

```

standard( Phi, M ).
standard( Phi, N ).

variable( Sort, N, Var ) :-
    prefix( Sort, I ),
    name( N, L ),
    name( Var, [I|L] ).

prefix( e, 88 ). % X
prefix( s, 73 ). % I
prefix( o, 85 ). % U
prefix( p, 86 ). % V
prefix( q, 87 ). % W

```

#### Appendix 5: List Processing Utilities

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appendlist( [], [] ).
appendlist( [H|T], L ) :-
    appendlist( T, R ),
    append( H, R, L ).

append( [], L, L ).
append( [H|T], L, [H|R] ) :-
    append( T, L, R ).

member( X, [H|T] ) :-
    X = H;
    member( X, T ).

select( X, [X|L], L ).
select( X, [H|T], [H|L] ) :-
    select( X, T, L ).

```

## Unification Categorical Grammar\*

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### 1. Setting the Scene

Unification categorical grammar (UCG) is a version of categorial grammar enriched by several insights from Head-driven Phrase Structure Grammar (Pollard 1985a,b; Flickinger, Pollard, and Wasow 1985) and PATR-II (Shieber et al. 1986; Shieber 1986)<sup>1</sup>. The framework is informed by a combination of theoretical and practical considerations. On the theoretical side, there has been a concern to integrate semantics as tightly as possible with syntax, and moreover to reap the benefits of Kamp's work on Discourse Representation, while still preserving compositionality. On the practical side, we have been motivated by the desire to develop a theory which could be implemented as a parser in a reasonably efficient manner.

Classical categorial grammar is best presented by defining the relevant notion of category and by stating the rule of functional application. It is customary to start with two primitive categories: N (name) and S (sentence). The set of categories is then defined as:

- (1) a. N and S are categories
- b. If A and B are categories, A/B is a category.

Functional application is the following rule:

- (2) If  $E_1$  is an expression of category A/B and  $E_2$  is an expression of category B, then  $E_1E_2$  (i.e. the concatenation of  $E_1$  and  $E_2$ ) is an expression of category A.

A categorial grammar is defined by specifying a list of basic expressions together with their categories. The set of expressions that the grammar generates is the closure of the set of basic expressions under functional application.

\* The work reported here was carried out as part of ESPRIT Project 393 (ACORD), "The Construction and Interrogation of Knowledge Bases using Natural Language Text and Graphics". The paper is a shortened and revised version of "Problems of Dialogue Parsing", ACORD deliverable T2.1, by the current authors and Marc Moens. We are grateful to the following people for comments and criticism: Karine Baschung, Gabriel Bea, Bob Carpenter, Annick Cortuy, Robert Dale, Thierry Guilloin, Fies Jowsey, Marc Moens, and Glyn Morrill. All errors are of course our own.

<sup>1</sup> Recent work carried out at SRJ within the PATR framework, in particular Uszkoreit (1986b) and Karttunen (1986) has independently arrived at a similar integration of ideas from categorial grammar. Such a convergence augurs well for the success of this approach.

For applications to natural language, various extensions of this scheme have been proposed.<sup>2</sup> UCG is just one of these extensions, where the notion of a category is expanded. We assign to each expression a number of representations. Most importantly, these are: (a) the way in which the expression is phonologically realised (its orthography, for our purposes), (b) a category specification, and (c) a semantic representation. Following Pollard (1985b), a (complete or incomplete) list of such representations is called a sign.

In UCG, we employ three primitive categories: nouns ('noun'), sentences ('sent') and noun phrases ('np'). These primitive categories admit further specification by features, so that we can distinguish finite and non-finite sentences, nominative and accusative NPs, and so on. Categories are now defined as follows:

- (3) a. Any primitive category (together with a syntactic feature specification) is a category.  
 b. If A is a category, and B is a sign, then A/B is a category.

In a category of the form A/B, we call B the active part of the category, and also of the sign as a whole in which A/B occurs as category. It will be observed that (3b) is just the categorial analog of Pollard's (1985a) proposal for subcategorization, according to which phrasal heads are specified for a list of signs corresponding to their complements.

Within the grammar, we allow not just constant symbols like 'sent' and 'np', but also variables, at each level of representation. Variables allow us to capture the notion of incomplete information, and a sign which contains variables can be further specified by unification. The unification of two representations (if defined) is a third representation which combines all the complete specifications in the first two. Confining our attention to atomic expressions, the situation can be summarized as follows: the unification of two variables is a variable, the unification of a variable and a constant is that constant, and the unification of two distinct constants always fails. We will presently see more complex illustrations of this simple idea.

Unification plays an important role in our use of signs. Functional application in UCG splits into two separate operations: instantiation and stripping. It will be recalled that if a sign has category A/B, then we call B its active part. Instantiation is defined as follows:

- (4)  $S_3$  is the instantiation of  $S_1$  with respect to  $S_2$  if it results from  $S_1$  by unifying its active part with  $S_2$ .

Since unification can fail, there may be many signs with respect to which a given sign  $S_1$

<sup>2</sup>For example, directional categories, Montague grammar (where a notion of rule is added on top of functional application), and combinatory grammar (cf. Van Benthem categorial essays 1986; Geach 1972; Lambek 1958, 1961; Montague 1973; Steedman 1985a).

cannot be instantiated.

The second notion, stripping, receives the definition in (5).

- (5) Given a sign  $S_1$  with category A/B, the result of stripping  $S_1$  is the sign  $S_2$  just like  $S_1$  except that its phonology is the concatenation of  $S_1$ 's and B's phonology, and its category is stripped down to A.

The rule of functional application now takes the following form:

- (6) Let  $S_1$  and  $S_2$  be wellformed signs. Then stripping the instantiation of  $S_1$  with respect to  $S_2$  also results in a wellformed sign.

The set of wellformed expressions can be defined as the phonologies of the set of wellformed signs. These in turn can be defined as the closure of the lexicon under functional application.

To find out if  $S_1$  can be applied as a functor to an argument sign  $S_2$ , all that we need to do is look at the actual definition of  $S_1$ 's category, say A/C, and try to unify C with  $S_2$ . If unification is successful, then stripping the instantiated functor sign will give rise to a result sign  $S_1'$ ; moreover, instantiation will have made  $S_1'$  more completely specified in various useful ways.

