beta) \in T[i, j]$ 
  - is an **(Earley) item**
  - and is written “ $(A \rightarrow \alpha \bullet \beta, i, j)$ ”.
- Graphical representation:



- Interpretation:
  - one is trying to recognise  $A$  starting from  $u_i$ ;
  - so far, one has recognised  $\alpha$  up to  $u_{j-1}$  (included).

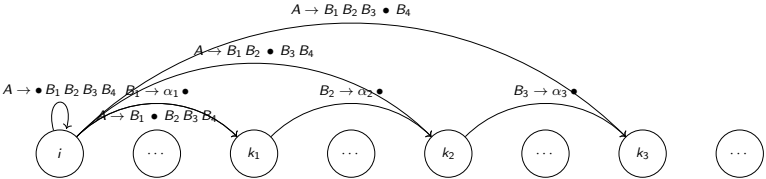
# Another view on the CYK chart



5	S	∅	VP	{PN, NP}	∅
4	S	∅	{V, VP}	∅	
3	NP	N	∅		
2	Det	∅			
1	∅				
$j/i$	1	2	3	4	5
w =	My	sister	likes	Sam	

# Use of dotted rules

- The use of dotted rules makes it relatively easy to generalise the idea behind CYK to non-binary rules.
- Example:



- An Earley item can be interpreted as an hypothesis:  $(A \rightarrow \alpha \bullet \beta, i, j)$  indicates that one is trying to recognise  $A$  starting from  $i$ .

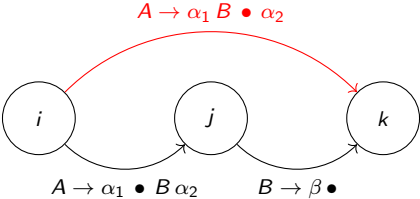
# Vocabulary

- Inactive item:  $(A \rightarrow \alpha \bullet, i, j)$ .
- Active item: item that is not inactive.
- Initial item:  $(A \rightarrow \bullet \alpha, i, j)$ .

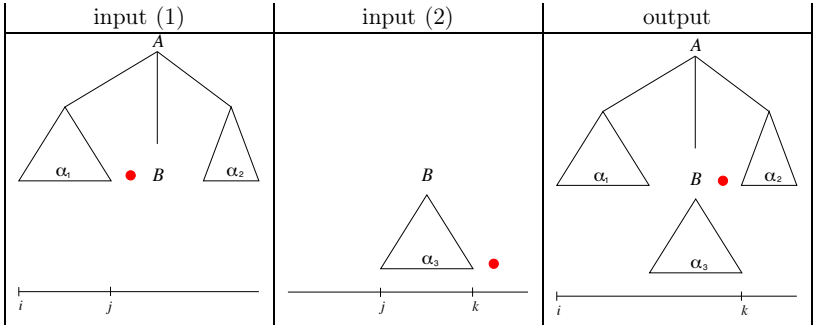
# Fundamental operation

## comp ("complete")

- Input:  $(A \rightarrow \alpha_1 \bullet B \alpha_2, i, j)$  and  $(B \rightarrow \beta \bullet, j, k)$
- Output:  $(A \rightarrow \alpha_1 B \bullet \alpha_2, i, k)$



# Another view on comp

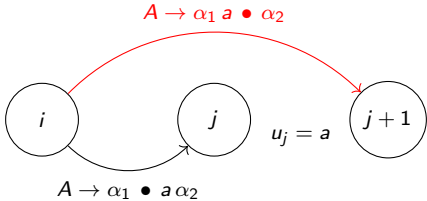




# Other essential operation

scan

- Input:  $(A \rightarrow \alpha_1 \bullet a \alpha_2, i, j)$  provided that  $u_j = a$
- Output:  $(A \rightarrow \alpha_1 a \bullet \alpha_2, i, j + 1)$



- `comp` and `scan` “advance” existing items.
- How/when are initial items introduced?
- → Several versions (i.e. strategies) of the algorithm.

