

Hyperintensional Dynamic Semantics

Toward a Higher-Order Theory of Presupposition

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November 8, 2010

Dynamic Categorical Grammar (DyCG)

- An interdisciplinary seminar at Ohio State University
- Initiated in Spring 2009 by Scott Martin, Carl Pollard, Craige Roberts, and Elizabeth Smith
- Goal: an integrated theory of NL syntax, semantics, and pragmatics which is
 - formally explicit
 - computationally implemented
 - pedagogically sound (comprehensible to linguists)
 - equipped to handle presupposition and other kinds of projective meaning

DyCG Integrates Three Research Traditions

- the *curryesque* tradition in categorial grammar
- the *hyperintensional* tradition in sentence semantics
- the *dynamic* tradition in discourse semantics

Curryesque Categorical Grammar (1/2)

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- Cresswell's (1973) λ -categorical grammars
 - first use of λ -abstraction in *syntactic* terms
 - use of *tupling* in syntactic terms anticipates later use of string terms at pheno level

Curryesque Categorical Grammar (2/2)

- Oehrle (1994):
 - linear logic for tecto types, λ -calculi for pheno and semantics
 - string concatenation as a term-forming operation at the pheno level
 - Montague's 'quantifier lowering' implemented via β -reduction at the pheno level

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 - term calculi at all three levels (pheno, tecto, semantics)
 - categorical functors from tecto to pheno and to semantics
- Muskens' (2001) λ -grammar: 'overt movement traces' implemented as 'lowering' of null string at pheno level

Hyperintensional Semantics

- Finer-grained alternatives to Montague semantics (Thomason 1980, Pollard 2004, Muskens 2007)
- Does everything Montague semantics does, but avoids some of its foundational problems.

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- Propositions (sentence meanings) are a *basic* type, rather than defined as sets of worlds.
- The entailment relation on propositions is not antisymmetric, so truth-conditionally equivalent propositions need not be equal.
- The Montagovian menagerie (worlds, intensions, extensions) are all definable, but NL grammars never need to make reference to them.

Dynamic Semantics: Introduction

- Pioneered by Kamp (1981), Heim (1982), Barwise (1986), Rooth (1986).
- Handles phenomena not handled by ‘static’ semantics (no matter whether Montagovian or hyperintensional):
 - novelty condition on indefinites
 - cross-sentential anaphora
 - donkey anaphora

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- DR's are abstract objects that mediate between the discourse and the individuals the discourse is about.
- DR's (not individuals) are the 'antecedents' of definite expressions (such as pronouns, names, and definite descriptions).

Dynamic Semantics: Drawbacks

- Not much agreement about the mathematical/logical foundations.
- Not much agreement about how to model contexts.
- Unclear how to model *presuppositions*, the conditions on contexts that must hold for an utterance to be felicitous.

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- No formal devices beyond ordinary classical HOL
- But these proposals are themselves problematic:
 - Muskens treats anaphora as nondeterministic.
 - de Groot treats anaphora as *too* deterministic (oracular).
 - Neither extends straightforwardly to presuppositions other than definite pronominal anaphora.

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- We borrow ideas from both Muskens and de Groote, but employ a richer notion of context.
- Our approach for modelling contexts is adapted from Roberts (1996, 2004), which in turn draw inspiration from Lewis and Stalnaker.
- We consider a sampling of presuppositional phenomena:
 - pronouns
 - definite descriptions
 - projection (e.g. through negation)
 - factivity
 - independence of antecedent-of-conditional

Technical Preliminaries: Higher Order Logic

We work in a classical HOL along the lines of Lambek and Scott (1986):

- basic types t (truth values) and ω (natural numbers)
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- Countable disjoint union types (dependent coproducts parametrized by ω), written $\coprod_{n:\omega} A_n$.

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- Preord_A (subtype of $\text{Rel}_{A,A}$): preorders on A
- Notational abuse: we write $\lambda_{x \mid \varphi[x]}.M[x]$ instead of $\lambda_y.M[y]$ when the type of y is a subtype $\{x \in T \mid \varphi[x]\}$.

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- But entailment is *not* assumed to be antisymmetric.
- The type w of worlds is *defined* as a subtype of $p \rightarrow t$ (the ultrafilters).

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- and the corresponding **intensional** type $\text{Int}(A)$ is defined as $w \rightarrow \text{Ext}(A)$.
- So there are intensions. But meanings are hyperintensions, not intensions.

Hyperintensions, Intensions, and Extensions

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- $\mathbf{int}_p : p \rightarrow w \rightarrow t$ is the Stone dual mapping that maps each proposition to the set of worlds which contain it.
- Since entailment is not antisymmetric, \mathbf{int}_p is many-to-one.
- That's why hyperintensional semantics is more fine-grained than Montague semantics.