This, in essence, is the structure of UCG. We will complicate the picture by distinguishing two rules of functional application, and by giving more content to the notions of semantics, features and linear order.

## 2. The Elements of UCG

### 2.1. Some Notational Conventions

A UCG sign contains four major attributes: phonology (W), syntactic category (C), semantics (S) and order (O). These are usually presented as a vertical list

W  
C  
S  
O

though where convenient they are also written as a sequence, separated by colons:

W:C:S:O

(7) illustrates a typical case, the lexical entry for the verb *visit*:

- (7) visit  
 sent{fin}/W<sub>1</sub>:np:x:pre/W<sub>2</sub>:np:y:post  
 [e]VISIT(e, x, y)  
 O

This is a sign whose phonology attribute is the string *visit*, whose syntactic category is *sent{fin}/W<sub>1</sub>:np:x:pre/W<sub>2</sub>:np:y:post*, whose semantics is *[e]VISIT(e, x, y)*, and whose order is the unspecified variable *O*. The significance of these attributes will be explained shortly. However, some further comment on the complex category may be helpful at this point. It has the form *A/S/S'* (i.e. *(A/S)S'*, assuming association to the left), where *S* and *S'* are themselves signs. Thus, the active part of the category is a sign whose phonology is the variable *W<sub>2</sub>*, whose category is *np*, whose semantics is the individual variable *y*, and whose order is *post*.

In order to simplify notation, we feel free to omit unspecified attributes from the description of the sign (unless the variable occurrence in question is cross-identified with some other occurrence elsewhere in the sign). In practice, this does not seem to lead to difficulties. Thus, the example above can be reduced slightly as follows:

- (8) visit  
 sent{fin}/np:x:pre/np:y:post  
 [e]VISIT(e, x, y)

It is sometimes convenient to have a notation for a sign or attribute that is itself unspecified, but some of whose components are specified or cross-identified. This is achieved by using variable functors. Thus

$E(W:C:S:O)$

introduces a sign *E* with (specified or unspecified) phonology *W*, category *C*, semantics *S* and order *O*.

## 2.2. Categories

We pointed out earlier that our grammar employs the primitive categories *sent*, *np* and *noun*. The first two of these can carry additional feature specifications. These are drawn from the following list inspired by Gazdar, Klein, Pullum, and Sag (1985).

Features	Morphology
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on *sent*:

FIN	finite verb form
CFIN	complementized finite verbal element
BSE	base verb form (i.e. a bare infinitive)
CBSE	complementized base verb form

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INF	infinitive verb form
PRP	present participle
PSP	past participle
PAS	passive participle

on *np*:

NOM	nominative
OBJ	objective
TO	marked with the preposition <i>to</i>
BY	marked with the preposition <i>by</i>
OF	marked with the preposition <i>of</i>
FOR	marked with the preposition <i>for</i>

Having features on these two primitive categories allows for an extra variable, so that

sent

can be read as

sent{F}

where *F* stands for an arbitrary feature.

The main motivation for defining complex categories as *C/Sign* is that it yields a very simple notion of functional application, while simultaneously allowing information from the argument sign to flow to the sign that results from application. This is made possible by sharing variables between the sign and the active part of its category. The information that is transmitted can involve semantics, features, order or even the syntactic category of the argument expression.

Information flows whenever unification occurs, and since unification is commutative, the flow can go in either direction. We illustrate with a simple example. (9) is a lexical entry for the verb *walk*.

- (9) walks  
 sent{fin}/np{nom}:x:pre  
 [e]WALK(e,x)

(10) is plausible as a lexical entry for a proper name (though in fact we adopt a slightly different treatment, to be discussed below).

- (10) john  
 np  
 JOHN

Now suppose we try to unify the active sign

- (11) np{nom}:x:pre

with (10). In order to see what is going on more clearly, let's use a uniform format which includes all the variables:

(12) john  
np  
JOHN  
O

(13) W  
np[nom]  
x  
pre

What results from unification of these two is the sign (14).

(14) john  
np[nom]  
JOHN  
pre

The value for phonology is contributed by (12), as is the semantics, *JOHN*, while a further specification of *np* is contributed by (13), as is a value for the order attribute. As a result, we obtain the following instantiation of (9):

(15) walks  
sent[fin]/john:np[nom]:JOHN:pre  
[e]WALK(e,JOHN)

Notice that as a side-effect of instantiation, the semantics has been further specified. It can now be interpreted as saying that there is an event *e* in which John - not some anonymous *x* - walks.

The argument sign is now marked by the order declaration *pre*, meaning that functional application only succeeds if *john* comes after *walks* in the phonology after functional application. The role of the order attribute will be explicated in the next section.

Now that we have instantiated (15), it can be stripped, yielding (16) as a result.

(16) walks john  
sent[fin]  
[e]WALK(e,JOHN)

The most spectacular changes that instantiation can induce are to be found when unification specifies the result category in the functor-sign. For well-known semantic reasons, we follow Montague (1973) and others in assigning noun phrases a type-raised category. Our notion of type-raising is slightly more general than usual, since we allow category variables. Thus, our lexical entry for *John* looks like (17) (rather than (12)):

(17) john  
C/(C/np:JOHN:O):S:O  
S

The active sign

(C/np:JOHN:O):S:O

contains a complex category *C/np:JOHN:O*. This can be unified with the sign for *walk* we gave above, yielding (18).

(18) walks  
sent[fin]/np[nom]:JOHN:pre  
WALK(e,JOHN)  
pre

That is, *C* has been unified with *sent[fin]*, *O* with *pre*, *S* with *[e]WALK(e, JOHN)*, and the (omitted) phonology variable with *walks*. Note that all the changes we obtained in instantiating (15) with respect to (12) occur here as well. Our original expression (17) has been transformed into (19) as a result of the unification.

