Type Theory with Records for Natural Language Semantics: Lecture 4

Jonathan Ginzburg Université Paris-Diderot, Sorbonne Paris-Cité Robin Cooper University of Gothenburg

Grounding

- Grounding (Herb Clark and collaborators): A's dialogue move m₁ before it enters the common ground must be grounded by B. Grounding requires that B understands m₁ relative to her own purposes.
- Alwood: 'Contributions in the form of "acknowledging feedback" are not needed to constitute speech acts but rather to inform the interlocutor of the extent to which his communicative objectives are met.'
- Traum 1994: computationally explicit account; fused into Conversational Discourse Representation Theory in collaboration with Massimo Poesio (PTT).
- ▶ PTT integrates grounding into the general semantic interpretation process, uses DRT to account for anaphoric uses to previous utterances; very detailed picture of the common ground subsequent to an utterance.

Failing to ground

- ▶ How to construe the grounding criterion?
- Not so crucial to formalize B understands m₁ relative to her own purposes. if one concentrates on successful cases (for discussion of challenges to formalization see e.g. Traum 1999).
- ▶ More crucial if one wishes to study What are the consequences of grounding failure?

When grounding fails: CRification

(1) Tim: Could I have one of those (unclear)? Dorothy: Can you have what? Tim: Have one of those things. Dorothy: What things? Tim: Those pink things that af after we had our lunch. Dorothy: Pink things? Tim: Yeah. Er those things in that bottle. Dorothy: Oh I know what you mean. For your throat?

When grounding fails: CRification

- Clarification Requests (CRs)—one of the most explicit pieces of evidence we have of the distribution of sources of trouble in interaction.
- ▶ Occur approx 5% of the time (BNC: 'eh': 1943, pardon: 768)
- ▶ More *difficult* cognitively: kids start producing only from approx. 30 months; no evidence of non-human CRs.
- Crucial tool of linguistic stability: evidence from simulations (see Macura and Ginzburg, 2008, Macura 2007 PhD thesis)

Purver et al taxonomy

- ► There are a wide range of forms of CRs that can follow a given utterance—their characterization is an adequacy requirement for any theory of dialogue context:
- ► See Purver et al 2001, Purver, 2004, for the taxonomy of CRs used here.
- ► This is based on a random sampling of the 10 million word dialogue subcorpus of the BNC consisting of c. 150,000 words. 4% of sentences were found to be clarification requests.

CRs: form classification

- (2) a. A: Did Bo leave?
 - b. Wot B: Eh? / What? / Pardon?
 - c. Explicit B: What did you say? / Did you say 'Bo' ?
 - d. Literal reprise B: Did BO leave? / Did Bo LEAVE?
 - e. *Wh-substituted Reprise* B: Did WHO leave? / Did Bo WHAT?
 - f. Reprise sluice B: Who? / What?
 - g. Reprise fragment (CE) B: Bo? / Leave?
 - h. *Gap* B: Did Bo . . . ?
 - i. Filler: A: Did Bo ... B: Win? (Table I from Purver, 2006)

CRs: content classification

- ► Four classes of contents were identified: they can be exemplified in the form of Explicit CRs:
 - (3) a. Repetition: What did you say? Did you say 'Bo'?
 - b. **Clausal confirmation**: Are you asking if Bo left? You're asking if who left?
 - c. **Intended Content**: What do you mean ()? Who is 'Bo'?
 - d. **Correction**: Did you mean to say 'Bro'?

CRs: content classification

- Many CR utterances are multiply ambiguous. The most extreme case is RF, which seems able to exhibit all four readings, main two being clausal and intended-content:
 - (4) a. Marsha: yeah that's it, this, she's got three rottweilers now and Sarah: three? Marsha: yeah, one died so only got three now Are you saying she's got THREE rottweilers now?
 - (5) Tim: Could I have one of those (unclear)? Dorothy: Can you have what? Tim: Have one of those things. Dorothy: What things? Tim: Those pink things that af after we had our lunch. Dorothy: Pink things? Tim: Yeah. Er those things in that bottle. Dorothy: Oh I know what you mean. For your throat?