Hyperintensional Quantifiers

■ $\text{exists} : (e \rightarrow p) \rightarrow p$

Axiom: $\vdash \forall_{P:e \rightarrow p} \forall_{w:w} . (\text{exists } P)@w = \exists_x . (P x)@w$

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a \rightsquigarrow $\lambda_{P,Q}.$ ($\exists \lambda_x.(P x)$ and ($Q x$)) : (e \rightarrow p) \rightarrow (e \rightarrow p) \rightarrow p

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- That's a question about the world, not a linguistic issue.

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- a **common ground** (CG), the conjunction of the propositions taken to be mutually accepted

Introducing Contexts

Synthesizing suggestions of Lewis, Stalnaker, Heim, and Roberts, we take contexts to consist minimally of the following things:

- a list of **discourse referents** (DRs) and an **anchor** function mapping the DRs to entities
We prefer Barwise's term **anchor** to the usual term **assignment** because DRs are not object-language variables, they are a type of abstract semantic object.
- a **common ground** (CG), the conjunction of the propositions taken to be mutually accepted
- a notion of relative **salience** that ranks DRs as candidates to resolve subsequent definite anaphora

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- For each $n \in \omega$, we define the type r_n of n -**resolutions** to be the type of preorders on the first n DRs:

$$r_n =_{\text{def}} \text{Preord}_{\omega_n}$$

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- We abbreviate the three projections of contexts by $\mathbf{a} : c \rightarrow a$, $\mathbf{r} : c \rightarrow r$, and $\mathbf{p} : c \rightarrow p$.
- We further abbreviate $(\mathbf{a} c n)$ to $[n]_c$ (the entity anchored to the DR n in context c)

Functions for Introducing Discourse Referents

For each n :

- the functions $\bullet_n : a_n \rightarrow e \rightarrow a_{(\text{suc } n)}$ (written infix) extend an n -anchor to an $(n + 1)$ -anchor that maps the ‘next’ DR to a specified entity:

$$\begin{aligned} & \vdash \forall_{n:\omega} \forall_{a:a_n} \forall_{x:e} . (a \bullet_n x) n = x \\ & \vdash \forall_{n:\omega} \forall_{a:a_n} \forall_{x:e} \forall_{m:\omega_n} . (a \bullet_n x) m = (a m) \end{aligned}$$

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- the functions $\star_n : r_n \rightarrow r_{(\text{succ } n)}$ add the next DR n to a resolution so that n is incomparable to all $m < n$:

$$\vdash \forall_n \forall_{r:r_n} \forall_{m:\omega_{(\text{succ } n)}} . ((m (\star_n r) n) \vee (n (\star_n r) m)) \rightarrow m = n$$

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- for any n -context c , the ‘next’ DR is n :

$$\vdash \forall_n \forall_{c:c_n} . (\mathbf{next}_n c) = n$$

Functions for Updating Contexts

For each n ,

- the function $::_n: c_n \rightarrow e \rightarrow c_{(\text{succ } n)}$ updates an n -context with a new entity by anchoring the next DR to it:

$$::_n =_{\text{def}} \lambda_{cx}. \langle (\mathbf{a} \ c) \bullet_n x, \star_n (\mathbf{r} \ c), (\mathbf{p} \ c) \rangle$$

This function will be the main ingredient of the dynamic existential quantifier.

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- the function $+_n: c_n \rightarrow c_n$ updates an n -context by conjoining a new proposition to its CG:

$$+_n =_{\text{def}} \lambda_{cp}. \langle (\mathbf{a} \ c), (\mathbf{r} \ c), (\mathbf{p} \ c) \text{ and } p \rangle$$

This function will be the main ingredient in the **dynamicizer** function that converts static predicates (e.g. verb and noun meanings) into their dynamic counterparts.

Static Properties

- We define the **static property** types as follows:

$$p_0 =_{\text{def}} P$$

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donkey, farmer, bray : p_1

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- In particular, 0-ary static properties are just (static) propositions.
- What should their dynamic counterparts be?

Context-Dependent Propositions

- Adapting the approach of de Groote 2006, we first define the type k of **context-dependent propositions**, hereafter CDPs, as:

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- c is a richer type than γ because a γ is just a finite set of entities.

Updates

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$$\Omega =_{\text{def}} \gamma \rightarrow (\gamma \rightarrow p) \rightarrow p.$$

- As with de Groote's right contexts, intuitively the first (CDP) argument should be thought of as corresponding to the continuation of the discourse.

Updates vs. Context Changes

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- We ignore context changes and define the updates we use directly.