(19) john  
sent[fin]/(walks:sent[fin]/np[nom]:JOHN:pre:  
[e]WALK(e,JOHN):pre)  
[e]WALK(e,JOHN)

Functional application can now yield (20).

(20) john walks  
sent[fin]  
[e]WALK(e,JOHN)

Note that this time *walks*, whose sign is marked for order *pre*, is indeed preceded by its functor in the phonology of the result sign.

### 2.3. Linear Order

Natural languages typically exhibit a subtle combination of constraint and freedom in constituent order that are difficult for most linguistic theories to capture, and categorial grammar fares no worse here than other frameworks. Interesting proposals have been made, for example, by Flynn (1983), Karttunen (1986), Steedman (1985b), Uszkoreit (1985, 1986a).

For the time being, we adopt the restriction that only adjacent constituents can combine grammatically, and that the only order specifications are *post* and *pre*. *Post* says, on a sign: 'if I am an argument in a functional application, my functor follows me'. *Pre* says: 'if I am an argument in a functional application, my functor precedes me'.

Functional application is realized by two rules in our current system, depending on the order of functor and argument. The easiest way to understand them is probably to look first at their non-unification categorial equivalents:

(21) R1':  $A \rightarrow A/B \ B$

R2':  $A \rightarrow B \ AB$

That is, every constituent has a binary analysis into a functor and an argument, and the only variation is whether the argument precedes or follows the functor. (22) is a formulation which assumes that unification tests for the appropriate specifications.

(22) R1:  $W_1 W_2; C; S \rightarrow W_1; C/E; S \ E(W_2; pre)$

R2:  $W_2 W_1; C; S \rightarrow E(W_2; post) \ W_1; C/E; S$

Let us look at the interpretation of the first rule: if a functor sign with phonology  $W_1$ , category  $C/X$ , and semantics  $S$  precedes an argument sign  $E$  with phonology  $W_2$ , and order *pre*, and if  $E$  is successfully unified with  $X$ , then the result is a sign with phonology  $W_1 W_2$ , category  $C$ , and semantics  $S$ , where  $C$  and  $S$  may have been altered as a result of unifying  $X$  with  $E$ . Exactly the same thing happens with R2, except that the order of functor and argument is reversed.

#### 2.4. Semantics

The semantic representation language that we use is called InL (for Indexed Language), and is derived from Discourse Representation Theory (cf. Kamp 1981; Heim 1982), supplemented with a Davidsonian treatment of verb semantics (cf. Davidson 1967). The main similarity with the Discourse Representation languages lies in the algebraic structure of InL. There are only two connectives for building complex formulas: an implication that at the same time introduces universal quantification, and a conjunction. The meaning of an implication like (23),

(23)  $[A(x_1, \dots, x_n) \rightarrow B(y_1, \dots, y_k)]$

where  $x_1, \dots, x_n$  are all the variables in  $A$  outside the scope of any implication occurring in  $A$ , and  $y_1, \dots, y_k$  the analogous variables in  $B$ , can be glossed as the predicate logical formula (24).

(24)  $\forall x_1 \dots x_n [A(x_1, \dots, x_n) \rightarrow \exists y_1 \dots y_k [B(y_1, \dots, y_k)]]$

A formula as a whole has an existential interpretation; i.e. if

(25)  $A(x_1, \dots, x_n)$

is a formula that introduces the indicated variables outside an implication, it is true precisely if the corresponding predicate logical formula

(26)  $\exists x_1 \dots x_n [A(x_1, \dots, x_n)]$

is true.

The language InL differs in one important respect from the DRT formalism, and thus earns its name. We assume that every formula introduces a designated variable called its index. This does not mean that (sub)formulas may not introduce other variables, only that the index has a special status. The postulation of indices is crucial for the treatment of modifiers (see section 3.5), but it is independently plausible on other grounds. Consider the expressions in (27), and the ontological type associated with them.

(27)	Expression	Type
a.	John came to the party	event
b.	yesterday	an unspecified eventuality
c.	man in the park	object
d.	butter	quantity of mass
e.	to the party	some entity with a direction
f.	came	event
g.	does not	absence

All these expressions can be understood as reporting the existence of some kind of entity, or putting a restriction on some kind of entity. The semantic formulas into which they are translated will carry an index which denotes the reported or restricted entity. The index of a formula is written between square brackets in prenex position. We also adopt the convention that the first variable in the argument-list of an atomic formula is its index; this allows us to omit the prenex index on atomic formulas which occur within a larger expression. (28) shows translations of the expressions in (26).

(28)	[Index] Formula
a.	[e] [PARTY(x), [e][TO(e, x), [e][PAST(e), COME(e, JOHN)]]]
b.	[a] [YESTERDAY(a), [a]A]
c.	[x] [PARK(y), [x][IN(x, y), MAN(x)]]
d.	[m] BUTTER(m)
e.	[a] [PARTY(x), [a][TO(a, x), [a]A]]
f.	[e] [PAST(e), COME(e)]
g.	[s] [A $\rightarrow$ ]]

In (28g), ' $\perp$ ' stands for the necessarily false formula. For notational efficiency, a conjunction whose index is the same as that of its conjuncts will be written as a many-place conjunction. Thus

(29)  $[e][PARTY(x), [e][TO(e, x), [e][PAST(e), COME(e, JOHN)]]]$

is written as (30).

(30)  $[e][PARTY(x), TO(e, x), PAST(e), COME(e, JOHN)]$

Many modifiers or NP<sub>s</sub> maintain the index of the expression with which they combine; examples are given in (31).

- (31) to the party  
John  
yesterday

These identities are explicitly expressed in their semantic representations:

- (32) [a][PARTY(x), TO(a,x), [a]A]  
[a]A  
[a][YESTERDAY(a), [a]A]

Here, [a]A stands for the formula with index *a* that translates the argument to which the expression will be applied.

However, the situation is more complex when negation and quantification are involved:

- (33) John did not come to the party. Every townsman walked in the park last Sunday.

These sentences do not report the event mentioned by *come* or *walk* but state the *absence* of such an event, or a *regularity* concerning events of that kind. We take the view, mainly for reasons of simplicity, that both regularities and absences are stative eventualities of a special kind. Formally, these are realised by a stative index which is introduced by the implications that translate both *every townsman* and *did not*.