CR form and type as percentage of CRs – demographic portion

	expl	lit	sub	slu	rf	gap	fil	wot	oth	Total
cla	4.1	4.7	1.0	11.3	24.8	0	0	0	0.5	46.5
int	6.2	0	0	0	1.8	0	0	5.7	0	13.6
rep	0.8	0	2.6	2.3	0.3	0.5	3.1	26.3	0	35.9
cor	1.0	0.5	0	0	1.0	0	0	0	0	2.6
oth	0	0	0	0	0.8	0	0	0.5	0	1.3
Total	12.1	5.2	3.6	13.6	28.6	0.5	3.1	32.5	0.5	100.0

CR form and type as percentage of CRs – demographic portion

- ➤ CRs were found to make up just under 4% of sentences when calculated over the demographic portion, or just under 3% when calculated over all domains.
- ▶ Forms: Commonest: wot and reprise fragment forms, with each making up over 25% of CRs. Explicit CRs and reprise sluices also common, each contributing over 10% of CRs. Other forms are all around 5% or less.
- ▶ Readings: nearly 50% of CRs— clausal-conf with the repetition (about 35%) and int-content (about 15%) non-trivial.

CE: parallelism conditions

- ► The clausal-conf and intended-content readings involve distinct syntactic and phonological parallelism conditions.
- Clausal readings do not require phonological identity between target and source:
 - (6) a. A: Did Bo leave? B: My cousin? b. A: Did she annoy Bo? B: Sue?
- ▶ syntactic parallelism: an XP used to clarify an antecedent sub-utterance *u*₁ must match *u*₁ categorially:
 - (7) a. A: I phoned him. B: him? / #he?
 - b. A: Did he phone you? B: he? / #him?
 - c. A: Did he adore the book. B: adore? / #adored?
 - d. A: Were you cycling yesterday? B: Cycling?/biking?/#biked?

CE: parallelism conditions

- ▶ Int-cont readings of CE do seem to involve (segmental) phonological identity with their source.
 - (8) (i) A: Did Bo leave? B: Max? (cannot mean: int-cont reading: who are you referring to?)

Non-existent CRs

- ► Two of the most highly researched areas in formal and computational grammar are syntactic ambiguity (e.g. prepositional attachment) and scopal ambiguity.
- not a single CR concerned with syntactic or scopal ambiguity has been found, suggesting that either these are not domains that involve much uncertainty for interlocuters in human conversation, or that there is some factor that prevents their production.
- ► See Ginzburg, 2012 for discussion of constructed scope disambiguation CRs such as:
 - (9)
- A(1): The boys kept a cat.
 - B(2): A cat? One cat for all the boys or different ones?
 - A(3): They each kept a cat.

Empirical Conclusions

- ► Schegloff's claim: (applied to CRs, not self-repair) 'Because anything in talk can be a source of trouble, everything in conversation is, in principle, "repairable".' use
- ▶ Evidence from three corpus studies Purver et al. (2001); Rodriguez and Schlangen (2004); Rieser and Moore (2005) (two concern English conversations, one German; two involve task oriented conversations, the most comprehensive involves a wide range of primarily free unrestricted conversation types.)

Empirical Conclusions

- ▶ Restricted range of contents: the function of CRs seems, to a very large extent, to consist of either (a) confirming or querying intended content or (b) requesting repetition of a misheard (sub)-utterance. use
- ➤ Syntactic and phonological parallelism: CRs frequently exhibit (segmental) phonological parallelism with their source, indeed for certain form/content combinations this is a grammatical requirement; this requirement is weakened to syntactic parallelisms for other constructions.

GRCR conditions

▶ The ability to characterize for any utterance type the update that emerges in the aftermath of successful mutual understanding (grounding), and the full range of possible clarification requests (Clarification interaction = CRification) otherwise.

- Need entity which (a) both CPs have interest in preserving,
- from which range of CRs is derivable,
- and which allows original speaker (Ariadne) to interpret and recognize the coherence of a class of possible clarification queries that original addressee (Barabas) might make.
- allows utterance presuppositions to be derived.

- ► Content: pro: in Ariadne's DGB post-utterancely; con: not necessarily in Barabas'; too coarse grained.
- Meanings (Montague/Kaplan sense): pro: range of contextual parameters offers a possible characterization of the contextually variable and hence potentially problematic constituents of utterance content.
- if we conceive of meanings as entities which characterize potential sources of misunderstanding, then at a minimum all open class words will also need to be assumed to project parameters which requiring instantiation in context.