Dynamic Properties

- Generalizing Muskens 1996, we treat n -ary dynamic properties as functions from n DRs to updates:

$$d_0 =_{\text{def}} u$$

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- In particular, 0-ary dynamic properties are just updates.
- We abbreviate d_1 (unary dynamic properties) to d .
- So far we don't actually *have* any dynamic properties, so we will define some functions for converting the static properties we already have into dynamic ones.

Dynamicizing Static Properties

- We recursively define the family of **dynamicizer** functions $\mathbf{dyn}_n : p_n \rightarrow d_n$ as follows:

$$\mathbf{dyn}_0 =_{\text{def}} \lambda_{pk} \cdot \lambda_c | k \downarrow c+p \cdot p \text{ and } (k (c + p)) : p \rightarrow u$$

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- The restriction on the context variable in the definition of \mathbf{dyn}_0 is required to ensure that the body of the abstract always makes sense.
- Context variables like this one which are imposed by the body of the abstract are usually not explicitly written but just understood to be there.

Some Dynamic Properties

- Examples

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- Dynamicization is designed to ensure that asserted propositions get added to the common ground of the discourse continuation.

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- Example: *It rains. It snows.* \rightsquigarrow

$$\begin{aligned} \text{RAIN AND SNOW} &= \lambda_k.(\mathbf{dyn}_0 \text{ rain})((\mathbf{dyn}_0 \text{ snow}) k) \\ &= \lambda_k.(\lambda_{kc}.\text{rain and } (k (c + \text{rain}))) (\lambda_c.\text{snow and } (k (c + \text{snow}))) \\ &= \lambda_{kc}.\text{rain and snow and } (k (c + \text{rain} + \text{snow})) \end{aligned}$$

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 $= \lambda_{kc}.\text{rain and snow and } (k (c + \text{rain} + \text{snow}))$
- Note that the CG of the context $(c + \text{rain})$ passed to the second conjunct (SNOW) contains the static propositional content (rain) of the first conjunct.
- Here nothing hinges on it, but in general this has the consequence that presuppositions of the second conjunct can be satisfied by the first conjunct, e.g. *A donkey_i enters. It_i brays.* but $\#$ *It_i brays. A donkey_i enters..*

Dynamic Existential Quantifier

- The **dynamic existential quantifier** is defined as follows:

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- The indefinite article *a* is assigned this dynamic meaning, which maps two dynamic properties (restrictor and scope) to an update:

$$A =_{\text{def}} \lambda_{DE}.\text{EXISTS } \lambda_n.(D n) \text{ AND } (E n) : d \rightarrow d \rightarrow u$$

- A is defined in terms of conjunction, which will ensure that a presupposition of the scope can be satisfied in the restrictor e.g. *a donkey denied it brayed*.

Example with an Indefinite

$$\begin{aligned} a \text{ donkey enters} &\rightsquigarrow \text{A DONKEY ENTER} \\ &= \text{EXISTS } \lambda_n. (\text{DONKEY } n) \text{ AND } (\text{ENTER } n) \\ &= \lambda_{kc}. \text{exists } \lambda_x. ((\text{DONKEY } (c)) \text{ AND } (\text{ENTER } (c))) k (c :: x) \\ &= \lambda_{kc}. \text{exists } \lambda_x. (\text{donkey } x) \text{ and } (\text{enter } x) \\ &\quad \text{and } (k ((c :: x) + \text{donkey } x + \text{enter } x)) \end{aligned}$$

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- For each possible choice of anchor c for the new DR (**next** c), the propositions (**donkey** x) and (**enter** x) are included in the context that gets passed to the rest of the discourse.
- That will enable the new DR to antecede not only a pronoun, but also a definite description such as *the donkey that entered*.

Functions for Handling Presupposition

- the **definedness check** ↓
- the **staticizer** function **stat**
- the **definiteness** function **def**

The Definedness Check

- The **definedness** function

$$\downarrow =_{\text{def}} \lambda_{kc} . (\text{dom } k \ c) : k \rightarrow c \rightarrow t$$

(written infix) maps a CPD (which is a partial function on contexts) to the characteristic function of its domain.

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- Thus \downarrow checks whether a context is in the domain of a CDP.

The Staticizer Function

- The **trivial** CDP

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is used to recover a static proposition from a context and a (suitable) update by ‘pretending’ the discourse has come to an end.

- Theorem (easy):

$$\vdash \forall_c \forall_p. (\mathbf{stat} \ c \ (\mathbf{dyn}_0 \ p)) \equiv p$$

where \equiv is truth-conditional equivalence (mutual entailment).