- (34) [s][TOWNSMAN(x) → [a] A]  
[s][PAST(s), [s][a]A → ]]

The different ontological types mentioned earlier are formalized by dividing semantic variables into sorts. The regime for sorted variables is one where the sort is a bundle of features associated with a particular variable or referential constant. In this way, unifications can be performed on sorts. This is useful, since it provides a way of expressing selectional restrictions (cf. section 3.2), and allows the sort of a variable to be determined by different references to it by different subexpressions. Since feature bundles clutter up the notation, we use special variable letters for some standard sorts, or use abbrevatory labels on a variable where this is suitable. The list (35) associates variable letters with particular sorts.

- (35) object variables    x, y, z, x<sub>1</sub>, x<sub>2</sub>, x<sub>3</sub>, ...  
mass variables        m, m<sub>1</sub>, ...  
event variables        e, e<sub>1</sub>, e<sub>2</sub>, e<sub>3</sub>, ...  
state variables        s, t, s<sub>1</sub>, s<sub>2</sub>, s<sub>3</sub>, ...  
unsorted variables    a, b, c, a<sub>1</sub>, a<sub>2</sub>, a<sub>3</sub>, ...

Furthermore, for each of the above sorts, and for others not listed, we assume that we can write labeled declarations as in (36).

- (36) state(a)  
plural(a)  
female(x)  
singular(a)

Sorts are related by a partial ordering which corresponds to the subset relation on the sets of objects semantically associated with the sorts. Thus, for example, 'mass' and 'count' are subsorts of 'object'. However, the precise specification of this hierarchy (or lattice) awaits further work.

### 3. A Fragment

In this section, an attempt will be made to present a fairly large part of the UCG fragment we have been working on. After what has been discussed above, it will be clear that this is mostly a question of stating the lexicon. As is customary in unification grammars, the lexicon consists of a set of primitives and a number of lexical rules working on those primitives to produce the full lexicon. (37) recapitulates the notion of sign described in the first section by describing the syntax and associated variables:

- (37) sign            → {phonology: category: semantics: order, E}  
phonology        → {string, W}  
category         → {sent{feature}, np{feature}, noun, category/sign, C}  
feature          → {bse, cbse, inf, fin, cfin, psp, prp, pas,  
                  obj, nom, to, by, of, for, F}  
order            → {pre, post, O}  
semantics        → {atom, [variable][semantics, semantics],  
                  [variable][semantics → semantics], S, [a]S}  
atom             → predicate(arg\*)  
arg              → {variable, constant, semantics}  
variable         → sort number

#### 3.1. The Basic Case: Finite Verbs and Simple NPs

The following three examples illustrate some simple NPs from the fragment. The category assigned to NPs is of the form

C/(C/np).

This says 'I want to combine with anything that wants an *np*, and I'll yield something that no longer wants that *np*.' (38) illustrates the case of a proper name:

- (38) Louise  
C/(C/np[nom or obj]:LOUISE:O):[a]S:O  
[a]S

In this case, the resulting semantics is the semantics of the NP's argument expression, as modified by unification: the unspecified argument associated with *np* will be bound to the constant *LOUISE*.

Although proper names could be treated by letting the verb be a functor that takes the name as argument, the next two examples show that such a scheme does not work for NP's in general. The semantics of the NP combined with a verb derives in these two cases from the NP, and the semantics of the verb only fills a slot in the resulting representation. Moreover, we observe a fundamental principle in our grammar, namely that whenever two signs are combined, the semantics of the result is always derived by instantiation from the semantics of the functor. This principle compels us to treat the NP as the functor.

- (39) a. a man  
 C/(C/np[nom or obj]:singular(b):O):[a]S:O  
 [a][MAN(x), [a]S]
- b. every woman  
 C/(C/np[nom or obj]:singular(b):O):[a]S:O  
 [state(s)][WOMAN(x) -> [a]S]

The next two examples involve finite verbs. Inflected verb forms are not listed as basic items in the lexicon, but are derived from a root form by lexical rule.

- (40) a. walks  
 sent[fin]/np[nom]:x:pre  
 [e][PRESENT(e), WALK(e, singular(x))]
- b. love  
 sent[fin]/np[nom]:x:pre/np[obj]:y:post  
 [s][PRESENT(s), LOVE(s, x, y)]

The next example shows a phrase composed of an auxiliary and base-form verb:

- (41) does not walk  
 sent[fin]/np[nom]:x:pre  
 [s][PRESENT(s), [s][WALK(e, x) -> ]]]

We also can use the signs above to derive more complex constructions:

- (42) a. Louise walks  
 sent[fin]  
 [e][PRESENT(e), WALK(e, LOUISE)]
- b. loves every woman  
 sent[fin]/np[nom]:x:pre  
 [s'] [WOMAN(y) -> [s][PRESENT(s), LOVE(s, x, y)]]
- c. Louise loves every woman  
 sent[fin]  
 [s'] [WOMAN(y) -> [s][PRESENT(s), LOVE(s, LOUISE, y)]]
- d. a man does not walk  
 sent[fin]  
 [s][MAN(x), [s][PRESENT(s), [s][WALK(e, x) -> ]]]]

### 3.2. Expressing Combinatorial Restrictions in UCG

UCG offers a number of devices to prevent the application of one sign to another. The most fundamental one is built into the formalism of categorial grammar, according to which the active part of one sign's category must match the other sign's category. The fact that this combinatorial restriction is expressed in terms of unification does not lead to any significant difference.

We have already noted that the categorial system can be refined by allowing further specification of primitive categories by features. The use of features in this way is standard practice in generative grammar, and should not require further justification.

Less common, and one of the interesting aspects of UCG, is the method of imposing restrictions at the level of semantics<sup>3</sup>. If it not possible to construct a new semantics by unification, the derivation is blocked. This resource is particularly useful for dealing with agreement. Thus, a string like

- (43) \*The boys walks

is ruled out because the variable for the subject in the sign for *walks* has sort singular, whereas *the boys* introduces a plural variable, and variables with distinct sorts cannot be unified.