- ► Con 1: coarse grained
 - (10) a. Ariadne: Jo is a lawyer. Barabas: A lawyer?/What do you mean a lawyer?/#What do you mean an advocate?/#What do you mean an attorney?
 - b. Ariadne: Jo is an advocate. Barabas: #What do you mean a lawyer?/An advocate?/What do you mean an advocate?/#What do you mean an attorney?
 - Con 2: need syn/phon data to ensure potential for syntactic and phonological parallelism (e.g. for CE).

Sub-utterance potential for CRs

- ➤ a priori ANY sub-utterance is clarifiable (but significant caveats qualitatively and quantitatively):
 - (11) a. Who rearranged the plug behind the table?
 - b. Who? / rearranged?/ the plug? / behind? / the table?
 - c. A: Is that the shark? B: The? B: Well OK, A. (based on an example in the film Jaws.)
- ➤ The consequences this has for utterance representation is that we need to ensure that for a given utterance each sub-utterance is accessible as an antecedent.

An utterance type

```
PHON: is georges here
                                  CAT = V[+fin]: syncat
                               constits = \{is, georges, here, is georges here\}: set(sign)
seorge.

spkr: IND
addr: IND
c1: address(s,a)
s0: SIT
l: LOC
g: IND
c3: N^
                                                                                                                                                                                                                                                     c3: Named(g, 'georges')
                               \mathsf{cont} = \mathsf{Ask}(\mathsf{spkr},\mathsf{addr},? \middle| \begin{matrix} \mathsf{sit} = \mathsf{s0} \\ \mathsf{sit}\mathsf{-type} = \mathsf{In}(\mathsf{I},\mathsf{g}) \end{matrix}) : \mathsf{IllocProp} \\ | \mathsf{sit} = \mathsf{som} \\ | \mathsf{sit} = \mathsf{som} \\ | \mathsf{sit} = \mathsf{som} \\ | \mathsf
```

- The locutionary proposition defined by u, T_u is a grammatical type that classifies u is the proposition $\begin{bmatrix} \text{sit} = \text{u} \\ \text{sit-type} = \text{T}_u \end{bmatrix}$. This
 - will deliver GRCR conditions.
- Why the grammatical type:
 - Finer grain than content, meaning
 - syn/phon parallelism with source utterance
- Why the utterance token:
 - Need instantiated content, not merely meaning
 - ▶ Reference to sub-utterances tokens figure in CRs ('Bo?' = Who referring to in that utterance of 'Bo'.)

A locutionary proposition

```
(12)
                                                      phon = dijoliv
                                                  dgb\text{-params} = \begin{bmatrix} s0 = sit0 \\ t0 = time0 \\ j = j0 \\ c3 = c30 \end{bmatrix}cont = ([]) \begin{bmatrix} sit = s0 \\ sit\text{-type} = Leave(j,t0) \end{bmatrix}
                                                                PHON : did jo leave
                                                                  CAT = V[+fin,+root]: syncat
                                                                constits = {did, jo, leave}: set(sign)
                                 \label{eq:sit-type} \begin{aligned} \text{sit-type} &= \begin{bmatrix} \text{s0: SIT} \\ \text{t0: TIME} \\ \text{j: IND} \\ \text{c3: Named(j,jo)} \end{bmatrix} \\ \text{cont} &= ([]) \begin{bmatrix} \text{sit} &= \text{s0} \\ \text{sit-type} &= \text{Leave(j,t0)} \end{bmatrix} \\ \text{Questn} \end{aligned}
```

Incorporating metacommunicative interaction

- Add resource: Pending—incompletely processed utterances.
- ▶ In light of need for fine grainedness and non-semantic parallelism:

Change type of resource Moves, Pending keep track of \(\) utt. token, utt. type > pair (locutionary propositions)

New defn of DGBType:

addr: Ind utt-time: Time

spkr: Ind

c-utt: addressing(spkr,addr,utt-time)

Facts : Set(Prop)

Pending: list(LocProp)

 $\begin{aligned} \mathsf{Moves} &: \mathsf{list}(\mathsf{LocProp}) \\ \mathsf{QUD} &: \mathsf{poset}(\mathsf{Question}) \end{aligned}$

Incorporating metacommunicative interaction

- ► Grounding: utterance type fully classifies utterance token
- CRification: utterance type calculated is weak (e.g. incomplete word recognition); need further information to spell out token (e.g. incomplete contextual resolution).