The Definiteness Function

- For each n , the **definiteness** function

$$\mathbf{def}_n =_{\text{def}} \lambda_{cD} \cdot \bigsqcup_{(\mathbf{r} c)} \lambda_{i:\omega_n} \cdot (\mathbf{p} c) \text{ entails } (\mathbf{stat} c (D i)) : \\ c_n \rightarrow \mathbf{d} \rightarrow \omega_n$$

maps an n -context c and a dynamic property D to the most salient DR entailed by c 's CG to have that property.

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- This function is called by the dynamic meanings of definite noun phrases, such as pronouns:

$$\text{IT} =_{\text{def}} \lambda_{Dkc} \cdot D (\mathbf{def} c \text{ NONHUMAN}) k c : \mathbf{d} \rightarrow \mathbf{u}$$

where $\text{NONHUMAN} =_{\text{def}} (\mathbf{dyn}_1 \text{ nonhuman})$

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where $\text{NONHUMAN} =_{\text{def}} (\mathbf{dyn}_1 \text{ nonhuman})$

- *It brays.* $\rightsquigarrow (\text{IT BRAY}) =$

$$\lambda_{kc} \cdot \text{bray}[\mathbf{def} c \text{ NONHUMAN}] \\ \text{and } (k (c + \text{bray}[\mathbf{def} c \text{ NONHUMAN}])))$$

A Definite Anaphora Example

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where $c'[c, x]$ is $(c :: x) + \text{donkey } x + \text{enter } x$.

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where $c'[c, x]$ is $(c :: x) + \text{donkey } x + \text{enter } x$.

- As long as (1) it is in the CG that donkeys are nonhuman, and (2) no inferrably nonhuman DR more salient than (**next** c) is present, then $[\mathbf{def } c'[c, x] \text{ NONHUMAN}] = x$.
- Details are in Martin and Pollard 2010 (Formal Grammar paper).

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 5. Kim is going to the party. Sandy is going too.
 5. Kim is going to the party. No way Sandy is going too.
 7. #Sandy is going too. (out of the blue)
 8. #No way Sandy is going too. (out of the blue)

Dynamic Negation

- Analogizing directly from de Groote would give the following dynamic meaning:

$$\text{NOT} =_{\text{def}} \lambda_{ukc} \cdot \mathbf{dyn}_0(\text{not}(\mathbf{stat} \ c \ u)) \ k \ c : u \rightarrow u$$

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- We amend this to:

$$\lambda_{uk} \cdot \lambda_c \mid (u \ k) \downarrow_c \cdot \mathbf{dyn}_0(\text{not}(\mathbf{stat} \ c \ u)) \ k \ c$$

- The restriction on the context variable requires that the denial be defined in the same contexts that the update being denied is defined.

Factivity

- Compare these single-speaker discourses:
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 3. It doesn't suck that it's raining. #But it's not raining.
- The difference is that *sucks* is **factive** (presupposes the proposition expressed by its sentential complement), so that the second assertion contradicts the CG.

Analysis of Factivity

- A naive dynamic meaning for *suck* would be:

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- The restriction on the context variable requires that its CG entail the proposition expressed by the sentential complement.

Presuppositions of Conditionals

- In a conditional sentence, the antecedent can satisfy the presuppositions of the consequent:
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- In a conditional sentence, it is presupposed that neither the antecedent nor its denial is entailed by the CG.
Context: The speaker and the addressee are watching a huge rainstorm out the window.
 1. #If it's raining, my convertible is getting ruined.
 2. #If it's not raining, my convertible is getting ruined.

Analysis of Presuppositions of Conditionals (1/2)

- We start with de Groote's dynamic conditional semantics:

$$\text{IF} =_{\text{def}} \lambda_{uv}.\text{NOT} (u \text{ AND } (\text{NOT } v)) : u \rightarrow u \rightarrow u$$

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- Theorem: In the simple case where u and v are the dynamicizations of propositions p and q respectively (and therefore have no presuppositions), we have:

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 - the first conjunct of a conjunction can satisfy the presuppositions of the second conjunct, and
 - presuppositions project through negation.
- However, this does not address the issue of the independence of the antecedent from the CG.

Analysis of Presuppositions of Conditionals (2/2)

- We handle this by amending the definition of IF to be:

$$\lambda_{uvk} \cdot \lambda_c | (\text{stat } c u) \text{ indep } (p c) \cdot \text{NOT } (u \text{ AND } (\text{NOT } v)) k c$$

where $\text{indep} : p \rightarrow p \rightarrow t$ is defined as:

$$\lambda_{pq} \cdot \neg((p \text{ entails } q) \vee (p \text{ entails } (\text{not } q)))$$

- The condition on the context variable has as a consequence that neither the antecedent of the conditional nor its denial is entailed by the common ground.

To Do Next

You name it, we've barely scratched the surface.