The same mechanism can be used in an example like (44).

- (44) \*Mary likes to wash himself

The subject *Mary* is lexically marked as having sort female, and thus cannot be unified with

<sup>3</sup>This option is also readily available in frameworks like HPSG and PATR-II.

the variable  $x$  in (45).

(45) [s][LIKE(s, male(x), [e]WASH(e,x,x))]

Finally, consider the observation that the temporal modifier *in an hour* can only be combined (at least in one use) with predicates which are aspectually marked as introducing a completed event. This can be captured by assigning the index of *in an hour* the sort of completed events. As a result, we can successfully distinguish between the following two examples:

- (46) a. John cleaned the garden in an hour  
b. \*John was working in the garden in an hour

The treatment of subject-verb agreement by means of semantics is of course rather controversial, given the distinction that is often drawn between 'natural' and 'grammatical' gender and number (cf. Corbett 1979, 1981; Cooper 1983). Certainly, it may be argued that these agreement categories are more deeply grammaticised in languages other than English. The evidence for treating number as syntactic - or rather 'non-natural' - in English rests on a small handful of examples like (47), where plural morphology and agreement is associated with NPs whose referents are not typically conceptualised as plural objects.

- (47) The scissors are/\*is sharp  
The oats are/\*is in the bin

A slightly different case arises with certain collective nouns in British English, which despite singular morphology sometimes trigger plural agreement:

- (48) The committee meet/meets at 2.00 on Wednesday

One could maintain a solely semantic account of such cases, and still take into account their anomalous status, by allowing a slightly more complex semantic representation as in (49).

- (49) a. [a][SCISSORS(plural(a)), COINCIDE(a,singular(b))]  
b. [a or b][COMMITTEE(singular(a), COINCIDE(plural(b),a))]

(49a) renders the index of *scissors* necessarily plural, but captures the intuition that the object denoted is in some sense singular by relating the plural index to a singular variable. In (49b) *committee* is assigned a 'disjunctive index', and we can choose between the standard singular variable, and the associated plural variable. This allows for both types of agreement, and makes *committee* a potential antecedent for both singular and plural pronouns. What we say in such cases is that there are two different objects: a plural one and a singular one. Such associated objects, though nonidentical, also coincide with each in the

sense of sharing the matter of which they are composed.<sup>4</sup>

There would clearly be no formal difficulty in extending our feature system so as to allow a syntactic analysis of gender and number in a language like German. But even here it may be interesting to think of the syntactic gender as defining an object in a sort, even if one does not take the objects in this sort very seriously. Thus, referring to a girl by the German *Maedchen* makes a literal reference to a coinciding neuter object. There may be ontological objections against this approach, but it has the advantage of accounting in a uniform manner for the fact that anaphoric links to an antecedent NP such as *das Maedchen* can be established on the basis of either natural or grammatical gender.<sup>5</sup>

### 3.3. Extending the Fragment

In this section, we try to sketch the underlying principles which might be used to extend the fragment. The procedure is based on the constraints inherent in categorial syntax: once certain basic categorizations are imposed, combinatorial considerations largely dictate the categorization of other expressions. We will run through two more complicated examples, and in the course of that arrive at notions of the category of determiner, noun, auxiliary and controlled complement. The analyses we suggest are not intended to be definitive, but serve to illustrate a particular working methodology.

The first example shows a fairly plausible representation for a raising-to-object construction, where the NP *a student* is assigned wide scope.

- (50) John believes a student to have cheated.  
sent[fin]  
[s][STUDENT(x), PRESENT(s),  
BELIEVE(s, JOHN, [t][AFTER(t, e), CHEAT(e, x)])]

Assuming that this is formed by functional application of the subject, *John*, we obtain the following analysis for the predicate:

- (51) believes a student to have cheated.  
sent[fin]/np[nom]:y:pre  
[s][STUDENT(x), PRESENT(s),  
BELIEVE(s, y, [t][AFTER(t, e), CHEAT(e, x)])]

It has been customary in monostratal approaches to English syntax to assume that *a student to have cheated* does not form a constituent. Given our treatment of linear order, this leads

<sup>4</sup>See Link (1983) for some model-theoretic reflections on this notion of coincidence.

<sup>5</sup>In addition to the references cited earlier, see also Johnson (1985), Tasmowski-De Ryck and Verlueten (1981), and Wiese (1986).



us to derive the two signs in (52) from (51), where 'Z' is used as a temporary place-holder.<sup>6</sup>

(52) a. believes a student  
sent[fin]/np[nom]:y:pre/Z  
[s][STUDENT(x), PRESENT(s), BELIEVE(s, y, [s]S)]

b. to have cheated  
Z  
[t][AFTER(t, e), CHEAT(e, x)]

Let us now try to spell out what constraints should be imposed on Z. To begin with, we note that only *to*-infinitives are syntactically permissible as arguments to (52a). This category is encoded by adding a feature specification [cbse] to the sent symbol that marks verbal heads. Second, infinitives are analysed as being unsaturated: otherwise their subject position in the semantics would not be free for control by the matrix object. Third, the schema [s]S in the semantics of (52a) has to be cross-identified as the semantics of the active sign in (52a)'s category. Fourth, in order to express object control, we want the subject of the infinitive to bind the same variable as STUDENT does. This leads us to replace (52) by the following:

(53) a. believes a student  
sent[fin]/np[nom]:y:pre/(sent[cbse]/x):[s]S:pre  
[s][STUDENT(x), PRESENT(s), BELIEVE(s, y, [s]S)]

b. to have cheated  
sent[cbse]/x  
[t][AFTER(t, e), CHEAT(e, x)]

It seems plausible to derive (53b) from the combination of *to* with a naked infinitive. Since some verbs are categorised for naked infinitives complements, they must be recognisable as such, and we use the feature specification [bse] for this purpose.