Pending: composition

- ► Utterances are kept track of in a contextual attribute PENDING in the immediate aftermath of the speech event.
- For Given a presupposition that u is the most recent speech event and that T_u is a grammatical type that classifies u, a record of the form $\begin{bmatrix} \text{sit} = u \\ \text{sit-type} = T_u \end{bmatrix}$ (of type LocProp (locutionary proposition)), gets added to PENDING.

Contextual extension

Contextual instantiation will of course occur as soon as an utterance has taken place, but it can also take place subsequently, as when more information is provided as a consequence of CRification

(13) Contextual extension

given the MaxPending locutionary proposition $p = \begin{bmatrix} sit = u \\ sit + type = T_u \end{bmatrix}$ and a record w that (a) contextually extends u sit-type $= T_u \end{bmatrix}$ and such that (b) w.c - params is a subrecord of the c-param anchoring intended by u's speaker, integrate w into p.

CRification

- ► Failure to fully instantiate contextual parameters or recognize phonological types triggers CRification.
- ► This involves accommodation of questions into context by means of a particular class of conversational rules—Clarification Context Update Rules (CCURs).
- ► We can do this given the highly restricted nature of potential CRs, given our corpus results.

CRification

- Each CCUR specifies an accommodated MaxQUD built up from sub-utterance u1 of the target utterance MaxPending.
- ► Common to all CCURs is a license to follow up *MaxPending* with an utterance which is *co-propositional* with MaxQud
- ▶ We can define CoPropositionality as follows:
 - ▶ Two utterances u_0 and u_1 are co-propositional iff the questions q_0 and q_1 they contribute to QUD are co-propositional.
 - q_0 and q_1 are co-propositional if there exists a record r such that $q_0(r) = q_1(r)$.
- ▶ In practice: co-propositional here: either a CR which differs from MaxQud at most in terms of its domain, or a correction—a proposition that instantiates MaxQud.
- Example: 'Whether Bo left', 'Who left', and 'Which student left' (assuming Bo is a student.)

CRification

Parameter identification:

```
\begin{bmatrix} \mathsf{Spkr} : \mathsf{Ind} \\ \mathsf{MaxPending} : \mathsf{LocProp} \\ \mathsf{u0} \in \mathsf{MaxPending.sit.constits} \end{bmatrix} \mathsf{effects:} \begin{bmatrix} \mathsf{MaxQUD} = \lambda x (\mathit{Mean(pre.spkr}, u0, x) : \mathsf{Question} \\ \mathsf{LatestMove} : \mathsf{LocProp} \\ \mathsf{c1:} \ \mathsf{CoProp(LatestMove.cont,MaxQUD)} \end{bmatrix} \end{bmatrix}
```

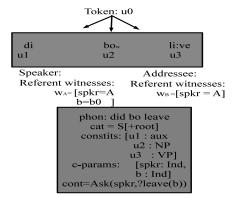
Parameter Identification

- Underpins CRs such as:
 - (14) A: Is Bo here?
 - a. Who do you mean 'Bo'?
 - b. WHO?
 - c. Bo? (= Who is 'Bo'?)
- Example shortly; NSU cases tomorrow.
- ▶ We can also deal with corrections, as in (15). B's corrective utterance is co-propositional with λx Mean(A,u2,x), and hence allowed in by the specification.
 - (15) a. A: Is Bo here?
 - b. B: You mean Jo.

Incorporating metacommunicative interaction

► Single (public) input leads to distinct outputs on 'public level'.

The Turn Taking Puzzle



Grounding:

Moves:= $< u0+w_A, T_{u0}>$ MaxOUD:= ?leave(b)

Crification:

 $P_{ending} := < u0 + w_B, T_{u0} > MaxQUD := ?x.Intend(A, u2, x)$

An example

(16) A(1): Is Georges here?
B(2): WHO do you mean?
A(3): George Sand.
B:(4) Ah,(5) no.