# First strategy

- The chart is initialised with all possible initial items (i.e.  $(A \rightarrow \bullet \alpha, i, i)$ ).
- $\rightarrow$  bottom-up parsing (not unlike CYK).

# First strategy

---

**Algorithm 1:** Simple Earley analysis

---

```

Function earley-simple(u)
  // Initialisation
  T := empty chart(u);
  for j := 1 to |u| + 1 do
    T[j] := ordered_set();
    foreach (A →  $\alpha$ ) ∈ P do T[j].add((A → •  $\alpha$ , j));
  // Main loop
  for j := 1 to |u| + 1 do
    k := 0;
    while k < len(T[j]) do
      (A →  $\alpha$  •  $\beta$ , i) := T[j][k];
      if  $\beta$  =  $\epsilon$  then // comp?
        k' := 0;
        while k' < len(T[i]) do
          (A' →  $\alpha$ ' •  $\beta$ ', i') := T[i][k'];
          if  $\beta_1' = A$  then
            T[j].add((A' →  $\alpha$ '  $\beta_1'$  •  $\beta_{2:|\beta_1'|}$ ', i'));
            k' += 1;
          else if j < |u| + 1 then // scan?
            if  $\beta_1 = u_j$  then
              T[j + 1].add((A →  $\alpha$   $\beta_1$  •  $\beta_{2:|\beta_1|}$ , i));
            k += 1;
    return T;
  
```

---

# First strategy

- Let's analyse *Sabine saw a truck* with a grammar such that

$$P = \left\{ \begin{array}{l} S \rightarrow \text{NP VP}, \\ \text{NP} \rightarrow \text{DET N} \mid \text{PN}, \\ \text{VP} \rightarrow \text{V} \mid \text{V NP}, \\ \text{DET} \rightarrow \textit{the} \mid \textit{a}(n), \\ \text{N} \rightarrow \textit{truck} \mid \textit{experiment}, \\ \text{PN} \rightarrow \textit{Sabine} \mid \textit{Fred} \mid \textit{Jamy}, \\ \text{V} \rightarrow \textit{saw} \mid \textit{prepared} \end{array} \right\}.$$

# First strategy

Sabine	1	$\dots (\text{PN} \rightarrow \bullet \text{Sabine}, 1), (\text{NP} \rightarrow \bullet \text{PN}, 1), (\text{S} \rightarrow \bullet \text{NP VP}, 1) \dots$
saw	2	$\dots (\text{V} \rightarrow \bullet \text{saw}, 2), (\text{VP} \rightarrow \bullet \text{V}, 2), (\text{VP} \rightarrow \bullet \text{V NP}, 2) \dots$ $(\text{PN} \rightarrow \text{Sabine} \bullet, 1), (\text{NP} \rightarrow \text{PN} \bullet, 1), (\text{S} \rightarrow \text{NP} \bullet \text{VP}, 1)$
a	3	$\dots (\text{DET} \rightarrow \bullet \text{a}, 3), (\text{NP} \rightarrow \bullet \text{DET N}, 3) \dots (\text{V} \rightarrow \text{saw} \bullet, 2),$ $(\text{VP} \rightarrow \text{V} \bullet, 2), (\text{VP} \rightarrow \text{V} \bullet \text{NP}, 2), (\text{S} \rightarrow \text{NP VP} \bullet, 1)$
truck	4	$\dots (\text{N} \rightarrow \bullet \text{truck}, 4) \dots (\text{DET} \rightarrow \text{a} \bullet, 3), (\text{NP} \rightarrow \text{DET} \bullet \text{N}, 3)$
	5	$\dots (\text{N} \rightarrow \text{truck} \bullet, 4), (\text{NP} \rightarrow \text{DET N} \bullet, 3), (\text{VP} \rightarrow \text{V NP} \bullet, 2),$ $(\text{S} \rightarrow \text{NP VP} \bullet, 1)$

**Table:** Chart built during the analysis of *Sabine saw a truck*. Items introduced during the initialisation are shown in black (only the useful ones are shown). Items introduced by scan are shown in green. Items introduced by comp are shown in blue.