(54) to  
(sent[cbse]/x)/(sent[bse]/x):S:pre  
S

To only changes the feature specification from [bse] to [cbse]. The naked infinitive accordingly has the sign

(55) have cheated  
sent[bse]/x  
[t][AFTER(t, e), CHEAT(e, x)]

It is easiest to let the auxiliary *have* (here in its infinitival form) carry the semantic effect of the perfect. This makes it possible to treat both the passive and the past participle in the same way. So *have* gets definition (56):

(56) have  
sent[bse]/np[nom]:x:pre/(sent[psp]/x):[a]A:pre  
[t][AFTER(t, a), [a]T]

For the participle *cheated* we obtain (57).

(57) cheated  
sent[psp]/np[nom]:x:pre  
[e]CHEAT(e, x)

Returning to *believe a student*, it will be recalled that indefinite NPs were already introduced in the previous section.

(58) a student  
C/(C/np[nom or obj]:x:O):[a]S:O  
[a][STUDENT(x), [a]S]

*Believe* must therefore be defined as in (59).

(59) believes  
sent[fin]/np[nom]:y:pre/(sent[cbse]/x):[s]S:pre/np[obj]:x:post  
[s][PRESENT(s), BELIEVE(s, y, [s]S)]

Note that the variable introduced by the object NP only appears as the subject of the infinitive. From *a student* we can easily reconstruct the determiner *a* and the common noun *student*:

(60) a. a(n)  
C/(C/np[nom or obj]:singular(b):O):[a]S:O/noun:[b]R:pre  
[a][[b]R, S]

b. student  
noun  
STUDENT(x)

As a second example, consider the complex nominal

(61) cruel farmer who beats a donkey

It is fairly clear what this expression should mean, and we propose the sign (62).

(62) cruel farmer who beats a donkey  
noun  
[x][CRUEL(x), FARMER(x), [e][DONKEY(y), PRESENT(e), BEAT(e, x, y)]]

This can be constructed either by applying the adjective to the complex noun, or by applying the relative to *cruel farmer*. Since it does not make any difference, let's start with the adjective. Adjectives apply to nouns to yield nouns. So *cruel* has the following sign:

(63) cruel  
noun/noun:[x]A:pre  
[x][CRUEL(x), [x]A]

For the noun, we are left with (64).

<sup>6</sup>This analysis departs from that often adopted in categorial treatments, as for example Bach (1979), and we are not necessarily committed to it.

- (64) farmer who beats a donkey  
 noun  
 [x][FARMER(x), [e][DONKEY(y), PRESENT(e), BEAT(e, x, y)]]

The relative clause is rather similar to the adjective, as appears from (64.)

- (65) who beats a donkey  
 noun/noun:[x]A:post  
 [x][[x]A, [e][DONKEY(y), PRESENT(e), BEAT(e, x, y)]]

This leaves us with the syntax of the relative clause. The analysis proposed is simple but only covers the simplest case; we shall not attempt here to deal with unbounded dependencies, though various approaches are compatible with our theoretical framework (cf. Pollard 1985a,b; Steedman 1985a,b). *Who* combines with the finite verb phrase (66).

- (66) beats a donkey  
 sent[fin]/np[nom]:x:pre  
 [e][DONKEY(y), PRESENT(e), BEAT(e, x, y)]

It must therefore have definition (67).

- (67) who  
 noun/noun:[x]A:post/(sent[fin]/x):S:pre  
 [x][[x]A, S]

### 3.4. The Verbal Paradigm

The featural distinctions within the verbal paradigm have a number of functions. On the one hand, they affect the distribution of phrases with a verbal head, and on the other hand they are associated with operations that change the morphological realization, the categorization and the semantics of those verbal heads. Following fairly standard lexicalist assumptions, the operations all apply to lexical stems. Any member of a verb paradigm can therefore be decomposed into a stem together with a specification of some of the operations defined in (70) below. A simple example paradigm is illustrated in (68).

- (68) eats - [eat: 3sg\_pres]  
 eat - [eat: present]  
 ate - [eat: past]  
 eaten - [eat: perfect or passive]  
 eating - [eat: progressive]

The lexical rules we use are modelled on those in Shieber (1983) and have the general form indicated in (69):

- (69) W:Cat:Sem ==> W':Cat':Sem'

That is, they map signs into signs, and we allow them to modify any aspect of the input;

this may well be too liberal.<sup>7</sup> Some example rules are illustrated in (70).

- (70) 3sg\_pres:

W --> W+s  
 sent/x/... sent[fin]/singular(x)/...  
 [a]S [state(a)][AT(a, NOW), S]

past:

W --> W+ed  
 sent/... sent[fin]/...  
 [a]S [a][PAST(a), S]

progressive:

W --> W+ing  
 sent/... sent[prp]/...  
 [a]S [state(s)][WHILE(s, a), [process(a)]S]

perfect:

W --> W+en  
 sent/... sent[psp]/...  
 [a]S [a]S

infinitive:

W --> W  
 sent/... sent[bse]/...  
 [a]S [a]S

passive:

W --> W+en  
 sent/np[nom]:y:pre sent[pas]/np[nom]:x:pre  
 /np[obj]:x:post /np[by]:y:post  
 [a]S [a]S

(71) illustrates how the rules in (70) give rise to verb paradigms like (68).

- (71) stemform  
 eat  
 sent/np[nom]:a:pre/np[obj]:b:post  
 [e]EAT(e, a, b)

[eat: 3sg\_pres]<sup>8</sup>  
 eats  
 sent[fin]/np[nom]:x:pre/np[obj]:b:post

<sup>7</sup>In particular, these rules allow us to look arbitrarily deep into the category list, whereas our ordinary combinatory rules of syntax do not.

We also should note that the lexical rule of passive is clearly inadequate in its present form, since it only applies to transitive verbs.