Example

```
T_u = IGH
u = u0
```

and - dah0 and

Example

```
\left[ \left[ \mathsf{cont} = \mathsf{Ask}(\mathsf{spkr},\mathsf{addr}, ? \begin{bmatrix} \mathsf{sit} = \mathsf{s0} \\ \mathsf{sit}\text{-type} = \mathsf{In}(\mathsf{I},\mathsf{g}) \end{bmatrix} \right) \right]
                     sit-type = IGH
```

Example

```
\mathsf{spkr} = \mathsf{B}
 addr = A
 T_u = WDYM
 u = u1
c3 = pr3
 q1 = \lambda x \text{ Mean(pre.spkr,pre.v2,x)}: Questn
ig|_{\mathsf{qud}} = ig\langle \mathsf{q} 1 ig
angle
\mathsf{facts} = \mathsf{facts1'} = \mathsf{dgb0.facts} \cup \Big\{\mathsf{MostRecentSpeechEvent(u1)}\Big\}
 | moves = \left\langle \begin{bmatrix} sit = w1 \\ sit-type = WDYM \end{bmatrix} \right\rangle
```

Example

example
$$(18) \quad \text{B.dgb7'} = \begin{bmatrix} \text{spkr} = B \\ \text{addr} = A \end{bmatrix}$$

$$\text{pending} = \left\langle \begin{bmatrix} \text{sit} = \text{w0'} \\ \text{sit-type} = \text{IGH} \end{bmatrix} \right\rangle$$

$$\text{qud} = \left\langle \lambda x \text{Ask}(A,B,?\text{In}(I,x)) \right\rangle$$

$$\begin{cases} \text{In}(I,\left\{A,B\right\}) \\ \text{Named('Georges',g),} \\ \text{2ndMostRecentSpeechEvent(u0),} \\ \text{Classify(IGH,u0)} \\ \text{MostRecentSpeechEvent(u1),} \\ \text{Classify(WDYM,u1)} \end{cases}$$

$$\text{moves} = \left\langle \begin{bmatrix} \text{sit} = \text{w1} \\ \text{sit-type} = \text{WDYM} \end{bmatrix} \right\rangle$$

The TTP revisited

- ▶ A has the question of whether Georges is here as the sole member of QUD, whereas the utterance 'WHO do you mean?' remains pending;
- remains pending because no applicable LatestMoveUR.

The TTP revisited

▶ In contrast, B's QUD consists of the question who do you mean, whereas the utterance 'Is Georges here' is pending.

The TTP revisited

- However, TTP-type mismatches are exhibited intrinsically on the level of production, but need not arise at the level of comprehension.
- ▶ That is, in the current example—and more generally—it is rarely the case that the author of an utterance *u* fails to understand CRs relating to *u*, let alone to recognize their coherence.
 - (19) A: Who does Bo admire? b: Bo?
- ▶ In order to enable this possibility, we offer a rule that *inter alia* allows the integration of CRs concerning *u* by the author of *u*.

CR Accommodation

- CCUR.qud(u1)—question accommodated by applying a CCUR to u1.
- ► CR accom rule: if the speaker of LatestMove is the current addressee, p is pending, and u1 is a constituent of LatestMove, one can update moves with p and QUD with CCUR.qud(u1), so long as p is co-propositional with CCUR.qud(u1).

$$\begin{aligned} A.\mathsf{dgb8} = & \begin{bmatrix} \mathsf{spkr} = \mathsf{B} \\ \mathsf{addr} = \mathsf{A} \\ \mathsf{pending} = \langle \rangle \\ \mathsf{qud} = & \Big\langle \lambda \mathsf{xAsk}(\mathsf{A,B,\,}),\, \mathsf{p1?} \Big\rangle \\ \mathsf{facts} = & \mathsf{dgb7.facts} \\ \\ \mathsf{moves} = & \Big\langle \begin{bmatrix} \mathsf{sit} = \mathsf{w1} \\ \mathsf{sit-type} = \mathsf{WDYM} \end{bmatrix} \Big\rangle \\ \\ \mathsf{sit-type} = \mathsf{IGH} \end{bmatrix} \end{aligned}$$