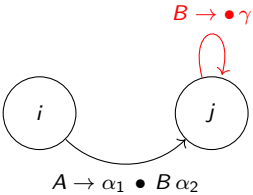
# Better version

- The original Earley algorithm.
- The only items introduced initially are the ones of the shape  $(S \rightarrow \bullet \alpha, 1, 1)$ .
- A new operation, `pred` (*predict*), is used to introduce additional initial items.
- `pred` is used to introduce an initial item only if this item may be used to advance an item already introduced.
- → bottom-up parsing with top-down information.

# Better version

**New operation: pred**

- Input:  $(A \rightarrow \alpha_1 \bullet B \alpha_2, i, j)$  where  $B \in N$
- Output:  $(B \rightarrow \bullet \gamma, j, j)$  for all  $(B \rightarrow \gamma) \in P$





# Better version

---

## Algorithm 2: Earley analysis

---

```

Function earley(u)
  // Initialisation
  T := empty chart(u);
  for j := 1 to |u| + 1 do T[j] := ordered_set();
  foreach (S → α) ∈ P do T[1].add((S → • α, 1));
  // Main loop
  for j := 1 to |u| + 1 do
    k := 0;
    while k < len(T[j]) do
      (A → α • β, i) := ∈ T[j][k];
      if β = ε then                                // comp?
        k' := 0;
        while k' < len(T[i]) do
          (A' → α' • β', i') := T[i][k'];
          if β'1 = A then
            T[j].add((A' → α' β'1 • β'2:|β'|, i'));
            k' += 1;
          else if β1 ∈ N then                      // pred?
            foreach (β1 → γ) ∈ P do
              T[j].add((β1 → • γ, j));
          else if j < |u| + 1 then                // scan?
            if β1 = uj then
              T[j + 1].add((A → α β1 • β2:|β|, i));
            k += 1;
    return T;

```

---

# Better version

- Let's analyse *Sabine saw a truck* with a grammar such that

$$P = \left\{ \begin{array}{l} S \rightarrow \text{NP VP}, \\ \text{NP} \rightarrow \text{DET N} \mid \text{PN}, \\ \text{VP} \rightarrow \text{V} \mid \text{V NP}, \\ \text{DET} \rightarrow \textit{the} \mid \textit{a}(n), \\ \text{N} \rightarrow \textit{truck} \mid \textit{experiment}, \\ \text{PN} \rightarrow \textit{Sabine} \mid \textit{Fred} \mid \textit{Jamy}, \\ \text{V} \rightarrow \textit{saw} \mid \textit{prepared} \end{array} \right\}.$$

## Better version

Sabine	1	(S → • NP VP, 1), (NP → • PN, 1)⋯ (PN → • Sabine, 1)⋯
saw	2	(PN → Sabine ●, 1), (NP → PN ●, 1), (S → NP ● VP, 1), (VP → • V, 2), (VP → • V NP, 2), (V → • saw, 2)⋯
a	3	(V → saw ●, 2), (VP → V ●, 2), (VP → V ● NP, 2), (S → NP VP ●, 1), (NP → • DET N, 3)⋯ (DET → • a, 3)⋯
truck	4	(DET → a ●, 3), (NP → DET ● N, 3), (N → • truck, 4)⋯
	5	(N → truck ●, 4), (NP → DET N ●, 3), (VP → V NP ●, 2) (S → NP VP ●, 1)

**Table:** Chart built during the analysis of *Sabine saw a truck*. Items introduced during the initialisation are shown in black. Items introduced by scan are shown in green. Items introduced by comp are shown in blue. Items introduced by pred are shown in red (only the useful ones are shown).