[state(e)][PRESENT(e), EAT(e, x, b)]

[eat: perfect]  
 eaten  
 sent[psp/np[nom]:a:pre/np[obj]:b:post  
 [e]EAT(e, a, b)]

[eat: passive]  
 eaten  
 sent[pas/np[nom]:b:pre/np[by]:a:post  
 [e]EAT(e, a, b)]

### 3.5. Modifiers

One of the advantages of categorial syntax over X-bar syntax is that it allows a general characterization of modifiers, namely as any expression of category A/A. This translates into our framework as the sign

(72)  $X/X:[a]S$

As we saw earlier, attributive adjectives can be obtained from the general definition by instantiating X to the category of common nouns:

(73)  $\text{noun/noun}:[x]A:\text{pre}$

The normal distinction between intersective, relative and intensional adjectives can be made (cf. Kamp 1975).<sup>9</sup>

(74) a. square  
 $\text{noun/noun}:[x]A:\text{pre}$   
 $[x][\text{SQUARE}(x), A]$

b. big  
 $\text{noun/noun}:[x]A:\text{pre}$   
 $[x][\text{BIG}(x, A), A]$

c. fake  
 $\text{noun/noun}:[x]A:\text{pre}$   
 $[x][\text{FAKE}(x)A]$

As is well known, these same distinctions are typically expressed by meaning postulates in

<sup>9</sup>The example conflicts in certain respects with our semantic treatment of tense and aspect. Present tense, for example, can only be applied to stative verbs, and is therefore only admissible if we coerce a 'habitual' reading for eat. If, however, we start from a non-stative reading, the rules for present cannot apply, as the relevant unifications do not succeed. Similarly, if one takes eat to refer to completed events, the progressive can not be formed. For a discussion of some of these matters, see Moens and Steedman (1986).

<sup>9</sup>In a language with grammatical gender marking, or a richer system of case inflection, one would require lexical rules to specify the appropriate morphological restriction on the nominal argument of attributive adjectives; the following Latin example illustrates:

roundum  
 $\text{noun}[\text{acc}]/\text{noun}[\text{acc}]:\{\text{male}(x)\}A$   
 $[x][\text{ROUND}(x), A]$

Montague Grammar. For example, the intersective nature of *square* might be expressed by stipulating the logical validity of (68.)

(75)  $\forall Q \forall x [\text{square}(Q)(x) \leftrightarrow \text{square}'(x) \& Q(x)]$

However, such a strategy seems to depend on the fact that the common noun argument, indicated by the variable 'Q' on the left-hand side of (75), denotes a function from objects to truthvalues, and can hence appear in an independent predication on the right-hand side of the postulae. In a standard Montague approach, there is no obvious way of distinguishing between analogous classes of predicate- or sentence-modifiers. By contrast, the combination of a Davidsonian treatment of verb meanings with the InL theory of indices gives rise to a completely uniform treatment of such modifiers.<sup>10</sup>

Predicate adverbs are obtained by instantiating the C in schema (72) to *sent/np*, as illustrated below. (76a) and (76b) are intensional, (76c) is relative.

(76) a. always  
 $C(\text{sent}/\text{np})/C(\text{sent}/\text{np}):[a]S:\text{post}$   
 $[s][\text{HABIT}(s), [a]S]$

b. never  
 $C(\text{sent}/\text{np})/C(\text{sent}/\text{np}):[a]S:\text{post}$   
 $[s][[a]S \rightarrow \perp]$

c. quickly  
 $C(\text{sent}/\text{np})/C(\text{sent}/\text{np}):[a]S:\text{post}$   
 $[\text{event}(a)][\text{QUICK}(a,S), S]$

If, on the other hand, we instantiate the C to *sent*, we get the sentential adverbs. (77) illustrates the intensional case.

(77) possibly  
 $C(\text{sent})/C(\text{sent}):[a]S$   
 $\text{POSSIBLE}(\text{state}(s), [a]S)$

We regard most adverbial phrases as being a species of prepositional phrase, following Emonds (1976). The following illustrates some representative prepositions.

(78) in  
 $X/X:[a]S/\text{np}[\text{obj}]:x:\text{post}$

<sup>10</sup>The exception is intensionality. In the adjective case, the index of the modified element is preserved, whereas in the case of intensional sentence modifiers it must be reset. This is motivated by the fact that

a false coin

denotes a real object that looks like a coin but is not one, whereas the truth of

allegedly, John walked to Rome on foot

does not require that any walking event took place.

[a][IN(a, x), S]

before

X/X:[a]S/np[ob]:x:post  
[a][BEFORE(b, x), [a]S]

when

sent[fin]/sent[fin]:[b]S:pre/sent[fin]:[a]T:pre  
[b][WHEN(b, a), [a]T, S]

if

sent[fin]/sent[fin]:S:pre/sent[fin]:T:pre  
[s][T => S]

As noted earlier, we adopt the view of Gazdar et al. (1985) that prepositions in English are also used as a kind of case-marking on a noun phrase. We illustrate this analysis with *to*:

(79) to  
X/(X/np[to]:x:O):[a]S:O/np[ob]:x:post  
[a]S

#### 4. Conclusion and Comparisons

UCG exhibits a number of similarities with other formalisms in the unification framework. The foremost amongst these is monotonicity, in the sense that information, once gained, is never lost in the course of a derivation. From a purely theoretical vantage point, this has the effect of rendering impossible many analyses which are compatible with a standard transformational framework: it is not possible to postulate an intermediate representation which is then subject to destructive modification. Principles like the Well-Formedness Constraint of Partee (1979) largely fall out on such an approach. Monotonicity also has practical advantages, in that it allows for a more deterministic architecture in parsing.