(20) a. A(3): (I'm asking about) George Sand. B:(4) Ah,(5) no.

$$\begin{split} B.dgb8' = & \begin{bmatrix} spkr = A \\ addr = B \end{bmatrix} \\ pending = & \left\langle \begin{bmatrix} sit = w0' \\ sit\text{-type} = IGH \end{bmatrix} \right\rangle \\ qud = & \left\langle ?Mean(A,v2,gs)_i,\lambda xAsk(A,B,\lambda xMean(A,v2,x)) \right\rangle \\ facts = dgb7'.facts \\ moves = & \left\langle \begin{bmatrix} sit = w3 \\ sit\text{-type} = GS \end{bmatrix}' \\ \begin{bmatrix} sit = w1 \\ sit\text{-type} = IWH \end{bmatrix} \right\rangle \\ \end{split}$$

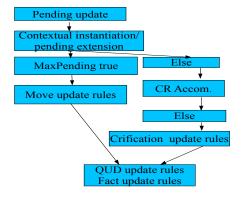
$$\begin{split} B.dgb9' = & \begin{bmatrix} spkr = B \\ addr = A \end{bmatrix} \\ pending = & \left\langle \begin{bmatrix} sit = w0' \\ sit\text{-type} = IGH \end{bmatrix} \right\rangle \\ qud = & \left\langle \right\rangle \\ facts = & \left\{ Ask(A,B,Mean(A,v2,gs)) \right\} \\ & \cup & dgb7'.facts \\ & \begin{bmatrix} sit = w4 \\ sit\text{-type} = Ah \end{bmatrix}' \\ moves = & \left\langle \begin{bmatrix} sit = w3 \\ sit\text{-type} = GS \end{bmatrix}' \right\rangle \\ & \begin{bmatrix} sit = w1 \\ sit\text{-type} = IWH \end{bmatrix} \end{split}$$

```
B.dgb10' =
spkr = B
addr = A
                 sit-type = IGH
qud = dgb9'.qud
facts = dgb9'.facts
moves = dgb9'.moves
```

$$\begin{split} B.dgb11' = & \begin{bmatrix} \text{spkr} = B \\ \text{addr} = A \\ \text{pending} = \langle \rangle \\ \text{qud} = \text{dgb9'.qud} \\ \text{facts} = \text{dgb9'.facts} \\ \text{moves} = \left\langle \begin{bmatrix} \text{sit} = \text{w0} \\ \text{sit-type} = \text{IGH} \end{bmatrix}, \, \text{dgb10'.moves} \right\rangle \end{bmatrix} \end{split}$$

```
\begin{aligned} \text{B.dgb12'} &= \begin{bmatrix} \text{spkr} = \text{B} \\ \text{addr} &= \text{A} \\ \text{pending} &= \langle \rangle \\ \text{qud} &= \left\langle ?\text{In(lo,gs)} \right\rangle \\ \text{facts} &= \text{dgb9'.facts} \\ \text{moves} &= \text{dgb11'.moves} \end{bmatrix} \end{aligned}
```

Summary



- Gregory, H. and Lappin, S. (1999). Antecedent contained ellipsis in hpsg. In G. Webelhuth, J. P. Koenig, and A. Kathol, editors, *Lexical and Constructional Aspects of Linguistic Explanation*, pages 331–356. CSLI Publications, Stanford.
- Purver, M., Ginzburg, J., and Healey, P. (2001). On the means for clarification in dialogue. In J. van Kuppevelt and R. Smith, editors, *Current and New Directions in Discourse and Dialogue*, pages 235–256. Kluwer.
- Rieser, V. and Moore, J. (2005). Implications for generating clarification requests in task-oriented dialogues. In *Proceedings* of the 43rd Meeting of the Association for Computational Linguistics, Michigan.
- Rodriguez, K. and Schlangen, D. (2004). Form, intonation and function of clarification requests in german task-oriented spoken dialogues. In J. Ginzburg and E. Vallduvi, editors, *Proceedings*.

of Catalog'04, The 8th Workshop on the Semantics and Pragmatics of Dialogue, Universitat Pompeu Fabra, Barcelona.