A further attractive feature of UCG, which it shares with some other approaches, is the manner in which different levels of representation - semantic, syntactic and phonological - are built up simultaneously, by the uniform device of unification. This is not to deny that there are different organising principles at the different levels. For example, the operations corresponding to conjunction and implication exist at the semantic level, but not at the syntactic or phonological. Nevertheless, the compositional construction of all three levels takes place in the same manner, namely by the accretion of constraints on the possible representations. The schematic variables that we employ stand for a maximally unspecified representation. As the variables become unified with constants in the course of a derivation, more and more constraints are placed on the representation until we end up with a fully specified

structure which admits of only one interpretation.<sup>11</sup>

Although we have said nothing of interest about phonology here, it seems plausible, in the light of Bach and Wheeler (1981) and Wheeler (1981), that the methodological principles of compositionality, monotonicity and locality can also lead to illuminating analyses in the domain of sound structure. Moreover, it is interesting to note that our manipulation of indices in semantics bears certain resemblances to the specification of an autosegment in phonology (see, for example, Goldsmith 1976), and it should be possible to use the formal techniques of unification grammar in multi-tiered phonological representations.<sup>12</sup>

UCG is distinctive in the particular theory of semantic representation which it espouses. As we have already mentioned, InL is based on Kamp's Discourse Representation (DR) formalism. Two incidental features of InL may obscure this fact. The first is very minor: our formulas are linear, rather than consisting of 'box-ese'. The second difference is that we appear to make no distinction between the set of conditions in a DR, and the set of discourse markers. In fact, this is not the case. Every InL formula has a major discourse referent, namely the index. However, within a complex condition, the discourse referents are not grouped together into one big set, but are instead prefixed to the atomic formula that was responsible for introducing the marker in question. A simple recursive definition (similar to that for 'free variable' in predicate logic) suffices to construct the cumulative set of discourse markers associated with a complex condition.<sup>13</sup> These departures from the standard DR formalism do not adversely affect the insights of Kamp's theory, but do offer a substantial advantage in allowing a rule-by-rule construction of the representations, something which has evaded most other analyses in the literature.

A third respect in which InL differs from standard expositions of DR theory is in the use of polymorphic functions. Recent discussion of polymorphism within a Montague framework (e.g. Partee forthcoming) has concentrated on functions which are generic with respect to the types of Montague's higher-order logic. In UCG, the issue of type shifting does not arise in quite the same way, since the integration of semantics into (sub)categorization allows us to keep InL largely first order.<sup>14</sup> On the other hand, the logic is multi-sorted, with the sorts organized hierarchically so as to form a subsumption lattice. This renders the polymorphism of UCG functions closer in conception to the usual situation

<sup>11</sup>For more discussion of this general point, see Fenstad et al. (1985)

<sup>12</sup>This would go some way towards vindicating the conviction expressed by van Riemsdijk (1982) that phonologists and syntacticians should take more notice of each other's work.

<sup>13</sup>Johanson and Klein (1986) present a method for implementing Kamp-style pronoun resolution rules in a unification grammar, though they use a rather more standard syntax for DRT.

in typed programming languages (cf. Tennent 1981, for example).

The effect of polymorphism is perhaps even more striking in syntax. While it is common to use meta-variables in categorial grammar, there have been few attempts to exploit variables in the categories themselves. UCG syntax is heavily polymorphic in the sense that the category identity of a function application typically depends on the make-up of the argument. Thus, the result of applying a type-raised NP to a transitive verb phrase is an intransitive verb phrase, while exactly the same functor applied to an intransitive verb phrase will yield a sentence. Analogously, a prepositional modifier applied to a sentence will yield a sentence, while exactly the same functor applied to a noun will yield a noun. This approach allows us to dramatically simplify the set of categories employed by the grammar, while also retaining the fundamental insight of standard categorial grammar, namely that expressions combine as functor and argument. Such a mode of combination treats head-complement relations and head-modifier relations as special cases, and provides an elegant typology of categories that can only be awkwardly mimicked in X-bar syntax.

Finally, we note one important innovation. Standard categorial grammar postulates a functor-argument pair in semantic representation which parallels the syntactic constituents; typically, lambda-abstraction is required to construct the appropriate functor expressions in semantics. By contrast, the introduction of signs to the right of the categorial slash means that we subsume semantic combination within a generalised functional application, and the necessity of constructing specialised functors in the semantics simply disappears.

#### Appendix 1: Two Sample Derivations

In the following two examples, we use the notation 'dbc', etc., to indicate a sign which is derived from the signs labelled 'd', 'b', and 'c'.

(A1) Suzy likes to walk with every man.

- a. suzy  
C/(C/np[nom or obj]:SUZY:O):[a]S:O  
[a]S
- b. every  
(C/(C/np[nom or obj]:singular(b):O):[a]S:O)/noun:[b]R:pre  
[s][[b]R =>[a]S]
- c. man

- noun  
[x]MAN(x)
- d. with  
C/C:[a]A:post/np[objc]:x:post  
[a][WITH(a, x), A]
- dbc. with every man  
C/C:[a]A:post  
[s][MAN(x) => [a][WITH(a, x), A]]
- e. walk  
sent[bse]/x  
[e]WALK(e, x)
- f. to  
sent[cbse]/x/(sent[bse]/x):S:pre  
S
- ef. to walk:CBSE  
sent[cbse]/x  
[e]WALK(e, x)
- efdbc. to walk with every man  
sent[cbse]/x  
[s][MAN(x) => [e][WITH(e, x), WALK(e, y)]]
- g. likes  
sent[fin]/np[nom]:x:pre/(sent[cbse]/x):S:pre  
[s][PRESENT(s), LIKE(s, x, S)]
- gefdbc. likes to walk with every man  
sem[fin]/np[nom]:x:pre  
[t][PRESENT(t), LIKE(t, y, [s][MAN(x) => [e][WITH(e, x), WALK(e, y)]])]
- agefdbc. suzy likes to walk with every man  
sent[fin]  
[t][PRESENT(t), LIKE(t, SUZY, [s][MAN(x) => [e][WITH(e, x), WALK(e, SUZY)]])]

This sentence has several other readings, depending on the stage at which the modifier *with every man* is applied.

(A2) Often John visits a cinema

- a. often  
sent/sent:S:pre  
[s<sub>1</sub>]OFTEN(s<sub>1</sub>, S)
- b. john  
C/(C/np[nom or obj]:JOHN:O):[a]S:O  
[a]S

<sup>14</sup>We say "largely", because the question of how to deal with modal contexts still remains unresolved.



(A5) *Syntax Rule*

(a) UCG

R1:  $W_1 W_2 : C : S \rightarrow W_1 : C / E : S \ E (W_2 : pre)$ 

(b) PATR-II

c1  $\rightarrow$  c2 c3, { c2:catlist:first= c3  
 c1:catlist = c2:catlist:rest  
 c1:syntax = c2:syntax  
 c1:semantics = c2:semantics }.

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